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ANNUAL REPORT

TRANSFORMING PRINCIPAL PREPARATION GRANT PROGRAM: FIFTH YEAR

JULY 2021

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EXECUTIVE SUMMARY

This is the fifth annual report made to the North Carolina State Education Assistance Authority (NCSEAA) and the North Carolina Alliance for School Leadership Development (NCASLD), providing summary information on results of the Transforming Principal Preparation Program (TP3)² realized by July 2021. A “Technical Report” accompanies this fifth annual report and provides GrantProse reports produced during the year with detailed information specific to many of the GrantProse evaluation activities implemented in 2020-21.

Serving as the administrator for the TP3 program, NCASLD conducted two competitions for grant funding—the first in March 2016 and the second in July 2016. As a result of these competitions, five “Provider” agencies representing a mix of institutions, including public universities, a private university, and a regional consortium, were chosen to implement TP3 programs:

- *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) Leadership: Principal Development Program,³*
- *University of North Carolina-Greensboro’s (UNCG) Principal Preparation for Excellence and Equity in Rural Schools, and*
- *Western Carolina University’s (WCU) North Carolina School Executive Leadership Program.*

During the 2020-21 year, NCASLD administered the HPU, SREC and UNCG programs while the TP3 Commission administered the NCSU and WCU programs. This report provides information GrantProse collected during 2020-21 from the HPU, SREC and UNCG programs, along with a retrospective look in some instances at all five programs since the beginning of the TP3 program.

Three funding cycles can be conceptualized for the TP3 program: 1) the 2016-17 and 2017-18 years, 2) the 2018-19 and 2019-20 years, and 3) the 2020-21 and 2021-22 years. Data presented in this report will distinguish between individuals enrolling in the program for any of these periods, and individuals graduating from the program for any of these periods. While most individuals enrolling in a given period graduated in the same period, there were some individuals who enrolled during one period and graduated in the next period. There were also a few individuals who enrolled but subsequently dropped out of the program.

During the 2016-18 period, 120 individuals enrolled, two dropped out, and 118 (98.3%) subsequently completed the program. During the 2018-20 period, 141 individuals enrolled, two dropped out, and 139 (98.6%) subsequently completed the program. During the current 2020-present period, 72 individuals have enrolled and one is known to have dropped out at the time of this report. In total, 333 individuals have enrolled in the program to date, five have dropped out to date, and 328 (98.5%) are expected to complete the program by June 2022.

Table 1 disaggregates these data for the five programs administered by NCASLD.

² In earlier evaluation reports, GrantProse has referred to this program as the “TPP” program. Per legislation passed in the summer 2019, the acronym was changed to TP3 which is used throughout this report. Most recently, the program has been renamed again, now being called the North Carolina Principal Fellows Program.

³ While Sandhills Regional Education Consortium is responsible for implementing the TP3 program, Hoke County Schools serves as the fiscal agent managing the funds and Campbell University and UNC-Pembroke provide the university coursework.

TABLE 1. ENROLLEES AND COMPLETERS UNDER NCASLD ADMINISTRATION DISAGGREGATED BY PROGRAM								
Program	2016-18		2018-20		2020-22 ** **		Totals	
	Enrollees	Completers	Enrollees	Completers	Enrollees	Completers	Enrollees	Completers
HPU	30	30	33	33	32	0	95	63
NCSU	34	33	34	33	NA	NA	68	66
SREC	26	26	39	39	20 ***	0	85	65
UNCG	20	19	22	22	20	0	62	41
WCU	10	10	13	12	NA	NA	23	22
Total	120	118	141	139	72	0	333	257

Notes:

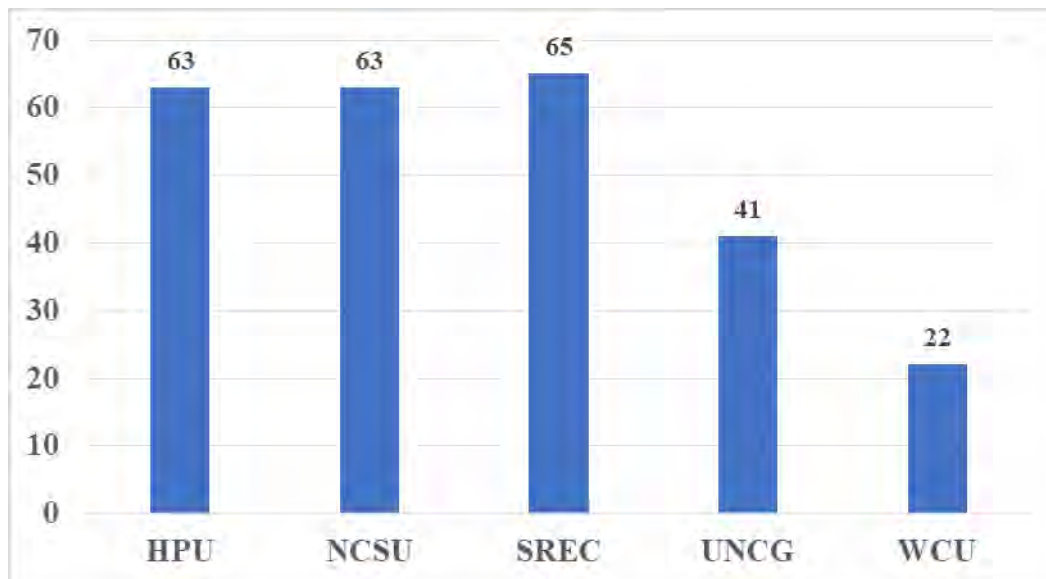
* At the time of this report there are no graduates from the 2020-22 funding cycle. Many of these individuals are expected to complete their courses and internship during the 2021-22 year.

** Data for the NCSU and WCU programs are not reported in the 2020-21 year as these programs are not participating in the GrantProse evaluation for these years. NA will be used throughout this report to indicate data that are not being reported for NCSU and WCU.

*** One of the 20 individuals at SREC is known to have dropped out of the program at the time of this report.

Figure 1 depicts the comparative ‘production’ these programs have had with producing graduates in the first five years of the program.

FIGURE 1. TP3 PROGRAMS’ PRODUCTION OF GRADUATES AMONG ENROLLEES IN FIRST 5 YEARS



GrantProse TP3 program evaluation activities conducted during the 2020-21 year took six main forms: (1) observations of Professional Learning Network meetings conducted by NCASLD; (2) a follow-up survey conducted with program graduates; (3) a randomized telephone interview conducted with program graduates; (4) mid-year and end-of-year reports collected from Program Directors; (5) a number of ancillary assessments conducted by GrantProse; and (6) analysis of NCASLD and each program’s budget and expenditures. Information and data collected from these evaluation activities along with insights into program operations offered by NCASLD leaders inform the content of this report to NCSEAA. In particular, the NCSEAA identified

four questions to be addressed in the annual report, and a brief response to these questions is provided in this Executive Summary with greater elaboration in the body of the report.

Q1. What were the original goals and expectations for the activity supported by this grant?

It can be argued that the original goals and expectations as set out in the legislation have been well supported by the grant program. That said, it has not been possible to evaluate whether the TP3 programs have had any beneficial impact on improving student achievement, one of the driving factors which prompted the legislation. Due to the pandemic, no achievement data were collected for the 2019-20 year and data that will be collected for the 2020-21 year may not have the same level of quality as data from before the pandemic. Moreover, the evaluation of impact on student achievement is complicated for other reasons, chief of which are there has not been sufficient time for a large enough group of graduates to make their way into the principalship and there are challenges with creating a sound experimental design by which graduates of the program can be compared with non-graduates in like circumstances.

The original five TP3 programs showed a lot of ‘enthusiasm’ for transforming their principal preparation programs and NCASLD’s administration of the program provided firm guidance, challenging the programs to fulfill the intent of the legislation. One of the most beneficial aspects of the program may have been the opportunity for TP3 leaders of the programs to communicate, collaborate, and share ideas on their best practices through the Professional Learning Network conducted by NCASLD and otherwise on their own accord.

Full details on the goals for each program as described in the funding proposals are listed in **Table 4**.

Q2. If applicable, how have those goals and expectations been revised or refined during the project?

Revisions to program goals and expectations over the five years were not significant and tended to advance rather than impede the purpose of the TP3 program such as improving efficiency of operations and increasing the number of participants served. Program goals and expectations for the three programs that NCASLD continued to administer in 2020-21 (HPU, SREC, and UNCG) did not change significantly relative to earlier years. Previous modifications are listed in **Table 4**.

Q3. What has the activity accomplished with these grant funds? Please include specific information including facts and statistics to support conclusions and judgments about the activity’s impact.

For the 2020-21 performance period, the three programs administered by NCASLD undertook varied activities to implement their TP3 programs. These activities included:

- (a) Targeted recruitment of program applicants. Collectively, the HPU, SREC and UNCG programs selected 72 individuals to participate in their programs that started up in the 2020-21 year.
- (b) Use of rigorous criteria predictive of school leader success in selection of program participants,
- (c) Implementation of a cohort model,
- (d) Alignment to professional standards for school executive leadership development,
- (e) Implementation of rigorous coursework with relevant fieldwork and problem-based learning,
- (f) Establishing authentic full-time clinical internships with embedded mentoring and substantial leadership responsibilities. In keeping with the other program models, HPU and SREC programs began offering 10-month internships and planned to draw MSA funds to support salary payments for the interns.
- (g) Evaluation activities that inform continuous improvement to program operations.

- (h) Partnerships with 32 Local Education Agencies (LEA) and firm commitments from school leaders overseeing clinical practice, and
- (i) Processes for continuous review and program improvement including feedback loops with partnering LEAs.

On the whole, the TP3 program appears to have been quite successful and some of its major accomplishments to date are bulleted here:

2016-18 Funding Cycle I

- 118 (98.3%) of 120 participants initially enrolled in the first funding cycle completed all program requirements, and 103 (85.8%) of the 120 enrollees subsequently secured principal or assistant principal (P/AP) positions in North Carolina public schools with 93 (77.5%) of the 120 currently holding such positions as of July 2021.^{4, 5}
- Of the 93 individuals from the first funding cycle presently holding P/AP positions in North Carolina, 89 (95.7%) of these individuals are working in high need schools.⁶
- 118 (100%) of the 118 completing the first funding cycle have been reported to presently hold a Master of Science in Administration (77), Master of Education (30), or Post Masters' Certificate in School Administration (11).
- When surveyed at the end of the 2016-18 funding cycle, all 31 LEA administrators indicated they 'Agreed' or 'Strongly Agreed' with the statement "*I am very satisfied with the overall quality of the program.*"

2018-20 Funding Cycle II

- 139 (98.6%) of 141 participants initially enrolled in the second funding cycle completed all program requirements and 99 (70.2%) of the 141 subsequently secured P/AP positions in North Carolina public schools with 96 (68.1%) of the 141 currently holding such positions as of July 2021.
- Of the 96 individuals from the 2018-20 funding cycle presently holding P/AP positions, 77 (80.2%) are working in high need schools.
- 139 (100%) of the 139 participants completing the second funding cycle have been reported to presently hold a Master of Science in Administration (105), Master of Education (33), or post Masters' Certificate in School Administration (1) by June 2021.
- When surveyed in the spring 2020, participant respondents' rating of being satisfied with their TP3 program averaged 6.65 on a 7-point Likert scale with 7 representing Extremely Satisfied.
- The spring 2020 survey of participants also revealed they agreed that features of their programs demonstrated best practices. For instance,

⁴ Some of the individuals who secured P/AP positions in North Carolina public schools have since left those positions (e.g. moved out of state, taken a position at a private school, taken a leadership position in other than a principal or assistant principal role).

⁵ The count of individuals currently holding P/AP positions includes individuals who have been named to these positions to begin in the 2021-22 year.

⁶ Please see GrantProse **Appendix L** in the **Technical Report** for the methodology used to determine whether a school meets the State's legislative definition of a high need school.

- Respondents at all five programs held positive perceptions of their **cohort structure**, ranging from an average response of 4.53 at HPU to 4.93 at SREC and UNCG on a 4-item, 5-point Likert scale, with 5 representing a strongly positive response;
 - Respondents agreed that features of their **university coursework** were satisfactory, ranging from an average response of 4.57 at SREC to 4.94 at UNCG; and
 - Respondents' perceptions of their **coaching supports** were positive, ranging from an average response of 4.62 at UNCG to 4.97 at WCU.
- When LEA representatives were asked to rate their overall satisfaction with the TP3 program on a 1 to 5 scale (1=not at all satisfied, 5=very satisfied) at the end of the 2019-20 year, the average rating for the 31 LEA representatives responding to this question was 4.78, suggesting they were quite satisfied with the program.
 - Also, pre- and post-survey results with program participants in the 2019-20 year indicated positive and significant change over the 2018-19 year in their a) self-reported commitment to seeking a principal position, b) self-reported leadership knowledge and competencies of the Executive Standards, and c) self-reported confidence in their leadership abilities.

2020-21 to present Funding Cycle III

- Fifteen (15) individuals at SREC enrolled during Funding Cycle II completed program requirements during Funding Cycle III.
- Another 72 individuals entered programs at HPU, SREC and UNCG since the beginning of Funding Cycle III and one is known to have dropped out of the program at the time of this report.
- One of the individuals at HPU participating in Funding Cycle III is known to have secured an assistant principal position at a high needs school at the time of this report.

Q4. If the activity is a continuing one, briefly summarize future plans and funding prospects.

Administration of the TP3 program will pass entirely to the TP3 Commission after June 2021. Information released in June 2021 by the University of North Carolina System office indicates HPU and SREC have not been awarded a new grant, while NCSU, UNCG and WCU (along with other grantees) have been awarded continuing grants for the next six years. Whether HPU and SREC will continue their programs beyond June 2022 is unknown at the time of this report.

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INTRODUCTION

OVERVIEW

The NC General Assembly established a competitive grant program, *Transforming Principal Preparation* (TP3), to provide funds for the preparation and support of highly effective school leaders (NC S. Law 2015-241, Section 11.9, 2015).⁷ As the original administrator for the TP3 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 TP3 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) Leadership: Principal Development 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*

In the 2020-21 year, the TP3 Commission assumed administration of the NCSU and WCU programs and NCASLD continued to administer the HPU, SREC, and UNCG programs. Administration of all programs will pass to the Commission in the 2021-22 year.

The TP3 grant program requires Provider agencies to implement innovative, research-based best practices in preparing school leaders to in turn implement school leadership practices linked to increased student achievement. The five programs originally selected for funding met this requirement through a combination of (a) Targeted recruitment of program applicants, (b) Use of rigorous criteria predictive of school leader success in selection of program participants, (c) Implementation of a cohort model, (d) Alignment to professional standards for school executive leadership development, (e) Implementation of rigorous coursework with relevant fieldwork and problem-based learning, (f) Establishing authentic full-time clinical internships with embedded mentoring and substantial leadership responsibilities, (g) Evaluation activities that inform continuous improvement to program operations, (h) Partnerships with Local Education Agencies (LEAs) and firm commitments from LEA school leaders overseeing clinical practice, and (i) Processes for continuous review and program improvement including feedback loops with partnering LEAs. While each of these dimensions singly differs from historical methods of principal preparation, the inclusion of all dimensions collectively in each funded program makes the TP3 program truly different from traditional programs.

The initial contracts between NCASLD and the Provider agencies were completed in fall 2016, and all five programs began serving aspiring school principals (program participants) beginning in the spring 2017 semester. Renewal contracts were awarded to all five Provider agencies for continued program implementation with additional cohorts of program participants in fall 2018. NCSALD contracts with HPU, SREC and UNCG were

⁷ *The name of the program has evolved over the years. First referred to as the Transforming Principal Preparation (TPP) program, then referred to as the Transforming Principal Preparation Program (TP3), and currently referred to as North Carolina Principal Fellows Program.*

again renewed for the 2020-21 year, with the TP3 Commission expected to assume administration of all contracts beginning in the 2021-22 year. TP3 budgets approved by NCASLD for each year are indicated in **Table 2** below.

TABLE 2. TP3 BUDGETS UNDER NCASLD ADMINISTRATION DISAGGREGATED BY PROGRAM AND YEAR						
Program	2016-17 Budget	2017-18 Budget	2018-19 Budget	2019-20 Budget	2020-21 Budget *	TOTAL
HPU	\$888,116	\$893,299	\$868,088	\$868,088	\$944,161	\$4,461,752
NCSU	\$1,384,479	\$1,385,799	\$1,184,884	\$1,184,884	NA	\$5,140,046
SREC	\$820,072	\$786,968	\$780,900	\$780,900	\$815,104	\$3,983,944
UNCG	\$888,682	\$893,778	\$866,110	\$866,110	\$773,215	\$4,287,895
WCU	\$214,027	\$186,534	\$350,000	\$350,000	NA	\$1,100,561
TOTAL	\$4,195,376	\$4,146,378	\$4,049,982	\$4,049,982	\$2,532,480	\$18,974,198

Notes:

* NCASLD did not administer the NCSU and WCU programs in the 2021 year and budgets are not reported for these programs.

Over the years, GrantProse has produced a number of images depicting the Local Education Agencies (LEAs) and areas of the state where TP3 participants are employed. Three of these images are provided here. In **Figure 2**, LEAs partnering with HPU, SREC, and UNCG in the 2020-21 year are depicted; in **Figure 3**, LEAs partnering with the five original providers in the 2019-20 year are depicted showing the greater scope of the NCASLD administration in earlier years; and, **Figure 4** depicts the counties/LEAs where individuals in the 2020-21 year are employed. The third image includes individuals from all programs that NCASLD and the TP3 Commission are administering in the 2020-21 year. **Table 3** identifies the LEAs that partnered with HPU, SREC, and UNCG in the 2020-21 year.

FIGURE 2. COUNTY AND CITY LEAS PARTNERED WITH HPU, SREC, AND UNCG UNDER NCASLD ADMINISTRATION IN THE 2020-21 YEAR



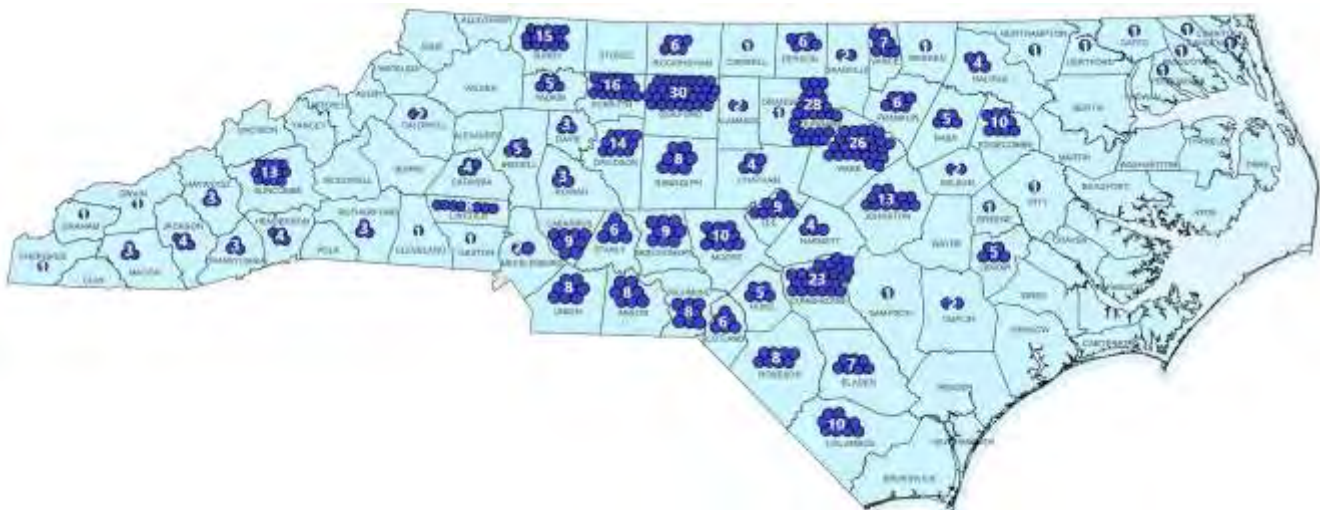
TABLE 3. COUNTIES AND CITY LEAS PARTNERED WITH HPU, SREC, AND UNCG UNDER NCASLD ADMINISTRATION IN THE 2020-21 YEAR		
TP3 Program	Areas Served	Count of LEAs
<i>HPU</i>	Cabarrus County Schools Catawba County Schools Davie County Schools Guilford County Schools Lincoln County Schools Mooresville Graded School District Mount Airy City Schools Union County Schools Vance County Schools Winston-Salem/Forsyth County Schools Yadkin County Schools	11 LEAs <ul style="list-style-type: none"> • 9 counties • 2 cities
<i>SREC</i>	Anson County Schools Bladen County Schools Columbus County Schools Cumberland County Schools Harnett County Schools Hoke County Schools Lee County Schools Montgomery County Schools Moore County Schools Richmond County Schools Scotland County Schools Public Schools of Robeson County Whiteville City Schools	13 LEAs <ul style="list-style-type: none"> • 12 counties • 1 city
<i>UNCG</i>	Chatham County Schools Davidson County Schools Lee County Schools Lexington City Schools Lincoln County Schools Montgomery County Schools Person County Schools Randolph County Schools Rockingham County Schools Stanly County Schools Surry County Schools	11 LEAs <ul style="list-style-type: none"> • 10 counties • 1 city
TOTAL		32 LEAs * <ul style="list-style-type: none"> • 28 counties • 4 cities

* Note: 3 LEAs have partnership with two TP3 programs

FIGURE 3. COUNTY AND CITY LEAS PARTNERED WITH HPU, NCSU, SREC, UNGC, AND WCU UNDER NCASLD ADMINISTRATION IN THE 2019-20 YEAR



FIGURE 4. LOCATIONS WHERE INDIVIDUALS PARTICIPATING IN THE TP3 PROGRAM ARE EMPLOYED UNDER TP3 COMMISSION AND NCASLD ADMINISTRATION IN THE 2020-21 YEAR ⁸



As a collection, the three images indicate the TP3 program draws participants from across the state although the urban centers in the middle of the state are most represented as would be expected for the larger school districts.

REPORT ORGANIZATION

NCASLD contracted with GrantProse to independently apply a 3-tiered approach to evaluate the performance of: (1) NCASLD, (2) TP3 Provider agencies, and (3) TP3 program participants. Reports produced in the course of this evaluation provide a record of the significant events, activities, and developments in the program and are useful for sharing information about the program with interested parties. This annual report to NCSEAA provides

⁸ Numbers in the counties indicate the number of individuals GrantProse identified as working in the county. Dr. Shirley Prince provided GrantProse data on the eight TP3 programs operating in the 2020-21 year to produce this image.

information on GrantProse's first-tier evaluation of NCASLD from July 2020 through June 2021, second-tier evaluation of TP3 Provider agencies from July 2020 through June 2021, and third-tier evaluation of TP3 program participants, outputs and outcomes by July 2021. Please see the accompanying GrantProse Technical Report for appendices that are referenced in this report.

PROGRAM GOALS ⁹

NCASLD

The mission of NCASLD is to grow the leadership capacity of school leaders through programs that are aligned to state and national research-based performance evaluation standards and competencies for highly effective school leadership. Through oversight of the TP3 program, NCASLD's goal is to transform school leader preparation in the state by identifying Provider agencies with diverse models of evidence-based principal preparation practices, analyzing and identifying their best practices, and recommending to the NC State Board of Education the best practices for the development of school leaders in North Carolina. NCASLD provides technical assistance to TP3 Provider agencies to build capacity and identify and integrate evidence-based approaches to school leader development. Through a Professional Learning Network, NCASLD also facilitates discussion among Provider agencies and stakeholders to share successes and lessons learned. NCASLD identifies seven key areas of responsibility in the TP3 program as follows:

1. Issue a Request for Proposal,
2. Evaluate and select eligible applicants,
3. Recommend grant recipients and duration to the NCSEEA,
4. Collect and report program data from grantee Provider agencies,
5. Evaluate grantee Provider agencies for grant renewal,
6. Provide technical assistance to grantee Provider agencies, and
7. Establish and convene a statewide Professional Learning Network.

PROVIDER AGENCIES

Each Provider agency's funding proposal included specific program goals. The original goals for each program as described in the funding proposal are listed in **Table 4** below, as well as any revisions or refinements made to these goals during the course of the program as identified in the mid-year and/or end-of-year evaluation reports collected by GrantProse from each Provider agency.

TABLE 4. PROGRAM GOALS AND MODIFICATIONS		
Program	Original Goals	Revisions or Refinements
<i>HPU</i>	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.	<p>2016-17: Reduction from 40 to 30 participants and addition of participants earning MEd in administration.</p> <p>2017-18: No revisions noted.</p> <p>2018-19: HPU will serve a total of 33 participants in the 2018-20 funding cycle.</p> <p>2019-20: No revisions noted.</p> <p>2020-21: No revisions noted.</p>

⁹ This section corresponds to NCSEEA Report Questions 1 & 2 seen in Exhibit B also submitted with this annual report: (Q1) What were the original goals and expectations for the activity supported by this grant? and (Q2) If applicable, how have those goals and expectations been revised or refined during the course of the project?

TABLE 4. PROGRAM GOALS AND MODIFICATIONS

Program	Original Goals	Revisions or Refinements
<i>NCSU</i>	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.	<p>2016-17: The program selected 20 individuals to participate rather than 18.¹⁰</p> <p>2017-18: No revisions noted.</p> <p>2018-19: The program expectations have changed per new legislative guidelines. (Also, the two TP3 programs NCSU operated during the 2016-18 funding cycle (DPLA and NCLA) have been combined into a single program.) NCSU will serve 34 participants in 7 LEAs in the 2018-20 Funding Cycle.</p> <p>2019-20: No revisions noted.</p> <p>2020-21: NA - Data not collected</p>
<i>SREC</i>	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.	<p>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.</p> <p>2017-18: The program began working with UNCP on any issues regarding courses that would prohibit a 10-month internship.</p> <p>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.</p> <p>2019-20: Cohort V will complete the program in December 2020.</p> <p>2020-21: No revisions noted.</p>
<i>UNCG</i>	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 12 partnering districts to be ready for service as a leader in a high needs, rural school.	<p>2016-17: While UNCG selected 20 participants, all participants are part of a single cohort, rather than two cohorts of 10 participants.</p> <p>2017-18: A single cohort of 22 participants will be selected.</p> <p>2018-19: No revisions noted.</p> <p>2019-20: No revisions noted.</p> <p>2020-21: No revisions noted.</p>

¹⁰ NCSU received two awards in the first funding cycle. The first award was made for a 'North Carolina Leadership Academy (NCLA) program which selected 20 participants from varied LEAs. The second award was made for a 'Durham Principal Leadership Academy (DPLA) which selected 14 participants from Durham County Public Schools. These two programs were eventually combined and NCSU enrolled a total of 34 individuals in the first funding cycle.

TABLE 4. PROGRAM GOALS AND MODIFICATIONS

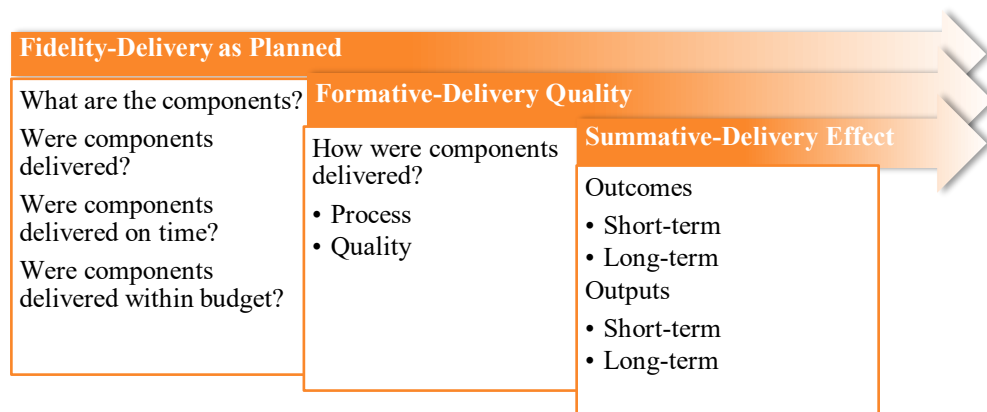
Program	Original Goals	Revisions or Refinements
WCU	<p>NCSELP will recruit and select two cohorts of program participants. There will be 40 participants in the first cohort and 24 in the second. Each participant will complete 36 credit hours and a 10- month full-time clinical internship in one of 18 partnering districts in order to be ready for service as a leader in a high needs, rural school.</p>	<p>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 TP3 funding.</p> <p>2017-18: No revisions noted.</p> <p>2018-19: With 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:</p> <ul style="list-style-type: none"> • 10 scholars ¹¹ will be selected for the 2018-20 funding cycle and they will serve 10-month internships. • TP3 funding will support the interns' fringe benefits related to 10-month, full-time internship. (Salaries will be supported by MSA Internship funding provided by the state.) If interns earn more than the \$41,650 provided by the MSA funding, the TP3 grant will make up the difference, holding interns harmless. • Leadership for Social Justice Institute in Madison • Additional courses: Leadership for Equity and Social Justice I / II. • More robust coaching model (collaborative coaching) including hiring two part-time coaches. <p>2019-20: No revisions noted.</p> <p>2020-21: NA - Data not collected.</p>

¹¹ WCU added another 3 participants to its 2018-20 program, bringing their total for the second funding cycle to 13.

EVALUATION MODEL

NCASLD contracted with GrantProse to independently apply a 3-tiered approach to evaluate the performance of: (1) NCASLD, (2) TP3 Provider agencies, and (3) TP3 program participants. Three forms of evaluation (fidelity, formative, summative) were used to evaluate NCASLD and the Provider agencies, and two forms (formative, summative) to evaluate the program participants. As shown in **Figure 5** below, fidelity evaluation monitors program operations and fiscal expenditures for adherence to scope of work and timelines. Formative evaluation assesses implementation of program strategies and activities, while summative evaluation assesses program outputs and outcomes. A mixed-methods approach using quantitative and qualitative data was used to determine program success, provide in-process review and recommendations, and measure progress toward proposed outcomes.

FIGURE 5. THREE-TIERED EVALUATION MODEL



LOGIC MODEL

In collaboration with NCASLD, GrantProse developed a logic model for second-tier evaluation of the TP3 programs that adheres to characteristics of logic models described by the W. K. Kellogg Foundation (2004).¹² Inputs, activities, outputs, outcomes, and impacts are identified in this model. Following recommendations of the Measurability Assessment conducted by the state’s Program Evaluation Division, the logic model described in the GrantProse annual report for the 2016-17 year was updated. **Figure 6** provides a visual depiction of this updated logic model for the TP3 program.

DATA SOURCES

To support Tier I evaluation, GrantProse participates in periodic evaluation meetings and invoice reviews with NCASLD and produces quarterly reports of activities to date.¹³ As part of Tier II evaluation activities, TP3 Provider agencies submitted mid-year performance reports in early 2021 and end-of-year reports in May 2021.¹⁴ GrantProse also conducted observations, interviews, and surveys during 2020-21 to observe and document

¹² Available at <https://www.wkkf.org/resource-directory/resources/2004/01/logic-model-development-guide>

¹³ Please see **Appendices D, E, F, and M** in the **Technical Report** for quarterly reports produced in 2020-21

¹⁴ Please see **Appendices B and J** in the **Technical Report** for the mid-year and end-of-year reports, respectively.

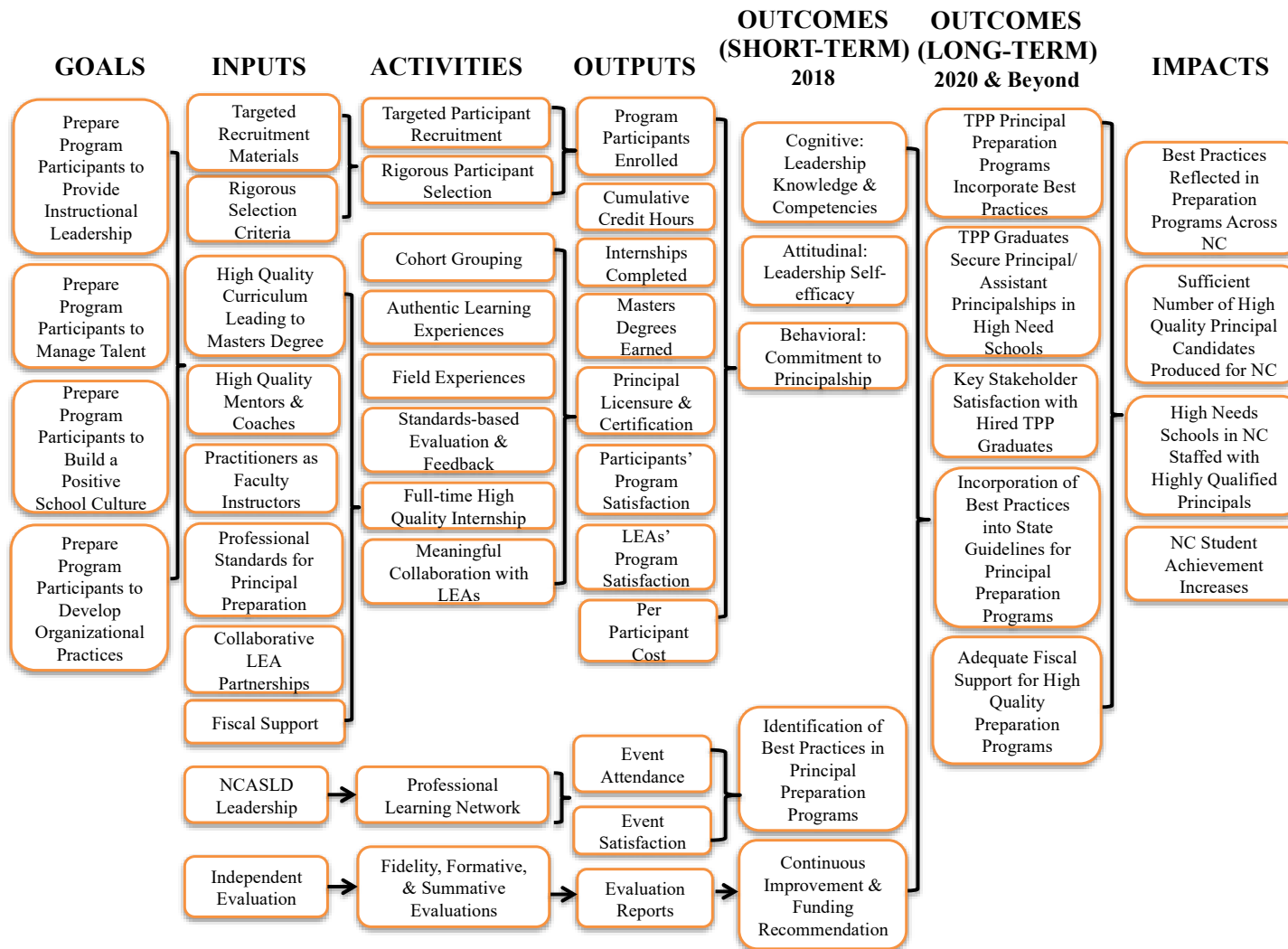
program processes and activities.¹⁵

At Tier III, evaluation activities collected data on the number of participants completing their programs, the number of university credit hours earned by the participants, the nature of the advanced degrees and licensure participants earned, the number of participants hired in positions as principals (P) and assistant principals (AP), and the number of individuals serving in P/AP positions at high need schools, among other output and outcome variables.¹⁶ Additionally, program participants completed surveys and telephone interviews in the 2020-21 year.

¹⁵ Please see **Appendices H, I and K** in the **Technical Report** for these reports.

¹⁶ Data in this report are reported on individuals securing principal and assistant principal positions. Data are not reported for individuals who secured other forms of district or state educational leadership positions due to how these other positions were quite varied in their nature and GrantProse was not in a position to determine whether one or more of these positions were in keeping with expectations described in the legislation.

FIGURE 6. TP3 PROGRAM EVALUATION LOGIC MODEL



ACCOMPLISHMENTS ¹⁷

TIMELINE

The timeline in **Table 5** provides a synopsis of major milestones completed to date in the NCASLD administration and GrantProse evaluation of the TP3 program.

TABLE 5. PROGRAM MILESTONES TO DATE	
Date	Activity
Feb 16, 2016	Contract signed with SEAA to oversee and administer TPP grant program
March 1, 2016	Issued Spring 2016 RFP
April 22, 2016	Spring 2016 proposals received
May 11-25, 2016	Evaluated submissions and selected Spring 2016 applicants
June 1, 2016	Recommended Spring 2016 recipient to SEAA
July 1, 2016	Received amendment to budget and Section 11.9 of Session Law 2015-241 authorizing additional competition
July 6, 2016	Notified recipient of Spring 2016 award
July 12, 2016	Issued Fall 2016 RFP
August 26, 2016	Fall 2016 proposals received
September 14-18, 2016	Evaluated submissions and selected Fall 2016 applicants
September 19, 2016	Recommended Fall 2016 recipients to SEAA
October 1, 2016	Notified recipients of Fall 2016 award
October 20, 2016	Hosted TPP Program Directors' Workshop
December 31, 2016	Five grantee agreements completed; six projects in progress
January 1, 2017	Programs begin serving participants. All Provider contracts executed. Providers submit first invoices for review.
February 2017	IRB approvals for GrantProse evaluation activities received from four of the five Provider Agencies.
March 2017	Mid-year evaluation reports of activities through the end of December 2016 submitted by four of five Provider agencies (four of six projects). NCASLD and GrantProse conduct phone interviews with all Provider agencies on recruitment, selection, and mentor processes.
March 2017	<i>Transforming Principal Preparation in NC: Program Update Summary</i> report prepared for Representative Blackwell
April 18, 2017	Mid-year evaluation reports submitted by NCSU for DPLA and NCLA
April/May 2017	Principal candidates participated in an online survey
May 22, 2017	NCASLD conducted a one-day summit for Program Directors and selected principal candidates
May/June 2017	High Point and Sandhills began a second cohort of principal candidates
June 2017	Annual evaluation reports submitted by all six programs.
July 27, 2017	NCASLD and GrantProse met with NCGA representatives from the Program Evaluation Division (PED) to discuss the upcoming submission of the Measurability Assessment.
July 31, 2017	GrantProse submitted the Year 1 annual evaluation report to NCASLD.
August 1, 2017	NCASLD disseminated the Year 1 annual evaluation report to Provider agencies.

¹⁷ This section corresponds to NCSEAA Report Question #3: What has the activity accomplished with these grant funds? Include specific information including facts and statistics to support conclusions and judgments about the activity's impact.

TABLE 5. PROGRAM MILESTONES TO DATE	
Date	Activity
July 27 & August 23, 2017	NCASLD, GrantProse, and SEAA met to develop plan and finalization, respectively, for Measurability Assessment documentation.
August 2017	NCASLD, GrantProse, and SEAA developed responses and compiled supporting documentation for the Measurability Assessment submission.
August 28, 2017	NCASLD submitted the Measurability Assessment to PED.
August 2017	HPU Cohort 1, NCSU-DPLA, NCSU-NCLA, SREC Cohort 1, UNCG, WCU program participants began full-time internships
August 2017	Programs conducted formative assessment of interns.
August 30 & September 13, 2017	Program Directors attended digital finance meetings conducted by NCASLD.
September 6, 2017	NCASLD posted the Year 1 annual evaluation report to their website.
September 11–22, 2017	GrantProse conducted observations of project activities.
October, 2017	NCASLD provided technical assistance to Providers via a virtual meeting regarding planning and budgeting for future cohorts.
October 5, 2017	NCASLD and GrantProse met to review the Criteria & Scoring Rubric for Continued Funding Recommendations as well as discuss each program's internship-related learning activities during GrantProse's TPP observations conducted in September 2017.
October 31, 2017	GrantProse submitted the seventh quarterly (Year 2, Quarter 3) NCASLD evaluation report.
November 1, 2017	NCASLD hosted, along with NYCLA, the first <i>face-to-face</i> Professional Learning Network meeting.
November 6 – December 7, 2017	GrantProse conducted on-site Program Director/team interviews to gather evidences for continued funding recommendations.
November 15-19, 2017	Program Directors attended the UCEA Convention and participated in a symposium regarding state-supported innovative leadership preparation programs.
December 2017	GrantProse disseminated electronic surveys to (1) LEA representatives partnered with TPP Programs, (2) Program participants completing their internships in December/January, and (3) Principal Mentors of Program Participants completing their internships in December/January. Surveys included questions evaluating their respective TPP Program. Additionally, the Participant and Principal Mentor surveys included items pertaining to individual Participants and their competencies based on State standards.
December 13, 2017	NCASLD hosted, along with NYCLA, the first <i>virtual</i> Professional Learning Network meeting.
December 23, 2017	GrantProse disseminated the mid-year report template to TPP Program Directors with a request to return the completed form by 1/31/18.
January 15, 2018	GrantProse submits the eighth quarterly (Year 2, Quarter 4) NCASLD evaluation report.
January 31, 2018	Provider agencies submit TPP mid-year reports.
January 31, 2018	NCASLD hosts, along with NYCLA, a face-to-face Professional Learning Network meeting.
Feb 13 – March 15, 2018	GrantProse conducted observations of project activities.
March 7, 2018	NCASLD meets with PED to receive feedback on results of Measurability Assessment and plans for April 9 presentation to NC Legislature.
March 13, 2018	NCASLD hosts, along with NYCLA, a virtual Professional Learning Network meeting for TPP Program Directors and staff.
March 22, 2018	NCASLD meets with Representative Blackwell and BEST NC to provide update on the program.
March 22, 2018	GrantProse provides NCASLD finalized Growth Plans based on results to date, which NCASLD disseminates to each TPP Provider agency
March 28, 2018	NCASLD and GrantProse modify the program's logic model based on the PED Measurability Assessment suggestions.

TABLE 5. PROGRAM MILESTONES TO DATE	
Date	Activity
March 29, 2018	NCASLD notifies TPP Provider agencies of NCASLD proposal to continue funding TPP programs at each institution for the 2018-19 year and beyond.
April 9, 2018	NCASLD and GrantProse attend PED Measurability Assessment results presentation to NC Legislature.
April 24, 2018	NCASLD hosts, along with NYCLA, a virtual Professional Learning Network meeting for TPP Program Directors and staff.
May 21, 2018	NCASLD hosts, along with NYCLA, a virtual Professional Learning Network meeting for TPP Program Directors and staff.
April/May 2018	GrantProse disseminated electronic surveys to (1) LEA representatives partnered with TPP Programs, (2) Program participants completing their internships in May/June, (3) Principal mentors of program participants completing their internships in May/June, and (4) Executive Coaches.
May 24 – June 28, 2018	GrantProse conducted continued observations of project activities.
June 2018	Annual evaluation reports submitted by all six programs.
May-August 2018	GrantProse disseminated electronic surveys to incoming Program participants in order to assess baseline knowledge, self-efficacy, and commitment to the principalship.
July 31, 2018	GrantProse submits the Year 2 annual evaluation report to NCASLD.
August 8, 2018	NCASLD hosts virtual legislation update for TPP Providers
August 31, 2018	NCASLD and NCDPI execute an MOA for sharing NCDPI data on graduates of all principal prep programs in the state.
September 2018	NCASLD approves four of the five TPP Provider budgets.
September 7, 2018	NCASLD hosts a virtual discussion of Financial Handbook for TPP Providers
October – December 2018	GrantProse continues observing select coursework/authentic learning experiences for each Provider
October 2, 2018	NCASLD hosts in-person meeting of the PLN at the NCSU Friday Institute
October 17, 2018	GrantProse releases report on Funding Cycle II Participants' Pre-Survey Results
November 13, 2018	GrantProse submits the quarterly (Year 3 Quarter 3) NCASLD Evaluation Report
December 15, 2018	Provider agencies submit TPP Mid-Year Report
January-March 2019	GrantProse continues observing select coursework/authentic learning experiences for each TPP Provider
January-March 2019	GrantProse conducted interviews with faculty members from each course observed this quarter
January-March 2019	GrantProse continued to develop electronic surveys for participants to be disseminated in April 2019.
January 15, 2019	NCASLD hosts, along with NYCLA, a face-to-face Professional Learning Network meeting.
February 18, 2019	GrantProse submits the eleventh quarterly (Year 2, Quarter 4) NCASLD evaluation report.
March 20, 2019	NCASLD hosts, along with NYCLA, a virtual Professional Learning Network meeting for TPP Program Directors and staff.
April 2, 2019	NCASLD hosts in person meeting of the PLN at the Center for School Leadership Development at UNC-CH.
June 18, 2019	NCASLD hosts, along with NYCLA, a virtual Professional Learning Network meeting for TPP Program Directors and staff.
July 31, 2019	GrantProse submitted the Year 3 annual evaluation report to NCASLD.
August 27, 2019	NCASLD hosts, along with NYCLA, a face-to-face Professional Learning Network meeting.
October 25, 2019	NCASLD hosts, along with NYCLA, a face-to-face Professional Learning Network meeting.
October-November 2019	GrantProse observed select LEA partnership activities for each Provider.

TABLE 5. PROGRAM MILESTONES TO DATE	
Date	Activity
October-November 2019	GrantProse conducts follow-up survey for participants that had completed a TPP program
December 2019	GrantProse conducts surveys of mentor principal and TPP participants who completed their program in the Fall 2019 semester
January-February 2020	GrantProse met with program leadership from each provider to discuss best practices observed in each program.
January 22, 2020	NCASLD hosts, along with NYCLA, a face-to-face Professional Learning Network meeting.
March 12, 2020	NCASLD presents to the Professional Educators Standards Committee an update on the progress of the five TP3 projects, which included providing comparative data and discussing emerging recommendations for scaling as the TP3 program as it enters the final year of the five-year transformation process.
March 19, 2020	NCASLD hosts a conference call with providers to discuss how the programs were managing with the COVID-19 shutdown and how it would affect their program delivery.
June-July 2020	Annual evaluation reports submitted by all six programs.
July 1, 2020	NCASLD provided TP3 programs a legislative update (SB 113) which addressed internship stipends and the length of the grant cycles.
July 2020	GrantProse conducts telephone interviews with LEA representatives.
July 31, 2020	GrantProse submits the Year 4 annual evaluation report to NCASLD.
July-September 2020	GrantProse disseminated electronic surveys to incoming Program participants in order to assess baseline knowledge, self-efficacy, and commitment to the principalship.
July-September 2020	GrantProse continues monitoring assistant principal and principal placements.
October 22, 2020	NCASLD hosts, along with NYCLA, a virtual Professional Learning Network meeting.
October 29, 2020	GrantProse presentation to the NC Principal Fellows & Transforming Principal Preparation Program Commission Meeting
November 2020	GrantProse produces a report disaggregating participant survey responses to the Executive Standards for School Administrators
October-December 2020	GrantProse continue monitoring assistant principal and principal placements.
January 2021	Provider agencies submit TP3 mid-year reports.
January-March 2021	GrantProse continue monitoring assistant principal and principal placements.
February 23, 2021	NCASLD hosts, along with NYCLA, a virtual Professional Learning Network meeting.
March 4, 2021	NSASLD presentation to the State Board of Education on the TP3 Program
March 11, 2021	NSASLD presentation to the PEPSC Commission on the TP3 Program.
March 2021	GrantProse conducts interviews with SREC and Campbell University leadership to discuss the current Campbell principal preparation program and the new SREC Campbell University partnership.
March 24, 2021	EducationNC focused TP3 Program in the article “Transforming Principal Preparation Program Poised for the Future” https://www.ednc.org/2021-03-24-transforming-principal-preparation-program-poised-for-the-future/
May 25, 2021	NCASLD hosts, along with NYCLA, a virtual Professional Learning Network meeting.
May 2021	Provider agencies submit TP3 annual reports.
May 2021	GrantProse conducts follow up electronic surveys with participants that had completed a TP3 program.
May-June 2021	GrantProse conducts telephone interviews of select participants that had completed a TP3 Program
April-June 2021	GrantProse continue monitoring assistant principal and principal placements.

TIER I EVALUATION: NCASLD

Program Staffing

NCASLD program staffing needs were determined based on the seven key areas of responsibility outlined in the Scope of Work in NCASLD's initial proposal to serve as administrator of the TP3 program. Throughout the 2020-21 year, NCASLD staffing for the TP3 program consisted of Dr. Shirley Prince, serving as the Program Director and committing approximately 45% of her time/effort to administering the project. Dr. Prince was contracted through the office of the North Carolina Association of School Administrators (NCASA). Others associated with NCASA who provided support to the project include Mrs. Tracy Story (approximately 55% time/effort) serving as the Program Coordinator, and Ms. Katherine Joyce and Ms. Lisa Walker each contributing less than 5% time/effort during the 2020-21 year. Mary Jo Dunnington with the NYC Leadership Academy and GrantProse were contractors.

Financial Accounting System

NCASLD has provided GrantProse with invoices that NCASLD submits to NCSEEA for expenses associated with administering the TP3 program. Along with expenses associated with staff time/effort, NCASLD also incurred expenses for varied contracts, services, materials and supplies. **Table 6** summarizes NCASLD expenses for the last three years, as reported by NCASLD to GrantProse.

TABLE 6. NCASLD EXPENSES FOR 2018-19, 2019-20, AND 2020-21			
Expense Category	2018-19 *	2019-20 *	2020-21 *
Contractor Services	\$295,113.65	\$288,219.79	\$261,565.81
Facilitator Services	\$34,118.74	\$36,817.50	\$800.00
Legal	\$4,993.95	\$350.00	\$0
Supplies	\$817.04	\$2,968.22	\$1,133.89
Travel	\$2,306.51	\$2,436.50	\$0
Venue	\$2,450.68	\$3,452.99	\$0
Catering	\$2,581.04	\$2,014.07	\$0
F&A	\$16,204.45	\$15,702.35	\$11,456.04
TOTAL	\$358,586.06	\$351,961.42	\$274,955.74

Notes:

* NCASLD expenses noted in Table 6 for June of each year are end-of-year projections submitted to NCSEEA May/June.

In the 2016-17 year, TP3 Provider agencies submitted monthly invoices to NCASLD. Upon finding these invoices were sufficiently documented, NCASLD permitted the Provider agencies to submit quarterly invoices in the 2017-18 year and subsequently. During 2017-18, GrantProse undertook a review of the Provider agencies' quarterly invoices and backup documentation to develop a more detailed understanding of how the Provider agencies were expending TP3 funds, referred to in this report as a 'secondary' budgetary analysis. GrantProse continued to support this function in subsequent years. The backup documentation from Providers sometimes consists of hundreds of pages. Although the documentation is extensive, the information that GrantProse collects from this documentation is helpful to identify differences and unique features among the TP3 programs. Also, apparent errors or omissions in the Provider agency invoices that GrantProse noted were shared with NCASLD administrators, and NCASLD worked with the Provider agencies year to correct any such errors.

Program Oversight

During the 2020-21 reporting period, NCASLD has undertaken key activities in the oversight of the TP3 program including: (a) Collecting and reporting program data from Provider agencies, (b) Providing technical assistance to Provider agencies, (c) Conducting a statewide Professional Learning Network, and (d) Providing NC governing bodies with recommendations for operating the TP3 program in future years. Each section below includes a description of these programmatic activities based upon NCASLD's monthly evaluation meetings and invoice reviews with GrantProse.

A. Collect and report program data from grantee Provider agencies

The results of the 2020-21 mid-year and end-of-year reports submitted by the Provider agencies are detailed in separate reports found in the **Technical Report** submitted along with this report.¹⁸ Data presented in this annual report to NCSEEA draws from these reports.

B. Provide technical assistance to grantee Provider agencies

NCASLD provided ongoing technical assistance to the HPU, SREC and UNCG programs during this fifth funding year. This assistance was typically provided in phone calls and or email communications to individual members of the leadership teams at the each of the three Providers. Examples of this assistance include:

- Work with Providers to ensure budgets are reasonable, allowable, and allocable,
- Work with Providers to assist with financial submissions and questions regarding documentation,
- Communicate ongoing legislative changes affecting contracts and use of funds,
- Work with Providers to clarify forgivable loan requirements,
- Address questions Providers raise regarding how carry-over funds may be used,
- Maintain an electronic reporting system to facilitate Providers' invoicing procedures,
- Resolve issues with Providers and policy makers as to how state MSA funds can be accessed,
- Communicate expectations with Providers in regard to the number of TP3 participants, and
- Participate in meetings with the Principal Fellows Director, TP3 Commission, NC legislators, and NCSEEA regarding the merger of principal preparation programs, among other forms of technical assistance.

C. Establish and convene a statewide Professional Learning Network

During 2020-21, NCASLD continued to hold Professional Learning Network meetings, which are summarized below. The PLN meetings were all held virtually. Further information is provided in the Technical Report.¹⁹

- The goals of the October 22, 2020, meeting were to reflect on and share challenges and adaptations the programs made in order to meet the needs of aspiring school leaders' during COVID-19, provide a forum for networking and connecting with peers engaged in this work, and learn about free resources available to the programs.
- The goals of the February 23, 2021, meeting included addressing varied forms of principal supervision and what activities best support principal growth.

¹⁸ **Appendices B and J in the Technical Report.**

¹⁹ **Appendix H in the Technical Report.**

- The goals of the May 25, 2021, meeting included providing a forum for networking and connecting with peers engaged in this work, hearing about what lies ahead for oversight of the TP3 program, and learning about free mentor principal training resource available to the programs.

Table 7 provides results of the survey that PLN participants completed at the end of the PLN meetings, expressing their level of satisfaction with varied features of the program that day.

TABLE 7. PARTICIPANT RATINGS OF PLN MEETINGS: 2020-21			
Question	October 21 (N = 17)	February 23 (N = 36)	May 25 (N = 16)
Q1. This PLN had clear objectives.	100%	97.2%	92.9%
Q2. This PLN was relevant to my professional development needs.	100%	88.9%	85.7%
Q3. This PLN was well structured.	100%	91.7%	92.8%
Q4. This PLN provided me with useful resources.	94.1%	91.7%	92.9%
Q5. This PLN was engaging.	100%	91.7%	92.8%
Q6. This PLN included adequate opportunities for participants to consider applications to their own professional practice.	94.1%	94.4%	85.8%
Q7. This PLN was of high quality overall.	100%	100%	92.8%

The professional learning networks conducted by NCASLD for TP3 programs provided an opportunity for the original TP3 programs and new TP3 program to meet and discuss shared insights. This year, the PLNs presented shared research-based findings which the participants could adjust to their programs. The five original principal preparation programs had the opportunity to strengthen their connections while forming new relationships with the new TP3 programs.

Recommendations

NCASLD was further charged with making recommendations to agencies revising state guidelines for school leadership programs. Dr. Shirley Prince with NCASLD periodically informs members of relevant state committees and associations of developments in the TP3 program. In line with this responsibility, Dr. Prince made a formal presentation to the NC State Board of Education on March 4, 2021. Dr. Prince shared a collection of recommendations from GrantProse for the Board's consideration, bulleted here:

- Optimize recruiting and selecting of the most qualified participants from the highest-need school districts by using TP3 funds and MSA funds to cover the full cost of:
 - Participant tuition, fees, and books
 - Participant salaries and associated fringe benefits including health and the local supplement during the internship
 - Retirement - optional (Principal Fellows Program did not have an option for Fellows to earn a year of retirement.)
- Continue redesigning MSA programs to incorporate more of the current TP3 program enhancement experiences into tuition-based courses, thus saving substantial TP3 funds to prepare additional principals.
- Optimize the number of principal candidates served and assure a more consistent ROI by establishing a graduated cap on percentage of grant funds going toward personnel for salary and benefits and/or programmatic/institutional costs.
 - TP3 grant funds should not be viewed as supplementing operations at a principal preparation program "in perpetuity." Rather, the grant should be a temporary infusion of revenue to assist with institutionalizing transformational practices.

- However, long-standing quality programs should continue to receive TP3 funding for participant expenses (I.e. tuition, salary/benefits) with graduated reductions in funding for institutional expenses (i.e. personnel salaries/benefits, contracted services other than coaches)
- Target the use of TP3 funds to the highest needs districts and schools while redefining the legislative definition of a high needs district and school. Consider replacing the language “...identified under Part A of Title I...” with a set figure for percentage of low-income students enrolled at the district and school.
- Expand the number of TP3 grant awards beyond the eight currently allowed so as to scale the transformational best practices across the state to additional qualified providers thus assuring that more principal candidates benefit from transformational preparation. Seek new funding for this purpose and/or opportunities for redistributing current funds. (Supported by Leandro recommendations and intent of legislation).
- When making new TP3 awards, give particular consideration to minority-serving IHEs, private IHEs, and LEA-driven principal development programs. HPU and SREC have served as good examples of how such programs are competitive and innovative.
- Promote school district-driven principal pipelines²⁰ that encourage authentic district involvement in nurturing and selection of candidates, selection of university partners, use of TP3 grant funds, and delivery of district-based support during coursework and internships.
- With or without continued or new TP3 funding, incorporate the opportunities that exist to embed many of the best practices in principal preparation programs across the state.
- Continue to provide a Professional Learning Network for providers to promote sharing of best practices.
- Continue to provide individualized technical assistance.
- Continue to implement an independent evaluation of the program and examination of short and long-term outcomes.

²⁰ See, for instance, Rand Corporation Study, 2019. *Principal Pipelines: A Feasible, Affordable, and Effective Way for Districts to Improve Schools*, found at https://www.rand.org/pubs/research_reports/RR2666.html

TIER II EVALUATION: PROVIDER AGENCIES

GrantProse Tier II evaluation activities during 2020-21 are summarized in **Table 8** below and discussion of these evaluation activities follows.

TABLE 8. GRANTPROSE TIER II EVALUATION ACTIVITIES: 2020-21						
Evaluation Activity		TP3 Program				
		HPU	NCSU	SREC	UNCG	WCU
A. Observations of PLN Meetings		All Programs				
B. Follow-up Survey with Program Graduates		All Programs				
C. Telephone Interview with Program Graduates		All Programs				
D. Program Reports	Director's Mid-Year Report	Completed	NA	Completed	Completed	NA
	Director's End-of Year Report	Completed	NA	Completed	Completed	NA
E. Ancillary Reports		Disaggregated Analysis of Survey Responses to Executive Standards				
		Disaggregated Analysis of Salary Payments				
		Qualitative Analysis of SREC Partnership with Campbell University				
		Update Analysis of High Need Schools				
F. Budgetary Analyses		Completed	NA	Completed	Completed	NA

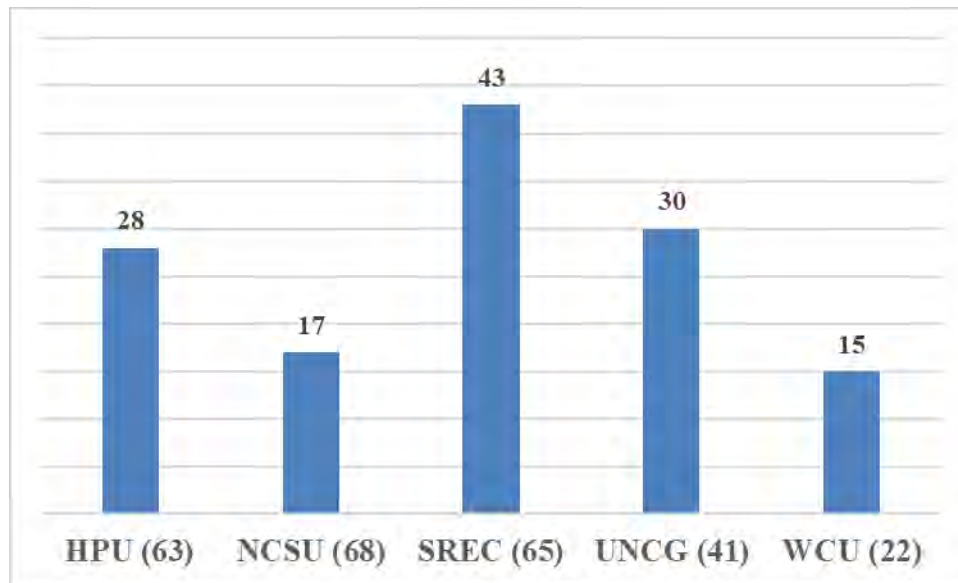
A. Observation of PLN Meetings

GrantProse staff observed all three PLN meetings conducted during the 2020-21 year: October 22, February 23, and May 25. Participant ratings of these meetings, reported above in **Table 7**, indicate the meetings were generally well received. Comments the participants made on the open-ended survey questions were also generally positive. See **Appendix H** in the **Technical Report** for the full report on these observations.

B. Surveys

GrantProse conducted a follow-up survey with graduates of the five TP3 programs for the period 2016-20. The survey was distributed to 257 individuals early May 2021. One hundred forty-one (141) individuals opened the survey and 133 (51.8%) of the 257 surveyed provided useable data. **Figures 7** and **8** indicate how many individuals at each TP3 program completed useable surveys and what positions these individuals had held since graduating from the program. See **Appendix K** in the **Technical Report** for this report.

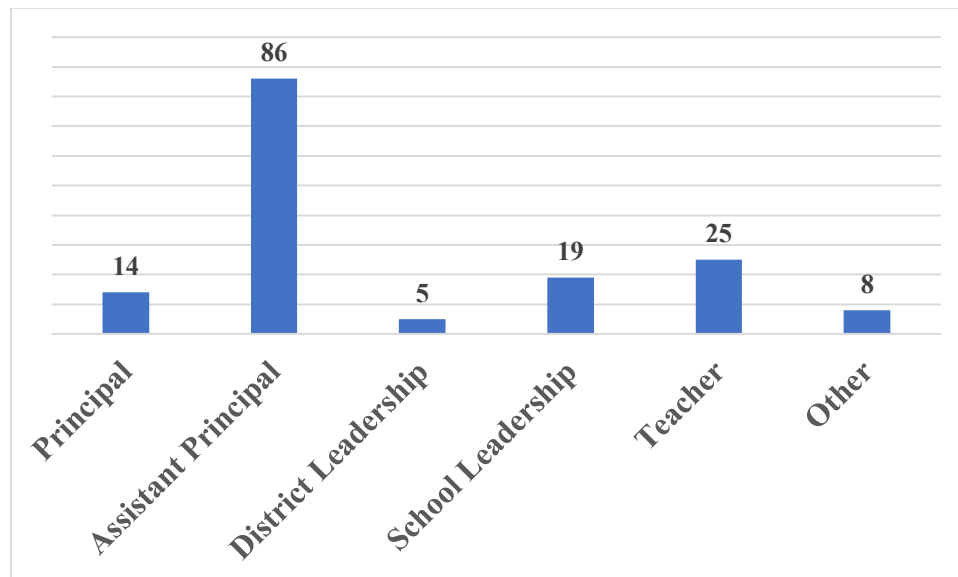
FIGURE 7. NUMBER OF SURVEY RESPONDENTS DISAGGREGATED BY TP3 PROGRAM *



Notes

* Numbers in parentheses indicate the number of individuals surveyed with each program.

FIGURE 8. LEADERSHIP POSITIONS HELD BY TP3 RESPONDENTS TO THE FOLLOW-UP SURVEY *



Notes

* The totals add to greater than 133 respondents due to some individuals choosing more than one position.

Respondents to the survey, who in some cases had been out of their program for two or more years, were generally highly complimentary about their TP3 program. The survey captured 100 (56.8%) of the 176 individuals known to GrantProse to be holding principal or assistant principal (P/AP) positions at the time of the survey, suggesting the survey results are reasonably well reflective of P/AP perspectives. Of course, there is

always the caveat that the 43.2% of P/APs who did not respond to the survey may hold less complimentary perspectives.

Among the five TP3 programs, the SREC respondents were consistently the most complimentary towards their program. On earlier surveys over the years, SREC participant perspectives tended to fall within the mix of averages among the other TP3 programs...not noticeably stronger or weaker than the other programs. The SREC model for implementing the TP3 program is quite different from the other university-led models, being based in a Regional Educational Service Alliance, fiscally managed by an LEA, and much more of an LEA-centered and led model. LEAs partnering with SREC typically target only 1 or 2 candidates they recommend for the program, suggesting the LEAs may be especially committed to helping participants build relationships with their district leadership and integrating them into their district's leadership culture. It is possible an LEA-centered and led model has some advantages over the university-led model with these advantages becoming more apparent to the participants when they graduate from the program and take on P/AP positions. A report from the Rand Corporation provides support for there being strengths in an LEA-led model.²¹

The internship and coaching were viewed as prominent strengths by many of the survey respondents along with how the programs provided authentic and/or practical learning experiences. Many comments also addressed general topics of how well the program helped them improve as a person, strengthening intra-personal characteristics by recognizing one's strengths and weaknesses, along with strengthening inter-personal dynamics such as building relations with students, staff and the community. In contrast, the business side of operations such as budgeting, exceptional children, human resource issues, and scheduling are areas where the respondents see the TP3 program could make improvements.

C. Interviews

GrantProse conducted telephone interviews with randomly selected graduates of the five original Transforming Principal Preparation Programs (TP3) to explore their experiences since graduation and the impact the program has had on their career to date. See **Appendix K** in the **Technical Report** for the full report of these interviews.

All individuals who graduated from the 2016-18 and 2018-20 funding cycles were candidates for being interviewed and 28 graduates were interviewed during May and June of 2021. Five individuals were selected from each of the five TP3 programs—one who was known to currently be in a principal position at the time of the telephone interview, two who were known to be in assistant principal positions, and two who were known to be in positions other than either principal or assistant principal. This stratification ensured that representatives would be selected for interviews among three groupings—those holding principal positions, those holding assistant principal positions, and those holding other positions. Twenty-eight (28) individuals were interviewed²² and the objective of interviewing at least one principal, two assistant principals, and two others from each of the five programs was achieved.

The interviews ranged between 7 and 28 minutes in length with the average interview length being 13 minutes. Ten (10) of the 28 interviews were with individuals who participated in the 2016-18 funding cycle, and 18 were with individuals who participated in the 2018-20 funding cycle. Fifteen (15) of the interview respondents

²¹ Gates, S. M., Baird, M. D., Master, B. Kl., & Chavez-Herrerias, E. R. (2019). *Principal Pipelines: A Feasible, Affordable, and Effective Way for Districts to Improve Schools*. Santa Monica, CA: Rand Corporation.

²² Some individuals were late to respond to the GrantProse interview request, resulting in 7 individuals being interviewed for SREC and 6 for UNCG.

were in principal and assistant principal positions at the time of the interview; 8 respondents were in teaching positions; and 5 respondents were in district-level or state-level leadership positions.

On the whole, the respondents were generally complimentary about their TP3 program with all 28 respondents indicating that they were making use of the knowledge and skills they learned in their TP3 programs. When asked *What support did you get/are you getting from your TP3 program in finding a principal/assistant principal job*, almost half of the interviewees discussed resume preparation, interview skill development, and/or references. Other supports identified included nine individuals mentioning coaching, five mentioning district partnership, five mentioning internship placement/support, and four mentioning selection/tapping process.

When asked *What surprises may have occurred in your professional experience thus far that you don't think you were prepared enough for*, almost half of the respondents mentioned COVID-19, with many noting that this was not an event that the TP3 program could have anticipated. Other surprises mentioned by participants included the micropolitics among staff and parent groups such as sports. Four respondents mentioned they were surprised how others immediately perceived the respondent knew the ins and outs of their new school administrator position. Other surprises listed were interview process, special education, literacy, macro-politics, school law, self-care, and the changing educational environment.

When asked *What could the program have done better to prepare you to be a school administrator*, the 15 respondents in P/AP roles offered diverse opinions with the most frequently mentioned being to improve the internship experience. When discussing the internship, respondents discussed the length, placement, and variety of setting. Three respondents discussed the need to learn and use self-care/reflection. Other improvements identified related to budgeting, working with adults, interview process, special education, fundamental day-to-day tasks, obtaining a position, human resource procedures/laws, licensure projects throughout the program, increased interaction with building level personnel during the program, and personalized learning with instructional technology.

And, when asked *How does the TP3 program continue to support you as an educational leader*, 27 of the 28 respondents indicated some level of continuing support. Sixty percent (60%) of respondents mentioned the coaching relationship as continued support. Twenty-five percent (25%) of the respondents noted that the resources were a support. Others discussed communication with program leadership, cohort, network, TP3-district partnership, and established school leadership institute.

D. Program Reports

Mid-Year Report

HPU, SREC and UNCG were asked to complete a mid-year report on activities and accomplishments undertaken with state funds during the reporting period of July 1, 2020 through December 31, 2020. Program Directors were asked to update information on funds expended, program goals and expectations, program participant progress toward degrees/licensure, program challenges and successes, and future plans. The full GrantProse report of the mid-year reports is provided in **Appendix B** of the **Technical Report**.

Language in the authorizing legislation related to the key activity of participant recruitment found in NC S. Law 2015-241 at Section 11.9.f (Item 2a) indicates programs will implement “*a proactive, aggressive, and intentional recruitment strategy.*” The three programs implemented active recruitment and selection strategies with high levels of LEA involvement for their 2020-22 cohorts. The recruitment and selection strategies utilized

resulted in full enrollment. **Table 9** provides information on the number of program participants who enrolled in each program. The three programs enrolled a total of 72 individuals at the start of the 2020-21 year.

TABLE 9. ENROLLMENT BY TP3 PROGRAM						
Funding Cycle	HPU	NCSU	SREC	UNCG	WCU	TOTAL
2016-18	30	34	26	20	10	120
2018-20	33	34	39	22	13	141
2020-21	32	NA	20	20	NA	72
Total	95	68	85	62	23	333

Information on the overall racial and ethnic demographics of the 72 individuals enrolled in Funding Cycle III at HPU, SREC and UNCG is presented in **Table 10**.

TABLE 10. RACIAL/ETHNIC DEMOGRAPHICS OF PROGRAM PARTICIPANTS ENROLLED AT HPU, SREC, AND UNCG IN 2020-21					
Racial Categories	Ethnic Categories				TOTAL
	Hispanic or Latin(x)		Not Hispanic or Latin(x)		
	Female	Male	Female	Male	
American Indian/Alaska Native				1	1 (1.4%)
Asian					0
Native Hawaiian or Other Pacific Islander					0
Black or African American			15	4	19 (26.4%)
White		1	36	11	48 (66.7%)
More than One Race			1	1	2 (2.8%)
Unknown/Not reported		1	1		2 (2.8%)
TOTAL		2 (2.8%)	53 (73.6%)	17 (23.6%)	72

The legislation also emphasizes that TP3 programs should have “*A proposed focus on and, if applicable, a record of serving high-need schools, high-need local school administrative units...*” with the definition of a high need LEA being a school district in which the ‘majority’ of the schools in the district meet the high need definition specified for individual schools. The determination of whether a school meets the legislative criterion of high need and whether an LEA has a majority of its schools meeting these criteria hinges chiefly on how the word ‘identified’ is interpreted in the following clause of the legislative definition: *Is a school identified under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended.* Schools may participate in the Title I program in a number of different models, two of which are school-wide programs and targeted assistance programs. The major difference between the two models is that school-wide programs could impact any of the students at the school regardless of their poverty status, while targeted assistance programs only impact a select few students at the school.

Without specific guidance on how to interpret the word ‘identified’ GrantProse adopted a liberal interpretation of this word to include all schools participating in either school-wide or targeted assistance programs, as indicated in the most current dataset available at the North Carolina Department of Public Instruction. While this approach has an advantage of ensuring that all possible candidate schools for high need status are identified, it has a disadvantage in possibly identifying too many schools as high need. Following the GrantProse approach, 81.5% of the schools in the state meet one or more of the four legislative criteria. Please see **Appendix L** in the **Technical Report** for the most recent report describing how GrantProse determined the number of schools meeting the legislative criteria in 2020-21. This report concludes with a recommendation that

in light of the high stakes expectation that TP3 program graduates' forgivable loans may be forgiven at different rates depending on the high needs status of the school where they take a principal or assistant principal position, NCSEAA and the TP3 Commission should clarify the interpretation of the criteria defining high need schools.

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 TP3 programs use multiple formal and informal data from varied sources to identify and implement program improvements. For further information on LEA partner feedback for each TP3 program, please see the GrantProse 2019 Annual Report to the NCSEAA.

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 11** below.

TABLE 11. UNEXPECTED BARRIERS OR CHALLENGES		
Program	Barriers/Challenges	Strategies for Overcoming
<i>HPU</i>	We did remain virtual with all classes and trainings for fall 2020 and spring 2021. Books were mailed to students. We are returning to our face-to-face classes and professional learning beginning in May 2021.	Because we had new instructors during this time, the executive coaches and the project director often joined classes to ensure better support to the students with assignments and to deepen their learning and connections.
<i>SREC</i>	The primary challenge was the issue of meeting F2F for classes and coaching sessions.	<p>However, we quickly adopted WebEx and Zoom as means of contact and scheduled all session and classes so that we could “see” each other and continue the work. Full group sessions and breakout rooms were used to deliver coursework and individual conferences. In addition, we enhanced phone calls with FaceTime and Zoom to add a more personal emphasis on any conversations. Rather than eliminate sessions, we actually increased the number of seminars and class sessions but sometimes adjusted them by scheduling a 6-hour session as 2-three hour sessions to help maintain attention and focus. Presenters and consultants were willing to adjust with us so all planned content was delivered.</p> <p>Not only did we adjust the delivery of our program, both staff and interns worked together to improve technology skills that would maintain and even improve delivery of services. Because schools were closed to all visitors and outsiders, the PDP staff sought creative solutions to meeting with each Intern and Mentor Principal.</p> <p>We also discovered that – in this pandemic environment – our Interns sought the staff’s advice more often by reaching out after school or in the evenings for the purpose of reflecting on the day’s challenges or for advice for decisions that were difficult not only for the intern but also for the Mentor Principal.</p> <p>In courses such as <i>School Management, Analyzing Educational Issues</i> and <i>Meeting the Needs of Special Populations</i>, it was necessary to adjust the course content so current issues,</p>

TABLE 11. UNEXPECTED BARRIERS OR CHALLENGES		
Program	Barriers/Challenges	Strategies for Overcoming
	<p>An unexpected result of the COVID-19 environment was the need to adjust curriculum content.</p> <p>In addition, we worked with our Interns on how to counsel, listen, support and reassure teachers who were insecure, struggling, or even frantic.</p>	<p>considerations, problems and solutions were included.</p> <p>Helping Interns and their Mentors to support and retain faculty in such an unusual environment because extremely important, so our Interns were able to address teacher needs and become stronger as aspiring principals who would be sensitive to both the personal and professional issues of their faculties.</p>
UNCG	<p>The main challenge this year was COVID. We made the following changes/ accommodations as a function of COVID.</p>	<ul style="list-style-type: none"> • We held Interview Days in May 2020 (simulations; panel interview; in-basket tasks) virtually via Zoom. • We changed the building/room for classes in order to accommodate social distancing from Dixon building to the Hall-Merricka building at Gateway Research Park North (AKA North Campus). With this change and other protocols, we have successfully held Boot Camp, ELC 660, ECL 670, Saturday Seminars, and Performance Learning Day in-person. • We have used distance technology to record or livestream classes/events for people in quarantine or isolation due to COVID. • We changed field assignments embedded in first semester coursework to accommodate the fact that the educators in our cohort were teaching virtually at the time. • We conducted site visits this semester virtually. • We conducted internship placement meetings with our partner districts virtually.

End-of-Year Report

HPU, SREC and UNCG also completed an end-of-year report on activities and accomplishments undertaken with state funds for the entire 2020-21 year. **Table 12** indicates the three programs recruited a total of 72 participants to start programs beginning in the fall 2020, and **Table 13** indicates the LEAs where these individuals came from.

TABLE 12. PROGRAM INCOMING PARTICIPANTS: 2020-21		
Program	Incoming Participants	Comments
HPU	HPU-Cohort V = 16 HPU-Cohort VI = 16	Total participants in 2020-21 = 32
SREC	SREC-UNCP = 10 SREC-Campbell = 10 *	Total participants in 2020-21 = 20 (including 10 at Campbell scheduled to begin January 2021)
UNCG	UNCG-Cohort 3 = 20	Total participants in 2020-21 = 20

* Note: One individual in the SREC/Campbell program is known to have withdrawn at the time of this report.

TABLE 13. COUNTIES AND CITY LEAS PARTNERED WITH PROGRAMS UNDER NCASLD ADMINISTRATION IN THE 2020-21 YEAR		
TP3 Program	Areas Served	Number of Participants Served
<i>HPU</i>	Cabarrus County Schools	2
	Catawba County Schools	2
	Davie County Schools	1
	Guilford County Schools	10
	Lincoln County Schools	1
	Mooresville Graded School District	3
	Mount Airy City Schools	1
	Union County Schools	5
	Vance County Schools	2
	Winston-Salem/Forsyth County Schools	4
	Yadkin County Schools	1
<i>SREC</i>	Anson County Schools	0
	Bladen County Schools	2
	Columbus County Schools	2
	Cumberland County Schools	2
	Harnett County Schools	4
	Hoke County Schools	0
	Lee County Schools	1
	Montgomery County Schools	0
	Moore County Schools	4
	Richmond County Schools	2
	Scotland County Schools	1
	Public Schools of Robeson County	2
	Whiteville City Schools	0
<i>UNCG</i>	Chatham County Schools	0
	Davidson County Schools	3
	Lee County Schools	1
	Lexington City Schools	2
	Lincoln County Schools	1
	Montgomery County Schools	4
	Person County Schools	3
	Randolph County Schools	1
	Rockingham County Schools	3
	Stanly County Schools	1
Surry County Schools	1	
TOTAL	32 LEAs * • 28 counties • 4 cities	72

* Note: 3 LEAs have partnership with two TP3 programs

Table 14 presents the number of credit hours that HPU, SREC, and UNCG participants had earned in the 2020-21 year.

TABLE 14. PROGRESS OF 2020-22 PARTICIPANTS (FUNDING CYCLE III) TOWARD A DEGREE/LICENSE: JUNE 2021				
Completed Credit Hours	HPU	SREC	UNCG	Total
4-6		10 (FC III)		10
10-12		10 (FC III)		10
16-18	32 (FC III)			32
19-21			20 (FC III)	20
Totals	32	20	20	72

To address 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 TP3 programs used formal and informal data from multiple sources (participants, coaches, mentors) to identify and implement program improvements. The programs’ principal mentors and coaches also provided regular feedback regarding training and support received. **Table 15** describes continuous improvement evaluation activities and modifications based on feedback reported by HPU, SREC and UNCG for the current funding cycle.

TABLE 15. MODIFICATIONS MADE BASED ON CONTINUOUS IMPROVEMENT PLANNING ACTIVITIES OF PROVIDER AGENCIES	
TP3 Program	Modifications
<i>HPU</i>	In light of the pandemic, we have added specific professional learning and training to address trauma and crisis; we have strengthened the work around change and decision making. Topics included are mental first aid and trauma and resiliency, rethinking schools after the pandemic, lessons learned from the crisis, and the psychology of change. We are also adding practitioner-led sessions around supporting hybrid teaching and lesson design.
<i>SREC</i>	First, the addition of Campbell University to the Sandhills program is a modification that allows us to serve the entire region. Previously, teachers who worked in the northern part of the region, particularly Sanford and Lillington, were reluctant to drive to Pembroke for college classes because of extended travel time. This modification allows us to bring the program and service closer to our LEAs. Second, through information shared in PDP staff meetings, we realize the need to meet more often with our Mentor Principal, so we are planning a monthly “check-in” via Zoom or WebEx in addition to quarterly semester F2F group Mentor meetings. The purpose is to implement consistent training for our Mentor Principals. Third, the Covid-19 environment taught us to be more resourceful and creative, so we will implement more technology throughout all components of our program. However, we recognize the importance of relationships and will not sacrifice important, deep connections with our stakeholders for the sake of Zoom. We will continue to monitor all aspects of the program to ensure that relationships are effective and program components are sustainable.
<i>UNCG</i>	From PPEERS 1 to PPEERS 2, we made sizable and substantive improvements to the program. From PPEERS 2 to PPEERS 3, our improvements are more refinements than broad changes. Data to inform these refinements come from the two benchmark reports and one final report written by the Office of Assessment, Evaluation, and Research Services (OAERS) that conducts our internal evaluation; reports from GrantProse; data collected from stakeholder groups, including students, graduates, leadership coaches, and district partners; and from the self-assessment and reflection of the PPEERS leadership team. Data from these sources informed the following changes: <ul style="list-style-type: none"> We continue to co-design with district partners during our monthly meetings with District Point Persons. Within our PPEERS research practice partnership, we leverage design-based implementation research to

TABLE 15. MODIFICATIONS MADE BASED ON CONTINUOUS IMPROVEMENT PLANNING ACTIVITIES OF PROVIDER AGENCIES

TP3 Program	Modifications
	<p>design, implement, study, and redesign elements of the PPEERS program. Continuous improvement is intrinsic to this approach. Through these co-design sessions, we have, for example:</p> <ul style="list-style-type: none"> ○ Developed curriculum around leading through crisis. ○ Expanded our Advisory Board. ○ Established specifications for a scope and sequence on <i>data literacy and leadership</i> and established an ad hoc design team to develop the content, including three problem-of-practice data simulations. The design team is comprised of a DPP (Exec. Director of HR); a principal; a Director of Accountability, Director of Secondary Education; Director, Curriculum and Instruction, and Professional Development; and an Assistant Professor of School Administration at NCCU. ○ Developed learning objectives on the topic of student safety and wellness. <ul style="list-style-type: none"> ● We have refined the Hallmark projects that participants completed to demonstrate their mastery of the 8 NC Standards for School Executives. ● This summer, we will be providing our interns with Mental Health First Aid certification through a partnership with Cone Health. <p>Based on OAERS internal (formative) evaluation data from superintendent interviews, we are expanding our programming on serving Latinx communities. There will be greater emphasis on the topic in ELC 616: Culturally Responsive Leadership, a Saturday Seminar in Fall of 2021, and an Internship Seminar at Siler City Elementary in Chatham County, which is a minority Latinx school.</p>

The Project Directors were also asked to describe any unexpected barriers or challenges they had encountered in the most recent reporting period, as well as strategies for overcoming them, including adjustments, if any, made due to COVID-19. **Table 16** presents the responses HPU, SREC and UNCG described for the 2020-21 year.

TABLE 16. UNEXPECTED BARRIERS OR CHALLENGES

Program	Barriers/Challenges	Strategies for Overcoming
HPU	<p>We did remain virtual with all classes and trainings for fall 2020 and spring 2021. Books were mailed to students. We are returning to our face-to-face classes and professional learning beginning in May 2021.</p>	<p>Because we had new instructors during this time, the executive coaches and the project director often joined classes to ensure better support to the students with assignments and to deepen their learning and connections.</p>
SREC	<p>The primary challenge was the issue of meeting F2F for classes and coaching sessions.</p>	<p>However, we quickly adopted WebEx and Zoom as means of contact and scheduled all sessions and classes so that we could “see” each other and continue the work. Full group sessions and breakout rooms were used to deliver coursework and individual conferences. In addition, we enhanced phone calls with FaceTime and Zoom to add a more personal emphasis on any conversations. Rather than eliminate sessions, we actually increased the number of seminars and class sessions but sometimes adjusted them by scheduling a 6-hour session as 2-three hour sessions to help maintain attention and focus. Presenters and consultants were willing to adjust with us so all planned content was delivered.</p> <p>Not only did we adjust the delivery of our program, both staff and interns worked together to improve technology skills that would maintain and even improve delivery of services. Because schools were closed to all visitors and outsiders, the PDP staff sought creative solutions to meeting with each Intern and Mentor Principal.</p>

TABLE 16. UNEXPECTED BARRIERS OR CHALLENGES		
Program	Barriers/Challenges	Strategies for Overcoming
	<p>An unexpected result of the Covid-19 environment was the need to adjust curriculum content.</p> <p>In addition, we worked with our Interns on how to counsel, listen, support and reassure teachers who were insecure, struggling, or even frantic.</p>	<p>We also discovered that – in this pandemic environment – our Interns sought the staff’s advice more often by reaching out after school or in the evenings for the purpose of reflecting on the day’s challenges or for advice for decisions that were difficult not only for the intern but also for the Mentor Principal.</p> <p>In courses such as <i>School Management</i>, <i>Analyzing Educational Issues</i> and <i>Meeting the Needs of Special Populations</i>, it was necessary to adjust the course content so current issues, considerations, problems and solutions were included.</p> <p>Helping Interns and their Mentors to support and retain faculty in such an unusual environment because extremely important, so our Interns were able to address teacher needs and become stronger as aspiring principals who would be sensitive to both the personal and professional issues of their faculties.</p>
UNCG	The main challenge this year was COVID.	<ul style="list-style-type: none"> • We held Interview Days in May 2020 (simulations; panel interview; in-basket tasks) virtually via Zoom. • We changed the building/room for classes in order to accommodate social distancing from Dixon building to the Hall-Merricka building at Gateway Research Park North (AKA North Campus). With this change and other protocols, we have successfully held Boot Camp, ELC 660, ECL 670, Saturday Seminars, and Performance Learning Day in-person. • We have used distance technology to record or livestream classes/events for people in quarantine or isolation due to COVID. • We changed field assignments embedded in first semester coursework to accommodate the fact that the educators in our cohort were teaching virtually at the time. • We conducted site visits this semester virtually. • We conducted internship placement meetings with our partner districts virtually.

Despite varied challenges, HPU, SREC and UNCG reported many successes, as presented in **Table 17**.

TABLE 17. SUCCESSES OF TP3 PROGRAMS	
TP3 program	Successes
HPU	All candidates have maintained a 4.0 GPA to date. They have built a strong, cohesive connection across their cohorts despite the virtual setting. We have our internship placements months in advance of past cohorts. This allows candidates to use the schools where they intern as the basis of assignments as well as provides experience in those schools during the summer. All candidates are strongly encouraged to volunteer their time as the internship does not officially begin until August.
SREC	We are pleased that 100% of Cohort 5 completed all requirements and graduated with the MSA degree. In addition, of 14 members in Cohort 5, three are now Asst. Principals, one is Dean of Curriculum and Student Success, four are Instructional Coaches or Specialists and one is district Chief Financial Officer because of skills he gained in the PDP program. This means that 64% of Cohort 5 members who completed during 2020-21 are in administrative/high instructional impact positions.

TABLE 17. SUCCESSES OF TP3 PROGRAMS	
TP3 program	Successes
UNCG	<p>All 20 participants have completed 21 credits – half of the program. All are currently successful in terms of coursework, field assignments, dispositions, and Performance Learning Day - Lite scores. They are eager to begin their internships, which officially start 8/15/21, although many will voluntarily begin before then. They are incredibly hardworking, evince a growth mindset, and regularly go above and beyond what is being asked of them. We hear regularly from instructors, leadership coaches, trainers, and guest speakers about the strengths of the cohort. The cohort is tight-knit, reflective, orientated towards issues of equity, growth-minded, and has – overall – strong social-emotional skills.</p> <p>More broadly, the program continues to enjoy strong support from partner districts, as reflected in the OAERS reports and in these statements from superintendents:</p> <ul style="list-style-type: none"> • As [redacted], Superintendent of [redacted] County Schools stated, “<i>The program is very valuable to all the 11 rural districts it serves. Without the program, these districts would struggle to get well-prepared candidates.</i>” • [Redacted], Superintendent of [redacted] County Schools expressed: “<i>This program has been a highlight for my school system and me. The opportunities for school systems and individuals in the area of school leadership are limitless as a result of this program. If improvement in school leadership is a goal, programs such as this one need to remain in place.</i>” • Graduates are “well-trained and impactful as school leaders” [redacted], Superintendent of [redacted] County Schools). • [Redacted] of [redacted] County Schools summarized the benefits of PPEERS: “<i>The program has helped us establish a solid leadership program for aspiring administrators by providing exceptional practitioner focused classes and collaborative support sessions. The program has set a high bar for the participants, and I have seen a difference in the graduates and their readiness to transition into an administrative role in all levels of school administration. This program is a model for NC and the nation.</i>”

E. Ancillary Reports

GrantProse gathered data and produced a variety of reports throughout the 2020-21 year. A brief description of these reports follows.

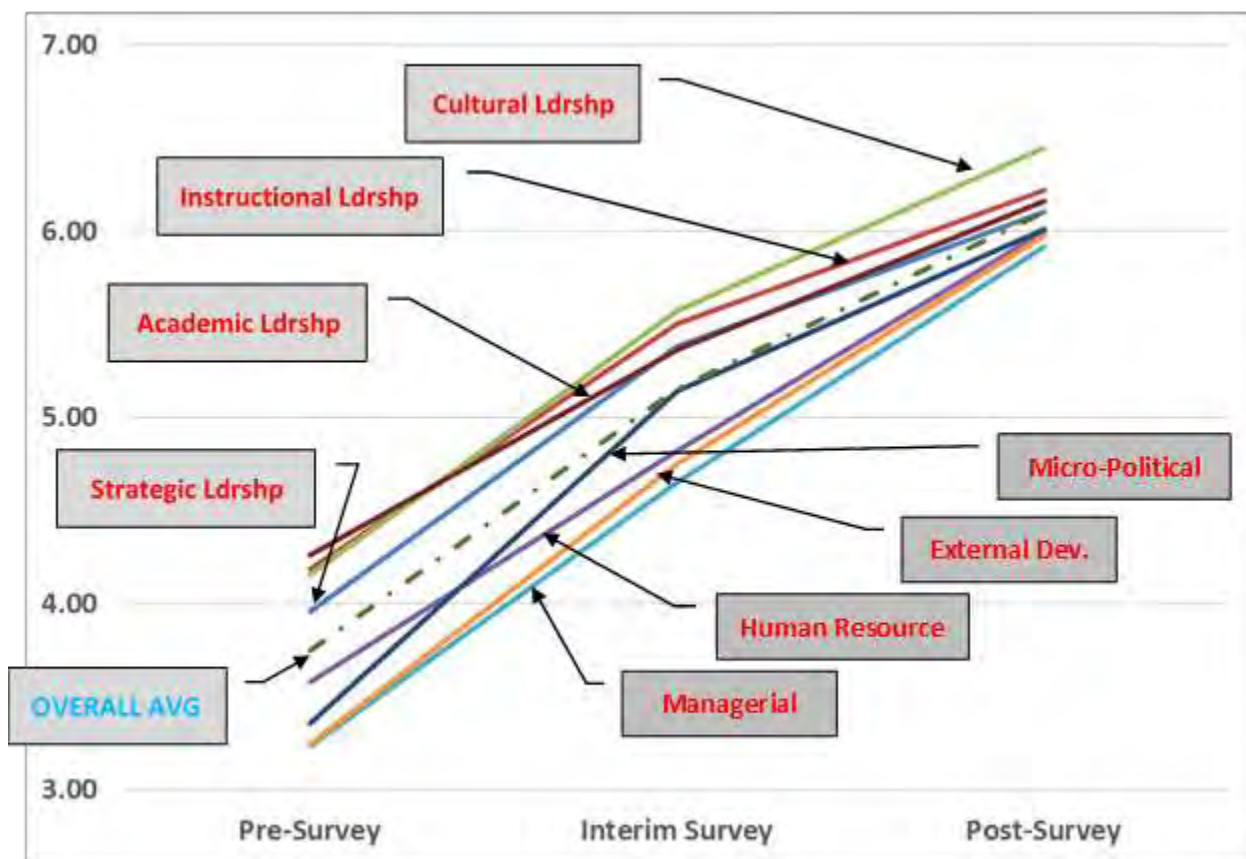
- Disaggregated Analyses of Survey Results for Participant Responses to the Executive Standards.²³ An online survey was conducted with TP3 participants in the 2018-20 cohort at three points in time: 1) Before beginning their program (summer 2018), 2) Mid-way thru their program (spring 2019), and 3) Near the end of their program (spring 2020). A series of eight questions formatted as Likert items on 1-7 scales asked individuals to rate their knowledge of and competency with the eight NC Standards for School Executives. Anchors for the Likert items ranged from, “Not at all knowledgeable/competent” (1) to “Extremely knowledgeable/ competent” (7). Text selected from the published standards was provided with the Likert item for each standard to clarify what was meant by the standard. Data from the spring 2020 survey were disaggregated by each Provider program for each standard to explore whether notable differences were evident among the programs in participant rating of their knowledge/competency with one or more of the standards.

In general, the participants at all five programs expressed positive views about their knowledge of and competency with the standards, with average participant responses ranging from a high of 6.52 on Academic Achievement Leadership at HPU to a low of 5.17 on Managerial Leadership at WCU. HPU demonstrated the highest averages on 5 of the 8 standards. **Figure 9** shows how participant responses to the standards became

²³ Appendix A in the Technical Report.

stronger over time and the ratings remained relatively consistent over time, with standards evidencing the lowest average ratings on the pre-test continuing to evidence the lowest average ratings on the post-test.

FIGURE 9. TREND ANALYSIS FOR THE EIGHT EXECUTIVE STANDARDS OVER THREE SURVEY ADMINISTRATIONS



The conclusions drawn from the disaggregation of survey responses to the Executive Standards were that individuals at all five TP3 programs expressed high levels of knowledge of and competency with all eight Executive Standards by the end of their TP3 program. This confidence was developmental and grew over time as shown in **Figure 9**. While there is very little difference among the varied averages, HPU may have been most successful with advancing knowledge and competency with the standards, posting 5 of the 8 strongest averages. When the overall averages for all participants are looked at for each standard, participants may have been most comfortable in their knowledge of and competency with Cultural Leadership and Instructional Leadership, and least comfortable with Managerial Leadership and External Development Leadership. This latter finding is possibly attributable to how most TP3 participants were recently classroom teachers where culture and instruction would be of paramount concern.

- *Disaggregated Analysis of Salary Payments.*²⁴ An analysis of payments made to salaried personnel—for whom institutional fringe benefits were paid—highlights one of the few significant differences among the five original TP3 programs during the first four years of its operation: 2016-20. While there was considerable

²⁴ Appendix C in the Technical Report.

similarity in how the five programs all implemented the varied best practices described in other GrantProse reports, the programs varied in their employment of salaried institutional personnel with leadership and associated roles supporting program operations.

Data presented in **Table 18** were organized for all individuals at each institution who earned greater than \$5,000 in salary payments over the course of the 4-year period. The data ranged from 21 individuals with payments of greater than \$5,000 at NCSU to 1 individual at HPU.

TABLE 18. TOTAL OF INSTITUTIONAL PERSONNEL RECEIVING SALARY AND FRINGE BENEFIT PAYMENTS \geq \$5,000 OVER 4-YEAR PERIOD: 2016-2020				
Institution	Number of Salaried Staff	Total of Salary & Fringe Benefit Payments	Number of Graduates thru June 2021	Salary Expenditures Per Graduate Considering Only Salaried Staff Earning Greater than \$5,000
<i>NCSU</i>	21	\$1,398,780	66	\$21,194
<i>UNCG</i>	12	\$611,572	41	\$14,916
<i>WCU</i>	5	\$84,812	22	\$3,855
<i>SREC</i> *	3	\$160,004	65	\$2,462
<i>HPU</i>	1	\$91,792	63	\$1,457
Totals		\$2,346,960	257	\$9,132

* Note: Fiscal management for the SREC program was provided by Hoke County Public Schools which paid partial salary for one individual. Another two individuals who contracted with Hoke County Public Schools to administer the program are included in this count.

The three UNC system programs (NCSU, UNCG, and WCU) employed the greatest number of personnel while HPU, a private IHE, and SREC, a regional consortium, employed the fewest personnel.

- *Qualitative Analysis of SREC Partnership with Campbell University.*²⁵ In the 2020-21 year, SREC extended its partnership model with UNC-Pembroke to initiate a second partnership with Campbell University, scaling program transformation to another principal preparation program in the state and spreading the impact of the TP3 program with low additional leadership costs. Beginning in 2010, under the leadership of Dr. Peggy Smith, Coordinator of Campbell's M.S.A. program, Campbell initiated ongoing changes in their M.S.A. program to increase focus on preparation for job responsibilities of principals and improve alignment with the North Carolina Standards for School Executives. In June of 2020, Dr. Alfred Bryant, a former Dean at UNC-P, became Dean of Campbell's School of Education. Dr. Bryant had previously worked with SREC's TP3 Sandhills Leadership Program and initiated Campbell's partnership with SREC. The partnership allows SREC to better serve students and school districts in the northern counties of its region, while providing the financial resources for Campbell to offer a fully transformed program including a 10-month, full-time internship experience with coaching.

Some notes on the current status of the SREC/Campbell partnership include:

- The SREC/Campbell Partnership was approved by SREC RESA Superintendents and follows a similar model to SREC/UNC-P.
- The SREC/Campbell program has accepted 10 students who will form their own SREC cohort and merge with the current SREC/UNC-P cohort for some activities.
- The SREC TP3 program will support tuition for the Campbell 36-credit hour M.S.A. program.

²⁵ Appendix G in the Technical Report.

- Students will complete 10-month, full-time internships with salaries supported by MSA funds during the internship. They will be fully released from teaching responsibilities during their internships.
- The 10-member cohort is diverse: 70% female, 30% Black/African American, and 10% Hispanic.
- The expected graduation for this SREC/Campbell cohort is May 2022.
- Selected costs include:
 - SREC/Campbell participant costs including tuition, fees, books etc. will be fully paid for by the TP3 program.
 - Salaries for the 10-month internship will be funded through North Carolina’s MSA fund.
 - SREC is also covering participant fringe benefits (e.g. hospitalization, retirement) during their internship.
 - LEAs will pay for the participants’ local supplements.
 - SREC is analyzing its TP3 funds to determine the extent to which funding is sufficient to provide coaching for the Campbell students.
 - Participants may have some out-of-pocket costs, for example, travel to a conference although in the past these costs have been covered or partially covered by LEAs.
 - Overall program costs for Campbell students are expected to be similar to those of the SREC/UNC-P students.
 - As with the SREC/UNC-P partnership, Hoke County Schools is the fiscal agent for distributing TP3 funds.

It is important to point out that the transformation of its principal preparation program at Campbell University began well before the current partnership with SREC. The costs Campbell incurred for these early transformational activities were minimal with the University leadership and faculty undertaking the transformational process in their existing roles and salaries at the University. The TP3 funding that the partnership with SREC brings to the University permits the University to implement aspects of the best practices which it could not otherwise afford, such as the 10-month internship, cohort modeling, and coaching. It is also important to note that one advantage of the RESA-led model being implemented by SREC over the more common university-led model may be in its ability to enter into partnership with multiple universities. And, through its partnership with SREC, Campbell will likely experience closer collaboration with the LEAs partnering with SREC, hopefully resulting to a higher percentage of Campbell graduates securing P/AP positions.

- Update Analysis of High Need Schools.²⁶ In May 2021, GrantProse produced the fourth in a series of reports analyzing which of the state’s public schools meet the legislative definition of being a high needs (HN) school. The legislative criteria indicating a HN school are bulleted here:
 - a. Is a school **identified** (emphases added) 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 seventy-five percent (75%) four-year cohort graduation rate.
 - d. A high school with less than a seventy-five percent (75%) four-year cohort graduation rate.

²⁶ Appendix L in the Technical Report.

The determination whether a school meets the legislative definition of high needs (HN) hinges on how the word **identified** is interpreted. Among the four legislative criteria listed for the HN definition, the dominant criterion is whether the school is ‘identified’ for Title I services. However, it is not clear in this legislative definition how to operationalize the term ‘identified.’

If the word identified is interpreted to mean being eligible to receive Title I services, regardless of whether these be school-wide or targeted assistance programs, then 2,159 schools in the state meet this HN criterion, representing 81.2% of the schools found in the most recent 2019-20 Title I dataset. This figure increases slightly when the recurring low-performing and graduation rate datasets are included in the analysis. With these two additional datasets, the total number of schools identified in the state is 2,670 and the total number meeting one or more of the three HN criteria is 2,177 (81.5%). This approach to interpreting HN status for schools could be seen to be quite liberal because of including schools where only a few low-income students are impacted through Title I targeted assistance programs. With more than 80% of schools meeting HN status, there is little distinction among schools vis-à-vis their ‘needy’ status.

F. Budgetary Analyses

Table 19 shows the total of invoices HPU, SREC and UNCG submitted for the 2020-21 year.

TABLE 19. INVOICES SUBMITTED BY HPU, SREC, AND UNCG IN 2020-21					
Program	Invoice 142	Invoice 149	Invoice 154	Invoice 161	Total
	Jul-Sep	Oct-Dec	Jan-Mar	Apr-Jun	
HPU	\$37,185.89	\$65,216.80	\$61,666.21	\$39,103.32	\$203,172.22
SREC	\$48,920.46	\$401,319.60	\$193,559.92	\$87,518.91	\$731,318.89
UNCG	\$69,397.77	\$95,984.13	\$64,370.31	\$281,596.18	\$511,348.39
Total	\$155,504.12	\$562,520.53	\$319,596.44	\$408,218.41	\$1,445,839.50

Secondary Budgetary Analyses

As part of its budgetary analyses, GrantProse maintains a ‘secondary’ analysis of the TP3 agency invoices. While the Provider invoices make use of a common set of budget categories, how particular expenses that had similar purposes were assigned to the budget categories differed widely among the agencies. In an effort to align like expenses with like expenses, GrantProse created a number of expense categories for a secondary analysis, particularly for the purpose of distinguishing ‘institutional’ expenses charged by the TP3 Provider agencies to implement the program (e.g., institutional salaries and fringe benefits, contractual expenses including executive coaches, travel and materials/supplies benefiting institutional staff, etc.) from ‘participant’ expenses that most directly supported the participants and/or LEAs (e.g., tuition, salary stipends and associated fringe benefits, books used in coursework, travel directly benefiting the participants, cost of substitutes for LEAs, etc.). **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 ANALYSES	
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 including Executive Coaches ²⁷	Includes contracts with private vendors to provide services such as executive coaching, 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 Support	Includes costs of participant tuition and fees, salary replacement and fringe benefits paid to participants during their internship, and other expenses such as books associated with university courses, membership fees, participant travel/lodging/registration/per diem, and stipends that are paid for extra responsibilities.
LEA Support	Includes costs of LEA substitutes needed by the participants and stipends paid to principal mentors.

Table 21 indicates how HPU, SREC, and UNCG expended their funds in the fifth year of the program.

²⁷ In the 2019 report GrantProse submitted to the NCSEAA, expenditures for the executive coaches were grouped with the participant expenditures but are grouped with the institutional expenditures in this report. How the different Providers made use of the coaches varied considerably, including how many coaches each Provider contracted. Because their role in the TP3 program supports implementation, the decision is made in this report to group this expense with institutional expenditures.

TABLE 21. ALL EXPENDITURES OF TP3 FUNDS UNDER NCASLD ADMINISTRATION FOR 2020-21 PERIOD *																
Budget Category	HPU		NCSU		SREC		UNCG		WCU		TOTAL					
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%				
Salaries	\$38,192	18.8%	NA		\$77,856	10.6%	\$167,524	32.8%	NA		\$283,572	19.6%				
Fringe Benefit	\$0	0.0%			\$0	0.0%	\$45,398	8.9%			\$45,398	3.1%				
Travel	\$0	0.0%			\$3,221	0.4%	\$2,042	0.4%			\$5,263	0.4%				
Materials	\$2,065	1.0%			\$3,384	0.5%	\$9,837	1.9%			\$15,287	1.1%				
Contractual	\$138,280	68.1%			\$120,000	16.4%	\$44,942	8.8%			\$303,222	21.0%				
Other	\$0	0.0%			\$0	0.0%	\$0	0.0%			\$0	0.0%				
Indirect	\$15,050	7.4%			\$32,742	4.5%	\$30,540	6.0%			\$78,332	5.4%				
Institutional SubTotals	\$193,587	95.3%					\$237,204	32.4%			\$300,284	58.7%			\$731,074	50.6%
LEAs	\$0	0.0%			\$7,000	1.0%	\$0	0.0%			\$7,000	0.5%				
Participants	\$9,586	4.7%			\$487,115	66.6%	\$211,065	41.3%			\$707,766	49.0%				
Participant SubTotals	\$9,586	4.7%					\$494,115	67.6%			\$211,065	41.3%			\$714,766	49.4%
Undesignated	\$0	0.0%			\$0	0.0%	\$0	0.0%			\$0	0.0%				
TOTAL	\$203,173	100%					\$731,319	100%			\$511,348	100%			\$1,445,840	100%

* Note: Figures in this table are based on invoices the Provider agencies submitted to NCASLD.

TIER III EVALUATION: PROGRAM PARTICIPANTS

The original legislation (North Carolina General Assembly Section 11.9 of Session Law 2015.241) and subsequent amendments to this legislation identify a number of measures that are to be reported about the program, chief of which are: a) how many graduates of TP3 programs subsequently serve as administrators (e.g., principals, assistant principals) in high needs schools, and b) what impact these administrators may have on improving student achievement and behavioral outcomes.

During the 2017-18 school year, the North Carolina Program Evaluation Division conducted a ‘Measurability Assessment’ of NCASLD and its administration of the TP3 grant program and further clarified the nature of the data that are to be reported about the program. Per findings of the Measurability Assessment, **Table 22** provides a summary of the output and outcome measures that should be reported for the TP3 program.²⁸ At the time the Program Evaluation Division made its report to the NC General Assembly on the results of the Measurability Assessment (April 9, 2018), NCASLD agreed to include these measures in its annual reports to the NCSEAA.

TABLE 22. OUTPUT AND OUTCOME DATA AND REPORTING DATES	
Outputs	First Year to Report
Number of principal candidates enrolled (Table 23)	July 31, 2018
Number of cumulative credit hours that candidates have completed toward a degree or licensure (Table 24)	
Number of candidates who have completed five-month or longer internships (Table 25)	
Number of Master of Science in Administration degrees earned by candidates (Table 26)	
Number of candidates obtaining principal licensure and certification (Table 27)	
Number of candidates satisfied with the program (Figure 10)	
Number of Local Education Agency administrators satisfied with the program (page 42)	
Short-Term Outcomes	First Year to Report
Changes in participants’ commitment to seeking principal positions over time (Figure 11)	May 31, 2019
Changes in participants’ leadership knowledge and competencies over time (Figure 12)	
Changes in participants’ leadership self-efficacy over time (Figure 13)	
Long-Term Outcomes	First Year to Report
Degree to which best practices are incorporated into state guidelines for school leadership training programs (page 46)	July 31, 2020
Degree to which best practices are incorporated into school leadership training programs (page 49)	
Number of graduates who secure principal or assistant principal positions (Tables 28 & 29)	
Number of graduates who secure principal or assistant principal positions in high-need schools (Table 30)	
Level of satisfaction among key stakeholders with graduates they have hired (page 51)	
Increased student achievement in North Carolina (page 52)	

The discussion that follows addresses each of the outputs, short-term outcomes, and long-term outcomes that are to be reported by the time of this fifth annual report to NCSEAA (July 31, 2021).

A. *Outputs*

Number of principal candidates enrolled. For all five TP3 programs in the first two funding cycles that are now completed – July 2016 through June 2020 – a total of 261 candidates (hereafter called “participants”) were enrolled. Two hundred fifty-seven (257) of the 261 participants enrolled during the first two funding cycles completed their programs, resulting in a 98.5% completion rate for the TP3 program over the first two funding

²⁸ Program Evaluation Division (2018, April). *Cooperative Agreement for Implementing Principal Preparation Program Needs Output and Outcome Data. Report No. 2018-03. North Carolina General Assembly.*

cycles. Another 72 individuals enrolled at HPU, SREC, and UNCG in the third funding cycle (2020-22); however, no individuals at HPU, SREC and UNCG who have enrolled for the third funding cycle are known to have completed their programs at the time of this report. A total of 333 individuals have enrolled in the TP3 programs under NCASLD administration as shown in **Table 23**.

TABLE 23. NUMBER AND PERCENTAGE OF PARTICIPANTS ENROLLED IN AND COMPLETING TP3 PROGRAMS: ALL FUNDING CYCLES						
Funding Cycle I (2016-18)	HPU	NCSU	SREC	UNCG	WCU	TOTAL
# Enrolled in Program	30	34	26	20	10	120
# Dropping Out of Program	0	1	0	1	0	2
# Completing Program	30	33	26	19	10	118
% Completion Rate	100%	97.1%	100%	95.0%	100%	98.3%
Funding Cycle II (2018-20)	HPU	NCSU	SREC	UNCG	WCU	TOTAL
# Enrolled in Program	33	34	39	22	13	141
# Dropping Out of Program	0	1	0	0	1	2
# Completing Program	33	33	39	22	12	139
% Completion Rate	100%	97.1%	100%	100%	92.3%	98.6%
Funding Cycle III (2020-22)	HPU	NCSU	SREC	UNCG	WCU	TOTAL
# Enrolled in Program	32	NA	20	20	NA	72
# Dropping Out of Program (to date)	0		1	0		1
# Completing Program (to date)	0		0	0		0
% Completion Rate	NA		NA	NA		NA
TOTALS FOR ALL PROGRAMS UNDER NCASLD ADMINISTRATION						
All Funding Cycles	HPU	NCSU	SREC	UNCG	WCU	TOTAL
# Enrolled in Program	95	68	85	62	23	333
# Dropping Out of Program (to date)	0	2	1	1	1	5
# Completing Program (to date)	63	66	65	41	22	257
% Completion Rate (first two funding cycles)	100%	97.1%	100%	97.6%	95.7%	98.5%

Number of cumulative credit hours that candidates have completed toward a degree or licensure. **Table 24** indicates the number of credit hours completed by 329 participants²⁹ who completed or remain enrolled at TP3 programs across all funding cycles. Credit hours are reported only for HPU, SREC, and UNCG in the 2020-21 year.

²⁹ Three hundred twenty-eight (328) individuals are expected to complete the TP3 programs by June 2022. While **Table 24** shows 329 individuals, one individual with the SREC program completed coursework in the 2020-21 year but has since dropped out.

TABLE 24. NUMBER OF CUMULATIVE COURSE CREDIT HOURS COMPLETED IN TP3 PROGRAMS: ALL FUNDING CYCLES						
Credit Hours Completed	HPU	NCSU	SREC	UNCG	WCU	TOTAL
4-6			10 (FC III)			10
10-12			10 (FC III)			10
16-18	32 (FC III)					32
19-21				20 (FC III)		20
22-24			5 (FC I) 1 (FCII)		6 (FC I)	12
34-36	30 (FC I) 33 (FC II)	33 (FC I)			4 (FC I)	100
>39		33 (FC II)	21 (FC I) 38 (FC II)	19 (FC I) 22 (FC II)	12 (FC II)	145
Total	95	66	85	61	22	329

Number of candidates who have completed five-month or longer internships. Table 25 indicates 118 of the participants completing the program in Funding Cycle I completed at least a full-time 5-month internship, and 139 of the Funding Cycle II participants had completed internships by December 2021. None of the participants in the third funding cycle for 2020-22 had completed internships, with the internships being planned for the 2021-22 year.

TABLE 25. NUMBER OF PARTICIPANTS COMPLETING INTERNSHIPS IN TP3 PROGRAMS: BOTH FUNDING CYCLES						
	HPU	NCSU	SREC	UNCG	WCU	TOTAL
Funding Cycle I: Number completing minimum of 5-month internship	30	33	26	19	10	118
Funding Cycle II: Number completing minimum of 5-month internship	33	33	39	22	12	139
Funding Cycle III: Number completing minimum of 10-month internship	0	0	0	0	0	0
TOTAL	63	66	65	41	22	257

Number of Master of Science in Administration degrees earned by candidates. Table 26 indicates that many of the participants completed coursework meeting Master of Science in Administration or Master of Education degree requirements. One hundred seven (107, 89.1%) of 120 participants in Funding Cycle I (2016-18) earned one of these degrees by June 2020, with an additional 11 participants, who already had previous Master's degrees, earning Post Master's Certificates. And, 138 (97.9%) of 141 participants in Funding Cycle II (2018-20) earned one of these degrees by June 2020 with one additional participant earning a Post Master's Certificate.

TABLE 26. NUMBER OF MASTER'S DEGREES & POST-MASTER'S CERTIFICATES EARNED IN TP3 PROGRAMS: ALL FUNDING CYCLES							
Degree/Certificate Earned		HPU	NCSU	SREC	UNCG	WCU	TOTAL
Master of Science in Administration	2016-18	--	33	21	19	4	77
	2018-20	--	33	38	22	12	105
	2020-22	--	--	--	--	--	--
Master of Education	2016-18	30	--	--	--	--	30
	2018-20	33	--	--	--	--	33
	2020-22	--	--	--	--	--	--
Post Master's Certificate in Administration	2016-18	--	--	5	--	6	11
	2018-20	--	--	1	--	--	1
	2020-22	--	--	--	--	--	--
TOTAL		63	66	65	41	22	257

Number of candidates obtaining principal licensure and certification. Table 27 indicates that 257 (100%) of the 257 participants completing the TP3 program during the first two funding cycles (2016-20) met principal licensure requirements. Whether these individuals completed the application process and obtained their principal licensure is not known at the time of this report.

TABLE 27. NUMBER OF PARTICIPANTS MEETING PRINCIPAL LICENSURE REQUIREMENTS IN TP3 PROGRAMS: ALL FUNDING CYCLES							
Principal Licensure		HPU	NCSU	SREC	UNCG	WCU	TOTAL
Funding Cycle I 2016-18		30	33	26	19	10	118
Funding Cycle II 2018-20		33	33	39	22	12	139
Funding Cycle III 2020-22		0	0	0	0	0	0
TOTAL		63	66	65	41	22	257

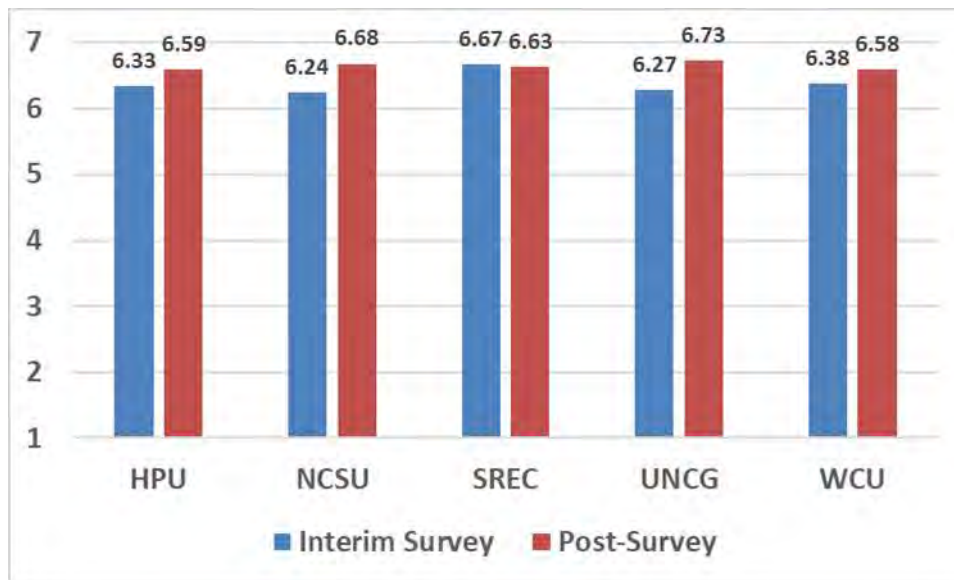
Number of candidates satisfied with the program. Considering the first two funding cycles, data analyses described below suggest that 97 (88.2%) out of 110 survey respondents in Funding Cycle I and 100 (84.0%) out of 119 survey respondents in Funding Cycle II expressed considerable satisfaction with their programs. Combining respondents in the two funding cycles, a total of 197 (86.0%) out of 229 expressed satisfaction with their programs.

Funding Cycle I. A survey of participant attitudes towards and opinions about the TP3 program was conducted in the latter half of the 2017-18 year. The survey had been administered before results of the Program Evaluation Division Measurability Assessment were made known to NCASLD, and there was not a survey item that expressly asked about participant's 'satisfaction' with the program. Rather, survey items were designed to assess the extent to which participants agreed that various best practice program features were present. As reported in GrantProse's second annual report to NCSEAA, 97 (88.2%) of 110 survey respondents 'Agreed' or 'Strongly Agreed' that the varied program features associated with best practices in principal preparation programs were present in their programs.

Funding Cycle II. In the second funding cycle, a survey question was specifically designed to address participant satisfaction: *At this time how satisfied are you with the training and associated coursework that you are receiving through your Transforming Principal Preparation program?* The survey was administered in the spring of 2019 and again in the spring of 2020. Participants responded to this question along a 7-point Likert scale with 7 representing Extremely Satisfied.

Respondents on the 2019 and 2020 surveys indicated a very high level of satisfaction with their programs on both surveys as shown in **Figure 10**. Of the 116 respondents to this question on the spring 2020 survey, 89 (76.7%) gave it a 7 rating, representing 'Extremely Satisfied.' Only 9 (7.8%) respondents gave the question a rating below 6.

FIGURE 10. RESPONDENTS' REPORT OF THEIR OVERALL SATISFACTION WITH THE TP3 PROGRAM: 2019 & 2020 (% AGREE + STRONGLY AGREE)



Funding Cycle III. GrantProse did not conduct a satisfaction survey with the 72 participants at HPU, SREC and UNCG who started their programs in the fall 2020. Only one person has been known to drop out this past year and it is probable satisfaction levels among those expected to complete the program are in keeping with the high levels of satisfaction that participants in the earlier funding cycles expressed on multiple surveys.

Number of Local Education Agency administrators satisfied with the program. Considering both funding cycles, data analyses described below indicate LEA administrators express a very high level of satisfaction with their TP3 programs.

Funding Cycle I. A survey of LEA administrators who served as points-of-contact with the TP3 Project Directors was conducted at mid-year of 2017-18. Just as for the participants' survey, this survey was also constructed before the results of the Program Evaluation Division Measurability Assessment were known; however, the survey did include one item that expressly addressed these administrators' level of satisfaction with the TP3 program, written as *"I am very satisfied with the overall quality of the program."* As reported in the second annual report to NCSEAA, 31 (100%) of 31 individuals surveyed rated this item with either a 4 (Agree) or a 5 (Strongly Agree).

Funding Cycle II. Telephone interviews were conducted with LEA administrators in May 2019 and again June/July 2020. One question asked them to *"Please rate your overall satisfaction with the TP3 program on a 1 to 5 scale (1=Not at all satisfied, 5=Very satisfied)."* For the 39 individuals responding to this question in 2019, the average of their ratings was 4.77. For the 31 individuals responding to this question in 2020, the average of their ratings was 4.78. The LEA representatives expressed considerable satisfaction with the TP3 program.

Funding Cycle III. GrantProse did not conduct surveys or interviews with the LEA administrators during the 2020-21 year. LEA administrators have been generally complimentary towards the program on previous surveys and there is no reason to believe this would be any different in the 2020-21 year.

B. Short-Term Outcomes

Funding Cycle II. As the 2017-18 year was coming to a close, GrantProse initiated a pre-survey of new participants who had been selected for the program's 2018-20 Funding Cycle II. This pre-survey was designed to quantify baseline measures for the three short-term outcomes identified by the PED as a result of the Measurability Assessment:

- *Changes in participants' commitment to seeking principal positions over time*
- *Changes in participants' leadership knowledge and competencies over time*
- *Changes in participants' leadership self-efficacy over time*

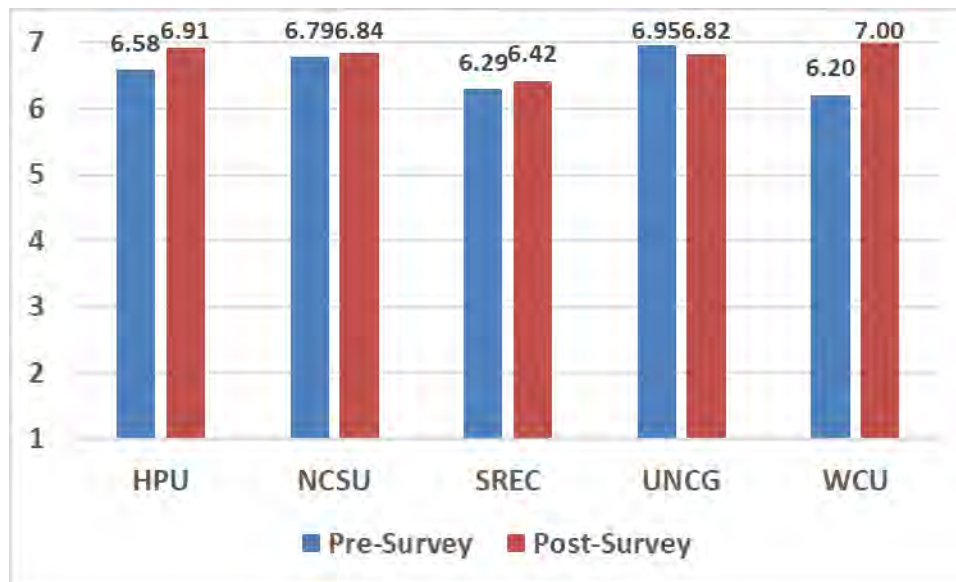
The pre-survey of participants was initially distributed in May 2018 and subsequently included the 16 individuals at HPU who were selected for the program in December 2018 but did not include 2 individuals at SREC and 3 at WCU who were to start programs in spring 2019. An interim survey was distributed in April 2019 and a post-survey was distributed in the spring 2020. The results discussed here are for differences found between the pre-survey (N = 122) as individuals entered their programs and the post-survey (N = 118) as individuals were completing their program. These results were initially reported in the June 2020 annual report to NCSEAA.

Change in participants' commitment to seeking principal positions. This question was addressed with a single item worded, "***At this time, how committed*** are you to being a principal/assistant principal?" A 7-point Likert scale was used to assess this item with the end-points of the scale being "*Not at all committed*" (scored 1) and "*Extremely committed*" (scored 7).

The average for the 122 respondents on the pre-survey was 6.61 and the average on the post-survey was 6.81. As might be expected for a group of individuals who were competitively recruited to participate in the program, the 'commitment' to being a principal/assistant principal demonstrated in their response to the pre-survey was very strong and even a bit stronger on the post-survey. Although the difference in averages between the pre- and post-survey is small, still, the difference is statistically significant at $p < .05$.

When the averages are disaggregated for each Provider, **Figure 11** indicates that four of the five Providers demonstrated a higher average on the post-survey, while the post survey average for UNCG fell to 6.82 from the pre-survey average of 6.95. Considering that the UNCG average on the pre-survey was virtually at the top of the scale, a decline like this is not surprising and reflects only a few individuals changing their answer from a 7 (Extremely Committed) to a 6. WCU demonstrated the largest change in commitment between the pre- and post-surveys with the lowest average on the pre-survey to the highest average on the post-survey.

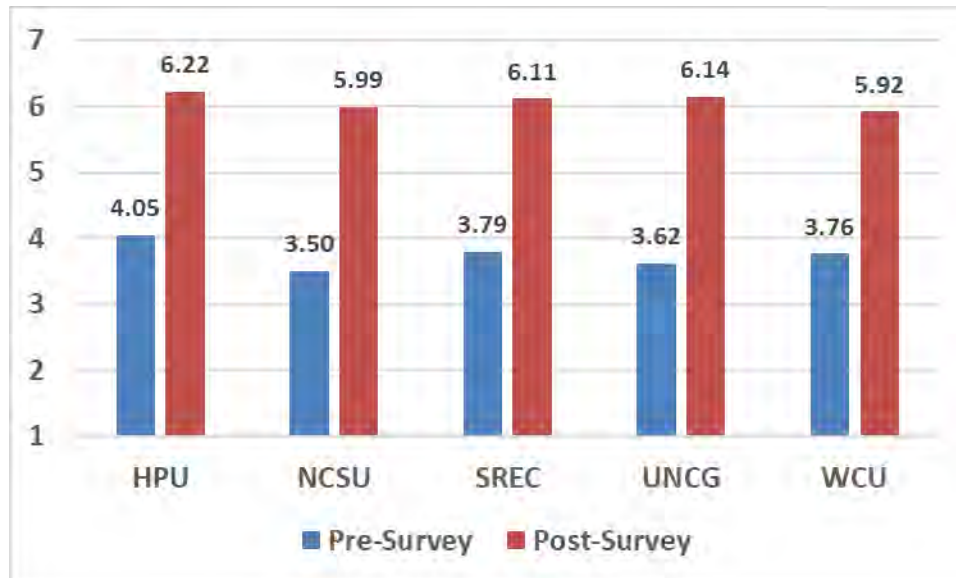
FIGURE 11. CHANGE IN AVERAGES DISAGGREGATED BY PROVIDER FOR RESPONDENTS' SELF-REPORTED COMMITMENT TO BEING A PRINCIPAL/ASSISTANT PRINCIPAL.



Change in leadership knowledge and competencies. This question was addressed by creating a Likert-scale item for each of North Carolina's eight Standards for School Executives. Descriptions of the Executive Standards were provided for each item, and respondents were asked to "Please rate the extent of your current knowledge and competency in each of the executive standards." A 7-point Likert scale was used to assess each of the eight items with the end-points of the scale being "Not at all knowledgeable/competent" (scored 1) and "Extremely knowledgeable/competent" (scored 7). Scores for each item were then totaled and averaged for each respondent with an overall average being computed for all respondents. Collectively, the eight Likert items form an 'Executive Standards' scale measuring respondents' self-report of knowledge/competency on these standards at the time of the pre- and post-surveys.

The average for the 8-item scale across all five programs was 3.75 for the 122 respondents on the pre-survey and 6.10 for the 118 respondents on the post-survey. The difference in the Executive Standards scale averages between the pre- and post-surveys is statistically as well as practically significant at $p < .05$. The degree of change between the pre- and post-survey suggest that participants in Funding Cycle II felt considerably more comfortable in their knowledge and competencies by the end of the 2019-20 year. **Figure 12** indicates that all five Provider agencies demonstrated a higher average for the Executive Standards scale on the post-survey when compared to the pre-survey.

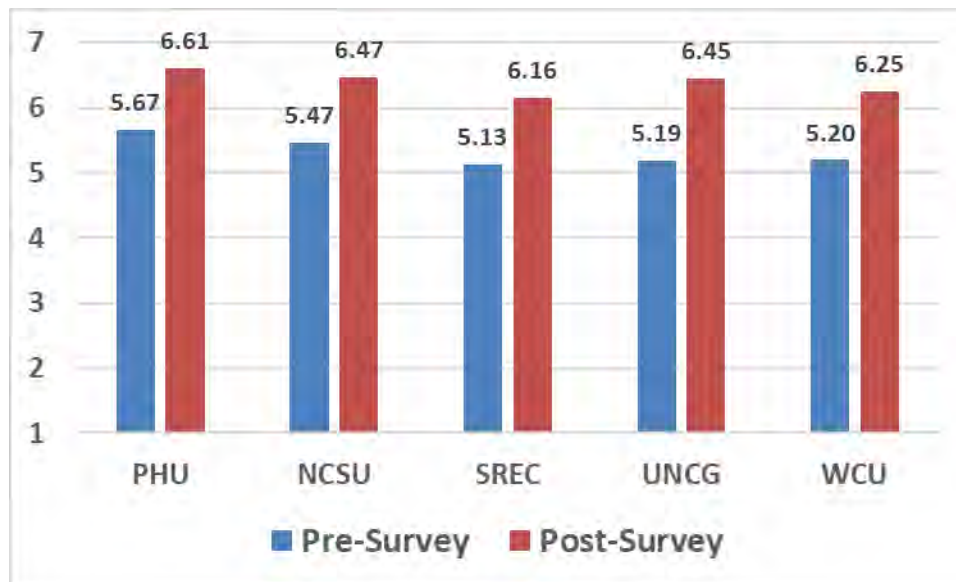
FIGURE 12. CHANGE IN AVERAGES DISAGGREGATED BY PROVIDER FOR RESPONDENTS' SELF-REPORTED KNOWLEDGE/COMPETENCY OF THE NC STANDARDS FOR SCHOOL EXECUTIVES



Also, when analyzed individually, all eight items – one for each Executive Standard - showed higher averages on the post-survey compared to the pre-survey and these differences were all statistically significant at $p < .05$.

Change in participants' leadership self-efficacy. This question was addressed with a single item worded, “**At this time, how confident** are you that you can be successful as a principal/assistant principal? A 7-point Likert scale was used to assess this item with the end-points of the scale being “*Not at all confident*” (scored 1) and “*Extremely confident*” (scored 7). The average for the 122 respondents on the pre-survey was 5.39 and the average for the 118 respondents on the post-survey was 6.43. The difference is statistically significant on a t-test at $p < .05$. When the averages are disaggregated for each Provider **Figure 13** indicates that all five Providers demonstrated a higher average on the post-survey.

FIGURE 13. CHANGE IN AVERAGES DISAGGREGATED BY PROVIDER FOR RESPONDENTS' SELF-REPORTED CONFIDENCE IN BEING A SUCCESSFUL PRINCIPAL/ASSISTANT PRINCIPAL



Funding Cycle III. A pre-post survey with individuals participating in the third 2020-22 funding cycle has not been conducted due to their being only half-way through their program.

C. Long-Term Outcomes

GrantProse findings on long-term outcomes—initially to be reported by July 2020 per recommendations of the PED—are updated in the following text through the end of July 2021.

Degree to which best practices are incorporated into state guidelines for school leadership programs. The most significant impact of the TP3 program to date is possibly a developing understanding that there may already be an existing requirement that principal preparation programs in the state implement a year-long internship.³⁰ This requirement was evidently incorporated in state legislation as early as 2011 but apparently has not been consistently enforced. It is probable NCASLD specifically, with its repeated recommendations for a year-long internship, as well as the more general TP3 program, contributed to the (re)discovery of this legislation. At the time this report was finalized for submission to the NCSEAA it is unknown to what degree, if any, the 2011 or other state guidelines pertaining to a year-long internship will be addressed, modified, and/or otherwise enforced statewide.

Along with the year-long internship, NCASLD and GrantProse have offered a host of other recommendations for members of state decision-making bodies. During the 2020-21 year, there were a number of presentations made to state organizations for the purpose of reporting results of the TP3 program to date and offering recommendations for improvements to state guidelines. October 29, 2020, Dr. William Carruthers with GrantProse made a presentation to the TP3 Commission presenting a summary of the major findings of the evaluation to date and along with recommendations for the Commission's consideration (see **Appendix N** in the **Technical Report** for the complete PowerPoint presentation).

³⁰ The legislation can be found at

https://www.ncleg.gov/EnactedLegislation/Statutes/HTML/BySection/Chapter_115C/GS_115C-284.html where section (c2)(7) requires "...all candidates to complete a year-long internship."

- All five programs were implementing a suite of best practices;
- More than 95% of enrollees subsequently graduated from their programs by summer 2020;
- Of 242 graduates to date, 172 (71.5%) were serving in P/AP positions as of October 2020;
- Of the 172 currently serving in P/AP positions, 152 (88.4%) of these positions are at high needs schools; and
- While programmatic outcomes were generally similar across the five programs, how the five programs expended their TP3 budgets varied widely, principally in the amount and percentage of TP3 funds expended in support of institutional salaries and fringe benefits.

The following recommendations were made by Dr. Carruthers for the TP3 Commission's consideration:

- **Optimize recruiting and selecting the most qualified participants by holding harmless the full cost of participant salaries and associated fringe benefits** during the internship.
 - Combining TP3 and MSA funds should make this possible and LEAs should not be expected to support this expense.
- **Optimize the number of principal candidates served and assure a more consistent return on investment by instituting a cap on percentage of grant funds going toward institutional expenses.**
 - Capping institutional expenses at 40% of TP3 funding – or less -- appears reasonable in consideration of the GrantProse evaluation.
- **Expand the number of TP3 awards that are made** so as to scale the transformational best practices across the state to more providers and produce enough graduates to meet the demand for new P/APs.
- **When making new TP3 awards, give consideration to minority-serving IHEs, private IHEs, and LEA-driven principal development programs.**
 - HPU and SREC have served as good examples of how such programs are competitive and innovative.
- **Study the impact of the new “forgivable loan” requirement** for TP3 candidates, particularly regarding whether this could hinder recruiting the most qualified candidates.
- **Revisit the legislative definition of a high needs school** to consider replacing the language “...identified under Part A of Title I...” with a set figure for percentage of low-income students enrolled at the school.
 - Doing this will clarify how targeted assistance schools in the Title I program are to be treated.
- **Hold the TP3 programs accountable** for implementing the suite of best practices and continue to **provide a Professional Learning Network** to promote sharing of best practices.
 - If the entire suite of best practices are not implemented with fidelity, you won't get a transformed principal preparation program.
- Continue to implement a robust **third-party evaluation.**
 - Third-party evaluation affords more confidence in findings and results that are reported for the program.
 - Evaluation provides a range of quantitative and qualitative data comparable to inform policy and decision making.
 - Long-term evaluation with an experimental design is essential to ascertain if and the extent of whether there is any significant on student outcomes.
- Support the programs with **ongoing technical assistance.**

- There are many nuances, nuts and bolts associated with implementing a complex program like TP3 which technical assistance from the TP3 Commission leaders can help resolve.

Also, Dr. Shirley Prince with NCASLD made a formal presentation to the NC State Board of Education (SBE) on March 4, 2021. Dr. Prince shared the *GrantProse* findings and recommendations made to the TP3 Commission in October 2020 along with recommendations specific to SBE interests.

- Optimize recruiting and selecting of the most qualified participants from the highest-need school districts by using TP3 funds and MSA funds to cover the full cost of:
 - Participant tuition, fees, and books
 - Participant salaries and associated fringe benefits including health and the local supplement during the internship
 - Retirement - optional (Principal Fellows Program did not have an option for Fellows to earn a year of retirement.)
- Continue redesigning MSA programs to incorporate more of the current TP3 program enhancement experiences into tuition-based courses, thus saving substantial TP3 funds to prepare additional principals.
- Optimize the number of principal candidates served and assure a more consistent ROI by establishing a graduated cap on percentage of grant funds going toward personnel for salary and benefits and/or programmatic/institutional costs.
 - TP3 grant funds should not be viewed as supplementing operations at a principal preparation program “in perpetuity.” Rather, the grant should be a temporary infusion of revenue to assist with institutionalizing transformational practices.
 - However, long-standing quality programs should continue to receive TP3 funding for participant expenses (I.e. tuition, salary/benefits) with graduated reductions in funding for institutional expenses (i.e. personnel salaries/benefits, contracted services other than coaches)
- Target the use of TP3 funds to the highest needs districts and schools while redefining the legislative definition of a high needs district and school. Consider replacing the language “...*identified under Part A of Title I...*” with a set figure for percentage of low-income students enrolled at the district and school.
- Expand the number of TP3 grant awards beyond the eight currently allowed so as to scale the transformational best practices across the state to additional qualified providers thus assuring that more principal candidates benefit from transformational preparation. Seek new funding for this purpose and/or opportunities for redistributing current funds. (Supported by Leandro recommendations and intent of legislation).
- When making new TP3 awards, give particular consideration to minority-serving IHEs, private IHEs, and LEA-driven principal development programs. HPU and SREC have served as good examples of how such programs are competitive and innovative.
- Promote school district-driven principal pipelines³¹ that encourage authentic district involvement in nurturing and selection of candidates, selection of university partners, use of TP3 grant funds, and delivery of district-based support during coursework and internships.
- With or without continued or new TP3 funding, incorporate the opportunities that exist to embed many of the best practices in principal preparation programs across the state.

³¹ See, for instance, *Rand Corporation Study, 2019. Principal Pipelines: A Feasible, Affordable, and Effective Way for Districts to Improve Schools*, found at https://www.rand.org/pubs/research_reports/RR2666.html

- Continue to provide a Professional Learning Network for providers to promote sharing of best practices.
- Continue to provide individualized technical assistance.
- Continue to implement an independent evaluation of the program and examination of short and long-term outcomes.

Dr. Prince is also a member of the TP3 Commission and actively offers advice and consultation to Commission decision-making processes. TP3 Commission meetings in 2020-21 were held on August 12, August 27, October 29, February 25, June 10, and June 16.

Degree to which best practices are incorporated into school leadership training programs. The best practices described in this report are being incorporated in the five TP3 programs that GrantProse has evaluated since the inception of the Transforming Principal Preparation Program in 2016. While each program approaches the varied best practices in their own manner, evaluation findings to date indicate that all programs are incorporating all best practices to a considerable degree. Whether and how the suite of best practices GrantProse has described will be incorporated in other school leadership programs across the state remains to be seen. The TP3 Commission funded new programs starting in the 2020-21 and 2021-22 years and GrantProse has not been contracted to date for evaluation of these programs, or to continue evaluation in 2020-21 with the TP3 programs at NCSU and WCU.

Still, there is evidence that more principal preparation programs across the state have a growing awareness of the best practices as well as inclination to introduce aspects of these practices in their programs. This evidence includes the participation of new programs (other than the original five) in the NCASLD Professional Learning Network as well as new programs making application to the TP3 Commission for TP3 funding.

Number of graduates who secure principal or assistant principal positions. Of the 333 individuals initially enrolled in the three funding cycles (2016-17 through 2020-21), 203 (61.0%) individuals secured either a principal or assistant principal position (P/AP) in North Carolina and 190 (57.1%) individuals remain in North Carolina P/AP positions at the start of the 2021-22 year.³² By July 2021 when this report was finalized, **Table 28** shows information collected to date from the TP3 Provider agencies indicates that, a) 103 (85.8%) of the 120 individuals that initially enrolled for the TP3 program in the 2016-18 funding cycle secured principal or assistant principal (P/AP) positions in North Carolina, b) 99 (70.2%) of the 141 enrollees in the second funding cycle secured such positions, and c) 1 of the 72 individuals in the third funding cycle has secured a P/AP position.³³ It is important to note that the percentages between the three funding cycles **SHOULD NOT** be compared or combined because individuals in the latter two funding cycles have not had as much time to secure positions as those in the first funding cycle.

³² Twenty-one of these individuals are expected to assume their P/AP role early in the 2021-22 year.

³³ Individuals in the third funding cycle will not complete their programs until June 2022.

TABLE 28. NUMBER & PERCENTAGE OF PARTICIPANTS SECURING PRINCIPAL OR ASSISTANT PRINCIPAL POSITIONS AT ANY TIME: ALL THREE FUNDING CYCLES						
TP3 Provider	2016-18 Funding Cycle I		2018-20 Funding Cycle II		2020-22 Funding Cycle III	
	Initial Enrollment	Securing a P/AP Position by July 2021	Initial Enrollment	Securing a P/AP Position by July 2021	Initial Enrollment	Securing a P/AP Position by July 2021
HPU	30	29 (87.9%)	33	22 (66.7%)	32	1
NCSU	34	32 (94.1%)	34	25 (73.5%)	NA	
SREC	26	20 (76.9%)	39	23 (59.0%)	20	0
UNCG	20	17 (85.0%)	22	17 (77.3%)	20	0
WCU	10	5 (50.0%)	13	12 (92.3%)	NA	
TOTAL	120	103 (85.8%)	141	99 (70.2%)	72	1

It is also important to note that some of the individuals who secured P/AP positions in North Carolina public schools have since left those positions. A number of individuals have moved out of state, others have taken North Carolina leadership positions in a district-level role other than a P/AP, and a number of individuals have taken positions at the North Carolina Department of Public Instruction. **Table 29** provides data on the 190 graduates from the three funding cycles who are found to be currently serving in P/AP roles at the time of this July 2021 report to NCSEAA.³⁴

TABLE 29. NUMBER & PERCENTAGE OF PARTICIPANTS CURRENTLY SERVING IN P/AP ROLES AS OF JULY 2021: ALL THREE FUNDING CYCLES						
TP3 Provider	2016-18 Funding Cycle I		2018-20 Funding Cycle II		2020-22 Funding Cycle III	
	Initial Enrollment	Securing a P/AP Position by July 2021	Initial Enrollment	Securing a P/AP Position by July 2021	Initial Enrollment	Securing a P/AP Position by July 2021
HPU	30	27 (90.0%)	33	22 (66.7%)	32	1
NCSU	34	26 (76.5%)	34	25 (73.5%)	NA	
SREC	26	19 (73.1%)	39	23 (59.0%)	20	0
UNCG	20	16 (80.0%)	22	17 (77.3%)	20	0
WCU	10	5 (50.0%)	13	9 (69.2%)	NA	
TOTAL	120	93 (77.5%)	141	96 (68.1%)	72	1

Number of graduates who secure principal or assistant principal positions in high-need schools. School assignments for individuals serving in P/AP positions in North Carolina public schools as of July 2021 were determined for the 190 individuals expected to continue in P/AP positions for the 2021-22 year. Of these 190 individuals, 167 (87.9%) were assigned to high need schools as shown in **Table 30**. The 87.9% assigned to high need schools is slightly higher than the 81.5% percentage of high need schools GrantProse identified for the state in its most recent analysis.³⁵

³⁴ Table 29 includes individuals named to begin P/AP positions in the 2021-22 year.

³⁵ See **Appendix L** in the **Technical Report** for how high needs schools were determined.

TABLE 30. NUMBER AND PERCENTAGE OF CURRENT PRINCIPAL/ASSISTANT PRINCIPAL PLACEMENTS IN HIGH NEEDS SCHOOLS AS OF JULY 2021: ALL FUNDING CYCLES						
PROGRAM	HPU	NCSU	SREC	UNCG	WCU	TOTAL
All Funding Cycles						
Total P/AP Placements *	50	51	42	33	14	190
HN P/AP Placements **	45	41	39	29	13	167
% HN P/AP Placements	90.0%	80.4%	92.9%	87.9%	92.9%	87.9%

Notes:

* GrantProse did not collect data on P/AP placements for NCSU and WCU in the third funding cycle; however, this number is likely to be few if any.

** The HN status could not be determined for 5 of the 190 schools which might affect the percentages by a small amount.

Level of satisfaction among key stakeholders with graduates they have hired. During the month of July 2020, GrantProse conducted telephone interviews with LEA representatives that the TP3 Project Directors identified as their main point of contact during the 2018-20 funding cycle. The Project Directors identified 45 representatives and 34 responded to the GrantProse request for an interview, with 31 (68.9%) of the 45 representatives agreeing to be interviewed. The 31 individuals represented 34 partnerships with TP3 programs as three of the responding LEAs have partnerships with more than one TP3 program. Among the 31 representatives interviewed, there were 5 school district superintendents, 12 associate/assistant/area superintendents, 11 chiefs/executive directors/directors of varied departments (e.g., Human Resources, Academics and Student Support Services, Curriculum Support, etc.), 2 principals, and 1 other, indicating respondents were generally highly placed in the LEA organization. TP3 program

One of the interview questions asked the respondents to *Please rate on a 1 to 5 scale (1=Not very closely at all, 5=Very closely) how closely does this program collaborate with your district?* The average rating for the 30 of 31 individuals responding was 4.74, suggesting they perceived a high degree of collaboration between the TP3 program and their school district.

Another of the interview questions asked respondents to *Please rate your overall satisfaction with the TP3 program on a 1 to 5 scale (1=Not at all satisfied, 5=Very satisfied).* The average rating for the 31 of 31 individuals responding to this question was 4.78, suggesting they were quite satisfied with the program and, by extension, with individuals they may have hired in Principal or Assistant Principal positions. There was only one instance of an individual giving either of these questions a rating less than 4.

In their response to the interview open-ended questions, the LEA representatives made many comments that were complementary of the TP3 program. Example comments include:

- *All three [assistant principal] placements are doing great jobs and are on their way to being principals...So, you know, they've produced some quality folks for us. (HPU)*
- *I can definitely speak in relation to our most current individual. He has truly developed, and we can see that sense of development of him being a future leader and, at some point, running the school on his own with his tenacity. (NCSU)*
- *Well, just that we've had some great administrators come out of the program. I feel like they do a great job with training. They expose them to a—such a well-rounded experience. (SREC)*
- *Well, we have three assistant principals now who—well, we have four who completed the program, and three are serving in assistant principal roles very successfully. (UNCG)*

- ...since the program has started, all of the TP3 participants from [redacted] County hold an administrative position in the district somewhere, either as a director, as an assistant principal, or as a principal. (WCU)

Please see **Appendix O** in the **Technical Report** for the GrantProse report on these interviews.

Increased student achievement in North Carolina. Determining whether graduates of the TP3 program are having any greater impact on student achievement than graduates of other principal preparation program is challenging under the best of circumstances. With regards to the TP3 program, key challenges to consider include:

- Most graduates of the TP3 program first enter assistant principal positions; however, it is questionable how much impact those in assistant principal positions might have on student achievement. For the strongest research design, it will be best to investigate any possible impact that may be made when individuals are in principal positions.
- It is also questionable how much impact a principal could make in the first year of assuming the position. It will be best to investigate any possible impact that may be made when the individual has had enough time to impact the instructional culture at the schools, for instance, after two or more years in position.
- And, it is questionable whether principals at schools with different grade level configurations such as an elementary school, a middle school, or a high school have the same opportunity to impact student achievement. For the strongest research design, it will be best to investigate what impact a principal might have at schools that have a similar grade configuration.
- Finally, it would be best to implement an experimental design for this investigation; however, the TP3 program does not afford the opportunity for a randomized control treatment design. Thus, the quasi-experimental design which utilizes a closely matched control group of schools is a possible option. Variables to consider when searching for schools to match with the TP3 schools include not only grade level configuration but also the past achievement of the school, the percentage of students from families with low income at the school, and the enrollment size of the school. In a matched control group design, it is desirable that schools in the treatment and control groups are similar on major variables that might bear on the outcome of interest, in this case student achievement.

Considering these challenges, it is too early to say with any confidence if graduates of the TP3 program are having an impact on raising student achievement. At present, there is not enough of a sample with which to carry out a quality investigation. At the time of this report to the NCSEAA in July 2021, GrantProse tracking of P/AP placements to date indicate there are 28 graduates of the TP3 programs assigned to principal positions at the start of the 2021-22 year.³⁶ Seventeen (17) of these individuals were at elementary schools, 4 were at middle schools, 5 were at high schools, and 2 were at mixed-grade-level schools. Three (3) of the individuals were at charter schools. As more of the TP3 graduates secure principal positions in the coming years, these data suggest the best opportunity for organizing a matched control group design will be at the elementary school level.

Further complicating the question of what impact TP3 graduates might have on student achievement is the present situation with the COVID-19 pandemic. Student achievement scores will not be available from the 2019-20 year and it remains to be seen how the pandemic will impact achievement scores for the 2020-21 year. It is too early to say what the long term effects of the pandemic will be on student achievement but these are likely to be unequal across the state and depend on multiple unknown variables.

³⁶ This number could be greater due to how data were not collected from NCSU and WCU during the 2020-21 year.

FUTURE PLANS ³⁷

HPU, SREC, and UNCG Project Directors were asked to describe future plans for their program in their end-of-year reports submitted April/May 2021, which are reported in **Table 31** below. The three programs all expressed plans to seek additional funding to continue their programs.

TABLE 31. FUTURE PLANS OF PROVIDER AGENCIES	
TP3 Program	Future Plans
HPU	HPU is currently submitting a proposal for the new round of funding. <i>(GrantProse Note: HPU did not receive TP3 funding to continue operations beyond 2021-22.)</i>
SREC	The SREC, after much consideration, submitted a new application for 2022-2028. The organization will continue to seek appropriate funds for program support. <i>(GrantProse Note: SREC did not receive TP3 funding to continue operations beyond 2021-22.)</i>
UNCG	We have prepared a proposal for a new TP3 grant that would provide six years of additional funding, which would allow us to prepare three more PPEERS cohorts. <i>(GrantProse Note: UNCG did receive TP3 funding to continue operations beyond 2021-22.)</i>

³⁷ This section corresponds to NCSEAA Report Question #4: If the activity is a continuing one, briefly describe future plans and funding prospects.

CONCLUSIONS

The body of evidence collected, including outputs and outcomes analyzed to date, suggest the TP3 program is meeting its intended purpose—to transform principal preparation programming. That said, a caveat must be stated which is that the *GrantProse* evaluation involved only the original five TP3 programs (and did not include NCSU and WCU in the 2020-21 year). There is nothing that *GrantProse* can say regarding how well the newer programs added since the original five may be performing.

Considering the original five TP3 programs, there are a number of “big picture” aspects that stand out in the evaluation, bulleted here:

- *Provision of program leadership.* Leadership is critical to the transformational process. Leadership in the original five programs has been stable all five years of the *GrantProse* evaluation with no turnover in the Project Directors and many of the others who supported the Project Directors. *GrantProse* subjective ‘assessment’ of the five Project Directors is that all five were personally committed to transforming their principal preparation programs.

While program leadership is recognized as critically important to the success of the TP3 program, questions can be raised as to how much of the TP3 funding should be dedicated to leadership functions, particularly for paying salary (and associated fringe benefits) for those institutional staff serving in leadership and associated administrative roles (e.g., secretarial, trainers, coaches, graduate assistants, etc.) There was considerable difference among the five original TP3 programs in the amount and percentage of funds devoted to institutional staff salaries, even though all five programs achieved similar levels of success.

Relatedly, there is a question of when is the transformation process complete or largely so? TP3 funding shouldn’t be viewed as a permanent supplement to program operations. While supplementing institutional salaries may be necessary to some degree in the early stages of the transformation process for work above/beyond traditional roles, it shouldn’t be necessary to continue supplementing these salaries at the same level as the transformation process becomes established. Some TP3 funds may be necessary to sustain expanded operations such as for coaching, but institutional salaries—even if for expanded roles—should increasingly be absorbed by the institution.

- *Engagement with LEAs.* Prior to the TP3 legislation, principal preparation programs generally had limited engagement with LEAs. While there would be instances of an IHE partnering with an LEA to provide principal preparation training specific to the individual LEA, it was not a general practice for an IHE to develop close collaborative relations with multiple LEAs such as through Memorandum of Understanding. The emphasis in the TP3 program on strong IHE/LEA partnerships is a unique feature of the program with implications for a variety of associated best practices such as recruitment and selection of participants, provision of authentic learning experiences, and implementing a full-time internship

- *How participants are recruited and selected.* The collaborative partnership between IHEs and LEAs allows for a degree of ‘targeted’ recruitment and selection of the highest quality candidates which is not otherwise possible when individuals self-select to apply to a principal preparation program. With targeted recruitment and selection, many of the participants are on fast tracks at their LEA for a principal or assistant principal position.

However, a challenge can arise if the LEA expects participants recruited from their district to make a commitment to remain in the district for some period of time. This is often seen if the LEA commits some funding to the program such as supporting a portion of the individual’s salary and/or fringe benefits during their

internship. Program graduates can be stuck in limbo if a P/AP position does not come open. Ideally, individuals completing a TP3 program should be free to apply anywhere in the state where there may P/AP openings.

- *Authenticity of learning experiences.* The close IHE/LEA collaboration also benefitted the university curriculum and associated learning experiences. The five programs all made use of LEA practitioners in their courses, sometimes as faculty teaching the course and other times as guest speakers. When surveyed and interviewed, the participants often noted the authentic and hands-on learning experiences provided in their programs were positive features of the programs.

- *Full-time internship.* Over the five years of the program, one practice that has surfaced as among the most important of the best practices is the internship. Data that GrantProse has collected from all involved in the program indicate a 10-month internship is preferred by most stakeholders including the participants, LEA representatives and principal mentors. Moreover, participant's salaries and associated fringe benefits should be held harmless and fully paid during the internship. The participants have also expressed a desire to be allowed to continue in the state's retirement system during their internship. Holding salaries harmless and continued participation in the retirement system allows programs to recruit the best candidates for P/AP leadership roles, and the 10-month internship allows programs to prepare the best graduates for P/AP positions.

- *Mentoring and Coaching.* Collaboration between the IHE and LEA also strengthened the mentoring and coaching experience for the participants. Principals could be identified who were well-suited to serve as mentors, including schools where the participants could be assured of working with a diverse student population. It wasn't universally the case that all participants expressed positive views about their principal mentors, but this was generally true for most of the participants. The IHEs did conduct some mentor training with the principals and were able to offer individual support when a mentor principal may be found less than satisfactory or recruit a different individual in the next round.

Along with mentoring provided by the principal of the school, the participants were also supported by coaches who for the most part were retired LEA superintendents, associate superintendents, assistant superintendents, or experienced principals. Functioning as another source of advice, the coaches advocated for the participants and were viewed very positively by the participants. The coaches developed relations with the mentors that advanced the interests of both the mentors and the participants.

- *Implementation of a cohort.* The five programs all sought to organize their enrollees into cohorts so that individuals joining the program at a particular point in time would take coursework together, participate in extra-curricular activities together, and complete their internship at the same time. In varied surveys with the participants over the years, it was often noted that the cohort grouping was a source of support and resources for the participants.

- *Emphasis on instructional leadership, issues of equity, and high needs schools.* All five programs created coursework and assignments that focused on instructional leadership, achieving equitable outcomes for students, and serving students at high needs schools. Regarding the high needs schools, the subsequent P/AP placements that graduates secured were largely at high needs schools. The emphasis on instructional leadership and equity was such that other 'managerial' aspects of school leadership were sometimes less well developed. When asked on surveys and in interviews what improvements could be made to their programs, some common issues the participants identified included developing budgets, managing student discipline, and understanding legal, exceptional children and human relations issues, among assorted other improvements. The participants also noted

that their programs paid little attention to the role and responsibilities of the assistant principal although this would be the position they were most likely to first secure.

While there are significant qualitative and quantitative differences among the TP3 programs in regards to how each Provider agency operationalized and implemented best practices, all programs implemented a suite of best practices in principal preparation. The TP3 programs generally, and the best practices specifically, appear to be having transformative impact on principal preparation programs. The impact of the TP3 program appears to be meeting the legislative intent at principal preparation programs where TP3 funding is being utilized. Whether and how transformational principal preparation programs can be replicated and scaled across the state is another issue that remains to be determined. Continued or expanded funding for the TP3 program is certainly a consideration. Controls on how the TP3 funds may be expended is also a consideration. Our recommendations below address both of these considerations.

RECOMMENDATIONS

In the *GrantProse* 2020 NCSEAA annual report, a set of ‘considerations’ for the TP3 Commission were noted. Framed here as recommendations, these considerations are largely unchanged in this 2021 report to NCSEAA and grounded in what *GrantProse* believes to be the intent of the legislation which funds the TP3 program. The recommendations are not necessarily independent of each other. There will be overlap among some recommendations, and in some cases elements of one recommendation could be combined with elements of another recommendation to create a hybrid that meets varied needs of varied programs.

1. **Incorporate the best from all programs.** The five TP3 programs that have operated since the 2016-17 year have obtained similar outcomes for the most part. Program participants, LEA representatives collaborating with the programs, and school principals and executive coaches mentoring the participants all had very positive things to say about the programs. Participants completed their programs at a high rate, many secured P/AP positions, and most of these positions are at high needs schools. Still, after five years of operating and carrying out extensive evaluation of the five TP3 programs, *GrantProse* believes there are unique features of each program that exemplify particular strengths of the program.

Strengths at High Point University and North Carolina State University are especially notable. These two programs enroll the most candidates and have similar outputs and outcomes with regards to graduation rate and success with placing individuals in P/AP positions. While it could be argued that the two programs provide very good return on investment, there are significant differences in the programs that have implications for replication and scalability. A strength at High Point University is that institutional costs to implement its program are very low and provide a model for how such transformative programs could be scaled across the state, but High Point University has had limited success with replicating transformational change in a parallel principal preparation program at the University. In contrast, institutional costs at North Carolina State University are the highest among the five programs which limits the ability to scale a similar model across the state, but a strength at NCSU is its commitment to replicating its transformational practices throughout the entire principal preparation program at the University. A strength with the SREC program is seen in the close relationships LEA superintendents have with the TP3 Project Directors through the RESA organization. At UNCG a strength is seen in the program’s commitment to rural education, and at WCU a strength is seen in the program’s commitment to equity and social justice.

If the NCSEAA and TP3 Commission hope to see a day when principal preparation programs will be transformed across the state, meeting the annual need for new hires in the P/AP roles, and impacting student outcomes, these bodies should seek to combine the best of these strengths—low institutional costs promoting scalability, university-wide programming promoting replication, and close collaboration with LEA superintendents, along with an emphasis on equity as well educational practices tailored to the rural and urban contexts.

2. **Institutional transformation.** An end goal of the TP3 program should be transformation of all of an institution’s principal preparation pathways rather than the development of a separate academy program. Towards this end, the NCSEAA and TP3 Commission should require programs receiving TP3 funding to integrate the suite of best practices into all of their principal preparation programs. To the extent that an IHE offers different principal preparation pathways, programs should begin planning to incorporate the best practices of transformed programs university-wide (e.g. engagement with LEAs; targeted recruitment; rigorous selection; cohort based programming; authentic experiences integrated within and beyond courses; emphasis on instructional leadership, issues of equity, and high need schools; full-time 10-month internships with coaching and mentoring; and independent evaluation and continuous improvement processes) into any and all such pathways.
3. **Determine what number of individuals a program should serve for the TP3 funds it receives.** Require programs to serve a minimum number of individuals for the amount of TP3 funding it will receive. Effectively, this amounts to establishing a ‘per participant cost,’ which can be used to determine how much TP3 funding a program may receive. Programs that serve a larger number of individuals could receive a greater share of the TP3 funding; programs serving fewer individuals receive less funding. However, a couple of caveats are necessary. In the instance of a new program, the program may need a disproportionate share of the TP3 funding, especially in the early years as it undertakes planning for and implementing its transformational processes and practices. A second caveat is that regional variables will affect per person costs such as tuition expenses and LEA local salary supplements, both of which that are known to vary widely.
4. **Place a cap on institutional expenses.** Transformative principal preparation programs need dedicated and funded leadership; however, analyses of TP3 budgets for the five programs reveals wide variation in how programs use TP3 funds to support the employment of institutional personnel for full- or part-time work associated with the grant program. If the NCSEAA and TP3 Commission desire to maximize the number of individuals that can be served while transforming programs across the state, consideration should be given to placing a cap on institutional costs so as to increase funds available for participant costs. An alternative would be to reduce the percentage that is allowed for institutional expenses at yearly intervals, promoting the institution’s uptake of these expenses and better ensuring sustainability if/when grant funding ceases.
5. **Remove an apparent limit on eight grantees.** Senate Bill 227 of Session 2019 indicates, *“The Commission shall select up to eight grant recipients to be operating a school leader preparation program with grant funds in any fiscal year.”* Insofar as there are presently eight programs receiving grant awards

in the 2020-21 year,³⁸ and these are multi-year awards of up to as many as six years for some of the awardees, this language effectively prohibits the possibility of bringing on any more programs for the near future (except in an unusual situation such as a current program opting out or being found to seriously underperform). However, Senate Bill 227 also indicates, “*There is established the North Carolina Transforming Principal Preparation Program as a competitive grant program for eligible entities for the purpose of elevating educators in North Carolina public schools by transforming the preparation of principals across the State...*” (emphasis added).

Six of the eight programs in 2020-21 are UNC institutions. GrantProse evaluation findings over these last four years suggest other program models such as private universities, LEA-guided programs, and regional consortia can be just as instrumental in transforming principal preparation across the state. It is desirable to support as many programs as possible including more diverse institutional models that permit exploring variations on how the best practices can be implemented. Also, capacity at the current eight programs is not adequate to meet the annual needs in the state for new principal hires and it is desirable to expand capacity across the state. And, some of the areas that are being served by the eight programs may not be in areas where the greatest need for principals currently exists.

While there is certainly a set and limited amount of funds that can be provided through the TP3 legislation, there is no reason that each awardee should receive the same amount of money. Programs serving fewer participants might receive smaller awards. And, programs that have been operating for a number of years may receive reduced support for institutional expenses in consideration of how much of the burden of ‘transforming’ their program such as curricular redesign should now be completed. New programs might receive greater support for institutional expenses considering how their transformational work is ahead of them.

6. **Continue to implement an independent third-party evaluation.** Senate Bill 227 indicates, “*The [TP3] Commission shall develop a process with the Authority for early retrieval of grant funds from grant recipients due to noncompliance with grant terms, including participation in third-party evaluation activities*” (emphasis added). Per this expectation, the NCSEAA and TP3 Commission should consider implementing a robust independent third-party evaluation that will look at participant outcomes as well as follow-up to compare and contrast how the different grant recipients implement their programs with fidelity to the best practices identified in this report. These bodies have a responsibility to ‘retrieve’ grant funds in instances of noncompliance with grant terms, and evaluation—particularly, fidelity evaluation—can assist in this determination. In consideration of how the GrantProse evaluation of the TP3 program finds there is wide variation in how the TP3 Providers expend their grant funding, especially when distinguishing between institutional and participant expenses, the independent evaluation should also seek to identify when expenses are reasonable, allowable, and allocable and when not, which may in turn identify potential cost savings that will better permit scaling the program across the state.
7. **High Needs Schools.** Reconsider the legislative definition of a high needs school to revise the language specifying the criterion that a school “*Is a school identified under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended.*” GrantProse has interpreted this language to include all

³⁸ Please see the final section of this report, *Looking Ahead*, for an update on the number of programs receiving TP3 funding.

schools that are eligible for Title I funding even if a school is not actually participating in the Title I program. Per this interpretation and including in the determination the other legislative criteria indicating a school meets high need status, GrantProse has found that approximately 81.5% of the schools in the state meet one or more of the high need criteria. The distinction of being a high needs school loses almost all meaning if most of the schools in the state meet the definition. In the place of the present legislative language addressing Title I, GrantProse recommends revising the Title I language to instead use a percentage of low-income students that the school must enroll in order to meet this criterion. While poverty may not be a causal contributor to low achievement, it is well established in the research literature that poverty is a highly correlated indicator of low achievement. Using a percentage figure allows the state to better control for the number of schools that it wants to identify as high needs so as to better direct state resources to especially needy schools. Revising the definition of a high needs school may require legislative action.

8. **Full-time, 10-month internship.** GrantProse has found through surveys and interviews that the overwhelming majority of stakeholders including LEA representatives, participants, and Project Directors state that a full-time, full-year internship is preferred. The year-long internship allows interns the best opportunity to learn the full array of tasks necessary for school leadership from hiring, scheduling, and opening school through establishing school climate, evaluating and coaching teachers, outreach to the community, budgeting for the next year, testing, grading, and closing the school at the end of the year.

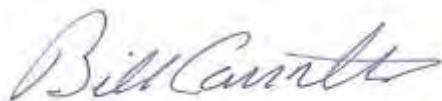
LOOKING AHEAD

In a June 22, 2021, press release³⁹ from the University of North Carolina System (UNC System), an announcement was made that six System institutions were recipients of recurring grants from the North Carolina Principal Fellows Program (NCPFP) which is what the TP3 program is now being called. These six institutions were Appalachian State University, East Carolina University, North Carolina State University, University of North Carolina at Chapel Hill, University of North Carolina at Greensboro, and Western Carolina University. Each institution would receive principal preparation grants for up to \$750,000 per year for the next six years. The announcement noted that these six institutions would join North Carolina Central University/Central Carolina RESA and the University of North Carolina at Charlotte in the NCPFP program, bringing the total number of programs to the limit of eight (8) set by the legislation.

It is notable that neither the HPU nor SREC programs were funded to continue operations beyond closing out their programs in the 2021-22 year. In our opinion it is unfortunate that neither of these programs were funded to continue. Both programs achieved participant outcomes similar to the UNC System programs at NCSU, UNCG and WCU, and their models of operation offered insightful lessons for the UNC System programs...particularly the much lower cost for institutional personnel (HPU and SREC) and the unique model of engaging LEAs through the area Regional Educational Service Alliance (SREC). Along with NCSU, the two programs produced the most graduates and experienced similar levels of success with placing principals and assistant principals. Also, both programs served areas of the state where there are high concentrations of rural and high needs schools.

It is unknown at GrantProse how or why the decision to fund only UNC System programs was made, but the outcome to fund only UNC System programs does not bode well for transforming the totality of principal preparation programs across the state nor infusing these programs with innovative practices that nontraditional program (i.e., other than UNC System) create. The private universities certainly have a role to play in filling the quota of principals needed to replace those who retire or otherwise leave the principalship, and nontraditional operations such as SREC can model innovative practices for the traditional ‘System’ programs to entertain.

Thank you for your consideration of this report. GrantProse staff are pleased to have had the opportunity to evaluate North Carolina’s Transforming Principal Preparation Program these last five years. Please review the **Technical Report** which accompanies this report. We will gladly respond to any requests for information and/or clarification.



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³⁹ Retrieved July 13, 2021, from <https://www.northcarolina.edu/news/unc-system-awards-north-carolina-principal-fellow-program-grants/>