

**Long Form of New York State Regulations on School Building Leaders
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June 16, 2016**

The following text is the long form document of the rules and regulations regarding Principal Preparation in New York State (from section VIII). This text can be viewed in conjunction with a more-condensed version of the regulations for the Principal Preparation Project. The text that appears here has been drawn directly from the law/regulations but has been annotated to only include or reference Principal Preparation in New York State. Each new section is noted by its CCR number and title, and pertinent sub-sections within the regulation have also been bolded for the convenience of the reader. There has been no change to language, bulleting, or labeling. When a section of law/regulation appears below, the language that is cited is verbatim.

52.21 Registration of curricula in teacher education.

(c) Programs leading to certification in the educational leadership service.

The requirements of this subdivision shall be met by September 1, 2004.

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

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

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

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

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

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

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

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

(3) Leaders communicate clearly and effectively;

(4) Leaders collaborate and cooperate with others;

(5) Leaders persevere and take the long view;

(6) Leaders support, develop and nurture staff;

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

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

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

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

(iv) Other requirements.

(a) Programs shall ensure that candidates complete two clock hours of coursework or training in school violence prevention and intervention, in accordance with section 3004 of the Education Law. Such coursework or training shall include but not be limited to, study in the warning signs within a developmental and social context that relate to violence and other troubling behaviors in children; the statutes, regulations and policies relating to a safe nonviolent school climate; effective classroom management techniques and other academic supports that promote a nonviolent school climate and enhance learning; the integration of social and problem solving skill development for students within the regular curriculum; intervention techniques designed to address a school violence situation; and how to participate in an effective school/community referral process for students exhibiting violent behavior.

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

(c) Programs shall ensure that candidates complete six clock hours, of which at least three hours must be conducted through face-to-face instruction, of coursework or training on the social patterns of harassment bullying and discrimination, a, in accordance with the requirements of section 14 of the Education Law.

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

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

(ii) Admission requirements.

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

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

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

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

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

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

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

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

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

(1) curriculum development;

(2) instructional strategies and the integration of technology;

(3) classroom organization and practices;

(4) assessment;

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

(6) professional support and development;

(7) succession planning;

(8) student, family, and community relations;

(9) facilities development; and

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

(e) effect any needed educational change through ethical decisionmaking based upon factual analysis, even in the face of opposition;

- (f) establish accountability systems for achieving educational goals and objectives;
 - (g) set a standard for ethical behavior by example, encouraging initiative, innovation, collaboration, mutual respect, and a strong work ethic;
 - (h) develop staff capability for addressing student learning needs by effective supervision and evaluation of teachers, by effective staff assignments, support, and mentoring, and by providing staff with opportunities for continuous professional development;
 - (i) create the conditions necessary to provide a safe, healthy, and supportive learning environment for all students and staff;
 - (j) establish a school budget and manage school finances and facilities to support achievement of educational goals and objectives;
 - (k) apply statutes and regulations as required by law, and implement school policies in accordance with law; and
 - (l) maintain a personal plan for self-improvement and continuous learning.
- (v) Leadership experiences.
- (a) Programs shall require candidates to successfully complete leadership experiences that shall:
 - (1) include leadership experiences in districts serving students at different developmental levels and with a variety of characteristics and socioeconomic backgrounds;
 - (2) be carefully selected and planned by program faculty in collaboration with school district leaders, with learning outcomes specified that are connected to program competencies and with the achievement of those outcomes regularly evaluated by program faculty; and
 - (3) be supervised by certified school district leaders and by program faculty who have preparation and expertise in supervision related to school building leadership.
 - (b) The leadership experiences specified in clause (a) of this subparagraph shall occur throughout the program of study. In addition, they shall culminate in a full-time experience of at least 15 weeks that is structured to provide leadership responsibilities of increasing breadth and depth.
 - (c) Alternatively, the leadership experiences specified in clause (a) of this subparagraph may occur in a competency-based format different from that prescribed in clause (b) of this subparagraph, provided that the program demonstrates that such format is substantially equivalent to the format prescribed in clause (b) of this subparagraph.
- (vi) Requirements for program completion and recommendation for initial certificate.
- (a) Candidates shall have met all program requirements established by the institution of higher education and required for program registration.
 - (b) Candidates who have not earned a master's degree prior to admission shall qualify for a master's degree upon program completion.

80-2.4 Certificates valid for administrative and supervisory service (school district administrator, and school administrator and supervisor and school business administrator).

A candidate may obtain a certificate for administrative and supervisory service upon evidence that the requirements of this section have been met.

(b) School administrator and supervisor (principal, housemaster, supervisor, department chairman, assistant principal, coordinator, unit head and any other person serving more than 25 percent—10 periods per week—of his assignment in any administrative and/or supervisory position, excepting those defined in subdivision (a) of this section, shall hold this certificate).

(1) Provisional certificate. The candidate shall hold a baccalaureate degree, based upon a four-year program of collegiate preparation from a regionally accredited higher institution or from an institution approved or registered by the department, and shall have completed in addition 30 semester hours of graduate study and an approved administrative/supervisory internship under the supervision of a practicing school administrator and of a representative of the sponsoring institution of higher education. These 30 semester hours shall include 18 semester hours of graduate study in the field of school administration and supervision.

(i) Substitution. One year of satisfactory full-time experience in a school (N-12) administrative or supervisory position may be substituted for the internship.

(ii) Experience. Three years of approved teaching and/or administrative and/or supervisory and/or pupil personnel services within grades N-12.

(iii) Time validity. The certificate will be valid for five years from date of issuance.

(2) Permanent certificate. The candidate shall have completed, in addition to the requirements for the provisional certificate, two years of school experience in an administrative/supervisory position. Within the total program of preparation, the candidate shall have been awarded a master's degree.

80-3.10 Certificates for the educational leadership service.

(a) School building leader.

(Principal, housemaster, supervisor, department chairman, assistant principal, coordinator, unit head and any other person serving more than 25 percent of his or her assignment in any building level leadership position shall hold this certificate.)

(1) Initial certificate.

(i) Validity of certificate. The initial certificate shall be valid for five years from its effective date.

(ii) Requirements for an initial certificate as a school building leader in the educational leadership service. The candidate shall meet the requirements in each of the following clauses:

(a) Education. The candidate shall meet the education requirement by meeting the requirements in one of the following subclauses:

(1) The candidate shall hold a master's or higher degree from a regionally accredited higher education institution or an equivalently approved higher education institution as determined by the department and have successfully completed a program leading to the initial certificate as a school building leader in the educational leadership service registered pursuant to section 52.21(c)(2) of this Title, or its equivalent as determined by the department, or an educational leadership program leading to a regular certificate in an equivalent title to a school building leader, accredited by an accrediting body recognized by the United States Department of Education at a regionally accredited institution outside of New York State.

(2) 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.

(b) Examination. The candidate shall submit evidence of having achieved a satisfactory level of performance on the New York State assessment for school building leadership. In addition, for candidates applying for certification on or after May 1, 2014 or candidates who apply for certification on or before April 30, 2014 but do not meet all the requirements for an initial certificate on or before April 30, 2014, the candidate shall also achieve a satisfactory level of performance on the educating all students test.

(c) Experience. 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.

(2) Professional certificate.

(i) Validity of certificate. The professional certificate for school building leaders shall be continuously valid, provided that the professional development requirement prescribed in section 80-3.6 of this Subpart is met by the professional certificate holder. The professional certificate holder shall be required to meet such professional development requirement to maintain the continued validity of the professional certificate.

(ii) Requirements for the professional certificate as a school building leader in the educational leadership service. The candidate shall have successfully completed, in addition to the requirements for the initial certificate: three years of school experience in an educational leadership position in public or non-public schools N-12, including at least one year of such experience as a school building leader. The candidate who completes this requirement in total or part through

providing educational leadership service in a school district or board of cooperative educational services in New York State shall be required to participate in a mentored program in the first year of employment, unless the candidate has successfully completed two years of educational leadership service prior to such public school service.

80-6.3 Mandatory continuing teacher and leader education requirements.

(a) Requirements for CTLE certificate holders (holders of professional certificates in the classroom teaching service, educational leadership service and level III teaching assistant certificate holders).

(1) Except as otherwise provided in paragraph (2) of this subdivision and subdivision (b) of this section, commencing with the 2016-2017 school year, a CTLE certificate holder shall be required to successfully complete 100 clock hours of acceptable CTLE during the registration period; provided that:

(i) a CTLE certificate holder who holds a professional certificate in the certificate title of English to speakers of other languages (all grades) or a holder of a bilingual extension under section 80-4.3 of this Part, shall be required to complete a minimum of 50 percent of the required CTLE clock hours in language acquisition aligned with the core content area of instruction taught, including a focus on best practices for co-teaching strategies, and integrating language and content instruction for English language learners; and

(ii) for all other CTLE certificate holders a minimum of 15 percent of the required CTLE clock hours shall be dedicated to language acquisition addressing the needs of English language learners, including a focus on best practices for co-teaching strategies, and integrating language and content instruction for such English language learners; and

(iii) for a CTLE certificate holder who holds a level III teaching assistant certificate, a minimum of 15 percent of the required CTLE clock hours shall be dedicated to language acquisition addressing the needs of English language learners and integrating language and content instruction for such English language learners.

(2) Exemption from language acquisition requirements. For a teacher or school leader who is employed by a school district or BOCES with an approved exemption pursuant to section 154-2.3(k) of this Title because there are fewer than 30 English language learner students enrolled or English language learners make up less than five percent of the district's or BOCES total student population as of a date as established by the commissioner, the teacher or school leader shall be exempt from the language acquisition CTLE requirements prescribed in this subdivision for each such year that they are employed in a school district or BOCES with an approved exemption.

(3) The CTLE requirement prescribed in this subdivision may be completed at any time during the registration period and CTLE completed during a prior registration period may not be carried over.

(b) Adjustments to the requirement.

(1) An adjustment to the CTLE requirement prescribed, in terms of clock hours and/or the time for completing CTLE, may be granted by the commissioner, provided that the CTLE certificate holder documents good cause that prevents compliance, which shall include any of the following reasons: poor health certified by a health care provider, extended active duty in the Armed Forces, or other good cause acceptable to the department which may prevent compliance.

(2) A peer review teacher, or a principal acting as an independent trained evaluator, conducting a classroom observation as part of the teacher evaluation system pursuant to Education Law section 3012-d may credit such time towards his/her CTLE requirement.

(3) A holder of a certificate in the classroom teaching service who achieves certification from the National Board for Professional Teaching Standards shall be deemed to have met the CTLE requirement, for the registration period in which such National Board Certification is achieved, provided that the CTLE certificate holder must continue to meet the applicable required CTLE requirements in language acquisition as described in paragraph (a)(1) of this section.

80-6.4 Measurement of continuing teacher and leader education.

(a) CTLE credit shall only be granted for CTLE acceptable to the department and conducted by a sponsor approved by the department pursuant to section 80-6.10 of this Subpart.

(b) For credit-bearing university or college courses, each semester-hour of credit shall equal 15 clock hours of CTLE credit, and each quarter-hour of credit shall equal 10 clock hours of CTLE credit for purposes of this section. For all other approved continuing teacher and leader education courses, one CTLE credit hour shall constitute a minimum of 60 minutes of instruction/education.

80-6.10 Sponsor approval.

(a) Except as otherwise provided in subdivision (e) of this section, an entity seeking approval by the department as a provider of CTLE under this section shall submit an application on forms prescribed by the commissioner accompanied by a fee of \$600.

(b) Any of the following entities may apply to the department to be an approved sponsor of CTLE:

- (1) school districts;
- (2) board of cooperative educational services;
- (3) teacher centers;
- (4) New York State institutions of higher education;
- (5) professional organizations and unions; and
- (6) any other entity approved by the department.

80-3.6 Professional development requirement.

(a) Applicability.

The professional development requirements of this section shall apply until the 2016-2017 school year.

(b) Definitions.

As used in this section:

(1) *Regularly employed by an applicable school in New York* means employed 90 days or more in a professional development year by a single applicable school in New York in a position requiring certification pursuant to this Part. For the purposes of this definition, a day of employment shall include a day actually worked in whole or in part, or a day not actually worked but a day paid. In addition, the City School District of the City of New York and any of its components, including but not limited to community school districts, high school divisions, special education divisions, and the Chancellor's district, shall be considered together a single applicable school in New York.

(2) *Professional development period* means the five-year period commencing on July 1st after the effective date of the triggering certificate, and each subsequent five-year period thereafter.

(3) *Professional development year* shall mean each year of the five-year professional development period, beginning on July 1st and ending the following June 30th.

(4) *Applicable school in New York* means a school district or board of cooperative educational services located in New York State. For purposes of this definition, the City School District of the City of New York and any of its components shall be considered together a single school district.

(5) *Triggering certificate* means the earliest issued certificate which requires the holder to take professional development, pursuant to subdivision (b) of this section.

(c) Mandatory requirement.

(1) Requirements.

(i) Requirement for holders of professional certificates in the classroom teaching service. Except as otherwise provided in subparagraph (v) of this paragraph, the holder of a professional certificate in the classroom teaching service shall be required to successfully complete 175 clock hours of acceptable professional development during the professional development period; provided that for any professional development period beginning on July 1, 2015, a minimum of 15 percent of the required professional development clock hours shall be dedicated to language acquisition addressing the needs of English language learners, including a focus on best practices for co-teaching strategies, and integrating language and content instruction for such English language learners.

(ii) Requirement for holders of level III teaching assistant certificates. The holder of a level III teaching assistant certificate shall be required to complete successfully 75 clock hours of acceptable professional development during the professional development period; provided that for any professional development period beginning on July 1, 2015, a minimum of 15 percent of the

required professional development clock hours shall be dedicated to language acquisition addressing the needs of English language learners and integrating language and content instruction for such English language learners.

(iii) Requirements for holders of professional certificates in the educational leadership service. The holder of a professional certificate in the educational leadership service shall be required to complete successfully 175 clock hours of acceptable professional development during the professional development period; provided that for any professional development period beginning on July 1, 2015, a minimum of 15 percent of the required professional development clock hours shall be dedicated to language acquisition addressing the needs of English language learners, including a focus on best practices for co-teaching strategies, and integrating language and content instruction for such English language learners.

(iv)

(a) Except as otherwise provided in subparagraph (v) of this paragraph, an individual holding more than one professional certificate in the classroom teaching service and/or educational leadership service shall be required to complete 175 clock hours of acceptable professional development during the five-year professional development period; provided that for any professional development period beginning on July 1, 2015, a minimum of 15 percent of the required professional development clock hours shall be dedicated to language acquisition addressing the needs of English language learners, including a focus on best practices for co-teaching strategies, and integrating language and content instruction for such English language learners.

(b) Except as otherwise provided in subparagraph (v) of this paragraph, an individual holding a level III teaching assistant certificate and one or more professional certificates in the classroom teaching service and/or educational leadership service shall be required to complete 175 clock hours of professional development during the five-year professional development period, unless the individual does not hold a professional certificate during the entire five-year professional development period, in which case the individual shall be required to complete 75 clock hours of professional development during the five-year professional development period; provided that for any professional development period beginning on July 1, 2015, a minimum of 15 percent of the required professional development clock hours shall be dedicated to language acquisition addressing the needs of English language learners, including a focus on best practices for co-teaching strategies, and integrating language and content instruction for such English language learners.

(v) For any professional development period beginning on July 1, 2015, a holder of a professional certificate in the certificate title of English to speakers of other languages (all grades) and a holder of a bilingual extension under section 80-4.3 of this Title, shall be required to complete a minimum of 50 percent of the required professional development clock hours in language acquisition aligned with the core content area of instruction taught, including a focus on best

practices for co-teaching strategies, and integrating language and content instruction for English language learners.

(2) The professional development requirement prescribed in paragraph (1) of this subdivision shall be reduced by 10 percent for each professional development year the certificate holder is not regularly employed by an applicable school in New York.

(3) The professional development requirement prescribed in this subdivision may be completed at any time during the five-year professional development period.

(4) Notwithstanding the requirements of paragraph (1) of this subdivision, a holder of a certificate in the classroom teaching service who achieves certification from the National Board for Professional Teaching Standards shall be deemed to have met the professional development requirement, prescribed in this subdivision, for the five-year professional development period in which such national board certification is achieved; provided that for any professional development period beginning on July 1, 2015:

(i) a holder of a professional certificate in the certificate title of English to speakers of other languages (all grades) and a holder of a bilingual extension under section 80-4.3 of this Part, shall be required to complete a minimum of 50 percent of the required professional development clock hours in language acquisition aligned with the core content area of instruction taught, including a focus on best practices for co-teaching strategies, and integrating language and content instruction for English language learners; and

(ii) for all other holders of professional certificates in the classroom teaching service, a minimum of 15 percent of the required professional development clock hours shall be dedicated to language acquisition addressing the needs of English language learners, including a focus on best practices for co-teaching strategies, and integrating language and content instruction for such English language learners; and

(iii) for an individual holding a level III teaching assistant certificate, a minimum of 15 percent of the required professional development clock hours shall be dedicated to language acquisition addressing the needs of English language learners and integrating language and content instruction for such English language learners.

(d) Adjustments to the requirement.

(1) An adjustment to the requirement prescribed in subdivision (b) of this section, in terms of clock hours and/or the time for completing professional development, shall be made by the commissioner, provided that the certificate holder documents good cause that prevents compliance, which shall include, but not be limited to, any of the following reasons: poor health certified by a physician; or a specific physical or mental disability certified by an appropriate health care professional or extreme hardship which, in the judgment of the department, makes it impossible for the professional certificate holder to comply with the professional development requirements in a timely manner; or for a certificate holder who is regularly employed by an applicable school in New York, inability to complete the requirement because of the failure of the applicable school in New York to adopt and implement a professional development plan. For certificate holders called to active duty in the Armed Forces, the professional development

requirement may be reduced proportionately by the commissioner so that the individual is not required to complete professional development for the time of active service.

(2) A certificate holder may request from the executive director of the Office of Teaching Initiatives an adjustment to the professional development requirement at any time during the professional development period, except that the certificate holder shall be required to comply with the timeframes prescribed in the due process requirements of subdivision (h) of this section, if the request is made after an initial notification, as prescribed in such subdivision, that the department's records show that the professional development requirements have not been met.

(e) Acceptable professional development.

(1) For individuals regularly employed by an applicable school in New York in a professional development year, acceptable professional development for such year shall be professional development approved by such applicable school in New York, pursuant to its professional development plan, as prescribed in section 100.2(dd) of this Title.

(2) For individuals not regularly employed by an applicable school in New York in a professional development year, acceptable professional development for such year shall be study in the content area of any certificate subject to the professional development requirement held by the individual or in pedagogy related to such certificate and any required study in language acquisition addressing the needs of English language learners as described in subdivision (b) of this section:

(i) approved by an applicable school in New York, pursuant to its professional development plan, as prescribed in section 100.2(dd) of this Title; or

(ii) offered by:

(a) a regionally accredited institution of higher education or institution authorized by the Board of Regents to confer degrees; or

(b) the following entities located in New York State: a school district, a board of cooperative educational services, a teacher resource and computer training center, a leadership academy, a special education teacher resource center, a collective bargaining organization or other organization or association that represents on a regional or statewide basis the interests of individuals holding certificates issued under Part 80 of this Title, or a comparable entity located outside New York State; or

(c) for certificate holders employed by any entity offering instruction in any grades kindergarten through grade 12, including but not limited to nonpublic schools located in New York State or outside of the State, professional development provided by such employer.

(f) Measurement of professional development study.

For credit-bearing university or college courses, each semester-hour of credit shall equal 15 clock hours of professional development, and each quarter-hour of credit shall equal 10 clock hours of professional development for purposes of this section.

(g) Recordkeeping requirements.

In addition to the recordkeeping requirement for an applicable school in New York, as prescribed in section 100.2(dd) of this Title, the certificate holder shall maintain a record

of completed professional development, which includes: the title of the program, the total number of hours completed, the number of hours completed in language acquisition addressing the need of English language learners, the sponsor's name and any identifying number, attendance verification, and the date and location of the program. Such records shall be retained for at least seven years from the date of completion of the program and shall be available for review by the department in administering the requirements of this section.

(h) Reporting requirement.

(1) In addition to the reporting requirement for an applicable school in New York, as prescribed in section 100.2(dd) of this Title, for any professional development year in which the certificate holder is not regularly employed in an applicable school in New York, the certificate holder shall report to the department, in a form and timetable prescribed by the department, information concerning completed professional development.

(2) Each certificate holder required to complete the professional development requirement pursuant to this section shall report to the executive director of the Office of Teaching Initiatives his or her current mailing address. Each such certificate holder shall report to the executive director a change of his or her mailing address within 30 days of such change. Failure to provide the executive director with a valid current mailing address may result in the suspension of the validity of the teaching certificate or certificates for which professional development is required, as prescribed in subparagraph (h)(2)(ii) of this section.

(i) Due process.

(1) General requirements. For purposes of this subdivision, the act of depositing by mail notifications, orders or other papers, enclosed in a post paid properly addressed wrapper, in a post office - official depository under the exclusive care of the United States Postal Service within the State of New York in the manner prescribed in this subdivision, using the address supplied by the certificate holder or the address found by the department after a reasonable search of its records pursuant to subparagraph (2)(ii) of this subdivision, to the certificate holder or the certificate holder's attorney of record by either the department or by the professional practices subcommittee of the State Professional Standards and Practices Board, or a panel thereof, shall constitute good and proper service upon the certificate holder.

(2) Notification.

(i) For certificate holders for whom the department records do not show that the professional development requirement prescribed in this section has been met, based on reporting by applicable schools in New York and/or the certificate holder, the department shall issue an initial notification to the certificate holder by first class mail that the department's records show that the professional development requirements have not been met. Such notification shall require the certificate holder to demonstrate within 30 days of the mailing of the notification that he or she has met the professional development requirement or that an adjustment to meet the professional development requirement is warranted, pursuant to the requirements of subdivision (c) of this section.

(ii) If the initial notification, prescribed in subparagraph (i) of this paragraph, is returned to the department as undeliverable because the mailing address provided by the certificate holder to the executive director of the Office of Teaching Initiatives is not current or valid, the department shall make a reasonable search of its records for a current or valid address at which the certificate holder may be reached, which may include but is not limited to a business address. If such an address is found, the initial notification shall be sent again to the certificate holder by first class mail. If such an address is not found after a reasonable search, or if the initial notification is again returned as undeliverable, the commissioner shall execute an order suspending the validity of the certificate(s) for which professional development is required, which shall be served upon the certificate holder by certified mail, return receipt requested, at the most current mailing address provided by the certificate holder to the executive director of the Office of Teaching Initiatives.

(iii) If the certificate holder demonstrates that he or she has met the professional development requirement, the department shall notify the certificate holder of this determination, by first class mail.

(iv) If the certificate holder defaults on responding to the initial notification; or fails to demonstrate that he or she has met the requirement or that an adjustment is warranted to meet the requirement, the department shall notify the certificate holder by first class mail that the validity of his or her certificate(s) for which the professional development requirement has not been met shall be suspended for failure to meet such requirement, unless the certificate holder submits a written request for a hearing to the executive director of the Office of Teaching Initiatives within 30 days of the date of the mailing of such notification letter. Such notification shall state the basis for the determination that the professional development requirement has not been met. Where the certificate holder has requested an adjustment and it has been denied, such notification shall also state that the adjustment has been denied and the basis for such denial.

(v) If an adjustment to the requirement is granted, the department shall notify the certificate holder by first class mail of this fact and the conditions of such adjustment, if any, which may include but are not limited to, permitting additional time to meet the requirement and/or adjusting the number of clock hours.

(vi) If the certificate holder fails to demonstrate that he or she has met the professional development requirement and no written request for a hearing is submitted by the certificate holder within 30 days of the mailing date of the notification letter advising the certificate holder that the validity of his or her certificate(s) shall be suspended, as prescribed in subparagraph (iv) of this paragraph, the commissioner shall execute an order suspending the validity of the certificate(s) for which professional development has not been met, which shall be served upon the certified individual by certified mail, return receipt requested. In addition, for such certificate holders employed by applicable

schools in New York, the department shall notify such school that the validity of the individual's certificate(s) has been suspended until the professional development requirements of this section are met.

(3) Hearing.

(i) If the certificate holder requests a hearing within 30 days of the mailing of the notification letter advising the certificate holder that the validity of his or her certificate shall be suspended, as prescribed in subparagraph (2)(iv) of this subdivision, a hearing shall be held before a panel of the professional practices subcommittee of the State Professional Standards and Practices Board for Teaching on the issue of whether the validity of the individual's certificate(s) shall be suspended because of not fulfilling the professional development requirement for such certificate(s). Such panel shall be selected by the professional practices subcommittee and shall consist of a minimum of three members. A majority of the members of such panel shall be teacher members of such subcommittee.

(ii) The executive director of the Office of Teaching Initiatives shall schedule the hearing, which shall take place within 30 days of receipt of such request. At least 15 days before the hearing, the executive director of the Office of Teaching Initiatives shall notify the certificate holder by first class mail of the time and place of said hearing.

(iii) The panel of the professional practices subcommittee of the State Professional Standards and Practices Board for Teaching shall select a hearing officer from its membership who shall conduct the hearing. The hearing officer may issue subpoenas on request of a party.

(iv) The certificate holder may be represented at the hearing by counsel and may produce witnesses and affidavits of proof. A record of the hearing testimony shall be maintained, but no stenographic transcript shall be required and a tape recording shall be deemed a satisfactory record.

(v) The certificate holder shall submit evidence documenting that he or she has met the professional development requirement prescribed in this section.

(vi) No later than 15 days after the conclusion of the hearing, the panel of the professional practices subcommittee of the State Professional Standards and Practices Board for Teaching shall send by first class mail to the executive director of the Office of Teaching Initiatives and the certificate holder, a report of its findings and recommendations, together with a copy of the record of the hearing testimony. Such panel shall either recommend that the validity of the certificate holder's certificate(s) shall be continued because the certificate holder has met the professional development requirement; or that the validity of the certificate holder's certificate(s) shall be continued because the certificate holder has met or will meet an adjusted requirement, which may include but is not limited to, permitting additional time to meet the requirement and/or adjusting the number of clock hours; or that the validity of a certificate holder's certificate(s) shall be suspended because the certificate holder has not met the professional development requirement. The findings and recommendations of

such panel shall be based solely upon the record and shall set forth the factual basis therefor.

(4) If no appeal is commenced by the certificate holder or the executive director of the Office of Teaching Initiatives within 30 days of the date of the mailing of the notification to the certificate holder of the findings and recommendations of the panel of the professional standards subcommittee of the State Professional Standards and Practices Board for Teaching, as prescribed in paragraph (5) of this subdivision, the commissioner shall adopt the recommendations and findings of such panel. In the case of a suspension of the validity of a certificate(s), the commissioner shall issue an order to that effect, which shall be served upon the certificate holder by certified mail, return receipt requested, and for certificate holders employed by an applicable school in New York, the department shall notify such school that the validity of the individual's certificate(s) has been suspended until the professional development requirements of this section are met.

(5) Appeal.

(i) Within 30 days of the date of the mailing of the notification to the certificate holder of the findings and recommendations of the panel of the professional standards subcommittee of the State Professional Standards and Practices Board for Teaching, the certificate holder may commence an appeal to the commissioner pursuant to clause (a) of this subparagraph or the executive director of the Office of Teaching Initiatives may commence an appeal to the commissioner pursuant to clause (b) of this subparagraph. Upon appeal by the certificate holder or the executive director of the Office of Teaching Initiatives shall transmit to the commissioner a copy of the complete record of the hearing before the panel of the professional practices subcommittee of the State Professional Standards and Practices Board for Teaching.

(a) Appeal by certificate holder. The certificate holder may commence an appeal of the findings and recommendations of the panel of the professional practices subcommittee of the State Professional Standards and Practices Board for Teaching by filing the original appeal papers with the commissioner, with proof of service by first class mail upon the executive director of the Office of Teaching Initiatives. The executive director of the Office of Teaching Initiatives may file a written response with the commissioner within 30 days of the mailing of such appeal papers, with proof of service by first class mail on the certificate holder or the attorney of record of such certified individual.

(b) Appeal by the executive director of the Office of Teaching Initiatives. The executive director of the Office of Teaching Initiatives may commence an appeal of the findings and recommendations of the panel of the professional practices subcommittee of the State Professional Standards and Practices Board for Teaching to the commissioner by filing the original appeal papers with the commissioner, with proof of service by first class mail upon the certificate holder. The certificate holder may file a written response with the commissioner within 30 days of the

mailing of such appeal papers, with proof of service by first class mail on the executive director of the Office of Teaching Initiatives.

(c) In the event that both the certificate holder and the executive director of the Office of Teaching Initiatives commence an appeal to the commissioner within the time period prescribed in this subparagraph, such appeals shall be automatically consolidated and each party shall be permitted to file a written response with the commissioner within 30 days of the mailing of the other party's appeal papers, with proof of service by first class mail upon the other party.

(ii) The commissioner shall review any appeal papers, or written responses filed, and the record of the hearing testimony and all evidence presented in the proceeding before the panel of the professional practices subcommittee of the State Professional Standards and Practices Board for Teaching, and within 30 days of receiving such record shall determine the matter. Based upon the record, the commissioner may adopt, reverse or modify the findings and recommendations of the panel of the professional practices subcommittee of the State Professional Standards and Practices Board for Teaching. If the commissioner determines to suspend the validity of a certificate(s), the commissioner shall execute an order to that effect, which shall be served upon the certificate holder by certified mail, return receipt requested, and for certified individuals employed by an applicable school in New York, the department shall notify such school that the validity of the individual's certificate(s) has been suspended until the professional development requirements of this section are met.

(j) Restoration of validity of certificate(s).

(1) To restore the validity of a certificate(s) whose validity has been suspended for failure to satisfy the professional development requirement set forth in this section, the candidate shall be required to demonstrate that he or she has:

(i) met the deficiency which caused the suspension in validity applicable to the five-year professional development period in which the deficiency occurred; and
(ii) completed at least one and one-half clock hours of additional acceptable professional development for each month beginning with the month succeeding the five-year professional development period in which the deficiency occurred and ending in the month prior to the date of application for the restoration of the certificate(s), up to a maximum of 75 clock hours. The professional development shall be completed during such computation period. In the case of a candidate required to complete 75 clock hours of professional development, 45 of such clock hours shall be completed within one year prior to the candidate's applying to the department for the restoration of the validity of the certificate(s).

(2) The certificate holder for whom the validity of a certificate(s) has been restored shall be required to complete one and one-half clock hours of acceptable professional development for each month beginning with the month of the date of application for the restoration of the validity of the certificate(s), and ending with the commencement

of a new five-year professional development period, which shall begin on July 1st succeeding the date of application. With the commencement of the new professional development period, the professional certificate holder shall be required to complete the regular professional development requirement, as prescribed in this section.

4-1.4 Standards of quality for institutional accreditation.

(a) Institutional mission.

The institution shall have a clear statement of purpose, mission, and goals that shall be reflected in the policies, practices, and outcomes of the institution. The statement of mission may include but need not be limited to: the academic purposes of the institution and the institution's commitment to the social and economic context in which the institution operates; the relative roles of teaching, creation and preservation of knowledge, and service; the nature of constituents to be served; and the basis for setting priorities.

(b) Assessment of student achievement.

(1) The institution shall prepare and implement a plan for the systematic assessment of its effectiveness in promoting the quality of student achievement and development. The assessment plan shall include but need not be limited to: graduation rates, retention rates and, as pertinent to institutional mission and programs, State licensing examination results and job placement rates. The plan may include other information important to the institution's achievement of its mission, such as transfer rates and the subsequent educational success of its graduates. The institution shall provide to the department on request and in all applications for accreditation and renewal of accreditation, evidence of its implementation of the plan and its effects on the quality of student achievement in relation to its mission and goals.

(2) The institution shall annually submit to the department:

- (i) timely and accurate statistical information as prescribed by the commissioner;
- (ii) additional specified reports, including data related to graduation rates, State licensing examination results, job placement rates, and other evidence of the quality of student achievement;
- (iii) record of compliance with its program responsibilities under HEA title IV (including student default rate data, and the results of audits and program reviews);
- (iv) record of student complaints and their outcomes; and
- (v) other information pertaining to an institution's compliance with the standards prescribed in this Subpart, as determined by the department.

(3)

(i) Graduation rates.

(a) Associate degrees. If, in the judgement of the commissioner, there is a sufficient cohort of students, based on the most recent data submitted to the department, an institution awarding associate degrees that reports an associate degree completion rate more than five percentage points

below the mean associate degree completion rate reported by all institutions in the State, according to the most recent information available to the department, shall prepare and submit a plan to improve student achievement as measured by graduation rates. Such plan shall include but need not be limited to: strategies and timelines to achieve a completion rate not lower than five percentage points below the mean. Such plan shall be submitted to, and subject to approval by, the commissioner.

(b) Baccalaureate degrees. If, in the judgement of the commissioner, there is a sufficient cohort of students, based on the most recent data submitted to the department, an institution awarding baccalaureate degrees that reports a baccalaureate degree completion rate more than five percentage points below the mean baccalaureate degree completion rate reported by all institutions in the State, according to the most recent information available to the department, shall prepare and submit a plan to improve student achievement as measured by graduation rates. Such plan shall include but need not be limited to: strategies and timelines to achieve a completion rate not lower than five percentage points below the mean. Such plan shall be submitted to, and subject to approval by, the commissioner.

(ii) Job placement rates.

(a) Two-year colleges. If, in the judgement of the commissioner, there is a sufficient cohort of students, based on the most recent data submitted to the department, an institution whose mission includes the preparation of students for employment and that offers no programs beyond the associate degree that reports job placement rates, including placement in civilian and military occupations, more than five percentage points below the mean reported by all institutions in the State offering programs no higher than the associate degree level, according to the most recent information available to the department, shall prepare and submit a plan to improve student achievement as measured by job placement rates. Such plan shall include but need not be limited to: strategies and timelines to achieve a job placement rate not lower than five percentage points below the mean. Such plan shall be submitted to, and subject to approval by, the commissioner.

(b) Four-year colleges. If, in the judgement of the commissioner, there is a sufficient cohort of students, based on the most recent data submitted to the department, an institution whose mission includes the preparation of students for employment and that offers programs at and above the baccalaureate degree that reports job placement rates, including civilian and military occupations, below 80 percent, shall prepare and submit a plan to improve student achievement as measured by job placement rates. Such plan shall include but need not be limited to: strategies and

timelines to achieve at least an 80 percent job placement rate. Such plan shall be submitted to, and subject to approval by, the commissioner.

(c) Graduate-only institutions. If, in the judgement of the commissioner, there is a sufficient cohort of students, based on the most recent data submitted to the department, an institution whose mission includes the preparation of students for employment and that offers no programs below the master's degree that reports job placement rates, including civilian and military occupations, below 80 percent, shall prepare and submit a plan to improve student achievement as measured by job placement rates. Such plan shall include but need not be limited to: strategies and timelines to achieve at least an 80 percent job placement rate. Such plan shall be submitted to, and subject to approval by, the commissioner.

(c) Programs of study.

(1) Integrity of credit.

(i) Each course offered for credit by an institution shall be part of a general education requirement, a major requirement, or an elective in a program of study leading to a degree or certificate.

(ii) Credit toward an undergraduate degree shall be earned only for college-level work. Credit toward a graduate degree shall be earned only through work designed expressly for graduate students. Enrollment of secondary school students in undergraduate courses, of undergraduates in graduate courses, and of graduate students in undergraduate courses shall be strictly controlled by the institution.

(iii) The institution, in offering coursework through distance education or correspondence education, must have processes in place to verify that the student who registers in a distance education or correspondence education course or program is the same student who participates in and completes the course and receives the academic credit for the course, using methods that may include but are not limited to a secure login and pass code; proctored examinations; and other technologies and practices that are effective in verifying student identity. Institutions must also use processes that protect student privacy and notify students of any projected additional student charges associated with the verification of student identity at the time of registration or enrollment.

(iv) Learning objectives for each course shall be of a level and rigor that warrant acceptance in transfer by other institutions of higher education.

(v) The institution shall assure that credit is granted only to students who have achieved the stated objectives of each credit-bearing learning activity.

(2) Programs of study goals and objectives.

(i) The goals and the objectives of each program of study and the competencies expected of students completing the program shall be clearly defined in writing.

(ii) Each program of study shall show evidence of careful planning. The content and duration of programs of study shall be designed to implement their purposes.

(iii) Course syllabi shall clearly state the subject matter, the learning objectives, and requirements of each course and shall be provided to the students in the course.

(3) Assessment of success in achieving the goals and objectives. There shall be a written plan to assess, no less than every five years, the effectiveness of faculty and students in achieving goals and objectives and to promote improvement. Such assessment shall include systematic collection, review and use of quantitative and qualitative information about programs of study, including information that directly addresses learning outcomes, and shall document actions taken to improve student learning and development.

(4) Program length, credit, and other requirements for degrees. For each program of study, the institution shall assure that courses will be offered with sufficient frequency to enable students to complete the program within the minimum time for degree completion for each degree level identified in this paragraph.

(i) Associate degree programs shall normally be capable of completion in two academic years of full-time study, or their equivalent in part-time study, with an accumulation of not less than 60 semester hours.

(ii) Baccalaureate degree programs shall normally be capable of completion in four academic years of full-time study, or, in the case of five-year programs, five academic years of full-time study, or their equivalent in part-time study, with an accumulation of not less than 120 semester hours.

(iii) Master's degree programs shall normally require a minimum of one academic year of full-time graduate level study, or its equivalent in part-time study, with an accumulation of not less than 30 semester hours. Research or a comparable occupational or professional experience shall be a component of each master's degree program. The requirements for a master's degree shall normally include at least one of the following: passing a comprehensive test, writing a thesis based on independent research or completing an appropriate special project.

(iv) The master of philosophy degree shall require completion of all requirements for the degree of doctor of philosophy except the dissertation, and shall require that the student have been admitted to candidacy in a doctor of philosophy curriculum offered by the institution conferring the master of philosophy degree.

(v) Doctoral programs shall require a minimum of three academic years of full-time graduate level study after the baccalaureate degree, or their equivalent in part-time study. Doctoral studies shall include the production of a substantial report on original research, the independent investigation of a topic of significance to the field of study, the production of an appropriate creative work, or the verified development of advanced professional skills.

(d) Faculty.

(1) Competence and credentials.

(i) In support of the mission of the institution, all members of the faculty shall have demonstrated by training, earned degrees, scholarship, experience, and by classroom performance or other evidence of teaching potential, their competence to offer the courses and discharge the other academic responsibilities which are assigned to them.

(ii) Faculty members who teach in a program leading to a certificate or undergraduate degree shall hold at least a master's degree in the field in which they teach or a related field, or shall be actively pursuing graduate study in such field or a related field, or shall have demonstrated, in other widely recognized ways, such as completion of relevant education, training and/or experience, their competence in the field in which they teach. Upon request, institutions shall provide documentation to the commissioner confirming that faculty members who do not hold such master's degree or are not pursuing such graduate study have demonstrated competence in the field in which they teach.

(iii) At least one faculty member teaching in each program of study culminating in a baccalaureate degree shall hold an earned doctorate in an appropriate field, unless the commissioner deems that the program is in a field of study in which other standards are appropriate.

(iv) All faculty members who teach within a program of study leading to a graduate degree 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 direct graduate students. Upon request, institutions shall provide documentation to the commissioner confirming that the faculty members who do not hold such doctorate or terminal degrees have demonstrated special competence in the field in which they direct students.

(2) Adequacy to support programs and services.

(i) The faculty shall be sufficient in number to assure breadth and depth of instruction and the proper discharge of all other faculty responsibilities.

(ii) To foster and maintain continuity and stability in academic programs and policies, there shall be in the institution a sufficient number of faculty members who serve full-time at the institution.

(iii) For each program of study the institution shall designate a body of faculty who, with the academic officers of the institution, shall be responsible for setting curricular objectives, for determining the means by which achievement of objectives is measured, for evaluating the achievement of curricular objectives, and for providing academic advice to students.

(iv) The ratio of faculty to students in each course shall be sufficient to assure effective instruction.

(3) Evaluation and professional responsibilities.

(i) The teaching and research of each faculty member, in accordance with the faculty member's responsibilities, shall be evaluated periodically by the

institution. Members of the instructional staff new to the institution shall receive special supervision during the initial period of appointment.

(ii) The institution shall ensure that each member of the faculty is allowed adequate time, in accordance with the faculty member's responsibilities, to broaden professional knowledge, prepare course materials, advise students, direct independent study and research, supervise teaching, participate in institutional governance and carry out other academic responsibilities appropriate to his or her position, in addition to performing assigned teaching and administrative duties.

(e) Resources.

(1) Facilities, equipment, and supplies.

(i) The institution shall provide classrooms, administrative and faculty offices, auditoria, laboratories, libraries, audio-visual and computer facilities, clinical facilities, studios, practice rooms, and other instructional resources sufficient in number, design, condition, and accessibility to support its mission, goals, instruction, programs, and all other educational activities.

(ii) The institution shall provide equipment sufficient in quantity and quality to support administration, instruction, research, and student performance.

(2) Library and information resources.

(i) The institution shall provide libraries that possess, maintain, and provide access to print and non-print collections and technology sufficient in depth and breadth to support the mission of the institution and each program of study.

(ii) Libraries shall be administered by professionally trained staff supported by sufficient personnel. Library services and resources shall be available for student and faculty use with sufficient regularity and at appropriate hours and shall support the mission of the institution and its programs of study.

(iii) The institution shall ensure that all students receive instruction in information literacy.

(3) Fiscal capacity. The institution shall possess the financial resources necessary for the consistent and successful accomplishment of its mission and objectives at the institutional, program and course levels.

(f) Administration.

(1) Responsibilities.

(i) Responsibility for the administration of institutional policies and programs shall be clearly established.

(ii) Within the authority of its governing entity, the institution shall provide that overall educational policy and its implementation are the responsibility of the institution's faculty and academic officers. Other appropriate segments of the institutional community may share in this responsibility in accordance with the norms developed by each institution.

(iii) Academic policies applicable to each course, including learning objectives and methods of assessing student achievement, shall be made explicit by the instructor at the beginning of each term.

(iv) The institution shall provide academic advice to students through faculty or appropriately qualified persons. The institution shall assure that students are informed at stated intervals of their progress and remaining obligations in the completion of the program.

(v) The institution shall maintain for each student a permanent, complete, accurate, and up-to-date transcript of student achievement at the institution. This document will be the official cumulative record of the student's cumulative achievement. Copies shall be made available at the student's request, in accordance with the institution's stated policies, or to agencies or individuals authorized by law to review such records.

(vi) The institution shall not be in violation of State and/or Federal statute, where such violation demonstrates incompetence and/or fraud in the management of the institution in the judgement of the commissioner.

(2) Published policies. The institution shall establish, publish and enforce explicit policies with respect to:

(i) academic freedom;

(ii) the rights and privileges of full-time and part-time faculty and other staff members, working conditions, opportunity for professional development, workload, appointment and reappointment, affirmative action, evaluation of teaching and research, termination of appointment, redress of grievances and faculty responsibility to the institution; and

(iii) requirements for admission of students to the institution and to specific programs of study, requirements for residence, graduation, awarding of credit, degrees or other credentials, grading, standards of progress, payment of fees of any nature, refunds, withdrawals, standards of conduct, disciplinary measures and redress of grievances.

(g) Support services.

(1) The institution shall assure that whenever and wherever the institution offers courses as part of a program of study it shall provide adequate support services, taking into account its mission and the needs of its students.

(2) Institutions that admit students with academic deficiencies shall provide sufficient supplemental academic services to enable them to make satisfactory progress toward program completion.

(h) Admissions.

(1) The admission of students shall be determined through an orderly process using published criteria consistent with the institution's mission that shall be uniformly applied.

(2) Admissions shall take into account both the capacity of the student to undertake a course of study and the capacity of the institution to provide the instructional and other support the student needs to complete the program.

(3) Among other considerations and consistent with its mission, the institution shall take measures to increase enrollment in academic programs at all degree levels by persons from groups historically underrepresented in such programs.

(4) An institution shall not refuse a student's request for transfer of credit based solely upon the source of accreditation of the sending institution, where the sending institution is institutionally accredited for title IV purposes by an accrediting agency recognized by the U.S. Secretary of Education for such purposes.

(i) Consumer information.

(1) The following information shall be included in all catalogs of the institution:

(i) Information shall be provided on financial assistance available to students, costs of attending the institution, the refund policy of the institution, and the instructional programs and other related aspects of the institution. Information shall include programs of financial assistance from State, Federal, institutional and other sources. Information on the institution's standards of progress shall be disclosed, if different from those utilized for State student financial aid programs.

(ii) Cost of attending the institution for each of the cost categories listed below shall be provided. Estimates, so indicated, may be used where exact figures are unavailable or inappropriate. Where summary information is provided, an institutional office where detailed information can be obtained shall be identified.

(a) Tuition and fees. Information shall be provided on all assessments against students for direct educational and general purposes. A brief description of the purpose of any mandatory fee shall be included if the purpose of such fee is not apparent from its name. Course fees and lab fees shall be clearly identified. Conditions under which nonmandatory fees need not be paid shall be clearly stated.

(b) Books and supplies. Estimated costs of textbooks, books, manuals, consumable supplies and equipment, which a student should possess as a necessary corollary to instruction, shall be provided. Separate estimates shall be provided for major program categories for which such costs vary more than 25 percent from the average for the entire institution.

(c) Room and board. Costs of housing and food services operated by the institution shall be provided where such services are available. Estimated costs of similar accommodations available in the community shall also be provided. These figures shall be consistent with estimated student budgets prepared by the institution's financial aid office.

(d) Other living expenses. Estimated cost of personal expenses applicable to students devoting primary efforts to pursuit of educational objectives shall be provided. This estimate shall be consistent with similar figures defined by the institution's financial aid office.

(iii) The institution shall state its policy and requirements on student withdrawal from the institution and its policy and requirements concerning refunds due to failure of students to complete an academic term for any reason. The policy shall include the percentage or amount of tuition, fees, institution-operated room and board, and other assessments to be refunded after specified elapsed periods of time.

- (iv) The instructional programs of the institution shall be described accurately.
- (a) Degree, certificate and diploma programs. A list of degree, certificate and diploma programs shall be provided. The list shall be consistent with the inventory of registered degree and certificate programs maintained by the department. The list shall contain at least the official approved program title, degree, HEGIS code number, and shall be preceded by a statement that enrollment in other than registered or otherwise approved programs may jeopardize a student's eligibility for certain student aid awards.
 - (b) Program descriptions. Each degree, certificate or diploma program shall be described in terms of program objectives, prerequisites and requirements for completion.
 - (c) The academic year in which each instructional offering (course) is expected to be taught shall be indicated.
 - (d) Program-related facilities. A general description of instructional, laboratory and other facilities directly related to the academic program shall be provided, in addition to general information describing the total physical plant. Narrative and/or statistical information shall be provided about library collections and facilities, student unions, and institution-operated eating-places. Hours of operation, including holiday and vacation schedules, shall be provided.
 - (e) Faculty and other instructional personnel. Regular resident faculty shall be listed by rank, with the highest degree held by the faculty member and the institution by which such degree was granted, full-time or part-time status, and department or major program area to which such member is assigned. An estimated number of adjunct faculty and teaching assistants in each department or major program area shall be provided.
 - (f) Recruiting and admission practices. The process and criteria for the recruitment and admission of students to the institution and to specific programs of study, as required by subparagraph (f)(2)(iii) of this section and by subdivision (h) of this section, shall be published.
 - (g) Transfer of credit. The process and criteria for accepting transfer of credit from other institutions shall be publicly disclosed and include a statement of the criteria established by the institution regarding the transfer of credit earned at another institution of higher education and a list of the institutions with which the institution has established articulation agreements.
 - (h) Academic calendar. The academic calendar of the institution, and of specific programs of study, if different, shall be published.
 - (i) Grading. The grading policy of the institution, and of specific programs of study, if different, shall be published.
 - (j) Student retention and graduation. Information on student retention and graduation rates shall be provided based on a summary of the most

recent cohort survival statistics (*e.g.*, percentages of those students enrolled at the end of the spring term, percentages of freshman classes that graduate in four, five and six years) available to the institution for at least full-time undergraduates.

(k) Outcomes for former students. Summaries of employment outcomes, advanced study, and student professional and occupational licensing examination results compiled by or provided to the institution shall be provided. The student cohort year or years, or date of examinations shall be included. Data displays on employment outcomes shall be by major or discrete curricular area.

(v) Information shall be provided on the institution's code of conduct for students and any disciplinary measures that may be applied to a student for a violation of such conduct, with a description of the institution's student disciplinary process.

(2) Institutions that produce a multi-year catalog may use an annual printed addendum to update the information in the catalog or, if the catalog is also online, a website update. All print and online catalogs shall be archived annually, and archived copies shall be retained permanently.

(3) The institution shall demonstrate that it continuously assesses the effectiveness of its efforts to provide students and prospective students with timely, accurate, and complete consumer information.

4-2.5 Standards for Regents accreditation of teacher education programs.

(a) Standards of quality.

(1) Commitment and vision. The program shall state the nature of its commitment to and vision for preparing teachers who can teach all students to the State learning standards for students, as prescribed in Part 100 of this Title, and shall provide evidence that the commitment and vision are reflected in the curriculum and its delivery.

(2) Philosophy, purposes, and objectives. The institution shall demonstrate how the philosophy, purposes and objectives found in the written statement of philosophy, purposes and objectives of the program, as required by section 52.21(b)(2)(i)(a) of this Title, guide and characterize the program's structure, content, delivery by the faculty, and outcomes.

(3) Standards for program registration. The program shall meet the standards prescribed in Parts 52, 53, and 54 of this Title. The program shall provide adequate evidence of the successful implementation of the standards for program registration in Part 52 of this Title, including but not limited to the standards for curriculum, field experiences, student teaching, faculty, administration, resources, and collaboration with local schools to improve teaching and learning in the institution and in the local schools.

(4) Teaching effectiveness of graduates. The program shall provide adequate evidence that it prepares effective teachers, as defined in section 4-2.1 of this Subpart, taking into consideration the school environments in which the program graduates teach.

(5) Assessment of candidate achievement. The institution shall demonstrate candidate achievement in its teacher education programs, including but not limited to direct assessment of candidates' learning requiring candidates to display their knowledge and skills; graduation rates; State teacher certification examination results; and job placement rates.

(b) Related standards.

(1) Financial resources. The institution shall provide the financial resources necessary for the consistent and successful achievement of the goals and objectives of each teacher education program which it offers.

(2) Support services. The institution shall assure that whenever and wherever the institution offers courses as part of a teacher education program, adequate student support services are provided for achieving the program's goals and objectives and for meeting the needs of its candidates related to program completion, including but not limited to: services for assessing applicants' skills and developing college-level skills of admitted students, tutoring and personal career counseling, and advising and program planning services.

(3) Advertising.

(i) Advertising conducted by or on behalf of the program shall not be false, misleading, deceptive, or fraudulent and shall be consistent with the provisions of article 22-A of the General Business Law.

(ii) The primary emphasis of all advertisements and promotional literature shall be the educational services connected with the program.

(iii) Statements and representations in all forms of advertising and promotion shall be clear, current, and accurate. To the extent that statements of facts are made, such statements shall be restricted to facts that can be substantiated. Materials to support statements and representations in advertising and promotion shall be kept on file and shall be available for review by the department.

(iv) Any endorsement or recommendation used in a public advertisement shall include the author's identity and qualifications and shall be used only with the author's consent. No remuneration of any kind shall be paid for such endorsement or recommendation.

(v) References to the New York State Board of Regents in any advertisement or promotional literature shall comply with the requirements of section 13.11 of this Title and paragraph (5) of this subdivision.

(4) Candidate complaints.

(i) The institution offering the program shall establish, publish, and consistently administer internal procedures to receive, investigate, and resolve candidate complaints related to the standards prescribed in this Subpart.

(ii) The institution may have informal means by which candidates can seek redress of their complaints.

(iii) The institution shall have a formal complaint procedure for candidates in the program that shall include, but need not be limited to: steps a candidate may take to file a formal complaint; reasonable and appropriate time frames for investigating and resolving a formal complaint; provision for the final determination of each formal complaint to be made by a person or persons not directly involved in the alleged problem; and assurances that no action will be taken against the candidate for filing the complaint.

(iv) The institution shall maintain adequate documentation about each formal complaint related to the program and the disposition of such complaint for a period of at least six years after final disposition of the complaint. Assessment of the disposition and outcomes of complaints shall be a component of the self-study report provided prior to each accreditation visit and shall be a consideration in any review for accreditation or renewal of accreditation.

(5) Public disclosure of accreditation status. An institution that elects to disclose the accreditation status of its teacher education programs shall disclose such status accurately and include in its disclosure the specific teacher education programs covered by that status and identify the New York State Board of Regents as its accrediting agency for teacher education programs. Such information shall include the address and telephone number of the department. The disclosure shall be consistent with the requirements of section 13.11 of this Title.

(6) Annual reports. The institution shall annually submit to the department:

- (i) timely and accurate statistical information as prescribed by the commissioner;
- (ii) additional specified reports, including data related to candidate achievement as required by paragraph (a)(5) of this section;
- (iii) record of candidate complaints and their outcomes; and
- (iv) other information pertaining to programs' compliance with the standards prescribed in this Subpart, as determined by the department.