

1 EDUCATION AND LABOR CABINET

2 Kentucky Board of Education

3 Department of Education

4 (Amendment)

5 704 KAR 3:406. Superintendent training program and assessment process.

6 RELATES TO: KRS 156.111, 160.350

7 STATUTORY AUTHORITY: KRS 156.111

8 NECESSITY, FUNCTION, AND CONFORMITY: KRS 156.111 mandates that the

9 Kentucky Department of Education establish a superintendent training program and

10 assessment center and that the Kentucky Board of Education [~~State Board for~~

11 ~~Elementary and Secondary Education~~] adopt administrative regulations to govern the

12 training content, number of hours, assessments, and work products [~~written~~

13 ~~examination, and criteria~~] for successful completion of the training and assessment

14 center process. This administrative regulation establishes the requirements of

15 [~~implements~~] the superintendent training program and assessment center process.

16 Section 1. Definitions. (1) "Candidate" means an individual enrolled in the

17 superintendent training and assessment program.

18 (2) "Comprehensive superintendent assessment" means assessment of a candidate's

19 performance through performance-based projects, portfolios, or capstones which

20 includes a collection of work products demonstrating a candidate's knowledge of each

of the topics required in superintendent training modules, and ability to apply that knowledge to efficiently and effectively solve problems as a superintendent.

(3) “Executive coaching and mentoring” means a program whereby:

(a) An individual with experience as a Kentucky public school superintendent is assigned to all candidates for the purpose of coaching candidates throughout the superintendent training and assessment program on the knowledge and skills necessary to be a successful superintendent; and

(b) A candidate is assigned an individual with experience as a Kentucky public school superintendent for the purpose of mentorship throughout the superintendent training and assessment program.

(4) “Facilitator” means a trained instructor and observer who leads superintendent training modules and specialized professional learning, and records and analyzes candidate performance throughout the comprehensive superintendent assessment.

(5) “Performance-based projects, portfolios, or capstones” means a multifaceted and intellectual experience culminating in a candidate-led demonstration of critical knowledge, skills, and capacities required for success as a superintendent.

(6) “Proficiency on the comprehensive superintendent assessment” means a level of performance on each of the topics required in superintendent training modules that demonstrates a high degree of skill in that particular topic, as determined by an advisory committee.

(7) “Superintendent training and assessment program” means a professional growth and development program which includes:

(a) Superintendent training modules;

1 (b) Executive coaching and mentoring; and

2 (c) Comprehensive superintendent assessment.

3 (8) "Superintendent training modules" means a training program that is no less than
4 forty-two (42) and no more than seventy-two (72) hours in length, providing high-quality
5 instruction delivered by a facilitator and approved by the Kentucky Department of
6 Education on each of the following topics:

7 (a) The topics set forth in KRS 156.111(1)(a)-(i); and

8 (b) Educator ethics.

9 ~~{(1) "Assessee" means an individual who undergoes the assessment process.~~

10 ~~(2) "Assessment center candidate" means a superintendent or applicant for a~~
11 ~~superintendent position who has been recommended by a local board of education or~~
12 ~~the Kentucky Department of Education to undergo assessment.~~

13 ~~(3) "Assessor" means a trained observer who records and analyzes assessee~~
14 ~~performance during an assessment.~~

15 ~~(4) "Assessor training" means training in which participants are taught how to observe~~
16 ~~and record behaviors displayed by assessment center candidates and are taught to~~
17 ~~write objective and comprehensive reports.~~

18 ~~(5) "Comprehensive superintendent examination" means a written comprehensive~~
19 ~~examination over the following subjects:~~

20 ~~(a) Core concepts of management;~~

21 ~~(b) School-based decision making;~~

22 ~~(c) Kentucky school law;~~

23 ~~(d) Kentucky school finance;~~

~~(e) School curriculum and assessment.~~

~~(6) "Final assessment report" means a written report providing the overall performance ratings as well as the performance rating for each skill, and shall include suggestions for improvement and growth, and signatures of all persons involved in the assessment process.~~

~~(7) "Mastery level on the Kentucky Superintendent Comprehensive Examination" means a required level of performance on each of the five (5) components of the Kentucky Superintendent Comprehensive Examination to be determined by an advisory committee to the Kentucky Department of Education based on technical reports secured from field test data obtained during the 1992-93 school year.~~

~~(8) "Screening committee" means the local superintendent search screening committee required by KRS 160.352.~~

~~(9) "Superintendent assessment and training and testing process" means a comprehensive assessment process and training program including assessment of personal administrative skills, training modules in identified skill dimensions and selected concepts related to the position of school superintendent, and a comprehensive examination. Assessment and training are more specifically defined as follows:~~

~~(a) "Assessment process" means a Kentucky Department of Education psychometric procedure emphasizing multiple individual and group simulations representative of the superintendent position which will yield extensive feedback of each assessee's strengths and behaviors in skill dimensions validated as essential for effective~~

~~performance. The assessment process is used to develop a personal skills profile on candidates seeking employment or employed in superintendent positions.~~

~~(b) "Training program" means a series of training modules designed for the purpose of improving individual skills of superintendent candidates or providing knowledge in the following subjects:~~

~~1. Core concepts of management, up to eighteen (18) hours;~~

~~2. School-based decision making, up to nine (9) hours;~~

~~3. Kentucky school law, up to nine (9) hours;~~

~~4. Kentucky school finance, up to twelve (12) hours;~~

~~5. School curriculum and assessment, up to twenty-four (24) hours.~~

~~(10) "Written assessment report" means a report which provides each assessee with a profile of strengths and behaviors and suggestions to help improve the assessee's skills.~~

~~(11) "Written testing report" means a report which provides each assessee with certification of successful completion of each component of the comprehensive superintendent examination.]~~

Section 2. Required Completion of Superintendent Training and Assessment Program.

(1) Each person hired for the first time to serve as a superintendent in a Kentucky public school district shall successfully complete the superintendent training and assessment program within two (2) years from the date the person began his or her role as superintendent.

(2) To successfully complete the superintendent training and assessment program, the candidate shall:

1 (a) Complete all required superintendent training modules unless an exception is
2 granted pursuant to subsection (3) of this section; and

3 (b) For each of the topics required in the superintendent training modules, demonstrate
4 proficiency on the comprehensive superintendent assessment.

5 (3) If a candidate possesses past experience that situates the candidate to likely
6 demonstrate proficiency on the comprehensive superintendent assessment for a
7 particular topic prior to completing training on that topic in the superintendent training
8 modules, the candidate may request an exception from participating in that particular
9 training topic within the superintendent training modules. If such an exception is
10 granted, the total superintendent training modules hours required for the candidate shall
11 not be reduced. The candidate shall obtain additional training in alternative topics within
12 the superintendent training modules equal to the hours of the training topic for which an
13 exception is granted, which may include specialized additional training provided by a
14 facilitator.

15 (4) If the candidate fails to demonstrate proficiency on the comprehensive
16 superintendent assessment, the candidate may request to repeat the superintendent
17 training modules and comprehensive superintendent assessment for those topics in
18 which he or she failed to demonstrate proficiency. A candidate who repeats the
19 superintendent training modules and comprehensive superintendent assessment for
20 those topics in which he or she failed to demonstrate proficiency shall do so within two
21 (2) years from the date the candidate began his or her role as superintendent.

22 ~~[The Superintendent Training and Assessment Center shall be responsible for the~~
23 ~~assessment of superintendents and superintendent applicants, provide assessor~~

~~training, provide training using Kentucky Department of Education approved modules, and serve as the site for the administration of the comprehensive superintendent examination.~~

~~(2) (a) The center staff shall coordinate assessments and trainings, maintain all records, make provisions for the necessary reporting of training and assessment status as to all superintendents, and report the status of all superintendent candidates to the chairperson of the local board of education.~~

~~(b) The report shall:~~

~~1. Be sent at the conclusion of participation in the training, testing, and assessment process;~~

~~2. Include a copy to the participating superintendent;~~

~~3. Specify whether the participating superintendent successfully completed the training, testing, and assessment process.~~

~~(c) A report shall be made to the assessee, the Office of Teacher Education and Certification, and the local board of education chairperson on any person serving in the position of superintendent, who does not complete the assessment and successfully complete the comprehensive superintendent examination within the applicable deadlines set forth in KRS 156.111 and 160.350.]~~

Section 3. Enrollment and Recordkeeping. (1) Candidates shall be enrolled in the superintendent training and assessment program with the following enrollment preference:

(a) Those individuals hired for the first time to serve as a superintendent in a Kentucky public school district shall be guaranteed enrollment;

(b) If enrollment capacity remains after enrolling those candidates described in paragraph (a), then those individuals who are a candidate for superintendency, but not yet employed as a superintendent may be enrolled on a first come, first served basis;

and

(c) If enrollment capacity remains after enrolling those candidates described in paragraph (b), then those individuals who are neither employed as a superintendent, nor a candidate for superintendency, may request enrollment at the candidate's expense.

(2) Upon enrollment, a candidate shall be required to sign an oath which pledges nondisclosure of the comprehensive superintendent assessment.

(3) A roster of enrolled candidates shall be maintained by the program administrator.

The roster shall include:

(a) Each candidate's name;

(b) The school district where the candidate is employed as superintendent, if applicable;

(c) The date the candidate was first employed as a superintendent in a Kentucky public school district;

(d) The date by which the candidate must complete the superintendent training and assessment program pursuant to subsection (1) of Section 2 of this administrative regulation;

(e) The candidate's assigned mentor; and

(f) The candidate's progress in completing the superintendent training modules.

(4) Upon enrollment of a candidate, the program administrator shall:

(a) Send written notification of the candidate's enrollment in the program to the candidate, the Kentucky Department of Education, and the board chair for the public school district where the candidate is employed as superintendent, if applicable;

(b) Assign the candidate a mentor for executive coaching and mentoring, and provide written notification of this assignment to the candidate and the mentor; and

(c) Send written notification to the candidate that includes:

(i) Program requirements and expectations;

(ii) The schedule of superintendent training modules the candidate must complete; and

(iii) A general description of the required comprehensive superintendent assessment, including how the candidate's proficiency on the comprehensive superintendent assessment will be judged.

(5) A candidate enrolled pursuant to paragraphs (b) or (c) of subsection (1) of this section shall provide immediate notice to the program administrator if the candidate is hired as a superintendent in a Kentucky public school district while enrolled in the superintendent training and assessment program. Upon receipt of such notice, the program administrator shall update the roster set forth in subsection (3) of this section accordingly, and provide written notice to the board chair consistent with paragraph (a) of subsection (4) of this section.

(6) Upon completion of the superintendent training and assessment program, the program administrator shall send a final written report for each candidate to the candidate, the Kentucky Department of Education, and the board chair for the public school district where the candidate is employed as superintendent, if applicable, containing the following information:

1 (a) Each topic completed within the superintendent training modules, including the
2 hours completed for each topic and total hours completed within the superintendent
3 training modules;

4 (b) Any topics not completed by the candidate within the superintendent training
5 modules;

6 (c) For each of the topics required in the superintendent training modules, whether or
7 not the candidate demonstrated proficiency on the comprehensive superintendent
8 assessment; and

9 (d) A statement as to whether or not the candidate successfully completed the
10 superintendent training and assessment program as set forth in subsection (2) of
11 Section 2 of this administrative regulation.

12 (7) Upon completion of the superintendent training and assessment program, the
13 program administrator shall:

14 (a) Administer a comprehensive survey to candidates who completed the program
15 which gathers feedback from candidates on:

16 (i) The quality, rigor, and value of the superintendent training and assessment program;

17 (ii) The time commitments of the superintendent training and assessment program;

18 (iii) The knowledge, skills, and expertise of facilitators;

19 (iv) The helpfulness of the candidate's assigned mentor throughout the superintendent
20 training and assessment program; and

21 (v) Candidate recommendations for topics that should be covered in greater detail
22 throughout the superintendent training and assessment program; and

1 (b) Provide the aggregate results of each survey question to the Kentucky Department
2 of Education.

3 ~~[The following requirements shall apply to a person hired for the first time as a~~
4 ~~superintendent in Kentucky after July 1, 1992 and before July 1, 1994:~~

5 ~~(a) Superintendents who complete the assessment phase and demonstrate mastery on~~
6 ~~the Kentucky Superintendent Comprehensive Exam shall be certified as having met the~~
7 ~~requirements of KRS 156.111.~~

8 ~~(b) A superintendent who does not demonstrate mastery on any one (1) of the~~
9 ~~components of the Kentucky Superintendent Comprehensive Exam shall be eligible to~~
10 ~~participate in a second training of the appropriate module(s) of the training program~~
11 ~~prior to retaking the comprehensive examination or shall retake the comprehensive~~
12 ~~examination on the next scheduled date of the examination.~~

13 ~~(2) Persons employed as superintendent in Kentucky prior to July 1, 1992, may elect to~~
14 ~~not participate in any, or all, of the modules of the training phase and take the~~
15 ~~appropriate components of the comprehensive examination.~~

16 ~~(a) Superintendents who complete the assessment phase and demonstrate mastery on~~
17 ~~the Kentucky Superintendent Comprehensive Exam shall be certified as having met the~~
18 ~~requirements of KRS 156.111.~~

19 ~~(b) Superintendents who do not demonstrate mastery on the Kentucky Superintendent~~
20 ~~Comprehensive Exam shall be eligible to participate in further training in corresponding~~
21 ~~module(s) as a requirement for eligibility to repeating the comprehensive examination.~~

22 ~~(3) A person hired for the first time as a superintendent in Kentucky after June 30, 1994,~~
23 ~~shall have one (1) year from the time of employment to successfully complete the~~

~~assessment and training and testing program described in subsection (1)(a) and (b) of this section.]~~

Section 4. Facilitator Selection and Training. (1) A facilitator shall possess at least five (5) years of practice experience in the topic the facilitator is assigned to lead or provide specialized professional learning within the superintendent training modules.

(2) Prior to evaluating whether or not a candidate demonstrates proficiency on the comprehensive superintendent assessment, a facilitator shall undergo training on:

(a) The requirements of this administrative regulation;

(b) Proficiency, as determined by an advisory committee, on each of the topics required in superintendent training modules;

(c) How to observe and record behaviors and performance of candidates; and

(d) How to write objective and comprehensive reports regarding candidate performance on the comprehensive superintendent assessment.

~~[The Superintendent Training and Assessment Center director shall allocate training and assessment center slots, considering factors to assure diversity and equal access.~~

~~Local school districts with actual or imminent superintendent vacancies shall be given priority in the assignment of training and assessment center slots.~~

~~(2) Each assessee, upon completion of the superintendent assessment center process, shall receive a final assessment report. Superintendents and superintendent candidates shall complete the requirements for training and assessment and achieve the designated mastery level on each of the modules of the Kentucky Superintendent Comprehensive Examination to successfully complete the training and testing and assessment.~~

~~(3) Upon completion of the assessment and successful completion of testing by superintendent candidates, the Superintendent Training and Assessment Center staff shall provide the Office of Teacher Education and Certification and the chairperson of the appropriate local board of education a written report confirming completion of the assessment and successful completion of testing.~~

~~(4) Persons desiring to be assessed as superintendent, but who are not employed as a superintendent or are not candidates for superintendency at the time, may have requests granted by the Superintendent Training and Assessment Center director at the candidate's expense.~~

~~(5) Prior to assessment, an assessment center candidate shall be required to sign an oath which pledges nondisclosure of the assessment center process and materials.]~~

Section 5. Complaints. (1) ~~[The Superintendent Training and Assessment Center staff shall maintain all assessment center reports.~~

~~(2) The security of training and testing and assessment data shall be maintained by the Superintendent Training and Assessment Center staff. Each written report shall be the property of the Kentucky Department of Education. Individual profile reports shall be disseminated by the Superintendent Training and Assessment Center staff only after written authorization has been given by the assessee.~~

~~(3) All complete written training and assessment center reports shall be retained in confidential Superintendent Training and Assessment Center files. Working documents used by the assessment or training team to formulate each report shall be discarded after three (3) years.~~

~~Section 6. The Kentucky Department of Education may pay a stipend for each assessment performed by an assessor and for services necessary to conduct training and testing as needed.~~

~~Section 7.]~~ Complaints regarding failure to comply with statutory and regulatory provisions of the Superintendent Training and Assessment Program shall be directed to and evaluated by the Kentucky Department of Education.

Section 6. Continuing Education for Superintendents. ~~[Section 8]~~

(1) Following successful completion of the superintendent assessment and training program, annual continuing ~~[Continuing]~~ education for superintendents shall include:

(a) ~~[Participation in forty-two (42) hours of Kentucky Department of Education approved training over twenty-four (24) months; or~~

~~(b)]~~ Completion of an annual individual personal growth training plan of at least twenty-one (21) hours of instruction which shall include:

(i) Three (3) hours of annual training in school finance; and

(ii) Three (3) hours of annual training in ethics.

(2) Completion of continuing education of the superintendent shall be reported to the Kentucky Department of Education. The Kentucky Department of Education shall annually notify the local board of education chairperson of the status of the school district's superintendent's continuing education.

(3) Failure to comply with the requirements of this administrative regulation shall result in referral of the matter to the Education Professional Standards Board for consideration of revocation of the superintendent certificate.

This is to certify that the chief state school officer has reviewed and recommended this administrative regulation prior to its adoption by the Kentucky Board of Education, as required by KRS 156.070(5).

(Date)

Dr. Robbie Fletcher
Commissioner of Education

(Date)

Sharon Porter Robinson, Chair
Kentucky Board of Education

PUBLIC HEARING AND PUBLIC COMMENT PERIOD

A public hearing on this administrative regulation shall be held on X, at 10am, in the State Board Room, Fifth Floor, 300 Sower Boulevard, Frankfort, Kentucky. Individuals interested in being heard at this hearing shall notify this agency in writing by five workdays prior to the hearing, of their intent to attend. If no notification of intent to attend the hearing was received by that date, the hearing may be cancelled. A transcript of the public hearing will not be made unless a written request for a transcript is made. If you do not wish to be heard at the public hearing, you may submit written comments on the proposed administrative regulation. Written comments shall be accepted through X. Send written notification of intent to be heard at the public hearing or written comments on the proposed administrative regulation to the contact person:

CONTACT PERSON: Todd G. Allen, General Counsel, Kentucky Department of Education, 300 Sower Boulevard, 5th Floor, Frankfort, KY 40601, phone 502-564-4474, fax 502-564-9321, email regcomments@education.ky.gov

REGULATORY IMPACT ANALYSIS AND TIERING STATEMENT

704 KAR 3:406

Contact Person: Todd G. Allen

Phone: 502-564-4474

Email: todd.allen@education.ky.gov

Subject Headings: Education, Education Professional Standards, Licensing

(1) Provide a brief summary of:

(a) What this administrative regulation does: This administrative regulation establishes the training content, number of hours, assessments, and work products for the successful completion of the superintendent training and assessment center process.

(b) The necessity of this administrative regulation: KRS 156.111 mandates that the Kentucky Department of Education establish a superintendent training program and assessment center and that the Kentucky Board of Education adopt administrative regulations to govern the training content, number of hours, assessments, and work products for successful completion of the training and assessment center process. The amendment to this regulation updates the requirements of the superintendent training program and assessment process.

(c) How this administrative regulation conforms to the content of the authorizing statutes: This administrative regulation establishes the training content, number of hours, assessments, and work products for the successful completion of the training and assessment center process as required by KRS 156.111.

(d) How this administrative regulation currently assists or will assist in the effective administration of the statutes: The administrative regulation establishes the requirements relative to the superintendent training program and assessment process as required by KRS 156.111.

(2) If this is an amendment to an existing administrative regulation, provide a brief summary of:

(a) How the amendment will change this existing administrative regulation: The amendment aligns the required topics of instruction with the components identified in KRS 156.111 and outlines the requirements for the superintendent comprehensive assessment.

(b) The necessity of the amendment to this administrative regulation: This amendment is necessary to align with updates to KRS 156.111.

(c) How the amendment conforms to the content of the authorizing statutes: The amendment expands the scope of the training program to include the components identified in KRS 156.111.

(d) How the amendment will assist in the effective administration of the statutes: The amendment provides detail on the required training topics and process for successful completion of the program.

(3) Does this administrative regulation or amendment implement legislation from the previous five years? No.

(4) List the type and number of individuals, businesses, organizations, or state and local governments affected by this administrative regulation: Kentucky Department of Education, Local School Districts

(5) Provide an analysis of how the entities identified in question (3) will be impacted by either the implementation of this administrative regulation, if new, or by the change, if it is an amendment, including:

(a) List the actions that each of the regulated entities identified in question (3) will have to take to comply with this administrative regulation or amendment: Each person hired for the first time to serve as a superintendent in a Kentucky public school district will be required to successfully complete the superintendent training and assessment program within two years from the date the person began his or her role as superintendent.

(b) In complying with this administrative regulation or amendment, how much will it cost each of the entities identified in question (3): There is no cost to the local school districts. The Kentucky Department of Education will continue to expend \$200,000 annually to fund the superintendent training program and assessment center in keeping with current program expenses.

(c) As a result of compliance, what benefits will accrue to the entities identified in question (3): Superintendents who successfully complete the training and assessment process will be able to demonstrate critical knowledge, skills, and capacities required for success as a superintendent.

(6) Provide an estimate of how much it will cost the administrative body to implement this administrative regulation:

(a) Initially: The Kentucky Department of Education will continue to expend \$200,000 annually to fund the superintendent training program and assessment center in keeping with current program expenses.

(b) On a continuing basis: \$200,000 annually

(7) What is the source of the funding to be used for the implementation and enforcement of this administrative regulation or this amendment: General Funds

(8) Provide an assessment of whether an increase in fees or funding will be necessary to implement this administrative regulation, if new, or by the change if it is an amendment: No additional funding will be required to implement this administrative regulation.

(9) State whether or not this administrative regulation establishes any fees or directly or indirectly increases any fees: No fees are directly or indirectly established by this administrative regulation.

(10) TIERING: Is tiering applied? Tiering is not applied. The regulation applies uniformly.

FISCAL IMPACT STATEMENT

704 KAR 3:406

Contact Person: Todd G. Allen

Phone: 502-564-4474

Email: todd.allen@education.ky.gov

(1) Identify each state statute, federal statute, or federal regulation that requires or authorizes the action taken by the administrative regulation: KRS 156.111

(2) State whether this administrative regulation is expressly authorized by an act of the General Assembly, and if so, identify the act: KRS 156.111

(3)(a) Identify the promulgating agency and any other affected state units, parts, or divisions: Kentucky Board of Education and Kentucky Department of Education

(b) Estimate the following for each affected state unit, part, or division identified in (3)(a):

1. Expenditures:

For the first year: The Kentucky Department of Education will continue to expend \$200,000 annually to fund the superintendent training program and assessment center in keeping with current program expenses.

For subsequent years: \$200,000 annually

2. Revenues:

For the first year: The regulation is not expected to generate revenue.

For subsequent years: The regulation is not expected to generate revenue.

3. Cost Savings:

For the first year: No cost savings are anticipated.

For subsequent years: No cost savings are anticipated.

(4)(a) Identify affected local entities (for example: cities, counties, fire departments, school districts): Local school districts and boards of education

(b) Estimate the following for each affected local entity identified in (4)(a):

1. Expenditures:

For the first year: There is no cost to a local board of education for a superintendent's enrollment in the training program.

For subsequent years: There is no cost to a local board of education for a superintendent's enrollment in the training program.

2. Revenues:

For the first year: The regulation is not expected to generate revenue.

For subsequent years: The regulation is not expected to generate revenue.

3. Cost Savings:

For the first year: No cost savings are anticipated.

For subsequent years: No cost savings are anticipated.

(5)(a) Identify any affected regulated entities not listed in (3)(a) or (4)(a): N/A

(b) Estimate the following for each regulated entity identified in (5)(a):

1. Expenditures:

For the first year: N/A

For subsequent years: N/A

2. Revenues:

For the first year: N/A

For subsequent years: N/A

3. Cost Savings:

For the first year: N/A

For subsequent years: N/A

(6) Provide a narrative to explain the following for each entity identified in (3)(a), (4)(a), and (5)(a):

(a) Fiscal impact of this administrative regulation: The Kentucky Department of Education will continue to expend \$200,000 annually to fund the superintendent training program and assessment center in keeping with current program expenses.

(b) Methodology and resources used to reach this conclusion: The estimates herein are based on prior program operations.

(7) Explain, as it relates to the entities identified in (3)(a), (4)(a), and (5)(a):

(a) Whether this administrative regulation will have a “major economic impact”, as defined by KRS 13A.010(13): The administrative regulation is not expected to have a major economic impact.

(b) The methodology and resources used to reach this conclusion: Given the nature of the proposed amendments with revisions not expected to impact costs, expenditures are not expected to increase over current program expenses for the entities identified in questions (2) – (4).