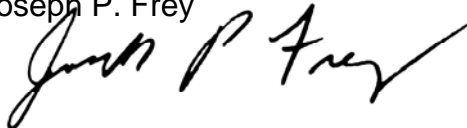




THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12234

**TO:** Higher Education Committee

**FROM:** Joseph P. Frey  


**SUBJECT:** Emergency Adoption of Proposed Regulations Relating to the Establishment of Graduate Level Clinically Rich Principal Preparation Pilot Programs

**DATE:** May 5, 2010

**AUTHORIZATION(S):**

### SUMMARY

#### Issue for Decision

Should the Board of Regents adopt as an emergency measure the proposed amendment relating to the establishment of graduate level clinically rich principal preparation pilot programs?

#### Reason(s) for Consideration

Review of policy.

#### Proposed Handling

The proposed amendment is submitted to the Higher Education Committee for adoption as an emergency measure at its May 2010 meeting.

#### Procedural History

At the November 2009 and December 2009 meetings, the Board of Regents approved the conceptual framework for graduate level clinically rich principal preparation pilot programs.

## Background Information

Research studies show that school leaders are critical to helping improve student performance and preparation programs that are grounded in intensive clinical experiences prepare effective school leaders. To maximize student growth and achievement in high need schools, the Department will select program providers for graduate level clinically rich principal preparation pilot programs through a Request for Proposal (RFP) process.

In order to ensure that any program selected to offer a clinically rich principal preparation program is of high quality, **the Board of Regents will establish a Blue Ribbon Commission to evaluate all applications.** This Blue Ribbon Commission will be comprised of highly renowned teacher educators. The Blue Ribbon Commission will make recommendations to the Board of Regents for those programs that should be authorized to establish clinically rich principal preparation programs, from collegiate and non-collegiate providers or in partnerships. The goal is to create a process that will ensure a rigorous programmatic review and to select only the highest quality providers to assist in the preparation of principals for our high need schools. **In addition, non-collegiate programs will be required to seek accreditation from an education preparation program accrediting body approved by the Board of Regents.**

To be eligible to participate in the NYS Clinically Rich Principal preparation program, program providers must provide historical evidence of commitment to leadership in teaching and learning for all students. Institutions will also be required to provide the following evidence:

- that participants in their prior programs have had a positive impact on student achievement and student growth for all students including students with disabilities, English language learners, and students living in poverty;
- that programs were designed and implemented based upon research and best practice in leadership knowledge and skills effective in impacting student learning;
- that programs have engaged parents, community members, and have appropriate resources;
- that they have been able to build and sustain partnerships with schools, communities, and other entities to further student learning;
- for programs of school leadership preparation, evidence that graduates have been employed in high need schools and the length of time of their employment; and
- the approaches in evaluating past program outcomes have been fair and objective.

To ensure program quality, the proposed amendment requires that the pilot program will meet the general registration standards established by the Board of Regents for graduate curricula in terms of instructional time, faculty qualifications, and the rigor of curriculum. For example, the proposed regulation identifies the same faculty requirements that have been established for all graduate programs in New York State. In addition, the pilot program must achieve accreditation and maintain an 80 percent or higher pass rate on the appropriate New York State Teacher Certification Examinations. The content studies offered in the pilot programs shall meet the requirements for the school building leader certificate as prescribed in the current program registration requirements for traditional leadership preparation programs.

The proposed amendment includes components of effective leadership preparation programs:

- **Collaboration between program providers and partnering high need schools or school districts:** program providers shall execute a written agreement with partnering high need schools which specifies the roles of each partner in the design, implementation, and evaluation of the pilot programs.
- **Recruitment and selection for program candidates:** the recruitment process will be highly selective to attract not only the highest caliber of candidates to the pilot program but also candidates with a strong commitment to high need schools. Only candidates who demonstrate excellence in teaching, experience working as advocates for children and families in high need schools, leadership capability, and a sincere intent to serve as instructional leaders will be admitted into the pilot program.
- **Research-based curriculum linking theory and practice:** the pilot program shall include at least the equivalent of one continuous school year of mentored clinical experience, grounded in the Educational Leadership Policy Standards: Interstate School Leaders Licensure Consortium 2008 and centered on practicing research-based school leadership skills. The curriculum shall effectively integrate technology, be intellectually challenging, reflect research on effective leadership and school improvement, and focus on improving the conditions that impact student learning and achievement.
- **Recruitment, selection, training, and support for principal-mentors:** program providers shall collaborate with the high need schools to select principal-mentors that are highly effective principals and must provide principal mentors with continuous support and research-based training to effectively mentor program candidates. Principal-mentors will work collaboratively with faculty supervisors to evaluate candidates and provide feedback.
- **Mentoring and support for candidates throughout the program and after program completion:** prior to assigning candidates to a school, program providers will enter into a written agreement with the high need schools

specifying the mentoring plan. During the clinical experience, each candidate will be assigned a principal-mentor and a support team comprised of program faculty, teachers and administrators at the high need school and, if applicable, the district superintendent. In addition, program providers must have a formal written agreement with partnering schools or school districts to provide continued mentoring support for program graduates during their first year in a school leadership position.

Enactment of these emergency regulations does not preclude consideration of additional input and comments from the field. Following action by the Board of Regents, a Notice of Proposed Rule Making will be published in the State Register on June 9, 2010. There will be a 45-day public comment period on the proposed regulations. Such comment may warrant amendments to the regulatory language prior to confirmation as a permanent rule. However, it is critical that the Board of Regents adopt the proposed regulations now to (1) provide guidelines for developing the RFP for graduate level clinically rich principal preparation pilot programs; and (2) to timely implement the provisions of the proposed amendment so that the Department can begin the competitive bidding process so that program providers can begin offering these programs for the 2011-2012 school year. A statement of facts and circumstances justifying this emergency action is attached.

#### Recommendation

VOTED: That a new paragraph (6) of subdivision (a) is added to section 52.1; a new paragraph (7) is added subdivision (c) of section 52.21 and that a new subclause (3) is added to clause (a) of subparagraph (ii) of paragraph (1) of subdivision (a) of Section 80-3.10 of the Regulations of the Commissioner of Education, effective May 25, 2010, as an emergency action upon a finding by the Board of Regents that such action is necessary to protect the general welfare in order to timely implement the provisions of the proposed amendment so that the Department can begin the competitive bidding process so that institutions can begin offering these programs for the 2011-2012 school year.

#### Timetable for Implementation

If adopted as an emergency measure at the May Regents meeting, the proposed amendment will become effective on May 25, 2010. A second emergency adoption will be necessary at the July Regents meeting to ensure that the regulations remain continuously in effect until the regulation becomes effective as a permanent rule on October 6, 2010.

## AMENDMENT OF THE REGULATIONS OF THE COMMISSIONER OF EDUCATION

Pursuant to sections 207, 208, 210, 214, 216, 224, 305, 3001, 3004 and 3006 of the Education Law

1. Paragraph (6) of subdivision (a) of section 52.1 of the Regulations of the Commissioner of Education is added, effective May 25, 2010, as follows:

(6) every curriculum leading to certification as a school building leader in a clinically rich graduate level principal preparation pilot program as prescribed under section 52.21(c)(7) of the Regulations of the Commissioner of Education.

2. A new paragraph (7) of subdivision (c) of section 52.21 of the Regulations of the Commissioner of Education is added, effective May 25, 2010, as follows:

(7) Clinically rich graduate level principal preparation pilot program for high need schools.

(i) Purpose. The purpose of this paragraph is to establish a clinically rich graduate level principal preparation pilot program to increase the supply of highly effective principals in high need schools. This pilot program will include an intensive clinical component, grounded in the standards of the Interstate School Leaders Licensure Consortium (ISLLC) and centered on the practice of research-based school leadership skills and best practices that lead to strong educational leadership and increased student achievement.

(ii) Limitations. The clinically rich graduate level principal preparation pilot program shall end on June 30, 2016.

(iii) Definitions. For purposes of this paragraph:

(a) High need school shall mean a school designated by the Commissioner of Education as a high need school. A high need school shall include, but not be limited to, schools under registration review, low performing schools, and other high need schools approved by the Board of Regents for purposes of this program.

(b) Institution shall mean an institution of higher education as defined in section 50.1 of this Title, an education corporation as defined in Education Law section 216-a, or a corporation having an educational purpose that is formed under the Not-for-Profit Corporation Law or the Business Corporation Law with the consent of the Commissioner pursuant to Education Law section 216, or a Limited Liability Company having an educational purpose that is formed under the Limited Liability Company Law with the consent of the Commissioner under Education Law section 216, and such institution must be selected by the Board of Regents for participation in these pilot programs pursuant to a request for proposal (“RFP”) process. Such proposals shall meet the criteria outlined by the Board of Regents in the RFP and be in a format, and submitted pursuant to a timeline, as prescribed by the Board of Regents.

(c) Principal-mentor shall mean an experienced and highly effective principal who holds a certificate as a school building leader and is selected through collaboration between the program provider and the school district and is assigned to provide mentoring and support to a candidate in this pilot program.

(iv) General requirements for the clinically rich graduate level pilot program. The general registration requirements set forth in sections 52.1 and 52.2 of this Part ,the general requirements for registration of programs leading to certification in the educational leadership service as set forth in sections 52.21(c)(1)(ii),(iii) and (iv) of this

Part and the institutional accountability requirements set forth in section 52.21(c)(6) of this Part shall apply. The requirements set forth in section 52.21(c)(2) of this Part shall not be applicable, except as otherwise provided in this paragraph.

(v) Specific requirements for the clinically rich graduate level principal preparation pilot programs. The following requirements shall be met:

(a) Collaboration. Any institution that participates in this program shall execute a written agreement with each partnering high need school which shall include the following:

(1) the specific roles of the institution and the high need school in the recruitment, preparation, and mentoring of candidates, as well as their roles in sustaining this pilot program in the long term;

(2) the selection and evaluation criteria and the recruitment process for principal-mentors;

(3) a commitment to actively recruit and select candidates who demonstrate excellence in teaching, experience working as advocates for children and families in high need schools, leadership capability, and a sincere intent to serve as instructional leaders;

(4) the various types of assessments that will be used to evaluate candidates throughout the program, and how such assessments will be utilized to prescribe study and authentic, real-world experiences that will enable candidates to develop the knowledge, understanding, and skills necessary to successfully meet the requirements of this program, provide effective leadership in high need schools and to obtain certification upon completion of the program.

(b) Admission requirements. In addition to the selection criteria established by institutions for candidates to participate in this program, the pilot program shall meet the following admission requirements:

(1) The program shall require candidates to hold a baccalaureate or graduate degree from a regionally accredited higher education institution or an equivalently approved higher education institution as determined by the department. Candidates shall have achieved at least a 3.0 cumulative grade point average, or its equivalent, in the program leading to the baccalaureate or graduate degree, or shall have been found by an officer designated by the registered program to have the necessary knowledge and skills to successfully complete the program, which finding shall be in writing and include the basis for that finding.

(2) Candidates shall 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. Institutions shall inform applicants in writing prior to admission that the State Education Department requires for the initial certificate as a school building leader that the candidate shall have successfully completed three years of classroom teaching service and/or pupil personnel service experience in public or non-public schools N-12.

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



(4) Only those candidates who provide a written commitment to be a school building leader for at least four years in a high need school upon graduation shall be admitted into the program.

(c) Instruction. Any instruction provided within the program shall reflect a deep understanding of adult learning principles, make appropriate use of technology, demonstrate effective instructional practices, be individualized based on the candidate's needs, and demonstrate the development of higher order cognitive processes.

(d) Curriculum and the clinical experience component Completion of the curriculum and the clinical experience component of the program shall prepare the candidate with the education required for an initial certificate in the school building leader certificate title (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).

(1) Faculty. All faculty members who teach within a curriculum in this pilot program shall possess earned doctorates or other terminal degrees in the field in which they are teaching or shall have demonstrated, in other widely recognized ways, their special competence in the field in which they instruct graduate students.

(2) Curriculum.

(i) The curriculum of the pilot program shall include research-based skills and best practices aligned with the following six standards of the Educational Leadership Policy Standards: ISLLC 2008 to prepare candidates to be effective school building leaders in high need schools and promote the success of all students by:

(A) facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community;

(B) advocating, nurturing and sustaining a school culture and instructional program conducive to student learning and staff professional growth;

(C) ensuring management of the organization, operations and resources for a safe, efficient, and effective learning environment;

(D) collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources;

(E) acting with integrity, fairness, and in an ethical manner; and

(F) understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context.

(ii) In addition, the curriculum of the program shall meet the following requirements:

(A) The curriculum shall be offered by qualified faculty who engage in regular professional development experiences to strengthen their own knowledge and skills, demonstrate recent highly effective leadership experience and an understanding of high needs schools and possess a commitment and dedication to the mission and guiding principles of this pilot program.

(B) The curriculum shall effectively integrate technology, be intellectually challenging, reflect research on effective leadership and school improvement, and focus on improving the conditions that impact student learning and achievement.

(C) The content requirements for the program shall include, but need not be limited to graduate level study designed to permit the candidate to obtain the content

requirements for programs leading to an initial certificate as a school building leader, as prescribed in section 52.21(c)(2)(v) of this Part.

(3) Clinically rich experience component. The clinical experience component of the program shall meet the following requirements:

(i) The clinical experience shall be designed by the institution in collaboration with a high need school to provide a rich variety of school leadership experiences for its candidates to ensure that program graduates will be effective principals in high need schools.

(ii) The clinical experience shall be woven throughout the pilot program and serve as the anchor, be developmental in nature, with increasing responsibilities progressing to independent leadership responsibilities and feature active authentic leadership experiences.

(iii) The candidate shall complete the clinical experience component of this program under the mentorship of the assigned principal-mentor in a high need school.

(iv) Prior to assigning the candidate to a classroom, the institution shall enter into a written agreement with the high need school wherein the high need school shall agree to establish a plan for at least one continuous school year of mentored clinical experience by the assigned principal-mentor for the candidate and support by a team comprised of program faculty, teachers and administrators at the high need school and the superintendent.

(v) The program shall ensure its candidates receive mentoring support during the entire period they are assigned to the school and enrolled in the program, which shall be at least one continuous school year.

(vi) Program faculty shall supervise the candidate and promote the linking of theory and practice by observing and advising the candidate at least twice each month during the clinical experience, except as otherwise provided in this paragraph.

(vii) Program faculty shall work in collaboration with the assigned principal-mentor to evaluate candidates and provide feedback.

(viii) During the clinical experience, the program shall provide courses and seminars that are designed to link educational theory with clinical experiences, which shall include, but need not be limited to, the curricula described in subclause (iv)(d)(2) of this paragraph.

(e) Certification. A designated officer of the institution offering the pilot program shall be required to recommend the candidate for an initial certificate, upon completion of the program and after consultation with the principal-mentor.

(f) Support commitment for pilot program graduates. An institution shall have a formal written agreement with partnering schools or districts to provide continued mentoring support for graduates of the pilot program during their first year in a school leadership position, which shall include, but not be limited to, setting selection criteria, and the recruitment and training processes for mentors; and developing plans to provide professional development programs based on research and best practices for mentors and school leaders.

3. A new subclause (3) of clause (a) of subparagraph (ii) of paragraph (1) of subdivision (a) shall be added to Section 80-3.10 of the Regulations of the Commissioner of Education, effective May 25, 2010, as follows:

(3) The candidate shall hold a baccalaureate or graduate degree from a regionally accredited higher education institution or an equivalently approved higher education institution as determined by the department and have successfully completed the clinically rich principal preparation pilot program leading to the initial certificate as a school building leader in the educational leadership service registered pursuant to section 52.21(c)(7) of this Title.

STATEMENT OF FACTS AND CIRCUMSTANCES  
WHICH NECESSITATE EMERGENCY ACTION

The proposed amendment is designed to 1) address immediate personnel shortages of effective school building leaders in New York's high need schools and school districts; and 2) promote student growth and achievement through strong educational leadership.

Research studies show that school leaders are critical to helping improve student performance and preparation programs grounded in intensive clinical experiences prepare effective school leaders (Educational Leadership Policy Standards, 2008). To maximize student growth and achievement in high need schools, the Department will select program providers for graduate level clinically rich principal preparation pilot programs through a Request for Proposal (RFP) process.

In order to ensure that any program selected to offer a clinically rich principal preparation program is of high quality, the Board of Regents will establish a Blue Ribbon Commission to evaluate all applications. This Blue Ribbon Commission will be comprised of highly renowned teacher educators. The Blue Ribbon Commission will make recommendations to the Board of Regents for those programs that should be authorized to establish clinically rich principal preparation programs, both from collegiate and non-collegiate providers or in combination. The goal is to create a process that will ensure a rigorous programmatic review and to select only the highest quality providers to assist in the preparation of principals for our high need schools.

To participate in the clinically rich principal preparation program, program providers will be required to meet certain eligibility requirements, including written collaboration agreements with high need schools, faculty, curriculum, mentoring and training requirements.

In order to fill the personnel shortages for effective school building leaders in high need schools in the 2011-2012 school year, an emergency action is necessary for the preservation of the general welfare in order to timely implement the provisions of the proposed amendment to provide school districts and BOCES with timely notice of the eligibility requirements and the program registration requirements for the pilot program and to complete the competitive bidding process for the selection of program providers before the 2011-2012 school year.

It is anticipated that the proposed amendment will be presented to the Board of Regents for adoption as a permanent rule at its September 14, 2010 meeting, which is the first scheduled meeting after the expiration of the 45-day public comment period mandated by the State Administrative Procedures Act.