



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 *Johanna Duncan-Poitier*  
James A. Kadamus *James A. Kadamus*

**COMMITTEE:** Higher and Professional Education

**TITLE OF ITEM:** Revised *Preliminary* Draft Regulations on School Leadership

**DATE OF SUBMISSION:** March 18, 2003

**PROPOSED HANDLING:** Discussion

**RATIONALE FOR ITEM:** Update on Implementation of Regents Initiative to Improve the Preparation of School Leaders and the Practice of School Leadership throughout the State

**STRATEGIC GOAL:** Goals 2 and 3

**AUTHORIZATION(S):** *[Signature]*

**SUMMARY:**

Over the past three months, representatives of the State Education Department have discussed the *preliminary* draft school leadership regulations 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.

Input from the field through public forums, written testimony, and other meetings led to significant modifications in the revised *preliminary* draft regulations (Attachment A), including:

- Admissions standards that require applicants to hold a permanent or professional teacher/pupil personnel certificate, or be evaluated by the preparation program for appropriate instructional 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.

For your information, Attachment B is a list of all who provided comments/input on the regulations and Attachment C is a chart that shows which organizations, groups or individuals made specific suggestions for changes in the regulations and whether or not those changes were made.

### Next Steps

On March 21, 2003, the field will be receiving these revised *preliminary* draft school leadership regulations, in order to provide an opportunity for any further public comment before the official regulatory clock begins. Based on the feedback received thus far, we are planning to go forward with a final draft of the regulations next month. If that occurs, April 15, 2003 is the deadline for filing the final draft regulations with the Department of State.

Following the April 15, 2003 filing, the field will have an additional two months to comment prior to your June meeting, at which time we will present the final draft regulations for your discussion and consideration.

If you approve the regulations at your July meeting, New York State's colleges and universities will begin offering newly approved programs in September 2004. In addition, Part 80 of the Commissioner's Regulations specifying requirements for building, district, and business leader certification will be reviewed and amended to reflect your policy decisions.

### Attachments

**Preliminary Draft #2 - Changes made since February 2003**  
**GENERAL REQUIREMENTS FOR ALL GRADUATE PROGRAMS PREPARING**  
**EDUCATION LEADERS**

**EFFECTIVE SEPTEMBER 1, 2004**

52.21(c)(1)

- (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 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:
    - 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.
- (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.

## **REQUIREMENTS FOR PROGRAMS PREPARING SCHOOL BUILDING LEADERS FOR INITIAL CERTIFICATES**

**EFFECTIVE SEPTEMBER 1, 2004**

**52.21(c)(2)**

Definition of 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 in 52.21(c)(1).
- (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 as a teacher or pupil personnel services provider or the program shall specify criteria used to assess a candidate's instructional leadership experience(s); 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.<sup>1</sup>
- (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;

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<sup>1</sup> SED will provide guidance on this.

- (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:
  - curriculum development;
  - instructional strategies and the integration of technology;
  - classroom organization and practices;
  - assessment;
  - student support services, including the provision of services to students with disabilities;
  - professional support and development;
  - succession planning;
  - student, family, and community relations;
  - facilities development; and
  - 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 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:

- include leadership experiences in districts serving students at different developmental levels and with a variety of characteristics and socioeconomic backgrounds;
- 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
- 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 (a) shall occur throughout the program of study and culminate in a full-time experience of at least 15 weeks that is structured to provide leadership responsibilities of increasing breadth and depth, or shall occur in another competency-based format that the program demonstrates to be the substantial equivalent.<sup>2</sup>

(vi) Requirements for Program Completion and Recommendation for Initial Certificate.<sup>3</sup>

(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.

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<sup>2</sup> The institution may request an internship certificate for candidates who have completed at least 50 percent of the program, authorizing college-supervised and district-mentored employment as a school building leader. Such service may meet all or part of the experience requirement.

<sup>3</sup> Part 80 certification requirements to qualify for the Initial Certificate as a school building leader based on a college recommendation: Candidates will need to complete a program registered as leading to this Initial Certificate; to hold an earned master's degree; to have successfully completed at least three years of service as a teacher, administrator, or pupil personnel service provider; and to have successfully completed the written State assessment required for the Initial Certificate as a school building leader. (State assessments are being developed.)

## **REQUIREMENTS FOR PROGRAMS PREPARING SCHOOL DISTRICT LEADERS FOR PROFESSIONAL CERTIFICATES**

**EFFECTIVE SEPTEMBER 1, 2004**

**52.21(c)(3)**

Definition of 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 52.21(c)(1).
- (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 as a teacher or pupil personnel service provider or the program shall specify criteria used to assess a candidate's instructional leadership experience(s); 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.<sup>4</sup>
- (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;

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<sup>4</sup> SED will provide guidance on this.

- (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 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:
  - curriculum development;
  - instructional strategies and the integration of technology;
  - classroom organization and practices;
  - assessment;
  - student support services, including the provision of services to students with disabilities;
  - professional support and development;
  - succession planning;
  - student, family, and community relations;
  - facilities development; and
  - 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:
    - include leadership experiences in districts serving students at different developmental levels and with a variety of characteristics and socioeconomic backgrounds;
    - 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;
    - 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 (a) shall occur throughout the program of study and shall culminate in a full-time experience of at least 15 weeks that is structured to provide leadership responsibilities of increasing breadth and depth, or shall occur in another competency-based format that the program demonstrates to be the substantial equivalent.<sup>5</sup>

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<sup>5</sup> The institution may request an internship certificate for candidates who have completed at least 50 percent of the program, authorizing college-supervised and district-mentored employment as a school district leader. Such service may meet all or part of the experience requirement.

(vi) Requirements for Program Completion and Recommendation for Professional Certificate.<sup>6</sup>

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

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<sup>6</sup> Part 80 certification requirements to qualify for the Professional Certificate as a school district leader based upon a college recommendation: Candidates will need to complete a program registered as leading to this Professional Certificate; to hold an earned master's degree and have successfully completed at least 60 semester hours of graduate study that may include graduate study completed prior to admission and graduate study required to develop knowledge and skills for school district leadership; and to have successfully completed at least three years of service as a teacher, administrator, or pupil personnel service provider.

Requirements for Programs Preparing  
**EXCEPTIONALLY QUALIFIED INDIVIDUALS FROM OTHER FIELDS  
TO BECOME SCHOOL DISTRICT LEADERS\***

(candidates who do not have three years of school experience)

**Transitional D Certificates and Professional Certificates**

**Effective September 1, 2004**

52.21(c)(4)

\*Definition of 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 52.21(c)(1).
- (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 baccalaureate and 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 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:
  - Developed and promoted a vision for an organization;
  - Collaboratively identified goals and objectives for achieving that vision;
  - Communicated effectively to promote goals;
  - Led comprehensive, long-range planning, informed by multiple data sources, for achieving goals;

- Effected any needed change through ethical decision making based upon factual analysis, even in the face of opposition;
- Established accountability for achieving goals and objectives;
- Developed staff capability for their roles in achieving goals;
- Supervised establishment of a budget supporting achievement of goals;
- Supervised the management of finances and facilities to support achievement of goals; and
- 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:

- Written Commitment. Candidates shall hold a written commitment from a school district or BOCES for district-mentored and college-supervised employment, 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;
- Program Endorsement. Candidates will have the program's endorsement for the Transitional D Certificate, including a description of how the candidate met each criterion used to determine exceptional qualifications and the substantial equivalent of three years of experience as a teacher, administrator, or pupil personnel provider in schools; and
- State Assessment. Candidates shall pass the written component of the State assessment in school district leadership. (State assessments are being developed.)

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

\*Transitional D Certificates will authorize three years of district-mentored and college-supervised service as a school district leader in a particular district or BOCES.

- (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.<sup>7</sup>
- (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:
    - (i) Design and execute district-wide systems to promote higher levels of student achievement;
    - (ii) 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;
    - (iii) Interact and communicate effectively with school board members in developing and implementing district policies, managing change, and managing district affairs;
    - (iv) Create a safe, healthy, and supportive learning environment for all students and staff;
    - (v) 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;
    - (vi) 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;
    - (vii) 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

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<sup>7</sup> SED will provide guidance on this.

providing staff with opportunities for continuous personal and professional development;

- (viii) 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:
  - curriculum development;
  - instructional strategies and the integration of technology;
  - classroom organization and practices;
  - assessment;
  - student support services, including the provision of services to students with disabilities;
  - professional support and development;
  - succession planning;
  - student, family, and community relations;
  - facilities development; and
  - 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;
- (ix) Effect any needed educational change through ethical decision-making based upon factual analysis, even in the face of opposition;
- (x) Establish accountability systems for achieving educational goals and objectives;
- (xi) Set a standard for ethical behavior by example, encouraging initiative, innovation, collaboration, mutual respect, and a strong work ethic;
- (xii) Supervise establishment of a district budget and the management of district finances and facilities to support achievement of educational goals and objectives;
- (xiii) 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
- (xiv) 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:

- include leadership experiences in districts serving students at different developmental levels and with a variety of characteristics and socioeconomic backgrounds;
- 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;
- be supervised by certified school district leaders and by program faculty who have preparation and expertise in supervision related to school district leadership; and
- occur throughout the program of study and culminate in a full-time experience of at least 15 weeks that is structured to provide leadership responsibilities of increasing breadth and depth; or

(c) Leadership experiences that shall occur in another competency-based format that the program demonstrates to be the substantial equivalent of the experiences prescribed in (b).

(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 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.

(viii) Requirements for Recommending Candidates for Professional Certificates.

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

(c) 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; and

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

**REQUIREMENTS FOR PROGRAMS PREPARING  
SCHOOL DISTRICT BUSINESS LEADERS FOR PROFESSIONAL CERTIFICATES**

**EFFECTIVE SEPTEMBER 1, 2004**

52.21(c)(5)

Definition of 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 52.21(c)(1).
- (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.
- (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.<sup>8</sup>
- (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

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<sup>8</sup> SED will provide guidance on this.



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; implement effective mass and interactive communication strategies and techniques.

(v) Leadership Experiences.

- (a) Programs shall require candidates to successfully complete leadership experiences that shall:
  - include leadership experiences in districts serving students at different developmental levels and with a variety of characteristics and socioeconomic backgrounds;
  - 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;
  - be supervised by certified school district leaders and by program faculty who have preparation and expertise in supervision related to school district business leadership; and
- (b) The leadership experiences specified in (a) shall occur throughout the program of study and shall culminate in a full-time experience of at least 15 weeks that is structured to provide leadership responsibilities of increasing breadth and depth, or shall occur in another competency-based

format that the program demonstrates to be the substantial equivalent of such experience.<sup>9</sup>

- (vi) Requirements for Program Completion and Recommendation for Professional Certificate.<sup>10</sup>
- (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;
  - (c) Candidates shall successfully complete the written and performance components of the State assessment for school district business leaders. (State assessments are being developed.)

<sup>9</sup> The institution may request an internship certificate for candidates who have completed at least 50 percent of the program, authorizing college-supervised and district-mentored employment as a school district business leader. Such service may meet all or part of the experience requirement.

<sup>10</sup> Part 80 certification requirements to qualify for the Professional Certificate as a school district business leader based upon a college recommendation: Candidates will need to complete a program registered as leading to this Professional Certificate, to hold an earned master's degree, and to have successfully completed at least 60 semester hours of graduate study that may include graduate study completed prior to admission and graduate study required to develop knowledge and skills for school district business leadership.

## **ACCOUNTABILITY REQUIREMENTS FOR ALL PROGRAMS PREPARING EDUCATION LEADERS**

**Effective September 1, 2004**

52.21(c)(6)

- (i) Regular Program Evaluations by the Institution. Institutions shall be accountable for the quality of their programs leading to certification 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 during a given academic year pass each certification examination that they have completed. . . .
  - (b) The registration review initiated by not meeting the percentage 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 Part 52 of the Commissioner's Regulations, the institution shall be subject to denial of re-registration.
  - (c) By January 15 of each year, institutions with registered programs preparing education 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 shall be met . . . **by December 31, 2013, for programs leading to certification in educational leadership, 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 Commissioner's Regulations and recognized as an accrediting agency for education programs by the United States Department of Education; or
  - (2) The Regents through the Regents accreditation process **for programs preparing education leaders.**

**Individuals and Organizations Offering Verbal or Written Testimony  
on the *Preliminary* Draft School Leadership Regulations**

**I. The Professional Standards and Practices Board (PSPB)**

**II. Higher Education Community - 23**

College administrators and faculty from colleges and universities including:

Adelphi University  
Bank Street College  
College of Saint Rose  
College of Staten Island  
CUNY Central Administration  
CUNY Graduate School  
CUNY Hunter College  
CUNY Queens College  
Dowling College  
D'Youville College  
Fordham University  
Hofstra University  
Long Island University- CW Post  
New York University  
St. John Fisher College  
SUC Geneseo  
SUC Oswego  
SUC Buffalo  
SUNY Buffalo  
SUNY New Paltz  
Syracuse University

**III. K-12 Practitioners - 15**

Teachers, principals, superintendents, and central administration from school districts including:

Albany City School District  
Ardsley Union Free School District  
Ballston Spa Central School District  
Catholic Schools of Broome County  
Fairport Central School District  
McGraw Central School District  
New York City Department of Education  
New York City School District  
Rochester City School District  
Sachem Central School District

Southern Tier Leadership Academy- Broome Tioga BOCES

**IV. Organizations - 9**

Commission on Independent Colleges and Universities (clcu)  
Council of Supervisors and Administrators (CSA)  
Empire State Supervisors and Administrators Association (ESSAA)  
Nassau County Council of School Superintendents (NCCSS)  
New York State Association of School Business Officials (NYSASBO)  
New York State School Boards Association (NYSSBA)  
New York State United Teachers (NYSUT)  
School Administrators Association of New York State (SAANYS)  
SUNY Advisory Council on Teacher Education (SUNY ACTE)  
United Federation of Teachers (UFT)

**V. Other – 8**

Parents and concerned citizens

Field Comments Received on Preliminary Draft School Leadership Regulations  
March 2003

Attachment C

Proposed Modification from Meetings with the Field:	Changes Made?	Comment:
Emphasize valuing diverse staff (NYSCOSS; SAANYS; Higher Ed. Program Faculty)	Yes	Language was added to highlight the need for building and district level leaders to communicate and work effectively with staff members from diverse backgrounds.
Create evident connections to student/child development (NYSUT; PSPB; clcu)	Yes	The need for school and district leaders to be strong instructional leaders who understand child and adolescent development and learning and focus on student achievement.
Clarify field experiences to highlight flexibility (Higher Ed. Program Faculty; K-12 Practitioners; clcu; PSPB)	Yes	Field experience requirements were re-sequenced and language was modified to clarify program flexibility.
Strengthen language requiring collaboration between K-12 and higher education (NYSASBO; Higher Ed. Program Faculty; NYCDOE)	Yes	Language was modified to indicate substantive nature of relationships expected by SED.
Articulate differences between building and district leadership positions (NYSUT)	Yes	Language was added to existing school district leader content requirements to highlight chief executive officer and instructional leader functions.
Provide guidance to colleges and universities on granting credit for prior experiences (NYSASBO; CUNY; NYCDOE; NYSUT; SAANYS; UFT)	Yes	Recommendations will be provided in a guidance document that accompanies the regulations.

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Proposed Modification from Meetings with the Field:	Changes Made?	Comment:
Amend content requirements to include: ethics and ethical decision making; supervision and evaluation of staff; additional school business competencies; greater emphasis on instructional role of school leaders (PSPB; CUNY; NYSASBO; Higher Ed. Program Faculty; NYSUT)	Yes	Program content requirements were modified to include recommendations.
Amend admissions requirements to include possession of a graduate degree or demonstrated success as a teacher (PSPB; Empire State Supervisors & Administrators Association; SAANY; CSA)	Yes	SED added language requiring possession of a permanent or professional teaching certificate <i>or</i> evidence of instructional leadership experience (assessed by the preparation program) for program admission
Define "exceptionally qualified" for non-educator candidates (Higher Ed. Program Faculty; K-12 Practitioners)	Yes	Draft regulations were modified to more clearly indicate the criteria to be used for selecting exceptionally qualified candidates.
Require longer field experience, a full year if possible. (CSA; NYCDOE)	No	The regulation sets the <i>minimum</i> amount of field experience needed; institutions may exceed the minimum.



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Proposed Modification from Meetings with the Field:	Changes Made?	Comment:
Focus <u>only</u> on competencies in field experiences, not on duration of experiences ( <i>Southern Tier Leadership Academy; Higher Ed. Program Faculty; NYSASBO; clcu; PSPB; SAANYs</i> )	No	SED proposes a balance of the two concepts, allowing programs to demonstrate the effectiveness of their models.
Allow Transitional D certificates for district level administrators, but <u>not</u> for the superintendent. As the leader of the school district he or she will not have adequate supervision from a mentor. ( <i>NYSCOSS</i> )	No	Transitional D certificates will be allowed for the superintendency with specialized supervision and mentoring by the District Superintendent or the Regional Superintendent (in NYC).
Allow transitional certificates for school district business leaders ( <i>NYSASBO</i> )	No	The law does not require school business administrators to be educators, therefore School District Business Leaders do not need a transitional certificate intended for exceptionally qualified non-educators. The current certification requirements for school business officials enumerated in Commissioner's Regulations Part 80 will be reviewed when all certification requirements are reviewed.
Create funding for full-time paid internships ( <i>Almost All Parties</i> )	No	This is not a regulatory issue.
Allow Transitional certificates for school building leaders ( <i>NYCDOE</i> )	No	Principals, even in large school districts, should have personal experience working in schools.

Part 80 (certification) questions raised at the forums or in written testimony:

- Should Internship certificate holders within leadership programs supervise and/or evaluate current teachers while they are still completing their preparation programs? (*NYSUT*)
- Where do Athletic Directors fit into these requirements? (*NYSOCSS*)
- Will there be Professional Development requirements for leaders? (*almost all parties*)
- What will the assessments for school leaders include and when will they be required? Will colleges be given sufficient time to adjust their preparation programs once the assessments are developed? (*almost all parties*)