

Item 19:
Proposed Review and Discussion of 19 TAC Chapter 241,
Principal Certificate

DISCUSSION AND ACTION

SUMMARY: Texas Government Code, §2001.039, establishes a four-year rule review cycle for all state agency rules, including State Board for Educator Certification (SBEC) rules. This item presents the proposed review and discussion of 19 TAC Chapter 241, Principal Certificate. The SBEC plans to review, discuss, and propose changes to 19 TAC Chapter 241 in the coming months based on the work of stakeholder meetings. Given the breadth of input and resulting rule changes expected, it is necessary to reset the four-year rule review cycle of this chapter to begin October 2014 to conduct the review concurrently with the stakeholder meetings.

STATUTORY AUTHORITY: Statutory authority for the rule review is Texas Government Code, §2001.039. The statutory authority for 19 TAC Chapter 241 is the Texas Education Code, §§21.003(a), 21.040(4), 21.041(b)(2)-(4), 21.046(b)-(d) and 21.054(a) and (e).

BOARD RESPONSE: This item is presented for review and comment.

PREVIOUS BOARD ACTION: The SBEC last adopted the review of 19 TAC Chapter 241 in February 2013, finding that the reasons for initially adopting the rules continue to exist.

FUTURE ACTION EXPECTED: The review of 19 TAC Chapter 241, Principal Certificate, is scheduled to be presented to the SBEC for adoption at the March 2015 meeting. Any rule changes resulting from the rule review process and stakeholder meetings will also be presented to the SBEC for consideration at the March 2015 meeting.

BACKGROUND INFORMATION AND SIGNIFICANT ISSUES: The SBEC rules in 19 TAC Chapter 241 establish requirements for the issuance and renewal of the principal certificate.

This item provides the SBEC the opportunity to discuss and provide input on 19 TAC Chapter 241. Texas Education Agency (TEA) staff will be conducting stakeholder meetings to gather input and will present those results at the March 2015 SBEC meeting.

The rules currently in effect in 19 TAC Chapter 241 are shown in Attachment II.

RULE REVIEW: The SBEC plans to file the notice of proposed review of 19 TAC Chapter 241, Principal Certificate, with the *Texas Register* following the October 2014 SBEC meeting. The SBEC will accept comments as to whether the reasons for adopting 19 TAC Chapter 241 continue to exist. The public comment period will begin November 14, 2014, with the publication of the notice of proposed review of 19 TAC Chapter 241 in the *Texas Register*.

The filing of the notice of proposed review soliciting comments as to whether the reasons for adoption continue to exist would not preclude any amendments that may be proposed at different dates through a separate rulemaking process.

FISCAL IMPACT: None.

PUBLIC AND STUDENT BENEFIT: The review of 19 TAC Chapter 241 will result in the continuation of requirements relating to admission to a principal preparation program, preparation program requirements, standards required for the principal certificate, issuance and renewal of the standard principal certificate, and requirements for the first-time principal in Texas.

PROCEDURAL AND REPORTING IMPLICATIONS: None.

LOCALLY MAINTAINED PAPERWORK REQUIREMENTS: None.

PUBLIC COMMENTS: The public comment period on the proposed rule review begins November 14, 2014, and ends December 15, 2014. The SBEC will take registered oral and written comments on this item at the March 6, 2015 meeting in accordance with the SBEC board operating policies and procedures.

ALTERNATIVES: None.

OTHER COMMENTS AND RELATED ISSUES: None.

ASSOCIATE COMMISSIONER'S RECOMMENDATION: I recommend that the State Board for Educator Certification:

Approve the proposed review of 19 TAC Chapter 241, Principal Certificate, to be published as proposed with the *Texas Register*.

Respectfully submitted,

Ryan Franklin
Interim Associate Commissioner
Educator Leadership and Quality

Staff Members Responsible: Tim Regal, Policy Advisor
Educator Leadership and Quality

Marilyn Cook, Interim Director
Educator Testing and Certification

Tim Miller, Director
Educator Preparation Programs

Attachments: I. Statutory Citations
II. Text of 19 TAC Chapter 241, Principal Certificate

ATTACHMENT I**Statutory Citations Relating to Review of 19 TAC Chapter 241, Principal Certificate****Rule Review****Texas Government Code, §2001.039, Agency Review of Existing Rules:**

- (a) A state agency shall review and consider for readoption each of its rules in accordance with this section.
- (b) A state agency shall review a rule not later than the fourth anniversary of the date on which the rule takes effect and every four years after that date. The adoption of an amendment to an existing rule does not affect the dates on which the rule must be reviewed except that the effective date of an amendment is considered to be the effective date of the rule if the agency formally conducts a review of the rule in accordance with this section as part of the process of adopting the amendment.
- (c) The state agency shall readopt, readopt with amendments, or repeal a rule as the result of reviewing the rule under this section.
- (d) The procedures of this subchapter relating to the original adoption of a rule apply to the review of a rule and to the resulting repeal, readoption, or readoption with amendments of the rule, except as provided by this subsection. Publishing the Texas Administrative Code citation to a rule under review satisfies the requirements of this subchapter relating to publishing the text of the rule unless the agency readopts the rule with amendments as a result of the review.
- (e) A state agency's review of a rule must include an assessment of whether the reasons for initially adopting the rule continue to exist.

19 TAC Chapter 241, Principal Certificate**Texas Education Code, §21.003, Certification Required (excerpt):**

- (a) A person may not be employed as a teacher, teacher intern or teacher trainee, librarian, educational aide, administrator, educational diagnostician, or school counselor by a school district unless the person holds an appropriate certificate or permit issued as provided by Subchapter B.

Texas Education Code, §21.040, General Powers and Duties of Board (excerpt):

The board shall:

- (4) for each class of educator certificate, appoint an advisory committee composed of members of that class to recommend standards for that class to the board;

Texas Education Code, §21.041, Rules; Fees (excerpts):

- (b) The board shall propose rules that:
 - (2) specify the classes of educator certificates to be issued, including emergency certificates;
 - (3) specify the period for which each class of educator certificate is valid;

- (4) specify the requirements for the issuance and renewal of an educator certificate;

Texas Education Code, §21.046, Qualifications for Certification As Superintendent or Principal (excerpts):

- (b) The qualifications for certification as a principal must be sufficiently flexible so that an outstanding teacher may qualify by substituting approved experience and professional training for part of the educational requirements. Supervised and approved on-the-job experience in addition to required internship shall be accepted in lieu of classroom hours. The qualifications must emphasize:
 - (1) instructional leadership;
 - (2) administration, supervision, and communication skills;
 - (3) curriculum and instruction management;
 - (4) performance evaluation;
 - (5) organization; and
 - (6) fiscal management.
- (c) Because an effective principal is essential to school improvement, the board shall ensure that:
 - (1) each candidate for certification as a principal is of the highest caliber; and
 - (2) multi-level screening processes, validated comprehensive assessment programs, and flexible internships with successful mentors exist to determine whether a candidate for certification as a principal possesses the essential knowledge, skills, and leadership capabilities necessary for success.
- (d) In creating the qualifications for certification as a principal, the board shall consider the knowledge, skills, and proficiencies for principals as developed by relevant national organizations and the State Board of Education.

Texas Education Code, §21.054, Continuing Education (excerpts):

- (a) The board shall propose rules establishing a process for identifying continuing education courses and programs that fulfill educators' continuing education requirements.
- (e) Continuing education requirements for a principal must provide that not more than 25 percent of the training required every five years include instruction regarding:
 - (1) effective and efficient management, including:
 - (A) collecting and analyzing information;
 - (B) making decisions and managing time; and
 - (C) supervising student discipline and managing behavior;
 - (2) recognizing early warning indicators that a student may be at risk of dropping out of school;
 - (3) integrating technology into campus curriculum and instruction; and
 - (4) educating diverse student populations, including:
 - (A) students with disabilities, including mental health disorders;

- (B) students who are educationally disadvantaged;
- (C) students of limited English proficiency; and
- (D) students at risk of dropping out of school.

ATTACHMENT II
Text of 19 TAC

Chapter 241. Principal Certificate

Statutory Authority: The provisions of this Chapter 241 issued under the Texas Education Code, §§21.003(a); 21.041(b)(2)-(4), and 21.046(b)-(d), unless otherwise noted.

§241.1. General Provisions.

- (a) Due to the critical role the principal plays in campus effectiveness and student achievement, and consistent with the Texas Education Code (TEC), §21.046(c), the rules adopted by the State Board for Educator Certification ensure that each candidate for the Principal Certificate is of the highest caliber and possesses the knowledge and skills necessary for success.
- (b) As required by the TEC, §21.046(b)(1)-(6), the standards identified in §241.15 of this title (relating to Standards Required for the Principal Certificate) emphasize instructional leadership; administration, supervision, and communication skills; curriculum and instruction management; performance evaluation; organization; and fiscal management.
- (c) An individual serving as a principal or assistant principal is expected to actively participate in professional development activities to continually update his or her knowledge and skills. Currency in best practices and research as related to both campus leadership and student learning is essential.
- (d) The holder of the Principal Certificate issued under the provisions of this chapter may serve as a principal or assistant principal in a Texas public school.

Source: The provisions of this §241.1 adopted to be effective March 14, 1999, 24 TexReg 1616; amended to be effective September 2, 1999, 24 TexReg 6751; amended to be effective July 13, 2004, 29 TexReg 6646; amended to be effective October 25, 2009, 34 TexReg 7200.

§241.5. Minimum Requirements for Admission to a Principal Preparation Program.

- (a) Prior to admission to an educator preparation program leading to the Principal Certificate, an individual must hold a baccalaureate degree from an accredited institution of higher education that at the time was accredited or otherwise approved by an accrediting organization recognized by the Texas Higher Education Coordinating Board.
- (b) An educator preparation program may adopt requirements for admission in addition to those required in subsection (a) of this section.
- (c) The educator preparation program shall implement procedures that include screening activities to determine the candidate's appropriateness for the Principal Certificate as identified in Chapter 227 of this title (relating to Provisions for Educator Preparation Candidates).

Source: The provisions of this §241.5 adopted to be effective March 14, 1999, 24 TexReg 1616; amended to be effective September 2, 1999, 24 TexReg 6751; amended to be effective June 10, 2001, 26 TexReg 3929; amended to be effective October 25, 2009, 34 TexReg 7200.

§241.10. Preparation Program Requirements.

- (a) The standards identified in §241.15 of this title (relating to Standards Required for the Principal Certificate) and Chapter 228 of this title (relating to Requirements for Educator Preparation Programs) shall be the curricular basis for an educator preparation program preparing candidates to be principals. The educator preparation program shall establish benchmarks and structured assessments of the candidate's progress and needed growth throughout the educator preparation program based on the standards identified in §241.15 of this title.
- (b) The principal preparation program shall include a field-based practicum whereby a candidate must demonstrate proficiency in each of the standards identified in §241.15 of this title.

- (c) An educator preparation program may develop and implement specific criteria and procedures that allow a candidate to substitute related experience and/or professional training directly related to the standards identified in §241.15 of this title for part of the preparation requirements.

Source: The provisions of this §241.10 adopted to be effective March 14, 1999, 24 TexReg 1616; amended to be effective June 10, 2001, 26 TexReg 3929; amended to be effective October 25, 2009, 34 TexReg 7200.

§241.15. Standards Required for the Principal Certificate.

- (a) **Principal Certificate Standards.** The knowledge and skills identified in this section must be used by an educator preparation program in the development of curricula and coursework and by the State Board for Educator Certification as the basis for developing the examinations required to obtain the standard Principal Certificate. The standards also serve as the foundation for the individual assessment, professional growth plan, and continuing professional education activities required by §241.30 of this title (relating to Requirements to Renew the Standard Principal Certificate).
- (b) **Learner-Centered Values and Ethics of Leadership.** A principal is an educational leader who promotes the success of all students by acting with integrity and fairness and in an ethical manner. At the campus level, a principal understands, values, and is able to:
- (1) model and promote the highest standard of conduct, ethical principles, and integrity in decision making, actions, and behaviors;
 - (2) implement policies and procedures that encourage all campus personnel to comply with Chapter 247 of this title (relating to Educators' Code of Ethics);
 - (3) model and promote the continuous and appropriate development of all learners in the campus community;
 - (4) promote awareness of learning differences, multicultural awareness, gender sensitivity, and ethnic appreciation in the campus community; and
 - (5) articulate the importance of education in a free democratic society.
- (c) **Learner-Centered Leadership and Campus Culture.** A principal is an educational leader who promotes the success of all students and shapes campus culture by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community. At the campus level, a principal understands, values, and is able to:
- (1) create a campus culture that sets high expectations, promotes learning, and provides intellectual stimulation for self, students, and staff;
 - (2) ensure that parents and other members of the community are an integral part of the campus culture;
 - (3) use strategies to ensure the development of collegial relationships and effective collaboration of campus staff;
 - (4) respond appropriately to the diverse needs of individuals within the community in shaping the campus culture;
 - (5) use emerging issues, trends, demographic data, knowledge of systems, campus climate inventories, student learning data, and other information to develop a campus vision and plan to implement the vision;
 - (6) facilitate the collaborative development of a shared campus vision that focuses on teaching and learning;
 - (7) facilitate the collaborative development of a plan in which objectives and strategies to implement the campus vision are clearly articulated;
 - (8) align financial, human, and material resources to support the implementation of the campus vision;

- (9) establish processes to assess and modify the plan of implementation to ensure achievement of the campus vision;
 - (10) support innovative thinking and risk-taking efforts of everyone within the school community and view unsuccessful experiences as learning opportunities; and
 - (11) acknowledge, recognize, and celebrate the contributions of students, staff, parents, and community members toward the realization of the campus vision.
- (d) Learner-Centered Human Resources Leadership and Management. A principal is an educational leader who promotes the success of all students by implementing a staff evaluation and development system to improve the performance of all staff members, selects and implements appropriate models for supervision and staff development, and applies the legal requirements for personnel management. At the campus level, a principal understands, values, and is able to:
- (1) collaboratively develop, implement, and revise a comprehensive and on-going plan for professional development of campus staff that addresses staff needs and aligns professional development with identified goals;
 - (2) facilitate the application of adult learning and motivation theory to all campus professional development, including the use of appropriate content, processes, and contexts;
 - (3) ensure the effective implementation of the professional development plan by allocation of appropriate time, funding, and other needed resources;
 - (4) implement effective, legal, and appropriate strategies for the recruitment, selection, assignment, and induction of campus staff;
 - (5) use formative and summative evaluation processes appropriate to the position held to further develop the knowledge and skills of campus staff;
 - (6) diagnose and improve campus organizational health and morale through the implementation of strategies designed to provide on-going support to campus staff members; and
 - (7) engage in on-going, meaningful, and professional growth activities to further develop necessary knowledge and skills and to model lifelong learning.
- (e) Learner-Centered Communications and Community Relations. A principal is an educational leader who promotes the success of all students by collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources. At the campus level, a principal understands, values, and is able to:
- (1) demonstrate effective communication through oral, written, auditory, and nonverbal expression;
 - (2) use effective conflict management and group consensus building skills;
 - (3) implement effective strategies to systematically gather input from all campus stakeholders;
 - (4) develop and implement strategies for effective internal and external communications;
 - (5) develop and implement a comprehensive program of community relations, which uses strategies that will effectively involve and inform multiple constituencies, including the media;
 - (6) provide varied and meaningful opportunities for parents to be engaged in the education of their children;
 - (7) establish partnerships with parents, businesses, and other groups in the community to strengthen programs and support campus goals; and
 - (8) respond to pertinent political, social, and economic issues that exist in the internal and external environment.
- (f) Learner-Centered Organizational Leadership and Management. A principal is an educational leader who promotes the success of all students through leadership and management of the organization, operations,

and resources for a safe, efficient, and effective learning environment. At the campus level, a principal understands, values, and is able to:

- (1) implement appropriate management techniques and group processes to define roles, assign functions, delegate authority, and determine accountability for campus goal attainment;
 - (2) gather and organize information from a variety of sources for use in creative and effective campus decision making;
 - (3) frame, analyze, and creatively resolve campus problems using effective problem-solving techniques to make timely, high-quality decisions;
 - (4) develop, implement, and evaluate change processes for organizational effectiveness;
 - (5) implement strategies that enable the physical plant, equipment, and support systems to operate safely, efficiently, and effectively to maintain a conducive learning environment;
 - (6) apply local, state, and federal laws and policies to support sound decisions while considering implications related to all school operations and programs;
 - (7) acquire, allocate, and manage human, material, and financial resources according to school district policies and campus priorities;
 - (8) collaboratively plan and effectively manage the campus budget;
 - (9) use technology to enhance school management; and
 - (10) use effective planning, time management, and organization of work to maximize attainment of school district and campus goals.
- (g) **Learner-Centered Curriculum Planning and Development.** A principal is an educational leader who promotes the success of all students by facilitating the design and implementation of curricula and strategic plans that enhance teaching and learning; alignment of curriculum, curriculum resources, and assessment; and the use of various forms of assessment to measure student performance. At the campus level, a principal understands, values, and is able to:
- (1) use emerging issues, occupational and economic trends, demographic data, student learning data, motivation theory, learning theory, legal requirements, and other information as a basis for campus curriculum planning;
 - (2) facilitate the use of sound research-based practice in the development and implementation of campus curricular, co-curricular, and extracurricular programs;
 - (3) facilitate campus participation in collaborative school district planning, implementation, monitoring, and curriculum revision to ensure appropriate scope, sequence, content, and alignment;
 - (4) facilitate the use and integration of technology, telecommunications, and information systems to enrich the campus curriculum; and
 - (5) facilitate the effective coordination of campus curricular, co-curricular, and extracurricular programs in relation to other school district programs.
- (h) **Learner-Centered Instructional Leadership and Management.** A principal is an educational leader who promotes the success of all students by advocating, nurturing, and sustaining a campus culture and instructional program conducive to student learning and staff professional growth. At the campus level, a principal understands, values, and is able to:
- (1) facilitate the development of a campus learning organization that supports instructional improvement and change through an on-going study of relevant research and best practice;
 - (2) facilitate the implementation of sound, research-based instructional strategies, decisions, and programs in which multiple opportunities to learn and be successful are available to all students;

- (3) implement special campus programs to ensure that all students are provided quality, flexible instructional programs and services to meet individual student needs (i.e., guidance and counseling programs and services);
- (4) use interpretation of formative and summative data from a comprehensive student assessment program to develop, support, and improve campus instructional strategies and goals;
- (5) facilitate the use and integration of technology, telecommunications, and information systems to enhance learning;
- (6) facilitate the implementation of sound, research-based theories and techniques of classroom management, student discipline, and school safety to ensure an environment conducive to teaching and learning;
- (7) facilitate the development, implementation, evaluation, and refinement of student activity programs to fulfill academic, developmental, social, and cultural needs; and
- (8) acquire and allocate sufficient instructional resources on the campus in the most equitable manner to support and enhance student learning.

Source: The provisions of this §241.15 adopted to be effective March 14, 1999, 24 TexReg 1616; amended to be effective June 10, 2001, 26 TexReg 3929; amended to be effective October 25, 2009, 34 TexReg 7200.

§241.20. Requirements for the Issuance of the Standard Principal Certificate.

To be eligible to receive the standard Principal Certificate, a candidate must:

- (1) successfully complete the appropriate examinations required under Chapter 230, Subchapter B, of this title (relating to Assessment of Educators);
- (2) hold, at a minimum, a master's degree from an accredited institution of higher education that at the time was accredited or otherwise approved by an accrediting organization recognized by the Texas Higher Education Coordinating Board;
- (3) hold a valid classroom teaching certificate;
- (4) have two creditable years of teaching experience as a classroom teacher, as defined in Chapter 153, Subchapter CC, of this title (relating to Commissioner's Rules on Creditable Years of Service) and the Texas Education Code, §5.001(2); and
- (5) successfully complete a principal preparation program that meets the requirements of §241.10 of this title (relating to Preparation Program Requirements), §241.15 of this title (relating to Standards Required for the Principal Certificate), Chapter 227 of this title (relating to Provisions for Educator Preparation Candidates), and Chapter 228 of this title (relating to Requirements for Educator Preparation Programs).

Source: The provisions of this §241.20 adopted to be effective October 25, 2009, 34 TexReg 7200.

§241.25. Requirements for the First-Time Principal in Texas.

- (a) A principal or assistant principal employed for the first-time as a campus administrator (including the first time in the state) shall participate in an induction period of at least one year.
- (b) The induction period should be a structured, systemic process for assisting the new principal or assistant principal in further developing skills in guiding the everyday operation of a school, adjusting to the particular culture of a school district, and developing a personal awareness of self in the campus administrator role. Mentoring support must be an integral component of the induction period.

Source: The provisions of this §241.25 adopted to be effective October 25, 2009, 34 TexReg 7200.

§241.30. Requirements to Renew the Standard Principal Certificate.

- (a) An individual who holds a standard principal or mid-management administrator certificate is subject to Chapter 232, Subchapter B, of this title (relating to Certificate Renewal and Continuing Professional Education Requirements).
- (b) To satisfy the requirements of this section, an individual must complete 200 clock-hours of continuing professional education every five years directly related to the standards in §241.15 of this title (relating to Standards Required for the Principal Certificate).
- (c) An individual who holds a valid Texas professional administrator certificate issued prior to September 1, 1999, may voluntarily comply with the requirements for continuing professional education in this section.

Source: The provisions of this §241.30 adopted to be effective March 14, 1999, 24 TexReg 1616; amended to be effective September 2, 1999, 24 TexReg 6751; amended to be effective June 10, 2001, 26 TexReg 3929; amended to be effective June 21, 2005, 30 TexReg 3581; amended to be effective October 25, 2009, 34 TexReg 7200.