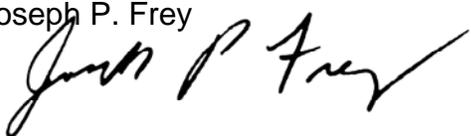




THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12234

**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:** August 31, 2010

**AUTHORIZATION(S):**

### **SUMMARY**

#### **Issue for Decision**

Should the Board of Regents adopt 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 Full Board for permanent adoption at its September 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. The Board of Regents adopted the proposed amendment, as an emergency measure, at its May and July 2010 meetings.

## Background Information

At its May and July meetings, the Board of Regents established a clinically rich graduate level principal preparation program. 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.

The proposed amendment was published in the State Register on June 9, 2010. An assessment of public comment is attached.

### Recommendation

VOTED: That a new paragraph (6) of subdivision (a) is added to section 52.1; a new paragraph (7) is added to 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 October 6, 2010.

### Timetable for Implementation

The proposed amendment will become 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 August 21, 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 August 21, 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 August 21, 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.

## **SUMMARY OF ASSESSMENT OF PUBLIC COMMENT**

Since publication of a Notice of Proposed Rule Making in the State Register on June 9, 2010, the State Education Department has received comments relating to the proposed amendments on graduate level clinically rich principal preparation pilot programs. The following is a summary of the concerns and suggestions and the responses of the Education Department.

**COMMENT:** Several commentors supported the following aspects of the pilot program: emphasis on preparing effective leaders for high need schools; alignment with Interstate School Leaders Licensure Consortium Standards; the clinical experience component; research-based curriculum linking theory and practice; strong partnerships between programs and other organizations; and gathering data on effectiveness of the pilot programs before expanding the programs. In addition, one commentor was supportive of the fact that the pilot programs only admit those candidates who demonstrate excellence in teaching, experience working as advocates for children and family in high need schools, leadership capability and a sincere intent to serve as instructional leaders.

**DEPARTMENT RESPONSE:** The Department agrees with these comments.

**COMMENT:** Commentors expressed concern about the capacity of non-collegiate institutions to offer this pilot program.

**DEPARTMENT RESPONSE:** The Department will select program providers for graduate level clinically rich principal preparation pilot programs through a Request for Proposal (RFP) process. Rigorous selection criteria and program approval criteria, including the institution's capacity to offer the pilot programs, will be specified in the

RFP. Institutions of Higher Education (IHEs) and non-collegiate institutions, will be held to the same standards. Non-collegiate programs will also be required to seek accreditation from an accrediting body approved by the Board of Regents and must demonstrate a proven history of having a positive impact on student achievement and student growth for all students, including students with disabilities, English language learners, and students living in poverty.

In addition, to ensure that any program selected to offer the pilot programs is of high quality, the Board of Regents will establish a Blue Ribbon Commission, comprised of highly renowned school leader educators, to evaluate all applications. 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. 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.

COMMENT: A couple commentors expressed concern about the mentor pool and high quality mentoring, given the requirement that the mentoring has to take place in a high need school.

DEPARTMENT RESPONSE: The proposed amendment defines a principal-mentor as “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.” Mentors can come from outside districts and should be recruited and interviewed jointly by the district which is providing the clinical experience

along with the program provider. This will ensure close alignment between these two parties. Mentors can be recently retired principals, or hold other district-level leadership positions (as long as they have had successful experience as a principal or have worked effectively with principals as district-level leaders). This should deepen the pool of candidates from which mentors are selected. The Department is also contemplating including a training requirement for mentors (also part of the RFP) to further ensure the quality of mentoring in this program.

COMMENT: One commentor expressed concern about the lack of dialogue with faculties of New York State's IHEs in the process of developing the emergency regulations on clinically rich principal preparation programs and in the process of developing the examination framework for teachers and school leaders.

DEPARTMENT RESPONSE: The Department disagrees with this comment. The work of the Wallace state wide committees helped inform this initiative. Those committees included college professors, program directors and state wide practitioner organizations. The Department has also engaged the public through a 45-day public comment period for the pilot programs. The Department has received and reviewed comments on the regulations from IHEs. The Commissioner has also reached out to, and met with Deans from City University of New York (CUNY), State University of New York (CUNY), and independent colleges, as well as P-12 Educators. The Department will continue to have ongoing discussions with stakeholders to explore ideas for improving education in high need schools and shortage areas throughout the State.

Moreover, experts from IHEs and P-12 schools serve on each of the committees for certification examinations. Therefore, IHEs are involved in the process of developing the examination framework for teachers and school leaders.

COMMENT: One commentor was concerned that there is little evidence demonstrating that program graduates of clinically rich preparation programs are effective in promoting school improvement and student learning.

DEPARTMENT RESPONSE: This pilot program is based on the best available research (Boyd et al 2009) and best practices (e.g., The Boston Residency model). In addition, a 2007 study commissioned by the Wallace Foundation, "Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs "identified several features of programs that produced graduates with " . . . knowledge and skills necessary to undertake instructional improvement, organizationally sophisticated leadership practice, and a stronger commitment to a career in school leadership." These features were used to develop the RFP including the emphasis on clinically rich experiences for candidates. In addition, program providers must demonstrate their capacity to incorporate the Educational Leadership Policy Standards: ISLLC 2008 into their programs. ISLLC Standards were developed after a tremendous amount of research conducted by a National Research Panel.

However, the Department agrees that more studies need to be conducted to prove the effectiveness of the clinically rich preparation model. The RFP will require program providers to submit a detailed evaluation plan to assess program effectiveness in bringing about student learning. In addition, the pilot programs will be required to

participate in a comprehensive annual evaluation of the program conducted by an external party authorized by the Department and the Board of Regents.

COMMENT: One commentor indicated that the clinically rich preparation model is not a panacea to solve the problems of high need schools.

DEPARTMENT RESPONSE: The Department agrees with this comment and has been engaging in other important initiatives (i.e., STEM initiatives, induction programs, career ladders, supplemental compensation for effective teachers and leaders, etc.) to maximize student achievement and growth in high need schools.

COMMENT: One commentor commented on the admission requirement that candidates must have three years of classroom teaching experience. The respondent was concerned that three years of experience is too short a duration to become an instructional leader.

DEPARTMENT RESPONSE: The proposed amendment requires candidates to have at least three years experience and the Department welcomes candidates with more experience. Moreover, in addition to at least three years of teaching experience, candidates must 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 to be admitted into the pilot program.

COMMENT: One commentor expressed concern about the short duration of the pilot programs, since the programs shall end on June 30, 2016.

DEPARTMENT RESPONSE: As indicated previously, more studies need to be conducted to prove the effectiveness of the clinically rich preparation model. For this

reason, the pilot program will expire in six years. If the pilot program is successful, the Department may extend the duration of the program.

COMMENT: One commentor expressed concern that to be eligible for the program, institutions must “have had a positive impact on student achievement and student growth for all students...” The commentor cautioned the Department to interpret data about student achievement with sensitivity because it may take many years for systemic reform to occur.

DEPARTMENT RESPONSE: The Department agrees with this comment. Any measure of student growth that will be utilized for this program will be analyzed carefully and thoughtfully and the Department will take into consideration the instructional environment of the organization and other factors when interpreting data on student achievement for purposes of this program.

COMMENT: Two commentors suggested designing a sound evaluation system to measure the effectiveness of the pilot programs.

DEPARTMENT RESPONSE: The Department accepts this suggestion. The RFP will require program providers to submit a detailed evaluation plan to assess program effectiveness in bringing about student learning. In addition, the pilot programs will be required to participate in a comprehensive annual evaluation conducted by an external party authorized by the Department and the Board of Regents.

COMMENT: One commentor suggested establishing carefully designed approval criteria for the pilot programs.

DEPARTMENT RESPONSE: The Department agrees with this suggestion. As indicated previously, the Department will select program providers for the pilot programs

through a RFP process. Selection criteria and program approval criteria will be specified in the RFP.

COMMENT: One commentor suggested that the Department should monitor the pilot programs to ensure that they meet the general regulation standards, achieve accreditation, and maintain an 80 percent pass rate on the appropriate certification examinations.

DEPARTMENT RESPONSE: The Department accepts this suggestion and will closely monitor the pilot program. Moreover, the pilot programs must meet all of the same accountability requirements of other school leader preparation programs.

COMMENT: One commentor suggested that all providers meet national accreditation requirements.

DEPARTMENT RESPONSE: The Department requires accreditation for all program providers.

COMMENT: One commentor suggested that we stress quality content such as what was used in the NYSED Educational Leadership Program Enhancement Project 2009-2012 guidelines. The commentor also asked that we emphasize more content and longer preparation for the pilot programs.

DEPARTMENT RESPONSE: As mentioned previously, the pilot program providers will be selected through a rigorous RFP process. The RFP will require that specific content and will require providers to use up to date research to inform the instruction in the program. The Blue Ribbon Committee will also ensure that only the highest quality providers who offer high quality content and clinical experience to establish clinically rich principal preparation programs.

COMMENT: One respondent suggested that the Department should not constrain the program design to one form of mentoring, limit candidates to only their school site, or limit internship experiences to one site.

DEPARTMENT RESPONSE: The Department accepts this suggestion. The intent of the regulation is to prepare highly qualified principals for high need schools through a clinical setting. An applicant could present varying models for this to occur which could include clinical residencies in both a high need school and a high performance school. The Blue Ribbon Commission and the Board of Regents will select those approaches that, in their judgment, best meet the intent of the program.

COMMENT: One respondent suggested that the pilot programs should partner with districts, not just specific schools.

DEPARTMENT RESPONSE: The pilot programs involve not only the school, but the district. The proposed amendment requires candidates in the pilot program to be supported by a team comprised of program faculty, teachers and administrators at the high need school and the superintendent. By including the superintendent in the support team, the programs are partnering with the district. Moreover, the RFP will encourage partnerships of all types, including district partnerships

COMMENT: One commentor suggested that rather than creating new programs, allocate the funds to existing educational leadership programs.

DEPARTMENT RESPONSE: The Department welcomes the existing educational leadership programs to submit an application to participate in the program through the RFP process.

COMMENT: One commentor suggested that we require formative and summative program evaluation.

RESPONSE: The Department accepts this suggestion. Formative and summative evaluations of graduate effectiveness will be included as a requirement in the RFP.

COMMENT: One commentor suggested developing a new path for education leaders, requiring a master's degree in instructional leadership as a prerequisite to educational leadership programs.

DEPARTMENT RESPONSE: Instructional leadership is an important component of the pilot programs. However, the Department encourages other innovative designs of educational leadership programs, including the one mentioned above.