

## HIGHLIGHTS OF THE 2018-19 TPP ANNUAL REPORT

Report 4.04

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Released October 2019

### OVERVIEW

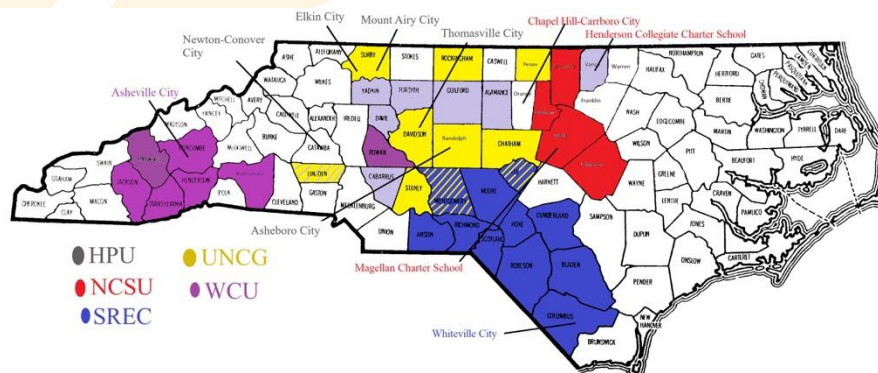
*This report was originally developed for the North Carolina Alliance for School Leadership Development (NCASLD) to share with the recently constituted North Carolina Principal Fellows and TP3 Commission (TP3 Commission). Repurposed here, the report summarizes the most significant findings and considerations that GrantProse presented in its July 2019 annual report to the North Carolina State Education Assistance Authority (NCSEAA). <sup>2</sup>*

Five institutions, referred to as Providers, have been implementing Transforming Principal Preparation Programs (TPP Programs) since the 2016-17 year:

- *High Point University (HPU)*
- *North Carolina State University (NCSU)*
- *Sandhills Regional Education Consortium (SREC)*
- *University of North Carolina-Greensboro (UNCG)*
- *Western Carolina University (WCU)*

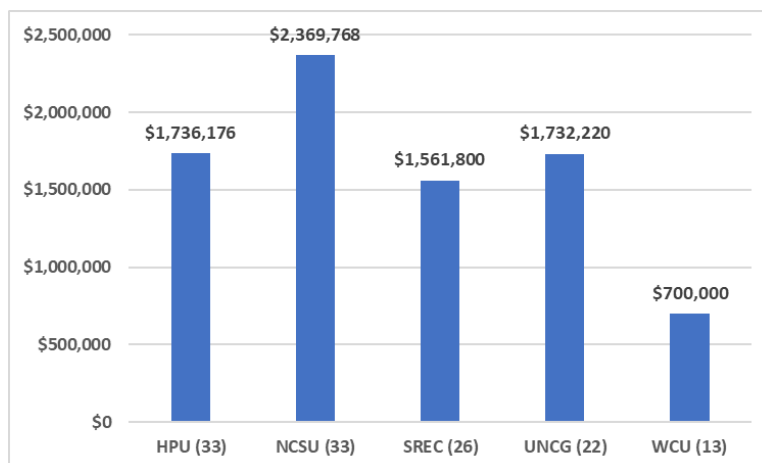
These Providers completed one cycle of grant programs during the 2016-18 period graduating 118 participants. A second cycle is now underway for the 2018-20 period with 127 participants enrolled. In 2018-19, the Providers established partnerships with 47 Local Educational Agencies (LEA) in 37 of North Carolina's counties, shown in **Figure 1**. **Figure 2** indicates NCSU is operating with the largest grant award during the 2018-20 performance period and WCU is operating with the smallest award. Numbers in parentheses on this and later figures indicate the number of participants each Provider is serving.

**Figure 1. County and City LEAs Partnered with TPP Providers**



<sup>1</sup> Suggested citation: Carruthers, W., Hasse, E., & Lovin, P. (2019, October). *Highlights of the 2018-19 TPP Annual Report (Report 4.04)*. Garner, NC: GrantProse, Inc.

<sup>2</sup> Carruthers, W., Sturtz McMillen, J., Lovin, P., & Hasse, E. (2019, July). *Transforming Principal Preparation Grant Program: Third Year, Annual Report*. Garner, NC: GrantProse, Inc.

**Figure 2. Total Amount of 2-Year TPP Awards Made to Each Provider**

### EVALUATION FINDINGS

Since 2016-17, NCASLD has contracted with GrantProse, Inc. to carry out an independent evaluation of the TPP Program. GrantProse is a private firm that specializes in developing funding proposals and conducting program evaluations. This evaluation has three tiers: 1) an evaluation of NCASLD's performance as TPP Program administrator, 2) an evaluation of the institutions implementing TPP grants, and 3) an evaluation of the individuals participating in the TPP Programs. This report summarizes evaluation activities for Tiers II and III.

*Tier II: Evaluation of TPP Providers.* The GrantProse evaluation is multi-faceted, incorporating observations, surveys, interviews, reports from the Providers, and analyses of Provider invoices. When program and fiscal aspects of each TPP Program are considered, findings across all methods of evaluation reveal the TPP Programs are more similar than they are different in their program features; however, there are notable fiscal differences among the programs. Programmatically, all of the TPP Programs are implementing a suite of research-based best practices with varying degrees of emphases, including:

- Providing dedicated leadership of the TPP Program,
- Broadly recruiting and rigorously selecting program participants,
- Forming partnerships and collaborating closely with Local Educational Agencies,
- Operating with participants as a cohort completing the program together,
- Featuring authentic, project-based, and hands-on learning activities within and outside of the university coursework,
- Emphasizing instructional leadership and issues associated with student equity,
- Giving special consideration to the demands of high needs schools,
- Conducting full-time clinical internships of at least 5 months duration, and
- Engaging in continuous improvement processes.

Data on enrollment and placement as Principals or Assistant Principals (P/AP) are reported in **Table 1**. A total of 248 individuals are currently or have been enrolled in the five TPP Programs across both funding cycles, and 92 (37.1%) are known to have secured P/AP positions at the time of this report; 87 (94.6%) of the 92 individuals in P/AP positions are at high needs schools.

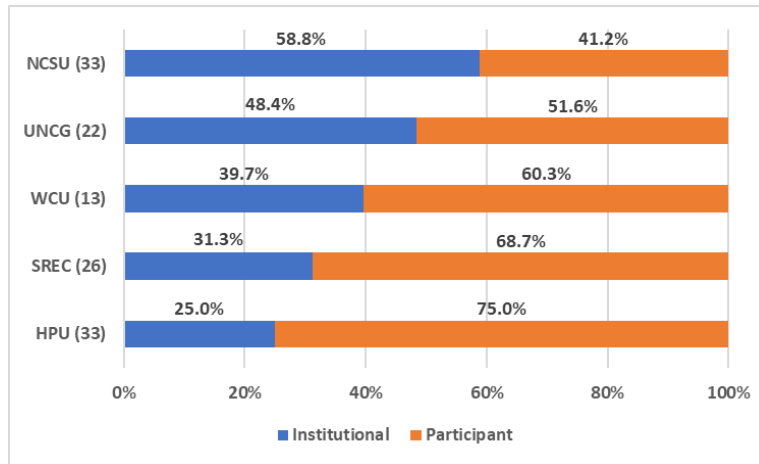
<b>Table 1. Enrollment and Placement as Principals or Assistant Principals (P/AP)</b>					
	<b>HPU</b>	<b>NCSU</b>	<b>SREC</b>	<b>UNCG</b>	<b>WCU</b>
<b>2016-18 Funding Cycle</b>					
Number of partnering LEAs	7	4	13	11	18
Number of individuals initially enrolled in the program	30	34	26	20	10
Number and percentage of individuals securing P/AP positions in NC by June 2019	24/30 (80.0%)	30/34 (91.2%)	14/26 (53.8%)	15/20 (75.0%)	4/10 (40.0%)
Number and percentage of individuals in P/AP positions at NC high needs schools by June 2019	23/24 (95.8%)	29/30 (96.7%)	12/14 * (85.7%)	14/15 (93.3%)	4/4 (100%)
<b>2018-20 Funding Cycle</b>					
Number of partnering LEAs	13	7	12	10	8
Number of individuals initially enrolled in the program	33	34	26	22	13
Number and percentage of individuals securing P/AP positions in NC by June 2019	--	1/34 (2.9%)	4/26 (15.4%)	--	--
Number and percentage of individuals in P/AP positions at NC high needs schools by June 2019	--	1/1 (100%)	4/4 (100%)	--	--
* The school placement for one individual with SREC is unknown at the time of this report.					

GrantProse interviews and surveys with representatives of LEAs partnering with the TPP Programs, university faculty teaching TPP courses, TPP project directors, and participants in the TPP Programs found all populations viewed their programs positively. Interviews with LEA representatives in May 2019 found 39 (95.1%) of 41 indicated they were ‘Satisfied’ or ‘Very Satisfied’ with the TPP Program. Interviews with TPP project directors in May 2019 found the five practices most often identified as important to program success were executive coaching, LEA partnerships, full-time internships, coursework aligned to NC Executive Leadership Standards, and selection of program participants using rigorous criteria. Observations in 2018-19 and interviews with university faculty delivering TPP courses found that the courses require high levels of active engagement, focus on serving high need schools, incorporate multiple authentic learning experiences, and are integrated into cohesive programs rather than stand-alone experiences. And, a survey of participants in April 2019 found that participants held positive perceptions of their program cohort, university coursework, and executive coaches.

While the TPP Programs are generally similar in their programmatic features, there are significant differences in how the programs budget for their operations—most notably in the percentage of the budget devoted to institutional expenses versus participant expenses. Institutional expenses include salaries and fringe benefits for program directors/staff, travel, materials and contractual services to support operations, executive coaches, indirect costs charged by the institutions, and varied other expenses. Participant expenses include salaries and fringe benefits paid to participants during their internship and summers, university tuition/fees, varied other participant expenses (e.g., travel, books, supplies), and support provided to LEAs. **Figure 3** shows that NCSU has the highest percentage of its budget (58.8%) devoted to institutional expenses and HPU has the highest percentage of its budget (75.0%) devoted to participant expenses.<sup>3</sup>

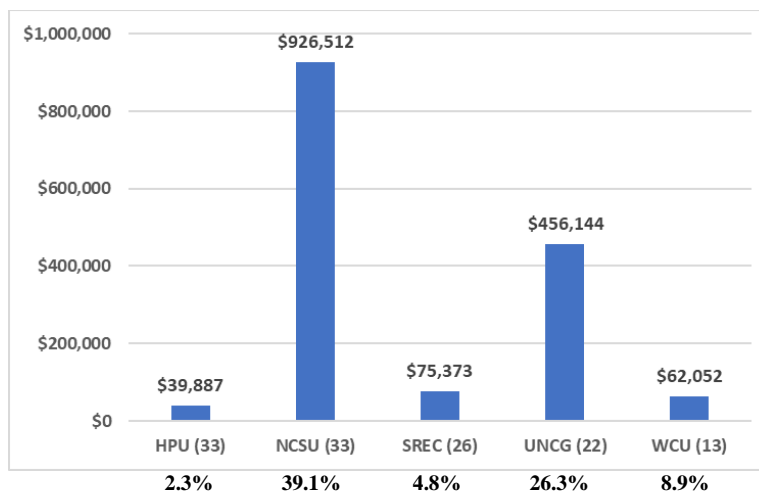
<sup>3</sup> **Figures 3 through 7** are derived from adding together expenditures Providers reported for the 2018-19 year and projected expenditures for the 2019-20 year indicated in budget proposals approved by NCASLD in May 2019 for HPU and SREC and in August 2019 for NCSU, UNCG and WCU. **Appendix A** at the end of this report provides a table showing the dollar value and percentages used in these figures.

**Figure 3. Actual and Projected Institutional and Participant Expenses as a Percentage of Total Expenditures from TPP Funds: 2018-20**



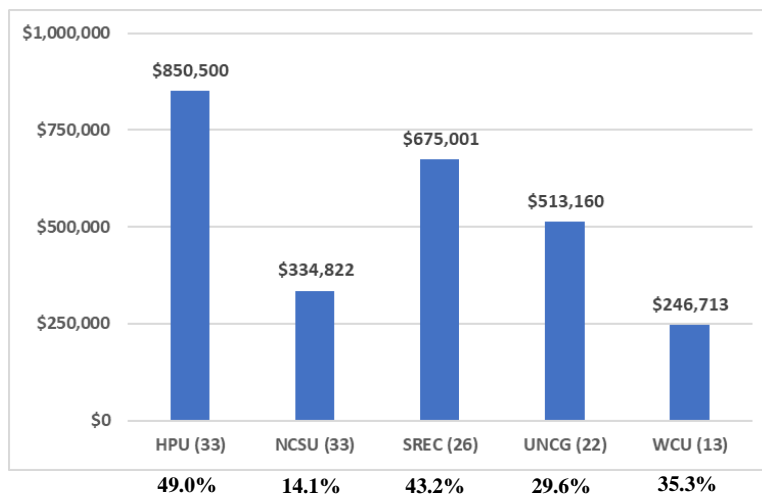
When the varied **institutional expenses** are separately analyzed, the largest expenditure in this category is for personnel salaries and fringe benefits. Based on actual expenditures in the 2018-19 year added to projected expenditures for the 2019-20 year, **Figure 4** shows that NCSU is projected to expend the greatest amount and largest percentage from its 2-year total budget for institutional employee salaries/fringe benefits. Comparatively, HPU, SREC and WCU will expend much smaller portions and percentages of their total budgets for institutional employee salaries/fringe benefits. Percentages shown along the bottom axis in this and later figures indicate the percentage of the total 2-year budget devoted to this expense.

**Figure 4. Actual and Projected Expenditures for Institutional Salary and Benefits from TPP Funds: 2018-20**

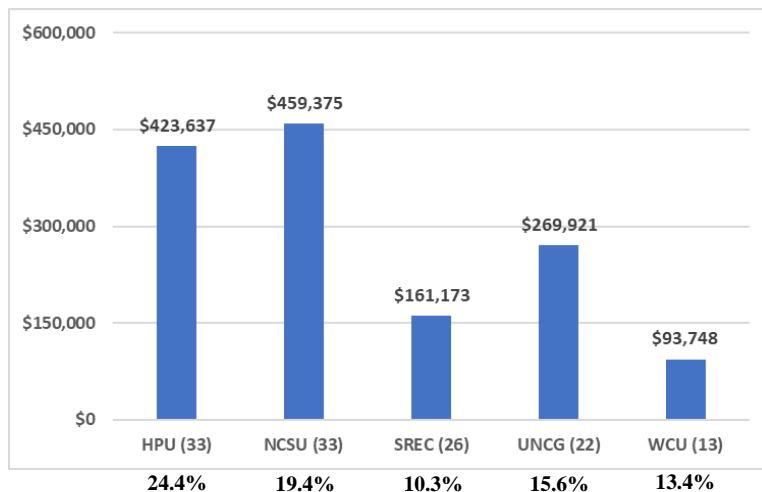


When the varied **participant expenses** are separately analyzed, the two largest expenditures in this category are for salaries/fringe benefits paid to participants during their internship (and extra summer employment if any) and for university tuition/fees, as shown in **Figures 5 and 6**. Comparing only participant salaries/fringe benefits, HPU expends the largest amount and percentage for this line item. Comparing only tuition and fees, NCSU expends the largest amount for this line item while HPU expends the largest percentage.

**Figure 5. Actual and Projected Expenditures for Participant Salaries and Benefits from TPP Funds: 2018-20**



**Figure 6. Actual and Projected Expenditures for Participant Tuition/Fees from TPP Funds: 2018-19**

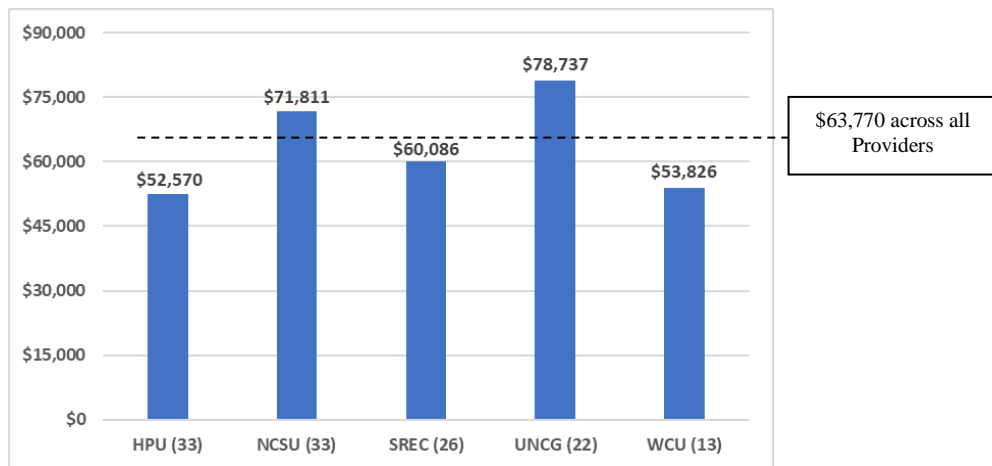


Considering all expenses associated with TPP funds—institutional and participant—the average per participant cost across the five Providers is \$63,770 for the 2-year 2018-20 performance period.<sup>4</sup> This average varies from \$52,570 at HPU to \$78,737 at UNCG as shown in **Figure 7**.

*It is important to note that this average does not include MSA funds that NCSU, UNCG and WCU access to supplement participant salaries/fringe benefits during their internships or funds that LEAs partnering with HPU and SREC commit in support of the participant salaries/fringe benefits. When these other sources of state revenue are considered, per-participant averages may approach or exceed \$100,000 at NCSU, UNCG and WCU and may approach or exceed \$75,000 at HPU and SREC.*

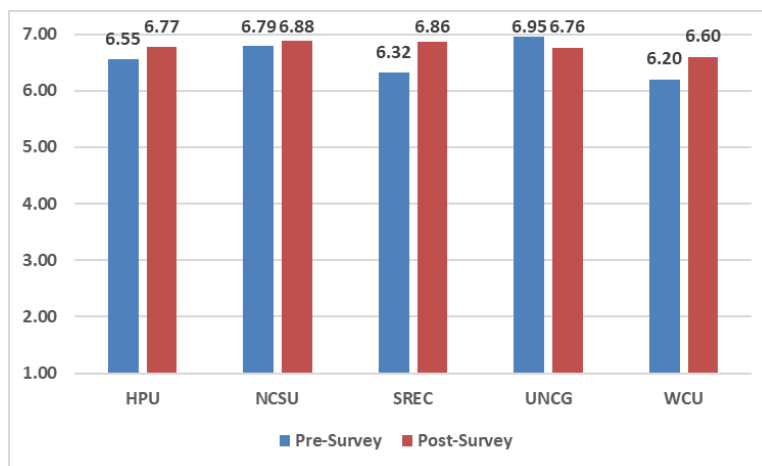
<sup>4</sup> This average assumes that the Providers fully expend their 2019-20 budgets.

**Figure 7. Average 2-Year Per Participant Cost Disaggregated by TPP Provider, Considering only TPP Funds**

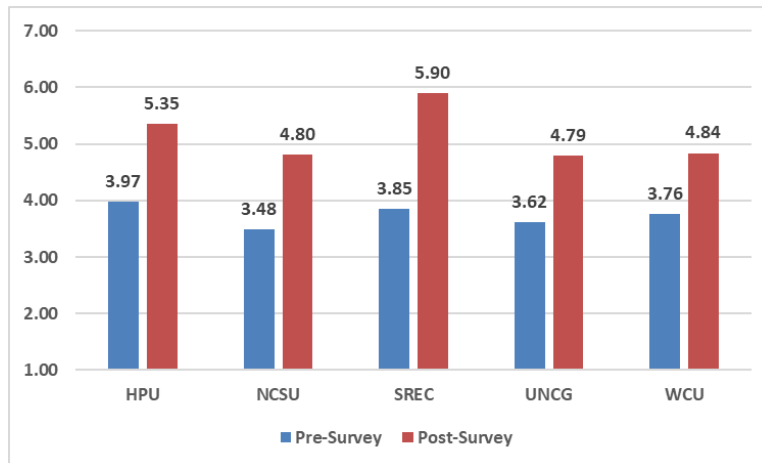
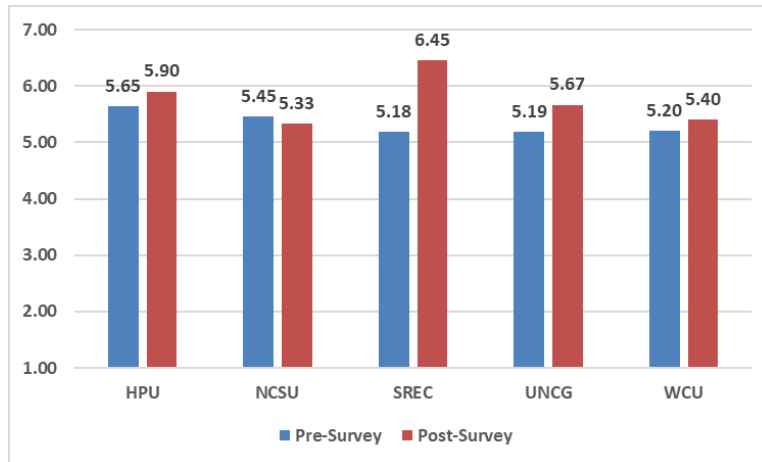


*Tier III: Evaluation of TPP Participants.* A pre-post survey was conducted with participants in the 2018-20 funding cycle to assess what change over the 2018-19 year there might be in their self-reported perceptions of, a) commitment to becoming a school principal, b) knowledge and competencies with the NC Standards for School Executives, and c) confidence that they can be a successful principal.<sup>5</sup> Measured on 7-point scales, with 7 representing the most positive perception, statistically significant change in the positive direction on all three measures was found for the entire group across all TPP Programs. When disaggregated by TPP Program, participants in the SREC program demonstrate some of the highest averages on the post-survey as well as the greatest change between the pre- and post-surveys, as shown in **Figures 8, 9 and 10**.

**Figure 8. Pre-Post Change in Commitment: 2018-19**



<sup>5</sup> Commitment to becoming a principal was measured with a single Likert item; knowledge and competencies were measured with eight Likert items paralleling the eight standards for school administrators; and confidence with being successful as a principal was measured with a single Likert item.

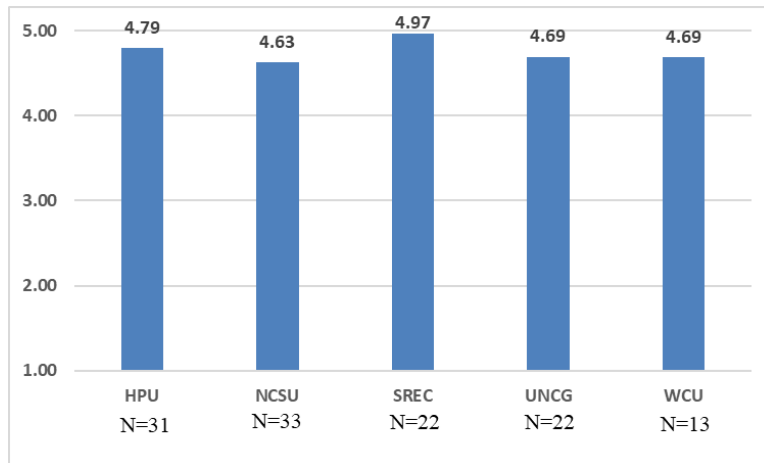
**Figure 9. Pre-Post Change in Knowledge and Competencies: 2018-19****Figure 10. Pre-Post Change in Confidence: 2018-19**

The post-survey administered in the spring 2019 also included three attitude scales measuring respondents' perceptions of their Program:

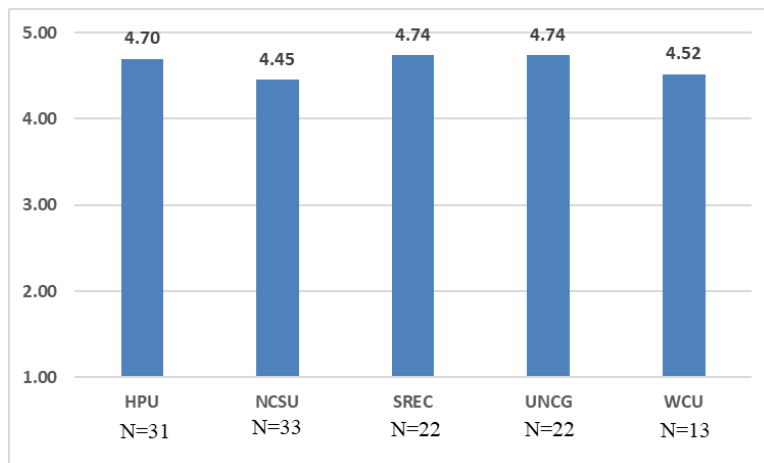
- Cohort Model* - Four questions each on a 5-point rating scale. The higher the average across all questions among all respondents, the more positive perception respondents held toward their Program's implementation of a cohort model;
- University Coursework* - Eight questions each on a 5.0 rating scale. The higher the average across all questions among all respondents, the more positive the perception respondents held toward their university coursework; and
- Executive Coaches* - Three questions each on a 5-point rating scale. The higher the average across all questions among all respondents, the more positive perception respondents held toward support being provided to them by their executive coach.

In general, the SREC program scored strongest on the three scales, possibly due in part to how many SREC participants would be near completing their 1-year program. Findings from the post-survey associated with these three attitude scales are indicated in **Figures 11, 12 and 13**.

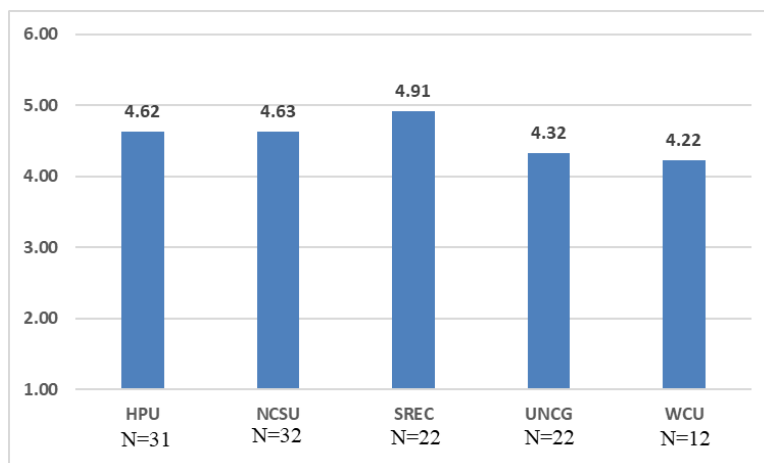
**Figure 11. Participants' Perceptions of the Cohort Model at Their TPP Program**



**Figure 12. Participants' Perceptions of the University Coursework at Their TPP Program**



**Figure 13. Participants' Perceptions of Support Provided by Their Executive Coaches**



## CONSIDERATIONS FOR THE TP3 COMMISSION

In the July 2019 annual report that GrantProse submitted to the NCSEAA, one section provided a discussion of considerations that the TP3 Commission might want to entertain as it prepares to conduct a grant competition for TP3 funding. The following discussion summarizes these considerations.

*Soliciting Applicants.* GrantProse encourages the TP3 Commission to cast a wide net in their recruitment of applicants to submit grant proposals. Results of GrantProse evaluation activities to date and reports in the research literature indicate Providers other than the traditional state public universities (e.g., Regional Education Service Alliances, private universities, LEAs) perform generally as well if not better in some respects as the UNC Providers in the TPP Program. Additionally, non-traditional Providers have demonstrated creativity and flexibility in their programs.

*Average Size of Awards and Number of Participants.* Estimating that the TP3 Commission may have \$14M to make as many as eight awards over a 2-year period, the average award would be \$1.75M for the 2-year period. To ensure that each awardee is able to implement the full suite of best practices, the TP3 Commission should consider setting a minimum award size of at least \$800,000 for the 2-year period. The TP3 Commission should also consider setting the minimum number of participants an awardee is expected to serve based on the size of its award. For instance, using a 2-year per-participant average of \$70,000, a recipient of a \$1.75M award would be expected to serve no less than 25 participants as indicated in **Table 2**.

*It is important to note, the 2-year \$70,000 per-participant average used in **Table 2** does not include funds that NCSU, UNCG and WCU accessed through the state's MSA program or were committed by LEAs with the HPU and SREC programs.*<sup>6</sup>

<b>Table 2. Minimum Number of Participants By Size of 2-Year Award</b>	
Size of Award	Minimum number of participants selected for program
\$1,500,001 to \$1,750,000 total for 2 years	At least 25
\$1,250,001 to \$1,500,000 total for 2 years	At least 21
\$1,000,001 to \$1,250,000 total for 2 years	At least 17
\$800,000 to \$1,000,000 total for 2 years	At least 14

*Provision of Participant Support.* Significant factors contributing to recruiting and selecting the most qualified participants for the TPP Program are paying for participant salaries/fringe benefits during the internship and paying for university tuition and fees as well as other participant expenses such as books for courses, parking fees, and field trips and conferences. The TP3 Commission should consider standardizing this manner of support so that participants across all

<sup>6</sup> In instances where a TPP Provider implements a 10-month internship, it could access as much as \$41,650 in MSA funding to pay participant salaries/fringe benefits during the internship. NCSU, UNCG and WCU made use of this program. At HPU, the Provider pays \$25,000 towards the participant internship salary with TPP funds and the LEAs make up the difference, presumably to hold participants harmless. At SREC, the Provider pays the entire salary/fringe benefits package with TPP funds except for the local supplement that LEAs pay, also presumably to hold participants harmless. For the most part, HPU and SREC implement 5-month internships.

grant programs are treated equitably. Especially important, the TP3 Commission should consider standardizing participant remuneration during their internship to ‘hold harmless’ the salary and fringe benefits paid during the internship relative to the individual’s prior most recent employment. If the Provider intends to implement a 5-month internship, it is possible this can be done within the bounds of the TPP funds, especially if a ceiling on institutional expenses (discussed below) is placed on the percentage allotted to institutional expenses. If the Provider intends to implement a 10-month internship, it is probable the Provider will need to supplement TPP funds with MSA funds or secure fiscal commitments from their partnering LEAs.

*Provision of Program Leadership.* Unquestionably, program leadership has been critical to the success of the TPP Program; however, expenses for institutional employees, contractual services and indirect costs vary widely among the TPP Providers, contributing in turn to considerable variation in how the Providers supported participant expenses. If participant salary/fringe benefits during their internship will be standardized to hold them harmless as advised above, then it will likely be necessary for TP3 programs to pare back other expenses. One consideration for any new grant competition is that a ceiling could be set on institutional expenses which based on these evaluation findings GrantProse believes could be 35-45% of the total TP3 funding, thereby freeing 55-65% of the TP3 funds to support participant expenses as discussed in the previous consideration. As demonstrated in **Figure 3** of this report, HPU, SREC and WCU are within this boundary, UNCG is close, and NCSU is above this boundary.

*LEA Partnerships.* The TP3 Commission should require applicants to demonstrate how they will form partnerships with LEAs including an MOU that delineates roles and responsibilities such as assisting with recruitment and selection, advising program leaders on continuous improvements, and arranging and supporting the participant’s internship with an accomplished school principal.

During the period of the full-time internship, LEAs should not expect that participants will fulfill other roles or duties in the school district. Although participant salaries/fringe benefits during the internship can be reimbursed from the TP3 program (possibly with MSA or LEA supplementing), the LEA should continue to carry the individual as an employee with the district to allow the individual to continue participating in the state’s retirement system.

And, to allow the greatest opportunity for participants to secure employment as a principal or assistant principal, the TP3 Commission should also seek to limit any restrictions that LEAs might place on participants finding employment outside the school district. This can become a problem if the LEA requires the individual to stay in the school district for some number of years after the program, possibly in exchange for funds the LEA may have committed in support of the individual during the program. In such instances, if an opening to advance to the principal or assistant principal position is not available in that school district, the individual’s career development is possibly retarded.

*Application of a Cohort Model.* The TP3 Commission should require applicants for grant funding to indicate how they will treat their participants as a cohort such that they progress together through the university coursework and participate together in other activities that are offered in the program. In its evaluation, GrantProse found that the cohort model allows for camaraderie and professional networking that may extend well beyond their program.

*Independent Evaluation.* Per legislative intent, the TP3 Commission is expected to “...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.” While each grant recipient should be required to implement its own evaluation activities to inform continuous improvement activities, the TP3 Commission should consider implementing a robust independent third-party evaluation of all grant recipients that will look at participant outcomes as well as compare and contrast how the different grant recipients implement their programs with fidelity to the research-based best practices GrantProse has identified. An independent evaluation can apply common metrics across all programs to best ensure that programs can be compared for their relative strengths and weaknesses. How funds are expended in support of recruiting, supporting, and graduating the most highly qualified individuals to serve and raise achievement in the state’s high needs schools should be a part of this evaluation.

*Defining High Need Schools.* A final consideration for the TP3 Commission is to closely inspect the legislative definition of a high need school. The legislation specifies a number of criteria that must be factored together, and it is not clear to GrantProse how the word ‘identified’ should be interpreted in the criterion associated with Title I schools: *Is a school identified under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended.* Certainly, ‘identified’ is meant to include schoolwide Title I programs with relatively high incidence of lower income students.<sup>7</sup> However, is the term also meant to include targeted assistance Title I programs where the incidence of lower income students may be much lower? GrantProse has produced a report identifying high need schools in the state appearing to meet the legislative definition when both schoolwide and targeted assistance programs are included in the analyses.<sup>8</sup> In this instance, almost 80% of the schools in the state meet the high need definition. The legislation creates a forgivable scholarship loan program, valued as great as \$40,000, and establishes a standard of ‘Forgiveness Through Service’ that distinguishes between whether an individual serves at a high need school or a school that is not high need. For each year the individual serves at a high need school, 50% of the loan will be forgiven; however, only 25% of the loan is forgiven for each year served at a school that is not high need. Program graduates will be motivated to secure positions in high need schools, programs receiving TP3 grant funding will be motivated to prepare their participants for service in high need schools, and LEAs will be motivated to employ participants in high need schools. Considering this high stakes environment, individuals participating in TP3 grant programs as well as the TP3 Commission will be well served with a definition that clearly specifies what is and is not a high need school.

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<sup>7</sup> In North Carolina, schools with at least 40% low income students can participate in Title I schoolwide programs.

<sup>8</sup> Carruthers, W. (2019, 3.06). *Evaluation Procedures: Identifying High Needs Schools: Second Report with Addendum (Report 3.06)*. Garner, NC: GrantProse, Inc.

## APPENDIX A

Throughout 2018-19, the TPP Providers submitted periodic invoices to NCASLD to recover expenses incurred in their programs. The Providers used a common set of budget categories to classify these expenses: Personnel, Fringe Benefits, Travel, Materials/Supplies, Contractual, Other, and Indirect Costs. They used these same categories with the projected budgets submitted for 2019-20. However, there are many differences in how the Providers classify varied expenditures using these categories, and GrantProse sought to group like expenses in similar categories. For instance, a line item might indicate travel for 36 individuals...33 of whom were participants and 3 of whom were faculty. In this instance, 3/36<sup>th</sup> of the expense would be allocated to Institutional Travel and 33/36<sup>th</sup> of the expense would be allocated to Participant Other. **Table 3** provides the breakout of the Institutional and Participant expenses organized by GrantProse in the secondary analysis of Provider invoices and budget projections.

<b>Table 3. GrantProse Secondary Analyses of Actual and Projected Expenses for 2018-20 Performance Period</b>												
	HPU		NCSU		SREC		UNCG		WCU		Totals	
<b>INSTITUTIONAL EXPENSES</b>												
Personnel + Fringe	\$39,887	2.3%	\$926,512	39.1%	\$75,373	4.8%	\$456,144	26.3%	\$62,052	8.9%	\$1,559,967	19.3%
Travel	\$9,667	0.6%	\$14,811	0.6%	\$28,192	1.8%	\$30,416	1.8%	\$24,393	3.5%	\$107,478	1.3%
Materials	\$0	0.0%	\$0	0.0%	\$6,124	0.4%	\$3,933	0.2%	\$15,772	2.3%	\$25,830	0.3%
Contractual	\$123,700	7.1%	\$47,316	2.0%	\$23,704	1.5%	\$58,275	3.4%	\$69,429	9.9%	\$322,424	4.0%
Other	\$0	0.0%	\$17,091	0.7%	\$0	0.0%	\$0	0.0%	\$0	0.0%	\$17,091	0.2%
Indirect	\$52,488	3.0%	\$175,539	7.4%	\$73,855	4.7%	\$68,903	4.0%	\$51,781	7.4%	\$422,566	5.2%
Executive Coaches	\$207,844	12.0%	\$211,675	8.9%	\$281,354	18.0%	\$221,000	12.8%	\$54,320	7.8%	\$976,193	12.1%
<b>Institutional SubTotal</b>	<b>\$433,586</b>	<b>25.0%</b>	<b>\$1,392,943</b>	<b>58.8%</b>	<b>\$488,603</b>	<b>31.3%</b>	<b>\$838,671</b>	<b>48.4%</b>	<b>\$277,747</b>	<b>39.7%</b>	<b>\$3,431,550</b>	<b>42.4%</b>
<b>PARTICIPANT EXPENSES</b>												
Payments to LEAs	\$4,950	0.3%	\$17,169	0.7%	\$0	0.0%	\$0	0.0%	\$10,650	1.5%	\$32,769	0.4%
Participant Stipends	\$850,500	49.0%	\$334,822	14.1%	\$675,001	43.2%	\$513,160	29.6%	\$246,713	35.3%	\$2,620,195	32.4%
Participant Tuition	\$423,637	24.4%	\$459,375	19.4%	\$161,173	10.3%	\$269,921	15.6%	\$93,748	13.4%	\$1,407,856	17.4%
Participant Other	\$22,152	1.3%	\$165,458	7.0%	\$237,452	15.2%	\$110,466	6.4%	\$70,874	10.1%	\$606,403	7.5%
<b>Participant SubTotal</b>	<b>\$1,301,239</b>	<b>75.0%</b>	<b>\$976,825</b>	<b>41.2%</b>	<b>\$1,073,626</b>	<b>68.7%</b>	<b>\$893,548</b>	<b>51.6%</b>	<b>\$421,985</b>	<b>60.3%</b>	<b>\$4,667,223</b>	<b>57.6%</b>
<b>TOTAL</b>	<b>\$1,734,825</b>	<b>100.0%</b>	<b>\$2,369,768</b>	<b>100.0%</b>	<b>\$1,562,229</b>	<b>100.0%</b>	<b>\$1,732,219</b>	<b>100.0%</b>	<b>\$699,732</b>	<b>100.0%</b>	<b>\$8,098,772</b>	<b>100.0%</b>