



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

REQUEST FOR QUALIFICATIONS (RFQ) # 20-002

**TEACHER AND PRINCIPAL EVALUATION:
 QUALIFICATIONS FOR ASSESSMENTS
 TO BE USED BY NEW YORK STATE SCHOOL DISTRICTS AND BOARDS OF
 COOPERATIVE EDUCATIONAL SERVICES (BOCES)
 IN TEACHER AND PRINCIPAL EVALUATIONS**

APPLICATION PERIOD: CONTINUOUS AND ONGOING

INSTRUCTIONS:

Please use this specialized Microsoft® Word document for your response. If you are viewing it on the Internet, be sure to **save** it to your computer. Responses may be typed into fill-in areas *only*: These areas will automatically expand, as needed, to accommodate text. Some questions (e.g., Yes/No) require clicking on boxes, which look like:

The New York State Education Department (NYSED or “the Department”) does not discriminate on the basis of race, creed, color, national origin, religion, age, sex, military, marital status, familial status, domestic violence victim status, carrier status, disability, genetic predisposition, sexual orientation and criminal record in its recruitment, educational programs, services, and activities. NYSED has adopted a web accessibility policy, and publications designed for distribution can be made available in an accessible format upon request. Inquiries regarding this policy of nondiscrimination should be directed to the Office of Human Resources Management, Room 528 EB, Education Building, Albany, New York 12234.

1.0 GENERAL INFORMATION

1.1 PROGRAM SUMMARY

To implement the provisions of Education Law §3012-d as amended by Chapter 59 of the Laws of 2019 relating to annual professional performance reviews (APPRs) of classroom teachers and building principals, the New York State Education Department (NYSED) is soliciting applications for assessments that will be used as measures of student growth used with a student learning objective (SLO) (see definition below) that will generate a growth target for one year of expected growth for use in the Required Student Performance subcomponent, and/or as a State-designed supplemental assessment (“supplemental assessment”) for use in the Optional Student Performance subcomponent.

Please note, per Education Law §3012-d and Subpart 30-3 of the Rules of the Board of Regents, “supplemental assessments” may include assessments that have been developed or designed by the

State, in addition to those that have been purchased or acquired by the State from (i) another state; (ii) an institution of higher education; or (iii) a commercial or not-for-profit entity; provided that such entity must be objective and may not have a conflict of interest or appearance of a conflict of interest. Supplemental assessments may also be tests or assessments that have been previously designed or acquired by local educational agencies (LEAs).

THIS SOLICITATION WILL NOT RESULT IN A CONTRACT WITH THE NEW YORK STATE EDUCATION DEPARTMENT.

On April 13, 2015, the Assembly and Senate passed the New York State Budget for 2015-16 and signed into law a revised annual professional performance review system for teachers and principals as Chapter 56 of the Laws of 2015, which created Education Law §3012-d. Education Law §3012-d was amended by the Legislature in Chapter 59 of the Laws of 2019 and signed by the Governor on April 12, 2019.

The amended law retains the requirement from the original §3012-d that teachers and principals be evaluated based on two categories: the Student Performance category and the Observation/School Visit category. The former is made up of two subcomponents, the Required Student Performance subcomponent and the Optional Student Performance subcomponent. Section 30-3.8 of the Rules of the Board of Regents requires the Commissioner to evaluate student assessments for use in the Required and/or Optional Student Performance subcomponents based on the criteria outlined in this RFQ. Please note: all assessments approved for use with Education Law §3012-d under RFQ #15-001 are available for use with Education Law §3012-d as amended by the Laws of 2019. Assessment providers seeking to have one or more assessments placed on the Approved Assessment List after the release of RFQ #20-002, or assessment providers who wish to resubmit a previously approved assessment for expanded use, must apply to this RFQ in order to be approved for use under Education Law §3012-d as amended by the Laws of 2019.

All assessments submitted through this RFQ must be approved in conjunction with a target setting process aligned with one-year expected academic growth (for use with SLOs) or as a second measure of student growth or achievement (for use with a supplemental assessment) that shall be either:

- a) A second SLO provided that the SLO is different than that used in the Required Student Performance subcomponent;
- b) A growth score based on a statistical growth model, where available, for either a State-created or -administered or a State-designed supplemental assessment;
- c) A measure of student growth, other than an SLO, based on a State-created or -administered assessments or State-designed supplemental assessment;
- d) A performance index based on State-created or -administered assessments or approved student assessments;
- e) An achievement benchmark on State-created or -administered assessments or approved student assessments; or
- f) Any other collectively bargained measure of student growth or achievement included in an LEA's approved evaluation plan.

In accordance with New York State’s teacher and principal evaluation legislation, one category of an educator’s evaluation shall be based on student performance, which shall include one mandatory subcomponent and one optional subcomponent:

1. Required Student Performance subcomponent.

The required subcomponent of the Student Performance category for all teachers and principals is a Student Learning Objective (SLO). SLOs are developed locally, consistent with a goal-setting process that is developed by the Commissioner. As required by the Education Law, the selection and use of the assessment as the underlying evidence for the SLO is subject to collective bargaining and must be based on the following options:

- State-created or -administered assessments;
- State-approved LEA, regional, or BOCES-developed assessments; or
- State-approved third-party assessments.

The Department believes that the development of SLOs should encourage educators to focus and align instruction with district, BOCES, and school priorities, goals, and academic improvement plans. Setting long-term goals allows educators to plan backwards from a vision of student success, and research indicates that setting rigorous and ambitious learning goals, combined with the purposeful use of data through both formal and informal assessments, leads to improved academic performance by students.

The SLO process developed by the Department is aligned with best practices in instructional goal setting and is intended to have significant instructional benefit by encouraging educators to be systematic and strategic in their instructional decisions. Done thoughtfully, the SLO process will lead to an increase in the quality of discussions happening in LEAs, schools, and classrooms that focus on student growth and learning, clearer indications of when and how to adjust instruction to meet students’ needs, and more targeted professional development efforts.

2. Optional Student Performance subcomponent. Under the Education Law, LEAs must locally negotiate as to whether to utilize the optional subcomponent of the Student Performance Category and which of the allowable options will be utilized. The law further requires that the same locally selected measure(s) be applied in a consistent manner across all classrooms in the same grade/subject in the LEA to the extent practicable. Any assessment submitted through this RFQ for approval and use in the Optional Student Performance subcomponent is considered a supplemental assessment.

In determining whether to use multiple student performance measures, LEA administrators and their collective bargaining representatives should consider how using additional measures can contribute to providing a more complete picture of teacher and/or principal practice and school, district, or individual goals. Teaching and school leadership are complex, multi-dimensional professions and no single measure of educator practice or student outcomes is likely to fully

capture the range of knowledge, skills, and abilities employed by educators to support student success.

Through this RFQ, New York State seeks to further build an “Approved Assessment List” from which LEAs can choose for the Required and/or Optional Student Performance subcomponent(s). The list will constitute approved assessments for certain grades and subjects if they meet the State’s criteria and are consistent with Commissioner’s regulations for the Optional and/or Required Student Performance subcomponents (i.e., a list of assessments that can be used for #1 and #2 above).¹ Assessments previously designed or acquired by an LEA may be submitted to the Department for approval through this process as well.

NYSED will use the objective criteria specified within this RFQ to review such applications for inclusion on the list of approved assessments for the purposes of APPR.

This is not a competitive procurement. All submitted assessments that meet the criteria specified in this RFQ will be included on the applicable list. The list will be maintained by NYSED and will indicate approved assessments that may be selected by LEAs for use in teacher and principal evaluations in conjunction with either SLOs through a target setting process aligned with one-year expected academic growth or with a second measure of student growth or achievement for use in the Optional Student Performance subcomponent. *No funding is directly associated with this application for approval.*

The list will be updated on a rolling basis. On a continual basis, there is the opportunity for applicants to demonstrate that their submitted assessment for use with an SLO or as a supplemental assessment meets the requirements for inclusion on the list. Assessments may be removed from the approved list for cause (as outlined in [Section 2.2](#), Termination of Approval of an Assessment) or upon request by the provider.

1.2 BACKGROUND

1.2(A) Background Information: New York State, NYSED, and Teacher Evaluation

The New York State school system is one of the most comprehensive educational systems in the country. It comprises 689 school districts, 37 BOCES, over 7,000 public/private elementary and secondary schools including 246 charter schools and serves the educational needs of over 3.1 million students. Additionally, there are currently over 220,000 certified public-school teachers and administrators employed by New York State schools who directly support the educational needs and achievement of our student population.

Education Law §3012-d as amended by the Laws of 2019 retains the requirement from the original §3012-d that teachers and principals be evaluated based on two categories: the Student

¹ Assessments approved for grades K-2 shall not include “Traditional Standardized Assessments” as defined below in the section “Definitions of Key Terms Used in this RFQ.”

Performance category and the Observation/School Visit category. Under the amended law, New York State continues to differentiate teacher and principal effectiveness using four rating categories – Highly Effective, Effective, Developing, and Ineffective (HEDI). Education Law §3012-d requires Annual Professional Performance Reviews (APPR) to result in a single overall teacher or principal effectiveness rating that incorporates multiple measures of effectiveness. As in the past, the results of the evaluations shall be a significant factor in employment decisions, including but not limited to promotion, retention, tenure determination, termination, and supplemental compensation, as well as teacher and principal professional development (including coaching, induction support, and differentiated professional development).

As a result of the newly amended legislation, during the October 2019 meeting of the Board of Regents, Subpart 30-2 was amended, and a new Subpart 30-3 of the Rules of the Board of Regents was added as an emergency adoption in order to implement Education Law §3012-d.

For additional information on New York State’s evaluation system, including information on the Commissioner’s regulations, see the [NYSED website](#).

1.2(B) Background Information: The Approved Assessment List

This RFQ is soliciting supplemental assessments, as defined earlier in this document, and assessments to be used with SLOs that include a target setting process aligned with one-year expected academic growth that are consistent with *the Testing Standards* (see definition below), and are consistent with the standards set forth in Education Law §3012-d as amended by the Laws of 2019.

NYSED will review and evaluate the submitted assessments for use with SLOs and the supplemental assessments on the degree to which they meet criteria established in this RFQ and the Commissioner’s regulations. Applicants and Providers of approved assessments will be notified and placed on the *Approved Assessment List*. Once approved, assessments will be on the *Approved Assessment List* unless the assessment is disqualified, or approval is terminated by NYSED according to the specifications set forth within the Commissioner’s regulations and this RFQ (refer to [Section 2.2](#) for additional information), or upon the request of a provider for removal from the list.

Once the *Approved Assessment List* is established, LEAs will have the opportunity to select assessments for use with SLOs in the Required Student Performance category or supplemental assessments for use in the Optional Student Performance category from the *Approved Assessment List* and may enter into an agreement with the Assessment Provider for services within the terms and conditions cited in State law and regulations, and this RFQ. If approved, LEAs are not required to provide their assessments to other LEAs. As noted in Section 1.1., any third party assessments approved for use pursuant to RFQ 15-001 will remain available for use by LEAs consistent with the terms of the original approval. However, if an assessment provider would like to expand the use of the approved assessment (e.g., to cover additional grades/subjects, to be used in a different

subcomponent, to be used with additional measures of growth or achievement in the optional subcomponent), the assessment provider must submit a new application through this RFQ.

Though NYSED is approving assessments for use in teacher and principal evaluation, the *Approved Assessment List* is not an endorsement of any of the Assessment Providers. LEAs should verify the capabilities of the Assessment Providers prior to entering into any agreements. NYSED reviews the applications solely based on the criteria stipulated in this RFQ and Subpart 30-3 of the Rules of the Board of Regents.

1.3 DEFINITIONS OF KEY TERMS USED IN THIS RFQ

Term	Definition
Applicant	The entity submitting the application. The Applicant may, in some cases, not be the Copyright Owner, the Assessment Representative, or the Assessment Provider. See Section 2.1 for more information.
Approved Assessment List	Applications to this RFQ that meet the requirements for use with supplemental assessments and/or with Student Learning Objectives (SLOs). Assessments that are approved are placed on the <i>Approved Assessment List</i> .
Assessment	A measure of a student’s skills or understanding of concepts.
Assessment Provider	The person or entity providing the assessment and/or related services to the LEA. The Assessment Provider may be the Copyright Owner or the Assessment Representative.
Assessment Representative	For the purposes of this RFQ, the Assessment Representative is assumed to be legally authorized by the Copyright Owner to provide the assessment and/or any related assessment services. The Assessment Representative would provide products and/or services to an LEA, but this RFQ does not authorize the provision of any products and/or services to NYSED.
Board of Regents	The Board of Regents is responsible for the general supervision of all educational activities within the State, presiding over The University of the State of New York and the New York State Education Department.
BOCES	Boards of Cooperative Educational Services. There are 37 BOCES in the State of New York that serve as shared service providers to school districts in the State of New York.

Classroom Teacher	Classroom teacher or teacher shall mean a teacher in the classroom teaching service who is a teacher of record as defined §30-3.2 of the Rules of the Board of Regents, except evening school teachers of adults enrolled in nonacademic, vocational subjects, and supplemental school personnel (i.e., teaching assistants, teacher aides, pupil personnel providers).
Commissioner, The	The Commissioner is the chief executive officer of the New York State Education Department and president of the University of the State of New York.
Commissioner’s Regulations, The	Regulations in Title 8 of the New York Code of Rules and Regulations adopted by the Board of Regents, and, in particular, the regulations pertaining to New York State’s teacher and principal evaluation system to implement Education Law §3012-d as amended by Chapter 59 of the Laws of 2019.
Copyright Owner	The person or entity that is the owner of the copyright of a particular assessment that is being submitted for approval through the RFQ process.
CTE	Career and Technical Education. Additional information on New York State’s Career and Technical Education programs is available on the NYSED website .
Educator(s)	Teachers and Principals.
Growth Model	One of a variety of statistical models that can be used to make inferences about student growth. Categories of growth models include, but are not limited to, gain score models, growth-to-proficiency models, student growth percentiles, projection models, and value-added models. For the purposes of this RFQ, the growth model must control for prior academic history, poverty, students with disabilities, English language learners, and any additional factors approved by the Commissioner to measure student growth, either directly within the model or in conjunction with the model through a process to aggregate to an individual teacher’s or principal’s effectiveness score. For definitions of each type of growth model, see Appendix C: Definitions of Growth Models .
Local Educational Agency/Agencies (LEA/s)	For purposes of this RFQ, one of the approximately 700+ school districts or BOCES in the State of New York. Note that in some instances a BOCES may procure services on behalf of one or more school districts.
NYSED	The New York State Education Department

<p>New York State Learning Standards</p>	<p>The learning standards approved by the Board of Regents, specific to the State of New York. A list of New York State Learning Standards is available in Appendix A: New York State Learning Standards.</p>
<p>Principal or Building Principal</p>	<p>Principal shall mean a building principal, or an administrator in charge of an instructional program of a board of cooperative educational services.</p>
<p>RFQ</p>	<p>A “Request for Qualification” is a procurement tool used by the State Education Department to identify one or more providers who meet a specified set of requirements.</p>
<p>School Representative</p>	<p>An LEA that has been authorized to submit an application to this RFQ for an assessment that the LEA uses, or plans to use, on behalf of the Copyright Owner or Assessment Representative.</p>
<p>Supplemental Assessments</p>	<p>A selection of assessments developed or designed by the State Education Department, or that the State Education Department purchased or acquired from (i) another state; (ii) an institution of higher education; or (iii) a commercial or not-for-profit entity, provided that such entity must be objective and may not have a conflict of interest or appearance of a conflict of interest; such definition may include tests or assessments that have been previously designed or acquired by local districts, but only if the state education department significantly modifies growth targets or scoring bands for such tests or assessments or otherwise adapts the test or assessment to the state education department's requirements.</p>
<p>Student Learning Objective (SLO)</p>	<p>An SLO is an instructional planning tool developed at the start of an educator’s course or building principal’s school year that include expectations for student growth. It represents important learning that is aligned to national or state standards, as well as any other school and LEA priorities. The goals included in the SLO must be specific, measurable, and based on available prior student learning data. The SLO process asks educators to reflect on who their students are, what they already know, and what they are going to learn during the interval of instruction. In this context, rigorous yet attainable targets are set that define what success looks like for each student and considers their longer-term trajectory toward college, career, and citizenship readiness. Educators’ scores are then based upon the degree to which the goals were attained, as evidenced by student academic performance at the end of the course. See Appendix A: New York State Learning Standards for a list of all content areas in New York State for which there are standards.</p>

<p>Testing Standards, The</p>	<p>Any reference in this RFQ to “the Testing Standards” shall mean the “Standards for Educational and Psychological Testing” (American Educational Research Association, American Psychological Association, & National Council on Measurement in Education, 2014—available at the Office of Counsel, State Education Department, State Education Building, Room 148, 89 Washington Avenue, Albany, New York, 12234).</p>
<p>Traditional Standardized Assessments</p>	<p>Traditional standardized assessments are defined by NYSED for the purposes of Education Law 3012-d as amended by the Laws of 2019 and the Commissioner’s regulations as a systematic method of gathering information from objectively scored items that allow the test taker to select one or more of the given options or choices as their response. Examples include multiple-choice, true-false, and matching items. NYSED defines this term to focus <u>specifically</u> on those assessments that require the student (and not the examiner/assessor) to directly use a "bubble" answer sheet.</p> <p>Effective March 2, 2014, the Department removed traditional standardized assessments for use in grades K-2 from the list of State-approved assessments for use in APPR plans for the 2014-15 school year and thereafter.</p>
<p>Valid and Reliable</p>	<p>A method is considered valid if it accurately measures what it is intended to measure.</p> <p>A method is considered reliable if the same result can be consistently achieved by using the same methods under the same circumstances.</p> <p>Please see the Standards for Educational and Psychological Testing for complete definitions of valid and reliable.</p>

1.4 RESERVATION OF RIGHTS

NYSED reserves the right to: (1) reject any or all applications received in response to the RFQ; (2) withdraw the RFQ at any time, at the agency’s sole discretion; (3) disqualify any provider whose conduct and/or application fails to conform to the requirements of the RFQ and/or any applicable laws or regulations; (4) seek clarifications of applications; (5) use application information obtained through the State’s investigation of a provider’s qualifications, experience, ability, or financial standing, and any material or information submitted by the provider in response to the agency’s request for clarifying information in the course of evaluation and/or selection under the RFQ; (6) during the application period, amend the RFQ specifications to correct errors or oversights, or to supply additional information, as it becomes available; (7) during the application period, direct providers to submit application modifications addressing subsequent RFQ amendments; (8) change any of the scheduled dates; (9)

waive any requirements that are not material; (10) negotiate with the successful provider within the scope of the RFQ in the best interests of the state; (11) require clarification at any time during the qualification process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a provider's application and/or to determine a provider's compliance with the requirements of the RFQ; and (12) request accurate and current estimates of provider costs.

2.0 SPECIFICATIONS

2.1 ELIGIBLE APPLICANTS

The following sections describe the entities that qualify as eligible applicants and who therefore may submit applications in response to this Request for Qualifications.

2.1(A) Eligible Applicants Include LEAs as the Owners of the Supplemental Assessment or Assessment to Be Used With an SLO

For supplemental assessments or assessments to be used with an SLO, districts are eligible to submit an application for this RFQ as the Owner of an assessment that has been designed by such district without sponsorship by a BOCES. Additionally, BOCES may submit an application for this RFQ as the Owner of an assessment that has been designed by such BOCES without need for any sponsorship.

An assessment submitted by an LEA, if approved and placed on the applicable *Approved Assessment List*, has the option of being available for use by any LEA.

2.1(B) Eligible Applicants Include Copyright Owners or Assessment Representatives of the Assessment Being Proposed as the Owners of the Supplemental Assessment or Assessment to Be Used With an SLO

To the extent authorized by law, entities eligible to apply to provide educator evaluation assessment services include:

- Private for-profit companies, including but not limited to, test publishers and research organizations;
- Nonprofit organizations;
- Institutions of Higher Education; or
- Boards of Cooperative Educational Services (BOCES).

Each approved Copyright Owner or Assessment Representative will be responsible for meeting the terms of its agreement with the LEA.

2.1(C) Eligible Applicants Include LEAs That Are Authorized to Submit an Application on Behalf of the Copyright Owner / Assessment Representative of a Supplemental Assessment or Assessment to Be Used with an SLO

LEAs are eligible to submit an application for this RFQ on behalf of the Copyright Owner of an assessment and/or an Assessment Representative for an assessment used or planned to be used in their schools, provided that the LEA receives approval from the Copyright Owner/Assessment Representative to submit an application for the assessment for this RFQ, and the Copyright Owner/Assessment Representative is an eligible entity listed in 2.1(B), above.

If an entity is submitting an application on behalf of the Copyright Owner/Assessment Representative of the assessment, **Form F: Approval to Submit on Behalf of Copyright Owner/Assessment Representative** (located in this RFQ), must be included in the RFQ application. This form must be signed by the Copyright Owner/Assessment Representative for the assessment being proposed. See **Form F** and **Section 3.5: Application Package Checklist** for more information.

An assessment submitted by an LEA, if approved and placed on the applicable *Approved Assessment List*, may be available for use by any LEA, so long as there is an agreement with the Copyright Owner/Assessment Representative and/or Assessment Provider.

2.2 TERMINATION OF APPROVAL OF A SUPPLEMENTAL ASSESSMENT OR AN ASSESSMENT FOR USE WITH AN SLO

1. Approval shall be withdrawn for good cause, including, but not limited to, a determination by the commissioner that:
 - a. the assessment does not comply with one or more of the criteria for approval set forth in this RFQ;
 - b. the Department determines that the assessment is not identifying meaningful and/or observable differences in performance levels across schools and classrooms; and/or
 - c. high-quality academic research calls into question the correlation between high performance on the assessment and positive student learning outcomes.
2. Termination of a student assessment from the approved list shall be conducted in accordance with the following procedures:
 - a. The commissioner or his/her designee shall notify the provider and/or applicant of the approved assessment in writing of the intent to terminate approval at least 30 calendar days prior to the effective date of the termination, including a list of the identified deficiencies.
 - b. The provider may reply in writing within 10 calendar days of receipt of the commissioner's notification, addressing the commissioner's statement of reasons, indicating whether deficiencies and/or violations exist, what steps have been taken to correct conceded deficiencies and/or violations, and the time period and steps by which deficiencies and/or violations will be corrected. If no reply is received, termination and removal from the list will become effective 30 calendar days from the date of receipt of the commissioner's notification.
 - c. Within three business days of receipt of the commissioner's notification, the provider may request oral argument before the commissioner or his/her designee.
 - d. After consideration of any written response and of any oral argument, the Commissioner or his or her designee shall make a determination as to whether approval shall be terminated. Notice of such determination shall be provided in writing to the provider and/or applicant.

3.0 APPLICATION PROCEDURES

3.1 APPLICATION TIMELINE

All applicants shall submit all required materials as follows. Applications will be reviewed on a rolling basis in the order in which they are submitted and will continue as needed. Vendors and LEAs should assume a minimum of a two-month review window between submission and approval or denial of an application. The Department does not guarantee that such assessments will be reviewed and/or approved through this RFQ in time for inclusion in any particular school year.

NYSED reserves the right to update RFQ requirements at any time for any reason.

3.2 APPLICATION SUBMISSION METHOD

Applicants must adhere to the submission method detailed below.

Acceptable Submission Method:

Applicants may either:

1. Submit electronically by emailing an application packet containing a copy of the **full application** in Microsoft Office (.doc(x), .xls(x), .ppt(x)) and/or portable document format (.pdf). Scanned documents should be clear and legible. Also, if possible, include a single PDF containing all application materials / appendices / attachment to ASSESSRFQ@nysed.gov; or
2. Address or hand-deliver an application packet containing:
 1. **one (1) original;**
 2. **one (1) electronic storage device** containing a copy of the **full application** in Microsoft Office (.doc(x), .xls(x), .ppt(x)) and/or portable document format (.pdf). Also, if possible, include a single PDF containing all application materials / appendices / attachments.

to the following address:

NEW YORK STATE EDUCATION DEPARTMENT
 OFFICE OF EDUCATOR QUALITY AND PROFESSIONAL DEVELOPMENT
 89 WASHINGTON AVE, 360 EBA
 ALBANY, NY 12234

ATTN: ASSESSMENT RFQ

Questions concerning this RFQ may be emailed to: ASSESSRFQ@nysed.gov. Questions received by January 16, 2020 and responses thereto will be posted on the [RFQ website](#) by January 30, 2020. No individual responses will be provided. Questions received after the deadline will be answered on the web site above as deemed appropriate by NYSED on a rolling basis.

For an assessment to be accepted and placed on the *Approved Assessment List* an Applicant **must present all the information required in this RFQ**. All assurances on Form G must be checked and the form must be signed by the appropriate parties.

3.3 APPLICANT RESPONSIBILITY QUESTIONNAIRE

Applicants must file the required Vendor Responsibility Questionnaire (VRQ) online via the New York State VendRep System or may choose to complete and submit a paper questionnaire. School districts, Charter Schools, BOCES, public colleges and universities, public libraries, and the Research Foundation for SUNY and CUNY are some of the entities exempt from filing the VRQ. (See [The Office of the New York State Comptroller's website](#) for a complete list of exempted entities.) Please note that if a district or BOCES is submitting the application on behalf of the Copyright Owner or Assessment Representative, the Copyright Owner or Assessment Representative must complete the VRQ.

NYSED recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the [VendRep System instructions](#) or go directly to the [VendRep System online](#).

Vendors should also refer to the [VendRep System checklist](#).

For direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at helpdesk@osc.state.ny.us.

Applicants opting to file a paper questionnaire can obtain the appropriate questionnaire from the [VendRep website](#) or may contact the State Education Department or the OSC Help Desk for a copy of the paper form.

Note: Applicants must include their method of filing the questionnaire in the application Transmittal Letter or indicate whether they are exempt.

3.4 APPLICATION PACKAGE FORMAT

- Type size should be no smaller than 9 pt.
- Applicants seeking approval for more than one assessment to be used with an SLO or as a supplemental assessment should submit separate Forms B and C for each proposed assessment. Applicants should specify the applicable grades and subjects on Form B.
- All information should be submitted in the order indicated on the Application Package Checklist.
- Appendices/attachments may contain letters of reference, printed brochures describing the services provided, certificates of incorporation or other legal documents authorizing the Assessment Provider to provide supplemental educational services in New York, tables, charts, graphs, scanned images, or photocopies, as requested in this RFQ or referenced within the application. **It is expected that technical and administration manuals are included in the appendices.**

- Additional appendices/attachments, such as CD presentations, videotapes or other multimedia productions should not be included.
- All attachments should contain document footers with your entity name and page numbers, wherever possible.

PLEASE NOTE: Any documentation submitted by an Applicant that is considered by the Applicant to be a trade secret, or for which disclosure to third parties would result in a competitive disadvantage to the Applicant in the marketplace, should be specifically identified as such in the application package using Form E, and a justification must be provided for each such item as to why it should not be disclosed to third parties. Form E must be submitted with every application package; if an Applicant does not have trade secrets or materials that should not be disclosed, “N/A” should be written on Form E.

3.5 APPLICATION PACKAGE CHECKLIST

Please use the checklist below to ensure that you have submitted all required materials in the required format. An application must present all information requested and required in this RFQ in order to be considered for approval and placed on NYSED’s *Approved Assessment List*. **Applicants that fail to submit all required information will have five business days from notice of incompleteness to submit the requested information. Applications that fail to adhere to this deadline will not be approved.**

Submitted?	Component	Requirement/Format
<input type="checkbox"/>	TRANSMITTAL LETTER	An authorized individual must write a brief Transmittal Letter to formally submit/transmit the application, and other materials, on behalf of the Applicant, to the New York State Education Department. The transmittal letter must be signed and dated by the authorized Applicant and, if applicable, the Copyright Owner/Assessment Representative.
<input type="checkbox"/>	VENDOR RESPONSIBILITY QUESTIONNAIRE (VRQ)	A completed VendRep Questionnaire must be included with the application or completed online, unless applicant is exempt.
<input type="checkbox"/>	FORM A	The Applicant must complete an Application Cover Page .
<input type="checkbox"/>	FORM B	The Applicant must complete an Assessment Information Page .
<input type="checkbox"/>	FORM C	The Applicant must prepare a Publicly-Available Service Summary that will be posted to the Office of Educator Quality and Professional Developments website if the application is approved and available for download.

<input type="checkbox"/>	<p>FORM D</p>	<p>The Assessment Representative/Provider must complete an Assurances and Signature page that must be signed and dated by an authorized individual.</p>
<input type="checkbox"/>	<p>FORM E</p>	<p>The Applicant must complete a Request for Exemption from Disclosure Pursuant to the Freedom of Information Law, identifying any proprietary material submitted in the application for which exemption from FOIL is requested, or write “N/A” on the form, if the application does not include any proprietary material.</p>
<input type="checkbox"/>	<p>FORM F</p>	<p>If the applicant is NOT the Copyright Owner / Assessment Representative, then a completed Approval to Submit on Behalf of Assessment Copyright Owner / Assessment Representative form MUST be submitted.</p>
<input type="checkbox"/>	<p>FORM G</p>	<p>The Assessment Representative/Provider must complete an Applicant Certification Form – Supplemental Assessments and Assessments for Use with SLOs that must be signed and dated by an authorized individual. For co-submitted applications, both applicants must submit a complete, signed and dated Certification Form.</p>
<input type="checkbox"/>	<p>APPENDICES / ATTACHMENTS</p>	<p>The Applicant must provide appropriate Appendices/Attachments.</p> <ul style="list-style-type: none"> ○ Technical/administration manuals as required in this RFQ. ○ Supporting documentation (Graphs or charts demonstrating achievement, certificates of incorporation, etc.).

3.6 APPLICATION EVALUATION

All applications received by NYSED will be reviewed by appropriately trained and qualified individuals. Applicants must ensure that all components of this application request have been addressed and all forms have been completed. The RFQ Response Categories listed below summarize the elements the application reviewers will consider when evaluating applications. All evidence submitted in conjunction with an application must be referenced within the application for use by the application reviewers if it is to be used in the evaluation of the application. Please refer to specific page numbers within a document or manual when referencing them in the application. The evaluations will be guided by the Testing Standards. NYSED reserves the right to request additional written material in support of an application.

Applicants must provide responses to all items. Assessments will only be placed on the *Approved Assessment List* if all certifications and required responses are sufficient.

4.0 **APPLICATION**

In the Application, Applicants must describe in detail the assessment that they are qualified to deliver, or if the Applicant is a School Representative, the assessment that they are submitting for approval, and submit empirical data and other evidence that the assessment and associated services have been effective in improving instruction and the professional achievement of teachers and/or principals through the provision of data that yields valid inferences about student learning.

The Application is divided into seven forms:

Form A: Application Cover Page

In this section, the Applicant must include their contact information and, if the Applicant is a School Representative, contact information for the Assessment Provider (see definitions in [Section 1.3](#) for more information), in addition to the tax identification number and any associated information for the Assessment Provider.

Form B: Assessment Information Page

In this section, the Applicant must include the grade(s) and subject area(s) for which the assessment is intended to be used.

Form C: Publicly-Available Service Summary

The applicant must provide a Service Summary of the information outlined in the **Application**. This form will be made publicly available for all approved applications.

Form D: Assurance and Signature Page

The Assessment Representative/Provider must complete an **Assurances and Signature** page that must be signed and dated by an authorized individual.

Form E: Request for Exemption from Disclosure Pursuant to the Freedom of Information Law Page

The Applicant must complete a **Request for Exemption from Disclosure Pursuant to the Freedom of Information Law** page, identifying any proprietary materials submitted as part of, or in support of, the application which the Applicant considers confidential or otherwise excepted from disclosure under the Freedom of Information Law. If no material is identified as proprietary, this form should be submitted with “N/A” written on it.

Form F: Approval to Submit on Behalf of Authorized Legal Representative Page

If the Applicant is not the Copyright Owner, the Applicant must complete and submit an **Approval to Submit on Behalf of Authorized Legal Representative** page. This form must be signed and dated by an authorized individual.

Form G: Applicant Certification Form

The Assessment Representative/Provider must complete an **Applicant Certification Form** that must be signed and dated by an authorized individual. For co-submitted applications, both applicants must submit a complete, signed and dated **Certification Form**.

Appendices

The applicant must provide any supporting documentation that has been requested in this RFQ, or which the applicant has referenced in Forms A-G that will aid the reviewers in inferring the degree to which the assessment meets the needs outlined herein.



**STUDENT ASSESSMENTS FOR
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FORM A

APPLICATION COVER PAGE

(NOTE: PLEASE SUBMIT ONE “FORM A” FOR EACH APPLICANT. CO-APPLICANTS SHOULD SUBMIT SEPARATE FORMS)

NAME OF APPLICANT			
NAME OF CO-APPLICANT (IF NECESSARY)			
THE APPLICANT IS: (PLEASE INDICATE BY CLICKING ON THE APPROPRIATE BOXES BELOW)			
SCHOOL REPRESENTATIVE (SEE DEFINITION IN SECTION 1.3)	<input type="checkbox"/>		
FOR-PROFIT CORPORATION	<input type="checkbox"/>	<input type="checkbox"/> NY CORP. OR <input type="checkbox"/> FOREIGN CORP.	
NON-PROFIT CORPORATION	<input type="checkbox"/>	<input type="checkbox"/> NY CORP. OR <input type="checkbox"/> FOREIGN CORP.	
LIMITED LIABILITY COMPANY (LLC)	<input type="checkbox"/>	<input type="checkbox"/> NY CORP. OR <input type="checkbox"/> FOREIGN CORP.	
OTHER	<input type="checkbox"/>	PLEASE SPECIFY:	
APPLICANT CONTACT NAME AND TITLE			
ADDRESS			
CITY, STATE ZIP			
PHONE			
FAX			
EMAIL (REQUIRED)			
TAX I.D. NUMBER			
NYS VENDOR I.D. NUMBER			
<p>I hereby certify that I am the Applicant 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 and Assurances. It is understood by the Applicant that if the application is accepted for approval, no funding is directly associated with this approval. It is also understood by the Applicant that immediate written notice will be provided to the 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>			

APPLICANT SIGNATURE	
CO-APPLICANT SIGNATURE (IF NECESSARY)	
NAME AND TITLE OF AUTHORIZED CONTACT FOR COPYRIGHT OWNER / ASSESSMENT REPRESENTATIVE, IF DIFFERENT FROM THE APPLICANT	
ADDRESS	
CITY, STATE ZIP	
PHONE	
FAX	
EMAIL (REQUIRED)	
TAX I.D. NUMBER	
NYS VENDOR I.D. NUMBER	

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

- **If a New York State corporation:** the Certificate of Incorporation, together with any Certificates of Amendments to such document filed to date.² (See important footnote below.)
- **If a foreign corporation:** (1) the Application for Authority to do business in New York State filed with the NYS Dept of State, **and** (2) the Certificate of Incorporation filed in the State of incorporation, (3) together with any amendments to such documents filed to date.* (See important footnote below.)
- **If a New York State LLC:** the Articles of Organization, together with any amendments to such document filed to date.* (See important footnote below.)
- **If a foreign LLC:** (1) the Application for Authority to do business in New York State filed with the NYS Dept of State, **and** (2) the articles of organization filed in the State of formation, (3) together with any amendments to such documents filed to date.* (See important footnote below.)
- **If the corporation or LLC will use an assumed name in New York State:** the certificate of Assumed Name

² Ensure that these documents include appropriate language authorizing the provision of these services. Information pertaining to the “Consent Obtaining” process may be accessed at the [NYSED Office of Counsel website](#) or you may also contact the Office at 518-474-6400 if you have any questions regarding this requirement.



**STUDENT ASSESSMENTS FOR
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FORM B

ASSESSMENT INFORMATION PAGE

NAME OF APPLICANT:	
NAME OF CO-APPLICANT (IF NECESSARY):	
NAME OF ASSESSMENT:	
IS THE APPLICANT THE COPYRIGHT OWNER / ASSESSMENT REPRESENTATIVE FOR THE ASSESSMENT?	<input type="checkbox"/> YES <input type="checkbox"/> NO; IF THE APPLICANT IS NOT THE COPYRIGHT OWNER/ASSESSMENT REPRESENTATIVE FOR THE ASSESSMENT, FORM F MUST BE INCLUDED WITH THE APPLICATION. APPLICATIONS FROM NON-COPYRIGHT OWNERS AND/OR ASSESSMENT REPRESENTATIVES OF THE ASSESSMENT WILL NOT BE REVIEWED UNLESS FORM F IS SUBMITTED.
IS THE ASSESSMENT AVAILABLE, EITHER FOR FREE OR THROUGH PURCHASE, TO OTHER LEAs IN NEW YORK STATE	<input type="checkbox"/> YES <input type="checkbox"/> NO
WHICH EVALUATION STUDENT PERFORMANCE SUBCOMPONENT(S) IS THE ASSESSMENT INTENDED TO BE USED FOR (SELECT ALL THAT APPLY):	<input type="checkbox"/> REQUIRED STUDENT PERFORMANCE SUBCOMPONENT (STUDENT LEARNING OBJECTIVES [SLOS]) <input type="checkbox"/> OPTIONAL STUDENT PERFORMANCE SUBCOMPONENT PLEASE SPECIFY THE OPTIONAL STUDENT PERFORMANCE SUBCOMPONENT MEASURE(S) THIS ASSESSMENT IS INTENDED TO BE USED FOR: <input type="checkbox"/> A SECOND SLO, PROVIDED THAT THIS SLO IS DIFFERENT THAN THAT USED IN THE REQUIRED STUDENT PERFORMANCE SUBCOMPONENT <input type="checkbox"/> A GROWTH SCORE BASED ON A STATISTICAL GROWTH MODEL <input type="checkbox"/> A MEASURE OF STUDENT GROWTH, OTHER THAN AN SLO <input type="checkbox"/> A PERFORMANCE INDEX <input type="checkbox"/> AN ACHIEVEMENT BENCHMARK <input type="checkbox"/> ANY OTHER COLLECTIVELY BARGAINED MEASURE OF STUDENT GROWTH OR ACHIEVEMENT PLEASE SPECIFY:
GRADE LEVEL(S) AND SUBJECT AREA(S) FOR WHICH ASSESSMENT IS BEING SUBMITTED:	<input type="checkbox"/> ELA (PLEASE SPECIFY GRADE LEVEL(S) AND SUBJECT AREA(S)): <input type="checkbox"/> MATH (PLEASE SPECIFY GRADE LEVEL(S) AND SUBJECT AREA(S)): <input type="checkbox"/> SCIENCE (PLEASE SPECIFY GRADE LEVEL(S) AND SUBJECT AREA(S)): <input type="checkbox"/> SOCIAL STUDIES (PLEASE SPECIFY GRADE LEVEL(S) AND SUBJECT AREA(S)):

	<input type="checkbox"/> ARTS (PLEASE SPECIFY GRADE LEVEL(S) AND SUBJECT AREA(S)): <input type="checkbox"/> FOREIGN LANGUAGE / LANGUAGES OTHER THAN ENGLISH (LOTE; PLEASE SPECIFY GRADE LEVEL(S) AND SUBJECT AREA(S)): <input type="checkbox"/> ALTERNATE ASSESSMENT (FOR 1% POPULATION – PLEASE SPECIFY CONTENT AREAS COVERED): <input type="checkbox"/> ENGLISH AS A NEW LANGUAGE (ENL; PLEASE SPECIFY GRADE LEVEL(S) AND SUBJECT AREA(S)): <input type="checkbox"/> CAREER & TECHNICAL EDUCATION (PLEASE SPECIFY CONTENT AREA(S) AND GRADE(S) COVERED): <input type="checkbox"/> OTHER (PLEASE SPECIFY GRADE LEVEL(S) AND SUBJECT AREA(S)):
FREQUENCY OF ASSESSMENT (SINGLE; MULTIPLE) AND NATURE OF ASSESSMENT(S) (PLEASE SEE APPENDIX B FOR DEFINITIONS):	<input type="checkbox"/> SINGLE, SUMMATIVE ASSESSMENT: <input type="checkbox"/> CAPSTONE PROJECT ASSESSMENT <input type="checkbox"/> LOCALIZED ASSESSMENT <input type="checkbox"/> PORTFOLIO-BASED ASSESSMENT <input type="checkbox"/> PERFORMANCE-BASED ASSESSMENT <input type="checkbox"/> STANDARDIZED ASSESSMENT <input type="checkbox"/> OTHER (PLEASE SPECIFY): <input type="checkbox"/> MULTIPLE INTERIM/BENCHMARK/PERIODIC/PROGRESS-MONITORING ASSESSMENTS (PLEASE SELECT ALL THAT APPLY): <input type="checkbox"/> CAPSTONE PROJECT ASSESSMENT <input type="checkbox"/> COURSE-EMBEDDED ASSESSMENT <input type="checkbox"/> LOCALIZED ASSESSMENT <input type="checkbox"/> PORTFOLIO-BASED ASSESSMENT <input type="checkbox"/> PERFORMANCE-BASED ASSESSMENT <input type="checkbox"/> STANDARDIZED ASSESSMENT <input type="checkbox"/> OTHER (PLEASE SPECIFY):
ARE YOU ALREADY USING THE SELECTED ASSESSMENT FOR PURPOSES OTHER THAN APPR?	<input type="checkbox"/> YES PLEASE SPECIFY: <input type="checkbox"/> NO



**STUDENT ASSESSMENTS
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FORM C

PUBLICLY AVAILABLE SERVICES SUMMARY

This form will be posted on the New York State Education Department’s Web site and distributed through other means for all applications that are approved in conjunction with this RFQ to allow LEAs to understand proposed offerings in advance of directly contacting Assessment Providers regarding potential further procurements.

Assessment Provider Information	
NAME OF ASSESSMENT PROVIDER:	
ASSESSMENT PROVIDER CONTACT INFORMATION:	
NAME OF ASSESSMENT:	
NATURE OF ASSESSMENT (SELECT ALL THAT APPLY):	<input type="checkbox"/> REQUIRED STUDENT PERFORMANCE SUBCOMPONENT (STUDENT LEARNING OBJECTIVES [SLOS]) <input type="checkbox"/> OPTIONAL STUDENT PERFORMANCE SUBCOMPONENT PLEASE SPECIFY: <input type="checkbox"/> A SECOND SLO, PROVIDED THAT THIS SLO IS DIFFERENT THAN THAT USED IN THE REQUIRED STUDENT PERFORMANCE SUBCOMPONENT <input type="checkbox"/> A GROWTH SCORE BASED ON A STATISTICAL GROWTH MODEL <input type="checkbox"/> A MEASURE OF STUDENT GROWTH, OTHER THAN AN SLO <input type="checkbox"/> A PERFORMANCE INDEX <input type="checkbox"/> AN ACHIEVEMENT BENCHMARK <input type="checkbox"/> ANY OTHER COLLECTIVELY BARGAINED MEASURE OF STUDENT GROWTH OR ACHIEVEMENT PLEASE SPECIFY:
WHAT IS THE GRADE(S) AND SUBJECT AREA(S) FOR WHICH THE ASSESSMENT CAN BE USED TO GENERATE A 0-20 STUDENT PERFORMANCE SCORE?	
WHAT ARE THE TECHNOLOGY REQUIREMENTS ASSOCIATED WITH THE ASSESSMENT (E.G., CALCULATORS, ETC.; IF APPLICABLE)?	
IS THE ASSESSMENT AVAILABLE, EITHER FOR FREE OR THROUGH PURCHASE, TO OTHER LEAS IN NEW YORK STATE?	<input type="checkbox"/> YES <input type="checkbox"/> NO

PLEASE PROVIDE AN OVERVIEW OF THE ASSESSMENT FOR LEAs. (3 PAGES MAX) PLEASE INCLUDE:

- A DESCRIPTION OF THE ASSESSMENT;
- A DESCRIPTION OF HOW THE ASSESSMENT IS ADMINISTERED;
- A DESCRIPTION OF HOW SCORES ARE REPORTED (INCLUDE LINKS TO SAMPLE REPORTS AS APPROPRIATE);
- A DESCRIPTION OF HOW THE ASSESSMENT PROVIDER SUPPORTS IMPLEMENTATION OF THE ASSESSMENT, INCLUDING ANY TECHNICAL ASSISTANCE.

HOW IS THE SELECTED ASSESSMENT ALREADY BEING INTEGRATED/GOING TO BE INTEGRATED INTO THE CURRICULUM OF THE GRADE LEVEL/COURSE? HOW DOES THE SELECTED ASSESSMENT SUPPORT THE DAY-TO-DAY ACADEMIC GOALS OF THE EDUCATOR?

HOW DO YOU ENSURE THAT THE ASSESSMENT ACCURATELY CAPTURES IF STUDENTS HAVE MASTERED THE KEY CONCEPTS FOR THE GRADE LEVEL/COURSE? HOW IS THE ASSESSMENT ALIGNED WITH THE GRADE LEVEL/COURSE-RELEVANT LEARNING STANDARDS/NEXT GENERATION ASSESSMENT PRIORITIES?

HOW IS THE SELECTED ASSESSMENT SCORED? HOW ARE THE ASSESSMENT RESULTS EFFECTIVELY COMMUNICATED TO RELEVANT STAKEHOLDERS (STUDENTS, PARENTS, TEACHERS, ADMINISTRATORS, ETC.)? WHAT ARE THE ASSESSMENT SCORES THAT REFLECT THAT A STUDENT IS:

1. BELOW PROFICIENCY
2. APPROACHING PROFICIENCY
3. MEETING PROFICIENCY
4. DEMONSTRATING MASTERY

IF THE SELECTED ASSESSMENT(S) ARE NOT STANDARDIZED, PLEASE DESCRIBE HOW THE ASSESSMENT PROCESS IS COMPARABLE ACROSS GRADE LEVELS/COURSE-ALIKE CLASSROOMS?

HOW IS THE SELECTED ASSESSMENT ABLE TO MAXIMIZE THE EFFICIENCY WITH WHICH STUDENT PERFORMANCE DATA IS GATHERED TO ALLOW FOR MORE CLASSROOM INSTRUCTIONAL TIME?

IF APPLICABLE, HOW WILL TECHNOLOGY BE UTILIZED DURING THE ADMINISTRATION OF THE SELECTED ASSESSMENT TO PROVIDE TIMELY AND ACTIONABLE INFORMATION?

PLEASE PROVIDE ANY ADDITIONAL INFORMATION THAT MAY BE USEFUL WHEN REVIEWING YOUR APPLICATION:

Please complete the following section if the selected assessment is being used for the Required Student Performance subcomponent (SLOs) and/or is being used with Optional Student Performance subcomponent as an SLO:

Process for Measuring Student Growth:

Consistent with Department regulations and guidance, an SLO is an instructional planning tool developed at the start of an educator’s course or building principal’s school year that includes expectations for student growth. It should represent the most important learning aligned to national or state standards, as well as any other school and LEA priorities. The goals included in the SLO must be specific and measurable, based on available prior student learning data. Before setting targets for expected growth, educators will determine students’ levels of preparedness at the start of the course by reviewing relevant baseline data. This baseline data may come from a variety of sources which include, but are not limited to, a student’s prior academic history, pre-tests, or end of course assessments from the prior year.

SLOs are developed and approved through locally-determined processes consistent with the Commissioner’s goal-setting process. SLOs should be based on the best available student data and should be ambitious and rigorous for all students. Superintendents must certify that all individual growth targets used for SLOs represent, at a minimum, one year of expected growth.

WHAT MEASURE(S) OF BASELINE DATA ARE USED IN CONJUNCTION WITH THE SELECTED ASSESSMENT TO MEASURE STUDENT GROWTH (SELECT ALL THAT APPLY):
<input type="checkbox"/> HISTORICAL DATA <input type="checkbox"/> CURRENT COHORT <input type="checkbox"/> PREVIOUS COHORT(S) DESCRIBE HOW THE HISTORICAL DATA INFORMS PREPAREDNESS FOR THE COURSE AND IS A GOOD PREDICTOR OF STUDENT GROWTH:
<input type="checkbox"/> EARLY COURSE FORMATIVE ASSESSMENT AND/OR OBSERVATIONAL DATA DESCRIBE HOW THE EARLY COURSE FORMATIVE ASSESSMENT AND/OR OBSERVATIONAL DATA INFORMS PREPAREDNESS FOR THE COURSE AND IS A GOOD PREDICTOR OF STUDENT GROWTH:
<input type="checkbox"/> PRE-ASSESSMENT DESCRIBE HOW THE PRE-ASSESSMENT INFORMS PREPAREDNESS FOR THE COURSE AND IS A GOOD PREDICTOR OF STUDENT GROWTH:
<input type="checkbox"/> OTHER PLEASE SPECIFY: DESCRIBE HOW THIS BASELINE DATA INFORMS PREPAREDNESS FOR THE COURSE AND IS A GOOD PREDICTOR OF STUDENT GROWTH:

PLEASE EXPLAIN HOW GROWTH TARGETS FOR EACH STUDENT ARE SET FOR THE SELECTED ASSESSMENT AND METHOD OF COLLECTING STUDENT LEVEL BASELINE DATA, INCLUDING HOW TARGETS ARE DIFFERENTIATED, AS NECESSARY, BASED ON THE INFORMATION PROVIDED BY THE BASELINE DATA. IN PARTICULAR, PLEASE EXPLAIN HOW THE ASSESSMENT IS USED WITH STUDENTS WHOSE PREPAREDNESS FOR THE COURSE/GRADE LEVEL IS VARIED:



**STUDENT ASSESSMENTS FOR
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FORM D

**ASSESSMENT REPRESENTATIVE/PROVIDER
ASSURANCES AND SIGNATURE PAGE**

In submitting this assessment to be included in the New York State Education Department’s *Approved Assessment List for Use by LEAs in Teacher and Principal Evaluations* I certify that:

1. The organization will comply with all applicable Federal, State and local health, safety, and civil rights laws.
2. All individuals employed by or otherwise associated with the organization, who will have direct contact with eligible teachers, principals, or students, will be subject to all of the fingerprint and criminal history record check requirements contained in law, including, Education Law §§305(30), 1125(3), 1604(39), 1604(40), 1709(39), 1709(40), 1804(9), 1804(10), 1950(4)(II), 1950(4)(mm), 2503(18), 2503(19), 2554(25), 2554(26), 2590-h (20), 2854(3)(a-2), 2854(3)(a-3), 3035 and Part 87 of the regulations of the Commissioner of Education.
3. All instruction and content will be secular, neutral, and non-ideological.
4. All instruction and content provided to LEAs will be aligned to the applicable professional standards of practice for teachers and/or principals, including but not limited to, the NYS Teaching Standards or leadership standards, NYS Education Law, and NYS Commissioner’s regulations.
5. The organization is fiscally sound and will be able to complete services to the eligible local educational agency.
6. Any proprietary materials considered confidential by the organization must be specifically so identified, and the basis for such confidentiality must be specifically set forth in **Form E**, Request for Exemption from Disclosure Pursuant to the Freedom of Information Law.
7. Any costs and/or legal restrictions on the use of the product must be disclosed to NYS LEAs (i.e., copyright on the assessment(s), exclusive rights to a software provider, etc.) as soon as such information is available.

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

To be completed by the Assessment Representative/Provider of the assessment being proposed:

1. Name of Organization (PLEASE PRINT/TYPE)	4. Signature of Authorized Representative
2. Name of Authorized Representative (PLEASE PRINT/TYPE)	5. Date Signed
3. Title of Authorized Representative (PLEASE PRINT/TYPE)	



**STUDENT ASSESSMENTS FOR
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FORM E

**REQUEST FOR EXEMPTION FROM DISCLOSURE
PURSUANT TO THE FREEDOM OF INFORMATION LAW**

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

Any proprietary materials submitted as part of, or in support of, an application, which Applicant, or, in the case of an application submitted by a School Representative, the Copyright Owner / Assessment Representative, considers confidential or otherwise excepted from disclosure under the Freedom of Information Law, must be specifically so identified, and the basis for such confidentiality or other exception must be specifically set forth.

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

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

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



**STUDENT ASSESSMENTS FOR
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FORM F

**APPROVAL TO SUBMIT ON BEHALF OF
COPYRIGHT OWNER / ASSESSMENT REPRESENTATIVE**

As described in [Section 2.1\(C\)](#): some Eligible Applicants may submit an application on behalf of the Copyright Owner/Assessment Representative for the assessment being proposed.

FORM F IS REQUIRED TO BE SUBMITTED BY APPLICANTS IF THEY ARE NOT THE COPYRIGHT OWNER/ASSESSMENT REPRESENTATIVE OF THE ASSESSMENT SUBMITTED IN THIS APPLICATION.

This form certifies that _____ (Copyright Owner/Assessment Representative), identified as “the Organization” from here forward, gives _____ (Name of School Representative) permission to submit the following assessment(s), for which the Organization is copyright owner and/or the legally authorized representative, to the New York State Education Department for review as part of their Request for Qualifications for Supplemental Assessments and and/or Assessments for Use with SLOs to be used by New York State School Districts and Boards of Cooperative Educational Services in Teacher and Principal Evaluations.

Completion of this form does not guarantee that an assessment will be approved for use in New York State for the purposes of Teacher and Principal Evaluations.

- The Organization agrees to supply any additional information requested by the New York State Education Department in support of the application.
- The Organization agrees that the New York State Education Department will post on its website Form C of this application which includes the following topics: Organization contact information, information about the assessment; an overview of the application; and, information about coverage of the New York State Learning Standards (as appropriate).
- The Organization agrees that any costs and/or legal restrictions on the use of the product must be disclosed to New York State LEAs (i.e., copyright on the assessment(s), exclusive rights to a software provider, etc.) as soon as such information is available.



**STUDENT ASSESSMENTS FOR
TEACHER AND PRINCIPAL EVALUATION**

**Approval to Submit on Behalf of
Copyright Owner/Assessment Representative
(Continuation of Form F)**

I have reviewed the application attached herein in its entirety and attest that:

- the Organization has the capability to provide the assessment(s) and any related services;
- the Organization has no past experience with denials of use in other locations;
- the evidence included identifies that the assessment(s) is aligned to NYS Learning Standards (or acceptable research-based learning standards) and alignment techniques/studies are included and are accurate;
- the psychometric properties of the assessment(s) are accurately portrayed in the application and attached documentation;
- the technical documentation related to growth is accurate;
- the technical manual is accurate and current;
- the assessment administration documentation is accurate and current;
- the attachments are accurate; and
- the guidance on use of the assessment for teacher and principal evaluations is accurate.

I certify the accuracy of the statements presented and the documents provided herein.

To be completed by the Copyright Owner/Assessment Representative of the assessment being proposed:

1. Name of Organization (PLEASE PRINT/TYPE)	4. Signature of Authorized Representative
2. Name of Authorized Representative (PLEASE PRINT/TYPE)	5. Date Signed
3. Title of Authorized Representative (PLEASE PRINT/TYPE)	



**STUDENT ASSESSMENTS FOR
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FORM G

APPLICANT CERTIFICATION FORM

Please read each of the items below and check the corresponding box to ensure the fulfillment of the technical criteria.

PLEASE SUBMIT ONE “FORM G” FOR EACH APPLICANT.

The Applicant makes the following assurances:

Assurance	Check each box:
The assessment is rigorous, meaning that it is aligned to the New York State learning standards or, in instances where there are no such learning standards that apply to a subject/grade level, alignment to research-based learning standards.	<input type="checkbox"/>
To the extent practicable, the assessment must be valid and reliable as defined by the Standards of Educational and Psychological Testing.	<input type="checkbox"/>
If used with a Student Learning Objective, the assessment can be used to measure one year’s expected growth for individual students.	<input type="checkbox"/>
For K-2 assessments, the assessment is not a “Traditional Standardized Assessment” as defined in Section 1.3 of this RFQ.	<input type="checkbox"/>
For assessments previously used under Education Law §3012-c, Education Law §3012-d under RFQ #15-001, or for purposes other than APPR, the assessment results in differentiated student-level performance. If the assessment has not produced differentiated results in prior school years, the applicant assures that the lack of differentiation is justified by equivalently consistent student results based on other measures of student achievement.	<input type="checkbox"/>
For assessments not previously used in teacher/principal evaluation, the applicant has a plan for collecting evidence of differentiated student results such that the evidence will be available by the end of each school year.	<input type="checkbox"/>
At the end of each school year, the applicant will collect evidence demonstrating that the assessment has produced differentiated student-level results and will provide such evidence to the Department upon request. ³	<input type="checkbox"/>

³ Please note, pursuant to [Section 2.2](#) of this RFQ, an assessment may be removed from the approved list if such assessment does not comply with one or more of the criteria for approval set forth in this RFQ

To be completed by the Copyright Owner/Assessment Representative of the assessment being proposed and, where necessary, the co-applicant LEA:

1. Name of Organization (PLEASE PRINT/TYPE)	4. Signature of Authorized Representative
2. Name of Authorized Representative (PLEASE PRINT/TYPE)	5. Date Signed
3. Title of Authorized Representative (PLEASE PRINT/TYPE)	

1. Name of LEA (PLEASE PRINT/TYPE)	4. Signature of School Representative
2. School Representative's Name (PLEASE PRINT/TYPE)	5. Date Signed
3. Title of School Representative (PLEASE PRINT/TYPE)	

Appendix A: New York State Learning Standards

The New York State Learning Standards are adopted by the New York State Board of Regents for educational purposes including assessment, curriculum, and professional development.

For the purposes of this RFQ, Applicants must demonstrate that the assessment is aligned with the New York learning standards for applicable content area and grade level the assessment is designed to measure.

In instances in which there are no such standards that apply to the content area / grade level, evidence of alignment must be provided to research-based learning standards.

Please see the [NYSED website](#) for further information on current NYS Learning Standards.

Appendix B: Types of Assessment Definitions

Assessment Method ⁴	Description
Capstone Project Assessment	<ul style="list-style-type: none"> • Culminating project that assesses competency in multiple areas • Scoring method: pre-specified rubrics
Course-Embedded Assessment	<ul style="list-style-type: none"> • Assessment procedures that are embedded into a course’s curriculum • May include test items or projects and may differ between classrooms • Usually locally-developed • Can be used to assess discipline-specific knowledge • Scoring methods: raw scores, answer key or pre-specified rubrics
Localized Assessment	<ul style="list-style-type: none"> • Assessment instruments developed and/or adapted within the LEA for internal use only that are administered across grade level/course • Scoring methods: Answer key, internal scoring
Performance-Based Assessment	<ul style="list-style-type: none"> • Uses student activities to assess skills and knowledge • Assesses what students can demonstrate or produce • Allows for the evaluation of both process and product • Scoring methods: pre-specified rubrics
Portfolio-Based Assessment	<ul style="list-style-type: none"> • Purposeful collections of student work over time to demonstrate growth and achievement in one or multiple areas • Usually includes a component of self-reflection • Scoring methods: pre-specified rubrics
Standardized Assessment	<ul style="list-style-type: none"> • Assessment instruments developed outside of the LEA with standardized administration and scoring • Psychometrically tested • Content may not always be linked to local curriculum • Scoring methods: Answer key, external scoring (i.e., by testing company, other educators)

⁴ Adapted from Stanford University’s Institutional Research and Decision Support [Assessment Methods publication](#) (2014).

Appendix C: Definitions of Growth Models⁵

Gain Score Model

The Gain Score model is most aligned with what people commonly associate with the idea of growth. The gain score model quantifies changes in student scores on a particular assessment. For example, if a test produces scores on a 100-point scale, and a student received a score of 70 at time 1, and 80 at time 2, then the gain score would be 10 points. That gain is conceptualized as:

$$Gain = X_2 - X_1$$

where X_2 represents that score at time 2, and X_1 represents the score at time 1. The underlying assumption, of course, is that the scores are on the same scale, to make the difference meaningful. This would imply either that the scores are obtained on a single assessment/parallel forms, where the scores are comparable, or there is a vertical scale underlying the scores that are being subtracted.

Growth-to-Proficiency Model

The Growth to Proficiency Model defines growth in terms of progress toward proficiency. The growth to proficiency model typically only measures growth for students below proficiency (or any other defined target). The amount of gain required for a student to reach proficiency is calculated, and a target amount of gain for a student to exhibit each year to be on track to proficiency is calculated. A student is said to have exhibited growth if they reach or exceed the target set for them. There are many different ways to operationalize this model, and this model does not inherently require a vertical scale. To aggregate these measures to a teacher level, the percent of students that meet their gain target is typically used.

Student Growth Percentiles

The Student Growth Percentile (SGP) is one of the most complex models for computing “growth.” This model does not assume a vertical scale. The statistical details of the model can be found in Betebenner (2009). As noted by Goldschmidt et al. (2012) the SGP does *not* measure absolute growth in performance. Instead, it is a conditional status model, rather than a growth measure.

In computing SGPs, a student’s performance on a test is compared to hypothetical students’ performance on the test who are predicted to have scored similarly to that student in the past (commonly referred to as “academic peers,” but it is important to note the model *estimates* this student group rather than using an observed student group). A percentile rank is assigned to the student to indicate where in the

⁵ See also Castellano and Ho (2013) for more complete descriptions of growth models.

distribution of scores of “academic peers” his/her score falls. For example, a student with an SGP of 60 performed better than 60% of his/her hypothetical peers predicted to have similar test score histories. Many students may receive an SGP of 60, but that does not mean that the change in the performance of those students is the same. Some of them may have shown more “growth” than others. Because this model does not measure growth in the sense that is most commonly understood, these results can be confusing. Therefore, it is important for stakeholders to understand the proper interpretation of the measure, and how to use it. As with other models, there are variants to this model (e.g. New York City Residual Gain Model) which are not discussed in detail in this document, since the models are specific to the jurisdictions, and many of the issues that apply to the overarching model (the SGP) remain.

Projection Models

The projection model (also called a residual gain or conditional status model) uses a linear regression model created from a previous group of students to make a prediction about how a student will do based on his/her previous test scores. That is, for each student, a predicted posttest score (e.g., this year’s summative posttest score) is computed based on a regression equation from a prior year and the students’ pretest (e.g., last year’s summative test score). This predicted score is the “projection” of how the student is expected to do this year. A residual score is calculated for each student by subtracting their projected score from their actual posttest score. These residual scores represent “growth.” Students whose actual posttest scores are larger than their projected posttest scores demonstrate positive growth.

Value-Added Models

Value-added models are typically used for measuring teacher or school effectiveness, rather than individual student growth. Student achievement data (via test scores) are used as inputs into the model to determine the effect that the teacher (or school) has had on the student. One of the great differentiating factors of value-added models compared to other student growth models is the ability to include student-level covariates, or background variables. By including these variables in the models, we attempt to “level the playing field” for making comparisons among teachers and their effects on student learning.

There is no one value-added model; rather it is a class of models, whose goals are to determine what impact a teacher has on student performance after controlling for student background experience, typically including prior academic achievement. The models are typically hierarchical linear models, with models for the student-level, classroom-level, and teacher level (the model can be extended to school-level as well, of course).

To compute a value-added score, the expected growth (based on previous achievement and background variables) is computed for each student in a classroom. The actual “growth” of the student is compared to the expected growth, and the difference between the two is the “achievement beyond expectation”; this can be a positive or a negative value. The average value of these differences is computed for a teacher.

This is the value-added score for the teacher. It can be conceptualized as the average residual of the students' growth. Value-added models are currently popular, and are being used in North Carolina, Ohio, Pennsylvania, and Tennessee, among other states.

References

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