# TPP Mid-Year Report: 2018-19
## January 2019
Report 3.03

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## EXECUTIVE SUMMARY

This report summarizes information submitted by the Transforming Principal Preparation (TPP) Provider agencies in response to the Grant*Prose* request for a mid-year report on activities and accomplishments undertaken with TPP funds during the reporting period of July 1, 2018, through December 31, 2018. An analysis of the budget proposals submitted by the agencies to implement their programs in the 2018-20 funding period is also presented.

**An overarching conclusion of this report is that the best practices being tested by institutions participating in the TPP program appear—on whole—to improve the quality of their programs; however, it is unlikely that these agencies can sustain all such practices should TPP funding cease in future years. Similarly, it is unlikely that all practices can be scaled across the state to other principal preparation programs without the state investing considerable additional revenue. [2] Even should the state provide continued TPP funding, it is questionable whether this funding will be sufficient to permit scaling the program's best practices to additional principal preparation programs across the state. If the programs are to be sustained at the existing agencies and scaled to other programs across the state, then NCASLD and the Providers need to give serious consideration to how extraordinary costs can be covered and/or how such costs can be reduced while at the same time continuing to implement the identified best practices.**

Five institutions are utilizing TPP funds provided by the state to implement principal preparation programs: High Point University (HPU), North Carolina State University (NCSU), Sandhills Regional Education Consortium (SREC), University of North Carolina at Greensboro (UNCG), and Western Carolina University (WCU). While there are many similarities among the programs, there is also considerable variation in how the agencies are implementing their programs, in particular pertaining to,

a) The size of their 2018-20 TPP grant awards and the per participant cost,
b) The proportion of TPP funds allocated to institutional expenses versus participant expenses,
c) The number of institutional personnel employed with TPP funds,
d) How the programs allocate their TPP funds to support expenses for participant tuition and internship salaries/stipends, and
e) The percent of low income students enrolled in Local Education Agencies partnering with the TPP Provider agencies.

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[1] Suggested citation: Carruthers, W., Sturtz McMillen, J., Hasse, E., & Lovin, P. (2019, January). *TPP Mid-Year Report: 2018-19 (Report 3.03).* Garner, NC: Grant*Prose*, Inc.

[2] See Appendix A for a discussion of these best practices. Grant*Prose* also provides a discussion of the best practices in its 2018 annual report to the State Education Assistance Authority: Sturtz McMillen, J., Carruthers, W., Lovin, P., & Hasse, E. (July 2018). *Transforming Principal Preparation Grant Program: Second Year, Annual Report.* Garner, NC: Grant*Prose*, Inc.

**a)** <u>**Comparing 2018-20 TPP awards and per participant costs**</u>**. Figure 2** shows that NCSU is managing the largest TPP award and WCU is managing the smallest award. [3] When analyzed on a per participant basis, **Figure 3** shows that per participant costs are greatest at UNCG followed by NCSU and least at HPU followed by WCU.

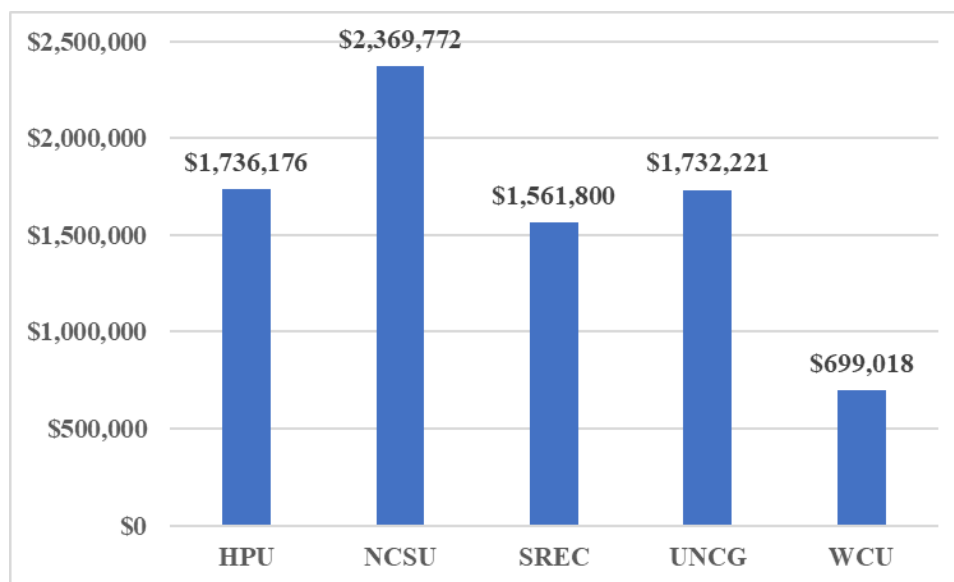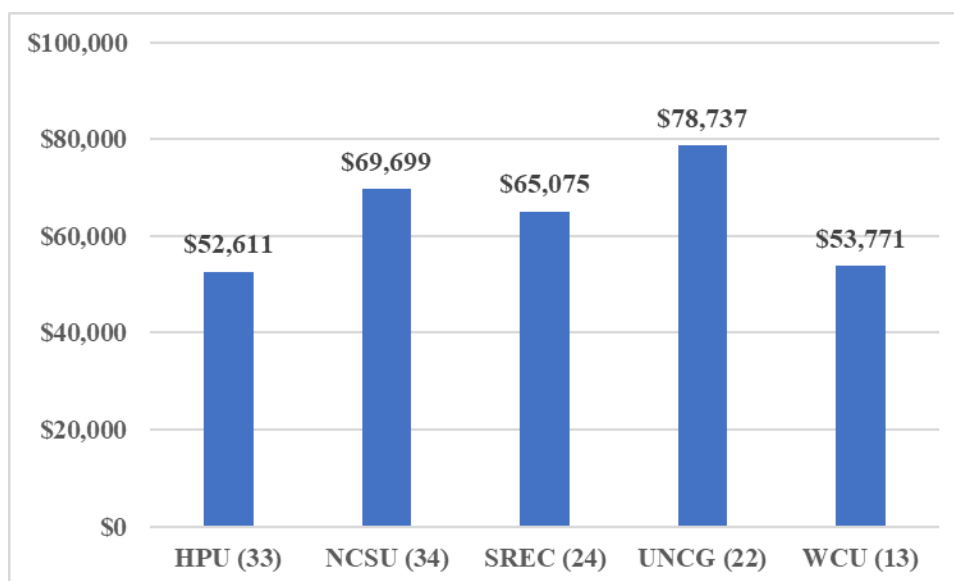**Figure 2. Total Value of 2018-20 TPP Awards**



**Figure 3. Average Per Participant Cost** (with number of participants shown in parentheses)



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[3] It is important to understand that the budget figures analyzed in this report are derived from the budget proposals NCASLD has approved for each TPP Provider agency. The budget proposals reflect 'projected' expenditures for the 2018-20 years rather than 'actual' expenditures which Grant*Prose* separately analyzes after each quarter following agencies submitting their TPP invoices to NCASLD.

An alternative approach to analyzing per participant costs is to back out the amount that each TPP Provider allocates for participant salaries/stipends. One reason for doing this is that the five Provider agencies are handling participant salaries/stipends differently with some relying chiefly on state MSA (Masters of School Administration) funds and others relying chiefly on TPP funds. Also, there is a difference among the Providers in their effort to 'hold harmless' participant salaries/stipends relative to what the participants earned in their last position in their school district prior to beginning their TPP internship. **Figure 4** shows average per participant costs with salaries/stipends removed from the analyses. In this analysis, NCSU evidences the highest per participant cost followed by UNCG. HPU again evidences the lowest per participant cost.
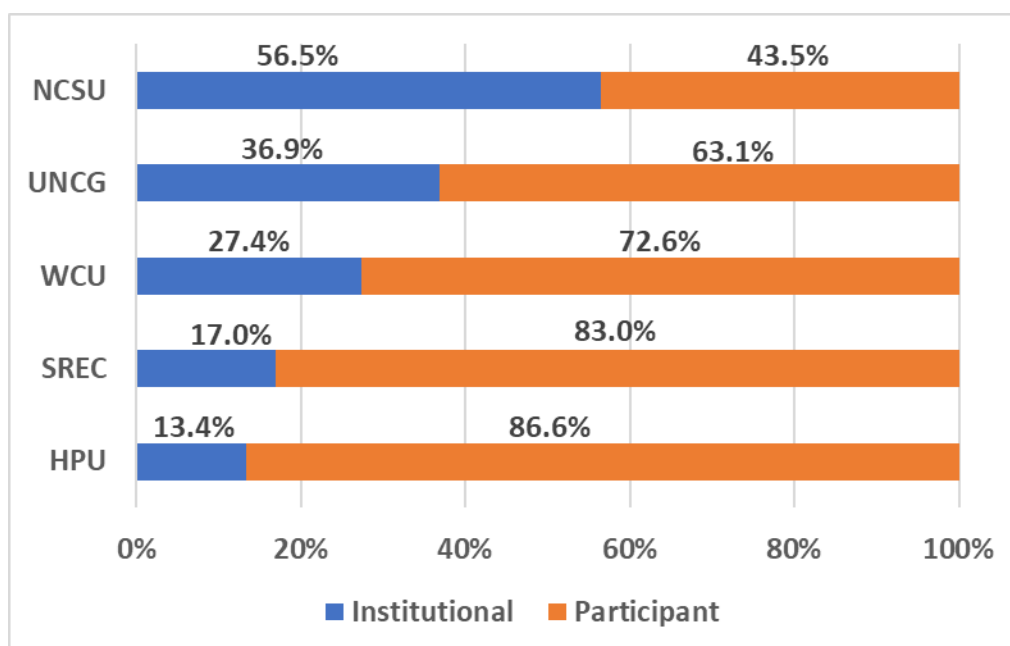
**Figure 4. Average Per Participant Cost Less Participant Salaries/Stipends** (with number of participants shown in parentheses)
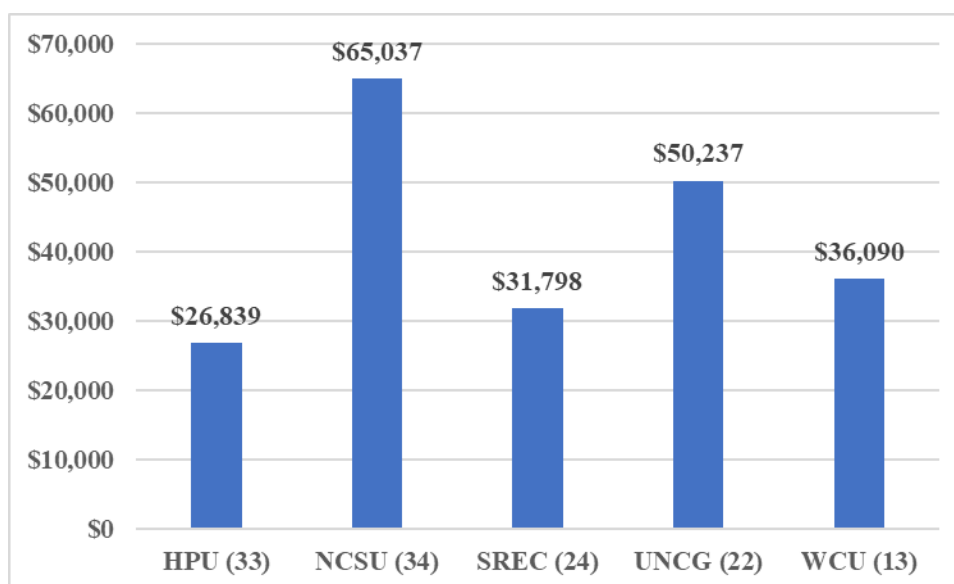
**b)** <u>**Comparing institutional and participant expenses.**</u> The total of the 2-year 2018-20 budget proposals submitted to NCASLD for all TPP Providers was $8,098,987. [4] Of this total, $2,666,646 (32.9%) was devoted to institutional expenses (e.g., salaries for institutional personnel, contractual services and other costs) and $5,432,342 (67.1%) was devoted to participant expenses (e.g., tuition and salaries/stipends during their internship, coaching and other costs). [5] When the totals are disaggregated by TPP Provider, there is considerable variation in how much funding the different TPP Providers budgeted for institutional and participant expenses, as shown in **Table 21**. HPU budgeted the smallest percentage of their TPP funds for institutional expenses (13.4%) and NCSU budgeted the largest percentage for institutional expenses (56.5%). **Figure 5** depicts the percentages that each TPP Provider budgeted for institutional and participant expenses.

| Table 21. Comparing Institutional and Participant Expenses | | | | | |
|---|---|---|---|---|---|
| **Program** | **Institutional Expenses** | | **Participant Expenses** | | **Total Award** |
| | **Amount** | **Percentage** | **Amount** | **Percentage** | |
| HPU | $232,217 | 13.4% | $1,503,959 | 86.6% | $1,736,176 |
| NCSU | $1,337,972 | 56.5% | $1,031,800 | 43.5% | $2,369,772 |
| SREC | $265,261 | 17.0% | $1,296,539 | 83.0% | $1,561,800 |
| UNCG | $639,418 | 36.9% | $1,092,803 | 63.1% | $1,732,221 |
| WCU | $191,778 | 27.4% | $507,240 | 72.6% | $699,018 |
| TOTAL | $2,666,646 | 32.9% | $5,432,342 | 67.1% | $8,098,987 |

**Figure 5. Comparing Institutional and Participant Expenses as a Percentage of Each 2-Year TPP Budget**



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[4] Figures in this report have been rounded to the nearest dollar and may differ by a few dollars from that found on the TPP budgets due to rounding effects.

[5] See **Table 20** in the body of this report for a description of the varied costs associated with institutional and participant expenses.

c) **Comparing how many institutional staff are employed with TPP funds at each TPP institution.** There is considerable variation in the number of individuals being supported with TPP funding as employees (e.g., faculty, administrators, graduate assistants, hourly workers, etc.) at each TPP institution. [6] Employees of the institution who in this analysis are neither participants nor Executive Coaches, have various roles and responsibilities associated with implementing and/or administering the TPP program (e.g., Principal Investigator, faculty, administrative staff, graduate assistants, etc.). Considering such individuals with at least 8.3% full-time equivalent commitment,

- HPU with 33 participants and WCU with 13 participants each identify 1 staff member being paid with TPP funds,
- SREC with 24 participants and UNCG with 22 participants each identify 3 staff members being paid with TPP funds, and
- NCSU with 34 participants identifies 10 staff members being paid with TPP funds.

Relatedly, **Figure 7** shows there is also considerable variation in how much of the TPP funding each agency allocates in its 2018-20 budget proposal to pay for these staff expenses, ranging from 2.3% ($40,010) of the total 2-year budget at HPU to 41.9% ($992,673) of the total budget at NCSU. Some of this variation could be explained by the number of participants each program serves; however, that cannot be the sole factor. For instance, HPU and NCSU will serve 33 and 34 participants, respectively.

**Figure 7. Two-Year Total of Institutional Expenses for Personnel and Fringe Benefits**



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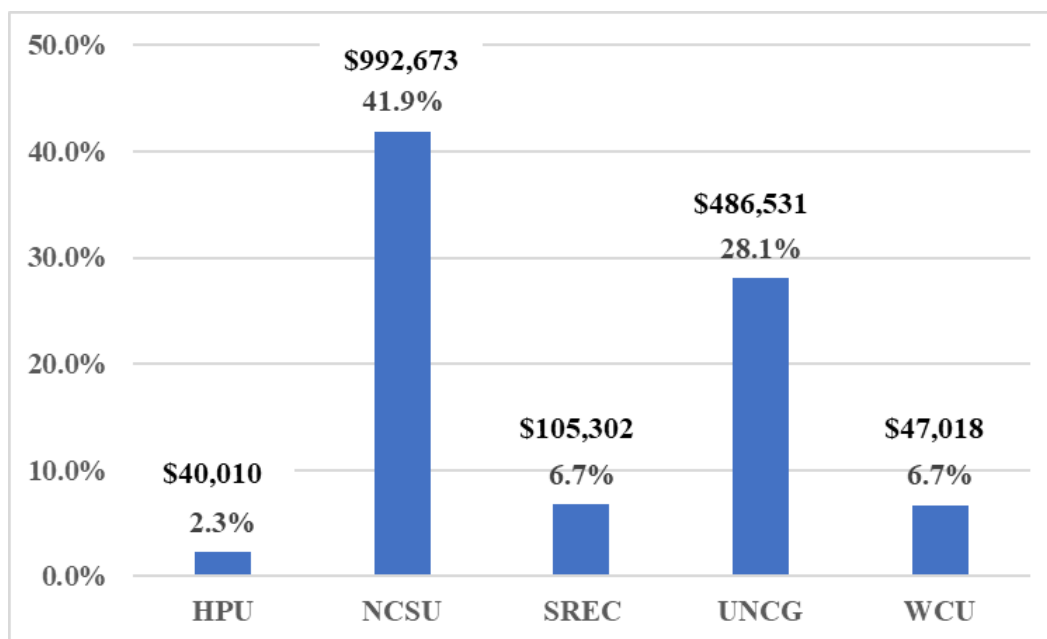
[6] The determination of individuals being employed at each TPP Provider agency is made from their 2018-19 budget proposals, 2018-19 mid-year reports, and analysis of Provider invoices submitted to date for the 2018-19 year.

An alternative approach to analyzing institutional expenses associated with implementing and/or administering the TPP program is to combine Personnel expenses seen in **Figure 7** above with Contractual and Indirect Cost expenses. For instance, agencies such as HPU, SREC and WCU with relatively low Personnel Expenses may make relatively greater use of Contractual resources to aid in implementing and/or administering the program. **Figure 8** combines Personnel, Contractual, and Indirect Cost expenses to make comparisons among the five agencies.

**Figure 8. Two-Year Total of Institutional Expenses for <u>Personnel</u>, <u>Fringe Benefits</u>, <u>Contractual Services</u>, and <u>Indirect Costs</u>**
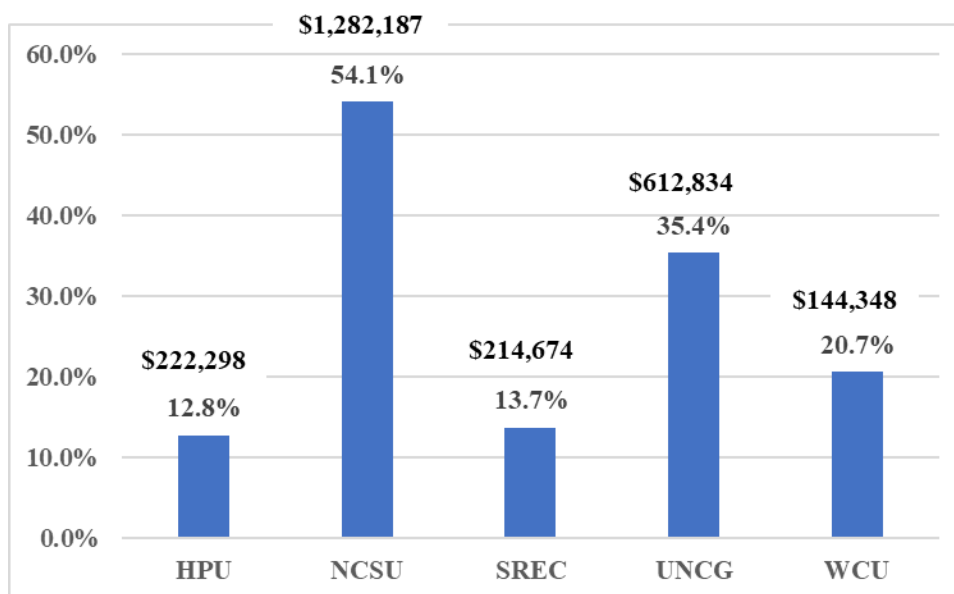


Although the dollar amounts in **Figures 7 and 8** differ, it is interesting to note that the relative comparison from one institution to the next is the same. HPU has the lowest percent allocated to implementing and/or administering its program and NCSU has the highest percent.

**d)** **<u>Comparing how TPP funding is allocated in direct support of the participants</u>.** As a percent of their total budget for the 2018-20 period, there is moderate variation in the percent of the TPP funds each agency allocates to the direct support of TPP participants for tuition, but considerable variation in the percent allocated to participant salary/stipend replacement during internships. **Figures 14 and 15** indicate the percentages and associated dollar values allocated to tuition and salaries/stipends, respectively.

Regarding the variation seen among the TPP agencies in allocations to pay participant salaries/stipends, a large part of this variation can be attributed to two factors: 1) whether the agency accesses state MSA (Masters of School Administration) funds to pay the salaries stipends, and 2) whether the agency attempts to hold harmless participants' salaries relative to what they earned before starting the internship. This variation ranges from NCSU which reportedly relies largely on state MSA funds to pay salaries during the internship which are not entirely held harmless, to WCU, UNCG and SREC which report using a combination of TPP and MSA funding so as to hold students' salaries harmless, to HPU which reports using solely TPP funds to reimburse LEAs a fixed amount per participant with the LEA contributing funds so as to hold harmless the participant salaries.

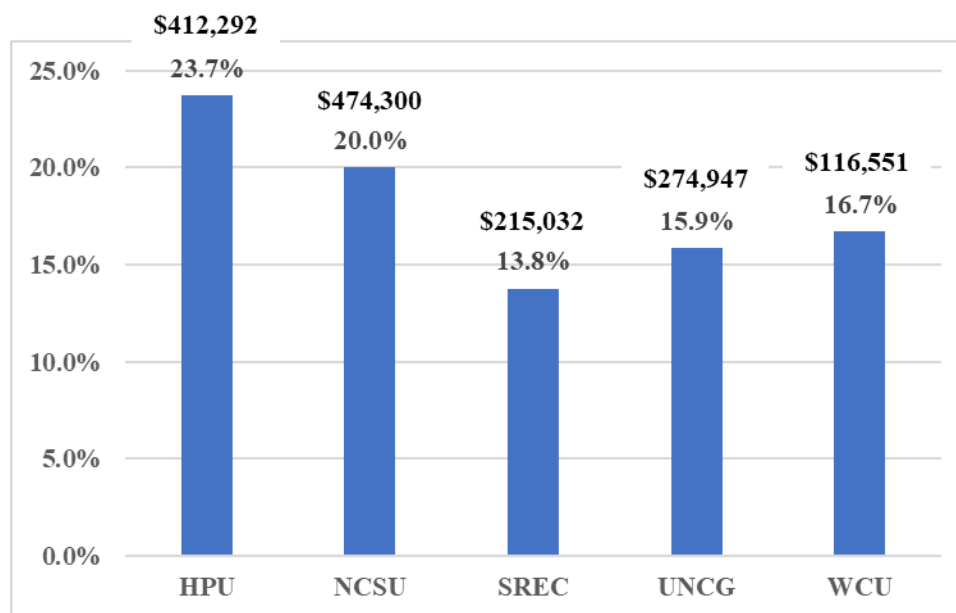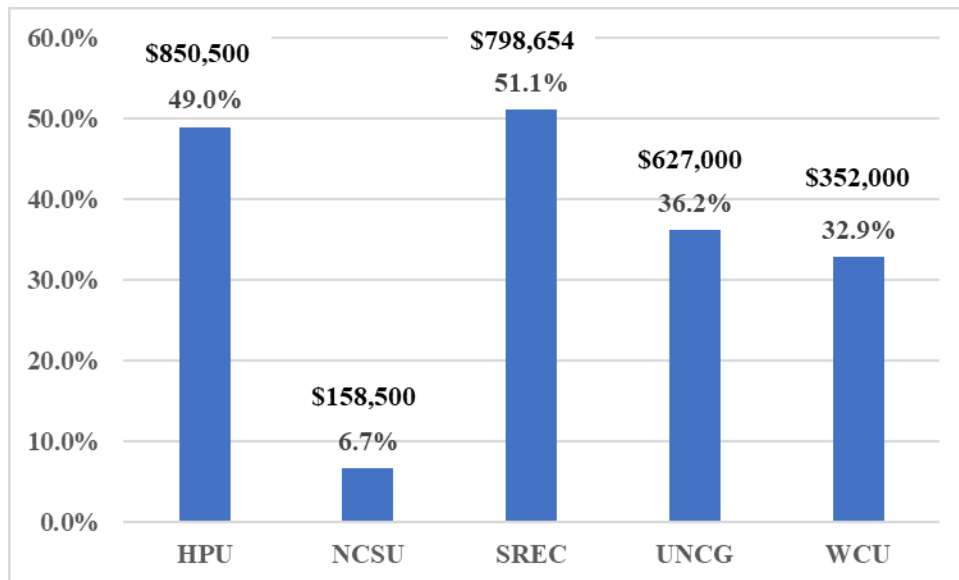**Figure 14. Two-Year Total of Participant Expenses Allocated for <u>Tuition</u>**

**Figure 15. Two-Year Total of Participant Expenses Allocated for <u>Salaries/Stipends</u>**

**e)** **<u>Comparing how many participants are selected from High Need LEAs</u>**. The determination whether a school or an LEA meets the legislative definition of High Need (HN) hinges on how the word 'identified' is interpreted. Among the four legislative criteria listed for the HN definition, [7] the dominant criterion is whether the school is 'identified' as seen in the following clause: *"a. Is a school identified under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended."* However, it is not clear in this legislative definition how to operationalize the term 'identified.'

If the word 'identified' is interpreted to mean <u>eligible</u> for Title 1 services, then at least 2,064 (78.1%) of the 2,642 schools listed in the 2017-18 Title 1 dataset for the state meet this criterion. [8], [9] Using Title 1 eligibility to operationalize this HN criterion and incorporating the other three HN criteria in the legislative definition 2,069, (78.3%) of the schools in the state meet the legislative definition of HN and almost all LEAs in the state have a majority of its schools eligible meeting the HN definition. [10]

However, if the word 'identified' is interpreted to mean <u>receiving</u> Title 1 services, then fewer schools in the state received Title 1 services in the 2017-18 year—1,469 (55.6%) compared to the 2,064 (78.1%) eligible for Title 1. Also, when all four of the legislative criteria are combined, there are fewer LEAs where HN schools are in the majority when the word 'identified' is operationalized to mean receiving Title 1 services.

Presenting both approaches to how 'identified' may be operationalized, **Table 8** shows that 88.2% to 100% of participants in the TPP programs are from HN LEAs if eligibility for Title 1 services is the criterion, while this percentage varies from 26.5% to 91.7% if receiving Title 1 services is the criterion. Additional data analyses suggest SREC is serving participants from LEAs with the highest concentration of students in poverty and NCSU is serving participants from LEAs with the lowest concentration of students in poverty. As depicted in **Figure 1**, HPU, UNCG and WCU are serving participants from LEAs where the collective concentration of low income students is similar to that seen for the state as a whole, while SREC is serving LEAs with a higher concentration of low income students and NCSU is serving LEAs with a lower concentration of low income students.

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[7] See Appendix B for the North Carolina legislation associated with the TPP program defining how a HN school may be identified.

[8] Guidance bearing on eligibility for Title 1 services can be found in the Title 1 Handbook last updated in 2017: *All schools above 75%* [poverty] *must be served (i.e., provided with an allotment) unless comparable services can be demonstrated or all schools in the district are above 75%. This must happen prior to serving any schools below 75% poverty. Once the schools above 75% are served, the district may serve any other schools in rank order down to those at or above 35% poverty. When deciding which schools to serve under 75%, the LEA has the option to (1) continue serving schools in the district-wide ranking; or (2) serve schools in rank order by grade span groupings (e.g., K-5, K-8, etc.). Schools must not be skipped within the rank order method selected by the LEA.* See http://www.ncpublicschools.org/docs/program-monitoring/resources/titleia-handbook.pdf for the handbook.

[9] Datasets collected from the NCDPI website for this analysis were: a) Title I Schools 2017-18, b) 2016-17 Low-Performing Schools, Low-Performing Districts, Recurring Low-Performing Schools and Continually Low-Performing Charter Schools, and c) 2013-14 Entering 9th Graders Graduating in 2016-2017 or Earlier.

[10] The Title 1 eligibility criterion is a dominant factor in the HN determination of individual schools and there are few additional schools added to the list of HN schools that are solely due to any of the other three criteria.

| Table 8. Source LEAs for Participants and High Need Character of LEAs | | | | | |
|---|---|---|---|---|---|
| **Program** | **Total # Enrolled** | **Source LEA** | **# Participants** | **Majority of Schools in LEA Eligible for Title 1** | **Majority of Schools in LEA Receiving Title 1** |
| *HPU* | Cohort III 17  Cohort IV 16 | Alamance-Burlington County | 2 | Y | N |
| | | Asheboro City | 3 | Y | Y |
| | | Cabarrus County | 1 | Y | N |
| | | Davie County | 2 | Y | N |
| | | Elkin City | 1 | Y | N |
| | | Guilford County | 7 | Y | Y |
| | | Lincoln County | 3 | Y | N |
| | | Mount Airy City | 1 | Y | N |
| | | Newton-Conover City | 1 | Y | N |
| | | Thomasville City | 1 | Y | Y |
| | | Vance County | 1 | Y | Y |
| | | Winston-Salem Forsyth County | 8 | Y | Y |
| | | Yadkin County | 2 | Y | N |
| | | *Percentage Participants  from HN LEA* | | *100%* | *60.6%* |
| *NCSU* | Cohort II 34 | Chapel-Hill Carrboro City | 2 | N | N |
| | | Durham County | 4 | Y | Y |
| | | Edgecombe County | 3 | Y | Y |
| | | Granville County | 1 | Y | Y |
| | | Johnston County | 8 | Y | N |
| | | Vance Charter School | 1 | N | Y * |
| | | Wake County | 14 | Y | N |
| | | Magellan Charter | 1 | N | N |
| | | *Percentage Participants from HN LEA* | | *88.2%* | *26.5%* |
| *SREC* | Cohort III 11  Cohort IV 13 | Anson County | 2 | Y | Y |
| | | Bladen County | 1 | Y | Y |
| | | Columbus County | 2 | Y | Y |
| | | Cumberland County | 3 | Y | Y |
| | | Harnett County | 1 | Y | Y |
| | | Hoke County | 3 | Y | Y |
| | | Lee County | 2 | Y | N |
| | | Montgomery County | 2 | Y | Y |
| | | Moore County | 2 | Y | Y |
| | | Richmond County | 2 | Y | Y |
| | | Robeson County | 2 | Y | Y |
| | | Scotland County | 1 | Y | Y |
| | | Whiteville City | 1 | Y | Y |
| | | *Percentage Participants from HN LEA* | | *100%* | *91.7%* |

| Table 8 continued. Source LEAs of Participants and High Need Character of LEAs | | | | | |
|---|---|---|---|---|---|
| **Program** | **Total # Enrolled** | **Source LEA** | **# Participants** | **Majority of Schools in LEA Eligible for Title 1** | **Majority of Schools in LEA Receiving Title 1** |
| *UNCG* | Cohort II 22 | Chatham County | 2 | Y | N |
| | | Davidson County | 3 | Y | N |
| | | Lee County | 2 | Y | N |
| | | Lincoln County | 1 | Y | N |
| | | Montgomery County | 1 | Y | Y |
| | | Person County | 3 | Y | Y |
| | | Randolph County | 3 | Y | Y |
| | | Rockingham County | 1 | Y | Y |
| | | Stanly County | 3 | Y | Y |
| | | Surry County | 3 | Y | Y |
| | | *Percentage Participants from HN LEA* | | *100%* | *63.6%* |
| *WCU* | Cohort II 13 ** | Asheville City | 3 | Y | N |
| | | Buncombe County | 2 | Y | Y |
| | | Henderson County | 1 | Y | Y |
| | | Jackson County | 2 | Y | Y |
| | | Rutherford County | 1 | Y | Y |
| | | Transylvania County | 1 | Y | Y |
| | | *Percentage Participants from HN LEA* | | *100%* | *70.0%* |

Notes

* The NCDPI 2017-18 Title 1 dataset shows Vance Charter School has 23.07% low income students but is receiving Title 1 targeted assistance.

** LEAs for the three additional participants at WCU are unknown at the time of this report.

**Figure 1. Percentage of Low Income Students When Combined for All LEAs with TPP Participants Compared for Each TPP Provider**
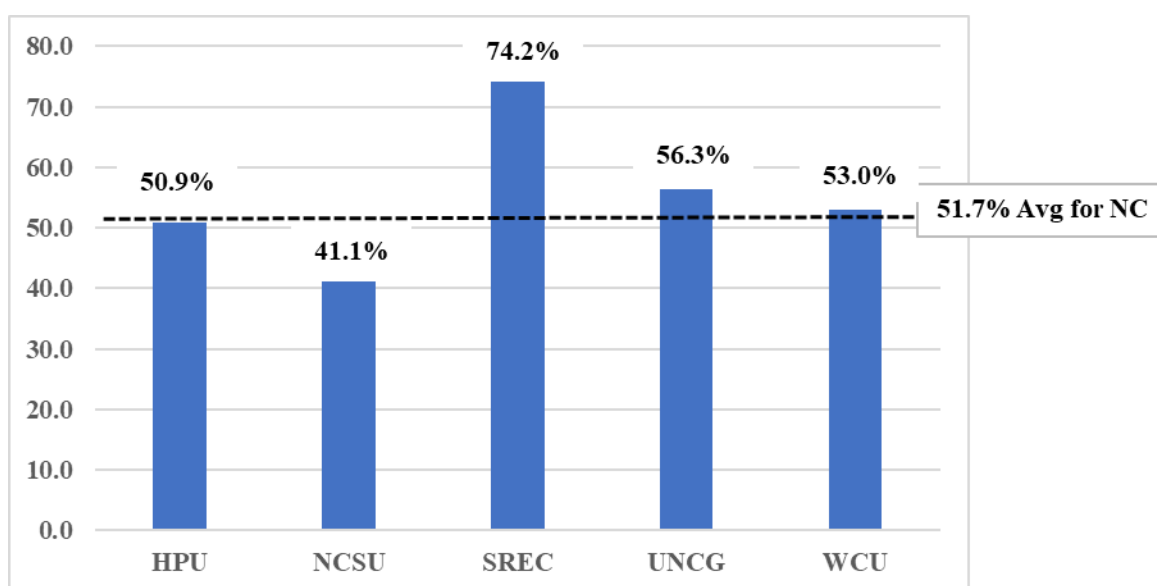
Additional information collected from the TPP Provider agencies on their 2018-19 mid-year report is summarized in the following bullets.

**f)** While the five programs continue to introduce improvements, changes between the 2016-18 and 2018-20 funding cycles in how the programs operate are modest (see **Table 1**).

**g)** All programs implement a variety of recruitment strategies (**Table 3**) and make use of multiple selection criteria (**Table 5**) when choosing who to enroll in their programs.

**h)** For the 2018-20 funding cycle, the programs enrolled 126 participants (**Table 6**), six more than during the 2016-18 funding cycle. HPU increased by three to 33, UNCG increased by two to 22, WCU increased by three to 13, SREC decreased by two to 24; and NCSU remained the same at 34. [11]

**i)** Compared to the 2016-18 participants, the racial/ethnic composition of the 2018-20 participants reveals a higher percentage of Whites by almost 10 percentage points (**Table 7**).

**j)** Other than MSA funding, the five programs rely largely on the TPP funds to implement their programs. Other sources of revenue are minimal (**Table 14**).

**k)** Additional information collected from the TPP Providers on their mid-year reports include feedback provided to the programs from the LEAs (**Table 15**), the nature of evaluation activities conducted by the programs (**Table 16**), unexpected barriers or challenges encountered by the programs (**Table 17**), successes experienced by the programs (**Table 18**), and future plans of the programs (**Table 19**).

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[11] Grant*Prose* learned in January 2019—after the mid-year reports were submitted—that WCU plans to add three enrollees to its program, bringing its number to 13 as reflected in this Executive Summary. Some of the data for WCU in this report reflect only the 10 enrollees WCU documented at the time of submitting their mid-year report.

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# INTRODUCTION

The NC General Assembly established a competitive grant program, *Transforming Principal Preparation* (TPP), to provide funds for the preparation and support of highly effective school principals (NC S. Law 2015-241, Section 11.9, 2015). As the administrator for the TPP program, the North Carolina Alliance for School Leadership Development (NCASLD) selected five "Provider" agencies representing a mix of institutions, including public universities, a private university, and an LEA to implement TPP programs. The quality of the programs, their varied organizational structure, their record of service to High Need LEAs, and varied geographical regions covered were criteria informing NCASLD's selection of the five programs, permitting NCASLD to compare how programs implemented best practices.

- *High Point University's (HPU) High Point University Leadership Academy*
- *North Carolina State University's (NCSU) North Carolina Leadership Academy*
- *Sandhills Regional Education Consortium's (SREC) Sandhills Leadership Program*
- *University of North Carolina-Greensboro's (UNCG) Principal Preparation for Excellence and Equity in Rural Schools*
- *Western Carolina University's (WCU) North Carolina School Executive Leadership Program*

This report summarizes information submitted by the Provider agencies in response to the Grant*Prose* request for a mid-year report on activities and accomplishments undertaken with TPP funds during the reporting period of July 1, 2018 through December 31, 2018. An analysis of the budget proposals submitted by Provider agencies for the 2018-20 period is also described.

# ANALYSES OF 2018-19 MID-YEAR REPORTS

Each Provider agency's funding proposal included program goals. The original goals described in their 2016 application for funding are listed in **Table 1**, as well as any revisions or refinements made to these goals during the course of the program as identified in the annual mid-year and/or annual evaluation reports collected by Grant*Prose*. NCSU, SREC, and WCU noted one or more revisions to their program goals for the 2018-19 year.

| Table 1. Program Goals | | |
|---|---|---|
| **Program** | **Original Goals** | **Revisions or Refinements** |
| *HPU* | HPULA will recruit and select two cohorts of 20 program participants. Each participant will complete 36 credit hours and a 6-month full-time clinical internship in one of seven partnering districts, graduating with an alternative license in administration, preparing them to lead in high need schools. | **2016-17**: Reduction from 40 to 30 participants and addition of participants earning MEd in administration.<br><br>**2018-19**: HPU will serve a total of 33 participants in the 2018-20 funding cycle. |
| *NCSU* | NCLA will recruit and select one cohort of 18 program participants. Each participant will complete 42 credit hours and a 10-month full-time clinical internship in one of three partnering districts in order to be ready for service as a leader in a high needs school. | **2016-17**: The program selected 20 individuals to participate rather than 18.<br><br>**2018-19**: The program expectations have changed per new legislative guidelines. (Also, the two TPP programs NCSU operated during the 2016-18 funding cycle (DPLA and NCLA) have been combined into a single program.) |

| Table 1 continued. Program Goals | | |
|---|---|---|
| **Program** | **Original Goals** | **Revisions or Refinements** |
| *SREC* | SLP will recruit and select two cohorts of 13-18 program participants. Each participant will complete 18 credit hours and a five-month full-time clinical internship in one of 13 partnering districts in order to be ready for service as a leader in a high needs school. | **2016-17**: The number of credit hours toward the Master's degree has increased and includes 12 hours (face-to-face courses) with UNCP full-time faculty, 6 hours (Synergy classes) with Executive Coaches who are UNCP adjunct faculty, and 6 hours internship for a total of 24 credit hours. Interns who do not hold a Master's degree are required to complete the MSA with UNCP, while interns who already hold a Master's degree are encouraged to complete the MSA.<br><br>**2017-18**: Recognizing a 10-month internship with strong coaching and mentorship would be better preparation for administrative roles, the program began working with UNCP on any related issues regarding courses that would prohibit a 10-month internship.<br><br>**2018-19**: We had anticipated including two cohorts during this period with one 5-month internship during the Fall semester (August-January) and the second during the Spring semester (January-June). However, funding did not allow for required intern salaries, so Cohort III is completing its internship in Fall 2018 and Cohort IV will complete its internship in Fall 2019. |
| *UNCG* | PPEERS will recruit and select two cohorts of 10 program participants. Each participant will complete 42 credit hours and a 10-month full-time clinical internship in one of twelve partnering districts in order to be ready for service as a leader in a high needs, rural school. | **2016-17**: While UNCG selected 20 participants, all participants are part of a single cohort, rather than two cohorts of 10 participants each.<br><br>**2017-18**: A single cohort of 22 participants will be selected. |
| *WCU* | NCSELP will recruit and select two cohorts of program participants. There will be 40 participants in the first cohort and 24 in the second. Each participant will complete 36 credit hours and a 10-month full-time clinical internship in one of 18 partnering districts in order to be ready for service as a leader in a high needs, rural school. | **2016-17**: With the expectation for full-time, fully released, 5-month internships, nearly all of the year two funds will be spent on supporting that expectation. Therefore, only 10 participants will be supported by TPP funding.<br><br>**2018-19**: Since we have increased funding, we are doing MORE with our original budget line items (ex. coaching, mentoring, conferences, etc.), but we are not implementing many new things. Changes:<br>• Our 10 scholars will serve 10-month internships.<br>• TPP funding will support the interns' fringe benefits related to serving in a 10-month, full-time internship. (Their salaries will be supported by the MSA Internship funding provided by the state.) If interns earn more than the $39,000 provided by the MSA Internship funding, the TPP grant will make up the difference, holding interns harmless.<br>• Leadership for Social Justice Institute in Madison<br>• Additional course work: Leadership for Equity and Social Justice I and II.<br>• More robust coaching model (collaborative coaching) including hiring two part-time coaches. |

## A. Program Participant Recruitment

Language in the authorizing legislation related to this key activity is found in NC S. Law 2015-241 at Section 11.9.f (Item 2a), indicating programs will implement "*a proactive, aggressive, and intentional recruitment strategy*." While each program began active recruitment for their most recent cohort(s) at different times (see **Table 2**), all five programs have instituted active recruitment and selection strategies with high levels of LEA involvement.

| Table 2. Program Recruitment Timeline | |
|---|---|
| **Program** | **Initiated Recruitment** |
| *HPU* | Cohort III—Jan 2-Feb 9, 2018; Cohort IV—Sept 4-Oct 8, 2018 |
| *NCSU* | July 2017 |
| *SREC* | October 2017 |
| *UNCG* | April 2018 |
| *WCU* | December 2017 |

**Table 3** provides a summary of the recruitment strategies and associated activities utilized by the programs in recruiting program participants.

| Program | Established reputation | Brochures & info materials | Website information | Email blasts | Local, state, & national presentations | Media coverage, press releases, promo videos | Collaboration with LEAs | Tapping process in LEAs | LEA information sessions | LEA updates/emails | Superintendent endorsement | Superintendent meeting updates | School board presentations | Partnerships with organizations | Other* |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| *HPU* | X | X | X | X | | | X | X | X | X | X | | | | |
| *NCSU* | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| *SREC* | X | X | X | X | X | X | X | X | X | X | X | X | X | X | |
| *UNCG* | X | X | X | X | X | X | X | X | X | X | X | | X | | |
| *WCU* | X | X | | X | X | X | X | X | | X | X | X | | X | X |
| *\* Other: NCSU used principals to identify individuals with high leadership potential; WCU provided LEAs with a rubric for applicant qualification and faculty verified qualifications via committee (that included LEA leaders) and selection criteria.* | | | | | | | | | | | | | | | |

The number of applicants received and accepted by each program as a result of these recruitment strategies is presented in **Table 4**, indicating 107 (48%) of approximately 223 applicants to the program were accepted for enrollment. [12]

| Table 4. Program Applications Received and Accepted | |
|---|---|
| **Program** | **Applications Received** |
| *HPU* | Cohort III—80 attended info sessions, 30 were accepted for Assessment Day and 17 were accepted in the program for Cohort III. |
| *NCSU* | Applications received = 92 and 34 applicants were accepted. |
| *SREC* | Approximately 60 applicants with 24 being accepted. |
| *UNCG* | District partners received a total of 31 applications for Stage 1. Twenty-five PPEERS candidates who scored the highest by the District Selection Committee on a rubric moved to Stage 2 and submitted complete applications to UNCG. From the 25 candidates who proceeded to Stage 2, 22 applicants were accepted. |
| *WCU* | District leaders chose ("tapped") candidates in their leadership pipeline who met the qualifications. WCU faculty verified qualifications via committee (that included LEA leaders) and selection criteria resulted in 10 applicants being accepted in the program |

## B. Program Participant Selection

In order to address NC S. Law 2015-241, Section 11.9.f (Item 2b), programs are to implement "*rigorous selection criteria based on competencies that are predictive of success as a school leader.*" **Table 5** presents a summary of the selection criteria and processes the Provider agencies reported they applied in selecting the most recent successful applicants for each program.

| Table 5. Selection Criteria and Processes | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Program** | Application Form | Resume | Letters of Recommendation | Purpose Statement/ Letter of Interest | Writing Sample/ Educational Essay | Master's Degree with Minimum 3.0 GPA | Superintendent Nominations | Homework Assignment | Self-Assessment Surveys | Assessment Day | Q&A Sessions & Interviews with Panel of LEA Reps | One-on-One Interviews | Stated Commitment to Transforming Schools | Other |
| *HPU* | X | X | X | X | X | X | X | X | X | X | X | X | X | |
| *NCSU* | X | X | X | X | X | X | X | X | X | X | X | X | X | |
| *SREC* | X | X | X | X | X | | X | X | | X | X | X | X | |
| *UNCG* | X | X | X | X | X | | | X | X | X | X | | X | |
| *WCU* | X | X | X | X | | X | X | | | | | | X | X |
| *Other: WCU included an orientation toward leadership for equity and social justice.* | | | | | | | | | | | | | | |

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[12] The 107 number does not include another 16 candidates that HPU enrolled for its Cohort IV which started university coursework in the Spring 2019 semester, after HPU submitted its mid-year report.

The recruitment and selection strategies utilized have resulted in full enrollment. **Table 6** provides information on the number of program participants currently enrolled in each program. The five programs will enroll a total of 126 participants which is 6 more than the 120 participants the programs enrolled in the first funding cycle.

| Table 6. Current Enrollment by Program | | | | | |
|---|---|---|---|---|---|
| **Cohort** | **Program** | | | | |
| | **HPU** | **NCSU** | **SREC** | **UNCG** | **WCU** |
| Cohort II | N/A | 34 | N/A | 22 | 13 |
| Cohort III | 17 | N/A | 11 | N/A | N/A |
| Cohort IV | 16 | N/A | 13 | N/A | N/A |
| **Total** | **33** | **34** | **24** | **22** | **13** |

Information on the overall racial and ethnic demographics of the selected program participants is presented in **Table 7**. Participants across the five programs in the 2018-19 funding cycle are predominantly female (67.3%) and White (73.8%). While the 67.3% of females in this second funding cycle is similar to the 66.4% in the 2016-18 funding cycle, the 73.8% of Whites in this second funding cycle is almost 10 percentage points higher than the 64.2% in the first funding cycle.

| Table 7. Aggregated Racial/Ethnic Demographics of Participants | | | | | |
|---|---|---|---|---|---|
| **Racial/Ethnic Categories** | **Ethnic Categories** | | | | |
| | Hispanic or Latin(x) | | Not Hispanic or Latin(x) | | **Total** |
| | Female | Male | Female | Male | |
| Asian | | | | 2 | **2 (1.9%)** |
| Black or African American | | 1 | 16 | 6 | **23 (21.5%)** |
| White | 5 | 6 | 49 | 19 | **79 (73.8%)** |
| Unknown/Not reported | | | 2 | 1 | **3 (2.8%)** |
| **Total** | **5 (4.7%)** | **7 (6.5%)** | **67 (62.6%)** | **28 (26.2%)** | **107 *** |

*\* Note: Demographics were not available for 16 enrollees in HPU's Cohort IV or the latest three enrollees at WCU at the time of this report.*

### C. Program Participant Withdrawals

Upon being enrolled and beginning to attend university classes, no individuals are known to have withdrawn from any of the TPP programs at the time of this report.

### D. Authentic LEA Partnerships

To address NC S. Law 2015-241, Section 11.9.f (Item 2j), TPP programs are to establish "*relationships…with affiliated local school administrative units*." Each program has established such partnerships, typically including Memorandum of Understanding, and **Table 8** presents information on the source LEAs for enrolled participants in each program.

Additionally, legislation pertaining to the TPP program (SL 2018-5 Section 116-209) emphasizes that TPP programs should have *"A proposed focus on and, if applicable, a record of serving high-need schools, high-need local school administrative units, or both…"* with the definition of a high need (HN) LEA being a school district where the 'majority' of the schools in the district meet the HN definition specified for individual schools (see Appendix A for the definition of a

HN school and LEA). This legislation had not been passed at the time the TPP programs were recruiting and selecting participants for the 2018-20 funding cycle. However, all programs knew that service to HN schools was an expectation emphasized in the legislation.

The determination whether a school or an LEA meets the legislative definition of HN hinges on how the word 'identified' is interpreted pertaining to Title 1 status. Among the four legislative criteria listed for the HN definition, [13, 14] the dominant criterion is whether the school is 'identified,' as indicated in the following clause: *"a. Is a school identified* [emphasis added] *under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended."* However, it is not clear from this legislative definition how to operationalize the term 'identified.'

If the word 'identified' is interpreted to mean <u>eligible</u> for Title 1 services, then at least 2,064 (78.1%) of the 2,642 schools listed in the 2017-18 Title 1 dataset for the state meet this criterion.[15] Using Title 1 'eligibility' to operationalize this HN criterion and incorporating the other three HN criteria in the legislative definition, 2,069 (78.3%) of the schools in the state meet the legislative definition of HN [16] and almost all LEAs in the state have a majority of its schools eligible for Title 1.

However, if the word 'identified' is interpreted to mean <u>receiving</u> Title 1 services, then fewer schools in the state received Title 1 services in the 2017-18 year—1,469 (55.6%) compared to the 2,064 (78.1%) eligible for Title 1. When all four of the legislative criteria are combined, there are fewer LEAs where HN schools are in the majority when the word 'identified' is operationalized to mean receiving Title 1 services. Presenting both approaches to how 'identified' may be operationalized, **Table 8** shows that 88.2% to 100% of participants at the TPP agencies are from HN LEAs if eligibility for Title 1 services is the criterion, while this percentage varies from 26.5% to 91.7% if receiving Title 1 services is the criterion.

Additional data analyses suggest SREC is serving participants from LEAs with the highest concentration of students in poverty (a characteristic of a HN school) and NCSU is serving participants from LEAs with the lowest concentration of students in poverty. As depicted in **Figure 1**, HPU, UNCG and WCU are serving LEAs where the collective concentration of low income students is similar to that seen for the state as a whole, while SREC is serving LEAs with

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[13] See Appendix B for the North Carolina legislation associated with the TPP program defining how a HN school may be identified.

[14] Datasets collected from the NCDPI website for this analysis were: a) Title I Schools 2017-18, b) 2016-17 Low-Performing Schools, Low-Performing Districts, Recurring Low-Performing Schools and Continually Low-Performing Charter Schools, and c) 2013-14 Entering 9th Graders Graduating in 2016-2017 or Earlier.

[15] Guidance bearing on eligibility for Title 1 services can be found in the Title 1 Handbook last updated in 2017: *All schools above 75%* [poverty] *must be served (i.e., provided with an allotment) unless comparable services can be demonstrated or all schools in the district are above 75%. This must happen prior to serving any schools below 75% poverty. Once the schools above 75% are served, the district may serve any other schools in rank order down to those at or above 35% poverty. When deciding which schools to serve under 75%, the LEA has the option to (1) continue serving schools in the district-wide ranking; or (2) serve schools in rank order by grade span groupings (e.g., K-5, K-8, etc.). Schools must not be skipped within the rank order method selected by the LEA.* See http://www.ncpublicschools.org/docs/program-monitoring/resources/titleia-handbook.pdf for the handbook.

[16] The Title 1 criterion is a dominant factor in the HN determination of individual schools and there are few additional schools added to the list of HN schools that are solely due to any of the other three criteria.

a higher concentration of low income students and NCSU is serving LEAs with a lower concentration of low income students.

| Table 8. Source LEAs for Participants and High Need Character of LEAs * | | | | | |
|---|---|---|---|---|---|
| **Program** | **Total # Enrolled** | **Source LEA** | **# Participants** | **Majority of Schools in LEA Eligible for Title 1** | **Majority of Schools in LEA Receiving Title 1** |
| *HPU* | Cohort III 17<br><br>Cohort IV 16 | Alamance-Burlington County | 2 | Y | N |
| | | Asheboro City | 3 | Y | Y |
| | | Cabarrus County | 1 | Y | N |
| | | Davie County | 2 | Y | N |
| | | Elkin City | 1 | Y | N |
| | | Guilford County | 7 | Y | Y |
| | | Lincoln County | 3 | Y | N |
| | | Mount Airy City | 1 | Y | N |
| | | Newton-Conover City | 1 | Y | N |
| | | Thomasville City | 1 | Y | Y |
| | | Vance County | 1 | Y | Y |
| | | Winston-Salem Forsyth County | 8 | Y | Y |
| | | Yadkin County | 2 | Y | N |
| | | *Percentage Participants from HN LEA* | | *100%* | *60.6%* |
| *NCSU* | Cohort II 34 | Chapel-Hill Carrboro City | 2 | N | N |
| | | Durham County | 4 | Y | Y |
| | | Edgecombe County | 3 | Y | Y |
| | | Granville County | 1 | Y | Y |
| | | Johnston County | 8 | Y | N |
| | | Vance Charter School | 1 | N | Y ** |
| | | Wake County | 14 | Y | N |
| | | Magellan Charter | 1 | N | N |
| | | *Percentage Participants from HN LEA* | | *88.2%* | *26.5%* |
| *SREC* | Cohort III 11<br><br>Cohort IV 13 | Anson County | 2 | Y | Y |
| | | Bladen County | 1 | Y | Y |
| | | Columbus County | 2 | Y | Y |
| | | Cumberland County | 3 | Y | Y |
| | | Harnett County | 1 | Y | Y |
| | | Hoke County | 3 | Y | Y |
| | | Lee County | 2 | Y | N |
| | | Montgomery County | 2 | Y | Y |
| | | Moore County | 2 | Y | Y |
| | | Richmond County | 2 | Y | Y |
| | | Robeson County | 2 | Y | Y |
| | | Scotland County | 1 | Y | Y |
| | | Whiteville City | 1 | Y | Y |
| | | *Percentage Participants from HN LEA* | | *100%* | *91.7%* |

| Program | Total # Enrolled | Source LEA | # Participants | Majority of Schools in LEA Eligible for Title 1 | Majority of Schools in LEA Receiving Title 1 |
|---|---|---|---|---|---|
| | | **Table 8 continued. Source LEAs of Participants and High Need Character of LEAs** | | | |
| *UNCG* | Cohort II 22 | Chatham County | 2 | Y | N |
| | | Davidson County | 3 | Y | N |
| | | Lee County | 2 | Y | N |
| | | Lincoln County | 1 | Y | N |
| | | Montgomery County | 1 | Y | Y |
| | | Person County | 3 | Y | Y |
| | | Randolph County | 3 | Y | Y |
| | | Rockingham County | 1 | Y | Y |
| | | Stanly County | 3 | Y | Y |
| | | Surry County | 3 | Y | Y |
| | | *Percentage Participants from HN LEA* | | *100%* | *63.6%* |
| *WCU* | Cohort II 13 *** | Asheville City | 3 | Y | N |
| | | Buncombe County | 2 | Y | Y |
| | | Henderson County | 1 | Y | Y |
| | | Jackson County | 2 | Y | Y |
| | | Rutherford County | 1 | Y | Y |
| | | Transylvania County | 1 | Y | Y |
| | | *Percentage Participants from HN LEA* | | *100%* | *70.0%* |

Notes

* The designation in Table 8 of a HN LEA is made only for LEAs where greater than half (> 50%) of the individual schools in that LEA are found to be HN. However, one HN criterion specified in the legislation is whether a middle school feeds into a HN high school with less than a 60% graduation rate, in which case the middle school should also be designated HN. While there are very few high schools in the state with less than a 60% graduation rate and those that are evident are often high schools for special needs students, still, it is possible the analysis of HN LEAs reported in Table 8 underreports the number of LEAs that meet one or more of the HN criteria specified in the legislation, especially where LEAs have been found to be at or just below the 50% mark for number of schools designated HN should that LEA also have a high school with graduation rate below 60%. If questions are raised regarding the HN designation of individual LEAs, it could be useful to additionally investigate if one or more middle schools not found to be HN in the current analysis might be a feeder to a HN high school that has a graduation rate less than 60%, which could result in a 'majority' of schools in the district meeting the HN definition.
** The NCDPI 2017-18 Title 1 dataset shows Vance Charter School has 23.07% low income students but is reported to be receiving Title 1 targeted assistance.
*** LEAs for the three additional participants at WCU are unknown at the time of this report.

**Figure 1. Percentage of Low Income Students When Combined for All LEAs with TPP Participants by TPP Provider**
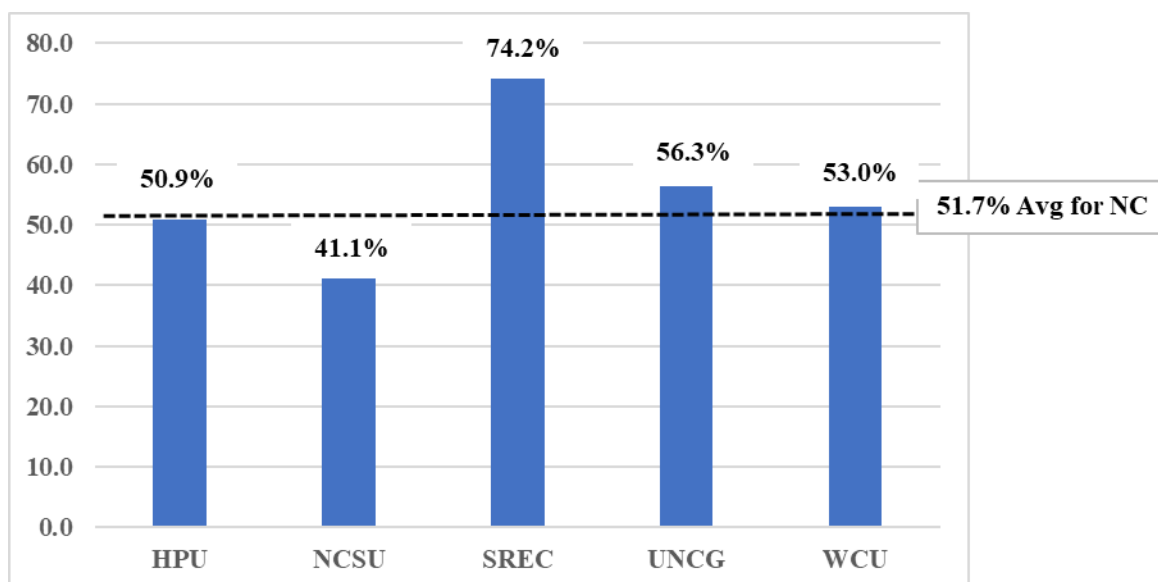


Additional LEA(s) with which TPP programs are currently partnering, but from which participants were not selected for the most recent cohorts are listed in **Table 9**.

| Table 9. Program Partnerships with LEAs | |
|---|---|
| **TPP Program** | **Additional LEA Partners** |
| *NCSU* | Bertie County Schools<br>Duplin County Schools<br>Franklin County Schools<br>Greene County Schools<br>Halifax County Schools<br>Hertford County Public Schools<br>Lenoir County Public Schools<br>Martin County Schools<br>Nash-Rocky Mount Public Schools<br>Northampton County Schools<br>Roanoke Rapids Graded School District<br>Warren County Schools<br>Washington County Schools<br>Wilson County Schools |
| *WCU* | Chapel Hill Carrboro City Schools<br>Cherokee Central Schools<br>Gaston County School<br>Guilford County Schools<br>Haywood County Schools<br>Lincoln County Schools<br>Randolph County School System<br>Rowan Salisbury Schools<br>Swain County Schools<br>Wake County Public Schools<br>Wilkes County Schools<br>Winston-Salem Forsyth County Schools |

### E. Program Participant Progress Toward Degree/License

In order to address NC S. Law 2015-241, Section 11.9.f (Item 2d) and 11.9.h (Item 2a) and meet the complex demands of school leadership particularly in high needs communities and schools, programs are to implement "*rigorous coursework that effectively links theory with practice through the use of field experiences and problem-based learning*" that prepares participants to "*1) Provide instructional leadership, such as developing teachers' instructional practices and analyzing classroom and school-wide data to support teachers; 2) Manage talent, such as developing a high-performing team; 3) Build a positive school culture, such as building a strong school culture focused on high academic achievement for all students, including gifted and talented students, students with disabilities, and English learners, maintaining active engagement with family and community members, and ensuring student safety; and 4) Develop organizational practices, such as aligning staff, budget, and time to the instructional priorities of the school.*" **Table 10** presents a summary of the number of credit hours projected to be completed by current program participants through December 2018.

| Table 10. Progress of Participants Toward a Degree/License: November 2018 | | |
|---|---|---|
| **Completed Credit Hours** | **Program Participant #** | **TPP Program** |
| 0 (have not yet completed any credit hours) | 17 enrolled in 6 credit hours | *HPU* |
| | 10 enrolled in 9 credit hours | *WCU* |
| | 22 | *UNCG* |
| 1-3 | | |
| 4-6 | 34 | *NCSU* |
| | 13 | *SREC* |
| 7-9 | | |
| 10-12 | | |
| 13-15 | | |
| 16-18 | | |
| 19-21 | | |
| 22-24 | 11 in December 2018 | *SREC* |
| 25-27 | | |
| 28-30 | | |
| 31-33 | | |
| 34-36 | | |
| 37-39 | | |
| >39 | | |
| Licensed as Principals | 8 eligible in December 2018 | *SREC* |
| Awarded P.M.C. | | |
| Awarded M.S.A. | | |
| Awarded M.Ed. | | |

### F. Salaries and Stipends During Internship

In order to address NC S. Law 2015-241, Section 11.9.f (Item 2e), programs are to implement "*full-time clinical practice of at least five months in duration in an authentic setting, including substantial leadership responsibilities where candidates are evaluated on leadership skills and effect on student outcomes as part of program completion*." For the mid-year report, each program was asked to provide information regarding salaries/stipends for the participants during the clinical practice internship, how the program determines salaries/stipends, and their sources and amounts. Programs also reported the estimated percentage of participant salaries/stipends

during the clinical internship that will be supported with TPP grant funds, reported in **Table 11**.

It is important to note that a number of the programs (NCSU, WCU, UNCG) indicate North Carolina's MSA funds will be used to support in whole or part the expense of salaries/stipends during the internship. MSA funds are outside the TPP funds, being an additional source of funding that TPP Providers can access if the internship will be at least a 10-month internship.

| Table 11. TPP Funds Supporting Salaries for Participants During Internship | |
|---|---|
| **Program** | **Estimated Percentage and Source** |
| *HPU* | 100% TPP funding (Note: HPU also reports, *LEA is responsible for any additional cost per candidate's salary + fringe.*) |
| *NCSU* | None. The MSA Internship state funding will be used. |
| *SREC* | TPP funds fully replace salaries during the internship for 100% of the participants. |
| *UNCG* | To hold students' salaries harmless, roughly 30% of the costs of salary/stipends/fringe will be paid by the TPP grant, pending receipt of full-time MSA stipends. |
| *WCU* | TPP grant funding will support interns' fringe benefits while salaries will be supported by MSA Internship State funding ($41,650/intern). If interns earn more than this amount, the TPP grant will make up the difference, holding interns harmless. The present estimation is the TPP grant will cover roughly 40% and MSA Internship funding 60%. |

**Table 12** provides a summary of sources of funding sources being used by the TPP programs to support the salaries/stipends for participants during the period of their internship.

| Table 12. Sources of Funding Supporting Participant Internship Salaries/Stipends | | | |
|---|---|---|---|
| **Program** | **TPP Funds** | **LEA Funds** | **Other** |
| *HPU* | Yes | LEA is responsible for any additional cost per candidate's salary + fringe | |
| *NCSU* | No | Health insurance | NC MSA Internship |
| *SREC* | Intern salaries & benefits | LEAs pay local supplements for all interns | |
| *UNCG* | • To pay gap difference between participants' current salaries and entry level of AP state salary schedule for salary replacement. In other words, NCASLD grant funds will "hold harmless" participants such that they will not have to take a pay cut during internship.<br>• To provide a summer stipend for interns during 2019 and 2020.<br>• To pay fringe for "At Large" participants (see "other" column) | LEA partners will pay interns' fringe (e.g., healthcare), except for "At Large" participants. | • Will apply for full-time MSA stipend through NCPDI to support a base salary. Due to distribution of strong applicants, 3 (Davidson, Person, & Randolph Counties) of 22 participants exceeded district allotments for program participation. Fringe benefits for these "At Large" participants will be paid by grant instead of sponsoring districts and they can fulfill required 4 years of service in any PPEERS partner district (i.e., not required to fulfill in sponsoring district. |
| *WCU* | Yes | | NC MSA Internship |

**Table 13** provides descriptions of how each program determines participant salaries/stipends during the clinical internship, whether a fixed amount that is the same for all participants or a variable amount based in some manner on participant characteristics.

| Table 13. Determination of Participant Salaries/Stipends | |
|---|---|
| **Program** | **Determination Process** |
| *HPU* | LEAs are reimbursed $25,000 per candidate |
| *NCSU* | Typically, participant salaries/stipends during the clinical internship are a variable amount based upon participant characteristics such as working in a year-round school and where they are on the salary scale. |
| *SREC* | Salary & benefits are paid the same for all participants based on the state salary scale: degrees, years of experience, NCBT status. |
| *UNCG* | Participants' current salaries are matched upon entering the internship. These costs vary from participant to participant. For PPEERS cohort I, the fixed figure of the entry level on the AP state salary schedule was used, which was insufficient to recruit high-quality, experienced educators for PPEERS cohort II. |
| *WCU* | Participant salaries during internship will vary. Each LEA liaison has been requested to provide information on the intern's (their employee's) salary distribution including salary/wages, fringe benefits and any additional allocations. Once received, it will be used to determine the amount of TPP funding to be applied to each intern to support fringe benefits. Their salaries will be supported by MSA Internship funding. If interns earn more than $39,000, the TPP grant will make up the difference, holding interns harmless. |

## G. Other Program Expenses

**Table 14** reports other program operating expenses supported, in whole or in part, with funds from sources other than the TPP grant.

| Table 14. Additional Operating Expense Support | | |
|---|---|---|
| **Program** | **Operating Expense(s)** | **Source of Funding** |
| *HPU* | Allow a reduced cost for tuition, for cohort models. | Affiliates such as BB&T and PTEC offer their institutes at no cost. CCL provides an educational discount. |
| *NCSU* | None. | |
| *SREC* | Meals & facility expenses for Mentor Principals during trainings, meals & related costs for interns & staff for working meetings, and supplies to support classes. | SREC |
| *UNCG* | Allocation of faculty line to compensate Dr. Hewitt's home department to free her time to be fully focused on PPEERS (includes fringe; salary is shared between Office of Provost and Dean's Office within School of Education). Dean's Office has also allocated funds to cover 45% of Assistant Director's salary (position is .5 FTE) and 25% of Hewitt's salary. | Office of the Provost and Dean's Office within the School of Education at UNCG |
| *WCU* | None. | |

## H. Institutional Personnel Employed with TPP Funds

For the 2018-19 mid-year report, TPP Project Directors were asked to indicate how employees of the institution were supported with TPP funds (e.g., Principal Investigators, faculty, staff, graduate assistants, etc.) and to provide full-time equivalent (FTE) estimates for the percentage of their time as an employee devoted to TPP roles/responsibilities. In an effort to standardize FTE calculations across the five TPP agencies and the varied types of personnel being employed,

instructions were provided in the template for the mid-year report that was distributed to the Providers for how to calculate this figure. [17] While it is not known how closely the respondents adhered to these instructions, in most instances the number of personnel and FTE figures reported by the TPP Providers on their mid-year report were accepted. The TPP approved budgets, budget narratives and the first quarter invoices for Jul-Sep 2018 submitted by the Providers were also reviewed to gather information on personnel and FTE estimates.

There is considerable variation in the number of individuals being supported with TPP funding as employees at each TPP institution. Considering individuals with at least 8.3% FTE commitment,

- HPU and WCU each identify 1 individual,
- SREC and UNCG each identify 3 individuals, and
- NCSU identifies 10 individuals.

Some of this variation might be explained by the number of participants each program serves; however, that cannot be the sole factor. For instance, HPU and NCSU will serve 33 and 34 participants, respectively.

### I. Feedback from Program Partners/LEAs

To address NC S. Law 2015-241, Section 11.9.f (Item 2i), programs should include "*a process for continuous review and program improvement based on feedback from partnering local school administrative units and data from program completers, including student achievement data*". In addressing Section 11.9f (Item 2j), programs should establish relationship and feedback loops "…*with affiliated local school administrative units that is used to inform and improve programmatic elements from year to year based on units' needs*". The TPP programs use multiple formal and informal data from varied sources to identify and implement program improvements. Each program provided a description of its process for gathering feedback from program partners/LEAs as well as any resulting planned program changes. This information is presented in **Table 15**.

| Table 15. Program Partner/LEA Feedback | | |
|---|---|---|
| **Program** | **Process** | **Planned Changes** |
| *HPU* | Feedback is gathered through direct conversations with superintendents/liaisons as well as quarterly meetings. Feedback is gathered regularly from our candidates. | Adjustments were made to the 2018-19 program by extending the program from one year to one and a half years. One scheduling change was made—the BB&T Leadership Institute was moved to earlier in the program and a new facilitator was used. Additional changes consisted of adding a tour of the campus during orientation and bringing supervising principals/mentors and their interns together for initial training. |

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[17] The Grant*Prose* directions stated: *If the individual will work on a monthly basis, use a 12-month calendar for the period July 1st 2018 through June 30th 2019, and report the percent of time and effort the individual will be employed to work on the TPP program. For example, if an individual will be employed for the equivalent of 1.2 months out of 12, the percentage is 10%. If the individual will work on a daily or hourly basis, estimate the days or hours for the year and use 250 days or 2000 hours for the denominator.*

| Table 15 continued. Program Partner/LEA Feedback | | |
|---|---|---|
| **Program** | **Process** | **Planned Changes** |
| *NCSU* | Periodic check-ins with designated contacts and/or superintendents as well as surveys. Discussions continually focus on district and program expectations for fellows in efforts to ensure support and alignment and continuity of learning experiences. | Planned program changes focused on scheduling of courses, specialized training and field experiences to take into consideration district calendars particularly for Year-Round schools. |
| *SREC* | Information is shared and feedback is requested monthly or every two months at regional meetings for Superintendents, HR Directors, Finance Officers, Curriculum/PD Leads. In addition to face-to-face, information is shared and/or feedback requested via emails and group conference calls to central office members, Mentor Principals, interns, PDP staff. | None at this time. |
| *UNCG* | In Spring of 2018 we held a series of three regional Stakeholders Meetings to review and revise our selection process and to ensure common understanding of our recruitment strategies, including intentional efforts to recruit people of color.<br><br>We held a Stakeholders Meeting in June 2018 to review internal program evaluation data collected by OAERS in the Benchmark 3 report and to make revisions to the PPEERS program.<br><br>We held a Curriculum Day in July 2018 to review the PPEERS curriculum with LEA partners and to make adjustments to it. During PPEERS, we are keeping a running record of feedback and resulting program changes. | Major changes to the selection process included 1) having LEA partner school and district leaders participate as assessors during Interview Day; and 2) having UNCG and partner LEAs reach consensus on whom to select into the program after completion of Stage 2 of the application process.<br><br>A major change made is the process for selecting Mentor Principals, which will include consensus decisions by UNCG and LEA partners focused on selecting strong school leaders from high-needs schools with interest in and capacity for mentoring.<br><br>Revisions included shifting when certain courses are offered, adjusting which standards are situated within which courses, making adjustments to major assignments to make them more field-relevant, incorporating a requirement to include a practitioner component in each course (e.g., instructor, co-instructor, guest instructor, panelists), etc. |
| *WCU* | • Monthly Superintendent's Council meetings feedback<br>• LEA-WCU Liaisons feedback<br>• WRESA faculty feedback<br>• WCU Education Leadership and NCSELP faculty<br>• WCU College of Education and Allied Professions feedback<br>• Educational Leadership Advisory Council feedback | None at this time. |

**J. Self-initiated Evaluation Activities**

In addition to gathering feedback from program partners/LEAs, programs implement self-initiated evaluation activities. A description of the activities implemented to date, as well as any significant findings from such activities, is presented in **Table 16**.

| Table 16. Program Evaluation Activities | | |
|---|---|---|
| **Program** | **Activities** | **Findings** |
| *HPU* | Candidates complete evaluations for all affiliate activities, all courses, and share recommendations with their coaches and the project director throughout the program. | At this point, there are no noted significant findings. |
| *NCSU* | Fellows are required to complete exit tickets after every class session as well as surveys for specialized trainings and field experiences. | Significant findings indicate the fellows are focusing on their use of Dale Carnegie skills and Covey habits, which improve their interpersonal relations as well as self-awareness in becoming a leader. |
| *SREC* | We are working with UNC-P to gather additional data through Taskstream such as information regarding school tasks and Intern ratings by Mentor Principals. | |
| *UNCG* | The Office of Assessment, Evaluation, and Research Services (OAERS) has developed an evaluation plan (created logic model, identified evaluation questions, indicators, data sources and data collection methods) and identified all data that will be used as a baseline across all program components for PPEERS. Additionally, the PPEERS team has collected baseline student performance data from the Interview Day, which we are using to inform instruction and will use to monitor student performance and growth over the duration of the program.  We also collect perceptual data about each element of the program. | The first benchmark internal evaluation report will not be available until May 2019. That said, formative perceptual data collected from participants have already informed instructional adjustments, such as increased emphasis on cultivating data literacy. |
| *WCU* | None at this time. | |

**K. Unexpected Program Barriers or Challenges**

As part of the mid-year report, programs were asked to describe any unexpected barriers or challenges encountered to date, as well as strategies for overcoming them. This information is presented in **Table 17** below.

| Table 17. Unexpected Barriers or Challenges | | |
|---|---|---|
| **Program** | **Barriers/Challenges** | **Strategies for Overcoming** |
| *HPU* | None at this time. | |
| *NCSU* | One of the unexpected barriers we have encountered to date is shifting/changing programs goals that cause rethinking and/or making revisions to our program that would meet (at minimum) those expectations. Another challenge has been forging ahead despite lack of timely responses from NCASLD. | |
| *SREC* | The two hurricanes presented scheduling problems for us because our LEAs and communities were dramatically impacted by the storms. It was necessary to cancel three Wednesday sessions and then to find days to make these up in order to ensure our Interns were receiving the full program as planned. | With support from our LEAs, we were able to make the necessary adjustments and now feel good about the time and work. |
| *UNCG* | We struggled as a partnership to recruit enough high-quality applicants. Based on anecdotal evidence, we surmise that, in general, teachers are increasingly reluctant to go into administration, due to mounting accountability pressures, low pay, limited resources, and high stress associated with the position. Further, we learned many of the experienced, high-quality teachers we sought to recruit would have to take a sizable pay cut (over $10,000) to participate in the program because the salary replacement was set at the entry year level on the AP state salary schedule. Indeed, in June of 2018, in the midst of the application timeline, we reworked our budget and decided to rely on the full-time MSA stipend funds in order to match participants' salaries during the internship. It was only with these adjustments that we were able to recruit and select a strong cohort of 22. | Interestingly, despite lower numbers of applicants to the program, our overall applicant pool was stronger with Cohort 2, largely due to tapping by school/district leaders of high-potential teacher leaders, and we feel more confident about this cohort's future as school leaders. |
| *WCU* | None at this time. | |

## L. Program Successes

Despite varied challenges, the programs have experienced multiple successes during this reporting period as described in **Table 18**.

| Table 18. Program Successes | |
|---|---|
| **Program** | **Successes Experienced** |
| *HPU* | This is a very strong cohort. Their writing and presentation skills are excellent; their pedagogical knowledge is particularly noteworthy. |
| *NCSU* | 1) All fellows completed Summer Intensive 2018 including culminating activity that demonstrated their understanding of the 14 topics/specialized training in which they were engaged;<br>2) Fellows are continually discerning their "why" as a result of BB&T leadership training and reference to the importance of understanding their "why" for leading; Building relationships among and between cohort members by understanding trust as a result of participating in a Ropes Course;<br>3) Bonding as a cohort;<br>4) One fellow has already been hired to be an Assistant Principal;<br>5) Fellows participation in Social Justice mini-retreat as an introduction to Fall course Education and Social Diversity and preparing them to lead as educators using an equity lens;<br>6) Evidences of making connections between topics discussed in courses and summer intensive specialized trainings;<br>7) JPLA fellows were asked by JCPS officials to participate at a county-wide Ignite session. Presentation topics are as follows:<br>   a) Personalized Learning: Less Stress more Success<br>   b) Different Not Less<br>   c) Ignite Motivation<br>   d) Fire Up Your Vocabulary Instruction<br>   e) Intellectual Safety for creating a Culture of Positive Learning;<br>8) Viewing school cultures and talking to current school leaders during several site visits including AB Combs and the Ron Clark Academy;<br>9) Honing instructional skills through coursework;<br>10) Applying those new skills this year in the classroom as well as becoming change agents for equity in their school community;<br>11) WPLP Fellows have participated in virtual 1:1 meetings with their cohort director via Google Hangout to share their goals and growth thus far.<br>12) Widening their view of effective schools by participating in school visits;<br>13) Rotation of assigned partners for class meetings are developing their personal skills in working with others as well as more about their peers;<br>14) Beginning to develop an understanding of skills necessary for a successful leader;<br>15) The WPLP cohort was observed in class and at their A.B. Combs debriefing session by representatives of the Wallace Foundation. Two fellows in that cohort were interviewed.<br>16) Fellows are assessing through exit tickets for each session their engagement as well as their cohort mates. Other pertinent information is gathered regarding attendance, lateness and the opportunity to provide comments. |
| *SREC* | To date, 3 interns of the current 24 have been named as Assistant Principal, and these are receiving personalized attention and coaching. These 3 are among the 11 Cohort III participants. Cohort IV has just begun coursework this Fall semester, and potential appointments are anticipated at the end of the fiscal year. |
| *UNCG* | While in the first semester of this cohort's program, participants are showing strong promise, based on their academic work and fieldwork. They are incredibly hardworking, evince a growth mindset, and regularly go above and beyond what is being asked of them. |
| *WCU* | • 10 new TPP Scholars<br>• Attended Leadership for Social Justice Institute, UW-Madison<br>• Enrolled in EDL 793, Leadership for Equity and Social Justice (with doctoral students) |

## M. Future Plans and Funding Prospects

**Table 19** below provides a brief summary of future plans reported by the programs and funding prospects for sustaining or expanding program operations.

| Table 19. Future Plans of TPP Provider Agencies | |
|---|---|
| **Program** | **Future Plans** |
| *HPU* | The Program Director keeps a watch for future funding possibilities, i.e., grants. |
| *NCSU* | The program's ultimate goal is to sustain an exceptionally effective principal preparation program. In light of unanticipated budgetary as well as programmatic changes, we have no choice than to seek additional funding sources that will support the innovative, authentic learning experiences that assist in developing, preparing and shaping educators to be efficacious, extraordinary leaders. |
| *SREC* | We anticipate welcoming Cohorts 5 and 6 into the program. Each will serve a five-month internship in the Fall (2020 and 2021) unless we are able to find additional funding support to allow internships in fall 2020 and spring 2021. |
| *UNCG* | We have been asked by NCASLD to increase our cohort size to 25 for our third cycle. At this point, given rising costs (e.g., tuition, fees, salary, fringe, etc.) and flat or decreasing funding amounts by NCASLD and the uncertainty of the full-time MSA stipend, we wonder about "making the numbers work." That said, we are committed to this work and to our partner districts and are optimistic that we will find a way. |
| *WCU* | We will work to maintain all of the program components that the TPP Grant affords even if the funds cease. Although we consider all of the components to be necessary in the development of excellent, transformational school leaders, we recognize that we cannot rely on the TPP funding. If the resources end, we will certainly seek additional funding from other sources. In our present role as university faculty, we are consistently seeking out grants and other sources of funding to improve our school leadership programming.  Unfortunately, those grant funds are quite competitive and often fall to R01 institutions, not regional comprehensives like WCU. If we do not have supplemental funding--outside of student tuition and state sponsored initiatives (Principal Fellows and MSA Interns program), we will likely have to cut down on the number of released, administrative internships, remove academic conference travel, and lose both the internship mentor training and collaborative coaching program. |

# ANALYSES OF 2018-20 BUDGET PROPOSALS

It is important to understand that the budget figures analyzed in this report are derived from the budget proposals NCASLD has approved for each TPP Provider agency. The budget proposals reflect 'projected' expenditures for the 2018-20 years rather than 'actual' expenditures which Grant*Prose* separately analyzes after each quarter following agencies submitting their TPP invoices to NCASLD.

As shown in **Figure 2**, NCSU is managing the largest TPP award and WCU is managing the smallest award.

**Figure 2. Total Value of 2018-20 TPP Awards**
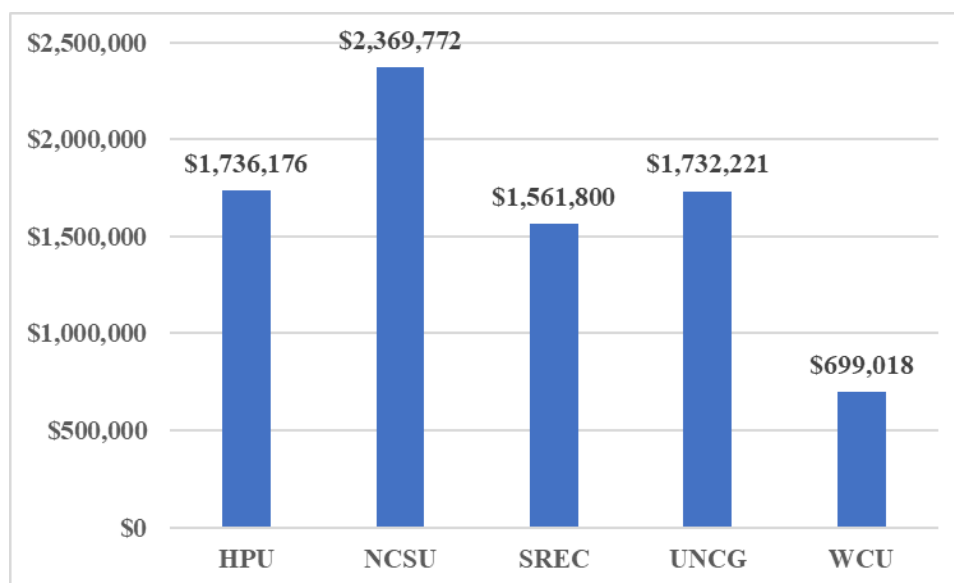


**Figures 3 and 4** present two approaches for analyzing per participant costs at each TPP Provider agency. **Figure 3** calculates per participant costs when the total 2018-20 budget is used as the denominator in the calculation (with number of participants being the numerator). However, one of the major expenses—participant salaries/stipends during their internship—is handled differently at the TPP Provider agencies with some agencies relying largely on TPP funds to support this expense and other agencies accessing MSA funds for this expense. Also, the agencies have different approaches to whether they will 'hold harmless' participants' salaries during the internship relative to what they earned in their prior position in the school district. In **Figure 4**, funds that the TPP agencies have budgeted for salaries/stipends have been removed from the per participant calculation, providing what might be a better comparison of apples to apples.

**Figures 3 and 4** show that there are differences in per participant costs depending on how salaries/stipends are handled. In **Figure 3**, with participant salaries/stipends included in the calculation, UNCG has the highest per participant cost followed by NCSU. In **Figure 4**, with participant salaries/stipends removed, NCSU has the highest per participant cost followed by UNCG. In both figures, HPU, SREC and WCU have relatively lower per participant costs.

**Figure 3. Average Per Participant Cost** (with number of participants shown in parentheses)
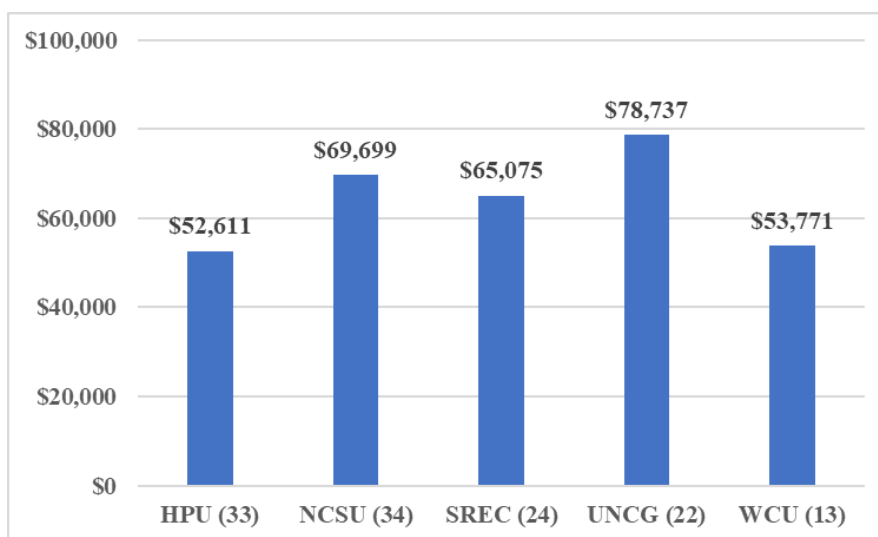


**Figure 4. Average Per Participant Cost Less Participant Salaries/Stipends** (with number of participants shown in parentheses)
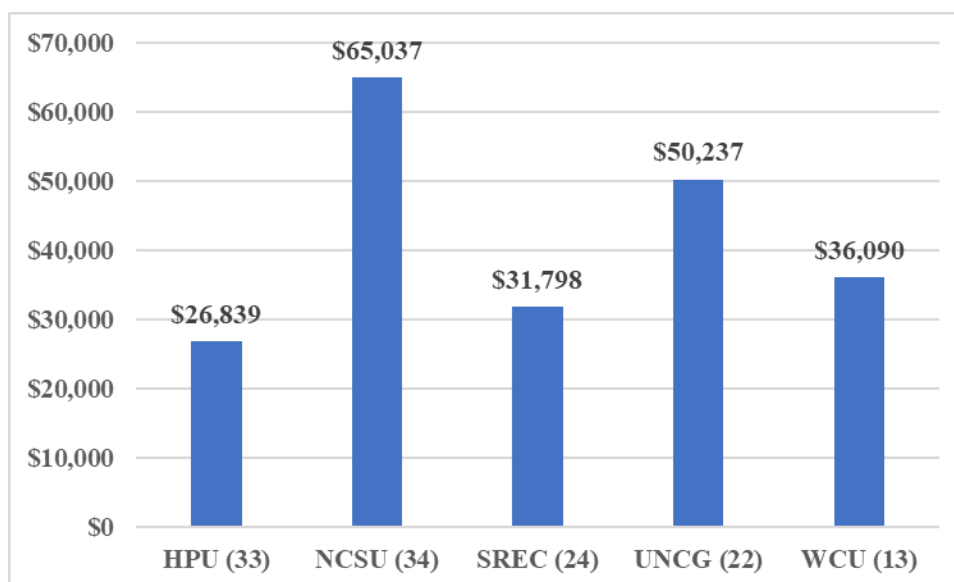


There is wide variation in how the TPP Providers budgeted their proposed use of TPP funds for the 2-year 2018-20 period and the following discussion presents an analysis of these budget proposals. [18, 19] While the budgets made use of a common set of budget categories, how

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[18] SREC submitted a 3-year budget; however, the analyses reported in this report are only for the 2018-20 2-year period so as to be comparable to the other 2-year TPP budgets.

particular expenses that had similar purposes were assigned to the budget categories often differed among the TPP Providers. Accordingly, the information provided in this report presents a 'secondary' analysis of the TPP budgets in an effort to align like expenses. A number of new expense categories are created for this secondary analysis, particularly for the purpose of distinguishing 'institutional' expenses to manage and implement the program from those that most directly support the participants, the LEAs, and the Executive Coaches. **Table 20** provides a description of the secondary budget categories used in this analysis and the type of expenses included in each category.

| Table 20. Description of Budget Categories for Secondary Analysis | |
|---|---|
| **Institutional Expenses** | |
| Personnel | Individuals carried as employees by the TPP institution including faculty, other staff, hourly employees, and graduate assistants. Personnel are distinguished from contractors on the basis of Personnel being paid one or more fringe benefit(s) by the institution while contractors are not paid fringe benefits. |
| Fringe Benefits | Fringe benefits for institutional personnel are associated with the payments made to Personnel and include FICA, retirement, hospitalization, etc. |
| Travel | Travel expenses for institutional Personnel include vehicle mileage, airfare, conference registration, hotel lodging, ground transportation, per diem, etc. |
| Materials/Supplies | Material and supply expenses for institutional operations and Personnel include textbooks that are purchased for the use of faculty and staff. |
| Contractual | Includes contracts with private vendors to provide services such as speaking engagements, training programs, leadership institutes, retreats, and the like. |
| Other | Tuition and fees paid for Graduate Assistants. |
| Indirect | Indirect Cost charged by the Institution to the grant program, not to exceed 8% of all direct costs. |
| **Participant Expenses** | |
| Participant Tuition | Includes costs of participant tuition and fees. |
| Participant Stipends | Includes stipends and fringe benefits, if any, paid to participants during their internship and at other times. |
| Participant Other | Includes expenses for participant books associated with university courses, membership fees, travel, lodging, registration and per diem for TPP events, etc. |
| LEAs | Includes costs of LEA substitutes needed by the participants and stipends paid to principal mentors. |
| Executive Coaches | Contractual expenses paid to Executive Coaches, including coaches' fees, travel and conference registration if any. |

**Institutional Expenses Compared to Participant Expenses**

The total of the 2-year 2018-20 budgets for all TPP Providers was $8,098,987. [20] Of this total, $2,666,646 (32.9%) was devoted to institutional expenses and $5,432,342 (67.1%) was devoted to participant expenses. [21] However, when the totals are disaggregated by TPP Provider, there is

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[19] The analyses in this report reflect the budgets submitted at the time the TPP Provider agencies were renegotiating their contract with NCALSD and will not reflect changes to these budgets that may have occurred since, such as the three additional students that WCU added to its TPP program.
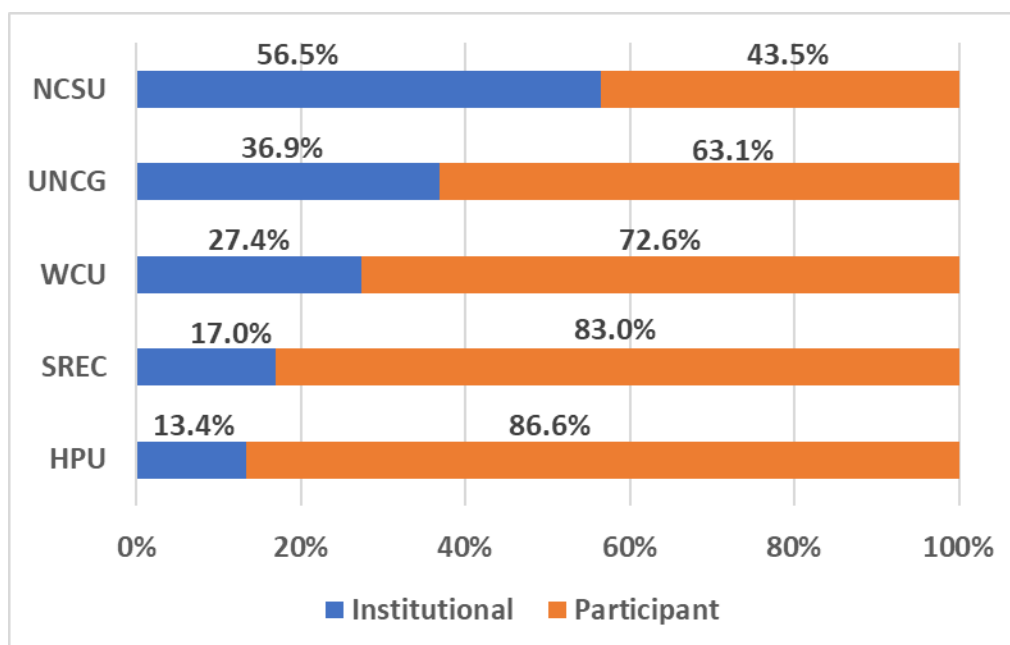
[20] Figures in these analyses have been rounded to the nearest dollar and may differ by a few dollars from that found on the TPP budgets due to rounding effects.

[21] It is important to appreciate that the secondary analysis of TPP budgets described in this report is derived from the budget proposals that were submitted to NCASLD when the Providers renegotiated their awards for 2018-20. The analysis does not reflect actual expenditures recorded during this period; it is a certainty that actual expenditures will deviate by some amount from proposed expenditures.

considerable variation in how much funding the different TPP Providers budgeted for institutional and participant expenses, as shown in **Table 21**. HPU budgeted the smallest percentage of their TPP funds for institutional expenses (13.4%) and NCSU budgeted the largest percentage for institutional expenses (56.5%). Conversely, HPU budgeted the largest percentage of their TPP funds for participant expenses (86.6%) and NCSU budgeted the smallest percentage for participant expenses (43.5%). **Figure 5** depicts the percentages that each TPP Provider budgeted for institutional and participant expenses.

| Table 21. Comparing Institutional and Participant Expenses | | | | | |
|---|---|---|---|---|---|
| **Program** | **Institutional Expenses** | | **Participant Expenses** | | **Total Award** |
| | **Amount** | **Percentage** | **Amount** | **Percentage** | |
| HPU | $232,217 | 13.4% | $1,503,959 | 86.6% | $1,736,176 |
| NCSU | $1,337,972 | 56.5% | $1,031,800 | 43.5% | $2,369,772 |
| SREC | $265,261 | 17.0% | $1,296,539 | 83.0% | $1,561,800 |
| UNCG | $639,418 | 36.9% | $1,092,803 | 63.1% | $1,732,221 |
| WCU | $191,778 | 27.4% | $507,240 | 72.6% | $699,018 |
| TOTAL | $2,666,646 | 32.9% | $5,432,342 | 67.1% | $8,098,987 |

**Figure 5. Comparing Institutional and Participant Expenses as a Percentage of Each 2-Year TPP Budget**
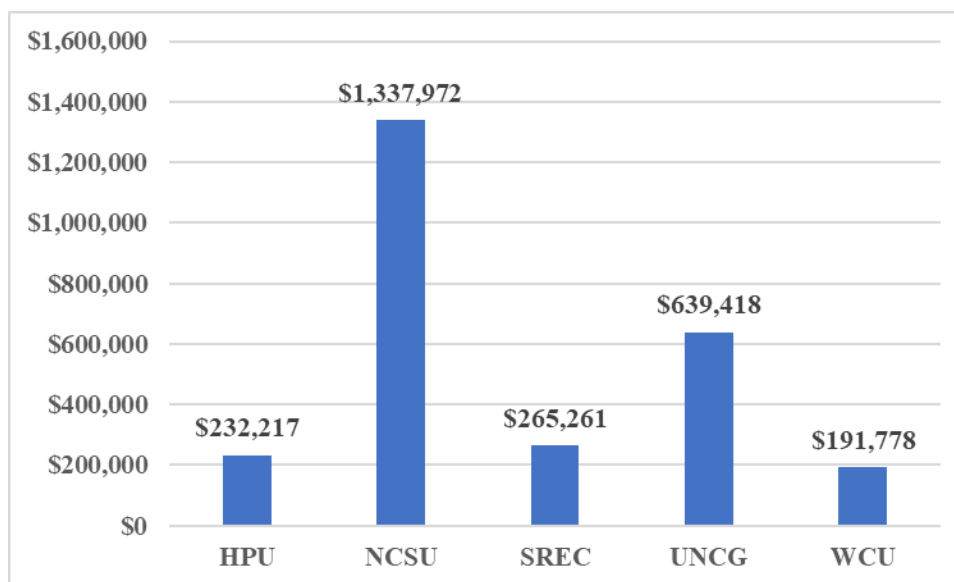
**Analyzing Institutional Expenses**
When the institutional expenses are analyzed by budget category for each TPP Provider, there is also considerable variation in how the Providers budgeted for their institutional expenses. **Table 22** shows that the largest dollar amount for any of the institutional expense categories is at NCSU where almost $1M is devoted to Personnel and Fringe Benefits.

| Table 22. Institutional Expenses by TPP Provider and Budget Category | | | | | | | |
|---|---|---|---|---|---|---|---|
| Program | Personnel & Fringe | Travel | Materials/ Supplies | Contractual | Other | Indirect | Total |
| HPU | $40,010 | $9,919 | $0 | $129,700 | $0 | $52,588 | $232,217 |
| NCSU | $992,673 | $19,785 | $2,000 | $113,976 | $34,000 | $175,538 | $1,337,972 |
| SREC | $105,302 | $50,000 | $587 | $35,000 | $0 | $74,372 | $265,261 |
| UNCG | $486,531 | $19,850 | $6,734 | $46,283 | $0 | $80,020 | $639,418 |
| WCU | $47,018 | $30,000 | $17,430 | $45,550 | $0 | $51,779 | $191,778 |
| TOTAL | $1,671,534 | $129,554 | $26,751 | $370,509 | $34,000 | $434,297 | $2,666,646 |

**Figure 6** provides a visual depiction of how much total funding each TPP Provider devotes to institutional expenses.

**Figure 6. Total of 2018-20 Budgets for Institutional Expenses by TPP Provider**

Using the secondary budget categories indicated in **Table 22** above, **Figures 7 through 12** depict the institutional expenses when analyzed by their percentage of the total budgets for each TPP agency, along with the dollar amounts associated with these expenses at each agency.[22]

**Figure 7. Two-Year Total of <mark>Institutional</mark> Expenses for <u>Personnel and Fringe Benefits</u>**
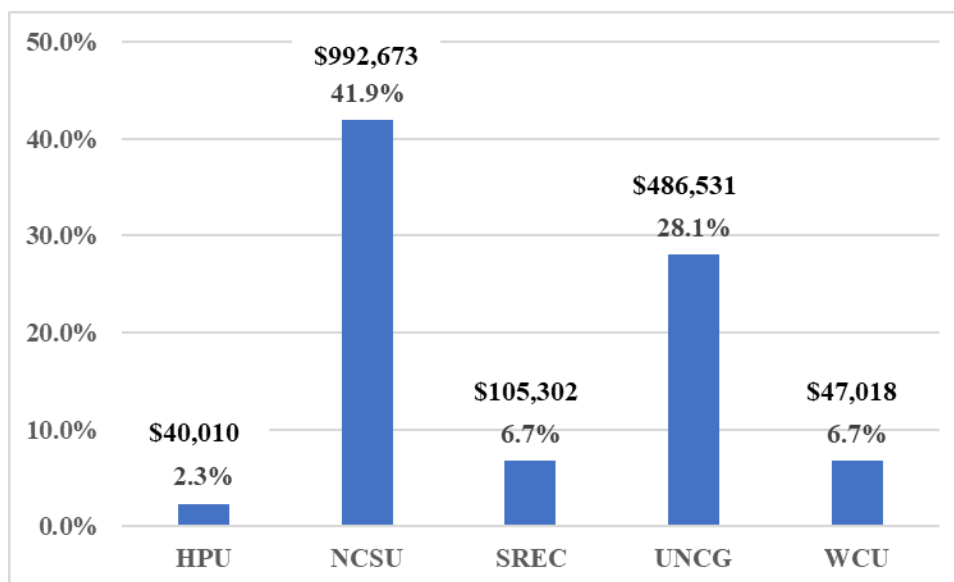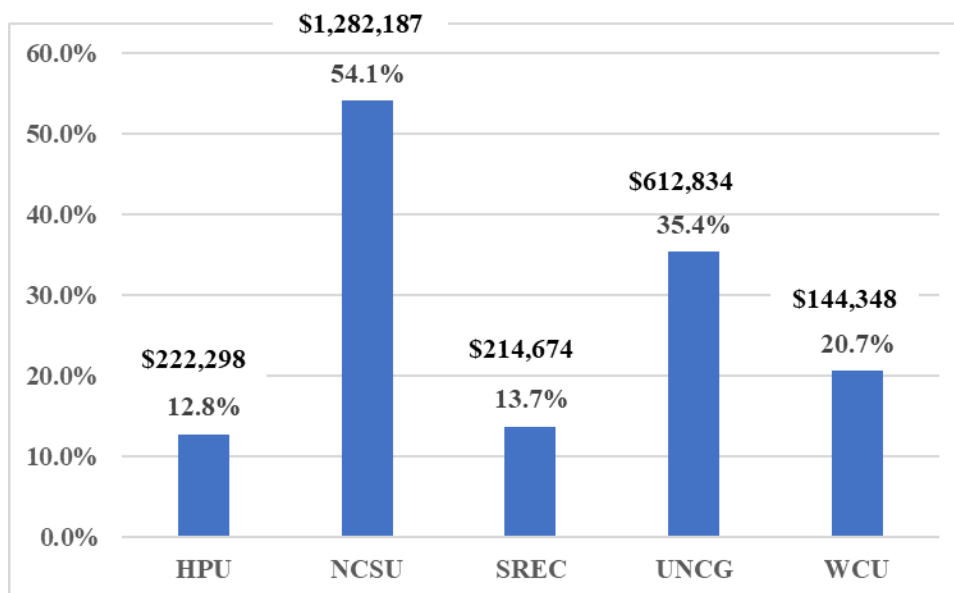


**Figure 8. Two-Year Total of <mark>Institutional</mark> Expenses for <u>Personnel</u>, <u>Fringe Benefits</u>, <u>Contractual Services</u>, and <u>Indirect Costs</u> by TPP Program**



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[22] A figure for the 'Other' category associated with institutional expenses is not presented due to how only NCSU had an expense classified in this category, being $34,000 for Graduate Assistant tuition.
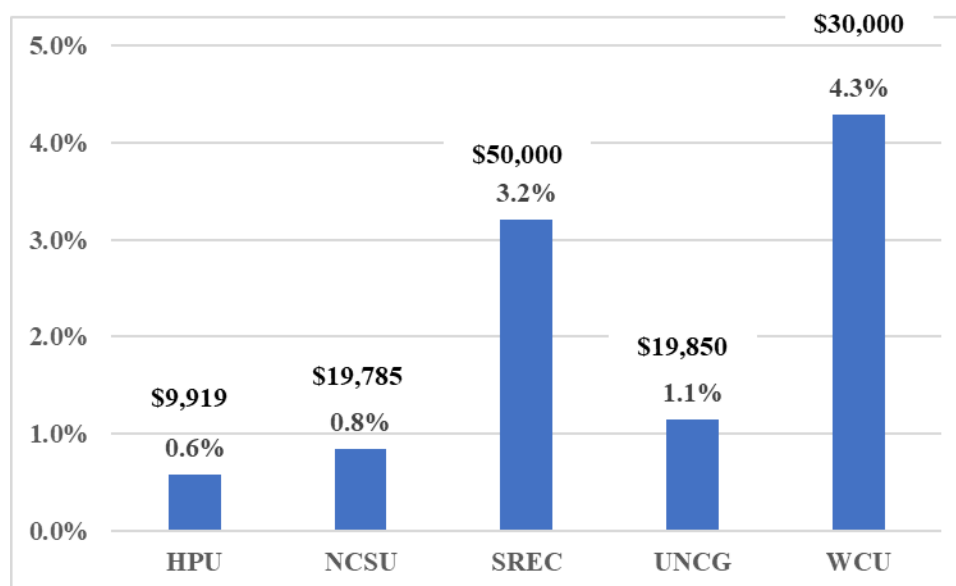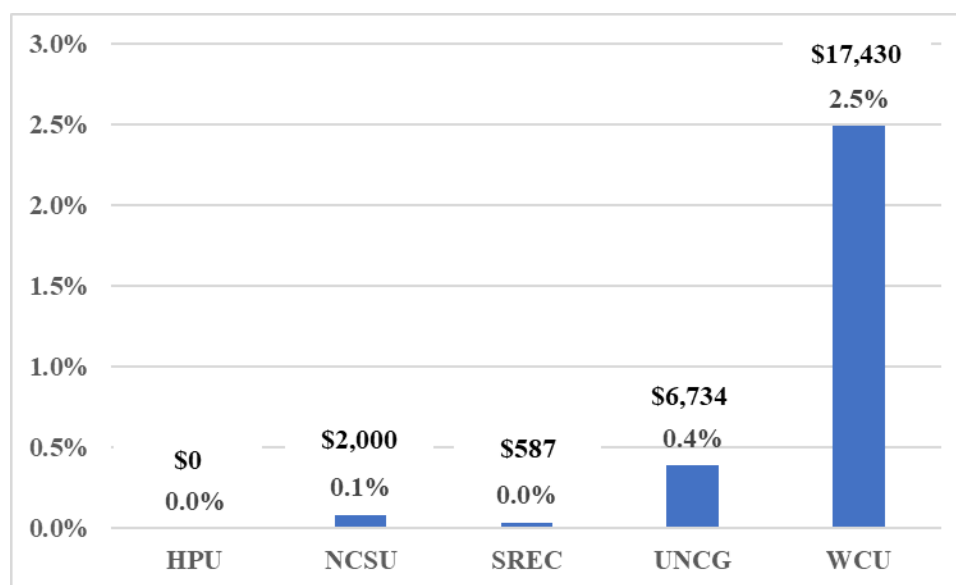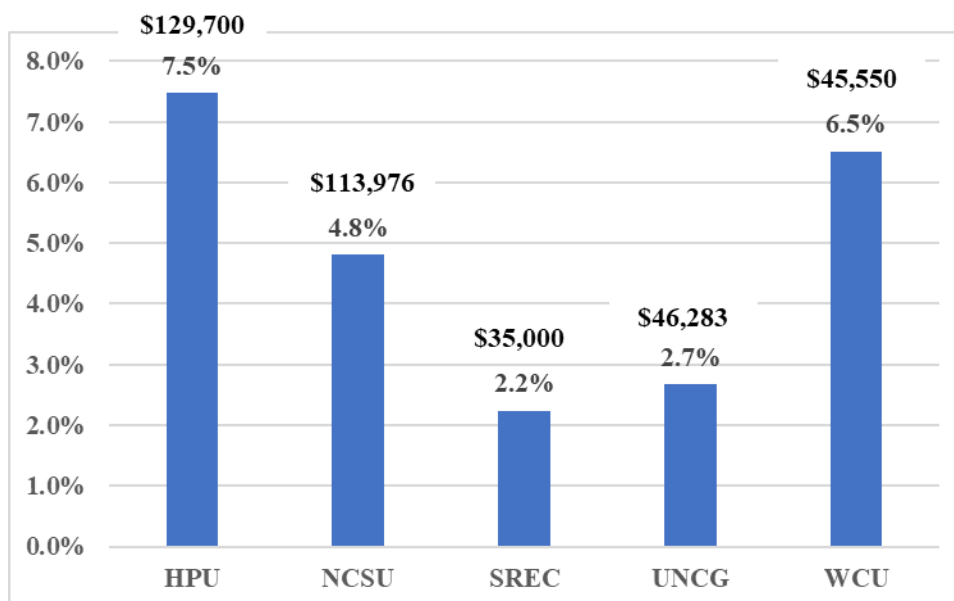
**Figure 9. Two-Year Total of <mark>Institutional</mark> Expenses for <u>Travel</u>**



**Figure 10. Two-Year Total of <mark>Institutional</mark> Expenses for <u>Materials/Supplies</u>**

**Figure 11. Two-Year Total of <mark>Institutional</mark> Expenses for <u>Contractual</u>**



Regarding the 'Other' category of Institutional expenses, only NCSU allocated funds to this category for Graduate Assistant tuition.

**Figure 12. Two-Year Total of <mark>Institutional</mark> Expenses for <u>Indirect Costs</u>**
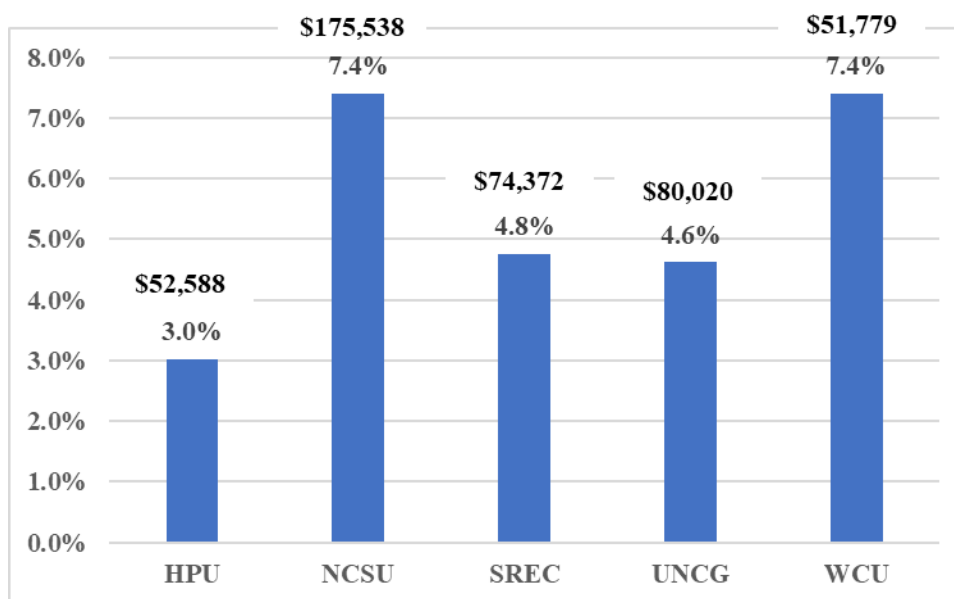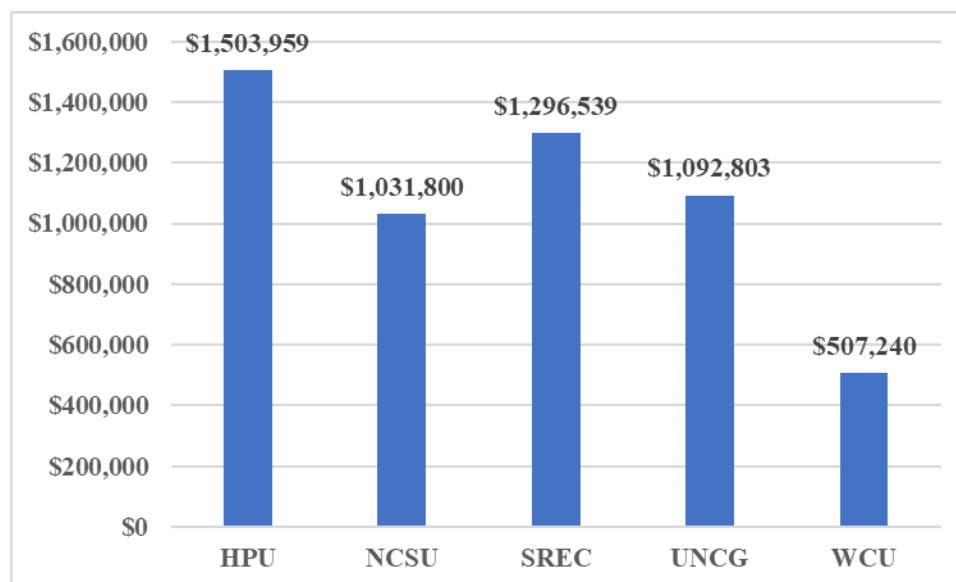
**Analyzing Participant Expenses**

As expected in this instance where comparisons are being made between institutional expenses on the one hand and participant expenses on the other hand, the percentages and relative size of participant expenses seen at each TPP Provider agency is the converse of institutional expenses. If the total dollar value and/or percentage of institutional expenses at a particular Provider agency was relatively high, then the total dollar value and percentage of participant expenses at that agency would be relatively low. **Table 23** shows that the largest dollar amount for any of the participant expense categories is at HPU where almost $850K is devoted to participant salaries/stipends followed by SREC where almost $800K is devoted to salaries/stipends.

| Table 23. Participant Expenses by TPP Provider and Budget Category | | | | | | |
|---|---|---|---|---|---|---|
| **Program** | **Participant Tuition** | **Participant Stipend** | **Participant Other** | **LEAs** | **Coaching** | **Total** |
| HPU | $412,292 | $850,500 | $33,497 | $4,950 | $202,720 | $1,503,959 |
| NCSU | $474,300 | $158,500 | $126,775 | $48,000 | $224,225 | $1,031,800 |
| SREC | $215,032 | $798,654 | $42,853 | $0 | $240,000 | $1,296,539 |
| UNCG | $274,947 | $627,000 | $0 | $0 | $190,856 | $1,092,803 |
| WCU | $116,751 | $229,854 | $67,115 | $39,200 | $54,320 | $507,240 |
| TOTAL | $1,493,322 | $2,664,508 | $270,240 | $92,150 | $912,121 | $5,432,342 |

**Figure 13** provides a visual depiction of how much total funding each TPP Provider devotes to participant expenses.

**Figure 13. Total of 2018-20 2-Year Budgets for Participant Expenses by TPP Provider**

Using the secondary budget categories indicated in **Table 23** above, **Figures 14 through 18** depict the participant expenses when analyzed by their percent of the total budgets for each TPP agency, along with the dollar amounts associated with these expenses at each agency. [23]

**Figure 14. Two-Year Total of <mark>Participant</mark> Expenses Allocated for <u>Tuition</u>**
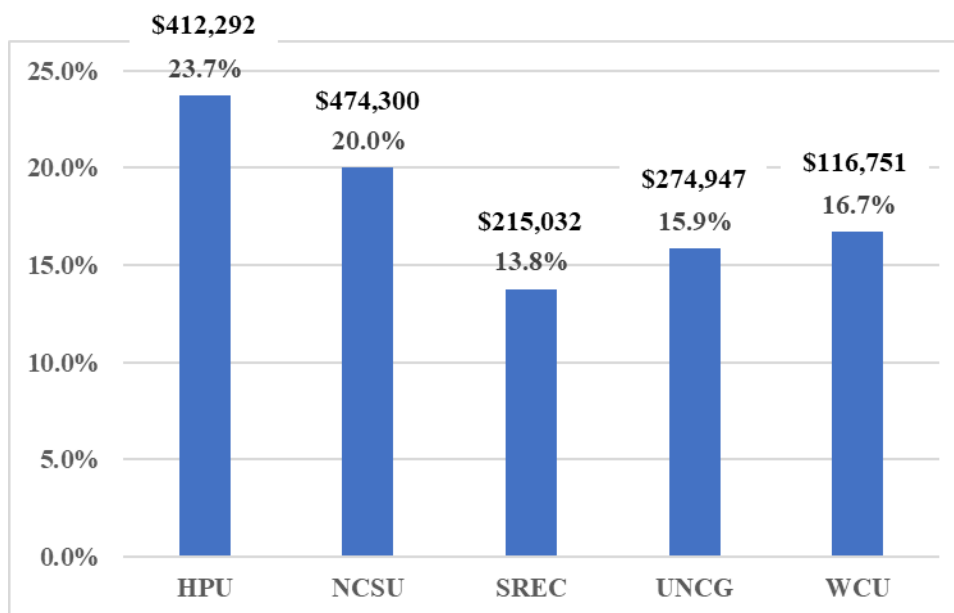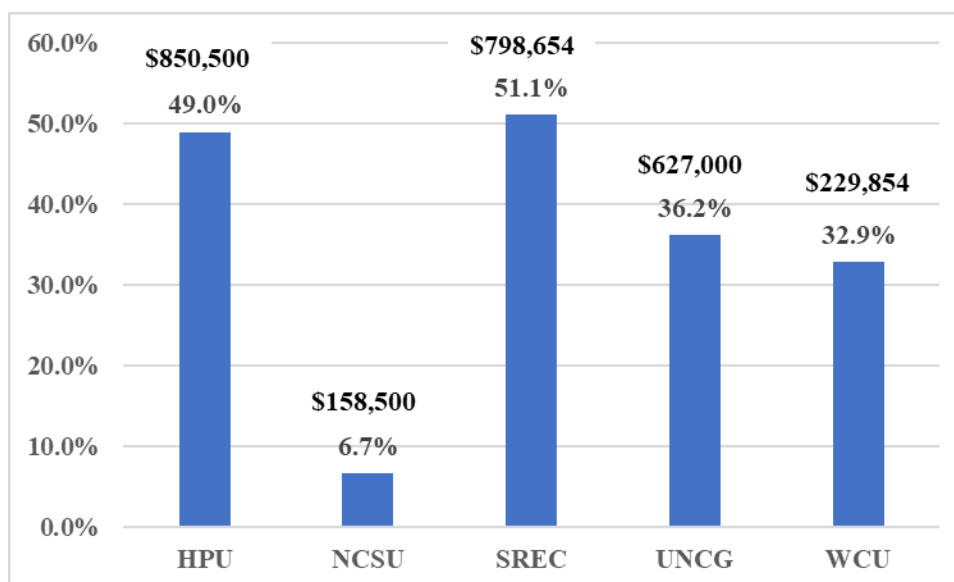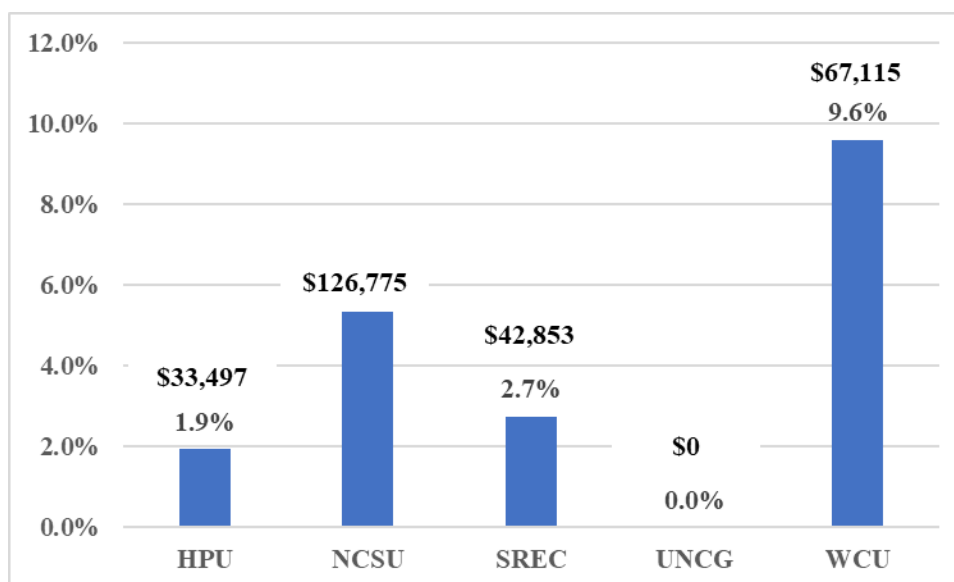


**Figure 15. Two-Year Total of <mark>Participant</mark> Expenses Allocated for <u>Stipends</u>**



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[23] A decision was made to group expenses associated with the Executive Coaches with the participant classification, due to how the Coaches provide direct service to the participants much the same as LEA mentoring principals. While their function is certainly important, coaches and mentoring principals are not deemed to be essential to institutional functions such as managing the coordination and implementation of program or delivering university coursework—thus, their expense is seen to be more of a participant expense.

**Figure 16. Two-Year Total of <mark>Participant</mark> Expenses for <u>Other</u> [24]**



**Figure 17. Two-Year Total of <mark>Participant</mark> Expenses for <u>LEAs</u> [25]**



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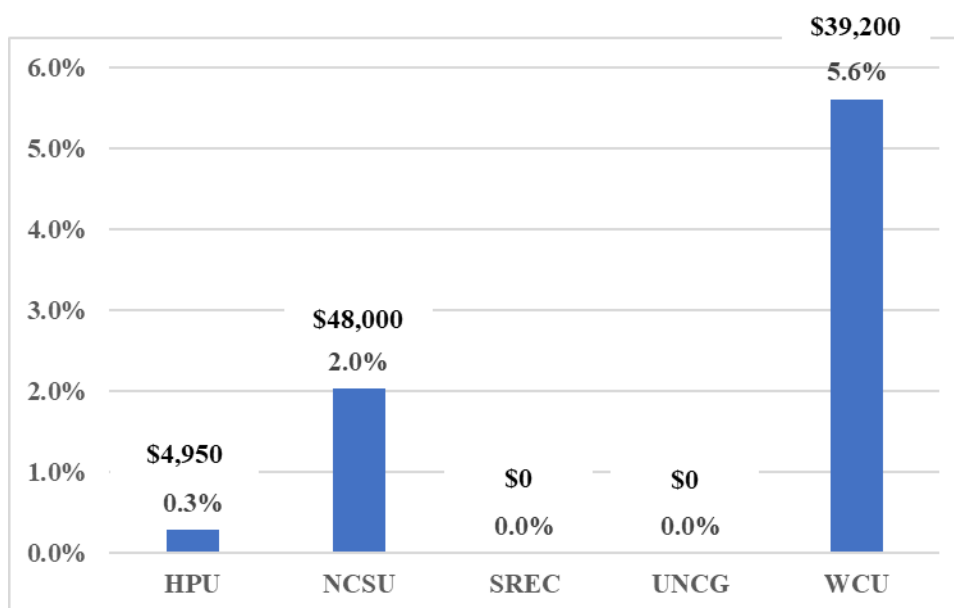
[24] Examples of Other expenses include participant parking permits and tech fee at HPU, travel to professional programs at NCSU, assessment with a leadership inventory at SREC, and social justice textbooks at WCU.

[25] Examples of LEA expenses include stipends for mentoring principals at HPU, mentoring principal stipends and teacher substitutes at NCSU, and teacher substitutes at WCU.

**Figure 18. Two-Year Total of <mark>Participant</mark> Expenses for <u>Executive Coaches</u>**
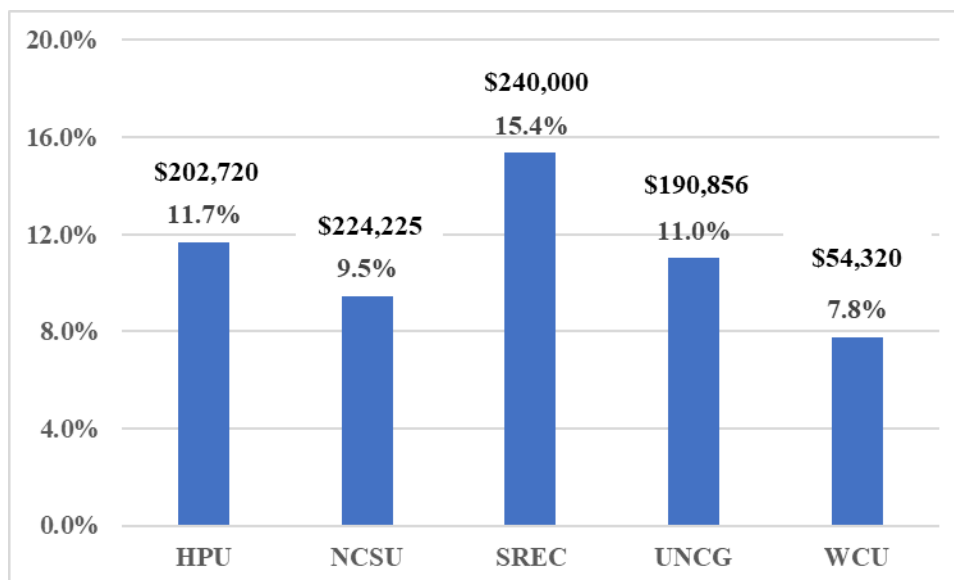
## CONCLUSIONS

The TPP program has provided sizeable funds to five of North Carolina's principal preparation programs—funds which have permitted implementing a number of best practices in the conduct of principal preparation programs. The funds have also permitted underwriting a variety of extraordinary costs that other programs in the state typically do not cover. There are sizeable 'institutional' costs to implement the program—personnel expenses for salaries and fringe benefits of staff at each institution, contractual expenses associated with implementation of varied program features, and other expenses including the institution's Indirect Costs.

It seems unlikely that these costs will be assumed by the institutions in the event TPP funding should cease in future years. If such institutional costs will not be assumed by the institutions, then it is questionable whether the program can be sustained at the institution, at least in the form and manner of how it operated when supported with TPP funds. The best practices being implemented with the support of TPP funding could degrade over time. Still, it is evident in the analyses presented in this report that institutional costs are greater or lesser at the different institutions. If a program will be sustained at an institution, then it will likely be necessary to reduce the institutional costs seen in this analysis to a bare minimum and the five programs should share ideas for how this can be accomplished. Lessons might be learned from institutions with a relatively small percent of funds allocated to institutional costs such as HPU and SREC. Interestingly, neither programs are managed by state institutions—HPU being a private university and SREC being a regional education consortium in collaboration with Hoke County Schools.

Just as there are sizeable institutional costs supported with the TPP funds, there are also sizeable 'participant' costs supported with TPP funds which participants in other programs across the state typically do not realize. If not through the state's MSA funds, salaries/stipends for the TPP participants during their internship (and sometimes summer work) are supported with TPP funds; university tuition and fees are supported with TPP funds; travel costs to out-of-state locations including conference/training registration, hotel lodging, per diem and associated expenses are paid for the participants to attend specialty programs; Executive Coaches are paid to provide the participants with a form of mentoring; and many less expensive costs such as substitutes for LEA teachers are supported with TPP funds.

Compared to institutional expenses, it is possible there may be more options for supporting participant expenses in the event that TPP funding ceases in future years. The MSA funds which support participant stipends during their internship is one such option, although a limitation of these funds is that they do not 'hold harmless' the participant vis-à-vis what the individual earned before beginning their internship. Holding participants harmless is an especially unique feature of the TPP program. Doing so permits the TPP Provider agency to attract the most qualified participants without any reservation on the part of the participant that s/he would need to take a reduction in salary during their internship. A variation for holding participants harmless is for the LEA to make up any difference between the individual's prior salary and the MSA funding level. But, every solution can create another problem. If the LEA requires a commitment from the participant to remain in the school district for some number of years in exchange for this fiscal outlay, then it can be a problem for that individual if it turns out that there is little or no

opportunity in that LEA for advancing into an assistant principal or principal position. Regarding tuition expenses that have been supported with TPP funds, it is possible that the program may still be an attractive draw even if participants were required to pay some percentage of their tuition. Also, some of the features that are being paid with TPP funds to provide participants with additional professional development and/or training opportunities might be incorporated in one or more existing or new tuition bearing course.

To summarize, the original premise of the TPP program was to 'transform' principal preparation programs across the state. With the support of TPP funds, five such programs have tested a variety of best practices for this purpose. However, it is unknown if the State will continue to fund the TPP program. In the event continued funding is not provided, it is questionable whether the existing TPP programs will be able to sustain their operations in years after TPP funding ceases. Comments that the TPP Project Directors made on their mid-year reports regarding their plans for the future (see **Table 19**) substantiate this observation.

Moreover, even should the state provide continued TPP funding, it is questionable whether this funding will be sufficient to permit scaling the program's best practices to additional principal preparation programs across the state. If the programs are to be sustained at the existing agencies and scaled to other programs across the state, then NCASLD and the Providers need to give serious consideration to how extraordinary costs can be covered and/or how such costs can be reduced while at the same time continuing to implement the identified best practices.

# APPENDIX A
## BEST PRACTICES IN PRINCIPAL PREPARATION

Grant*Prose* evaluation activities for the 2016-18 funding cycle identified and documented a set of best practices associated with implementation of principal preparation programs. These practices are generally consistent with the educational research literature on practices that contribute to positive outcomes in the course of preparing school principals[26] and include: 1) provision of program leadership, 2) LEA/community partnerships, 3) targeted recruitment of program applicants, 4) selection of program participants using rigorous criteria, 5) application of a cohort model, 6) provision of participant support, 7) rigorous and authentic coursework aligned to school executive leadership standards, 8) full-time internships with embedded mentoring and substantial leadership responsibilities, and 9) a commitment to program evaluation and continuous improvement.

### *Provision of Program Leadership*
Dedicated and effective leadership has been recognized as a key feature of exemplary principal preparation programs.[27] Programs have been shown to benefit from leaders with "the vision, commitment, and capacity to coordinate stakeholders, secure resources, and implement critical features well".[28] Wang and colleagues' research[29] found program leaders provided the commitment, ownership, enthusiasm, and time needed to keep programs moving forward. In their study, the programs' partners pointed to strong management skills and effective communication as major contributors to program success. Over time, other staff were often brought on board to provide operational support in order to free up the program leader's time to engage with IHE and LEA leadership to clear implementation hurdles and plan for sustainability. These leadership characteristics were evident in TPP Programs:

- All five TPP Programs had dedicated leadership, with leaders at four of the programs being IHE faculty and leaders for the fifth program associated with the regional educational consortium implementing the program.
- Per recommendations in the research literature, this leadership was 'dedicated' insofar as TPP funds supported—at least in part—the participation of these leaders at four of the five programs (HPU, NCSU, SREC, UNCG).
- To varying degrees, TPP funding also supported other staff at a number of the programs.
- All programs had additional resources in place for supporting leadership functions. For instance, several of the programs (HPU, UNCG, SREC) had an Advisory Board that provided leadership accountability and support as well. Some of these Boards included individuals representing the IHE, partnering LEAs, and community partners.

### *LEA/Community Partnerships*
High-quality programs partner with school districts in a mutually beneficial blend of research and practice.[30] Strong partnerships provide program participants with a coherent experience in

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[26] Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007; Ikemoto, Kelemen, Young, & Tucker, 2016; King, 2013, 2018; Orphanos & Orr, 2014; Young, Tucker, & Terry Orr, 2012;

[27] Wang, Gates, Herman, Mean, Perera, Tsai, et al., 2018;

[28] Darling-Hammond, et al., 2007, p. 147;

[29] Darling-Hammond, et al., 2007, p. 147;

[30] Darling-Hammond, et al., 2007; Davis, 2016; Davis et al., 2005;

their clinical training and coursework that helps them bridge theory into practice,[31] and ensure higher levels of commitment and greater rates of advancement into the principalship.[32] In such collaborative programs, practicing administrators are commonly used to mentor administrative interns, assist program faculty in assessment of program participants in the field, participate in program screening and admissions processes, serve as members of the program's advisory board, and teach courses among other possible roles and responsibilities.[33] TPP Programs exemplified this best practice:

- All of the Programs had Contracts, Memoranda of Understanding (MOU) and other mechanisms establishing partnerships with specific LEAs in the state in which the agreement specified a number of roles and responsibilities for the LEA and the program.
- The TPP Programs all reported having frequent contact with LEA leaders where the program participants were employed, including with superintendents. Grant*Prose* surveys of LEA administrators also indicated a high degree of contact.

In the TPP Programs, LEAs and other community partners play critical roles in the success of the programs by supporting participant recruitment and selection activities, providing principal mentors for the participants, providing feedback on continuous improvement efforts, and, in some cases, even underwriting some of the costs for participant expenses. TPP exemplary practices in this regard included:

- SREC and UNCG programs rotated meetings and intern seminars among participating LEAs, providing host LEAs the opportunity to develop relationships with participants and faculty and participants the opportunity to observe practices of different LEAs.
- HPU conducted walk-through observations with interns in LEA partner schools, providing opportunities for mutual learning.
- As part of the IHE partnership, the LEAs may also have had contracts with the participants requiring they serve in the LEA for a number of years following program completion. This was usually the case in instances in which the LEA provided some degree of fiscal support to participants such as paying a portion of the stipend they earned during their internship.

### *Targeted Recruitment of Program Applicants*
Rather than waiting for applicants to decide to apply to a principal preparation program, targeted recruitment can attract more dynamic and diverse school leadership applicants.[34] Effective programs actively identify excellent educators with instructional leadership potential and a commitment to serve their community. Such individuals are often recommended by partnering LEAs that have identified them as promising future leaders.[35] It is also thought that this type of recruitment process identifies candidates with a greater commitment to obtaining a position as a principal.[36] The TPP Programs exemplified this best practice:
- TPP Programs used a defined set of strategies for attracting and recruiting applicants; often working with LEAs to target efforts toward educators demonstrating outstanding leadership skills that local administrators believed would succeed in the principalship.

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[31] Sanzo, Myran, & Clayton, 2011;

[32] Orr & Barber, 2007;

[33] Darling-Hammond, et al., 2007; Jackson & Kelley, 2002; Norton, O'Neill, Fry, & Hill, 2002;

[34] Darling-Hammond, Meyerson, LaPointe, & Orr, 2009; Jackson & Kelley, 2002; Mitgang & Gill, 2012;

[35] Corcoran, Schwartz, & Weinstein, 2012; Cosner, Tozer, Zavitkovsky, & Whalen, 2015; Gates, Hamilton, Martorell, Burkhauser, Heaton, Pierson, et al., 2014;

[36] Orr & Barber, 2007;

- The TPP Programs' recruitment process typically involved both IHE and LEA personnel. With a contract and/or MOU between the IHE and the LEA in place, the recruitment at the LEA level could be carefully tailored to the TPP Program. Additionally, the IHE and LEA could jointly cast a wide net in an effort to recruit a large and diverse pool of applicants, affording the programs the greatest opportunity to recruit aspirants who reflect their communities and student populations. LEAs could 'tap' targeted individuals through encouraging specific individuals to apply for the program.

*Selection of Program Participants Using Rigorous Criteria*
There is a growing consensus regarding the knowledge, skills, and dispositions commonly found among effective principals.[37] Current best-practice recommendations emphasize the need to connect program participant selection with leadership standards that assess these traits.[38] Example approaches in the literature include focused interview protocols, 360-degree evaluations, performance portfolios, writing samples, and assessment-centered activities.[39]

- TPP Programs selection processes involved the IHEs and LEAs working collaboratively to select TPP Program participants based on defined criteria. Following a broad-based recruitment strategy conducted by the IHE and LEA, more candidates than could be enrolled were identified. The LEA singly or in collaboration with the IHE might then advance more names than the number of allotted positions to the LEA.[40] These individuals would then submit applications to the IHE and be reviewed for meeting IHE criteria to enroll in the program. Individuals that met such criteria would then be rated on varied rubrics before a decision was finalized to accept the individual into the program.[41] This final decision might be jointly made by the IHE and LEA.
- Several TPP Programs held assessment days during which candidates were interviewed and observed in simulated leadership situations. This experience not only served as a selection tool, but also served as a formative experience for participants.

*Application of a Cohort Model*
Multiple studies of principal preparation programs have found application of a cohort model to be a key aspect of effective programs[42] with positive effects including increased likelihood of program completion, participant perception of preparedness, and more collegial and supportive learning environments.[43] Program participants may also develop skills in conflict resolution, information processing, and cooperation.[44] The benefits of cohorts often persist past program completion as graduates use the network to exchange ideas, share resources, and engage in

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[37] Leithwood, Seashore-Louis, Anderson, & Wahlstrom, 2004;

[38] Browne-Ferrigno & Muth, 2009;

[39] Creighton & Jones, 2001; Norton, 2002;

[40] IHEs are limited in the number of individuals they can enroll in the TPP Program at any given time. If the IHE partnered with multiple LEAs, then it was usually the case that the IHE would allot each LEA a specific number of positions, depending on variables such as the size of student enrollment at the LEA or the number of anticipated openings for assistant principals and principals.

[41] Responding to the 2018-19 mid-year Grant*Prose* survey, the TPP Program leaders checked most of the following selection criteria: Application Form; Resume; Letters of Recommendation; Purpose Statement/Letter of Interest; Writing Sample/Educational Essay; Master's Degree with Minimum 3.0 GPA; Superintendent Nominations; Homework Assignment; Self-Assessment Surveys; Assessment Day; Q&A Sessions & Interviews with Panel of LEA Reps; One-on-One Interviews; Stated Commitment to Transforming Schools; and Other.

[42] Crow & Whiteman, 2016;

[43] Huang, Beachum, White, Kaimal, FitzGerald, & Reed, 2009; Nimer, 2009;

[44] Barnett, Basom, Yerkes, & Norris, 2000;

problem solving and critical reflection well into their professional careers.[45] The TPP Programs represented this practice:

- The TPP Programs treated their participants as a cohort to a large degree, with participants taking the same courses at the same time and interacting as a group in many other ways. Participants progressed through the program together and shared many experiences in their coursework as well as program activities outside of their courses.
- TPP Program participants derived support from each other, with programs having various electronic channels set up to foster cohort communication.
- Several of the programs (UNCG, NCSU, SREC) also utilized group team-building activities such as ropes courses to foster cohort cohesiveness.

*Provision of Participant Support*

There is a body of research literature that addresses the 'accessibility' that individuals may or may not have to participate in a principal preparation program.[46] Two issues that are especially relevant to accessibility are participant program cost (tuition, fees, books) as well as the possible loss of earnings during coursework and/or internship. Research by Darling-Hammond and colleagues[47] documented the importance of financial support in order to allow full-time study. The exemplary programs in their study provided greater financial supports for program participants than typically available in preparation programs. These supports included tuition waivers, district release time to facilitate clinical fieldwork, and paid internships.

While the internship is widely considered to be one of the most valuable parts of a preparation program and a dedicated internship is considered the most effective,[48] costs can be a barrier given the fact that few participants have the luxury of giving up their regular jobs to complete the internship[49] and in traditional programs, the majority of principal candidates (93%) attend programs part-time[50] and continue in their regular employment full-time while enrolled in the program.[51] Exemplary programs ensure candidates receive financial support during their internships, and in many instances candidates receive a salary.[52] To meet these standards, the TPP Programs:

- All five Programs used TPP funds to pay the full cost of participant tuition, fees, and books.
- The Programs made variable use of TPP funding to pay individuals' salaries during the internship in part or whole. For instance, while the legislative requirement mandated no less than a 5-month full-time internship, several of the programs chose to implement a ten-month internship which allowed them to access state MSA funding to pay salaries during the internship.[53]
- Partnering LEAs also contributed varying levels of financial support for the program and participants. For example, LEAs paid for health insurance and other fringe benefits in the

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[45] Darling-Hammond, et al., 2007;

[46] Orr & Orphanos, 2010; Pounder, 2011; Winn, Anderson, Groth, Korach, Pounder, Rorrer & Young, 2016;

[47] Darling-Hammond, et al., 2007;

[48] Darling-Hammond et al., 2007; Davis, 2016; Orr, 2011; Perez, Uline, Johnson, James-Ward, & Basom, 2011;

[49] Mendels, 2016;

[50] Wilmore & Bratlien, 2005;

[51] Wang, et al., 2018;

[52] Sutchel, Podolsky, & Espinoza, 2017;

[53] In combination with offering a Master's in School Administration (MSA) degree, a 10-month internship permitted TPP Programs to access state MSA funding set aside to support salaries for an internship leading to the MSA degree.

NCSU and UNCG programs during the time of the internship, while the HPU partner LEAs paid additional money toward salaries to make up the difference between the TPP-funded stipends for participants and their current salaries in the LEA. WCU partner LEAs paid participants' salaries and benefits during three months of their internships, while TPP funds were used to pay substitute teachers for these interns.

*Rigorous and Authentic Coursework Aligned to School Executive Leadership Standards*
Strong programs present a logical sequence of courses that bring together theory and practice through problem-based learning.[54] Effective programs use context-specific problems to connect coursework and practice to enrich participants' skill development[55] and are effective in providing participants with opportunities to connect program experiences with genuine school leadership responsibilities while improving their sense of self-efficacy.[56] These programs use group discussions, role-plays, case studies, and action projects to address challenges principals face in order to ground participants' learning in real-world experiences.[57] Preparation program content is also aligned to national and state standards reflecting research and professional knowledge concerning excellence in educational leadership.[58] The TPP Programs exemplified this practice:

- The TPP Programs' courses and specialized trainings incorporated authentic leadership experiences through project-based learning assignments (such as case studies and equity audits requiring participants to analyze school data), realistic simulations, and actual leadership experiences outside of the coursework (e.g. serving on committees, making a conference presentation) so as to provide opportunities for growth and development of leadership skills. An exemplar of such authentic experiences includes NCSU's periodic formative assessment days, which are realistic simulations of the day of a principal complete with teacher observations, discipline issues, staff conflicts, budget memos, irate parents, and playground mishaps. NCSU staff and others played roles to make the simulations realistic and debrief the participants on their performances afterwards. Some of the interactions were recorded to facilitate coaching. Another exemplar is SREC's use of "hot seat scenarios" to simulate challenging problems for which program participants need to be prepared.
- In all of the Programs, participants reflected on what they learned during field experiences by creating digital artifacts or presenting the information to program faculty.
- The TPP Programs also provided multiple opportunities for participants to learn from exposure to diverse settings and varied situations, such as when WCU participants joined school, LEA, and community leaders in an equity workshop.

*Full-time Internships with Embedded Mentoring and Substantial Leadership Responsibilities*
High-quality programs support participants' development through internships that raise their awareness of the day-to-day complexities and demands of principals' work,[59] while also providing embedded mentoring by strong and supportive mentors[60] to help participants connect theory and problem-based activities from their coursework to practice.[61] In well-structured

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[54] Darling-Hammond, et al., 2009;

[55] Davis, et al., 2005;

[56] Perez, et al., 2011;

[57] Player & Katz, 2016;

[58] Davis et al., 2005; Winn, et al., 2016;

[59] Mitello, Gadja, & Bowers, 2009; Orr, 2011; Perez et al., 2011;

[60] Davis & Darling-Hammond, 2012; Gates et al., 2014; Olivero, Bane, & Kopelman, 1997;

[61] Daresh, 2001; Sanzo, et al., 2011;

mentoring programs, the mentor and mentee work collaboratively toward the accomplishment of an individually tailored professional development plan.[62] Ideally, participants intern in the districts where they intend to work so they become familiar with the context, resources, and challenges facing that district.[63] In addition, the scope of the principal's role is typically different from that of the assistant principal (who is, for example, often assigned to "discipline" or other non-instructional roles in high schools), so the internship provides an opportunity to learn the broader set of responsibilities, including instructional leadership, interactions with parents and stakeholders, and school improvement initiatives.[64] TPP Programs implemented this best practice:

- The TPP Programs' internships included planned, developmentally sequenced, standards-based supervision of interns.
- All of the TPP Programs conducted multiple evaluations of participants' leadership skills, both formative and summative, during the full-time internships. UNCG interns used this assessment information to design an individually tailored professional development plan and work collaboratively with mentors toward the accomplishment of plan goals.
- While all of the Programs worked with LEA partners to create full-time internship positions of at least five months, some of the programs (NCSU, UNCG) were able to implement full-time internships for the full academic year, giving their interns considerably more experience before graduation.
- Also in contrast to many traditional programs, the TPP programs provided three levels of mentoring for participants – the on-site principal as mentor, the IHE faculty, and an executive coach/district mentor. All of the programs implemented rigorous criteria in their selection of mentors and leadership coaches. The Programs' mentors and coaches were also provided specific and ongoing training and support. SREC executive coaches even attended graduate classes with the participants, enabling them to relate course content to the internship experience and develop closer mentoring relationships.

*Commitment to Program Evaluation and Continuous Improvement*
Programs that regularly assess quality and strive for improvement are more likely to be effective.[65] Effective programs ensure a continuous improvement process by designing innovative pedagogy and curriculum to prepare leaders and by responding to local, state, and national standards and expectations.[66] Program evaluation should begin while participants are still in the program to provide insight into what preparation components are most effective and what aspects of the program might need improvement. The TPP Programs demonstrated this:

- Each of the TPP Programs engaged in continuous review and program improvement activities.
- The Programs utilized formal and informal data from multiple sources (e.g., participants, coaches, mentors) to identify and implement program improvements.
- Further, Programs conducted periodic and ongoing formal and informal meetings with LEA partners and actively sought feedback on recruiting and selecting participants, strengthening program focus and content, and the progress of program graduates.

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[62] Daresh, 2001;

[63] Gates et al., 2014;

[64] Sutcher, et al., 2017;

[65] Glasman, Cibulka, & Ashby, 2002; King, 2018;

[66] Barnett, 2005; Darling-Hammond et al., 2007; Glasman, et al., 2002; Jackson & Kelley, 2002; Murphy, 2005;

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# APPENDIX B
SL 2018-5 209.70

"**§ 116-209.70. Purpose and definitions.**

(a) Purpose. – The purpose of this Part is to establish the Transforming Principal Preparation Grant Program as a competitive grant program for eligible entities to elevate educators in North Carolina public schools by transforming the preparation of principals across the State. The Authority shall administer this Program through a cooperative agreement with a private, nonprofit corporation to provide funds for the preparation and support of highly effective future school principals in North Carolina.

(b) Definitions. – For the purposes of this Part, the following definitions apply:

(1) Eligible entity. – A for-profit or nonprofit organization or an institution of higher education that has an evidence-based plan for preparing school leaders who implement school leadership practices linked to increased student achievement.

(2) High-need local school administrative unit. – A local school administrative unit with the majority of its schools deemed to be high-need schools as defined in subdivision (3) of this subsection.

(3) High-need school. – A public school, including a charter school, that meets one or more of the following criteria:

a. Is a school identified under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended.

b. Is a persistently low-achieving school, as identified by the Department of Public Instruction for purposes of federal accountability.

c. A middle school containing any of grades five through eight that feeds into a high school with less than a sixty percent (60%) four-year cohort graduation rate.

d. A high school with less than a sixty percent (60%) four-year cohort graduation rate.