



THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY  
Deputy Commissioner  
Office of Higher Education  
Room 977, Education Building Annex  
Albany, New York 12234

Tel: (518) 486-3633  
Fax: (518) 486-2254  
E-mail: [jdagati@mail.nysed.gov](mailto:jdagati@mail.nysed.gov)

---

**To:** District Superintendents  
Superintendents of Schools  
Presidents of Local Teacher Associations  
Directors of Teacher Resource and Computer Training Centers

**From:** John L. D'Agati

**Subject:** Request for Proposals (RFP) to support projects under the 2013-2018  
New York State Mentor Teacher Internship Program (MTIP) Grant Competition

**Date:** June 19, 2013

The New York State Education Department is pleased to announce the State-funded Mentor Teacher Internship Program (MTIP) grant competition for 2013-2018. Proposals will be accepted if **postmarked by August 9, 2013**. All public school districts and **Boards of Cooperative Educational Services (BOCES)** are eligible to apply for this funding.

Applications should be submitted to the New York State Education Department, Office for Educator Effectiveness, Policy and Programs, Mentor Teacher Internship Program, 5 North EB, Albany, New York, 12234. **One** original and **two** copies of the complete proposal and materials must be submitted.

**Grants will be awarded to school districts and BOCES for the July 1, 2013 through June 30, 2014 school year.** Successful proposals will be eligible for subsequent funding on a multi-year basis through June 30, 2018, depending on the availability of funds per annual appropriation. Grant awards will remain at the previous year level for each of the subsequent four years, with Year 1 of the funding cycle starting on July 1, 2013 and ending on June 30, 2014. Thereafter, based on a statutory and regulatory review each new project year, along with off-site (program and fiscal reports) and on-site monitoring, annual funding will continue at the same level as Year 1 of the funding cycle, provided there is an adequate appropriation in the State Budget.

To be eligible for an award, all school districts and BOCES submitting applications for this RFP must, by September 1, 2013, demonstrate that they have fully implemented an APPR plan approved or determined by the Commissioner for all principals and teachers in the district or BOCES or the application will be rejected.

In order to receive and maintain funding under the 2013-2018 MTIP grant, grantees must continuously implement the APPR plan approved or determined by the Commissioner for all principals and teachers in the school district or BOCES for the entire grant period (July 1, 2013-June 30, 2018). If a school district or BOCES is found by NYSED to not be implementing their approved or determined APPR plan during the course of the grant period, the result for the school district or BOCES will be an immediate suspension of MTIP funds.

Special consideration will be given to proposals from districts designated as High Need

by the SED State Aid Group (See **Appendix 2**).

All correspondence and requests for information concerning this program should be directed to Sanford Lake at the phone number and address below or via e-mail to: [MTIPRFP@mail.nysed.gov](mailto:MTIPRFP@mail.nysed.gov):

New York State Education Department  
Office for Teacher and Leader Effectiveness,  
Policy and Programs  
Mentor Teacher Internship Program (MTIP)  
Room 5N EB  
State Education Building  
Albany NY 12234  
518-474-4661

Attachments

# **Request for Proposals**

## **2013-18 New York State Mentor Teacher Internship Program**

- Proposal Guidance
- Proposal Packet
- Appendices

Proposals Must Be Postmarked by August 9, 2013

## 2013-18 New York State Mentor Teacher Internship Program Proposal Guidance

- Funds Available:** \$2 million annually, contingent on the appropriation of funds
- Eligible Applicants:** Public school districts and Boards of Cooperative Educational Services (BOCES). Special consideration will be given to proposals from districts designated as High Need by the SED State Aid Group (See **Appendix 2**).
- Grant Amount:** Grant awards are based on the number of teachers to be served, the total statewide funding in the 2013-2014 budget, special considerations listed in the cover memo and the intent to fund as many worthy proposals as possible.
- Date of Submission:** Proposals will be accepted in the Office for Teacher and Leader Effectiveness, Policy and Programs if postmarked by **August 9, 2013**. Applications should be submitted to the Office for Teacher and Leader Effectiveness, Policy and Programs, New York State Education Department, Mentor Teacher Internship Program, State Education Building, 89 Washington Avenue, 5 North EB, Albany, NY, 12234. All Applications must be postmarked no later than **August 9, 2013**.
- Proposal Components:** A complete proposal consists of the following:
- Cover Sheet
  - Funding Request Form
  - Statement of Assurances
  - Mentor Selection Committee Form
  - Request for Variance of Mentor Qualifications (if applicable)
  - Proposal Narrative Items
  - Rating Rubric for Proposal Narrative Items
  - Proposal Budget Forms FS-10
- Number of Copies:** **Three** copies of the complete application, including **one** copy containing the **original** signatures of the superintendent and the teacher association representative must be submitted.
- Project Operation Dates:** July 1, 2013 - June 30, 2014. Project activities may begin in July and all activities must be completed by June 30. Any expenses incurred prior to July 1, 2013 or after June 30, 2014 will not be reimbursed. Successful proposals will be eligible for annual funding on a multi-year basis through June 30, 2018, contingent upon the availability of funds per annual appropriations.

**Questions:**

Questions about the competition and funding process must be submitted by July 10, 2013 to [MTIPRFP@mail.nysed.gov](mailto:MTIPRFP@mail.nysed.gov).

Questions and answers will be posted as of July 24, 2013 on the Office of Teaching Initiatives MTIP website:

[www.highered.nysed.gov/tcert/resteachers/mentorinternship.html](http://www.highered.nysed.gov/tcert/resteachers/mentorinternship.html)

## **Program Purpose**

The NYS Mentor Teacher Internship Program was established in 1986 by amendment to Education Law 3033, Chapter 436. The New York State Legislature provides funding for the development and implementation of State-supported mentor teacher internship programs in local school districts and through boards of cooperative educational services (BOCES).

These programs enable experienced teachers (mentors) in a district or BOCES to provide guidance and support to beginning teachers (interns) in their first or second year of teaching. By providing this induction into the teaching profession, it is anticipated that teachers will engage in a productive and satisfying teaching and learning experience that will enhance their skills and increase the likelihood of their remaining in the teaching profession.

Mentors holding the Professional Certificate should be made aware that they may satisfy some or all of their 175- hour Professional Development requirement by fulfilling their mentoring responsibilities.

## **Essential Components of the Mentor Teacher Internship Program**

The essential components of mentor teacher internship projects, pursuant to Section 3033 of the Education Law and Part 85 of the Regulations of the Commissioner of Education (see Appendices #4 and #5) are consistent with the New York State Mentoring Standards (see Appendix 7) and include, but are not limited to:

- Program focus on the mentor/intern relationship which develops throughout the project year, as the mentor guides the new teacher to self-assessment, professional confidence, and independence
- Joint development by school administration and local teachers' bargaining agent
- Release time for interns and mentors
- Selection of mentors and interns
- Training for mentors and interns
- Activities and role of the mentors
- Activities and role of the interns
- Role of building principals
- Program evaluation
- Program management

## **Summary of Statutory Requirements**

- To be eligible for an award, all school districts and BOCES submitting applications for this RFP must, by September 1, 2013, demonstrate that they have fully implemented an APPR plan approved or determined by the Commissioner for all principals and teachers in the district or BOCES or the application will be rejected.

In order to receive and maintain funding under the 2013-2018 MTIP grant, grantees must

continuously implement the APPR plan approved or determined by the Commissioner for all principals and teachers in the school district or BOCES for the entire grant period (July 1, 2013-June 30, 2018). If a school district or BOCES is found by NYSED to not be implementing their approved or determined APPR plan during the course of the grant period, the result for the school district or BOCES will be an immediate suspension of MTIP funds.

- The internship plan is developed and negotiated with local teacher bargaining units in accordance with Article XIV of the Civil Service Law.
- A list of teachers to serve as mentors must be developed by a selection committee consisting of a majority of classroom teachers chosen by the certified or recognized teacher bargaining unit.
- Interns and mentors must be released from at least 10 percent of their instructional duties to participate in the program.
- Mentors must exhibit superior pedagogical skills, superior subject matter skills, excellent teaching abilities, and interpersonal relationship qualities. They must receive or possess skills determined to be equivalent to a composite APPR rating of either highly effective or effective to be considered a mentor candidate. They must also demonstrate a willingness to participate in the program.
- The superintendent or district superintendent is responsible for assigning mentor teachers and first or second year teachers to work together.
- Mentor designations

Part-time mentors: Part-time mentors' duties are to be reduced by at least 10 percent for each intern served. Persons designated as part-time mentors shall carry at least a 60 percent classroom instruction assignment.

Full-time mentors: Persons designated as full-time mentors must spend 100 percent of their time in mentor service.

Full-time mentor restriction: Teachers serving as full-time mentors may do so for only two school years within any consecutive five school years. It is recommended that each mentor designated as full-time should serve no less than five teachers and no more than ten interns during the project year.

## **Expenditures to be Supported by Grant Funds**

Local districts and BOCES participating in the program are eligible for reimbursement for release-time costs, coordination, fringe benefits, training costs, supplies and materials, evaluation, in-state travel, and indirect costs. For indirect costs, use your rate approved by NYSED. **Equipment and remodeling costs are not allowable expenditures under this grant program.** Applicants will need to submit with their application a completed Form FS-10 for the one year period July 1, 2013- June 30, 2014. The FS-10 and fiscal guidance are located at [www.oms.nysed.gov/café/](http://www.oms.nysed.gov/café/).

### **Entities' Responsibility:**

Projects must operate under the jurisdiction of the local board of education or other appropriate governing body and are subject to at least the same degree of accountability as all other expenditures of the local agency. The local board of education or other appropriate governing body is responsible for the proper disbursement of, and accounting for, project funds. Written agency policy concerning wages, mileage and travel allowances, overtime compensation, or fringe benefits, as well as State rules pertaining to competitive bidding, safety regulations, and inventory control must be followed. Supporting or source documents are required for all grant related transactions entered into the local agency's recordkeeping system. Source documents that authorize the disbursement of grant funds consist of purchase orders, contracts, time and effort records, delivery receipts, vendor invoices, travel documentation and payment documents, including check stubs.

Supporting documentation for grants and grant contracts must be kept for at least six years after the last payment was made unless otherwise specified by program requirements. Additionally, audit or litigation will "freeze the clock" for records retention purposes until the issue is resolved. All records and documentation must be available for inspection by State Education Department officials or its representatives.

For additional information about grants, please refer to the Fiscal Guidelines for Federal and State Aided Grants (<http://www.oms.nysed.gov/cafe/>).

### **Definitions**

#### **Intern:**

A full-time teacher with no greater than a 90 percent classroom instructional assignment, employed by a public school district or a BOCES having an approved internship plan, in his/her first or second year of service in a particular license area or area of certificate title, holding a valid Initial, Provisional, Permanent or Professional certificate.

#### **Mentor:**

A teacher holding a Professional or Permanent certificate in the same certificate title or area as the intern\*, having demonstrated his or her mastery of pedagogical and subject matter skills, given evidence of superior teaching abilities and interpersonal relationship qualities, and indicated willingness to participate as a mentor. A mentor must possess skills determined to be equivalent to a composite APPR rating of either highly effective or effective to be considered a mentor candidate.

**\*Special Note:** If no appropriately certified mentor is available in the district, a teacher permanently certified in a different certificate/license title than that of the intern may serve as a mentor. (See Request for Variance form in the Proposal Packet.) Service as a mentor shall not result in any change in the mentor's tenure area or areas, and shall not otherwise diminish or impair the tenure or seniority rights of the mentor teacher.

### **District Professional Development Plans**

The planning and design of the proposed internship should be undertaken in the context of the district's Professional Development Plan.

## **Multi-District Cooperation**

A single school district or BOCES may not submit a grant proposal on behalf of other districts. Applicants may, however, describe in the proposal the coordination, networking, training, and other activities that will be jointly engaged in with other districts.

## **Proposal Review**

At least two reviewers will review each proposal. Proposals will be reviewed for statutory and regulatory compliance as well as degree of detail and quality in addressing areas delineated in the proposal narrative. If individual scores are more than 15 points apart, another reviewer will rate the application. The two scores closest in numeric value will be averaged to calculate the final average score of the application. If the third reviewer's score is equal to the average of the two original scores, the third reviewer's score will become the final score. In the event of a tie score, In the event of tie scores, proposals with the highest aggregate score on items IV, V, and X in the Proposal Narrative will be ranked higher. Only applications receiving a base score of 70 points or more (excluding bonus points) will be eligible. Bonus points will be added to the base score to arrive at a total score.

To be eligible for an award, all school districts and BOCES submitting applications for this RFP must, by September 1, 2013, demonstrate that they have fully implemented an APPR plan approved or determined by the Commissioner for all principals and teachers in the district or BOCES or the application will be rejected.

In order to receive and maintain funding under the 2013-2018 MTIP grant, grantees must continuously implement the APPR plan approved or determined by the Commissioner for all principals and teachers in the school district or BOCES for the entire grant period (July 1, 2013-June 30, 2018). If a school district or BOCES is found by NYSED to not be implementing their approved or determined APPR plan during the course of the grant period, the result for the school district or BOCES will be an immediate suspension of MTIP funds.

## **Funding Methodology**

Total funding for this grant for 2013-2014 is \$2 million. Annual funding thereafter is expected to be \$2 million, subject to the appropriation and availability of funds. In 2008-2009, NYS MTIP was allocated \$10,000,000 in the annual budget. In 2009-2010 and in each of the budget years thereafter, through 2012-2013, NYS MTIP was allocated \$2,000,000.

Funding Set-asides: Given the unique needs for teacher support and retention in the largest school districts in our state, portions of the anticipated total statewide allocation for funding have been reserved for such districts, should they apply and qualify for funding under the NYS Mentor Teacher Internship Program. This results in a tiered approach to apportionment of anticipated funding dollars, as illustrated below.

The \$2 million first year funding will be apportioned in the following manner:

Tier 1: The New York City Department of Education may submit a funding request for up to \$1,016,000 (or 50.8% of the total statewide allocation of \$2 million) and funding up to that amount will be awarded, provided NYC DOE submits a qualifying application.

Tier 2: City school districts with populations of 100,000 or more may each submit a funding request for up to \$65,000 [total requests by this cohort not to exceed \$260,000 or 13% of the total statewide allocation] and funding up to such amount will be awarded, provided a qualifying application is submitted. This includes the city school districts of Buffalo, Rochester, Syracuse and Yonkers.

Tier 3: \$720,000 is available funding in year 1. Determination of grant awards for all districts/BOCES will be based on the anticipated number of new teachers to be served multiplied by 10% of the median NYS teacher salary (\$7,200). Districts or BOCES may apply for funding to support up to six qualifying new teachers. See Funding request form for guidance on calculating grant award request. Applications will be ranked and funded based on scoring of the application, highest to lowest.

If any funds remain after making awards to all eligible awardees in Tiers 1 and 2, those funds will be allocated to Tier 3 until the funds remaining are insufficient to fund the next ranked application in full. The next ranked applicant with a passing score will be given the opportunity to operate a reduced program with the remaining funds.

## **Multi-year Funding Cycle**

Successful proposals will be funded on a multi-year basis. Grant awards will remain at the previous year level per new teacher for each of the subsequent four years, with Year 1 of the funding cycle starting on July 1, 2013 and ending on June 30, 2014. Thereafter, based on a statutory and regulatory review each new project year, along with off-site (program and fiscal reports) and on-site monitoring, annual funding, contingent upon approval in the State Budget, will continue on a level consistent with Year 1 of the five year funding cycle, based on the number of interns to be supported. In the event of any statutory or regulatory noncompliance, funding will be reviewed for reduction or it may be totally rescinded.

*If there is a decrease in the total statewide allocation for the Program in Year 2, 3, 4, or 5 of the cycle,* the percentage of decrease will be applied to each district funding level from the previous year's funding.

*If there is an increase in the total statewide allocation for the Program in Year 2, 3, 4 or 5 of the cycle,* the increased dollars will be reserved for proposals from eligible districts which did not receive an award or participate in Year 1 or prior year in the cycle. Funding will continue for the remaining years of the five year cycle, contingent upon the State Budget.

## **Payment Schedule**

An initial payment of 25 percent of grant funds will be made upon approval of the Proposed Budget (FS-10) by the Program Office and the Grants Finance Office and approval of the grant procurement record by the Office of the State Comptroller (OSC). Thereafter, up to 90 percent of

grant funds will be distributed throughout the project through submission of a Request for Funds (FS-25). Final payments will be released upon submission of a Final Expenditure Report (FS-20-F). This report (FS-20-F) must be submitted directly to the Grants Finance Office by **July 31, 2014**.

## **Required Reports**

At a minimum, funded projects will file a mid-year project report describing and outlining the rationale for activities and expenditures to date, presenting information about the nature and numbers of participating mentors and interns, and providing descriptions of any substantial revisions to the original project proposal by March 1, 2014. Such information shall be submitted in a form prescribed by the Department. Other reporting may be required if reviews of the program deem they are warranted.

In addition to filing the final expenditure report as prescribed in the Payment Schedule section, funded projects shall file with the Department, on or before August 31, 2014, an Annual Program Report that shall include the names of the interns who successfully completed the mentor teacher internship program, their areas of certification/certificate titles, the nature and number of years of teaching experience of the mentors, a description of the teaching assignments of each mentor and intern, how the funding was used, types of activities conducted, evidence of results, and other evaluation and descriptive information as the Commissioner may require.

## 2013-18 New York State Mentor Teacher Internship Program Proposal Packet Checklist

A complete proposal consists of the following:

	Item	Checked Applicant	Checked NYSED
1.	Checklist	<input type="checkbox"/>	<input type="checkbox"/>
	Cover Page	<input type="checkbox"/>	<input type="checkbox"/>
	Funding Request Form (for school district with 100,000 or less population)	<input type="checkbox"/>	<input type="checkbox"/>
	Statement of Assurances	<input type="checkbox"/>	<input type="checkbox"/>
	Mentor Selection Committee Form	<input type="checkbox"/>	<input type="checkbox"/>
	Request for Variance of Mentor Qualifications (if applicable)	<input type="checkbox"/>	<input type="checkbox"/>
	Proposal Narrative (Should not exceed 12 pages)	<input type="checkbox"/>	<input type="checkbox"/>
	FS-10 Budget <a href="http://www.oms.nysed.gov/cafe/forms">www.oms.nysed.gov/cafe/forms</a> (signature required)	<input type="checkbox"/>	<input type="checkbox"/>
	Budget Narrative (should not exceed 2 pages)	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>

**Application Cover Page**

**Agency Code**

--	--	--	--	--	--	--	--	--	--	--	--

Name Applicant agency:		Name and Title of Contact Person:	
Address:		Telephone:	
City:	Zip Code:	Fax:	
County:		E-Mail:	
<p>I hereby certify that I am the applicant's chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, Appendix A, Appendix A-1G and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.</p>			
Original Signature of Chief Administrative Officer		Typed Name of Chief Administrative Officer:	
Date:			

## 2013-18 New York State Mentor Teacher Internship Program Funding Request Form

<b>A. Number of interns (beginning teachers) the district plans to support with MTIP grant funds in 2013-2014</b>	
---	--

**B. Briefly describe the method used to calculate this estimate in A (e.g., forecast of vacancies based on faculty reaching retirement age)**

<b>C. Number of beginning teachers the district plans to support with mentoring through local funding other than MTIP funds in 2013-2014</b>	
--	--

**D. Please enter requested grant award amount**                      \$ \_\_\_\_\_

**Suggested Calculation: Number in A may be multiplied by a maximum grant award per intern of \$7,200. Note: The maximum number of interns does not apply to applications from districts in cities with populations of 100,000 or more.**

For purposes of estimating a reasonable grant award request, districts should estimate a per teacher cost of \$7,200 for each intern noted in A, to accommodate project expenses such as replacement teacher costs for release time, project coordination, supplies and materials, training, travel and program evaluation.

**PLEASE NOTE THAT FINAL GRANT AWARDS MAY BE LESS THAN INDICATED BY THIS CALCULATION. AMOUNT OF GRANT AWARDS IS SUBJECT TO AVAILABILITY OF FUNDS APPROPRIATED IN THE NEW YORK STATE BUDGET AND THE NUMBER OF WORTHY APPLICATIONS RECEIVED.**

## **2013-18 New York State Mentor      Teacher Internship Program Statement of Assurances**

In order for the District or BOCES to be eligible for funds under the Mentor Teacher Internship Program, compliance with the following statements must be attested to by the superintendent and the representative of the teachers' employee organization:

The plan to establish and implement a mentor teacher internship program has been approved by the board of education or board of cooperative educational services (BOCES).

The plan and budget have been developed in accordance with the provisions of Article Fourteen of the Civil Service Law; that is, cooperative planning occurred and all plan components have been agreed upon by the superintendent of schools (or a representative) and the local teacher organization representative. Any amendments to the approved budget also will be developed in accordance with Article Fourteen of the Civil Service Law.

To be eligible for an award, all school districts and BOCES submitting applications for this RFP must, by September 1, 2013, demonstrate that they have fully implemented an APPR plan approved or determined by the Commissioner for all principals and teachers in the district or BOCES or the application will be rejected.

In order to receive and maintain funding under the 2013-2018 MTIP grant, grantees must continuously implement the APPR plan approved or determined by the Commissioner for all principals and teachers in the school district or BOCES for the entire grant period (July 1, 2013-June 30, 2018). If a school district or BOCES is found by NYSED to not be implementing their approved or determined APPR plan during the course of the grant period, the result for the school district or BOCES will be an immediate suspension of MTIP funds.

The applicant agency hereby applies for a grant of State funds to provide educational activities as set forth in this application.

The information contained in this application is correct and in total compliance with appropriate statute and regulation. This includes the stipulation that intern teachers will be released at least 10 percent from instructional duties to participate in this program, and mentor teachers will be released at least 10 percent from instructional duties to participate in this program. Failure to provide intern/mentor release time described above will result in rescinding of grant funds awarded to this district or BOCES.

---

Date	Signature of Superintendent
------	-----------------------------

---

Print Name of Superintendent

---

Date

Signature of Teachers' Employee Organization President  
(or designee)

---

Print Name of President

## 2013-18 New York State Mentor Teacher Internship Program Mentor Selection Committee Form

Provide the following information about the Mentor Selection Committee, which must be composed of licensed or certified employees of the local education agency. A majority of the membership must be classroom teachers chosen by the certified or recognized teachers' employee organization.

<u>Name of Member</u>	<u>Position</u>	<u>Check Those Members Chosen by the Teachers' Employee Organization</u>
_____	_____	<input type="checkbox"/>

(Add page, if needed)

The percentage of district/BOCES classroom teachers on the Mentor Selection Committee chosen by the certified or recognized teacher employee organization is ..... %

## 2013-18 New York State Mentor      Teacher Internship Program Request for Variance of Mentor Qualifications

In the event a school district or Board of Cooperative Educational Services is unable to find an appropriately certified or licensed mentor for a particular intern or interns, the superintendent or district superintendent may, by signing below and completing the requested information, select a teacher permanently certified or licensed in a different title from that of the intern to serve as a mentor.

<u>Certificate/License Title For Which No Mentor Can Be Identified</u>	<u>Number of Intern(s) In Each Instance</u>	<u>Area or Certificate/License Title of Teacher(s) Selected To Be Mentor(s)</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

*I hereby attest to the fact that the applicant school district or Board of Cooperative Educational Services is unable to find an appropriately certified or licensed mentor(s) for an intern(s), and request a variance, as described above, to allow a teacher(s) permanently certified or licensed in a different area from that of the intern(s) to function as a mentor(s).*

\_\_\_\_\_  
Date  
\_\_\_\_\_

\_\_\_\_\_  
Signature of Superintendent  
\_\_\_\_\_

Date

Signature of Te

## 2013-18 New York State Mentor Teacher Internship Program Proposal Narrative Items

Directions: The narrative describing proposed implementation of essential components of the Mentor Teacher Internship Program (MTIP) should be limited to 12 pages. Applicants must be specific and answer all items in each section in the order that they appear below. Where it is necessary to repeat some information from a previously answered section, do so. This will ensure that important information will not be overlooked in the review.

- I. Joint planning (5 points).** Describe planning and development activities that took place for the preparation of this proposal. Include names and positions of persons involved in the activities. [Ed. Law, 3033(2)].
- II. Release-Time Requirements (5 points).** The relationship of the mentor and intern is central to the Mentor Teacher Internship Program. Describe how the mentor and intern will be released from their classrooms in a manner which is educationally sound and responsible, consistent with Education Law, Section 3033(4). (Reminder: Such release time should be predominantly spent by the mentor and intern in such activities as conferencing together, observations, joint planning, and assessing the impact of their efforts on their students.) Include in the description:
- a. Proposed time configuration, such as one-half day per week, one day every 2 weeks, or concentration of release time in the first semester of the school year.
  - b. Issues related to the replacement teacher, including identification, availability, setting up replacement teacher pool, integration of replacement teachers into the instructional program, and communication within the mentor/intern replacement teacher's team. The replacement teacher should be viewed as an integral member of the instructional team.
- III. Setting Directions (5 points).** Describe how the mentors and interns will determine the focus of their activities throughout the year.
- Describe how the mentors and interns will determine the needs of interns both at the commencement of the relationship and throughout the school year. Include how differentiated programmatic offerings, based on initial and ongoing formative assessment results of each intern and their student learning data, will be provided and how relative improvements in the effectiveness of the intern will be determined.
- IV. Training (15 points).** Training needs of mentors and interns must be addressed, and the training of mentors must be a priority in developing the local mentor teacher internship program. Such mentor training needs to focus on the Regents Reform Agenda, including: common core standards; data-driven instruction; evidence-based observation aligned with district evaluation models, including the district's selected teacher practice rubric; student growth goal-setting process, as required by the district's evaluation process; current best practices and specific strategies for English language learners and students with disabilities, with specific focus on instruction in literacy, research based practices in the provision of specialized instruction for students with disabilities; response to intervention; and positive behavioral intervention and supports, as well as native language development.

Describe training to be provided to the mentors to support them in their roles as mentors, including proposed timelines, unique features of the MTIP and a description of how mentors will be regularly supported and assessed. Explain the tools (e.g., mentor skill rubrics, performance assessments, surveys of mentored teachers, etc.) that will be used to continuously evaluate mentors and inform the individualized supports and ongoing professional development, as well as describe project plans for removing mentors deemed ineffective with one or more interns.

Describe the district or BOCES plan for providing training and other professional growth opportunities to interns. Where information on specific activities is incomplete or not available at the time of application, a plan for responding to identified training needs of the intern should be clearly evident. Describe the specific training opportunities available through the district, BOCES, teacher center, and/or other existing staff development programs which will be of particular benefit to mentors and interns. Where possible, list specific areas of training to be offered to the mentors and interns. Describe any college or university involvement in design and/or implementation of training specific to the program.

**V. Selection of Mentors (20 points).** Mentors should be selected based on:

- demonstrated mastery of pedagogical skills
  - demonstrated mastery of subject matter
  - evidence of superior teaching abilities
  - outstanding capacity and abilities for fostering and maintaining positive and constructive interpersonal relationships
  - Willingness to participate in the program
  - The mentor is permanently certified in the same area of certificate title as the intern. In the event that the school district or BOCES demonstrates to the satisfaction of the Commissioner that an appropriately certified mentor is not available, a teacher professionally or permanently certified in a different area or certificate title than that of the intern may serve as a mentor. [8 NYCRR 85.1(d)]
- a. Describe procedures that will be used to select mentors and determine that mentor candidates meet the above criteria. Selected mentors must receive an APPR rating of effective or highly effective. It is highly recommended that particular consideration be given to teachers holding National Board Certification. Include evidence of all of the above criteria, the membership and proposed activities of the selection committee, and any additional criteria identified by your district or BOCES to be used in the selection process. [Ed. Law § 3033(3)].
  - b. Describe how assignments of mentors to interns will occur, including the role of the superintendent or designee in the assignment process.
  - c. Describe contingency plans to allow for adjustments in mentor/intern pairing.
  - d. Describe how selection criteria incorporate recommendations from the recently adopted New York State Mentoring Standards (see Appendix #7) and/or other best practices in mentoring selection.

**VI. Role of the Mentor (15 points).** The mentor's role is to guide and support the intern(s) assigned to that mentor. Any evaluation of the intern's teaching by the mentor must be kept confidential between the parties, unless a variance is granted by the Commissioner pursuant to § 85.2 (d) of the Regulations of the Commissioner of Education [8 NYCRR 85.2 (d)].

- a. Describe how the mentors will guide and support their interns, including the portion of time each intern will have direct contact with the mentor.
- b. Describe how confidentiality of the mentor/intern relationship will be protected. Or, if a variance under §85.2(d) of Commissioner's Regulations is requested to allow for an evaluative role of the mentor as well as guidance and support, submit contractual language providing for this responsibility on the part of the mentor teacher with this application.

**VII. Respective Roles of the Principal and the Superintendent (4 points).** In his/her capacity of having overall responsibility for all instruction and other activities in the building, the principal has an integral role in local implementation of a mentor teacher internship program. For example, principals facilitate faculty awareness and support for the program within the school community, serve on mentor selection committees, facilitate selection of replacement teachers, develop schedules of participants, and participate in training opportunities. The superintendent has an integral and active role in supporting the principals, the mentors, the beginning teachers, and project coordinators.

- Describe the anticipated activities of building principals regarding the proposed mentor teacher internship program in the district.
- Describe the role of the superintendent in overseeing, evaluating, and applying lessons learned from this effort to the benefit of students and teachers district wide.

**VIII. Interns (5 points).** In the event that there are more new teachers eligible to be interns in the district than can be accommodated through the Program, procedures or criteria should be in place which will be used to select teachers to be served. Such criteria should give priority to shortage areas: teachers of English language learners, especially in bilingual classrooms and secondary grades and subjects; teachers of students with disabilities, especially in secondary grades and subjects; teachers of STEM disciplines in secondary grades; and Common Branch teachers with strong math and science pedagogical and content knowledge in high-need elementary schools.

- a. Describe the proposed process for selection of interns. [8 NYCRR 85.2(b)(4)]
- b. Describe duties, responsibilities and anticipated activities of interns both within and beyond the MTIP.

**IX. Program Evaluation (16 points).** The intent of the MTIP is to provide experiences to new teachers that will enhance their skills and increase the likelihood of their remaining in the teaching profession. To this end, mentors provide guidance, direction, and support in areas including, but not limited to, instructional planning/management, communication skills, classroom management, varied presentation of subject matter, curriculum and assessment, and development of reasonable expectations in their work.

- a. Describe how the district will assess the extent to which the program has benefited both mentors and interns.
- b. Describe how your district's or BOCES' implementation of essential components of the MTIP will be assessed. Essential components include release-time configuration, mentor training, intern training, selection procedures, and program management , including alignment to supply/demand areas (STEM, bilingual, etc.) and the inclusion and encouragement of support by and for teachers from historically underrepresented groups.
- c. Describe the plan and the criteria for assessing the impact of the program on such factors as teacher skill development - including skill development specifically related to student achievement, school climate, non-participating teacher interaction, and building

administrators' role. Applicants must describe, specifically, how their program will formatively assess and support participating educators in increasing their knowledge of:

- Common Core Standards;
- Data-driven instruction;
- Evidence-based observation aligned with district evaluation models, including the district's selected teacher practice rubric;
- Student growth goal-setting process, as required by the district's evaluation process;
- Current best practices and specific strategies for English language learners and students with disabilities, with specific focus on instruction in literacy, research based practices in the provision of specialized instruction for students with disabilities, Response to Intervention, and Positive Behavioral Intervention and Supports, as well as native language development.

**X. Program Management (10 points).** The applicant must have a plan for overall management of the MTIP. In this plan:

- a. Describe how activities in which the mentors and interns engage will be coordinated and assessed. Include name and position of persons responsible for coordination and/or assessment and other tasks associated with the MTIP, such as scheduling of release time, arranging and scheduling of training, or providing district/building awareness activities concerning the MTIP. If a committee is to be responsible for ongoing operation of the Program, specify the roles and plans of the committee and its members.
- b. Describe proposed documentation of activities of the mentors and interns. Include a description of procedures and forms to be used, for example, logs kept by interns and the assessment of both interns and mentors throughout the program. Applicants must describe how their program will provide differentiated programmatic offerings based on initial and ongoing formative assessment results of each educator and his/her student learning data, and how the applicant will determine whether the effectiveness of each early career educator has improved as a result of the program. Applicants must explain the tools (e.g., mentor skill rubrics, performance assessments, surveys of mentored teachers, etc) that will be used to continuously evaluate mentors and inform the individualized supports and ongoing professional development, as well as describe their plans for removing and replacing ineffective mentors.
- c. Include a timeline of major activities and accompanying dates.

**XI. Project Budget (25 points).** Grant funds may be used for such costs as reimbursement for replacement or substitute-teacher costs, coordination, fringe benefits, training, supplies and materials, program evaluation, and travel. Reimbursement for release-time costs to the district is calculated at a rate of up to 10 percent of the mentor's salary for each intern with whom he or she is working. Reimbursement for part-time mentors is permitted up to 40 percent for part-time mentors who work in a mentor-internship relationship with up to 4 interns. Reimbursement for full-time mentors is permitted up to 100 percent. For 100 percent reimbursement, full-time mentors must work in a mentor-internship relationship with 10 interns.

The proposal should also describe a sustainability plan for how the district/BOCES mentoring effort will be conducted after the expiration of this grant, and demonstrate how the program will be maintained fiscally by identifying sources of potential funds.

**Restrictions:** Equipment of any unit cost and/or construction costs are **not** allowable expenditures under MTIP and will not be approved.

**A.** Completed Budget Category and Narrative Forms (See *Fiscal Forms*)

**B.** Completed Proposed Budget Summary Form (FS 10), (See *Fiscal Forms*, available from the district's business office or on-line at <http://atwork.nysed.gov/cafe/forms.html>).

**Total Base Points: 125 points**

**Additional Bonus points for High Need designation (see Attachment 2): 5 points**

**Total Points Available: 130**

## 2013-18 New York State Mentor Teacher Internship Program Proposal Budget Categories

Below are the budget categories contained in the Form FS-10. The excel file located at [www.oms.nysed.gov/café/forms](http://www.oms.nysed.gov/café/forms) is the preferred version. Instructions and signature requirements are contained in the form. Fiscal guidance is provided for at [www.oms.nysed.gov/café/guidance](http://www.oms.nysed.gov/café/guidance). Local districts and BOCES participating in the program are eligible for reimbursement for release-time costs, coordination, fringe benefits, training costs, supplies and materials, evaluation, in-state travel, and indirect costs. For indirect costs, use your approved restricted rate approved by NYSED. **Equipment and remodeling costs are not allowable expenditures under this grant program.**

### SALARIES FOR PROFESSIONAL STAFF: Code 15

Include only staff that are employees of the agency. Do not include consultants or per diem staff. Do not include central administrative staff that are considered to be indirect costs, e.g., business office staff. One full-time equivalent (FTE) equals one person working an entire week each week of the project. Express partial FTE's in decimals, e.g., a teacher working one day per week equals .2 FTE.

Specific Position Title	Full-Time Equivalent	Annualized Rate of Pay	Project Salary
Subtotal - Code 15			

### SALARIES FOR SUPPORT STAFF: Code 16

Include salaries for teacher aides, secretarial and clerical assistance, and for personnel in pupil transportation and building operation and maintenance. Do not include central administrative staff that are considered to be indirect costs, e.g., account clerks.

Specific Position Title	Full-Time Equivalent	Annualized Rate of Pay	Project Salary
Subtotal - Code 16			

**PURCHASED SERVICES: Code 40**

Include consultants (indicate per diem rate), rentals, tuition, and other contractual services. Copies of contracts may be requested by the State Education Department. Purchased Services from a BOCES, if other than applicant agency, should be budgeted under Purchased Services with BOCES, Code 49.

Description of Item	Provider of Services	Calculation of Cost	Proposed Expenditure
Subtotal - Code 40			

**SUPPLIES AND MATERIALS: Code 45**

Beginning with the 2005-06 year include computer software, library books and equipment items under \$5,000 per unit.

For earlier years include computer software, library books and equipment items under 1,000 per unit.

Description of Item	Quantity	Unit Cost	Proposed Expenditure
Subtotal - Code 45			

**TRAVEL EXPENSES: Code 46**

Include pupil transportation, conference costs and travel of staff between instructional sites. Specify agency approved mileage rate for travel by personal car or school-owned vehicle.

<b>Position of Traveler</b>	<b>Destination and Purpose</b>	<b>Calculation of Cost</b>	<b>Proposed Expenditures</b>
Subtotal - Code 46			

**EMPLOYEE BENEFITS: Code 80**

Rates used for project personnel must be the same as those used for other agency personnel.

<b>Benefit</b>		<b>Proposed Expenditure</b>
<b>Social Security</b>		
<b>Retirement</b>	<b>New York State Teachers</b>	
	<b>New York State Employees</b>	
	<b>Other</b>	
<b>Health Insurance</b>		
<b>Worker's Compensation</b>		
<b>Unemployment Insurance</b>		
<b>Other (Identify)</b>		
Subtotal – Code 80		

***INDIRECT COST: Code 90***

A. Modified Direct Cost Base – Sum of all preceding subtotals (codes 15, 16, 40, 45, 46, and 80 and excludes the portion of each subcontract exceeding \$25,000 and any flow through funds)

\$	(A)
----	-----

B. Approved Restricted Indirect Cost Rate

%	(B)
---	-----

C. (A) x (B) = Total Indirect Cost

Subtotal – Code 90

\$  (C)

**PURCHASED SERVICES WITH BOCES: Code 49**

Description of Services	Name of BOCES	Calculation of Cost	Proposed Expenditure
Subtotal – Code 49			

## BUDGET SUMMARY

SUBTOTAL	CODE	PROJECT COSTS
Professional Salaries	15	
Support Staff Salaries	16	
Purchased Services	40	
Supplies and Materials	45	
Travel Expenses	46	
Employee Benefits	80	
Indirect Cost	90	
BOCES Services	49	
Minor Remodeling	30	
Equipment	20	
Grand Total		

## **Appendices**

Appendix 1: Mentor Intern Information Form

Appendix 2: High Need School Districts 2013-2014 School Year

Appendix 3: The Mentoring Relationship

Appendix 4: Education Law Section 3033

Appendix 5: Part 85 of the Regulations of the Commissioner

Appendix 6: NYS MTIP Readers' Rating Form (For information purposes only)

Appendix 7: NYS Mentoring Standards

Appendix 8: Standard Clauses of New York State Contracts

Appendix 9: Agency Specific Clauses

Appendix 1

**MENTOR/INTERN INFORMATION FORM**

District/BOCES: \_\_\_\_\_

This form may be submitted with the initial proposal if the names of the mentors and the interns are known at that time. If it is not submitted with the proposal and if the application proposal is funded, this form must be submitted no later than February 1, 2014.

Enter the names of each mentor and his/her assigned intern and provide the respective license/certificate title, annual contractual salary, and percent of any individual’s instructional assignment time to be allocated to this program. Please note that percent of assignment for interns and mentors should be a minimum of 10 percent. Check Mentor or Intern box as appropriate for each person. Check if assigned to a SURR school, school in need of improvement or corrective action.

Name	Last 4 digits of Social Security Number	Mentor	Intern	License or Certificate Area	Annual Salary	% of instructional assignment Allocated to Program	Assignments in SURR school, school in need of improvement or corrective action
		<input type="radio"/>	<input type="radio"/>		\$		
		<input type="radio"/>	<input type="radio"/>		\$		
		<input type="radio"/>	<input type="radio"/>		\$		
		<input type="radio"/>	<input type="radio"/>		\$		
		<input type="radio"/>	<input type="radio"/>		\$		
		<input type="radio"/>	<input type="radio"/>		\$		
		<input type="radio"/>	<input type="radio"/>		\$		
		<input type="radio"/>	<input type="radio"/>		\$		
		<input type="radio"/>	<input type="radio"/>		\$		
		<input type="radio"/>	<input type="radio"/>		\$		
		<input type="radio"/>	<input type="radio"/>		\$		
		<input type="radio"/>	<input type="radio"/>		\$		

## High Need School Districts 2012-2013

570101040000	ADDISON CSD
410401060000	ADIRONDACK CSD
080101040000	AFTON CSD
450101060000	ALBION CSD
460102040000	ALTMAR-PARISH-WILLIAMSTOWN CSD
270100010000	AMSTERDAM CITY SD
020601040000	ANDOVER CSD
570201040000	AVOCA CSD
180300010000	BATAVIA CITY SD
570302060000	BATH CSD
231301040000	BEAVER RIVER CSD
020801040000	BELFAST CSD
220909040000	BELLEVILLE HENDERSON CSD
022902040000	BOLIVAR-RICHBURG CSD
570401040000	BRADFORD CSD
510101040000	BRASHER FALLS CSD
062301040000	BROCTON CSD
250109040000	BROOKFIELD CSD
161601040000	BRUSHTON-MOIRA CSD
410601040000	CAMDEN CSD
570603040000	CAMPBELL-SAVONA CSD
270301040000	CANAJOHARIE CSD
021102040000	CANASERAGA CSD
600301040000	CANDOR CSD
571502060000	CANISTEO-GREENWOOD CSD
222201060000	CARTHAGE CSD
060401040000	CASSADAGA VALLEY CSD
120401040000	CHARLOTTE VALLEY CSD
160801040000	CHATEAUGAY CSD
030701060000	CHENANGO VALLEY CSD
110101040000	CINCINNATUS CSD
510401040000	CLIFTON-FINE CSD
650301040000	CLYDE-SAVANNAH CSD
230201040000	COPENHAGEN CSD
150203040000	CROWN POINT CSD
022302040000	CUBA-RUSHFORD CSD
241001060000	DANSVILLE CSD
031301040000	DEPOSIT CSD
250301040000	DERUYTER CSD
211003040000	DOLGEVILLE CSD
120301040000	DOWNSVILLE CSD

680801040000	DUNDEE CSD
470501040000	EDMESTON CSD
513102040000	EDWARDS-KNOX CSD
150301040000	ELIZABETHTOWN-LEWIS CSD
622002060000	ELLENVILLE CSD
590501060000	FALLSBURG CSD
022001040000	FILLMORE CSD
270701040000	FORT PLAIN CSD
120701040000	FRANKLIN CSD
041101040000	FRANKLINVILLE CSD
021601040000	FRIENDSHIP CSD
020702040000	GENESEE VALLEY CSD
430700010000	GENEVA CITY SD
081401040000	GEORGETOWN-SOUTH OTSELIC CSD
470202040000	GILBERTSVILLE-MOUNT UPTON CSD
170500010000	GLOVERSVILLE CITY SD
511101060000	GOUVERNEUR CSD
042801060000	GOWANDA CSD
640701040000	GRANVILLE CSD
080601040000	GREENE CSD
630801040000	HADLEY-LUZERNE CSD
511201040000	HAMMOND CSD
120906040000	HANCOCK CSD
460701040000	HANNIBAL CSD
030501040000	HARPURSVILLE CSD
210601060000	HERKIMER CSD
511301040000	HERMON-DEKALB CSD
512404040000	HEUVELTON CSD
041401040000	HINSDALE CSD
571800010000	HORNELL CITY SD
101300010000	HUDSON CITY SD
641301060000	HUDSON FALLS CSD
220301060000	INDIAN RIVER CSD
572702040000	JASPER-TROUPSBURG CSD
540901040000	JEFFERSON CSD
221401040000	LA FARGEVILLE CSD
470801040000	LAURENS CSD
590901060000	LIBERTY CSD
511602040000	LISBON CSD
210800050000	LITTLE FALLS CITY SD
591302040000	LIVINGSTON MANOR CSD
230901040000	LOWVILLE ACADEMY & CSD
221301040000	LYME CSD
650501040000	LYONS CSD
251101040000	MADISON CSD
161501060000	MALONE CSD

110901040000	MARATHON CSD
121401040000	MARGARETVILLE CSD
512001060000	MASSENA CSD
110304040000	MCGRAW CSD
450801060000	MEDINA CSD
471101040000	MILFORD CSD
591401060000	MONTICELLO CSD
150901040000	MORIAH CSD
471201040000	MORRIS CSD
512101040000	MORRISTOWN CSD
250401040000	MORRISVILLE-EATON CSD
212001040000	MOUNT MARKHAM CSD
240901040000	MT MORRIS CSD
650101060000	NEWARK CSD
610901040000	NEWFIELD CSD
651501060000	NORTH ROSE-WOLCOTT CSD
090901040000	NORTHERN ADIRONDACK CSD
081200050000	NORWICH CITY SD
512201040000	NORWOOD-NORFOLK CSD
550101040000	ODESSA-MONTOUR CSD
512300010000	OGDENSBURG CITY SD
171001040000	OPPENHEIM-EPHRATAH CSD
471601040000	OTEGO-UNADILLA CSD
081501040000	OXFORD ACADEMY & CSD
512501040000	PARISHVILLE-HOPKINTON CSD
680601060000	PENN YAN CSD
060601040000	PINE VALLEY CSD (SOUTH DAYTON)
211103040000	POLAND CSD
441800050000	PORT JERVIS CITY SD
572301040000	PRATTSBURGH CSD
461801040000	PULASKI CSD
641401040000	PUTNAM CSD
043001040000	RANDOLPH CSD
651503040000	RED CREEK CSD
411701040000	REMSEN CSD
472001040000	RICHFIELD SPRINGS CSD
062401040000	RIPLEY CSD
560603040000	ROMULUS CSD
043200050000	SALAMANCA CITY SD
161201040000	SALMON RIVER CSD
461901040000	SANDY CREEK CSD
022401040000	SCIO CSD
082001040000	SHERBURNE-EARLVILLE CSD
062601040000	SHERMAN CSD
121601060000	SIDNEY CSD
061501040000	SILVER CREEK CSD

651201060000	SODUS CSD
231101040000	SOUTH LEWIS CSD
560501040000	SOUTH SENECA CSD
600801040000	SPENCER-VAN ETTEN CSD
271102040000	ST JOHNSVILLE CSD
161801040000	ST REGIS FALLS CSD
121701040000	STAMFORD CSD
151501060000	TICONDEROGA CSD
600903040000	TIOGA CSD
081003040000	UNADILLA VALLEY CSD
211701040000	VAN HORNESVILLE-OWEN D YOUNG CSD
121901040000	WALTON CSD
561006060000	WATERLOO CSD
600101060000	WAVERLY CSD
573002040000	WAYLAND-COHOCTON CSD
022601060000	WELLSVILLE CSD
062901040000	WESTFIELD CSD
641701060000	WHITEHALL CSD
022101040000	WHITESVILLE CSD
031401060000	WHITNEY POINT CSD
043501060000	YORKSHIRE-PIONEER CSD

### The Mentoring Relationship<sup>1</sup>

The relationship will vary with each mentor-intern pair. It must, however, be professional, flexible, heuristic, collegial, trusting, and reflect confidentiality and frequent, sustained, non-supervisory contact.

The relationship will help achieve the following outcomes:

- The mentor will support the new teacher in *appreciating her/his present level of competence* – knowledge, skills, and dispositions related to the act of teaching – and *enhancing/adding thereto*, given the particular contexts of classroom(s) and school(s) to which she/he is assigned.
- The mentor will support the new teacher in *performing as a teacher* – *expressing her/his competence* – *in the assigned context*. That is, the mentor will help the new teacher *perform well and consistently* given the particular classroom of learners; given the particular school and its curriculum, resources and colleague group; and given the parents and community of which the school is part.
- The mentor will support the new teacher in *teaching effectively* – *achieving the intended outcomes of instruction* – *in the assigned context*. That is, given good and consistent performance, the mentor will help the new teacher *understand intended learner outcomes and work to perform as a teacher toward those ends*.
- In the longer run, in part because of increased competence and effective performance in the assigned context, the new teacher will continue in teaching, building a professional career.

---

<sup>1</sup> Excerpted from the State Professional Standards and Practices Board for Teaching Statement on Mentoring (2000).

## Appendix 4

### **Education Law Section 3033, as amended by Section 117-b of Chapter 436 of the Laws of 1997**

Ed. Law § 3033 New York State Mentor Teacher Internship Program.

1. Boards of education and boards of cooperative educational services are hereby authorized to participate in the New York State mentor teacher internship program in accordance with provisions of this section.
2. Each board of education or board of cooperative educational services which applies for funds under this section shall prepare a plan for implementation of a mentor teacher internship program consistent with article fourteen of the civil service law. The plan shall be developed in accordance with this section and regulations of the commissioner. The board of education or board of cooperative educational services shall submit an application and plan by May first of the current year for approval by the commissioner; provided, however for the nineteen hundred ninety-seven—ninety-eight school year, such plan may be submitted by November first, nineteen hundred ninety-seven.
3. Each board of education and board of cooperative educational services which determines to participate in the program shall select persons eligible to serve as mentor teachers from a list of persons who have demonstrated their mastery of pedagogical and subject matter skills, given evidence of superior teaching abilities and interpersonal relationship qualities, and who have indicated their willingness to participate in such program. Such list of persons eligible to serve as mentor teachers shall be developed by a selection committee composed of certified or licensed personnel employed by the school district or the board of cooperative educational services, a majority of whom shall be classroom teachers chosen by the certified or recognized teachers employee organization. The assignment of particular mentor teachers and teacher interns to work together shall be made by the superintendent of the participating district or district superintendent of the participating board of cooperative educational services. Each person designated as a mentor teacher shall continue to provide classroom instruction for at least sixty percent of the time spent in performance of such individual's duties during the school year or such person may so serve on a full-time basis for not more than two school years out of five consecutive school years, provided that such service as a mentor teacher shall not diminish or impair the tenure and seniority rights of the mentor teacher.
4. Each board of education and board of cooperative educational services which determines to participate in the mentor teacher internship program shall require those first or second year eligible teachers which it chooses to include in the program to perform their duties under the guidance of a mentor teacher, and shall ensure that such teacher intern and mentor carry no more than a ninety percent classroom instruction assignment in order to allow such teacher intern time to receive special assistance from a mentor teacher. In order to participate as a teacher intern in a mentor teacher internship program, a first or second year teacher shall hold a provisional or permanent teaching certificate, temporary emergency license, regular license, or temporary per diem certificate for a field in which no licensed person is available to teach and shall not have participated in such program in the previous year.

5. A school district or board of cooperative educational services participating in an approved mentor teacher internship program in the current year shall be eligible for aid including but not limited to costs related to release time of the intern and mentor teacher up to ten percent of the mentor teacher's salary and up to ten percent of the teacher intern's salary respectively in accordance with the provisions of this subdivision. To receive such assistance, a school district or board of cooperative educational services must file a claim with the commissioner by October first of the current school year in a form prescribed by the commissioner which shall include the actual salary of each program participant as of September fifteenth of such year. The commissioner shall pay one-half of the amount of such assistance by January fifteenth of each year and shall pay the remaining amount based upon a final report filed by the school district by August fifteenth of each year.
  
6. Each board of education and board of cooperative educational services which participates in the program shall file a report with the commissioner on or before August first of each school year concerning compliance with the requirements of the program during the preceding school year. Such report shall be in such form and in such manner as the commissioner may require. The commissioner shall evaluate such programs and file a report with the legislature on or before December first, nineteen hundred eighty-seven.

## Appendix 5

### **Part 85 of the Regulations of the Commissioner**

#### **§ 85.1 Definitions.**

As used in section 3033 of the Education Law and in this Part:

(a) Intern shall mean a person who:

(1) is a full-time teacher with no greater than a 90 percent classroom instruction assignment employed by the governing body of a school district or board of cooperative educational services having an approved internship plan, and is in his or her first or second year of service in a particular license area or area of certificate title;

(2) holds a valid provisional or permanent teacher's certificate or temporary emergency license issued by the Commissioner of Education, or a valid regular teaching license, temporary per diem certificate for a field in which no licensed person is available to teach, or the equivalent of a temporary emergency license issued by the city school district of the City of Buffalo, other than a certificate or license valid for supervisory or administrative service; and

(3) has not participated in the mentor teacher internship program in the previous year.

(b) Mentor shall mean a teacher who is permanently certified in the same area of certificate title as the intern, or permanently licensed in the same license area as the intern, and who has demonstrated his or her mastery of pedagogical and subject matter skills, given evidence of superior teaching abilities and interpersonal relationship qualities, and has indicated willingness to participate by being a mentor in an approved mentor teacher internship program. Each teacher designated as a mentor shall carry not more than a 90 percent classroom instruction assignment but at least a 60 percent classroom instruction assignment, except that a teacher may serve as a mentor on a full-time basis for not more than two school years out of five consecutive school years. In the event that a school district or board of cooperative educational services demonstrates to the satisfaction of the commissioner that an appropriately certified mentor is not available, a teacher permanently certified or licensed in a different area of certificate title or license area than that of the intern, may serve as a mentor. Service as a mentor shall not result in any change in the mentor's tenure area or areas, and shall not otherwise diminish or impair the tenure and seniority rights of the mentor teacher.

#### **§ 85.2 Application and district internship plan.**

(a) Application. In order to qualify for State funds pursuant to Education Law, section 3033 and this Part, a school district or board of cooperative educational services shall submit an application and plan in a form prescribed by the commissioner. Such application and plan shall be submitted for approval by the commissioner no later than the date specified by Education Law, section 3033(2). Such application shall contain an assurance by the chief executive officer of the school district or board of cooperative educational services that the plan to establish and implement a mentor teacher internship program has been approved by the board of education or board of cooperative educational services.

(b) District internship plan. The plan shall provide evidence of its development in accordance with the

provisions of article 14 of the Civil Service Law, and shall contain the following components:

(1) a statement of the number of interns and mentors to participate in the program during the school year for which funding is requested and the percentage of all eligible persons in the district or board of cooperative educational services who will participate as interns in the program.

(2) a description of:

(i) how the needs of the interns for training and support will be assessed;

(ii) the training and professional support to be provided to the interns, which may include, but shall not be limited to, participation in the district or board of cooperative educational services staff development program, a teacher resource and computer training center or a post-secondary institution program; and

(iii) how the mentors will guide and support their interns, including the portion of time each intern will have direct contact with the mentor, provided that the role of the mentor shall not be construed as limiting or supplanting the authority of school administrators or supervisors to supervise or evaluate the performance of the interns and that information obtained by a mentor through interaction with an intern shall not be made available to supervisors or used in the evaluation of such intern;

(3) the process and criteria for the selection of mentors for interns, including the selection of persons eligible to serve as mentors from a list of eligible persons developed by a selection committee composed of certified or licensed personnel employed by the school district or board of cooperative educational services, a majority of whom shall be classroom teachers. Such classroom teachers shall be chosen by the certified or recognized teachers employee organizations representing teachers in the school district or board of cooperative educational services whenever such organizations exist;

(4) the process and criteria for selection of interns;

(5) a description of the training to be provided to mentors including a description of the extent to which this training will be coordinated with the district staff development program;

(6) a program evaluation system which shall include, but shall not be limited to, criteria for assessment of mentor performance, and criteria for assessment of intern performance in areas including, but not limited to, instructional planning and management, classroom management, presentation of subject matter and communication skills; and

(7) an operational budget, in a form satisfactory to the commissioner, which identifies all funds and resources deemed necessary for the implementation of the program. Such budget may include up to 10 percent of the salary of each mentor per mentor-intern relationship and up to 10 percent of the salary of each intern, and other estimated costs of the program including, but not limited to, the reasonable cost of evaluation, training and materials. Equipment costs shall not be included.

(c) Reporting requirements. Following each school year in which a school district or board of cooperative educational services has implemented an internship plan, the school district or board of cooperative educational services shall file with the department a report which shall include the names of the interns who have successfully completed the mentor teacher internship program and their areas of certification and licensure, the certificate titles or license areas and the number of years of teaching experience of the teachers who have served as mentors, a description of the teaching assignments of each mentor and intern, and copies of each intern's summative evaluation form together with other evaluation and descriptive

information as the commissioner may require. Such information shall be submitted in a form prescribed by the commissioner.

(d) Variances. (1) A variance may be granted from the requirement of subparagraph (b)(2)(iii) of this section that information obtained by a mentor through interaction with an intern shall not be made available to supervisors or used in the evaluation of such intern upon a finding by the commissioner that a school district or board of cooperative educational services has entered into an agreement negotiated pursuant to article 14 of the Civil Service Law, concerning the use of such information whose terms are in effect and are inconsistent with such requirement.

(2) A variance may be granted from any of the specific requirements of this Part upon a finding by the commissioner that:

(i) such requirements have been substantially met;

(ii) all requirements of section 3033 of the Education Law have been met; and

(iii) the granting of a variance is consistent with the purposes of the mentor teacher internship program.

2013-2018

READER'S RATING FORM  
for  
NYS Mentor Teacher Internship Program  
Proposal Narrative

Applicant's Name \_\_\_\_\_

Log-in Number \_\_\_\_\_

Reader's Name \_\_\_\_\_

The following rating scale should be used to evaluate the degree to which each proposal addresses information required in the request for proposals. Raters should judge that 1) items are described to the extent that item content is clearly understandable to the reader and 2) each item is consistent with the intent of the Mentor Teacher Internship Program.

**Rating Rubric for Proposal Narrative Items**

Very Good	Specific and comprehensive. Complete, detailed, and clearly articulated information as to how the criteria are met. Well-conceived and thoroughly developed ideas. Criteria fully addressed and fully satisfied.	15	7	6	5	4
Good	General but sufficient detail. Adequate information is provided, but some areas are not fully explained and/or questions remain. Some minor inconsistencies and weaknesses. Criteria fully addressed and adequately satisfied.	11.0	5.25	4.50	3.75	3.00
Fair	Sketchy and non-specific. Criteria appear to be minimally met, but limited information is provided about proposed activities/strategies; lacks focus and detail. Criteria mostly addressed and barely satisfied.	8.00	3.50	3.00	2.50	2.00
Poor	Fails to provide information, or provides information that requires substantial clarification. Criteria not fully addressed and not adequately satisfied.	4.00	2.50	1.50	1.25	1.00
N/A	Item is not addressed or simply restates the RFP information. Statutory non-compliance is clearly evident from described proposed activities/proposed model. Criteria not addressed.	0	0	0	0	0

Total Score:

Section I	Maximum Possible Score	Score
JOINT PLANNING	<b>5</b>	
<p data-bbox="203 367 941 403"><input type="checkbox"/> Planning for development activities are sufficient in scope.</p> <p data-bbox="203 413 1242 449"><input type="checkbox"/> Names and positions of appropriate persons involved in these activities are included.</p> <p data-bbox="203 483 454 518">Explanation of Score:</p>		

Section II	Maximum Possible Score	Score
RELEASE TIME REQUIREMENT	5	
<input type="checkbox"/> Release time for mentors and interns is sufficiently described. <input type="checkbox"/> Release time is consistent with statutory requirements. <input type="checkbox"/> Release time configuration is likely to ensure continuity of instruction to students of mentors and interns. <input type="checkbox"/> Issues related to replacement teachers are adequately addressed and planning in this area is evident.  Explanation of Score:		

Section III	Maximum Possible Score	Score
SETTING DIRECTION	5	
<input type="checkbox"/> There is evidence that mentors and interns will actively participate in determining their activities throughout the project year. <input type="checkbox"/> Planned activities and differentiated program offerings are appropriate and consistent with the statutory requirements and intent of the MTIP. <input type="checkbox"/> There are plans and measures presented for assessing initial intern needs and relative improvements in the effectiveness of interns in the classroom throughout the school year. <input type="checkbox"/> Where appropriate, student learning data will be included in formative assessment considerations  Explanation of Score:		

Section IV	Maximum Possible Score	Score
TRAINING	<b>15</b>	
<p><input type="checkbox"/> Existing professional development in the district which would be of benefit to mentors and interns is listed. (4 points) _____</p> <p><input type="checkbox"/> Mentor training described focuses on the Regents' Reform Agenda and is appropriate and sufficient in scope; being aligned with district evaluation models, the district's selected teacher practice rubric, et. al. (4 points) _____</p> <p><input type="checkbox"/> There is evidence of an appropriate plan for identifying and meeting the training needs of interns that describes specific training and professional growth opportunities (7 points.) ) _____</p> <p>Explanation of Score:</p>		

Section V	Maximum Possible Score	Score
SELECTION OF MENTORS	<b>20</b>	
<p><input type="checkbox"/> Procedures to be used for selection of mentors are described and include an overall APPR rating of Effective or Highly Effective. (5 points) _____</p> <p><input type="checkbox"/> There is description provided for how the district/BOCES will determine and obtain demonstrable evidence for each of the following mentor characteristics (5 points) _____</p> <ul style="list-style-type: none"> <li>- mastery of pedagogical skills</li> <li>- mastery of subject matter skills</li> <li>- superior teacher skills</li> <li>- strong interpersonal relationship qualities</li> <li>- willingness to be a mentor</li> </ul> <p><input type="checkbox"/> The assignment of the mentor to work with the intern is described. Criteria and processes for recommending and establishing specific mentor-intern pairs is discussed. (5 points) _____</p> <p><input type="checkbox"/> Contingency plans to allow for adjustments in mentor/intern pairings are described; including detailed discussion of considerations and decision-making criteria associated with assessing and possibly modifying primary and/or secondary matches. (5 points) _____</p> <p>Explanation of Score:</p>		

Section VI	Maximum Possible Score	Score
<b>ROLE OF THE MENTOR</b>	<b>15</b>	
<p data-bbox="191 369 1377 506"> <input type="checkbox"/> The mentor’s role and activities as described are clearly consistent with the statutory guidelines; that is, they reflect guidance and support to, not formative evaluation of, the intern, except where a variance pursuant to Commissioner’s Regulations 85.2(d) is requested.) If such a variance is requested, contractual language to support the variance is included. (5 points) _____ </p> <p data-bbox="191 520 1377 590"> <input type="checkbox"/> Proposed activities of the mentors are clearly and sufficiently described, including the portion of time each intern will have direct contact with the mentor. (6 points) _____ </p> <p data-bbox="191 604 1377 674"> <input type="checkbox"/> Description includes how confidentiality of mentor/intern interaction will be protected. (4 points) _____ </p> <p data-bbox="191 701 456 737">Explanation of Score:</p>		

Section VII	Maximum Possible Score	Score
RESPECTIVE ROLES OF THE PRINCIPAL AND THE SUPERINTENDENT	<b>4</b>	
<p data-bbox="203 401 1356 552"> <input type="checkbox"/> The proposed role and activities of the principal are described and appropriately supportive of the mentors, the beginning teachers, and the project coordinator(s.)  <input type="checkbox"/> The proposed role and activities of the superintendent are described and appropriately supportive of the principal(s), the mentors, the interns, and the project coordinator(s.) </p> <p data-bbox="203 621 456 653">Explanation of Score:</p>		

Section VIII	Maximum Possible Score	Score
INTERNS	<b>5</b>	
<p data-bbox="207 373 1356 552"> <input type="checkbox"/> Process for selection of interns is clearly and sufficiently described, including plans to address teacher shortage areas.  <input type="checkbox"/> Proposed activities of interns, which may include activities with mentors, workshops, conferences or other professional opportunities, classroom assignments, supervisory or extracurricular duties, are clearly and sufficiently coordinated and described. </p> <p data-bbox="207 594 456 625">Explanation of Score:</p>		

Section IX	Maximum Possible Score	Score
<b>EVALUATION</b>	<b>16</b>	
<p data-bbox="207 369 1289 436"> <input type="checkbox"/> The plan to collect information about whether and the extent to which MTIP will benefit mentors and interns is specific, clear, and workable.(4 points) _____ </p> <p data-bbox="207 453 1373 621"> <input type="checkbox"/> The plan for assessment of the district’s implementation of essential components of the MTIP is specific, clear, and workable. Areas to be assessed include, but are not limited to, release time configuration, mentor training and selection procedures, mentor-intern assignments, the enhancement of classroom management skills and student learning, and program management. (4 points) _____ </p> <p data-bbox="207 638 1365 768"> <input type="checkbox"/> The plan for assessing MTIP impact on such factors as teacher skill development, school climate, non-participating teacher interaction, and the respective roles of the MTIP coordinator, building principal(s) and district superintendent is substantively discussed. (4 points) _____ </p> <p data-bbox="207 785 1349 1020"> <input type="checkbox"/> Specific descriptions of how the project plans to support and assess the enhancement of intern knowledge and understanding of common core standards, data-driven instruction, evidence-based observation as aligned with district-based evaluation models, the student goal-setting process, research-based instruction in relation to the district’s selected teacher practice rubric, and current best practices for specialized instruction, including specific strategies, for STEM, English language learners, students with disabilities and/or other special needs populations. (4 points) _____ </p> <p data-bbox="207 1058 456 1089"> Explanation of Score: </p>		

Section X	Maximum Possible Score	Score
<b>PROGRAM MANAGEMENT</b>	<b>10</b>	
<p>The plan for management of the MTIP is clearly and sufficiently described. It includes a timeline of proposal implementation, noting major activities and accompanying dates as well as name(s) and position(s) of persons responsible for various tasks in program implementation. 6 points) _____</p> <p><input type="checkbox"/> Proposed documentation of mentor/intern activities is clearly and sufficiently described, including all forms and procedures as well as all evaluation tools and instruments. (4 points) _____</p> <p>Explanation of Score:</p>		

Section XI	Maximum Possible Score	Score
BUDGET NARRATIVE	<b>25</b>	
<p data-bbox="207 407 1333 506"> <input type="checkbox"/> Demonstrates that costs are necessary and reasonable in regard to the number of interns (beginning teachers) to be served. For districts serving cities with populations of 100,000 or more, costs in excess of \$7,200 per teacher should be sufficiently justified. (15 points)            _____         </p> <p data-bbox="207 590 932 621"> <input type="checkbox"/> A completed FS-10 is included. (5 points) _____         </p> <p data-bbox="207 636 1321 699"> <input type="checkbox"/> A sustainability plan describing how the district/BOCES will fiscally and programmatically maintain mentoring efforts if and when MTIP funding expires. (5 points) _____         </p> <p data-bbox="201 737 456 768">Explanation of Score:</p>		

## NYS MENTORING STANDARDS

## New York State Mentoring Standards: An Overview

The purpose of this document is to offer a set of standards that guide the design and implementation of teacher mentoring programs in New York State through teacher induction. Induction, in this context, refers to sophisticated and systematic efforts to “initiate, shape, and sustain the first work experiences of prospective career teachers.”<sup>2</sup>

A high-quality induction program with an effective mentoring component positively supports the recruitment and the retention of new teachers while strengthening teaching practice as informed by the New York State Teaching Standards, the Learning Standards of New York State, including the New York State P-12 Common Core Learning Standards, the New York State Professional Development Standards, and the New York State Code of Ethics. Teacher induction is critical to the overall preparation and professional development of beginning teachers and builds on their continuum of experiences from pre-service programs to ongoing career development spanning time as described within the Teacher Career Development Continuum. Coupled with mentoring standards, induction accelerates the process of creating highly effective teachers whose goal is to enhance student learning and achievement.

Therefore, the research-based mentoring standards defined in this document will enable educators to plan, implement and enhance their own local programs whereby novice teachers are guided by their mentors to rise to ever higher performance levels thus affecting students’ cognitive and emotional growth.<sup>3</sup> Mentor-mentee partnerships help beginning teachers to acclimate themselves to a new environment by shattering the walls of isolation that they often experience at the outset of their careers and, as a direct result, raise student outcomes by expanding pedagogical and interactive social skills.

The professional learning community that embraces the new teacher is significantly strengthened by dedicated mentors who are essential to the induction process, and who, through their avowed commitment to education, recognize the need to increase student achievement/growth through enhanced teaching practice.

---

<sup>2</sup> Mager, G. “The Place of Induction in Becoming a Teacher.” In Gary DeBolt (ed.), *Teacher Induction and Mentoring: School-Based Collaborative Programs*. New York: SUNY series, *Educational Leadership*, November 1992.

<sup>3</sup> Ingersoll, R. and Strong, M. (2011). “The Impact of Induction and Mentoring Programs for Beginning Teachers: A Critical Review of the Research.” Sage Publications, Inc. *Review of Education Research*, 2011.

There are ten standards for effective mentoring.

1. **Program Philosophy and Purposes:** The philosophy of the mentoring program upholds the assertion that induction is a crucial transition between teacher preparation and continuing professional development. Mentoring is the first step in the Teacher Career Development Continuum. The mentoring program facilitates the transition of the beginning teacher from success in preparation programs to effective practice in new contexts of the classroom and school district (NYSTS II, VI, & VII).
2. **Program Design:** The mentoring program is designed as a crucial component of a comprehensive induction plan and is embedded in an integrated professional culture. The design supports a district's mission and vision and is consistent with school, district, and state standards in addressing the Learning Standards of New York State including the New York State P-12 Common Core Learning Standards (NYSTS I, II, III, VI, & VII).
3. **Program Implementation:** The mentoring program is implemented to meet New York State Teaching Standards and sustain program activities that support the development of all beginning teachers. An infrastructure (resources, time, staff, and preparation) is established to help ensure that beginning teachers receive the continuum of support and development necessary to foster effective teaching and learning (NYSTS I, II, VI, & VII).
4. **Mentor Selection:** Mentors are recruited and selected through a rigorous and transparent process guided by criteria that consider the mentor candidate's commitment to the profession and teaching experience. The mentor selection process is aligned with a district's needs as well as those of the beginning teacher (NYSTS I, II, VI, & VII).
5. **Mentor Development:** Mentoring is a professional practice with its own knowledge and research base, strategies and best practices. Mentor development is a comprehensive and continuous program extending from initial preparation through ongoing professional learning (NYSTS I, II, V, VI, & VII).
6. **Mentors Have Clearly Defined Roles and Responsibilities:** The role of the mentor is to engage, inspire, assist, encourage and advance the professional learning of a beginning teacher and to model professional conduct. The mentor as a teacher/leader serves as a model of professional conduct and embodies a vision of excellence in teaching (NYSTS II, III, VI, & VII).
7. **Mentoring Skill and Knowledge:** Mentors must be familiar with research-based practices, data analysis, and technological advances that promote student learning and growth at the various stages of development. Additionally, mentors should be

immersed in the knowledge, research, policy updates, and best practices of mentoring (NYSTS I, II, III, V, VI, & VII).

8. **Shared Leadership and Administration:** Leadership of the mentoring program is a shared responsibility among all stakeholders. Administrative processes that provide instructional support to both beginning teachers and mentors are embedded within the comprehensive induction program (NYSTS I, II, III, V, VI, & VII).
9. **Beginning Teacher Knowledge, Skills, and Dispositions:** Beginning teachers bring valued knowledge, skills, and dispositions to the new context of the classroom, school, and districts where they are first employed. The beginning teachers must display a readiness to continue learning about teaching, and invite collaborative support and guidance (NYSTS I, II, III, IV, V, VI, & VII).
10. **Program Evaluation:** The mentor program includes a comprehensive system of formative and summative assessments, evaluates and analyzes program concepts, involves program participants and other stakeholders, and leads to substantive and continual improvements (NYSTS I, II, III, IV, VI, & VII).

#### Standard 1: Program Philosophy and Purposes

##### Aligned with NYSTS II, VI, and VII

**Standard:** The philosophy of the mentoring program upholds the assertion that induction is a crucial transition between teacher preparation and continuing professional development. Mentoring is the first step in the Teacher Career Development Continuum. The mentoring program facilitates the transition of the beginning teacher from success in preparation programs to effective practice in new contexts of the classroom and school district (NYSTS II, VI, & VII).

##### Elements:

- a. The purpose of the mentoring program is to facilitate the transition of the beginning teacher from success in preparation programs to effective practice in new contexts of the classroom and school district (VI.2a, VI.2b, VI.2d, & VI.4d).
- b. A comprehensive mentoring program provides support to the new teacher and is intended to sustain a vibrant teaching career that embodies a learner-focused practice resulting in student achievement/growth (VI.2e, & VI.2f).

## Performance Indicators:

1a. The philosophy of the mentorship program connects teacher induction to what teachers need to know and be able to do. The new teacher must receive articulated strategic guidance to become an effective/highly effective teacher (VI.2c & VI.2e).

1b. The mentorship program provides a clearly stated purpose and set of goals based on a philosophy of teacher growth and development that addresses the unique needs and learning styles of the beginning teacher, as well as teaching practice that reflects the Learning Standards of New York State including the New York State P-12 Common Core Learning Standards, school, school district, and state goals in closing the achievement gap (II.1e, II.4a, & II.4b).

1c. The purpose and goals reflect a multi-year effort and are part of a continuum of professional learning that builds on and extends the development of the beginning teacher from preparation into induction and practice (VI.2b & VI.2c).

1d. The philosophy includes the central role of a highly-proficient mentor and provides for the support of the mentor teacher (VI.1e, VII.1c, VII.2a, & VII.2b).

1e. The program purpose and goals include a focus on a strategic support system that includes adequate allocation of time, resources, and staff, for the support of beginning teachers (VI.2c & VI.2f).

1f. The mentorship program utilizes a data driven formative and summative evaluation process for continuous program improvements (VI.1c).

## Standard 2: Program Design

Aligned with NYSTS I, II, III, VI, and VII

Standard: The mentoring program is designed as a crucial component of a comprehensive induction plan and is embedded in an integrated professional culture. The design supports a district's mission and vision and is consistent with school, district, and state standards in addressing the Learning Standards of NYS including the NYS P-12 Common Core Learning Standards (NYSTS I, II, III, VI, & VII).

### Elements:

a. The program incorporates a purposeful, logically-sequenced structure of extended preparation and professional development that is comprehensive, coherent, and sustained (VI.1e, VII.2b, VII.3b, & VII.3c).

b. The design supports a district's mission and vision and is consistent with school, district, and state standards in addressing the Learning Standards of NYS including the NYS P-12 Common Core Learning Standards (I.5a, II.1e, III.1a, & VI. 2a).

c. The mentoring program is designed in a way that ensures quality mentors, effective mentoring relationships, and feedback for program improvement. A sound, well-articulated philosophy grounded in research and effective practice guides the purpose and goals of the program (II.1c, VII.3a, and VII.3c & VII.4c).

Performance Indicators:

2a. The mentoring program is designed to build on the strengths of beginning teachers in the continuum of development from pre-service to ongoing professional learning and provides for the ongoing identification of beginning teacher needs as they emerge (VII.2a, VII.2b, & VII.3c).

2b. The mentoring program includes well-structured teacher networks and “study groups” to extend the mentor relationship beyond a stand-alone design to a comprehensive, coherent, and sustained learning community. Sufficient resources are allocated (funds, time, and personnel) for sustaining the learning community (VI.2e, VII.3b, VII.4a, & VII.4b).

2c. The mentoring program seeks input from and directly involves partnerships with all district stakeholders, statewide mentoring networks, and teacher preparation programs to collaborate in support of beginning teachers (P-16) (VI.2c, VI.2e, VI.2f, & VII.4a)

2d. The mentoring program is standards based, informed by New York State Teaching Standards, to ensure that all students meet or exceed the Learning Standards of New York State including the New York State P-12 Common Core Learning Standards. Program goals and intended outcomes are clearly articulated, reviewed, and revised as necessary based on formative program evaluation data (III.1a & III.3b).

2e. The mentoring program is embedded into the school- and district-wide culture, and reflects long-term planning for teaching and learning that is aligned with the instructional philosophy of the school and district. It is an integral part of the district’s professional development plan, based on relevant data, and responsive to local contexts (VI.2a & VI.2d).

2f. The mentoring program delineates clear roles and expectations for district and school leaders (e.g., superintendent, principal), program administrators, other stakeholders in the Pre-K–16 continuum and in the general community, and the mentor and beginning teacher (VI.2a & VI.5d).

2g. The mentoring program is designed to ensure that mentors are sufficiently prepared and adequately supported in their continuous professional learning. Partnerships with universities, Teacher Centers, and regional BOCES should be sought for the design of this professional development strategy (VI.2e, VI.2f, VII.4a, VII.4b, & VII.4c).

2h. The mentoring program is designed to allow sufficient common time for classroom visitations, reflection on teaching practices, feedback, and instructional skills support. The design considers the need for reduced workloads, release time and placement in classes with less, rather than more, demanding students (VI.1c, VI.5a & VI.5d).

### Standard 3: Program Implementation

Aligned with NYSTS I, II, VI and VII

Standard: The mentoring program is implemented to meet New York State Teaching Standards and sustain program activities that support the development of all beginning teachers. An infrastructure (resources, time, staff, and preparation) is established to help ensure that beginning teachers receive the continuum of support and development necessary to foster effective teaching and learning (NYSTS I, II, VI, & VII).

Elements:

- a. Implementation is research based and reflects core best practice principles of effective mentoring/induction (VII.4c).
- b. A comprehensive infrastructure of resources is established to ensure that beginning teachers receive the continuum of support and development that fosters effective/highly effective teaching and learning (VI.2e & VI.2f).

Performance Indicators:

3.a The mentoring program is implemented as a comprehensive, district-wide initiative seamlessly aligned with district goals, plans, and improvements (VI.2a & VI.4d).

3.b The mentoring program is implemented within the context of the community, the mission of the school, and the diverse learning characteristics of the students (I.3a, I.3b, I.5a, I.5b, II.6d, II.6e, VI.2a, & VI.4d).

3.c Mentor development is a transformational process that promotes active teacher participation in the reform and improvement of the profession (VII.4a, VII.4b, & VII.4 c).

### Standard 4: Mentor Selection Process and Criteria

Aligned with NYSTS I, II, VI, and VII

Standard: Mentors are recruited and selected through a rigorous and transparent process guided by criteria that consider the mentor candidate's commitment to the profession and teaching experience. The mentor selection process is aligned with a district's needs as well as those of the beginning teacher (NYSTS I, II, VI, & VII).

Elements:

- a. Mentor candidates are fully certified and identified as effective or highly effective. They should be highly-respected teachers with demonstrated classroom success. They must be of high moral and professional character, highly competent, experienced, and possessing strong

interpersonal skills (VI.1e & VI.1a).

b. The mentor selection process is aligned with district needs as well as those of the beginning teacher (VI.2a & VI.2d). The mentor selection process and criteria should be well defined, transparent, and consistent with the mentor responsibilities and local program purpose and needs (VI.2a, VI.2d, & VI.5d).

c. The selection of mentors is guided by high standards of knowledge, expertise, and evidence of reflective practice. The selection committee should determine what qualities make for effective mentors. Mentors should possess extensive knowledge of pedagogy, content, and best practice (I.2c, II.1c, VI.1c, & VII.4c).

Performance Indicators:

4a. The mentoring program establishes formal structures (e.g., a mentor selection committee) for the selection of mentors, and the matching of mentors and beginning teachers based on grade levels, subject areas, or other factors related to the needs of the beginning teacher (VI.5d & VI.5e).

4b. The selection process and criteria should be known by teachers throughout the district. The process should also ensure confidentiality of the selection committee's deliberations and outcomes (VI.2a, VI.5d, & VI.5e).

4c. The mentor selection process makes use of a selection committee comprised of a majority of teachers, and reflects shared decision making between the administration and local teachers' bargaining associations (VI.5d & VI.5e).

4d. The mentor selection process takes into consideration the needs of the newly-hired teacher, teaching assignments (subject and grade level), geographical proximity, and qualifications of the mentor (VI.5d & VI.5e).

4e. The mentor selection process includes use of a candidate selection rubric to ensure that final consensus on the selected mentor is based on a common reference point of high-quality teaching (VI.2c & VI.2e).

## Standard 5: Mentor Development

Aligned with NYSTS I, II, V, VI and VII

Standard: Mentoring is a professional practice with its own knowledge and research-based, strategies and best practices. Mentor development is a comprehensive and continuous program extending from initial preparation through ongoing professional learning within the Teacher Career Development Continuum (NYSTS I, II, V, VI, & VII).

Elements:

a. Initial preparation provides the foundation for mentors as they begin their mentoring assignments, and ongoing development deepens mentors' skillfulness, knowledge, and effectiveness at providing instructional support for the beginning teacher (VII.4c).

b. Mentor development provides for systematic application, practice, and follow up that results in professional growth for the mentor and beginning teacher. The design of mentor development programs is informed by best practices of professional development (VII.3b).

Performance Indicators:

5.a Mentor development is aligned with the NYS Teaching Standards, best practices in pedagogy, content knowledge, and uses of technology and data to guide instruction (I.2c, II.1c, III.1b, V.2a, V.2c, V.3b, V.4c, & VI.2c).

5.b Mentor development utilizes current research on effective mentoring and induction to improve teachers' instructional skills and knowledge (I.1c, II.1c, & VII.4c).

5.c Mentor development provides adequate time and resources for mentors to engage in ongoing activities that enable them to reflect on and refine both their mentoring skills and their continuous work with beginning teachers (VI.1c & VII.4b).

5.d Mentor development results in professional growth for both mentor and beginning teacher. It prepares mentors to utilize effective strategies in coaching and providing feedback (VII.2b & VII.3b).

5.e Mentor development is aligned with school/district/state professional development goals and initiatives, and is supported through mentor participation in ethical and professional learning communities including online and on-site networks (VI.2a, VI.2e, & VI.2f).

5.f Mentor development provides effective strategies, grounded in adult learning theory to meet a teacher's continuing growth. Mentor development enables teachers to assess teachers, and differentiate instruction based on the individual needs and learning styles of mentees (VII.1b, VII.1c & VII.2a).

5.g Mentor development promotes communication skills that help to establish, develop and maintain a trusting, collaborative, peer relationship (VII.3a & VII.3c).

#### Standard 6: Mentors Have Clearly Defined Roles and Responsibilities

Aligned with NYSTS I, II, III, VI, and VII

Standard: The role of the mentor is to engage, inspire, assist, encourage and advance the professional learning of a beginning teacher and to model professional conduct. The mentor as a teacher/leader serves as a model of professional conduct and embodies a vision of excellence in

teaching (NYSTS II, III, VI, & VII).

Elements:

a. The mentor serves as a model of professional conduct with a strong commitment to collaboration, and a demonstrated understanding of content, pedagogy, human development and the many issues teachers face in their practice (II.1c & VII.2b).

b. The mentor guides the teacher toward mastering elements of effective teaching including planning and preparation, the classroom environment, and pedagogy aligned with the Learning Standards of New York State including the New York State P-12 Common Core Learning Standards and the New York State Teaching Standards as well as district and national standards (II.1e, II.4a, II.4b, II.6d, & III.1a).

Performance Indicators:

6a. The mentor maintains professional conduct at all times, demonstrating pride in the profession (VI.1a).

6b. The mentor assists in creating and facilitating a network of supportive collegial relationships within a professional community of learners, helping them to acclimate to the academic standards and vision of the district, and the broader educational community (e.g. professional organizations) (I.5a, VI.2a, VII.1c, & VII.3b).

6c. The mentor advocates for policies, practices, and working conditions that promote teacher success (VI.5a, VI.5d & VI.5e).

6d. The mentor establishes and maintains a relationship built on trust and confidentiality in which the skills of the beginning teacher are recognized and nurtured (VI.1a & VI.2c).

6e. The mentor participates in initial and ongoing professional development, including updating technological skills and other activities related to the knowledge, and best practices of mentoring for supporting 21<sup>st</sup> century teaching (VII.2a, VII. 2b, & VII.4c).

6f. The mentor engages in ongoing dialog with the beginning teacher seeking to encourage reflection about all aspects of the teacher's practice (VII.3a & VII.3c).

6g. The mentor establishes a plan for mutual peer classroom observation, and assists the beginning teacher in fostering relationships and trust with members of the school community (VI.2a, VI.2d, VI.2e, VI.2f, & VII.3b).

6h. The mentor anticipates and is responsive to the various concerns and challenges facing the new teacher, identifying opportunities, and resources for professional development and problem solving (VI.5e & VII.4b).

6i. The mentor assists the beginning teacher in the use of data to inform instruction

(III.6a, V.1a, V.1b, & V.2c). The mentor promotes the use of multiple instructional methodologies to support student learning and the use of research-based instructional practices for all students, including those with special needs (I.2c, II.1a, II.1c, III.1b, III.2d, III.3c, III.4b, & VII.4c).

### Standard 7: Mentoring Skill and Knowledge

Aligned with NYSTS I, II, III, V, VI, and VII

Standard: Mentors must be familiar with research-based practices, data analysis, and technological advances that promote student learning and growth at the various stages of development. Additionally, mentors should be immersed in the knowledge, research, policy updates, and best practices of mentoring (NYSTS I, II, III, V, VI, & VII).

Elements:

- a. Mentors must be familiar with research-based practices and technical advances that promote student learning and growth at the various stages of development of all students. (I.1a, I.1b, I.1c, I.2c, II.1c, & III.1b).
- b. The mentor maintains and upholds the principles of ethical standards and establishes opportunities for reflective practice (VI.1a, VI.1c, VI.1d, VI.5b, & VII.3c).
- c. Additionally, mentors should be immersed in the knowledge, research base, technology, data-driven decision making, and best practices of mentoring (VII.2b, VII.4b, & VII.4c).

Performance Indicators:

7a. The mentor establishes a reciprocal learning relationship with the beginning teacher (VII.3a).

7b. The mentor utilizes coaching time effectively to ensure that the mentee receives the necessary support and guidance and appropriate technology to make effective decisions (VII.3a & VII.3c).

7c. The mentor demonstrates the use of appropriate interpersonal skills to communicate effectively with the beginning teacher (II.2d).

7d. The mentor demonstrates practice guided by the New York State Code of Ethics for Educators <http://www.highered.nysed.gov/tcert/resteachers/codeofethics.html>) (VI.1a & VI.1d).

7e. The mentor demonstrates the ability to analyze student work and other data to inform practice through data-driven decisions and assists the mentee in using data to develop goals and monitor progress towards achieving goals (V.2a, V.2c, V.2d, V.3b, V.4c, & VII.1a).

7f. The mentor demonstrates practice informed by cultural sensitivity (I.5a, I.5b, I.5c, &

II.2a).

7g. The mentor is familiar with current research on the mentor/mentee relationship, multiple behavior management strategies, and a repertoire of instructional strategies (I.2c, II.1c, & VII.4c).

## Standard 8: Shared Leadership and Administration

Aligned with NYSTS I, II, III, V, VI, and VII

Standard: Leadership of the mentoring program is a shared responsibility among all stakeholders. Administrative processes that provide instructional support to both beginning teachers and mentors are embedded within the comprehensive induction program (NYSTS I, II, III, V, VI & VII).

Elements:

a. The vision, goals, and action plans of the comprehensive mentoring program are part of the school district's comprehensive education plan (VI.2a, VI.4d, & VI.5d).

b. Administrative processes that provide instructional support to both beginning teachers and mentors are embedded within the comprehensive induction program and leaders committed to a vision of mentoring as a means of improving student achievement/growth and developing and retaining beginning teachers. (VI.2b, VI.2c, VI.2e, & VI.2f).

Performance Indicators:

8a. Leaders promote institutional commitment for a comprehensive induction program representing the Teacher Career Development Continuum from pre-service to ongoing professional learning and the District Professional Development Plan (I.5a, VI.2e, & VI.2f).

8b. Leaders of the mentoring program operate within the context of shared and sustainable leadership, ensuring participation of appropriate stakeholders. Consensus on goals, expectations, and outcomes is established and broadly communicated within the school community. Roles and responsibilities for each participating partner are clearly articulated (I.5a & VI.2d).

8c. Administrators and staff have clear authority, and sufficient resources to support implementation of the program. Administrative processes are coordinated to enhance communication and opportunities for systemic change (VII.3b).

8d. Leaders rigorously monitor program outcomes to ensure that mentoring practices support student learning. Leaders facilitate regular meetings of key stakeholders to discuss program design, development, implementation, and program improvement (VI.3b & VII.1a).

8e. Program leaders possess deep knowledge regarding teacher induction. Additionally,

leaders include ongoing research and professional development related to mentoring as part of their own professional development (II.1c, VI.2c, VI.2e, & VI.2f).

8f. Program leaders facilitate the use of data for continuous improvement by using a variety of sources indicating student achievement/growth (III.6c, V.1f, V.3b, V.4a, V.4c, & VII.1a).

## Standard 9. Beginning Teacher Knowledge, Skills, and Dispositions

Aligned with NYSTS I, II, III, IV, V, VI, and VII

**Standard:** Beginning teachers bring valued knowledge, skills, and dispositions to the new context of the classroom, school, and districts where they are first employed. The beginning teachers must display a readiness to continue learning about teaching, and invite collaborative support and guidance (NYSTS I, II, III, IV, V, VI, & VII).

**Elements:**

- a. The beginning teachers must share what they have accomplished in prior experiences as a starting point for present learning and development (VII.1b, VII.1c, & VII.2a).
- b. They must display a readiness to continue learning about teaching, and invite collaborative support and guidance (VII.2a & 2b).

**Performance Indicators:**

9a. The beginning teacher shares evidence of a teaching philosophy and prior learning such as might be represented in a professional portfolio, lesson and unit plans, and draws upon this learning in the development of their classroom practice (VI.3b, VI.4a, VI.4c, VII.1b, VII.1c, & VII.2a).

9b. The beginning teacher is an active participant in the mentoring program that is a continuation of the pre-service experience (VI.2b, VI.2c, VI.2e, & VI.2f).

9c. The beginning teacher plays an active role in helping to determine the scope and depth of the mentoring program, providing ongoing feedback on progress toward meeting established goals, and on other elements of the mentoring program (VII.1c, VII.2a, VII.3a, & VII.3c).

9d. The beginning teacher collaborates with the mentor teacher in developing professional relationships with colleagues and other beginning teachers (VI.2b & VII.3b).

9e. The beginning teacher seeks feedback from the mentor teacher and other colleagues to inform practice on topics such as teaching in a standards-based environment, the use of formative and summative assessments, differentiation, and lesson and unit planning (I.3a, I.3b, II.1e, III.6a, V.1b, V.1c, & V.1d).

9f. The beginning teacher engages in reflection and self-evaluation as a way of continually developing the knowledge, skills, and dispositions related to effective work in both the classroom and in the school (VI.1c, VII.1b, VII.2a, & VII.3c).

#### Standard 10: Program Evaluation

Aligned with NYSTS I, II, III, IV, VI, and VII

Standard: The mentor program includes a comprehensive system of formative and summative assessments, evaluates and analyzes program concepts, involves program participants and other stakeholders, and leads to substantive and continual improvements (NYSTS I, II, III, IV, VI, & VII).

Elements:

a. The program evaluation is aligned with professional standards, the Learning Standards of NYS including the NYS P-12 Common Core Learning Standards, the NYS Teaching Standards, and their respective assessments. Periodic needs assessments should be designed to determine needs and to ensure a continuous feedback loop for program design and implementation (II.1e, II.4a, III.1a, VI.2a, VI.5d, VII.1c, VII.2a, VII.3a, & VII.3c).

b. Data are to be collected, analyzed, and used for mentoring program improvement and influencing policy at the local, state and federal levels. The methodology provides meaningful involvement of professional practitioners and P-16 partners in program revision. District record keeping requirements and systems should be used as appropriate to ensure consistency and reliability of analyses and reporting (V.2a, VI.4a, VI.5a, VI.5d, VI.5e, & VII.1a).

c. Evidence of an effective comprehensive mentoring program includes retaining quality teachers, enhancing student achievement/growth, providing improvement strategies, and meeting goals of the program (VI.2c, VI.2e, & VI.2f).

Performance Indicators:

10a. Evaluation includes formative and summative processes using data from multiple sources such as teachers, stakeholders from the P-16 continuum, program staff, and administration. The set of questions that guide the mentoring program evaluation addresses all the important practices and issues, and include input from the stakeholders who participate in the content, design, and implementation of the program (VI.5a & VII.3b).

10b. Program leaders identify or design instruments and procedures for collecting data relevant to the questions that guide the evaluations (i.e., surveys, interviews, focus groups, case studies, journal entries), describe and broadly communicate the processes for gathering, reviewing, analyzing evaluation data, and providing timely program adjustments (VI.5b, VI.5d, & VI.5e).

10c. Program leaders collect ongoing feedback on program quality and effectiveness from all participants using formal and informal methodologies (VI.1c & VII.3c).

10d. Data related to the dynamics and effectiveness of the mentor/mentee partnership and the mentor's role as an integral part of the program are collected in the evaluation with opportunities for adjustments as needed (VI.1c, VII.3a, & VII.3c).

10e. The program develops well-defined evaluation plans that are inclusive of multiple data types and based upon the articulated goals and intended outcomes of the program. Ongoing evaluation of the impact of the program on teacher practice, teacher satisfaction, retention, and student achievement/growth is included in the plan. The evaluation addresses and captures emerging research-based knowledge about teaching and learning (I.2c, VII.4b, & VII.4c).

10f. Program evaluation data are not used to monitor individual teacher performance, nor are they used for individual teacher or pre-service preparation evaluations except in so far as this use is explicitly represented in the district's collective bargaining agreement (VI.5e).

## Required for Federal and State Discretionary Grant Programs

### STANDARD CLAUSES FOR NYS CONTRACTS

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

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

2. **NON-ASSIGNMENT CLAUSE.** In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the previous consent, in writing, of the State and any attempts to assign the contract without the State's written consent are null and void. The Contractor may, however, assign its right to receive payment without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

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

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

5. **NON-DISCRIMINATION REQUIREMENTS.** To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that

this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

**6. WAGE AND HOURS PROVISIONS.** If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law.

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

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

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

**10. RECORDS.** The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year

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

**11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.** (a) FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER. All invoices or New York State standard vouchers submitted for payment for the sale of goods or services or the lease of real or personal property to a New York State agency must include the payee's identification number, i.e., the seller's or lessor's identification number. The number is either the payee's Federal employer identification number or Federal social security number, or both such numbers when the payee has both such numbers. Failure to include this number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or New York State standard voucher, must give the reason or reasons why the payee does not have such number or numbers.

(b) PRIVACY NOTIFICATION. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law.

(2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in New York State's Central Accounting System by the Director of Accounting Operations, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

**12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN.** In accordance with Section 312 of the Executive Law, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor.

Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State; or (iii) banking services, insurance policies or the sale of securities. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Governor's Office of Minority and Women's Business Development pertaining hereto.

**13. CONFLICTING TERMS.** In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

**14. GOVERNING LAW.** This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

**15. LATE PAYMENT.** Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

**16. NO ARBITRATION.** Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

**17. SERVICE OF PROCESS.** In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

**18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS.** The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of State Finance Law §165. (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an

exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

**19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES.** In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

**20. OMNIBUS PROCUREMENT ACT OF 1992.** It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development  
Division for Small Business  
30 South Pearl St -- 7<sup>th</sup> Floor  
Albany, New York 12245  
Telephone: 518-292-5220  
Fax: 518-292-5884  
<http://www.empire.state.ny.us>

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

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

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

(a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

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

**22. PURCHASES OF APPAREL.** In accordance with State Finance Law 162 (4-a), the State shall not purchase any apparel from any vendor unable or unwilling to certify that: (i) such apparel was manufactured in compliance with all applicable labor and occupational safety laws, including, but not limited to, child labor laws, wage and hours laws and workplace safety laws, and (ii) vendor will supply, with its bid (or, if not a bid situation, prior to or at the time of signing a contract with the State), if known, the names and addresses of each subcontractor and a list of all manufacturing plants to be utilized by the bidder. **(June 2006)**



## APPENDIX 8-A

### General

- A. In the event that the Contractor shall receive, from any source whatsoever, sums the payment of which is in consideration for the same costs and services provided to the State, the monetary obligation of the State hereunder shall be reduced by an equivalent amount provided, however, that nothing contained herein shall require such reimbursement where additional similar services are provided and no duplicative payments are received.
- B. This agreement is subject to applicable Federal and State Laws and regulations and the policies and procedures stipulated in the NYS Education Department Fiscal Guidelines found at <http://www.nysed.gov/cafe/>.
- C. Variations in each budget category not exceeding ten percent (10%) or One Thousand Dollars (\$1,000.00) of such category, whichever is greater, may be approved by the Commissioner of Education. Any such variations shall be reflected in the final expenditure report and filed in the Office of the State Comptroller.

### Terminations

- A. The State may terminate this Agreement without cause by thirty (30) days prior written notice. In the event of such termination, the parties will adjust the accounts due and the Contractor will undertake no additional expenditures not already required. Upon any such termination, the parties shall endeavor in an orderly manner to wind down activities hereunder.

### Safeguards for Services and Confidentiality

- A. Any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department. The material prepared under the terms of this agreement by the Contractor shall be prepared by the Contractor in a form so that it will be ready for copyright in the name of the New York State Education Department. Should the Contractor use the services of consultants or other organizations or individuals who are not regular employees of the Contractor, the Contractor and such organization or individual shall, prior to the performance of any work pursuant to this agreement, enter into a written agreement, duly executed, which shall set forth the services to be provided by such organization or individual and the consideration therefore. Such agreement shall provide that any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department and that such work shall be prepared in a form ready for copyright by the New York State Education Department. A copy of such agreement shall be provided to the State.
- B. All reports of research, studies, publications, workshops, announcements, and other activities funded as a result of this proposal will acknowledge the support provided by the State of New York.
- C. This agreement cannot be modified, amended, or otherwise changed except by a written agreement signed by all parties to this contract.
- D. No failure to assert any rights or remedies available to the State under this agreement shall be considered a waiver of such right or remedy or any other right or remedy unless such waiver is contained in a writing signed by the party alleged to have waived its right or remedy.
- E. Expenses for travel, lodging, and subsistence shall be reimbursed in accordance with the policies stipulated in the aforementioned Fiscal guidelines.
- F. No fees shall be charged by the Contractor for training provided under this agreement.
- G. Nothing herein shall require the State to adopt the curriculum developed pursuant to this agreement.
- H. All inquiries, requests, and notifications regarding this agreement shall be directed to the Program Contact or Fiscal Contact shown on the Grant Award included as part of this agreement.

- I. This agreement, including all appendices, is, upon signature of the parties and the approval of the Attorney General and the State Comptroller, a legally enforceable contract. Therefore, a signature on behalf of the Contractor will bind the Contractor to all the terms and conditions stated therein.
  
- J. The parties to this agreement intend the foregoing writing to be the final, complete, and exclusive expression of all the terms of their agreement.