



THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK /
ALBANY, NY 12234

TO: The Honorable the Members of the Board of Regents

FROM: Johanna Duncan-Poitier

James A. Kadamus

COMMITTEE: Full Board

TITLE OF ITEM: Proposed Amendment to the Regulations of the
Commissioner of Education Relating to Requirements for
Educational Leadership Programs

DATE OF SUBMISSION: June 24, 2003

PROPOSED HANDLING: Approval (Consent Agenda)

RATIONALE FOR ITEM: To Implement Policy

STRATEGIC GOAL: Goals 2 and 3

AUTHORIZATION(S):

SUMMARY:

Attached for action is a proposed amendment to section 52.21 of the Regulations of the Commissioner of Education, relating to requirements for educational leadership programs. The purpose of the amendment is to improve the preparation of education leaders in New York State by establishing new requirements for college programs that prepare school building leaders, school district leaders, and school district business leaders.

Recognizing that success in achieving learning standards for all students depends upon effective leadership in our schools and school districts, as well as effective teachers and involved parents and caregivers, the Commissioner's Blue Ribbon Commission on School Leadership was established in 1998. The Commission was charged with the task of identifying the essential characteristics of effective leaders. After many months of careful deliberation and consultation with the field, the Commission identified the following essential characteristics:

- Leaders know and understand what it means and what it takes to be a leader;
- Leaders have a vision for schools that they constantly share and promote;
- Leaders communicate clearly and effectively;

- Leaders collaborate and cooperate with others;
- Leaders persevere and take the long view;
- Leaders support, develop and nurture staff;
- Leaders hold themselves and others responsible and accountable;
- Leaders never stop learning and honing their skills; and
- Leaders have the courage to take informed risks.

Department staff, working in consultation with the higher education community, school district administrators, practitioners, and many others, began working on revisions to Part 52 of the Commissioner's Regulations for programs for the preparation of school leaders. The revised regulations were designed to provide the required competencies in school leadership to assist colleges in revising their current programs leading to building, district and business leadership certificates while promoting the maximum level of flexibility for individuals and institutions interested in participating in these programs.

The development and review process for these regulations has been extensive. In order to ensure that the field had ample opportunities to provide input into these regulations, the Department did not begin the formal regulatory process right away. In December 2002, the Regents approved the release of *preliminary* draft regulations for the preparation of school leaders. Following that release, several meetings were held with the field to solicit comments on the *preliminary* draft. Representatives of the State Education Department discussed the *preliminary* draft with college and university presidents and faculty from all of the higher education sectors, (SUNY, CUNY, Independent and Proprietary Colleges); K-12 practitioners; the Professional Standards and Practices Board; the Commission on Independent Colleges and Universities; professional organizations (e.g., the Council of Supervisors and Administrators, the New York State Council of School Superintendents, the School Administrators Association of New York State, the Parent Teacher Association of New York, etc.), and others interested in the preparation of school leaders.

The Commissioner's Higher Education Advisory Council discussed the *preliminary* draft regulations at its meetings in December 2002 and April 2003. The *preliminary* draft regulations were posted on the Department's Web site. Public forums on the *preliminary* regulations were held around the State in January 2003. More than 200 people attended the forums with over 50 offering testimony. In addition, the Department received written comments from higher education faculty and administrators, K-12 practitioners, professional organizations, parents, and other interested parties.

Input from the field through public forums, written comments, and other meetings led to modifications in the regulations, including:

- Admissions standards that require applicants to hold a permanent or professional teacher/pupil personnel certificate, or be evaluated by the preparation program for the potential for instructional leadership based upon prior experience;

- Additional mentoring and supervision by a BOCES superintendent, or Regional Superintendent in New York City, for non-educators seeking the alternative pathway to the superintendency;
- Increased emphasis on valuing diverse staff; ethics and ethical decision-making; supervision and evaluation of staff; and planning services for students with disabilities;
- More evident connections to child development and student achievement;
- Increased clarification of the flexibility in the field experiences;
- Formal collaboration between higher education leadership preparation programs and K-12 partners;
- Greater distinction between competencies for school building leaders and school district leaders; and
- Additional competencies identified for school district business leaders.

The Regents have been involved in the process throughout the development of the *preliminary* draft regulations. In October 2002, the Committees on Higher and Professional Education and Elementary, Middle, Secondary and Continuing Education discussed the regulations at a joint Committee meeting. The Full Board discussed the regulations in December 2002; and the Higher and Professional Education Committee discussed the regulations at its meetings in March and April 2003. Members of the Board of Regents attended the public forums in January 2003.

On March 21, 2003, to provide another opportunity for public comment before the official regulatory process began, the revised *preliminary* draft school leadership regulations were again distributed to the field. On April 29, 2003, the proposed regulations were filed with the Department of State. A Notice of Proposed Rule Making concerning the proposed amendment was published in the State Register on May 14, 2003. An Assessment of Issues Raised by Public Comment is attached. Supporting materials are available from the Secretary to the Board of Regents.

The proposed amendment was discussed at the June 2003 meeting of the Board of Regents. It is now being proposed for action. Following approval of the regulation, New York State's colleges and universities will modify their programs to meet the new requirements. During the implementation phase this fall, the Department will review the regulation and bring to the Regents any changes that may be needed. Colleges will begin offering newly approved leadership preparation programs in September 2004. Part 80 of the Commissioner's Regulations specifying certification requirements for building, district, and business leaders will be reviewed during 2003-2004 and amended

to reflect the Regents policy decisions regarding the testing and certification of educational leaders.

I recommend that the Board of Regents take the following action:

VOTED: That section 52.21 of the Regulations of the Commissioner of Education be amended, as submitted, effective August 7, 2003.

AMENDMENT TO SECTION 52.21 OF THE REGULATIONS OF THE
COMMISSIONER OF EDUCATION

Pursuant to sections 207, 210, 215, 305, 3004, and 3006 of the Education Law.

Section 52.21 of the Regulations of the Commissioner of Education is amended,
effective August 7, 2003, as follows:

52.21 Registration of curricula leading to certification in [teacher education] the
classroom teaching service, pupil personnel service, and educational leadership
service.

(a) [Programs leading to certification in teacher education that enroll students
who will apply for provisional certification on or before February 1, 2004, and who upon
such application qualify for such provisional certification effective on or before February
1, 2004, shall meet the requirements of this subdivision, except that all programs
leading to certification valid for pupil personnel service or administrative and supervisory
service shall meet the requirements of this subdivision.] Programs leading to
certification in pupil personnel service shall meet the requirements of this subdivision.
Programs leading to certification in educational leadership service shall meet the
requirements of subdivision (c) of this section by September 1, 2004. Prior to
September 1, 2004, programs leading to certification in educational leadership service
shall meet the requirements of this subdivision or subdivision (c) of this section.

(1) . . .

(2) . . .

(3) . . .

(4) . . .

(b) [Programs leading to certification in teacher education that enroll students who will apply for initial certification on or after February 2, 2004 to qualify for such initial certification effective on or after September 1, 2004, shall meet the requirements of this subdivision, except that all programs leading to certification valid for pupil personnel service or administrative and supervisory service shall meet the requirements of subdivision (a) of this section instead of the requirements of this subdivision.] Programs leading to certification in the classroom teaching service.

(1) . . .

(2) . . .

(3) . . .

(4) . . .

(c) Programs leading to certification in the educational leadership service. The requirements of this subdivision shall be met by September 1, 2004.

(1) General requirements for all programs preparing education leaders.

(i) Program providers. Programs for the preparation of education leaders shall be graduate programs offered by institutions of higher education, or by institutions of higher education collaborating with school districts or with educational or leadership associations.

(ii) Conceptual framework. Programs shall demonstrate a commitment to:

(a) Preparing candidates to be education leaders who understand child and adolescent development and learning and who focus on student achievement, including meeting State learning standards;

(b) Recruiting candidates from groups historically underrepresented in educational leadership; and

(c) Preparing candidates to be education leaders who demonstrate the following nine essential characteristics of effective leaders:

(1) Leaders know and understand what it means and what it takes to be a leader;

(2) Leaders have a vision for schools that they constantly share and promote;

(3) Leaders communicate clearly and effectively;

(4) Leaders collaborate and cooperate with others;

(5) Leaders persevere and take the long view;

(6) Leaders support, develop and nurture staff;

(7) Leaders hold themselves and others responsible and accountable ;

(8) Leaders never stop learning and honing their skills; and

(9) Leaders have the courage to take informed risks.

(iii) External relationships. Programs shall establish and maintain formal relationships with distinguished practitioners and scholars in the field of education and in other fields, such as business or the professions, for the purposes of program development, leadership preparation, program evaluation, and program improvement.

(iv) Other requirements.

(a) Programs shall ensure that candidates complete two clock hours of coursework or training in school violence prevention and intervention, in accordance with section 3004 of the Education Law. Such course work or training shall include but not be limited to, study in the warning signs within a developmental and social context that relate to violence and other troubling behaviors in children; the statutes, regulations

and policies relating to a safe nonviolent school climate; effective classroom management techniques and other academic supports that promote a nonviolent school climate and enhance learning; the integration of social and problem solving skill development for students within the regular curriculum; intervention techniques designed to address a school violence situation; and how to participate in an effective school/community referral process for students exhibiting violent behavior.

(b) Programs shall ensure that candidates complete two clock hours of coursework or training regarding the identification and reporting of suspected child abuse or maltreatment, in accordance with the requirements of sections 3003 and 3004 of the Education Law.

(2) School building leader. Specific requirements for programs preparing candidates for the initial certificate as a school building leader (principal, housemaster, supervisor, department chair, assistant principal, coordinator, unit head, and any other person serving more than 10 periods per week of the assignment in an administrative or supervisory position, except school district leader or school district business leader).

(i) General requirements. Programs shall meet the general requirements for all programs preparing education leaders prescribed in paragraph (1) of this subdivision.

(ii) Admission requirements.

(a) Programs shall require candidates to hold a baccalaureate from an accredited institution of higher education or from an institution authorized by the Board of Regents to confer degrees;

(b) Programs shall require candidates to possess a permanent or professional certificate in the classroom teaching service or pupil personnel service, or to

demonstrate the potential for instructional leadership based on prior experiences that are evaluated using criteria established by the program and uniformly applied; and

(c) Programs shall require candidates to demonstrate the potential to become education leaders possessing the nine essential characteristics of effective leaders as a result of their prior experiences, including experiences as a teacher, administrator, or pupil personnel service provider.

(iii) Credit for prior learning. Programs may grant graduate credit for prior learning, as determined through assessment, and develop individual plans of study to assist candidates in acquiring all prescribed knowledge and skills. Programs shall state on a candidate's academic record all graduate credit that the program has granted for prior learning determined to be equivalent to a content requirement of the program.

(iv) Content requirements. Programs shall require candidates to complete studies sufficient to demonstrate, upon program completion, the knowledge and skills necessary to perform the following:

(a) Develop and implement an educational vision, or build and sustain an existing one, for assisting all students to meet State learning standards;

(b) Collaboratively identify goals and objectives for achieving the educational vision, seeking and valuing diverse perspectives and alternative points of view, and building understanding through direct and precise questioning;

(c) Communicate and work effectively with parents, staff, students, community leaders, and other community members from diverse backgrounds, providing clear, accurate written and spoken information that publicizes the school's goals,

expectations, and performance results, and builds support for improving student achievement;

(d) Lead comprehensive, long-range planning, informed by multiple data sources, to determine the present state of the school, identify root causes of problems, propose solutions, and validate improvements with regard to all aspects of the school, including but not limited to:

(1) curriculum development;

(2) instructional strategies and the integration of technology;

(3) classroom organization and practices;

(4) assessment;

(5) student support services, including the provision of services to students with disabilities;

(6) professional support and development;

(7) succession planning;

(8) student, family, and community relations;

(9) facilities development; and

(10) planning with colleges for providing curricula and experiences for college students preparing to become educators that will enhance their learning and the learning of the school's students;

(e) Effect any needed educational change through ethical decision-making based upon factual analysis, even in the face of opposition;

(f) Establish accountability systems for achieving educational goals and objectives;

(g) Set a standard for ethical behavior by example, encouraging initiative, innovation, collaboration, mutual respect, and a strong work ethic;

(h) Develop staff capability for addressing student learning needs by effective supervision and evaluation of teachers, by effective staff assignments, support, and mentoring, and by providing staff with opportunities for continuous professional development;

(i) Create the conditions necessary to provide a safe, healthy, and supportive learning environment for all students and staff;

(j) Establish a school budget and manage school finances and facilities to support achievement of educational goals and objectives;

(k) Apply statutes and regulations as required by law, and implement school policies in accordance with law; and

(l) Maintain a personal plan for self-improvement and continuous learning.

(v) Leadership experiences.

(a) Programs shall require candidates to successfully complete leadership experiences that shall:

(1) include leadership experiences in districts serving students at different developmental levels and with a variety of characteristics and socioeconomic backgrounds;

(2) be carefully selected and planned by program faculty in collaboration with school district leaders, with learning outcomes specified that are connected to program competencies and with the achievement of those outcomes regularly evaluated by program faculty; and

(3) be supervised by certified school district leaders and by program faculty who have preparation and expertise in supervision related to school building leadership.

(b) The leadership experiences specified in clause (a) of this subparagraph shall occur throughout the program of study. In addition, they shall culminate in a full-time experience of at least 15 weeks that is structured to provide leadership responsibilities of increasing breadth and depth.

(c) Alternatively, the leadership experiences specified in clause (a) of this subparagraph may occur in a competency-based format different from that prescribed in clause (b) of this subparagraph, provided that the program demonstrates that such format is substantially equivalent to the format prescribed in clause (b) of this subparagraph.

(vi) Requirements for program completion and recommendation for initial certificate.

(a) Candidates shall have met all program requirements established by the institution of higher education and required for program registration;

(b) Candidates who have not earned a master's degree prior to admission shall qualify for a master's degree upon program completion.

(3) School district leader. Specific requirements for programs preparing candidates for the professional certificate as a school district leader (superintendent of schools, district superintendent, deputy superintendent, associate superintendent, assistant superintendent, and any other person having responsibility for general district-wide administration, except those responsibilities defined for school district business leaders).

(i) General requirements. Programs shall meet the general requirements for all programs preparing education leaders in paragraph (1) of this subdivision.

(ii) Admission requirements.

(a) Programs shall require candidates to hold a baccalaureate from an accredited institution of higher education or from an institution authorized by the Board of Regents to confer degrees;

(b) Programs shall require candidates to possess a permanent or professional certificate in the classroom teaching service or pupil personnel service, or to demonstrate the potential for instructional leadership based on prior experiences that are evaluated using criteria established by the program and uniformly applied; and

(c) Programs shall require candidates to demonstrate the potential to become education leaders possessing the nine essential characteristics of effective leaders as a result of their prior experiences, including experiences as a teacher, administrator, or pupil personnel service provider.

(iii) Credit for prior learning. Programs may grant graduate credit for prior learning, as determined through assessment, and develop individual plans of study to assist candidates in acquiring all prescribed knowledge and skills. Programs shall state on a candidate's academic record all graduate credit that the program has granted for prior learning determined to be equivalent to a content requirement of the program.

(iv) Content requirements. Programs shall require candidates to complete studies sufficient to demonstrate, upon program completion, the knowledge and skills necessary to perform the responsibilities of the chief executive officer and instructional leader of a school district, including but not limited to the following:

(a) Design and execute district-wide systems to promote higher levels of student achievement;

(b) Develop and implement an educational vision, or build and sustain an existing one, to assist all district students, pre-kindergarten, elementary, middle level, and high school, in meeting State learning standards;

(c) Interact and communicate effectively with school board members in developing and implementing district policies, managing change, and managing district affairs;

(d) Create the conditions necessary to provide a safe, healthy, and supportive learning environment for all students and staff;

(e) Collaboratively identify goals and objectives for achieving the educational vision, seeking and valuing diverse perspectives and alternative points of view, and building understanding through direct and precise questioning;

(f) Communicate and work effectively with parents, students, building and district leaders, teachers, support staff, state leaders, community leaders, and other community members from diverse backgrounds, providing clear, accurate written and spoken information that publicizes the district's goals, expectations, and performance results, and builds support for improving student achievement;

(g) Develop building and district staff capability for addressing learning needs of all district students by effective support, supervision and evaluation of teachers, school building leaders, and district leaders, by effective staff assignments, support, and mentoring, and by providing staff with opportunities for continuous personal and professional development;

(h) Lead comprehensive, long-range planning, informed by multiple data sources, to determine the present state of the district, identify root causes of problems, propose solutions, and validate improvements with regard to all aspects of the district, including but not limited to:

(1) curriculum development;

(2) instructional strategies and the integration of technology;

(3) classroom organization and practices;

(4) assessment;

(5) student support services, including the provision of services to students with disabilities;

(6) professional support and development;

(7) succession planning;

(8) student, family, and community relations;

(9) facilities development; and

(10) planning with colleges for providing curricula and experiences for college students preparing to become educators that will enhance their learning and the learning of the district's students;

(i) Effect any needed educational change through ethical decision-making based upon factual analysis, even in the face of opposition;

(j) Establish accountability systems for achieving educational goals and objectives;

(k) Set a standard for ethical behavior by example, encouraging initiative, innovation, collaboration, mutual respect, and a strong work ethic;

(l) Supervise establishment of a district budget and the management of district finances and facilities to support achievement of educational goals and objectives;

(m) Interact and communicate effectively with local, state, and federal representatives, applying statutes and regulations as required by law, and implementing school policies in accordance with law; and

(n) Maintain a personal plan for self-improvement and continuous learning.

(v) Leadership experiences.

(a) Programs shall require candidates to successfully complete leadership experiences that shall:

(1) include leadership experiences in districts serving students at different developmental levels and with a variety of characteristics and socioeconomic backgrounds;

(2) be carefully selected and planned by program faculty in collaboration with school district leaders, with learning outcomes specified that are connected to program competencies and with the achievement of those outcomes regularly evaluated by program faculty;

(3) be supervised by certified school district leaders and by program faculty who have preparation and expertise in supervision related to school district leadership;

(b) The leadership experiences specified in clause (a) of this subparagraph shall occur throughout the program of study. In addition, they shall culminate in a full-time experience of at least 15 weeks that is structured to provide leadership responsibilities of increasing breadth and depth.

(c) Alternatively, the leadership experiences specified in clause (a) of this subparagraph may occur in a competency-based format different from that prescribed in clause (b) of this subparagraph, provided that the program demonstrates that such format is substantially equivalent to the format prescribed in (b) of this subparagraph.

(vi) Requirements for program completion and recommendation for professional certificate.

(a) Candidates shall have successfully met all program requirements established by the institution of higher education and requirements for program registration;

(b) Candidates who have not earned a master's degree prior to admission shall qualify for a master's degree upon program completion, and shall have successfully completed 60 semester hours of graduate study that may include graduate study completed prior to admission and the graduate study required to develop knowledge and skills for school district leadership, as specified in the program's content requirements; and

(c) Candidates shall have completed successfully the written and performance components of the State assessment in school district leadership.

(4) Alternative school district leader certification program. Specific requirements for programs preparing candidates for the professional certificate as a school district leader (superintendent of schools, district superintendent, deputy superintendent, associate superintendent, assistant superintendent, and any other person having responsibility for general district-wide administration, except those responsibilities defined for school district business leaders). Such alternative programs are for

exceptionally qualified candidates who do not have three years of classroom teaching service, and/or pupil personnel service, and/or educational leadership service.

(i) General requirements. Programs shall meet the general requirements for all programs preparing education leaders in paragraph (1) of this subdivision.

(ii) Admission Requirements. Programs shall require candidates to demonstrate the potential to become education leaders possessing the nine essential characteristics of effective leaders as a result of the candidates' prior service for at least three years in an exemplary fashion in a leadership position in an organization or organizations that demonstrated strong performance. The criteria for admission shall include the following:

(a) Degrees. Programs shall require candidates to hold a graduate degree (academic or professional) from an accredited institution of higher education or from an institution authorized by the Board of Regents to confer degrees.

(b) Demonstrated potential through prior leadership experiences. Programs shall describe in detail the criteria that will be used and uniformly applied to identify exceptionally qualified candidates with the substantial equivalent of three years of experience as a teacher, administrator, or pupil personnel service provider in schools. Through this equivalent prior experience, candidates shall demonstrate the following accomplishments:

(1) Developed and promoted a vision for an organization;

(2) Collaboratively identified goals and objectives for achieving that vision;

(3) Communicated effectively to promote goals;

(4) Led comprehensive, long-range planning, informed by multiple data sources, for achieving goals;

(5) Effected any needed change through ethical decision making based upon factual analysis, even in the face of opposition;

(6) Established accountability for achieving goals and objectives;

(7) Developed staff capability for their roles in achieving goals;

(8) Supervised establishment of a budget supporting achievement of goals;

(9) Supervised the management of finances and facilities to support achievement of goals; and

(10) Applied statutes and regulations in accordance with law, and developed and implemented policies in accordance with law.

(iii) Requirements for recommending candidates for transitional D certificates.

(a) The program may recommend that the department issue transitional D certificates to admitted candidates who also meet the following requirements:

(1) Written commitment. Candidates shall hold a written commitment from a school district or BOCES for district-mentored and college-supervised employment as a school district leader, with mentoring of candidates for superintendent of schools to be provided by the regional BOCES District Superintendent or the New York City Regional Superintendent, or a superintendent identified by the regional BOCES District Superintendent or New York City Regional Superintendent, subject to the approval of the employing authorities;

(2) Program Endorsement. Candidates shall have the program's endorsement for the transitional D certificate, including the program's description of how the candidate met each criterion used by the program to determine that the candidate had exceptional qualifications for becoming a school district leader with the substantial

equivalent of three years of experience as a teacher, administrator, or pupil personnel provider in schools; and

(3) State Assessment. Candidates shall pass the written component of the State assessment in school district leadership.

(b) While serving as a school district leader under a transitional D certificate, candidates shall complete all remaining program requirements.

(iv) Credit for prior learning. Programs may grant graduate credit for prior learning, as determined through assessment, and develop individual plans of study to assist candidates in acquiring all prescribed knowledge and skills. Programs shall state on a candidate's academic record all graduate credit that the program has granted for prior learning determined to be equivalent to a content requirement of the program.

(v) Content requirements.

(a) Programs preparing school district leaders shall require candidates to complete studies sufficient to demonstrate, upon program completion, the knowledge and skills necessary to perform the following functions of the chief executive officer and instructional leader of a school district:

(1) Design and execute district-wide systems to promote higher levels of student achievement;

(2) Develop and implement an educational vision, or build and sustain an existing one, to assist all district students, pre-kindergarten, elementary, middle level, and high school, in meeting State learning standards;

(3) Interact and communicate effectively with school board members in developing and implementing district policies, managing change, and managing district affairs;

(4) Create the conditions necessary to provide a safe, healthy, and supportive learning environment for all students and staff;

(5) Collaboratively identify goals and objectives for achieving the educational vision, seeking and valuing diverse perspectives and alternative points of view, and building understanding through direct and precise questioning;

(6) Communicate and work effectively with parents, students, building and district leaders, teachers, support staff, state leaders, community leaders, and other community members from diverse backgrounds, providing clear, accurate written and spoken information that publicizes the district's goals, expectations, and performance results, and builds support for improving student achievement;

(7) Develop building and district staff capability for addressing learning needs of all district students by effective support, supervision and evaluation of teachers, school building leaders, and district leaders, by effective staff assignments, support, and mentoring, and by providing staff with opportunities for continuous personal and professional development;

(8) Lead comprehensive, long-range planning, informed by multiple data sources, to determine the present state of the district, identify root causes of problems, propose solutions, and validate improvements with regard to all aspects of the district, including but not limited to:

(i) curriculum development;

(ii) instructional strategies and the integration of technology;

(iii) classroom organization and practices;

(iv) assessment;

(v) student support services, including the provision of services to students with disabilities;

(vi) professional support and development;

(vii) succession planning;

(viii) student, family, and community relations;

(ix) facilities development; and

(x) planning with colleges for providing curricula and experiences for college students preparing to become educators that will enhance their learning and the learning of the district's students;

(9) Effect any needed educational change through ethical decision-making based upon factual analysis, even in the face of opposition;

(10) Establish accountability systems for achieving educational goals and objectives;

(11) Set a standard for ethical behavior by example, encouraging initiative, innovation, collaboration, mutual respect, and a strong work ethic;

(12) Supervise establishment of a district budget and the management of district finances and facilities to support achievement of educational goals and objectives;

(13) Interact and communicate effectively with local, state, and federal representatives, applying statutes and regulations as required by law, and implementing school policies in accordance with law; and

(14) Maintain a personal plan for self-improvement and continuous learning.

(vi) Leadership experiences. Programs shall require candidates to successfully complete one of the following types of leadership experiences:

(a) One year of district-mentored and college-supervised employment as a school district leader serving with a transitional D certificate; or

(b) Leadership experiences that shall:

(1) include leadership experiences in districts serving students at different developmental levels and with a variety of characteristics and socioeconomic backgrounds;

(2) be carefully selected and planned by program faculty in collaboration with school district leaders, with learning outcomes specified that are connected to program competencies and with the achievement of those competencies regularly evaluated by program faculty; and

(3) be supervised by certified school district leaders and by program faculty who have preparation and expertise in supervision related to school district leadership.

(c) The leadership experiences specified in clause (b) of this subparagraph shall occur throughout the program of study. In addition, they shall culminate in a full-time experience of at least 15 weeks that is structured to provide leadership responsibilities of increasing breadth and depth.

(d) Alternatively, the leadership experiences specified in clause (b) of this subparagraph may occur in another competency-based format different from that prescribed in clause (c) of this subparagraph provided that the program demonstrates that such format is substantially equivalent to the format prescribed in clause (c) of this subparagraph.

(vii) Requirements for program completion.

(a) Candidates shall have successfully met all program requirements established by the institution and requirements for program registration;

(b) Candidates shall have successfully completed at least 60 semester hours of graduate study that may include graduate study completed prior to admission and the graduate study required to develop knowledge and skills for school district leadership, as specified in the program's content requirements; and

(c) Candidates shall have successfully completed the written and performance components of the State assessment in school district leadership.

(viii) Requirements for recommending candidates for professional certificates.

(a) Candidates shall meet all requirements for program completion; and

(b) Candidates shall have successfully completed at least one year of service with a transitional D certificate, or shall have a written commitment for employment as a school district leader in New York State.

(5) School district business leader. Specific requirements for programs preparing candidates for the professional certificate as school district business leader (deputy superintendent of schools for business, associate superintendent of schools for business, assistant superintendent of schools for business, and any other person having professional responsibility for the business operation of the school district).

(i) General requirements. Programs shall meet the general requirements for all programs preparing education leaders in paragraph (1) of this subdivision.

(ii) Admission requirements.

(a) Programs shall require candidates to hold a baccalaureate from an accredited institution of higher education or from an institution authorized by the Board of Regents to confer degrees; and

(b) Programs shall require candidates to demonstrate the potential to become education leaders possessing the nine essential characteristics of effective leaders as a result of their prior experiences that are evaluated using criteria established by the program and uniformly applied.

(iii) Credit for prior learning. Programs may grant graduate credit for prior learning, as determined through assessment, and develop individual plans of study to assist candidates in acquiring all prescribed knowledge and skills. Programs shall state on a candidate's academic record all graduate credit that the program has granted for prior learning determined to be equivalent to a content requirement of the program.

(iv) Content requirement. Programs shall require candidates to complete studies sufficient to demonstrate, upon program completion, the knowledge and skills necessary to perform the following within the context of a school district business leadership position:

(a) Create and sustain financial and operational conditions within a district that enable all students to meet State learning standards and all staff to serve effectively in achieving that objective;

(b) Identify, develop, and endorse organizational and administrative policies and procedures for the district;

(c) Effectively and ethically manage the financial resources of a district, including but not limited to identifying revenue sources; understanding the impact of economic

and financial markets upon districts; forecasting district expenditures; applying cash management procedures and generally accepted accounting principles; developing a financial model to monitor district finances;

(d) Administer employment agreements and financial and operational resources in accordance with state and federal laws and regulations, including collective bargaining; manage and evaluate district payroll operations;

(e) Effectively and ethically manage the operational functions of a district, including but not limited to: developing data-driven facilities plans; managing and tracking inventories, equipment, and capital assets; identifying, assessing, and communicating a district risk management program;

(f) Assist in implementing, monitoring, and evaluating a district strategic plan; monitor and assess programs that support instruction; assist with the allocation of resources for instructional programs; and

(g) Effectively present financial data in multiple formats; direct a management information system; and implement effective mass and interactive communication strategies and techniques.

(v) Leadership experiences.

(a) Programs shall require candidates to successfully complete leadership experiences that shall:

(1) include leadership experiences in districts serving students at different developmental levels and with a variety of characteristics and socioeconomic backgrounds;

(2) be carefully selected and planned by program faculty in collaboration with school district leaders, with learning outcomes specified that are connected to program competencies and with the achievement of those competencies regularly evaluated by program faculty; and

(3) be supervised by certified school district leaders and by program faculty who have preparation and expertise in supervision related to school district business leadership.

(b) The leadership experiences specified in clause (a) of this subparagraph shall occur throughout the program of study. In addition, they shall culminate in a full-time experience of at least 15 weeks that is structured to provide leadership responsibilities of increasing breadth and depth.

(c) Alternatively, the leadership experiences specified in clause (a) of this subparagraph may occur in a competency-based format different from that prescribed in clause (b) of this paragraph provided that the program demonstrates that such format is substantially equivalent to the format prescribed in clause (b) of this subparagraph.

(vi) Requirements for program completion and recommendation for professional certificate.

(a) Candidates shall have successfully met all program requirements established by the institution of higher education and requirements for program registration;

(b) Candidates who have not earned a master's degree prior to admission shall qualify for a master's degree upon program completion, and shall have successfully completed 60 semester hours of graduate study that may include graduate study completed prior to admission and the graduate study required to develop knowledge

and skills for school district business leadership, as specified in the program's content requirements;

(c) Candidates shall successfully complete the written and performance components of the State assessment for school district business leaders.

(6) Institutional Accountability.

(i) Regular program evaluations by the institution. Institutions shall be accountable for the quality of their programs leading to certification of education leaders and the candidates who complete such programs, and shall demonstrate that their programs are evaluated regularly and that such evaluations are considered for making program improvements.

(ii) Candidate performance on New York State Teacher Certification Examinations.

(a) The department shall conduct a registration review in the event that fewer than 80 percent of the students who have satisfactorily completed the institution's program preparing school building leaders during a given academic year and have also completed the examination required for a school building leadership certificate pass such examination. For purposes of this clause, students who have satisfactorily completed the institution's program shall mean students who have met each educational requirement of the program, excluding any institutional requirements that the students pass the required examination for a school building leader certificate in order to complete the program. Students satisfactorily meeting each educational requirement may include students who earn a degree or students who complete each educational requirement without earning a degree. For determining this percentage,

the department shall consider the performance on each certification examination of those students completing an examination not more than five years before the end of the academic year in which the program is completed or not later than the September 30th following the end of such academic year, academic year defined as July 1st through June 30th, and shall consider only the highest score of individuals taking a test more than once.

(b) The registration review initiated by not meeting the percentage prescribed in clause (a) of this subparagraph shall require the institution to submit a corrective action plan within four months of being notified by the department of not meeting the percentage. If the department approves the plan, the department shall define a timeframe for its implementation and shall assess the effectiveness of the plan within three years of initiation of the plan. If the department does not approve the plan or determines that the institution is not meeting the terms of the plan, and determines that the institution is not meeting the other requirements of this Part, the institution shall be subject to denial of re-registration.

(c) By January 15, 2007, and annually by January 15th thereafter, each institution with registered programs preparing school building leaders shall provide the department with a list of all students who satisfactorily completed each such program in the preceding year, July 1 through June 30.

(iii) Accreditation.

(a) The accreditation requirements of clause (b) of this subparagraph shall be met by December 31, 2013, for programs leading to certification as school building leaders, school district leaders, or school district business leaders, except for such

programs registered for the first time after December 31, 2006, in which case the accreditation requirements shall be met within seven years of the date of first registration.

(b) Programs shall be accredited by either:

(1) a professional education accrediting association determined by the department to have equivalent standards to the standards set forth in this Part; or

(2) the Regents pursuant to the Regents accreditation process.

PROPOSED AMENDMENT TO SECTION 52.21 OF THE REGULATIONS OF THE
COMMISSIONER OF EDUCATION PURSUANT TO SECTIONS 207, 210, 215, 305,
3004, AND 3006 OF THE EDUCATION LAW RELATING TO STANDARDS FOR
EDUCATIONAL LEADERSHIP PROGRAMS

ASSESSMENT OF ISSUES RAISED BY PUBLIC COMMENT

The proposed rule was published in the State Register on May 14, 2003. Below is a summary of written comments received by the State Education Department concerning the proposed rule making and the State Education Department's assessment of the issues raised by the comments.

COMMENT: I believe that the proposed regulations provide colleges and universities with important guidelines related to administrative preparation programs so that they are more closely aligned with the issues school leaders face on a daily basis. I continue to believe that closer connections with higher education are essential so that candidates for certification will be exposed to a blend of theory and practice.

RESPONSE: The State Education Department agrees with the positions stated above. The proposed regulation is consistent with those positions.

COMMENT: A structured, focused internship experience is key, under the supervision of an effective experienced leader, so that the intern has the opportunity to be exposed to a wide range of experiences.

RESPONSE: The State Education Department agrees with the position stated above. The leadership experience requirements in the proposed regulation are consistent with that position.

COMMENT: While supporting raising the standards for our future leaders, I find it difficult to be assured that the written test would be a valid indicator of success for a potential candidate without knowing more about the content and construction of the written test. Many of the key attributes of effective leaders include areas that are difficult to measure.

RESPONSE: The State Education Department will require test developers to substantiate that the test is a valid indicator of the knowledge and skills acquired by candidates that are considered essential for effective educational leadership and amenable to such testing.

COMMENT: New York State is facing a shortage of superintendent candidates. Despite the shrinking applicant pool, however, there is no urging to have non-educators become superintendents. Boards of education continually seek out and hire superintendents who are trained educators, recognizing the value of an educational background and training. The proposed rule would make regulatory changes allowing easier entrance into the superintendency for those without a strong educational background, and would permit inconsistency in the admission requirements established by different alternative programs. Our organization discourages final enactment of this component of the proposed rule. We seek to maintain the waiver provision set forth in existing regulations, whereby the Commissioner may grant waivers allowing candidates with nontraditional backgrounds to serve as superintendents following a local board of education request for such a waiver.

RESPONSE: The waiver provision for certification of school superintendents in 8 NYCRR 80-2.4 will remain. The proposed rule provides an additional alternative route

for certification of school district leaders who do not have three years of school service. This alternative route has safeguards built into it and a system of checks and balances involving the State Education Department, the institution of higher education, and the local school district.

Each candidate for admission to an alternative program would need to be adjudged as exceptionally qualified for this role. In addition, a local district would need to make an informed choice to provide a written commitment to mentor and employ this candidate before the Department would issue a Transitional D Certificate authorizing mentored service for up to three years in a school district leadership role while completing the program.

Before the Department would issue a Transitional D Certificate, the exceptionally qualified candidate would need to meet the following benchmarks:

1. Hold an earned graduate degree;
2. Pass the written component of the State assessment in school district leadership;
3. Receive a written commitment from a school district or BOCES for up to three years of district-mentored and college-supervised employment as a school district leader;
4. Receive the endorsement and recommendation of the institution of higher education that the Department issue a Transitional D Certificate; and
5. Demonstrate to the institution of higher education and the Department the potential to become an education leader possessing the nine essential characteristics of effective leaders through prior exemplary service in a leadership position in an

organization that demonstrated strong performance and the following previous accomplishments:

- a. Developed and promoted a vision for an organization,
- b. Collaboratively identified goals and objectives for achieving that vision,
- c. Communicated effectively to promote goals,
- d. Led comprehensive, long-range planning, informed by multiple data sources, for achieving goals,
- e. Effected any needed change through ethical decision making based upon factual analysis, even in the face of opposition,
- f. Established accountability for achieving goals and objectives,
- g. Developed staff capability for their roles in achieving goals,
- h. Supervised establishment of a budget supporting achievement of goals,
- i. Supervised the management of finances and facilities to support achievement of goals, and
- j. Applied statutes and regulations in accordance with law, and developed and implemented policies in accordance with law.

Furthermore, the candidate will be eligible for a professional certificate for school district leadership only if the following conditions are met:

1. Candidate completed the institution's school district leadership program and at least 60 credits of graduate study;
2. Candidate successfully completed the written and the performance components of the State assessment in school district leadership; and

3. Candidate completed at least one year of successful mentored service as a school district leader with the Transitional D Certificate; or completed extensive, mentored, school district leadership experiences and has a written commitment for employment as a school district leader in New York State.

The above requirements and safeguards ensure that individuals certified for school district leadership positions through completion of alternative programs will meet high quality standards that are consistently applied for program admission, program completion, and recommendation for certification.