

U.S. Department of Education
Washington, D.C. 20202-5335



**APPLICATION FOR GRANTS
UNDER THE**

TIF General Competition

CFDA # 84.374A

PR/Award # S374A120075

Grants.gov Tracking#: GRANT11189632

OMB No. , Expiration Date:

Closing Date: Jul 27, 2012

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

Application for Federal Assistance SF-424

* 1. Type of Submission:

- Preapplication
 Application
 Changed/Corrected Application

* 2. Type of Application:

- New
 Continuation
 Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received:

07/27/2012

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

Center for Educational Innovation - Public Education Assoc.

* b. Employer/Taxpayer Identification Number (EIN/TIN):

13-4113613

* c. Organizational DUNS:

0711305740000

d. Address:

* Street1:

28 West 44th Street, Suite 300

Street2:

* City:

New York

County/Parish:

* State:

NY: New York

Province:

* Country:

USA: UNITED STATES

* Zip / Postal Code:

10036-6600

e. Organizational Unit:

Department Name:

Division Name:

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

Prefix:

* First Name:

Frank

Middle Name:

* Last Name:

San Felice

Suffix:

Title:

Co-Director

Organizational Affiliation:

* Telephone Number:

212.302.8800

Fax Number:

* Email:

fsanfelice@thecei-pea.org

Application for Federal Assistance SF-424

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

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

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

U.S. Department of Education

11. Catalog of Federal Domestic Assistance Number:

84.374

CFDA Title:

Teacher Incentive Fund

*** 12. Funding Opportunity Number:**

ED-GRANTS-061412-001

* Title:

Office of Elementary and Secondary Education (OESE): Teacher Incentive Fund (TIF): TIF General Competition CFDA Number 84.374A

13. Competition Identification Number:

84-374A2012-1

Title:

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

 Add Attachment

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

PICCS for New York City (PICCS4NYC)

Attach supporting documents as specified in agency instructions.

Add Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

b. Program/Project

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

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="11,507,336.00"/>
* b. Applicant	<input type="text" value="(b)(4)"/>
* c. State	
* d. Local	
* e. Other	
* f. Program Income	
* 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 in attachment.)**

Yes No

If "Yes", provide explanation and attach

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

** I AGREE

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

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative:

* Date Signed:

Application for Federal Assistance SF-424 – Program/Project Congressional Districts

PICCS4NYC

NY-10

NY-11

NY-13

NY-14

NY-15

NY-17

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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 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 provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean 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. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

<p>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Harvey Newman</p>	<p>* TITLE</p> <p>President, CEI-PEA</p>
<p>* APPLICANT ORGANIZATION</p> <p>Center for Educational Innovation - Public Education Assoc.</p>	<p>* DATE SUBMITTED</p> <p>07/27/2012</p>

DISCLOSURE OF LOBBYING ACTIVITIES

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

Approved by OMB
0348-0046

1. * Type of Federal Action: <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. * Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. * Report Type: <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
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4. Name and Address of Reporting Entity:
 Prime SubAwardee

* Name:

* Street 1: Street 2:

* City: State: Zip:

Congressional District, if known:

6. * Federal Department/Agency: <input type="text" value="n/a"/>	7. * Federal Program Name/Description: <input type="text" value="Teacher Incentive Fund"/> CFDA Number, if applicable: <input type="text" value="84.374"/>
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8. Federal Action Number, if known: <input type="text"/>	9. Award Amount, if known: \$ <input type="text"/>
--	--

10. a. Name and Address of Lobbying Registrant:

Prefix: * First Name: Middle Name:

* Last Name: Suffix:

* Street 1: Street 2:

* City: State: Zip:

b. Individual Performing Services (including address if different from No. 10a)

Prefix: * First Name: Middle Name:

* Last Name: Suffix:

* Street 1: Street 2:

* City: State: Zip:

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 the 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.

* Signature:

* Name: Prefix: * First Name: Middle Name:
* Last Name: Suffix:

Title: Telephone No.: Date:

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.

Optional - You may attach 1 file to this page.

PICCS4NYC - GEPA.pdf

Delete Attachment

View Attachment

GEPA (Section 427) - Assurances and Certifications

Equitable Access and Participation

If funded, the Center for Educational Innovation-Public Education Association (CEI-PEA) and all schools and organizations participating in or associated with the Partnership for Innovation in Compensation for Charter Schools for New York City (PICCS4NYC) project will take proactive steps to ensure equitable access to and participation in the federally funded program for all project beneficiaries with special needs. Participants, personnel and service providers have been and will continue to be selected for this project without regard to race, color, national origin, gender, age or handicapping condition. The project will comply with the non-discrimination policy of CEI-PEA and the non-discrimination provisions of each consortium school's charter agreement. Neither CEI-PEA or the partner charter schools, nor the project's service providers discriminate on the basis of sex, disability, race, religion, color, age, gender, sexual orientation and/or national origin. CEI-PEA's non-discrimination policy, and that of the other partners and service providers, will extend to employment and participation in the proposed project.

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

information about any employment, contracting or sub-contracting opportunities—will be made available to persons throughout the communities and cities through dissemination to appropriate organizations and agencies. In disseminating information about the project and its employment and contracting opportunities, CEI-PEA will use general market media and, as appropriate, minority-oriented media.

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

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

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

*** APPLICANT'S ORGANIZATION**

Center for Educational Innovation - Public Education Assoc.

*** PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE**

Prefix: * First Name: Seymour Middle Name:

* Last Name: Fliegel Suffix:

* Title: President, CEI-PEA

*** SIGNATURE:** Harvey Newman

*** DATE:** 07/27/2012

SUPPLEMENTAL INFORMATION
REQUIRED FOR
DEPARTMENT OF EDUCATION GRANTS

1. Project Director:

Prefix:	* First Name:	Middle Name:	* Last Name:	Suffix:
	Frank		San Felice	

Address:

* Street1:	28 West 44th Street, Suite 300
Street2:	
* City:	New York
County:	
* State:	NY: New York
* Zip Code:	10036
* Country:	USA: UNITED STATES

* Phone Number (give area code) Fax Number (give area code)

212.302.8800	
--------------	--

Email Address:

fsanfelice@thecei-pea.org

2. Applicant Experience:

Novice Applicant Yes No Not applicable to this program

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:

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Abstract

The abstract narrative must not exceed one page and should use language that will be understood by a range of audiences. For all projects, include the project title (if applicable), goals, expected outcomes and contributions for research, policy, practice, etc. Include population to be served, as appropriate. For research applications, also include the following:

- Theoretical and conceptual background of the study (i.e., prior research that this investigation builds upon and that provides a compelling rationale for this study)
- Research issues, hypotheses and questions being addressed
- Study design including a brief description of the sample including sample size, methods, principals dependent, independent, and control variables, and the approach to data analysis.

[Note: For a non-electronic submission, include the name and address of your organization and the name, phone number and e-mail address of the contact person for this project.]

You may now Close the Form

You have attached 1 file to this page, no more files may be added. To add a different file, you must first delete the existing file.

* Attachment:

Project Abstract

The **Partnership for Innovation in Compensation for Charter Schools for New York City project (PICCS4NYC)** is designed to establish a comprehensive Human Capital Management System and evaluation-driven Performance-based Compensation System (PBCS) in each of six high-need charter school LEAs in New York City (NYC). The application is a **group application for the General TIF Competition**.

The lead applicant is the **Center for Educational Innovation-Public Education Association (CEI-PEA)**, a national not-for-profit educational organization that works with traditional and charter public schools and has extensive experience managing Teacher Incentive Fund (TIF)-supported projects. The other applicants are charter school LEAs: (1) Imagine Me Charter School; (2) Inwood Academy for Leadership; (3) John W. Lavelle Preparatory Charter School; (4) La Cima Charter School; (5) New Dawn Charter High School; and (6) Tech International Charter School. Each charter school LEA is a **high-need school**—i.e. the percentage of students from low-income families at each school is greater than 50 percent. None of the consortium charter school LEAs participated in any TIF-supported project. Therefore, this project meets the requirements of Competitive Priority 4. Also, the project will implement a **salary-structured PBCS** based on effectiveness, which addresses the requirements of Competitive Priority 5.

The Goals and objectives of PICCS4NYC are:

Goal 1— Create a comprehensive HCMS emphasizing effective evaluation at each school. The objectives related to Goal 1 are: a) developing a HCMS for each school based on the PICCS4NYC HCMS framework; b) establishing and implementing effective teacher and school leader evaluation systems at each consortium school; c) implementing the HCMS plan, with

emphasis on effective teacher and school leader evaluation and the PBCS, at each consortium school; and d) integrating the HCMS into the structure and culture of each consortium school.

Goal 2— Establish a salary-based PBCS based on effective teacher and school leader evaluation at each consortium school. Objectives related to this goal include: a) developing and implementing a PBCS for each consortium school with evaluation as the “driver” and based on the PICCS4NYC HCMS framework; b) establishing a system at each school for providing additional compensation to teachers in “leadership” roles; and c) integrating the PBCS into the structure and culture of each school.

Goal 3— Improved teacher effectiveness at each consortium school. Objectives related to Goal 3 include: a) aligning professional development with evaluation data to build on teacher strengths and address teacher needs; b) improving the capacity of consortium teachers to use data effectively; c) increasing the percentage of “effective” teachers; and d) increasing the percentage of “highly effective” teachers.”

Goal Four— Improved school leader effectiveness at each consortium school. Objectives related to goal 4 include: a) providing professional development tailored to address school leader needs; b) increasing the percentage of “highly effective” school leaders; and c) ensuring that school leaders devote more time to instructional improvement of teachers.

Goal Five— Improved student performance and growth at each consortium school. The student performance and growth objectives are: a) project initiatives will yield measurable positive student achievement outcomes; and b) project initiatives will yield measurable positive student growth outcomes.

Project Narrative File(s)

* Mandatory Project Narrative File Filename:

PICCS4NYC - Project Narrative.pdf

[Delete Mandatory Project Narrative File](#)

[View Mandatory Project Narrative File](#)

To add more Project Narrative File attachments, please use the attachment buttons below.

Add Optional Project Narrative File

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Overview

The Center for Educational Innovation – Public Education Association (CEI-PEA) is partnering with 6 high need public charter schools to implement the Partnership for Innovation in Compensation for Charter Schools (PICCS) for New York City (“PICCS4NYC”). This application is a Group Application—CEI-PEA is an educational not-for-profit organization and the 6 participating charter schools are local educational agencies (LEAs). PICCS4NYC is a school improvement model that makes rigorous educator and school leader evaluations the driving force in determining a range of human capital management decisions, including performance-based compensation. First launched in 2007 through a prior Teacher Incentive Fund (TIF) grant, the original PICCS model was first implemented in 10 public charter schools in New York City. In 2010, the model was brought to 13 more charter schools (located in New York City and Buffalo) through two additional TIF grants. Over the past five years, the PICCS model has grown from originally focusing on performance-based compensation in the form of annual incentives to a comprehensive human capital management system that includes a full continuum of practices and resources to support the educational communities within participating charter schools. Now, we are proposing to bring the new model of PICCS to 6 high need public charter schools in New York City through the proposed initiative.

IMPLEMENTATION OF MODEL 1 FOR PBCS

The participating schools will develop and implement performance-based compensation systems (PBCS) aligned with Design Model 1 as described in the Notice Inviting Applications (NIA) for the 2012 TIF competition. Teachers, principals and other eligible personnel will be able to earn annual salary increases based on their performance

measured through a comprehensive evaluation system (PBCS only awarded for educators who perform at the level of effective or higher, as defined in “B. Educator Evaluation Systems” of this proposal). Teachers eligible for annual salary increases also become eligible to take on additional leadership roles at the school. Based on achieving a rating of effective or higher on a separate evaluation related to performance within the leadership role, they can earn additional compensation for these leadership roles. The approach to PBCS implementation for PICCS4NYC meets Priority 5 (Competitive Preference).

**PARTICIPATING CHARTER SCHOOLS ARE
LEAs, HIGH NEED SCHOOLS & NEW APPLICANTS TO TIF**

The six charter schools in the PICCS4NYC consortium are: Imagine Me Charter School, Inwood Academy for Leadership, John W. Lavelle Preparatory Charter School, La Cima Charter School, New Dawn Charter High School and Tech International Charter School. All of the participating charter schools are independent local educational agencies (LEAs) under New York State law (verified in the Appendices). Each school has a separate Board of Trustees, academic program and school culture. Each school has agreed that the proposed project is supportive of its mission and vision, and each school’s participation has the approval of its Board, as documented in the Memorandum of Understanding (MOU). None of the participating schools is unionized and, therefore, all parties that govern school policies and practices are signatories to the MOU. In addition, all of the participating charter public schools are “high need” under the definition of “high-poverty schools” provided in the NIA: 50 percent or more of each school’s enrollment is from low-income families, based on eligibility for free or reduced-price lunch (FRL) subsidies (documented in the appendices). Finally, none of the participating

charter schools (LEAs) have previously participated in a TIF-supported project, thus meeting Priority 4 (Competitive Preferences).

A. PICCS Human Capital Management System

Responds to: A Coherent and Comprehensive Human Capital Management System (45 points)... extent to which the HCMS described in the application is (1) Aligned with each participating LEA's clearly described vision of instructional improvement (10 points).

The PICCS human capital management system (HCMS) is designed to generate effective practice among educators and school leaders that, in turn, leads to student achievement. It is the manifestation of the consortium schools' shared vision for instructional improvement and is based on the approach described by Heneman and Milanowski as "strategic management of human capital"¹ and described in detail by Alan Odden in his 2011 book *Strategic Management of Human Capital in Education*.² PICCS4NYC has drawn from these studies, our experience working with independent charter public schools, and the dialogue with the participating schools during the proposal development period to develop the PICCS HCMS, which includes the following components: 1) Teacher Preparation (pre-service); 2) Recruitment & Hiring; 3) Induction & Mentoring; 4) Evaluation; 5) Ongoing Professional Development & Growth; 6) Performance Management & Retention; 7) Career Ladders/Lattices.

As Odden explains in his study of strategic human capital management in education, there are two key "ingredients" to developing an HCMS that is able to result in dramatic and sustainable improvements in student learning outcomes: 1) recruiting and retaining talented people; 2) strategically managing those talented people. Implemented with quality and fidelity, these ingredients lead to two sets of measurable outcomes: 1) educator and school leader professional practice; 2) student learning outcomes. Odden also suggests that there should be checks for alignment between the two sets of measures

to ensure reliable and equitable evaluations. (For example, a teacher deemed as “effective” in his/her professional practice should also demonstrate student outcomes at the effective or higher level for those students in his/her classroom or cohort.) As described in “B. Educator Evaluation Systems,” we have developed an evaluation system that addresses these concerns and can serve as the key “driver” in the HCMS.

All of the schools participating in PICCS4NYC share this common vision of a human capital management system that includes a full continuum of practices and resources to support the educational communities within participating charter schools, as reflected in the MOU. As described in “D. Involvement of Educators,” all partner schools participated in a series of meetings and webinars to study the HCMS model, completed a Gap Analysis survey to assess their current state of implementation of HCMS in their schools, and secured stakeholder support prior to joining the partnership.

DIFFERENTIATED TEACHING LEVELS

Before we explain how the human capital management system will be established and implemented, it is important to understand the common framework for teacher rank, responsibilities and compensation that will be adopted and adapted at each participating school. During the planning year (Year 1) of the grant, each school will use the framework that follows to set school specific policies and practices for a differentiated teaching level system. This is particularly important as each participating charter school is its own local educational agency (LEA) and is held accountable to the charter authorizer for implementation of policies, procedures and practices in its approved charter. Therefore, in any case of a material change to the charter, the schools will request the modification prior to implementation. While each school will customize the

differentiated teaching level framework during Year 1 to meet their specific mission and instructional needs, the purpose of the common framework is to ensure that the teacher levels established at each school support the overall goals of the PICCS4NYC human capital management system. For example, while schools will set the specific policies related to how evaluations will relate to retention (e.g. a school may differentiate between the “developing” and “ineffective” levels as they relate to time-to-termination), all PICCS4NYC schools must use the evaluation system to help determine staff retention decisions. Similarly, while schools will establish the appropriate salary ranges for each teacher level, all PICCS4NYC schools will have salary ranges and an annual PBCS for increases within each level.³

Aspiring Teacher – A one-year appointment for a certified teacher with no prior teaching experience who serves in an apprentice position to an established teacher.

Novice Teacher – A continuing appointment for a certified teacher with limited prior teaching experience who serves as teacher of record for a classroom/cohort. Focus is 100% on classroom instruction; does not take on any additional leadership positions in the school but does participate fully in collaborative teams.

Associate Teacher - A continuing appointment for a certified teacher with demonstrated effectiveness within a classroom based upon at least three years of evaluations at the Novice Teacher level (or equivalent) that measure professional practice and student outcomes. He or she serves as teacher of record for a classroom/cohort, with a primary focus on classroom instruction, and can also take on additional one-year appointments in leadership roles such as: Collaborative Team Leader, Data Team Coach, and other positions defined by the school during the Planning Year.

Master Teacher – A continuing appointment for a certified teacher with demonstrated effectiveness at the Associate Teacher level (or equivalent); effectiveness based upon at least three years of evaluations at the Associate Teacher level (or equivalent) that measure professional practice and student outcomes. He or she serves as teacher of record for a classroom/cohort, with a primary focus on classroom instruction, and can also take on additional one-year appointments in leadership roles such as: Professional Learning Communities (PLC) Coach, Data Coordinator, Mentor Teacher, and other positions defined by the school during the Planning Year.

Teacher Leader – A continuing appointment for a certified teacher with demonstrated effectiveness at the Master Teacher level (or equivalent); effectiveness based upon at least three years of evaluations at the Master level (or equivalent) that measure professional practice and student outcomes. He or she spends a portion of school day/week/year in classrooms providing direct instruction through a collaborative team teaching model where the other teacher is the teacher of record for the classroom/cohort, and spends the other portion of the school day/week/year providing leadership within the school community such as directing curriculum and instruction initiatives, guiding the charter renewal application, etc. Specific leadership opportunities will be defined by the school during the Planning Year (Year 1).

SEVEN COMPONENTS OF THE PICCS HCMS

Responds to: ...we will consider the extent to which the HCMS described in the application is—Likely to increase the number of effective educators in the LEA’s schools, especially in high-need schools, as demonstrated by (35 points)—
(i) The range of human capital decisions for which the applicant proposes to consider educator effectiveness – based on the educator evaluation systems described in the application; (ii) The weight given to educator effectiveness--based on the educator evaluation systems described in the application--when human capital decisions are made.

As described earlier in the proposal, there are seven components in the PICCS HCMS that inform and are informed by professional practice and student learning outcomes: 1) Teacher Preparation (pre-service); 2) Recruitment & Hiring; 3) Induction and Mentoring;

4) Evaluation; 5) Professional Growth & Development; 6) Performance Management & Retention; 7) Career Ladders/Lattices. In the following pages, we describe the vision shared by all of the participating schools for each of the seven components and how evaluation informs decisions within them.

1. Teacher Preparation (Pre-Service)

SHARED VISION: The most direct way that PICCS schools can impact the educator preparation process is through taking on pre-service teachers for a portion of their training at the school site. “Aspiring Teachers” will be provided clinically-rich experiences at the schools by working closely with a mentor teacher. In order to become an Aspiring Teacher at a participating school, candidates must come from the “top third +” of teaching candidates as described in the 2010 study by Auguste, Kihn and Miller.⁴ Aspiring Teachers will be hired to a one-year contract with compensation of \$25,000 and will be eligible to apply for open Novice Teacher positions at the end of the year based upon a successful evaluation process (described below). By providing such competitive and performance-based compensation for Aspiring Teachers, the participating schools will be able to establish a strong recruiting base for Novice Teacher positions.

ROLE AND WEIGHT OF EVALUATION: For Aspiring Teachers, we will use a modified form of the proposed teacher evaluation systems (see “B. Educator Evaluation System”) to measure their effectiveness and, more importantly, help these Aspiring Teachers identify and address gaps in their preparation. Evaluation is also central to the transition of an Aspiring Teacher to continuing placement at a participating school. The Aspiring Teacher must have scored at effective or higher on his or her evaluations from the pre-service period in order to be considered eligible for the full-time position.

2. Recruitment & Hiring

SHARED VISION: As described above, participating schools aim to recruit educators from the “top third +” of teaching candidates. This requires establishing a recruitment process for Novice Teachers that communicates high and specific expectations, including demonstrated effectiveness within a classroom based upon reviews of professional practice and student outcome measures. Participating schools will also use the strategy of differentiated hiring plans in order to recruit effective and experienced teachers in hard-to-staff subjects and grade levels. For example, schools may recruit for a math teacher at the level of “Master Teacher.” This hire would include a base salary within the Master Teacher level; it can also include a one-time recruiting bonus paid out at the end of the first year of service based upon achievement of specific and measurable outcome goals related to improving STEM instruction at the school. Such differentiated hiring plans translate to the key retention strategies that will be utilized by participating schools: 1) performance-based compensation that provides annual increases to an educator’s base salary comparable to the educator’s level of achievement on his or her annual evaluation; 2) career ladder/lattice opportunities for teachers that provide a clear and attainable path for professional growth within the school.

ROLE AND WEIGHT OF EVALUATION: For each teaching level, participating schools will provide clear measures of prior performance that must be demonstrated in order to be eligible for the position. These measures will guide recruitment, promotion, compensation and retention decisions. During the Planning Year (Year 1), each school will establish specific policies regarding how evaluation will relate to retention but, at a minimum, all schools will establish a policy that any teacher who scores at the

“ineffective” level for two consecutive years will be terminated. Within each teaching level, teachers will be eligible for annual salary increases based upon the outcomes of their annual evaluation. Please see “6. Performance Management & Retention” (in this section) for an explanation of how the evaluation system directly informs the annual performance-based salary increases.

3. Mentoring & Induction

SHARED VISION: Participating schools will establish a comprehensive induction program for new teachers that will last three years and then transition into ongoing professional development and management. As part of the induction program, schools will provide individual mentoring for new teachers that also lasts three years. The goal is to create a program that fulfills the definition of quality new teacher induction provided by Wood and Nevins Stanulis: *“the multi-faceted process of teacher development and novice teachers’ continued learning-to-teach through an organized professional development program of educative mentor support and formative assessment.”*⁵

ROLE AND WEIGHT OF EVALUATION: The evaluation program that is described in “B. Educator Evaluation Systems” directly informs three aspects of the Mentoring and Induction program: 1) Teachers at the rank of “Master Teacher” or higher must have scored at “Effective” or higher on at least two consecutive annual evaluations to be eligible for consideration to serve as a Mentor Teacher; 2) Mentor Teachers undergo an additional evaluation specific to assessing their performance as a mentor and this evaluation is used to determine his/her performance-based compensation for the annual appointment; 3) The Collaborative Coaching Model⁶ that guides the work of the Novice

Teacher and the Mentor Teacher is directly informed by the student growth targets and professional practice rubrics and measures used in the formal evaluation process.

4. Evaluation

SHARED VISION: While we break out Evaluation as a specific component of the PICCS HCMS, it is, in practice, the key driver of the entire system. The participating schools have spent significant time during the proposal development process refining a shared evaluation program such that it meets local and state regulations and federal TIF guidelines. Schools also worked to ensure that the evaluation system is considered equitable and rigorous by stakeholders within their school communities. This is reflected in the MOU included in the appendices in which schools agree to implement the evaluation program described in “B. Educator Evaluation System.”

ROLE AND WEIGHT OF EVALUATION: There are multiple levels at which the evaluation system described in “B. Educator Evaluation System” is itself assessed and evaluated in order to ensure that the system is achieving its main goal: effective measurement of educator performance to drive improvements in professional practice and student growth. As described in the evaluation section in detail, CEI-PEA facilitates a certification program for evaluators in order to help ensure proper implementation and inter-rater reliability. We also utilize nationally-certified evaluators to perform school visits to “rate the raters” and help ensure that the evaluation practices are aligned with national standards and norms. Finally, through a rigorous data verification process, all individual staff evaluations are reviewed at two levels to ensure congruence between the student growth and professional practice measures, which Odden cites as crucial to an effective HCMS. The first level of data verification happens at the school level by the

school leadership team and then by the PICCS-assigned site-based specialist (see “E. Project Management” for explanation of these roles). The second level of data verification happens at the PICCS-wide level and is performed by PICCS Data Engineers who are experts in data systems and management and, working with the Data Warehouse and Data Use Coordinators, will be able to identify any incongruence or inaccuracies in the data used in the evaluations (see “E. Project Management” for description of the Data Coordinators). Lastly, we include a performance measure for the entire initiative that compares the percentages of students meeting attainment (proficiency) and the percentages meeting growth targets to review the efficacy of the evaluation system. For example, if overall attainment is low but growth is high, this may indicate that growth targets are not meeting the required level of rigor.

5. Professional Growth & Professional Development

SHARED VISION: As described in “B. Educator Evaluation System,” the proposed evaluation system is comprised of both student outcome and professional practice measures. Within the professional practice measures, schools will use the Danielson Framework for Teaching, which provides rubric-based data in terms of teacher performance across four domains (Planning and Preparation, Classroom Environment, Instruction and Professional Responsibilities) and 22 components across the four domains. Participating schools must conduct at least two classroom observations (one in fall and one in spring), as well as regular walkthroughs guided by the Danielson rubrics. These observations and walkthroughs provide the necessary data to target professional development resources to the specific needs of individual teachers. It also allows teachers and supervisors to identify areas of excellence in practice for which teachers can serve as

models for their peers. At the close of each year, supervisors will conduct a summative assessment and conference with the teacher to review the evaluation outcomes and establish a Teacher Growth Plan for the coming year. In this plan, teachers and supervisors agree to areas of focus for professional growth and identify resources necessary to support the teacher in achieving that growth. Throughout the year, as the formative assessments are conducted, the teacher and supervisor can re-visit the Teacher Growth Plan and modify it appropriately.

ROLE AND WEIGHT OF EVALUATION: As described above, evaluation is the key tool by which PICCS schools will be able to provide differentiated, targeted professional development as well as support professional growth for all teachers.

6. Performance Management & Retention

SHARED VISION: All decisions related to what Odden describes as “talent management” are informed by the vision of the human capital management system and the evaluation system that drives it. The goal is to establish schools with high numbers of teachers at the “effective” or “highly effective” levels who remain at the school and over time grow through the differentiated teaching ranks, take on leadership opportunities and continue to build a stronger and more effective school.

ROLE AND WEIGHT OF EVALUATION: In relation to the annual performance-based salary compensation, schools will use annual evaluation data to determine the level of compensation. While the evaluation system is explained in full in “B. Educator Evaluation System,” Figure1 (below) illustrates the relationship of the annual rating and composite score to the level of performance-based salary increase. Note that Figure 1 is a sample. During Year 2 of the grant, schools will establish the cut-offs for salary increases

within the following guidelines: 1) performance based salary increases can only be awarded to teachers with ratings at the level of “effective” or “highly effective”; 2) the amount of compensation for teachers in the highest performance bracket must be at least \$3,000 and cannot exceed \$4,000 (anything over \$4,000 must be supported with local funds); it must be feasible for teachers to achieve all performance levels.

Figure 1 - HEDI Composite Rating & Score Chart – Sample Compensation

Rating	Overall Composite Score	PBC Salary Increase
Effective	86-90	\$1,000
	81-85	\$750
	75-80	\$500
Developing	65-74	\$0
Ineffective	0-64	\$0

Notes to Figure 1: Please see “B. Educator Evaluation System” for a full explanation of how the four rating categories and composite scores are determined. The annual salary increases are part of the overall PBCS approach, which follows Model 1 as described in the NIA for the 2012 TIF competition.

7. Career Ladders/Lattices

SHARED VISION: In their vision document for the RESPECT initiative to re-design the future of teaching as a respected profession in America, teacher ambassadors for the United States Department of Education write: “A new vision of the profession would

offer accomplished teachers multiple pathways to advance their careers without leaving the classroom. Development and advancement could occur at every stage of a teacher's career, based on demonstrations of effectiveness with students and colleagues.”⁷ This is the vision of the participating schools and is reflected in the framework for differentiated teaching levels as well as the plan to provide annual performance-based salary increases. In this vision, the “Career Ladders” become Career Lattices” that open both vertical and horizontal growth opportunities for teachers within a school.

ROLE AND WEIGHT OF EVALUATION: Evaluation data will be used to inform all Career Ladder opportunities as described in the section on Differentiated Teaching Levels and in the Performance Management sections above (see Figure 1).

HCMS FOR SCHOOL LEADERS

Odden, Milanowski and Kimball describe the role of the principal as the “face” of human capital management for school staff.⁸ While this is certainly the case for the participating schools in PICCS4NYC, principals at these schools take on “behind the scenes” direction of HCMS as well since charter public schools are their own LEAs and the work typically performed by district leadership falls to the principals. This comprehensive role is reflected in the evaluation plan for school leaders, which assesses their performance as instructional leaders, managers of operations, community organizers, policy analysts, and much more. What the PICCS model provides to leaders of independent charter schools⁹ such as those in the PICCS4NYC initiative is a framework, professional development and support for building the capacities necessary to be effective school leaders across all of these domains. As described in “C. Professional Development,” school leaders take part in is a three-year initiative to help them map their time in the school in order to

reorganize staff roles such that they distribute aspects of school management throughout the staff and increase the amount of time they serve as instructional leaders.

As school leaders improve their abilities across the areas of HCMS management and instructional leadership, they are rewarded through the PBCS that provides up to \$7,000 annual raises based on the principal’s annual evaluation rating and composite score (see Figure 1, but modify with \$7,000 as the top salary increase; also see “B. Educator Evaluation Systems” for a full explanation of how principal performance is measured).

FEASIBILITY & POTENTIAL EFFECTIVENESS OF PROPOSED HCMS

Responds to: ...we will consider the extent to which the HCMS described in the application is—Likely to increase the number of effective educators in the LEA’s schools, especially in high-need schools, as demonstrated by (35 points)—(iii) The feasibility of the HCMS described in the application, including the extent to which the LEA has prior experience using information from the educator evaluation systems described in the application to inform human capital decisions, and applicable LEA-level policies that might inhibit or facilitate modifications needed to use educator effectiveness as a factor in human capital decisions; (iv) The commitment of the LEA’s leadership to implementing the described HCMS, including all of its component parts; and (v) The adequacy of the financial and nonfinancial strategies and incentives, including the proposed PBCS, for attracting effective educators to work in high-need schools and retaining them in those schools.

As described in detail in the evaluation section of the proposal, CEI-PEA (lead applicant) has implemented multiple components of a HCMS—educator evaluation systems, PBCSs and professional development—in public charter schools in New York City and Buffalo, New York. All of the participating schools completed a Gap Analysis in which they shared their own experiences in implementing the components of the HCMS described here. Through the Gap Analysis, we have been able to form a baseline for school readiness to implement the HCMS and in Year 1, we will further refine this baseline by conducting school visits and staff interviews in the first months of the project. Key findings of the Gap Analysis include:

- All participating schools reported that they provide some form of focused support for novice teachers, as well as pre-service programs in the summer prior to their start as

novice teachers, indicating preparedness to implement the teacher preparation component of the HCMS.

- Schools primarily base recruitment responsibilities on a “Hiring Committee” that meets annually in late Winter/early Spring to review anticipated staff openings and enter into a recruitment process. These Hiring Committees can be mobilized to engage in the more expansive vision for recruitment described here.
- In terms of retention and performance management, none of the schools currently has a performance-based salary system and differentiated teacher rank system. However, two schools do provide one-time awards for exceptional performance and all expressed that performance-based salary compensation was the aspect of the TIF grant opportunity that first drew them to participate in PICCS4NYC.
- All schools use some form of evaluation, the most rigorous ones focusing on regular classroom observations with pre- and post-conferences based on either the Danielson Framework for Teaching or the Marzano Framework. Evaluation is required as part of their charters and, as reflected in the MOU, the school leadership (including the Board of Trustees) has ensured that the schools will implement the evaluation program proposed here by Year 2.
- All of the schools currently use some form of classroom observations and walkthroughs to assess instruction, and this data is used in a non-systemic way to identify professional development offerings at the schools. The proposed model will formalize this work and allow for clearer and timelier connections between assessments of professional practice and professional development opportunities.

- For performance management and career ladders, three of the schools reported specific career development opportunities at their schools, while one school works to develop para-professionals into regular teaching positions. All offer various forms of leadership opportunities such as serving as a mentor teacher or grade level chair. The common desire reported in the Gap Analysis was to establish a clear and consistent set of steps and measures for teachers to take to advance their careers at the schools.

In terms of feasibility, stakeholder understanding and support are two of the highest indicators for success in implementing such a transformative initiative as the HCMS describe in this proposal. As indicated in the section on educator and school leader engagement, PICCS4NYC has gone through a two-month development process during which school leaders and other stakeholders took part in a series of meetings and webinars to study all aspects of the HCMS prior to signing the MOU. Lastly, the financial and non-financial strategies proposed in the PICCS HCMS are all aligned with best practices identified in research on how to effectively attract, recruit and retain effective educators to work in high-need schools.

B. Educator Evaluation Systems

EVALUATION RUBRIC

Responds to: (1) Each participating LEA has finalized a high-quality evaluation rubric, with at least three performance levels (e.g., highly effective, effective, developing, unsatisfactory), under which educators will be evaluated (2 points).

The PICCS educator evaluation component of the PICCS HCMS is designed to result in every educator—teacher, school leader, other personnel—receiving a rating of “Highly Effective,” “Effective,” “Developing,” or “Ineffective” on an annual summative evaluation. Known as the HEDI rating system, this approach to educator evaluation draws upon different data sources and evaluation approaches, including both student growth measures and observations of professional practice. In this system, data within

each sub-component of the evaluation is converted into a numerical score that is set within the four HEDI ranges. Educators earn scores within the various subcomponents, which are then totaled for a Composite Score that provides them with their Overall HEDI Rating, according to the charts below. Note that the composite rating chart and scoring bands are aligned with New York State’s evaluation program established in compliance with Race to the Top so that the participating charter schools can meet the mandates of both the TIF grant and the New York State Education Department.

Figure 2: HEDI Composite Rating & Score Chart

Rating	Overall Composite Score
Highly Effective	91-100
Effective	75-90
Developing	65-74
Ineffective	0-64

The two main evaluation systems are for teachers and school leaders. For positions such as Aspiring Teachers, Teacher Leaders, Assistant Principals, Guidance Counselors, Librarians, and Media Specialists, the evaluation tools will be adapted in Year 1 to measure their effectiveness appropriate to their specific job responsibilities. However, in all cases, the evaluations will use the HEDI Composite Rating & Score Chart (Figure 2) and at least 40 points will be attributed to Student Growth Measures and 60 points to Professional Practice Measures. Figures 3 and 4 illustrate how the composite rating and score is broken into appropriate sub-components for teachers and school leaders.

Figure 3: Teacher Evaluation Sub-Component Point Assignments/Weights

Total Points	What is Measured
40	Student Growth – Classroom/Cohort
60	<p>Teacher Professional Practice Measures</p> <p>Using the Danielson Framework for Teaching, a trained evaluator will conduct at least two classroom observations and walkthroughs in order to arrive at a summative evaluation score based on the following point allocation:</p> <p>Domain 1 – Planning and Preparation – 10 points</p> <p>Domain 2 – Classroom Environment – 20 points</p> <p>Domain 3 – Instruction – 20 points</p> <p>Domain 4 – Professional Responsibilities – 10 points</p>
100	TOTAL POINTS

Figure 4: Principal Evaluation Sub-Component Point Assignments

Total Points	What is Measured
40	Student Growth – School-Wide
60	<p>Principal Professional Measures</p> <p><i>In-School Reviews of Leadership</i> (35 points)</p> <p>Two announced observations conducted by a trained, independent observer and one unannounced visit conducted by a Board Member (“supervisor”) will be used in a summative evaluation that allocates points according to a rubric based on the key components and processes</p>

	<p>of leadership established by Val-ED.</p> <p><i>Survey of Leadership</i> (25 points)</p> <p>Annual 360 degree blind survey of teachers and Board members to assess the effectiveness of a principal's learning-centered leadership behaviors during the current school year.</p>
100	TOTAL POINTS

STUDENT GROWTH MEASURES

Responds to: Each participating LEA has presented (4 points)—(i) A clear rationale to support its consideration of the level of student growth achieved in differentiating performance levels; and (ii) Evidence, such as current research and best practices, supporting the LEA’s choice of student growth models and demonstrating the rigor and comparability of assessments.

Method & Weight

The method and weight of student growth measures in the educator evaluation system is based upon several considerations:

1. 40 points for student growth is the weight required for the New York State evaluation systems as mandated in the NYSED’s Annual Professional Performance Review.
2. For the TIF-funded PICCS initiatives currently going into Year 3 of their grant period, we have worked closely with the federal program officers and technical assistance providers to craft the evaluation system described here. On July 10, 2012, we received notification from the TIF-3 program officer that the evaluation system was approved, including the allocation of 40 points to student growth.
3. The method as described below allows for measures of student growth specific to grade level and subject area, which provides the most authentic way to correlate student growth data to teacher and school leader effectiveness.

4. All assessments used for student growth measures must meet one of the following criteria: 1) NYS-developed assessments; 2) Third-party commercial assessments; 3) PICCS-wide common assessments (reviewed and approved by national assessment experts prior to implementation). No assessments used for the formal evaluation can be developed and used by a single school.
5. Cut-offs for the scores related to the four rating brackets and the levels within each bracket are equitably distributed within the given bracket and aligned with the overall composite score chart (Figure 2).

Teacher Evaluation – Student Growth (40 points)

Student Achievement Data Source: For each grade level and subject area, the school assigns an appropriate assessment that is implemented to measure “pre” and “post” student achievement.

Growth Targets: At the outset of each school year, teachers will work with their supervisor to establish rigorous growth targets as measured through the “pre-test” and “post-test” on the approved assessment. Teachers will be matched to their student classroom/cohort in the PICCS Data Warehouse at the outset of the school year in order to track progress towards meeting growth targets.

Sub-Component HEDI Rating: The % of students within the teacher’s assigned classroom/cohort that meet their growth targets is assigned a 0-40 score on the HEDI scale (see Figure 5), which in turn corresponds to one of four categories—Highly Effective, Effective, Developing or Ineffective.

Figure 5: Student Growth Rating & Scoring Chart

Highly Effective: 86-100% of students meet their Growth Target.													
Effective: 75% -85% of students meet their Growth Target													
Developing: 65% -74% of students meet their Growth Target.													
Ineffective: 64% or less of students meet their Growth Target.													
CATEGORY	HIGHLY EFFECTIVE			EFFECTIVE			DEVELOPING						
	HEDI PTS	40	38	36	34	32	30	28	26				
% MTG GROWTH TARGET	95-100%	90 - 94%	86 – 89%	83- 85%	79- 82%	75- 78%	70-74%		65-69%				
CATEGORY	INEFFECTIVE												
HEDI PTS	24	22	20	18	16	14	12	10	8	6	4	2	0
% MTG GROWTH TARGET	60-64%	55-59%	50-54%	45-49%	40-44%	35-39%	30-34%	25-29%	20-24%	15-19%	10-14%	5-9%	0 – 4%

Notes to Figure 6:

1. For teachers with more than one assessment measure associated with their cohort of students (e.g. Math and ELA assessments for grades in which the teacher of record instructs both subjects), the average of the two HEDI scores will be used in the overall composite HEDI score chart.

2. For **Special Subject** teachers such as art, music and physical education, schools will select between two approaches. The first approach is to use student growth measures in Math and ELA, not the specific subject area of their instruction. In this approach, special subject teachers are assigned to student cohorts by one of three approaches, determined at the school level: 1) Cohort = All students directly served by the teacher; 2) Cohort = Selection of sample students from all grade levels; 3) Cohort = An established grade-level (K-8) or subject area (9-12) cohort. The second approach is a consortium-wide approach. During the Planning Year, PICCS4NYC will sponsor professional development sessions to establish student learning objectives (growth targets), including rigorous assessments within each special subject area that can be used across the network of schools for Year 2 implementation. The network-wide approach will help ensure a high standard of rigor across all schools.
3. For **Special Education** teachers, the evaluation plan assesses these teachers relative to student growth in Math and ELA. Depending on the model of Special Education utilized in the school, a Special Education teacher will be assigned to a cohort of students by one of the following processes: 1) Cohort = All students with IEPs; 2) Cohort = All students with IEPs to whom the teacher provides direct service; 3) Cohort = All students with IEPs within a grade or set of grade levels. The logic for determining the cohort process is to tie the Special Education teacher to those students that he or she most directly serves.
4. For **Librarians and Guidance Counselors**, the evaluation plans assess these staff members relative to student growth in Math and ELA. The librarian or guidance counselor will be assigned to a cohort of students by one of the following processes:

1) Cohort = Selection of sample students from all grade levels; 2) Cohort = An established grade-level (K-8) or subject area (9-12) cohort.

Principal Evaluation – Student Growth (40 Points)

Student Achievement Data Source: For each grade level and subject area, the school assigns an appropriate assessment that is implemented to measure “pre” and “post” student achievement, as described in the Teacher Evaluation plan (see above).

Growth Targets: As part of the Teacher Evaluation system, teachers must work with their supervisor to establish rigorous Growth Targets as measured through the “pre-test” and “post-test” on the approved assessment (see “Teacher Evaluation,” above). School Leaders will be evaluated according to the percentage of students that meet their Growth Targets across all grade levels and subject areas according to the formula below:

$$\left(\frac{\text{Total \# of students* that meet or exceed their growth target}}{\text{total number of students* tested}} \right) \times 100 = \% \text{ of students that achieved their growth target}$$

**Note that “total # of students” is equivalent to the total number of students tested across all grade levels and subject areas, not individual students. For example, a student may be assessed multiple times (Math, ELA, science, social studies, etc.). The “student” total corresponds with the number of growth targets assessed, not the individual person.*

Sub-Component HEDI Rating: The % of students within the school that meet their growth targets is assigned to a 0-40 score on the HEDI scale for growth (see Figure 5), which in turn corresponds to one of four categories—Highly Effective, Effective, Developing or Ineffective.

PROFESSIONAL PERFORMANCE MEASURES

Responds to: Each participating LEA has made substantial progress in developing a high-quality plan for multiple teacher and principal observations, including identification of the persons, by position and qualifications, who will be

conducting the observations, the observation tool, the events to be observed, the accuracy of raters in using observation tools and the procedures for ensuring a high degree of inter-rater reliability (13 points).

Method & Weight

As described in the following pages, the PICCS HCMS includes a comprehensive approach to measuring professional practice for teachers and principals that utilizes observations, pre- and post-conferences, as well as a survey instrument for principals in order to garner stakeholder input when assessing the quality of school leadership. The tools selected to guide these assessments are nationally-tested tools—The Danielson Framework for Teaching and Val-ED. In Year 1, schools using other comparable tools such as the Marzano Framework will adapt the Professional Performance Measures described in the following pages to the rubrics of the tool. These adaptations will be reviewed by the PICCS staff to ensure alignment with the evaluation system, in particular, and the HCMS, in general, and presented to the federal program officers to garner approval prior to implementation in Year 2.

Teacher Evaluation – Professional Performance Measures (60 points)

Tool – The Danielson Framework for Teaching guides all Professional Performance Measures for teachers. The Danielson Framework measures four domains of teaching (Planning and Preparation; Classroom Environment; Instruction; and Professional Responsibilities) with 22 components measured across the four domains.

Methodology - Using the Danielson Framework for Teaching, a trained evaluator (supervisor) will conduct the following (at a minimum) in order to arrive at a summative evaluation score for the teacher: two classroom observations (one announced and one unannounced); pre-observation and post-observation conferences for the announced observation; post-observation conference for the unannounced observation.

The summative evaluation will provide a rating for the teacher in all 22 components across the 4 Domains according to the Danielson Rating levels of Unsatisfactory, Basic, Proficient and Distinguished. In turn, each of these levels will be converted to a “Quality Point” (0-3) that is used to calculate the teacher’s HEDI score and rating.

HEDI Rating - Note that the four Domains are weighted differently based upon the import of the Domain to the overall evaluation of a teacher’s professional practice. This weighting was determined after a series of planning sessions with charter schools that are currently engaged in the PICCS initiative under prior federal Teacher Incentive Fund grants. The HEDI rating for this sub-component is determined by totaling the HEDI points awarded in each subcomponent as depicted in Figure 6.

Figure 6: Teacher Professional Practice HEDI Ratings

Domain	Scoring Ranges based on Total Points
Domain 1 – 10 points	
Domain 2 – 20 points	<u>Highly Effective</u> : 55 to 60 points.
Domain 3 – 20 points	<u>Effective</u> : 45 to 54 points
<u>Domain 4 – 10 points</u>	<u>Developing</u> : 39 to 44 points
TOTAL POSSIBLE – 60 points	<u>Ineffective</u> : 38 points or less

Principal Evaluation – Professional Performance Measures (60 points)

Tools – The PICCS HCMS uses two sets of tools for the Principal Evaluation of professional practice. First, we have developed rubrics for in-school observations that focus on specific aspects of leadership. These rubrics have been reviewed and approved by a team of national experts in measuring school leader effectiveness.¹⁰ Second, we use

Val-ED (Vanderbilt Assessment of Leadership in Education) to generate data on the effectiveness of a principal as a learning-centered leader.

Methods

1. IN-SCHOOL REVIEWS OF LEADERSHIP (35 points)

The in-school reviews of leadership include two announced observations conducted by a trained, independent observer who uses rubrics developed by CEI-PEA that have been reviewed and approved by national experts in school leader evaluation. One observation focuses on implementation of the Danielson Framework for Teaching; the other focuses on leadership at a group meeting. The reviews also include at least one unannounced visit conducted by a Board Member (“supervisor”) who will produce a narrative summary of his/her visit to be included as part of the data for the Summative Assessment. The Summative Assessment will be conducted in the Spring by the supervisor in consultation with the school leader, using (at a minimum) data from above listed in-school reviews.

HEDI Score – In the Summative Assessment, the school leader will be scored at one of four levels in a series of rubric items linked to the Val-ED core components and key processes of school leadership (which are based on the Interstate School Leaders Licensure Consortium's standards for school leadership). The school leader is provided with a “Quality Point” score (total points on the rubric), which is converted to a HEDI score of 0-35 points that is aligned with the composite HEDI score chart (Figure 2).

2. SURVEY OF LEADERSHIP (25 points)

Data Source: Val-ED (Vanderbilt Assessment of Leadership in Education)

Process: The Val-ED assessment includes a principal self-assessment and survey of teachers and supervisors (Board members). Val-ED provides a total score across all

respondents as well as separately by respondent group. The scores from the teachers are based on the average across all teacher respondents.

HEDI Score: Val-ED provides an Overall Mean Score on a 5-point scale of

1=Ineffective; 2=Minimally Effective; 3=Satisfactorily Effective; 4=Highly Effective; 5=Outstandingly Effective. The Overall Mean Score will then be aligned with one of the four HEDI categories—Highly Effective, Effective, Developing or Ineffective—and a score of 0-25 points. The category cut-offs are based upon a national field trial conducted by Discovery Education that included 300 principals and resulted in 17% of principals at the Ineffective level, 33% at the Developing level, 36% at the Proficient (what we term “Effective”) level, and 14% at the Highly Effective level.¹¹ The conversion from Mean Score to HEDI score is disaggregated for all HEDI scores from 0 to 25, with the following ranges: 4 to 5 Val-ED Mean Score = 23 to 25 HEDI points = Highly Effective; 3.6 to 3.99 Val-ED Mean Score = 19 to 22.5 HEDI points = Effective; 3.3 to 3.59 Val-ED Mean Score = 16 to 18.5 HEDI points = Developing; 0-3.2 Val-ED Mean Score = 0 to 15.9 HEDI points = Ineffective. As with all other conversions, this conversion plan is aligned with the overall composite HEDI score chart (Figure 2).

COMPOSITE SCORING

The scores within the Student Growth (40 points) and Professional Practice Measures (60 points) are totaled to arrive at a composite score of “#” out of 100 total possible points. This composite score places the educator within one of four overall HEDI ratings (see Figure 2). The score and rating are used to determine eligibility for performance-based compensation, professional growth through the differentiated teacher ranks and other

performance management decisions related to the Human Capital Management System described in “A. PICCS HCMS.”

EVALUATOR TRAINING & INTER-RATER RELIABILITY

CEI-PEA, the lead applicant for this grant proposal, facilitates an 8-week training program in the Danielson Framework for Teaching, which leads to certification as a Danielson Observer/Evaluator upon successful completion of an Educational Testing Service-developed and scored final assessment. Certification prepares evaluators to effectively conduct classroom observations, hold pre- and post-conferences, and utilize the observation data as part of a larger evaluation framework. The individuals who conduct the formal evaluations for teachers will engage in this certification program in Year 1 in order to prepare them to effectively implement the evaluation system in Year 2. (Note that Mentor Teachers, as described in “A. PICCS HCMS” also go through the certification process in Year 3 so that they can effectively use the Danielson Framework for their collaborative coaching work.) In order to further ensure inter-rater reliability, CEI-PEA will engage a nationally-certified Danielson trainer to make regular site visits to all of the schools to ensure that their implementation meets the certification standards. For the principal evaluation, CEI-PEA also provides a training program in Val-ED, including an introduction to the key processes and components of school leadership that are measured, the survey instrument, and the summative assessment process and tools. Two of the three observations are conducted by the CEI-PEA expert in principal evaluation, while the third observation is conducted by the “supervisor” for the charter school leader—a representative of the school’s Board of Trustees. During the Planning Year, CEI-PEA will provide training to the Board members in how to conduct an

effective school visit, including selecting the appropriate time, using a principal shadowing protocol, and documenting the visit in a comprehensive and clear narrative. In order to help ensure quality summative assessments resulting from these observations and inter-rater reliability, the CEI-PEA evaluation expert will help facilitate the summative assessment process, which occurs during a meeting where the principal and his/her supervisor (Board member) compare their rubric-based summative assessments to arrive at a final summative assessment that is then converted to a HEDI score and rating.

PRIOR EXPERIENCE IMPLEMENTING EVALUATION SYSTEMS

Responds to: The participating LEA has experience measuring student growth at the classroom level, and has already implemented components of the proposed educator evaluation systems (4 points).

CEI-PEA, the lead applicant, has implemented similar educator evaluation systems in public charter schools in New York City and Buffalo, New York. The external evaluation of these initiatives demonstrates CEI-PEA's effectiveness in facilitating evaluation programs similar in scope and complexity as the one proposed here. In particular, the external evaluator found that over the final three years of implementation of the PICCS initiative launched in 2007 in New York City, the percentage of educators who "agreed" or "strongly agreed" that the evaluation processes helped them assess and improve practice increased by almost 40 percentage points to 67% of all teachers.¹²

Furthermore, as part of the proposal development process, all of the participating schools completed a Gap Analysis in which they shared their own experiences in implementing evaluation programs. Four of the participating schools report no formal evaluation program for educators in their school. However, all schools do use some form of evaluation, the most rigorous ones focusing on regular classroom observations with pre- and post-conferences based on either the Danielson Framework for Teaching or the Marzano Framework. None have evaluation systems that integrate student growth data as

described in the evaluation program proposed here. However, three of the schools do use student growth measures to provide performance-based compensation and, therefore, will be able to use that experience to establish alignment between evaluation and performance compensation. We are confident that with this level of experience and the commitment of the schools to implement the proposed evaluation system, all schools will be able to implement the evaluation system fully in Year 2 and the related PBCS in Year 3.

MEETING THE NEEDS OF ALL STUDENTS

Responds to: In the case of teacher evaluations, the proposed evaluation system (6 points) —(i) Bases the overall evaluation rating for teachers, in significant part, on student growth; (ii) Evaluates the practice of teachers, including general education teachers and teachers of special student populations, in meeting the needs of special student populations, including students with disabilities and English learners;

The design of the PICCS HCMS evaluation process provides educators with an equitable system to measure their performance in meeting the needs of all students, including the needs of special student populations. Note that the method for relating student growth data to educator performance is based in establishing appropriate growth measures for all students—based on their pre-test performance, history of prior performance and other pertinent factors. The educators are evaluated for their ability to support each student in meeting his/her individual growth target (% of students meeting growth targets is used to establish the HEDI score and rating within the sub-component). The obvious issue that emerges is how to ensure that the growth targets established are rigorous and appropriate for every student. PICCS4NYC addresses this in several ways: 1) We provide parameters and training for setting “student learning outcomes” (SLOs) or growth targets that are aligned with the NYSED guidelines for the Annual Professional Performance Reporting system, which is part of the state’s Race to the Top program; 2) All SLOs (growth targets) must be reviewed by the school leader with the teacher to ensure that they are rigorous and appropriate; 3) the school leader’s score in the student growth component is

calculated from the total number of students meeting their SLO/growth targets and, therefore, helps ensure that the school leader will provide the resources and support necessary to help teachers meet those targets. In addition, the professional practice measurements for teachers are tied to the Danielson Framework for Teaching, which emphasizes differentiated instruction to meet the needs of all students.

COLLABORATIVE CULTURE FOCUSED ON CONTINUOUS IMPROVEMENT

Responds to: In the case of principal evaluations, the proposed evaluation system (6 points) –(i) Bases the overall evaluation rating on, in significant part, student growth; and (ii) Evaluates, among other factors, a principal’s practice in--(A) Focusing every teacher, and the school community generally, on student growth; B) Establishing a collaborative school culture focused on continuous improvement; and (C) Supporting the academic needs of special student populations, including students with disabilities and English learners, for example, by creating systems to support successful co-teaching practices, providing resources for research-based intervention services, or similar activities.

As described above, the PICCS HCMS principal evaluation process is directly linked to the teachers’ evaluations in terms of student growth. This establishes a built-in incentive for principals to support teachers and the entire school community in achieving growth for all students. Furthermore, the professional practice portion of the evaluation uses the measures established by Val-ED, which focus on the school leader’s effectiveness in establishing and fostering a collaborative school culture focused on continuous improvement and student growth.

C. Professional Development Systems

TEACHER & PRINCIPAL GROWTH PLANS

Responds to: We will consider the extent to which each participating LEA has a high-quality plan for professional development to help all educators located in high-need schools, listed in response to Requirement 3(a), to improve their effectiveness. In determining the quality of each plan for professional development, we will consider the extent to which the plan describes how the participating LEA will--Use the disaggregated information generated by the proposed educator evaluation systems to identify the professional development needs of individual educators and schools (8 points).

As discussed in “B. Educator Evaluation Systems,” following the annual evaluation process, teachers and principals work with their supervisor to establish a Growth Plan that sets specific professional growth targets for the teacher/school leader for the coming school year. The Growth Plan also commits necessary professional development,

resources and training to support the teacher/school leader in meeting his or her growth targets. As the educator moves through the formative stages of evaluation in the following school year, s/he and the supervisor can re-visit the Growth Plan and make revisions to address emerging issues and needs.

TIMELY, SCHOOL-BASED & JOB-EMBEDDED PD

Responds to: Provide professional development in a timely way (2 points); Provide school-based, job-embedded opportunities for educators to transfer new knowledge into instructional and leadership practices (5 points).

PICCS4NYC will use a Professional Learning Communities (PLC) approach for project implementation, particularly in the area of professional development. A PLC approach is defined by DuFour, DuFour, Eaker and Many as “An ongoing process in which educators work collaboratively in recurring cycles of collective inquiry and action research to achieve better results for the students they serve.”¹³ A PLC is composed of Collaborative Teams whose members work interdependently to achieve common goals for which members are mutually accountable. PLCs focus on learning by doing (action research) and achieving measureable results (continuous assessment). Throughout a school, teachers come together in Collaborative Teams to take up the school-wide goals and create and execute action plans to turn those goals into reality.

Starting in Year 1, PICCS provides extensive training in the PLC approach to school leaders and teachers designated as PLC Coaches and Collaborative Team Leaders. School leaders work with the PICCS PLC Coordinator to develop specific strategies for ensuring sufficient time for teacher collaboration. Such approaches include using common preparation time, parallel scheduling, shared classes, and in-service or faculty meeting time. A great deal of the training for PLC Coaches and Collaborative Team Leaders focuses on the use of meeting protocols that guide the work. This work is informed by the approach described in *The Power of Protocols: An Educator’s Guide to Better Practice*,

Second Edition (McDonald, et al, 2007). Protocols establish norms, expectations, and processes for proceeding through meetings in order to achieve specific outcomes goals.

The purpose of protocols is to help ensure that the time spent in collaboration is focused and effectively used, as time is one of the most precious commodities in public education.

PD TO IMPROVE INSTRUCTIONAL & LEADERSHIP PRACTICES

Responds to: Provide professional development that is likely to improve instructional and leadership practices, and is guided by the professional development needs of individual educators as identified in paragraph (c)(1) of this criterion (20 points).

Content Focus – Active Learning – Coherence

In *Strategic Management of Human Capital in Education*, Allan R. Odden reviews research on effective professional development approaches to identify six structural features of such programs. PICCS4NYC addresses the first three features in the adoption of a PLC approach (described above): 1) School-based, job-embedded and ongoing; 2) High “dosage” or “contact hours” as manifested in continuous, ongoing and long-term professional development; 3) collective participation of teachers from the same school, department or grade level. The other three features address the subject of the professional development—what educators are learning about and doing to implement the professional practices/principles in their classrooms and schools: 1) professional development should be content focused so that teachers are constantly working on the curriculum they will teach; activities should provide teachers with opportunities for active learning such as engaging in meaningful analysis of teaching and learning; 3) activities need to promote coherence in teacher practices by aligning the professional development with other key parts of education such as performance standards, school goals and evaluation. In order to address the key elements of effective professional development, PICCS4NYC focuses on the following areas of professional practice –.

Building Data Cultures to Improve Student Learning

Data is at the heart of the entire PICCS HCMS. Through prior Teacher Incentive Fund grants, CEI-PEA has established a comprehensive PICCS Data Warehouse that we will provide to all of the participating schools in PICCS4NYC. The PICCS Data Warehouse includes the following tools:

- **Data Tracking, Analysis & Reporting Tools.** The Data Warehouse provides comprehensive student records including test scores and demographic data from which school leaders and teachers can run reports and perform detailed analyses of student performance, statistics and other aspects of classroom and school “health”.
- **Curriculum Development & Formative Assessment Tools.** The Data Warehouse provides tools to map curriculum, develop and implement formative assessments benchmarked to the assessments used in the Growth Targets for the evaluation system, and create and maintain individualized learning plans for all students.
- **Communication & Management Tools.** The Data Warehouse provides each school with a secure online portal to facilitate communication and coordination throughout the school, Collaborative Teams, and other pertinent groupings. Educators can share data and resources through a secure library, manage workflows related to collaborative projects through a task manager, discuss issues via a forum, and more.
- **PICCS Social Learning Institute.** In order to optimize the opportunities of web-based social networking and learning, we have developed the PICCS Social Learning Institute. This online learning environment provides educators with “learning paths” on key aspects of the PICCS HCMS, including educator evaluation, building data cultures, habits of mind, implementing the common core, and more.

While the resources of the Data Warehouse are extensive and are continually being refined and further developed to meet the needs of teachers and school leaders, they are useless unless educators know how to use data to guide decision making and practices that lead to improved student outcomes. Therefore, PICCS4NYC will provide extensive professional development to grow “data cultures” at participating schools. Our approach is based on the methodologies and materials documented in Nancy Love’s book *The Data Coach’s Guide to Improving Learning for All Students* (Corwin Press, 2008). In this data approach, Collaborative Teams work together to deconstruct student learning problems and test out solutions through rigorous use of data and reflective dialogue. Starting in Year 1, schools will engage in professional development to help Collaborative Teams learn how to implement the data approach, which includes: building the foundation for data use; identifying a student-learning problem (which requires moving from building basic data literacy to drill-down processes to get to strand, task and item analysis); verifying causes (which includes using formative assessments); generating solutions based on a clear and shared logic model; implementing, monitoring and achieving results.¹⁴ By building teachers’ capacity for effective data use in their curricular and instructional practices, PICCS4NYC will set the foundation for the key data initiatives that schools will undertake as part of the initiative. These include:

- **Mapping the School’s Curriculum** – Using the Curriculum Mapping software in the PICCS Data Warehouse, schools will map their curriculum in a structure and process based on the work of Heidi Hayes Jacobs.¹⁵ Teachers use curriculum templates that display key components of the curriculum—content, skills, assessments, and essential questions—to document what is actually taught in real-time during the school year.

The data is shared across Collaborative Teams, grade level, subject area, and school wide so that teachers across disciplines and content areas can “map” what is transpiring in order to be informed and to revise their own work to help achieve overall curricular alignment.

- **Using Formative Assessments** – The PICCS Data Warehouse provides a tool for building assessments to benchmark student progress towards meeting achievement targets. These formative assessments can be used for targeted and common assessments to help individual teachers and Collaborative Teams gauge student progress throughout the school year. This work is important to the data use approach described above, specifically the tasks of verifying causes and monitoring results. It will also allow educators to monitor their own progress towards meeting the student growth targets in their own evaluation programs.
- **Individualized Learning Plans** - The PICCS HCMS evaluation process requires that educators set growth targets for students across the subject areas. In turn, the PICCS Data Warehouse provides tools to build Individualized Learning Plans (ILPs) for every student to track progress towards meeting the growth targets. The ILP also supports collaborative planning to address gaps in student learning.
- **Peer Review & Publication of Instructional Units** – While teachers will have access to an expansive library of exemplary instructional units and lesson plans through the Curriculum Mapping component of the PICCS Data Warehouse, some of the strongest and most useful curricular materials come from the teachers in the participating schools. Teachers will participate in a Peer Review process in which they document instructional units, share them with a panel of their peers at the school

level and (if passed at the school level) then share at the network level with peer teachers from across the participating schools. Once an instructional unit is passed at the network level, it is deemed “ready for replication” and is published to an online library where other educators can benefit from their work.

As described above, the training, services and resources delivered are content focused (focused on the curriculum they will teach), promotes active learning and meaningful analysis of teaching and learning, and is coherent in that it is aligned with other key parts of education such as performance standards, evaluation, and school goals.

Focusing Principals on Instructional Leadership

While having sufficient time to focus on instructional leadership is a challenge for any principal, the situation is more difficult for charter school principals, who are expected to oversee elements of school management and operations typically handled by a district superintendent and staff. One of the key aspects of PICCS4NYC professional development for school leaders is to help them revise their staffing structures, resource management and time management in order to allow them to focus on instructional leadership. The first step in this approach is to implement the differentiated teaching levels framework described in “A. PICCS HCMS” in which teachers are able to take on leadership roles at the school, including out-of-class roles when they reach the Teacher Leader level. This allows for genuine distributed leadership in the school.

In addition to building the capacity of teachers and other staff to take on leadership functions at the school, PICCS4NYC will provide school leaders with a three-year professional development plan to help them shift their focus from school management tasks to instructional tasks. We will borrow from the research-based approach established

by the National SAM Innovation Project (NSIP)¹⁶ to help principals gain instructional leadership time. In an evaluation of NSIP, principals typically gained 27 extra days of instructional leadership time in their first year and by the third year, they gained 55 days. Once school leaders gain the time to focus on instructional leadership, PICCS4NYC is able to help them take the teacher evaluation tools—classroom observations, setting and tracking student learning outcomes, etc.—and turn them into “living” tools to guide instructional leadership. PICCS4NYC provides in-school support for principals as they learn to conduct effective classroom observations, hold pre- and post-observation conferences with teachers, set growth targets, help Collaborative Teams work through the data use approach described above, as well as other instructional leadership practices.

Effectiveness of PICCS Professional Development

Since 2007, the PICCS model has been implemented in 23 charter schools in New York City and Buffalo. The external evaluation of these prior implementations shows that teachers find the professional development valuable to their teaching. Some key findings from the evaluation of the 10 schools that participated in the original PICCS from 2007 to 2012 include the following:

- The percentage of teachers reporting that PICCS PD filled a gap in their knowledge of teaching methods increased from 49% in 2009 to 86% by 2012.
- The percentage of teachers who cited PICCS PD as providing them with new techniques for teaching reached 89% by 2012.
- The percentage of teachers reporting “more implementation” of high-quality instructional practices increased in all areas over the final three years of the program (2010 to 2012). Particularly dramatic increases were found in: the creation of

curricular maps (from no activity reported in 2010 when the work was first initiated to 38% implementing in 2011 to 60% in 2012); selecting and adapting curricular and instructional material that meet student needs (52% in 2010 and 2011 to 76% in 2012); differentiating instruction in response to differences in student readiness and needs (55% in 2010 to 75% in 2012); using teaching strategies that encourage higher levels of thinking such as questioning strategies, discovery learning, discussion techniques, active inquiry (54% in 2010 to 75% in 2012).

- The area of using formative assessment to improve instructional practices showed particularly dramatic improvements. Tracking student progress using multiple assessment methods (formal and informal) rose from minimal practices reported in 2010 to 70% reporting implementation in 2012; using data and assessments to inform classroom practice and instruction rose from 53% in 2010 to 74% in 2012.
- Finally, teachers' own professional evaluation practices improved. In 2010 only 48% of teachers reported assessing and improving practice through self-reflection and self-assessment, while 67% reported doing so in 2012.

D. Involvement of Educators

ENGAGEMENT IN PROPOSAL DEVELOPMENT

Responds to: We will consider the quality of educator involvement in the development and implementation of the proposed PBCS and educator evaluation systems described in the application. In determining the quality of such involvement, we will consider the extent to which—(1) The application contains evidence that educator involvement in the design of the PBCS and the educator evaluation systems has been extensive and will continue to be extensive during the grant period (10 points).

Following the publication of the draft Notice of Final Priorities for TIF Round 4, CEI-PEA held a series of information sessions, including a presentation in Manhattan attended by charter school representatives from across NYC. At these presentations, CEI-PEA discussed TIF and the proposed priorities, shared current research and information about

HCMS models and outlined its recommended approach to designing an effective HCMS framework for a consortium of charter school LEAs. Each presentation included considerable discussion about the current circumstances and needs of the participating schools, with particular emphasis on each school’s evaluation, compensation and data management and analysis systems. The schools comprising the PICCS4NYC consortium participated in these presentations.

Following the publication of the TIF Round 4 NIA, CEI-PEA facilitated a series of eight three-hour interactive webinars in which consortium school leaders, teachers and trustees discussed elements of the proposed initiative. Webinar topics included overview of TIF and the PICCS HCMS model, including teacher evaluation, school leader evaluation and performance-based compensation, as well as tools to support implementation of the HCMS such as the PICCS data warehouse and data team training, PLCs, and support for integrating the HCMS into each school. Also, webinar participants completed post-webinar surveys in which they provided feedback, confirmed their understanding of the webinar content, asked questions and shared ideas. This input was critical in designing the proposed PICCS HCMS.

Each consortium school also completed a Gap Analysis survey. In this survey, each school provided a “snapshot view” of its current status and future plans regarding enrollment, staffing, teacher evaluation, school leader evaluation, performance-based compensation, teacher and school leader preparation, recruitment and placement, induction and mentoring, professional development, teacher and school leader performance management, and career ladders and lattices. Gap Analysis data was helpful

in framing discussions about the HCMS and in ensuring that the HCMS framework is appropriate for each consortium school.

ENGAGEMENT IN IMPLEMENTATION

Input and participation of consortium schools—from the Board of Trustees to school leaders to teachers and other school stakeholders—will continue throughout the implementation of the project. During the first year of the project (planning year), each school will establish a committee (or expand an existing committee) to ensure the involvement of school stakeholders in project planning. In addition, PICCS4NYC will be a standing agenda item at all regular board meetings, and the board will play an active role in school leader evaluation and in establishing policies that support project initiatives. The school leader and at least one additional person from each consortium school will be members of the Program Advisory Team (PAT) which meets monthly to help coordinate project activities and to raise and discuss issues regarding project implementation. Teachers at each school will take on—and be compensated for—a variety of project leadership roles, including site-based PLC coaches and data coordinators, and teachers throughout each school will engage in project planning and professional development initiatives. Teachers and other school stakeholders will work with the project’s site-based PICCS specialists to implement project activities and ensure ongoing input in project implementation. Also, the project will implement a comprehensive school-based and consortium-wide communications program to ensure that teachers and other school stakeholders are aware of and engaged in project activities.

SUPPORT FOR THE PROPOSED HCMS, PBCS AND EVALUATION SYSTEM

Responds to: The application contains evidence that educators support the elements of the proposed PBCS and the educator evaluation systems described in the application (25 points).

Educators at each participating school—from Trustees to school leaders to teachers—have demonstrated their support of the proposed PICCS HCMS, including the PBCS framework and educator evaluation processes. An early indicator of educator support was the positive response and continued participation by school leaders, trustees and teachers in the above-described interactive webinars. The webinars were presented live, and recordings of the webinars were posted online, along with the accompanying PowerPoint presentations. Representatives from all consortium schools participated in every webinar and/or viewed the webinar recordings. Following each webinar, participants completed a survey, which asked, among other things, whether they understood the webinar content and whether the information covered or resources discussed in the webinar would be useful or valuable in their school. Between webinars, participants communicated with trustees, teachers and other stakeholders at their respective schools and, based on feedback, determined whether or not to remain in the consortium. Several schools that were initially interested in participating in the project determined that they were unable to meet the TIF and/or HCMS requirements and dropped out. Other schools engaged in dialogue with CEI-PEA to address specific concerns—e.g. adapting the evaluation system to accommodate a Marzano-based evaluation model along with the originally-designed Danielson-based model. All schools that remained in the consortium secured school-wide support of the HCMS, including the PBCS and evaluation framework. At the Board of Trustees level, evidence of support includes: (a) the MOU is signed by a Trustee of each school, as representative of the entire board; (b) an MOU commitment that a PICCS4NYC report will be a standing agenda item at each regular board meeting (in some cases, this required reporting to and approval of the entire board); (c) trustee

participation in the above-referenced presentations and webinars; (d) a commitment that board members of each school will work with the school’s site-based planning committee, the school leader and the school’s site-based PICCS specialist to support implementation of the HCMS and project activities; and (e) a commitment to establishing new school policies and/or modifying existing policies to support PICCS4NYC and establishment of the HMCS.

At the school leader level, evidence of support includes: (a) the attached MOU is signed by the school leader of each school and, accordingly, expresses the commitment of the school leader to implementing the project—specifically, “Under leadership of the School Leader—and with support of the Board of Trustees—each charter school LEA will be fully committed to implementing the PICCS4NYC program in the school”; (b) each school leader participated in the above-described presentations, shared information about the presentation with the school community and, based largely on such information, decided to join the consortium and commit to implementing the project; (c) each school leader participated in the above-described webinars, and each school leader expressed support for the project in the post-webinar survey; and (d) each school leader oversaw the process of completing the Gap Analysis, which required exhaustive analysis of the school’s current status regarding multiple elements of the HCMS.

There is evidence of support at the teacher level, as well. None of the charter schools in the consortium are “union schools,” so there are no collective bargaining agreements governing evaluation, compensation and other elements of the HCMS. This provides for an environment in which teacher support, collaboration and participation in the process of reviewing and revising elements of the HCMS at their respective schools can be done

without voting or other formal procedures. Teachers participated in the presentations and in the webinars regarding teacher evaluation, performance-based compensation, the data warehouse and data teams, PLCs, career lattice training and professional development. Survey responses were positive, and comments during the webinar indicated that teachers were supportive. Teacher support will be further evidenced by their ongoing participation in project planning and in implementing all parts of the process, including project planning, induction, mentoring, site-based leadership, evaluation, professional development, PLCs, peer review, use of the data warehouse and participation in data-teams. Teachers will participate in school and consortium-wide decision-making through the site-based committees that design and help implement the project and the HCMS at each school and in the Project Advisory Team.

E. Project Management

PROJECT MANAGEMENT TEAM

Responds to: We will consider the quality of the management plan of the proposed project. In determining the quality of the management plan, we will consider the extent to which the management plan—(1) Clearly identifies and defines the roles and responsibilities of key personnel (3 points).

Primary responsibility for managing PICCS4NYC belongs to a CEI-PEA-based Project Management Team (PMT) comprising a Project Director, a Deputy Director, an Operations, Finance & PBCS Specialist (OFP Specialist), a Finance Assistant and a Program Assistant. As discussed later, the PMT will be supported in implementing the project by a cadre of Specialists and Coordinators who will provide consortium-wide support, as well as direct services on-site at schools.

Project Director Frank San Felice will have executive oversight of all project activities and will coordinate the work of project staff, partners, consultants and vendors. He will: oversee project planning and implementation of the HMCS; facilitate PAT meetings;

oversee hiring of project staff, consultants and vendors; and interact directly with the U.S. Department of Education. Mr. San Felice has more than 38 years of experience in K-12 education as a teacher, a principal, an Assistant Superintendent for a multi-school collective (BOCES) and a consultant to and board member of charter schools. He is Co-Director of the TIF Round 2-funded PICCS project (which will conclude before the proposed project begins) and Co-Director of the TIF Round 3-funded PICCS-NYC and PICCS-Buffalo projects.

Under the direction of Mr. San Felice, day-to-day management of project activities will be done by Deputy Director Carter Clawson. Ms. Clawson will oversee the work of project Specialists and Coordinators and work with each school to support school-based planning and the design and implementation of evaluation systems. She will support schools, project staff and consultants in developing and implementing project-wide and school-based communications plans. Ms. Clawson has extensive experience managing TIF-funded projects serving charter schools. She is currently Deputy Director of PICCS-NYC and PICCS-Buffalo.

The OFP Specialist will report to Mr. San Felice and be responsible for financial oversight of the project, including consultation regarding design of each school's PBCS, review and verification of evaluation results and PBCS compensation calculations, interaction with Data Engineers and distribution of grant funds to schools for use as performance-based compensation. She or he will also be responsible for managing contracts, for interacting with CEI-PEA's business office and for project-related financial reporting. In selecting the OFP specialist, CEI-PEA will expect at least the following qualifications: a) MBA preferred but at least a BA/BS degree in accounting, business or a

related field; b) experience in financial management at a charter school or entity that works with charter schools; c) experience managing financial, verification and reporting aspects of a PBCS; d) knowledge of the elements of a HCMS; and e) knowledge of federal grant management and reporting requirements.

The Finance Assistant will provide support in managing financial and accounting aspects of the project. He or she will be a certified accountant with experience in grants management. The Program Assistant will schedule and coordinate logistics for webinars, professional development events, as well as school-based technical assistance and supports. She or he will maintain the official calendar and schedule of project events and will be responsible for communicating with Site-based Specialists and others to ensure smooth and effective delivery of professional development and other services at each school. She or he will also provide program and administrative support, as needed, to the Deputy Director.

HUMAN RESOURCE ALLOCATION

Responds to: Allocates sufficient human resources to complete project tasks (5 points).

PICCS4NYC allocates project-affiliated and school-based human resources to ensure effective implementation of the project. At the heart of PICCS4NYC is coordination between project-wide and school-based elements with the goal of building capacity at each school for sustainability and growth of the HCMS, evaluator systems and PBCS. Implementation of PICCC4NYC will be supported by a team of Specialists and Coordinators who will work collectively with one another and independently with school leaders, trustees, teachers and other stakeholders. These Specialists and Coordinators are:

- **Site-based Specialists**—Each Site-based Specialist will be assigned to work at 2-to-3 specific schools, where they will build project awareness and engagement among

stakeholders, support project staff and consultants in delivering site-based services and work with teachers and school leaders to facilitate project activities.

- **Educator Evaluation Specialist**—This Specialist will have expertise in student growth measures, evaluating teachers using the Danielson Framework and evaluating school leaders using Val-ED. She or he will advise the Site-based Specialist and support each school in implementing the evaluation processes
- **Data Warehouse Coordinator**—This Coordinator will support stakeholders at each school in using the data warehouse, including delivering professional development and on-site support to build capacity at each school to use the warehouse. She or he will also interact with the Data Engineers, vendors and consultants who design, build and update the warehouse.
- **Data Use Coordinator**—This Coordinator will work with the school leader, teachers, Data Coaches and Data Teams at each school to support effective implementation of the PICCS4NYC approach to using data, including supporting schools in developing ILPs and in use of formative assessment, curriculum mapping and data analysis technologies to advance the work of the Collaborative Teams.
- **Lead PLC Coach**—The Lead PLC Coach will work with school-based PLC Coaches, teachers and school leaders to establish and develop PLCs and guide the work of Collaborative Teams.
- **Social Learning Specialist**—This Specialist will work with schools to utilize tools within the web-based PICCS Social Learning Institute to sustain ongoing, peer-supported professional growth and development.

OBJECTIVES & PERFORMANCE MEASURES

Responds to: Includes measurable project objectives and performance measures (5 points).

PICCS4NYC will track and report on all four of the GPRA measures indicated in the NIA. We will also establish the proposed HCMS by achieving specific Objectives and Performance Targets related to a single Goal in each of the following areas: 1) establishing the PICCS HCMS at all schools; 2) establishing salary-based PBCSs based on effective evaluation; 3) improving teacher effectiveness; 4) improving school leader effectiveness; and 5) improving student performance and growth outcomes.

<p><u>GOAL 1</u> - Create a comprehensive HCMS emphasizing effective evaluation at each consortium school.</p>
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Objective 1—*Develop a comprehensive HCMS for each school based on the PICCS HCMS framework.*

Objective 2—*Establish and implement effective teacher and school leader evaluation systems at each consortium school.*

Objective 3—*Implement the HCMS, with emphasis on effective teacher and school leader evaluation and the PBCS, at each consortium school. All schools will implement the teacher and school leader evaluation by Year 2 and the PBCS by Year 3.*

Objective 4—*Integrate the HCMS effectively into the structure and culture of each consortium school.*

Performance Targets related to Goal 1 include: a) All school leaders and at least one teacher from each school will engage in project planning as members of the PAT; b) Each school will develop a site-based implementation plan focusing on each element of the HCMS; c) All school leaders will participate in professional development to support implementation of the HCMS; d) All school leaders and at least three teachers at each

school will engage in evaluator training and become certified in the Danielson Framework each year; e) At least 1 trustee at each school will be trained to conduct school visits and summative evaluation of school leaders; f) Each school will implement a teacher and school leader evaluation system; f) Teacher “leadership” positions will be created at each school g) PLC and Data Coaches will be trained and will implement PLCs and data initiatives at each school starting in Year 2 and for all subsequent years; h) schools will progress through the five stages of sustainability (see F. Sustainability) as documented in the balanced scorecard maintained by an external evaluator (see “Project Evaluation,” below).

GOAL 2 - Establish a salary-based PBCS based on effective teacher and school leader evaluation at each consortium school.

Objective 1— *Develop and implement a PBCS based on annual salary increases.*

Objective 2— *Establish a system at each school for providing additional performance-based compensation to teachers that effectively take on additional leadership roles.*

Objective 3— *Integrate the PBCS into the structure and culture of each school.*

Performance Targets related to Goal 2 include implementation at each school of: a) Evaluation systems for teachers and school leaders; b) A PBCS for core salary teacher compensation based on HEDI measures in annual evaluations; c) A PBCS for core salary school leader compensation based on HEDI measures in annual evaluations; d) A PBCS to reward teachers that effectively take on additional leadership roles.

Goal 3 - Improve teacher effectiveness at each consortium school.

Objective 1— *Align professional development with evaluation data to build on teacher strengths and address teacher needs.*

Objective 2— *Improve the capacity of consortium teachers to use data effectively.*

Objective 3—*Increase the percentage of “effective” teachers.*

Objective 4— *Increase the percentage of “highly effective” teachers.*

Performance Targets related to Goal 3 include that each year following implementation of the evaluation system: a) Every teacher at consortium schools will develop a Growth Plan and will review and modify the plan at least annually; b) Each school will tailor professional development to address Growth Plan targets; c) Every teacher at consortium schools will access the data warehouse, data-related technology and professional development and increase measurably the degree to which data use is part of instructional decision-making; d) At least 75% of teachers at consortium schools will be rated “effective” or higher in annual evaluations each year; and e) At least 60% of teachers rated “ineffective” or “developing” in any given year will be rated “effective” or “highly effective” in the subsequent year’s evaluation.

Goal 4 - Improve school leader effectiveness at each consortium school.

Objective 1— *Provide professional development tailored to address school leader needs.*

Objective 2—*Increase the percentage of “highly effective” school leaders.*

Objective 3—*Increase the amount of time that school leaders devote to instructional improvement of teachers.*

Performance Targets related to Goal 4 include: a) The NSIP program to increase school leader time spent on instructional leadership will be implemented in all consortium schools; b) Each school leader will gain at least 25 extra days of instructional leadership time in the first year of implementing NSIP and at least 50 days by the end of the third year; c) Each school leader will, by the last year of the project, spend at least 70% of time

in activities related to improving instruction (as compared to the 30% national mean); d)

At least 75% of principals at consortium schools will be rated “effective” or higher in annual evaluations each year; and e) At least 60% of principals rated “ineffective” or “developing” in any given year will be rated “effective” or “highly effective” in the subsequent year’s evaluation.

Goal 5 - Improved student performance and growth at each consortium school.

Objective 1— *Project initiatives will yield positive student attainment outcomes*

Objective 2—*Project initiatives will yield positive student growth outcomes*

Objective 3—*Student attainment and growth outcomes will align to demonstrate rigor in the evaluation processes.*

Performance Targets related to Goal 5 include: a) For grades and subjects with state exams, at least 75% of students will score “proficient” or better each year after Year 2; b) For grades and subjects not covered by state exams, at least 75% of students will score “proficient” or better in SLO measures each year after Year 2; c) The percentage of students scoring “proficient” or better at consortium schools will increase each year following Year 2; d) The percentage of students meeting student growth targets will increase annually following the first year of evaluation implementation (Year 2) with at least 75% of students meeting their Growth Targets by Year 3; e) The percentages of students meeting proficiency (attainment) and growth targets will be aligned by Year 3.

PROJECT EVALUATION

Responds to: Includes an effective project evaluation plan (5 points).

CEI-PEA will contract with an independent third-party organization to design and conduct a project evaluation. The evaluator will provide *formative* and *summative* evaluation information on each of the project’s goals to guide strategic decision-making. The

formative evaluation will furnish objective and systematic data to project staff on planning, developing and implementing the project. It will document the scope and quality of project activities. The evaluator will seek to gauge each school's progress toward implementing the elements of PICCS4NYC so that project staff can identify areas where additional support might be needed. The *summative evaluation* will examine the impact of the project on educator practices and student outcomes. It will assess the coherence of the HCMS—i.e. the extent to which schools can align human capital decisions to improve educator effectiveness and student learning. The following features will be prominent in the summative design: (a) a linkage study that explores the relationship among context, implementation, and outcome variables; and (b) a balanced scorecard for tracking change in individual schools, consisting of multiple indicators such as student performance and HCMS alignment, which can be used to rank schools and identify best practices for broad dissemination.

The evaluator will use rigorous research methods to conduct the formative and summative evaluations, including a blend of quantitative and qualitative data collection procedures. Also, a Self-Assessment Tool will be developed for each Site-based Specialist to help schools to identify strengths and gaps in implementation and provide feedback about progress and possible interventions for project improvement. Data collection methods include document review, site visits, stakeholder interviews, educator surveys and reviews of the Self-Assessment Tool data. Research questions will address issues of introduction, reception and fidelity of implementation of PICCS4NYC in the participating schools, the impact of professional development on teacher and school leader use of effective practices, contextual factors that promote successful implementation, challenges

and obstacles schools confront during implementation and how they overcome them, stakeholder satisfaction with PICCS4NYC, on-the-ground use of educator evaluation data by schools as they implement the HCMS, impact of PICCS4NYC on student outcomes, and sustainability of the model.

IMPLEMENTATION TIMELINE

Responds to: Specifies realistic and achievable timelines for: (i) Implementing the components of the HCMS, PBCS, and educator evaluation systems, including any proposal to phase in schools or educators (8 points).

In **Year 1**, the focus will be on building understanding of the PICCS HCMS among the leaders of each school, establishing evaluation systems, identifying PBCS leadership positions and providing professional development. Each school will develop a site-based implementation plan aligned with the HCMS framework. Each school will: a) establish differentiated teaching levels and determine the amounts of performance-based salary increases tied to annual evaluations; b) design its educator evaluation processes, based on the project-wide framework; c) work with its Board to establish policies and practices to support the HCMS; and d) communicate with the charter authorizing agency, as necessary, to obtain consent for necessary changes to the charter. Initial Data and PLC Coaches will be selected and PBCS awards will be made based on evaluations of teacher effectiveness in these leadership roles. Each school will also introduce NSIP (principal training to increase time on instructional leadership). Professional development in Year 1 will include: a) training for Danielson certification and proficiency in Val-ED and the evaluation framework for teachers, school leaders and trustees; b) professional development to support building data cultures; and c) training and support to PLC Coaches, Data Coaches and other teachers who take on leadership opportunities.

In **Year 2**, the focus will be on implementing evaluation systems, developing the PBCS for core salary compensation and leadership positions, integrating the Data Warehouse

and the project’s approach to using data into the culture of each school and providing professional development. Each school will implement its evaluation system, refine its PBCS salary increase structure and communicate the PBCS to its staff and school community. Each school will continue to integrate NSIP into its operations and culture. Training will be provided to Data Coaches and PLC Coaches. At the end of Year 2, each school will run a “mock” PBCS salary increase report to identify and correct any errors or gaps in its PBCS.

In **Year 3-to-5**, the focus will be on implementing a PBCS in each school (starting in Year 3), creating and supporting data cultures and PLCs, initiating peer review of instructional units and identifying and training mentor teachers. In Year 3, schools will use evaluation data to award PBCS salary increases. Schools will also begin engaging Aspiring Teachers and during the summer between Years 3 and 4, mentor teachers will be matched with novice teachers and engage in an orientation program. In Year 4, the project will build on the data cultures, collaborative teams and peer review initiated in Year 3, and will launch teacher induction and mentoring initiatives at each school. In Year 5, the project will focus on sustainability and documenting best practices.

PLAN TO COMPLETE TASKS & ACHIEVE OBJECTIVES

Responds to: Specifies realistic and achievable timelines for: (ii) Successfully completing project tasks and achieving objectives (4 points).

Year 1: Hiring of project staff will occur in the first 60 days. Site-based Specialists will participate in training and begin working on-site at schools in the first 90 days. Planning will occur during PAT meetings and at school sites, facilitated by the Project Director, Deputy Director and Site-based Specialists, beginning in the first 90 days. The data warehouse will be established at the schools in the first 120 days, and training regarding the project’s data technologies and approach to using data will commence within the first

six months. Training of School Leaders in all aspects of PICCS4NYC will begin in Year 1 and continue throughout the project. Site-based implementation plans will be created for all schools during Year 1. Evaluator training will be provided to school leaders, trustees and teachers beginning in the first 180 days. Evaluation systems will be developed at all schools during Year 1. Leadership opportunities for teachers will be established and initial Data and PLC Coaches will be selected in the first 6 months, and training of Data and PLC Coaches will begin immediately thereafter.

Year 2: Project planning and monthly PAT meetings will continue. The evaluation system will be implemented at the beginning of Year 2. Planning and development of the PBCS at all schools will continue through Year 2, with a “test run” at the end of the year. Each school will continue to integrate NSIP into its operations and culture. Data and PLC Coaches will continue to be trained and will work with teachers and Site-based Specialists to implement PLCs and peer review and data initiatives.

Years 3-to-5: The full PBCS will be implemented at each school in Year 3. Project planning and site-based activities will continue. Teacher induction and mentoring activities will begin at the beginning of Year 4, following summer orientation. Project review and identification of best practices will occur in Year 5.

F. Sustainability

SUFFICIENT RESOURCES FOR IMPLEMENTATION

Responds to: We will consider the quality of the plan to sustain the proposed project. In determining the quality of the sustainability plan, we will consider the extent to which the sustainability plan—(1) Identifies and commits sufficient non-TIF resources, financial and nonfinancial, to support the PBCS and educator evaluation systems during and after the grant period (10 points).

Since 2007, CEI-PEA (lead applicant) has been leading TIF-funded programs with independent charter schools in New York City and Buffalo, New York. Through these projects, we have learned how to measure the depth and scope of resources necessary for

independent charter schools to implement the kind of comprehensive program described in this proposal. We used this knowledge to design the Gap Analysis, which provided us with the following information to guide resource allocation:

- **Staff eligible for PBCS** – As listed in the budget narrative, we gathered information for all staff eligible for PBCS for all five years of the grant period. Note that all of the schools are in a period of growth, so the budgets reflect the rising number of eligible staff across the five years.
- **New school staff positions to support HCMS** – As listed in the budget narrative, we have budgeted for schools to hire Aspiring Teachers, as described in the HCMS model, starting in Year 3 of the grant. We have also budgeted for at least two annual leadership opportunities for teachers (Data Coach and PLC Coach).
- **Per-pupil allocations for new assessments to be used in evaluation process** – The evaluation process proposed here requires that schools implement assessments for all grade levels and subject areas. In some cases, this will require schools to purchase third-party assessments not currently included in their school budgets. Therefore, we have budgeted for the addition of these assessments during the grant period.
- **School-based specialists for implementation** – PICCS will assign a “field person” to each school whose job is to focus solely on school-level implementation. This person will be an expert in all aspects of the PICCS HCMS and can ensure that schools are able to build capacity over the five years to fully implement the initiative.
- **Specialists in all aspects of the PICCS HCMS** – As reflected in the PMT and further detailed in the budget narrative, we plan to engage national experts in all aspects of the HCMS—teacher and school leader evaluation, planning and

implementing PBCS in sustainable manners, growing PLCs and data cultures at schools, etc.—to work directly with the schools in building their capacity in these areas. For the PBCS, this includes direct support in modifying their budgeting system to support the salary-based PBCS.

- **Schools take over costs of PBCS during the grant period** – As reflected in the budget narrative, schools take over the costs related to the PBCS during the grant period such that by the sixth year (post-grant period), they will be prepared to assume 100% of the costs of sustaining the PBCS. The schools will begin implementing the PBCS fully in Year 3, and the percent of support for the PBCS begins to shift in that year: Year 3 – 90% TIF grant funds and 10% school funds; Year 4 – 75% TIF grant funds and 25% school funds; Year 5 – 50% TIF grant funds and 50% school funds; Year 6 (post-grant period begins) 100% school funds.

LIKELINESS FOR IMPLEMENTATION & SUSTAINABILITY

Responds to: Is likely to be implemented and, if implemented, will result in a sustained PBCS and educator evaluation systems after the grant period ends (10 points).

CEI-PEA (lead applicant) facilitated an extremely rigorous pre-proposal development process with potential schools in order to make absolutely clear what the requirements are for implementation (see “D. Involvement of Educators” for details). We began with more than 20 schools expressing interest in the opportunity. After the initial information sessions, 9 schools engaged in the webinar series. Three of these schools could not secure sign-off from their Board of Trustees on participation and left the consortium. Ultimately six of the nine schools are now included in the proposed initiative. While we would have liked to have been able to bring the initiative to all of the originally interested schools, we have learned through prior implementations of TIF-funded programs that it is imperative that schools fully understand and secure formal support from all stakeholders prior to

entering the partnership. Thus, we are extremely confident that the schools in the proposed partnership will be able to fully implement the HCMS, including the PBCS and evaluation processes. This is documented in the signed MOU included in the appendices. We would like to note as well that none of these schools are unionized and, therefore, the sign-off of the school leaders and Board of Trustees represents all entities with decision-making power over the policies and practices for the schools.

The implementation timeline helps ensure that schools have all of the resources and capacity necessary to sustain the HCMS following the grant period. As part of the external evaluation described in “E. Project Management,” the evaluators will maintain a “balanced scorecard” for each school to track the level of implementation related to the following stages towards sustainability:

Pre-initiation Stage - The school has not yet begun to address the proposed initiative.

Initiation Stage - The school has made an effort to address the PICCS HCMS, but the effort has not yet begun to impact a critical mass of staff members. (Year 1)

Implementation Stage - A critical mass of staff members is participating in implementing the PICCS HCMS, but many approach the task with a sense of compliance rather than commitment. There is some uncertainty regarding what needs to be done and why it should be done. (Years 2-3)

Developing Stage - Structures are being altered to support the changes, and resources are being devoted to moving them forward. Members are becoming more receptive to the PICCS HCMS because they have experienced some of its benefits. The focus has shifted from “Why are we doing this?” to “How can we do this more effectively?” (Years 3-4)

Sustaining Stage - The PICCS HCMS is deeply embedded in the culture of the school. It is a driving force in the daily work of staff. It is deeply internalized, and staff would resist attempts to discontinue it. (Year 5)

Based on our experience with prior TIF-funded programs, we anticipate that schools will move through these stages at varying rates, but maintain the goal that all schools will meet the Sustaining Stage by the close of the grant period. Again, the external evaluation will provide us with the data necessary to track this progress and make course corrections as necessary. Based on the success of prior TIF-funded programs led by CEI-PEA, we expect to meet the goals around sustainability. All schools in the TIF-funded project that started in 2007 and ended this year have PBCSs in place that are locally-funded. As described in “C. Professional Development,” the external evaluation for these schools has shown dramatic improvements in professional practice, particularly in the area of using data to improve instruction. While data on student outcomes for the final year of that initiative is not yet available, Year 4 data showed gains in student outcomes in both English language arts and Math for all grades (on NYS assessments). The average scale score for all tested grades in ELA increased from 661 before PICCS to 666 after PICCS implementation, which translates to a 5-point gain (the average gain in elementary grades was higher at 7 points). The average scale score for all tested grades in Math increased from 661 before PICCS to 686 after PICCS implementation, which translates to an average gain of 25 points.

Endnotes/Bibliography

¹ Heneman, Herbert G., III, and Anthony T. Milanowski. *Assessing Human Resource Alignment: The Foundation for Building Total Teacher Quality Improvement*. Madison, Wis.: University of Wisconsin, Wisconsin Center for Education Research, Consortium for Policy Research in Education, 2007.

² Odden, Allan. *Strategic Management of Human Capital in Education*. New York: Routledge, 2011.

³ The framework for the differentiated teacher ranks is informed, in part, by the Secretary of Education’s RESPECT initiative. Through this initiative, 16 Teacher Ambassador Fellows (active classroom teachers who served as temporary ambassadors for the U.S. Department of Education) held over 200 roundtable discussions with thousands of teachers from across the country about what it would take to transform teaching into one of America’s most valued professions. One of the key components was providing “career pathways and professional advancement” for teachers. See:

<http://www.ed.gov/teaching/national-conversation/vision/section-vi-career-pathways-and-professional-advancement>

⁴ Auguste, Kihn and Miller, *Closing the talent gap: Attracting and retaining top-third graduates to careers in teaching*, McKinsey & Company, 2010.

⁵ Wood, Ann L and Randi Nevins Stanulis, “Quality Teacher Induction: ‘Fourth-Wave (1997-2006) Induction Programs,” *The New Educator*, 5, 2009.

⁶ Dunne, Kathy and Susan Villani, *Mentoring New Teachers through Collaborative Coaching*, WestEd, 2007.

⁷ <http://www.ed.gov/teaching/national-conversation/vision/section-vi-career-pathways-and-professional-advancement>

⁸ Odden, Allan R., Anthony Milanowski and Steven Kimball. “Organizing to Implement Strategic Human Capital Management in Education,” in *Strategic Management of Human Capital in Education*, Allan Odden, Ed. New York: Routledge, 2011.

⁹ “Independent Charter Schools” refers to schools not affiliated with a charter management organization or educational management organization

¹⁰ The team of experts was drawn from technical assistance providers to the existing TIF-funded programs and included Dr. Anthony Milanowski, formerly Assistant Scientist with the Consortium for Policy Research in Education and a Senior Faculty Fellow with the Department of Educational Leadership and Policy Analysis at the University of Wisconsin-Madison.

¹¹ See <http://usny.nysed.gov/rttt/teachers-leaders/practicrubrics/> for a link to the Val-ED conversion to HEDI process designed by Discovery Education, based on the national study of 300 principals.

¹² External evaluation conducted by Measurement Inc. Cited data provided in formative assessment report and can be verified by contacting Tom Kelsh at Measurement Inc.

¹³ DuFour, Richard, Rebecca DuFour, Robert Eaker, Thomas Many. *Learning by Doing: A Handbook for Professional Learning Communities at Work, Second Edition*. Solution Tree, 2010.

¹⁴ See Love, Nancy. *The Data Coach’s Guide to Improving Learning for All Students*, Corwin Press, 2008.

¹⁵ See *Mapping the Big Picture: Integrating Curriculum and Assessment K-12* (ASCD, 1997) and *Getting Results with Curriculum Mapping*, ASCD, 2004.

¹⁶ See <http://www.samsconnect.com/> for more information about the approach and the studies conducted by The Wallace Foundation that document the program's effectiveness.

Other Attachment File(s)

* Mandatory Other Attachment Filename:

To add more "Other Attachment" attachments, please use the attachment buttons below.

Application Reference Charts

Instructions: These charts are provided to help applicants ensure that their applications address all of the priorities and requirements – as any application that does not do so is ineligible for funding for the 2012 competitions. These charts will be used by Department staff when screening applications.

Applicants should complete and include these charts as an attachment with their application. Go to <http://www2.ed.gov/programs/teacherincentive/applicant.html> to download a Microsoft Word version of this template. Fill out the Word document and submit it as a PDF attachment with your application.

Please indicate your eligibility classification

Instructions: Check the eligibility classification that applies to your application.

Applications from a single entity:

In the case of a single applicant that is an LEA, check this box.

LEA

Group Applications:

Group applications involve two or more eligible entities. In the case of a group application, check the box that describes the eligibility classification of all of the applicants. Select only one box.

2 or more LEAs

One or more SEAs and one or more LEAs

X One or more nonprofit organizations and one or more LEAs (no SEA)

One or more nonprofit organizations and one or more LEAs and one or more SEAs

Instructions

Instructions: In each column of the table below, please specify where your application discusses each priority or requirement -- including each provision that applies to each priority or requirement. For information, descriptions, or assurances included in the project narrative, please complete both 1) the Title of the Section(s) or Subsection(s) and 2) the relevant Page Number(s) where this matter is discussed. Otherwise, please indicate the Attachment in which it is discussed.

Please identify every section, page, and/or attachment in which the priority or requirement is discussed. More than one section, subsection, page, or attachment may appear in each cell.

Absolute Priority 1

Requirement or Priority	Title of Section or Subsection in which this priority or requirement is discussed	Page Number(s) on which this requirement or priority is discussed	Attachment on which this priority or requirement is discussed
<p>Absolute Priority 1: HCMS To meet this priority, the applicant must include, in its application, a description of its LEA-wide HCMS, as it exists currently and with any modifications proposed for implementation during the project period of the grant.</p>	<p>A. PICCS Human Capital Management System</p>	<p>1-17</p>	
<p>(1) How the HCMS is or will be aligned with the LEA's vision of instructional improvement;</p>	<p>A. PICCS Human Capital Management System</p> <p>Seven Components of the PICCS HCMS</p>	<p>Overview, 3-4</p> <p>Teacher Prep Vision, 7-8 Recruitment & Hiring Vision, 8 Mentoring & Induction, 9 Evaluation, 10 Professional Growth & PD, 11-12 Performance Management &</p>	

		Retention, 12 Career Ladders/Lattices, 14	
(2) How the LEA uses or will use the information generated by the evaluation systems it describes in its application to inform key human capital decisions, such as decisions on recruitment, hiring, placement, retention, dismissal, compensation, professional development, tenure, and promotion;	A. PICCS Human Capital Management System Differentiated Teaching Ranks Seven Components of the PICCS HCMS	Overview, 3-4 4-6 Teacher Prep Vision, 8 Recruitment & Hiring Vision, 9 Mentoring & Induction, 9-10 Evaluation, 10-11 Professional Growth & PD, 12 Performance Management & Retention, 13 Career Ladders/Lattices, 14	
(3) The human capital strategies the LEA uses or will use to ensure that high-need schools are able to attract and retain effective educators	Seven Components of the PICCS HCMS	Teacher Prep Vision, 8 Recruitment & Hiring Vision, 9 Mentoring & Induction, 9-10 Evaluation, 10-11 Professional Growth & PD, 12 Performance Management & Retention, 13 Career Ladders/Lattices, 14 HCMS for School Leaders, 14-15	

<p>(4) Whether or not modifications are needed to an existing HCMS to ensure that it includes the features described in response to paragraphs (1), (2), and (3) of this priority, and a timeline for implementing the described features, provided that the use of evaluation information to inform the design and delivery of professional development and the award of performance-based compensation under the applicant's proposed PBCS in high-need schools begins no later than the third year of the grant's project period in the high-need schools listed in response to paragraph (a) of <u>Requirement 3--Documentation of High-Need Schools</u>.</p>	<p>Feasibility & Potential Effectiveness of Proposed HCMS</p>	<p>15-17</p>	
	<p>Implementation Timeline</p>	<p>54-56</p>	
	<p>Plan to Complete Tasks & Achieve Objectives</p>	<p>56-57</p>	

Absolute Priority 2			
Requirement or Priority	Title of Section or Subsection in which this priority or requirement is discussed	Page Number(s) on which this requirement or priority is discussed	Attachment on which this priority or requirement is discussed

<p>Absolute Priority 2: Educator Evaluation Systems</p> <p>To meet this priority, an applicant must include, as part of its application, a plan describing how it will develop and implement its proposed LEA-wide educator evaluation systems. The plan must describe-</p>			
(1) The frequency of evaluations, which must be at least annually;	Evaluation Rubric	Statement of annual evaluation on page 18	
(2) The evaluation rubric for educators that includes at least three performance levels and the following--	Evaluation Rubric Figure 2	17-20 18	
(i) Two or more observations during each evaluation period;	Evaluation Rubric Figures 3 & 4 Professional Performance Measures	17-20 19 & 20 25-29	
(ii) Student growth, which for the evaluation of teachers with regular instructional responsibilities must be growth at the classroom level; and	Student Growth Measures	20-25	
(iii) Additional factors determined by the LEA;	Professional Performance Measures	24-30	
(3) How the evaluation systems will generate an overall evaluation rating that is based, in significant part, on student growth; and	Evaluation Rubric Figure 2 Figures 3 & 4 Composite Scoring	17-20 18 19 & 20 28	
(4) The applicant's timeline for implementing its proposed LEA-wide educator evaluation systems.	Implementation Timeline Plan to Complete Tasks & Achieve Objectives	54-55 55-56	

Absolute Priority 3			
Requirement or Priority	Title of Section or Subsection in which this priority or requirement is discussed	Page Number(s) on which this requirement or priority is discussed	Attachment on which this priority or requirement is discussed
<p>Absolute Priority 3: STEM Plan (if applicable) To meet this priority, an applicant must include a plan in its application that describes the applicant’s strategies for improving instruction in STEM subjects through various components of each participating LEA’s HCMS, including its professional development, evaluation systems, and PBCS. At a minimum, the plan must describe—</p>	N/A	N/A	
<p>(1) How each LEA will develop a corps of STEM master teachers who are skilled at modeling for peer teachers pedagogical methods for teaching STEM skills and content at the appropriate grade level by providing additional compensation to teachers who—</p> <p>(i) Receive an overall evaluation rating of effective or higher under the evaluation system described in the application; (ii) Are selected based on criteria that are predictive of the ability to lead other teachers; (iii) Demonstrate effectiveness in one or more STEM subjects; and (iv) Accept STEM-focused career ladder positions;</p>	N/A	N/A	

(2) How each LEA will identify and develop the unique competencies that, based on evaluation information or other evidence, characterize effective STEM teachers;	N/A	N/A	
(3) How each LEA will identify hard-to-staff STEM subjects, and use the HCMS to attract effective teachers to positions providing instruction in those subjects;	N/A	N/A	
(4) How each LEA will leverage community support, resources, and expertise to inform the implementation of its plan;	N/A	N/A	
(5) How each LEA will ensure that financial and nonfinancial incentives, including performance-based compensation, offered to reward or promote effective STEM teachers are adequate to attract and retain persons with strong STEM skills in high-need schools; and	N/A	N/A	
(6) How each LEA will ensure that students have access to and participate in rigorous and engaging STEM coursework.	N/A	N/A	

Competitive Preference Priority 4

Requirement or Priority	Title of Section or Subsection in which this priority or requirement is discussed	Page Number(s) on which this requirement or priority is discussed	Attachment on which this priority or requirement is discussed
<p>Competitive Preference Priority 4: New and Rural Applicants (if applicable) To meet this priority, an applicant must provide at least one of the two following assurances, which the Department accepts:</p>			
<p>(a) An assurance that each LEA to be served by the project has not previously participated in a TIF-supported project.</p>	Participating Charter Schools are LEAs, High Need Schools & New Applicants to TIF	2	
<p>(b) An assurance that each LEA to be served by the project is a rural local educational agency (as defined in the NIA).</p>	N/A	N/A	

Competitive Preference Priority 5

Requirement or Priority	Title of Section or Subsection in which this priority or requirement is discussed	Page Number(s) on which this requirement or priority is discussed	Attachment on which this priority or requirement is discussed
<p>Competitive Preference Priority 5: An Educator Salary Structure Based on Effectiveness (if applicable) To meet this priority, an applicant must propose, as part of its PBCS, a timeline for implementing no later than in the fifth year of the grant's project</p>	Implementation of Model 1 for PBCS	1-2	

period a salary structure based on effectiveness for both teachers and principals. As part of this proposal, an applicant must describe--			
(a) The extent to which and how each LEA will use overall evaluation ratings to determine educator salaries;	Differentiated Teaching Levels	4-6	
	Recruitment & Hiring	8-9	
	Performance Management	12-13	
	Career Ladders/Lattices	13-14	
(b) How each LEA will use TIF funds to support the salary structure based on effectiveness in the high-need schools listed in response to Requirement 3(a); and	Sufficient Resources for Implementation	56-58	Budget Narrative
	Budget Narrative		
(c) The extent to which the proposed implementation is feasible, given that implementation will depend upon stakeholder support and applicable LEA-level policies.	Likelihood for Implementation & Sustainability	58-60	

Requirement 1			
Requirement or Priority	Title of Section or Subsection in which this priority or requirement is discussed	Page Number(s) on which this requirement or priority is discussed	Attachment on which this priority or requirement is discussed
Requirement 1: Performance-Based Compensation for Teachers, Principals, and Other Personnel. In its application, an applicant must describe, for each participating LEA, how its proposed PBCS will meet the definition of a PBCS set forth in the NIA.			

<ul style="list-style-type: none"> • Design Model 1 or 2 	<ul style="list-style-type: none"> Implementation of Model 1 for PBCS Differentiated Teaching Levels Recruitment & Hiring Performance Management Career Ladders/Lattices 	<ul style="list-style-type: none"> 1-2 4-6 8-9 12-13 13-14 	
<ul style="list-style-type: none"> • PBCS Optional Features 	<ul style="list-style-type: none"> Implementation of Model 1 for PBCS Differentiated Teaching Levels Recruitment & Hiring Performance Management Career Ladders/Lattices 	<ul style="list-style-type: none"> 1-2 4-6 8-9 12-13 13-14 	

Requirement 2			
Requirement or Priority	Title of Section or Subsection in which this priority or requirement is discussed	Page Number(s) on which this requirement or priority is discussed	Attachment on which this priority or requirement is discussed
Requirement 2: Involvement and Support of Teachers and Principals In its application, the applicant must include-- (a) Evidence that educators in each participating LEA have been involved, and will continue to be involved, in the development and implementation of the PBCS and evaluation systems described in the application;	Involvement of Educators	40-45	MOU
	Engagement in Proposal Development	40-42	
	Engagement in Implementation	42	
(b) A description of the extent to which the applicant has educator support for the proposed PBCS and educator evaluation systems; and	Support for the Proposed HCMS, PBCS and Evaluation System	42-45	MOU
(c) A statement indicating whether a union is the exclusive representative of either teachers or principals in each participating LEA.	Participating Charter Schools are LEAs, High Need Schools & New Applicants to TIF	2	
	Support for the Proposed HCMS, PBCS and Evaluation System	44	
	Likelihood for Implementation & Sustainability	59	

Requirement 3			
Requirement or Priority	Title of Section or Subsection in which this priority or requirement is discussed	Page Number(s) on which this requirement or priority is discussed	Attachment on which this priority or requirement is discussed
<p>Requirement 3: Documentation of High-Need Schools</p> <p>Each applicant must demonstrate, in its application, that the schools participating in the implementation of the TIF-funded PBCS are high-need schools (as defined in the NIA), including high-poverty schools (as defined in the NIA), priority schools (as defined in the NIA), or persistently lowest-achieving schools (as defined in the NIA). Each applicant must provide, in its application--</p>			
<p>(a) A list of high-need schools in which the proposed TIF-supported PBCS would be implemented;</p>	<p>Participating Charter Schools are LEAs, High Need Schools & New Applicants to TIF</p>	<p>2-3</p>	
<p>(b) For each high-poverty school listed, the most current data on the percentage of students who are eligible for free or reduced-price lunch subsidies under the Richard B. Russell National School Lunch Act or are considered students from low-income families based on another poverty measure that the LEA uses (see section 1113(a)(5) of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 6313(a)(5))). [Data provided to</p>			<p>FRL data verification included in appendices</p>

demonstrate eligibility as a high-poverty school must be school-level data; the Department will not accept LEA- or State-level data for purposes of documenting whether a school is a high-poverty school; and			
(c) For any priority schools listed, documentation verifying that the State has received approval of a request for ESEA flexibility, and that the schools have been identified by the State as priority schools.	N/A	N/A	

PICCS for New York City - High Need Documentation

School	State	Enrollment	Eligible for Free Lunch #	Eligible for Free Lunch %	Reduced-Price Lunch #	Reduced-Price Lunch %	Total
Imagine Me Leadership Charter School	NYC	117	69	59%	8	7%	66%
Inwood Academy for Leadership	NYC	109	82	75%	9	8%	83%
La Cima Charter School	NYC	261	147	56%	20	8%	64%
John W. Lavelle Preparatory Charter School	NYC	133	79	59%	15	11%	70%
New Dawn Charter School	NYC	116					55%
Tech International Charter School	NYC	110					70%

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State assessments are designed to help ensure that all students reach high learning standards. They show whether students are getting the knowledge and skills they need to succeed at these elementary, middle, and commencement levels and beyond. The State requires that students who are not making appropriate progress toward the standards receive academic intervention services.

Use this report to:

Get School Profile information.

To find the best fit for your child, please visit the website of the State Office of Education at www.doec.state.ny.us.



Review School Accountability Status

To find out how well your child's school is doing, please visit www.doec.state.ny.us and click on the School Accountability Status.



Review an Overview of School Performance

To find out how well your child's school is doing, please visit www.doec.state.ny.us and click on the School Performance Overview.

For more information:

Office of the Commissioner of Education Services

State Office of Education at 87 Wall Street

Room 1100, 10th Floor

Albany, NY 12242

Phone: (518) 474-3000 or (518) 474-3001

School Profile

This section shows comprehensive data relevant to this school's learning environment, including information about enrollment, average class size, and teacher qualifications.

Enrollment

	2008-09	2009-10	2010-11
Pre-K			0
Kindergarten			64
Grade 1			53
Grade 2			0
Grade 3			0
Grade 4			0
Grade 5			0
Grade 6			0
Ungraded Elementary			0
Grade 7			0
Grade 8			0
Grade 9			0
Grade 10			0
Grade 11			0
Grade 12			0
Ungraded Secondary			0
Total K-12			117

Average Class Size

	2008-09	2009-10	2010-11
Common Branch			
Grade 8			
English			
Mathematics			
Science			
Social Studies			
Grade 10			
English			
Mathematics			
Science			
Social Studies			

Enrollment Information

Enrollment counts are as of Basic Educational Data System (BEDS) day, which is typically the first Wednesday of October of the school year. Students who attend BOCES programs on a part-time basis are included in a school's enrollment. Students who attend BOCES on a full-time basis or who are placed full-time by the district in an out-of-district placement are not included in a school's enrollment. Students classified by schools as "pre-first" are included in first grade counts.

Average Class Size Information

Average Class Size is the total registration in specified classes divided by the number of those classes with registration. Common Branch refers to self-contained classes in Grades 1-6.

Demographic Factors

	2008-09		2009-10		2010-11	
	#	%	#	%	#	%
Eligible for Free Lunch					69	59%
Reduced-Price Lunch					3	2%
Student Stability*						9%
Limited English Proficient					2	2%
Racial/Ethnic Origin						
American Indian or Alaska Native					0	0%
Black or African American					104	89%
Hispanic or Latino					13	11%
Asian or Native					0	0%
Hawaiian/Other Pacific Islander					0	0%
White					0	0%
Multiracial					0	0%

* See Appendix A for details.

Attendance and Suspensions

	2007-08		2008-09		2009-10	
	#	%	#	%	#	%
Annual Attendance Rate						9%
Student Suspensions					0	1/0

Demographic Factors Information

Eligible for Free Lunch and Reduced-Price Lunch percentages are determined by dividing the number of approved lunch applicants by the Basic Educational Data System (BESD) enrollment in full-day kindergarten through Grade 12. *Eligible for Free Lunch and Limited English Proficient* counts are used to determine *Similar Schools* groupings within a *Need/Resource Capacity* category. *Student Stability* is the percentage of students in the highest grade in a school who were also enrolled in that school at any time during the previous school year. (For example, if School A, which serves Grades 6-8, had 100 students enrolled in Grade 8 this year, and 42 of those 100 students were also enrolled in School A last year, the stability rate for the school is 42 percent.)

Attendance and Suspensions Information

Annual Attendance Rate is determined by dividing the school's total actual attendance by the total possible attendance for a school year. A school's actual attendance is the sum of the number of students in attendance on each day the school was open during the school year. Possible attendance is the sum of the number of enrolled students who should have been in attendance on each day the school was open during the school year. *Student Suspensions* rate is determined by dividing the number of students who were suspended from school (not including in-school suspension) for one full day or longer anytime during the school year by the Basic Educational Data System (BESD) day enrollments for that school year. A student is counted only once, regardless of whether the student was suspended one or more times during the school year.

School **INWOOD ACADEMY FOR
LEADERSHIP CHARTER SCHOOL**
School ID **31-06-00-86-0966**
Principal **CHRISTINA REYES**
Telephone **(212) 437-8361**
Grades **5**

This School's Report Card

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Use this report to:

Get School Profile information.

This section shows comprehensive data relevant to this school's learning environment.

2 Review School Accountability Status.

This section indicates whether a school made adequate yearly progress (AYP) and identifies the school's accountability status.

Review an Overview of School Performance.

This section has information about the school's performance on state assessments in English, mathematics, and science.

For more information:

Office of Information and Reporting Services
New York State Education Department
Room 863 EBA
Albany, NY 12234
Email: dataquest@mail.nysed.gov

School Profile

This section shows comprehensive data relevant to this school's learning environment, including information about enrollment, average class size, and teacher qualifications.

Enrollment

	2008-09	2009-10	2010-11
Pre-K			0
Kindergarten			0
Grade 1			0
Grade 2			0
Grade 3			0
Grade 4			0
Grade 5			109
Grade 6			0
Ungraded Elementary			0
Grade 7			0
Grade 8			0
Grade 9			0
Grade 10			0
Grade 11			0
Grade 12			0
Ungraded Secondary			0
Total K-12			109

Average Class Size

	2008-09	2009-10	2010-11
Common Branch			
Grade 8			
English			
Mathematics			
Science			
Social Studies			
Grade 10			
English			
Mathematics			
Science			
Social Studies			

Enrollment Information

Enrollment counts are as of Basic Educational Data System (BEDS) day, which is typically the first Wednesday of October of the school year. Students who attend BOCES programs on a part-time basis are included in a school's enrollment. Students who attend BOCES on a full-time basis or who are placed full time by the district in an out-of-district placement are not included in a school's enrollment. Students classified by schools as "pre-first" are included in first grade counts.

Average Class Size Information

Average Class Size is the total registration in specified classes divided by the number of those classes with registration. *Common Branch* refers to self-contained classes in Grades 1-6.

Demographic Factors

	2008-09		2009-10		2010-11	
	#	%	#	%	#	%
Eligible for Free Lunch					82	75%
Reduced-Price Lunch					9	8%
Student Stability*						0%
Limited English Proficient					27	25%
Racial/Ethnic Origin						
American Indian or Alaska Native					0	0%
Black or African American					16	15%
Hispanic or Latino					90	83%
Asian or Native					0	0%
Hawaiian/Other Pacific Islander						
White					3	3%
Multiracial					0	0%

* Available only at the school level.

Attendance and Suspensions

	2007-08		2008-09		2009-10	
	#	%	#	%	#	%
Annual Attendance Rate						0%
Student Suspensions					0	N/A

Demographic Factors Information

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Attendance and Suspensions Information

Annual Attendance Rate is determined by dividing the school's total actual attendance by the total possible attendance for a school year. A school's actual attendance is the sum of the number of students in attendance on each day the school was open during the school year. Possible attendance is the sum of the number of enrolled students who should have been in attendance on each day the school was open during the school year. *Student Suspension rate* is determined by dividing the number of students who were suspended from school (not including in-school suspensions) for one full day or longer anytime during the school year by the Basic Educational Data System (BEDS) day enrollments for that school year. A student is counted only once, regardless of whether the student was suspended one or more times during the school year.

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Email: dataquest@mail.nysed.gov

School Profile

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Enrollment

	2008-09	2009-10	2010-11
Pre-K	0	0	0
Kindergarten	74	70	75
Grade 1	65	62	66
Grade 2	0	62	63
Grade 3	0	0	57
Grade 4	0	0	0
Grade 5	0	0	0
Grade 6	0	0	0
Ungraded Elementary	0	0	0
Grade 7	0	0	0
Grade 8	0	0	0
Grade 9	0	0	0
Grade 10	0	0	0
Grade 11	0	0	0
Grade 12	0	0	0
Ungraded Secondary	0	0	0
Total K-12	139	194	261

Average Class Size

	2008-09	2009-10	2010-11
Common Branch	19	21	21
Grade 8			
English			
Mathematics			
Science			
Social Studies			
Grade 10			
English			
Mathematics			
Science			
Social Studies			

Enrollment Information

Enrollment counts are as of Basic Educational Data System (BEDS) day, which is typically the first Wednesday of October of the school year. Students who attend BOCES programs on a part-time basis are included in a school's enrollment. Students who attend BOCES on a full-time basis or who are placed full time by the district in an out-of-district placement are not included in a school's enrollment. Students classified by schools as "pre-first" are included in first grade counts.

Average Class Size Information

Average Class Size is the total registration in specified classes divided by the number of those classes with registration. *Common Branch* refers to self-contained classes in Grades 1-6.

Demographic Factors

	2008-09		2009-10		2010-11	
	#	%	#	%	#	%
Eligible for Free Lunch	70	50%	144	74%	147	56%
Reduced-Price Lunch	0	0%	21	11%	20	8%
Student Stability*		0%		69%		88%
Limited English Proficient	3	2%	6	3%	5	2%
Racial/Ethnic Origin						
American Indian or Alaska Native	0	0%	0	0%	0	0%
Black or African American	118	85%	161	83%	208	80%
Hispanic or Latino	18	13%	17	9%	36	14%
Asian or Native Hawaiian/Other Pacific Islander	1	1%	1	1%	1	0%
White	1	1%	1	1%	1	0%
Multiracial	1	1%	14	7%	15	6%

* Available only at the school level.

Attendance and Suspensions

	2007-08		2008-09		2009-10	
	#	%	#	%	#	%
Annual Attendance Rate		0%		88%		93%
Student Suspensions	0	N/A	0	0%	8	4%

Demographic Factors Information

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Attendance and Suspensions Information

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School **JOHN W LAVELLE PREPARATORY
CHARTER SCHOOL**
School ID **35-31-00-86-0959**
Principal **EVELYN FINN**
Telephone **(718) 697-4250**
Grades **6-7**

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School Profile

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	2008-09	2009-10	2010-11
Pre-K		0	0
Kindergarten		0	0
Grade 1		0	0
Grade 2		0	0
Grade 3		0	0
Grade 4		0	0
Grade 5		0	0
Grade 6		79	61
Ungraded Elementary		0	0
Grade 7		0	72
Grade 8		0	0
Grade 9		0	0
Grade 10		0	0
Grade 11		0	0
Grade 12		0	0
Ungraded Secondary		0	0
Total K-12		79	133

Average Class Size

	2008-09	2009-10	2010-11
Common Branch			
Grade 8			
English			
Mathematics			
Science			
Social Studies			
Grade 10			
English			
Mathematics			
Science			
Social Studies			

Enrollment Information

Enrollment counts are as of Basic Educational Data System (BEDS) day, which is typically the first Wednesday of October of the school year. Students who attend BOCES programs on a part-time basis are included in a school's enrollment. Students who attend BOCES on a full-time basis or who are placed full time by the district in an out-of-district placement are not included in a school's enrollment. Students classified by schools as "pre-first" are included in first grade counts.

Average Class Size Information

Average Class Size is the total registration in specified classes divided by the number of those classes with registration. *Common Branch* refers to self-contained classes in Grades 1-6.

Demographic Factors

	2008-09		2009-10		2010-11	
	#	%	#	%	#	%
Eligible for Free Lunch			19	24%	79	59%
Reduced-Price Lunch			37	47%	15	11%
Student Stability*				0%		83%
Limited English Proficient			3	4%	6	5%
Racial/Ethnic Origin						
American Indian or Alaska Native			0	0%	0	0%
Black or African American			34	43%	58	44%
Hispanic or Latino			19	24%	33	25%
Asian or Native Hawaiian/Other Pacific Islander			5	6%	7	5%
White			20	25%	34	26%
Multiracial			1	1%	1	1%

* Available only at the school level.

Attendance and Suspensions

	2007-08		2008-09		2009-10	
	#	%	#	%	#	%
Annual Attendance Rate				0%		93%
Student Suspensions			0	N/A	14	18%

Demographic Factors Information

Eligible for Free Lunch and Reduced-Price Lunch percentages are determined by dividing the number of approved lunch applicants by the Basic Educational Data System (BEDS) enrollment in full-day Kindergarten through Grade 12. *Eligible for Free Lunch and Limited English Proficient* counts are used to determine *Similar Schools* groupings within a *Need/Resource Capacity* category. *Student Stability* is the percentage of students in the highest grade in a school who were also enrolled in that school at any time during the previous school year. (For example, if School A, which serves Grades 6-8, has 100 students enrolled in Grade 8 this year, and 92 of those 100 students were also enrolled in School A last year, the stability rate for the school is 92 percent.)

Attendance and Suspensions Information

Annual Attendance Rate is determined by dividing the school's total actual attendance by the total possible attendance for a school year. A school's actual attendance is the sum of the number of students in attendance on each day the school was open during the school year. Possible attendance is the sum of the number of enrolled students who should have been in attendance on each day the school was open during the school year. *Student Suspension rate* is determined by dividing the number of students who were suspended from school (not including in-school suspensions) for one full day or longer anytime during the school year by the Basic Educational Data System (BEDS) day enrollments for that school year. A student is counted only once, regardless of whether the student was suspended one or more times during the school year.



**Department of
Education**

Dennis M. Walcott, Chancellor

July 26, 2012

Sara M. Asmussen, Ph.D.
Executive Director
New Dawn Charter High School
242 Hoyt Street
Brooklyn, NY 11217

Dear Dr. Asmussen:

This letter is to confirm the free and reduced lunch percentage for New Dawn Charter High School. As of the above date, there are 116 students enrolled in your school for September 2012. Of these students at least 55.2% have the necessary documentation to be eligible for the Free and Reduced lunch program. This income verification includes the documentation necessary to participate in the National School Lunch Program. Based on last year's free and reduced lunch status for New Dawn students, the actual free and reduced lunch rate, once all forms are submitted, is expect to be closer to 80%.

If our office can provide any further information, please do not hesitate to contact me. I can be reached at 212-374-6891 or KWomack3@schools.nyc.gov.

Sincerely,

(b)(6)


Keisha Womack

Director of Operations, NYC Department of Education Charter Schools Accountability & Support



Charter Schools Institute
The State University of New York

41 State Street, Suite 700
Albany, New York 12207

www.newyorkcharters.org

July 27, 2012

To Whom It May Concern:

I have reviewed the Income Survey forms for all of the 110 students that will be attending the Tech International Charter School in August 2012.

I found that 70% of those students were from families with an income level at or below 185% of the Federal Poverty guidelines.

If you have any questions, please do not hesitate to call me at (518) 433-8277 extension 2045.

Sincerely yours,

(b)(6)

Maureen C. Murphy
Director of Charter Accountability

To Learn
To Search
To Serve





OFFICE OF SCHOOL INNOVATION
ROOM 475 EBA
Tel. 518/474-4817
Fax 518/474-7558

July 23, 2012

TO: New York State Charter Schools
Other Interested Parties

FROM: Sally Bachofer, Assistant Commissioner

SUBJECT: Charter Schools as Local Educational Agencies (LEAs)

New York's Charter School Law provides that federal funds for services for students with disabilities flow from the school district of residence to charter schools, but is silent about LEA status for other federal programs. Based on the provisions of the Charter School Law that establish charter schools as independent, autonomous public schools and the applicable federal LEA definition, in 2001, the New York State Commissioner of Education determined that, starting with the 2001-2002 school year, charter schools will be deemed to be LEAs for all federal funding programs under the Elementary and Secondary Education Act of 1965. For purposes of the Individuals with Disabilities Education Act, however, the school district of residence serves as the LEA, with charter schools treated as schools of the school district. Charter school LEA status for any other non-ESEA program or any new ESEA program will be determined on a case-by-case basis, though charter schools will be treated as LEAs unless the federal LEA definition applicable to the particular program indicates that New York charter schools should be treated as schools of the school district.

Any charter school that elects to participate in a federal funding program will have to follow the same procedures as public school districts. This means that charter schools must follow the procedures for applying, requesting payment, and reporting for financial and programmatic purposes for each federal program in which they elect to participate.

A list of approved NYS Charter Schools can be found on the NYS Education Department's web site at: <http://www.p12.nysed.gov/psc/csdirectory/CSLaunchPage.html>

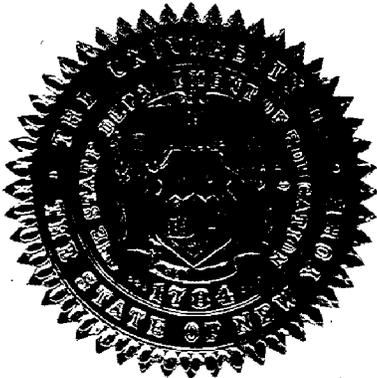
c: Commissioner John B. King, Jr.
Ken Slentz
Cliff Chuang

INWOOD ACADEMY FOR LEADERSHIP CHARTER SCHOOL

This Instrument Witnesseth That the Board of Regents for and on behalf of the Education Department of the State of New York at their meeting of December 15, 2009,

Voted, that

A charter valid for a term up through and including December 14, 2014 is granted to the Inwood Academy for Leadership Charter School pursuant to Article 56 of the Education Law and in accordance with the attached Charter Agreement dated November 17, 2009, between Christina Hykes on behalf of Inwood Academy for Leadership Charter School, and the Chancellor of the Board of Education of the City of New York.



Granted, December 15, 2009, by the Board of Regents of The University of the State of New York, for and on behalf of the State Education Department, and executed under the seal of said University and recorded as Number 464.

(b)(6)

Chancellor

President of the University and
Commissioner of Education

INWOOD ACADEMY FOR LEADERSHIP CHARTER SCHOOL

PROVISIONAL CHARTER

This Instrument Witnesseth that, the Board of Regents, for and on behalf of the Education Department of the State of New York, on December 15, 2009,

Voted, that

1. A provisional charter valid for a term up through and including December 14, 2014 is issued incorporating Sara Alonzo, James Edwards, Jon Gordon, Rahsaan Graham, Christian Guerrero, Thomas Hornedo, Christina Hykes, Harry Jones, Matthew Mahoney and their successors as an education corporation under the corporate name of Inwood Academy for Leadership Charter School, located in the Borough of Manhattan, County of New York, State of New York.
2. The purpose for which such corporation is formed is to operate a charter school pursuant to Article 56 of the Education Law and in accordance with the charter agreement between Christina Hykes on behalf of Inwood Academy for Leadership Charter School, and the Chancellor of the Board of Education of the City of New York, as approved by the Board of Regents on December 15, 2009, and any subsequent authorized revisions or amendments thereto.
3. The names and post office addresses of the first trustees are as follows:

Sara Alonzo
2415 36th Street
Astoria, NY 11103

James Edwards
2075 First Avenue
New York, NY 10029

Jon Gordon
15 Park Avenue
New York, NY 10016

Rahsaan Graham
700 Columbus Avenue
New York, NY 10025

Christian Guerrero
1180 Boulevard
West Hartford, CT 06119

Thomas Hornedo
2265 University Avenue #3b
Bronx, NY 10468

Inwood Academy for Leadership Charter School
Page two

Christina Hykes
6229 Broadway
Bronx, NY 10471

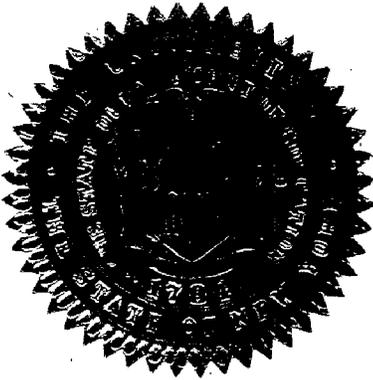
Harry Jones
211 Roberts Avenue
Yonkers, NY 10703

Matthew Mahoney
620 Fort Washington Avenue
New York, NY 10040

4. The board shall have power to adopt bylaws not inconsistent with the provisions of Article 56 of the Education Law.
5. The corporation hereby created shall be a nonstock corporation organized and operated exclusively for educational purposes as defined in section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law), and no part of its earnings or net income shall inure to the benefit of any individual; and no officer, member, or employee of the corporation shall receive or be entitled to receive any pecuniary profit from the operations thereof, except reasonable compensation for services.
6. Notwithstanding any other provision of these articles the corporation shall not carry on any other activities not permitted to be carried on (a) by a corporation exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law) or (b) by a corporation, contributions to which are deductible under section 170(c)(2) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law).
7. No substantial part of the activities of the corporation shall be devoted to carrying on propaganda, or otherwise attempting to influence legislation (except to the extent authorized by Internal Revenue Code section 501(h) as amended, or the corresponding provision of any future United States Internal Revenue Law, during any fiscal year or years in which the corporation has chosen to utilize the benefits authorized by the statutory provision), and the corporation shall not participate in nor intervene (including the publishing or distribution of statements) in any political campaign on behalf of, or in opposition to, any candidate for public office.
8. Upon dissolution of the corporation, the board of trustees shall, after paying or making provision for the payment of all the liabilities of the corporation, dispose of the remaining assets of the corporation to another charter school located within the school district in which the charter school is located, provided that such charter school shall be exempt from federal income taxation under section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law), exclusively for one or more exempt purposes within the meaning of section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law), or to the school district in which the charter school is located for a public purpose.

Inwood Academy for Leadership Charter School
Page three

9. The principal office of the corporation shall be located at The Love Kitchen, c/o Christina Hykes, 401 West 205th Street, New York, NY 10034.
10. The Commissioner of Education is designated as the representative of the corporation upon whom process in any action or proceeding against it may be served.
11. Such provisional charter may be extended upon application for a term of up to five years in accordance with the provisions of Article 56 of the Education Law.



Granted, December 15, 2009, by the Board of Regents of The University of the State of New York, for and on behalf of the State Education Department, and executed under the seal of said University and recorded as Number 464.

(b)(6)

Chancellor

**President of the University and
Commissioner of Education**

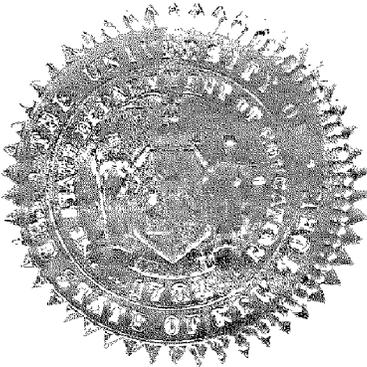
LA CIMA CHARTER SCHOOL

AMENDMENT OF PROVISIONAL CHARTER

This Instrument Witnesseth That, the Board of Regents, for and on behalf of the Education Department of the State of New York, at their meeting of September 16, 2008,

Voted, that

The provisional charter of the La Cima Charter School, which was granted by the Board of Regents on January 15, 2008, be, and the same hereby is, amended to change the address of the principal office of the corporation to 800 Gates Avenue, Brooklyn, NY 11221.



Granted, September 16, 2008, by the Board of Regents of The University of the State of New York, for and on behalf of the State Education Department, and executed under the seal of said University and recorded as Number 369.

(b)(6)

Chancellor

President of the University and
Commissioner of Education

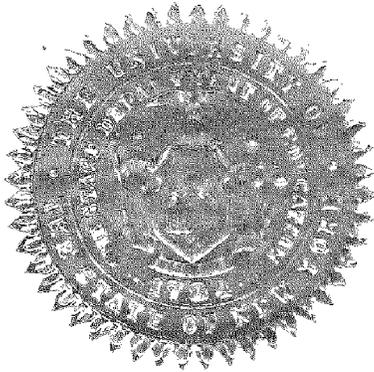
LA CIMA CHARTER SCHOOL

REVISION TO CHARTER

This Instrument Witnesseth That the Board of Regents for and on behalf of the Education Department of the State of New York at their meeting of September 16, 2008,

Voted, that

The Board of Regents approve the proposed revision to the charter of the La Cima Charter School as set forth in the attached letter dated August 20, 2008, from Andrea Zayas, Founder and Principal to Dr. Lisa Long, in the Office of New York City School and Community Services.



Granted, September 16, 2008, by the Board of Regents of The University of the State of New York, for and on behalf of the State Education Department, and executed under the seal of said University and recorded as Number 369.

(b)(6)

Chancellor

President of the University and
Commissioner of Education



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

SECRETARY, BOARD OF REGENTS
Rm. 110, State Education Building
Albany, New York 12234
Tel: (518) 474-5889
Fax: (518) 486-2405
E-mail: TLofrume@mail.nysed.gov

July 16, 2009

Kenneth Byalin, Ph.D.
The Verrazano Foundation
777 Seaview Avenue
Staten Island, NY 10305

RE: Document No. 416
John W. Lavelle Preparatory Charter School
Provisional Charter and Charter
Date of Action: April 21, 2009

Dear Dr. Byalin:

Enclosed are the provisional charter (also known as a certificate of incorporation) and a copy of the charter (with paginated pages) for the above-referenced school. Please file these documents at the school's corporate office. Kindly acknowledge receipt of these documents by completing the bottom section of this letter and returning the letter to the Regents Office, Room 110, State Education Building, Albany, New York 12234.

Thank you.

Sincerely,

(b)(6)

Anthony Lofrumento

Enclosures

(b)(6)

RECEIVED BY:

DATE RECEIVED:

July 18, 2009

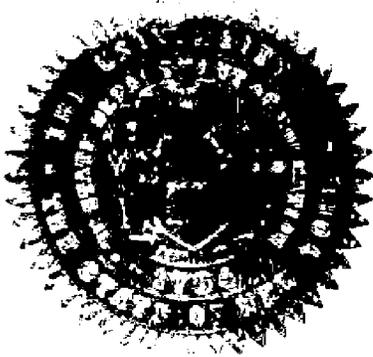
cc. Kirti Goswami
Darlene Mengel
School Improvement Services
Ira Schwartz
Michael Duffy

JOHN W. LAVELLE PREPARATORY CHARTER SCHOOL

This Instrument Witnesseth That the Board of Regents for and on behalf of the Education Department of the State of New York at their meeting of April 21, 2009,

Voted, that

A charter valid for a term up through and including April 20, 2014 is granted to the John W. Lavelle Preparatory Charter School pursuant to Article 56 of the Education Law and in accordance with the attached Charter Agreement dated September 15, 2008 between Dr. Kenneth Byalin on behalf of John W. Lavelle Preparatory Charter School, and the Chancellor of the Board of Education of the City of New York.



Granted, April 21, 2009, by the Board of Regents of The University of the State of New York, for and on behalf of the State Education Department, and executed under the seal of said University and recorded as Number 416.

(b)(6)

Chancellor

President of the University and
Commissioner of Education

JOHN W. LAVELLE PREPARATORY CHARTER SCHOOL
PROVISIONAL CHARTER

This Instrument Witnesseth That the Board of Regents for and on behalf of the Education Department of the State of New York at their meeting of April 21, 2009,

Voted, that

1. A provisional charter valid for a term up through and including April 20, 2014 is issued incorporating Sheldon Blackman, Joe Carroll, William Henri, Susan Lavelle, Francisco Lugovina, Deborah Miller, Nelly Toumaki, George Winn and their successors, as an education corporation under the corporate name of John W. Lavelle Preparatory Charter School, located in the Staten Island section of New York City, County of Richmond, State of New York.
2. The purpose for which such corporation is formed is to operate a charter school pursuant to Article 56 of the Education Law and in accordance with the charter agreement between Dr. Kenneth Byalin on behalf of John W. Lavelle Preparatory Charter School, and the Chancellor of the Board of Education of the City of New York, as approved by the Board of Regents on April 21, 2009 and any subsequent authorized revisions or amendments thereto.
3. The names and post office addresses of the first trustees are as follows:

Sheldon Blackman, Ph.D.
308 St. John Avenue
Staten Island, NY 10314

Joe Carroll
937 Victory Boulevard
Staten Island, NY 10301

William Henri
1 Howard Avenue
Staten Island, NY 10301

Susan Lavelle
126 Lyman Avenue
Staten Island, NY 10305

Francisco Lugovina
407 Hunter Avenue
City Island, NY 10464

Deborah Miller
399 A Neckar Avenue
Staten Island, 10304

Nelly Tournaki, Ph.D.
College of Staten Island
Education Department
2800 Victory Boulevard
Staten Island, NY 10314

George Winn
148 Locust Avenue
Scarsdale, NY 10585

4. The board shall have power to adopt bylaws not inconsistent with the provisions of Article 56 of the Education Law.
5. The corporation hereby created shall be a nonstock corporation organized and operated exclusively for educational purposes as defined in section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law), and no part of its earnings or net income shall inure to the benefit of any individual; and no officer, member, or employee of the corporation shall receive or be entitled to receive any pecuniary profit from the operations thereof, except reasonable compensation for services.
6. Notwithstanding any other provision of these articles the corporation shall not carry on any other activities not permitted to be carried on (a) by a corporation exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law) or (b) by a corporation, contributions to which are deductible under section 170(c)(2) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law).
7. No substantial part of the activities of the corporation shall be devoted to carrying on propaganda, or otherwise attempting to influence legislation (except to the extent authorized by Internal Revenue Code section 501(h) as amended, or the corresponding provision of any future United States Internal Revenue Law, during any fiscal year or years in which the corporation has chosen to utilize the benefits authorized by the statutory provision), and the corporation shall not participate in nor intervene (including the publishing or distribution of statements) in any political campaign on behalf of, or in opposition to, any candidate for public office.
8. Upon dissolution of the corporation, the board of trustees shall, after paying or making provision for the payment of all the liabilities of the corporation, dispose of the remaining assets of the corporation to a charter school located within the school district in which the charter school is located, provided that such charter school shall be exempt from federal income taxation under section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law), exclusively for one or more exempt purposes within the meaning of section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law), or to the school district in which the charter school is located for a public purpose.
9. The principal office of the corporation shall be located at 777 Seaview Avenue, Staten Island, NY 10305.

10. The Commissioner of Education is designated as the representative of the corporation upon whom process in any action or proceeding against it may be served.
11. Such provisional charter may be extended upon application for a term of up to five years in accordance with the provisions of Article 56 of the Education Law.



Granted, April 21, 2009, by the Board of Regents of The University of the State of New York, for and on behalf of the State Education Department, and executed under the seal of said University and recorded as Number 416.

(b)(6)

Chancellor

President of the University and
Commissioner of Education

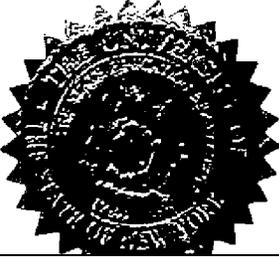
The University of the State of New York
Education Department

New Dawn Charter High School

This Instrument Witnesseth That the Board of Regents for and on behalf of the Education Department of the State of New York at their meeting of September 13, 2011.

Voted that

A provisional charter valid for a term that shall expire on June 30th of the fifth year after the date of opening of the Charter School for instruction is granted to the New Dawn Charter High School pursuant to Article 56 of the Education Law and in accordance with the attached charter agreement dated September 13, 2011 between Sara Asmussen, on behalf of New Dawn Charter High School and the Board of Regents of the University of the State of New York.



Granted, September 13, 2011, by the Board of Regents of The University of the State of New York, for and on behalf of the State Education Department, and executed under the seal of said University and recorded as Number 616.

(b)(6)

Chancellor

President of the University and
Commissioner of Education

4. The board shall have power to adopt bylaws not inconsistent with the provisions of Article 56 of the Education Law.
5. The corporation hereby created shall be a nonstock corporation organized and operated exclusively for educational purposes as defined in section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law), and no part of its earnings or net income shall inure to the benefit of any individual; and no officer, member, or employee of the corporation shall receive or be entitled to receive any pecuniary profit from the operations thereof, except reasonable compensation for services.
6. Notwithstanding any other provision of these articles the corporation shall not carry on any other activities not permitted to be carried on (a) by a corporation exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law) or (b) by a corporation, contributions to which are deductible under section 170(c)(2) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law).
7. No substantial part of the activities of the corporation shall be devoted to carrying on propaganda, or otherwise attempting to influence legislation (except to the extent authorized by Internal Revenue Code section 501(h) as amended, or the corresponding provision of any future United States Internal Revenue Law, during any fiscal year or years in which the corporation has chosen to utilize the benefits authorized by the statutory provision), and the corporation shall not participate in nor intervene (including the publishing or distribution of statements) in any political campaign on behalf of, or in opposition to, any candidate for public office.
8. Upon dissolution of the corporation, the board of trustees shall, after paying or making provision for the payment of all the liabilities of the corporation, dispose of the remaining assets of the corporation to the school district in which the charter school is located for a public purpose.
9. The principal office of the corporation shall be located at c/o Sara Asmussen, 548 54th Street, Brooklyn, NY 11220.
10. The Commissioner of Education is designated as the representative of the corporation upon whom process in any action or proceeding against it may be served.
11. Such provisional charter may be extended upon application for a term of up to five years in accordance with the provisions of Article 56 of the Education Law.



Granted, September 13, 2011, by the Board of Regents of The University of the State of New York, for and on behalf of the State Education Department, and executed under the seal of said University and recorded as Number 616.

(b)(6)

Chancellor

President of the University and
Commissioner of Education

NEW DAWN CHARTER HIGH SCHOOL

PROVISIONAL CHARTER

This Instrument Witnesseth that, the Board of Regents, for and on behalf of the Education Department of the State of New York, on September 13, 2011.

Voted, that

1. A provisional charter valid for a term that shall expire on June 30th of the fifth year after the date of opening of the Charter School for instruction is issued incorporating Ronald Tabano, Samir Souidi, George J. Crowley, Frank San Felice, Alicia McFarlane, Leslie Winters, Lisa DiGaudio and their successors as an education corporation under the corporate name of New Dawn Charter High School, located in the City of Brooklyn, County of Kings, State of New York.
2. The purpose for which such corporation is formed is to operate a charter school pursuant to Article 56 of the Education Law and in accordance with the charter agreement between Sara Asmussen on behalf of New Dawn Charter High School and the Board of Regents of the University of the State of New York, as approved by the Board of Regents on September 13, 2011, and any subsequent authorized revisions or amendments thereto.
3. The names and post office addresses of the first trustees are as follows:

Ronald Tabano
50-19 215th Street
Bayside, Queens 11364

Samir Souidi
One Northside Piers, Apt. 10D
Brooklyn, NY 11211

George J. Crowley
80 Mulberry Avenue
Garden City, NY 11530

Frank San Felice
15 South Drive
Hyde Park, NY 12538

Alicia McFarlane
53 Lefferts Avenue
Brooklyn, NY 11225

Leslie Winters
166 Bank Street, #1D
New York, NY 10014

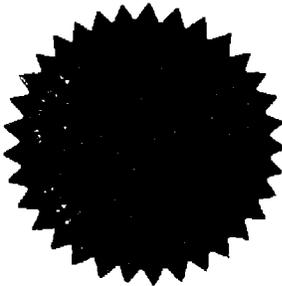
Lisa DiGaudio
3188 Roxbury Lane
Levittown, NY 11756

TECH INTERNATIONAL CHARTER SCHOOL

This Instrument Witnesseth That the Board of Regents for and on behalf of the Education Department of the State of New York at their meeting of September 13, 2011.

Voted, that

A charter valid for a term of five years in accordance with §2851(2)(p) of the Education Law is granted to the Tech International Charter School, pursuant to Article 56 of the Education Law and in accordance with the attached charter agreement dated August 11, 2011 between Steve Bergen and Adjawah Scott on behalf of Tech International Charter School, and the Board of Trustees of the State University of New York.



Granted, September 13, 2011, by the Board of Regents of The University of the State of New York, for and on behalf of the State Education Department, and executed under the seal of said University and recorded as Number 633.

(b)(6)

Chancellor

President of the University and
Commissioner of Education

PROVISIONAL CHARTER

TECH INTERNATIONAL CHARTER SCHOOL

This Instrument Witnesseth that, the Board of Regents, for and on behalf of the Education Department of the State of New York at their meeting on September 13, 2011.

Voted, that

1. A provisional charter valid for a term of five years in accordance with §2851(2)(p) of the Education Law is issued incorporating Weenia Allen, Victor Catano, Joseph B. Dixon Jr., Nicole Gesualdo, Matthew P. Horvat, Barbara Lee Jackson, Andre Pascal, Nicholas Sidoti, Robert D. Vitalo and their successors as an education corporation under the corporate name of Tech International Charter School, located in the City of New York, Borough of Bronx, State of New York.
2. The purpose for which such corporation is formed is to operate a charter school pursuant to Article 56 of the Education Law and in accordance with the charter agreement between Steve Bergen and Adjowah Scott, on behalf of Tech International Charter School, and the Board of Trustees of the State University of New York, as approved by the Board of Regents on September 13, 2011 and any subsequent authorized revisions or amendments thereto.

3. The names and post office addresses of the first trustees are as follows:

Weenia Allen
2168 Bathgate Ave
Bronx, NY 10457

Matthew P. Horvat
5660 South Blackstone Avenue #3
Chicago, IL 60637

Victor Catano
3 Wyndover Woods Lane #4
White Plains, NY 10603

Barbara Lee Jackson
200 West 112th Street, #5D
New York, NY 10026

Joseph B. Dixon Jr.
12 William St
Williston Park, NY 11596

Andre Pascal
30 Birch Terrace
Mt Arlington, NJ 07856

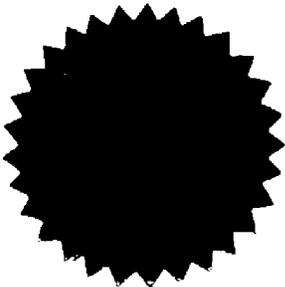
Nicole Gesualdo
7115 3rd Avenue #3D
Brooklyn, NY 11209

Nicholas Sidoti
226 E 70th Street, Apt PHB
New York, NY 10021

Robert D. Vitalo
939 Union Street #1B, Townhouse #2
Brooklyn, NY 11215

4. The board shall have power to adopt bylaws not inconsistent with the provisions of Article 56 of the Education Law.
5. The corporation hereby created shall be a nonstock corporation organized and operated exclusively for educational purposes as defined in section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law), and no part of its earnings or net income shall inure to the benefit of any individual; and no officer, member, or employee of the corporation shall receive or be entitled to receive any pecuniary profit from the operations thereof, except reasonable compensation for services.

6. Notwithstanding any other provision of these articles the corporation shall not carry on any other activities not permitted to be carried on (a) by a corporation exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law) or (b) by a corporation, contributions to which are deductible under section 170(c)(2) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law).
7. No substantial part of the activities of the corporation shall be devoted to carrying on propaganda, or otherwise attempting to influence legislation (except to the extent authorized by Internal Revenue Code section 501(h) as amended, or the corresponding provision of any future United States Internal Revenue Law, during any fiscal year or years in which the corporation has chosen to utilize the benefits authorized by the statutory provision), and the corporation shall not participate in nor intervene (including the publishing or distribution of statements) in any political campaign on behalf of, or in opposition to, any candidate for public office.
8. Upon dissolution of the corporation, the board of trustees shall, after paying or making provision for the payment of all the liabilities of the corporation, dispose of the remaining assets of the corporation to a charter school located within the school district in which the charter school is located, provided that such charter school shall be exempt from federal income taxation under section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law), exclusively for one or more exempt purposes within the meaning of section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law).
9. The principal office of the corporation shall be located at Tech International Charter School, c/o Steve Bergen, 300 E. 85th Street #3303, New York, NY 10028.
10. The Commissioner of Education is designated as the representative of the corporation upon whom process in any action or proceeding against it may be served.
11. Such provisional charter may be extended upon application for a term of up to five years in accordance with the provisions of Article 56 of the Education Law.



Granted, September 13, 2011, by the Board of Regents of The University of the State of New York, for and on behalf of the State Education Department, and executed under the seal of said University and recorded as Number 633.

(b)(6)

Chancellor

President of the University and
Commissioner of Education

Partnership for Innovation in Compensation for Charter Schools—4NYC (PICCS4NYC)

Memorandum of Understanding

This **Memorandum of Understanding (MOU)** is entered into by and between the following entities: a) The Center for Educational Innovation-Public Education Association (CEI-PEA), a not-for-profit organization, and the following charter school local educational associations (LEAs):

- Bedford Stuyvesant New Beginnings Charter School
- Imagine Me Leadership Charter School
- Inwood Academy Charter School
- La Cima Elementary Charter School
- Lavelle Preparatory Charter School
- Lefferts Gardens Charter School
- New Dawn Charter High School
- Summit Academy Charter School
- Tech International Charter School

These entities are applying to the U.S. Department of Education (ED) as group applicants for a grant award under the fiscal year (FY) 2012 Teacher Incentive Fund (TIF) General TIF Competition. The purpose of this MOU is to establish the framework through which, if ED approves their application, the group applicants will collaborate between and amongst themselves and to articulate the specific roles and responsibilities of each group applicant in implementing the approved TIF project, i.e. the Partnership for Innovation in Compensation for Charter Schools 4NYC (PICCS4NYC). Each member of the group understands that, if the project is funded, it will be a full partner and “grantee” and, accordingly, is legally and ethically obligated to implement all project activities in a manner consistent with the approved TIF application and each member of the group agrees to honor each and every commitment set forth in this MOU. The statements and commitments of each consortium member in this MOU extend throughout the entire term of the project.

I. Scope of Work

Each group applicant agrees to participate in the proposed TIF project that is set forth in this group application for the FY 2012 TIF competition and to conduct activities and carry out responsibilities as may be identified in that application.

II. If Funded, Each Applicant Understands That It Will Be a Grantee of the US Department of Education

Each group applicant understands that, if the group application is funded, it will be a grantee and will assume the legal and programmatic responsibilities of a grantee.

III. Lead Applicant and Fiscal Agent

CEI-PEA will serve as the lead applicant. As the lead applicant, CEI-PEA will apply for the grant on behalf of the group and will serve as the fiscal agent for the group in the event a grant is awarded. CEI-PEA has considerable experience managing and serving as fiscal agent for federally-funded projects, including TIF projects. As fiscal agent, CEI-PEA understands that it is responsible for the receipt and distribution of all grant funds and for ensuring that the project is carried out by the group in accordance with Federal requirements.

IV. Use of Funds

Each group applicant that is not the lead applicant agrees to use the funds it will receive from the lead applicant under the MOU agreement in accordance with all Federal requirements that apply to the grant, including any restrictions on the use of TIF funds set forth in the Notice Inviting Applications (NIA), provisions of the approved TIF application, and applicable provisions of the Education Department General Administrative Regulations (EDGAR), including provisions governing allowable costs in section 74.27 (applicable to non-profit organizations) and section 80.22 (applicable to SEAs and LEAs). (See 34 C.F.R.74.27 and 80.22.) Each group applicant that is not the lead applicant further agrees to work closely with CEI-PEA to support effective financial management of the project and to provide any information regarding use of grant funds or other fiscal aspects of the project that may be required by CEI-PEA and/or ED.

V. Participating LEA Responsibilities

Each participating charter school LEA agrees to--

- 1) *Implement the Human Capital Management System (HCMS), including its evaluation systems, performance-based compensation system (PBCS), professional development program and other HCMS components, as well as other project components described in the approved application.* If PICCS4NYC is funded, each participating charter school LEA will integrate the project's systems, programs and activities of PICCS4NYC into the overall operation and culture of its school. Under leadership of the School Leader—and with support of the Board of Trustees—each charter school LEA will be fully committed to implementing the PICCS4NYC program in the school. Each participating charter school LEA further agrees that no changes in leadership at the board or school leader

levels that may occur during the term of the grant will substantively alter, minimize or affect the school's commitment to and implementation of the HCMS.

- 2) *Build school-wide and consortium-wide commitment to and involvement in the HCMS and all project activities and initiatives.* As a member of the Project Advisory Team (PAT), each participating charter school LEA leader will participate actively and consistently in PAT meetings and activities throughout the project. PICCS4NYC information and issues will be a regular agenda item on each participating charter school LEA's regular meetings of the Board of Trustees. Each participating charter school LEA will either establish a school-based TIF Committee comprised of teachers and other school stakeholders or expand an existing committee comprised of teachers and other stakeholders (such as a school's leadership team) to: a) engage in school-wide planning and implementation of the HCMS; b) address issues related to implementation of the project; c) support the work of a PICCS4NYC Coordinator in the school; d) monitor and advise school-based personnel in implementing the project; and e) coordinate school-based project activities with consortium-wide project activities. Each participating charter school LEA's TIF Committee will elect at least one representative to participate along with the school's principal or school leader in the PAT, including attendance in regular PAT meetings. Each participating charter school LEA will support the work of a site-based PICCS4NYC Coordinator at the school. Such support will include: (1) providing the PICCS4NYC Coordinator with appropriate desk or office space and access to resources; (2) working cooperatively with the PICCS4NYC Coordinator to implement site-based PICCS4NYC activities; and (3) providing administrative, scheduling and communications support, as necessary. The primary point-of-contact for the PICCS4NYC Coordinator at each school will be the School Leader. Each participating charter school LEA will also support its teachers and staff in participating fully in project activities, including accommodations for professional development (e.g. release time, common planning time, etc.). Each participating charter school LEA will also provide access to school sites and appropriate resources for project staff, consultants, professional development providers and others, as needed, to implement project activities.
- 3) *Participate fully in planning related to the development and implementation of the HCMS.* If PICCS4NYC is funded, each participating charter school LEA will participate in planning meetings during the first year of the project (i.e. the Planning Year). Such participation will include, but not be limited to: a) providing student, staff and overall school information as required and participating in project-based gap analysis surveys; b) engaging in post-gap-analysis planning to address gaps and issues identified by the gap analysis and improve the HCMS; c) working with CEI-PEA and other project partners to create and implement professional development to support the HCMS; d) developing a plan to ensure that an improved evaluation system and PBCS will be in place by no later

than the third year of the grant; and e) coordinating school-based planning with project-based planning to ensure effective implementation of the project.

- 4) *Engage in comprehensive review and reform of Teacher and School Leader Evaluation Systems.* If PICCS4NYC is funded, each participating charter school LEA will establish a school-wide (i.e. LEA-wide) evaluation system based on student growth and teacher/school leader practice. The evaluation system will generate a composite score that results in a rubric-based teacher and principal HEDI ranking (i.e. Highly-effective, Effective, Developing and Ineffective) rubrics, as described in the application. This evaluation system will be driven by analysis of student growth and professional practice measures. It is understood by each participating charter school LEA that the evaluation system will be a critical and driving component of the HCMS and, as such, will provide data that will influence decisions regarding compensation, promotion, termination and retention, as well as professional development, induction and school improvement.
- 5) *Establish a sustainable PBCS by at least the third year of the project.* If PICCS4NYC is funded, each participating charter school LEA will establish a PBCS for all teachers and school leaders (e.g. Principal, School Leader and/or Executive Director) based on evaluation results and the framework outlined in the approved TIF application. Each such PBCS will be in place by at least the third year of the project and will provide performance-based compensation each year to teachers, school leaders, instructional administrators, librarians and counselors who are deemed “effective” or “highly effective” based on the HEDI measures and annual evaluation process described in the TIF application. Each participating school agrees to integrate the PBCS into its overall salary structure in a manner that ensures that the PBCS is not “bonus”-based but, rather will structurally reform the compensation model in the school. Each PBCS will be aligned with the elements of each participating charter school LEA’s HCMS and will be sustained beyond the term of the TIF grant.
- 6) *Establish school-wide and consortium-wide data cultures and professional learning communities (PLCs).* If PICCS4NYC is funded, each participating charter school LEA will commit to using the project’s technologies, such as the data warehouse and portal, and initiatives such as Peer Review and PICCS4NYC PLC certification. In order to build school-wide capacity to sustain major PICCS4NYC systems, activities and programs each participating charter school LEA will comply with the following: a) the development and continued support for school-wide grade-level/subject matter and/or other professional learning communities (PLCs) that meet regularly throughout the year as well as consortium-wide PLCs such as a PICCS4NYC School Leader PLC; b) the identification and ongoing support of a PLC Coordinator who will be required to attend one consortium-wide meeting per month throughout the school year as well as satisfy other school-based responsibilities described in a detailed job description; c) the

appointment and support of a teacher who will become a certified PLC Coach; d) the appointment and ongoing support of a school-wide Data Coordinator who will be required to attend one consortium-wide meeting per month throughout the school year as well as satisfy other responsibilities described in a detailed job description; e) the appointment and continued support of at least one school-wide Data Coaches Team that consists of at least 2 teachers who are required to complete at least 6 days of training over approximately a three consecutive month period; and f) the identification of additional titles and responsibilities as needed to assist the school community in establishing full capacity to sustain successfully the school improvement elements of the PICCS4NYC Model beyond the grant period. It should be noted that all the titles listed above will be required to participate in training related to each job description.

- 7) *Provide such additional support as may be required.* Each participating charter school LEA is committed to the success of the TIF project. If PICCS4NYC is funded, each participating charter school LEA commits to work collaboratively with CEI-PEA and the other participating charter schools to support the implementation of PICCS4NYC activities across the consortium and at each charter school.
- 8) *Participate, as requested, in any evaluations of this grant conducted by ED or by evaluators working at the request of the group.* Each participating charter school LEA will provide all project evaluation-related data requested by CEI-PEA, by any external evaluator and by ED in a timely manner, and will provide access to school sites or records (subject to any relevant legal conditions or restrictions) upon request of CEI, an external evaluator or ED.

VI. Other Members' Responsibilities

In addition to the fiscal management responsibilities described above, CEI-PEA agrees to provide overall project management services as described in the TIF application. Such services will include: a) hiring and managing project personnel; b) hiring, contracting with and overseeing the work of project consultants, professional development providers and vendors; c) coordinating, scheduling and facilitating PAT meetings and other project planning and management activities; d) coordinating at least one conference annually for PICCS4NYC charter school LEAs; e) support each participating charter school LEA in planning and implementation of project activities and in integrating PICCS4NYC into the school's culture and community; f) establishing and building capacity of participating schools to use PICCS4NYC technologies, including the data warehouse, a project-based web portal and technology to support curriculum mapping, alignment of curricula with the NYS Common Core learning standards and other NYS standards; and g) ensuring that the project meets ED reporting and accountability requirements.

VII. Joint Responsibilities for Communications and Development of Timelines

Each member of the group agrees to the following joint responsibilities--

- 1) Each member of the group will appoint a key contact person for the TIF grant. This key person will be one of the school representatives who serves on the PAT (i.e. the principal/school leader or other school PAT member).
- 2) These key contacts will maintain frequent communication to facilitate cooperation under this MOU.
- 3) These key contacts will work together to determine appropriate timelines for project updates and status reports throughout the whole grant project period.

VIII. Working Relationship Among Group Members

CEI-PEA and each participating charter school LEA acknowledge that, as partners and “grantees” they will be individually and collectively responsible not only to the other project partners, but also to ED, to carry out the project’s activities and initiatives with fidelity to the approved TIF application. If the project is funded, each partner will participate actively and fully throughout the entire term of the grant. Each partner is committed to implementing the project effectively, working collaboratively and achieving the project’s goals and objectives. This commitment is reflected by the fact that the Memorandum of Understanding has been signed by each participating charter school LEA’s School Leader and one member of each participating charter school LEA’s Board of Trustees.

Each participating charter school LEA will be represented on the PAT by the school leader and at least one additional school stakeholder, and attendance and full participation in PAT meetings is mandatory. Each participating charter school LEA’s Board of Trustees will be kept aware of project activities and outcomes through agenda item reports by the School Leader at each regular board meeting.

Data coordinators and PLC Coordinators from across the consortium will meet separately on a monthly basis, in person or via teleconference, to plan, share effective practices, engage in professional development and identify and address challenges and issues that arise over the course of the project.

IX. Assurances

Each member of the group hereby assures and represents that it:

- 1) Agrees to be bound to every statement and assurance made by the lead applicant in the application;

3) Have all requisite power and authority to execute this MOU.

4) Collaborate with the groups TIF application and is committed to working collaboratively to meet the responsibilities specified in the MOU in order to ensure the TIF project's success.

4) Will comply with all the terms of the Grant and all applicable Federal and State laws and regulations, including laws and regulations applicable to the Program, and the applicable provisions of EDOAR.

X. Modifications

1) Compliance with the group's responsibility to implement the approved TIF application. This MOU may be amended only by written agreement signed by each of the group members.

2) Modifications of this MOU do not relieve members of the group from implementing the content of the approved TIF application; therefore any modification that would require a change in the approved application must be approved by the U.S. Department of Education.

3) No member may execute a modification of this MOU, relieve any member of the group of its responsibility to ensure that the MOU is the authority that each member of the group is to perform, or release any member of the group from any statement and assurance made by the group applicant in the application. See section 18.133(a) of EDOAR (34 C.F.R. 105.173(a)).

XI. Effective Date Duration Termination

This MOU shall take effect upon the lead applicant receiving a notice of grant award of TIF funds from the U.S. Department of Education.

This MOU shall be effective beginning with the date of the award procedure letter and shall continue until the expiration of the project award period. Because any award of TIF funds by ED to support the project application is contingent upon the execution of this MOU by each party to this application, the members of the group also agree that they will not terminate this MOU prior to the end of the grant project period without ED approval.

XII. Signatures

CENTER FOR EDUCATIONAL INNOVATION - PUBLIC EDUCATION ASSOCIATION

Secretary/Treasurer/President

(b)(6)

Signature

[Handwritten Signature]
Date

IMAGINE ME LEADERSHIP CHARTER SCHOOL

School Leader: Dennis McKesey
[PRINT NAME]

(b)(6)
Signature

7/23/12
Date

Board Representative: Pastor David Brawley
[PRINT NAME]

(b)(6); (b)(7)(C)
Signature

7/23/12
Date

IMAGINE ME LEADERSHIP CHARTER SCHOOL

School Leader: Beverly Bristol
[PRINT NAME]

Beverly Bristol
Signature

7/23/12
Date

Board Representative: David Aviles
[PRINT NAME]

(b)(6)
Signature

7/23/12
Date

INWOOD ACADEMY CHARTER SCHOOL

School Leader: _____
[PRINT NAME]

Signature

Date

Board Representative: _____
[PRINT NAME]

Signature

Date

BEDFORD STUYVESANT NEW BEGINNINGS CHARTER SCHOOL

School Leader:

[PRINT NAME]

Signature

Date

Board Representative:

[PRINT NAME]

Signature

Date

IMAGINE ME LEADERSHIP CHARTER SCHOOL

School Leader:

[PRINT NAME]

Signature

Date

Board Representative:

[PRINT NAME]

Signature

Date

INWOOD ACADEMY CHARTER SCHOOL

School Leader:

CHRISTINA REYES

(b)(6)

Signature

07/23/2012

Date

Board Representative:

MATT MAHONEY

(b)(6)

Signature

07/23/2012

Date

LA CIMA ELEMENTARY CHARTER SCHOOL

School Leader: ANDREA ZAYAS
[PRINT NAME]

(b)(6)

Signature

7/23/12
Date

Board Representative: SHEREEM HERNDON-BROWN

(b)(6)

Signature

7/23/12
Date

LAVELLE PREPERATORY CHARTER SCHOOL

School Leader: _____
[PRINT NAME]

Signature

Date

Board Representative: _____
[PRINT NAME]

Signature

Date

LEFFERTS GARDENS CHARTER SCHOOL

School Leader: _____
[PRINT NAME]

Signature

Date

Board Representative: _____
[PRINT NAME]

Signature

Date

LA CIMA ELEMENTARY CHARTER SCHOOL

School Leader: _____
[PRINT NAME]

Signature _____ Date _____

Board Representative: _____
[PRINT NAME]

Signature _____ Date _____

LAVELLE PREPERATORY CHARTER SCHOOL

School Leader: Kenneth Byalin
[PRINT NAME]

Signature: (b)(6) _____ Date: 7/19/2012

Board Representative: Deborah Miller
[PRINT NAME]

Signature: (b)(6) _____ Date: 7/19/2012

LEFFERTS GARDENS CHARTER SCHOOL

School Leader: _____
[PRINT NAME]

Signature _____ Date _____

Board Representative: _____
[PRINT NAME]

Signature _____ Date _____

NEW DAWN CHARTER HIGH SCHOOL

School Leader:

Laura Lee [Signature]
[PRINT NAME]

(b)(6)

Signature

7/21/2020
Date

Board Representative:

[Signature]
[PRINT NAME]

(b)(1),(b)(6)

Signature

7/25/20
Date

SUMMIT ACADEMY CHARTER SCHOOL

School Leader:

[PRINT NAME]

Signature

Date

Board Representative:

[PRINT NAME]

Signature

Date

TECH INTERNATIONAL CHARTER SCHOOL

School Leader:

[PRINT NAME]

Signature

Date

Board Representative:

[PRINT NAME]

Signature

Date

School Leader: **Steve Bergen**

[PRINT NAME]

(b)(6)

Signature Date

7/20/12

Board Representative: Lili Scalfetta

[PRINT NAME]

(b)(6)

Signature Date

7/20/12

**INDIRECT COST RATE AGREEMENT
NONPROFIT ORGANIZATION**

ORGANIZATION:

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

DATE: JUN 14 2010

AGREEMENT NO. 2010-042

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

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

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

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

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

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

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

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

Section III - Special Remark

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

Section IV - Approvals

For the Nonprofit Organization :

Center for Educational Innovation
 28 West 44th Street
 New York, New York 10036-6600

(b)(6)

Signature

Seymour Finegel

Name

PRESIDENT

Title

6/16/10

Date

For the Federal Government:

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

(b)(6)

Signature

Mary Gougisha

Name

Director, Indirect Cost Group

Title

JUN 14 2010

Date

Paul Brickman

Negotiator

(202) 245-8012

Telephone

HARVEY NEWMAN

(b)(6)

ADMINISTRATIVE EXPERIENCE

1999-present:

Senior Fellow, Center for Educational Innovation—Public Education Association, and Director of the Charter School Technical Assistance Center

- Coordinates charter school activities at the Center for Educational Innovation—Public Education Association
- Explains the New York State charter school law to groups and individuals
- Brokers relationships between individuals and groups interested in supporting charter schools
- Brokers relationships between individuals and groups interested in supporting charter schools
- Provides technical assistance to charter school applicants
- Coordinates and supports the administration and instruction for new charter schools
- Assists in restructuring schools and supporting school reform in the State of Israel

1994-1999:

Director of Option Schools, Community School District 4, New York, NY 10035

- Oversaw administration of 26 schools serving 5,300 students in grades pre-K through 9, which have been recognized as national school models
- Was responsible for placement of all district junior high school students through an open zoning process

- Supervised curriculum development initiatives, helped establish school themes and philosophies, coordinated resources within and outside the district
- Restructured existing schools and created new schools, including The Young Women's Leadership School, in concert with the central Board of Education and private support
- Administered and supervised all district assessment and evaluation
- Coordinated and monitored plant operations for 20 school buildings and one leased property
- Worked closely with funded programs, business office, and superintendent in monitoring and supporting existing programs and developing new initiatives
- Maintained ongoing contact with community agencies to develop, maintain, and improve educational and related supports for schools

1978-1993:

Director of East Harlem Block School, 1615 Madison Avenue, New York, NY 10029

- Administered and supervised K-6 elementary school in Manhattan's School District 4 as a joint effort with the East Harlem Block School Association
- Oversaw hiring, staff development, scheduling, curriculum development, maintenance of records, proposal writing, administration of all mandated City and State examinations within the school

1971-1978:

Coordinator of SCANT Program (School Community Anti-Narcotics Training Program), Community School District 4, New York, NY 10035

- Was responsible for the design and implementation of academic and therapeutic programming for at-risk students in a City- and State-sponsored drug prevention program
- Supervised ten teachers and five counselors in developing a child-centered environment

1968-1974:

Director of East Harlem Neighborhood Study Club, 1935 Second Avenue, New York, NY 10029

- Supervised year-round after-school reading program and summer recreational and educational activities for elementary and junior high school students
- Coordinated staff development for 29 regular and volunteer staff

TEACHING AND COUNSELING EXPERIENCE

Guidance Counselor Community School District 19	1970-1971
Language Arts Teacher Community School District 5	1964-1967
Guidance Counselor Community School District 5	1968-1970
Teacher of English as a Second Language, New York City Adult Education Program	1965-1967

EDUCATION

Advanced Certificate in Educational Supervision and Administration, Hunter College	1991
Study at Baruch College	1975-1977
Master of Science, City University of New York	1968
Graduate study at Columbia University	1965-1967
Bachelor of Science, University of Pittsburgh	1964

LICENCES

New York City Board of Education, Education Administer
New York City Board of Education, Principal
New York City Board of Education, Guidance Counselor
New York City Board of Education, Speech Teacher

(b)(6)

Frank San Felice

Objective To provide consultation services in management, strategic planning, grant development, teacher and principal evaluation with a focus on Race to the Top, school improvements initiatives with a focus on charter schools.

Experience 2002-Present JPS Solutions LLC Hyde Park, NY
Principal
Teacher Incentive Fund Rounds 2 and 3 (PICCS) Project Co-Director since Summer 2007 to present in New York City and Buffalo, New York
Planning services for charter schools and school districts
Grant development for charter schools and school districts
Grant evaluations for school districts and not-for-profit organizations
Development of Consolidated Applications for Charter Schools and school districts
Development of Charter Applications, and Charter Renewal Applications
Consultation related to school improvement activities for charter schools and school districts

1998-2001 SF Consulting LLC Hyde Park, NY
President
Participant in the Evaluation of \$50 million NYS Diffusion Fund
Consultant to NYSED Peer Review Process and the New York State Academy for Teaching and learning
Administrative (Consolidation) Study for suburban NYS School District

1987-1998 Dutchess County BOCES Poughkeepsie, NY
Assistant Superintendent for Instructional Services
Instrumental in the development of County-wide fiber optic Distance Learning Network with 14 school districts
Instrumental in building highly successful BOCES Instructional Services Division.
Instrumental in the development and operation of a county-wide, 9-12 alternative high school for "at-risk" students
Development of numerous successful grants and partnerships with higher education and CBO's

1988-1987 Pleasantville School District Pleasantville, NY
Middle School Administrator

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

Education	1977-1980	University of Kansas	Lawrence, KS
	Post Graduate in Education Administration		
	1968-1972	State University at New Paltz	New Paltz, NY
	M.S. Education		
	1964-1967	Marist College	Poughkeepsie, NY
	B.A., History Graduated Cum Laude		
Volunteer Activity	Former President, Board of Directors, Dutchess County YMCA; Former Member, Board of Directors, Brookside Day Care Center; and Current Member, Board of Trustees, New York Center for Autism Charter School, and New Dawn Charter School.		
Military Service	1960-1964	United States Air Force	Honorable Discharge

CARTER CLAWSON

(b)(6)

EXPERIENCE

CENTER FOR EDUCATIONAL INNOVATION- PUBLIC EDUCATION ASSOCIATION New York City and Buffalo, New York

Deputy Director – October 2010 to Present

- Deputy Director of Partnership for Innovation in Compensation for Charter Schools (PICCS) Projects, funded by the US Department of Education's Teacher Incentive Fund
- Integrate and coordinate within and among program areas related to school improvement for 20 charter schools
- Grant administration and reporting to Federal government for three 5 year grants
- Aid schools in transition to the PICCS School Improvement Model
- Provide technical assistance to principals in performance-based compensation systems, effective communications, and school wide planning
- Directly supervise staff in New York City and in Buffalo, NY
- Outline and execute project-wide plans for professional development and coordinate PICCS annual conference for approximately 250 educators
- Implement school improvement services for charter schools beyond their federally funded-participation

Project Coordinator – July 2007 to October 2010

- Liaison between participating school leadership and project partners
- Grant compliance and reporting to US DOE

UNITED WAY OF THE MIDLANDS, Columbia, South Carolina - Fall 2006 to Spring 2007

Administration Intern

- Responsibilities included Grant processing, Fundraising activities for 2006 Campaign, Program evaluation for United Way partner agencies

DUTCH FORK HIGH SCHOOL, Irmo, SC - Fall 2005 to Spring 2006

School Social Work Intern

- Served under the Safe Schools Healthy Families contract through the Department of Health and Environmental Control

DOMINION HOSPITAL, Falls Church, Virginia - Fall 2004 to Spring 2005

Psychiatric Technician

- Care for individuals confined to acute mental health setting, participate in planning and implementation of individual patient treatment plans, and observes and reports physical or behavioral signs or changes in a manner that considers safety, patient's rights, comfort, and the therapeutic environment

CENTRAL VIRGINIA MIDDLE CHILDHOOD STUDY, Charlottesville, Virginia - Fall 2003 to Spring 2004

Research Assistant

- Served under Charlotte Patterson, Ph.D,

FLORENCE NIGHTINGALE HOSPITAL, London, England - Fall 2002

Intern

- Assisted the licensed substance abuse counselor in the Drug and Alcohol Rehabilitation Unit

EDUCATION

UNIVERSITY OF SOUTH CAROLINA, College of Social Work, Columbia, SC

Masters of Social Work, Concentration in Organizations and Communities, June 2007

GPA: 4.0, CSWE Accredited

Coursework includes: Administrative Skills, Social Welfare Policy Analysis, Evaluation Research, Fundraising, Community Practice/Organizing, Research Methodologies for Social Work, and Independent Study on Community Gardens

UNIVERSITY OF VIRGINIA, Charlottesville, Virginia

Bachelor of Arts in Psychology, June 2004

JANE Y. SUN

(b)(6)

PROFESSIONAL EXPERIENCE

The Center for Educational Innovation- Public Education Association New York, NY
Lead Data Engineer 12/ 2010-Present

- Designing a powerful integrated software tool for schools and teachers including explaining business rules and analytical priorities;
- Verifying the data and calculations used to determine teacher pay outs;
- Designing and implementing ETL processes;
- Developing downloading procedures and platforms for data;
- Consolidating school data and resolving any data issues resulting from the consolidation of school data and data errors;
- Implementing & maintaining the system of defining the data keys for linking data;
- Providing evaluation of data management policies, procedures and other documentation requested by software companies, Federal Education Department, and NYC DOE.
- Overseeing the supervision and work of data engineers.

Data Engineer 06/ 2009-11/ 2010

- Verified the data downloaded by schools, as well as the calculations used to determine teachers' incentives based on this data;
- Served as a single point of contact for processes related to acquisition, collection, verification, consolidation, and transferred school data from schools to software companies' SFTP site.
- Resolved data issues that would put the project timeline and deliverables at risk;
- Ensured data completeness and is responsible for data quality;
- Acted as liaison to individual schools on behalf of CEI-PEA to communicate project status and monitor progress;
- On behalf of individual schools, acted as decision maker for business rules and other implementation elements;

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

- Developed and maintained database system of wireless and portable devices.
- Instructed Laptops and Blackberries to a large number of HRA program staff.
- Conducted the intricacies of Laptops and Blackberries including configuring, trouble shooting.

Tianjin Foreign Language School Tianjin, China
Lecturer, Mathematics Division 1994-2004

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

EDUCATION

M.S. Applied Mathematics, City College of New York, CCNY, September 2008 GPA: 3.8

B.A. Mathematics, Tianjin Normal University, 1994, Tianjin, China

KENNETH WHITE

(b)(6)

Summary

Reliable, team-oriented individual with great problem solving skills
Extensive knowledge and experience as IT specialist
Certified teacher, NY State Department of Education

Technical Expertise

- System Analysis And Design
- Programming (Visual Studio)
- End-User/Customer interfacing
- Technical Support
- Data Migration
- Data Management
- Database Development
- Data Modeling
- User documentation

Experience

- 09/10-12/11** **Applied Data Services** **Brooklyn, NY**
Senior Programmer Analyst/Network Administrator
- Supported and deployed network infrastructure Vyatta, Avaya, 3Com and HP routers, switches and hubs
 - Optimized reliability and security of company network by reconfiguring VLANS and rewiring several offices
 - Implemented VOIP systems using open source software, supporting over 20 users and 40 phones
 - Designed and developed several data collection and reporting applications
 - Provided 2nd and 3rd level support to for internal systems and users' problems
- 09/04-08/10** **New York City Department of Education** **Brooklyn, NY**
High School Teacher
- Developed and taught various computer technology courses, including Visual Basic and Java
 - Conducted professional development for teachers related to educational software and technology
 - Adapt teaching methods and instructional materials to meet students' varying needs and interests
 - Establish and enforce rules for behavior and procedures for maintaining order among students
- 07/03-08/04** **Medisure Inc.** **Bronx, NY**
Senior Programmer Analyst
- Planned and implemented transitioning of medical billing system into electronic format
 - Increased company's cash flow by 20 % through efficiency in data entry and billing
 - Installed servers and workstations, and configured secure data transmission
 - Trained staff in using the data transmission software to successfully transmit billing data
- 04/00-06/03** **Multiplan, Inc** **New York, NY**
Senior Programmer/Analyst
- Completed database design and data migration from FoxPro to Oracle
 - Evaluated alternative platforms and developed cost benefit analysis
 - Designed and developed HIPAA compliant EDI systems facilitating transaction worth millions of dollars
 - Implemented data translation systems to conform new industry formats (NFS, HIPAA, Medicaid)

Education

New York Institute of Technology **New York, NY**
MBA – Management of Information Systems

University of the West Indies **Mona, Jamaica**
Bachelor's Degree in Mass Communication

Mico Teachers College **Kingston, Jamaica**
Certificate in Education & Management of Educational Projects

Budget Narrative File(s)

* Mandatory Budget Narrative Filename:

To add more Budget Narrative attachments, please use the attachment buttons below.

PICCS4 NYC Budget Narrative Submitted by CEI-PEA - Section A Federal

	A	D	E	F	G	H	I	J	K
1		Base	Annual	Year 1	Year 2	Year 3	Year 4	Year 5	
2		Rate	Increase	2012-13	2013-14	2014-15	2015-16	2016-17	Total
3	1. Personnel (b)(4)								
4	(b)(4)								
5									
6									
7									
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11									
12									
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14									
15									
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17									
18									
19									
20									
21									
22	3. Travel								

PICCS4 NYC Budget Narrative Submitted by CEI-PEA - Section A Federal

	A	D	E	F	G	H	I	J	K
1		Base	Annual	Year 1	Year 2	Year 3	Year 4	Year 5	
2		Rate	Increase	2012-13	2013-14	2014-15	2015-16	2016-17	Total
23	3 Project staff to attend the required Annual 1.5 day Teacher Incentive Fund Grantee Meeting to be convened in a major U.S. city. Calculated @ 3 staff x lodging @ 3 nights x \$175/night + meals @ 2.5 days x \$75/day + transportation @ \$400 roundtrip + \$75 for parking, taxi, tolls, etc.			\$3,563	\$3,563	\$3,563	\$3,563	\$3,563	
24	2 Project staff to attend the required Annual 1.5 day Teacher Incentive Fund Topical Meeting to be convened in a major U.S. city. Calculated @ 2 staff x lodging @ 3 nights x \$175/night + meals @ 2.5 days x \$75/day + transportation @ \$400 roundtrip + \$75 for parking, taxi, tolls, etc.			\$2,375	\$2,375	\$2,375	\$2,375	\$2,375	
25	Project staff travel locally utilizing public transportation, taxi, car service, and personal auto as appropriate. Estimated @ \$500/month x 12 months			\$6,000	\$6,000	\$6,000	\$6,000	\$6,000	
26	Total Travel			\$11,938	\$11,938	\$11,938	\$11,938	\$11,938	\$59,688
27									
28	4. Equipment (N/A)			\$0	\$0	\$0	\$0	\$0	\$0
29									
30	5. Supplies								
31	Project office materials and supplies. Estimated @ \$5,000/year	N/A		\$5,000	\$5,000	\$5,000	\$5,000	\$5,000	
32	Professional development resource materials for use by 6 schools plus (1) project office x \$300/year (15 items x \$20/item)	\$300		\$2,100	\$2,100	\$2,100	\$2,100	\$2,100	
33	In Year 1 provide staff with 4 laptops and/or desktops and Office Professional software. Calculated @ 4 laptops x \$1,500 each	\$1,500		\$9,000	\$0	\$0	\$0	\$0	
34	Smart Phones - Initial Purchase	\$350		\$2,100	\$0	\$0	\$0	\$0	
35	Smart Phones - Monthly Fees \$200/month x 12 months.	\$2,400		\$14,400	\$14,400	\$14,400	\$14,400	\$14,400	
36	In Year 1 purchase additional furniture including desks, chairs, file cabinets, etc. estimated @ 6 workspaces x \$800/workspace = \$4,800	\$800		\$4,800	\$0	\$0	\$0	\$0	
37	iPad2 complete with software for use in teacher evaluation estimated @ 2 devices x \$1,000/device	\$1,000		\$2,000	\$0	\$0	\$0	\$0	
38	iPad2 data service @ 2 devices x \$40/month x 12 months	\$480		\$960	\$0	\$0	\$0	\$0	
39	Camera/iPod Touch/Tripod/High-Defintition Microphone @ \$499 each x 2/school/year for use capturing lessons for PLCs reflection and instructional improvement.	\$998		\$5,988	\$5,988	\$5,988	\$5,988	\$5,988	
40	Assessments for use by schools in pre and post testing students for the purpose of determining principal and teacher evaluation scores. Estimated at \$50/student/year			\$73,400	\$95,250	\$116,400	\$134,750	\$147,950	

PICCS4 NYC Budget Narrative Submitted by CEI-PEA - Section A Federal

	A	D	E	F	G	H	I	J	K
1		Base	Annual	Year 1	Year 2	Year 3	Year 4	Year 5	
2		Rate	Increase	2012-13	2013-14	2014-15	2015-16	2016-17	Total
41	Total Supplies			\$119,748	\$122,738	\$143,888	\$162,238	\$175,438	\$724,050
42									
43	6. Contractual								
44	(b)(4)								
45	Consultants to provide school-wide planning services intergrating each school's charter plan with the PICCS School Improvement Model and the HCMS Master Plan. Calculated in Years 1-2 @ \$8,000/school x 6 schools, and in Years 3-5 @ \$5,000/school plus travel estimated at \$4,000.			\$52,000	\$52,000	\$34,000	\$34,000	\$34,000	
46	Consultant to provide grant development services to ensure sustainability with the goal of developing 3 grant proposal/year. Calculated @ 20 hours/grant x \$110/hour x 3 grants.			\$6,600	\$6,600	\$6,600	\$6,600	\$6,600	
47	Consultant to provide authorizer relations services to ensure that charter charter renewals incorporate project-related changes acceptable by charter authorizers. Calculated @ 24 hours/month in Year 1-3 during the process of introducing the HCMS, evaluation and PBCS and 10 hours/month in Years 4-5 @ \$110/hour.			\$31,680	\$31,680	\$31,680	\$13,200	\$13,200	
48	Consultant to serve as Data Use Coordinator promoting a culture of data use in each school utilizing data from multiple sources including curriculum maps and instructional units and lessons aligned to the Common Core, student performance tracking, ILPs and assessment programs. Calculated @ 40 days x \$750/day with 2% increases per year, plus travel estimated @ \$4,000/year			\$34,000	\$34,600	\$35,212	\$35,836	\$36,473	
49	Consultant to serve as the Data Warehouse Coordinator supporting data system and data system management capacity in each school through professional development and technical assistance; and providing statistical validation of PBCS. Calculated @ 40 days/year @\$750/day with 2% increases/year plus \$3,000 travel/year.			\$33,000	\$33,600	\$34,212	\$34,836	\$35,473	

PICCS4 NYC Budget Narrative Submitted by CEI-PEA - Section A Federal

	A	D	E	F	G	H	I	J	K
1		Base	Annual	Year 1	Year 2	Year 3	Year 4	Year 5	
2		Rate	Increase	2012-13	2013-14	2014-15	2015-16	2016-17	Total
50	Consultant to provide direction for programmatic communications, including development of public information regarding PICCS (website and print communications), support for grant development, support to schools in developing and implementing school-based communications plans. \$40,000 plus annual travel @ \$400/day for mileage, parking, hotel x 12 days (\$4,800)			\$44,800	\$44,800	\$44,800	\$44,800	\$44,800	
51	Consultant to provide ongoing maintenance and technical support for public websites, as well as design services for both web and print materials.			\$17,500	\$17,500	\$17,500	\$17,500	\$17,500	
52	Consultant to provide video production for videos used in public relations, professional development/training and web-based tutorials.			\$7,500	\$7,500	\$7,500	\$7,500	\$7,500	
53	Consultant to convert PICCS Data Warehouse from a licensed, proprietary software to an open source system in Year 1. Services to include: establishing all data feeds with sole source vendors and city and state data sources; creating user interfaces for uploading school-generated data such as staffing schedules; creating standard and ad hoc reports; creating dashbord for monitoring time sensitive data.			\$142,500					
54	Consultant to develop additional components for the PICCS Data Warehouse: educator evaluation system (Year 2) and student information system (Year 3). Student information system includes attendance and end-of-term grade input system with tablet-based applications to ease classroom and school-based use. Educator evaluation system includes data tracking system for all aspects of teacher and principal evaluation systems described in proposal, auto-calculating tools that link rubrics and HEDI scoring system; tablet-based applications to ease classroom and school-based use.			\$0	\$67,500	\$47,500	\$0	\$0	
55	Consultant to provide technical support and maintenance of PICCS Data Warehouse, including establishing all user accounts, Updates to open source software and modules, maintenance of automatic data feeds. Security maintained using data redundancy protocols, including: <ul style="list-style-type: none"> • Maintain hot server running replicated copy of database and application that is not available to public users. • Mysql Data backed up on same server at end-of-day for each of seven days, then weekly, and then monthly. • Mysql Database will be replicated nightly with a fully functional replicate site that is not public, unless activated at client's request. 			\$0	\$62,500	\$62,500	\$62,500	\$62,500	

PICCS4 NYC Budget Narrative Submitted by CEI-PEA - Section A Federal

	A	D	E	F	G	H	I	J	K
1		Base	Annual	Year 1	Year 2	Year 3	Year 4	Year 5	
2		Rate	Increase	2012-13	2013-14	2014-15	2015-16	2016-17	Total
56	Lease of two premium LINUX servers @ \$500 per month (one East coast and one West coast) to provide complete data redundancy compliant with federal requirements. Both servers will have direct access to Tier-1 network to ensure rapid and reliable data flow. • Dual Quad Core Xeon/8G RAM/300Gig disk space • 3TB of monthly downloads (average) with no billings for additional data transfers on periodic basis • >99.9% server up time with direct access to Tier-1 network • Data greater than 300GB download/day of unclassified/non-sensitive data open to the Global Internet • Daily automatic backup • Monitored network for physical and security vulnerabilities • Support for subscriber tracking and monitoring along with active blocking of offending attacks • Active prevention of runaway consumption of bandwidth and Denial-of-Service (DOS) attacks • Dashboard view for logging and reporting of downloads on periodic basis (IP-Based) • Maintain ability to implement IP-blocking to Export Controlled/ Embargoed Countries and Entities.			\$12,000	\$12,000	\$12,000	\$12,000	\$12,000	
57	Sole Source Heimes Communications to provide software implementation and training for the myPICCS portal @ \$1,200/school in Year 1. In Years 2-5 provide maintenance and 24/7 support for participating schools @ \$1,200 per school annually. Annual travel @ \$400/day for mileage, parking, hotel x 12 days (\$4,800)			\$12,000	\$12,000	\$12,000	\$12,000	\$12,000	
58	Sole Source SunGard PerformancePLUS to provide software licensing estimated @ \$9/student for suite of technology tools to support curriculum mapping and lesson development aligned to the Common Core; performance tracking including ILPs; and assessment development. (see attached detail sheet for numbers of students each year). In Year 1, technology implementation fee to enable data transfer and conduct training @ \$4,400 x 6 schools and to install assessment scanning software @ \$995/school x 6 schools.			\$45,582	\$17,145	\$20,952	\$24,255	\$26,631	

PICCS4 NYC Budget Narrative Submitted by CEI-PEA - Section A Federal

	A	D	E	F	G	H	I	J	K
1		Base	Annual	Year 1	Year 2	Year 3	Year 4	Year 5	
2		Rate	Increase	2012-13	2013-14	2014-15	2015-16	2016-17	Total
59	Sole Source SunGard PerformancePLUS - to provide program materials and training in support for leaders and teachers to fully utilize the technology tools for curriculum mapping and lesson development aligned to the Common Core, performance tracking including ILP; and assessment development. Calculated @ \$2,000/day for 14 days of school-site and centralized training in Years 1-3; and 20 days in Year s 4-5 , plus webinars @ \$180/hour for 14 hours in Year 1-5			\$30,520	\$30,520	\$30,520	\$42,520	\$42,520	
60	Sole Source -Technical Education Resource Center (TERC) - to provide the nationally recognized Using Data program materials and training workshops for school leaders and teachers with skills and new knowledge in collection and analysis of student data as a proven means of improving instruction and raising student achievement. Calculated @ \$3,500/day for 10 days in Year 1, 20 days in Years 2-3, and 10 days in Years 4-5. Program includes Data Leadership Academies, Pre-implementation site visits, Data Coaches Institutes, implementation site visits to each school, and Summer Data Institutes.			\$35,000	\$70,000	\$70,000	\$35,000	\$35,000	
61	National-level consultant to train and support school level teams to align the PICCS HCMS model with each school's charter goals and then effectively implement the components. Particular focus on using evaluation to drive each component of the HCMS. Calculated @ \$3,500/day x 3 days/school Years 1-3 and 2 days in each school in Years 4-5	\$3,500		\$63,000	\$63,000	\$63,000	\$42,000	\$42,000	
62	Consultant for the design and implementation of the PICCS evaluation system. Will provide direct training and coaching to schools, particularly in the area of measuring professional practice. Calculated at \$750/day x 4 days/school in Years 1-5 for principal improvement plus travel @ \$2,000/yr. For teacher improvement calculated at 4 days/school in Year 1-3 and 2 days in Years 4-5. Plus travel @ \$1,000 in Years 1-3 and \$500 in Years 4-5			\$39,000	\$39,720	\$40,454	\$31,153	\$31,840	
63	National-level consultant to help design and implement the performance-based compensation system within each school such that the PBCS is fully integrated with the HCMS. Specific areas of support include budget forecasting, implementing differentiated teaching level systems, and linking evaluation and performance-based compensation. Calculated @ \$2,000/day x 32 days Year 1-2, 25 days year 3, and 10 days in Years 4-5			\$64,000	\$64,000	\$50,000	\$20,000	\$20,000	

PICCS4 NYC Budget Narrative Submitted by CEI-PEA - Section A Federal

	A	D	E	F	G	H	I	J	K
1		Base	Annual	Year 1	Year 2	Year 3	Year 4	Year 5	
2		Rate	Increase	2012-13	2013-14	2014-15	2015-16	2016-17	Total
64	Sole Source Teachscape - professional development and related technology to support HCMS implementation through Observer Training and Certification. Teaching Proficiency Test/Training Annual User License including 15 hours training, 7 hours practice observations and 7 hour test certification @ \$399 x 12 school administrators in Years 1-5. In Years 2-5 Observer Calibration and Annual Recertification @ \$299 per certified staff member in previous years to maintain inter-rater reliability x 12 professional staff/year			\$4,788	\$8,376	\$8,376	\$8,376	\$8,376	
65	Licences for Teaching Proficiency Training including 15 hours of sample videos for each level of proficiency. Training to be guided by PICCS staff and consultants focusing on indicators of effective classroom instruction, e.g., Danielson Domains 2 and 3. Calculated @ \$45/license in Years 1-5 with 10% of all principals and teachers utilizing this resource each year and with the goal of 50% participation by Year 5. See attached Staff Counts detail sheet.			\$707	\$914	\$1,130	\$1,274	\$1,337	
66	Sole Source Eduplanet to provide social learning platform supporting cost-effective delivery of synchronous and asynchronous profession development. Supports PICCS and HCMS-related topics including principal and teacher evaluation, implemeting the common core, ILP conferencing, habits of mind, use of the SunGard curriculum, performance tracking and assessment development software, etc. Calculated @ one time fee in Year 1 of \$1,500/school plus \$50/teacher/year. See attached Staff Counts detail sheet.			\$9,142	\$9,350	\$11,750	\$13,350	\$14,050	
67	Sole Source SAM software and training enabling a principal to effectively shift focus from management tasks to instructional leadership significantly improve teaching and learning . Calculated @ \$12,900/school starting in Year 1 with 30% reduction in cost for Year 2 and another 30% reduction in Year 3 as capacity is developed at the school level.			\$77,400	\$54,180	\$37,926	\$0	\$0	
68	National-level Evaluator to design and implement project monitoring and evaluation program assess HCMS implementation supported by the PICCS School Improvement Model and integrated with each school's charter plan.			\$75,000	\$75,000	\$75,000	\$75,000	\$75,000	
69	Total Contractual			\$897,719	\$875,685	\$817,036	\$637,372	\$643,746	\$3,871,557
70									
71	7. Construction (N/A)			\$0	\$0	\$0	\$0	\$0	\$0
72									
73	8. Other								
74	Performance-Based Compensation System (PBCS) Allocations. See attached detail for allocations per school			\$30,000	\$30,000	\$1,450,800	\$1,312,500	\$906,000	

PICCS4 NYC Budget Narrative Submitted by CEI-PEA - Section A Federal

	A	D	E	F	G	H	I	J	K
1		Base	Annual	Year 1	Year 2	Year 3	Year 4	Year 5	
2		Rate	Increase	2012-13	2013-14	2014-15	2015-16	2016-17	Total
75	In Year 1 - Advertising costs to hire staff and consultants estimated @ \$2,500 in Year 1 prior to October 1, 2012			\$2,500	\$0	\$0	\$0	\$0	
76	Rental space @ \$37.5/sq ft x 1200 sq ft = \$45,000			\$45,000	\$45,000	\$45,000	\$45,000	\$45,000	
77	Total Other			\$77,500	\$75,000	\$1,495,800	\$1,357,500	\$951,000	\$3,956,800
78									
79	9. Total Direct Costs (lines 1-8)			\$1,484,113	\$1,477,101	\$2,876,623	\$2,671,504	\$2,309,474	\$10,818,814
80									
81	9a. Modified Direct Cost Base			\$1,031,631	\$1,067,801	\$2,557,394	\$2,445,186	\$2,078,290	\$9,180,303
82									
83	10. Indirect Costs @ 7.5% of modified direct costs			\$77,372	\$80,085	\$191,805	\$183,389	\$155,872	\$688,523
84									
85	11. Training Stipends			\$0	\$0	\$0	\$0	\$0	\$0
86									
87	12. Total Costs (lines 9, 10, 11)			\$1,561,485	\$1,557,186	\$3,068,427	\$2,854,893	\$2,465,345	\$11,507,336
88									

NOTES TO:
PICCS4 NYC Budget Narrative
Submitted by CEI-PEA - Section A Federal

Line Item	Relationship to project activities and outcomes
5	Deputy Director – see E. Project Management
6	Operations, Finance and PBCS Specialist – see E. Project Management
7	Program Assistant - see E. Project Management
8	Financial Assistant - see E. Project Management
9	Lead Data Engineer - see E. Project Management
10	Data Engineer - see E. Project Management
11	Social Learning Coordinator - see E. Project Management
12	PLC Coach - see E. Project Management
13	Site-based Specialists (2) - see E. Project Management
14	Project Liaison to CEI-PEA Board – Harvey Newman is a CEI-PEA Senior Fellow and director of all charter school programs at CEI-PEA. He will serve as liaison to the CEI-PEA Board of Directors and ensure that necessary organizational resources are allocated to support the proposed initiative.
18-19	Fringe benefits for personnel
23	Travel related to TIF grantee activities
24	Travel related to TIF grantee activities
25	Local travel for personnel to move between school sites and CEI-PEA office
31	Project office materials and supplies (print toner, paper, etc.)
32	Where possible, resources are disseminated digitally but a number of professional development resources must be printed for dissemination.
33	Staff are provided with laptops so that they can carry computers to school sites for site-based work
34-35	Staff are provided with smart phones in order to ensure availability while in the field
36	New staff are provided with workspaces in the CEI-PEA offices
37-38	Staff are provided with iPad tablets for use in implementing teacher evaluation software such as APPs for classroom observations
39	Equipment purchase for schools to implement the video recorded classroom observation protocols related to The Danielson Framework for Teaching
40	Schools will be provided with \$50/student to help offset costs of new assessments in subjects and grades not covered under state assessments. See – B. Educator Evaluation Systems for more information on the assessment selection process.
44	Frank San Felice serves as the Project Director for PICCS4NYC through a sole source contract with JPS Solutions LLC. For more information, see E. Project Management
48	Data Use Coordinator – see E. Project Management
49	Data Warehouse Coordinator – see E. Project Management
53-55	Data Warehouse development – the Data Warehouse, as described in C. Professional Development, is the backbone infrastructure for the data use approach in PICCS as well as organizational communications and management. These lines include costs for converting the existing PICCS Data Warehouse from a licensed, proprietary software to an open source system in Year 1, adding functionality in the areas of Student Information Systems and Educator Evaluation Systems to support the PICCS HCMS model, and providing technical support in Years 2-5.
56	Lease of two servers to house the PICCS Data Warehouse and public websites.
57-59	Elements of the PICCS Data Warehouse that are provided and managed by the sole source providers listed. For description of their functionality and role in the project, see C. Professional Development.
60	See C. Professional Development for an explanation of the Data Use Approach that is

Line Item	Relationship to project activities and outcomes
	supported by TERC
61-63	National experts in key components of the PICCS HCMS. See F. Sustainability.
64-65	Professional development software for training in The Danielson Framework for Teaching observation and evaluation processes. Relates to the evaluation plan B. Educator Evaluation Systems
66	See C. Professional Development for description of the PICCS Social Learning Institute, which is powered by software developed by EduPlanet.
67	See C. Professional Development for description of the National SAM Innovation Project (NSIP) to help principals increase time devote to instructional leadership.
68	See E. Project Management for a description of the proposed evaluation plan.

PICCS4 NYC Budget Narrative Submitted By CEI-PEA - Section B Non-Federal

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
	2012-13	2013-14	2014-15	2015-16	2016-17	
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						
Performance-Based Compensation System Allocations (PBCS). See attached detail for allocations per school.	\$0	\$0	\$161,200	\$437,500	\$906,000	\$1,504,700
9. Total Direct Costs (lines 1-8)	\$0	\$0	\$161,200	\$437,500	\$906,000	\$1,504,700
10. Indirect Costs @ 7.5% of modified direct costs - N/A	\$0	\$0	\$0	\$0	\$0	\$0
11. Training Stipends	\$0	\$0	\$0	\$0	\$0	\$0
12. Total Costs (lines 9, 10, 11)	\$0	\$0	\$161,200	\$437,500	\$906,000	\$1,504,700

PICCS4 NYC Budget Narrative Submitted By CEI-PEA - Combined Federal Plus Non-Federal	2012-13	2013-14	2014-15	2015-16	2016-17	Total
1. Personnel						
Total Personnel	\$286,768	\$292,503	\$298,353	\$355,911	\$363,029	\$1,596,564
2. Fringe Benefits						
Total Fringe Benefits	\$90,441	\$99,237	\$109,608	\$146,546	\$164,324	\$610,155
3. Travel						
Total Travel	\$11,938	\$11,938	\$11,938	\$11,938	\$11,938	\$59,688
4. Equipment	\$0	\$0	\$0	\$0	\$0	\$0
5. Supplies						
Total Supplies	\$119,748	\$122,738	\$143,888	\$162,238	\$175,438	\$724,050
6. Contractual						
Total Contractual	\$897,719	\$875,685	\$817,036	\$637,372	\$643,746	\$3,871,557
7. Construction	\$0	\$0	\$0	\$0	\$0	\$0
8. Other	\$30,000	\$30,000	\$1,612,000	\$1,750,000	\$1,812,000	\$5,234,000
9. Total Direct Costs (lines 1-8)	\$1,484,113	\$1,477,101	\$3,037,823	\$3,109,004	\$3,215,474	\$12,323,514
10. Indirect Costs @ 7.5% of Federal Modified Direct Costs	\$77,372	\$80,085	\$191,805	\$183,389	\$155,872	\$688,523
11. Training Stipends	\$0	\$0	\$0	\$0	\$0	\$0
12. Total Costs (lines 9, 10, 11)	\$1,561,485	\$1,557,186	\$3,229,627	\$3,292,393	\$3,371,345	\$13,012,036

**PICCS4 NYC - Staff Counts to
Calculate PBC starting in Year 3**

	Year 1	Year 2	Year 3	Year 4	Year 5
	2012-13	2013-14	2014-15	2015-16	2016-17
Imagine Me Charter School					
School Leaders/Instructional Administrators	2	2	2	2	2
Teachers (Novice and above)	16	19	22	25	28
Other Personnel	2	5	5	5	6
Para-professionals	2	3	3	3	3
Aspiring Teachers			2	2	2
One-year leadership positions	2	2	2	2	2
Inwood Academy for Leadership					
School Leaders/Instructional Administrators	3	3	3	3	3
Teachers (Novice and above)	35	45	56	66	77
Other Personnel	4	10	10	10	10
Para-professionals	4	5	6	7	8
Aspiring Teachers			2	2	2
One-year leadership positions	2	2	2	2	2
John W. Lavelle Preparatory Charter School					
School Leaders/Instructional Administrators	2	3	3	3	3
Teachers (Novice and above)	38	51	64	77	77
Other Personnel	4	5	5	5	5
Para-professionals	4	5	7	8	8
Aspiring Teachers			2	2	2
One-year leadership positions	2	2	2	2	2
La Cima Charter School					
School Leaders/Instructional Administrators	3	3	3	3	3
Teachers (Novice and above)	33	34	35	35	35
Other Personnel	6	6	9	9	9
Para-professionals	4	4	4	4	4
Aspiring Teachers			2	2	2
One-year leadership positions	2	2	2	2	2
Tech International Charter School					
School Leaders/Instructional Administrators	2	2	2	2	2
Teachers (Novice and above)	10	20	30	30	30
Other Personnel	5	8	8	8	8
Para-professionals	2	3	4	4	4
Aspiring Teachers			2	2	2
One-year leadership positions	2	2	2	2	2
New Dawn Charter High School					
School Leaders/Instructional Administrators	3	3	3	3	3
Teachers (Novice and above)	10	18	28	34	34
Other Personnel	2	7	7	8	8
Para-professionals	2	3	3	4	4
Aspiring Teachers			2	2	2
One-year leadership positions	2	2	2	2	2
Total School Leaders	15	16	16	16	16
Total Teachers	142	187	235	267	281
Total School Leaders and Teachers	157	203	251	283	297
Total Other Personnel	23	41	44	45	46
Total Para-professional	18	23	27	30	31

PICCS4 NYC - PBCS Calculations - Non-Federal (Local)

Position	PBCS Cap for federal dollars						Total
		Federal % 0%	Federal % 0%	Federal % 10%	Federal % 25%	Federal % 50%	
		Year 1 2012-13	Year 2 2013-14	Year 3 2014-15	Year 4 2015-16	Year 5 2016-17	
School Leaders/Instructional Administrators	\$7,000						
Teachers (Novice and above)	\$4,000						
Other Personnel	\$4,000						
Para-professionals	\$2,000						
Aspiring Teachers	\$25,000						
One-year leadership positions	\$2,500						
Imagine Me Charter School							
School Leaders/Instructional Administrators	N/A	N/A		\$1,400	\$3,500	\$7,000	\$11,900
Teachers (Novice and above)	N/A	N/A		\$8,800	\$25,000	\$56,000	\$89,800
Other Personnel	N/A	N/A		\$2,000	\$5,000	\$12,000	\$19,000
Para-Professionals	N/A	N/A		\$600	\$1,500	\$3,000	\$5,100
Aspiring Teachers	N/A	N/A		\$5,000	\$12,500	\$25,000	\$42,500
One-year Leadership Positions		\$0	\$0	\$500	\$1,250	\$2,500	\$4,250
Inwood Academy for Leadership							
School Leaders/Instructional Administrators	N/A	N/A		\$2,100	\$5,250	\$10,500	\$17,850
Teachers (Novice and above)	N/A	N/A		\$22,400	\$66,000	\$154,000	\$242,400
Other Personnel	N/A	N/A		\$4,000	\$10,000	\$20,000	\$34,000
Para-Professionals	N/A	N/A		\$1,200	\$3,500	\$8,000	\$12,700
Aspiring Teachers	N/A	N/A		\$5,000	\$12,500	\$25,000	\$42,500
One-year Leadership Positions		\$0	\$0	\$500	\$1,250	\$2,500	\$4,250
John W. Lavelle Preparatory Charter School							
School Leaders/Instructional Administrators	N/A	N/A		\$2,100	\$5,250	\$10,500	\$17,850
Teachers (Novice and above)	N/A	N/A		\$25,600	\$77,000	\$154,000	\$256,600
Other Personnel	N/A	N/A		\$2,000	\$5,000	\$10,000	\$17,000
Para-Professionals	N/A	N/A		\$1,400	\$4,000	\$8,000	\$13,400
Aspiring Teachers	N/A	N/A		\$5,000	\$12,500	\$25,000	\$42,500
One-year Leadership Positions		\$0	\$0	\$500	\$1,250	\$2,500	\$4,250
La Cima Charter School							
School Leaders/Instructional Administrators	N/A	N/A		\$2,100	\$5,250	\$10,500	\$17,850
Teachers (Novice and above)	N/A	N/A		\$14,000	\$35,000	\$70,000	\$119,000
Other Personnel	N/A	N/A		\$3,600	\$9,000	\$18,000	\$30,600
Para-Professionals	N/A	N/A		\$800	\$2,000	\$4,000	\$6,800
Aspiring Teachers	N/A	N/A		\$5,000	\$12,500	\$25,000	\$42,500
One-year Leadership Positions		\$0	\$0	\$500	\$1,250	\$2,500	\$4,250
Tech International Charter School							
School Leaders/Instructional Administrators	N/A	N/A		\$1,400	\$3,500	\$7,000	\$11,900
Teachers (Novice and above)	N/A	N/A		\$12,000	\$30,000	\$60,000	\$102,000
Other Personnel	N/A	N/A		\$3,200	\$8,000	\$16,000	\$27,200
Para-Professionals	N/A	N/A		\$800	\$2,000	\$4,000	\$6,800
Aspiring Teachers	N/A	N/A		\$5,000	\$12,500	\$25,000	\$42,500
One-year Leadership Positions		\$0	\$0	\$500	\$1,250	\$2,500	\$4,250
New Dawn Charter High School							
School Leaders/Instructional Administrators	N/A	N/A		\$2,100	\$5,250	\$10,500	\$17,850
Teachers (Novice and above)	N/A	N/A		\$11,200	\$34,000	\$68,000	\$113,200
Other Personnel	N/A	N/A		\$2,800	\$8,000	\$16,000	\$26,800
Para-Professionals	N/A	N/A		\$600	\$2,000	\$4,000	\$6,600
Aspiring Teachers	N/A	N/A		\$5,000	\$12,500	\$25,000	\$42,500
One-year Leadership Positions		\$0	\$0.00	\$500	\$1,250	\$2,500	\$4,250
TOTALS		\$0	\$0	\$161,200	\$437,500	\$906,000	\$1,504,700

	A	B	C	D	E	F
1	PICCS4 NYC Student Enrollment	Year 1	Year 2	Year 3	Year 4	Year 5
2		2012-13	2013-14	2014-15	2015-16	2016-17
3	SCHOOL	Student Enrollment				
4	Imagine Me Charter School	210	265	320	375	430
5	Inwood Academy for Leadership	330	440	550	660	770
6	John W. Lavelle Preparatory Charter School	330	400	475	525	525
7	La Cima Charter School	360	400	400	400	400
8	New Dawn Charter High School	106	165	250	400	500
9	Tech International Charter School	132	235	333	335	334
10	TOTAL	1468	1905	2328	2695	2959

Survey on Ensuring Equal Opportunity For Applicants

OMB No. 1890-0014 Exp. 2/28/2009

Purpose:

The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey

If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name:	Center for Educational Innovation - Public Education Assoc.
Applicant's DUNS Name:	0711305740000
Federal Program:	Office of Elementary and Secondary Education (OESE): Teacher Incentive Fund (TIF):
CFDA Number:	84.374

1. Has the applicant ever received a grant or contract from the Federal government?

Yes No

2. Is the applicant a faith-based organization?

Yes No

3. Is the applicant a secular organization?

Yes No

4. Does the applicant have 501(c)(3) status?

Yes No

5. Is the applicant a local affiliate of a national organization?

Yes No

6. How many full-time equivalent employees does the applicant have? (Check only one box).

3 or Fewer 15-50

4-5 51-100

6-14 over 100

7. What is the size of the applicant's annual budget? (Check only one box.)

Less Than \$150,000

\$150,000 - \$299,999

\$300,000 - \$499,999

\$500,000 - \$999,999

\$1,000,000 - \$4,999,999

\$5,000,000 or more

Survey Instructions on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 2/28/2009

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

Paperwork Burden Statement

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 **1890-0014**. The time required

to complete this information collection is estimated to average five (5) minutes 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: The Agency Contact listed in this grant application package.

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

OMB Number: 1894-0008
Expiration Date: 02/28/2011

Name of Institution/Organization

Center for Educational Innovation - Public Education Assoc.

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	286,768.00	292,503.00	298,353.00	355,911.00	363,029.00	1,596,564.00
2. Fringe Benefits	90,441.00	99,237.00	109,608.00	146,546.00	164,324.00	610,156.00
3. Travel	11,938.00	11,938.00	11,938.00	11,938.00	11,938.00	59,690.00
4. Equipment	0.00	0.00	0.00	0.00	0.00	0.00
5. Supplies	119,748.00	122,738.00	143,888.00	162,238.00	175,438.00	724,050.00
6. Contractual	897,719.00	875,685.00	817,036.00	637,372.00	643,746.00	3,871,558.00
7. Construction	0.00	0.00	0.00	0.00	0.00	0.00
8. Other	77,500.00	75,000.00	1,495,800.00	1,357,500.00	951,000.00	3,956,800.00
9. Total Direct Costs (lines 1-8)	1,484,114.00	1,477,101.00	2,876,623.00	2,671,505.00	2,309,475.00	10,818,818.00
10. Indirect Costs*	77,372.00	80,085.00	191,805.00	183,389.00	155,872.00	688,523.00
11. Training Stipends						
12. Total Costs (lines 9-11)	1,561,486.00	1,557,186.00	3,068,428.00	2,854,894.00	2,465,347.00	11,507,341.00

***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: 01/01/2010 To: 12/31/2012 (mm/dd/yyyy)

Approving Federal agency: ED Other (please specify):

The Indirect Cost Rate is 7.50 %.

(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 %.

Name of Institution/Organization Center for Educational Innovation - Public Education Assoc.	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.	
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**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	(b)(4)					
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - BUDGET NARRATIVE (see instructions)