



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

**TO:** P-12 Education Committee

**FROM:** Cosimo Tangorra, Jr. *Cosimo Tangorra Jr.*

**SUBJECT:** Proposed Consultation with Stakeholders Regarding the Addition of Section 100.19 to the Regulations of the Commissioner Relating to School Receivership

**DATE:** May 15, 2015

**AUTHORIZATION(S):** *Elizabeth R. Berlin*

**SUMMARY**

**Issue for Discussion**

Should Department staff consult with stakeholders regarding the Department's recommendation that the Board of Regents amend Commissioner's Regulations to include a new Section 100.19 pertaining to school receivership in order to implement Section 211-f of Education Law as added by Chapter 56 of the Laws of 2015 based on materials provided to the Board of Regents at the May 2015 meeting?

**Proposed Handling**

This item will come before the P-12 Education Committee at its May 2015 meeting.

**Background Information**

In April 2015, Subpart E of Part EE of Chapter 56 of the Laws of 2015 created a new section of State Education Law pertaining to school receivership. Section 211-f designates current Priority Schools that have been in the most severe accountability status since the 2006-07 school year as "Persistently Failing Schools" and vests the superintendent of the district with the powers of an independent receiver. The superintendent is given an initial one-year period to use the enhanced authority of a receiver to make demonstrable improvement in student performance at the "Persistently Failing School" or the Commissioner will direct that the school board appoint an independent receiver and submit the appointment for approval by the Commissioner. Additionally, the school will be eligible for a portion of \$75 million in state aid to support and implement its turnaround efforts over a two year period. Failing Schools, schools that have been Priority Schools since the 2012-13 school year, will be given two years

under a “superintendent receiver” (.i.e., the superintendent of schools of the school district vested with the powers a receiver would have under section 211-f) to improve student performance. Should the school fail to make demonstrable progress in two years then the district will be required to appoint an independent receiver and submit the appointment for approval by the Commissioner. Independent Receivers are appointed for up to three school years and serve under contract with the Commissioner.

Section 211-f of Education Law provides persons or entities vested with the powers of a receiver new authority to, among other things, develop a school intervention plan; convert schools to community schools providing wrap-around services; reallocate funds in the school’s budget; expand the school day or school year; establish professional development plans; order the conversion of the school to a charter school consistent with applicable state laws; remove staff and/or require staff to reapply for their jobs in collaboration with a staffing committee; and negotiate collective bargaining agreements, with any unresolved issues submitted to the Commissioner for decision.

At the end of the respective one- or two-year period in which a school designated as Persistently Failing or as Failing remains under district control, and annually thereafter, the Commissioner must determine whether the school should be removed from such designation; allowed to continue to be operated by the school district with the superintendent receiver; or be placed under an independent receiver who shall be appointed by the school board and shall have sole responsibility to manage and operate the school. Schools operating under an independent receiver must also be annually evaluated by the Commissioner to determine whether the school intervention plan should be continued or modified. At the end of the independent receivership period, the Commissioner must decide whether to end the receivership, continue it, or appoint a new receiver. Additionally, the Commissioner may order the closure of a failing school and the Board of Regents may revoke the registration of a school.

## **Overview of Draft Regulations**

The following is a summary of the recommended draft express terms for Section 100.19 for consideration by the Board of Regents. While the draft express terms closely parallel the statutory language, there are several areas where Department staff recommend provisions be incorporated to clarify the statutory provisions and help districts operationalize the requirements in Education Law §211-f.

- **§100.19(a): Definitions**

Provides the definitions used in the section, including the definitions of Failing School, Persistently Failing School, Priority School, School District in Good Standing, School District Superintendent Receiver, Independent Receiver, School District, Community School, Board of Education, Department-approved Intervention Model, School Intervention Plan, School Receiver, Diagnostic Tool for School and District Effectiveness, as well as “consultation and cooperation.”

- **§100.19(b): Designation of Schools as Failing and Persistently Failing**

Explains the process by which the Commissioner shall designate schools as failing or persistently failing using the status of schools as of July 1, 2015 and clarifies that school districts will have the opportunity to present data and relevant information concerning extenuating or extraordinary circumstances faced by the school that should cause it not to be identified as a Failing or a Persistently Failing School.

- §100.19(c): Public Notice and Hearing and Community Engagement

Details the process and timeline for notifying parents and the community regarding the Failing or Persistently Failing designation, the establishment of a Community Engagement Team, and the role of the Community Engagement Team in the development of recommendations for the identified school. The regulations would require an annual hearing regarding the status of the school and annual notification to parents of the school's designation and its implications. The regulations also detail the process by which the hearing shall be conducted and notifications made. Additionally, the subdivision specifies that the district superintendent receiver is required to develop a community engagement plan for approval by the Commissioner.

- §100.19(d) School District Receivership

This subdivision specifies that the superintendent shall be vested with the powers of the receiver for Persistently Failing Schools for the 2015-16 school year and with the powers of the receiver for Failing Schools for the 2015-16 and 2016-17 school years, provided that there is a Department approved intervention model or comprehensive education plan in place for these school years that includes rigorous performance metrics. At the end of the 2015-16 school year, the Commissioner will review (in consultation and collaboration with the district) the performance of the Persistently Failing School to determine whether the school can continue under the superintendent receivership or whether the district must appoint an independent receiver for the school. Similarly, the Department will review the performance of Failing Schools after two years to determine whether the schools can continue under the superintendent receivership or whether the district must appoint an independent receiver for the school.

- §100.19(e) Appointment of an Independent Receiver

This subdivision details the timeline and process for appointment of an independent receiver for Persistently Failing and Failing Schools and the process by which the Commissioner approves and contracts with the independent receiver. The section also details the power of the Commissioner to appoint an independent receiver if the district fails within sixty days to appoint an independent receiver that meets the Commissioner's approval. The subdivision clarifies that districts may appoint independent receivers from a department approved list or provide evidence of qualifications of a receiver not on the approved list. Additionally, the subdivision specifies what happens when the Commissioner must appoint an interim receiver.

- §100.19(f) School Intervention Plan

This subdivision describes the timeline and process by which the independent receiver will submit to the Commissioner for approval a school intervention plan and the specific components of that plan, including the metrics that will be used to evaluate plan implementation. Each approved school intervention plan must be submitted within six months of the independent receiver's appointment and this approval is authorized for a period of no more than three years. Each approved school intervention plan must be based on input from stakeholders delineated in the subdivision and a stakeholder engagement plan must be provided to the Commissioner within ten days of the independent receiver entering into a contract with the Commissioner. The school intervention plan must also be based upon recent diagnostic reviews and student achievement data. The independent receiver must provide quarterly reports regarding the progress of implementing the school intervention plan to the local board of education, the Board of Regents, and the Commissioner. In order to provide additional direction to school districts, the regulations further delineate that in converting a school to a community school, the receiver must follow a particular process and meet minimum program requirements. The subdivision further clarifies that if the independent receiver cannot create an approvable plan, the Commissioner may appoint a new independent receiver.

- §100.19(g) Powers and Duties of a Receiver

This subdivision delineates the powers and duties that an independent receiver has in developing and implementing a school intervention plan. The independent receiver is required to convert the school to a community school and to submit an approvable school intervention plan to the Commissioner. The receiver (both the superintendent receiver and the independent receiver) have powers that may be exercised in the areas of school program and curriculum development; staffing, including replacement of teachers and administrators; school budget; expansion of the school day or year; professional development for staff; conversion of the school to a charter school; and requesting changes to the collective bargaining agreement at the identified school in areas that impact implementation of the school intervention plan. This section also describes the power of the receiver (both the superintendent and the independent receiver) to supersede decisions, policies, or local school district regulations that the receiver, in his/her sole judgment, believes impedes implementation of the school intervention plan.

Under the provisions of this subdivision, the receiver must notify the board of education, superintendent, and principal when the receiver is superseding their authority. The receiver must provide a reason for the supersession and an opportunity for the supersession to be appealed, all within a timeline prescribed in the regulations. This subdivision also delineates a similar process by which the receiver reviews and makes changes to the school budget and supersedes employment decisions regarding staff employed in schools operating under receivership.

- §100.19(h) Annual Evaluation of Schools with an Appointed Independent Receiver-

This subdivision describes how the Commissioner, in collaboration and consultation with the district, will conduct an annual evaluation of each school to determine whether the school is meeting the performance goals and progressing in implementation of the school intervention plan. As a result of this evaluation, the Commissioner may allow the receiver to continue with the approved plan or require the receiver to modify the school intervention plan.

- §100.19(i) Expiration of School Intervention Plan

This subdivision describes the process by which the Commissioner evaluates the progress of the school under the receiver's school intervention plan after a three year period. Based on the results of the evaluation, the Commissioner may renew the plan with the independent receiver for not more than three years; terminate the independent receiver and appoint a new receiver; or determine that the school has improved sufficiently to be removed from Failing or Persistently Failing status.

- §100.19(j) Phase-out and Closure of Failing and Persistently Failing School

This subdivision states that nothing in these regulations shall prohibit the Commissioner from directing a school district to phase out or close a school, the Board of Regents from revoking the registration of a school, or a district from closing or phasing out a school with the approval of the Commissioner.

### Recommendation

Department staff recommends that the Board of Regents direct the Department to consult with stakeholders regarding the new draft regulations in order to solicit their feedback and recommendations prior to Department staff submitting proposed emergency regulations to the Board of Regents at its June meeting for consideration for adoption. With the concurrence of the Board of Regents, staff will solicit comments and recommendations from among groups that include a team from each of the 17 school districts with one or more eligible Priority Schools; district superintendents; statewide representatives of parents, teachers, principals, superintendents, and school boards; Educational Partnership Organizations; representatives of state agencies that provide health, mental health, child welfare, and job services; representatives of organizations involved in and concerned with the education of English language learners, students with disabilities and students in temporary housing; and technical experts in school receivership, expanded learning and community school models.

### Timetable for Implementation

With the approval of the Board of Regents, staff will engage in stakeholder consultation as described in this item, and submit to the Board of Regents at its June 2015 meeting a draft of Section 100.19 of the Commissioner's Regulations for

consideration as an emergency rule. Staff may at that time also recommend changes to Section 100.18 of Commissioner's Regulations to align the Schools Under Registration Review process to the School Receivership process. If adopted at the June Regents meeting, the emergency rule will become effective July 1, 2015 and will remain in effect for 90 days. It is anticipated that the proposed amendment will be presented for adoption as a permanent rule at the September 2015 Regents meeting, after publication of a Notice of Emergency Rule Making and Proposed Rule Making in the State Register and expiration of the 45-day public comment period prescribed in the State Administrative Procedure Act.

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## AMENDMENT OF THE REGULATIONS OF THE COMMISSIONER OF EDUCATION

Pursuant to Education Law sections 207, 305, and 211-f as added by Chapter 56 of the Laws of 2015

1. Section 100.19 of the Regulations of the Commissioner of Education is added, effective July 1, 2015, as follows:

### §100.19 Takeover and restructuring of failing and persistently failing schools.

#### (a) Definitions. As used in this section:

(1) Failing school shall mean a school that has been identified as a priority school for at least three consecutive school years, or as a priority school in each applicable year of the three consecutive school year period comprising 2012-2013, 2013-2014 and 2014-2015 except one school year in which the school was not identified because of an approved closure plan that was not implemented. Such term shall not include schools within a special act school district as defined in Education Law section 4001(8), charter schools established pursuant to Article 56 of the Education Law, schools that were removed from Priority School designation during the 2014-2015 school year, schools that ceased operation at the end of the 2014-2015 school year, or schools that the commissioner has determined pursuant to subdivision (b) of this section to have extenuating or extraordinary circumstances that should cause the school to not be identified as failing.

(2) Persistently failing school shall mean a school that has been identified as a priority school for each applicable year from the 2012-2013 school year to the 2014-2015 school year, or for each applicable year from the 2012-2013 school year to the 2014-2015 school year except one school year in which the school was not identified because of an approved closure plan that was not implemented, and schools identified

a School Requiring Academic Progress Year 5, School Requiring Academic Progress Year 6, School Requiring Academic Progress Year 7 and/or a School in Restructuring for each applicable year from the 2006-2007 school year to the 2011-2012 school year. Such term shall not include schools within a special act school district as defined in Education Law section 4001(8), charter schools established pursuant to Article 56 of the Education Law, schools that were removed from Priority School designation during the 2014-2015 school year, schools that ceased operation at the end of the 2014-2015 school year or schools that the commissioner has determined pursuant to subdivision (b) of this section to have extenuating or extraordinary circumstances that should cause the school to not be identified as persistently failing.

(3) Priority school shall mean a school identified as a priority school pursuant to section 100.18(g) of this Part.

(4) School district in good standing shall mean a school district that has not been identified pursuant to section 100.18(g) this Part as a focus district.

(5) School district superintendent receiver shall mean a superintendent of schools of a school district with one or more schools designated as failing or persistently failing pursuant to Education Law section 211-f(1)(a) or (b) who, in accordance with Education Law section 211-f(1)(c) or (d), is vested with all the powers granted to an independent receiver appointed pursuant to Education Law section 211-f; provided that, in the case of a failing school or persistently failing school in which, pursuant to Education Law section 211-e, an educational partnership organization has assumed the powers and duties of the superintendent of schools for purposes of implementing the educational program of the school, such term shall mean the educational partnership organization, which shall be vested with all the powers of an independent receiver and



further provided that the educational partnership organization may not override any decision of the board of education with respect to the contract of the educational partnership organization.

(6) Independent receiver shall mean a non-profit entity or an individual with a proven track record of improving school performance or another school district in good standing appointed by a school district and approved by the commissioner to manage and operate all aspects of a school that the commissioner has determined shall be placed into receivership pursuant to Education Law section 211-f and this section and to develop and implement a school intervention plan for such school pursuant to subdivision (f) of this section, provided that, in the case of an independent receiver who is an individual, such individual shall not be an existing officer or employee of the school district at the time of such appointment.

(7) School district shall mean a common, union free, central, central high school or city school district. The definition of school district shall not include a special act school district as defined in Education Law section 4001(8).

(8) Community school shall mean a school that partners with one or more state, local or other agencies to:

(i) address social service, health and mental health needs of students in the school and their families in order to help students arrive and remain at school ready to learn;

(ii) provide access to child welfare services and, as appropriate, services in the school community to promote a safe and secure learning environment;

(iii) offer access to career and technical education and workforce development services to students in the school and their families in order to provide students and families with meaningful employment skills and opportunities; and

(iv) offer mentoring and other youth development programs.

(9) Superintendent shall mean the superintendent of schools or other chief school officer of a school district, and for the purpose of receivership in the city school district of the City of New York, superintendent shall mean the chancellor or his/her designee.

(10) Board of education shall mean the trustees or board of education of a school district; provided that in the case of the city school district of the City of New York, such term shall also mean the chancellor of the city school district or his/her designee acting in lieu of the board of education of such city school district to the extent authorized by article 52-A of the Education Law. and, with respect to community school districts and New York City superintendencies, such term shall mean the chancellor or his/her designee.

(11) Department shall mean the New York State Education Department.

(12) Department-approved intervention model or comprehensive education plan shall mean a comprehensive education plan pursuant to section 100.18(h)(2)(ii) of this Part, a plan for a School Under Registration Review pursuant to section 100.18(l)(3) of this Part, or a school phase out or closure plan pursuant to section 100.18(m)(5) of this Part.

(13) School intervention plan shall mean a plan created by an independent school receiver and approved by the commissioner pursuant to Education Law section 211-f(3)-(7) and subdivision (f) of this section.

(14) School receiver shall mean a school district superintendent serving as a receiver and an independent receiver serving as a receiver pursuant to this section.

(15) Diagnostic Tool for School and District Effectiveness shall mean a rubric used in accordance with a process prescribed by the commissioner by which a determination is made regarding the degree to which the optimum conditions for learning have been established in a school based upon factors such as school leadership and capacity, school leader practices and decisions, curriculum development and support, teacher practices and decisions, student social and emotional developmental health, and family and community engagement.

(16) “Consultation and cooperation” and “consultation and collaboration” shall mean a process by which the commissioner or his or her designee seeks input and feedback through written correspondence and/or meetings (e.g., in-person meetings, site visits, telephone conferences, video conferences).

(b) Designation of schools as failing or persistently failing:

(1) On or about July 1, 2015 and, for each school year thereafter on a date prescribed by the commissioner, the commissioner shall preliminarily identify schools as failing in accordance with paragraph (a)(1) of the this section.

(2) On or about July 1, 2015 and, for each year thereafter on a date prescribed by the commissioner, the commissioner shall preliminarily identify schools as persistently failing in accordance with paragraph (a)(2) of this section.

(3) For each school preliminarily identified as failing or persistently failing pursuant to paragraphs (1) or (2) of this subdivision, the school district shall be given the opportunity to present to the commissioner additional data and relevant information

concerning extenuating or extraordinary circumstances faced by the school that should be cause for the commissioner to not identify the school as failing or persistently failing.

(4) The commissioner shall review any such additional information provided by the school district and determine which of the schools shall be identified as failing or persistently failing.

(c) Public Notice and Hearing and Community Engagement

(1) Upon the commissioner's designation of a school as failing or persistently failing pursuant to subdivision (b) of this section, the board of education of the school district or its designee shall:

(i) provide written notice to parents of, or persons in parental relation to, students attending a failing or a persistently failing school that the school has been so designated and may be placed into receivership. Such notice shall be provided in English and translated, when appropriate, into the recipient's native language or mode of communication, and shall be provided as soon as practicable, but in no case later than 30 calendar days following such designation. In addition, the board of education or its designee shall also provide such written notification to the parents of, or persons in parental relation to, students who enroll or seek to enroll in the school at the time they enroll or seek to enroll in the school;

(ii) by June 30 of each school year that a school remains identified as failing or persistently failing pursuant to subdivision (b) of this section, provide written notification to parents of, or persons in parental relation to, students attending the school that the school remains identified as failing or persistently failing and may be placed into receivership. Such notice shall be provided in English and translated, when appropriate, into the recipient's native language or mode of communication. In addition,

the board of education or its designee shall also provide such written notification to the parents of, or persons in parental relation to, students who enroll or seek to enroll in the school at the time they enroll or seek to enroll in the school during each school year that a school remains identified as failing or persistently failing; and

(iii) conduct at least one public meeting or hearing annually for purposes of discussing the performance of the designated school and the construct of receivership. Such initial meeting or hearing shall be held as soon as practicable, but in no case later than 30 calendar days following such designation. Subsequent annual hearings shall be held within 30 calendar days of the first day of student attendance each school year that the school remains identified as failing or persistently failing. With respect to each such meeting or hearing, the school district shall:

(a) provide written notice at least 10 calendar days prior to such public meeting or hearing of the time and place of such public meeting or hearing to parents of, or persons in parental relation to, students attending the school that may be placed into receivership. The district shall provide translators at the public meeting, as well as translations of the written notice into languages most commonly spoken in the school district and when appropriate, into the recipient's native language or mode of communication; and

(b) provide reasonable notice to the public of such public meeting or hearing by:

(1) posting the notice on a school district website, posting the notice in schools and school district offices in conspicuous locations, publishing the notice in local newspapers or other local publications, and/or including the notice in school district mailings and distributions. A school district shall also provide translations of the notice

into the languages other than English that are most commonly spoken in the school district; and

(2) providing public notice of the time and place of a public meeting or hearing scheduled at least one week prior thereto and giving such notice to the news media and conspicuously posting in one or more designated public locations at least 72 hours before such hearing.

(2) The school district shall establish a community engagement team as soon as practicable but in no case later than 15 business days following designation of a school as failing or persistently failing, in accordance with the following:

(i) the community engagement team shall be comprised of community stakeholders with direct ties to the school including, but not limited to, the school principal, parents of or persons in parental relation to students attending the school, teachers and other school staff assigned to the school, and students attending the school, provided that membership of such team may be modified at any time, and further provided that, in the case of a designated school serving students up to and including grade six, the community engagement team shall not include students;

(ii) the community engagement team shall develop recommendations for improvement of the school and shall solicit input through public engagement, which may include but shall not be limited to public hearings or meetings and surveys; and

(iii) the community engagement team shall present its recommendations periodically, but at least twice annually, to the school leadership and, as applicable, the independent receiver. These recommendations and the efforts made to incorporate them must be included in the department- approved intervention model or comprehensive education plan.

(3) The superintendent shall develop a community engagement plan in such form and format and according to such timeline as may be prescribed by the commissioner. The superintendent shall submit such community engagement plan to the commissioner for approval, and once approved, the community engagement plan shall be incorporated into the department-approved intervention model or comprehensive education plan submitted in accordance with subdivision (d) of this section. The plan shall include, but not be limited to, descriptions of the following:

(i) the process by which stakeholders were consulted in the development of the community engagement plan;

(ii) the way in which members of the community engagement team are selected;

(iii) the manner and extent of the expected involvement of all parties;

(iv) the means by which the engagement team shall conduct meetings and formulate recommendations;

(v) the means by which the community engagement team shall solicit public input;

(vi) the means by which the public engagement team shall make public its recommendations; and

(vii) the manner in which the community engagement team shall coordinate its work with any school based management/shared decision making team or school building leadership team that is operating in the school.

(d) School District Receivership.

(1) Commencing with the 2015-2016 school year, the school district shall continue to operate a school that has been identified as persistently failing pursuant to subdivision (b) of this section for an additional school year and a school that has been

identified as failing pursuant to subdivision (b) of this section for an additional two years, provided that there is a department-approved intervention model or comprehensive education plan in place that includes rigorous performance metrics and goals, including but not limited to measures of student academic achievement and outcomes including those set forth in subdivision (f) of this section, and a community engagement plan pursuant to subparagraph (c)(3) of this section.

(2) Upon the department's approval of a model or plan, the superintendent shall be vested with all the powers granted to an independent receiver pursuant to subdivision (g) of this section for a period of one school year for a persistently failing school and for a period of two school years for a failing school, provided that the superintendent shall not be allowed to supersede any decision of the board of education with respect to his or her employment status.

(3) At the end of one school year for a persistently failing school and at the end of two school years for a failing school, and annually for a school which the commissioner has determined, pursuant to subparagraph (ii) of paragraph (4) of this subdivision, to have made demonstrable progress and shall continue under district operation with the superintendent vested with the powers of a receiver, the department shall conduct a performance review of such school in consultation and collaboration with the district and school staff to determine whether:

(i) the designation of persistently failing or failing shall be removed;

(ii) the school shall remain under continued school district operation with the superintendent vested with the powers of a receiver pursuant to Education Law section 211-f and subdivision (g) of this section; or

(iii) the school shall be placed under independent receivership.



(4) With respect to a performance review conducted in accordance with paragraph (3) of this subdivision:

(i) the commissioner shall remove the designation of persistently failing or failing from any school that has met the criteria for removal from priority school status pursuant to section 100.18(i)(1) of this Part; and

(ii) the commissioner shall continue a school under district operation with the superintendent vested with the powers of a receiver if a school has made demonstrable improvement as determined by the commissioner in consultation and collaboration with the school district based on performance metrics and goals described in paragraph (f)(6) of this section and shall continue to be subject to annual review by the department as provided in paragraph (3) of this subdivision.

(5) In the event that the department revokes the provisional approval or approval of an intervention model or comprehensive education plan, the commissioner shall require the school district to appoint and submit for the commissioner's approval no later than 45 calendar days from the revocation of the provisional approval or approval an independent receiver to manage and operate the school in accordance with subdivision (e) of this section.

(6) Schools newly designated as failing after the 2016-2017 school year and thereafter shall, upon such designation, be immediately eligible for the appointment of an independent receiver pursuant to Education Law section 211-f(2) and subdivision (e) of this section.

(7) Nothing in this section shall limit a school district's ability to modify, subject to approval by the department, its department-approved intervention model or comprehensive education plan or the commissioner's ability to require a school district

to modify such department-approved intervention model or comprehensive education plan and require his or her approval of such modifications.

(e) Appointment of an independent receiver.

(1) Within 60 days of the commissioner's determination to place a school into receivership pursuant to subdivision (d) of this section, the school district shall appoint an independent receiver and submit the appointment in such form and format as the commissioner may prescribe to the commissioner for approval.

(2) The school district may appoint an independent receiver from among the department's list of independent receivers approved pursuant to a request for qualifications issued by the department. The school district may also appoint an independent receiver not on the department's approved list provided that such district submits evidence of the qualifications of the prospective receiver to the commissioner for approval within 40 days of the commissioner's determination to place a school into receivership.

(3) If the school district fails to appoint an independent receiver that meets the commissioner's approval within 60 days of such determination, the commissioner shall appoint the independent receiver. In the event that, subsequent to the appointment of an independent receiver, such appointment is vacated or otherwise terminated, the commissioner shall, as soon as practicable but no later than 15 business days after such vacancy or termination, appoint an interim independent receiver until such time as an independent receiver is appointed pursuant to the provision of this subdivision. During any such interim appointment, an interim independent receiver shall meet all the requirements and have all the powers of an independent receiver in accordance with Education Law section 211-f and subdivision (g) of this section, except that the interim

receiver may not make material changes, which may include but not be limited to changes to the plan's scope of work, budget and/or timelines, to the approved school intervention plan without the prior approval of the commissioner.

(4) All appointments of an independent receiver or an interim independent receiver, as applicable, shall be made in accordance with the following:

(i) the commissioner shall contract with the independent receiver and the compensation and reasonable and necessary costs of such receiver shall be paid pursuant to Education Law section 211-f;

(ii) the independent receiver and any of its employees providing services in the receivership shall be entitled to defense and indemnification by the school district to the same extent as a school district employee;

(iii) the school district and board of education shall fully cooperate with the independent receiver and willful failure to cooperate with or interference with the functions of the independent receiver shall constitute willful neglect of duty for purposes of Education Law section 306;

(iv) the receiver or the receiver's designee shall be an ex officio non-voting member of the board of education entitled to attend all meetings of the board of education; and

(v) the powers of the independent receiver, and any restrictions or limitations thereof, shall be those authorized by Education Law section 211-f and subdivision (g) of this section, which include but are not limited to the development and implementation of the school intervention plan for the designated school.

(f) School Intervention Plan. Within six months of appointment, the independent receiver shall issue a final school intervention plan, approved by the commissioner, in accordance with Education Law section 211-f and the provisions of this section.

(1) Local stakeholder consultation plan.

(i) Before developing the school intervention plan pursuant to paragraph (3) of this subdivision, but in no case later than ten business days after the effective date of a contract to serve as a receiver, the independent receiver shall submit to the commissioner for approval a local stakeholder consultation plan in a form and format as may be prescribed by the commissioner. Such plan shall include, but not be limited to a description of the following:

(a) the process by which stakeholders will be consulted in the development of the school intervention plan;

(b) The manner in which persons will be selected to engage in consultation; and

(c) The manner and extent of the expected involvement of all parties.

(ii) Upon submission of the stakeholder consultation plan, the department shall approve the plan or return it to the receiver for revision and resubmission.

(2) In developing the school intervention plan, the receiver shall consult with local stakeholders, including but not limited to:

(i) the board of education;

(ii) the superintendent of schools;

(iii) the school principal;

(iv) teachers assigned to the school and their collective bargaining representative;

(v) school administrators assigned to the school and their collective bargaining representative;

(vi) parents of, or persons in parental relation to, students attending the school;

(vii) representatives of applicable state and local social service, health and mental health agencies;

(viii) as appropriate, representatives of local career education providers, state and local workforce development agencies and the local business community;

(ix) for elementary schools, representatives of local prekindergarten programs;

(x) students attending the school as appropriate; provided that in the case of a designated school serving students up to and including grade six, such local stakeholder consultation shall not include students;

(xi) as needed for middle schools, junior high schools, central schools or high schools, representatives of local higher education institutions; and

(xii) the community engagement team established pursuant to subdivision (c) of this section; provided that with respect to consultation with students attending the school as appropriate, in the case of a designated school serving students up to and including grade six, the community engagement team shall not include students.

(3) In creating the school intervention plan, the receiver shall:

(i) consider the recommendations developed by the community engagement team;

(ii) include provisions intended to maximize the rapid academic achievement of students at the school; and

(iii) ensure that the plan addresses the tenets of the Diagnostic Tool For School and District Effectiveness.

(4) The receiver shall, to the extent practicable, base the school intervention plan on the findings of any recent diagnostic review or assessment of the school that has been conducted and, as applied to the school, student outcome data including but not limited to:

(i) student achievement growth data based on state measures;

(ii) other measures of student achievement;

(iii) student promotion and graduation rates;

(iv) achievement and growth data for the subgroups of students used in the state's accountability system;

(v) student attendance; and

(vi) long-term and short-term suspension rates.

(5) The receiver shall create the school intervention plan in accordance with the requirements of Education Law section 211-f(4) and in creating the school intervention plan shall ensure that the plan includes:

(i) strategies to address the tenets of the Diagnostic Tool for School and District Effectiveness;

(ii) strategies to address social service, health and mental health needs of students in the school and their families in order to help students arrive and remain at school ready to learn; provided that this may include mental health and substance abuse screening;

(iii) strategies to improve or expand access to child welfare services and, as appropriate, services in the school community to promote a safe and secure learning environment;

(iv) as applicable, strategies to provide greater access to career and technical education and workforce development services provided to students in the school and their families in order to provide students and families with meaningful employment skills and opportunities;

(v) strategies to address achievement gaps for English language learners, students with disabilities and economically disadvantaged students, as applicable;

(vi) strategies to address school climate and positive behavior support, including mentoring and other youth development programs; and

(vii) a budget for the school intervention plan.

(6) The school intervention plan shall include measurable annual goals established through such methodology as may be prescribed by the commissioner on metrics that shall be defined by the commissioner and shall include, but not be limited to, the following:

(i) student attendance;

(ii) student discipline including but not limited to short-term and long-term suspension rates;

(iii) student safety;

(iv) student promotion and graduation and drop-out rates;

(v) student achievement and growth on state measures;

(vi) progress in areas of academic underperformance;

(vii) progress among the subgroups of students used in the state's accountability system;

(viii) reduction of achievement gaps among specific groups of students;

(ix) development of college and career readiness, including at the elementary and middle school levels;

(x) parent and family engagement;

(xi) building a culture of academic success among students;

(xii) building a culture of student support and success among faculty and staff;

(xiii) using developmentally appropriate child assessments from pre-kindergarten through third grade, if applicable, that are tailored to the needs of the school; and

(xiv) measures of student learning.

(7) In creating and implementing the school intervention plan, the independent receiver shall, after consulting with stakeholders and the community engagement team pursuant to paragraph (c)(2) of this section, convert schools to community schools to provide expanded health, mental health and other services to students and their families. In order for the independent receiver to convert the school to a community school, the independent receiver shall implement the following process and meet the following minimum requirements:

(i) partner with families and relevant community agencies to integrate these partners into the community engagement team;

(ii) designate a full-time person who reports to the school receiver and whose sole job responsibility is to manage the development of the community school framework for that school and subsequently ensure the maintenance and sustainability of the community school;

(iii) conduct a comprehensive school and community needs assessment in such form and format and according to such timeline as may be prescribed by the commissioner;



(iv) complete a thorough analysis of the needs assessment results;

(v) incorporate into the school intervention plan short-term strategies to improve student learning while establishing the community school. Short term strategies that may be implemented prior to completion of the needs assessment include, but are not limited to:

(a) reviewing attendance data for a reduction in chronic absenteeism; and

(b) instituting school climate surveys to students, school personnel and families;

(vi) incorporate into the school intervention plan a three-year strategy for meeting the requirements of a community school pursuant to this paragraph that includes annual goals and measurable benchmarks and is informed by the analysis of the needs assessment pursuant to subparagraph (iv) of this paragraph;

(vii) ensure that the independent receiver at a minimum:

(a) conducts frequent reviews of community school program implementation data; and

(b) conducts regular reviews of community school program impact data (e.g., measures of climate, student academic progress, student social and emotional health, discipline referrals, individual attendance); and

(c) revises strategies, annual goals and/or benchmarks as necessary based on the reviews conducted pursuant to subparagraph (vii) of this paragraph;

(viii) continue to use the same criteria and processes to enroll students in the school and only make alterations to such criteria and processes with the prior written approval of the commissioner.

(8) the independent receiver shall submit a final school intervention plan, in such form and format as may be prescribed by the commissioner, to the commissioner for

approval no later than five months after the independent receiver's appointment. Upon the commissioner's approval, and within six months of the independent receiver's appointment, the plan shall be issued by the independent receiver in accordance with Education Law section 211-f and the provisions of this section. If the independent receiver is unable to create an approvable plan as required by this section, the commissioner may appoint a new independent receiver or direct the school district to develop a plan in such form or format and according to such timeline as the commissioner may prescribe to phase out or close the school pursuant to section 100.18(l) of this Part and to implement the plan once approved by the Commissioner.

(9) Each approved school intervention plan shall be authorized for a period of not more than three school years, provided that the independent receiver may develop additional components of the plan and shall develop annual goals for each component of the plan in accordance with this section and Education Law section 211-f, all of which must be approved by the commissioner.

(10) In accordance with Education Law section 211-f(10), the independent receiver is responsible for meeting the goals set forth in the approved school intervention plan; in accordance with Education Law section 211-f(2)(c), the receiver's contract may be terminated by the commissioner for violation of the law or the commissioner's regulations, including but not limited to Education Law section 211-f and the provisions of this section, or for neglect of duty.

(11) The independent receiver shall ensure that, no later than 5 business days after the commissioner's approval of the school intervention plan:

(i) such plan is made publicly available in the school district's offices and is posted on the school district's website, if one exists;

(ii) the school district provides written notice to parents of, or persons in parental relation to, students attending the school, in the manner set forth in subdivision (b) of this section, that the approved school intervention plan is publicly available in the school district's offices and is posted on the school district's website, if one exists; and

(iii) copies of such plan are provided to the board of education, the superintendent and the collective bargaining representatives of the school district's teacher and administrators.

(12) During each year of the independent receiver's term of appointment, the independent receiver shall provide a quarterly written report to the board of education, the commissioner and the board of regents no later than October 30, January 31, April 30, and July 31 of each year; provided that the July 31 report shall be the annual evaluation of the school intervention plan as provided in subdivision (b) of this section, and further provided that the independent receiver shall not be required to provide a quarterly report if the date for provision of such quarterly report is less than 45 calendar days from the date on which the commissioner approved the receiver's appointment and entered into a contract with the receiver. Quarterly reports shall be in such form and format and shall at a minimum contain such specific information about the progress being made in the implementation of the school intervention plan as may be prescribed by the commissioner.

(g) Powers and duties of a receiver.

(1) A school receiver, as defined in paragraph (14) of subdivision (a) of this section, shall have all of the powers and duties and any restrictions or limitations thereof specified in Education Law section 211-f and shall have the authority to manage and operate the school.

(2) An independent receiver shall be required, pursuant to subdivision (f) of this section, to develop and implement a school intervention plan and to convert schools to community schools to provide expanded health, mental health and other services to the students and their families.

(3) In order to implement a school intervention plan or a department-approved intervention model or comprehensive education plan, as applicable, a school receiver may:

(i) review and if necessary expand, alter or replace the curriculum and program offerings of the school, including the implementation of research-based early literacy programs, early interventions for struggling readers and the teaching of advanced placement courses or other rigorous nationally or internationally recognized courses, if the school does not already have such programs or courses;

(ii) replace teachers and administrators, including school leadership who are not appropriately certified or licensed;

(iii) increase salaries of current or prospective teachers and administrators to attract and retain high-performing teachers and administrators;

(iv) establish steps to improve hiring, induction, teacher evaluation, professional development, teacher advancement, school culture and organizational structure;

(v) reallocate the uses of the existing budget of the school;

(vi) expand the school day or school year or both of the school;

(vii) for a school that offers first grade, add pre-kindergarten and full-day kindergarten classes, if the school does not already have such classes;

(viii) include a provision of a job-embedded professional development for teachers at the school, with an emphasis on strategies that involve teacher input and feedback;

(ix) establish a plan for professional development for administrators at the school, with an emphasis on strategies that develop leadership skills and use the principles of distributive leadership; and

(x) order the conversion of a school in receivership that has been designated as failing or persistently failing pursuant to this section into a charter school; provided that such conversion shall be subject to Article 56 of the Education Law and that such conversion charter school shall operate pursuant to such article, and shall operate consistent with a community schools model, and shall be subject to the provisions of subdivisions (3), (4), (5), (6), (9), (10), (11), (12) and (13) of Education Law section 211-f.

(4) In accordance with Education Law section 211-f(7)(b) and (c), a school receiver may abolish the positions of all members of the teaching and administrative and supervisory staff assigned to the failing or persistently failing school and terminate the employment of any principal assigned to such a school, and require such staff members to reapply for their positions in the school if they so choose.

(5) Receivership Agreement.

(i) In accordance with Education Law section 211-f(8), in order to maximize the rapid achievement of students at the applicable school, the receiver may request that the collective bargaining unit or units representing teachers and administrators and the school receiver, on behalf of the board of education, negotiate a receivership agreement that modifies the applicable collective bargaining agreement or agreements with respect

to any persistently failing or failing schools in receivership applicable during the period of receivership. The receivership agreement may address the following subjects:

(a) the length of the school day;

(b) the length of the school year;

(c) professional development for teachers and administrators;

(d) class size; and

(e) changes to the programs, assignments, and teaching conditions in the school in receivership.

(ii) The receivership agreement shall not provide for any reduction in compensation unless there shall also be a proportionate reduction in hours and the receivership agreement shall provide for a proportionate increase in compensation where the length of the school day or school year is extended. The receivership agreement shall not alter the remaining terms of the existing/underlying collective bargaining agreement, which shall remain in effect.

(iii) Upon the request of the independent receiver, the bargaining between independent receiver and the collective bargaining unit or units representing teachers and administrators shall be conducted pursuant to the bargaining process set forth in Education Law section 211-f(8)(b) and (c). In the event that any issues remain unresolved regarding the receivership agreement as a result of the bargaining process set forth in Education Law section 211-f(8)(b) and (c), the parties shall submit such issues to the commissioner in such form and format as the commissioner may prescribe in accordance with the timeline specified in subdivision 8 of Education Law 211-f.

(6) The school receiver shall have the power to supersede any decision, policy or regulation of the superintendent of schools or chief school officer, or of the board of

education or another school officer or the building principal that in the sole judgment of the receiver conflicts with the approved school intervention plan or the approved intervention model or comprehensive education plan, as applicable; provided however that the school receiver may not supersede decisions that are not directly linked to such approved plan or model, including but not limited to building usage plans, co-location decisions and transportation of students to the extent such building usage plans, co-location decisions and transportation of students impact other schools in the district; and further provided that the school district receiver may not override any decision of the board of education with respect to his or her employment status.

(7) School Receiver supersession of decisions, policies, or local school district regulation.

(i) In order for the school receiver to supersede a decision, policy or local school district regulation of the superintendent of schools or chief school officer, or of the board of education or another school officer, or the school principal, the school receiver shall notify in writing the board of education, superintendent of schools or chief school officer, and the principal not fewer than ten business days prior to the effective date of the supersession of the specific decision, policy or regulation that the receiver plans to supersede; the reasons for supersession; the specific decision, policy, or regulation that will replace the one that shall be superseded; and the time period during which the supersession shall remain in effect.

(ii) The school receiver shall give the notified parties at least five business days from the receipt of the notice of supersession to respond in writing to such notice and the school receiver shall consider any response received before implementing the supersession. At any time subsequent to the supersession of a decision, policy or

regulation, the superintendent or chief school officer, or the board of education may request in writing that the school receiver terminate the supersession. Within 15 business days of receipt of any such request, the school receiver shall respond in writing with the school receiver's decision and rationale.

(iii) Notwithstanding the provisions of subparagraph (ii), if the school receiver determines that a decision, policy, or regulation must be superseded pursuant to this section on an emergency basis in order to protect the health or welfare of the school's students or staff or to ensure that the school complies with the Education Law or commissioner's regulations, the school receiver may waive the required notification period but shall, within 24 hours or as soon as practicable thereafter, inform the board of education, the superintendent or chief state school officer, and the principal of the action taken and provide them with an opportunity to respond in accordance with the provisions of subparagraph (ii) of this subdivision.

(iv) The school receiver shall provide the commissioner with an electronic copy of all correspondence upon its issuance related to supersession pursuant to this subdivision.

#### (8) School Receiver Review of school budgets

(i) No later than 50 business days prior to the presentation to the district voters of a school budget, or by no later than March 1 in a city school district in a city having a population of at least one hundred twenty-five thousand inhabitants, the school board shall provide the school receiver with a copy of the proposed district budget that shall include a specific delineation of all funds and resources that the school receiver shall have available to manage and operate the school and the services and resources that the school district shall provide to the school.



(ii) No later than five business days after receiving the proposed budget, the school receiver shall inform the school board and superintendent or chief school officer of any modification to the proposed budget that the school board must make in order for the receiver to implement the approved school intervention plan or intervention model or comprehensive education plan. The school receiver shall identify the specific modifications that must be made and the rationale for the modifications. These modifications shall be limited in scope and effect to the school(s) designated as failing or persistently failing and/or under receivership and may not unduly impact other schools in the district.

(iii) Upon receipt of the school receiver's proposed budget modifications, the school board shall:

(a) incorporate the modifications into the proposed budget and present it to the public; or

(b) return the modifications within 5 business days to the school receiver for reconsideration with the reasons for reconsideration specified in writing.

(iv) Upon receipt of a request for reconsideration, the school receiver shall:

(a) withdraw the direction to modify the budget;

(b) revise the budget modification; or

(c) resubmit the original budget modification

(v) The school receiver shall notify the school board in writing of the decision within five business days of receipt of the request for reconsideration and the determination of the school receiver shall be incorporated into the budget.

(vi) The school receiver and school board shall provide the commissioner with an electronic copy of all correspondence related to modification of the school budget.

(vii) Upon approval of the school district budget, any changes to budgets that would adversely impact the ability of the school receiver to implement the approved school intervention plan or intervention model or comprehensive education plan must be approved by the school receiver.

(9) Supersession of Board of Education Employment Decisions Regarding Staff Employed in Receivership Schools

(i) No later than ten business days after a school board has acted upon an employment decision pertaining to staff assigned to a school designated as failing or persistently failing or that the commissioner has determined shall be placed into receivership, the school board shall provide the school receiver with a copy of the action taken, which shall not go into effect until it has been reviewed by the school receiver.

(ii) No later than ten business days after receiving the notification of an employment decision, the school receiver shall inform the school board and superintendent or chief school officer, of any modification to the employment decision that the school board must make in order for the school receiver to approve the employment decision. The school receiver shall identify the specific modifications that must be made and the rationale for the modifications. These modifications shall be limited in scope and effect to the school(s) designated as failing or persistently failing and/or under receivership and may not unduly impact other schools in the district.

(iii) Upon receipt of any proposed modifications to an employment decision, the school board shall:

(a) adopt the modifications at the board of education's next regularly scheduled meeting; or

(b) return the modifications within ten days to the school receiver for reconsideration with the reasons for reconsideration specified in writing.

(iv) Upon receipt of a request for reconsideration, the school receiver shall:

(a) withdraw the direction to modify the employment decision;

(b) revise the employment decision; or

(c) resubmit the original employment decision;

(v) The school receiver shall notify the school board in writing of the decision within ten business days of receipt of the request for reconsideration, which shall be approved by the board of education at its next regularly scheduled meeting if modifications are required by the school receiver.

(vi) The school receiver and school board shall provide the commissioner with an electronic copy of all correspondence related to modification of the school budget.

(vii) Upon approval of the school district budget, any changes to budgets that would adversely impact the ability of the school receiver to implement the approved school intervention plan or intervention model or comprehensive education plan must be approved by the school receiver.

(h) Annual evaluation of schools with an appointed independent receiver.

(1) The commissioner shall, in consultation and cooperation with the school district and the school staff, evaluate each school with an appointed independent receiver at least annually in order to determine whether the school has met the annual goals in its school intervention plan and to assess the implementation of the plan at the school. The evaluation shall be in writing and shall be submitted to the superintendent and the board of education not later than September first for the preceding school year. The evaluation shall be submitted in a format determined by the commissioner.

(2) If, based on the annual review, the commissioner determines that the school has met the annual performance goals stated in the school intervention plan, the evaluation shall be considered sufficient and the implementation of the school intervention plan shall continue. If the commissioner determines that the school has not met one or more goals in the plan, the commissioner may require modification of the plan. In accordance with Education Law section 211-f(10), the independent receiver is responsible for meeting the goals set forth in the approved school intervention plan and, in accordance with Education Law section 211-f(2)(c), the independent receiver's contract may be terminated by the commissioner for violation of the law or the commissioner's regulations, including but not limited to Education Law section 211-f and the provisions of this section, or for neglect of duty.

(i) Expiration of school intervention plan.

(1) Upon the expiration of a school intervention plan for a school with an appointed independent receiver, the commissioner, in consultation and cooperation with the district, shall conduct an evaluation of the school to determine whether the school has improved sufficiently, requires further improvement or has failed to improve. On the basis of such review, the commissioner, in consultation and cooperation with the district, may:

(i) renew the plan with the independent receiver for an additional period of not more than three years;

(ii) terminate the contract with the independent receiver and appoint a new independent receiver if the failing or persistently failing school remains identified as a priority school and the terms of the plan have not been substantially met, or

(iii) determine that the school has improved sufficiently for the designation of failing or persistently failing to be removed.

(2) If the commissioner determines that the contract with the independent receiver shall be terminated, the commissioner may appoint an interim independent receiver pursuant to subdivision (b) of this section.

(3) A new independent receiver appointed pursuant to paragraph (1) of this subdivision shall be required to implement the existing school intervention plan until a new school intervention shall be developed in accordance with subdivision (f) of this section and approved by the commissioner.

(j) Phase out and Closure of Failing and Persistently Failing School.

Nothing in this section shall prohibit the commissioner from directing a school district to phase out or close a school pursuant to paragraph (f)(6) of this section or subdivision (l) of section 100.18 of this Part, or prohibit the Board of Regents from revoking the registration of school pursuant to such paragraph, or prohibit a school district from closing or phasing out a school with the approval of the commissioner.