



October 15, 2019

Joint Legislative Education Oversight Committee

Co-Chairs:

Representative D. Craig Horn

Representative Linda P. Johnson

Vice-Chairs:

Representative Hugh Blackwell

Representative Jeffrey Elmore

Representative Pat B. Hurley

Dear Representative Horn, Representative Johnson, Representative Blackwell,
Representative Elmore, and Representative Hurley,

Please accept the Annual Report of the Transforming Principal Preparation Program (TP3). I think you will find that the program is progressing very well, and we would welcome the opportunity to meet with your committee to answer any questions that you may have.

Very best regards,

Shirley Prince, Ed.D.

TPP Grant Program Director

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ANNUAL REPORT

TRANSFORMING PRINCIPAL PREPARATION GRANT PROGRAM: THIRD YEAR

JULY 2019

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EXECUTIVE SUMMARY

Produced by GrantProse, Inc., this is the third 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 (TPP) program realized by June 30, 2019. A “Technical Report” accompanies this third annual report and provides varied reports produced during the year with detailed information specific to many of the GrantProse evaluation activities implemented in 2018-19.

Serving as the administrator for the TPP 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 TPP 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) Sandhills Leadership Program* ²
- *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*

Contracts between NCASLD and the five Provider agencies to implement their programs were completed in Fall 2016, and all programs began serving aspiring school principals, referred to as ‘participants’ in this document, beginning in the Spring 2017 semester. Renewal contracts were awarded to all five Provider agencies for continued program implementation with a second group of program participants selected for the 2018-20 funding cycle. For the 2018-19 year, there were 128 participants selected for this second group with 33 at HPU, 34 at NCSU, 26 at SREC, 22 at UNCG, and 13 at WCU.

A total of \$8,099,964 was allocated to the Provider agencies for implementation of the five TPP programs over the 2018-20 period. Of this amount, \$3,071,064 ³ (37.9%) was invoiced by the Provider agencies during the 2018-19 year, ⁴ including projections for end-of-year expenditures, which in some cases would carry into the 2019-20 year. Assuming the Provider agencies fully expend the funding allocated to them by NCASLD for the two years, the 2-year per-person cost for preparing 127 participants ⁵ can be estimated to approximate \$63,780 per person. However, this cost underestimates the actual per participant average due to a number of factors described in the footnote here. ⁶

² While Sandhills Regional Education Consortium is responsible for implementing the TPP program, Hoke County Schools serves as the fiscal agent managing the funds and the University of North Carolina at Pembroke conducts the coursework.

³ Fiscal figures in this report are rounded to the nearest dollar.

⁴ Per NCASLD invoices submitted to NCSEAA: 85, 96, 97, 102, and 106.

⁵ One of the 128 individuals enrolled during 2018-20 is known to have left the program at NCSU in 2018-19.

⁶ The \$63,780 per person figure does not include NCSEAA and NCASLD expenses to administer the grant program. Also, a number of the programs used funds in their 2017-18 budget to recruit and begin serving the new cohort of students for the 2018-20 performance period. With the co-mingling of funds supporting participants in the 2016-18 and 2018-20 performance periods, it is difficult to derive a true per person cost at this time. Furthermore, a number of the programs are accessing State MSA funds to support paying salaries for participants during their internship. MSA funds are in addition to the TPP funds and would effectively increase the 2-year per person average. And, a number of LEAs provide funds in partial support of

GrantProse evaluation activities conducted during the 2018-19 year took four main forms: (1) mid-year (January 2019) and annual (May 2019) reports completed by TPP Program Directors, (2) observations of program activities conducted during Fall 2018 and Spring 2019, (3) surveys of program participants, and (4) interviews with TPP Program Directors, university faculty, and LEA representatives conducted in Spring 2019. 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?

Each Provider agency's funding proposal included specific program goals. All five funded programs had goals regarding recruitment and selection of high quality program participants, participant completion of coursework, and participant completion of a full-time clinical internship of at least five months. Full details on the goals for each program as described in the funding proposals are listed in **Table 3**.

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

Four of the programs (HPU, NCSU, SREC and WCU) reported revisions or refinements to their program goals for the 2018-19 year. These modifications entailed changes to the number of program participants to be served (HPU) ⁷ and changes to program requirements based on updated legislation (NCSU, WCU). Full details regarding these modifications are listed in **Table 3**.

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 entire 2018-19 performance period, the five funded programs undertook varied activities to implement their TPP programs. These activities included:

- (a) Targeted recruitment of program applicants, ⁸
- (b) Use of rigorous criteria predictive of school leader success in selection of 128 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 47 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.

participants' salary and/or fringe benefits during their internship. Including MSA and LEA revenue sources among other possible sources, the 2-year per person costs for the 127 individuals presently enrolled for the 2018-20 performance period possibly falls in a \$65,000 to \$70,000 range or greater at the time of this report.

⁷ WCU also changed the number of program participants, adding three more, but this change was not noted on their mid-year report.

⁸ Recruitment and selection of the 2018-20 cohort began in the Spring 2018 at most of the programs.

On the whole, the TPP 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 87 (72.5%) of the 120 have been determined to hold Principal (P) or Assistant Principal (AP) positions by the end of the 2018-19 year.
- Of the 87 individuals from the first funding cycle presently holding P/AP positions, 82 (95.3%) of these individuals are working in high need schools.⁹
- 95 (80.5%) of the 118 completing the first funding cycle have been reported to presently hold Master of Science in Administration, Master of Education, and/or post Masters' Certificate in School Administration.
- When surveyed at the end of the 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

- 127 (99.2%) of 128 participants initially enrolled in the second funding cycle continue in active enrollment at the end of the 2018-19 year, and 6 (4.7%) of the 128 have been determined to hold P/AP positions at the end of the 2018-19 year.
- Of the 6 individuals from the second funding cycle presently holding P/AP positions, all 6 individuals are working in high need schools.
- The 127 currently enrolled participants in the second funding cycle earned an average of 14.74 cumulative credit hours during the 2018-19 year across the five programs (range 4-36).
- When surveyed at the end of the 2018-19 year, respondents' rating of being satisfied with their TPP program averaged 6.33 on a 7-point Likert scale with 7 representing Extremely Satisfied.
- A Spring 2019 survey of participants in the second funding cycle revealed they agreed that features of their programs demonstrated best practices:¹⁰
 - Participants agreed that features of the **cohort model** at their TPP Program were satisfactory, ranging from an average response of 4.63 at NCSU on a 5-point Likert scale to 4.97 at SREC, with 5 representing a Strongly Agree response;
 - Participants agreed that features of their **university coursework** were satisfactory, ranging from an average response of 4.45 at NCSU to 4.74 at SREC and UNCG; and
 - Participants agreed that features of their **executive coaching** were satisfactory, ranging from an average response of 4.22 at WCU to 4.91 at SREC.
- When interviewed at the end of the 2018-19 year, 37 (94.9%) of 39 LEA representatives indicated they were 'Satisfied' or 'Very Satisfied' with the TPP Program.

⁹ Please see GrantProse **Appendix F** of the Technical Report for the methodology used to determine whether a school meets the State's legislative definition of a high need school.

¹⁰ GrantProse has described best practices associated with the TPP Program in its mid-year report for 2018-19. Please see **Appendix C** in the Technical Report for this discussion.

- Also, pre- and post-survey results with program participants in the 2018-19 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, and c) self-reported confidence in their leadership abilities.

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

The five programs will all receive funding for the 2019-20 fiscal year to continue implementation with participants in the 2018-20 funding cycle. In the 2020-21 year, the HPU, SREC, and UNCG programs will continue to receive one year of funding under the auspices of NCASLD administrative leadership. And, in accordance with North Carolina Senate Bill 227 authorized in the 2019 Session of the General Assembly, it is expected that a new set of grant recipients will be funded in the 2020-21 year to implement transformational principal preparation programs, with these awards being administered by the NCSEAA in coordination with the newly established North Carolina Principal Fellows and TP3 Commission (TP3 Commission). **Table 32** in the section on future plans provides further detail on each program's intentions.

In addition to collecting information to address the NCSEAA questions, GrantProse evaluation activities are designed to compare and contrast differences among the TPP programs and how these programs, in turn, differ from traditional programs for preparing principal leaders. The following set of best practices has been previously described in a number of GrantProse reports and updates for the 2018-19 year are provided here.

- Provision of program leadership. All five TPP programs identify Project Directors, sometimes referred to as Principal Investigators, and provide for other forms of staffing. While adequate staffing is seen as a best practice, there is considerable variation in the number of employees being supported with TPP funding at each TPP institution (e.g., faculty, administrators, graduate assistants, hourly workers, etc.). Considering institutional employees with at least 8.3% full-time equivalent commitment to the TPP Program:
 - o HPU with 33 current participants and WCU with 13 current participants each identify 1 staff member being paid with TPP funds,
 - o SREC with 26 current participants and UNCG with 22 current participants each identify 3 staff members being paid with TPP funds, and
 - o NCSU with 33 current participants identifies 10 staff members being paid with TPP funds.
- How participants are recruited. The extent to which programs work with LEA partners to recruit highly effective and committed educators with demonstrated leadership potential is a key difference between TPP and traditional programs. HPU, NCSU, and UNCG appear to have worked with their partner LEAs to broadly advertise the program and recruit a large pool of prospective candidates; SREC worked closely with its partner LEAs to identify a select few candidates satisfactory to LEA leaders; and WCU appears to have enrolled participants based largely on LEA recommendations.
- How participants are selected. A highly competitive selection process is another key difference between TPP and traditional programs. TPP Programs typically include an application and interview process and often live formative assessment of key leadership skills using tools such as simulations and group exercises. Program participants are then selected using detailed decision-making rubrics by a selection committee, typically including active LEA involvement. HPU, NCSU and UNCG appear to have the most

extensive recruitment and selection process, while SREC and WCU have more targeted recruitment and selection processes.

- Engagement with LEAs. Traditionally, the university where participants complete their coursework has little to no engagement with the LEA where the participant is employed. In contrast, TPP programs all have frequent contact with LEA leaders where the program participants are employed, including superintendents. Meeting with partnering LEA superintendents at monthly intervals, SREC is an example of this best practice.
- Implementation of a cohort. Traditional principal preparation programs present little to no expectation for the program participants to get to know each other and develop professional relations that support or otherwise advance their preparation. However, the TPP programs generally treat their participants as cohorts with participants taking courses at the same time and sharing in similar experiences. Participants at HPU, NCSU, SREC and UNCG progress as a cohort through their coursework, while WCU appears to have a blended model with TPP participants mixing with other students in their university coursework.
- Authenticity of experiences. Authentic leadership experiences through project-based learning assignments (such as case studies and equity audits requiring interns to analyze school data), realistic simulations, and actual leadership experiences during the internship provide opportunity for growth and development of leadership skills. Some exemplars of authentic experiences designed to develop leadership skills include:
 - HPU's Instructional Leadership Institute which culminates with school walk-throughs with TPP program participants observing teachers (who volunteer to participate), providing feedback to teachers in a post observation conference and receiving coaching on their feedback skills from executive coaches and the participating teachers.
 - NCSU's Formative Assessment Days simulating a real day in the life of a principal with an in-basket of tasks and realistic crises and actors playing the parts of students, parents, and other stakeholders.
 - SREC creates periodic 'synergy' meetings at which participants during their internships are able to meet with and join discussions with senior administrators in partnering LEAs.
 - Interns in multiple programs take on leadership roles with School Improvement Teams.
- Emphasis on instructional leadership and issues of equity. TPP programs share an emphasis on the primary role of the principal as an instructional leader responsible for working with the school community to create a culture focused on learning and equity of outcomes for students rather than just acting as a building manager. The five TPP programs convey this emphasis through the focus of their classes, choice of required reading, and many of their additional workshops, seminars, speakers, and leadership experiences. Some of the ways in which programs emphasize instructional and equity issues include:
 - WCU added courses addressing Leadership for Equity, and Social Justice I & II
 - NCSU visits to observe schools (e.g. A.B. Combs Leadership Magnet Elementary in Wake County and The Ron Clark Academy in Atlanta, Georgia) that have been recognized for their outstanding practices.
 - UNCG students interview homeless coordinators and social workers to understand factors affecting students and the services available in their communities.
 - Pervasive discussions throughout the five programs on how policies and procedures affect marginalized students.

- Emphasis on high need schools. TPP Provider agencies are focused on preparing principals and assistant principals to serve in high need schools and LEAs with the particular approaches and challenges they emphasize. For example, NCSU has focused more on the challenges in urban schools, while SREC is focused on the challenges of high need rural schools. The emphasis on high need schools is seen in course work, special seminars, workshops and field experiences that address equity, social justice, and strategies for helping schools and students overcome the challenges of poverty.
- Full-time internship with coaching/mentoring. While all of the TPP programs worked with LEA partners to create full-time internship positions for at least five months, some of the programs will implement 10-month internships for the academic year, giving their interns considerably more experience before graduation. All of the programs have multiple levels of mentoring and coaching with support provided by on-site principals, executive coaches, and university faculty.
 - NCSU, UNCG and WCU participants will complete 10-month internships.
 - At HPU, some participants will complete 10-month internships and some will complete 5-month internships, per the interests and degree of fiscal support offered by the LEAs.
 - SREC participants will complete 5-month internships.
- Independent evaluation and continuous improvement processes. Each of the TPP programs engages in continuous review and program improvement activities. The programs utilize formal and informal data from multiple sources (e.g., participants, coaches, mentors, faculty) to identify and implement program improvements. Further, the programs conduct periodic and ongoing formal and informal meetings with LEA partners and actively seek feedback on recruiting/selecting program participants and strengthening program focus and content. Additionally, NCASLD has contracted with GrantProse, Inc. to conduct an independent evaluation of the TPP program with the express purpose of identifying best practices and measuring outcomes especially with respect to impact on student achievement.

While the five TPP programs each have unique features such as those bulleted above, what they have in common distinguishes these programs from traditional principal preparation programs. Efforts to recruit participants are targeted and intentional; the selection of participants is rigorous; the implementation of a cohort model provides a more supportive educational environment and a built-in professional network for graduates; the incorporation of professional leadership standards is expanded throughout all aspects of the program; the participants receive varied and frequent feedback from colleagues, faculty, mentors and coaches; the emphasis on inquiry-based, hands-on, and authentic learning experiences moves instruction beyond lecture and textbooks; the project-based learning methods and fieldwork prepare participants to work in high need communities and schools; the full-time internships allow participants to develop first-hand experience with the real responsibilities of the principalship; the collaborative partnerships with LEAs inform the design of program features; and the programs engage in continuous review and program improvement activities.

At the time of this report, all programs appear to be functioning well and the differences among the programs create opportunities for the program leaders to share and learn from each other.

Some recommendations for NCASLD to consider for the remaining two years NCASLD will administer the TPP Program include:

- NCASLD should expand its Professional Learning Network to permit other principal preparation programs in the state to participate.
- NCASLD should direct focus in the last two years to issues of sustainability, replication, and scaling identified best practices to programs across the state.
- Regarding scaling across the state, NCASLD should investigate the possibility of incorporating many of the value-added features of the TPP Programs into existing or new tuition-bearing courses, thereby reducing the cost of the program to the state.
- In its new role with the TP3 Commission,
 - NCASLD should use this venue to continue its advocacy for best practices in principal preparation programs across the state. An objective should be that all principal preparation programs in the state should be implementing most, if not all, of the best practices being realized in the TPP Program.
 - Based on its experience administering the TPP Program and knowledge it has gained about the strengths and weaknesses of the different programs, NCASLD should advise the TP3 Commission on desirable features and requirements to include in the solicitation for new grant proposals.
 - Considering the high stakes decision to be made regarding whether a school meets the legislative intent of being a high need school, NCASLD should work closely with the TP3 Commission to review the legislative definition to ensure that its focus is as intended—on schools where there is a need for specialized resources such as might be provided by a graduate of the state’s transformational principal preparation programs.

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INTRODUCTION

OVERVIEW

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

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

The TPP grant program requires Provider agencies to implement innovative, research-based best practices in preparing school leaders who implement school leadership practices linked to increased student achievement. The five programs selected for funding meet 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 their 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 differ from historical methods of principal preparation, the inclusion of all dimensions collectively in each funded program makes the TPP Program truly different from traditional programs.

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. The budgets for the second funding cycle in the 2018-20 period approved by NCASLD are indicated in **Table 1** below.

TABLE 1. PRINCIPAL PREPARATION PROGRAM BUDGETS: 2018-2021					
TPP Program	Program Participants Enrolled	2018-19 Budget	2019-20 Budget	2020-21 Budget	Total Budget
High Point University (Cohorts III & IV)	33	\$868,088	\$868,088	\$868,088	\$2,604,264
NC State University (Cohort II)	34	\$1,184,884	\$1,184,884	--	\$2,369,768
Sandhills Regional Education Consortium (Cohorts III & IV)	26	\$780,900	\$780,900	\$780,900	\$2,342,700
UNC-Greensboro (Cohort II) *	22	\$866,110	\$866,110	\$866,110	\$2,598,330
Western Carolina University (Cohort II)	13	\$350,000	\$350,000	--	\$700,000
Total	128	\$4,049,982	\$4,049,982	\$1,648,988	\$10,615,062
* Note: UCG is also approved for \$86,110 in the 2021-22 year when its program will be overseen by the TP3 Commission.					

In 2018-19, the five TPP programs operated in 39 North Carolina counties, partnering with a mix of county-wide LEAs, city LEAs, and charter schools as shown in **Figure 1** and **Table 2**.

FIGURE 1. COUNTY AND CITY LEAS PARTNERED WITH FUNDED TPP PROGRAMS

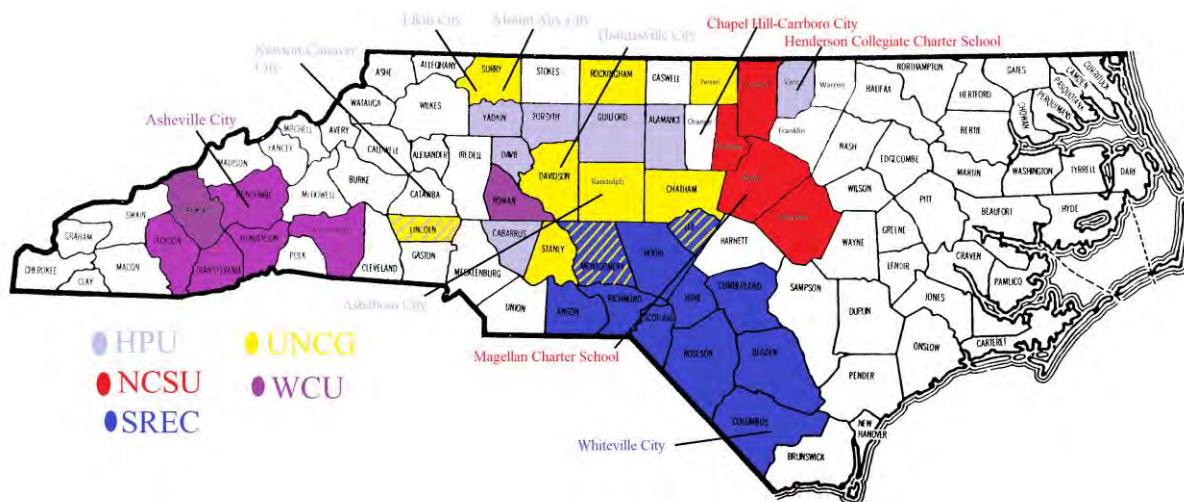


TABLE 2. COUNTIES AND MUNICIPALITIES SERVED IN THE TPP PROGRAMS		
TPP Program	Areas Served	Count of LEAs
High Point University (Cohorts III & IV)	Alamance-Burlington, Asheboro City, Cabarrus, Davie, Elkin City, Guilford, Lincoln, Mt. Airy City, Newton-Conover City, Thomasville City, Vance, Winston-Salem Forsyth, Yadkin	13 LEAs • 8 counties • 5 cities
North Carolina State University (Cohort II)	Chapel Hill-Carrboro City, Durham, Granville, Henderson Collegiate Charter, Johnston, Magellan Charter, Wake	7 LEAs • 4 counties • 1 city • 2 charter

TABLE 2. COUNTIES AND MUNICIPALITIES SERVED IN THE TPP PROGRAMS		
TPP Program	Areas Served	Count of LEAs
Southern Regional Education Consortium (Cohorts III & IV)	Anson, Bladen, Columbus, Cumberland, Hoke, Lee, Montgomery, Moore, Richmond, Robeson, Scotland, Whiteville City	12 LEAs • 11 counties • 1 city
UNC-Greensboro (Cohort II)	Chatham, Davidson, Lee, Lincoln, Montgomery, Person, Randolph, Rockingham, Stanly, Surry	10 LEAs • 10 counties
Western Carolina University (Cohort II)	Asheville City, Buncombe, Haywood, Henderson, Jackson, Rowan Salisbury, Rutherford, and Transylvania	8 LEAs • 7 counties • 1 city
Total	Three LEAs - Lincoln, Lee, and Montgomery - partnered with more than one program.	47 LEAs • 37 counties • 10 other

REPORT ORGANIZATION

NCASLD contracted with GrantProse to independently apply a 3-tiered approach to evaluate the performance of: (1) NCASLD, (2) TPP Provider agencies, and (3) TPP 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 information on GrantProse's first-tier evaluation of NCASLD from July 2018 through June 2019, second-tier evaluation of TPP Provider agencies from July 2018 through June 2019, and third-tier evaluation of TPP program participants at the end of the Spring 2019 semester. Please see the accompanying GrantProse Technical Report for appendices that are referenced in this report.

Also, in an Addendum to this report, GrantProse offers a number of recommendations for consideration associated with the recent passage of Senate Bill 227 in Session 2019 of the North Carolina General Assembly.

PROGRAM GOALS ¹¹

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 TPP 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, analyzing and identifying their best practices, and recommending the best practices for leadership development of school leaders in North Carolina. NCASLD provides technical assistance to TPP Provider agencies to build capacity and identify and integrate evidence-based approaches to school leader development. NCASLD also facilitates discussion among Provider agencies and stakeholders to share successes and lessons learned. NCASLD identifies seven key areas of responsibility as follows:

1. Issue a Request for Proposal,
2. Evaluate and select eligible applicants,
3. Recommend grant recipients and duration to the NCSEAA,
4. Collect and report program data from grantee Provider agencies,
5. Evaluate grantee Provider agencies for grant renewal,
6. Provide technical assistance to grantee Providers 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 3** 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 annual evaluation reports collected by GrantProse from each Provider agency. HPU, NCSU, SREC and WCU noted one or more revisions to their program goals for the 2018-19 year.

TABLE 3. PROGRAM GOALS AND MODIFICATIONS		
Program	Original Goals	Revisions or Refinements
HPU	HPULA will recruit and select two cohorts of 20 program participants. Each participant will complete 36 credit hours and a 6-month full-time clinical internship in one of seven partnering districts, graduating with an alternative license in administration, preparing them to lead in high need schools.	2016-17: Reduction from 40 to 30 participants and addition of participants earning MEd in administration. 2017-18: No change 2018-19: HPU will serve a total of 33 participants in the 2018-20 funding cycle.

¹¹ This section corresponds to NCSEAA Report Questions 1 & 2 seen in Exhibit B also submitted with this annual report: (1) *What were the original goals and expectations for the activity supported by this grant?* (2) *If applicable, how have those goals and expectations been revised or refined during the course of the project.*

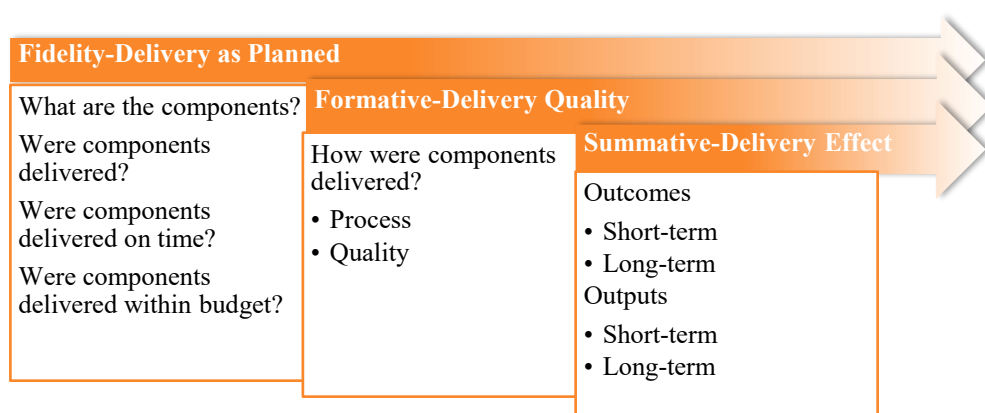
Program	Original Goals	Revisions or Refinements
NCSU	NCLA will recruit and select one cohort of 18 program participants. Each participant will complete 42 credit hours and a 10-month full-time clinical internship in one of three partnering districts.	2016-17: The program selected 20 individuals to participate rather than 18. 2017-18: No change 2018-19: The program expectations have changed per new legislative guidelines. (Also, the two TPP programs NCSU operated during the 2016-18 funding cycle (DPLA and NCLA) have been combined into a single program.)
SREC	SLP will recruit and select two cohorts of 13-18 program participants. Each participant will complete 18 credit hours and a five-month full-time clinical internship in one of 13 partnering districts.	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. 2017-18: Recognizing a 10-month internship with strong coaching and mentorship would be better preparation for administrative roles, the program began working with UNCP on any related issues regarding courses that would prohibit a 10-month internship. 2018-19: We had anticipated including two cohorts during this period with one 5-month internship during the Fall semester (August-January) and the second during the Spring semester (January-June). However, funding did not allow for required intern salaries, so Cohort III is completing its internship in Fall 2018 and Cohort IV will complete its internship in Fall 2019.
UNCG	PPEERS will recruit and select two cohorts each with 10 program participants. Participants will complete 42 credit hours and a 10-month full-time clinical internship in one of twelve partnering districts.	2016-17: While UNCG selected 20 participants, all participants are part of a single cohort, rather than two cohorts of 10 participants each. 2017-18: A single cohort of 22 participants will be selected. 2018-19: No change reported.
WCU	NCSELP will recruit and select two cohorts of program participants. There will be 40 participants in the first cohort and 24 in the second. Each participant will complete 36 credit hours and a 10-month full-time clinical internship in one of 18 partnering districts.	2016-17: With the expectation for full-time, fully released, 5-month internships, nearly all of the year two funds will be spent on supporting that expectation. Therefore, only 10 participants will be supported by TPP funding. 2017-18: No change 2018-19: Since we have increased funding, we are doing MORE with our original budget line items (ex. coaching, mentoring, conferences, etc.), but we are not implementing many new things. Changes: • Our 10 scholars will serve 10-month internships.¹² • TPP funding will support interns' fringe benefits related to serving in 10-month, full-time internship (salaries supported by MSA Internship funding). If interns earn more than \$39,000 provided by MSA Internship funding, TPP grant will make up the difference, holding interns harmless. • Leadership for Social Justice Institute in Madison • New courses: Leadership for Equity & Social Justice I & II • More robust coaching model (collaborative coaching) including hiring two part-time coaches.

¹² WCU has since added another 3 participants to its 2018-20 program, bringing their total to 13.

EVALUATION MODEL

NCASLD contracted with GrantProse to independently apply a 3-tiered approach to evaluate the performance of: (1) NCASLD, (2) TPP Provider agencies, and (3) TPP program participants. Three forms of evaluation (fidelity, formative, summative) are being used to evaluate NCASLD and the Provider agencies, and two forms (formative, summative) to evaluate the program participants. As shown in **Figure 2** 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 is being used to determine program success, provide in-process review and recommendations, and measure progress toward proposed outcomes.

FIGURE 2. THREE-TIERED EVALUATION MODEL



LOGIC MODEL

In collaboration with NCASLD, GrantProse developed a logic model for second-tier evaluation of the TPP programs that adheres to characteristics of logic models described by the W. K. Kellogg Foundation (2004). 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 3** provides a visual depiction of this updated logic model for the TPP program.

DATA SOURCES

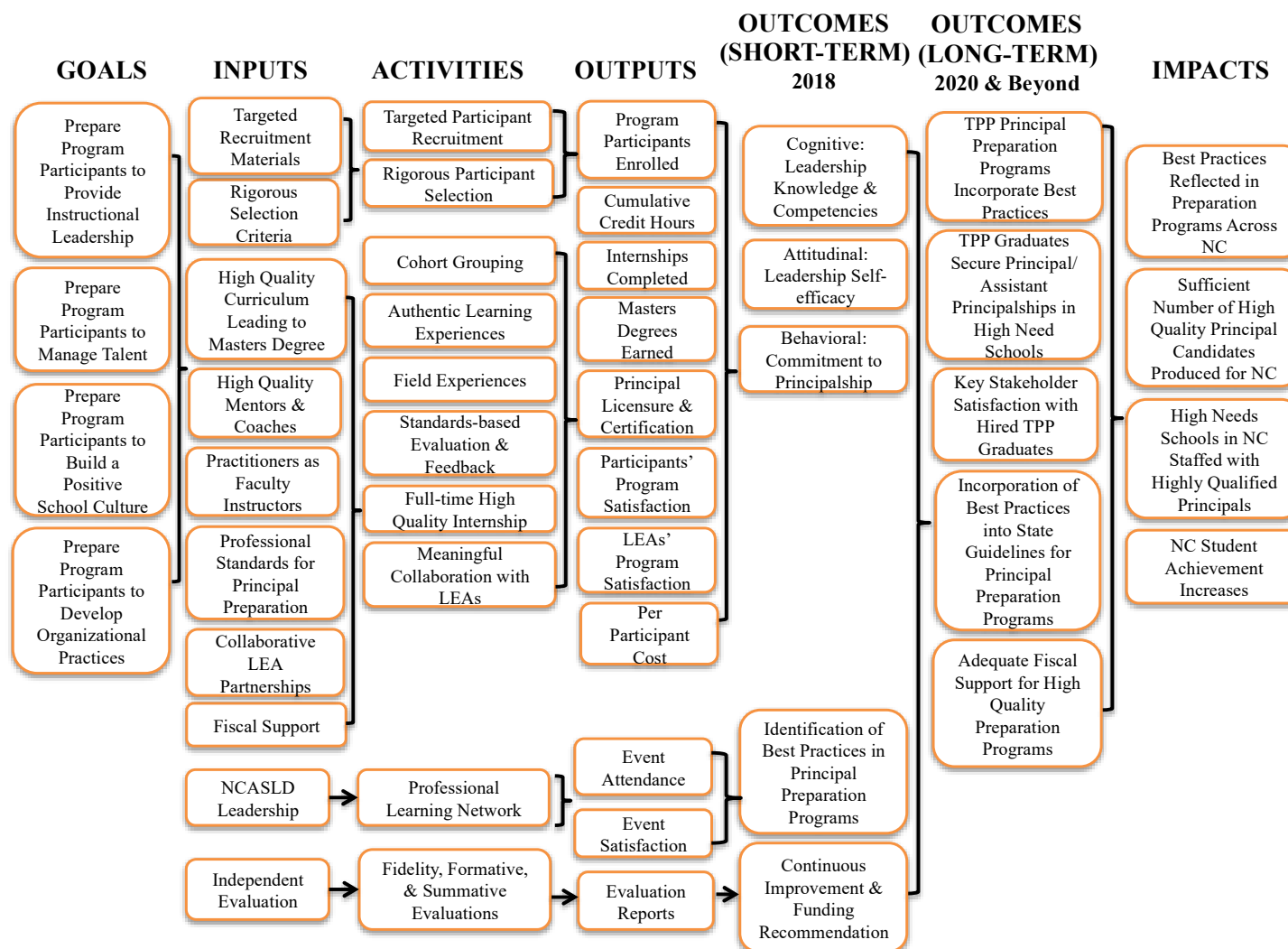
To support Tier I evaluation, GrantProse participates in periodic evaluation meetings and invoice reviews with NCASLD and produces quarterly reports of activities to date.¹³ As part of Tier II evaluation activities, TPP Provider agencies submitted semi-annual performance reports in early 2019 and annual reports in May 2019. GrantProse also conducted observations and interviews during 2018-19 to observe and document program processes and activities.

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

¹³ Please see **Appendices B, D, and G** in the Technical Report for quarterly reports produced in 2018-19.

licensure participants earned, the number of participants earning positions as principals (P) and assistant principals (AP), and the number of P/AP positions at high need schools, among other output and outcome variables. Additionally, program participants completed surveys in the Summer/Fall 2018 and Spring 2019. Data sources for determining long-term impact on outcomes such as student achievement will be collected from datasets maintained by the NC Department of Public Instruction.

FIGURE 3. TPP PROGRAM EVALUATION LOGIC MODEL



ACCOMPLISHMENTS ¹⁴

TIMELINE

The timeline in **Table 4** provides a synopsis of major milestones completed to date in the NCASLD administration and GrantProse evaluation of the TPP program.

TABLE 4. PROGRAM MILESTONES TO DATE	
Date	Activity
Feb 16, 2016	Contract signed with NCSEAA 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 NCSEAA
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 NCSEAA
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	Program participants take part in an online survey
May 22, 2017	NCASLD conducted a one-day summit for Program Directors and selected program participants
May/June 2017	HPULA and SLP began a second cohort of program participants
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.
July 27 & August 23, 2017	NCASLD, GrantProse, and NCSEAA met to develop a plan to produce and organize Measurability Assessment documentation.
August 2017	NCASLD, GrantProse, and NCSEAA developed responses and compiled supporting documentation for the Measurability Assessment submission.
August 28, 2017	NCASLD submitted the Measurability Assessment to PED.
August 2017	DPLA, HPULA (Cohort I), NCLA, NCSELP, PPEERS, and SLP (Cohort I) program participants began full-time internships

¹⁴ 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 4. PROGRAM MILESTONES TO DATE	
Date	Activity
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 New York City Leadership Academy (NYCLA), the first <i>face-to-face</i> Professional Learning Network meeting.
November 6 – December 7, 2017	GrantProse conducted on-site Program Director/team site visits 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.
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.
February/March 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 Rep. 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.
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.

TABLE 4. PROGRAM MILESTONES TO DATE	
Date	Activity
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, and
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 continued to develop electronic surveys for participants to be disseminated in April 2019.
January - March 2019	GrantProse 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 31, 2019	Provider agencies submit TPP mid-year reports.
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, along with NYCLA, a face-to-face Professional Learning Network meeting.
May 2019	Annual evaluation reports submitted by all six programs.
May 2019	GrantProse conducts interviews with Project Directors/Leadership with each TPP Program.
May - June 2019	GrantProse conducts interviews with LEA representatives partnered with TPP Programs.
June 18, 2019	NCASLD hosts, along with NYCLA, a virtual Professional Learning Network meeting for TPP Program Directors and staff.

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 the NCASLD application to be the TPP program administrator. Throughout the 2018-19 year, NCASLD staffing for the TPP program consisted of Dr. Shirley Prince, serving as the program director and committing approximately 50% 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. Jamie Woodlief (25%) serving as program assistant. Additional staffing of the project was supported through the office of the North Carolina Principal and Assistant Principals Association (NCPAPA): Ms. Katherine Joyce and Ms. Katrina Harrell. The two individuals with NCPAPA each contributed less than 5% time/effort during the 2018-19 year.

Financial Accounting System

NCASLD has provided GrantProse with invoices that NCASLD submits to NCSEAA for expenses associated with administering the TPP Program. Along with expenses associated with NCASA and NCPAPA staff time/effort, NCASLD also incurred expenses for varied contracts, services, materials and supplies. Two of the larger contracts were with GrantProse, Inc. for program evaluation services (\$140,000) and the New York City

Leadership Academy for services in support of the NCASLD Professional Learning Network (\$35,000). **Table 5** summarizes NCASLD expenses for the 2017-18 and 2018-19 years, as reported by NCASLD to GrantProse.

TABLE 5. NCASLD EXPENSES FOR 2017-18 AND 2018-19		
Expense Category	2017-18 *	2018-19 *
Contractor Services	\$293,903.43	\$295,113.65
Facilitator Services	\$42,000.00	\$34,118.74
Legal	\$4,638.33	\$4993.95
Supplies	\$655.54	817.04
Travel	\$2,378.99	\$2,306.51
Venue	\$4,675.88	\$2,450.68
Catering	NA	\$2,581.04
F&A	\$16,102.99	\$16,204.45
TOTAL	\$364,355.16	\$358,586.06

* Note: NCASLD expenses noted in Table 5 for June of each year were projections submitted to NCSEAA mid-June.

NCASLD experienced a turnover in their accounting services during the 2018-19 year and there was a period of adjustment as the new accountant learned the NCASLD system. Accordingly, GrantProse observed an inconsistent use of budget categories from one invoice to the next in the 2018-19 year, with similar expenses sometimes being charged to different line items. With only minor changes to how line items are used, considerable improvement can be made to how budget expenses are categorized by their purpose on the invoices submitted to NCSEAA, such as the following:

1. Contractual expenses for staff/time effort could be separately categorized for NCASA and NCPAPA,
2. Contractual expenses for GrantProse could be separately categorized,
3. Contractual expenses for NYCLA could be separately categorized,
4. Travel expenses could be distinguished with individual line items by person for NCASA/NCPAPA staff, while a separate line item could be used to record travel expenses for other individuals.

Creating a well-defined set of budget categories and definitions for individual line items such as recommended in the bullets above will help to reduce or eliminate such errors. Also, adhering to a system of internal checks/balances whereby an existing member of the NCASA/NCPAPA staff reconciles expenses recorded on each invoice to the documentation for each expense will further reduce or eliminate such errors.

In the 2016-17 year, TPP 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. 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 TPP funds. GrantProse continued to support this function in the 2018-19 year. The backup documentation from Providers sometimes consists of hundreds of pages. Although the documentation is extensive, the information that GrantProse can collect from this documentation is helpful to identify differences and unique features among the TPP programs. Also, apparent errors or omissions in the Provider agency invoices that GrantProse noted were shared with NCASLD administrators, and NCASLD has worked with the Provider agencies throughout the 2018-19 year to correct any such errors.

Program Oversight

During the 2018-19 reporting period, NCASLD has undertaken key activities in the oversight of the TPP 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) Evaluating Provider agencies for grant renewal. 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 mid-year reports submitted by the Provider agencies are summarized in a separate report found in **Appendix C** of the Technical Report). Project Directors at the Provider agencies also participated in end-of-the-year interviews, and findings of these interviews are discussed in **Appendix H** found in the Technical Report. And, the Provider Agencies submitted end-of-the year reports in Spring 2019; these are discussed within this annual report.

B. Provide technical assistance to grantee Provider agencies

NCASLD provided ongoing technical assistance to the TPP Provider agencies during this third 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 five Providers. Examples of this assistance include:

- Assist TPP Providers to finalize contracts for the 2018-20 performance period,
- Work with TPP Providers to ensure budgets are reasonable, allowable, and allocable,
- Negotiate changes to the NCSU budget and contract with NCSEAA,
- Address questions TPP Providers raise regarding how carry-over funds may be used,
- Establish an electronic reporting system to facilitate TPP Providers' invoicing procedures,
- Resolve issues with UNCG pertaining to how state MSA funds can be accessed,
- Clarify expectations with SREC for the number of TPP participants,
- Participate in legislative meetings with NC legislators, BEST NC, and NCSEAA regarding the merger of principal preparation programs,
- Keep TPP Providers informed of latest legislative developments associated with the TPP Program, and
- Support TPP Providers with budget development for the 2019-20 year, among other forms of technical assistance.

C. Establish and convene a statewide Professional Learning Network

During 2018-19, NCASLD continued to hold Professional Learning Network meetings, which are summarized below. These included three in-person and three virtual meetings.

October 2, 2018. NCASLD, with consultation from the New York City Leadership Academy (NYCLA), held an in-person meeting of the Professional Learning Network (PLN) October 2, 2018. The meeting took place at the NCSU's Friday Institute for Educational Innovation. The goals of the meeting were to kick off the PLN work for 2018-19, review and discuss GrantProse recommendations for the year, provide opportunities for team-based work time and cross-team sharing to encourage collaboration, and provide updates on TPP budget requirements and the funding cycle. Background information on the Measurability Assessment recently completed by NCASLD, the GrantProse evaluation plan for 2018-19, and the schedule of PLN meetings for the year were also shared. Not counting the presenters and GrantProse staff, there were 22 individuals in attendance representing all five TPP Providers. GrantProse produced an observation report for the day (see Technical Report **Appendix L** for this observation report).

January 15, 2019. NCASLD hosted, along with NYCLA, a second in-person PLN meeting which was held on January 15, 2019. The meeting took place at UNCG's Elliot University Center. The principal topic for this

meeting was on preparing principals to advance equity in our schools. Not counting the presenters and GrantProse staff, there were 16 individuals in attendance representing all five TPP Providers. GrantProse has produced an observation report of this meeting. (See Technical Report **Appendix M** for this observation report).

April 2, 2019. NCASLD hosted a third in-person meeting of the PLN in collaboration with NYCLA April 2, 2019, at the University of North Carolina Chapel Hill Center for School Leadership Development. The principal topic for this meeting was developing an understanding of effective mentoring practices. Not counting the presenters and GrantProse members, there were 28 individuals in attendance representing all five TPP Providers including a number of principals who had served or were serving as mentors. GrantProse produced an observation report of this meeting. (See Technical Report **Appendix N**).

Table 6 provides results of the survey that PLN participants completed at the end of each in-person meeting, expressing their level of satisfaction with varied features of the program that day. The table indicates the participants rated the January and April sessions more favorably than the October session (although the small number of respondents in October may have skewed results), possibly because the latter two sessions were focused on single topics related to practice while the first session was more administrative in nature.

TABLE 6. RATINGS GIVEN BY TPP ATTENDEES AT THE PLN MEETINGS			
Survey Question (5-point Likert Scale)	Percentage Responding Agree + Strongly Agree to Question		
	10/2/2018 Mtg N = 6	1/15/2019 Mtg N = 14	4/2/2019 Mtg N = 14
This PLN had clear objectives	83%	100%	100%
This PLN was relevant to my professional needs	67%	100%	100%
This PLN was led by effective facilitators	100%	100%	100%
This PLN was well structured	67%	100%	100%
This PLN provided me with useful resources	67%	100%	95%
This PLN was engaging	83%	100%	100%
This PLN included adequate opportunities for participants to consider applications to their own professional practice	67%	100%	90%
This PLN was of high quality overall	67%	100%	95%

Along with the three in-person PLN meetings, NCASLD also conducted three virtual PLN meetings with participants calling in to an online meeting service. The virtual meetings had the following agendas:

December 10, 2018. The agenda for this virtual meeting included: a) Review new TPP budget criteria and revisit a collective policy recommendation around “releasing” program graduates from their commitment to serve in a program partner district, and b) Cross-Program Sharing: Strengthening Principal Preparation Coursework, TPP Successes and Challenges to Date.¹⁵

March 20, 2019. The agenda for this virtual meeting included: a) What are your expectations of interns within the first couple weeks of the internship in terms of how they use their time? and b) What major projects/assignments are interns expected to complete during the internship (e.g., change leadership project, designing and implementing PD, etc.)?

¹⁵ Participants in the 12/10/18 virtual PLN meeting were encouraged to review the *Principal Preparation Program Self-Study Toolkit* produced by the Educational Development Center and the Wallace Foundation found at https://www.edc.org/sites/default/files/uploads/QM%20Toolkit%2010th%20Edition_EDITED_052418_FINAL%20CK.pdf

June 18, 2019. The agenda for this virtual meeting included, a) Reflections on 2018-19, and b) Building district/system practice around school leadership preparation and support.¹⁶

D. Evaluate grantee(s) for grant renewal

The original five TPP Provider institutions operating in the 2016-18 funding cycle were all recommended to continue operations in a second funding cycle for the 2018-20 period. All five programs recruited and selected a new cohort of participants for the 2018-20 period who are now completing their first year in the program.

NCASLD and GrantProse continue to refine the 3-tier evaluation described in the previous section of this report.

¹⁶ Participants in the 6/18/2019 virtual meeting were encouraged to review *Principal Pipelines: A Feasible, Affordable, and Effective Way for Districts to Improve Schools* produced by the Rand Corporation found at <https://www.wallacefoundation.org/knowledge-center/Documents/Principal-Pipelines-A-Feasible-Affordable-and-Effective-Way-for-Districts-to-Improve-Schools.pdf>

TIER II EVALUATION: PROVIDER AGENCIES

GrantProse Tier II evaluation activities during 2018-19 are summarized in **Table 7** below and discussion of these evaluation activities follows.

TABLE 7. GRANTPROSE TIER II EVALUATION ACTIVITIES: 2018-19						
Evaluation Activity		TPP Program				
		HPU	NCSU	SREC	UNCG	WCU
A. Program Observations		11/16/18	10/3/18	10/24/18	11/6/18	12/1/18
		11/17/18	11/28/18	11/28/18	11/13/18	12/11/18
		3/1/19	2/11/19	2/11/19	2/5/19	2/23/19
		3/2/19	2/25/19	3/18/19	2/26/19	2/23/19
B. Surveys	Program Participants	5/18	5/18	6/18	8/18	7/18
C. Interviews	Project Directors	5/29/19	5/17/19	5/30/19	5/23/19	5/21/19
	Project Faculty	3/1/19	2/11/19	2/11/19	2/5/19	2/23/19
		3/2/19	2/25/19	3/18/19	2/26/19	2/23/19
	LEA Representatives	5/19	5/19	5/19	5/19	5/19
D. Program Mid-Year Reports		10/27/18	11/1/18	11/5/18	11/1/18	10/29/18
E. Program Annual Reports		5/9/19	5/30/19	5/31/19	5/31/19	5/20/19
F. 2018-19 Secondary Budgetary Analyses		Ongoing with all TPP Programs				
G. Developments in the Research Design		Ongoing with all TPP Programs				

A. Program Observations

During this reporting period, GrantProse staff conducted four observations of each program's classroom learning activities (20 observations total), as listed in **Table 8** below. See **Appendix K** of the Technical Report for the full report on these observations. Project Directors from each program provided GrantProse staff with a list of upcoming learning activities from which to choose and then facilitated scheduling details. The activities observed ranged from in-class presentations from expert practitioners to week-long institutes.

The observers noted that classes and activities were conducted with a seriousness of purpose: participants came early, sessions started on time, participants were well prepared, discussions were intense, breaks were few and short, participants generally continued discussions during breaks, sessions continued until and past their scheduled ending time. Classes focused on real life examples and day-to-day school building level administrator responsibilities such as teacher evaluation, facilitating development of a school improvement plan, fostering effective professional learning communities, policies and procedures for dealing with crises, and working with parent run booster organizations (e.g. for school band and athletic teams). Innovative content and delivery methods required high levels of student engagement. Frequent use was made of guest speakers with specific expertise in areas such as school law, human resources, and students with disabilities. Evaluators also observed multiple student presentations; these were generally professional, providing evidence of extensive research and preparation as well as well-developed skills for presenting to an adult audience. In all of the activities observed, the high caliber of students in these programs was exhibited by their apparent by their demonstrated high energy, engagement, seriousness of purpose, and professionalism. Overall, these observations provide evidence that TPP courses and activities across the five TPP programs 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.

TABLE 8. GRANTPROSE OBSERVATIONS OF TPP PROGRAMS			
TPP Program	Date	Location	Activity Observed
HPU	11/16/18	Stout School of Education	Course session: Implementing Distributed Leadership for Teacher Empowerment
	11/17/18	Stout School of Education	Course session: Developing Leaders in 21 st Century Systems
	3/1/19	Stout School of Education	Course session: Implementing Distributed Leadership for Teacher Empowerment
	3/2/19	Stout School of Education	Course session: Recruiting and Retaining Teachers
NCSU	10/3/18	A. B. Combs Elementary	School site visit and walkthrough
	11/28/18	WCPSS Crossroads Bldg	Course session: School-Based Planning Management & Evaluation
	2/11/19	WCPSS Crossroads Bldg	Course session: Data
	2/25/19	Friday Institute at NCSU	Course session: Context and Challenges of School Improvement
SREC	10/24/18	Cumberland County Education Resource Center	Synergy session
	11/28/18	Moore County Board of Ed	Synergy session
	2/11/19	Sandhills Community College	Course session: Leveraging Stakeholders' Involvement for School
	3/18/19	Sandhills Community College	Course session: Legal Aspects of Educational Leadership
UNCG	11/6/18	Gateway Education Center	Course session: The Principal Class
	11/13/18	Gateway Education Center	Course session: The Principal Class
	2/5/19	Gateway Education Center	Course session: Cultural and Political Dimensions of Schooling
	2/26/19	Gateway Education Center	Course session: Leadership of Rural Schools
WCU	12/1/18	Biltmore Town Park, WCU	Course session: Leadership for Equity & Social Justice
	12/11/18	Virtual Meeting	TPP Scholars End of Semester Meeting
	2/23/19	Biltmore Town Park, WCU	Course session: School Law
	2/23/19	Biltmore Town Park, WCU	Course session: History, Sociology, and Philosophy of Education

At the end of each observation, the GrantProse observer rated her level of agreement with the statement *“Participants were actively engaged in the activity”* on a scale of 1 (Strongly Disagree) to 4 (Strongly Agree). In all but two observations, the activities were rated as 4 (‘Strongly Agree’); the other two ratings were 3 (‘Agree’). The observers also rated their level of agreement with the statement *“Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader”* using the same 1 to 4 scale. In all but seven observations, the activities were rated as 4; the seven other ratings were 3. In summary, the program participants attending each observed activity were actively engaged and, based on the questions posed and discussion, appeared to understand the activity’s relevance and importance to the duties of school leaders.

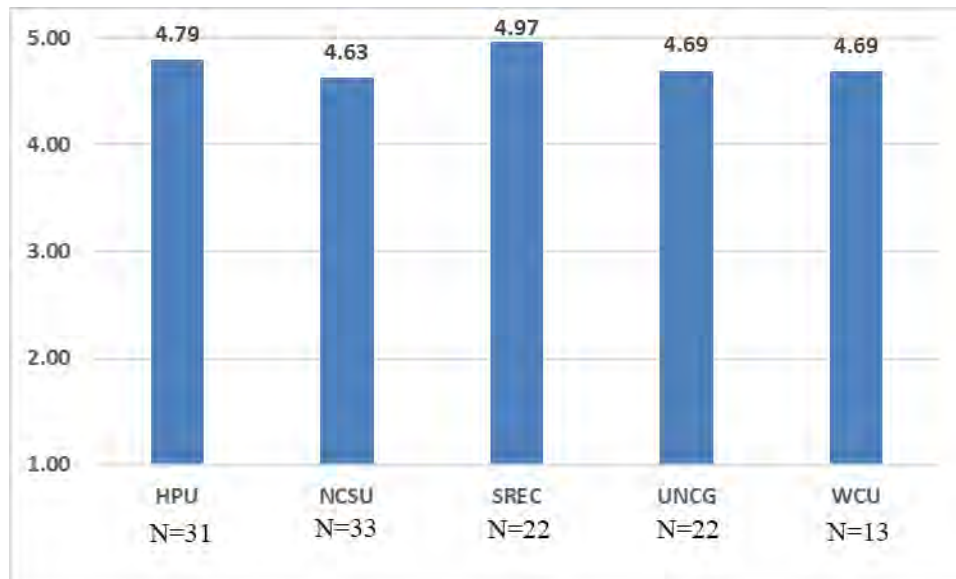
B. Surveys

TPP participants in the second funding cycle for the 2018-20 performance period completed two surveys constructed in part to collect pre-post measures of change on their self-reported commitment to becoming a principal, their self-reported knowledge and competency with the NC Standards for School Executives, and their self-reported confidence that they can be successful as a school administrator. Results on the pre-post measures for TPP participants are discussed in Tier III of this report. The post-survey, administered in the Spring 2019, also included three attitude scales and two open-ended questions measuring participants’ perceptions of their TPP Program. The three scales measured perceptions of the, a) cohort model, b) university coursework, and c) support

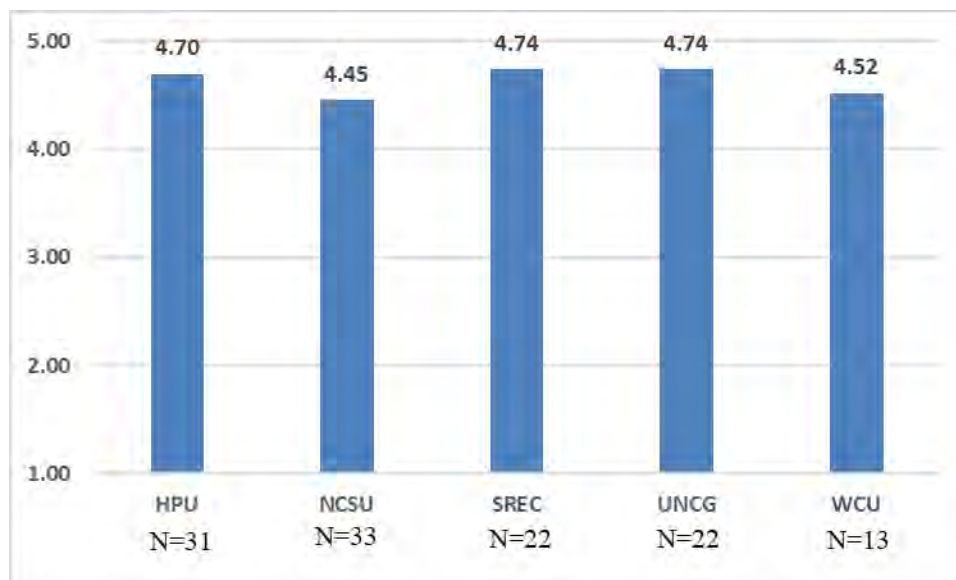
provided them by the executive coaches. In general, the SREC program scored strongest on the three scales, possibly due in part to how many SREC participants would be near completing their 1-year program. Findings from the post-survey associated with these three attitude scales are reported here.

Perceptions of the Cohort Model. The survey included four Likert-scale items measuring participant attitudes towards their cohort. The items were scored on a 5-point scale with 1 representing ‘Not at all true’ and 5 representing ‘Very true.’ Responses at the high end (i.e., 4 or 5) suggested the respondent held a positive attitude towards best practices associated with implementing a cohort model (i.e., *My program cohort serves as a source of social and professional support*). Respondents’ scores on the four items were totaled and averaged for each respondent to produce a scale score, and **Figure 4** depicts the average of all respondents’ scale scores for each TPP Provider. Generally, averages are high for all TPP Providers, but SREC is especially notable. With 22 SREC respondents, there was only one respondent who rated one of the four survey items with anything less than 5.

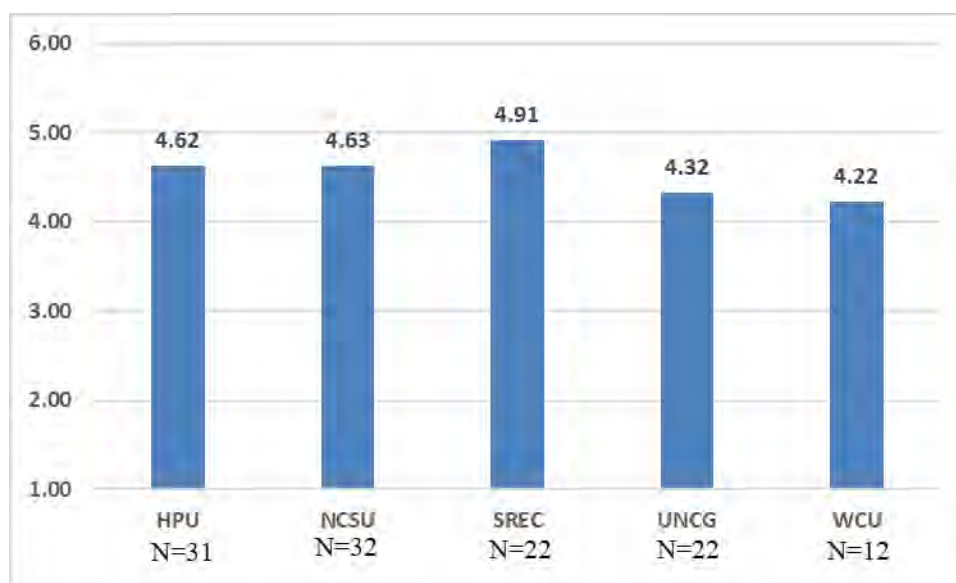
FIGURE 4. PARTICIPANTS’ PERCEPTIONS OF THE COHORT MODEL AT THEIR TPP PROGRAM



Perceptions of the University Coursework. The survey included eight Likert-scale items measuring attitudes towards the university coursework. The items were scored on a 5-point scale with 1 representing ‘Not at all true’ and 5 representing ‘Very true.’ Responses at the high end (i.e., 4 or 5) suggested the respondent held a positive attitude towards best practices associated with the conduct of their university coursework (i.e., *My coursework is comprehensive and provides a coherent learning experience*). Respondents’ scores on the eight items were totaled and averaged for each respondent to produce a scale score, and **Figure 5** depicts the average of all respondents’ scale scores for each TPP Provider. SREC, UNCG and HPU scored strongest on this scale.

FIGURE 5. PARTICIPANTS' PERCEPTIONS OF THE UNIVERSITY COURSEWORK AT THEIR TPP PROGRAM

Perceptions of Executive Coaching Supports. The survey included three Likert-scale items measuring attitudes towards the executive coaching supports provided to participants. The items were scored on a 5-point scale with 1 representing 'Not at all true' and 5 representing 'Very true.' Responses at the high end (i.e., 4 or 5) suggested the respondent held a positive attitude towards best practices associated with the coaching (i.e., *My leadership coach is an experienced educator with an understanding of and expertise in effective school practice*). Respondents' scores on the three items were totaled and averaged for each respondent to produce a scale score, and **Figure 6** depicts the average of all respondents' scale scores for each TPP Provider. SREC's average score on this scale is markedly higher than the other programs.

FIGURE 6. PARTICIPANTS' PERCEPTIONS OF SUPPORT PROVIDED BY THE EXECUTIVE COACHES

The post-survey also included two open-ended questions and content analyses that were conducted with these questions identified topics of common interest to multiple individuals as described here.

Q. Overall, what do you think the program does best to prepare you to become an effective principal?

Respondents' answers to this question generally fell in a number of broad categories with the most common response being that the TPP Program gave them practical, real-world and/or authentic experiences associated with being a school leader. At least 30 individuals alluded to this in one manner or another. Closely aligned with this response, a number of the respondents commented on how the program blended theory (i.e., the coursework) and practical experiences together well. Other features of the program that were mentioned by multiple respondents included:

- a) The program and/or reflections helped them grow in their self-understanding (at least 20 respondents),
- b) The cohort structure and/or ability to collaborate with colleagues was a positive feature (at least 17 responses),
- c) There was good opportunity to learn from guest speakers, site visits, and/or conferences attended (at least 13 responses), and
- d) Coaches provided them with good support (at least 10 responses).

A number of individuals commented upon the ability to build linkages to and/or network with other professionals. Other positive features of the program that were commented upon multiple times included the faculty and alignment with the NC Standards for School Executives.

Q. Overall, what do you think the program could do to improve its ability to prepare effective principals? The most common response to this question for 51 (41.8%) of the 122 respondents was that the item was left blank, the individual commented 'nothing', or made a comparable statement that the person could think of no improvements to suggest. Many of these individuals commented that they believed the program was being well implemented. Others who did offer suggestions for improvements included:

- a) Many of the individuals commented on how the coursework could be restructured, for instance to better align with their internship, to reduce redundancy in material being covered in different courses, to reduce the focus on theory and increase focus on more practical issues including simulations (e.g., busing, evaluating staff, writing a needs assessment, increase focus on curriculum, etc.), or to reduce the extent of online instruction and increase face time with instructors, among other issues. A few were critical of the faculty teaching one or another course and a few commented on the burden of taking a full load of courses while also working full time.
- b) Along with improvements to their coursework, individuals also commented on general organizational issues such as clarifying expectations for their portfolio, improving communications about the course sequence, having building principals conduct school tours, improving the understanding their Executive Coaches have of the coursework, permitting the participant to be involved in the decision where the internship will be conducted, increasing the focus on roles/responsibilities of the assistant principal (compared to the principal), and creating opportunities to collaborate with participants in the other TPP Programs.

More specific suggestions of improvement included:

- a) Eleven individuals commented that they would like more feedback on their performance and/or assignments, usually from their faculty instructors but also other program leaders.

- b) Two topics that multiple individuals indicated they needed more instruction on were legal issues mentioned by 6, and budgeting issues mentioned by 5.
- c) A couple individuals commented that they would like greater exposure to more varied educational settings as well as educational staff including non-instructional staff.

See **Appendix I** in the Technical Report for the full report on these surveys.

C. Interviews

During the 2018-19 year, GrantProse staff conducted interviews with three populations: 1) TPP Project Directors overseeing the TPP Program, 2) university faculty teaching one or more of the courses in the TPP curriculum, and 3) LEA representatives partnering with one or more of the TPP Programs. Interviews were conducted in person with the project directors and faculty and over the phone with the LEA representatives. Summaries findings from the interviews are reported below.

Project Directors Interviews. Interviews were conducted with Project Directors at the five TPP Programs and others involved in leadership roles. One program had one individual interviewed, while the other four programs had two to four members of the leadership team interviewed. The interview protocol included thirteen questions asking the interviewee to rate (on a scale of 1 = ‘unable’ to 7 = ‘able’) the level to which the program was able to implement an identified best practice in preparing program participants for school leadership positions. The set of best practices were those which GrantProse has previously described. These rating scale questions were followed by open-ended questions regarding best practice implementation examples, challenges, and potential for sustainment without TPP grant funding. Additional questions requested interviewees to reflect on features distinguishing their program from other traditional programs, significant interactions with program participants and partnering LEAs, and the most important factors contributing to program success. Another question asked interviewees to rank order the top five best practices in their preparation of school leaders.

Overall, the program leadership report that TPP programs are able to implement the identified best practices to a high degree (average of all ratings = 6.7, range 5 to 7). The ability to provide high quality Executive Coaches to support program participants was rated highest across all programs (with a perfect average of 7.0), while the ability to recruit a large and diverse pool of applicants to participate in the program was rated lowest across programs although this was still quite high (average = 6.23, range 5 to 7).

Interviewees provided numerous examples of implementing the best practices, such as providing leadership for administering and managing the program, developing strong partnerships with LEAs, selecting high quality program participants using rigorous criteria, implementing a cohort model, supporting participants financially with program expenses, implementing rigorous coursework aligned with leadership standards, organizing high quality internships with strong mentoring principals, carrying out continuous improvement activities, providing extra-curricular enrichment activities and high quality executive coaches, and emphasizing practices associated with equity principles in education as well as those associated with providing high quality education in high need school environments.

Interviewees also identified challenges to implementation such as limited time and resources, turnover in LEA partner staff, fewer high quality applicants than needed, and significant time investment needed to establish and maintain positive LEA partnerships. Interviewees were also asked to assess the potential for implementation of the identified best practices without continued TPP funding and generally reported most practices are not sustainable without funding or possibly sustainable but at a lower level of intensity or rigor.

When asked to identify the five best practices most important to their program success, 10 of the interviewees selected executive coaching, 9 selected LEA partnerships, 8 selected full-time internships with embedded mentoring from high quality principals, 7 selected rigorous and authentic coursework aligned to NC Executive Leadership Standards, and 7 selected selecting program participants using rigorous criteria. Among the least selected best practices, 1 interviewee selected targeted or wide recruitment of diverse applicants, 1 selected continuous improvement, 2 selected program leadership, and 2 selected providing extra-curricular activities.

Please see **Appendix H** in the Technical Report for the full GrantProse report on these interviews with TPP Program leaders.

University Faculty Interviews. Nine faculty members were interviewed during February and March of 2019. The interviews usually took place in conjunction with a class observation. One of the programs had only one faculty member teaching during the observation/interview period; two faculty members were interviewed for each of the other four programs. Of the nine persons interviewed, three were currently serving as K-12 administrators; two of these three were serving in their districts' central offices and one as a school principal. Of the remaining six people interviewed, four had substantial roles in TPP leadership or coaching. All but one of the courses were 3-credit hour courses, the remaining course was 2-credit hours. The majority of the courses were taught in a hybrid format with some combination of face-to-face and online class meetings. The interview protocol included seven open-ended questions as well as some questions about the course format, goals, and objectives. Interviews ranged between 15 and 30 minutes in length, depending on the length of participant responses. Summary findings from the faculty interviews are bulleted here:

- The faculty interviews supported evidence from other surveys, observations, and program director interviews indicating courses are well integrated into programs rather than stand-alone experiences and that TPP program leaders provide close oversight.
- The majority of faculty respondents emphasized experiential learning and practical real-world assignments to develop leadership skills.
- The faculty reported close collaboration with TPP program leaders and other faculty in developing their courses.
- All of the faculty respondents viewed their programs as focused on equity and leadership in high need settings.
- All of the programs have actively used multiple feedback mechanisms to inform and improve courses.
- Evidence from the faculty interviews suggests some spread of curriculum and instructional practices from the TPP programs into traditional MSA programs at these same institutions.
- The majority of faculty members interviewed did not think that the course they were teaching required additional funding over what is required for traditional courses. However, several described how additional funding including from the TPP grant, RESAs, and another grant, provided means for students to participate in program activities (e.g., substitute teachers, school walk-throughs, conferences, guest speakers, simulations) upon which these courses draw.

Overall, interviewee responses provide evidence that TPP 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. See **Appendix E** in the Technical Report for the full report on the faculty interviews.

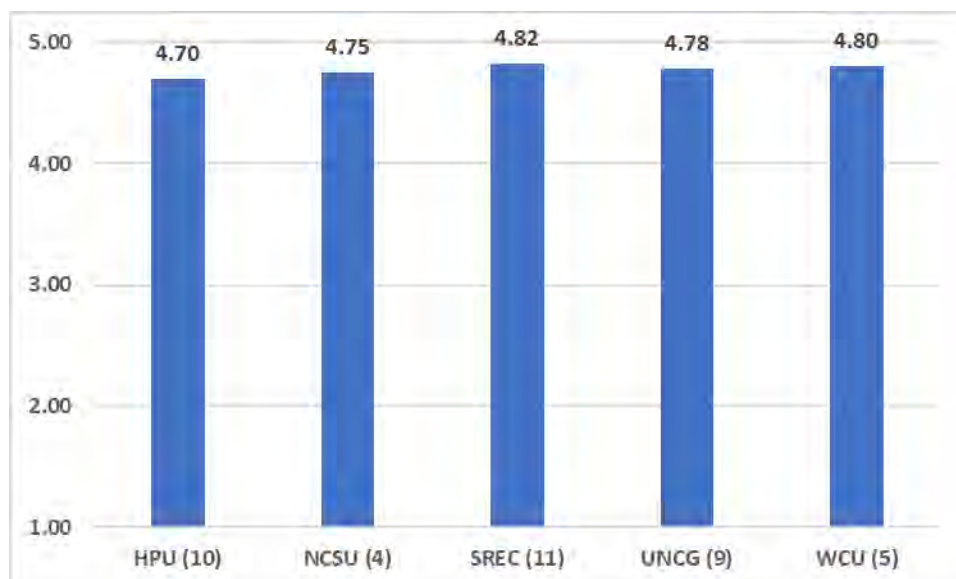
LEA Representative Interviews. Thirty-seven LEA representatives were interviewed by telephone during May of 2019. Three LEAs had partnerships with more than one of the TPP programs therefore the 37 interviews include discussion of 40 partnerships. Program response rates ranged from 57% (NCSU) to 92% (SREC) with an overall response rate of 80%. Of the thirty-seven persons interviewed, seven were the superintendent of their district. The majority of the remainder served in top leadership positions, filling roles such as Director of Human Resources or Assistant Superintendent for Learning and Federal Budgets. One at a charter school was the mentor principal for an intern. Thirty-two of the interviewees had served for at least two years in their LEA; twenty-eight had served five or more years in their LEA. Two mentioned prior contact with their program while serving in another LEA. Thus, the majority of respondents were very familiar with their local leadership needs and challenges. Evidence provided by these interviews supports the following conclusions:

LEA representatives believe the TPP programs to be of high quality and to compare well with other principal preparation programs.

- LEA representatives whose districts have already hired program graduates are very enthusiastic about the performance of these new administrators.
- LEA representatives think the recruitment and selection processes result in selection of high-quality candidates from their districts but they do see ways in which to improve these processes.
- LEA representatives observed that the programs were well aligned with the job skills needed to be a successful principal.
- All of the LEA representatives thought that paying for tuition and salary during the internship was critically important.
- 95% of responses supported a full-year internship.
- Overall, LEA representatives are very satisfied with the TPP programs and with their collaboration with district partners. Rating their level of satisfaction on a 5-point Likert scale, with 5 representing Very Satisfied, that average rating was 4.70 or higher for all five Providers, as depicted in **Figure 7**.

See **Appendix J** in the Technical Report for the full GrantProse report on the LEA representative interviews.

FIGURE 7. LEA REPRESENTATIVES' RATING OF OVERALL SATISFACTION WITH THE TPP PROGRAM



D. Program Mid-Year Reports

Each of the Provider agencies was asked to complete a mid-year report on activities and accomplishments undertaken with State funds during the reporting period of July 1, 2018 through December 31, 2018.

Individualized mid-year report forms were sent to all programs in October 2018, and completed reports were received by November 5, 2018. Provider agencies were asked to update information on funds expended, program goals and expectations, program participant recruitment, program participant progress toward degrees/licensure, program feedback received, self-initiated evaluation activities, program challenges and successes, and future plans. The full GrantProse report of the mid-year reports is provided in **Appendix C** of the Technical Report.

Language in the authorizing legislation related to the key activity of participant recruitment is found in NC S. Law 2015-241 at Section 11.9.f (Item 2a), indicating programs will implement “*a proactive, aggressive, and intentional recruitment strategy.*” While each program began active recruitment for their most recent cohort(s) at different times as indicated in **Table 9**, all five programs instituted active recruitment and selection strategies with high levels of LEA involvement.

TABLE 9. PROGRAM RECRUITMENT TIMELINE FOR 2018-20 CYCLE	
Program	Initiated Recruitment
HPU	Cohort III—Jan 2-Feb 9, 2018; Cohort IV—Sept 4-Oct 8, 2018
NCSU	July 2017
SREC	October 2017
UNCG	April 2018
WCU	December 2017

Table 10 provides a summary of the recruitment strategies and associated activities utilized by the programs in recruiting program participants.

TABLE 10. RECRUITMENT STRATEGIES & ACTIVITIES															
Program	Established reputation	Brochures & info materials	Website information	Email blasts	Local, state, & national presentations	Media coverage, press releases, promo videos	Collaboration with LEAs	Tapping process in LEAs	LEA information sessions	LEA updates/emails	Superintendent endorsement	Superintendent meeting updates	School board presentations	Partnerships with organizations	Other*
HPU	X	X	X	X			X	X	X	X	X				
NCSU	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
SREC	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
UNCG	X	X	X	X	X	X	X	X	X	X	X		X		
WCU	X	X		X	X	X	X	X		X	X	X		X	X
* Other: NCSU used principals to identify individuals with high leadership potential; WCU provided LEAs with a rubric for applicant qualification and faculty verified qualifications via committee (that included LEA leaders) and selection criteria.															

The number of initial applicants received and accepted by each program as a result of these recruitment strategies for the 2018-20 performance period is presented in **Table 11**, indicating 107 (48%) of approximately 223 applicants to the program were accepted for enrollment.¹⁷

TABLE 11. PROGRAM APPLICATIONS RECEIVED AND ACCEPTED	
Program	Applications Received
HPU	Cohort III—80 attended info sessions, 30 were accepted for Assessment Day and 17 were accepted in the program for Cohort III.
NCSU	Applications received = 92 and 34 applicants were accepted.
SREC	Approximately 60 applicants with 24 being accepted.
UNCG	District partners received a total of 31 applications for Stage 1. Twenty-five PPEERS candidates who scored the highest by the District Selection Committee on a rubric moved to Stage 2 and submitted complete applications to UNCG. From the 25 candidates who proceeded to Stage 2, 22 applicants were accepted.
WCU	District leaders chose (“tapped”) candidates in their leadership pipeline who met the qualifications. WCU faculty verified qualifications via committee (that included LEA leaders) and selection criteria resulted in 10 applicants being accepted in the program

In order to address NC S. Law 2015-241, Section 11.9.f (Item 2b), programs are to implement “*rigorous selection criteria based on competencies that are predictive of success as a school leader.*” **Table 12** presents a summary of the selection criteria and processes the Provider agencies reported they applied in selecting the most recent successful applicants for each program.

TABLE 12. PROGRAM SELECTION CRITERIA AND PROCESSES														
Program	Selection Criteria and Processes													
	Application Form	Resume	Letters of Recommendation	Purpose Statement/ Letter of Interest	Writing Sample/ Educational Essay	Master’s Degree with Minimum 3.0 GPA	Superintendent Nominations	Homework Assignment	Self-Assessment Surveys	Assessment Day	Q&A Sessions & Interviews with Panel of LEA Reps	One-on-One Interviews	Stated Commitment to Transforming Schools	Other
HPU	X	X	X	X	X	X	X	X	X	X	X	X	X	
NCSU	X	X	X	X	X	X	X	X	X	X	X	X	X	
SREC	X	X	X	X	X		X	X		X	X	X	X	
UNCG	X	X	X	X	X			X	X	X	X		X	
WCU	X	X	X	X		X	X						X	X
<i>Other: WCU included an orientation toward leadership for equity and social justice.</i>														

The recruitment and selection strategies utilized have resulted in full enrollment. **Table 13** provides information on the number of program participants currently enrolled in each program. The five programs initially enrolled a total of 128 participants, which is 8 more than the 120 participants the programs enrolled in the first funding

¹⁷ The 107 number does not include another 16 candidates that HPU enrolled for its Cohort IV which started university coursework in the Spring 2019 semester, nor 2 additional participants that SREC later added to its Cohort III, nor 3 additional participants that WCU later added to its Cohort 2. In total, there were 128 participants selected across all programs and 127 continued in active enrollment throughout the 2018-19 year.

cycle. Upon being enrolled and beginning to attend university classes, only one individual is known to have withdrawn from any of the TPP programs at the time of this report.

TABLE 13. CURRENT ENROLLMENT BY PROGRAM

Cohort	Program				
	HPU	NCSU *	SREC	UNCG	WCU
Cohort II	N/A	33	N/A	22	13
Cohort III	17	N/A	13	N/A	N/A
Cohort IV	16	N/A	13	N/A	N/A
Total	33	33	26	22	13

** Note: NCSU initially enrolled 34 individuals; however, one individual is known to have withdrawn from the program.*

Information on the overall racial and ethnic demographics of the selected program participants is presented in **Table 14**. Participants across the five programs in the 2018-19 funding cycle are predominantly female (67.3%) and White (73.8%). While the 67.3% of females in this second funding cycle is similar to the 66.4% in the 2016-18 funding cycle, the 73.8% of Whites in this second funding cycle is almost 10 percentage points higher than the 64.2% in the first funding cycle.

TABLE 14. AGGREGATED RACIAL/ETHNIC DEMOGRAPHICS OF PARTICIPANTS

Racial Categories	Ethnic Categories				
	Hispanic or Latin(x)		Not Hispanic or Latin(x)		Total
	Female	Male	Female	Male	
American Indian/Alaska Native				1	1
Asian				2	2
Native Hawaiian or Other Pacific Islander					
Black or African American			24	7	31
White	1	1	65	24	91
More than One Race					
Unknown/Not reported			2	1	3
Total	1	1	91	35	128

To address NC S. Law 2015-241, Section 11.9.f (Item 2j), TPP programs are to establish “*relationships...with affiliated local school administrative units*” and **Table 15** presents information on the source LEAs for enrolled participants in each program.

The legislation also emphasizes that TPP programs should have “*A proposed focus on and, if applicable, a record of serving high-need schools, high-need local school administrative units...*” 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. This legislation had not been passed at the time the TPP programs were recruiting and selecting participants for the 2018-20 funding cycle however, all programs knew that service to high need schools was an expectation emphasized in the legislation.

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. To participate as a school-wide program, schools must have at least 40% of its student enrollment living in poverty, but there is

apparently no set figure to participate in a targeted assistance program. 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 candidates for high need status are identified, it has a disadvantage in possibly identifying too many schools as high need. Following the GrantProse approach, almost 80% of the schools in the state meet one or more of the four legislative criteria, and 112 of the 115 public LEAs in the state have a majority of their schools meeting these criteria. Please see **Appendix F** in the Technical Report for a report describing how GrantProse determined the high need status of a school, including an Addendum to the report reflecting Senate Bill 227 passed in the summer 2019. Also, see the **Addendum** to this NCSEAA Annual Report for a recommendation that NCSEAA and the TP3 Commission revisit the legislative definition of high need schools to determine how the definition should be interpreted.

Per the GrantProse approach to identifying high need schools, **Table 15** below indicates that 124 (96.9%) of the 128 initial participants in the 2018-20 funding cycle were recruited from high need LEAs.

TABLE 15. SOURCE LEAS FOR PARTICIPANTS AND HIGH NEED CHARACTER OF LEAS				
Program	Total # Enrolled	Source LEA	# Participants	Majority of Schools in LEA Meeting GrantProse Interpretation of HN Status *
HPU	Cohort III 17	Alamance-Burlington County	2	Y
		Asheboro City	3	Y
		Cabarrus County	1	Y
		Davie County	2	Y
		Elkin City	1	Y
		Guilford County	7	Y
		Lincoln County	3	Y
	Cohort IV 16	Mount Airy City	1	Y
		Newton-Conover City	1	Y
		Thomasville City	1	Y
		Vance County	1	Y
		Winston-Salem Forsyth County	8	Y
		Yadkin County	2	Y
		Percentage Participants from High Need LEA		100%
NCSU	Cohort II 34	Chapel-Hill Carrboro City	2	N
		Durham County	4	Y
		Edgecombe County	3	Y
		Granville County	1	Y
		Johnston County	8	Y
		Vance Charter School	1	N
		Wake County	14	Y
		Magellan Charter	1	N
		Percentage Participants from High Need LEA		88.2%

TABLE 15. SOURCE LEAS FOR PARTICIPANTS AND HIGH NEED CHARACTER OF LEAS

Program	Total # Enrolled	Source LEA	# Participants	Majority of Schools in LEA Meeting GrantProse Interpretation of HN Status *
SREC	Cohort III 13	Anson County	2	Y
		Bladen County	1	Y
		Columbus County	3	Y
		Cumberland County	3	Y
		Hoke County	3	Y
		Lee County	2	Y
	Cohort IV 13	Montgomery County	2	Y
		Moore County	2	Y
		Richmond County	2	Y
		Robeson County	2	Y
		Scotland County	2	Y
		Whiteville City	2	Y
	Percentage Participants from High Need LEA			100%
UNCG	Cohort II 22	Chatham County	2	Y
		Davidson County	3	Y
		Lee County	2	Y
		Lincoln County	1	Y
		Montgomery County	1	Y
		Person County	3	Y
		Randolph County	3	Y
		Rockingham County	1	Y
		Stanly County	3	Y
		Surry County	3	Y
	Percentage Participants from High Need LEA			100%
WCU	Cohort II 13	Asheville City	3	Y
		Buncombe County	3	Y
		Haywood County	1	Y
		Henderson County	1	Y
		Jackson County	2	Y
		Rowan-Salisbury County	1	Y
		Rutherford County	1	Y
		Transylvania County	1	Y
	Percentage Participants from HN LEA			100%

* Note: The designation in this table of a High Need LEA is made only for LEAs where greater than half (> 50%) of the individual schools in that LEA are found to be high need. However, one high need criterion specified in the recent legislation is whether a middle school feeds into a high need high school with less than a 75% graduation rate, in which case the middle school should also be designated high need. While there are few high schools in the state with less than a 75% graduation rate and those that are evident are often high schools for students with special needs which would not have feeder patterns, still, it is possible the GrantProse analysis of high need schools in the state underreports this number. However, inspection of the data at the LEA level suggests none of the three LEAs that do not meet the criteria of having > 50% of its schools designated high need have a high school with less than 75% graduation rate.

To address NC S. Law 2015-241, Section 11.9.f (Item 2i), programs should include “a process for continuous review and program improvement based on feedback from partnering local school administrative units and data from program completers, including student achievement data”. In addressing Section 11.9f (Item 2j), programs should establish relationship and feedback loops “...with affiliated local school administrative units that is used to inform and improve programmatic elements from year to year based on units' needs”. The TPP programs use multiple formal and informal data from varied sources to identify and implement program improvements. In the

2018-19 mid-year report from Project Directors, each program provided a description of its process for gathering feedback from program partners/LEAs as well as any resulting planned program changes. This information is presented in **Table 16**.

TABLE 16. LEA PARTNER FEEDBACK AND RESULTANT CHANGES		
Program	Feedback Activities	Resultant Changes
HPU	Feedback is gathered through direct conversations with superintendents/liaisons as well as quarterly meetings. Feedback is gathered regularly from our candidates.	Adjustments were made to the 2018-19 program by extending the program from one year to one and a half years. One scheduling change was made—the BB&T Leadership Institute was moved to earlier in the program and a new facilitator was used. Additional changes consisted of adding a tour of the campus during orientation and bringing supervising principals/mentors and their interns together for initial training.
NCSU	Periodic check-ins with designated contacts and/or superintendents as well as surveys. Discussions continually focus on district and program expectations for fellows in efforts to ensure support and alignment and continuity of learning experiences.	Planned program changes focused on scheduling of courses, specialized training and field experiences to take into consideration district calendars particularly for Year-Round schools.
SREC	Information is shared and feedback is requested monthly or every two months at regional meetings for Superintendents, HR Directors, Finance Officers, Curriculum/PD Leads. In addition to face-to-face, information is shared and/or feedback requested via emails and group conference calls to central office members, Mentor Principals, interns, PDP staff.	We added a 3-tier selection process for Cohorts III and IV, as well as improving our mentor training and communication with mentors. We did this by adding training sessions as well as inviting the mentor principals to all presentations for the interns
UNCG	We have made key changes to the program as a function of continuous improvement. Data to inform these changes come from the three benchmark reports written by the Office of Assessment, Evaluation, and Research Services (OAERS) that conducts our internal evaluation; 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.	- We added a four-day PPEERS Bootcamp to early August, for the official launch of our second cohort. Through Bootcamp, we introduced the conceptual framework for the program, built relational trust amongst cohort members and the PPEERS leadership team, conducted two book studies, and engaged in a host of activities to introduce key concepts of the program, including growth mindset and equity and social justice. - We hired Assistant Director Mark Rumley, who teaches courses in the PPEERS program, serves as one of two clinical internship supervisors, and serves a key leadership role on the team. Our capacity to refine and improve the program has substantially increased with the addition of Dr. Rumley to the team. Each course taught thus far has incorporated a field-based experience/assignment and a practitioner component (course instructor, guest instructor, panel of practitioners, etc.). - We are engaging in more intentional 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 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: - Revised our internship orientation for July, 2019. - Revised our internship handbook.

		- Established specifications for a series of four budget/finance modules for interns and created an ad hoc design team to develop and implement the modules. The design team is comprised of a PPEERS leadership team member and five practitioners from partner districts: - Three principals - Internal auditor - Director of elementary education and federal programs - To establish rapport and relational trust before beginning the internship in August 2019, Leadership Coaches have worked with interns on three half-day occasions since January, 2019. - We added a Performance Learning Day (PLD) – Lite to the first-year experience. PLDs are “day in the life of a new principal” events that include live simulations and a series of in-basket tasks that mirror the types of things that come across a principal’s desk (e.g., data analysis, IEP compliance issue, etc.). The March 2019 PLD event was “lite” in that only PPEERS faculty and Leadership Coaches served as assessors and provided feedback, instead of assessors also including school and district administrators from partner districts. We also included fewer in-basket tasks. We also used a new tool – GoReact – to record the simulations and feedback so that participants can easily access the recordings immediately after the event for reflection. - We met face-to-face with the superintendent and District Point Person of each partner district in January/early February to consensually establish internship placements that met the criteria that we co-designed with District Point Persons. - We shifted ELC 694: The Cultural and Political Dimensions of Schooling from the first semester of the internship to the semester preceding the internship. This and the early identification of intern placements allowed students to conduct field work in their upcoming internship placement schools. Doing so helped students begin to establish rapport and relational trust with the Mentor Principal and school stakeholders, to learn about the culture and history of the school, and to identify the school’s assets and challenges. These changes will allow interns to hit the ground running in August when their yearlong internship officially begins. - We will hold an Internship Bootcamp the last three days of July. Two of the days will be facilitated by the Leadership Coaches and will focus heavily on preparing for the initial weeks of internship. - We have added several components to our Year 1 Summer Institute: 1) daylong training on adverse childhood experiences (ACES) and how schools can provide trauma-informed supports for students; 2) a half-day session on homeless students and students in foster care, including the McKinney-Vento act and state policy around schooling for students in foster care.

WCU	- Monthly Superintendent's Council meetings feedback - LEA-WCU Liaisons feedback - WRESA faculty feedback - WCU Education Leadership and NCSELP faculty - WCU College of Education and Allied Professions feedback - Educational Leadership Advisory Council feedback	None at this time.

E. Program Annual Reports

As of June 2019, 129 (52.0%) of the 248 initially enrolled TPP program participants across both funding cycles were reported to have completed their program requirements, as shown in **Table 17**. The UNCG and NCSU programs each had one participant withdraw in Funding Cycle I (2016-18) and NCSU has had one participant withdraw to date in Funding Cycle II (2018-20).

TABLE 17. COMPLETERS TO DATE BY PROGRAM					
HPU	NCSU	SREC	UNCG	WCU	Totals
2016-18 Funding Cycle I					
30	33	26	19	10	118
2018-20 Funding Cycle II					
--	--	11	--	--	11
Total for Both Funding Cycles					
30	33	37	19	10	129

The TPP programs' courses, specialized trainings, and clinical internships provide multiple opportunities for program participants to practice leading, facilitating, and making decisions typical of those made by educational leaders. The courses and specialized trainings also incorporate project-based learning methods, authentic learning experiences, and fieldwork. In several of the programs, participants reflect on what they learned during field experiences by creating digital artifacts or presenting the information to faculty or executive coaches. The programs also provide multiple opportunities for participants to learn from exposure to diverse settings and varied situations. **Table 18** below presents a summary of the current number of credit hours completed by program participants as of June 2019. The 118 participants completing Funding Cycle I earned an average of 32.7 cumulative credit hours across programs (range 22-39). The 127 participants currently enrolled in Funding Cycle II have earned an average of 14.74 cumulative credit hours across programs to date (range 4-36).

TABLE 18. PROGRESS OF PROGRAM PARTICIPANTS TOWARD A DEGREE/LICENSE			
Completed Credit Hours	Funding Cycle I Participants	Funding Cycle II Participants	TPP Program
0	--	3 (Cohort II add on; Start June 2019)	WCU
1-3	--	--	--
4-6	--	16 (Cohort IV)	HPU
	--	2 (Cohort IV)	SREC
	--	1 (Cohort II)	NCSU
7-9	--	33 (Cohort II)	NCSU
10-12	--	17 (Cohort III)	HPU
	--	2 (Cohort IV)	SREC
13-15	--	--	--
16-18	--	10 (Cohort II)	WCU
19-21	--	22 (Cohort II)	UNCG
22-24	6 (Cohort I; PMC only)	--	WCU
	5 (Cohort I)	7 (Cohort IV)	SREC
	3 (Cohort II)		
25-27	--	4 (Cohort IV)	SREC
28-30	--	--	--
31-33	--	--	--
34-36	--	11 (Cohort III)	SREC
	15 (Cohort I)	--	HPU
	15 (Cohort II)		
	33 (Cohort I)	--	NCSU
	4 (Cohort I)	--	WCU
37-39	7 (Cohort I)	--	SREC
	11 (Cohort II)		
>39	19 (Cohort I)	--	UNCG
Licensed as Principals	15 (Cohort I)	--	HPU
	15 (Cohort II)		
	19 (Cohort I)	--	UNCG
	12 (Cohort I) 14 (Cohort II)	7 (Cohort III)	SREC
Awarded P.M.C.	6 (Cohort I)	--	WCU
Awarded M.S.A.	33 (Cohort I)	--	NCSU
	4 (Cohort I)	--	WCU
	19 (Cohort I)	--	UNCG
	3 (Cohort I)	--	SREC
Awarded M.Ed.	15 (Cohort I)	--	HPU
	15 (Cohort II)		

In order to address NC Session Law 2015-241, Section 11.9.f (Item 2e), programs are to implement “*full-time clinical practice of at least five months in duration in an authentic setting, including substantial leadership responsibilities where candidates are evaluated on leadership skills and effect on student outcomes as part of program completion.*” All of the programs have arranged to conduct a full-time internship with supervision by both university and field-based supervisors for at least five months, and in some cases, one academic year. In addition, programs must address Section 11.9.f (Item 2h) by “*evaluation of school leader candidates during and at the end of the clinical practice based on the North Carolina School Executive Evaluation Rubric*”. All programs are conducting multiple evaluations of program participants’ leadership skills, both formative and summative, during the participants’ full-time internships. To address NC Session Law 2015-241, Section 11.9.f (Item 2f), programs must provide “*multiple opportunities for school leader candidates to be observed and*

coached by program faculty and staff.” All five programs meet these requirements with a site-based principal mentor, faculty internship supervision, and additional leadership coaching independent of the host school district.

To address NC Session Law 2015-241, Section 11.9.f (Item 2g), authentic partnerships between LEAs and preparation programs are to provide *“clear expectations for and firm commitment from school leaders who will oversee the clinical practice of candidates.”* The TPP programs consistently engage practitioners in program planning, development, content, fieldwork, and quality internships. The programs conduct frequent and ongoing formal and informal meetings with LEA partners and actively seek feedback on recruiting/selecting program participants and strengthening program focus and content. The majority of the programs have formal Memoranda of Understanding (MOUs) with partner LEAs that include detailed descriptions of responsibilities and expectations for partnerships, designated contacts for program involvement, and expectations for continuous communication.

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 TPP 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 19** describes evaluation activities for continuous improvement reported by the TPP Provider agencies as well as feedback that resulted in planned changes to programs.

TABLE 19. PROGRAM EVALUATION ACTIVITIES		
Program	Activities	Findings
HPU	Candidates complete evaluations for all affiliate activities, all courses, and share recommendations with their coaches and the project director throughout the program.	At this point, there are no noted significant findings.
NCSU	Fellows are required to complete exit tickets after every class session as well as surveys for specialized trainings and field experiences.	Significant findings indicate the fellows are focusing on their use of Dale Carnegie skills and Covey habits, which improve their interpersonal relations as well as self-awareness in becoming a leader.
SREC	We are working with UNC-P to gather additional data through Taskstream such as information regarding school tasks and Intern ratings by Mentor Principals. Beginning in August, we will include a weekly activity evaluation for interns to rate the significance of Synergy Activities.	
UNCG	The Office of Assessment, Evaluation, and Research Services (OAERS) at UNCG has developed an evaluation plan (created logic model, identified evaluation questions, indicators, data sources and data collection methods) for PPEERS 2. In May 2019 we received our first of three benchmark reports. The report focused on the extent to which stakeholders (students, Leadership Coaches, and District Point Persons) perceive that the elements of PPEERS are coherent and integrated with one another. Additionally, the evaluation examined perceived strengths and needs of the program. The 2nd benchmark report will be available in 11/19, and the 3rd in 5/20.	Findings indicate that stakeholders perceive clear coherence across the program, strong communication, and responsiveness to student needs. One area of concern is the continued perception that the program is difficult and rigorous such that students struggle to find work-life balance.

TABLE 19. PROGRAM EVALUATION ACTIVITIES		
Program	Activities	Findings
WCU	We engage in continuous improvement processes annually for our college and the university.	We want to ensure the achievement of program student learning outcomes so we have created additional rubrics for the evaluation of student performance. These rubrics are set to be validated by an expert panel and research methodologists in the Fall of 2019. An area of continued growth as we improve our change project process is to implement a good assessment tool (rubric) to assess the quality of student change projects in the areas of scholarly practice and leadership for equity and social justice.

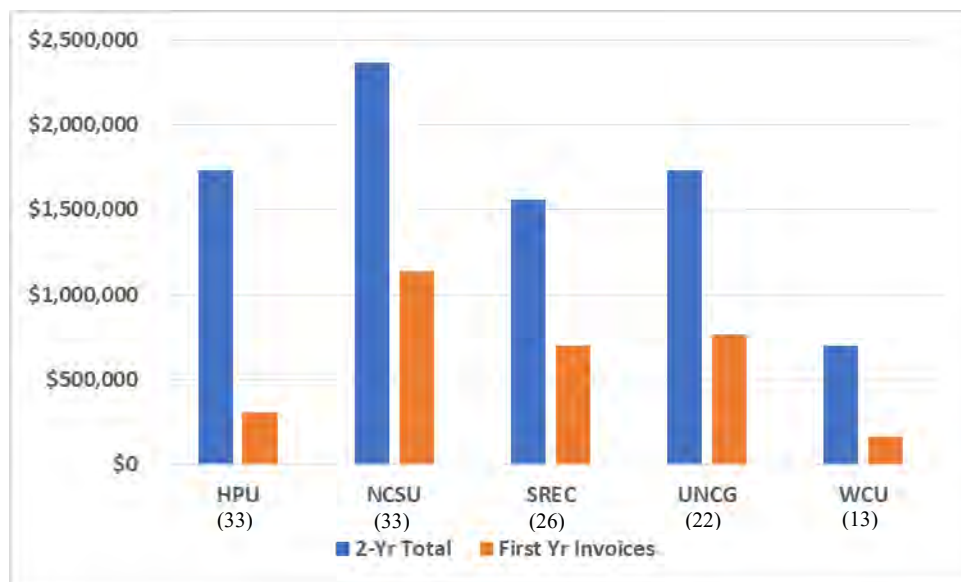
F. 2018-19 Budgetary Analyses

A total of \$8,099,964 was allocated to the five Provider agencies for implementation of the TPP Programs over the 2-year period 2018-19 and 2019-20. Of this amount, \$3,071,064 (37.9%) was invoiced by the Provider agencies over the course of the 2018-19 year, including projections for end-of-year expenditures, which in some cases would carry into the 2019-20 year. At the time this report was produced, it is unknown if any of the Provider agencies will revert funds to NCASLD due to not fully expending their projections.

Assuming reversions may be zero dollars or nearly so, **Table 20** indicates how funds were expended by major budget category during the 2018-19 year, as invoiced by the Provider agencies.¹⁸ **Figure 8** depicts the amount awarded to each Provider for the two-year period and the amount invoiced in the 2018-19 year (the number of students currently enrolled in the 2018-19 year is shown in parentheses).

¹⁸ While all Provider agencies used the same budget format and major expenditure categories (i.e., ‘Personnel Fringe’, ‘Travel’, ‘Supplies’, ‘Contractual’, ‘Other’, and ‘Indirect’), the agencies often differed in regards to what category they used to record individual expenses. What amounted to ‘Personnel’ for one agency could be different for another agency; what amounted to ‘Contractual’ for one agency could be different for another agency, etc. Also, the ‘Other’ category was used differently from one agency to another.

TABLE 20. EXPENDITURE OF FUNDS BY PROVIDER AGENCIES: 2018-19						
Category	HPU	NCSU	SREC	UNCG	WCU	TOTAL
2-Year Total Allocation	\$1,736,176	\$2,369,768	\$1,561,800	\$1,732,220	\$700,000	\$8,099,964
Sums of Provider Invoices Submitted to NCASLD in 2018-19						
Personnel	\$16,557	\$373,490	\$10,000	\$165,928	\$18,580	\$584,556
Fringe	\$2,612	\$90,793	\$2,651	\$46,239	\$1,728	\$144,025
Travel	\$4,160	\$37,083	\$15,926	\$6,801	\$13,008	\$76,979
Supplies	\$0.00	\$7,265	\$8,900	\$16,451	\$9,511	\$42,126
Contractual	\$113,420	\$167,635	\$162,886	\$56,350	\$11,200	\$511,491
Other	\$157,766	\$376,521	\$463,344	\$442,835	\$95,903	\$1,536,369
Indirect	\$10,940	\$84,223	\$32,621	\$35,417	\$12,318	\$175,519
Total Invoiced	\$305,455	\$1,137,010	\$696,329	\$770,021	\$162,248	\$3,071,064
% of Total Allocation Invoiced	17.6%	48.0%	44.6%	44.5%	23.2%	37.9%

FIGURE 8. COMPARING 2-YEAR AWARDS TO AMOUNT INVOICED IN FIRST YEAR

Secondary Budget Analyses

As part of its budgetary analyses, GrantProse also conducted a ‘secondary’ analysis of the TPP agency invoices. While the Provider invoices made 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 expenses charged by the TPP Provider agencies to implement the program (e.g., institutional salaries and fringe benefits, contractual expenses, travel and materials/supplies benefiting institutional staff, etc.) from 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, executive coaches, cost of substitutes for LEAs, etc.). **Table 21** provides a description of the secondary budget categories used in this analysis and the type of expenses included in each category.

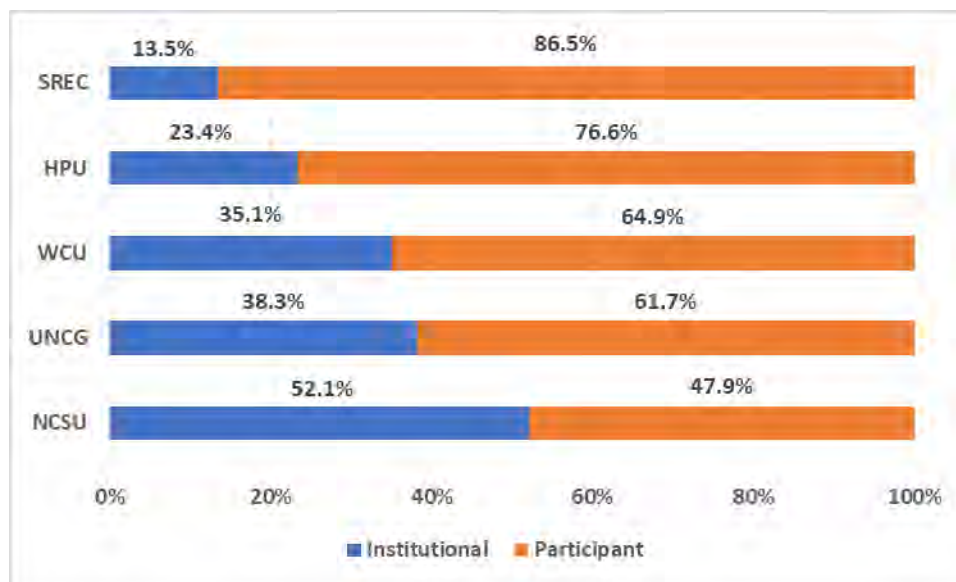
TABLE 21. DESCRIPTION OF BUDGET CATEGORIES FOR SECONDARY ANALYSES	
Institutional Expenses	
Personnel	Individuals carried as employees by the TPP institution including faculty, other staff, hourly employees, and graduate assistants. Personnel are distinguished from contractors on the basis of Personnel 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 (not including Executive Coaches)	Includes contracts with private vendors to provide services such as speaking engagements, training programs, leadership institutes, retreats, and the like.
Other	Tuition and fees paid for Graduate Assistants.
Indirect	Indirect Cost charged by the Institution to the grant program, not to exceed 8% of all direct costs.
Participant Expenses	
Participant 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.
Executive Coaches	Contractual expenses paid to Executive Coaches, including coaches' fees, travel and conference registration if any.

The total of expenditures in the 2018-19 year for the five TPP Providers combined was \$3,071,064. Of this amount, \$1,109,753 (36.1%) was expended for Institutional expenses and \$1,961,312 (63.9%) was expended for Participant expenses per the budget categories described in **Table 22**.

When institutional and participant expenses are disaggregated by Provider, there is considerable variation in how much funding the different Providers expended in these categories, as shown in **Table 21**. SREC expended the smallest percentage of their TPP funds for institutional expenses (13.5%) and NCSU expended the largest percentage for institutional expenses (52.1%). **Figure 9** depicts the percentages that each TPP Provider budgeted for institutional and participant expenses.

TABLE 22. COMPARING INSTITUTIONAL AND PARTICIPANT EXPENSES					
Program	Institutional Expenditures		Participant Expenditures		Total
	Amount	Percentage	Amount	Percentage	
NCSU	\$592,862	52.1%	\$544,149	47.9%	\$1,137,010
UNCG	\$294,652	38.3%	\$475,369	61.7%	\$770,021
WCU	\$56,876	35.1%	\$105,372	64.9%	\$162,248
HPU	\$71,470	23.4%	\$233,986	76.6%	\$305,456
SREC	\$93,893	13.5%	\$602,436	86.5%	\$696,329
Total	\$1,109,753	36.1%	\$1,961,312	63.9%	\$3,071,065

FIGURE 9. INSTITUTIONAL AND PARTICIPANT EXPENSES AS A PERCENTAGE OF TOTAL EXPENDITURES IN 2018-19



Figures 10 and 11 indicate the dollar amounts each TPP Program expended for institutional and participant expenses, respectively. Figure 12 shows the dollar amounts that the TPP Providers expended on salary and fringe benefits for personnel employed with the institution.¹⁹ Numbers in parentheses shown in Figures 10, 11, and 12 associated with each TPP Program represent the number of participants that were actively enrolled in the program at the end of the 2018-19 year. Table 23 further disaggregates the expenditure data to show the amount and percentage of expenditures made by the individual TPP Providers in each of the categories associated with institutional and participant expenses.

It is necessary to be cautious when making comparative judgements about the TPP Programs based on this division of institutional and participant expenditures seen in the 2018-19 year. Caution is warranted due to how the programs are at different points in the implementation of activities with their students. Many of the participants with HPU and SREC, for instance, completed their internship in the 2018-19 year, while participants with NCSU, UNCG and WCU will have their internship in the 2019-20 year. Also, the Programs have accessed varied revenue sources in addition to TPP funds to support participant costs, especially their salaries during the internship. Differences such as these will contribute to differences in the amounts and percentages expended by the Programs, especially the participant expenses.

¹⁹ For SREC, contractual payments made by Hoke County Schools to Jim and Emilie Simeon are included in this analysis, recognizing how their leadership roles with TPP are similar to that of employees at the other institutions.

FIGURE 10. EXPENDITURES FOR INSTITUTIONAL EXPENSES BY TPP PROGRAM**FIGURE 11. EXPENDITURES FOR PARTICIPANT EXPENSES BY TPP PROGRAM**

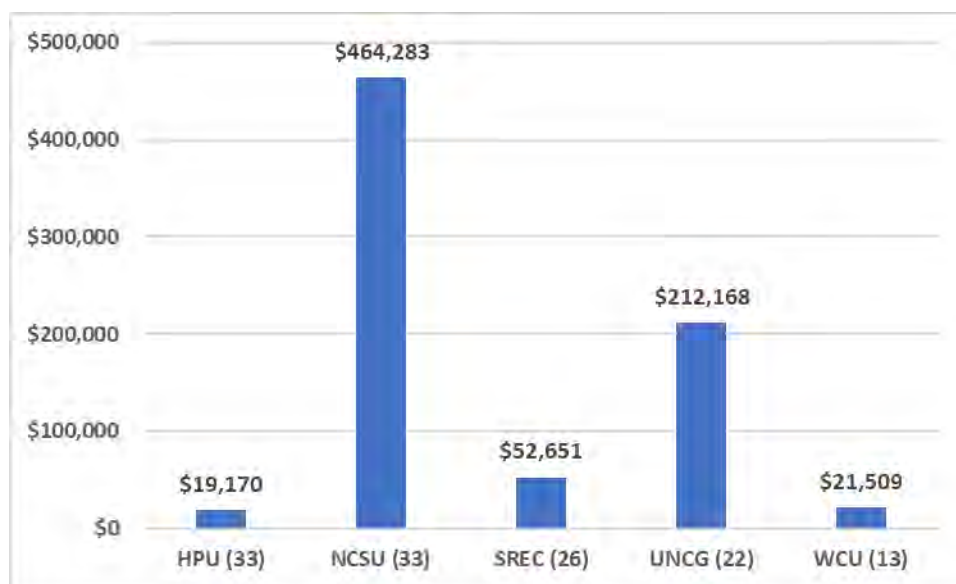
FIGURE 12. EXPENDITURES FOR INSTITUTIONAL SALARY AND FRINGE BENEFITS.

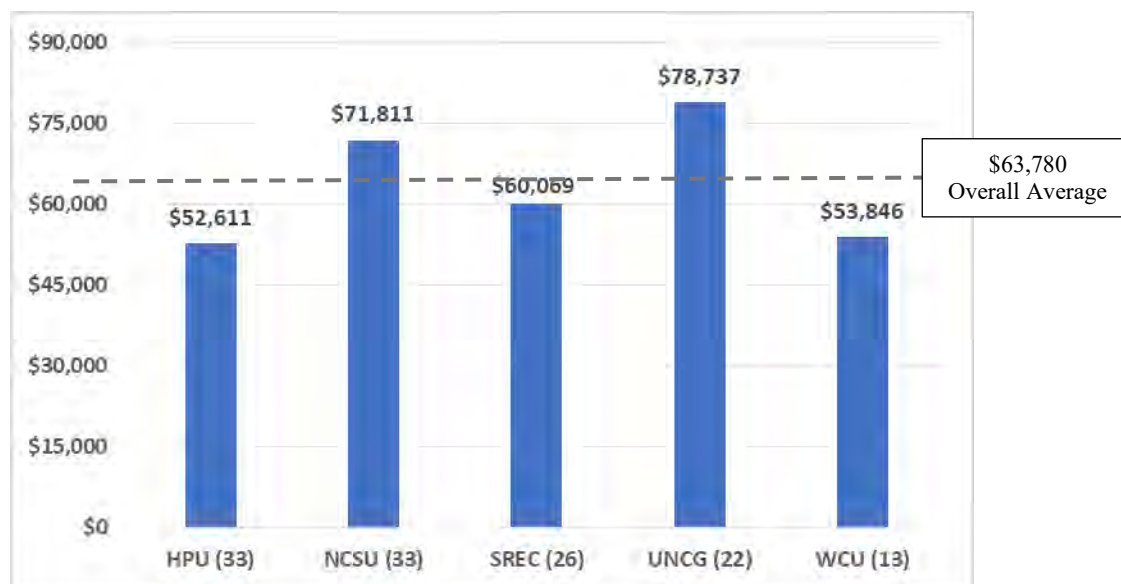
TABLE 23. SECONDARY ANALYSES FOR INSTITUTIONAL AND PARTICIPANT EXPENSES DISAGGREGATED BY BUDGET CATEGORY AND TPP PROGRAM: 2008-19 *

Budget Category	HPU		NCSU		SREC		UNCG		WCU		Totals	
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%
Personnel + Fringe	\$19,170	6.3%	\$464,283	40.8%	\$52,651	7.6%	\$212,168	27.6%	\$21,509	13.3%	\$769,780	25.1%
Travel	\$4,160	1.4%	\$5,509	0.5%	\$1,192	0.2%	\$6,801	0.9%	\$7,393	4.6%	\$25,055	0.8%
Materials	\$0	0.0%	\$0	0.0%	\$3,724	0.5%	-\$320	0.0%	\$4,908	3.0%	\$8,312	0.3%
Contractual	\$37,200	12.2%	\$32,879	2.9%	\$3,704	0.5%	\$40,586	5.3%	\$10,749	6.6%	\$125,118	4.1%
Other	\$0	0.0%	\$5,967	0.5%	\$0	0.0%	\$0	0.0%	\$0	0.0%	\$5,967	0.2%
Indirect	\$10,940	3.6%	\$84,223	7.4%	\$32,621	4.7%	\$35,417	4.6%	\$12,318	7.6%	\$175,519	5.7%
Institutional SubTotals	\$71,470	23.4%	\$592,862	52.1%	\$93,893	13.5%	\$294,652	38.3%	\$56,876	35.1%	\$1,109,753	36.1%
LEA Support	\$0	0.0%	\$169	0.0%	\$0	0.0%	\$0	0.0%	\$0	0.0%	\$169	0.0%
Participant Support	\$157,766	51.6%	\$460,180	40.5%	\$470,289	67.5%	\$462,119	60.0%	\$105,372	64.9%	\$1,655,726	53.9%
Executive Coaches	\$76,220	25.0%	\$83,800	7.4%	\$132,147	19.0%	\$13,250	1.7%	\$0	0.0%	\$305,417	9.9%
Participant SubTotals	\$233,986	76.6%	\$544,149	47.9%	\$602,436	86.5%	\$475,369	61.7%	\$105,372	64.9%	\$1,961,312	63.9%
Total	\$305,456	100%	\$1,137,010	100%	\$696,329	100%	\$770,021	100%	\$162,248	100%	\$3,071,065	100%

* Note: Figures in this table that have been used to generate many of the graphs in this report are based on invoices the Provider agencies submitted to NCASLD for the 2018-19 year, including their final invoice which included projected expenses for the last month of June. Actual expenses will not be fully reconciled until after this report is submitted to NCSEAA, and the figures as well as the graphs would likely change but probably not greatly.

Although the programs are at different points in their implementation of TPP features, most notably the internship, it is possible to estimate what the per participant cost might be for each program over the 2-year period. The 2-year budgets are known for each program and the number of participants each program intends to serve over the two years is also known. Using these figures, **Figure 13** provides an estimate of the 2-year per participant cost disaggregated by TPP Provider. These estimates underestimate the true cost because the programs also accessed additional revenue sources to support their operations, such as fiscal contributions made by the LEAs or use of North Carolina's MSA funds to support participant salaries during the internship.

FIGURE 13. PROJECTED PER PARTICIPANT COST OVER TWO YEARS, DISAGGREGATED BY TPP PROVIDER



G. Developments in the Research Design

By the end of the 2018-19 year, many of the principal aspirants from the first funding cycle had been employed as assistant principals for at least a year, and four individuals appear to have gained employment as a principal. When achievement data for the 2018-19 year become available, it will be possible to track student achievement at the schools where these individuals are employed to compare achievement levels in the years before their employment with that demonstrated in the 2018-19 year. It will also be possible to explore what opportunities there may be to create a control group of similarly employed school leaders who have not graduated from a TPP Program. While it is doubtful that any significant impact will be found with only one year of data, especially for those TPP graduates serving as an assistant principal and being employed as such for only a year, it will be possible to begin identifying the potential as well as the limitations of a research design to assess impact on student achievement.

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 TPP 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 TPP grant program and further clarified the nature of the data that are to be reported about the program.²⁰ Per findings of the Measurability Assessment, **Table 24** provides a summary of the output and outcome measures that should be reported for the TPP Program (Program Evaluation Division, 2018). 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 24. OUTPUT AND OUTCOME DATA AND REPORTING DATES	
Outputs	First Year to Report
Number of principal candidates enrolled	July 31, 2018
Number of cumulative credit hours that candidates have completed toward a degree or licensure	
Number of candidates who have completed five-month or longer internships	
Number of Master of Science in Administration degrees earned by candidates	
Number of candidates obtaining principal licensure and certification	
Number of candidates satisfied with the program	
Number of Local Education Agency administrators satisfied with the program	
Short-Term Outcomes	First Year to Report
Changes in participants’ leadership knowledge and competencies over time	May 31, 2019
Changes in participants’ leadership self-efficacy over time	
Changes in participants’ commitment to seeking principal positions over time	
Long-Term Outcomes	First Year to Report
Degree to which best practices are incorporated into state guidelines for school leadership training programs	July 31, 2020
Degree to which best practices are incorporated into school leadership training programs	
Number of graduates who secure principal or assistant principal positions	
Number of graduates who secure principal or assistant principal positions in high-need schools	
Level of satisfaction among key stakeholders with graduates they have hired	
Increased student achievement in North Carolina	

The discussion that follows addresses each of the outputs and short-term outcomes that are to be reported by the time of this third annual report to NCSEAA (July 31, 2019).

Outputs

Number of principal candidates enrolled. For the first funding cycle that is now completed – July 2016 through June 2018 – a total of 120 candidates (hereafter called “participants”) were enrolled in the TPP Programs that were conducted by the five TPP Provider agencies. All but two participants completed their programs, resulting in a 98.3% completion rate for the TPP Program as a whole. For the second funding cycle that is now underway –

²⁰ 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.

July 2018 through June 2020 – a total of 128 participants have been enrolled in the TPP Programs. At the time of this report, only one individual is known to have withdrawn leading to 99.2% overall retention. **Table 25** shows how many participants were enrolled in and completed each program.

TABLE 25. NUMBER AND PERCENTAGE OF PARTICIPANTS ENROLLED IN AND COMPLETING TPP PROGRAMS						
Funding Cycle I (2016-18)	HPU	NCSU	SREC	UNCG	WCU	Total
# Enrolled in Program	30	34	26	20	10	120
# 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	26	22	13	128
# Still Enrolled	33	33	26	22	13	127
% Retention Rate	100%	97.1%	100%	100%	100%	99.2%

Number of cumulative credit hours that candidates have completed toward a degree or licensure. **Table 26** indicates the number of credit hours completed by participants enrolled for any amount of time at the five TPP Programs across both funding cycles.

TABLE 26. NUMBER OF CUMULATIVE COURSE CREDIT HOURS COMPLETED IN TPP PROGRAMS						
Credit Hours Completed	HPU	NCSU	SREC	UNCG	WCU	Total
0-3	--	--	--	--	3* (Cohort II)	3
4-6	16 (Cohort IV)	1 (Cohort II)	2 (Cohort IV)	--	--	19
7-9	--	33 (Cohort II)	--	--	--	33
10-12	17 (Cohort III)	--	2 (Cohort IV)	--	--	19
16-18	--	--	--	--	10 (Cohort II)	10
19-21	--	--	--	22 (Cohort II)	--	22
22-24	--	--	14 (Cohort II) 7 (Cohort IV)	--	6 (Cohort I)	28
25-27	--	--	11 (Cohort I) 4 (Cohort IV)	--	--	15
28-30	--	--	1 (Cohort I)	--	--	1
34-36	15 (Cohort I) 15 (Cohort II)	33 (Cohort I)	11 (Cohort III)	--	4 (Cohort I)	78
>39	--	--	--	19 (Cohort I)	--	19
Total						247
<i>*These 3 students will not start classes until June 2019</i>						

Number of candidates who have completed five-month or longer internships. **Table 27** indicates 118 (100%) of the 118 participants completing the program in Funding Cycle I completed at least a full-time 5-month internship. In addition, 11 of the Funding Cycle II participants have completed their internships by the end of the 2018-19 year.

TABLE 27. NUMBER OF PARTICIPANTS COMPLETING INTERNSHIPS IN TPP PROGRAMS						
	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	--	--	11	--	--	11
TOTAL	30	33	37	19	10	129

Number of Master of Science in Administration degrees earned by candidates. Table 28 indicates that many of the participants completed coursework meeting a number of degree requirements, including the Master of Science in Administration. Ninety-five (80.5%) of the 118 participants in Funding Cycle I (2016-18) earned either an advanced Master's degree or a post-master's certificate. In addition, 11 of the Funding Cycle II participants are expected to receive their Master's degree in December 2019 with more expected by the end of the 2020-21 year.

TABLE 28. NUMBER OF MASTER'S DEGREES & POST-MASTER'S CERTIFICATES EARNED IN TPP PROGRAMS						
Degree/Certificate Earned	HPU	NCSU	SREC	UNCG	WCU	Total
Master of Science in Administration	--	33	3	19	4	59
Master of Education	30	--	--	--	--	30
Post Masters' Certificate in School Administration	--	--	--	--	6	6
Total						95

Number of candidates obtaining principal licensure and certification. Table 29 indicates that 125 (100%) of the 125 participants completing the TPP program (across both funding cycles) earned sufficient credit to meet 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 29. NUMBER OF PARTICIPANTS MEETING PRINCIPAL LICENSURE REQUIREMENTS IN TPP PROGRAMS						
Principal Licensure	HPU	NCSU	SREC	UNCG	WCU	Total
Number meeting principal licensure requirements	30	33	33	19	10	125

Number of candidates satisfied with the program. Considering both 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 TPP 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. Participants responded to this question along a 7-point Likert scale with 7 representing Extremely Satisfied. Of the 119 individuals in Funding Cycle II who responded to this question, 100 (84.0%) of the respondents gave this question a 6 or 7 rating.

Number of Local Education Agency administrators satisfied with the program. Considering both funding cycles, data analyses described below suggest that 31 (100%) out of 31 LEA administrators surveyed in Funding Cycle I and 37 (94.9%) out of 39 LEA administrators interviewed in Funding Cycle II expressed considerable satisfaction with their programs. Combining respondent ratings in the two funding cycles, a total of 68 (97.1%) out of 70 respondent ratings indicated satisfaction with the TPP Programs. ²¹

Funding Cycle I. A survey of LEA administrators who served as points-of-contact with the TPP Program 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 TPP 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. Interviews were conducted with LEA administrators in May 2019. One question asked them to *"Please rate your overall satisfaction with the TPP program on a 1 to 5 scale (1=not at all satisfied, 5=very satisfied)."* For the 39 individuals responding to this question, 37 individuals rated their satisfaction with a 5 (32 individuals) or a 4 (5 individuals).

Short-Term Outcomes

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. The survey was designed to quantify the three short-term outcomes identified by the PED as a result of the Measurability Assessment:

- *Changes in participants' leadership knowledge and competencies over time*
- *Changes in participants' leadership self-efficacy over time*
- *Changes in participants' commitment to seeking principal positions 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. The post-survey was distributed in April 2019. There were 117 individuals who could be matched for responding to both the pre- and post-surveys.

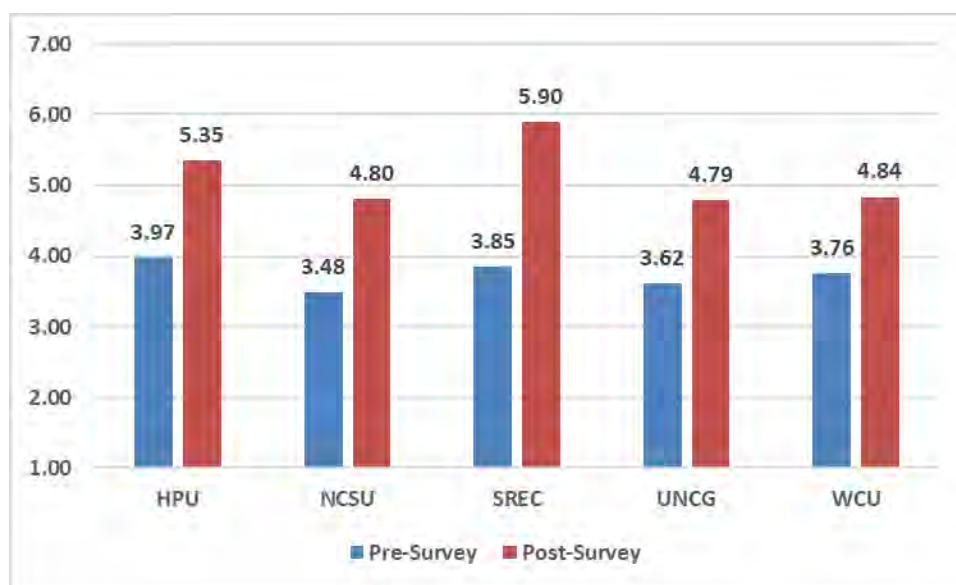
Change in leadership knowledge and competencies. This question was addressed by creating a Likert-scale item for each of North Carolina's eight Standards for School Executives. Descriptions of the Executive Standards were provided for each item, and respondents were asked to "Please rate the extent of your current knowledge and

²¹ It is important to note that some, possibly many, of the LEA administrators surveyed in Funding Cycle I and interviewed in Funding Cycle II may have been the same person, which could alter the percentages reported here.

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 the entire 117 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 for the entire group of 117 respondents was 3.73 on the pre-survey and 5.15 on the post-survey. The difference in the Executive Standards scale averages between the pre- and post-surveys is statistically significant on a t-test for paired comparisons ($t = 13.90599$, $p < .05$) and practically significant as well. The degree of change between the pre- and post-survey suggest that participants felt considerably more comfortable in their knowledge and competencies by the end of the 2018-19 year. **Figure 14** 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 14. CHANGE IN AVERAGES DISAGGREGATED BY PROVIDER FOR RESPONDENTS’ SELF-REPORTED KNOWLEDGE/COMPETENCY OF THE NC STANDARDS FOR SCHOOL EXECUTIVES

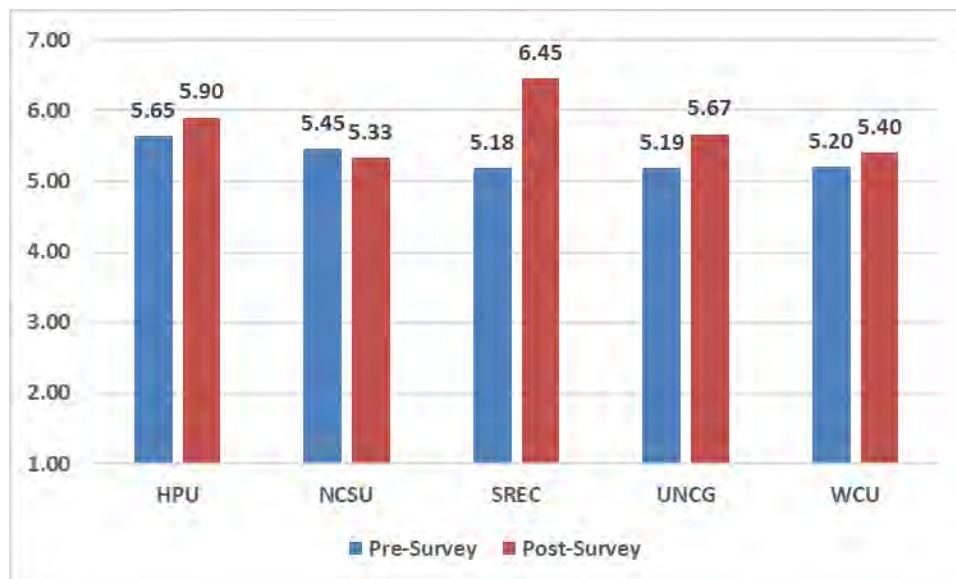


Also, when analyzed individually, all eight items – one for each Executive Standard - showed higher averages on the post-survey compared to the pre-survey and these differences were all statistically significant at $p < .05$.

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 117 respondents on the pre-survey was 5.38 and the average on the post-survey was 5.76. The difference is statistically significant on a t-test for paired comparisons ($t = 3.117862$, $p < .05$). When the averages are disaggregated for each Provider (HPU, NCSU, SREC, UNCG, WCU), **Figure 15** indicates that four of the five Providers demonstrated a higher average on the post-survey, while the post survey average for NCSU fell to 5.33 from the pre-survey average of 5.45; this is a small change. SREC demonstrated the largest change in confidence between the pre- and post-surveys with the lowest average

among the Providers on the pre-survey rising to the highest average on the post-survey, well above that of any of the other Providers.

FIGURE 15. CHANGE IN AVERAGES DISAGGREGATED BY PROVIDER FOR RESPONDENTS' SELF-REPORTED CONFIDENCE IN BEING A SUCCESSFUL PRINCIPAL/ASSISTANT PRINCIPAL

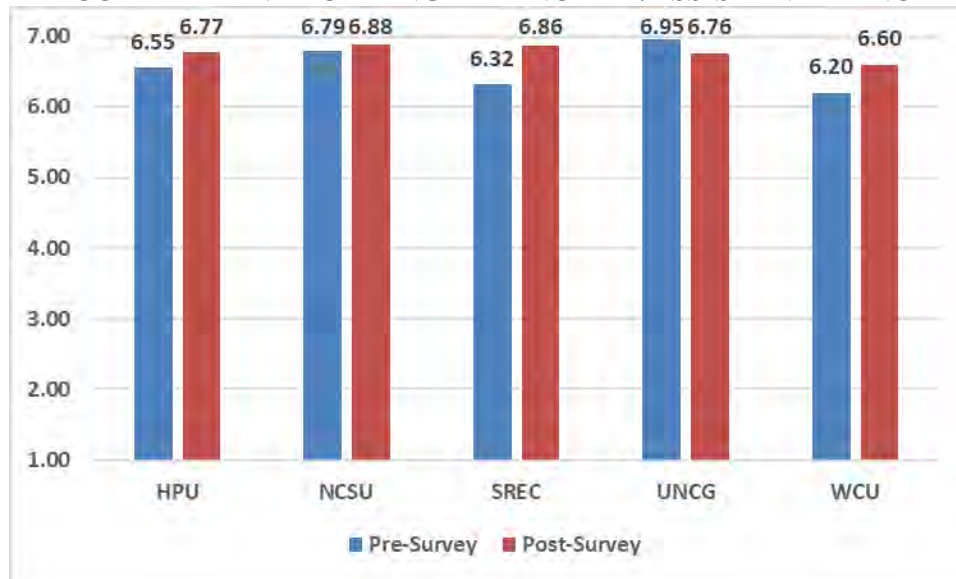


Change in participants' commitment to seeking principal positions. This question was addressed with a single item worded, "*At this time, how committed* are you to being a principal/assistant principal?" A 7-point Likert scale was used to assess this item with the end-points of the scale being "Not at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

The average for the 117 respondents on the pre-survey was 6.62 and the average on the post-survey was 6.80. 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 on a t-test for paired comparisons ($t = 2.699213$, $p < .05$).

When the averages are disaggregated for each Provider, **Figure 16** indicates that four of the five Providers demonstrated a higher average on the post-survey, while the post survey average for UNCG fell to 6.76 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. SREC demonstrated the largest change in commitment between the pre- and post-surveys with the lowest averages on the pre-survey to the highest average on the post-survey.

FIGURE 16. CHANGE IN AVERAGES DISAGGREGATED BY PROVIDER FOR RESPONDENTS' SELF-REPORTED COMMITMENT TO BEING A PRINCIPAL/ASSISTANT PRINCIPAL



Please see **Appendix I** in the Technical Report for the GrantProse report describing the complete results of the pre- and post-surveys completed in 2018-19.

Long-Term Outcomes

While data on long-term outcomes are to be reported by July 2020, it is possible to indicate some preliminary data for two of the long-term outcomes in this third annual report to NCSEAA.

Number of graduates who secure principal or assistant principal positions. Information collected to date from the TPP Provider agencies indicate that 93 (37.5%) of the 248 individuals that initially enrolled for the TPP program across both funding cycles had secured principal or assistant principal (P/AP) positions in North Carolina by the end of the 2018-19 year, with 72.5% of enrollees in the first funding cycle in P/AP positions, but only 4.7% from the second funding cycle; this is because most participants in the second cycle have not completed their programs at this point in time. **Table 30** shows the number and percentage of individuals selected for each TPP program who are reported to have secured P/AP positions by the end of the 2018-19 year.

TABLE 30. PERCENTAGE OF PARTICIPANTS SECURING PRINCIPAL OR ASSISTANT PRINCIPAL POSITIONS: BOTH FUNDING CYCLES				
	2016-18 Funding Cycle I		2018-20 Funding Cycle II	
TPP Provider	Initial Enrollment	Serving in a P/AP Position at the End of 2018-19	Initial Enrollment	Serving in a P/AP Position at the End of 2018-19
HPU	30	24 (80.0%)	33	--
NCSU	34	31 (91.2%) *	34	1 (2.9%)
SREC	26	13 (50.0%)	26	5 (19.2%)
UNCG	20	15 (75.0%)	22	--
WCU	10	4 (40.0%)	13	--
Total	120	87 (72.5%)	128	6 (4.7%)
* Note: GrantProse identified 32 individuals graduating from the NCSU program serving in P/AP positions; however, one person has apparently left North Carolina to serve as an assistant principal in another state.				

Number of graduates who secure principal or assistant principal positions in high-need schools. School assignments at the end of the 2018-19 year were identified for the 93 individuals securing P/AP positions from both funding cycles indicated in **Table 30** above. **Table 31** shows the number and percentage of these individuals assigned to high needs schools as determined by GrantProse.²²

TABLE 31. NUMBER AND PERCENTAGE OF ASSISTANT PRINCIPAL PLACEMENTS MADE IN HIGH NEEDS SCHOOLS: BOTH FUNDING CYCLES			
Institution	Number of P/AP Placements	Number of Placements in High Needs Schools	Percentage of Placements in High Needs Schools
HPU	24	23	95.8%
NCSU	32	30	93.8%
SREC	18	17	94.4%
UNCG	15	14	93.3%
WCU	4	4	100%
Total	93	88	94.6%

Some other findings of interest are that 2 of the 93 individuals in P/AP positions served as a principal in 2018-19 and another two have been named principals for the 2019-20 year. Individuals are serving in schools with various grade levels, including 24 at traditional high schools (grades 9-12), 22 at traditional middle schools (grades 6-8), and 30 at traditional elementary schools (grades PK/K thru 5). The others are at schools with various grade configurations. The schools range in size from 122 students to 2,391 students. The percent of low-income students at the schools ranges from 19.72% to 100% with the average of the percentages being 63.9%. This average percentage is about 10 percentage points higher than the average for the state, suggesting graduates are being employed to fill P/AP positions in high need schools.

²² GrantProse's determination whether a school was high needs has been described earlier in this report. Due to how GrantProse has elected to interpret the legislative language, the number of schools identified as high need is almost 80% of all schools in the state. This determination may over-represent the intent of this legislation. See **Appendix F** in the Technical Report for the full report of how high needs schools were determined.

FUTURE PLANS ²³

TPP Program Directors were asked to describe future plans for each program in their annual reports submitted May 2019, which are summarized in **Table 32** below. The majority reported a focus on continuing to deliver an exceptionally effective program to prepare principals and being committed to successful implementation of that program. The programs expressed a commitment to continuing all grant and program activities in order to develop high-quality school leaders, as well as working with regional district leaders to continue their support of aspiring principals. In order for this to occur, both NCASLD and the TPP Provider agencies will need to consider strategic planning, continuous improvement, risk assessment, and dissemination activities in support of these future endeavors.

TABLE 32. FUTURE PLANS OF PROVIDER AGENCIES	
TPP Program	Future Plans
HPU	The Program Director keeps a watch for funding possibilities, i.e., grants.
NCSU	Our ultimate goal is to sustain an exceptionally effective principal preparation program. In light of unanticipated budgetary as well as programmatic changes, we have no choice than to seek additional funding sources that will support the innovative, authentic learning experiences that assist in developing, preparing and shaping educators to be efficacious, extraordinary leaders.
SREC	We anticipate welcoming Cohorts V and VI into the program and are currently receiving applications/recommendations for Cohort V from the LEAs. Each will serve a five-month internship in the Fall (2020 and 2021 respectively) unless we are able to find additional funding support to allow internships in Fall 2020 and Spring 2021. We are concerned about future funding and continue to seek possible sources of money to support the program. Because our model is one that puts the vast majority of the funds into tuition and intern salaries, the program is dependent on the grant. The Sandhills LEAs are small and financially lean, so financial contributions by the LEAs are less likely. We are a low-wealth, low socio-economic region that needs funds such as TPP grants in order to prepare a new generation of innovative school leaders who possess strong communication and problem-solving skills and can champion the power of the principal.
UNCG	We have been asked by NCASLD to increase our cohort size to 25 for our third cycle. At this point, given rising costs (e.g., tuition, fees, salary, fringe, etc.) and flat or decreasing funding amounts by NCASLD and the uncertainty of the full-time MSA stipend, we wonder about “making the numbers work.” That said, we are committed to this work and to our partner districts and are optimistic that we will find a way.
WCU	We will work to maintain all of the program components that the TPP Grant affords even if the funds cease. Although we consider all of the components to be necessary in the development of excellent, transformational school leaders, we recognize that we cannot rely on the TPP funding. If the resources end, we will certainly seek additional funding from other sources. In our present role as university faculty, we are consistently seeking out grants and other sources of funding to improve our school leadership programming. Unfortunately, those grant funds are quite competitive and often fall to R1 institutions, not regional comprehensives like WCU. If we do not have supplemental funding--outside of student tuition and state sponsored initiatives (Principal Fellows and MSA Internship program), we will likely have to cut down on the number of released, administrative internships, remove academic conference travel, and lose both the internship mentor training and collaborative coaching program.

²³ This section corresponds to NCSEAA Report Question #4: *If the activity is a continuing one, briefly describe future plans and funding prospects.*

SUMMARY DISCUSSION

The body of evidence collected to date, including outputs and outcomes analyzed to date, suggest the TPP program is meeting its intended purpose—to transform principal preparation programming. With 93 individuals from the two funding cycles currently serving in principal and assistant principal (P/AP) positions, and almost 95% of the P/AP positions from both funding cycles serving at high need schools, there is evidence that the legislative intent of the transforming principal preparation programs is being met, at least in part. What remains to be determined is whether individuals who complete TPP programs and secure P/AP roles subsequently have a positive impact on student achievement. Making this determination will be challenging and require a number of years.

Whether and how transformational principal preparation programs can be replicated and scaled across the state is another issue that remains to be determined. While there are significant qualitative and quantitative differences among the TPP programs in regards to how each Provider agency operationalizes and implements best practices, all programs are implementing a suite of best practices in principal preparation. These best practices appear to be having an impact on the preparation of highly qualified principal candidates.

REVIEW OF BEST PRACTICES

- *Provision of program leadership.* Program leadership was not identified as a best practice in the previous NCSEAA Annual Report. However, this shouldn't be overlooked. There is no doubt that energetic leadership is necessary and important to the success of the TPP Program. For many of the TPP leaders, this leadership is possibly as much a calling as a responsibility. The TPP leaders believe in the importance of producing highly qualified school administrators, and the leaders are justifiably proud of their accomplishments to date. This said, it is interesting to note that interviews with 11 of the program leaders at the end of the 2018-19 year revealed that leadership was one of the least important programmatic elements in their ranking of best practices...and yet leadership is also one of the most expensive programmatic elements in the implementation of the program. Per the GrantProse secondary analyses of TPP expenditures in 2018-19, salary and fringe benefits for personnel employed by the agencies charged with administering the TPP Programs (all of which were Institutions of Higher Education except for SREC) averaged almost 25% of all TPP expenditures in 2018-19. Expenditures in 2018-19 for salary and fringe benefits of institutional employees ranged from more than \$460,000 at NCSU to less than \$20,000 at HPU as reported in **Table 23** of this report (found on page 40). In the absence of TPP funding, this is money that the institutions are not likely to pay out of pocket.
- *How participants are recruited.* There is some evidence that recruiting for the 2018-20 funding cycle may have been more difficult than in the earlier 2016-18 funding cycle. In their interviews, project leaders and LEA representatives both alluded to this difficulty. The pool of individuals wishing to become assistant principals and principals is possibly being exhausted, information about the program is possibly not being widely distributed, individuals may not see benefits to them outweighing their costs, and/or other possible explanations. It will be important to evaluate the success of future efforts to recruit a large pool of highly qualified candidates, especially if more awards are to be made by the TP3 Commission.
- *How participants are selected.* The TPP Programs are quite 'selective' in their selection process, using a variety of mechanisms to identify and pick the best candidates. While this is clearly a strength of the TPP Program, there is at least one reason for concern. The ethnic/racial diversity of those selected in the

second funding cycle was notably less diverse than for those selected in the first funding cycle. Possibly, the pool of candidates generated for the second funding cycle through the recruitment process was not as diverse and/or possibly biases impacted the selection process. Whatever factors might have contributed to the less diverse collection of participants in 2018-19, it will be important for TPP and LEA leaders to address the challenge of recruiting and selecting for diversity in future efforts.

- Engagement with LEAs. This is another clear strength of the TPP Program and has little fiscal cost, but is ‘expensive’ in time and effort. Interviews with the LEA representatives found that they universally complimented TPP Program leaders on their efforts to collaborate with the LEA, while interviews with the TPP leaders found that they identified time and effort, as well as factors such as turnover in LEA staff, as challenges that required careful management and ongoing attention. Still, the partnership between the grantee institution and the LEA is a critical factor in the success of the TPP Program and it may be helpful for the state to find ways of supporting this partnership.
- Implementation of a cohort. Participants completing the post-survey administered in the Spring 2019 mentioned the cohort model as one of the ‘best’ features of the TPP Program, and their average ratings on the Likert scale measuring perceptions of the cohort model ranged from 4.63 to 4.97 across the five programs (a 4 indicated they ‘Agreed’ the feature was evident and a 5 indicated they ‘Strongly Agreed’ the feature was present). Also, interviews with the Project Directors found that they ranked the cohort model midway among a set of best practices. While there is no legislative expectation that TPP Programs will operate in cohorts, this practice is too important to overlook, and defines in part the ‘transformational’ aspect of the TPP Program.
- Authenticity of experiences. When surveyed in the Spring 2019, participants indicated that the TPP Program gave them practical, real-world and/or authentic experiences associated with being a school leader and also commented on how the program blended theory (i.e., the coursework) and practical experiences together well. GrantProse observations of classroom learning activities substantiated the participants’ views, finding that simulations and/or project-based learning activities were often embedded in the instruction. Interviews with the Project Directors suggest that the TPP Program is having some impact on how faculty in other principal preparation programs deliver their curriculum and instruction. And, interviews with the LEA representatives reveal that many of them cite the value of the internship as a ‘real’ learning experience.
- Emphasis on instructional leadership. In contrast to traditional principal preparation programs, the TPP programs share an emphasis on the primary role of the principal as an instructional leader working with teachers and school staff in creating a school culture focused on high quality instruction rather than just acting as a building manager. The TPP programs convey this emphasis through the focus of their classes, choice of required reading, and many of their additional workshops, seminars, speakers, and leadership experiences. Equity and equitable outcomes for students is one of the themes driving this emphasis on instruction. WCU, for instance, reports adding added courses addressing Leadership for Equity, and Social Justice I & II
- Emphasis on high need schools. TPP Provider agencies are focused on preparing principals to serve in high needs schools. Almost 95% of TPP graduates serving in principal and assistant principal (P/AP) roles at the end of the 2018-19 year were serving at high need schools per the GrantProse analysis of high need schools in the state. This is well above the 80% of schools in the state that GrantProse suggests meet

the legislative definition of being a high need school. The emphasis in the TPP Program of placing participants at high need schools for their internship may have some bearing on their subsequent employment. Recognizing that the hiring and placement of TPP graduates as P/APs is in the control of the LEAs, it may be that LEA leaders appreciate the experience that these individuals may have gained during their internship as well as the concentration in their curriculum on issues related to high need schools such as equity among students.

- *Full-time internship with coaching/mentoring.* The full-time internship was identified in the interviews with Project Directors as one of five practices most important to the success of the TPP Program. The internship was also identified in the interviews with the LEA representatives as an important feature of the program. Moreover, most of the LEA representatives indicated they would like to see the internship be for a full academic year, recognizing that this would give the intern the benefit of seeing all aspects of a school year. While the participants were not asked about their internship on the Spring 2019 post-survey because many would not have had their internship in the 2018-19 year, many of those who did have their internship in the year described it as a valuable experience. Presently, it is unknown whether a 5-month internship is sufficient or if a 10-month internship is necessary, but what is known is that it is expensive to pay salaries (with associated fringe benefits) for individuals during their internship, especially if individual salaries are to be held harmless. TPP funding may be adequate to support a 5-month internship, possibly with LEA support, but additional revenue such as the state's MSA funds will be needed to support a 10-month internship.

Regarding coaching provided during the internship, the Project Directors ranked this as most important among the best practices, and the participants also gave this a strong rating on the Likert scale measuring perceptions of the coaching activity. The degree to which coaching is 'embedded' with the participants throughout their program may be an element in how coaching was perceived, insofar as SREC participant perceptions of coaching were the strongest, possibly due in part to how the SREC coaches even attended classes with the participants.

- *Independent evaluation and continuous improvement processes.* The TPP Programs have all cooperated well with the GrantProse evaluation activities. And, each of the TPP programs engages in continuous review and program improvement activities on their own. The programs utilize formal and informal data from multiple sources (participants, coaches, mentors) to identify and implement program improvements. The programs' LEA representatives, principal mentors, and executive coaches also provide regular feedback regarding the training and support they receive from the programs.

LOOKING AHEAD

In light of the recent Senate Bill 227 legislation, NCASLD has two years remaining in its role as administrator for the current set of TPP grantees. Two of these programs—NCSU and WCU—will enter their final year in 2019-20 under NCASLD’s administration, and three of the programs—HPU, SREC, and UNCG—will have another year in 2020-21 under NCASLD’s administration. Concurrently, beginning with the 2019-20 year, NCASLD will also be represented on the TP3 Commission and have a role in advising and assisting the Commission with decisions pertaining to the next round of funding and administering transforming principal preparation programs.

Looking ahead for the next two years, it appears NCASLD has three main responsibilities:

1. Assist the current five TTP Programs to successfully complete implementation of their programs,
2. Advise the NCSEAA on strategies for sustaining, replicating, and scaling best practices in principal preparation programs across the state, and
3. Advise the TP3 Commission on findings of the TPP Program that can inform the Commission’s award and administration of new programs intended to transform principal preparation.

For its part, GrantProse sees that it has two main responsibilities in the next two years:

1. Continue to implement the 3-tiered model of program evaluation described in this report, and
2. Initiate a research design to address what if any impact graduates of the TPP Program may be having on student achievement.

RECOMMENDATIONS

In the Executive Summary for this report, GrantProse identified a set of recommendations for NCASLD and the TPP Provider agencies to consider in the 2018-19 year. These recommendations are repeated here.

- NCASLD should expand its Professional Learning Network to permit other principal preparation programs in the state to participate.
- NCASLD should direct focus in the last two years to issues of sustainability, replication, and scaling identified best practices to programs across the state.
- Regarding scaling across the state, NCASLD should investigate the possibility of incorporating many of the value-added features of the TPP Programs into existing or new tuition-bearing courses, thereby reducing the cost of the program to the state.
- In its new role with the TP3 Commission,
 - NCASLD should use this venue to continue its advocacy for best practices in principal preparation programs across the state. An objective should be that all principal preparation programs in the state should be implementing most if not all of the best practices being realized in the TPP Program.
 - Based on its experience administering the TPP Program and knowledge it has gained about the strengths and weaknesses of the different programs, NCASLD should advise the TP3 Commission on desirable features and requirements to include in the solicitation for new grant proposals.
 - Considering the high stakes decision to be made regarding whether a school meets the legislative intent of being a high need school, NCASLD should work closely with the TP3 Commission to review the legislative definition to ensure that its focus is as intended—on schools where there is a need for specialized resources such as might be provided by a graduate of the state’s transformational principal preparation programs.

ADDENDUM WITH TP3 CONSIDERATIONS

If the NCSEAA and TP3 Commission desire to implement the TPP Program with fidelity to the best practices NCASLD and GrantProse have identified, it will be necessary to provide fiscal support to agencies/institutions that will be charged with implementing the program (e.g., public or private IHEs, regional consortiums, etc.). As indicated in Senate Bill 227, the TP3 Commission “...shall select grant recipients and notify the Authority for the award of the grants with the Authority acting as the fiscal agent for the Trust Fund with respect to grants awarded by the Commission.” Furthermore, “The Commission shall select up to eight grant recipients to be operating a school leader preparation program with grant funds in any fiscal year.” New grant awards will conceivably be made beginning with the 2020-21 year.

A review of Senate Bill 227 suggests there may be \$7-8M in funding available annually each year to make these new awards for some unspecified period of time, recognizing that some of these funds will also support operations of the TP3 Commission and NCSEAA. Using \$7M as an estimate for how much will be available for distribution to grant recipients and the possibility of as many as eight grant awards, returns a figure of \$875,000 per award per year...or \$1,750,000 over the course of a 2-year program. These figures are consistent with the current size of grants in the TPP Program. With this information, GrantProse offers the following considerations for the TP3 Commission and NCSEAA to weigh in its consideration of how to make new grant awards.

Soliciting Applicants

The TP3 Commission and NCSEAA are advised to cast a wide net in their recruitment of applicants to submit grant proposals. In the current TPP Program, there are three UNC System universities, one private university, and a regional education consortium implementing programs. After three years of operations, the GrantProse evaluation shows that non-traditional applicants such as the private university or the regional consortium have been just as successful as the more traditional UNC System applicants. Moreover, these non-traditional applicants have implemented varied designs that introduce unique features to the principal preparation programs. SREC, with the most non-traditional management structure, has strong collaboration with its partnering LEAs, has a unique practice of exposing interns to two different school environments, and asks its Executive Coaches to attend the university classes along with the participants. And, HPU, a private university, has one of the lowest percentage institutional costs among the programs while the UNC System universities have some of the highest costs. Soliciting applications from varied constituencies is one way to strengthen program design through comparing and contrasting practices. Moreover, in this solicitation, special consideration should be given to the degree of collaboration with LEAs. If transformational change is to happen in principal preparation programs, it will be necessary for consumer voices – especially in the school districts -- to be heard and involved as collaborative decision-makers in the design and implementation of the program at the university and in the field.

Average Size of Awards and Number of Participants

Consistent with expenditures and expenses seen in the current set of five TPP programs, one consideration is that a maximum award of \$1,750,000 could be set for a two-year program (to average \$875,000 per year), with a minimum number of participants to be served per the following table. The minimum number of participants is derived using \$70,000 as an average 2-year per participant cost, consistent with analyses that GrantProse has conducted for the TPP Program. To ensure the viability of a program and ability to implement the suite of TPP best practices, a minimum award could also be set, for instance, with no award less than \$800,000 for a two-year program (\$400,000 per year). Should some awards be made for less than \$875,000 per year, other awards could

be made for more than this and with adjustments to the minimum number of participants to serve. Other factors to weigh in making these awards will include whether a program will be a 1- or 2-year program and whether a program plans to access other revenue sources to support operations, such as the state's MSA funds. Both of these factors are addressed in considerations offered below.

If \$7M is available each year and eight awards are made, the average award would be \$875,000 per year or \$1,750,000 for a two-year performance period. Using a 2-year average cost of \$70,000 per participant, **Table 33** indicates how many participants could be served for different award sizes. For a 2-year award of \$1,750,000, an expectation could be set that the Provider will serve no fewer than 25 participants. If eight awards are made, each at or averaging this amount, then at least 200 participants could be served in a 2-year performance period, representing a 56% increase in the number of participants served compared to the 2018-20 performance period.

TABLE 33. MINIMUM NUMBER OF PARTICIPANTS BY SIZE OF 2-YEAR AWARD	
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

** Note: A figure of \$70,000 per participant for a 2-year program is used at the upper level of each award range to determine the minimum number of participants to be served associated with the size of the award.*

Replicating and Scaling Best Practices

- Provision of Program Leadership
 - Transformative principal preparation programs need dedicated and funded leadership; however, analyses of TPP budgets reveals there is wide variation in how programs use TPP funds to support the employment of institutional personnel for full- or part-time work associated with the grant program. TPP Providers with higher personnel costs tended to make greater use of other revenue sources such as MSA funding to support participant costs and/or did not hold harmless participant salaries during their internship, thus freeing TPP funds for institutional expenses. If the TP3 Commission desires to maximize the number of individuals that can be served, consideration should be given to limiting/reducing institutional costs so as to increase funds available for participant costs.

One consideration for any new grant competition is that a ceiling could be set on institutional expenses which GrantProse believes could be 35-40% of the total TPP funding, consistent with the GrantProse secondary analyses of TPP budgets reported in **Table 23** (found on page 40). Along with salaries for institutional personnel, other budget items that would be included in this ceiling are the institution's Indirect Cost rate (restricted by NCASLD to 8% in the TPP Program), travel and materials/supplies for institutional personnel, and contractual expenses including for Executive Coaches. Setting a ceiling of 35-40% of the TPP award for institutional expenses such as these then permits committing 60-65% of the award for participant expenses including university tuition and participant salaries during their internship. Programs that plan to implement a 10-month internship could still access MSA funds to permit holding harmless participant salaries during their internship.

Other possible approaches to maximize the number of participants that can be served include having the participant pay some portion or all of their tuition and/or not holding participant salaries harmless

during their internship. However, adopting either of these ideas could have adverse impact on recruiting highly qualified applicants.

- LEA/Community Partnerships
 - Providers of the grant program could be expected to execute a Memorandum of Understanding (MOU) with each LEA partner that specifies varied roles and responsibilities for the Provider and the LEA.
 - Grant recipients could be required to recruit participants solely from high need LEAs. This would present almost no difficulty if the GrantProse interpretation of a high need district is used, with 112 of 115 LEAs presently meeting high need status. However, if changes are made to the definition of high need schools and/or districts so as to reduce the number of schools or LEAs so identified, it might be necessary to allow for some leeway in this specification. Also, whether to permit recruiting participants from charter schools should also be considered.
 - The LEA could be expected to maintain participants selected from their LEA as a continuing employee of their LEA during the period of the internship, permitting such individuals to continue their enrollment in the State's retirement system. Also, if the LEA commits any funds in support of the participant's salary and/or fringe benefits during their internship, this commitment should not obligate the participant to remain as an employee of the LEA for any set period of time following their completion of the internship. The participant should be free to seek employment as a public school educator elsewhere in North Carolina, in accordance with the terms of the forgivable loan program that underwrote expenses for their internship and university tuition. Note: The SREC program has an interesting variation on this condition in which participants are free to seek employment among any of the 13 LEAs that are partnering with SREC in the TPP Program, even though individual LEAs may commit some funds to participant salary during the internship.
- Targeted Recruitment of Applicants
 - The MOU between the Provider and LEA could specify responsibilities for the LEA to work with the Provider institution to create promotional materials and initiatives that advertise the program, to broadly advertise the TPP program to its staff, and to participate with the Provider institution in any informational programs designed to recruit participants as well as the final process of making recommendations for individuals to select for the program. Considering how TPP Program Project Directors indicate that it was difficult to recruit sufficient high quality candidates for the 2018-20 performance period, the active involvement of the LEA in recruitment efforts appears to be a must.
- Selection of Program Participants Using Rigorous Criteria
 - The Provider of the grant program and the LEA could jointly make the decision about which applicants to select into the program, in accordance with the policy and practice of each agency, consistent with practices currently being followed in the TPP Program.
- Application of a Cohort Model
 - Individuals selected into the program could be enrolled concurrently at the Institution of Higher Education such that they form a cohort which should progress together through the university coursework and participate together in other activities that may be offered in the program. Ideally, this cohort should be a stand-alone cohort and not mixed together with other students also pursuing principal licensure and/or the MSA degree.
- Provision of Participant Support

- Participants should be paid a salary during their internship that holds them harmless vis-à-vis the most recent salary they received in their employment as an public school educator, to include the full complement of fringe benefits they previously received as an employee and other forms of remuneration such as a local supplement and/or payment for national board certification they may receive. If programs implement the minimum 5-month internship specified in Senate Bill 227, funds provided through the grant program should be sufficient to pay the full cost of holding individuals harmless. If programs elect to implement a 10-month internship than the \$41,000+ that is available in MSA funds for such internships could be accessed to supplement the grant funds so as to hold individuals harmless.
 - Moreover, there should be a common standard of how participants will be paid during their internship applied across all grant programs. To do otherwise risks incurring participant dissatisfaction if individuals in one program learn they are receiving less fiscal support than individuals in another program. This rule could be generally extended to other forms of participant support such as university tuition and fees and extra employment such as over the summer. Considering that the TPP Programs have featured equity issues in their principal preparation programs, it is right that they also treat the participants equitably.
- Rigorous and Authentic Coursework Aligned to School Executive Leadership Standards
 - It is one thing to say that coursework and learning experiences will be rigorous and authentic; however, it is another thing to actually see that this is being implemented. What does it mean to be rigorous? What does it mean to be authentic? Regarding rigor, while aligning courses with the NC Standards for School Executives is expected, universities should also look to national models for examples of rigor. Many examples of implementing rigor can also be learned from the current set of TPP Providers. And, regarding authentic, there is probably no better way to ensure this is happening then through close collaboration with current and past practitioners and LEA leadership. New applicants for grant funding should detail how it is that they will implement rigorous and authentic coursework.
- Full-time Internships with Embedded Mentoring and Substantial Leadership Responsibilities
 - While the legislation calls for a full-time internship of five months, the TP3 Commission could consider whether a 10-month internship is better, and/or offer a competitive priority in the grant solicitation for applicants who propose a 10-month internship. The GrantProse evaluation found that LEA representatives almost universally expressed a preference for a 10-month internship.
- Commitment to Program Evaluation and Continuous Improvement
 - 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.”* Per this expectation, the TP3 Commission should consider implementing a robust independent third-party evaluation that will look at participant outcomes as well as compare and contrast how the different grant recipients implement their programs with fidelity to the best practices identified in this report. In consideration of how the GrantProse evaluation of the TPP Program finds there is wide variation in how the TPP Providers expend their grant funding, especially when distinguishing between institutional and participant expenses, the evaluation should also seek to identify when expenses are reasonable and when not, which may in turn identify potential cost savings that will better permit scaling the program across the state.



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TECHNICAL REPORT

TRANSFORMING PRINCIPAL PREPARATION GRANT PROGRAM: THIRD YEAR

JULY 2019

William Carruthers, Janey Sturtz McMillen, Pamela Lovin & Eleanor Hasse¹

¹ Suggested citation: Carruthers, W., Sturtz McMillen, J., Lovin, P., & Hasse, E. (2019, July). *Transforming Principal Preparation Grant Program: Third Year, Technical Report*. Garner, NC: GrantProse, Inc.

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PARTICIPANTS' PRE-SURVEY RESULTS: FUNDING CYCLE 2

Report 3.01

William Carruthers, Pamela Lovin, & Jacqueline Copeland¹

October 2018

An online pre-survey of individuals participating in the second funding cycle² of the TPP Program was initiated in May 2018. The purpose of the survey was to gather information preparatory to addressing three questions posed by the State Education Assistance Authority:

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

A post-survey will be conducted with these participants³ circa May 2019 to assess possible change over the course of the 2018-19 year on any of these questions.

The survey consisted of 10 Likert-scale items addressing the three questions, along with a number of questions on participant demographics and education level. The first Likert-item assessed participants' commitment to being an assistant principal and/or principal. The next eight Likert-items assessed participants' perception of their leadership knowledge and competencies, paralleling North Carolina's eight 'Standards for School Executives.'⁴ The tenth Likert-item assessed participants' leadership self-efficacy. See Appendix B for a copy of the survey.

RESULTS

The pre-survey was first distributed in May to participants in the HPU and NCSU programs who had started their coursework in May. SREC participants were surveyed in June when they started their coursework, and WCU and UNCG participants were surveyed when they started their coursework in July and August, respectively. Email invitations to participate in the survey were sent to a total of 107 participants and 106 (99.1%) participants completed the survey with the last survey being completed August 23rd. **Table 1** indicates how many individuals with each program completed the survey.

Table 1. Survey Participation Rates by TPP Program					
Datum	HPU	NCSU	SREC	UNCG⁵	WCU
Survey invitations sent	17	34	25	21	10
Surveys completed	17	34	25	21	9
Survey completion rate	100%	100%	100%	100%	90%

¹ Suggested citation: Carruthers, W., Lovin, P., & Copeland, J. (2018, June). *Participants' Pre-Survey Results: Funding Cycle 2 (Report 3.01)*. Garner, NC: GrantProse, Inc.

² While the second funding cycle began July 2018 and extends through June 2020, participants at HPU, NCSU, and SREC began their coursework in May and June of 2018.

³ HPU will begin a new cohort of participants in January 2019, and these individuals will receive a pre-survey in January as well as the post-survey in May 2019.

⁴ See <http://www.dpi.state.nc.us/docs/district-humanresources/evaluation/standardsadmin.pdf> for these standards.

⁵ UNCG has 22 participants involved in their TPP program. One individual was overlooked at the time the survey was distributed.

Demographics for respondents to the survey are indicated in **Table 2**. As a group, participants in Funding Cycle 2 are predominantly female and white. The group is evenly split between those holding bachelor degrees and those holding advanced degrees.

Table 2. Demographics for Participants in Funding Cycle 2								
Gender *		Race *				Degree At Time of Entering TPP Program *		
Female	Male	Asn	Blk	Multi	Wht	BA/S	MA/S	PhD
71 68.9%	32 31.1%	3 2.9%	21 20.4%	1 1%	78 75.7%	53 51.0%	50 48.1%	1 1%

** Note: The numbers do not add to 106 due to a few individuals not responding to these items; percentages are calculated only for those who responded.*

Of the 106 respondents to the survey, 75 (70.8%) indicated they had been employed as a regular education teacher (67 respondents) or special education teacher (8 respondents) before beginning the TPP Program. The average years of experience in education for the 106 respondents was 11.7 years with 7 respondents indicating 0-4 years, 35 indicating 5-9 years, 33 indicating 10-14 years, 19 indicating 15-19 years, and 11 indicating 20 or more years.

After cleansing the survey data, the eight Likert items addressing participants' leadership knowledge and competencies were subjected to exploratory and confirmatory factor analyses. Results of the factor analyses suggest the eight items reflect two underlying dimensions. Six items address a dimension we are calling School Management knowledge and competencies (Dimension 1) and two items address a dimension we are calling Student Achievement knowledge and competencies (Dimension 2). Coefficient alpha for each dimension is good, as is coefficient alpha for the entire set of 10 items. Please see Appendix A for a discussion of these factor analyses.

Table 3 provides average scores on the individual Likert items for the entire group of 106 respondents and disaggregated for each TPP Provider, as well as averages for the School Management dimension, the Student Achievement dimension, and the entire collection of 10 Likert items. Among the five TPP Provider agencies, HPU demonstrates the highest averages in all but one instance, indicated with yellow highlighting in the table. It is interesting to note that respondents expressed more positive attitudes on the Student Achievement dimension than on the School Management dimension. Considering that the majority of the respondents were classroom teachers, this finding is not especially surprising. As a group, the respondents appear relatively comfortable with their knowledge and competencies vis-à-vis impacting student achievement...at least insofar as they *perceive* themselves to be knowledgeable and competent along this dimension.

Table 3. Overall and Disaggregated Averages for TPP Provider Agencies on Likert-Scale Items								
Item Code	Question Prompt	All	Overall Average	TPP Provider Agency (Number of respondents)				
				HPU (17)	NCSU (34)	SREC (25)	UNCG (21)	WCU (9)
Q1 *	At this time, how committed are you to being a principal/assistant principal?	106	6.60	6.47	6.79	6.32	6.95	6.11
Q2A **	STRATEGIC LEADERSHIP· Establishing school vision, mission, values, beliefs, and goals· Leading change to improve achievement for all students· Developing school improvement plans by analyzing school progress data· Distributing leadership and decision-making throughout school	106	4.05	4.53	3.91	4.32	3.57	4.00
Q2B **	INSTRUCTIONAL LEADERSHIP· Alignment of learning, teaching, curriculum, instruction, and assessment based on research and best practices· Protecting teachers from disruption of instructional or preparation time· Promoting collaborative planning and student achievement	106	4.23	4.94	4.18	3.96	4.14	4.00
Q2C **	CULTURAL LEADERSHIP· Establishing a collaborative work environment· Using shared vision, values, and goals to define school identity and culture· Developing a sense of efficacy and empowerment among faculty and staff	106	4.18	4.82	3.91	4.36	3.81	4.33
Q2D **	HUMAN RESOURCE LEADERSHIP· Facilitating opportunities for effective professional development aligned with curricular, instructional, and assessment· Hiring and supporting a high-quality, high-performing staff· Evaluating teachers and other staff in a fair and equitable manner	106	3.56	4.24	3.21	3.74	3.57	3.11
Q2E **	MANAGERIAL LEADERSHIP· Establishing budget and accounting processes. Using conflict management and resolution strategies· Effectively using formal and informal communication· Developing and enforcing expectations, structures, rules, and procedures	106	3.18	3.59	2.85	3.45	3.10	3.11

Table 3. Overall and Disaggregated Averages for TPP Provider Agencies on Likert-Scale Items								
Item Code	Question Prompt	All	Overall Average	TPP Provider Agency (Number of respondents)				
				HPU (17)	NCSU (34)	SREC (25)	UNCG (21)	WCU (9)
Q2F **	EXTERNAL DEVELOPMENT LEADERSHIP· Designing structures and processes that result in parent and community engagement· Designing protocols and processes to comply with federal, state, and district mandates· Implementing district initiatives directed at improving student achievement	106	3.21	3.65	3.06	3.37	3.10	2.78
Q2G **	MICRO-POLITICAL LEADERSHIP· Developing systems and relationships to leverage staff expertise to influence the school's identity, culture, and performance	106	3.26	3.71	3.00	3.29	3.29	3.22
Q2H **	ACADEMIC ACHIEVEMENT LEADERSHIP· Contributing to the academic success of students based on established performance expectations using appropriate data to demonstrate growth	106	4.19	4.88	3.91	3.93	4.38	4.24
Q3 ***	At this time, how confident are you that you can be successful as a principal/assistant principal?	106	5.33	5.71	5.47	5.13	5.19	5.00
DIM1	School Management Dimension (Items 2A, 2C, 2D, 2E, 2F & 2G)	106	3.57	4.09	3.32	3.75	3.40	3.43
DIM2	Student Achievement Dimension (Items 2B & 2H)	106	4.21	4.91	4.04	3.94	4.26	4.12
TOTAL ****	All 10 items	106	3.84	4.31	3.68	3.86	3.76	3.67

Notes

* Q1 was scored on a 1-7 Likert scale with 7 representing the strongest commitment to being a principal.

** Q2A through Q2H were scored on 1-5 scales with 5 representing the most positive perception of their knowledge and competencies.

*** Q3 was scored on a 1-7 scale with 7 representing the strongest confidence in being a successful principal.

**** Ratings on Items Q1 and Q3 were equated with a 5-point Likert scale and added to the ratings on Items Q2A-Q2H to derive an average score for the 10 items together.

APPENDIX A: FACTOR ANALYSIS

Research Questions

The purpose of the analysis reported here was twofold. First, to establish the existence and structure of any possible constructs represented by the survey items. Second, for any such constructs, to assess whether and to what magnitude they may be reliable. Reliability is an important statistical property that allows one to generalize results. Thus, if an index has reliability, we can say that the results of the survey may be compared over time to similar groups and in similar contexts. Ultimately, the overarching research question in relation to identifying constructs may be framed as, “Is there a single dimension or are there multiple dimensions underlying the TPP Pre-Survey?” Moreover, the research question related to reliability may be stated as, “How reliable are the scales related to each identified construct?”

Methods: EFA

Exploratory factor analyses (EFA) were conducted on a set of 10 survey items with $n = 106$ cases that appeared on the pre-survey instrument. The goal was to determine whether the set of items were correlated in a manner that corresponded to unobservable latent variables (constructs). EFA is a two-step process. The first step extracts the number of factors that highly correlate pool items to one another, which is achieved by way of scree plots and eigenvalues. The second step rotates factors to increase clarity and improve interpretability of how items were grouped.

Factor Extractions: Screeplots and Eigenvalues

Since each successive factor is a residual of the previous factor’s extraction, the proportion of information in each successive factor will be less than that of those extracted before it. Thus, when sketched as magnitudes of eigenvalues, the screeplot will usually contain a vertical drop on the left with a gradual or abrupt transition to a horizontal shape. The scree plot is similar in shape to a landslide with the rubble (i.e., scree) at the bottom. The rubble should be discarded and only the factors with the greatest eigenvalues should be retained, which are located in the vertical portion of the plot (DeVellis, 2012; Green & Salkind, 2011; Tabachnick & Fidell, 2013).

Eigenvalues, in the context of scale development, signify the amount of information (i.e., accounted for variance) represented by a factor. The total amount of information represented in a set of items is equal to the total number of items, but a factor’s eigenvalue corresponds to the weight associated with each item that contributes to the total information. (DeVellis, 2012; Green & Salkind, 2011; Tabachnick & Fidell, 2013). Factors with eigenvalues less than one contain less information than a standard item and are not retained.

Among the exploratory factor extraction techniques, principle component factor extraction was employed because the goal was to reduce a larger number of variables down to a smaller set of underlying components (Tabachnick & Fidell, 2013).

Factor Rotation

Following identification of retained factors, principle component analysis with Varimax rotation was employed to increase interpretability of the results. Varimax rotation was selected because

no correlation among variables was known or assumed to exist and the goal of the EFA was to minimize the complexity of the factors components (Tabachnick & Fidell, 2013).

Data Cleaning

Survey items employed scale anchors from 1 to 7 or 1 to 5, with 1 indicating the least perceived value and 7 or 5 indicating the most perceived value. The 1-7 scale was applied to Q1 (commitment) and Q3 (confidence); the 1-5 scale was applied to questions Q2A through Q2H (knowledge and competency). Scale anchors for *commitment* ranged from 1 = “Not at all committed” to 7 = “Extremely committed.” Scale anchors for *knowledge and competency* ranged from 1 = “Not at all knowledgeable/competent” to 5 = “Extremely knowledgeable/competent.” And, scale anchors for *confidence* ranged from 1 = “Not at all confident” to 7 = “Extremely confident.”

There were seven missing items (<1%), which represented a very small proportion, but can potentially affect comparative analyses. Casewise and listwise averages were very computed and found to be similar. Thus, listwise averages were imputed for the missing values (Tabachnick & Fidell, 2013).

EFA Assumptions

The chief assumption in conducting EFA is that the variables (items) are linearly related. Scatterplots on pairs of items were visually inspected as well as tests of significance conducted on the correlations between pairs to determine linearity. (Green & Salkind, 2011). To minimize the possibility of making a Type I error, a Bonferroni approach was utilized. Thus, a *p*-value of less than .001 ($.01/10 = .001$) was required for significance. Linearly related variables to the factors were detected among the pairs Q2A-Q2H, which may be interpreted as less chances of EFA leading to spurious factors.

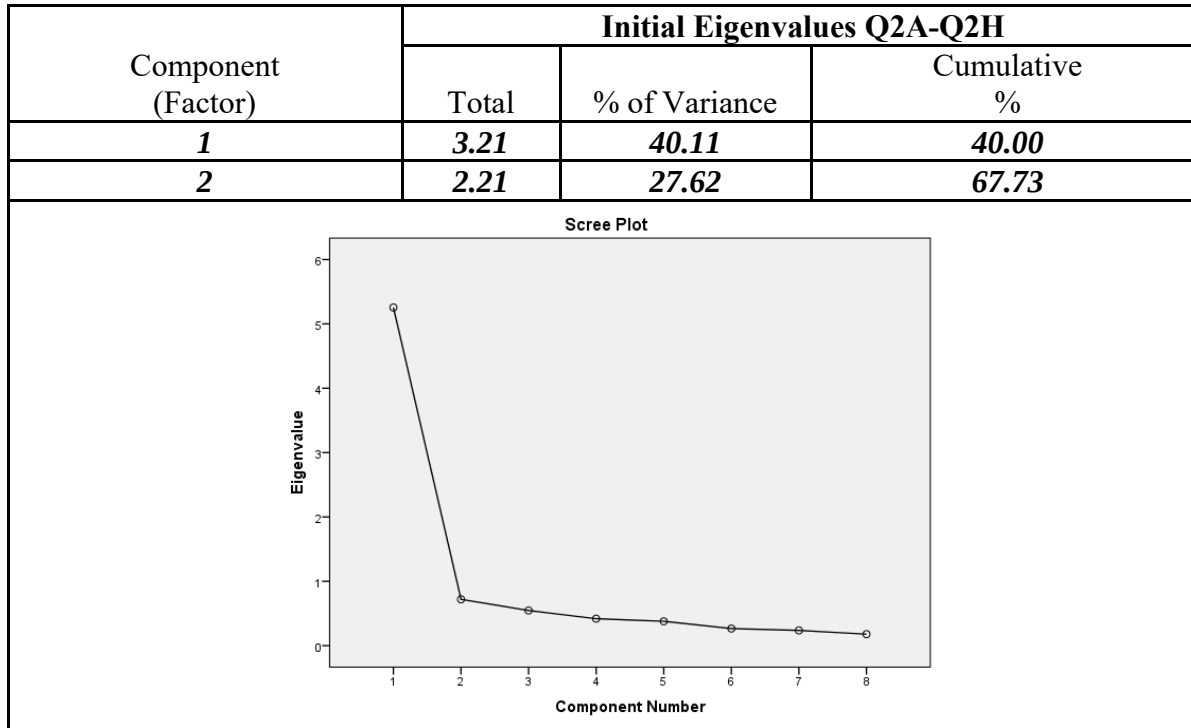
EFA extraction was conducted on all 10 items as well as separately on items 2A-2H. Because items Q1 and Q3 were singular questions, it was relevant to determine whether either of these may have an underlying latent factor that correlated to a latent factor related to items 2A-2H. In both analyses, two constructs (factors) were identified, but neither of which items 1 or 3 loaded onto adequately. Thus, the results of the EFA conducted on items Q2A-Q2H are reported here.

EFA Results

EFA Q2A-Q2H

Factor extraction

Two factors were identified among Q2A-Q2H.

**Factor rotation**

Factor Loading Matrix Q2A-Q2H		
Items	Component (Factor)	
	1	2
Q2A	.64	.51
Q2B	.99	-.01
Q2C	.62	.43
Q2D	.64	.49
Q2E	.39	.57
Q2F	.58	.58
Q2G	.62	.59
Q2H	.76	.26

EFA Discussion

After executing factor extraction and rotation, a decision was made to determine which items to retain and on which factor by adopting the criteria outlined by Tabachnick and Fidell (2013). In relation to the highest loading, items with a maximum loading value less than 0.32 were eliminated because they were poor. Items with maximum loading values of at least 0.55 were considered good, 0.65 considered very good, and 0.71 or higher considered excellent. Items with these loadings (at least 0.55) were retained without modification. Items with maximum loading values of at least 0.32 but no greater than 0.54 could be either combined, refined, or eliminated because they were less than good but not poor. Each item was permitted to only load on one component (factor) so that it attained maximum loading. Moreover, a component (factor) would need at least two items to load on it to be considered a viable latent construct.

Applying these criteria, the initial results are summarized below:

TPP Pre-Survey Rotated Factor Matrix	
Dimension 1	Dimension 2
Items	Items
2A	2B
2C	2H
2D	
2E	
2F	
2G	

The dimensions were investigated further in relation to communalities which can be interpreted as the proportion of variation in a particular variable explained by its delineated factors. When sample sizes are small or the number of variables (items) that load on a factor is fewer than five, structure may be considered stable if communalities are at least 0.60 (or an average of at least 0.70 as a group) for each item and factor loadings are high.

For dimension 1 (2A, 2C, 2D, 2E, 2F, 2G), initial communalities were .67, .60, .64, .45, .63, and .68, respectively with loadings on dimension 1 of .69, .61, .67, .66, .74, and .76, respectively. We may conclude dimension 1 is stable and should be retained, with the possible exception of 2E. This item indicated a low communality (.45) but a high loading on dimension 1 (.66). Possibly, this item may be worded more clearly rather than eliminated.

For dimension 2 (2B and 2H), initial communalities were .70 and .68, respectively with loadings on dimension 2 of .95 and .64. Based on these results, dimension 2 may also be considered stable structure.

In reviewing the items in each dimension, the first dimension appears to characterize a participant's perception of their managerial knowledge and competencies. This dimension could be labeled School Management. Items in the second dimension appear to reflect a participant's perception of their knowledge and competencies associated with student achievement, which could be labeled Student Achievement.

Methods: CFA

A scale is reliable if it yields similar results across multiple administrations (DeVellis, 2012; Nunnally, 1978; Tabachnick & Fidell, 2013). There are two approaches to determining whether a scale is reliable. One approach examines correlational computations between measures as indicative of reliability and include test-retest or equivalent-forms analyses. A second approach to determine the reliability of a scale examines internal consistency estimates for a single administration with multiple items related to each scale. This statistic, referred to as Cronbach's coefficient alpha (α), is computed by employing confirmatory factor analysis or CFA (DeVellis, 2012; Nunnally, 1978; Tabachnick & Fidell, 2013).

In scale development, $\alpha = 0.70$ is considered minimally acceptable; values equal to or greater than 0.90 indicate scale shortening is needed, whereas ranges of 0.70 to 0.89 are desirable. The following table articulates conventional thresholds.

Instrument Development Reliability Thresholds	
x = Coefficient Alpha Value	Reliability Interpretation
$x < 0.60$	Unacceptable
$0.60 \leq x < 0.65$	Undesirable
$0.65 \leq x < 0.70$	Minimally Acceptable
$0.70 \leq x < 0.80$	Respectable
$0.80 \leq x < 0.90$	Very Good
$x \geq 0.90$	Shorten the Scale

Adopted from DeVellis (2012). Cut-off scores for internal reliability used in CFA.

Assumptions of CFA

As noted above, all the items are scaled positively so that a high score (7 or 5) indicates a high level of the particular construct. Three assumptions were verified prior to CFA. First, every item in each dimension (construct) was assumed to be equivalent to the other items related to that particular construct (Green & Salkind, 2011). Second, items within each dimension (construct) were assumed to contain unrelated measurement errors. For example, items did not relate to separate experiences but to the current TPP program. Third, it was assumed that an item's score was a sum of both true and error scores (Green & Salkind, 2011).

CFA Results

Two dimensions were assessed. These were School Management, which included questions 2A, and 2C-2G. The second dimension was Student Achievement, which included items 2B and 2H.

All Items (1-10)		
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.90	.89	10

Dimension 1: School Management						
Cronbach's Alpha = .91						
Item Statistics (n = 106)						
Item		Mean		Std. Deviation		
Q2A		4.03		1.25		
Q2C		4.18		1.33		
Q2D		3.56		1.35		
Q2E		3.18		1.27		
Q2F		3.21		1.28		
Q2G		3.26		1.27		
Summarized Statistics (N = 6 Items)						
	Mean	Minimum	Maximum	Range	Max/Min	Variance
Item Means	3.57	3.18	4.18	.99	1.31	.20
Item Variances	1.67	1.57	1.83	.26	1.16	.01

Dimension 2: Student Achievement		
Cronbach's Alpha = .86		
Item Statistics (n = 106)		
Item	Mean	Std. Deviation
Q2B	4.23	1.39
Q2H	4.19	1.15

Summarized Statistics (N = 2 Items)						
	Mean	Minimum	Maximum	Range	Max/Min	Variance
Item Means	4.21	4.19	4.23	.03	1.01	.00
Item Variances	1.62	1.32	1.93	.61	1.47	.19

CFA Discussion

According to the reliability thresholds established above, the School Management and Student Achievement dimensions both demonstrate “very good,” reliability estimates. Overall, these results suggest that the items selected for each dimension are reliable estimators of the underlying constructs. Moreover, Cronbach’s alpha results were high for the entire set of 10 items as a group ($\alpha = .89$). The Cronbach’s alpha values demonstrated in this set of analyses indicate that this survey is reliable and can be generalized. Thus, the survey will yield consistent results for repeated administrations for similar groups. It is reliable for purposes of repeated administrations and generalizability

References

- DeVellis, R. F. (2012). *Scale development: Theory and applications*. Los Angeles, CA: Sage
- Green, S. B., & Salkind, N. J. (2011). *Using SPSS for Windows and Macintosh: Analyzing and understanding data (6th ed.)*. Boston, MA: Pearson Education, Inc.
- Tabachnick, B. G., & Fidell, L. S. (2013). *Using multivariate statistics (6th ed.)*. Boston, MA: Pearson.

APPENDIX B: SURVEY FORMAT

Principal Preparation Program Participant Pre-Survey

Welcome to the Principal Preparation Program Participant Pre-Survey

Informed Consent Form

Principal Preparation Program Participants

You are being asked to participate in a program evaluation. Please read this form carefully and ask any questions you have before agreeing to take part in the evaluation.

What the evaluation is about: The North Carolina General Assembly established a grant program, the Transforming Principal Preparation (TPP) Program, for the purpose of elevating “educators in North Carolina public schools [through] transforming the preparation of principals across the State.” The North Carolina Alliance for School Leadership Development (NCASLD) was charged by the General Assembly with responsibility for overseeing this grant program. NCASLD contracted with GrantProse, Inc. to implement an evaluation of the TPP Program to examine best practices in the preparation of school principals, compare and contrast these practices among grantee institutions/agencies, and gauge the impact such programs may have on participants. You are a participant in a principal preparation program receiving this grant funding.

What you will be asked to do: If you agree to participate, you will be asked to complete annual online surveys expected to take approximately 20 minutes (one hour total over three years). Information collected will be used to inform TPP Program grantees about program progress and opportunities to effect continuous improvements in program operations. The results of the evaluation will be shared with NCASLD and the NC State Education Assistance Authority (SEAA), which in turn may make the results available to the NC General Assembly as well as other interested parties.

What good will come from the evaluation: No specific direct benefits are expected from participation in this evaluation. Results will be shared with NCASLD leaders and will be incorporated in reports that are made to the SEAA. Enhanced partnerships between your principal preparation program, other grantee institutions/agencies, and NCASLD may benefit the future development of principal preparation programs. Benefits to participants in the program at your institution/agency may occur as a result of evaluation activities to the degree they serve the purpose of improving the operations of the principal preparation program.

Important Things to Know about Being Part of the Evaluation

- 1. You don't have to do this.** Participation is completely voluntary and you can withdraw at any time without penalty, even after you start.
- 2. There is no payment for doing this.** You are doing it for free.
- 3. Risks to you.** As in any program evaluation, participants could conceivably experience discomfort or uncertainty relating to topics or questions raised. This, however, is no larger a risk than any routine online or personal discussion you would encounter in your daily professional life and therefore does not represent any risk particular or unique to this project.
- 4. Your responses will be kept confidential.** All information you provide will be kept completely confidential. Your answers will be kept private and secure via an industry-standard, HIPAA-compliant online data collection system. Your name will not be connected to your individual responses. Information provided by you in response to surveys is linked to an identification (ID) number, a unique identifier assigned only to you and known only to GrantProse staff. Once your information is coded with the unique ID, your personal name and any other personally identifiable information about you are not associated with any data file containing your responses. Data collected from you will be stored electronically and password protected on GrantProse company computers.
- 5. If you have questions about the evaluation.** If you have questions at any time about the evaluation or the procedures, you may contact Dr. Janey McMillen, Director of Program Evaluation at GrantProse, Inc. (919-924-6779), (grantprose.janeym@gmail.com).

* 1. **Statement of Consent:** Making a selection below indicates that:

(1) I am at least 18 years of age.

(2) I have read the information provided above and agree to be in this study, with the understanding that I may withdraw at any time,

(3) I have asked all the questions I have at this time, and have been told whom to contact if I have additional questions, to discuss problems or concerns related to the research, or to obtain information or offer input about the research, and

(4) I have received a copy of this consent form.*

☐ Yes, I agree to participate.

☐ No, I do not agree to participate in this research study at this time.

In order to continue, you must indicate your level of agreement by clicking one of the boxes above.

*A copy of this consent form may be obtained by clicking on [this link](#); please print a copy for your records.

This consent form will be kept by the Principal Investigator for at least three years beyond the end of the evaluation and was approved by the IRB.

Principal Preparation Program Participant Pre-Survey

COMMITMENT

Please rate the extent to which you feel the statement below reflects your current level of commitment.

2. COMMITMENT

Not at
all committed
1

2

3

4

5

6

Extremely
Committed
7

At this time, how
committed are you to
being a
principal/assistant
principal?

☐☐☐☐☐☐☐

Principal Preparation Program Participant Pre-Survey

Copy of page: KNOWLEDGE AND COMPETENCY

Please rate the extent of your current knowledge and competency in each of the executive standards.

3. EXECUTIVE STANDARDS

	Not at all knowledgeable/ competent 1	2	3	4	5	6	Extremely knowledgeable/ competent 7
STRATEGIC LEADERSHIP							
· Establishing school vision, mission, values, beliefs, and goals							
· Leading change to improve achievement for all students	☐	☐	☐	☐	☐	☐	☐
· Developing school improvement plans by analyzing school progress data							
· Distributing leadership and decision-making throughout school							
INSTRUCTIONAL LEADERSHIP							
· Alignment of learning, teaching, curriculum, instruction, and assessment based on research and best practices	☐	☐	☐	☐	☐	☐	☐
· Protecting teachers from disruption of instructional or preparation time							
· Promoting collaborative planning and student achievement							
CULTURAL LEADERSHIP							
· Establishing a collaborative work environment							
· Using shared vision, values, and goals to define school identity and culture	☐	☐	☐	☐	☐	☐	☐
· Developing a sense of efficacy and empowerment among faculty and staff							

Principal Preparation Program Participant Pre-Survey

Copy of page: KNOWLEDGE AND COMPETENCY

Please rate the extent of your current knowledge and competency in each of the executive standards.

4. EXECUTIVE STANDARDS

Not at
all knowledgeable/
competent

Extremely
knowledgeable/
competent

1

2

3

4

5

6

7

**HUMAN RESOURCE
LEADERSHIP**

- Facilitating opportunities for effective professional development aligned with curricular, instructional, and assessment
- Hiring and supporting a high-quality, high-performing staff
- Evaluating teachers and other staff in a fair and equitable manner

☐☐☐☐☐☐☐
**MANAGERIAL
LEADERSHIP**

- Establishing budget and accounting processes.
- Using conflict management and resolution strategies
- Effectively using formal and informal communication
- Developing and enforcing expectations, structures, rules, and procedures

☐☐☐☐☐☐☐

	Not at all knowledgeable/ competent						Extremely knowledgeable/ competent
	1	2	3	4	5	6	7
EXTERNAL DEVELOPMENT LEADERSHIP							
· Designing structures and processes that result in parent and community engagement							
· Designing protocols and processes to comply with federal, state, and district mandates	☐	☐	☐	☐	☐	☐	☐
· Implementing district initiatives directed at improving student achievement							

Principal Preparation Program Participant Pre-Survey

Copy of page: KNOWLEDGE AND COMPETENCY

Please rate the extent of your current knowledge and competency in each of the executive standards.

5. EXECUTIVE STANDARDS

	Not at all knowledgeable/ competent	1	2	3	4	5	6	Extremely knowledgeable/ competent
MICRO-POLITICAL LEADERSHIP								
· Developing systems and relationships to leverage staff expertise to influence the school's identity, culture, and performance	☐	☐	☐	☐	☐	☐	☐	☐
ACADEMIC ACHIEVEMENT LEADERSHIP								
· Contributing to the academic success of students based on established performance expectations using appropriate data to demonstrate growth	☐	☐	☐	☐	☐	☐	☐	☐

Principal Preparation Program Participant Pre-Survey

CONFIDENCE

Please rate the extent to which you feel the statement below is true of your confidence.

6. CONFIDENCE

Not at
all confident
1

2

3

4

5

6

Extremely
confident
7

At this time, how
confident are you that
you can be successful as
a principal/assistant
principal?

☐☐☐☐☐☐☐

Principal Preparation Program Participant Pre-Survey

Demographic and Contact Information

7. Year of Birth:

8. Sex:

☐ Male

☐ Female

9. Which of the following best describes your race/ethnicity?

☐ American Indian/Alaska Native

☐ Asian

☐ Black/African American

☐ Native Hawaiian or Pacific Islander

☐ White

☐ More than one race

10. Do you consider yourself Hispanic or Latino/a?

☐ Yes

☐ No

11. Prior to entering the principal preparation program, what was the highest level of education you had completed?

☐ Bachelor's Degree (4 year)

☐ Master's Degree

☐ Ph.D/Ed.D.

☐ Other (please specify)

12. Prior to entering the principal preparation program, what was your most recent employment position?

- ☐ Regular education teacher
- ☐ Special education teacher
- ☐ School counselor
- ☐ School psychologist
- ☐ Social worker
- ☐ Other (please specify)

13. LEA in which you are currently employed:

14. Prior to entering the principal preparation program, how many years of experience did you have in the K-12 school setting?

15. What is your expected date of program completion (MM/YYYY)?

16. What degree will you receive when you complete your program?

17. What is your expected date of licensure (MM/YYYY)?

Principal Preparation Program Participant Pre-Survey

Thank you!

This is the end of the survey. Thank you for your responses!



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Transforming Principal Preparation Program Grant Quarterly Report Jul-Sep 2018

Report 3.02

Pamela Lovin, Janey Sturtz McMillen, William Carruthers, & Eleanor Hasse¹
October 2018

OVERVIEW

Quarterly reports produced in the course of evaluating the grant program funded by the N.C. legislation Session Law 2015-241 Section 11.9, Transforming Principal Preparation (TPP), provide a record of the significant events, activities, and developments in the program at three-month intervals and will be useful for sharing information about the program with interested parties. The reports are organized to provide information on the inputs, strategies and activities, outputs, and outcomes associated with NCASLD, as the administrator of the grants, and the TPP Provider agencies (Providers) that have received grant funding.

This report provides information on GrantProse's evaluation of NCASLD and Provider activities for the third quarter of 2018, July 1 through September 30. This is the tenth quarterly report produced.

TIER 1: EVALUATION OF NCASLD

Program Staffing

NCASLD program staffing needs were determined based on the seven key areas of responsibility outlined in the Scope of Work in the NCASLD application to the North Carolina State Education Assistance Authority (SEAA). At the end of the 2017-18 year, NCASLD staffing for the TPP program consisted of Dr. Shirley Prince, serving as the program director and committing approximately 45% of her time to administering the project, and Ms. Tracy McBride, serving as the program coordinator and committing approximately 55% of her time to the project. Expectations for the 2018-19 year are that this level of staffing will remain the same.

Budget

NCASLD continues to submit monthly invoices to SEAA. NCASLD has provided GrantProse with invoices that NCASLD submits to the SEAA for expenses associated with administering

¹ Suggested citation: Lovin, P., Sturtz McMillen, J., Carruthers, W., & Hasse, E. (2018, October). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Jul-Sep 2018 (Report 3.02)*. Garner, NC: GrantProse, Inc.

the TPP Program and budget expenditures appear to be reasonable, allowable, and allocable. Expenditures to date are as expected according to the projected timelines and activities.

NCASLD was budgeted \$361,000 for the 2018-19 year. Revisions to the budget from the prior year include expanding implementation of the Professional Learning Network.

NCASLD requested 2018-19 budgets from all Providers to be submitted by June 30, 2018. Possible adjustments to the Provider budgets for 2018-19 included any 2018-19 expenses that were paid with funds from 2017-18 such as Fall tuition. Once receiving adjusted budgets, NCASLD began negotiations with the Provider agencies and returned budget approvals to four of the five Providers by September 24, 2018. Negotiations with UNCG and NCSU resulted in UNCG increasing the number of participants. Budget negotiations with NCSU remained unresolved at the time of this report.

Fiscal Controls

NCASLD has updated the internal process for reviewing Provider agency invoices for allowability, allocability, and adherence to the final approved budgets. On September 7, 2018, NCASLD updated the TPP Google Drive with a Financial Handbook and brief video detailing all financial deadlines and requirements. Additionally, invoices will continue to be reviewed by NCASLD and GrantProse project management and finance personnel before submission to SEAA.

Contractual Obligations

NCASLD appears to be in compliance with all contractual obligations.

NCASLD renewed its contract with SEAA (\$361,000) and a sub-contract with GrantProse, Inc. (\$139,860) in order to continue administration and evaluation activities for the Transforming Principal Preparation Program grant. NCASLD also renewed its contract with the NYC Leadership Academy (NYCLA) with \$33,000 for NYCLA staff to continue providing consultation services in a variety of areas to help NCASLD further serve Providers' professional learning needs.

Funding Opportunities

NCASLD is preparing a proposal to the Bill & Melinda Gates Foundation to implement a Principal Prep Transformation Center. NCASLD is seeking \$1M in funding for each of three years beginning July 2019.

Timeline of NCASLD Activities

Table 1 shows the status of activities established in the legislation or NCASLD scope of work for this report period. NCASLD has met milestones established for the eleventh quarter of the project.

Table 1. NCASLD Activities Completed in the Period July through September 2018		
Date	Function	Activity
7/31/2018	Evaluation	GrantProse submits the Year 2 annual evaluation report to SEAA.
8/8/2018	Administration	NCASLD hosts virtual legislation update for TPP Providers.
8/31/2018	Evaluation	NCASLD and NCDPI execute an MOA for sharing NCDPI data on graduates of all principal prep programs in the state.
9/2018	Administration	NCASLD approves four of the five TPP Provider budgets.
9/7/2018	Administration	NCASLD hosts a virtual discussion of NCASLD Financial Handbook for TPP Providers.
10/2/2018	Administration	NCASLD hosts in-person meeting of the PLN at the NCSU Friday Institute and disseminates the GrantProse Year 2 SEAA annual report to Provider agencies.

Scope of Work

NCASLD has fulfilled the seven key areas of responsibility proposed in its Scope of Work as follows:

- A. Issue a Request for Proposal:* No new information to report.
- B. Evaluate and select eligible applicants:* No new information to report.
- C. Recommend grant recipients and duration to the SEAA:* No new information to report.
- D. Collect and report program data from grantee Providers:* NCASLD has employed GrantProse to conduct all evaluation activities of the TPP Programs. This evaluation has been ongoing since the beginning of the program. In July, GrantProse submitted the annual evaluation report to SEAA.²

In order to compare and contrast outcomes achieved by the TPP programs with those achieved by non-TPP principal preparation programs in the state, GrantProse prepared a research proposal for the North Carolina Department of Public Instruction (NCDPI) to consider. The proposal requested data on graduates of all principal preparation programs in the state for recent years. With such data, it could be possible to compare rates at which TPP graduates and non-TPP graduates secure principal licensure, employment in principal and assistant principal positions, and employment at high needs schools. A Memorandum of Agreement (MOA) between NCDPI and NCASLD for NCDPI to share such data with NCASLD was fully

² The GrantProse annual report to the SEAA for Year 2 consisted of three components: 1) Annual Report, 2) Technical Report, and 3) Exhibit B. These documents can be found at <http://www.ncasld.org/principalpreparation.html>

executed on August 31, 2018. At the time of this quarterly report, NCDPI was preparing the dataset. Additionally, an Addendum to the MOA has been authorized, allowing NCDPI to share additional data on school growth indices that NCDPI indicates could further support the GrantProse research activities.

E. Evaluate grantee(s) for grant renewal: NCASLD recommended to SEAA that all five Provider agencies be approved to continue implementing the TPP programs in the 2018-19 year and beyond. The two programs that NCSU conducted last year have been merged into one program for Funding Cycle 2.

F.1. Additional Proposed Activities of NCASLD: Provide technical assistance to grantee Providers: NCASLD hosted a virtual meeting August 8, 2018, for the Provider agencies to discuss changes to the legislation. The legislation requires Funding Cycle 2 program participants to have a Master's degree before receiving licensure and requires a "claw back" provision. Providers also discussed ways to track participants once they have graduated from the program and the definition of "school administrator." NCASLD planned to continue this discussion at the October 2 TPP Professional Learning Network meeting.

F.2. Additional Proposed Activities of NCASLD: Establish and convene a statewide Professional Learning Network: NCASLD, with consultation from NYCLA, will hold an in-person Professional Learning Network (PLN) meeting to take place on October 2, 2018, at NCSU's Friday Center for Educational Innovation.

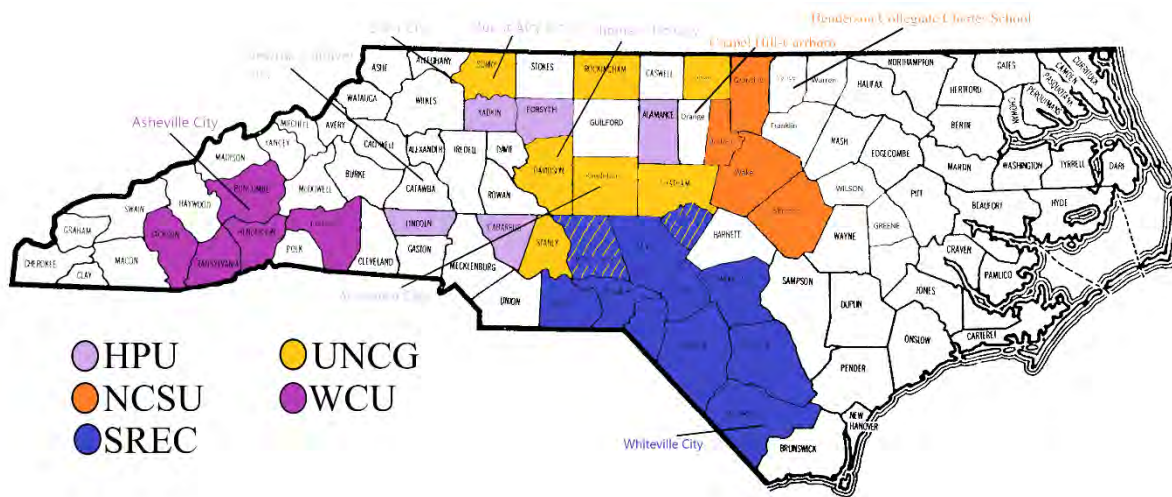
TIER 2: EVALUATION OF PROVIDERS

Budget

Providers continue to submit quarterly invoices to NCASLD. Budget expenditures appear to be reasonable, allowable, and allocable. Expenditures to date are as expected according to the projected timelines and activities. At the time this quarterly report was being prepared, TPP program invoices for the July through September quarter were being reviewed by NCASLD and GrantProse.

Partnerships with LEAs

TPP Providers developed partnerships with LEAs for the 2018-19 cycle. The five TPP programs partnered with 43 Local Education Authorities (LEAs) in 32 North Carolina counties shown in **Figure 1** and listed in **Table 2**.

FIGURE 1. LEAS PARTNERED WITH FUNDED TPP PROGRAMS

All Providers have partnered with multiple LEAs and two LEAs (Lee and Montgomery) partnered with more than one Provider. **Table 2** provides a summary of counties and municipalities served in the TPP Programs.

TABLE 2. COUNTIES AND MUNICIPALITIES SERVED IN THE TPP PROGRAMS		
TPP Program	Areas Served	Count of LEAs
<i>High Point University's Leadership Academy</i>	Alamance-Burlington, Asheboro City, Cabarrus, Elkin City, Lincoln, Mount Airy City, Newton-Conover City, Thomasville City, Vance, Winston-Salem/Forsyth, Yadkin	11 LEAs o 6 counties o 5 cities
<i>NC State's North Carolina Leadership Academy</i>	Chapel Hill-Carrboro, Durham, Granville, Henderson Collegiate Charter School (Henderson), Johnston, Magellan Charter School (Raleigh), and Wake	7 LEAs o 4 counties o 1 city o 2 charter schools
<i>Western Carolina's North Carolina School Executive Leadership Program</i>	Asheville City, Buncombe, Henderson, Jackson, Rutherford, Transylvania	6 LEAs o 5 counties o 1 city
<i>UNC-Greensboro's Principal Preparation for Excellence and Equity in Rural Schools</i>	Chatham, Davidson, Lee, Montgomery, Person, Randolph, Rockingham, Stanly, and Surry	9 LEAs o 9 counties
<i>Sandhills Regional Education Consortium's Sandhills Leadership Program</i>	Anson, Bladen, Columbus, Cumberland, Lee, Montgomery, Moore, Hoke, Richmond, Robeson, Scotland, and Whiteville City	12 LEAs o 11 counties o 1 city
Total	Two LEAs- Lee and Montgomery- partnered with more than one program.	43 LEAs o 33 counties o 10 others

Recruitment and Selection

TPP Providers recruited and selected 124 new participants for the 2018-20 funding cycle, as reported in **Table 3**.

Table 3. TPP Providers and Number of 2018-2019 TPP Participants	
TPP Provider	Number of 2018-2019 TPP Participants
HPU ³	33
NCSU	34
SREC	25
UNCG	22
WCU	10
TOTAL	124

Progress Toward a Degree/License

Excepting the 16 participants that HPU will start in the Spring 2019 semester, all 2018-19 participants are taking coursework in the Fall 2018 semester. Participants in the NCSU and SREC programs began their coursework over the summer 2018.

Outcome Measures From Funding Cycle 1: 2016-18

Selected outcome measures from the 2016-18 funding cycle for the TPP programs that were reported in the July 2018 GrantProse report to the SEAA are repeated here:

- Ninety-seven (88.2%) of 110 program participants responding to a survey in the latter half of 2017-18 ‘Agreed’ or ‘Strongly Agreed’ that features associated with best practices in principal preparation programs were present in their programs.
- Thirty-one (100%) of 31 LEA representatives, many of whom were superintendents and assistant superintendents, ‘Agreed’ or ‘Strongly Agreed’ with the statement that they were very satisfied with the overall quality of the program.

TIER 3: EVALUATION OF PARTICIPANTS

Funding Cycle 1: 2016-18. Selected outcome measures from the 2016-18 funding cycle for TPP participants that were reported in the July 2018 GrantProse report to the SEAA are repeated here:

- During the two years, the six programs enrolled a total of 120 participants.
- Of the 120 participants, 77 (64.2%) were White, 40 (33.3%) were African-American, 3 (2.5%) were other races/ethnicities, and 78 (65%) were female.
- As of May 2018, 118 (98.3%) participants completed their programs.
- The 118 completers earned an average of 32.7 cumulative credit hours across programs (range 22-39).
- Of the 118 completers, 89 (75.4%) had received Masters degrees through the TPP program and 95 (80.5%) completed school administrator licensure requirements at the time the SEAA report was produced.

³ HPU is serving a cohort of 17 participants in the Fall 2018 semester and plans to add another cohort of 16 participants in the Spring 2019 semester.

- Of the 120 original participants, 73 (60.8%) had secured positions as Assistant Principals (AP) in North Carolina schools at the time the SEAA report was produced.
- School assignments were known for 70 of the individuals who had secured assistant principal positions at the time of this report and 47 (67.1%) of these 70 positions were in high needs schools.
- The 67.1% assigned to high needs schools is almost 10 percentage points higher than the 57.9% high needs schools that GrantProse identified for the entire state in 2017-18.
- Sixty-one (95.3%) of 64 school principals serving as mentors for participants during their internship ‘Agreed’ or ‘Strongly Agreed’ that their mentee would be adequately prepared to perform the tasks required of a successful principal upon completion of the TPP program.
- Twenty-four (96.0%) of 25 educators serving as executive coaches for the participants rated their overall satisfaction with the performance of their mentees as a 6 (‘Mostly Satisfied’) or 7 (‘Very Satisfied’) on a 7-point Likert scale.

Funding Cycle 2: 2018-20. An online pre-survey of individuals participating in the second funding cycle of the TPP Program was initiated in May 2018. The purpose of the survey was to gather information preparatory to addressing three questions posed by the State Education Assistance Authority:

- Changes in participants’ commitment to seeking principal positions over time,
- Changes in participants’ leadership knowledge and competencies over time, and
- Changes in participants’ leadership self-efficacy over time.

A post-survey will be conducted with these participants circa May 2019 to assess possible change over the course of the 2018-19 year on any of these questions.

Of the 106 respondents to the survey, 71 (68.9%) were female, 78 (75.7%) were White, and 51 (49.0%) held advanced degrees. Seventy-five (70.8%) of the respondents indicated they had been employed as a regular education or special education teacher before beginning the TPP Program. The average years of experience in education for the 106 respondents was 11.7 years with 7 respondents indicating 0-4 years, 35 indicating 5-9 years, 33 indicating 10-14 years, 19 indicating 15-19 years, and 11 indicating 20 or more years.

CONCLUSIONS

Tier 1 Evaluation: NCASLD continues to implement the program with fidelity to the legislation and their proposal to SEAA. Tier 2 Evaluation: Similarly, TPP Programs are fully engaged in the program and committed to sharing insights, lessons learned, and best practices with each other, NCASLD, and the GrantProse evaluation team. Tier 3 Evaluation: All 2018-19 Participants began coursework during this quarter.

Overall, NCASLD and the TPP Programs continue to make progress along a challenging timeline while maintaining compliance with program and legislative requirements.

APPENDIX A

This section lists selected documents and reports GrantProse has produced for the TPP grant program to date.

Annual Reports to SEAA

- Sturtz McMillen, J., Carruthers, W., Hasse, E., Dale, E. M., & Copeland, J. (2017, July). *Transforming Principal Preparation Grant Program: First Year Report. Corrected February 2018*. Garner, NC: GrantProse, Inc.
- Sturtz McMillen, J., Carruthers, W., Lovin, P., & Hasse, E. (2018, July). *Transforming Principal Preparation Grant Program: Second Year, Annual Report*. Garner, NC: GrantProse, Inc.
- Sturtz McMillen, J., Carruthers, W., Lovin, P., & Hasse, E. (2018, July). *Transforming Principal Preparation Grant Program: Second Year, Technical Report*. Garner, NC: GrantProse, Inc.

Quarterly Reports to NCASLD

- Carruthers, W., Braswell, J., Hasse, E. (2016, May). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Jan-Mar 2016*. Garner, NC: GrantProse, Inc.
- Carruthers, W., Braswell, J., Hasse, E. (2016, July). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Apr-Jun 2016*. Garner, NC: GrantProse, Inc.
- Braswell, J., Hasse, E., McMillen, J., & Carruthers, W. (2016, November). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Jul-Sept 2016*. Garner, NC: GrantProse, Inc.
- Carruthers, W., Braswell, J., Hasse, E., McMillen, J. (2016, January). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Oct-Dec 2016*. Garner, NC: GrantProse, Inc.
- Carruthers, W., Braswell, J., Hasse, E., McMillen, J. (2017, June). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Jan-Mar 2017*. Garner, NC: GrantProse, Inc.
- Carruthers, W., Sturtz McMillen, J., & Hasse, E. (2017, July). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Apr-Jun 2017*. Garner, NC: GrantProse, Inc.
- Dale, E. M., Sturtz McMillen, J., Lovin, P., Carruthers, W., & Hasse, E. (2017, October). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Jul-Sep 2017*. Garner, NC: GrantProse, Inc.
- Dale, E. M., Sturtz McMillen, J., Lovin, P., Carruthers, W., & Hasse, E. (2018, January). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Oct-Dec 2017*. Garner, NC: GrantProse, Inc.
- Lovin, P., Dale, E. M., Sturtz McMillen, J., Carruthers, W., & Hasse, E. (2018, April). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Jan-Mar 2018*. Garner, NC: GrantProse, Inc.
- Lovin, P., Sturtz McMillen, J., Carruthers, W., & Hasse, E. (2018, October). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Jul-Sep 2018 (Report 3.02)*. Garner, NC: GrantProse, Inc.

Evaluation Reports

Carruthers, W. (2018, March). *TPP Participants' Survey: Mid-Year 2017-18*. Garner, NC: GrantProse, Inc.

Carruthers, W. & Hasse, E. (2018, April). *Evaluation Procedures: Identifying High Needs Schools*. Garner, NC: GrantProse, Inc.

Sturtz McMillen, J. S., Lovin, P., Hasse, E., Dale, E. & Carruthers, W. (2018, April). *TPP Growth Plans: Mid-Year 2017-18*. Garner, NC: GrantProse, Inc.

Carruthers, W., Lovin, P., & Copeland, J. (2018, June). *Participants' Pre-Survey Results: Funding Cycle 2 (Report 3.01)*. Garner, NC: GrantProse, Inc.

Guidances

Guidance 01: *Guidance on Preparing and Submitting Invoices to NCASLD*. (2016, November). NCASLD Transforming Principal Preparation Quarterly Report: Jan - Mar 2018

Guidance 02: *Complying with Institutional Review Board procedures associated with the GrantProse evaluation of the Principal Preparation Program*. (2016, November).

Guidance 03: *Use of Grant Funds to Pay for Food and Beverages*. (2017, April).

Other

Transforming Principal Preparation Program Evaluation: Report on Proposal Review and Award Recommendation. (2016, May). Garner, NC: GrantProse, Inc.

Principal Preparation Program Grant: Report on Proposal Review and Award Recommendations: Fall 2016 Competition. (2016, October). Garner, NC: GrantProse, Inc.

Transforming Principal Preparation in NC: Program Update Summary (2017, March). Garner, NC: GrantProse, Inc. (Prepared for Representative Blackwell)

Electronic documentation for the PED Measurability Assessment (2017, August) composed by NCASLD, GrantProse, and SEAA is stored at the NCASLD offices.

APPENDIX B: PROGRAM MILESTONES TO DATE

Table 4. 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	Program participants take part in an online survey
May 22, 2017	NCASLD conducted a one-day summit for Program Directors and selected program participants
May/June 2017	HPULA and SLP began a second cohort of program participants
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.
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	DPLA, HPULA (Cohort I), NCLA, NCSELP, PPEERS, and SLP (Cohort I) 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.

Date	Activity
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 New York City Leadership Academy (NYCLA), the first <i>face-to-face</i> Professional Learning Network meeting.
November 6 – December 7, 2017	GrantProse conducted on-site Program Director/team site visits 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.
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.
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.

Date	Activity
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 2, 2018	NCASLD hosts in-person meeting of the PLN at the NCSU Friday Institute, and NCASLD disseminates the GrantProse Year 2 SEAA annual report to Provider agencies



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CORRECTED ¹
TPP Mid-Year Report: 2018-19
February 2019
Report 3.03

William Carruthers, Janey Sturtz McMillen, Eleanor Hasse & Pamela Lovin ²

EXECUTIVE SUMMARY

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

An overarching conclusion of this report is that the best practices being tested by institutions participating in the TPP program appear—on whole—to improve the quality of their programs; however, it is unlikely that these agencies can sustain all such practices should TPP funding cease in future years. Similarly, it is unlikely that all practices can be scaled across the state to other principal preparation programs without the state investing considerable additional revenue. ³ Even should the state provide continued TPP funding, it is questionable whether this funding will be sufficient to permit scaling the program’s best practices to additional principal preparation programs across the state. If the programs are to be sustained at the existing agencies and scaled to other programs across the state, then NCASLD and the Providers need to give serious consideration to how extraordinary costs can be covered and/or how such costs can be reduced while at the same time continuing to implement the identified best practices.

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

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

¹ This ‘corrected’ report reflects information gained in February 2019 that SREC intends to add two more participants beginning with the 2019 summer sessions. General discussion and conclusions of the report are not altered by this correction.

² Suggested citation: Carruthers, W., Sturtz McMillen, J., Hasse, E., & Lovin, P. (2019, February). *Corrected TPP Mid-Year Report: 2018-19 (Report 3.03)*. Garner, NC: GrantProse, Inc.

³ See Appendix A for a discussion of these best practices. GrantProse also provides a discussion of the best practices in its 2018 annual report to the State Education Assistance Authority: Sturtz McMillen, J., Carruthers, W., Lovin, P., & Hasse, E. (July 2018). *Transforming Principal Preparation Grant Program: Second Year, Annual Report*. Garner, NC: GrantProse, Inc.

- a) **Comparing 2018-20 TPP awards and per participant costs.** Figure 2 shows that NCSU is managing the largest TPP award and WCU is managing the smallest award.⁴ When analyzed on a per participant basis, Figure 3 shows that per participant costs are greatest at UNCG followed by NCSU and least at HPU followed by WCU.

Figure 2. Total Value of 2018-20 TPP Awards

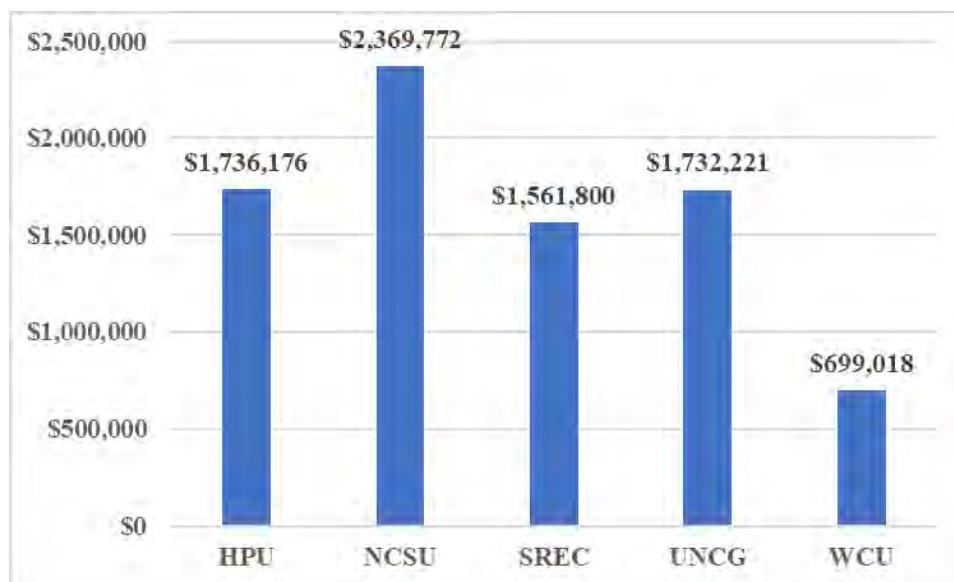
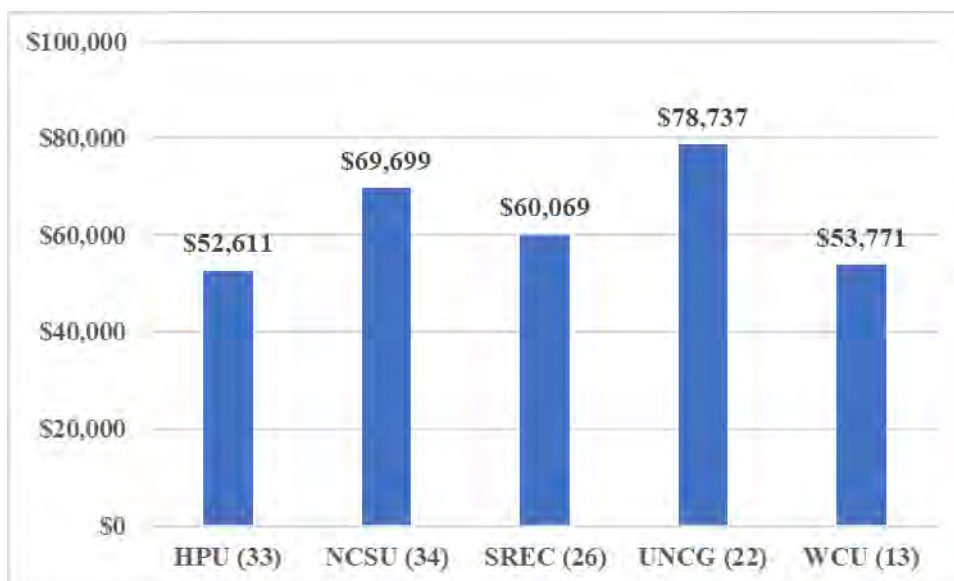


Figure 3. Average Per Participant Cost (with number of participants shown in parentheses)⁵

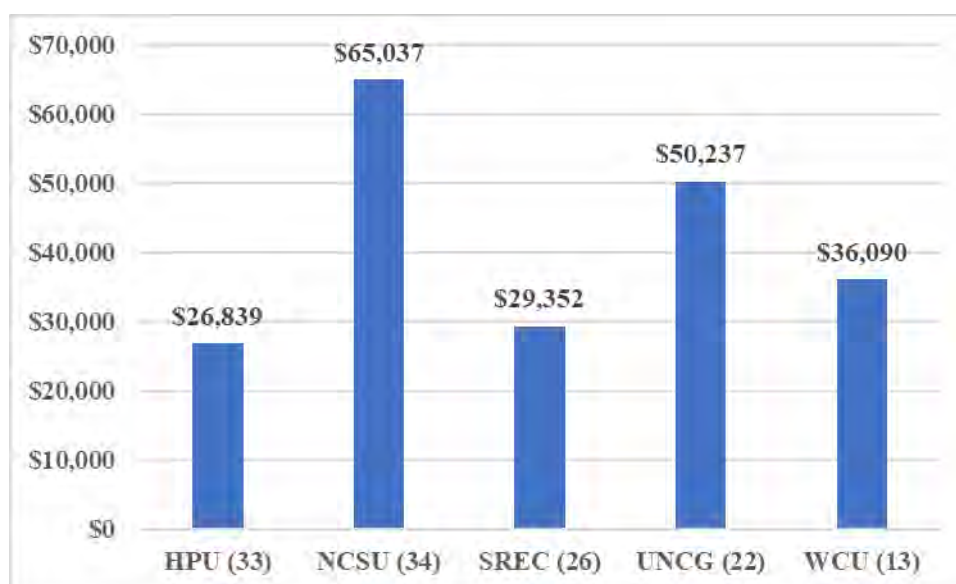


⁴ It is important to understand that the budget figures analyzed in this report are derived from the budget proposals NCASLD has approved for each TPP Provider agency. The budget proposals reflect 'projected' expenditures for the 2018-20 years rather than 'actual' expenditures which GrantProse separately analyzes after each quarter following agencies submitting their TPP invoices to NCASLD.

⁵ The per participant average for SREC in Figure 3 is calculated to include the 2 participants it plans to add beginning with the 2019 summer sessions.

An alternative approach to analyzing per participant costs is to back out the amount that each TPP Provider allocates for participant salaries/stipends. One reason for doing this is that the five Provider agencies are handling participant salaries/stipends differently with some relying chiefly on state MSA (Masters of School Administration) funds and others relying chiefly on TPP funds. Also, there is a difference among the Providers in their effort to ‘hold harmless’ participant salaries/stipends relative to what the participants earned in their last position in their school district prior to beginning their TPP internship. **Figure 4** shows average per participant costs with salaries/stipends removed from the analyses. In this analysis, NCSU evidences the highest per participant cost followed by UNCG. HPU again evidences the lowest per participant cost.

Figure 4. Average Per Participant Cost Less Participant Salaries/Stipends (with number of participants shown in parentheses) ⁶

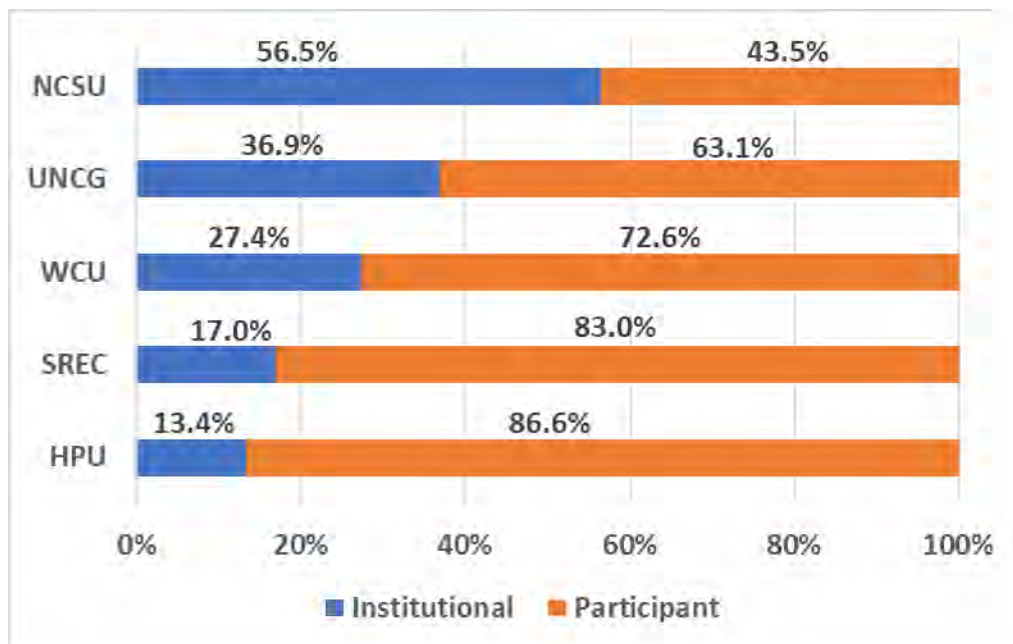


⁶ The per participant average for SREC in Figure 4 is calculated to include the 2 participants it plans to add beginning with the 2019 summer sessions.

- b) **Comparing institutional and participant expenses.** The total of the 2-year 2018-20 budget proposals submitted to NCASLD for all TPP Providers was \$8,098,987.⁷ Of this total, \$2,666,646 (32.9%) was devoted to institutional expenses (e.g., salaries for institutional personnel, contractual services and other costs) and \$5,432,342 (67.1%) was devoted to participant expenses (e.g., tuition and salaries/stipends during their internship, coaching and other costs).⁸ When the totals are disaggregated by TPP Provider, there is considerable variation in how much funding the different TPP Providers budgeted for institutional and participant expenses, as shown in **Table 21**. HPU budgeted the smallest percentage of their TPP funds for institutional expenses (13.4%) and NCSU budgeted the largest percentage for institutional expenses (56.5%). **Figure 5** depicts the percentages that each TPP Provider budgeted for institutional and participant expenses.

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

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



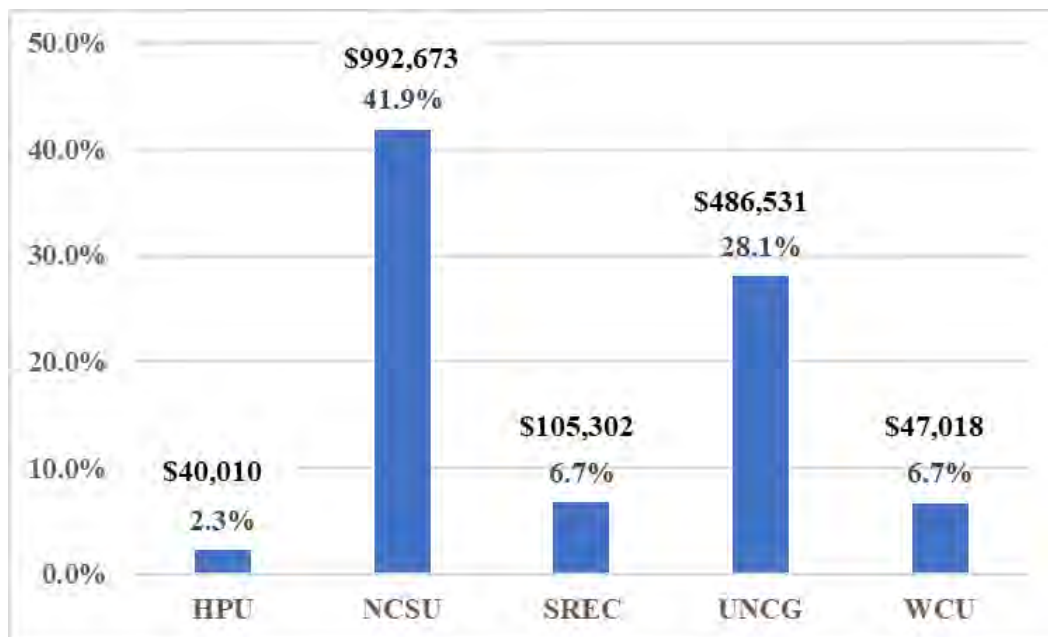
⁷ Figures in this report have been rounded to the nearest dollar and may differ by a few dollars from that found on the TPP budgets due to rounding effects.

⁸ See **Table 20** in the body of this report for a description of the varied costs associated with institutional and participant expenses.

- c) **Comparing how many institutional staff are employed with TPP funds at each TPP institution.** There is considerable variation in the number of individuals being supported with TPP funding as employees (e.g., faculty, administrators, graduate assistants, hourly workers, etc.) at each TPP institution.⁹ Employees of the institution who in this analysis are neither participants nor Executive Coaches, have various roles and responsibilities associated with implementing and/or administering the TPP program (e.g., Principal Investigator, faculty, administrative staff, graduate assistants, etc.). Considering such individuals with at least 8.3% full-time equivalent commitment,
- HPU with 33 participants and WCU with 13 participants each identify 1 staff member being paid with TPP funds,
 - SREC with 26 participants and UNCG with 22 participants each identify 3 staff members being paid with TPP funds, and
 - NCSU with 34 participants identifies 10 staff members being paid with TPP funds.

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

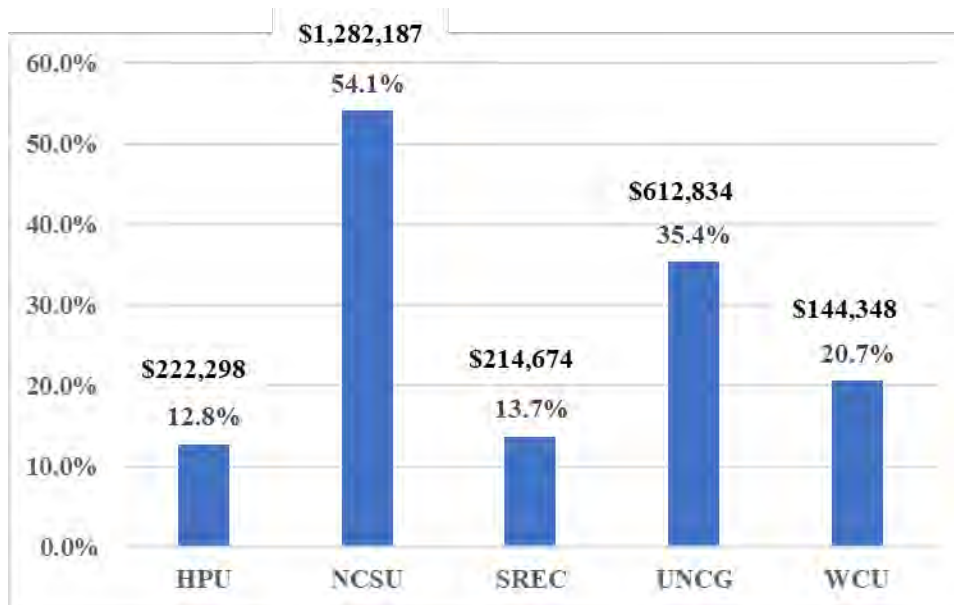
Figure 7. Two-Year Total of Institutional Expenses for Personnel and Fringe Benefits



⁹ The determination of individuals being employed at each TPP Provider agency is made from their 2018-20 budget proposals, 2018-19 mid-year reports, and analysis of Provider invoices submitted to date for the 2018-19 year.

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

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



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

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

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

Figure 14. Two-Year Total of Participant Expenses Allocated for Tuition

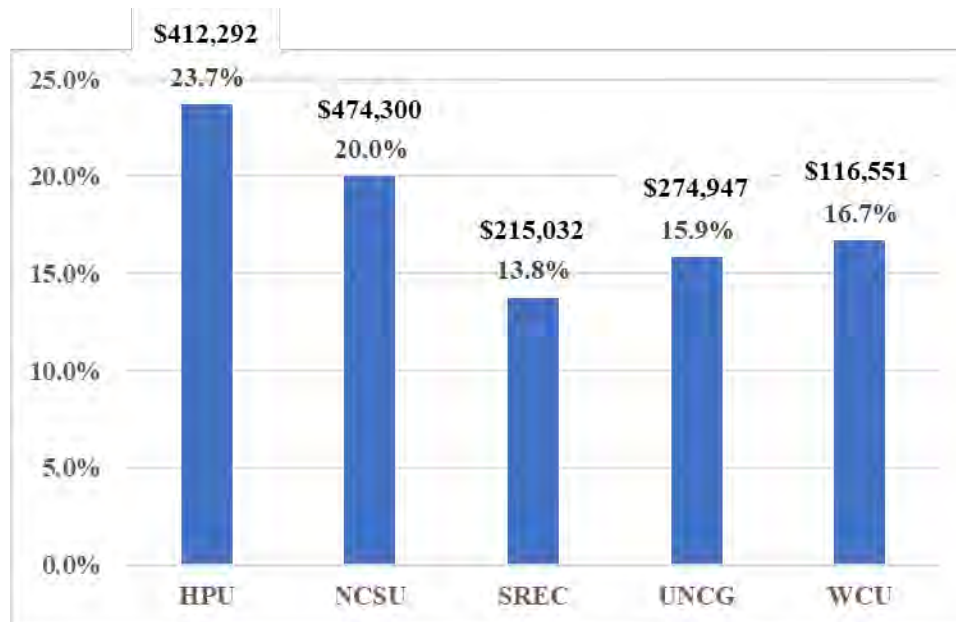
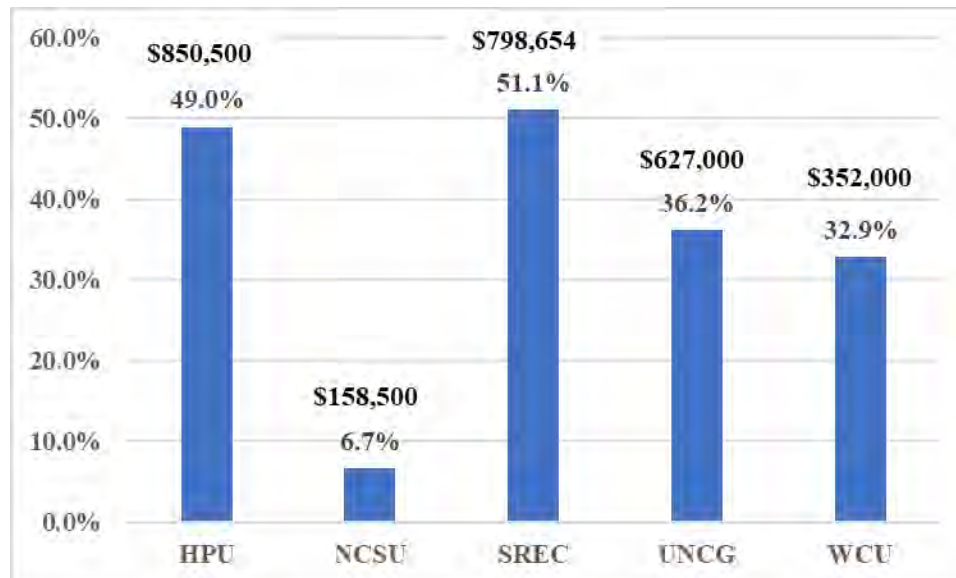


Figure 15. Two-Year Total of Participant Expenses Allocated for Salaries/Stipends

- e) **Comparing how many participants are selected from High Need LEAs.** The determination whether a school or an LEA meets the legislative definition of High Need (HN) hinges on how the word ‘identified’ is interpreted. Among the four legislative criteria listed for the HN definition,¹⁰ the dominant criterion is whether the school is ‘identified’ as seen in the following clause: “*a. Is a school identified under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended.*” However, it is not clear in this legislative definition how to operationalize the term ‘identified.’

If the word ‘identified’ is interpreted to mean eligible for Title 1 services, then at least 2,064 (78.1%) of the 2,642 schools listed in the 2017-18 Title 1 dataset for the state meet this criterion.^{11, 12} Using Title 1 eligibility to operationalize this HN criterion and incorporating the other three HN criteria in the legislative definition 2,069, (78.3%) of the schools in the state meet the legislative definition of HN and almost all LEAs in the state have a majority of its schools eligible meeting the HN definition.¹³

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

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

¹⁰ See Appendix B for the North Carolina legislation associated with the TPP program defining how a HN school may be identified.

¹¹ Guidance bearing on eligibility for Title 1 services can be found in the Title 1 Handbook last updated in 2017: *All schools above 75% [poverty] must be served (i.e., provided with an allotment) unless comparable services can be demonstrated or all schools in the district are above 75%. This must happen prior to serving any schools below 75% poverty. Once the schools above 75% are served, the district may serve any other schools in rank order down to those at or above 35% poverty. When deciding which schools to serve under 75%, the LEA has the option to (1) continue serving schools in the district-wide ranking; or (2) serve schools in rank order by grade span groupings (e.g., K-5, K-8, etc.). Schools must not be skipped within the rank order method selected by the LEA.* See <http://www.ncpublicschools.org/docs/program-monitoring/resources/titleia-handbook.pdf> for the handbook.

¹² Datasets collected from the NCDPI website for this analysis were: a) Title I Schools 2017-18, b) 2016-17 Low-Performing Schools, Low-Performing Districts, Recurring Low-Performing Schools and Continually Low-Performing Charter Schools, and c) 2013-14 Entering 9th Graders Graduating in 2016-2017 or Earlier.

¹³ The Title 1 eligibility criterion is a dominant factor in the HN determination of individual schools and there are few additional schools added to the list of HN schools that are solely due to any of the other three criteria.

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

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

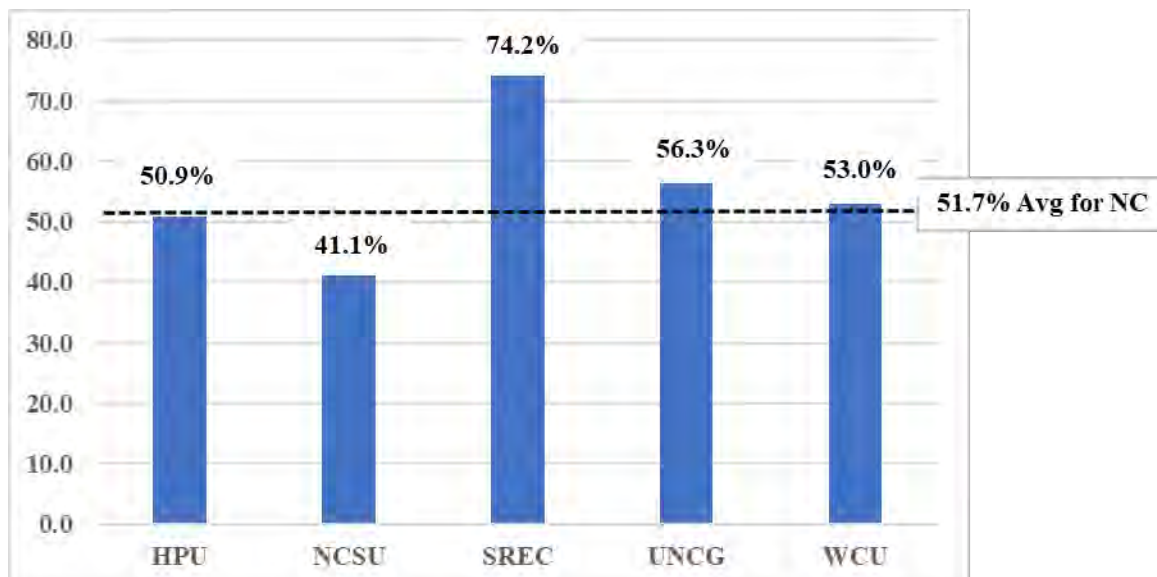
Notes

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

** At the time this report was prepared, it was unknown what LEAs the 2 additional participants will come from that SREC plans to add beginning with the 2019 summer sessions.

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

Figure 1. Percentage of Low-income Students When Combined for All LEAs with TPP Participants Compared for Each TPP Provider



Additional information collected from the TPP Provider agencies on their 2018-19 mid-year report is summarized in the following bullets.

- f) While the five programs continue to introduce improvements, changes between the 2016-18 and 2018-20 funding cycles in how the programs operate are modest (see **Table 1**).
- g) All programs implement a variety of recruitment strategies (**Table 3**) and make use of multiple selection criteria (**Table 5**) when choosing who to enroll in their programs.
- h) For the 2018-20 funding cycle, the programs will enroll 128 participants (**Table 6**), eight more than during the 2016-18 funding cycle. HPU increased by three to 33, UNCG increased by two to 22, WCU increased by three to 13, SREC will remain the same at 26; and NCSU remains the same at 34.¹⁴
- i) Compared to the 2016-18 participants, the racial/ethnic composition of the 2018-20 participants reveals a higher percentage of Whites by almost 10 percentage points (**Table 7**).
- j) Other than MSA funding, the five programs rely largely on the TPP funds to implement their programs. Other sources of revenue are minimal (**Table 14**).
- k) Additional information collected from the TPP Providers on their mid-year reports include feedback provided to the programs from the LEAs (**Table 15**), the nature of evaluation activities conducted by the programs (**Table 16**), unexpected barriers or challenges encountered by the programs (**Table 17**), successes experienced by the programs (**Table 18**), and future plans of the programs (**Table 19**).

¹⁴ GrantProse learned in January 2019—after the mid-year reports were submitted—that WCU plans to add three enrollees to its program, bringing its number to 13 as reflected in this Executive Summary. Some of the data for WCU in this report reflect only the 10 enrollees WCU documented at the time of submitting their mid-year report.

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INTRODUCTION

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

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

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

ANALYSES OF 2018-19 MID-YEAR REPORTS

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

Table 1. Program Goals		
Program	Original Goals	Revisions or Refinements
<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.	2016-17: Reduction from 40 to 30 participants and addition of participants earning MEd in administration. 2018-19: HPU will serve a total of 33 participants in the 2018-20 funding cycle.
<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.	2016-17: The program selected 20 individuals to participate rather than 18. 2018-19: The program expectations have changed per new legislative guidelines. (Also, the two TPP programs NCSU operated during the 2016-18 funding cycle (DPLA and NCLA) have been combined into a single program.)

Table 1 continued. Program Goals		
Program	Original Goals	Revisions or Refinements
<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.	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. 2017-18: Recognizing a 10-month internship with strong coaching and mentorship would be better preparation for administrative roles, the program began working with UNCP on any related issues regarding courses that would prohibit a 10-month internship. 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.
<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 twelve partnering districts in order to be ready for service as a leader in a high needs, rural school.	2016-17: While UNCG selected 20 participants, all participants are part of a single cohort, rather than two cohorts of 10 participants each. 2017-18: A single cohort of 22 participants will be selected.
<i>WCU</i>	NCSELP will recruit and select two cohorts of program participants. There will be 40 participants in the first cohort and 24 in the second. Each participant will complete 36 credit hours and a 10-month full-time clinical internship in one of 18 partnering districts in order to be ready for service as a leader in a high needs, rural school.	2016-17: With the expectation for full-time, fully released, 5-month internships, nearly all of the year two funds will be spent on supporting that expectation. Therefore, only 10 participants will be supported by TPP funding. 2018-19: Since we have increased funding, we are doing MORE with our original budget line items (ex. coaching, mentoring, conferences, etc.), but we are not implementing many new things. Changes: • Our 10 scholars will serve 10-month internships. • TPP funding will support the interns' fringe benefits related to serving in a 10-month, full-time internship. (Their salaries will be supported by the MSA Internship funding provided by the state.) If interns earn more than the \$39,000 provided by the MSA Internship funding, the TPP grant will make up the difference, holding interns harmless. • Leadership for Social Justice Institute in Madison • Additional course work: Leadership for Equity and Social Justice I and II. • More robust coaching model (collaborative coaching) including hiring two part-time coaches.

A. Program Participant Recruitment

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

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

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

Table 3. Recruitment Strategies & Activities															
Program	Established reputation	Brochures & info materials	Website information	Email blasts	Local, state, & national presentations	Media coverage, press releases, promo videos	Collaboration with LEAs	Tapping process in LEAs	LEA information sessions	LEA updates/emails	Superintendent endorsement	Superintendent meeting updates	School board presentations	Partnerships with organizations	Other*
HPU	X	X	X	X			X	X	X	X	X				
NCSU	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
SREC	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
UNCG	X	X	X	X	X	X	X	X	X	X	X		X		
WCU	X	X		X	X	X	X	X		X	X	X		X	X
* Other: NCSU used principals to identify individuals with high leadership potential; WCU provided LEAs with a rubric for applicant qualification and faculty verified qualifications via committee (that included LEA leaders) and selection criteria.															

The number of applicants received and accepted by each program as a result of these recruitment strategies is presented in **Table 4**, indicating 107 (48%) of approximately 223 applicants to the program were accepted for enrollment.¹⁵

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

* Note: As previously indicated SREC plans to add 2 more participants and WCU has added 3 more participants.

B. Program Participant Selection

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

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

¹⁵ The 107 number does not include another 16 candidates that HPU enrolled for its Cohort IV which started university coursework in the Spring 2019 semester after HPU submitted its mid-year report, nor does this number include the 2 additional participants at SREC or the 3 additional participants at WCU.

The recruitment and selection strategies utilized have resulted in full enrollment. **Table 6** provides information on the number of program participants currently enrolled in each program. The five programs will eventually enroll a total of 128 participants which is 8 more than the 120 participants the programs enrolled in the first funding cycle.

Table 6. Current Enrollment by Program					
Cohort	Program				
	HPU	NCSU	SREC ¹⁶	UNCG	WCU
Cohort II		34		22	13
Cohort III	17		11		
Cohort IV	16		13		
Undesignated			2		
Total	33	34	26	22	13

Information on the overall racial and ethnic demographics of the selected program participants is presented in **Table 7**. Participants across the five programs in the 2018-20 funding cycle are predominantly female (67.3%) and White (73.8%). While the 67.3% of females in this second funding cycle is similar to the 66.4% in the 2016-18 funding cycle, the 73.8% of Whites in this second funding cycle is almost 10 percentage points higher than the 64.2% in the first funding cycle.

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

* Note: Demographics were not available for 16 enrollees in HPU's Cohort IV, the latest three enrollees at WCU at the time of this report, or the two additional participants SREC plans to enroll.

C. Program Participant Withdrawals

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

D. Authentic LEA Partnerships

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

¹⁶ As previously noted, SREC has indicated that it plans to add 2 more participants beginning with the 2019 summer sessions.

Additionally, legislation pertaining to the TPP program (SL 2018-5 Section 116-209) emphasizes that TPP programs should have “*A proposed focus on and, if applicable, a record of serving high-need schools, high-need local school administrative units, or both...*” with the definition of a high need (HN) LEA being a school district where the ‘majority’ of the schools in the district meet the HN definition specified for individual schools (see Appendix A for the definition of a HN school and LEA). This legislation had not been passed at the time the TPP programs were recruiting and selecting participants for the 2018-20 funding cycle. However, all programs knew that service to HN schools was an expectation emphasized in the legislation.

The determination whether a school or an LEA meets the legislative definition of HN hinges on how the word ‘identified’ is interpreted pertaining to Title 1 status. Among the four legislative criteria listed for the HN definition,^{17, 18} the dominant criterion is whether the school is ‘identified,’ as indicated in the following clause: “*a. Is a school identified [emphasis added] under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended.*” However, it is not clear from this definition how to operationalize the term ‘identified.’

If the word ‘identified’ is interpreted to mean eligible for Title 1 services, then at least 2,064 (78.1%) of the 2,642 schools listed in the 2017-18 Title 1 dataset for the state meet this criterion.¹⁹ Using Title 1 ‘eligibility’ to operationalize this HN criterion and incorporating the other three HN criteria in the legislative definition, 2,069 (78.3%) of the schools in the state meet the legislative definition of HN²⁰ and almost all LEAs in the state have a majority of its schools eligible for Title 1.

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

Additional data analyses suggest SREC is serving participants from LEAs with the highest

¹⁷ See Appendix B for the North Carolina legislation associated with the TPP program defining how a HN school may be identified.

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

¹⁹ Guidance bearing on eligibility for Title 1 services can be found in the Title 1 Handbook last updated in 2017: *All schools above 75% [poverty] must be served (i.e., provided with an allotment) unless comparable services can be demonstrated or all schools in the district are above 75%. This must happen prior to serving any schools below 75% poverty. Once the schools above 75% are served, the district may serve any other schools in rank order down to those at or above 35% poverty. When deciding which schools to serve under 75%, the LEA has the option to (1) continue serving schools in the district-wide ranking; or (2) serve schools in rank order by grade span groupings (e.g., K-5, K-8, etc.). Schools must not be skipped within the rank order method selected by the LEA.* See <http://www.ncpublicschools.org/docs/program-monitoring/resources/titleia-handbook.pdf> for the handbook.

²⁰ The Title 1 criterion is a dominant factor in the HN determination of individual schools and there are few additional schools added to the list of HN schools that are solely due to any of the other three criteria.

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

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

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

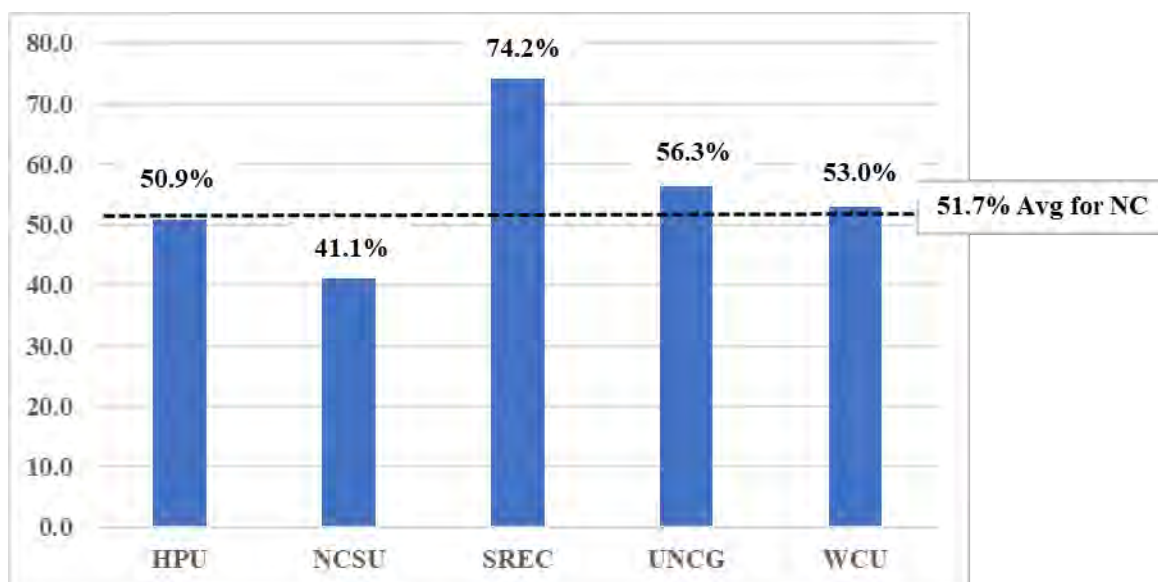
Notes

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

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

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

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



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

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

E. Program Participant Progress Toward Degree/License

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

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

F. Salaries and Stipends During Internship

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

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

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

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

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

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

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

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

G. Other Program Expenses

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

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

H. Institutional Personnel Employed with TPP Funds

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

instructions were provided in the template for the mid-year report that was distributed to the Providers for how to calculate this figure.²¹ While it is not known how closely the respondents adhered to these instructions, in most instances the number of personnel and FTE figures reported by the TPP Providers on their mid-year report were accepted. The TPP approved budgets, budget narratives and the first quarter invoices for Jul-Sep 2018 submitted by the Providers were also reviewed to gather information on personnel and FTE estimates.

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

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

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

I. Feedback from Program Partners/LEAs

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

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

²¹ The GrantProse directions stated: *If the individual will work on a monthly basis, use a 12-month calendar for the period July 1st 2018 through June 30th 2019, and report the percent of time and effort the individual will be employed to work on the TPP program. For example, if an individual will be employed for the equivalent of 1.2 months out of 12, the percentage is 10%. If the individual will work on a daily or hourly basis, estimate the days or hours for the year and use 250 days or 2000 hours for the denominator.*

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

J. Self-initiated Evaluation Activities

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

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

K. Unexpected Program Barriers or Challenges

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

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

L. Program Successes

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

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

M. Future Plans and Funding Prospects

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

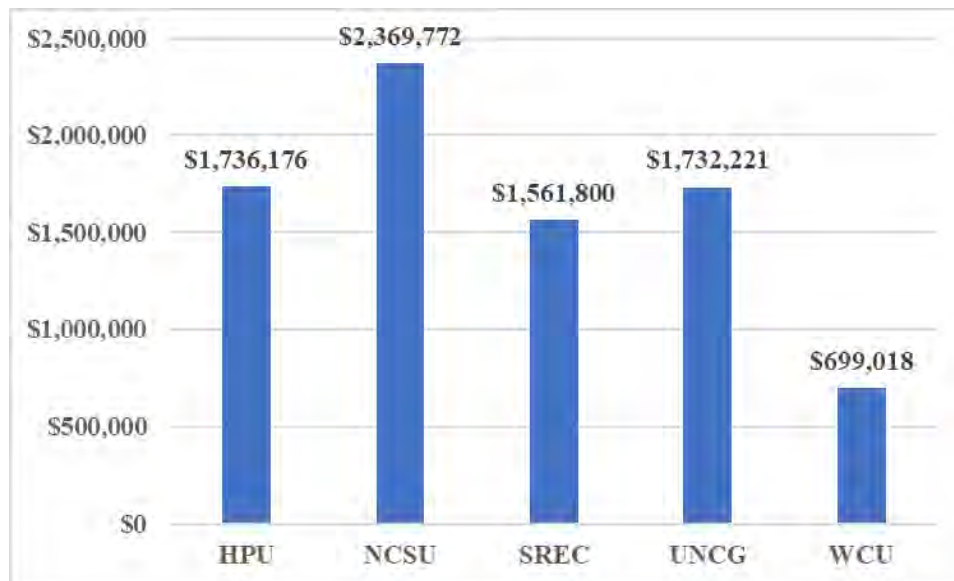
Table 19. Future Plans of TPP Provider Agencies	
Program	Future Plans
<i>HPU</i>	The Program Director keeps a watch for future funding possibilities, i.e., grants.
<i>NCSU</i>	The program's ultimate goal is to sustain an exceptionally effective principal preparation program. In light of unanticipated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

ANALYSES OF 2018-20 BUDGET PROPOSALS

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

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

Figure 2. Total Value of 2018-20 TPP Awards



Figures 3 and 4 present two approaches for analyzing per participant costs at each TPP Provider agency.²² **Figure 3** calculates per participant costs when the total 2018-20 budget is used as the denominator in the calculation (with number of participants being the numerator). However, one of the major expenses—participant salaries/stipends during their internship—is handled differently at the TPP Provider agencies with some agencies relying largely on TPP funds to support this expense and other agencies accessing MSA funds for this expense. Also, the agencies have different approaches to whether they will ‘hold harmless’ participants’ salaries during the internship relative to what they earned in their prior position in the school district. In **Figure 4**, funds that the TPP agencies have budgeted for salaries/stipends have been removed from the per participant calculation, providing what might be a better comparison of apples to apples.

Figures 3 and 4 show that there are differences in per participant costs depending on how salaries/stipends are handled. In **Figure 3**, with participant salaries/stipends included in the

²² The per participant averages for SREC in Figures 3 and 4 are calculated to include the 2 participants it plans to add beginning with the 2019 summer sessions.

calculation, UNCG has the highest per participant cost followed by NCSU. In **Figure 4**, with participant salaries/stipends removed, NCSU has the highest per participant cost followed by UNCG. In both figures, HPU, SREC and WCU have relatively lower per participant costs.

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

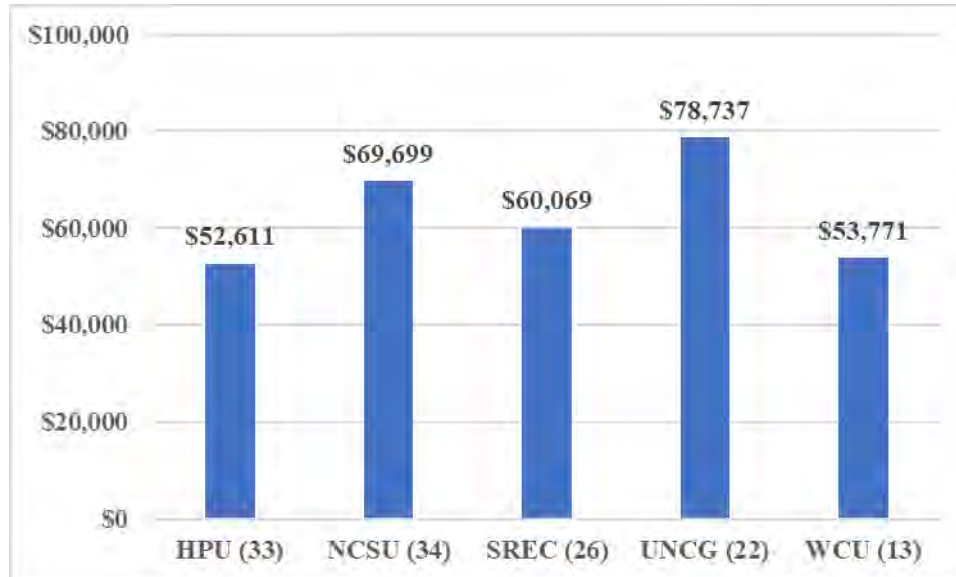
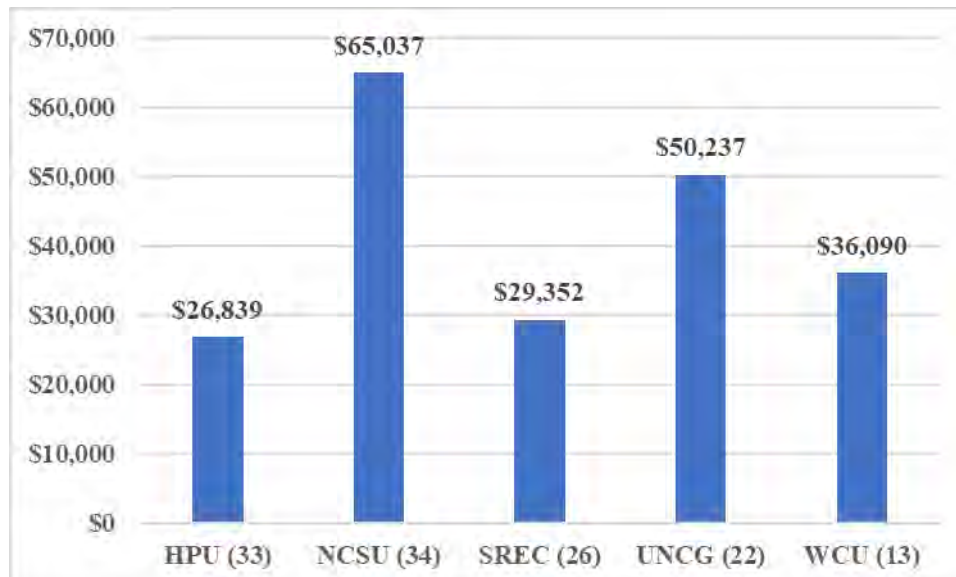


Figure 4. Average Per Participant Cost Less Participant Salaries/Stipends (with number of participants shown in parentheses)



There is wide variation in how the TPP Providers budgeted their proposed use of TPP funds for the 2-year 2018-20 period and the following discussion presents an analysis of these budget

proposals.^{23,24} While the budgets made use of a common set of budget categories, how particular expenses that had similar purposes were assigned to the budget categories often differed among the TPP Providers. Accordingly, the information provided in this report presents a ‘secondary’ analysis of the TPP budgets in an effort to align like expenses. A number of new expense categories are created for this secondary analysis, particularly for the purpose of distinguishing ‘institutional’ expenses to manage and implement the program from those that most directly support the participants, the LEAs, and the Executive Coaches. **Table 20** provides a description of the secondary budget categories used in this analysis and the type of expenses included in each category.

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

Institutional Expenses Compared to Participant Expenses

The total of the 2-year 2018-20 budgets for all TPP Providers was \$8,098,987.²⁵ Of this total, \$2,666,646 (32.9%) was devoted to institutional expenses and \$5,432,342 (67.1%) was devoted

²³ SREC submitted a 3-year budget; however, the analyses reported in this report are only for the 2018-20 2-year period so as to be comparable to the other 2-year TPP budgets.

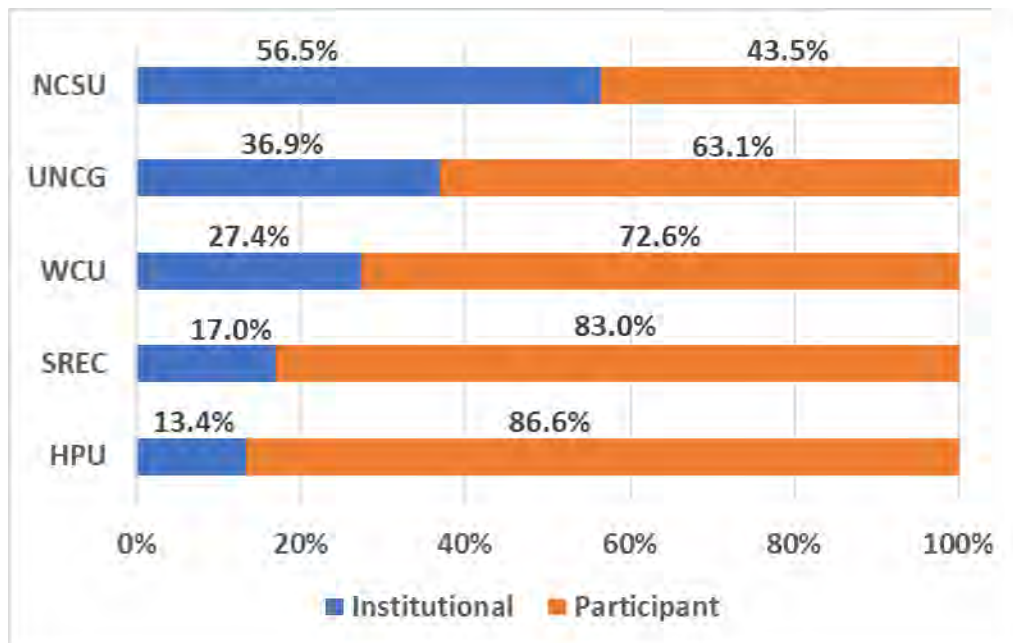
²⁴ The analyses in this report reflect the budgets submitted at the time the TPP Provider agencies were renegotiating their contract with NCALSD and will not reflect changes to these budgets that may have occurred since, such as the three additional students that WCU added to its TPP program.

²⁵ Figures in these analyses have been rounded to the nearest dollar and may differ by a few dollars from that found on the TPP budgets due to rounding effects.

to participant expenses.²⁶ However, when the totals are disaggregated by TPP Provider, there is considerable variation in how much funding the different TPP Providers budgeted for institutional and participant expenses, as shown in **Table 21**. HPU budgeted the smallest percentage of their TPP funds for institutional expenses (13.4%) and NCSU budgeted the largest percentage for institutional expenses (56.5%). Conversely, HPU budgeted the largest percentage of their TPP funds for participant expenses (86.6%) and NCSU budgeted the smallest percentage for participant expenses (43.5%). **Figure 5** depicts the percentages that each TPP Provider budgeted for institutional and participant expenses.

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

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



²⁶ It is important to appreciate that the secondary analysis of TPP budgets described in this report is derived from the budget proposals that were submitted to NCASLD when the Providers renegotiated their awards for 2018-20. The analysis does not reflect actual expenditures recorded during this period; it is a certainty that actual expenditures will deviate by some amount from proposed expenditures.

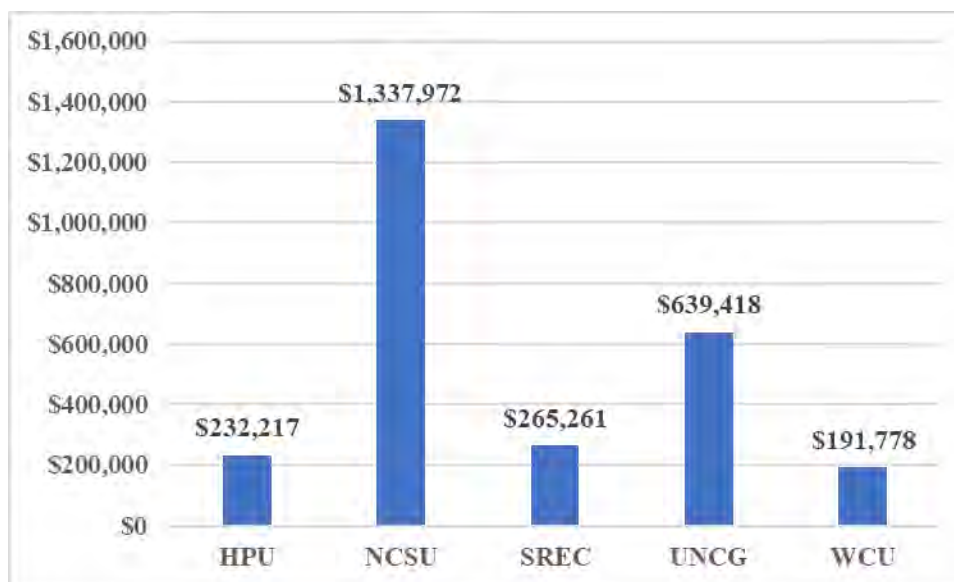
Analyzing Institutional Expenses

When the institutional expenses are analyzed by budget category for each TPP Provider, there is also considerable variation in how the Providers budgeted for their institutional expenses. **Table 22** shows that the largest dollar amount for any of the institutional expense categories is at NCSU where almost \$1M is devoted to Personnel and Fringe Benefits.

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

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

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



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

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

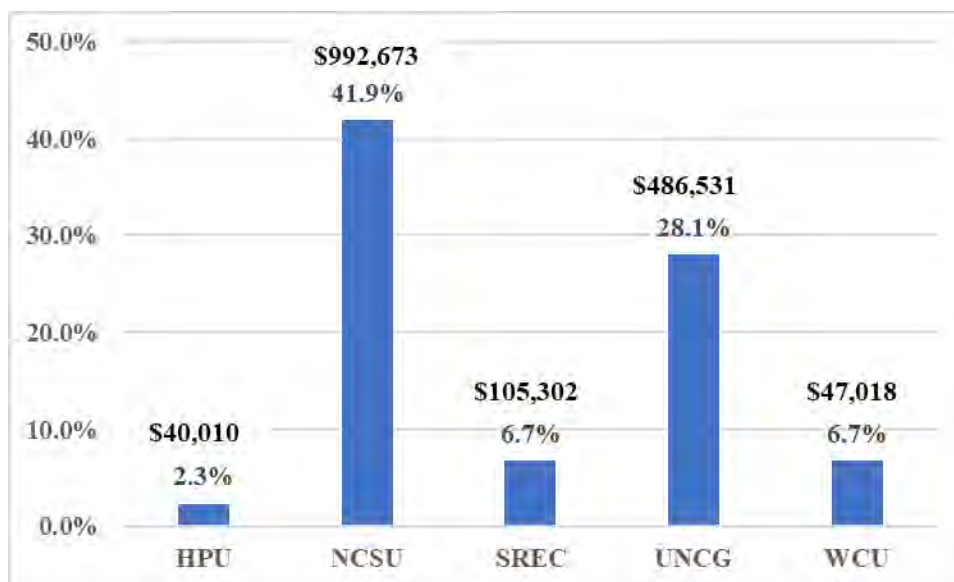


Figure 8. Two-Year Total of Institutional Expenses for Personnel, Fringe Benefits, Contractual Services, and Indirect Costs by TPP Program

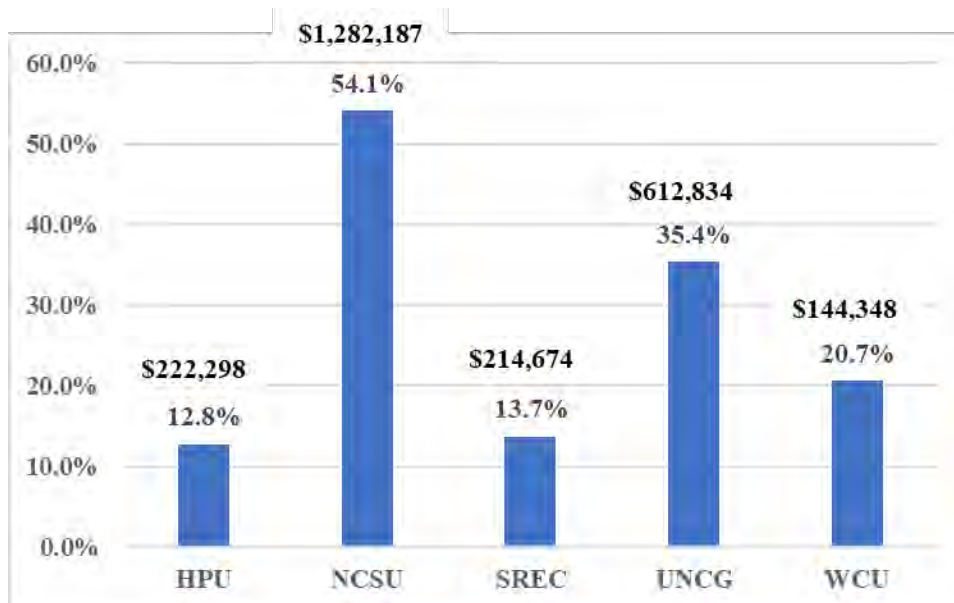


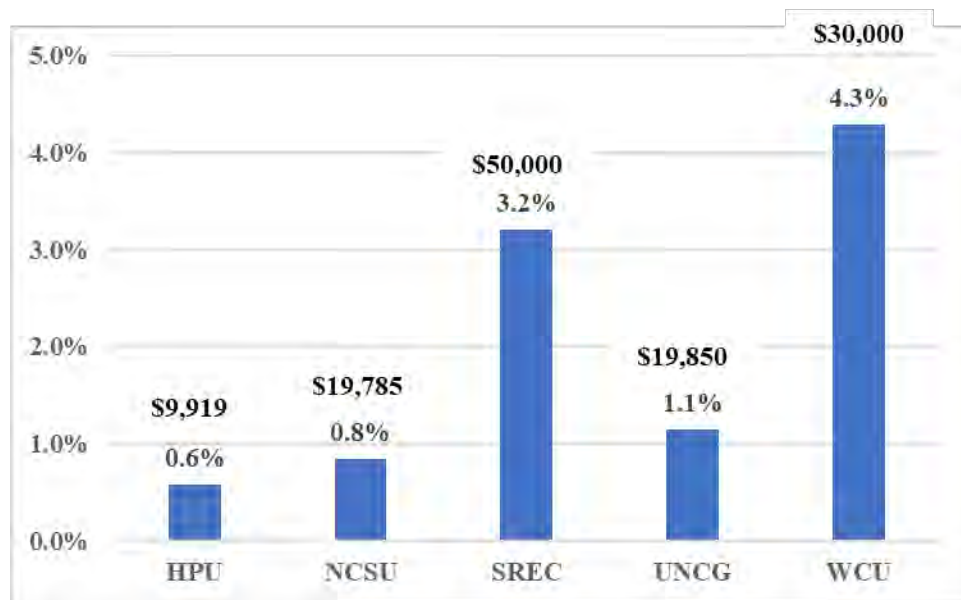
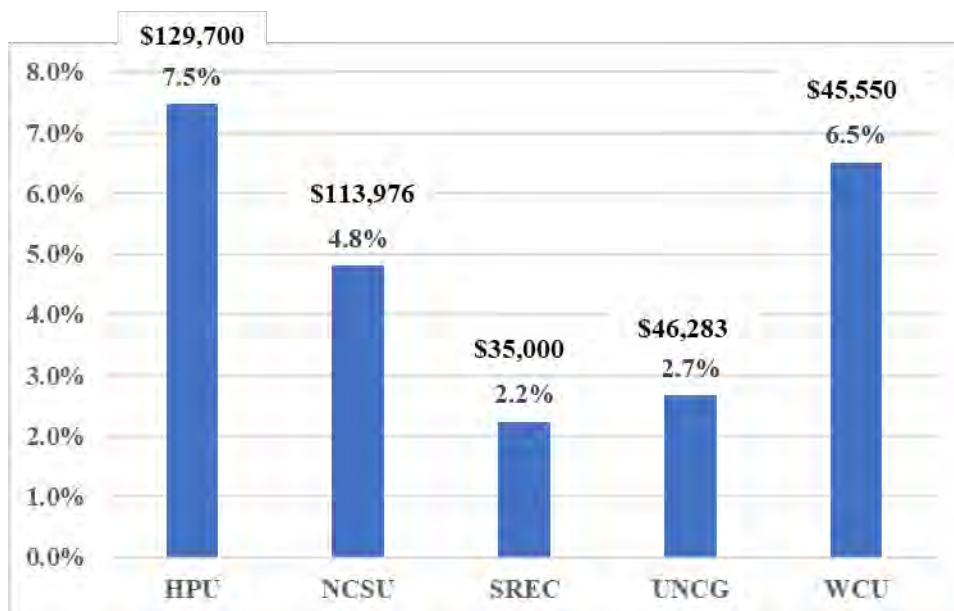
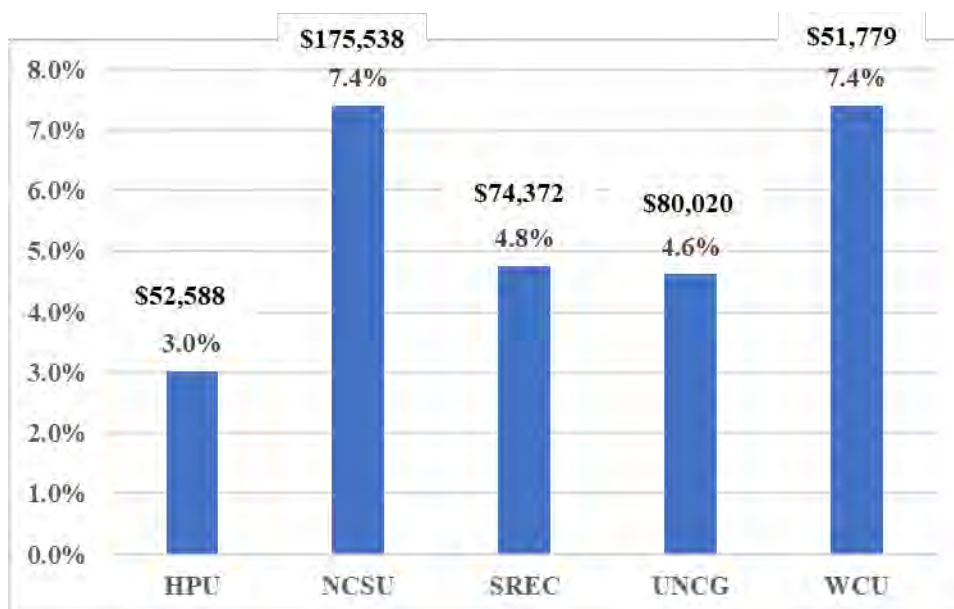
Figure 9. Two-Year Total of Institutional Expenses for Travel**Figure 10. Two-Year Total of Institutional Expenses for Materials/Supplies**

Figure 11. Two-Year Total of Institutional Expenses for Contractual

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

Figure 12. Two-Year Total of Institutional Expenses for Indirect Costs

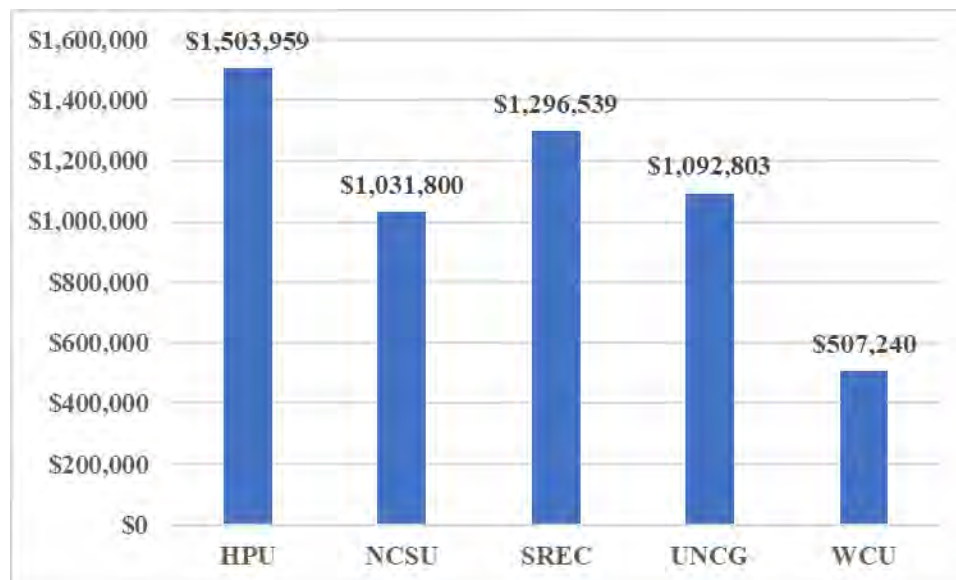
Analyzing Participant Expenses

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

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

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

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



Using the secondary budget categories indicated in Table 23 above, Figures 14 through 18 depict the participant expenses when analyzed by their percent of the total budgets for each TPP agency, along with the dollar amounts associated with these expenses at each agency.²⁷

Figure 14. Two-Year Total of Participant Expenses Allocated for Tuition

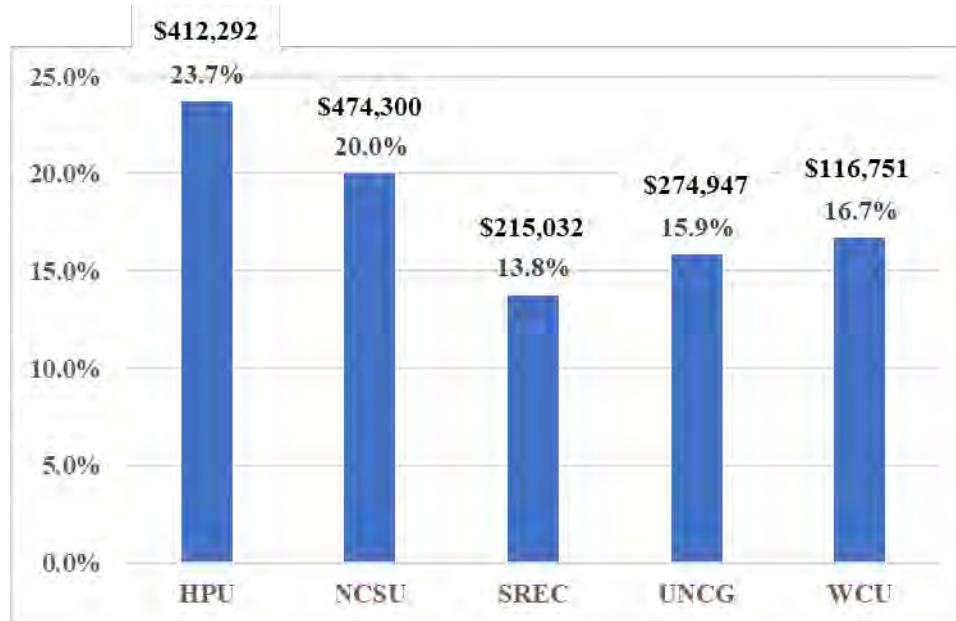
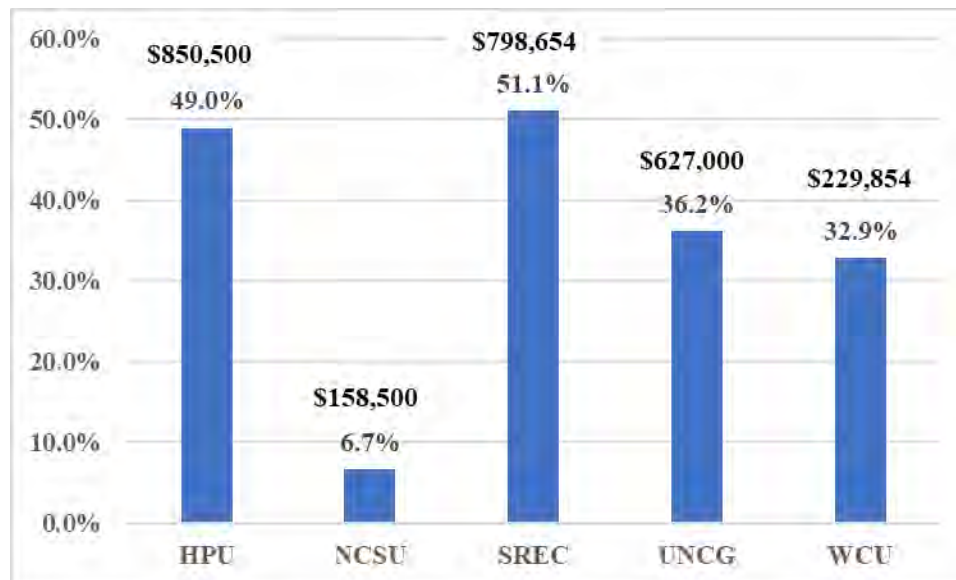
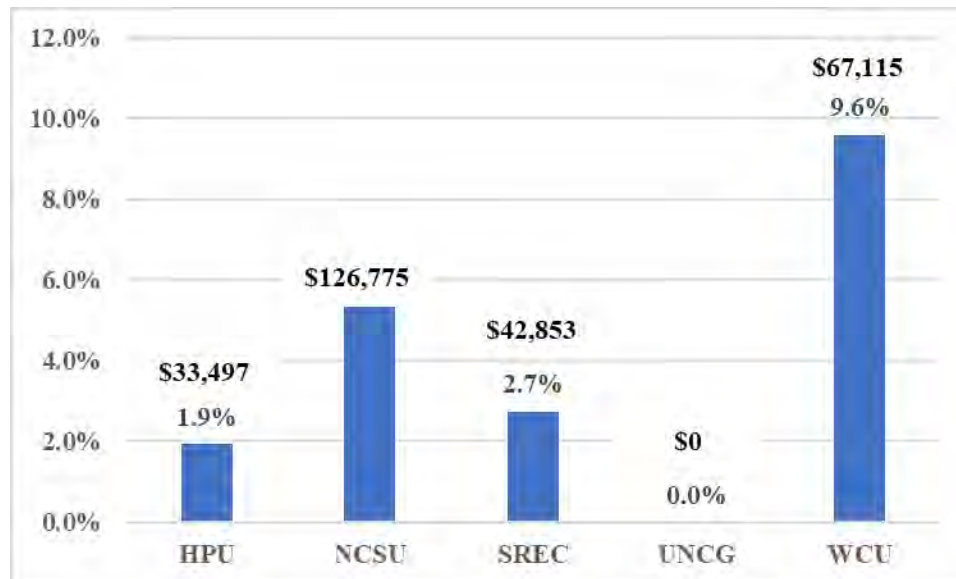
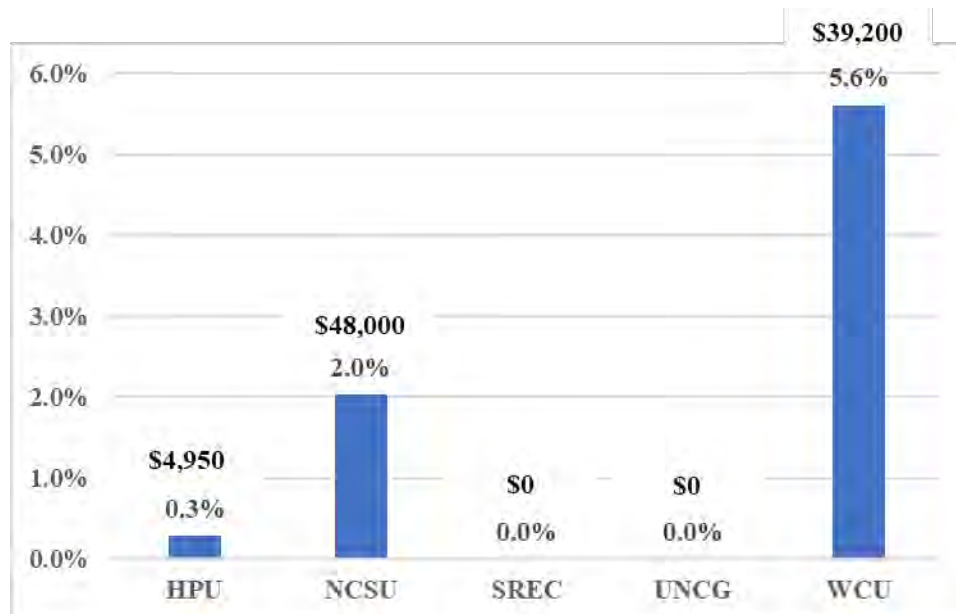


Figure 15. Two-Year Total of Participant Expenses Allocated for Stipends



²⁷ A decision was made to group expenses associated with the Executive Coaches with the participant classification, due to how the Coaches provide direct service to the participants much the same as LEA mentoring principals. While their function is certainly important, coaches and mentoring principals are not deemed to be essential to institutional functions such as managing the coordination and implementation of the program or delivering university coursework—thus, their expense is seen to be more of a participant expense.

Figure 16. Two-Year Total of **Participant** Expenses for **Other**²⁸Figure 17. Two-Year Total of **Participant** Expenses for **LEAs**²⁹

²⁸ Examples of Other expenses include participant parking permits and tech fee at HPU, travel to professional programs at NCSU, assessment with a leadership inventory at SREC, and social justice textbooks at WCU.

²⁹ Examples of LEA expenses include stipends for mentoring principals at HPU, mentoring principal stipends and teacher substitutes at NCSU, and teacher substitutes at WCU.

Figure 18. Two-Year Total of Participant Expenses for Executive Coaches

CONCLUSIONS

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

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

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

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

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

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

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

APPENDIX A

BEST PRACTICES IN PRINCIPAL PREPARATION

GrantProse evaluation activities for the 2016-18 funding cycle identified and documented a set of best practices associated with implementation of principal preparation programs. These practices are generally consistent with the educational research literature on practices that contribute to positive outcomes in the course of preparing school principals³⁰ and include: 1) provision of program leadership, 2) LEA/community partnerships, 3) targeted recruitment of program applicants, 4) selection of program participants using rigorous criteria, 5) application of a cohort model, 6) provision of participant support, 7) rigorous and authentic coursework aligned to school executive leadership standards, 8) full-time internships with embedded mentoring and substantial leadership responsibilities, and 9) a commitment to program evaluation and continuous improvement.

Provision of Program Leadership

Dedicated and effective leadership has been recognized as a key feature of exemplary principal preparation programs.³¹ Programs have been shown to benefit from leaders with “the vision, commitment, and capacity to coordinate stakeholders, secure resources, and implement critical features well”.³² Wang and colleagues’ research³³ found program leaders provided the commitment, ownership, enthusiasm, and time needed to keep programs moving forward. In their study, the programs’ partners pointed to strong management skills and effective communication as major contributors to program success. Over time, other staff were often brought on board to provide operational support in order to free up the program leader’s time to engage with IHE and LEA leadership to clear implementation hurdles and plan for sustainability. These leadership characteristics were evident in TPP Programs:

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

LEA/Community Partnerships

High-quality programs partner with school districts in a mutually beneficial blend of research and practice.³⁴ Strong partnerships provide program participants with a coherent experience in

³⁰ Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007; Ikemoto, Kelemen, Young, & Tucker, 2016; King, 2013, 2018; Orphanos & Orr, 2014; Young, Tucker, & Terry Orr, 2012;

³¹ Wang, Gates, Herman, Mean, Perera, Tsai, et al., 2018;

³² Darling-Hammond, et al., 2007, p. 147;

³³ Darling-Hammond, et al., 2007, p. 147;

³⁴ Darling-Hammond, et al., 2007; Davis, 2016; Davis et al., 2005;

their clinical training and coursework that helps them bridge theory into practice,³⁵ and ensure higher levels of commitment and greater rates of advancement into the principalship.³⁶ In such collaborative programs, practicing administrators are commonly used to mentor administrative interns, assist program faculty in assessment of program participants in the field, participate in program screening and admissions processes, serve as members of the program's advisory board, and teach courses among other possible roles and responsibilities.³⁷ TPP Programs exemplified this best practice:

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

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

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

Targeted Recruitment of Program Applicants

Rather than waiting for applicants to decide to apply to a principal preparation program, targeted recruitment can attract more dynamic and diverse school leadership applicants.³⁸ Effective programs actively identify excellent educators with instructional leadership potential and a commitment to serve their community. Such individuals are often recommended by partnering LEAs that have identified them as promising future leaders.³⁹ It is also thought that this type of recruitment process identifies candidates with a greater commitment to obtaining a position as a principal.⁴⁰ The TPP Programs exemplified this best practice:

- TPP Programs used a defined set of strategies for attracting and recruiting applicants; often working with LEAs to target efforts toward educators demonstrating outstanding leadership skills that local administrators believed would succeed in the principalship.

³⁵ Sanzo, Myran, & Clayton, 2011;

³⁶ Orr & Barber, 2007;

³⁷ Darling-Hammond, et al., 2007; Jackson & Kelley, 2002; Norton, O'Neill, Fry, & Hill, 2002;

³⁸ Darling-Hammond, Meyerson, LaPointe, & Orr, 2009; Jackson & Kelley, 2002; Mitgang & Gill, 2012;

³⁹ Corcoran, Schwartz, & Weinstein, 2012; Cosner, Tozer, Zavitkovsky, & Whalen, 2015; Gates, Hamilton, Martorell, Burkhauser, Heaton, Pierson, et al., 2014;

⁴⁰ Orr & Barber, 2007;

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

Selection of Program Participants Using Rigorous Criteria

There is a growing consensus regarding the knowledge, skills, and dispositions commonly found among effective principals.⁴¹ Current best-practice recommendations emphasize the need to connect program participant selection with leadership standards that assess these traits.⁴² Example approaches in the literature include focused interview protocols, 360-degree evaluations, performance portfolios, writing samples, and assessment-centered activities.⁴³

- TPP Programs selection processes involved the IHEs and LEAs working collaboratively to select TPP Program participants based on defined criteria. Following a broad-based recruitment strategy conducted by the IHE and LEA, more candidates than could be enrolled were identified. The LEA singly or in collaboration with the IHE might then advance more names than the number of allotted positions to the LEA.⁴⁴ These individuals would then submit applications to the IHE and be reviewed for meeting IHE criteria to enroll in the program. Individuals that met such criteria would then be rated on varied rubrics before a decision was finalized to accept the individual into the program.⁴⁵ This final decision might be jointly made by the IHE and LEA.
- Several TPP Programs held assessment days during which candidates were interviewed and observed in simulated leadership situations. This experience not only served as a selection tool, but also served as a formative experience for participants.

Application of a Cohort Model

Multiple studies of principal preparation programs have found application of a cohort model to be a key aspect of effective programs⁴⁶ with positive effects including increased likelihood of program completion, participant perception of preparedness, and more collegial and supportive learning environments.⁴⁷ Program participants may also develop skills in conflict resolution, information processing, and cooperation.⁴⁸ The benefits of cohorts often persist past program completion as graduates use the network to exchange ideas, share resources, and engage in

⁴¹ Leithwood, Seashore-Louis, Anderson, & Wahlstrom, 2004;

⁴² Browne-Ferrigno & Muth, 2009;

⁴³ Creighton & Jones, 2001; Norton, 2002;

⁴⁴ IHEs are limited in the number of individuals they can enroll in the TPP Program at any given time. If the IHE partnered with multiple LEAs, then it was usually the case that the IHE would allot each LEA a specific number of positions, depending on variables such as the size of student enrollment at the LEA or the number of anticipated openings for assistant principals and principals.

⁴⁵ Responding to the 2018-19 mid-year GrantProse survey, the TPP Program leaders checked most of the following selection criteria: Application Form; Resume; Letters of Recommendation; Purpose Statement/Letter of Interest; Writing Sample/Educational Essay; Master's Degree with Minimum 3.0 GPA; Superintendent Nominations; Homework Assignment; Self-Assessment Surveys; Assessment Day; Q&A Sessions & Interviews with Panel of LEA Reps; One-on-One Interviews; Stated Commitment to Transforming Schools; and Other.

⁴⁶ Crow & Whiteman, 2016;

⁴⁷ Huang, Beachum, White, Kaimal, FitzGerald, & Reed, 2009; Nimer, 2009;

⁴⁸ Barnett, Basom, Yerkes, & Norris, 2000;

problem solving and critical reflection well into their professional careers.⁴⁹ The TPP Programs represented this practice:

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

Provision of Participant Support

There is a body of research literature that addresses the ‘accessibility’ that individuals may or may not have to participate in a principal preparation program.⁵⁰ Two issues that are especially relevant to accessibility are participant program cost (tuition, fees, books) as well as the possible loss of earnings during coursework and/or internship. Research by Darling-Hammond and colleagues⁵¹ documented the importance of financial support in order to allow full-time study. The exemplary programs in their study provided greater financial supports for program participants than typically available in preparation programs. These supports included tuition waivers, district release time to facilitate clinical fieldwork, and paid internships.

While the internship is widely considered to be one of the most valuable parts of a preparation program and a dedicated internship is considered the most effective,⁵² costs can be a barrier given the fact that few participants have the luxury of giving up their regular jobs to complete the internship⁵³ and in traditional programs, the majority of principal candidates (93%) attend programs part-time⁵⁴ and continue in their regular employment full-time while enrolled in the program.⁵⁵ Exemplary programs ensure candidates receive financial support during their internships, and in many instances candidates receive a salary.⁵⁶ To meet these standards, the TPP Programs:

- All five Programs used TPP funds to pay the full cost of participant tuition, fees, and books.
- The Programs made variable use of TPP funding to pay individuals’ salaries during the internship in part or whole. For instance, while the legislative requirement mandated no less than a 5-month full-time internship, several of the programs chose to implement a ten-month internship which allowed them to access state MSA funding to pay salaries during the internship.⁵⁷
- Partnering LEAs also contributed varying levels of financial support for the program and participants. For example, LEAs paid for health insurance and other fringe benefits in the

⁴⁹ Darling-Hammond, et al., 2007;

⁵⁰ Orr & Orphanos, 2010; Pounder, 2011; Winn, Anderson, Groth, Korach, Pounder, Rorrer & Young, 2016;

⁵¹ Darling-Hammond, et al., 2007;

⁵² Darling-Hammond et al., 2007; Davis, 2016; Orr, 2011; Perez, Uline, Johnson, James-Ward, & Basom, 2011;

⁵³ Mendels, 2016;

⁵⁴ Wilmore & Bratlien, 2005;

⁵⁵ Wang, et al., 2018;

⁵⁶ Sutchel, Podolsky, & Espinoza, 2017;

⁵⁷ In combination with offering a Master’s in School Administration (MSA) degree, a 10-month internship permitted TPP Programs to access state MSA funding set aside to support salaries for an internship leading to the MSA degree.

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

Rigorous and Authentic Coursework Aligned to School Executive Leadership Standards

Strong programs present a logical sequence of courses that bring together theory and practice through problem-based learning.⁵⁸ Effective programs use context-specific problems to connect coursework and practice to enrich participants' skill development⁵⁹ and are effective in providing participants with opportunities to connect program experiences with genuine school leadership responsibilities while improving their sense of self-efficacy.⁶⁰ These programs use group discussions, role-plays, case studies, and action projects to address challenges principals face in order to ground participants' learning in real-world experiences.⁶¹ Preparation program content is also aligned to national and state standards reflecting research and professional knowledge concerning excellence in educational leadership.⁶² The TPP Programs exemplified this practice:

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

Full-time Internships with Embedded Mentoring and Substantial Leadership Responsibilities

High-quality programs support participants' development through internships that raise their awareness of the day-to-day complexities and demands of principals' work,⁶³ while also providing embedded mentoring by strong and supportive mentors⁶⁴ to help participants connect theory and problem-based activities from their coursework to practice.⁶⁵ In well-structured

⁵⁸ Darling-Hammond, et al., 2009;

⁵⁹ Davis, et al., 2005;

⁶⁰ Perez, et al., 2011;

⁶¹ Player & Katz, 2016;

⁶² Davis et al., 2005; Winn, et al., 2016;

⁶³ Mitello, Gadjia, & Bowers, 2009; Orr, 2011; Perez et al., 2011;

⁶⁴ Davis & Darling-Hammond, 2012; Gates et al., 2014; Olivero, Bane, & Kopelman, 1997;

⁶⁵ Daresh, 2001; Sanzo, et al., 2011;

mentoring programs, the mentor and mentee work collaboratively toward the accomplishment of an individually tailored professional development plan.⁶⁶ Ideally, participants intern in the districts where they intend to work so they become familiar with the context, resources, and challenges facing that district.⁶⁷ In addition, the scope of the principal's role is typically different from that of the assistant principal (who is, for example, often assigned to "discipline" or other non-instructional roles in high schools), so the internship provides an opportunity to learn the broader set of responsibilities, including instructional leadership, interactions with parents and stakeholders, and school improvement initiatives.⁶⁸ TPP Programs implemented this best practice:

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

Commitment to Program Evaluation and Continuous Improvement

Programs that regularly assess quality and strive for improvement are more likely to be effective.⁶⁹ Effective programs ensure a continuous improvement process by designing innovative pedagogy and curriculum to prepare leaders and by responding to local, state, and national standards and expectations.⁷⁰ Program evaluation should begin while participants are still in the program to provide insight into what preparation components are most effective and what aspects of the program might need improvement. The TPP Programs demonstrated this:

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

⁶⁶ Daresh, 2001;

⁶⁷ Gates et al., 2014;

⁶⁸ Sutchter, et al., 2017;

⁶⁹ Glasman, Cibulka, & Ashby, 2002; King, 2018;

⁷⁰ Barnett, 2005; Darling-Hammond et al., 2007; Glasman, et al., 2002; Jackson & Kelley, 2002; Murphy, 2005;

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APPENDIX B

SL 2018-5 209.70

"§ 116-209.70. Purpose and definitions.

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

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

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

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

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

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

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

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

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

Transforming Principal Preparation (TPP) Program Grant Quarterly Report Oct-Dec 2018

Report 3.04

Pamela Lovin, Janey Sturtz McMillen, William Carruthers, & Eleanor Hasse¹
Released February 2019

Overview

Quarterly reports produced in the course of evaluating the grant program funded by the N.C. Legislature, Session Law 2015-241 Section 11.9, Transforming Principal Preparation (TPP), provide a record of the significant events, activities, and developments in the program at three-month intervals and will be useful for sharing information about the program with interested parties. The reports are organized to provide information on the inputs, strategies and activities, outputs, and outcomes associated with NCASLD, as the administrator of the grants, the TPP Provider agencies (Providers) that have received grant funding, and the TPP program participants who are receiving principal preparation training.

This report provides information on the GrantProse evaluation of NCASLD, TPP Provider agencies, and TPP program participants for the fourth quarter of 2018, October 1 through December 31, 2018. This is the eleventh quarterly report produced.

Tier 1: Evaluation of NCASLD

Budget

NCASLD finalized the last of its contracts with TPP Providers during this quarter. NCASLD's contract negotiations with NCSU, involving SEAA representation as well, continued until late November. A two-year contract with NCSU was approved by SEAA rather than a four-year contract that NCASLD had earlier recommended to SEAA.² Also, the NCSU budget for these two years was reduced by \$150,000 each year relative to the earlier recommendation. Contracts, budgets, and the number of participants to be served have now been approved by NCASLD for all TPP Providers as indicated in **Table 1**.

NCASLD continues to submit invoices to SEAA for expenditures at NCASLD and the TPP Providers. NCASLD has questioned a number of expenditures at NCSU, particularly regarding Personnel, and NCSU's contract administrator is planning to review and adjust its invoices for July through December 2018 if needed to resubmit at the end of the January through March 2019 reporting period.

¹ Suggested citation: Lovin, P. M., Sturtz McMillen, J., Carruthers, W., & Hasse, E. (2019, February). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Oct-Dec 2018 (Report 3.04)*. Garner, NC: GrantProse, Inc.

² The GrantProse quarterly report for January through March 2018 indicates the recommendations that NCASLD proposed to SEAA for continuation funding in the 2018-19 year and after.

Table 1. NCASLD Approved Budgets for TPP Providers						
TPP Program	Program Participants *	2018-19 Budget	2019-20 Budget	2020-21 Budget	2021-22 Budget	Total Award
HPU	33	\$868,088	\$868,088	\$868,088		\$2,604,264
NCSU	34	\$1,184,884	\$1,184,884			\$2,369,768
SREC	24	\$780,900	\$780,900	\$780,900		\$2,342,700
UNCG	22	\$866,110	\$866,110	\$866,110	\$866,110	\$3,464,440
WCU	13	\$350,000	\$350,000			\$700,000
Total	126	\$4,049,982	\$4,049,982	\$2,515,098	\$866,110	\$11,481,172

* Note: The numbers reported in this table for participants are for the Oct-Dec 2018 period. SREC has indicated it plans to enroll 2 additional students in the Spring 2019, and both HPU and SREC, each with one-year programs, are expected to enroll additional participants in 2020-21. UNCG with a two-year program is expected to enroll additional participants in the 2020-22 period.

Fiscal Controls

NCASLD continues to monitor the internal process for reviewing TPP Provider invoices for allowability, allocability, and adherence to the final approved budgets. The electronic submission process and dual review process updated in the previous quarter (see NCASLD Quarterly Report Jul-Sep 2018) appear to be successful in (a) providing Providers with timely feedback, and (b) receiving timely responses from Providers regarding questions/updates.

Contractual Obligations

NCASLD appears to be in compliance with all contractual obligations.

Administration of the TPP grant program

On December 13, 2018, the North Carolina General Assembly, via technical corrections bill SB469, changed the administration of the Transforming Principal Preparation grant program from NCASLD to the NC Principal Fellows Commission, now housed at NC State University. The transfer is to take place on June 30, 2019. NCASLD informed the project directors December 15, 2019, of the upcoming change in administration and assured the providers that this action did not impact their grant funding.

Timeline

The following chart shows the status of activities established in the legislation or NCASLD scope of work for this reporting period. NCASLD has met milestones established for the twelfth quarter of the project (see **Table 2**).

Table 2. NCASLD & GrantProse Activities Completed in Oct through Dec 2018		
Date	Function	Activity
10/02/2018	Implementation	NCASLD hosts, along with NYCLA, a face-to-face Professional Learning Network meeting.
10/17/2018	Evaluation	GrantProse releases report on Funding Cycle II Participants' Pre-Survey Results
11/13/2018	Evaluation	GrantProse submits the quarterly (Year 3, Quarter 3) NCASLD evaluation report
12/15/2018	Evaluation	Provider agencies submit TPP Mid-Year Report

Scope of Work

NCASLD has fulfilled the seven key areas of responsibility proposed in its Scope of Work as follows:

A. Issue a Request for Proposal: No new information to report.

B. Evaluate and select eligible applicants: No new information to report.

C. Recommend grant recipients and duration to the SEAA: No new information to report.

D. Collect and report program data from grantee Providers: NCASLD has employed GrantProse to conduct all evaluation activities of the TPP Programs. This evaluation has been ongoing since the beginning of the program.

E. Evaluate grantee(s) for grant renewal: No new information to report.

F.1. Additional Proposed Activities of NCASLD: Provide technical assistance to grantee Providers:

NCASLD planned to host a virtual PLN December 10, 2019 to discuss TPP budget criteria and discuss strengthening coursework, the use of funds, and fiscal documentation. Because of inclement weather throughout the state and many school closings, the virtual PLN was cancelled. NCASLD planned to address the items from the PLN during the January PLN meeting.

F.2. Additional Proposed Activities of NCASLD: Establish and convene a statewide Professional Learning Network: NCASLD, with consultation from the New York City Leadership Academy (NYCLA), held a meeting of the Professional Learning Network (PLN) October 2, 2019. The meeting took place on at NCSU's Friday Institute. Dr. William Carruthers, GrantProse, led a discussion of GrantProse recommendations made in the July 2018 annual report to SEAA. Mary Jo Dunnington with NYCLA and Dr. Janey Sturtz McMillen with GrantProse provided tools to aid the programs as they strive to implement the recommendations. After lunch the TPP programs discussed budget criteria and district partnership agreements. Overall, the PLN meeting provided a collaborative learning opportunity for TPP Program staff and other attendees.

Tier 2: Evaluation of Providers

Budget

TPP Providers continue to submit quarterly invoices to NCASLD. NCASLD reviews these invoices to assess whether expenses are allowable, reasonable, and allocable. If NCASLD has questions about any of the expenses, it will ask the Provider to clarify and/or provide additional documentation. As discussed above, NCASLD's questions about expenses at NCSU during the first two quarters of 2018-19 have resulted in NCSU's contract administrator requesting that its invoices for the July through December 2018 period be withdrawn. NCSU has indicated that it plans to review these invoices and submit a single invoice at the end of March for the July 2018 through March 2019 period.

Timeline

Table 3 provides the status of activities established in the legislation or Provider scope of work for this report period. All Providers have met milestones established for the eleventh quarter of the project.

Table 3. TPP Program Provider & GrantProse Activities Completed in Oct through Dec 2018		
Date	Function	Activity
10/2018-12/2018	Evaluation	GrantProse continues observing select coursework/authentic learning experiences for each Providers

Evaluation of Program Data

GrantProse conducted in-person observations of select learning activities at each TPP Program in October, November, and December (see **Table 4**. Program Directors from each program provided GrantProse staff with a list of upcoming learning activities from which to choose and then facilitated scheduling details. GrantProse will produce a report for each observation. These reports will be included in the annual report submitted to SEAA at the end of the 2018-19 year.

Table 4. GrantProse Observations of TPP Programs			
Program	Date/Time	Observed Activity & Location	Visit Status
HPU	11/16	Distributive Leadership Class @ Stout School of Education	Complete
	11/17	Panel Discussion and Book Seminar @ Stout School of Education	Complete
NCLA	10/3	School Walkthrough @ A.B. Combs Elementary School	Complete
	11/28	ELP 552 School-Based Planning Management & Evaluation in PLC's @ WCPSS Crossroads Building II	Complete
SREC	10/24	Synergy Session @ Cumberland County Education Resource Center	Complete
	11/28	Synergy Session @ Moore County Board of Education	Complete
UNCG	11/5	ELC 660 The Principalship and ELC 670 Leadership for Teaching and Learning @ UNCG School of Education	Complete
	11/12	ELC 660 The Principalship and ELC 670 Leadership for Teaching and Learning @ UNCG School of Education	Complete
WCU	12/1	Leadership for Equity & Social Justice Course @ WCU Biltmore Square Center	Complete
	12/11	TPP Scholars End of the Semester Meeting @ Virtual Meeting	Complete

GrantProse also began analyzing the mid-year reports submitted by the Provider agencies and has produced a summary report that was released in January 2019.³

Tier 3: Evaluation of Participants

Timeline

Table 5 provides the status of evaluation activities for TPP program participants during this report period. Participants have met milestones established for the ninth quarter of the project.

Table 5. Participant & GrantProse Activities Completed in Jan through Mar 2018		
Date	Function	Activity
1/2018-3/2018	Evaluation	GrantProse continued to disseminate electronic surveys to program participants before entering coursework.

Evaluation of Participant Data

GrantProse disseminated a report of the TPP program participants' pre-survey results for funding cycle 2.⁴ Sixteen participants at HPU enrolled in Cohort IV scheduled to begin their program in the Spring 2019 semester were surveyed in December 2018, resulting in 122 (99.2%) of 123 participants being surveyed. Three participants that WCU planned to add to their program will not be surveyed due to their late addition.

Conclusions

Tier 1 Evaluation: NCASLD continues to implement the program with fidelity to the legislation and their proposal to SEAA. Tier 2 Evaluation: Similarly, TPP Programs are fully engaged in the program and committed to sharing insights, lessons learned, and best practices with each other, NCASLD, and the GrantProse evaluation team. Tier 3 Evaluation: All 2018-19 participants continued coursework during the quarter.

Overall, NCASLD and the TPP Programs continue to make progress along a challenging timeline while maintaining compliance with program and legislative requirements.

³ Carruthers, W., Sturtz McMillen, J., Hasse, E., & Lovin, P. (2019, January). *TPP Mid-Year Report: 2018-19 (Report 3.03)*. Garner, NC: GrantProse, Inc.

⁴ Carruthers, W., Lovin, P., & Copeland, J. (2018, June). *Participants' Pre-Survey Results: Funding Cycle 2 (Report 3.01)*. Garner, NC: GrantProse, Inc.

APPENDIX A

This section lists selected documents and reports GrantProse has produced for the TPP grant program to date.

Annual Reports to SEAA

Sturtz McMillen, J., Carruthers, W., Hasse, E., & Dale, E. M. (2017, July). *Transforming Principal Preparation Grant Program: First Year, Annual Report*. Garner, NC: GrantProse, Inc.

Sturtz McMillen, J., Carruthers, W., Hasse, E., Lovin, P., & Hasse, E. (2018, July). *Transforming Principal Preparation Grant Program: Second Year, Annual Report*. Garner, NC: GrantProse, Inc.

Sturtz McMillen, J., Carruthers, W., Hasse, E., Lovin, P., & Hasse, E. (2018, July). *Transforming Principal Preparation Grant Program: Second Year, Technical Report*. Garner, NC: GrantProse, Inc.

Quarterly Reports to NCASLD

Carruthers, W., Braswell, J., Hasse, E. (2016, May). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Jan-Mar 2016*. Garner, NC: GrantProse, Inc.

Carruthers, W., Braswell, J., Hasse, E. (2016, July). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Apr-Jun 2016*. Garner, NC: GrantProse, Inc.

Braswell, J., Hasse, E., McMillen, J., & Carruthers, W. (2016, November). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Jul-Sept 2016*. Garner, NC: GrantProse, Inc.

Carruthers, W., Braswell, J., Hasse, E., McMillen, J. (2016, January). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Oct-Dec 2016*. Garner, NC: GrantProse, Inc.

Carruthers, W., Braswell, J., Hasse, E., McMillen, J. (2017, June). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Jan-Mar 2017*. Garner, NC: GrantProse, Inc.

Carruthers, W., Sturtz McMillen, J., & Hasse, E. (2017, July). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Apr-Jun 2017*. Garner, NC: GrantProse, Inc.

Dale, E. M., Sturtz McMillen, J., Lovin, P., Carruthers, W., & Hasse, E. (2017, October). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Jul-Sep 2017*. Garner, NC: GrantProse, Inc.

Dale, E. M., Sturtz McMillen, J., Lovin, P., Carruthers, W., & Hasse, E. (2018, January). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Oct-Dec 2017*. Garner, NC: GrantProse, Inc.

Lovin, P., Dale, E. M., Sturtz McMillen, J., Carruthers, W., & Hasse, E. (2018, April). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Jan-Mar 2018*. Garner, NC: GrantProse, Inc.

Lovin, P., Sturtz McMillen, J., Carruthers, W., & Hasse, E. (2018, October). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Jul-Sep 2018 (Report 3.02)*. Garner, NC: GrantProse, Inc.

Lovin, P. M., Sturtz McMillen, J., Carruthers, W., & Hasse, E. (2019, February). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Oct-Dec 2018 (Report 3.04)*. Garner, NC: GrantProse, Inc.

Evaluation Reports

Carruthers, W. (2018, March). *TPP Participants' Survey: Mid-Year 2017-18*. Garner, NC: GrantProse, Inc.

Carruthers, W. & Hasse, E. (2018, April). *Evaluation Procedures: Identifying High Needs Schools*. Garner, NC: GrantProse, Inc.

Sturtz McMillen, J. S., Lovin, P. Hasse, E., Dale, E., & Carruthers, W. (2018, March). *TPP Growth Plans: Mid-Year 2017-18*. Garner, NC: GrantProse, Inc.

Carruthers, W., Lovin, P., & Copeland, J. (2018, October). *Participants' Pre-Survey Results: Funding Cycle 2 (Report 3.01)*. Garner, NC: GrantProse, Inc.

Carruthers, W., Sturtz McMillen, J., Hasse, E., & Lovin, P. (2019, January). *TPP Mid-Year Report: 2018-19 (Report 3.03)*. Garner, NC: GrantProse, Inc.

Guidances

Guidance 01: *Guidance on Preparing and Submitting Invoices to NCASLD*. (2016, November).

Guidance 02: *Complying with Institutional Review Board procedures associated with the GrantProse evaluation of the Principal Preparation Program*. (2016, November).

Guidance 03: *Use of Grant Funds to Pay for Food and Beverages*. (2017, April).

Other

Transforming Principal Preparation Program Evaluation: Report on Proposal Review and Award Recommendation. (2016, May). Garner, NC: GrantProse, Inc.

Principal Preparation Program Grant: Report on Proposal Review and Award Recommendations: Fall 2016 Competition. (2016, October). Garner, NC: GrantProse, Inc.

Transforming Principal Preparation in NC: Program Update Summary (2017, March). Garner, NC: GrantProse, Inc. (Prepared for Representative Blackwell)

Electronic documentation for the PED Measurability Assessment (2017, August) composed by NCASLD, GrantProse, and SEAA is stored at the NCASLD offices.

APPENDIX B: 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.
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	NCALSD 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 (see Appendix D) 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.
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
10/02/2018	NCASLD hosts, along with NYCLA, a face-to-face Professional Learning Network meeting.
10/17/2018	GrantProse releases report on Funding Cycle II Participants' Pre-Survey Results
11/13/2018	GrantProse submits the quarterly (Year 3, Quarter 3) NCASLD evaluation report
12/15/2018	Provider agencies submit TPP Mid-Year Report



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TPP PROGRAM COURSES: FACULTY INTERVIEWS

Report 3.05

Eleanor Hasse, Pamela Lovin, & Janey Sturtz McMillen¹

Released June 2019

OVERVIEW

This report provides an analysis of one-on-one interviews conducted with faculty teaching courses in the five Transforming Principal Preparation (TPP) Programs during the 2018-2019 year to explore faculty perceptions of the TPP courses and programs. Overall, interviewee responses provide evidence that TPP courses require high levels of active engagement, focus on skills and strategies for serving high need schools, and incorporate multiple authentic learning experiences with assignments reflecting the real world tasks of school administrators. Interviewees described extensive collaboration with TPP program directors, executive coaches, and other faculty to design courses integrated into cohesive programs rather than stand-alone experiences. Faculty described working with TPP program directors to get initial input and subsequent feedback from school district partners to redesign courses to better meet participant and district needs. Further description of participant responses to each of the open-ended questions is provided below.

METHODS

Nine faculty members were interviewed during February and March of 2019. The interviews usually took place in conjunction with a class observation.² One of the programs had only one faculty member teaching during the observation/interview period; two faculty members nominated by the project directors were interviewed for each of the other four programs. Of the nine persons interviewed, three were currently serving as K-12 administrators, two of these three were serving in their districts' central offices and one as a school principal. Of the remaining six people interviewed, four had substantial roles in TPP leadership or coaching. All but one of the courses were 3-credit hour courses, the remaining course was 2-credit hours. The majority of the courses were taught in a hybrid format with some combination of face-to-face and online class meetings. The interview protocol (see Appendix A) included seven open-ended questions as well as some questions about the course format, goals, and objectives. Interviews ranged between 15 and 30 minutes in length, depending on the length of participant responses. GrantProse staff audio recorded the interviews. A professional transcription service transcribed the interviews verbatim and then GrantProse staff spot-checked the transcriptions for accuracy. Following NSF recommendations for analyzing qualitative data,³ three GrantProse staff examined respondents' comments for common patterns and themes as well as exceptions to these.

¹ Suggested citation: Hasse, E., Lovin, P., & Sturtz McMillen, J. (2019, June). *TPP Program Faculty Interviews (Report 3.05)*. Garner, NC: GrantProse, Inc.

² See GrantProse report #3.08 for a discussion of the GrantProse classroom observations during 2018-19.

³ Berkowitz, S. (1997). Analyzing qualitative data. In Frechtling, J., & Sharp, L. (Eds.), *User-friendly handbook for mixed method evaluations* (nsf97153). Washington, DC: National Science Foundation. Retrieved from http://www.nsf.gov/pubs/1997/nsf97153/chap_4.htm

FINDINGS

The findings reported below are organized to parallel the numbering of the questions on the interview protocol.

QUESTION 1

What methods (e.g., field experiences, simulations, other special features) are used in this course to prepare students for their leadership role?

Summary: The majority of TPP faculty described integrating experiential learning assignments into their courses. In these assignments, students are expected to apply principles and strategies learned in courses to their work in schools and communities. As one interviewee expressed it, *“They’re still just in their current roles and positions in their school district, but they’re already being pushed to step out—step up and step out into some leadership roles in their current schools.”* These assignments included analyzing school data, participating in school walk-throughs and peer observations, developing and leading teacher professional development sessions, and participating on school committees. Faculty respondents also reported using scenarios (case studies, simulations, role plays) to provide participants a safe place to discuss and practice making difficult decisions and having difficult conversations. Multiple faculty respondents described integrating field experiences, interviews, and community organization visits into their courses. At least one faculty interviewee discussed using each of the following: walk-throughs, compass (personality traits) activity, mini-professional development presentations, and observations. In addition, TPP faculty reported using a variety of traditional classroom techniques. The majority described using group discussions, including activities like KWL (Know, Want to Know, Learned), pair/share, online conversations, research/discuss, and reflections. Reflections on learning experiences described included informal exit tickets and formal written reflections after experiences. The faculty respondents also reported using lectures and mini-lectures to inform program participants and inviting guest speakers to share real world expertise. Faculty interviewees discussed using a variety of readings with an emphasis on connecting theory to practice. Analysis, particularly data analysis, was emphasized in the assignments discussed by several faculty interviewees. The interviewees’ responses to this question suggest a concerted effort to integrate real-world experiential lessons through the course curriculum.

QUESTION 2

Service to high need schools and districts was a focus of the legislation that funded the TPP programs – in what ways does this course prepare students for service in high need schools and districts?

Summary: All TPP program faculty interviewees said that their programs were focused on high need schools and districts. They suggested several commonalities regarding the ways in which program courses prepared students for service in these high need schools and districts. The methods mentioned by faculty included: 1) instruction and assignments focused on understanding and responding to the needs of students and families in high poverty schools (mentioned by 44% of the faculty interviewed), such as interviewing Title I Coordinators in order to understand the program, how it is funded, and subgrants that are specifically for homeless students; 2) identifying and responding to challenges experienced by high need schools

and districts (44%) (e.g., recruiting, hiring, and retaining qualified staff, lack of resources) by participating in case scenario role plays or using course readings and guest speakers, as well as trying to effect school turnaround with more limited resources; 3) use of an equity lens to understand gaps in student data (33%), such as when attending an equity retreat or analyzing existing school improvement plans; and 4) finding opportunities to engender sensitivity and cultural awareness (22%), such as creating professional development experiences to be delivered at assigned schools. The interviewees' responses to this question suggest faculty recognize the urgency of addressing issues of high need schools and districts with prospective school leaders.

QUESTION 3

How does this course support students developing their skills in providing leadership for equity?

Summary: During the interviews with TPP program faculty, several commonalities were noted regarding the ways in which program courses supported students in developing their skills in providing leadership for equity. The methods mentioned by faculty included: 1) instruction and assignments focused on equity issues and how to address them (mentioned by 44% of the faculty interviewed), such as videos, equity institutes, article-based discussions, and in-class assignments regarding ethics and equity; 2) increasing comfort with using data and being reflective on its use in context (33%), such as using data to build programs supporting underserved students; 3) identifying opportunities to move away from deficit-based thinking, language, and ideologies (44%) by examining personal issues that prevent supporting and valuing every student, role plays regarding how to create a pool of shared meaning to support open conversations with staff, and developing leadership plans for equity and social justice; and 4) focusing on providing supports for students and faculty members (33%) by increasing comfort with advocating for resources and completing assignments on creating a strong school culture to support students and faculty. The interviewees' responses to this question further support the earlier contention that the faculty recognize the significance of this issue for school leaders.

QUESTION 4

How has this course changed as a result of the TPP Program? Follow up probe: How is it different from courses in a traditional principal preparation program?

Summary: The most frequent response to this question, mentioned by five of the nine faculty instructors interviewed, involved the TPP program's increased emphasis on authentic practical applications and experiential learning. In support of this response, faculty described program faculty and guest speakers as including veteran administrators and attorneys with specific relevant experiences, a better balance of theory and experiential practice particularly in regards to assignments, and more collaborative interaction between students. Other strengths of the TPP program mentioned when compared to traditional programs included increased focus on equity and high need schools or students, emphasis on cultural proficiency, closer coordination between courses in the program, and stronger district partnerships. Three faculty respondents were cautious in their comparisons as they had not taught the current course before the TPP program or in the traditional MSA program and did not have personal knowledge of the traditional program at their university. Three faculty from three different programs also explained that a spread of ideas and activities from the TPP program into other MSA programs had taken place - one said the IHE's entire MSA curriculum had been revamped and would be used for any MSA

student going forward, one noted he/she was using the same materials in both programs in his/her own teaching, and another noted that the IHE department head had taken an interest in using TPP program activities and assignments to strengthen the traditional program. Interviewees' responses to this question suggest the TPP Program is having an impact on other more traditional principal preparation programs. Also, the mention of 'more collaborative interaction between students' and 'stronger district partnerships' directly relate to two of the best practices that GrantProse has identified associated with the transformation of principal preparation programs.

QUESTION 5

In what ways does this course build on and contribute to the overall TPP program? Follow up probe: How do you work with other faculty in the program to ensure a coherent overall program?

Summary: In response to this question, the faculty described frequent on-going meetings between themselves, program leaders, district partners, and other stakeholders, from the program planning stage all the way through feedback and course revision, mapping out where all of the program objectives would fit into the courses, designing coordinated assignments, keeping in touch throughout the semester, and paying close attention to the whole experience of the students. For example, one interviewee stated, *"We have been able to work together to ensure that they are not learning things in silos - that they are learning the connections between all of these elements in the courses that they are taking so that they can rely on that total experience."* Another stated, *"...this redesign in particular has really forced us to be more purposeful about connecting across semesters and ensuring that the students—you know, I hope they've highlighted this in past interviews, but for me at least the selling point is moving from a course-based program to a program. So our students are receiving a program that should speak to itself throughout and feel integrated and coherent."* Interviewees' response to this question generally identified an overall vision for the program, extensive collaboration between faculty teaching different TPP courses, and purposeful oversight from project directors ensuring coherent programs, suggesting a purposeful design and implementation associated with the TPP transformational efforts.

QUESTION 6

Does this course require extra resources beyond what is normal in your department? If so, would these be sustained beyond TPP funding? How?

Summary: Two of nine respondents, from two different programs, indicated that the classes required extra resources and that on-going funding would be needed to sustain these courses. In both cases, the extra funding was being provided by the local Regional Education Service Alliance (RESA). The RESAs provided funding for guest speakers and attending outside professional development opportunities/workshops integrated into the courses. An additional faculty respondent at a third program said that funds were not needed for the course per se, but were used to pay for substitute teachers so that teachers in the program could participate in the course's field experiences such as school walk-throughs and interviews outside their own schools and districts. The remaining respondents thought that their specific courses did not require resources beyond what was normal for other courses in their departments, but several were unsure due to their lack of experience with other courses. One mentioned that other non-TPP

grants had provided funding for non-expendable resources such as simulation scenarios to use in class. Another faculty respondent explained that if extra money was available, the course design could be richer and incorporate more partnerships with other organizations. Another faculty respondent mentioned that the university had to add extra sessions because of the increased number of participants and thus hire more adjunct faculty. In addition, GrantProse interviews with project leadership and review of project budgets provide additional evidence of these ways in which the programs' courses depend on or are intertwined with additional activities paid for with TPP funding.

QUESTION 7

In what ways do you receive and incorporate feedback to improve the course? Follow up probe: How does this course incorporate K-12 practitioner input?

Summary: In response to this question, TPP program faculty respondents reported receiving feedback to improve their courses from a variety of people. All of the faculty respondents said that they received feedback from students. These included formalized means (i.e., course evaluation surveys), pre/post assessments, instructor surveys, exit tickets, and individualized activities. Four of nine faculty respondents (44%) described creating opportunities for informal discussion in and outside of the classroom to receive student feedback. Feedback from current practitioners was also incorporated by faculty in a variety of ways. Seven of nine (78%) described receiving feedback from cooperating LEAs. Seven of nine (78%) said that they used formal and informal discussions with LEA leadership to help improve courses. Five of nine (56%) discussed their use of experiences of K-12 administrators to improve the courses. Four of the nine (44%) mentioned using their personal experiences as K-12 administrators to adjust the course, while two of nine (22%) referred to use of discussions with other K-12 administrators to improve the course. Examples of changes made due to practitioner input included increased emphasis on day-to-day management issues, dealing with parents, dealing with ethical issues, and increased discussion of administrators' roles and responsibilities for working with children with disabilities particularly in high-need schools. Program leadership and other program faculty provided additional sources of feedback as evidenced by responses to this question and previous questions, particularly Question 5, included descriptions of TPP faculty for a particular program and cohort working together to ensure that the courses were integrated into a coherent and comprehensive program meeting national and state standards and local needs.

CONCLUSIONS

- The faculty interviews supported evidence from other surveys, observations, and program director interviews indicating individual courses are well integrated into purposively designed transformational programs rather than stand-alone experiences.
- Those faculty respondents who were not themselves TPP program leaders described close oversight from the TPP program leaders.
- The faculty also reported close collaboration with other faculty as well as LEA leaders in developing their courses.
- The majority of faculty respondents emphasized experiential learning and practical, hands-on, real-world assignments to develop leadership skills.

- Faculty respondents also described use of case studies, role-playing, simulations, discussion, and reflection to develop leadership skills and strategies to address difficult situations, equity issues, and high-need students and schools.
- All of the faculty respondents viewed their programs as focused on equity and leadership in high need settings.
- All of the programs have actively used multiple feedback mechanisms to inform and improve courses.
- Evidence from the faculty interviews suggests some spread of curriculum and instructional practices from the TPP programs into traditional MSA programs.

Overall, evidence from the faculty interviews suggests that the programs as a whole have designed or redesigned courses extensively over the last three years, incorporating an increased emphasis on authentic real world experiential lessons resulting in coherent programs focused on the needs of partner districts and high need students. While the majority of faculty members interviewed did not think that the course they were teaching required additional funding over what is required for traditional courses, there is evidence that additional funding is necessary to implement courses in the TPP Program. Several faculty, for instance, described how additional funding including from the TPP grant, RESAs, and another grant, provided means for students to participate in program activities (e.g., substitute teachers, school walk-throughs, conferences, guest speakers, simulations) upon which these courses draw. Moreover, GrantProse interviews with project leadership and review of project budgets elucidate multiple ways in which the programs' courses depend on or are intertwined with additional activities paid for with TPP funding. Based on these findings, additional funding is needed for the authentic activities and enhanced curriculum found in the TPP programs.

APPENDIX A: FACULTY INTERVIEW

Check that faculty member gives permission to record the interview.

Basic Course Information (from syllabus/e-mails in advance – then check with instructor that the information is correct).

1. Course name:
2. Course Catalog Number:
3. Number of Credits:
4. Meeting Time:
5. Meeting Location:
6. Course format (e.g. lecture, discussion, case study, field experiences):
7. Students – is this just for TPP students or do other students take this course? Is there a special section of regular course just for TPP?
8. What are your main goals and objectives for this course?

Course Experiences

1. What methods (e.g. field experiences, simulations, other special features) are used in this course to prepare students for their leadership role?
2. Service to high need schools and districts was a focus of the legislation that funded the TPP programs – in what ways does this course prepare students for service in high need schools and districts?
3. How does this course support students developing their skills in providing leadership for equity?

TPP Program

4. How has this course changed as a result of the TPP Program? Follow up probe: How is it different from courses in a traditional principal preparation program?
5. In what ways does this course build on and contribute to the overall TPP program? Follow up probe: How do you work with other faculty in the program to ensure a coherent overall program?

Sustainability

6. Does this course require extra resources beyond what is normal in your department? If so, would these be sustained beyond TPP funding? How?

Evaluation

7. In what ways do you receive and incorporate feedback to improve the course? Follow up probe: How does this course incorporate K-12 practitioner input?



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EVALUATION PROCEDURES

Identifying High Needs Schools: 2018-19 Year

Report 3.06
William Carruthers¹
Released June 2019

METHODS

The authorizing legislation for the Transforming Principal Preparation (TPP) grant program, N.C. Session Law 2015-241 Section 11.9, defines a high need school as:

A public school, including a charter school, that meets one or more of the following criteria:

- a. Is a school identified under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended.*
- b. Is a persistently low-achieving school, as identified by the Department of Public Instruction for purposes of federal accountability.*
- c. A middle school containing any of grades five through eight that feeds into a high school with less than a sixty percent (60%) four-year cohort graduation rate.*
- d. A high school with less than a sixty percent (60%) four-year cohort graduation rate.*

In order to operationalize this definition for the purposes of program evaluation, GrantProse staff studied data available from the North Carolina Department of Public Instruction (NCDPI) and interpreted each criterion as described below. A TPP Program graduate will be counted as having been placed in a high need school if the school in which they are employed as a school leader meets one or more of these criteria. School status will be determined during the spring semester of each school year based on the most recent data available at the time.

Title I Schools: Data reported by NCDPI indicating whether a school is being served in the Title I program are available at <http://www.ncpublicschools.org/program-monitoring/titleIA/>, as updated on February 18, 2019, for the 2018-19 year. Data were retrieved April 8, 2019, from the dataset for *Title I Schools 2018-19*. There are 2,652 schools in the dataset, including 191 charter schools. Of the 2,652 schools, there are 2,092 (78.9%) schools reported to be participating in the Title I program in varied combinations of school-wide (SW) and targeted assistance (TAS) programs. All schools with poverty rates of 35% or greater participated in some combination of SW and/or TAS programs, while a number of schools with poverty rates below 35% (ranging as low as 3.4%) participated in TAS programs.

¹ Suggested citation: Carruthers, W. (2019, June). *Evaluation Procedures: Identifying High Needs Schools: 2018-19 Year (Report 3.06)*. Garner, NC: GrantProse, Inc.

Persistently Low Achieving Schools: Data on low-performing schools are available at <http://www.ncpublicschools.org/accountability/reporting/>. Data to determine the high need status of schools were retrieved April 8, 2019, from the dataset for *2017-18 Low-Performing Schools, Low-Performing Districts, Recurring Low-Performing Schools and Continually Low-Performing Charter Schools*. This dataset does not identify a category for “Persistently” low-performing schools, but does identify a category for “Recurring Low-Performing” schools. In order to be identified as a recurring low-performing school, a school must be identified as low-performing in any two (2) of the last three (3) years. To be considered low-performing a school must have received a School Performance grade of 'D' or 'F' and a growth status of 'Met' or 'NotMet'. There are 436 schools in the dataset identified as Recurring Low-Performing schools.

High Schools with less than a 60% 4-year cohort graduation rate: Data concerning the 4-year cohort graduation rate of North Carolina high schools are available at: <http://www.ncpublicschools.org/accountability/reporting/cohortgradrate>. Data to determine high need status of schools for TPP graduates employed as principals and assistant principals in the 2018-19 year were retrieved April 8, 2019, from the file *2014-15 Entering 9th Graders Graduating in 2017-18 or Earlier*. Graduation rates for schools with either or both a 12th or 13th grade level were identified for 531 schools, ranging from 2.5% to >95%. There were 31 schools with graduation rates below 60%. Enrollment at all but one of these schools was below 235 students and it is likely that most of these schools are alternative schools.

Middle School Feeder Pattern to High Schools: Among the 31 middle schools with graduation rates below 60%, all but one of these schools enrolled fewer than 235 students. It is likely that many if not all of these schools are alternative schools that enroll students from across the district, in which case the feeder pattern has little meaning for the purpose of determining if the middle school meets this legislative criterion for high needs status.

FINDINGS

Using Microsoft ACCESS, a query was built from the list of the 2,652 school IDs in the Title I dataset to merge data from the Title I, recurring low performing, and graduation datasets indicating whether a school was identified as high needs. A formula was created in the Access query to output a “Y” to a new variable field in the dataset of 2,652 school IDs, indicating whether a school had been designated as high need in any of the Title I, recurring low performing, and/or graduation datasets. The Access query returned 2,095 (79.0%) of the 2,652 schools in the Title I category as meeting one or more of the high need criteria. The recurring low-performing and graduation datasets added only three additional schools to those that were already identified in the Title I dataset.

CONCLUSIONS

The determination as to whether a school or an LEA 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’ as seen in the following clause: “*a. Is a school identified under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended.*” However, it is not clear in this legislative definition how to operationalize the term ‘identified.’

If the word ‘identified’ is interpreted to mean receiving Title I services, regardless of whether these be school-wide or targeted assistance programs, then 78.9% of schools in the State meet this HN criterion. This figure increases slightly to 79.0% of schools in the State when the recurring low-performing and graduation rate datasets are included in the analysis. On the one hand, this approach to interpreting HN status for schools in the State could be seen to be quite liberal. However, with almost 80% of schools meeting HN status, there is little distinction among schools vis-à-vis their ‘needy’ status. On the other hand, this approach could be seen to be quite conservative. With almost 80% of schools meeting HN status, there can be little argument over whether a school is HN or not.

In consideration of the high stakes expectation of the TPP programs that their graduates will take principal and assistant principal positions in HN schools, GrantProse adopts the conservative approach and interprets the TPP legislation cautiously to include any and all schools that might fall under the legislative definition—at least until such time as there may be additional clarification and/or changes to the legislative definition for HN. Per this approach, GrantProse recognizes the risk that too many schools are being identified as high needs.



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Transforming Principal Preparation (TPP) Program Grant Quarterly Report Jan–Mar 2019

Report 3.07

Pamela Lovin, Janey Sturtz McMillen, William Carruthers, & Eleanor Hasse¹
Released June 2019

OVERVIEW

Quarterly reports produced in the course of evaluating the grant program funded by the N.C. Legislature, Session Law 2015-241 Section 11.9, Transforming Principal Preparation (TPP), provide a record of the significant events, activities, and developments in the program at three-month intervals and will be useful for sharing information about the program with interested parties. The reports are organized to provide information on the inputs, strategies and activities, outputs, and outcomes associated with NCASLD, as the administrator of the grants, the TPP Provider agencies (Providers) that have received grant funding, and the TPP program participants who are receiving principal preparation training.

This report provides information on GrantProse's evaluation of NCASLD, TPP Provider agencies, and TPP program participants for the first quarter of 2019, January 1 through March 31. This is the twelfth quarterly report produced.

TIER 1: EVALUATION OF NCASLD

Budget

NCASLD continues to submit monthly invoices to SEAA. Budget expenditures appear to be reasonable, allowable, and allocable. Expenditures to date are as expected according to the projected timelines and activities.

Fiscal Controls

NCASLD continues to monitor the internal process for reviewing TPP Provider invoices for allowability, allocability, and adherence to the final approved budgets. The electronic submission process and dual review process updated earlier (see NCASLD Quarterly Report Jul-Sep 2018) appear to be successful in (a) supplying Providers with timely feedback, and (b) receiving timely responses from Providers regarding questions/updates.

Contractual Obligations

NCASLD appears to be in compliance with all contractual obligations.

¹ Suggested citation: Lovin, P. M., Sturtz McMillen, J., Carruthers, W., & Hasse, E. (2019, June). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Jan-Mar 2019 (Report 3.07)*. Garner, NC: GrantProse, Inc.

Timeline

The following chart shows the status of activities established in the legislation or NCASLD scope of work for this reporting period. NCASLD has met milestones established for this quarter of the project. **Table 1** indicates significant activities completed during the January to March quarter.

Table 1. NCASLD & GrantProse Activities Completed in Jan through Mar 2019

Date	Function	Activity
1/15/2019	Implementation	NCASLD hosts, along with NYCLA, a face-to-face Professional Learning Network meeting.
02/18/2019	Evaluation	GrantProse submits the eleventh quarterly (Year 2, Quarter 4) NCASLD evaluation report.
3/20/2019	Implementation	NCASLD hosts, along with NYCLA, a virtual Professional Learning Network meeting for TPP Program Directors and staff.

Scope of Work

NCASLD has fulfilled the seven key areas of responsibility proposed in its Scope of Work as follows:

A. Issue a Request for Proposal: No new information to report.

B. Evaluate and select eligible applicants: No new information to report.

C. Recommend grant recipients and duration to the SEAA: No new information to report.

D. Collect and report program data from grantee Providers: NCASLD has employed GrantProse to conduct all evaluation activities of the TPP Programs. This evaluation has been ongoing since the beginning of the program.

E. Evaluate grantee(s) for grant renewal: No new information to report.

F.1. Additional Proposed Activities of NCASLD: Provide technical assistance to grantee Providers: NCASLD, with the consultation of the New York City Leadership Academy (NYCLA), held a virtual teleconference meeting on Tuesday, March 20, 2019, from 9:00am to 10:30am. This virtual meeting of the Professional Learning Network focused on internships. The TPP Programs discussed initial expectations of interns, major projects, and assessment practices. Programs took turns sharing key features of internships. The programs asked to create a virtual folder in which major assignments and assessments during the internships could be shared. Subsequently, NCASLD created the folder and shared it with all Providers.

F.2. Additional Proposed Activities of NCASLD: Establish and convene a statewide Professional Learning Network: NCASLD, with consultation from the NYCLA, held a meeting of the Professional Learning Network (PLN) on January 15, 2019. The meeting took place at UNCG's Elliot University Center. The PLN focused on preparing principals to advance equity in schools. GrantProse has produced an observation report of this meeting.

TIER 2: EVALUATION OF PROVIDERS

Budget

TPP Program providers continue to submit quarterly invoices to NCASLD. Budget expenditures appear to be reasonable, allowable, and allocable. Expenditures to date are as expected according to the projected timelines and activities.

Timeline

Table 2 provides the status of activities established in the legislation or TPP Program scope of work for this report period. All TPP Programs have met milestones established for this quarter of the project.

Table 2. TPP Program Provider & GrantProse Activities Completed in Jan through Mar 2019

Date	Function	Activity
1/2019-3/2019	Evaluation	GrantProse continues observing select coursework/authentic learning experiences for each TPP Provider
1/2019-3/2019	Evaluation	GrantProse conducted interviews with faculty members from each course observed this quarter

Evaluation of Program Data

GrantProse conducted in-person observations of selected university classroom meetings at each TPP Program in February and March (see **Table 3**). Program Directors from each program provided GrantProse staff with a list of upcoming classroom activities from which to choose and then facilitated scheduling details. GrantProse produces a report for each observation that will be included in the annual report submitted to SEAA at the end of the 2018-19 year.

At the time of these classroom observations, GrantProse also conducted interviews with instructors of the observed courses. The interviews focused on the course experience, TPP Program, sustainability, and evaluation. An analysis of those interviews will be completed in the next quarter.

Table 3. GrantProse Observations of TPP Programs

Program	Date/Time	Observed Class and Location	Visit Status
HPU	3/1	EDU 5172 Implementing Distributed Leadership for Teacher Empowerment @ Stout School of Education	Complete
	3/2	EDU 5060 Developing Leaders in 21 st Century Systems @ Stout School of Education	Complete
NCLA	2/11	ELP 611D Data Use for School Leaders @ WCPSS Crossroads II	Complete
	2/25	ELP 551 Context and Challenges of School Improvement @ Friday Institute	Complete
SREC	2/11	EDNS 5060 Leveraging Stakeholders' Involvement for School @ Sandhills Community College	Complete
	3/18	EDNL 5860 Legal Aspects of Educational Leadership @ Sandhills Community College	Complete

Program	Date/Time	Observed Class and Location	Visit Status
UNCG	2/5	ELC 694 Cultural and Political Leadership Dimensions of Schooling @ Gateway Research North Campus, UNCG	Complete
	2/26	ELC 688 Leadership of Rural Schools @ Gateway Research North Campus, UNCG	Complete
WCU	2/23	EDL 721 School Law @ WCU Biltmore Square Center	Complete
	2/23	EDL 617 History, Sociology, and Philosophy of Education @ WCU Biltmore Square Center	Complete

TIER 3: EVALUATION OF PARTICIPANTS

Timeline

Table 4 provides the status of evaluation activities for TPP program participants during this report period. One participant withdrew from NCSU's program. In February, WCU-NCSELP informed an additional three graduate students of acceptance into the program. All other participants have met milestones established for this quarter of the project.

Table 4. Participant & GrantProse Activities Completed in Jan through Mar 2019

Date	Function	Activity
1/2019-3/2019	Evaluation	GrantProse continued to develop electronic surveys for participants to be disseminated in April 2019.

CONCLUSIONS

Tier 1 Evaluation: NCASLD continues to implement the program with fidelity to the legislation and their proposal to SEAA. Tier 2 Evaluation: Similarly, TPP Programs are fully engaged in the program and committed to sharing insights, lessons learned, and best practices with each other, NCASLD, and the GrantProse evaluation team. Tier 3 Evaluation: With one exception, all 2018-19 participants continued coursework during the quarter.

Overall, NCASLD and the TPP Programs continue to make progress along a challenging timeline while maintaining compliance with program and legislative requirements.

APPENDIX A

This section lists selected documents and reports GrantProse has produced for the TPP grant program to date.

Annual Reports to SEAA

Sturtz McMillen, J., Carruthers, W., Hasse, E., & Dale, E. M. (2017, July). *Transforming Principal Preparation Grant Program: First Year, Annual Report*. Garner, NC: GrantProse, Inc.

Sturtz McMillen, J., Carruthers, W., Hasse, E., & Lovin, P. (2018, July). *Transforming Principal Preparation Grant Program: Second Year, Annual Report*. Garner, NC: GrantProse, Inc.

Sturtz McMillen, J., Carruthers, W., Hasse, E., & Lovin, P. (2018, July). *Transforming Principal Preparation Grant Program: Second Year, Technical Report*. Garner, NC: GrantProse, Inc.

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

Quarterly Reports to NCASLD

Carruthers, W., Braswell, J., Hasse, E. (2016, May). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Jan-Mar 2016*. Garner, NC: GrantProse, Inc.

Carruthers, W., Braswell, J., Hasse, E. (2016, July). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Apr-Jun 2016*. Garner, NC: GrantProse, Inc.

Braswell, J., Hasse, E., McMillen, J., & Carruthers, W. (2016, November). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Jul-Sept 2016*. Garner, NC: GrantProse, Inc.

Carruthers, W., Braswell, J., Hasse, E., McMillen, J. (2016, January). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Oct-Dec 2016*. Garner, NC: GrantProse, Inc.

Carruthers, W., Braswell, J., Hasse, E., McMillen, J. (2017, June). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Jan-Mar 2017*. Garner, NC: GrantProse, Inc.

Carruthers, W., Sturtz McMillen, J., & Hasse, E. (2017, July). *Transforming Principal Preparation Program Evaluation: Quarterly Report: Apr-Jun 2017*. Garner, NC: GrantProse, Inc.

Dale, E. M., Sturtz McMillen, J., Lovin, P., Carruthers, W., & Hasse, E. (2017, October). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Jul-Sep 2017*. Garner, NC: GrantProse, Inc.

Dale, E. M., Sturtz McMillen, J., Lovin, P., Carruthers, W., & Hasse, E. (2018, January). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Oct-Dec 2017*. Garner, NC: GrantProse, Inc.

- Lovin, P., Dale, E. M., Sturtz McMillen, J., Carruthers, W., & Hasse, E. (2018, April). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Jan-Mar 2018*. Garner, NC: GrantProse, Inc.
- Lovin, P., Sturtz McMillen, J., Carruthers, W., & Hasse, E. (2018, October). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Jul-Sep 2018 (Report 3.02)*. Garner, NC: GrantProse, Inc.
- Lovin, P. M., Sturtz McMillen, J., Carruthers, W., & Hasse, E. (2019, February). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Oct-Dec 2018 (Report 3.04)*. Garner, NC: GrantProse, Inc.
- Lovin, P. M., Sturtz McMillen, J., Carruthers, W., & Hasse, E. (2019, May). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Jan-Mar 2019 (Report 3.05)*. Garner, NC: GrantProse, Inc.
- Lovin, P. M., Sturtz McMillen, J., Carruthers, W., & Hasse, E. (2019, June). *Transforming Principal Preparation Program Evaluation: Quarterly Report, Jan-Mar 2019 (Report 3.07)*. Garner, NC: GrantProse, Inc.

Evaluation Reports

- Carruthers, W. (2018, March). *TPP Participants' Survey: Mid-Year 2017-18*. Garner, NC: GrantProse, Inc.
- Carruthers, W. & Hasse, E. (2018, April). *Evaluation Procedures: Identifying High Needs Schools*. Garner, NC: GrantProse, Inc.
- Sturtz McMillen, J. S., Lovin, P. Hasse, E., Dale, E., & Carruthers, W. (2018, March). *TPP Growth Plans: Mid-Year 2017-18*. Garner, NC: GrantProse, Inc.
- Carruthers, W., Lovin, P., & Copeland, J. (2018, October). *Participants' Pre-Survey Results: Funding Cycle 2 (Report 3.01)*. Garner, NC: GrantProse, Inc.
- Carruthers, W., Sturtz McMillen, J., Hasse, E., & Lovin, P. (2019, January). *TPP Mid-Year Report: 2018-19 (Report 3.03)*. Garner, NC: GrantProse, Inc.
- Carruthers, W. (2019, June). *Evaluation Procedures: Identifying High Needs Schools: 2018-19 Year (Report 3.06)*. Garner, NC: GrantProse, Inc.

Guidances

- Guidance 01: *Guidance on Preparing and Submitting Invoices to NCASLD*. (2016, November).
- Guidance 02: *Complying with Institutional Review Board procedures associated with the GrantProse evaluation of the Principal Preparation Program*. (2016, November).
- Guidance 03: *Use of Grant Funds to Pay for Food and Beverages*. (2017, April).

Other

Transforming Principal Preparation Program Evaluation: Report on Proposal Review and Award Recommendation. (2016, May). Garner, NC: GrantProse, Inc.

Principal Preparation Program Grant: Report on Proposal Review and Award Recommendations: Fall 2016 Competition. (2016, October). Garner, NC: GrantProse, Inc.

Transforming Principal Preparation in NC: Program Update Summary (2017, March). Garner, NC: GrantProse, Inc. (Prepared for Representative Blackwell)

Electronic documentation for the PED Measurability Assessment (2017, August) composed by NCASLD, GrantProse, and SEAA is stored at the NCASLD offices.

APPENDIX B: 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.
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.

Date	Activity
October 5, 2017	NCASLD and GrantProse met to review the Criteria & Scoring Rubric for Continued Funding Recommendations (see Appendix D) 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.
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.

Date	Activity
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, and
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 continued to develop electronic surveys for participants to be disseminated in April 2019.
January - March 2019	GrantProse 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 31, 2019	Provider agencies submit TPP mid-year reports.
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.



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TPP PROGRAMS: PROGRAM LEADERSHIP INTERVIEWS

Report 3.08

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Released June 2019

EXECUTIVE SUMMARY

This report provides an analysis of interviews conducted with program leadership ($n=13$) for the five Transforming Principal Preparation (TPP) programs during the 2018-19 year in order to explore perceptions of the implementation of best practices in school leader preparation within the programs. One program had one individual participate in the program leadership interview, while the other four programs had participation from between two and four members of the leadership team as identified by each program's directors. The interview protocol (see **Appendix A**) included thirteen questions asking the interviewee to rate (on a scale of 1=unable to 7=able) the level to which the program was able to implement an identified best practice in preparing program participants for school leadership positions. These rating scale questions were followed by open-ended questions regarding best practice implementation examples, challenges, and potential for sustainment without TPP grant funding. Additional questions requested interviewees to reflect on program differentiators, significant interactions with program participants and partnering LEAs, and the most important factors contributing to program success. A final question asked interviewees to rank order the top five best practices in preparation of school leaders.

Overall, the program leadership report that TPP programs are able to implement identified best practices to a high degree (average of all ratings = 6.7, range 5 to 7). The ability to provide high quality Executive Coaches to support program participants was rated highest across all programs (average = 7.0), while the ability to recruit a large and diverse pool of applicants to participate in the program was rated lowest across programs although this was still quite high (average = 6.23, range 5 to 7).

Interviewees provided numerous examples of implementing the best practices, such as provision of leadership for administering and managing the program, development of strong partnerships with LEAs, selection of high quality program participants using rigorous criteria, implementing a cohort model, supporting participants financially with program expenses, implementing rigorous coursework aligned with leadership standards, high quality internships with strong mentoring principals, continuous improvement activities, extra-curricular enrichment activities, provision of high quality executive coaches, and emphasizing practices associated with equity principles in education as well as those associated with providing high quality education in high need school environments.

¹ Suggested citation: McMillen, J.S., Carruthers, W., Hasse, E., & Lovin, P. (2019, June). *TPP Programs: Program Leadership Interviews (Report 3.08)*. Garner, NC: GrantProse, Inc.

Interviewees also identified challenges to implementation such as limited time and resources, turnover in LEA partner staff, fewer high quality applicants than needed, and significant time investment needed to establish and maintain positive LEA partnerships. Interviewees were also asked to assess the potential for implementation of these best practices without continued TPP funding, generally reporting most practices are not sustainable without funding or sustainable but at a lower level of intensity or rigor.

The findings reported in this Executive Summary are organized to parallel the numbering of the questions on the interview protocol.

- **Q1a. What distinguishes/differentiates this program from other programs?**
Identified key differentiators that distinguish this program from other programs included individualized, focused support for participants (31% of interviewees), the role of experienced staff practitioners in translating theory into practice (31%), the enriching nature of the LEA partnerships (23%), specialty training received by program participants via practitioners, affiliates, or field experiences (23%), internships in which theory and practice come together and interns learn how to lead (23%), the provision of executive coaching (23%), and partnership with affiliate organizations (23%).
- **Q1b. What is the thing you are most proud about in the program?** 31% of interviewees identified the quality of program participants, their growth throughout the program and the difference they are making after program completion as the thing about the program of which they were most proud.
- **Q2. How well is your program able to provide leadership for administering and managing the program?** The two biggest challenges encountered by these programs in the provision of leadership for administering and managing the programs were negotiating input in the intern placement process (38%) and limited time (31%). While they have successfully done so despite time and resource challenges, application of this best practice would be extremely difficult without continued grant funding.
- **Q3. How well is your program is able to develop strong partnerships with LEAs?** Programs have developed strong LEA partnerships through frequent ongoing communication (46%), program flexibility (31%), leveraging existing contacts (23%), including LEA partners in program activities and events (23%), and incorporating LEA input into program content (15%). These partnerships require continued effort to maintain and without continued funding, these partnerships would become more superficial.
- **Q4. How well is your program able to recruit a large and diverse pool of applicants?** The TPP programs have recruited program participants through LEA partners “tapping” candidates (54%), advertising the program via multiple methods (46%), and partnering with diverse districts (15%). Only a few challenges were encountered in implementing this best practice, but without grant funding the tapping process would likely be diminished.
- **Q5. How well is your program able to select high quality candidates?** The programs selected high quality candidates using rigorous criteria such as an assessment day (46%), the “tapping” selection process at LEA level (23%), and implementing a multi-tiered process (15%). The primary challenge encountered in implementing this best practice was not receiving enough high quality applicants from LEAs (54%), and the interviewees

were evenly divided as to whether the selection process could be sustained, with those reporting that it could be saying not likely at the same level of intensity and rigor.

- **Q6. How well is your program able to implement a cohort model?** Implementation of a cohort model was generally accomplished via group assignments (92%) and team building activities (69%), with few challenges. While the majority of interviewees reported these activities to be sustainable, most (63%) also indicated this would not be in the current format.
- **Q7. How well is your program able to support participants financially with program expenses?** Supporting program participants financially with program expenses was accomplished by covering cost of salary during internship (39%), tuition and fees (31%), books (15%), and fringe benefits (15%), as well as negotiating with LEAs to have them cover a salary supplement to bring salary during internship to current pay rate (23%). The primary challenge encountered in implementing this best practice was the time and effort required to negotiate reduced tuition and fees as well as getting LEA partners to provide salary supplements (54%). While a significant amount of time and effort is used to do this, the programs would not be able to sustain this without grant funding and such a loss would have a major negative impact particularly on the ability to attract high quality program participants from high need districts.
- **Q8. How well is your program able to implement rigorous coursework?** All of the programs report being able to implement rigorous coursework aligned with NC School Executive Leadership Standards by using a combination of embedded assignments throughout the length of the program, which can be difficult due to the number of standards to be met in a relatively short time. All programs reported this practice could be sustained without grant funding, although perhaps without the same depth and rigor.
- **Q9. How well is your program able to implement high quality internships?** TPP programs have been successful in establishing high quality internships with strong principal mentors due to ongoing communication and relationships with LEA partners (31%) as they work together to select placements and mentors (46%). However, the time required for monitoring the internships for consistent quality after placement has been a challenge (39%) and all of the programs agreed that high quality internships would not be sustainable without TPP grant funding.
- **Q10. How well is your program able to implement continuous improvement activities?** Programs have largely been able to implement continuous improvement activities by continuously gathering feedback from both program participants (31%) and key stakeholders (31%), although they are not always able to implement changes based on the feedback due to program or funding constraints (23%) and time and scheduling limitations are a challenge to implementation (31%). The ability to implement this practice at the current level would not be possible without grant funding.
- **Q11. How well is your program able to implement extra-curricular activities?** The majority of extra-curricular enrichment activities provided by the programs are symposia or training provided by outside entities (31%), school study tours in high need settings (31%), and retreats focused on issues such as equity (23%). While only minimal challenges were reported in implementing this practice, the majority of respondents

(54%) indicated it is not sustainable without grant funding.

- **Q12. How well is your program able to provide high quality Executive Coaches?** The TPP program leaders report being able to provide high quality executive coaches to support program participants (62%), although they may be overworked and underpaid (46%), which may impact the pipeline of high quality individuals over time. Without TPP funding, programs would not be able to sustain this practice.
- **Q13. How well is your program able to emphasize practices associated with equity principles in education?** The ability to emphasize equity principles in education has been accomplished in these programs through building equity discussions and reflections into all coursework and program components (54%), having participants take specific courses (31%) and take part in training by outside entities (39%), and having a diverse program staff and participants (31%). The primary challenge in implementation has been LEA commitment to equity (31%), but the practice is highly sustainable.
- **Q14. How well is your program able to emphasize principles and practices associated with providing quality education in high need school environments?** The ability to emphasize principles and practices associated with providing high quality education in high need school environments is embedded within the programs at multiple levels (46%) and is supplemented with professional speakers (31%) and school visits (15%). This practice did not experience any major challenges to implementation and was highly sustainable.
- **Q15. Please pick five practices that you believe are most important to the success of your program.** The five practices most identified as important to program success were executive coaching, LEA partnerships, full-time internships with embedded mentoring from high quality principals, rigorous and authentic coursework aligned to NC Executive Leadership Standards, and selection of program participants using rigorous criteria.
- **Q16. Please describe the most significant interactions you have with your program participants.** Interviewees indicated several significant interactions with program participants that contributed to the program's success including interactions during coursework (46%), regular meetings (23%), interactions with program staff as a team (23%), face-to-face interactions (15%), check-ins at the beginning of class (15%), participating with them in activities and events (15%), responsiveness to participant requests (15%), the internship (15%), ongoing open communication (15%) and professional personal relationships (15%).
- **Q17. Please describe the most significant interactions you have with your partnering LEAs.** The most significant interactions with partnering LEAs that interviewees identified were regular meetings (39%), ongoing frequent communication (23%), face-to-face interactions (23%), and participation in program events.
- **Q18. What do you believe are the most important factors contributing to the success of your program?** Interviewees identified the most important factors contributing to program success as program staff members' commitment, support, and passion (46%), LEA partnerships (15%), program commitment to improvement (15%), participants' commitment (15%), TPP grant funding, relationships with participants, and innovative course content.

METHODS

Thirteen individuals were interviewed during May 2019. The interviews took place in person or via telephone depending upon interviewee availability. One of the programs had only one individual participate in the program leadership interview, while the other four programs had participation from between two and four members of the leadership team as identified by each program's Directors. The interview protocol (see **Appendix A**) included thirteen questions asking the interviewee to rate (on a scale of 1 = 'unable' to 7 = 'able') the level to which the program was able to implement an identified best practice in preparing program participants for school leadership positions. These rating scale questions were followed by open-ended questions regarding best practice implementation examples, challenges, and potential for sustainment without TPP grant funding. Additional open-ended questions requested interviewees to reflect on program differentiators, significant interactions with program participants and partnering LEAs, and the most important factors contributing to program success. A final question asked interviewees to rank order the top five best practices in preparation of school leaders. Interviews ranged between one and two hours in length, depending on the length of responses and the number of individuals participating in the interview. GrantProse staff audio recorded the interviews. A professional transcription service transcribed the interviews verbatim and then GrantProse staff spot-checked the transcriptions for accuracy. Following NSF recommendations for analyzing qualitative data,² GrantProse staff examined interviewees' comments for common patterns and themes as well as exceptions to these.

FINDINGS

Overall, interviewee responses provide evidence that TPP programs are able to implement these best practices to a high degree (Average of all ratings=6.7, range 5 to 7). The ability to provide high quality Executive Coaches to support program participants was rated highest across all programs (Average=7.0), while the ability to recruit a large and diverse pool of applicants to participate in the program was rated lowest across programs (Average=6.23, range 5 to 7) although this was still quite high. The findings reported below are organized to parallel the numbering of the questions on the interview protocol, which is shown in **Appendix A**.

QUESTION 1

What distinguishes/differentiates this program from other programs? What are the most special things about the program? What is the thing you are most proud about in the program?

Summary: Interviewees identified several key differentiators across programs. Individualized, focused support for participants was identified by 31% of the interviewees. As expressed by one interviewee, *"one of the greatest strengths is that amount of individual time that we spend with the interns, so that it's not just one staff member getting to know the intern and focusing on an intern. It's the whole staff focusing on each intern, and planning, and problem-solving, and working with that intern."* Also identified by 31% was the role of experienced staff practitioners

² Berkowitz, S. (1997). Analyzing qualitative data. In J. Frechtling and L. Sharp (Eds.), *User-friendly handbook for mixed method evaluations* (nsf97153). Washington, DC: National Science Foundation. Retrieved from http://www.nsf.gov/pubs/1997/nsf97153/chap_4.htm

in translating theory into practice. Twenty-three percent of interviewees identified the enriching nature of the LEA partnerships as exemplified by the quote, *“if we didn’t have this partnership, we probably wouldn’t be able to offer such rich learning opportunities for our folks.”* Additional areas identified by 23% of interviewees included the specialty training received by program participants via practitioners, affiliates, or field experiences (*“Our program really looks to make sure that, with special training, the fellows receive more instruction, more information about different topics that they will definitely be able to use in leadership.”*), internships in which theory and practice come together and interns learn how to lead (*“It’s where sort of the theory and practice come together, and interns are able to learn by doing, informed by the supporting coursework and the guidance of the mentor principal, and the leadership coaching that they’re receiving.”*), the provision of executive coaching (*“We have an incredible executive coaching staff. The students continue to rate the executive coaches as very highly effective for them.”*), and partnership with affiliate organizations (*“I think sort of the richness of that content and the realistic nature of those learning—those interactive learning experiences, are such that that’s the kind of richness you can get from a partnership.”*). Interviewees also identified specific elements of individual programs such as the level of intentional reflection about practices, implementation of a cohort model, a change project requiring participants to lead school improvement, intentional curriculum delivery, intense Synergy program during internship, collaborative staff, depth and rigor of content across program pieces, leadership for equity and social justice in practice, and synthesis of all of the program parts.

When asked to identify the thing about the program of which they were most proud, 31% of interviewees identified quality of program participants, their growth throughout the program and the difference they are making after program completion. This pride is exemplified by quotes from interviewees such as, *“if I have to narrow it down to one, would be the student growth, just seeing individuals coming in as some of them do, and then their—they’ve grown immensely by the end of the program so that we have strong confidence in their ability to do their jobs,”* *“I have been incredibly impressed with the group of candidates who were recruited... and what a great group of people they are in terms of what they bring and the promise for effective future leaders that I believe they hold,”* and *“I think the people that we have produced are doing good work and making a difference.”* Additional items identified included synthesis of program parts, highly involved program alumnae, “switch time” during internship, the Synergy program and its provision of high quality experiences, stakeholder investment in the interns, and the program’s focus on leadership for social justice and use of improvement science to guide change initiatives and the indirect impact on others outside of the program.

The interviewees’ responses to this question suggest that there are several common and individual program elements that differentiate the TPP programs from traditional preparation programs and that the quality of program participants and the potential difference they may make once they complete the program is a source of program pride.

QUESTION 2

Please rate on a scale of 1 (unable) to 7 (able) how well your program is able to provide leadership for administering and managing the program.

- a) Please provide an example of how you have been able to implement this best practice.**
- b) Please describe a challenge you have encountered with implementing this best practice.**
- c) Please describe how you will be able to sustain this best practice in the event TPP funding ceases.**

Summary: The average score for this rating was 6.46 (range of 5 to 7). The majority (62%) of TPP program leaders rated their program's ability to provide leadership for administering and managing the program as a 7. Interviewees at two programs rated their programs' ability at 6, and only one interviewee rated program ability at 5. An example of how these programs have implemented this best practice includes IHE or stakeholder investment in infrastructure (31%), as exemplified by the quote, *"I feel like on the university's part, they have invested a lot in infrastructure of the program leadership. Like for example, I'm pretty much focused on {the program}. In terms of my teaching load, my workload is completely focused on {the program} right now, which really frees me up to invest myself fully, that's one way. A second way is that they agreed to hire a co-director. That's a huge commitment to the program leadership. And an administrative assistant, as well."* An additional 23% of interviewees identified continuous program improvement (*"I think what I really see as exemplary about our program is that process of continuous improvement is utilized within the program itself to continue to try to make the program consistently stronger, from lessons learned from previous cohorts, and from also keeping an eye on what's going on and how things have changed over time, so that new needs for—that are developing are integrated in."*). Sixteen percent of interviewees identified ongoing direct contact with participants, commitment of partnering LEAs, and funding for support staff.

The two biggest challenges encountered by these programs in implementation were negotiating input in the intern placement process (38%) and limited time (31%). While still the highest reported challenge, working with LEA partners to mutually determine intern placement has improved over the two TPP funding cycles as evidenced by the quote, *"I feel like moving from the first cohort into the second cohort, we made some commitments as a partnership, and one of the key ones was around coming to consensus and making mutual decisions between the partner districts and the leadership team about where our interns would be placed. And then we also came up with this list of criteria for, like, this is what a good placement involves, so this is what we want to look for, and this is what we want to avoid in a placement."* However, the limited time available for administering the program continue to be a challenge as described by one interviewee, *"when IHEs are involved and tenure-track folks are involved, that our responsibilities go—we're doing much more than principal preparation, right? So there's research and scholarship, and there's program coordination, and there's all of these things that really have nothing to do with principal preparation, right? And so in having to share ourselves, we're not able to focus in on the leadership of principal preparation at the level we wish we could. Do I think we're doing a bang-up job? Absolutely, for where we are and what we're given. But we do continue to struggle with resources, and that's not just funding, whether that's another position for someone to help with leadership, but that's a lot about time."* Additional challenges identified included limited resources (23%), difficulty scheduling meetings (16%), communication as the program grows larger (8%), and implementing intentional methods for

monitoring and administering the program (8%).

In the event that TPP funding ceased, 100% of these programs indicated they would maintain their commitment to the work, but also acknowledged that it would be very difficult for the IHE to sustain key roles such as executive coaches, cohort directors, project directors, or project coordinators. Additionally, several of the programs raised a concern that partnering LEAs would lose motivation to continue partnerships as evidenced by the following quotes, *“if funding ceases, then that, I fear, would impact our coaching model and our ability to partner as strongly, perhaps, with some of our LEAs,”* and *“on the part of our districts, how willing would they still be to do all of this design work and stuff if there’s no funding for salary replacement so that these people could have the full-time internship.”*

The interviewees’ responses to this question suggest that they have successfully provided leadership for administering and managing the TPP programs, despite time and resource challenges. However, application of this best practice would be extremely difficult without continued grant funding.

QUESTION 3

Please rate on a scale of 1 (unable) to 7 (able) how well your program is able to develop strong partnerships with LEAs that contribute leadership and resources to the program.

- a) Please provide an example of how you have been able to implement this best practice.**
- b) Please describe a challenge you have encountered with implementing this best practice.**
- c) Please describe how you will be able to sustain this best practice in the event TPP funding ceases.**

Summary: The average score for this rating was 6.54 (range of 5 to 7). The majority (62%) of TPP program leaders rated their program’s ability to develop strong partnerships with LEAs as a 7. Interviewees at four programs rated their programs’ ability at 6, and only one interviewee rated program ability at 5. Examples of how these programs have implemented this best practice include frequent ongoing communication (46%), program flexibility (31%), leveraging existing contacts (23%), including LEA partners in program activities and events (23%), and incorporating LEA input into program content (15%). As described by one interviewee, *“We’ve met with HR superintendent, with the director for human resources, with regional superintendents to talk about how we are personalizing our program to meet their needs. Whether it is through the process and procedure for our students being placed in their year-long internship, to identifying the needs that the district perceives that they have, and how they want us to best prepare our fellows to be able to function within the context of their district.”*

Challenges encountered by these programs in implementing this best practice include maintaining the partnership during turnover of district staff (23%), the amount of time required to cultivate the partnership (15%), and creating a partnership that is mutualistic (15%). Additional challenges reported included ensuring LEA understanding of grant requirements and working with districts of various sizes with a range of resources and time to commit. An example quote from one interviewee, *“another challenge that we’ve encountered, is, like, the transparency that it takes through developing those relationships for districts to be vulnerable enough to say, “This is where we’re struggling. How can your program help support that?” But it’s just through developing those relationships so that we can personalize our approach for what they need.”*

In the event that TPP funding ceased, all but one of the interviewees indicated the relationships would continue, however the majority (78%) of respondents also acknowledged that the relationships were likely to become more superficial, losing their intention, purpose, and shared value.

The interviewees' responses to this question suggest that the programs have been able to establish strong LEA partnerships that require continued effort to maintain. Without continued funding, these partnerships might remain, but not in a substantial way.

QUESTION 4

Please rate on a scale of 1 (unable) to 7 (able) how well your program is able to recruit a large and diverse pool of applicants to participate in the program.

- a) Please provide an example of how you have been able to implement this best practice.**
- b) Please describe a challenge you have encountered with implementing this best practice.**
- c) Please describe how you will be able to sustain this best practice in the event TPP funding ceases.**

Summary: The average score for this rating was 6.23 (range of 4 to 7). The majority (62%) of TPP program leaders rated their program's ability to recruit a large and diverse pool of applicants as a 7. An interviewee at one program rated the program's ability at 6, while interviewees at two programs rated ability at 5, and one interviewee rated the program ability at 4. Examples of how these programs have implemented this best practice included "tapping" of candidates by LEA partners (54%), advertising the program via multiple methods (46%), and partnering with diverse districts (15%). As one interviewee put it, *"We try to get information about the program in the hands of every single educator in our partner districts, through brochures and email blasts, et cetera, and then we hold an information session in each of our partner districts. So I feel that the—in terms of recruitment, we try to be very sort of pervasive and multi—we have like a multimodal approach, and I still think that that tapping is key."*

Only a few challenges were encountered in implementing this best practice, which included limited district advertising, and quality of candidates tapped by LEA partners, and a lack of diverse candidates tapped by LEA partners.

In the event that TPP funding ceased, these programs indicated the recruitment activities could likely be sustained, but the buy in from LEA partners for the "tapping" process would likely be diminished since there is no real advantage for them anymore.

The interviewees' responses to this question suggest that the programs are able to recruit participants largely in partnership with LEA recommendations that could be sustained without funding, but which would lose their effectiveness in identifying high quality candidates.

QUESTION 5

Please rate on a scale of 1 (unable) to 7 (able) how well your program is able to select high quality candidates to participate in the program using rigorous selection criteria.

- a) Please provide an example of how you have been able to implement this best practice.**
- b) Please describe a challenge you have encountered with implementing this best practice.**
- c) Please describe how you will be able to sustain this best practice in the event TPP funding ceases.**

Summary: The average score for this rating was 6.62 (range of 5 to 7). The majority (69%) of TPP program leaders rated their program's ability to select high quality candidates for the program as a 7. Interviewees at two programs rated their programs' ability at 6, and only one interviewee rated program ability at 5. Examples of how these programs have implemented this best practice included an assessment day (46%), "tapping" selection process at LEA level (23%), and multi-tiered process (15%). As one interviewee said, *"We have sort of this multiphase process where initially candidates apply sort of phase one is to the district, they apply to the district. And there's a component to that application that is sort of practice-based...So, and then the second phase...is the people who are screened at the district level to continue on to phase two, then come on campus and we run them through some simulations and run them through some tasks, like one is a data analysis task. And our district partners are part of that, of assessing that. And I feel like that's where we get to see the skills, the knowledge, et cetera, that people will bring into it... Because we know that the leaders we're trying to cultivate need to have strong social-emotional skills. So that phase two really helps us see how they interact, how they work with others...We also see how they do in terms of being flexible, dealing with ambiguity, et cetera, because...school leadership is rife with those characteristics, so we get to see how they engage with those things. And sort of their coachability."* Other examples included involvement of LEA personnel in assessment, establishing rigorous criteria, and using rigorous assessment instruments for selection.

The primary challenge encountered by these programs in implementing this best practice was not receiving enough high quality applicants from LEAs (54%), as exemplified by the quote, *"The way that it's presently structured right now, the school districts definitely have the upper hand when it comes to who will be selected. And ideally it would be more of a 50/50 kind of decision-making process. And wouldn't it be great if in the selection process we could have a sort of back-and-forth that allowed us to push against who they were bringing to the table."*

Additional challenges included finding space to conduct a full assessment day (23%), lack of standardization among assessors (15%), and cost (15%) as well as time.

In the event that TPP funding ceased, the programs were evenly divided as to whether the selection process could be sustained, with 50% reporting it could be but not likely at the same level of intensity and rigor.

The interviewees' responses to this question suggest that the programs are using a rigorous multi-tiered selection process involving skill assessment and LEA involvement. While they feel the skill assessment is rigorous, there is concern that the "tapping" step at the LEA level may not be identifying enough high quality candidates. Additionally, half of the programs indicated this level of rigorous selection process could not continue without TPP grant funding.

QUESTION 6

Please rate on a scale of 1 (unable) to 7 (able) how well your program is able to implement a cohort model that affords opportunities for the participants to develop professional relationships with each other.

- a) Please provide an example of how you have been able to implement this best practice.**
- b) Please describe a challenge you have encountered with implementing this best practice.**
- c) Please describe how you will be able to sustain this best practice in the event TPP funding ceases.**

Summary: The average score for this rating was 6.92 (range of 6 to 7). The majority (92%) of TPP program leaders rated their program's ability to implement a cohort model as a 7, while one interviewee rated the program's ability at 6. The majority of programs (92%) implemented this best practice using group projects and assignments. An additional method was purposeful team building activities such as ropes courses (69%), as exemplified by the quote, *"I feel like that starts from the very beginning. We held a boot camp this summer before classes started, where we had them for four days, and some of the activities that we did were specifically to develop those group dynamics and that group coherence and establish that relational trust."* Other methods included stressing the importance of teamwork and support throughout program (31%), and use of social media or technology for participants to communicate with each other (23%). As one interviewee put it, *"We begin by saying to them that this program is not about yourself. This is about developing a team, collaborating, and creating leadership inside you, but also with those around you. So you're a part of leadership, and you want to make sure that everybody around you is a strong leader, too. So it's not about competing with each other, it's about supporting each other."*

Challenges encountered by these programs in implementing this best practice were managing cohort size (23%), overcoming group dynamic issues (23%), avoiding "group think" and time to implement.

In the event that TPP funding ceased, only one indicated these activities were not sustainable. The other interviewees indicated the activities were sustainable, although 63% indicated this would not be at the same level or with the same depth.

The interviewees' responses to this question suggest that implementation of a cohort model was generally accomplished via group assignments and team building activities, with few challenges. While the majority of interviewees reported these activities to be sustainable, most also indicated this would not be in the current format.

QUESTION 7

Please rate on a scale of 1 (unable) to 7 (able) how well your program is able to support participants financially with program expenses including tuition, fees and books, and salaries during their internship.

- a) Please provide an example of how you have been able to implement this best practice.**
- b) Please describe a challenge you have encountered with implementing this best practice.**
- c) Please describe how you will be able to sustain this best practice in the event TPP funding ceases.**

Summary: The average score for this rating was 6.31 (range of 5 to 7). The majority (54%) of TPP program leaders rated their program's ability to support participants financially with program expenses as a 7. Interviewees at two programs rated their programs' ability at 6, and interviewees at two programs rated ability at 5. Examples of how these programs have implemented this best practice included covering cost of salary during internship (39%), tuition and fees (31%), books (15%), and fringe benefits (15%), as well as negotiating with LEAs to have them cover a salary supplement to bring salary during internship to current pay rate (23%). As explained by one interviewee, *"Getting the tuition paid lowers the barrier for people to participate, and getting that on internship salaries at the hold-harmless rate is key to getting the people in the program that we want, and to being able to have that internship, which is, like I said, the centripetal force of the whole program."*

The primary challenge encountered in implementing this best practice was the time and effort required to negotiate reduced tuition and fees as well as getting LEA partners to provide salary supplements (54%). Other challenges include level of LEA investment if not contributing to salary supplement and the grant funding cycle misalignment with IHE academic cycle in some programs.

In the event that TPP funding ceased, all of the programs indicated this practice was not sustainable and would have a huge impact on program ability to attract high quality program participants particularly from high need districts. As one interviewee said, *"most of our districts are considered—in fact, maybe all of them—are considered economically distressed. So, to expect them to pick up tuition or salaries during the internship, I just don't think they'd be able to pull it off...So, I do think that the ability to sustain this best practice if the TPP funding ceases, like this is the one that would be the hardest to do without the funding."*

The interviewees' responses to this question suggest they have largely negotiated ways to cover the primary expenses required for program participants. While a significant amount of time and effort is used to do this, the programs would not be able to sustain this without grant funding and such a loss would have a major negative impact.

QUESTION 8

Please rate on a scale of 1 (unable) to 7 (able) how well your program is able to implement rigorous coursework closely aligned with the NC School Executive Leadership Standards.

- a) Please provide an example of how you have been able to implement this best practice.**
- b) Please describe a challenge you have encountered with implementing this best practice.**
- c) Please describe how you will be able to sustain this best practice in the event TPP funding ceases.**

Summary: The average score for this rating was 6.92 (range of 6 to 7). The majority (92%) of TPP program leaders rated their program's ability to implement rigorous coursework closely aligned with the NC School Executive Leadership Standards as a 7. An interviewee at one program rated the programs' ability at 6. The majority of interviewees (54%) indicated a combination of program frameworks, syllabi, and course assignments are used to embed the executive leadership standards with rigor. For example, *"I feel like we work closely with all the instructors to make sure that there is coherence across the courses, that all of them require quality readings that are challenging and relevant at the same time. And you know, we are doing simulations and case studies and fieldwork in every course. So, two of the things that are"*

required of every course is that...there has to be some practitioner component in each course and there has to be some relevant fieldwork related to each course where people are doing things in schools that develop that knowledge and skills in real ways.” Other examples of how these programs have implemented this best practice included purposeful redesign of course sequences (23%), collaboration across faculty (23%), use of executive coaching visits to document progress (15%), and using a planning calendar to create coherence across the course sequence.

Challenges encountered by these programs in implementing this best practice included constraints on teaching methods by IHE and state requirements (15%) as well as the time available during the program to accomplish the many standards assignments with rigor (15%). As one interviewee explained, *“I think a constraint in the coursework...university requirements and state requirements for the coursework that has to be delivered...there’s a lot of constraints that are imposed upon us by what the university requires, what the system requires, you know. Like there has to be a budget course.... not that we wouldn’t teach those, but we might teach them entirely different. We might blend them into something else and—because when you can be creative, you can really do it differently. But there are certain requirements that we just have to meet in order to get them licensed at the end.”*

In the event that TPP funding ceased, all of the programs indicated the practice could be sustained, but 40% also reported that this would not be with the same depth and rigor particularly over time without realignment.

The interviewees’ responses to this question suggest that all of the programs meet this best practice using a combination of embedded assignments throughout the length of the program, which can be difficult due to the number of standards to be met in a relatively short time. Given the work that has already been undertaken to create the embedment of assignments, this practice could be sustained without grant funding, although perhaps without the same depth and rigor.

QUESTION 9

Please rate on a scale of 1 (unable) to 7 (able) how well your program is able to implement high quality internships of at least 5-months duration in schools with strong mentoring principals.

- a) Please provide an example of how you have been able to implement this best practice.**
- b) Please describe a challenge you have encountered with implementing this best practice.**
- c) Please describe how you will be able to sustain this best practice in the event TPP funding ceases.**

Summary: The average score for this rating was 6.5 (range of 5 to 7). The majority (54%) of TPP program leaders rated their program’s ability to implement high quality internships of at least 5-months duration in schools with strong mentoring principals as a 7. Interviewees at four programs rated their programs’ ability at 6, one interviewee at one program rated ability at 5, and one interviewee did not rate this item. Forty-six percent of interviewees indicated they have been able to implement this best practice by working with partner LEAs to select high quality mentors (*“I think one of the most important words that came out of this is “strong mentoring principals.” I think something that we spend a lot of time on in my district that I’m working with is identifying who those strong mentoring principals are, in a very transparent way. We’re talking to the people who know who their strongest mentor principals are, not based on opinion or based on*

popularity, but based on the results that they are able to produce.”). Other examples include maintaining communication and positive relationships with LEA partners (31%), using continuous feedback to improve placements over time (23%), high levels of ongoing communication with mentors during internship (15%), and training for principal mentors.

Challenges encountered by these programs in implementing this best practice were the amount of time required to continuously proactively monitor internship placements to maintain high quality and address problems as they arise (39%), negotiating with LEAs for the best placement for the intern rather than the LEA (15%), and limited availability of high quality mentors. In the event that TPP funding ceased, all programs indicated this best practice would not be sustainable.

The interviewees’ responses to this question suggest that they have been successful in establishing high quality internships with strong principal mentors due to ongoing communication and relationships with LEA partners as they work together to select placements and mentors. However, the time required to monitor the internships for consistent quality after placement has been a challenge and all of the programs agreed that high quality internships would not be sustainable without TPP grant funding.

QUESTION 10

Please rate on a scale of 1 (unable) to 7 (able) how well your program is able to implement continuous improvement activities based on evaluation, participant outcome data, and feedback collected from participants, faculty, LEA representatives, Executive Coaches, and mentoring principals.

- a) Please provide an example of how you have been able to implement this best practice.**
- b) Please describe a challenge you have encountered with implementing this best practice.**
- c) Please describe how you will be able to sustain this best practice in the event TPP funding ceases.**

Summary: The average score for this rating was 6.85 (range of 6 to 7). The majority (85%) of TPP program leaders rated their program’s ability to implement continuous improvement activities as a 7. Interviewees at two programs rated their programs’ ability at 6. The two primary ways in which programs have implemented this best practice included systemic, embedded opportunities to gather key stakeholder feedback (31%) and continuous evaluation activities such as interviews and surveys with program participants and key stakeholders (31%). As one interviewee described, *“this is something that we—we just breathe this. It’s part of the culture of the program....Every piece of data we get, we look at. What can we learn from this? What, can we do better? How can we do it better? But, you know, we use those internal evaluations, those formative evaluation, benchmark reports. We use all the data from course evaluations. We survey our people. You know, we also use what they write...and what they produce in their projects and assignments. That’s data for us, too.”*

Challenges encountered by these programs in implementing this best practice included an inability to implement feedback due to program or funding constraints (23%), time and scheduling limitations (31%), ensuring high response rates to feedback requests, and not overburdening stakeholders with too many requests. In the event that TPP funding ceased, the programs either indicated this practice was not sustainable (23%), or not sustainable at the current level (23%).

The interviewees' responses to this question suggest that they have largely been able to implement this best practice by continuously gathering feedback from both program participants and key stakeholders, although they are not always able to implement changes based on the feedback due to program or funding constraints and time and scheduling limitations are a challenge to implementation. The ability to implement this practice at the current level would not be possible without grant funding.

QUESTION 11

Please rate on a scale of 1 (unable) to 7 (able) how well your program is able to implement extra-curricular activities that additionally enhance the quality of the program.

- a) Please provide an example of how you have been able to implement this best practice.**
- b) Please describe a challenge you have encountered with implementing this best practice.**
- c) Please describe how you will be able to sustain this best practice in the event TPP funding ceases.**

Summary: The average score for this rating was 6.85 (range of 6 to 7). The majority (85%) of TPP program leaders rated their program's ability to implement extra-curricular activities that enhance the quality of the program as a 7. Interviewees at two programs rated their programs' ability at 6. As one interview indicated, *"It's what makes the program the program. Otherwise it's just another MSA program."* Examples of how these programs have implemented this best practice symposia or training provided by outside affiliates or groups (31%), school study tours in high need settings (31%), retreats (23%), professional conferences (15%), and team building activities.

Challenges encountered by these programs in implementing this best practice were primarily the time required to coordinate the activities and minimizing the participants' use of professional leave days for activities outside of their building. In the event that TPP funding ceased, 54% of interviewees indicated these activities are not sustainable and 23% indicated a few might be partially sustainable as they are relatively low cost.

The interviewees' responses to this question suggest that the majority of extra-curricular enrichment activities are symposia or training provided by outside entities, school study tours in high need settings, and retreats focused on issues such as equity. While only minimal challenges were reported in implementing this practice, the majority of respondents indicated it is not sustainable without grant funding.

QUESTION 12

Please rate on a scale of 1 (unable) to 7 (able) how well your program is able to provide high quality Executive Coaches to support program participants.

- a) Please provide an example of how you have been able to implement this best practice.**
- b) Please describe a challenge you have encountered with implementing this best practice.**
- c) Please describe how you will be able to sustain this best practice in the event TPP funding ceases.**

Summary: All TPP program leaders rated their program's ability to provide high quality Executive Coaches to support program participants as a 7. These programs have implemented

this best practice through selection of high quality executive coaches (62%) using rigorous selection processes (23%). These executive coaches attend program courses and activities (23%) and have ongoing collaborative meetings with program staff (15%). As one interviewee described, *“coaches who are with the interns, spending quality time with the interns, not only every other week in visits to the schools, but also every week for a full day in the middle of the week. So that tells you how much time they’re putting in with the interns. And we can’t pay them for all of that, you know.”*

Challenges encountered by these programs in implementing this best practice were compensating coaches for the large amount of time spent in travel and completing administrative tasks (31%) as well as inability to pay them what they are worth (15%). An additional challenge was maintaining the pipeline of high quality executive coaches over time (15%).

In the event that TPP funding ceased, these programs all indicated the provision of high quality executive coaches would not be sustainable

The interviewees’ responses to this question suggest that they have been able to provide high quality executive coaches to support program participants, although they may be overworked and underpaid, which may impact the pipeline of high quality individuals over time. Without TPP funding, programs would not be able to sustain this practice.

QUESTION 13

Please rate on a scale of 1 (unable) to 7 (able) how well your program is able to emphasize practices associated with equity principles in education (e.g., achievement, fairness, and opportunity).

- a) Please provide an example of how you have been able to implement this best practice.**
- b) Please describe a challenge you have encountered with implementing this best practice.**
- c) Please describe how you will be able to sustain this best practice in the event TPP funding ceases.**

Summary: The average score for this rating was 6.92 (range of 6 to 7). The majority (92%) of TPP program leaders rated their program’s ability to emphasize practices associated with equity principles in education as a 7. An interviewee at one programs rated program ability at 6. Examples of how these programs have implemented this best practice included building equity discussions and reflections into all coursework and program components (54%), having participants take specific courses addressing equity (31%), participating in training by outside entities (39%), and diversity of program staff (23%) and participants. As an example, *“So it’s embedded in—within almost all of the courses, and it’s a—it’s two stand-alone courses. There’s a leadership for social justice institute. There’s a three-day conference that focuses on systemic change related to equity. I think the diversity of our faculty is very important.”*

Challenges in implementing this best practice were identified by programs to be a mismatch between the level of commitment to equity by program participants and the LEAs in which they hope to affect change (31%) and a lack of diversity in program participants nominated by LEAs. As described by one interviewee, *“the challenge is, we’re trying to cultivate equity leaders who are going to disrupt the status quo, and who are going to promote social justice, but that might not always be welcome in the context that they’ll be serving.”*

In the event that TPP funding ceased, all programs indicated this best practice was sustainable,

although several (23%) indicated it would not be to the same extent.

The interviewees' responses to this question suggest that the ability to emphasize equity principles in education has been accomplished in these programs through building equity discussions and reflections into all coursework and program components, having participants take specific courses and take part in training by outside entities, and having a diverse program staff and participants. The primary challenge in implementation has been LEA commitment to equity, but the practice is highly sustainable.

QUESTION 14

Please rate on a scale of 1 (unable) to 7 (able) how well your program is able to emphasize principles and practices associated with providing quality education in high need school environments.

- a) Please provide an example of how you have been able to implement this best practice.**
- b) Please describe a challenge you have encountered with implementing this best practice.**
- c) Please describe how you will be able to sustain this best practice in the event TPP funding ceases.**

Summary: The average score for this rating was 6.81 (range of 6 to 7). The majority (77%) of TPP program leaders rated their program's ability to emphasize principles and practices associated with providing quality education in high need school environments as a 7.

Interviewees at two programs rated their programs' ability at 6. Examples of how these programs have implemented this best practice included embedding it within all program courses and assignments (46%), professional speakers (31%), specialized training and specific courses (31%), partnering with high need LEAs (15%), and visiting high need schools that have been effective at turnaround (15%). An example description, *"In addition to the leadership for social justice, and the equity, and the change projects, and all of that... we've got coursework and bring in expert presenters on poverty, homelessness, trauma, trauma-responsive practices, working with immigrant youth."*

These programs in implementing this practice reported no challenges. In the event that TPP funding ceased, all but one interviewee indicated the practice was sustainable although 23% indicated it would not be with the same level of depth.

The interviewees' responses to this question suggest that this practice is embedded within the programs at multiple levels and is supplemented with professional speakers and school visits. This practice did not experience any major challenges to implementation and was highly sustainable.

QUESTION 15

From the following list of practices, please pick the five (5) that you believe are most important to the success of your program:

TABLE 1. FIVE BEST PRACTICES MOST IMPORTANT TO PROGRAM SUCCESS														
Best Practice	Interviewee													Total Selections
	1	2	3	4	5	6	7	8	9	10	11	12	13	
Provision of program leadership										X		X		2
LEA partnerships	X	X			X	X	X	X	X	X			X	9
Targeted and/or wide recruitment of diverse program applicants												X		1
Selection of program participants using rigorous criteria	X		X	X	X	X	X	X						7
Application of a cohort model	X	X	X		X				X				X	6
Provision of participant support for tuition and internship salaries	X	X				X	X	X			X			6
Rigorous and authentic coursework aligned to NC Executive Leadership Standards			X			X	X	X		X		X	X	7
Full-time internships with embedded mentoring from high quality principals	X	X		X	X				X	X		X	X	8
Continuous improvement			X											1
Extra-curricular activities that enhance program quality				X							X			2
Executive Coaching		X	X	X	X	X	X	X	X		X		X	10
Equity principles and practices in education				X						X	X	X		4
Providing quality education in high need school environments									X		X			2

Summary: Interviewees selected the following practices as most important to the success of their program: Executive coaching (77% of interviewees choosing this), LEA partnerships (69%), full-time internships with embedded mentoring from high quality principals (62%), rigorous and authentic coursework aligned to NC Executive Leadership Standards (54%), selection of program participants using rigorous criteria (54%), application of a cohort model (46%), provision of participant support for tuition and internship salaries (46%), equity principles and practices in education (31%), extra-curricular activities that enhance program quality (15%), provision of program leadership (15%), providing quality education in high need school environments (15%), targeted and/or wide recruitment of diverse program applicants (8%), and continuous improvement (8%).

The five practices most identified as important to program success were executive coaching, LEA partnerships, full-time internships with embedded mentoring from high quality principals, rigorous and authentic coursework aligned to NC Executive Leadership Standards, and selection of program participants using rigorous criteria.

QUESTION 16

Please describe the most significant interactions you have with your program participants that are important to the success of your program.

Summary: Interviewees indicated several significant interactions with program participants that contributed to the program's success including interactions during coursework (46%), regular meetings (23%), interactions with program staff as a team (23%), face-to-face interactions (15%), check-ins at the beginning of class (15%), participating with them in activities and events (15%), responsiveness to participant requests (15%), the internship (15%), ongoing open communication (15%) and professional personal relationships (15%). Some example quotes related to these interactions are: *"I think that is all the individual conversations that I have with students as well as the group conversations I have with them. I will sometimes meet with them as cohorts, just to have them talk to me about what's going on, how they're doing. I meet with students individually, for checking in the course, anytime that they would like to talk with me,"*

"is an incredibly powerful experience because we so carefully match people with the schools they go to, based on their needs. It goes back to that tailoring of the program that we're able to do," and

"I think one is that we see them every week....So, even when we're not teaching them, we still—we have office hours before and after their classes. We usually come in at like as they're coming in, sort of greet them, lots of chit-chatting, lots of people stay after to talk about one thing or another...They do, yeah. And then we always do announcements at the end of each class. So I think one is just being there every week. And being there with them the entire two years, like we are the stable...And they—based on what they share with us, they clearly trust us. ...We hear a lot of sensitive stuff that they share with us....So, I think that's one of the most significant interactions, and then another is that we teach them core coursework....And that we're with them as their clinical internship...And then I think another piece of that is just the responsiveness."

QUESTION 17

Please describe the most significant interactions you have with your partnering LEAs that are important to the success of your program.

Summary: The most significant interactions with partnering LEAs that interviewees identified as important for program success were regular meetings (39%), ongoing frequent communication (23%), face-to-face interactions (23%), and participation in program events. As one interviewee stated, *"I think through those face-to-face interactions, they really get that we are invested in growing leaders for their schools, because their schools are our schools, and I think that we're able to show that when we're face-to-face, that, you know, emails can't capture. And they're feeling it now, and they're trusting it."*

QUESTION 18

What do you believe are the most important factors contributing to the success of your program?

Summary: Interviewees identified the most important factors contributing to program success as program staff members' commitment, support, and passion (46%), LEA partnerships (15%), program commitment to improvement (15%), participants' commitment (15%), TPP grant funding, relationships with participants, and innovative course content. As exemplified by the quote, *“all of our faculty goes above and beyond. And I—that sounds cliché, but we really are invested in growing our leaders. We're not just—it's not just teaching a class and, like, that's our passion, and that's who we look for when we bring any new faculty on.”*

CONCLUSIONS

Overall, evidence from the program leadership interviews supported evidence from other surveys, observations, and interviews indicating the TPP programs are incorporating identified best practices in principal preparation throughout program experiences. The five practices most identified as important to program success were executive coaching, LEA partnerships, full-time internships with embedded mentoring from high quality principals, rigorous and authentic coursework aligned to NC Executive Leadership Standards, and selection of program participants using rigorous criteria. The main challenges to implementation of best practices are limited time and resources. Without continued TPP funding, most of the identified best practices are not sustainable or are sustainable but at a lower level of intensity or rigor.

APPENDIX A: PROGRAM LEADERSHIP INTERVIEW PROTOCOL

Year 3: Spring 2019

NOTE: This form is being provided in advance of the interview as a guide to the interview format. You are welcome to rate the items and make notes in response to the questions prior to the interview. You will be able to expand and/or clarify your responses during the interview.

1. What distinguishes/differentiates this program from other programs?
 - a. What are the most special things about the program?
 - b. What is the thing you are most proud about in the program?
2. Please rate how well your program is able to implement the following best practice:
Ability to provide leadership for administering and managing the program.

<u>Unable</u>						<u>Able</u>
1	2	3	4	5	6	7

- a. Please provide an example of how you have been able to implement this best practice.
 - b. Please describe a challenge you have encountered with implementing this best practice.
 - c. Please describe how you will be able to sustain this best practice in the event TPP funding ceases.
3. Please rate how well your program is able to implement the following best practice:
Ability to develop strong partnerships with LEAs that contribute leadership and resources to the program.

<u>Unable</u>						<u>Able</u>
1	2	3	4	5	6	7

- a. Please provide an example of how you have been able to implement this best practice.
 - b. Please describe a challenge you have encountered with implementing this best practice.
 - c. Please describe how you will be able to sustain this best practice in the event TPP funding ceases.
4. Please rate how well your program is able to implement the following best practice:
Ability to recruit a large and diverse pool of applicants to participate in the program.

<u>Unable</u>						<u>Able</u>
1	2	3	4	5	6	7

- a. Please provide an example of how you have been able to implement this best practice.
 - b. Please describe a challenge you have encountered with implementing this best practice.

- c. Please describe how you will be able to sustain this best practice in the event TPP funding ceases.
5. Please rate how well your program is able to implement the following best practice:
Ability to select high quality candidates to participate in the program using rigorous selection criteria.
- | | | | | | | |
|---------------|---|---|---|---|---|-------------|
| <u>Unable</u> | | | | | | <u>Able</u> |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
- a. Please provide an example of how you have been able to implement this best practice.
- b. Please describe a challenge you have encountered with implementing this best practice.
- c. Please describe how you will be able to sustain this best practice in the event TPP funding ceases.
6. Please rate how well your program is able to implement the following best practice:
Ability to implement a cohort model that affords opportunities for the participants to develop professional relationships with each other.
- | | | | | | | |
|---------------|---|---|---|---|---|-------------|
| <u>Unable</u> | | | | | | <u>Able</u> |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
- a. Please provide an example of how you have been able to implement this best practice.
- b. Please describe a challenge you have encountered with implementing this best practice.
- c. Please describe how you will be able to sustain this best practice in the event TPP funding ceases.
7. Please rate how well your program is able to implement the following best practice:
Ability to support participants financially with program expenses including tuition, fees and books, and salaries during their internship.
- | | | | | | | |
|---------------|---|---|---|---|---|-------------|
| <u>Unable</u> | | | | | | <u>Able</u> |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
- a. Please provide an example of how you have been able to implement this best practice.
- b. Please describe a challenge you have encountered with implementing this best practice.
- c. Please describe how you will be able to sustain this best practice in the event TPP funding ceases.
8. Please rate how well your program is able to implement the following best practice:
Ability to implement rigorous coursework closely aligned with the NC School Executive Leadership Standards.

<u>Unable</u>						<u>Able</u>
1	2	3	4	5	6	7

- a. Please provide an example of how you have been able to implement this best practice.
 - b. Please describe a challenge you have encountered with implementing this best practice.
 - c. Please describe how you will be able to sustain this best practice in the event TPP funding ceases.
9. Please rate how well your program is able to implement the following best practice:
Ability to implement high quality internships of at least 5-months duration in schools with strong mentoring principals.

<u>Unable</u>						<u>Able</u>
1	2	3	4	5	6	7

- a. Please provide an example of how you have been able to implement this best practice.
 - b. Please describe a challenge you have encountered with implementing this best practice.
 - c. Please describe how you will be able to sustain this best practice in the event TPP funding ceases.
10. Please rate how well your program is able to implement the following best practice:
Ability to implement continuous improvement activities based on evaluation, participant outcome data, and feedback collected from participants, faculty, LEA representatives, Executive Coaches, and mentoring principals.

<u>Unable</u>						<u>Able</u>
1	2	3	4	5	6	7

- a. Please provide an example of how you have been able to implement this best practice.
 - b. Please describe a challenge you have encountered with implementing this best practice.
 - c. Please describe how you will be able to sustain this best practice in the event TPP funding ceases.
11. Please rate how well your program is able to implement the following practices that are particularly relevant to the TPP program: Ability to implement extra-curricular activities that additionally enhance the quality of the program.

<u>Unable</u>						<u>Able</u>
1	2	3	4	5	6	7

- a. Please provide an example of how you have been able to implement this best practice.

- b. Please describe a challenge you have encountered with implementing this best practice.
- c. Please describe how you will be able to sustain this best practice in the event TPP funding ceases.
12. Please rate how well your program is able to implement the following practices that are particularly relevant to the TPP program: Ability to provide high quality Executive Coaches to support program participants.

<u>Unable</u>						<u>Able</u>
1	2	3	4	5	6	7

- a. Please provide an example of how you have been able to implement this best practice.
- b. Please describe a challenge you have encountered with implementing this best practice.
- c. Please describe how you will be able to sustain this best practice in the event TPP funding ceases.
13. Please rate how well your program is able to implement the following practices that are particularly relevant to the TPP program: Ability to emphasize practices associated with equity principles in education (e.g., achievement, fairness, and opportunity).

<u>Unable</u>						<u>Able</u>
1	2	3	4	5	6	7

- a. Please provide an example of how you have been able to implement this best practice.
- b. Please describe a challenge you have encountered with implementing this best practice.
- c. Please describe how you will be able to sustain this best practice in the event TPP funding ceases.
14. Please rate how well your program is able to implement the following practices that are particularly relevant to the TPP program: Ability to emphasize principles and practices associated with providing quality education in high need school environments.

<u>Unable</u>						<u>Able</u>
1	2	3	4	5	6	7

- a. Please provide an example of how you have been able to implement this best practice.
- b. Please describe a challenge you have encountered with implementing this best practice.
- c. Please describe how you will be able to sustain this best practice in the event TPP funding ceases.

15. From the following list of practices, please pick the five (5) that you believe are most important to the success of your program.
- a. Provision of program leadership
 - b. LEA partnerships
 - c. Targeted and/or wide recruitment of diverse program applicants
 - d. Selection of program participants using rigorous criteria
 - e. Application of a cohort model
 - f. Provision of participant support for tuition and internship salaries
 - g. Rigorous and authentic coursework aligned to NC Executive Leadership Standards
 - h. Full-time internships with embedded mentoring from high quality principals
 - i. Continuous improvement
 - j. Extra-curricular activities that enhance program quality
 - k. Executive Coaching
 - l. Equity principles and practices in education
 - m. Providing quality education in high need school environments
16. Please describe the most significant interactions **you have with your program participants that are** important to the success of your program.
17. Please describe the most significant interactions **you have with your partnering LEAs that are** important to the success of your program.
18. What do you believe are the most important factors contributing to the success of your program?



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PARTICIPANTS’ PRE-POST SURVEY RESULTS: FUNDING CYCLE II

Report 3.09

William Carruthers, Pamela Lovin, & Jacqueline Copeland ¹

June 2019

An online pre- and post-survey of individuals participating in the second funding cycle² of the TPP Program was initiated in May 2018 with the first pre-survey being completed in May 2018 and the last post-survey being completed in April 2019. The purpose of the pre-post survey was to gather information preparatory to addressing three questions posed by the State Education Assistance Authority:

- Changes in participants’ commitment to seeking principal positions over time,
- Changes in participants’ leadership knowledge and competencies over time, and
- Changes in participants’ leadership self-efficacy over time.

The pre-post survey consisted of 10 Likert-scale items addressing the three questions, along with a number of questions on participant demographics and education level. The first Likert-item assessed participants’ commitment to being an assistant principal and/or principal. The next eight Likert-items assessed participants’ perception of their leadership knowledge and competencies, paralleling North Carolina’s eight ‘Standards for School Executives.’³ The tenth Likert-item assessed participants’ leadership self-efficacy. The post-survey also included open-ended questions addressing respondents’ perceptions of program strengths and areas for improvement. See Appendix A for a copy of the post-survey.

The results of the pre-post survey discussed in this report are presented in two parts. Part I discusses the results of the pre- and post-survey items provided on both surveys. Part II discusses the results of the survey items provided on only the post-survey.

PART I

RESULTS FOR PRE- AND POST-SURVEY ITEMS

The pre-survey was first distributed in early May to participants in the HPU and NCSU programs who had started their coursework in May.⁴ The pre-survey was conducted with SREC participants in June when they started their coursework and with WCU and UNCG participants when they started their coursework in July and August, respectively. There were 123 individuals who accessed the pre-survey but one individual did not consent to participate. The first pre-survey was completed 5/16/18, and all but two pre-surveys surveys were completed by 12/21/18.

¹ Suggested citation: Carruthers, W., Lovin, P., & Copeland, J. (2018, June). *Participants’ Pre-Post Survey Results: Funding Cycle II (Report 3.09)*. Garner, NC: GrantProse, Inc.

² While the second funding cycle began July 2018 and extends through June 2020, participants at HPU, NCSU, and SREC began their coursework in May and June of 2018.

³ See <http://www.dpi.state.nc.us/docs/district-humanresources/evaluation/standardsadmin.pdf> for these standards.

⁴ Sixteen individuals with HPU did not start their program until January 2019. They were surveyed in December 2018 as soon as they were identified.

The post-survey was distributed in early April to participants in all programs and 122 individuals accessed the survey; all 122 individuals consented to participate. The first post-survey was completed April 8, 2019, and the last post-survey was completed April 28, 2019. The following results are reported for individuals who completed both the pre- and post-surveys.

There were 117 individuals who completed both the pre- and post-surveys. **Table 1** indicates how many individuals with each program completed both surveys.

Table 1. Survey Participation Rates by TPP Program: Matching Both Surveys						
Datum	HPU	NCSU	SREC	UNCG	WCU	TOTAL
Number of participants completing both surveys *	31	33	22	21	10	117

* Individuals who completed both the pre- and post-survey and their responses could be matched.

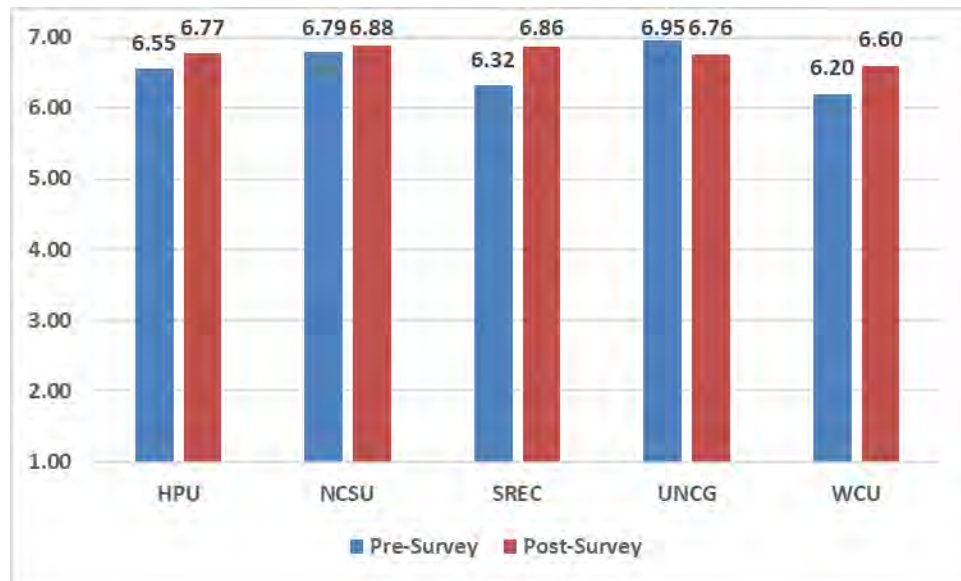
I.A. Results for “Changes in participants’ commitment to seeking principal positions over time”

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 117 respondents on the pre-survey was 6.62 and the average on the post-survey was 6.80. 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 on a t-test for paired comparisons ($t = 2.699213$, $p < .05$).

When the averages are disaggregated for each Provider (HPU, NCSU, SREC, UNCG, WCU), **Figure 1** indicates that four of the five Providers demonstrated a higher average on the post-survey, while the post survey average for UNCG fell to 6.76 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. SREC demonstrated the largest change in commitment between the pre- and post-surveys with one of the two lowest averages on the pre-survey (SREC and WCU) to one of the two highest averages on the post-survey (SREC and HPU).

Figure 1. Change in Averages Disaggregated by Provider for Respondents' Self-Reported Commitment to Being a Principal/Assistant Principal

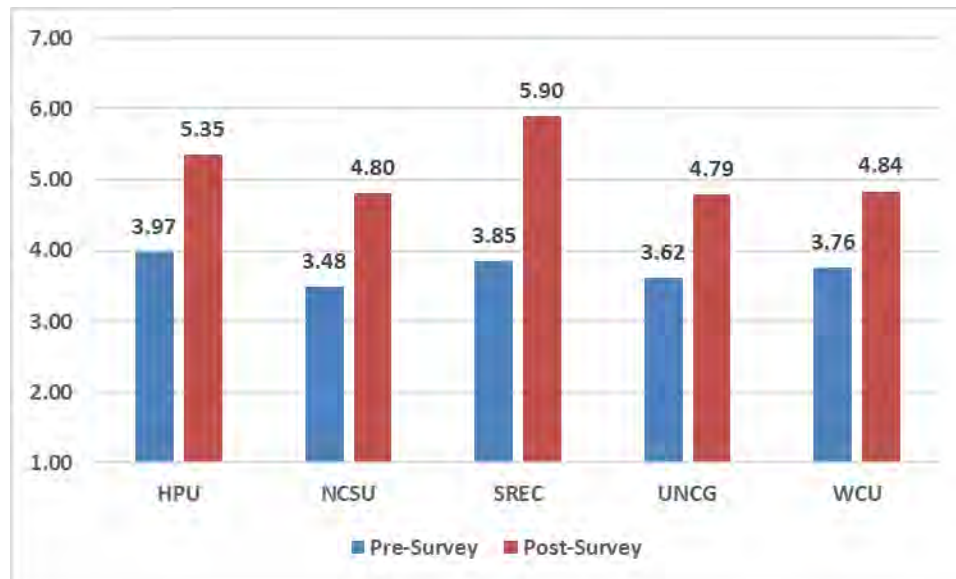


I.B. Results for “Changes in participants’ leadership knowledge and competencies over time”

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 Standard 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 the entire 117 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 for the entire group of 117 respondents was 3.73 on the pre-survey and 5.15 on the post-survey. The difference in the Executive Standards scale averages between the pre- and post-surveys is statistically significant on a t-test for paired comparisons ($t = 13.90599$, $p < .05$). **Figure 2** indicates that all five Providers demonstrated a higher average for the Executive Standards scale on the post-survey when compared to the pre-survey.

Figure 2. Change in Averages Disaggregated by Provider for Respondents' Self-Reported Knowledge/Competency of the NC Executive Standards for School Executives



When analyzed individually, all eight items showed higher averages on the post-survey compared to the pre-survey and these differences were all statistically significant at $p < .05$.

Table 2 provides the averages and statistical analyses for each item on the Executive Standards scale.

Table 2. Pre- and Post-Survey Averages for Each Executive Standard						
Executive Standard	N	Pre Average	Post Average	Difference (Post – Pre)	t for paired comparisons	Sig.
STRATEGIC LEADERSHIP· Establishing school vision, mission, values, beliefs, and goals· Leading change to improve achievement for all students· Developing school improvement plans by analyzing school progress data· Distributing leadership and decision-making throughout school	117	3.95	5.39	+ 1.44	11.93212	$p < .05$
INSTRUCTIONAL LEADERSHIP· Alignment of learning, teaching, curriculum, instruction, and assessment based on research and best practices· Protecting teachers from disruption of instructional or preparation time· Promoting collaborative planning and student achievement	117	4.18	5.50	+ 1.32	10.3199	$p < .05$

Table 2. Pre- and Post-Survey Averages for Each Executive Standard						
Executive Standard	N	Pre Average	Post Average	Difference (Post – Pre)	t for paired comparisons	Sig.
CULTURAL LEADERSHIP· Establishing a collaborative work environment· Using shared vision, values, and goals to define school identity and culture· Developing a sense of efficacy and empowerment among faculty and staff	117	4.15	5.59	+ 1.44	10.70957	p < .05
HUMAN RESOURCE LEADERSHIP· Facilitating opportunities for effective professional development aligned with curricular, instructional, and assessment· Hiring and supporting a high-quality, high-performing staff· Evaluating teachers and other staff in a fair and equitable manner	117	3.55	4.83	+ 1.28	9.163003	p < .05
MANAGERIAL LEADERSHIP· Establishing budget and accounting processes Using conflict management and resolution strategies· Effectively using formal and informal communication· Developing and enforcing expectations, structures, rules, and procedures	117	3.22	4.64	+ 1.42	10.65874	p < .05
EXTERNAL DEVELOPMENT LEADERSHIP· Designing structures and processes that result in parent and community engagement· Designing protocols and processes to comply with federal, state, and district mandates· Implementing district initiatives directed at improving student achievement	117	3.24	4.76	+ 1.52	10.24655	p < .05
MICRO-POLITICAL LEADERSHIP· Developing systems and relationships to leverage staff expertise to influence the school's identity, culture, and performance	117	3.32	5.15	+ 1.82	14.14983	p < .05
ACADEMIC ACHIEVEMENT LEADERSHIP· Contributing to the academic success of students based on established performance expectations using appropriate data to demonstrate growth	117	4.24	5.37	+ 1.13	8.920787	p < .05

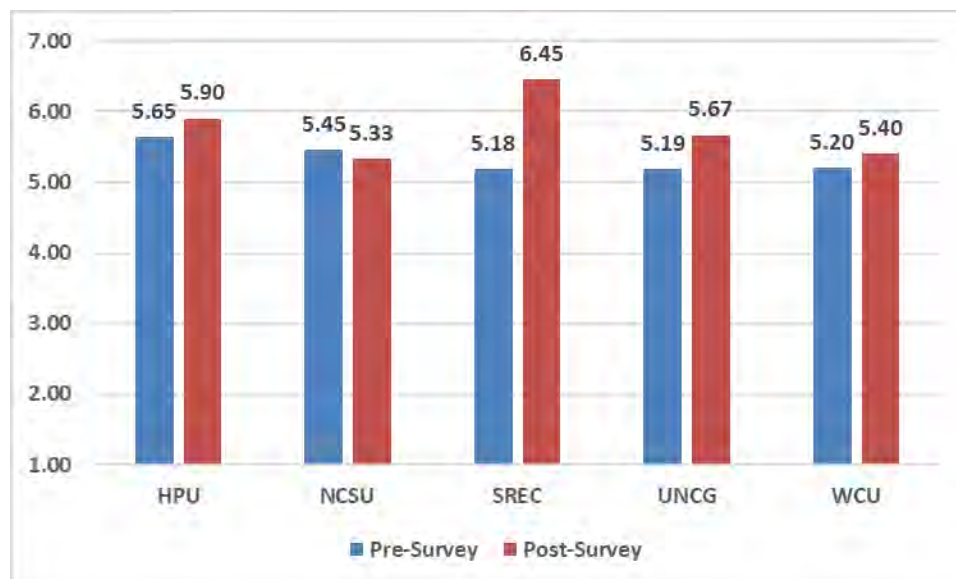
I.C. Results for “Changes in participants’ leadership self-efficacy over time”

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 117 respondents on the pre-survey was 5.38 and the average on the post-survey was 5.76. The difference is statistically significant on a t-test for paired comparisons ($t = 3.117862$, $p < .05$).

When the averages are disaggregated for each Provider (HPU, NCSU, SREC, UNCG, WCU), **Figure 3** indicates that four of the five Providers demonstrated a higher average on the post-survey, while the post survey average for NCSU fell to 5.33 from the pre-survey average of 5.45. This is a small change. SREC demonstrated the largest change in confidence between the pre- and post-surveys with the lowest average among the Providers on the pre-survey to the highest average on the post-survey, well above that of any of the other Providers.

Figure 3. Change in Averages Disaggregated by Provider for Respondents’ Self-Reported Confidence in Being a Successful Principal/Assistant Principal



PART II

RESULTS FOR ADDITIONAL POST-SURVEY ITEMS

The post-survey administered early April 2019 included a number of items that were not on the pre-survey administered earlier. These additional items were designed to collect respondents’ perceptions of various aspects of the program, including their overall satisfaction with the program.

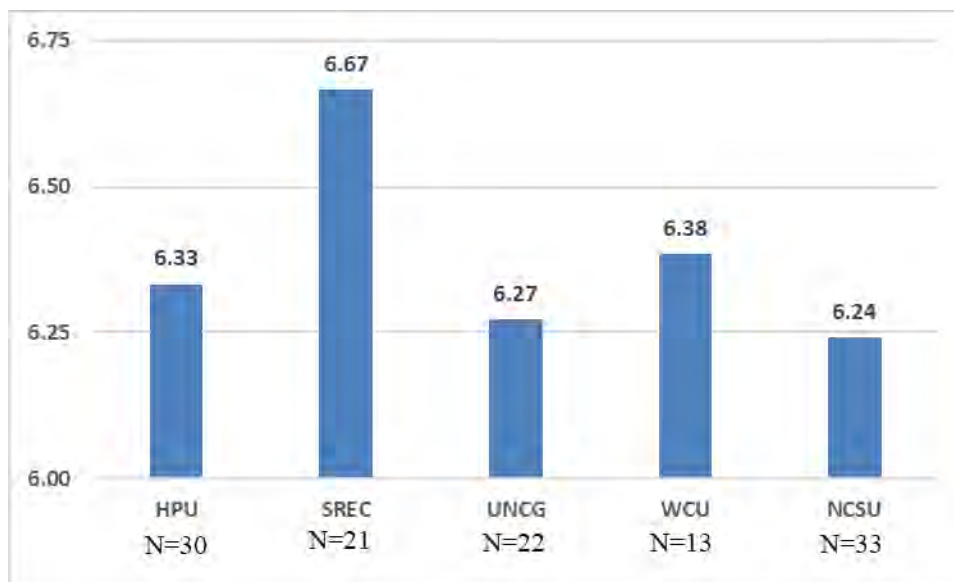
II.A. Respondents' Rating of Overall Satisfaction with Their Program

Regarding satisfaction with the program, one item asked respondents to *“Please rate your overall satisfaction with the program where you are engaged in training and associated coursework to prepare you for a leadership position as a principal or assistant principal.”*

Respondents rated this item along a 7-point Likert scale ranging from *“Not at all satisfied”* (1) to *“Extremely satisfied”* (7).

Among the 122 individuals who accessed the post-survey, 119 individuals responded to this item. The average of the 119 responses was 6.36, indicating a high level of overall satisfaction when analyzed for all Providers as a group. When disaggregated by Provider, **Figure 4** indicates SREC demonstrated the highest average among the five Providers. NCSU and UNCG demonstrated the lowest levels of satisfaction.

Figure 4. Respondents' Average Rating of Overall Satisfaction with Their Program Disaggregated by Provider



Along with respondents' overall satisfaction with their program, the post-survey included questions addressing three features of the program: the cohort structure, the university coursework, and participants' coaching supports. There were four Likert-scale items addressing the cohort structure, eight items addressing the university coursework, and three items addressing coaching supports. All items were scaled as 5-point Likert items with *“Not at all true”* (1), *“Somewhat true”* (3), and *“Very true”* (5) anchors for each item.

II.B. Respondents Rating of Likert Items Addressing Their Program's Cohort Structure

There were 121 individuals who responded to the four items addressing characteristics of their cohort in the TPP program (e.g., the cohort is a source of support, provides collaborative learning opportunities, helps me learn teamwork, serves as a professional network). The average of ratings respondents gave to these four items was calculated for each respondent as well as the average for the 4-item scale as a whole. **Figure 5** indicates SREC respondents rated their cohort structure most favorably among the five Providers and NCSU least favorably.

Figure 5. Respondents' Average Rating of Features Associated with Their Program's Cohort Structure Disaggregated by Provider

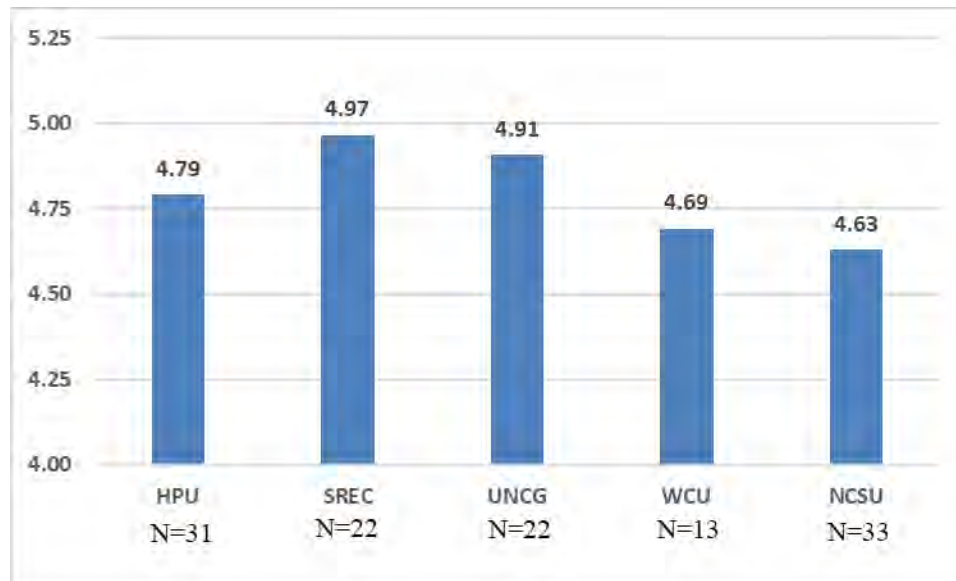


Table 3 provides averages for each of the cohort structure items disaggregated by the TPP Program Provider. The green highlighting indicates Providers with the highest averages on each item; the yellow highlighting indicates the lowest average.

Table 3. Respondent's Average Ratings on Questions Addressing Cohort Structure Disaggregated by Provider					
Cohort Structure Survey Item	HPU N=31	SREC N=22	UNCG N=22	WCU N=13	NCSU N=33
My program cohort serves as a source of social and professional support.	4.84	4.95	5.00	4.77	4.52
My program cohort provides collaborative learning opportunities for sharing experiences and knowledge.	4.84	5.00	5.00	4.69	4.70
My program cohort helps me learn teamwork and team leadership in authentic practice-oriented activities.	4.68	4.91	4.73	4.62	4.67
My program cohort will serve as a professional network that I can rely on for social and professional support throughout my career.	4.81	5.00	4.91	4.69	4.64

II.C. Respondents' Rating of Likert Items Addressing the University Coursework in Their Program

There were 121 individuals who responded to the eight items addressing characteristics of their university coursework (e.g., the coursework is comprehensive, integrates theory and practice, provides regular assessment of my skill development, links university coursework and field-based experiences, etc.). The average of ratings respondents gave to these items was calculated for each respondent as well as the average for the 8-item scale as a whole. **Figure 6** shows that UNCG respondents rated their university coursework most favorably and NCSU least favorably.

Figure 6. Respondents' Average Rating of Features Associated with Their Program's

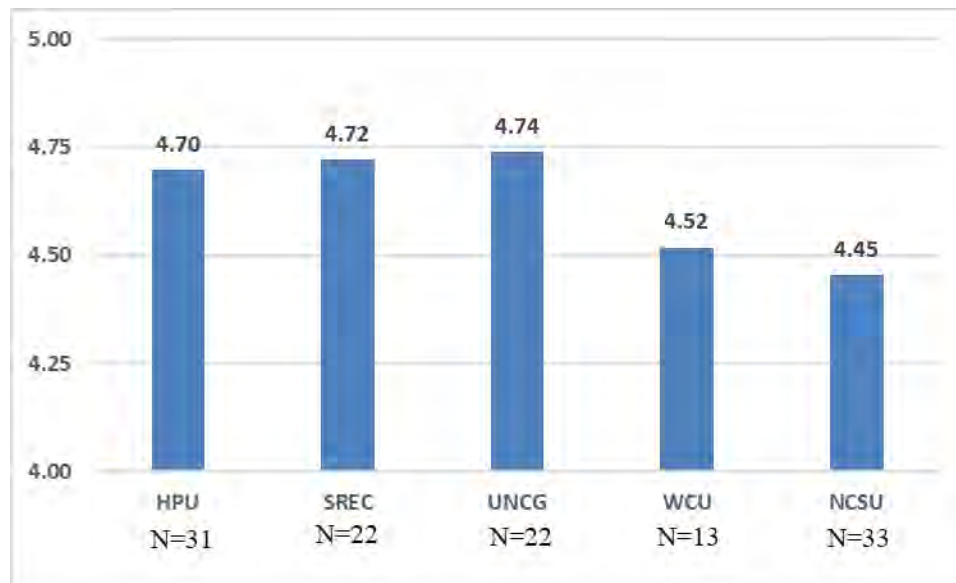
University Coursework Disaggregated by Provider

Table 4 provides averages for each of the university coursework items disaggregated by the TPP Program Provider. The green highlighting indicates Providers with the highest averages on each item.

Table 4. Respondent's Average Ratings on Questions Addressing University Coursework Disaggregated by Provider					
University Coursework Survey Item	HPU N=31	SREC N=22	UNCG N=22	WCU N=13	NCSU N=33
The coursework is comprehensive and provides a coherent learning experience.	4.61	4.64	4.68	4.38	4.33
The program gives me a strong orientation to the principalship as a career.	4.68	4.77	4.77	4.54	4.52
The program integrates theory and practice.	4.68	4.73	4.77	4.62	4.55
The coursework provides many opportunities for self-assessment as a leader.	4.93	4.73	4.77	4.69	4.73
The coursework provides regular assessments of my skill development and leadership competencies.	4.77	4.59	4.68	4.46	4.33
In my coursework, I am often asked to reflect on practice and analyze how to improve it.	4.84	4.95	4.91	4.54	4.64
Faculty in the program provide me many opportunities to evaluate the coursework.	4.45	4.64	4.55	4.46	4.33
There are strong linkages between the university coursework and field-based experiences.	4.61	4.73	4.77	4.45	4.21

II.D. Respondents' Rating of Likert Items Addressing the Coaching Supports in Their Program

There were 119 individuals who responded to the three items addressing characteristics of their coaching support (e.g., my leadership coach is an experienced educator, provides [me] support and feedback, [with whom] I have a strong relationship). The average ratings respondents gave to these items was calculated for each respondent as well as the average for the 3-item scale.

Figure 7 shows that SREC respondents rated their coaching supports most favorably and WCU respondents least favorably.

Figure 7. Respondents' Average Rating of Features Associated with Their Program's Coaching Supports Disaggregated by Provider

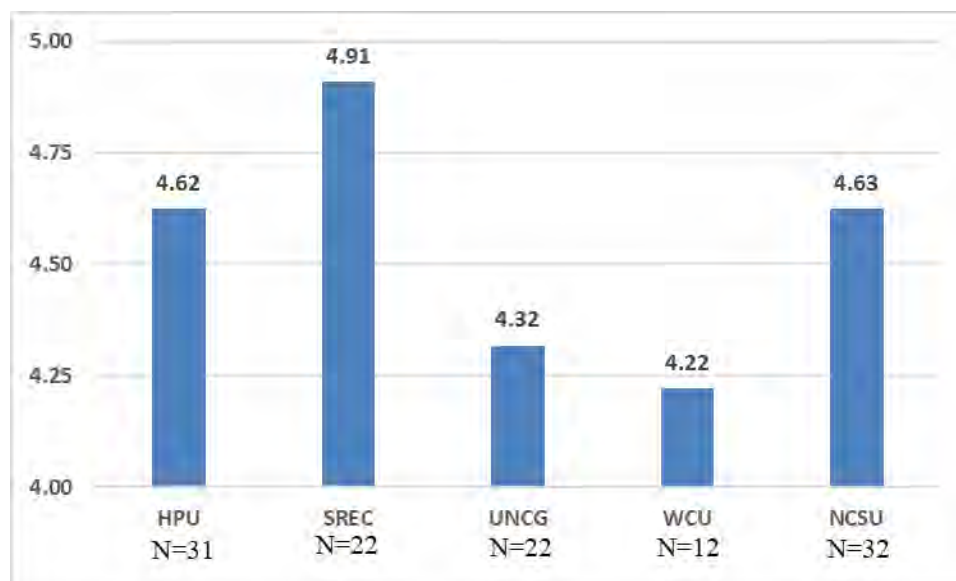


Table 5 provides averages for each of the coaching support items disaggregated by the TPP Program Provider. The green highlighting indicates Providers with the highest averages on each item.

Table 5. Respondent's Average Ratings on Questions Addressing Coaching Supports Disaggregated by Provider					
Coaching Supports	HPU N=31	SREC N=22	UNCG N=22	WCU N=12	NCSU N=32
My leadership coach is an experienced educator with an understanding of and expertise in effective school leadership practice.	4.81	4.95	4.95	4.25	4.72
My leadership coach provides support and feedback, and helps me internalize new skills and concepts.	4.58	4.95	4.32	4.25	4.63
I have a strong relationship with my leadership coach and will continue to rely on him/her for social and professional support throughout my career.	4.48	4.82	3.68	4.17	4.53

II.E. Open-Ended Questions on the Post-Survey

The post-survey also included two open-ended questions and content analyses conducted with these questions identified topics of common interest to multiple individuals as described here.

Q. Overall, what do you think the program does best to prepare you to become an effective principal? Respondent answers to this question generally fell in a number of broad categories with the most common response being that the TPP Program gave them practical, real-world

and/or authentic experiences associated with being a school leader. At least 30 individuals alluded to this in one manner or another. Closely aligned with this response, a number of the respondents commented on how the program blended theory (i.e., the coursework) and practical experiences together well. Other features of the program that were mentioned by multiple respondents included,

- The program and/or reflections helped them grow in their self-understanding (at least 20 respondents),
- The cohort structure and/or ability to collaborate with colleagues was a positive feature (at least 17 responses),
- There was good opportunity to learn from guest speakers, site visits, and/or conferences attended (at least 13 responses), and
- Coaches provided them with good support (at least 10 responses).

A number of individuals commented upon the ability to build linkages to and/or network with other professionals. Other positive features of the program that were commented upon multiple times included the faculty and alignment with the NC Standards for School Executives.

Q. Overall, what do you think the program could do to improve its ability to prepare effective principals? The most common response to this question for 51 (41.8%) of the 122 respondents was that the item was left blank, the individual commented 'nothing', or made a comparable statement that the person could think of no improvements to suggest. Many of these individuals commented that they believed the program was being well implemented. Others who did offer suggestions for improvements included:

- Many of the individuals commented on how the coursework could be restructured, for instance to better align with their internship, to reduce redundancy in material being covered in different courses, to reduce the focus on theory and increase focus on more practical issues including simulations (e.g., busing, evaluating staff, writing a needs assessment, increase focus on curriculum, etc.), and to reduce the extent of online instruction and increase face time with instructors, among other issues. A few were critical of the faculty teaching one or another course and a few commented on the burden of taking a full load of courses while also working full time.
- Along with improvements to their coursework, individuals also commented on general organizational issues such as clarifying expectations for their portfolio, improving communications about the course sequence, having building principals conduct school tours, improving the understanding coaches have of the coursework, permitting the participant to be involved in the decision where the internship will be conducted, increasing the focus on roles/responsibilities of the assistant principal (compared to the principal), and creating opportunities to collaborate with participants in the other TPP Programs, among other issues.

More specific suggestions included:

- Eleven individuals commented that they would like more feedback on their performance and/or assignments, usually from their faculty instructors but also other program leaders.
- Two topics that multiple individuals indicated they needed more instruction on were legal issues, mentioned by 6, and budgeting issues, mentioned by 5.
- A number of individuals commented that they would like greater exposure to more varied educational settings as well as educational staff including non-instructional staff.

CONCLUSIONS

On the whole, all five programs were rated quite favorably by the program participants. When the Likert items were measured with a 7-point scale, with 7 representing the most positive response, averages fell in the 6 to 7-point range in all instances. When the Likert items were measured with a 5-point scale, with 5 representing the most positive response, averages fell in the 4 to 5-point range in all but one instance.

Regarding attitudinal changes over the period of the 2018-19 year, the respondents a) expressed a stronger commitment to being a principal/assistant principal on the post-survey relative to the pre-survey, b) indicated they were more knowledgeable and/or competent vis-à-vis the eight standards for NC's school executives, and expressed a stronger belief that they could be successful as a principal/assistant principal. These pre-post attitudinal changes were all statistically significant in the direction of being more favorable about the program.

Regarding respondents' overall satisfaction with their program and features of the program addressing the cohort structure, university coursework and coaching supports, here too participants in all five programs were generally very favorable. Asked to identify improvements to how the program operates, more than 40% of respondents on the post-survey had nothing to offer with many of these complimenting program operations. Among those who did offer suggestions to either the coursework or general organizational operations, a few common themes were that individuals wanted more instructional focus on legal and budgeting issues, wanted less theory and more practically-oriented instruction, wanted more feedback on their performance, and desired improved communications about course scheduling and other general expectations of them.

APPENDIX A

The post-survey administered in the spring 2019 is appended to this report. The pre-survey administered earlier in the 2018-19 school year was similar to the post survey but did not include the three attitude scales measuring perceptions towards the cohort model, the university coursework, or the Executive Coaches. The post-survey also included a measure of respondents' overall satisfaction with the program and two open-ended questions asking for information about best features of the program and improvements that could be made to the program.

Principal Preparation Program Participant Post-Survey for Funding Cycle 2

Welcome to the Principal Preparation Program Participant Post-Survey

Informed Consent Form

Principal Preparation Program Participants

You are being asked to participate in a program evaluation. Please read this form carefully and ask any questions you have before agreeing to take part in the evaluation.

What the evaluation is about: The North Carolina General Assembly established a grant program, the Transforming Principal Preparation (TPP) Program, for the purpose of elevating “educators in North Carolina public schools [through] transforming the preparation of principals across the State.” The North Carolina Alliance for School Leadership Development (NCASLD) was charged by the General Assembly with responsibility for overseeing this grant program. NCASLD contracted with GrantProse, Inc. to implement an evaluation of the TPP Program to examine best practices in the preparation of school principals, compare and contrast these practices among grantee institutions/agencies, and gauge the impact such programs may have on participants. You are a participant in a principal preparation program receiving this grant funding.

What you will be asked to do: If you agree to participate, you will be asked to complete online surveys expected to take approximately 20 minutes (two hours total over three years). Information collected will be used to inform TPP Program grantees about program progress and opportunities to effect continuous improvements in program operations. The results of the evaluation will be shared with NCASLD and the NC State Education Assistance Authority (SEAA), which in turn may make the results available to the NC General Assembly as well as other interested parties.

What good will come from the evaluation: No specific direct benefits are expected from participation in this evaluation. Results will be shared with NCASLD leaders and will be incorporated in reports that are made to the SEAA. Enhanced partnerships between your principal preparation program, other grantee institutions/agencies, and NCASLD may benefit the future development of principal preparation programs. Benefits to participants in the program at your institution/agency may occur as a result of evaluation activities to the degree they serve the purpose of improving the operations of the principal preparation program.

Important Things to Know about Being Part of the Evaluation

- 1. You don't have to do this.** Participation is completely voluntary and you can withdraw at any time without penalty, even after you start.
- 2. There is no payment for doing this.** You are doing it for free.
- 3. Risks to you.** As in any program evaluation, participants could conceivably experience discomfort or uncertainty relating to topics or questions raised. This, however, is no larger a risk than any routine online or personal discussion you would encounter in your daily professional life and therefore does not represent any risk particular or unique to this project.
- 4. Your responses will be kept confidential.** All information you provide will be kept completely confidential. Your answers will be kept private and secure via an industry-standard, HIPAA-compliant online data collection system. Your name will not be connected to your individual responses. Information provided by you in response to surveys is linked to an identification (ID) number, a unique identifier assigned only to you and known only to GrantProse staff. Once your information is coded with the unique ID, your personal name and any other personally identifiable information about you are not associated with any data file containing your responses. Data collected from you will be stored electronically and password protected on GrantProse company computers.
- 5. If you have questions about the evaluation.** If you have questions at any time about the evaluation or the procedures, you may contact Dr. Janey McMillen, Director of Program Evaluation at GrantProse, Inc. (919-924-6779), (grantprose.janeym@gmail.com).

* 1. **Statement of Consent:** Making a selection below indicates that:

(1) I am at least 18 years of age.

(2) I have read the information provided above and agree to be in this study, with the understanding that I may withdraw at any time,

(3) I have asked all the questions I have at this time, and have been told whom to contact if I have additional questions, to discuss problems or concerns related to the research, or to obtain information or offer input about the research, and

(4) I have received a copy of this consent form.*

☐ Yes, I agree to participate.

☐ No, I do not agree to participate in this research study at this time.

In order to continue, you must indicate your level of agreement by clicking one of the boxes above.

*A copy of this consent form may be obtained by clicking on this[link](#); please print a copy for your records.

This consent form will be kept by the Principal Investigator for at least three years beyond the end of the evaluation and was approved by the IRB.

Principal Preparation Program Participant Post-Survey for Funding Cycle 2

COMMITMENT

Please rate the extent to which you feel the statement below reflects your current level of commitment.

2. COMMITMENT

	Not at all committed						Extremely Committed
	1	2	3	4	5	6	7
At this time, how <u>committed</u> are you to being a principal/assistant principal?	☐	☐	☐	☐	☐	☐	☐

Principal Preparation Program Participant Post-Survey for Funding Cycle 2

KNOWLEDGE AND COMPETENCY

Please rate the extent of your current knowledge and competency in each of the executive standards.

3. EXECUTIVE STANDARDS

	Not at all knowledgeable/ competent 1	2	3	4	5	6	Extremely knowledgeable/ competent 7
STRATEGIC LEADERSHIP							
· Establishing school vision, mission, values, beliefs, and goals							
· Leading change to improve achievement for all students	☐	☐	☐	☐	☐	☐	☐
· Developing school improvement plans by analyzing school progress data							
· Distributing leadership and decision-making throughout school							
INSTRUCTIONAL LEADERSHIP							
· Alignment of learning, teaching, curriculum, instruction, and assessment based on research and best practices	☐	☐	☐	☐	☐	☐	☐
· Protecting teachers from disruption of instructional or preparation time							
· Promoting collaborative planning and student achievement							

	Not at all knowledgeable/ competent 1	2	3	4	5	6	Extremely knowledgeable/ competent 7
CULTURAL LEADERSHIP							
· Establishing a collaborative work environment							
· Using shared vision, values, and goals to define school identity and culture	☐	☐	☐	☐	☐	☐	☐
· Developing a sense of efficacy and empowerment among faculty and staff							

Principal Preparation Program Participant Post-Survey for Funding Cycle 2

KNOWLEDGE AND COMPETENCY

Please rate the extent of your current knowledge and competency in each of the executive standards.

4. EXECUTIVE STANDARDS

	Not at all knowledgeable/ competent 1	2	3	4	5	6	Extremely knowledgeable/ competent 7
HUMAN RESOURCE LEADERSHIP							
· Facilitating opportunities for effective professional development aligned with curricular, instructional, and assessment needs	☐	☐	☐	☐	☐	☐	☐
· Hiring and supporting a high-quality, high-performing staff							
· Evaluating teachers and other staff in a fair and equitable manner							

	Not at all knowledgeable/ competent 1	2	3	4	5	6	Extremely knowledgeable/ competent 7
MANAGERIAL LEADERSHIP							
· Establishing budget and accounting processes.							
· Using conflict management and resolution strategies	☐	☐	☐	☐	☐	☐	☐
· Effectively using formal and informal communication							
· Developing and enforcing expectations, structures, rules, and procedures							
EXTERNAL DEVELOPMENT LEADERSHIP							
· Designing structures and processes that result in parent and community engagement							
· Designing protocols and processes to comply with federal, state, and district mandates	☐	☐	☐	☐	☐	☐	☐
· Implementing district initiatives directed at improving student achievement							

Principal Preparation Program Participant Post-Survey for Funding Cycle 2

KNOWLEDGE AND COMPETENCY

Please rate the extent of your current knowledge and competency in each of the executive standards.

5. EXECUTIVE STANDARDS

	Not at all knowledgeable/ competent 1	2	3	4	5	6	Extremely knowledgeable/ competent 7
MICRO-POLITICAL LEADERSHIP · Developing systems and relationships to leverage staff expertise to influence the school's identity, culture, and performance	☐	☐	☐	☐	☐	☐	☐
ACADEMIC ACHIEVEMENT LEADERSHIP · Contributing to the academic success of students based on established performance expectations using appropriate data to demonstrate growth	☐	☐	☐	☐	☐	☐	☐

Principal Preparation Program Participant Post-Survey for Funding Cycle 2

CONFIDENCE

Please rate your current level of confidence in being a successful principal/assistant principal.

6. CONFIDENCE

	Not at all confident 1	2	3	4	5	6	Extremely confident 7
At this time, how <u>confident</u> are you that you can be successful as a principal/assistant principal?	☐	☐	☐	☐	☐	☐	☐

Principal Preparation Program Participant Post-Survey for Funding Cycle 2

Overall Satisfaction

7. Please rate your overall satisfaction with the program where you are engaged in training and associated coursework to prepare you for a leadership position as a principal or assistant principal.

	Not at all satisfied	1	2	3	4	5	6	Extremely satisfied
At this time how <u>satisfied</u> are you with the training and associated coursework that you are receiving through your Transforming Principal Preparation program?	☐		☐	☐	☐	☐	☐	☐

Principal Preparation Program Participant Post-Survey for Funding Cycle 2

PERCEPTIONS OF PROGRAM FEATURES

Please rate the extent to which you feel each statement below is true of your leadership preparation program.

8. PROGRAM COHORT

	Not at all true	1	2	Somewhat true	3	4	Very true	5
My program cohort serves as a source of social and professional support.	☐		☐	☐		☐		☐
My program cohort provides collaborative learning opportunities for sharing experiences and knowledge.	☐		☐	☐		☐		☐
My program cohort helps me learn teamwork and team leadership in authentic practice-oriented activities.	☐		☐	☐		☐		☐
My program cohort will serve as a professional network that I can rely on for social and professional support throughout my career.	☐		☐	☐		☐		☐

9. University Coursework

	Not at all true 1	2	Somewhat true 3	4	Very True 5
The coursework is comprehensive and provides a coherent learning experience.	☐	☐	☐	☐	☐
The program gives me a strong orientation to the principalship as a career.	☐	☐	☐	☐	☐
The program integrates theory and practice.	☐	☐	☐	☐	☐
The coursework provides many opportunities for self-assessment as a leader.	☐	☐	☐	☐	☐
The coursework provides regular assessments of my skill development and leadership competencies.	☐	☐	☐	☐	☐
In my coursework, I am often asked to reflect on practice and analyze how to improve it.	☐	☐	☐	☐	☐
Faculty in the program provide me many opportunities to evaluate the coursework.	☐	☐	☐	☐	☐
There are strong linkages between the university coursework and field-based experiences.	☐	☐	☐	☐	☐

10. Coaching Supports

	Not at all true 1	2	Somewhat true 3	4	Very True 5
My leadership coach is an experienced educator with an understanding of and expertise in effective school leadership practice	☐	☐	☐	☐	☐
My leadership coach provides support and feedback, and helps me internalize new skills and concepts.	☐	☐	☐	☐	☐
I have a strong relationship with my leadership coach and will continue to rely on him/her for social and professional support throughout my career.	☐	☐	☐	☐	☐

Principal Preparation Program Participant Post-Survey for Funding Cycle 2

Perceptions of the Program Features

11. Overall, what do you think the program does best to prepare you to become an effective principal?

12. Overall, what do you think the program could do to improve its ability to prepare effective principals?

Principal Preparation Program Participant Post-Survey for Funding Cycle 2

Contact Information

Your participation in the Transforming Principal Preparation (TPP) program has been supported in part with funds appropriated by the North Carolina Legislature, and your participation in this survey

helps to satisfy legislative requirements to evaluate the TPP program. We hope to maintain contact with you in the coming years so that we may continue to collect your perceptions of the training that you received through the TPP program. Your participation in future surveys is voluntary, and we invite you to provide us with contact information for you. If you are willing, please answer the following questions.

13. Name:

14. Contact Email:

15. Alternate Contact Email:

16. Contact Phone Number:

17. Alternate Contact Phone Number:

Principal Preparation Program Participant Post-Survey for Funding Cycle 2

Thank you!

This is the end of the survey. Thank you for your responses!



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TPP PARTNERSHIPS WITH LEAS: INTERVIEWS WITH LEA REPRESENTATIVES

Report 3.10

Eleanor Hasse, Bill Carruthers, Pamela Lovin, & Janey Sturtz McMillen¹

Released July 2019

EXECUTIVE SUMMARY

This report provides an analysis of interviews conducted with representatives of the school districts (Local Education Authorities - LEAs) partnering with the five Transforming Principal Preparation (TPP) Programs during the 2018-19 year to explore their experiences with and perceptions of these programs. Thirty-seven LEA representatives were interviewed during May of 2019. Three LEAs had partnerships with more than one of the TPP programs; therefore the 37 interviews include discussion of 40 partnerships. Evidence provided by these interviews supports the following conclusions:

- LEA representatives believe the TPP programs to be of high quality and to compare well with other principal preparation programs.
- LEA representatives are very satisfied with the TPP programs and with their collaboration with district partners.
- LEA representatives whose districts have already hired program graduates are very enthusiastic about the performance of these new administrators.
- LEA representatives think the recruitment and selection processes result in the selection of high-quality candidates from their districts, but they do see ways in which to improve these processes.
- LEA representatives observed that the TPP Programs were well aligned with the job skills needed to be a successful principal.
- All of the LEA representatives thought that paying for tuition and salary during the internship was critically important.
- 95% of responses supported a full-year internship.

OVERVIEW

This report provides an analysis of interviews conducted with representatives of the school districts (Local Education Authorities - LEAs) partnering with the five Transforming Principal Preparation (TPP) Programs during the 2018-19 year to explore their experiences with and perceptions of these programs. Interviewee responses provide evidence that most LEAs are very satisfied with the programs and have had multiple opportunities to provide input and feedback to the programs' development. Further description of participant responses to each of the open-ended questions is provided below.

¹ Suggested citation: Hasse, E., Carruthers, B., Lovin, P., & Sturtz McMillen, J. (2019, June). *TPP Partnerships with LEAs: Interviews with LEA Representatives (Report 3.10)*. Garner, NC: GrantProse, Inc.

METHODS

Each of the five TPP programs was asked to identify a representative from the central office of each of their LEA partners. GrantProse staff contacted these representatives and set up telephone interviews with the representative or in a few cases a person designated by that representative. The interview protocol (see **Appendix A**) included four questions asking the interviewee to rate (on a scale of 1 to 5) various aspects of the program. These rating scale questions were supplemented by thirteen open-ended questions. Interviews ranged between 15 and 30 minutes in length, depending on the length of participant responses. GrantProse staff audio recorded the interviews. A professional transcription service transcribed the interviews verbatim and then GrantProse staff spot-checked the transcriptions for accuracy. Following NSF recommendations for analyzing qualitative data,² three GrantProse staff examined respondents' comments for common patterns and themes as well as exceptions to these.

PARTICIPANTS

Thirty-seven LEA representatives were interviewed by telephone during May 2019. Three LEAs had partnerships with more than one of the TPP programs; therefore the 37 interviews include discussion of 40 partnerships. Program response rates ranged from 57% (NCSU) to 92% (SREC) with an overall response rate of 80%. **Table 1** shows the response rate by program. Of the thirty-seven persons interviewed, seven were the superintendent of their district. The majority of the remainder served in top leadership positions, filling roles such as Director of Human Resources or Assistant Superintendent. One, at a charter school, was the mentor principal for an intern. Thirty-two of the interviewees had served for at least two years in their LEA; twenty-eight had served five or more years in their LEA. Two mentioned prior contact with the TPP Program while serving in another LEA. Thus, the majority of respondents were very familiar with their local leadership needs and challenges.

Program	Number of LEA Partnerships³	LEA Responses⁴	Response Rate
High Point University	13	10	77%
North Carolina State University ⁵	7	4	57%
Sandhills Regional Education Consortium	12	11	92%
University of North Carolina at Greensboro	10	9	90%
Western Carolina University	8	6	75%
Total	50	40	80%

² Berkowitz, S. (1997). Analyzing qualitative data. In Frechtling, J., & Sharp, L. (Eds.), *User-friendly handbook for mixed method evaluations* (nsf97153). Washington, DC: National Science Foundation. Retrieved from http://www.nsf.gov/pubs/1997/nsf97153/chap_4.htm

³ Note that 3 LEAs partnered with more than one program so 47 unique LEAs are included but 50 partnerships.

⁴ Note while 37 people were interviewed, they provided responses for 40 LEA partnerships.

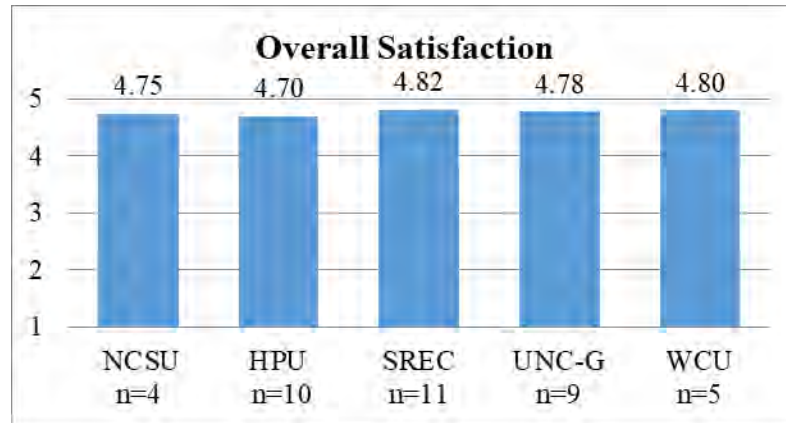
⁵ Note that due to LEA representative time constraints, two of the interviews for NCSU will take place later in the summer - their responses will be reflected in an addendum to this report.

FINDINGS

Overall Satisfaction and Quality

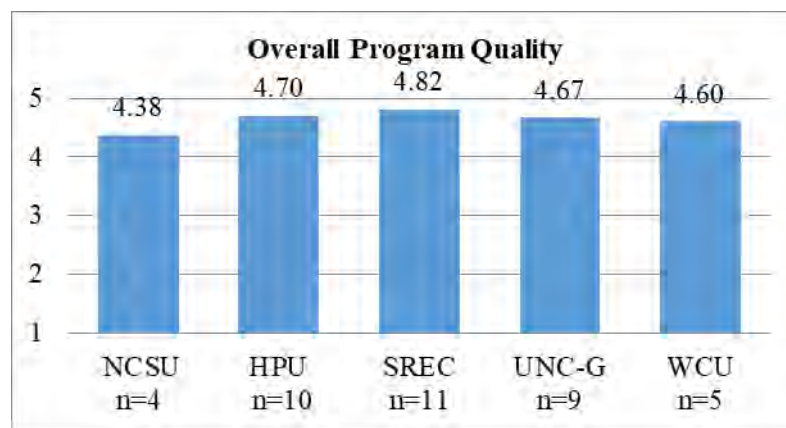
Q: Please rate your overall satisfaction with the TPP program on a 1 to 5 scale (1=not at all satisfied, 5=very satisfied).

LEA representatives express considerable satisfaction with their TPP programs. The overall average across programs was 4.77 with little difference among programs. One person, with a district that had just begun participation, declined to give a rating.



Q: Please rate the overall quality of this principal preparation program on a 1 to 5 scale (1=low quality, 5=highest quality).

Similarly, LEA representatives rated overall program quality very highly with an average rating of 4.68 across programs and only two persons rating quality below a 4. Again, there was little difference between programs.



Many representatives added a comment to their rating expressing gratitude for their districts' opportunity to participate in the program. The following comments are typical of these remarks:

“We’re just grateful to be part of the program and to have some input in the candidates that are chosen to participate, and we certainly hope to see this continue. It’s a great opportunity for educators and they don’t have many opportunities like this out there, so we really do appreciate it.”

“We’re just grateful that we’ve been able to participate in the program, and I think they’ve done a really, really good job of having a very strong program—preparation program.”

“I appreciate the legislature’s interest in supporting, funding, partially funding, principal preparation programs. I think having effective leaders at the school level is critical. And so, you know, continued and increased support for programs that would assist districts with recruiting and preparing building-level principals is much appreciated.”

Additional findings are reported below, organized to parallel the order of the questions on the interview protocol.

Role in Relation to the TPP Program

When asked about their role with the TPP program, most interviewees stated that they were the district point person, contact person, or liaison between the TPP program and their district; some said they served on an advisory committee or board. Fourteen specifically mentioned their role in interviewing or selecting candidates, eight mentioned their role in selecting mentors, finding internship placements or supporting mentors, and three mentioned recruiting candidates. Answers to later questions often revealed the interviewees’ further involvement in shaping programs during the initial phases and by providing ongoing feedback.

Collaboration

Q: Please describe ways in which the TPP program leaders and district have collaborated.

Following the content analysis, the 40 responses were coded using the following categories:

Category	Number of Responses
Communication	35
Input into Program	13
Selection of Candidates	11
Internship Placement	8
Support Candidates	6
Support Mentors	6
Recruit Candidates	2
Providing Professional Development	2
Equity Work	1
Program is just beginning in this district	1

** Note: The total adds to greater than 40 due to some respondents providing answers that could be coded to two or more of these categories.*

The most common theme in the coded responses was communication. Overall, respondents were very positive about the amount and clarity of communication, describing meetings, e-mails, and phone calls to set expectations and work together to accomplish tasks such as recruiting and selecting candidates, intern placement, and providing mentor principal training. The second most common theme was providing input into the program. Respondents described providing direction at the beginning of the program, communicating district needs to the program leaders, and providing feedback to improve the program.

Q: What has been the greatest success of the collaboration?

Following the content analysis, the 40 responses were coded using the following categories:

Category	Number of Responses
Well-prepared graduates	17
Quality program/ experience for candidates	10
Communication	5
Recruiting/selecting good candidates	5
Professional network	3
Just getting started	3
Internship	1
Coaching	1
Motivating teacher leaders	1
Job placement	1
Recruit minority candidates	1

** Note: The total adds to greater than 40 due to some respondents providing answers that could be coded to two or more of these categories.*

The most common theme, discussed in seventeen (42.5%) of the responses, was that the greatest success of the program was the well-prepared graduates. The respondents, who were often involved in the hiring and supervising of program graduates were very pleased with the quality of preparation their candidates had received. They were enthusiastic about the success of program graduates they had hired. Several mentioned the importance of home-grown administrators who understood the district's needs and would stay in the district. The second most common theme was the quality of the program. These responses emphasized the overall quality of the experiences and support provided to the candidates. Good communication and recruiting/selecting good candidates were mentioned by five respondents each. Other respondents mentioned specific successes such as quality internships, success coaching, motivating teacher leaders, job placement, and recruitment of minority candidates. Three respondents were from districts just getting started with their program and did not yet have enough information to identify a greatest success.

Q: What have been the greatest challenges to the collaboration?

Following the content analysis, the 40 responses were coded using the following categories:

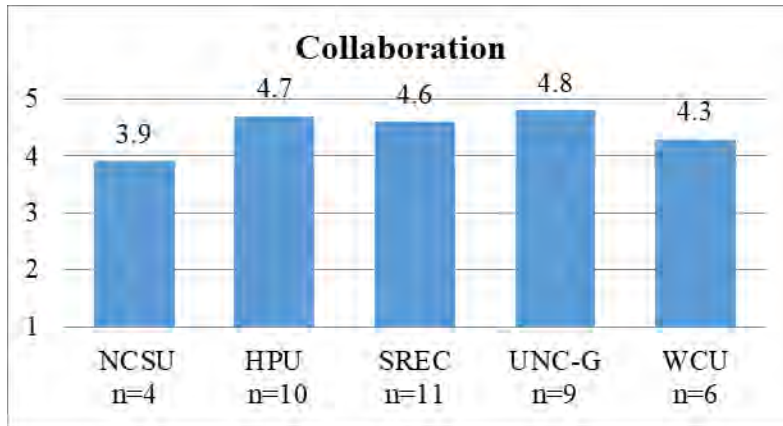
Category	Number of Responses
Time for LEA staff to collaborate with program	6
Recruitment/selection	6
None	4
Finances for internship	3
Timing of program difficult	3
Limited space in program	3
Change in LEA leadership	3
Scheduling	2
Time for candidates	2
Distance	2
Differences between programs (from district with two different programs to manage)	2
Principal mentor issues	2
Staffing the teaching position while intern is out of classroom	2
Internship placement	2
Not enough communication	2
Understanding financial aspects	1
Changes in program	1
Candidate not performing	1
Start-up	1

** Note: The total adds to greater than 40 due to some respondents providing answers that could be coded to two or more of these categories*

The most frequently cited challenges, each mentioned by six respondents, were that of finding time for the collaboration and that of recruiting qualified candidates. While some districts had difficulty recruiting candidates, others wished to be able to offer the opportunity to more of their teachers. Other challenges discussed related to financial issues, particularly supporting the full year internship, time and distance challenges for the participants, changes in LEA leadership, and small districts some with high principal turnover having difficulty finding an appropriate mentor principal. While most of the interviewees could describe challenges, none seemed to find these challenges to be barriers to participation by their district.

Q: 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?

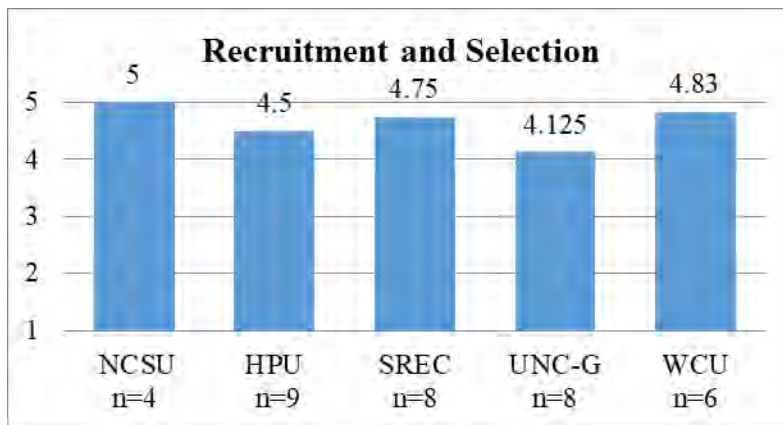
LEA representatives thought that the programs collaborated closely with their districts; overall, the average rating by all representatives for all programs was 4.6 with no ratings below a 3 in any program.



Recruiting and Selection Process

Q: Please rate on a 1 to 5 scale (1=not very well, 5=very well) how well you think this TPP program does at recruiting and selecting the best candidates from your district.

Generally, LEA representatives thought that the TPP programs did very well at recruiting and selecting the best candidates from their districts giving an overall rating of 4.6 with all but three LEA representatives giving a rating of four or five for this measure. However, several representatives did not give a rating as they explained that the district, rather than the TPP program, was responsible for recruitment and selection.



Q: Are there any ways in which this process (recruiting and selecting the best candidates) could be improved?

Following the content analysis, the 40 responses were coded using the following categories:

Category	Number of Responses
None/No Answer/No	23
Yes	15
Unsure	2

Following the content analysis, the 15 responses that suggested improvements were coded using the following categories:

Category	Number of Responses
Selection process	7
Recruitment materials/information	4
Collaboration with LEA	3
Recruitment of diversity/quality candidates	3
More slots for participants	2
Internship	2
Salary differential	1
Removing candidates from classroom	1

** Note: The total adds to greater than 15 due to some respondents providing answers that could be coded to two or more of these categories.*

There were a number of common themes among the 40 responses coded.⁶ The most common response, with 23 (57.5%) of the 40 responses, was stating none/no improvements needed or not answering the question and two (5.0%) of the respondents were unsure if the process needed improvements. The other 15 (37.5%) respondents discussed ways for improvements to be made. Among the responses, there were a number of themes that emerged as bulleted here:

- 7 responses indicated the selection process needed improvements, including a common process for selecting candidates on the LEA level such as a pool of common questions.
- 4 responses indicated the recruitment materials/information needed to be improved. Two respondents shared that information about the process had improved because TPP participants shared information within the LEA. One response discussed the need for more robust recruitment materials.
- 3 responses mentioned the importance of collaboration between the LEA and TPP program to recruit and select candidates.
- 3 responses mentioned improving the recruitment of quality and diverse candidates.
- 2 responses mentioned the need for better internship funding/placement.
- 1 response mentioned improving the salary differential for TPP participants between the internship salary replacement and current teaching salary. Another response mentioned the need to decrease the time TPP participants are not in the classroom/school.

⁶ There were 37 respondents but 3 respondents gave responses for two different TPP Programs with which they were collaborating, resulting in 40 separate responses that were coded.

Overall, responses to the questions about recruitment and selection suggest that the LEA representatives were very satisfied with the recruitment and selection process while noting potential for improvement. The LEA representatives want a) robust, informative recruitment materials and b) a suggested common LEA selection process.

Support for TPP Candidates

Q: In what ways does the TPP program support the candidates from your district? (such as financial, coaching, etc.)

Following the content analysis, the 40 responses were coded using the following categories:

Category	Number of Responses
Financial Assistance (tuition/salary)	31
Coaching	30
Extra Professional Development Opportunities (such as conferences and school visits)	8
Internship	7
Communication	6
Cohort	6
Coursework	5
LEA interaction	2
Advocating for graduates	1

** Note: The total adds to greater than 40 due to some respondents providing answers that could be coded to two or more of these categories.*

There were a number of common themes among the 40 responses coded. The two most common supports mentioned were financial assistance (tuition/salary) by 31 (77.5%) respondents and coaching by 30 (75.0%) respondents. Eight (20%) LEA representatives noted the importance of the professional development opportunities such as conferences and school visits which went beyond the coursework, while 5 (12.5%) identified the rich coursework as a support for TPP participants. Six (15%) responses noted communication between TPP leadership and participants as a strength; and six (15%) saw the cohort model as a support. Two listed the interaction between the LEA and the program as a support and one representative mentioned how the TPP program actively advocates for TPP graduates who are applying for administrative positions.

A generalization of responses to this question suggests the LEA representatives were most positive about a) financial support, b) consistent coaching, and c) a multitude of strong professional development opportunities.

Improvements for Support for TPP Candidates

Q: Follow up probe: Are there ways in which this support could be improved?

Following the content analysis, the 40 responses were coded using the following categories:

Category	Number of Responses
None/No Answer	33
Yes	7

Following the content analysis, the 7 responses that suggested improvements were coded using the following categories:

Category	Number of Responses
Internship (Length, compensation)	4
Coaching	2
Continued strong TPP program leadership	1
Cohort model throughout MSA completion	1

** Note: The total adds to greater than 7 due to some respondents providing answers that could be coded to two or more of these categories.*

The most common response to the question of ways to improve TPP participant support was that none is needed with 33 (82.5%) of the 40 responses not answering the question or listing no improvements. The other 7 (17.5%) responses saw ways to improve participant supports. Among the improvements suggested, there were a number of themes that emerged as bulleted here:

- 4 responses discussed improvements for the internship, including full salary replacement and being “held harmless” in regard to retirement.
- 2 responses mentioned the need for more quality coaches and more visits by the coaches in the school building during the internship.

A generalization of responses to this question suggests the LEA representatives were very satisfied with the supports provided to TPP participants with support for the internship being the area of greatest concern. The LEA representatives wanted support for a strong internship and a deep relationship between coach and TPP participants.

Program Linkage to Job Skills Needed for Principalship

Q: How strong do you think the linkage is between the TPP program’s university coursework, field experiences, and the job skills needed to be a school principal?

Following the content analysis, the 40 responses were coded using the following categories:

Category	Number of Responses
Very Strong	21
Strong	12
Somewhat Strong	5
No answer	2

Following the content analysis, the 36 responses that provided examples of ways in which the program aligned with job skills were coded using the following categories:

Category	Number of Responses Coded
Coursework	11
Relevant experiences	11
Internship responsibilities	9
Skills training	8
Experienced instructors	4
Input from district	4
Coaching	4
Selection process	2
Well-rounded	2
Other	7

** Note: The total adds to greater than 36 due to some respondents providing answers that could be coded to two or more of these categories.*

There were a number of common themes among the 36 responses coded. Among the evidence provided that the TPP program's university coursework and field experiences were strongly linked to the job skills needed to be a school principal, there were a number of themes that emerged as bulleted here:

- 11 responses indicated ratings of linkage strength were based on LEA representatives' knowledge of the coursework content and relevant experiences provided during the program.
- 9 responses indicated ratings of linkage strength were based on LEA representatives' knowledge of the responsibilities program participants had during their internship experience.
- 8 responses mentioned the skills training participants receive during the program as evidence of the linkage.
- 4 responses mentioned knowledge of experienced instructors in the program and coaching received by participants as evidence of the linkage.
- Additional responses indicated district representatives' input in helping to shape the program content (4) and their selection of highly qualified candidates as program applicants (2) were examples of linkage strength.
- 2 responses mentioned the program graduates' well-roundedness as evidence of linkage.
- 7 other responses provided evidentiary examples such as being the most prepared applicants for job positions in the district, participation in day-long simulations of administrator duties, and knowledge that the program was practitioner-based.

Overall, the LEA representatives report the linkage between TPP program content and the skills needed to be successful as a school administrator to be strong based on their knowledge of the programs' implementation and the responsibilities of participants during their internship.

Internship Length

Q: How long do you think the full-time internship experience needs to be for a graduate to perform successfully as a school principal or assistant principal?

Following the content analysis, the 40 responses were coded using the following categories:

Category	Number of Responses Coded
Full school year	38
Half a school year	2

Fully 95% of the responses favored full year long internship. The majority of these respondents explained that this would allow interns to experience the planning that takes place before the academic year begins, as well as events throughout the year and closing activities.

Preparation for Instructional Leadership

Q: How well prepared do you think graduates of this TPP program are/will be to work as instructional leaders? In what ways? How can you tell?

Following the content analysis, the 40 responses were coded using the following categories:

Category	Number of Responses
Very prepared	19
Prepared	8
Somewhat prepared	2
No answer	11

Following the content analysis, the 29 responses that provided examples as evidence of preparation were coded using the following categories:

Category	Number of Responses
Performance after hire	17
Coursework	8
Internship responsibilities	9
Relevant experiences	6
Selection process	6
Experienced instructors	2
Job interview performance	2
Other	2

** Note: The total adds to greater than 29 due to some respondents providing answers that could be coded to two or more of these categories.*

There were a number of common themes among the 29 responses coded. The most common response was participants' performance in the district after being hired post-program (82.5%).

The other responses indicating evidence that participants would be able to work as instructional leaders are bulleted here:

- 8 responses indicated the respondents' knowledge of the coursework content.
- 9 responses mentioned the respondents' knowledge of participants' responsibilities during the internship.
- 6 responses mentioned the respondents' knowledge of participants' taking part in relevant experienced during the program.
- 6 responses mentioned district representatives' selection of highly qualified candidates for application to the program.
- 2 responses indicated the respondents' knowledge of the program instructors' experience.
- 2 responses mentioned the performance of program participants in job interviews post-program.

A generalization of responses to this question suggests the LEA representatives' knowledge of program implementation, role in selecting candidates, and program graduates' performance in job interviews assure them that program participants will be able to serve as instructional leaders.

Specific Challenges of Your Students and Community

Q: How well prepared are graduates from this TPP program for the specific challenges of your students and your community?

Following the content analysis, the 40 responses were coded using the following categories:

Category	Number of Responses
Noncommittal or Nonspecific	9
Knowledge of Schools and/or District	7
Exposure to different school environments	7
High need school environments	5
Positive but nonspecific	4
Personality characteristic	4
Ability to work with diversity	3
Emphasis on instruction	3
Other	3
Authentic experience	2
Ability to work with parents/community	1
Cultural relevance	1

** Note: The total adds to greater than 40 due to some respondents providing answers that could be coded to two or more of these categories.*

There were a number of common themes among the 40 responses coded. The most common response was positive with 31 (77.5%) of the 40 responses commenting that the TPP participants would be prepared or well-prepared for the challenges of their students and community. The other 9 (22.5%) responses were noncommittal, indicating there was not enough information yet to judge the question. None of the responses offered negative comments that the participants

were not being prepared. Among the positive responses, there were a number of themes that emerged as bulleted here:

- 7 responses indicated the TPP participants' knowledge of the school district and schools in the district—either pre-existing knowledge or that gained through the internship—would favorably prepare them to meet challenges.
- 7 responses indicated the TPP participants' exposure to multiple and different school environments would favorably prepare them, and an additional 5 responses specifically mentioned how having an internship in a high need school would prepare them.
- 5 responses mentioned the ability to work with diverse student, family and/or community populations or made a closely aligned comment such as the cultural relevance of the TPP participants' preparation.
- 4 responses mentioned how TPP participants developing their personality characteristics through the program would prepare them - such as becoming better communicators, gaining better interpersonal skills, gaining an understanding of one's strengths and weaknesses, and showing an ability to take the initiative.
- 3 responses mentioned the emphasis on instructional leadership tasks such as diagnosing instruction and evaluating teachers.
- 2 responses noted that the authentic experiences TPP participants were having through the TPP program served to prepare them to meet challenges.

A generalization of responses to this question suggests the LEA representatives were most positive that a) TPP participants could meet the challenges of leadership due to how they showed a good understanding of their district/schools (due in large part to being selected from the district), b) were gaining exposure to multiple school environments especially high need schools, c) evidenced an ability to work with diverse populations and cultures, and d) were demonstrating personal growth in ways that would prepare them to meet challenges.

Differences among Programs

Q: Do you notice any differences between the graduates of this TPP program and those of other programs?

Following the content analysis, the 40 responses were coded using the following categories:

Category	Number of Responses
None to mention / Unsure	17
Internship and/or field experiences	6
Ability to Choose Candidates / Knowledge of candidates / Professional caliber	4
Authentic Experience / Relevancy of Program	4
Cohort Model	3
Positive unspecified	2
Commitment to the District/Program	2
Coaching	2
Self-efficacy	2
High Need Focus	1

Category	Number of Responses
Program Structure and Expectations	1
Instructional focus	1
Online comparison	1

* Note: The total adds to greater than 40 due to some respondents providing answers that could be coded to two or more of these categories.

Seventeen (42.5%) of the 40 respondents indicated they did not have enough information to make a comparison with other programs and/or that they had not noticed a difference in programs. The remaining 23 (57.5%) of the respondents described one or more attribute of the TPP Program that they felt compared favorably to other principal preparation programs with which they were familiar. Six respondents suggested the TPP internship experience was a particularly strong feature and a different four respondents mentioned the authentic experiences and relevancy of the program to the current-day context as strong features. Together, these 10 respondents appear to be saying the TPP Program offered more adequate field-based preparation compared to other programs. Four respondents suggested the ability of LEAs to select candidates for the TPP Program and the knowledge of the candidates afforded by this selection process was a notable strength of the program, and another three respondents indicated the TPP cohort model was a strength. Other relative strengths identified by the respondents included candidates' commitment to the school district, evidence of greater self-efficacy of the candidates, and the provision of coaching.

Importance of Paid Tuition and Internship

Q: How important do you believe it is that the TPP program candidates' tuition and internship are paid for in order to recruit the best candidates from your district?

There was a pronounced consensus among the respondents that paying for tuition and the internship through the program was very important. Among the 40 responses to the question, 33 (82.5%) expressed a response that would equate with a 5 on a 5-point Likert scale, using words such as a must, absolutely critical, extremely important, huge, and very important. The remaining 7 responses also expressed positive views that the financial support was important, resulting in all 40 respondents indicating this was important. Elaborating upon their responses, the respondents gave reasons such as how this support, a) removed an obstacle of what could otherwise be a financial hardship if individuals did not have this support, b) allowed the school district and TPP Program to recruit the best candidates, c) demonstrated that the program was committed to the individuals, and d) allowed the individuals to concentrate on what they were learning in the program rather than worrying about finances.

CONCLUSIONS

Evidence provided by the interviews conducted with LEA representatives is consistent with evidence from other sources and supports the following conclusions:

- LEA representatives believe the TPP programs to be of high quality and to compare well with other principal preparation programs.
- LEA representatives are very satisfied with the TPP programs and with their collaboration with district partners.
- LEA representatives whose districts have already hired program graduates are very enthusiastic about the performance of these new administrators.
- LEA representatives think the recruitment and selection processes result in selection of high quality candidates from their districts but they do see ways in which to improve these processes.
- LEA representatives observed that the programs were well aligned with the job skills needed to be a successful principal.
- All of the LEA representatives thought that paying for tuition and salary during the internship was critically important.
- 95% of responses supported a full-year internship.

APPENDIX A

Principal Preparation Program LEA Representative Interview

You are being asked to participate in an interview as part of a program evaluation. Please read this form carefully and ask any questions you have before agreeing to take part in the evaluation.

What the evaluation is about: The North Carolina General Assembly established a grant program, the *Transforming Principal Preparation Program*, for the purpose of elevating “educators in North Carolina public schools [through] transforming the preparation of principals across the State.” The North Carolina Alliance for School Leadership Development (NCASLD) was charged by the General Assembly with responsibility for overseeing this grant program. NCASLD contracted with GrantProse, Inc. to implement an evaluation of the program, examine best practices in the preparation of school principals, compare and contrast these practices among grantee institutions/agencies, and gauge the impact such programs may have on participants. Your LEA has partnered with a principal preparation program receiving this grant funding.

What you will be asked to do: If you agree to participate, you will be asked to participate in an interview pertaining to this partnership. The interview is expected to take approximately 15-20 minutes. Information collected will be used to inform *Transforming Principal Preparation Program* grantees about program progress and opportunities to effect continuous improvements in program operations. The results of the evaluation will be shared with NCASLD and the NC State Education Assistance Authority (SEAA), which in turn may make the results available to the NC General Assembly as well as other interested parties.

What good will come from the evaluation: No specific direct benefits are expected from participation in this evaluation. Results will be shared with NCASLD leaders and will be incorporated into reports that are made to the SEAA. Enhanced partnerships between your LEA, the partnering principal preparation program, other grantee institutions/agencies, and NCASLD may benefit the future development of principal preparation programs. Benefits to your LEA may occur as a result of evaluation activities to the degree they serve the purpose of improving the operations of the principal preparation program and program participant outcomes.

Important Things to Know about Being Part of the Evaluation

1. You don’t have to do this. Participation is completely voluntary and you can withdraw at any time without penalty, even after you start.
2. There is no payment for doing this.
3. As in any program evaluation, participants could conceivably experience discomfort or uncertainty relating to topics or questions raised. This, however, is no larger a risk than any routine online or personal discussion you would encounter in your daily professional life and therefore does not represent any risk particular or unique to this project.
4. Your responses will be kept confidential. All information you provide will be kept completely confidential. Your name will not be connected to your individual responses.
5. If you have questions at any time about the evaluation or the procedures, you may contact Dr. Janey McMillen, Director of Program Evaluation at GrantProse, Inc. (919-924-6779), (grantprose.janeym@gmail.com).

Interview Protocol

The interviewer will ask you if you agree to be in this study and then if you agree, she will ask if you agree to be recorded. If you agree, the interviewer will turn on the recorder and start by asking these questions.

Permission

1. Do you agree to be interviewed for this evaluation?
2. Do I have your permission to record this interview?

Background

3. What is your position with the LEA?
4. How long have you been with this LEA?
5. Please describe your role in relation to the TPP principal preparation program. (Follow up may include how long they have been in this role).

Collaboration

6. Please describe ways in which the TPP program leaders and district have collaborated.
7. What has been the greatest success of the collaboration?
8. What have been the greatest challenges to the collaboration?
9. 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?

1 2 3 4 5

Program Features

10. Please rate on a 1 to 5 scale (1=not very well, 5=very well) how well you think this TPP program does at recruiting and selecting the best candidates from your district.

1 2 3 4 5

- a. Follow up probe: Are there any ways in which this process could be improved?

11. In what ways does the TPP program support the candidates from your district? (such as financial, coaching, etc.)

a. Follow up probe: Are there ways in which this support could be improved?

12. How strong do you think the linkage is between the TPP program's university coursework, field experiences, and the job skills needed to be a school principal?

13. How long do you think the full time internship experience needs to be for a graduate to perform successfully as a school principal or assistant principal?

14. How well prepared do you think graduates of this TPP program are/will be to work as instructional leaders? In what ways? How can you tell?

15. How well prepared are graduates from this TPP program for the specific challenges of your students and your communities? How can you tell? What evidence convinced you of your view?

16. Do you notice any difference between graduates of this TPP program and those of other programs from which you recruit administrators?

17. How important do you believe it is that the TPP program candidates' tuition and internship are paid for in order to recruit the best candidates from your district?

18. Please rate your overall satisfaction with the TPP program on a 1 to 5 scale (1=not at all satisfied, 5=very satisfied).

1 2 3 4 5

19. Please rate the overall quality of this principal preparation program on a 1 to 5 scale (1=low quality, 5=highest quality).

1 2 3 4 5



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TPP PROGRAM COURSES: OBSERVATIONS 2018-19

Report 3.11

Eleanor Hasse, Pamela Lovin, & Janey Sturtz McMillen¹

Released June 2019

This report provides a summary of observations of courses in the five Transforming Principal Preparation (TPP) Programs during the 2018-2019 year. GrantProse staff members observed 10 classes/program activities in the fall and ten in the spring, four from each program (See Table 1). The majority of the courses were three credit hour courses. Most of these courses were taught in a hybrid format with some combination of face-to-face and online class meetings. Observers sampled a range of classes and topics including school law, distributive leadership, analyzing school data, and recruiting and retaining teachers. In addition to courses, some required program activities not tied to particular courses were observed.

The observers noted that classes and activities were conducted with a seriousness of purpose: participants came early, sessions started on time, participants were well prepared, discussions were intense, breaks were few and short, participants generally continued discussions during breaks, sessions continued until and past their scheduled ending time. Attendance was almost 100% with a few excused absences. Classes focused on real life examples and day-to-day school building level administrator responsibilities such as teacher evaluation, facilitating development of a school improvement plan, fostering effective professional learning communities, policies and procedures for dealing with crises, and working with parent run booster organizations (e.g. for school band and athletic teams). Classes generally lasted three to four hours and included multiple activities. Frequent use was made of guest speakers with specific expertise in areas such as school law, human resources, and students with disabilities. For example, one class included a presentation from a local school district's director of human resources and several of her team discussing recruiting and retaining teachers as well as how to document performance in the event that a dismissal is necessary. Another included a panel of past program graduates presenting on their current roles as assistant principals discussing making the transition from teacher to administrator. Evaluators also observed multiple student presentations; these were generally professional, providing evidence of extensive research and preparation as well as well-developed skills for presenting to an adult audience.

At the end of each observation, the GrantProse observer rated her level of agreement with the statement "*Participants were actively engaged in the activity*" on a scale of 1 (Strongly Disagree) to 4 (Strongly Agree). In all but two observations, the activities were rated as 4 ('Strongly Agree'); the other two ratings were 3 ('Agree'). The observers also rated their level of agreement with the statement "*Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader*" using the same 1 to 4 scale. In all but seven observations, the activities were rated as 4; the seven other ratings were 3. In summary, the

¹ Suggested citation: Hasse, E., Lovin, P., & Sturtz McMillen, J. (2019, June). *TPP Program Courses: Observations (Report 3.11)*. Garner, NC: GrantProse, Inc.

program participants attending each observed activity were actively engaged and, based on the questions posed and discussion, appeared to understand the activity's relevance and importance to the duties of school leaders.

Overall, these observations provide evidence that TPP courses and activities across the five TPP programs 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.

Table 1: Observations

Project	Date	Session or Activity Description
HPU	11/16	EDU 5172: Distributive Leadership: Teacher Efficacy and Empowerment. Format: face-to-face classroom. Topic: Professional Learning Communities (PLCs). Activities observed: student presentations, class discussion.
	11/17	EDU 5060: Developing Leaders in 21st Century Systems. Format: face-to-face classroom. Topics: instructional leadership, becoming an administrator. Activities observed: class discussion, panel presentation, guest speaker.
	3/1	EDU 5172: Distributive Leadership: Teacher Efficacy and Empowerment. Format: face-to-face classroom. Topics: teacher evaluation, building teacher efficacy and well-being. Activities observed: class discussion, instructor presentation, small group work, student presentations.
	3/2	EDU 5174: Organizational Management and Legal Issues for 21 st Century Schools. Format: face-to-face classroom. Topic: recruiting and retaining teachers, documenting teacher performance, making ethical decisions, navigating religious issues in public schools. Activities observed: guest speaker panel, class discussion, small group work, student presentations.
NCSU	10/3	Program Activity. Format: school visit. Topics: changing school culture, instructional leadership, student-led model. Activities observed: K-5 student presentations, school walk-through, presentation and discussion led by K-5 school principal.
	11/28	ELP 552: School-Based Planning, Management, and Evaluation in Professional Learning Communities. Format: face-to-face classroom. Topics: instructional leadership, growth mindset. Activities observed: small group discussion, class discussion, simulation/role play.
	2/11	ELP 611D: Data Use for School Leaders. Format: face-to-face classroom. Topic: education data analysis. Activities observed: class discussion, small group work, instructor presentation.
	2/25	ELP 551: Context and Challenges of School Improvement. Format: face-to-face classroom. Topics: opportunity culture, equity and achievement gaps. Activities observed: guest speakers, small group work, class discussion.
SREC	10/24	Synergy Session. Format: face-to-face classroom. Topics: leadership in schools, PLCs, preparing resume. Activities observed: small group discussion, student group presentations with class discussion, guest speaker presentation and discussion, resume feedback.
	11/28	Synergy Session: Format: face-to-face classroom. Topic: school law. Activities observed: student presentations.

Project	Date	Session or Activity Description
	2/11	EDNS 5060: Leveraging Stakeholders' Involvement for School Improvement. Format: face-to-face discussion. Topics: public relations, school board role, principal responsibilities, student discipline. Activities observed: instructor presentation, class discussion, partner discussions.
	3/18	EDNL 5860: Legal Aspects of Educational Leadership. Format: face-to-face classroom. Topics: teacher performance and dismissal, laws and board of education policies including social media usage, grading, handling money. Activities observed: instructor presentation, class discussion.
UNCG	11/6	ELC 660: The Principalship/ELC 670: Leadership for Teaching and Learning. Format: face-to-face classroom. Topics: micro-politics and administration, goal setting, equity. Activities observed: online simulation with group discussion, goal analysis with partner, equity audit - analysis of data.
	11/13	ELC 660: The Principalship/ELC 670: Leadership for Teaching and Learning. Format: face-to-face classroom. Topics: micro-politics and administration, instructional leadership. Activities observed: roleplay/simulation with discussion, instructor presentation, reflection, class discussion.
	2/5	ELC 694: Cultural and Political Dimensions of Schooling. Format: face-to-face classroom. Topics: culture in schools, ethical leadership. Activities observed: formative assessment, instructor presentation, reflection, small group jigsaw, class discussion.
	2/26	ELC 688-04P: Leadership of Rural Schools. Format: face-to-face classroom. Topic: leading change. Activities observed: paired and class discussions, small group work, group presentations.
WCU	12/1	EDL 876 Ethics in Educational Leadership/EDL 793 Topics in Educational Leadership: Leadership for Equity and Social Justice. Format: face-to-face classroom. Topic: Equity. Activities observed: group discussion, student presentations.
	12/11	TPP Scholars End-of-Semester Meeting. Format: online. Topics: semester reflection, change projects, internship. Activities observed: group discussion, instructor presentation.
	2/23	EDL 721: School Law. Format: face-to-face classroom. Topics: school funding, relationships with non-profits, bullying, harassment, transgender students, employment law. Activities observed: guest speakers, class discussion.
	2/23	EDL 617: History, Sociology, and Philosophy of Education. Format: face-to-face classroom. Topics: Meeting student needs - homeless students. Activities observed: student feedback to instructors, small group and class discussion.

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: High Point University Leadership Academy
Observation Location: Stout School of Education, High Point University, High Point, NC
Date of Observation: November 16, 2018
Time of Observation: 5:00 p.m. – 8:00 p.m.
Observer: Eleanor Enthoven Hasse
Class/Activity: EDU 5172 Distributive Leadership: Teacher Efficacy and Empowerment
Group Observed: HPULA Cohort 3
Instructors/Facilitators: Dr. Sandy Sikes

The class was held in a classroom in the Stout School of Education building on the High Point University Campus. The classroom was brightly lit and furnished with tables seating four, arranged in rows with a lectern and projection screen in the front.

Sixteen students attended the class with two of these arriving late due to traffic issues. The students were informally dressed (some in t-shirts and jeans, none of the men wearing ties) and appeared quite comfortable with the instructor and each other. Dr. Sikes introduced the class and explained that the scheduled speaker for the second half of the class had been delayed by a flat tire. The first half of the class time was devoted to student group presentations of concepts from the reading assignment which was the book, *Leaders of Learning: How Districts, Schools, and Classroom Leaders Improve Student Achievement* (DuFour and Marzano, 2011).

After Dr. Sikes introduction, the groups met for approximately fifteen minutes before the first group presentation. During this group work time, the students all appeared engaged – reviewing their presentations and getting ready to present.

At 5:20 p.m. the first presentation started. The student group projected a PowerPoint presentation. At first, the student presenter read from the PowerPoint but then, when she started explaining a class participation activity, she became more relaxed and gave directions clearly. The presenting group made two large chart-paper cut-outs of leaders/teachers and asked each class member to come up and write something in the figure to represent a special teacher that they had in the past. They gave three minutes for this activity, which appeared to be for the purpose of setting the framework of the importance of teachers. The students all participated and interactions of the students indicated a high level of camaraderie. The presenters then returned to their PowerPoint presentation and summarized the introductory chapters of the book discussing history of school reform, ideas that drive the Professional Learning Community (PLC) process and the role of the district leadership in supporting and empowering the PLC process. After discussing importance of creating common language for PLCs, they reinforced this idea by asking the class to write definitions of enrichment, intervention, formative assessment, and

summative assessment on sticky notes. The students in the class appeared fully engaged. The presenters gave time limits and thanked students for their contributions making comments such as “I can see you put a lot of thought.” And, “I have been reading these – I see there are definitely some differences in what you have written. We don’t have time to go over this, but you should come up and look and think about these.” Without much discussion of these definitions, the presenters move on to talk about how effective superintendents support PLCs. The final presenter summed up their presentation. The other students clapped and offered supportive comments. Dr. Sikes asked the class “was there anything that was new that you hadn’t thought about in relation to PLCs?” One person said he hadn’t thought about it from central office/superintendent point of view. Another person said, “districts sometimes support PLCs for a year, but then seem to forget about them. New hires may not get PLC training so it’s hard to keep up energy unless you continue to sustain. We consider our PLCs to be weekly professional development for our staff and give content credit.” Dr. Sikes explained, “I know some of you are in schools where they are not doing PLCs, but I want you to be equipped wherever you go.” Student discussion of their experiences with PLCs continued until 5:50 when Dr. Sikes said it was time for the next group.

The second group began presenting at 5:54. They started with the principals’ role in PLCs. They used an activity in which the class chose song titles to represent different parts of their presentation, which appeared to be engaging and fun for the participants. They discussed the change in role for the principal from earlier theorists who believed that principals did not affect student achievement to the current role of principals as instructional leaders. They also discussed the shift from teachers working in isolation to working in teams and the role of principals in selecting and developing team leaders and building capacity of teams. They discussed the scheduling and protection of PLC time (they noted this is different at different grade levels but discussed mostly in the context of elementary schools). They talked about practical issues of goal setting, SMART goals, getting groups of teachers to become teams, and that PLC time is not losing planning time but rather using it effectively. Then the group had students think of a song to celebrate short-term wins. The students were clearly very comfortable with each other – and had worked hard to make their presentation engaging.

Dr. Sikes then led discussion of the presentation focused on the importance of PLCs. A student asked if teachers are learning about PLCs in preparation programs. Dr. Sikes responded that they should be – she said the group planning for the Principal Preparation Programs clearly saw the need for this.

At 6:30 p.m., the third group began their presentation. They used Kahoot (a game based learning platform) to do a pre-assessment of the rest of the group for the part of the reading assignment (chapters 5 and 6) for which they were responsible. All class members were able to join with their phone or computers. They then used a mini video made with SimpleShow to explain some of the content from Chapter 5 including the idea of a guaranteed and viable curriculum (chapter 5). Then they did several assessment activities to discuss the material from Chapter 6. In

summarizing this, they distinguished between assessment to provide useful data and assessment that is busywork for students and distinguishing between uses of formative and summative assessment. There was considerable discussion of use of End-of-Grade testing; teachers agreed that the data is not given to teachers in a way to be useful for driving the next year's instruction. They also discussed various uses of goal summary reports and that these can be formative if coaches use them to help teachers improve in the following year.

Dr. Sikes summarized and then discussed upcoming assignment due dates and the importance of the students also carving out time for rest and family over the upcoming Thanksgiving break.

Then she explained that she had asked one of the students (whose job is an academic coach) to talk in a little more depth about the development and function of PLCs at her middle school. This student explained that previously there had not been PLCs and that then some PLCs were just talk sessions. So when she got there she started with working with Math teachers and gradually added PLCs for other subject areas. She said that at first this led to a lot of negativity from teachers because teachers thought she was there to fix them. She described how she worked to overcome this - how she was there to support them with information about best practices. She said she is no longer in a battle with the Math and English Language Arts (ELA) teachers, but is still working to convince Science and Social Studies teachers. She discussed how she works with the PLCs to plan and overplan, how new teachers coming into the school need to be integrated, how they use data in their planning, and how her school has included Exceptional Children teachers in their PLCs. She shows a video of a 6th grade ELA PLC group meeting at her school. Everyone appeared to be paying close attention to her presentation and the video. After the video, the other students asked questions and discussed implications for their practice.

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

Students appeared engaged throughout the class. Students were attentive to presenters and participated actively in discussion.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

Particularly with the current emphasis on PLCs in many partner districts, development of students' understanding of how to use PLCs effectively is important.

REFERENCES

DuFour, R., & Marzano, R. J. (2011). *Leaders of learning: How district, school, and classroom leaders improve student achievement*. Solution Tree Press.

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: High Point University Leadership Academy
Observation Location: Room 257, Stout School of Education, HPU, High Point, NC
Date of Observation: November 17, 2018
Time of Observation: 10:00am – 3:00pm
Observer: Janey Sturtz McMillen, Ph.D.
Class/Activity: EDU 5060: Developing Leaders in 21st Century Systems
Instructors/Facilitators: Dr. Debra Barham (Guest Facilitator)

This learning experience was a Saturday class session of *EDU 5060: Developing Leaders in 21st Century Systems* held at the Stout School of Education at High Point University in High Point, NC. The physical environment in which the learning experience took place was a standard HPU classroom that was well-lighted, clean, and modern in terms of fixtures, furnishings, etc. The room was set up in traditional lecture style with two aisles of longer style tables with seating for groups of four, several white boards and podium near the front of the room, as well as overhead projector with pull down overhead screen. All 17 Cohort III program participants took part in the learning experience. The participants included 6 males and 5 minorities, which was reflective of the demographic profile provided by the Program Director.

Dr. Debra Barham was facilitating class for Dr. Zwadyk, who was traveling. The class began with a discussion of the reading assigned in the prior class of Michael Fullan's *The Principal*. There was both small and large group discussion of the guiding questions at the end of the book. These questions were focused on the role of the principal as instructional leader and balancing leadership versus micromanaging, particularly in high need schools that require turn around. The group discussion was very active as the participants discussed the suggestions put forth in the book and how they did or did not fit with their experiences as teachers in terms of whether the prescribed instructional leadership would be helpful or divisive. Several of the participants expressed a preference for the instructional leadership style presented in a previous reading. Dr. Barham facilitated the discussion and encouraged participants to reflect on how different leadership styles may be more or less effective depending on the setting context, the school staff's strengths and challenges, etc. There was then partner/triad discussion of each individual's strengths that s/he will bring to the leadership role and how these strengths may best fit one leadership style over another.

As part of the class session, a panel of 5 past program graduates (3 males, 3 minorities) presented on their current role as assistant principals and how the coursework the participants are currently taking and their upcoming internship experience will be useful when they are in a similar role. The presentation highlighted how learning your leadership style and your leadership strengths, as well as learning to be prepared for all of the unexpected things that may arise are key parts of the program that will be beneficial. They also discussed how the shift from being a teacher to an administrator could be a big adjustment and how it's important to remember what it is like to be a teacher, but also to understand you are transitioning from being a peer to a boss and the dynamics in that situation need to be about the bigger picture. They stressed the importance of balancing what you've learned about being a principal with what the expectations are for an assistant principal working for a principal who may or may not reflect what you've learned and how you can still be a change agent depending on the relationship you develop with the principal. For those who returned as an intern/assistant principal to the school at which they

previously taught, this was particularly challenging in terms of the shift from “us” to “them” and remembering that it is all about the students. There was agreement among the panelists that it’s important to maintain empathy and not lose your “teacher lens”, but it is equally important to apply your “administrator lens” and a concern for the whole school 24/7. They all expressed how the internship experience and coursework helped prepare them for these challenges. The participants asked questions of the panelists about how they handle relationships with parents of students in their new role, how the panelists experienced onboarding into their new role and if it was helpful, and how they identify teacher leaders that can facilitate the change process. The panel then wrapped up with parting advice from each panelist.

Once the panel was completed, a principal in a high needs school in Guilford County (also a doctoral student at HPU) spoke about his path from substitute teacher (teacher assistant, lateral entry educator with a Masters degree in industrial engineering, assistant principal) to principal. He also talked about the importance of creating balance in your life in order to be able to handle the workload and stress of an administrative position. He presented some strategies that have worked for him as an administrator as well as some that have not. He then shared information about the traits he looks for when hiring assistant principals. Throughout his presentation, the participants asked relevant questions related to the information presented.

For the rest of the session, participants worked in small groups to review and provide feedback on individual “Ted Talk” videos for each participant.

In summary, the program participants were actively engaged in the learning activities with active discussion of content and relevant questions for panelists. No one appeared engaged in other activities (e.g., texting, side conversations) during the session. Based on group discussion and questions posed, participants seemed to understand the relevance and importance of the session content to the role of being a future school administrator.

Reference: Fullan, M. (2014). *The Principal: Three Keys to Maximizing Impact*. San Francisco, CA: John Wiley & Sons.

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

During the small and large group discussions, all participants took part and actively expressed ideas and opinions. During the panel presentation(s), all participants were actively listening, taking notes, and asking relevant questions.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

Both the discussions regarding the assigned reading and the panel presentation(s) with discussion were very focused on application of the leadership concepts and program experiences to the “real world” of being an administrator in today’s schools in terms of both the challenges they address and the supports they provide.

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: High Point University Leadership Academy
Observation Location: Stout School of Education, High Point University, High Point, NC
Date of Observation: March 1, 2019
Time of Observation: 5:10 p.m. – 9:10 p.m.
Observer: Eleanor Enthoven Hasse
Class/Activity: EDU 5172 Implementing Distributive Leadership for Teacher Empowerment
Group Observed: Cohort IV
Instructors/Facilitators: Dr. Sandy Sikes, Ms. Debra Barham

Setting: The class was held in a classroom in the Stout School of Education building on the High Point University Campus. Long tables were arranged in rows facing the front. The tables were equipped with power outlets. A projector and screen were used to project materials for the various activities throughout the class. Dr. Sikes provided a syllabus and copies of the books required for the course.

Participants/Students: This class was for HPU's Cohort 4, which started the leadership program in January 2019. Sixteen students attended the class - all were present by the time I arrived. Dress was casual to professional.

Activity notes: At the time the observation began, Debra Barham, one of the executive coaches was presenting and facilitating discussion. She asked students to answer survey questions for the "How Adaptable Are You?" survey provided by Cambridge Leadership. The survey questions are available at <https://cambridge-leadership.com/how-adaptable-are-you/>. After the students completed the survey, she facilitated discussion of some of these questions with students contributing examples from their current workplace. The majority of students were in teaching roles, one was a counselor and some were in lead teacher or coaching roles. They were not yet in administrative roles. The "I am not afraid to raise unpopular positions in my workplace" question generated several examples and discussion. Ms. Barham told the students, "You are special and different; we are expecting a lot of you." Then she passed out a paper about the NC teacher evaluation process and rubric. The students divided into groups of two very quickly to review and discuss one assigned point from the introduction to this document.

The first point discussed was about shared leadership, which the first student speaker said is not in evidence in her school. The second student speaker said that this may be in evidence in her school's "Lighthouse Team". The next point was about how teachers make content relevant, engaging, and meaningful to student's lives. The first student was a middle school teacher who said you need to know your students and their needs to do this. The second speaker was from a school with a community service and service learning focus. She said this emphasis helps students see the relevance of what they are learning. The next few points were about integrating 21st century skills and standards based content. The discussion continued with role of teaching students to respectfully advocate for themselves, the way STEM education helps integrate content and 21st century skills, the skills employers need and various examples of ways in which the students' schools were working to provide relevant content and skills. The next point

discussed was about the need for reflective practice and how this can be subsumed by emphasis on test scores. The final point was on teachers modeling lifelong learning and encouraging students. Someone pointed out that it is easy to see lifelong learning when someone is in a formal program, but that administrators also need to value informal learning and be open to accepting evidence from both formal and informal learning in evaluation. Ms. Barham said it is important to internalize what the teacher evaluation document really means so when the students become administrators they can use it effectively. The students all seemed engaged in the discussion, offering thoughts and examples from their schools.

After this discussion, they walked through the required technical process and schedule for evaluations and then discussed the different standards on the teacher evaluation rubric. Ms. Barham said that administrators needed to have a conversation with teachers explaining what the different levels on the rubric look like to them as administrators and what evidence can be used to support the different levels of proficiency. She also pointed out the need to work on interrater reliability. For example, in her view using a SmartBoard as a whiteboard and a laptop as a book does not constitute effective integration of technology (Element IVd). She said teachers need differentiated training on use of technology in classroom. She recommended that administrators have conversations with teachers and know the teachers and what they are doing beyond the classroom. She recommended holding teacher conferences in the teacher's classroom so that teachers can easily get artifacts such as parent contact logs and student work examples and administrators can see classroom bulletin boards etc. One student gave an example of how the lighting and colors used in a classroom can make it more nurturing. Another, who teaches high school science, explained that she had examples of scientists from different cultures and countries up on her bulletin boards. Students asked questions about different types of evidence, and different evaluation challenges. They also discussed the importance of giving feedback to teachers to help them grow after a walk-through or observation. At 6:52, the class was dismissed for a short break.

At 7:03, the class reconvened from the break and continued discussion of the teacher evaluation standards. They discussed the role of administrators in supporting teachers' skill development and helping teachers move from the novice level to the accomplished level. Ms. Barham asked them to consider as leaders how professional development money was being spent and the role of administrators in supporting professional development. They discussed the importance of giving teachers, particularly new teachers, the resources they need to do the job for the children in their classes.

Then Ms. Barham introduced the next segment of the class in which one of the students would teach a model lesson for ten minutes to use as practice for an observation. The student who did this had clearly planned extensively - providing the class with her lesson plan, some handouts, and a PowerPoint. She taught a segment of the lesson in which she introduced students to an activity involving analyzing red wolf population fluctuations. Ms. Barham distinguished a "learning walk" in which a group is learning from observing another teacher from a "walk through" in which an administrator comes into a classroom and gets a quick snapshot and gives feedback - really directed at giving feedback to the observed teacher. Then she asked the students to take a minute to write down the feedback that they would leave for the teacher of the wolf lesson. The students were all very engaged - first in being eighth graders for the model lesson and then in discussing the strengths of the lesson. The comments were very positive - the

lesson was engaging, aligned with the standard course of study, the standard was posted and was current. The group discussed whether posting the standard should be a non-negotiable. Ms. Barham eventually said the important thing was that the principal's expectation was clear. More comments were made on the lesson including the value of focus on academic vocabulary, clear expectations, multiple strategies, differentiation, connections to the English class, etc.

Dr. Sikes mentioned that they increased the teacher evaluation component in the HPU program due to feedback from cohorts 1 and 2. Then they discussed issues with evaluating staff not in your content area - such as foreign language, auto mechanics, guidance counselors, media center specialists, and speech pathologists. One of the students who was a guidance counselor pointed out that their evaluation standards and rubric were somewhat different and they discussed that some specialist staff may be evaluated by the central office.

At the conclusion of this discussion, Ms. Barham left. Dr. Sikes moved the class into the next activity - students had been randomly assigned to groups of 4 for this activity in which they would create anchor charts on strategies to build sense of well-being in stakeholders. She said teacher efficacy and empowerment need to be part of this. She passed out chart paper and other materials including post-it notes and markers and gave the class about 20 minutes to prepare their charts.

At 8:45 p.m., the class came together and each group presented their ideas. Some of the ideas included peer coaching, goal teams, involving staff in recruiting and hiring, celebrating successes, broadcasts and student voices, passion projects, creating culture, and building authentic relationships.

Dr. Sykes ended the class by projecting some exemplars of the Distributive Leadership Portfolio assignment from previous cohorts and discussed organization and formatting of the assignment - e.g., good idea to have a table of contents - gave suggestions about formatting headers, data, etc. - and showed examples of how the appendices should organize and display the evidence. The class continued with a high level of engagement until finishing at 9:10 p.m.

While the class was engaged in group activities, Dr. Sikes took a few minutes to show me examples of the class's online discussion of some of the assigned reading. This course is a hybrid course and in addition to the face-to-face meetings, students participate in virtual discussion. The students were clearly engaged in the online discussion as evidenced by their thoughtful written responses to the reading.

- 1. Students are actively engaged in activity.** Students were actively engaged throughout the evening with high levels of participation in discussions.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

2. **Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.** Teacher evaluation was the main focus of the evening activities - this will be a new and very important responsibility for these students when they become administrators.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: High Point University Leadership Academy
Observation Location: Stout School of Education, High Point University, High Point, NC
Date of Observation: March 2, 2019
Time of Observation: 9:00 a.m. – 1:05 p.m.
Observer: Eleanor Enthoven Hasse
Class/Activity: Ed 5174 Organizational Management and Legal Issues for 21st Century Schools
Group Observed: Cohort 3
Instructors/Facilitators: Trent Vernon

Setting: The class was held in a classroom in the Stout School of Education building on the High Point University Campus. Tables were arranged in rows. A projector and large screen were used to project a PowerPoint. During group work periods, groups dispersed to various attractive and comfortable student seating areas around the building.

Students: This class was for HPU TPP Cohort 3. By 8:55 a.m., at least 14 students were present with their computers set up and chatting with each other and the professor. The tone was energetic and upbeat. Dress was casual. By 9:00 a.m. when class started, 17 students were present.

Schedule/Context: According to the schedule provided in the syllabus and the class agenda, the class held Saturday, March 2, was the third of five Saturday face-to-face meetings for this course which also met on selected Wednesdays online. The class was scheduled to last from 9 a.m. to 2 p.m. without a lunch break (students were free to eat during class and there were a couple of short 10 minute breaks).

Activity notes: The class started promptly at 9:00 a.m. Dr. Vernon, the instructor, very quickly checked in with students, encouraged students to eat the donuts he brought, introduced me and another visitor, explained a change in agenda due to a speaker cancelling, reviewed the agenda for the day, asked if there were questions or announcements, and reviewed class norms.

He then asked students to divide themselves into three groups of 4 and one of 5. He explained that they had completed the Justice section of the course and asked students to take ten minutes with their groups to reflect on this portion of the course and pull out one idea that most stood out or changed their thinking. I observed one group that discussed the idea of the common good and that things could not usually be easily categorized into black and white (right and wrong). This led one teacher to remember and share with the group her experiences with adolescents with disabilities and different perspectives on the same incident. She explained that she would tell parents that she saw an incident one way, while their student saw it differently and that the truth lay someplace in the middle. This group then discussed placement of students with disabilities in self-contained classrooms and then the difficulties one of the cohort was experiencing with the written assignments due to English being her second language. At 9:15, one of the other groups came back. As the groups returned to their seats, the students next to me discussed the challenges of hiring in their districts - “how are we going to get quality people?”

At 9:21 a.m., the groups began to report back. The first group explained that one take-away for them was that you have to take every situation on a case by case basis – in the end you have to do what’s best for your students and ask yourself, “Is this really what’s in the best interest of the student?” They noted that in discipline decisions, as an administrator you have to base your decision on not only considering the needs of the students involved in the incident, but also consider the needs of bystander students. The group discussed some reasons for zero tolerance and for uniform guidelines on punishments for offenses. The next group said that they started with affirmative action – what is really greater good? One cohort member told the story of a former principal getting students to graduate by bending rules. He said this was not to benefit the students who were getting to graduate, but rather to protect the reputation of the school. Again, the discussion centered on the question of what was the greater good for the students. The next group talked about the same thing and how difficult it can be to find the common good. They noted that consistency was important. They said that they ended up concluding that there are rarely black and white answers. One student said, “One thing I’ve learned is everything is grey”. Dr. Vernon noted that there are many tough decisions to make in role as administrators – and that it is important to help people understand where you are going and why you are making the decisions you are making. The next group talked about importance of bringing in multiple perspectives and that this was a key way to figure out what is going on from another person’s perspective.

At 9:34 a.m., three guest panelists from Guilford County Schools’ Human Resources Department were introduced. These were: Alison Koker – Executive Director - Human Resources, Alison Yates - Director of Staffing, and Kyva Jones – Director of Recruiting. Dr. Vernon asked the panel to give a brief overview of what they do before a question period.

Alison Koker explained their role included hiring, onboarding, and helping principals help teachers improve. Alison Yates is the Director of Staffing. She noted there is a lot to do – her team works very closely with principals and is responsible for background checks, licensure, references, and transfers of people including both administrative and voluntary transfers. She said, of these, licensure was the most complicated role. She said that they also work with evaluations – all employees are evaluated in accordance with state laws. Kyva Jones said her number one goal is high quality candidates. She explained that right now her group is on the road and that partnerships with local universities are very important and that they are also looking at surrounding states for opportunities to recruit and hire. She said her office is also working with substitute teachers; they want high quality substitutes so that instruction doesn’t stop when a teacher is out.

Following this introduction, there was a question period. Many of the students had prepared questions. Several questions were about the sequence of events and interaction between a principal and the human resources office once the principal has interviewed a candidate and wants to offer them a job. Alison explained that there are some differences between districts in how this situation is handled and then explained the procedure in Guilford County Schools. She said that she tells principals, you don’t hire and fire, you recommend. The district has the ultimate authority. The next question and ensuing discussion was how to fire a teacher who is not performing. Alison explained the importance of documenting problems in writing from the beginning and of following procedures including involving HR. She explained in detail the procedures used in Guilford County schools as well as the different types of contracts teachers

and other staff may have. She also discussed the training administrators receive to use evaluation tools and difficulties with inter-rater reliability. She noted that observation ratings of teachers don't line up well with data on student proficiency and growth. The next question and ensuing discussion was about licensure, which the panel agreed is complicated and has changed a lot over the last ten to twenty years. This led to some discussion of restart schools and charter schools and issues involved with hiring unlicensed people in the most vulnerable schools. The panelists said they would encourage you to find the most qualified licensed person first. Ms. Jones said, "from a recruiting standpoint – this is the time to get licensed people – right now we have 100 student teachers. Early contract – we can offer employment in our district – priority district – we prioritize our Title 1 high need schools. We have had conversations about restart schools. We have given them more flexibility. We trust our principals." The next questions and discussion were about coaching someone out of teaching as well as monitored and directed plans for improving performance. Then they discussed hiring and firing of principals, things to avoid as aspiring principals, issues around hiring bonuses and incentives that can function as disincentives for existing staff, and issues around within district transfers and staffing low performing schools. At 10:45, Dr. Vernon thanked the panelists and after they left, noted that "while Human Resources is a huge help to me as a principal, it is 100% on us to make a school culture that people will want to be a part of."

There is a break from 10:50 to 11:05. When the students returned from break, they continued discussion of the HR department and organizational hiring, firing, PD, and supporting beginning teachers. Dr. Vernon drew a distinction between state requirements and what administrators do in the building. He told the cohort that they are a unique special group and that good leadership is hard to find and hard to develop. Then he asked students to go back into their groups for the next assignment - each group would be given an article to read and asked to make a brief presentation including a summary, implications for practice, and obstacles. They would have ten minutes to present. At 11:15, the groups dispersed. I observed one group that went to a downstairs meeting area to work. Their assigned article was, *How to talk about religion* (Kunzman, 2012). The group read and took notes, mostly silently until 11:30. Dr. Vernon came to check in with them once. They then quickly agreed to build a presentation using Google slides and one group member took on the role of creating the slides. The group agreed pretty quickly on the summary and seemed to agree with the main points in the article. They summarized the article as saying that part of being an informed citizen is to be able to talk about religion in a respectful way and that part of the school's responsibility is to cultivate civic multilingualism - which is defined in the article as "the ability to converse across different religious and ethical perspectives in search of understanding, compromise, and common ground." They then listed the main steps given in the article for implementation. As an observer, I noticed that there was no disagreement within the group about the message in the article; no one questioned whether teachers have time for this additional responsibility, nor was there much discussion of how and where this would align with the curriculum. As part of the assignment, the group members listed a variety of obstacles or barriers to implementation including parents could get mad, students could refuse to participate, may be too personal or perceived as proselytizing, teachers may need professional development to do this, and teachers may not have understanding of their own biases. The time constraints of the activity may not have allowed adequate time to discuss how serious these obstacles might be or how they would be overcome as they needed to wrap up and come back to whole group at 11:55. The group quickly put together a slide presentation and began practicing what they would say. They spoke in a fluent and polished manner.

At 11:58 a.m., the whole class came together again and the first group gave a quick summary of their article and explained that their presentation would take place in three stations: 1) cohort members will work in pairs to make an elevator speech on why they love teaching; 2) they would create a poster with post its note ideas on ways to increase teacher recruitment and retention; and 3) attend a small group discussion on classroom environment. The students were actively engaged in all three stations. The classroom environment station provoked some thoughtful discussion and examples of how teachers personalize their classroom environments and make them more welcoming to students.

The next group had an article on teacher recruitment that contrasted teacher recruitment with that of high powered companies and STEM industries. The group presented the main ideas in the article and then used a think-pair-share activity to get the other students to share both what their LEAs were doing for recruitment and their ideas for ideal recruitment strategies. Dr. Vernon said that the single greatest thing you can do is create a culture in the building that people want to come to work every day.

The next group had an article on navigating religious differences and providing students with religious literacy. They discussed an action plan to help teachers and schools become more comfortable with discussing religion. The discussion went on to include the need to develop norms for respectful conversations and other controversial topics such as suicide, which provoked a lot of spirited discussion on the difficulties inherent in allowing students to express points of view with which a teacher may not agree or be comfortable.

The final group presentation was given by the group I had observed earlier. Throughout all the group observations, the other students listened and participated actively in discussion, relating the topics to issues within their own schools.

I concluded my observation at 1:00 while the students were scheduled to discuss “*Schools of Conscious*” by Charles Hayne, two legal case studies (one involved firing a teacher who had been arrested outside of school and one involved a student’s expression of their religion at school), and to peer review ongoing assignments during the remaining hour of class.

1. **Students are actively engaged in activity.** Students appeared to be very interested and engaged in the various discussions. There were few sidebar conversations, and during breaks the students continued to discuss related topics.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

2. **Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.** With its emphasis on both the mechanics and relationship aspects of staffing schools followed by discussion of the role of schools in teaching respectful discourse about religion and other controversial topics, the learning activities were clearly relevant.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

REFERENCES

Kunzman, R. (2012). How to Talk about Religion. *Educational Leadership*, 69(7), 44-48.

Retrieved from:

<http://www.ascd.org/publications/educational-leadership/apr12/vol69/num07/How-to-Talk-About-Religion.aspx>

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: North Carolina State University Leadership Academy
Observation Location: A.B. Combs Magnet Elementary School, Raleigh, NC
Date of Observation: October 3, 2018
Time of Observation: 8:45 a.m. – 11:45 a.m.
Observer: Eleanor Enthoven Hasse
Class/Activity: School Visit
Group Observed: All three NCSU Leadership Academy cohorts (Wake, Johnston, NCLA)
Instructors/Facilitators: Dr. Brenda Champion, Executive Director of NCSU MSA Leadership Academies
Ms. Muriel Summers, Principal, A.B. Combs Magnet Elementary

This observation took place at A.B. Combs Magnet Elementary School, an award winning magnet school featuring a leadership theme based on Dr. Stephen Covey's *The Seven Habits of Highly Effective People*. A.B. Combs has received international recognition for its leadership development model and uses visits and tours as leadership opportunities for students. The school serves diverse students from all over Wake County.

NCSU students and faculty gathered outside the school in preparation for their tour as the elementary children prepared to greet them. Thirty-three NCSU students, four faculty, and one graduate assistant were joined by the GrantProse observer as well as visitors from the Wallace Foundation. The school tour began promptly with cheer leaders providing cheers and young students in costumes welcoming the visitors with handshakes as the visitors entered the building. From there, the visitors proceeded down a red carpet lining the center of the hallway to the Media Center. The hallway was lined with students carrying flags from all the different countries of origin or heritage represented in Comb's student population and wearing traditional dress costumes from those countries. In the Media Center, Ms. Summers welcomed the visitors, spoke briefly of the importance and power of love in leading schools and provided a brief introduction explaining that the visitors would see the student led model in action and would be requested to give students feedback in the form of two positives and two areas for growth. This was followed by the student choral group singing and a student led presentation on Combs. Ms. Summers then facilitated the visiting NCSU students giving the Combs students feedback, a powerful demonstration of their continuous improvement model.

Then the visitors were divided into four groups of about ten people for a walk around the campus and into a few classrooms. Some of the NCSU students had observation forms; many appeared to be taking notes. The time in classrooms was brief, probably due to the size of the groups being disruptive to normal classroom activities. The group I joined visited several classrooms

including a classroom in a trailer. One of the teachers explained her flexible seating arrangements and literacy stations.

After the tour, the group returned to the library for a facilitated discussion and debriefing session. Ms. Summers noted that everything they are doing at Combs is free or low cost. She asked the NCSU students to think about how to change a culture, how to get a different culture started, making your vision visible, and setting higher expectations. She talked about the importance of love, fighting for every student in your school, building relationships, fostering teacher leadership, getting the right people on board, and hiring people with strengths different from your own. NCSU students asked questions about how Ms. Summers had initiated various changes.

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

The NCSU students appeared to be very engaged in every part of the discussion and tour. Their questions indicated a strong interest in starting new initiatives and changing school culture.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

The discussion was very relevant to the task of changing school culture – a key part of transformative school leadership.

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: NCSU
Observation Location: WCPSS Crossroads II room 1401
Date of Observation: 11/28/2018
Time of Observation: 4:30 – 7:55 p.m.
Observer: Eleanor Hasse
Class/Activity: ELP 552/Professional Learning Communities: Modeling, Practices, Expectations, Humility, and more Mindset work – Fall 2018: Session 6
Group Observed: Wake County Cohort
Instructors/Facilitators: Dr. Fran Riddick

This session took place in the WCPSS Central Office Professional Development facility in a long rectangular room with tables arranged in four large blocks. The room had a projector and screen as well as an easel with chart paper, several other tables, and a thin strip of cork board with clips for hanging posters etc. There was also a large support pillar in the center of the room blocking the groups from having an unobstructed view of each other. Handouts were arranged at the front of the room and included a detailed agenda for the evening with references and links to the readings and TED talk that would be discussed in the class, four growth mindset worksheets from Project for Education Research That Scales (PERTS) at Stanford University, and a blank sheet of yellow paper to be used in a later activity. An opening PowerPoint slide was projected on the screen. When I arrived, about 9 students and the instructor were already present and talking in small groups.

The instructor, Dr. Fran Riddick, explained in advance that she and another instructor jointly developed the content of this class that was then being used for all three current NCSU cohorts. She also explained that one student would be late due to an IEP meeting she needed to attend at her school, and that several people had texted her to say they would be late due to a traffic slowdown. When all the students arrived, there were 14 present including 12 females and 6 that appeared to be minorities. Students were wearing NCSU name badges and were professionally dressed at a business casual level.

By 4:36 p.m., all but two students had arrived. Dr. Riddick began class with announcements. She explained the timeline for internships, which apparently had been concerning to some students since this cohort's timeline was different than that of other Wake MSA students. A student spoke up to thank Dr. Riddick for hearing and responding to student concerns. The next announcement concerned e-mails about tuition, which Dr. Riddick said students should ignore. The final announcement was about paying close attention to the rubric for an assignment. Then Dr. Riddick introduced me as the observer from the grant evaluation team. She then asked for celebrations and concerns. One person shared her success in leading a department chair meeting. Another made an announcement of a classmate's birthday.

Next, Dr. Riddick reviewed the learning goals for the planned session. These included 1) leaders need to be willing to model their learning, 2) understanding that modeling is a deliberate and thoughtful practice, 3) identify specific characteristics and behaviors of leaders that model

learning, 4) acquire a deeper understanding of growth mindset, and 5) pilot RTI role plays to provide practice in leadership roles.

The class then discussed the article, *Bringing humility to leadership: Antecedents and consequences of leader humility* (Morris, Brotheridge, and Urbanski, 2005) and a TED talk, *On being wrong* (Schultz, 2011). Multiple students shared their perspectives on the article and talk, making connections to other readings and to their work as school leaders. For example, one student said she liked how the article pointed out that to be truly humble, one needed a higher power and to accept that we can't control everything. Several students discussed the idea that it is ok to admit being wrong and to see this as an opportunity to grow. One mentioned that it is important to build diverse teams in order to get diverse perspectives on situations.

Next, the class broke into three groups (two groups of 4 students and one group of 5 –last student had not yet arrived) with each group responsible for making a visual on the chart paper for one of the three different ways of modeling introduced in their reading:

1. Modeling teaching skills,
2. Modeling craft knowledge
3. Modeling personal qualities

The students worked in their groups for 20 minutes. Students all appeared to be engaged in their groups – using the book chapter to make their visual displays. The instructor walked around observing the group work and after 15 minutes gave a time reminder. At 5:10 p.m., Group 1 presented on modeling teaching skills. They discussed role awareness, importance of self-talk and think aloud – positive talk – and making thinking transparent. They discussed the role of formative assessment – that is what you want your staff to learn and how are you checking in with them to be sure they learn it. They also noted the importance of making time for teaching – being creative and intentional – meaningful reflections and conversations with leaders to check in on how learning is going. As they finished their presentation, the other students snapped their fingers to signal approval. This was followed by Group 2's presentation on modeling craft knowledge and the art of teaching. They discussed the "power of the superhub," that is a person who has a lot of knowledge in diverse areas. Their discussion included modeling that they are relentless learners and the importance of reflecting on weaknesses so they can get better. They then discussed PLC alignment, collaborative culture, and collective inquiry. Finally, Group 3 presented on modeling personal qualities including sincerity, reliability, caring orientation, integrity, interpersonal skills, collegial nature, collaboration, and commitment to excellence.

Next, Dr. Riddick shared a short video with a negative message that turned to a hopeful message when read backwards. Students commented on it. Then she shared a video on "Fixed, Growth, and Benefit Mindset". The benefit mindset (Buchanan & Kern, 2017) builds on the research of Dweck (2012), but focuses on leadership, contribution, and the why or purpose of leadership decisions. The group discussed using this approach with teachers.

The instructor next modeled and asked the group to do a collaborative art activity. In this activity, a pair of students work on a drawing in turns, each can make a line, once that person lifts their pen from the paper, the other person continues but they can't talk to tell each other about what the drawing is going to be. The students all participated and appeared to be enjoying the activity. When the drawings were finished at 5:45 p.m., Dr. Riddick asked the students to

share how the activity made them feel. One student shared that “the activity it was fun, but in real life it would be frustrating.” Another said, “It depends on your prior knowledge. Easily able to build on prior knowledge – when no knowledge or common vision hard to connect.” Another said, “If you don’t have an ending point, you don’t know when you have arrived at your goal.” They related it to growth mindset saying that people may need to let go of control and accept that an activity may go in a different direction than what was planned.

This was followed by an individual challenge activity requiring students to fold and cut a piece of paper to copy a model. Students attempted this with varying degrees of success. One or possibly two had seen the activity before. At 6:00 p.m., Dr. Riddick debriefed the students asking questions – for example – “how did first 10 seconds differ from last ten? How many attempts, how many breaks? Did you collaborate? So often when you ask teachers to try something new they might be frustrated... did you feel better that others were having difficulty also? You have to remember that when people try new things they will feel frustrated. How can you help people not feel too frustrated?” One student suggested that you can tell people that when you first tried the challenge, it was difficult. Also ensure that each group has access to the same materials. As a school leader you want to get all those details finely tuned. How does this relate to growth mindset? We have to understand that in situations we encounter, we won’t always have all the answers immediately – important to persist, work with others. Ok to not always be right.

Everyone was very engaged and appeared to enjoy both the art activity and the paper folding/cutting challenges and the ensuing discussions, but it is difficult for an observer to know how much they will really be able to apply these experiences to their work with PLCs.

At 6:07 class dismissed for a 10 min break. After the break, Dr. Riddick introduced the role play activities that NCSU was piloting. These activities were under development by RTI. One was a very realistic scenario of a student coming to a principal wanting to organize a walkout to support the National School Walkout Day after the Parkland Florida school shooting. The second scenario was a high school English teacher coming to her principal because she was upset that a middle school teacher was assigning a book that is in the 9th grade curriculum and even using the same accompanying assignments. This scenario involved a meeting between both teachers and their principals. For the next hour, the class worked through two scenarios with a few students chosen to act out parts in each while the rest acted as observers. Comments on the first scenario indicated that the observers were attentive to the many nuances of the situation including providing opportunities for student growth, the power of body language, being aware of school board policies, and communication with the central office in any potentially controversial situation. The actors playing the second scenario downplayed the conflict written into the scenario, which may have reduced its effectiveness in training the participants to deal with conflict. The comments for the actors that played this scenario, as for the first, were very positive. However, the scenarios might have been more effective for training if the person playing the student in the first scenario and the two persons playing the teacher roles in the second scenario had maintained the more negative and combative attitudes implied in the scenarios, forcing the persons playing the principal roles to work a little harder to find a solution to the disputes.

At 7:20 p.m., the participants started work in pairs on the growth mindset worksheets. The students appeared very engaged. They were clearly already familiar with the concept of growth mindset and had done some work on appropriate growth mindset responses. After twenty

minutes, the whole class got back together to discuss the worksheets. Participants noted the importance of being specific in comments to students and being intentional, that it is ok to pause and think before responding and that growth mindset applies to work with teachers as well as students.

After this, there were some final announcements. Dr. Riddick returned some graded papers to the class, and there was an exit ticket assignment to complete.

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

All students maintained a high level of engagement throughout the class with little if any sidebar conversation or activities observed.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

Most of the activities were relevant to school leadership, particularly leadership of Professional Learning Communities and conflict resolution.

References

- Buchanan, A., & Kern, M. L. (2017). The benefit mindset: The psychology of contribution and everyday leadership. *International Journal of Wellbeing*, 7(1). 1-11.
- Dweck, C. S. (2006). *Mindset: The new psychology of success*. New York: Random House Digital, Inc..
- Morris, J. A., Brotheridge, C. M., & Urbanski, J. C. (2005). Bringing humility to leadership: Antecedents and consequences of leader humility. *Human relations*, 58(10), 1323-1350.
- Schultz, K. (2011). *On being wrong*. Talk at TED.

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: NCSU - Wake Principal Leadership Program
Observation Location: WCPSS Crossroads II
Room 1409, 110 Corning
Cary, NC 27518
Date of Observation: 2/11/2019
Time of Observation: 4:30 – 8:00 p.m.
Observer: Eleanor Hasse
Class/Activity: Data Use for School Leaders
Instructors/Facilitators: Tim Drake

Setting: The class took place in a small classroom in the Wake County Crossroads II building. The desks were arranged in 3 T-shaped islands. There was a projector with speakers and a pad of chart paper. All class materials (e.g., readings, data tables and charts) were available online during the class to students who accessed these materials frequently.

Students: 14 students were present, dressed in business casual clothing. Students appeared to have come directly from their teaching jobs. The group was the Wake County cohort of the NCSU program.

Class started on time at 4:30 p.m. with 2 students participating by technology – one was sick and one was travelling and both had made prior arrangements to participate online. Dr. Drake introduced me and then gave a short overview of the day; then he challenged the students to look at a color coded map of third grade test scores in NC. (The maps for the discussion are located at <https://cepa.stanford.edu/seda/maps>). He asked them to find something that squared with their beliefs, think of a question going around in their mind, and three important points to consider. The map showed Wake, Charlotte, and a few other counties with higher test scores. The students discussed their observations and ideas at their tables. After a short time, Dr. Drake asked students to summarize their thoughts. One student said that Wake and Charlotte were doing well – another student from down East said that didn't surprise her that these resource poor areas were doing less well and that areas with strong tourism do better. Then Dr. Drake asked, "What questions do you have?" One student said that she wanted to see racial and socio-economic data overlaid on this map. Then another student said that she wanted to know about how Polk and other counties doing well in the west were supported by legislators, policy, and resources. Another student wanted to see how these data fed into Advanced Placement course taking. Someone else pointed out discrepancies between adjoining counties. Then Dr. Drake zoomed out to see the same analysis for surrounding states. One student said it made sense that South Carolina is so low based on his cousins' experiences in South Carolina. Another student said it reminded her of the history of segregation. Next, Dr. Drake zoomed out further so that the whole country was displayed. A student said that she was concerned that California, Nevada, and New Mexico were so low and asked what the population density of counties in the west was. The group discussed the racial history leading to the observed patterns.

The next maps that the group looked at were growth maps showing student growth between 3rd and 8th grade. Some of the patterns were very different from the previous maps. For example, while North Carolina had many counties with third graders scoring above grade level, most counties showed growth rates below one grade per year between 3rd and 8th grade. At the same time, Tennessee, which had relatively low performance at third grade, showed higher growth rates between 3rd and 8th grade than the surrounding states. The class had an interesting discussion of these maps and how they were generated and what underlying educational performance they reflected. Students asked questions such as: how much flexibility do individual counties have in instruction? What tests were being used to compare different states?

The class then had a discussion of current events in Education based on some recent ED Week articles. They discussed the teacher strike in Denver and equity issues related to merit pay and that whatever merit pay was available, base pay was not keeping up with cost of living. They also discussed changes in Title One funding, standards-based grading systems, equity data, and differentiation. Dr. Drake summarized that the point is to keep up with the national context of educational issues and to understand that conversations we have locally are part of the national conversation.

Next, there was some class discussion of effective data visualizations, “A picture is worth a thousand words” illustrated by a striking Raj Chetty infographic showing income outcomes by race. The class discussed why the illustration (a moving graphic) was so effective. Dr. Drake discussed use of graphs versus tables, how attention is drawn by contrasts, and pre-attentive attributes of an image including form, color, position, and motion. He said it takes less than 500 milliseconds for the eye and brain to process pre-attentive properties of any image. Students were completely engaged as indicated by their close attention and frequent thoughtful contributions to the discussion.

Dr. Drake then talked about assignments students had done looking at visualizations in school report cards – which have been tweaked and how hue was used to show above and below grade level. Several more examples of data visualization techniques for both quantitative and qualitative data including scatterplots, heat maps, line graphs, and combinations thereof (e.g., an interesting graphic on dogs - see David McCandless Ultimate Data Dog <https://informationisbeautiful.net/visualizations/best-in-show-whats-the-top-data-dog/>) were shown and discussed. He discussed Tufte design principles for visualizations and then went back to student evaluation of new NC Report cards. He showed students’ comments (that they had made online) by name in his slide.

Class then took a 10 minute break from 5:50 p.m. to 6:00 p.m.

When the class came back, they took a few minutes to discuss and process the death that morning of a student of the school of one of the participants. Some brief discussion took place regarding both the difficult emotions and the issues for school staff in sharing this difficult news with other students and parents, dealing with student reactions and community response.

Then at 6:06 p.m., the class returned to design principles starting with bar charts (baselines must start at zero) - Dr. Drake showed a deceptive news graphic about enrollment in Obama care as an

example of how reader impressions can be distorted by poor choice of scale/baseline. He recommended against use of pie charts and said that they are ineffective except for comparing parts to whole. He reminded students of instances when pie charts are commonly used such as showing demographics and told them to be sure that the parts add up to 100% if they use a pie chart. He listed requirements for labeling charts and graphs. Then he showed a number of “YIKES” examples of what not to do - unreadable charts and “chart junk”. Then the class was asked to work in randomly assigned teams to practice representing North Carolina Teacher Working Conditions (TWC) data for “Wolfpack Elementary School” (a pseudonym for a real school) using Google Data Studio. Dr. Drake reminded students that as administrators they will get this data every two years – they will have to present it to their staff so it is important to discuss how to present and use this data. At 6:20 p.m., students moved to be in groups – then they worked to figure out Google Data Studio. One group discussed types of graphs and which data to highlight. Most of the groups discussed how to use Google Studio, which kind of chart was useful for this type of data and how to use Google Studio to make charts from the data. Dr. Drake asked students to think about how to leverage their graphs to tell a story. He reminded them to be ready to come back together by 7:00 p.m. After these reminders, the groups appeared to be looking more critically at the data. They noticed several categories in which Wolfpack ES was low and tried to understand patterns in the data. Dr. Drake walked around assisting the students.

At 7:00 p.m., he brought them back together to discuss their progress and issues he saw across groups. Then he shared a presentation by Melissa Marshall *Talk Nerdy to Me* (https://www.ted.com/speakers/melissa_marshall). He shared some insights from her NCSU presentation.

- Remember a talk is never for you
- Use slides to do something that words cannot do
- Filtered, focused
- Sharp sense of audience
 - Who are they?
 - What do they know? What do they bring?
 - Why are they here?
 - What biases do they have?

He then returned to discussing the assignment that the students were working on - analyzing the TWC data for Wolfpack Elementary school. He asked the students: “Using the TWC data, do we want to look at discrepancies between our school and the state and district or do we want to focus on particular issues or places that are low? If we were really doing this, would we want our leadership team to look at all the data and figure it out themselves?” He reminded them to think about their audience in deciding which data to focus on and why. The students then went back to working in their small groups - some were still struggling with which data to focus on.

At 7:43, he brought them together for some final summarizing, explained that there would be more time at the next class to work together on developing their presentations and made other announcements before giving an exit ticket activity and dismissing the class - most of whom continued to work for some time.

- 1. Students are actively engaged in activity.** Students were actively engaged throughout the evening with high levels of participation in discussions and all students engaged in the small group data assignment.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

- 2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.** The whole discussion on effective ways to present data was clearly tied to the responsibilities of a school leader by the assignment of analyzing school working condition data and preparing a presentation of that data for the school staff. Data analysis and interpretation at all scales from individual student to classroom, teacher, department, school, and district in the context of state, national, and international trends is clearly relevant to responsibilities of school leaders.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: NCSU: North Carolina Leadership Academy
Observation Location: BB&T Meeting Room, Friday Institute, NCSU, Raleigh NC
Date of Observation: February 25, 2019
Time of Observation: 5:00 – 8:00 pm
Observer: Janey Sturtz McMillen, Ph.D.
Class/Activity: Class session for *ELP 551: Context and Challenges of School Improvement*
Instructors/Facilitators: Dr. Fran Riddick, Instructor
Dr. Brenda Champion, Program Coordinator

This learning experience was a class session of *ELP 551: Context and Challenges of School Improvement* held at the Friday Institute at NCSU in Raleigh NC. The physical environment in which the learning experience took place was a standard meeting room that was well-lighted, clean, and modern in terms of fixtures, furnishings, etc. The room was set up with seating for small groups of four students, several white boards and podium near the front of the room, as well as overhead projector with pull down overhead screen. Nineteen Cohort II program participants took part in the learning experience. The participants included 7 males and 6 minorities, which was reflective of the demographic profile provided by the Program Director.

The class session began with a period of sharing celebrations among participants and some housekeeping items regarding upcoming assignments on equity. After this, the class viewed a video about Opportunity Culture Impact. The class was then joined by two presenters from Edgecombe County Public Schools, Sylvia Anthony-McGreachy (Wallace Grant Coordinator) and Erin Swanson (Director of Innovation), who spoke about how Opportunity Culture is implemented in Edgecombe County Schools. Both presenters were former NELA graduates. The presentation included information on the principles of opportunity cultures, results for North Carolina schools that are currently implementing opportunity cultures, definitions for some of the key roles of opportunity cultures (multi-classroom leader, expanded impact teacher, aspiring teachers and reach associates), qualifications for these key roles, and potential funding sources for implementing opportunity cultures in public schools.

After the brief (15 minute) presentation, the students were assigned a group task. The task required them to work in small groups to 1) develop an opportunity culture goal for the first year of implementation at a case study school, 2) create an opportunity culture staffing pattern for the first year that could be paid for within the given budget, and 3) explain the rationale for their choices. The groups were given 20 minutes to complete the task in small groups before rejoining the larger group for sharing and discussion. During the 20-minute group task, all students were highly involved in the discussion at each table and often called on the presenters for task clarification. In fact, they were still very involved in the task when the time limit was called. Individual groups then shared the results of their discussion with the larger group. After the larger group share, the presenters asked the students to debrief the activity in terms of why this model would be something a principal should consider. Each table was able to come up with several benefits the program would provide for the schools they are currently employed in from a principal's viewpoint. They were then asked to identify and share potential challenges to schools adopting the model.

After a short break, the class continued with a presentation by NC State Professor Dr. Valerie Faulkner on 'Equity & School Structure: Rethinking the Achievement Gap'. Some of the themes that she asked them to consider regarding the issue included 'large beats small' (a larger pool to draw from) and 'diversity beats ability' (when you have a more diverse group, you have more interesting things going on). The presentation then utilized many real-life examples to illustrate these issues in areas other than education. Given these examples, the overarching message to consider was that the issue of an achievement gap is a systems issue rather than a student performance issue. While the format of the instruction was typical of a standard graduate class, the content was engaging and thought provoking. The presenter was also entertaining and engaged students by calling on them to reflect on what was being presented and why the findings being presented might be the case. As challenging ideas/concepts were presented, she asked students to turn to the person next to them and discuss these ideas in the context of what they have experienced in schools.

In summary, the program participants were actively engaged in the learning activities with active discussion of content and relevant questions for presenters. No one appeared engaged in other activities (e.g., texting, side conversations) during the session. Based on group discussion and questions posed, participants seemed to understand the relevance of the session content to the role of being a future school administrator.

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

During the small and large group discussions, all participants took part and actively expressed ideas and opinions. During the instructor presentation, all participants were actively listening, taking notes, and asking relevant questions.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

While direct impact on the administrative role was not key to the information presented, both the presentations and activities during the session were focused on issues that current administrators must think about in terms of potential challenges (achievement gap) and supports (opportunity culture impact) in today's schools.

Resource: www.OpportunityCulture.org

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: Sandhills Principal Leadership Program
Observation Location: Cumberland County Education Resource Center
396 Elementary Dr. Fayetteville, NC 28301
Date of Observation: October 24, 2018
Time of Observation: 10:00 -11:50 a.m.
Observer: Eleanor Hasse
Class/Activity: Student Presentations
Instructors/Facilitators: Emilie Simeon

This session took place at the Cumberland County Education Resource Center in Fayetteville in a large classroom type setting, with students giving presentations with projector and screen and lectern in the front, other students sitting in rows, and instructors sitting at a table in the back. There were 13 people present including 3 SREC staff members. The interns were all professionally dressed.

When I arrived, a student presentation on changes in the law regarding communication of threats of mass violence was underway. The presentation appeared very professional and thorough with an explanation of recent changes in the law, when the changes would be in effect, what these changes would mean for administrators, how these changes would affect students, and communicating these changes to students, parents, and staff. The presenter also explained the Juvenile Justice Reinvestment Act and changes in how 16-17 year old students charged with Class H felonies would be treated. During the question period, several students asked questions. The student presenter spoke clearly and confidently and answered questions clearly. Then the staff made positive comments on the presentations. Students appeared very engaged by the presentation.

The next presentation began at 10:30 a.m. and was on freedom of speech and students' first amendment rights. The student presenter discussed the law, district policies, and what administrators are allowed to regulate. He said, "As administrators, we can't say whatever we want wherever we want. We can't prohibit speech simply because it makes us uncomfortable or we do not like what students or faculty have to say." He discussed a recent case that had been in the news regarding a student wearing a Trump t-shirt to a football game in Harnett County as an example of why administrators need to understand laws and policies. He gave a list of what school administrators can regulate and explained that protest is a recognized form of protected speech, discussing some past case precedents. He discussed the importance of balancing speech rights, student safety, and using teachable moments. He also discussed when teachers as employees have free speech rights as private citizens. The audience appeared very engaged in the presentation and an interesting discussion of related issues (including impartiality and controlling content of student and school publications) followed from the presentation. The SREC staff complimented the student presenter on adding personal connections and applications to school leadership to his presentation.

From 11:03 to 11:15, there was a break with snacks provided.

After the break, the next student presentation was about laws (or the lack thereof), policies, and issues related to PTAs, PTOs, and booster clubs. The presenter defined booster clubs as any organization that raises funds for another organization – in schools these are usually related to sports and the arts – and explains the importance of these organizations to schools and their communities. The speaker made clear the issues that can arise and steps that principals should take to avoid these issues. She explained that principals must know district policies, Title IX, financial best practices, and school and organization bylaws. She recommended that the principal appoint a middleman such as the band director or athletic director to serve on the board of directors of any booster club to represent the school and reflect the school administration's vision and concerns. She discussed the duty of due diligence and making sure booster clubs are equitable for all students and that financial aspects are transparent and have adequate safeguards against embezzlement. The cases and examples brought out some typical problems and conflicts related to booster clubs that administrators need to be prepared to avoid or resolve. Discussion also touched on issues regarding ownership of supplies that teachers raise funds for – e.g. through organizations such as Donors Choose or through attendance at a workshop. The student presenter spoke clearly, although her slides (white text on light blue background) were hard to read. The students listened intently, appearing highly engaged, and the topic was clearly very relevant to school leaders with a slight emphasis on high school leadership. Faculty members were again complementary.

At 11:45, the presentation finished and an off-site lunch break ensued.

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

All students maintained a high level of engagement throughout the class with little if any sidebar conversation or activities observed.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

The legal topics and local examples were very relevant to the types of challenges school administrators face.

**--TRANSFORMING PRINCIPAL PREPARATION PROGRAM
OBSERVATION PROTOCOL**

Institution/Program: SREC
Observation Location: Moore County Schools, 5277 Hwy. 15-501 South,
Carthage, North Carolina 28327
Date of Observation: November 28, 2018
Time of Observation: 9:00am-4:00pm
Observer: Pamela Lovin
Class/Activity: Synergy
Instructors/Facilitators: Dr. Emilie Simeon,
Dr. George Norris, Executive Coach
Dr. Ashely Hinson, Executive Coach
Jenny Purvis, Principal, North Moore High School

The Moore County Schools Administration Offices, located on Highway 15-501 South in Carthage, North Carolina, were the location of this fall observation of Synergy. The participants met in the Board of Education Boardroom with tables and chairs set up for student presentation and whole/small group discussion. Ten participants were in attendance, in addition to Dr. Simeon, two executive coaches and the Moore County School Superintendent. (One participant was unable to attend because of a family illness.) Participants were on time, prepared, and dressed professionally. Light refreshments were available in the back of the room.

To begin the day, participants shared professional and personal celebrations and difficulties. Dr. Bob Grimesey, Moore County Superintendent, welcomed the participants to the county and shared his journey to becoming the Superintendent. He gave a preview of the afternoon PLC presentation by Jenny Purvis, a high school principal in the county.

Dr. George Norris led a book discussion on School Leadership That Works: From Research to Results. Earlier this semester, the cohort read the book and came prepared for a discussion today. Dr. Norris divided the cohort into four groups and gave each a different topic to discuss from the book. For example, one group was charged to identify the eight responsibilities that principals must personally possess providing examples from past experiences while another group discussed the differences in transformational and transactional leadership. Participants used poster-sized post-it notes to create a visual for their presentation. During the preparation discussions, the group looking at first and second order change referenced specific pages from the notes they took before today's meeting. One group discussed practical examples of principal leadership such as staff and students wearing IDs on campus and how this related to first and second order change.

After discussing topics and preparing visuals, each group posted the visual and led a discussion of their topic. The other participants gathered around, commented, and asked questions. Participants explained how the book addressed the topics assigned and provided practical examples from school administration activities. To facilitate cohort comradery, cohort members and the executive coaches ate lunch at the PknPig.

After lunch, Jenny Purvis, Principal at North Moore High School, presented *Establishing, Using, and Monitoring Effective PLCs*; Ms. Purvis explained that as educators “You have got to meet the children where they are and take them where they need to go. As a school level administrator we too must meet our staff where they are and take them where they need to go.” The ultimate goal of a PLC is to use data to move individual student achievement forward and in order for the PLC to be effective staff must be vulnerable and honestly share their deficiencies. One way Ms. Purvis demonstrates this transparency is by sharing her evaluation data with staff so that they can give her suggestions to improve. The cohort listened attentively and asked questions at the end of the presentation.

The last activity of the day was the monthly team meeting for the executive coaches and cohort members. Each executive coach sat around a table to review CVs and resumes and participants peer reviewed each other’s materials. Before leaving, the SREC leadership discussed the importance of doing a variety of activities including teacher evaluations with their mentor principals.

Based on observation, rate level of agreement with each statement below:

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

Participants demonstrated strong connections as a cohort. The participants worked effortlessly and effectively with each other. In small groups and whole group discussions, the members listened attentively and offered thoughtful comments. Overall, the participants were engaged throughout the day.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

In the first activity, address by school superintendent, the participants were able to learn from district leadership. The second activity, book analysis, provided opportunities for the participants to work collaboratively to analyze and connect the book to real world situations. During the small group presentations, the participants used the safe place of the cohort to critically analyze the materials each group presented. The third activity, Ms. Purvis, provided real world expertise in effectively leading PLCs that make a difference for students. The last activity, team meeting, allowed participants to peer-review resumes and have the coaches also provide comments.

SREC Leadership: Principal Development Program
Agenda
November 28, 2018 9:00 AM – 4:00 PM
Location: Moore County Schools

9:00 – 9:15	Focus Protocol Norms Review	Dr. Hinson
9:15 – 11:30	<i>School Leadership That Works: From Research to Results (Marzano)</i> Dr. George Norris	
11:30-12:45	Lunch	
12:45-2:45	<i>Establishing, Using, and Monitoring Effective PLCs</i> Mrs. Jenny Purvis, Principal, North Moore High School	
2:45 – 3:00	Break	
3:00 – 3:30	<i>Team Time: CV and Resume Feedback</i>	Dr. Hinson
3:30	<i>Legal Scenarios</i>	
4:00	Announcements and Adjourn	Dr. Norris

November Teams

Team 1

**Lauren Lutz
Daniel DuLany
Selena McNeil
Katie Morris**

Team 2

**Angie Beachum
Katherine Hyatt
Shaunica Titus**

Team 3

**Vondia Caple
Quame Patterson
Christian Godwin
Gerald Puckett**

Group Norms

Norms are important to group interaction and focus.

When members respect the norms, deeper learning occurs.

The group will monitor its own members for optimal focus and success.

What happens in Synergy stays in Synergy!

- **Be on time and notify late arrival.**
- **Be a prepared and active participant.**
- **Be respectful and listen objectively.**
- **Be on time always!**
- **Dress professionally**
- **Think like a principal.**
- **Value everyone's contributions.**
- **Share leadership: Give everyone a chance to lead.**
- **Make timelines a priority.**
- **Take breaks as needed.**
- **Rotate snacks.**
- **Keep an open mind.**
- **Allow members to speak without interruption.**
- **Speak without fear.**
- **Use shared common area for all documents.**
- **Avoid sidebar conversations.**
- **Be cognizant of non-verbal communication.**
- **Stay focused on the topic and task.**
- **Use technology appropriately. (phone and email)**
- **Have fun !!!**

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: SREC/University of North Carolina at Greensboro
Observation Location: Sandhills Community College, 1110 E. Central Avenue, Raeford, North Carolina
Date of Observation: February 11, 2019
Time of Observation: 5:15p.m.-8:00p.m.
Observer: Pamela Lovin
Class/Activity: EDNS 5060 Leveraging Stakeholders' Involvement for School Improvement
Instructors/Facilitators: Dr. Emilie Simeon
Dr. Ashley Hinson, Executive Coach

Sandhills Community College, located in Raeford, North Carolina, was the location of this spring observation of EDNS 5060, Leveraging Stakeholders' Involvement for School Improvement. Participants met in a classroom with tables and chairs set up in a U formation to allow students to view the projector and encourage whole group discussion. Eleven participants were in attendance in addition to the course facilitator and an executive coach. The observation occurred in the evening after school. Dr. Simeon welcomed the participants as they arrived, and Dr. Hinson shook hands with each participant. Participants were on time and professionally dressed.

To begin class, Dr. Simeon thanked the participants for being proactive and asking questions about a recent assignment. She introduced the Cultural Newsletter assignment. Participants received a paper copy of the instructions and the instructor indicated that the assignment would be added to CANVAS after class. When participants bring the assignment to class, they will participate in a gallery walk to learn from each other. The final product will be uploaded to TASKSTREAM. The instructor and executive coach shared examples of school culture clashes. One example involved renaming a school after a prominent African-American coach and the other example involved hanging a portrait in the hall of a former principal.

The instructor transitioned to the article "Five Things Everyone Should Know About Public Relations" by Robert Wyonne. The participants had read the article and answered questions earlier in the week. The instructor led a discussion emphasizing the importance of using social media to improve and maintain a school's reputation. To enrich participant interactions, the instructor printed over twenty quotes about public relations (one quote per page) and gave each participant at least two quotes. The participants read the quotes and reflected on them. The participants paired up and shared the quotes and what it meant to them. Participants continued to rotate partners until they had spoken with all the other participants. The executive coach reminded the participants to delegate responsibilities for social media and website to others at the school and warns participants to not take on too much responsibility but be willing to delegate.

The cohort then discussed a viral video that had recently made the news about special education teachers in West Virginia. The teachers had been recorded without their knowledge belittling students and the video was made public. The participants were reminded that North Carolina is a

one-party consent law but conclusions about how this would be handled in North Carolina should not be concluded without discussing the situation with a school lawyer.

The class lecture then shifted with a discussion about the Board of Education. The instructor explained that in North Carolina the Board of Education cannot levy taxes but is simply responsible to educate the children. The superintendent of public instruction is the secretary of the Board of Education who serves as an educational leader and diplomat. The instructor showed the legislation that lists the duties of the principal noting that only one line of the initial legislation addressed improving instruction. (But principal's responsibilities were expanded in 2014.)

The instructor provided handouts to the participants. The group read a discipline scenario and answered questions at the bottom of the sheet. The scenario had to do with two students fighting, and one of the fighting students was related to an administrator. In a whole group discussion, several participants indicated that the discipline was not unfair. Others pointed out that the discipline should have been handed off to another school-level administrator or an associate superintendent. Participants realized that perception is very important and policy must be referenced and followed. The instructor asked participants what should be done as a follow-up. Placing the students in separate classes or even separate schools were suggested. One pointed out the need to have the students meet with a counselor while another participant suggested students be involved in restorative justice.

Based on observation, rate level of agreement with each statement below:

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

Students came to class prepared for the class discussion. The students participated in the whole class discussions and shared personal experiences. Students listened intently to the instructor and coach as they shared real-world examples from their careers, principals and superintendent. In partnerships, students shared ideas and remained on task.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

The experiences shared by the instructor and coach provided real-world context for the materials discussed in the class. Students had the opportunity to share reflections on the public relations quotes. Students participated in a discussion of school leadership led by the instructor.

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: SREC/University of North Carolina at Greensboro
Observation Location: Sandhills Community College, 1110 E. Central Avenue, Raeford, North Carolina
Date of Observation: March 18, 2019
Time of Observation: 5:40p.m.-8:20p.m.
Observer: Pamela Lovin
Class/Activity: EDNL 5860 Legal Aspects of Educational Leadership
Instructors/Facilitators: Dr. Emilie Simeon
Dr. Jim Simeon

Sandhills Community College, located in Raeford, North Carolina, was the location of this spring observation of EDNS 5860, Legal Aspects of Educational Leadership. Participants met in a classroom with tables and chairs set up in a U formation to allow students to view the project and encourage whole group discussion. Twelve participants were in attendance in addition to the course facilitator and guest speaker. The observation occurred in the evening after school. This observer arrived 20 minutes after class started. Cohort members were sharing what had been happening at their schools. In addition, Dr. Emilie Simeon reviewed with the cohort what portion of the MSA course work the SREC program paid for and checked to see what courses the cohort members plan to take in the summer.

Dr. Jim Simeon, executive director of SREC and former principal and superintendent, was the guest speaker. He charged the cohort to “Do it [your job] right in the first location [school] so that you can show that you have done it right in the second location [courtroom]” Eight “Can a teacher be dismissed for...” statements were projected. Dr. Simeon facilitated a discussion of the statements in a case study format. Cohort members answered the prompt and Dr. Simeon provided the real world context for the prompt. One prompt asked: Can a teacher be dismissed for having a social conversation with a student on social media? Cohort members stated that this was not a fireable offense but depended on the county policies. Dr. Simeon explained that a teacher was fired that week for this offense. The person was fired because the teacher violated the Board of Education (BOE) policies. Remember that the BOE policy carries the same weight as the law, thus it is essential that you know the BOE policies. The age of the students is not a factor if the BOE policy states that no relation with a student is allowed. Cohort members actively participated in the discussion and listened intently to Dr. Simeon’s examples.

Dr. J. Simeon moved to a discussion of the legal standards to improve teacher performance or to support termination decisions. He projected the 15 grounds for dismissing teachers. Cohort members discussed difficult situations of which they had personal knowledge. The discussion included how to handle reduction in force (RIF). Dr. E. Simeon indicated the importance of adhering to the RIF procedures as identified by the central office.

Dr. J. Simeon emphasized the importance of knowing the laws, regulations and court decisions. He suggested that the cohort members stay abreast of the law by subscribing to a legal weekly or monthly publication and joining professional organizations such as NCPAPA.

Since the Code of Ethics refers to an educator, Dr. J. Simeon explained that he referred to all who worked in his schools as an educator—“whether they educated as cleaning or greeting people or teaching Spanish...all are held to these same standards.” Other key policies discussed were social media usage, punishment, grading practices, and money-handling. Dr. E. Simeon asked the members: What law would you change or is there one that you would change? The cohort members presented several difficult situations to Dr. J. Simeon and asked for his opinions. To end the class session, Dr. E. Simeon discussed the upcoming assignments.

Based on observation, rate level of agreement with each statement below:

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

Students came to class prepared for the class. The students participated in the whole class discussions and asked questions. Students listened intently to the instructor and guest speaker and shared real-world examples from their careers and current legal situations.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

The eight statements presented by the guest speaker allowed students to assume the role of administrator and make the decision whether to dismiss the teacher in the scenario. Real world experiences of the teacher and speaker were shared with the cohort members throughout the class.

**TRANSFORMING PRINCIPAL PREPARATION PROGRAM
OBSERVATION PROTOCOL**

Institution/Program: UNCG PPEERS
Observation Location: Gateway University Research Park North, 5900 Summit Ave.,
Brown Summit, North Carolina
Date of Observation: November 6, 2018
Time of Observation: 5:00pm-8:00pm
Observer: Pamela Lovin
Class/Activity: ELC 660 The School Principalship
ELC 670 Leadership for Teaching and Learning
Instructors/Facilitators: Dr. Mark Rumley
Dr. Kimberly Hewitt

The SERVE Center, located on the Gateway University Research Park North Campus in Brown Summit, North Carolina, was the location of this fall observation of ELC 660, The School Principalship, and ELC 670, Leadership for Teaching and Learning. The participants met in a large conference room with tables and chairs set up in a U formation to allow students to view the project and encourage whole group discussion. Twenty-two participants were in attendance in addition to the two course facilitators. The observation occurred on Election Day and several of the participants had come from workdays while others had been teaching school.

To begin ELC 660, Dr. Rumley reviewed NC School Executive Standard 7: Micro-Political Leadership and explained how the small group online simulation activity, Ed Leadership SIMS-Board Relations Simulation, would address this standard. During the simulation, one member of the team would serve as the superintendent of the school system and another as the note taker while other team members would help the superintendent process the pros and cons of each decision. When a decision was to be made during the simulation, the superintendent would need to evaluate the strengths and weaknesses of each choice, make an initial decision and debate the pros and cons with other group members. After reaching consensus, the superintendent would make the final decision and continue with the simulation. The note taker would capture the group discussion focusing on the impacted relationships, political implications, impacts on external environment/stakeholders, and overall assessment of leadership qualities and traits. The note taker would also share the group's findings with the whole group. If time allowed, the groups were encouraged to try different decision pathways. The class split into 5 groups and met in a variety of locations throughout the SERVE complex.

This observer watched one group's discussion as they completed the simulation for 40 minutes. During the simulation, all members of the group participated and shared their opinions. Some of the decisions were very difficult and had clear political implications. One participant pushed the other group members, "Does everyone actually have the backbone to make that decision?" Another participant questioned, "Do the rules apply to everyone? Then we must choose 1." One of the members had a similar incident take place at their school and the group discussed what happened in real life versus the simulation. At times the participants did not like any of the choices provided and fashioned an alternate choice they would choose if they were allowed. Dr.

Rumley stopped by several times checking on the group's progress, answering questions and challenging the group's choices.

The small groups reconvened in the large conference room. Because of time constraints, individual small groups were not able to debrief and Dr. Rumley led a whole group discussion instead. Dr. Rumley challenged the group, based on their preferred leadership style, to reflect on whether or not they would have operated within that style or been compelled to operate in a very different style had they been the school-based leader in the simulation. The politics in the narrative were discussed and some questioned if the presented scenario was even a school issue given it did not take place on campus. To finish the class session, upcoming assignments were reviewed, and several students took pictures of the projected assignments for easy access.

Dr. Hewitt asked participants to use break time to check in on their goals with their supportive friend. A document in Google Drive was available to guide this goals discussion. Also during break, one group of participants asked classmates to complete a survey for the Elements of Instructional Leadership group presentation at the end of class. Once ELC 670 began, participants were reminded of the nuts and bolts of the class and encouraged to share celebrations with the whole class.

The class divided into small groups to do an equity audit. The groups analyzed the Granville County Schools and Granville Central High School (GCHS) discipline data and identified the most pressing equity issues. This observer watched one group who met in a small conference room. One member of the small group wanted to look at the equity textbook, Using Equity Audits to Create Equitable and Excellent Schools by Srkla, McKenzie, and Scheurich, while the rest of the members separated the charts for analysis. The group initially focused on the Early College data, but then moved back to GCHS. The group noted a difference in Hispanic female discipline compared to the white males. The small groups reconvened in the larger conference room and Dr. Hewitt facilitated the whole group discussion and provided a list of questions to consider in the Google Drive. One participant had worked in the district and offered background information on the dips in the data. Dr. Hewitt encouraged participants to connect this data analysis to the book Blindspot: Hidden Biases of Good People by Banaji. To complete the discussion, the participants reviewed strategies they used to address the data analysis. (The observer left at this time, but the class continued with a small group of students presenting Elements in Instructional Leadership group project.)

Based on observation, rate level of agreement with each statement below:

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

Participants appeared very engaged in paired, small, and whole group activities. Participants listened attentively, asked thoughtful questions, and added concise comments to the student and instructor led discussions. Group discussions were lively and on topic. Overall, the participants were energetic and engaged.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

The first activity, online simulation, was designed to simulate the experience of serving in a superintendent role and dealing with a crisis that occurred off campus, but involved a school-level administrator. The activity allowed participants to practice negotiating micro-politics in a safe and collaborative space. It also allowed the participants to view a serious incident involving a school-level administrator from a different position. The second activity, goals analysis, was a short but effective method of reminding participants to maintain goals while actively seeking the advice of others. The third activity, the equity audit, allowed participants to look at real data from a school system and collaboratively analyze data. All of these assignments are reflective of the real-world activities that the participants will be expected to perform as school-level administrators.

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: UNCG PPEERS
Observation Location: Gateway Education Center, Greensboro NC
Date of Observation: November 13, 2018
Time of Observation: 5:00-8:30pm
Observer: Janey Sturtz McMillen
Class/Activity: ELC 660 and ELC 670 (Week 13 class)
Instructors/Facilitators: Dr. Mark Rumley & Dr. Kimberly Kappler Hewitt

This observation took place at the SERVE Center within the Gateway Education Center in Greensboro NC. The physical environment in which the learning experience occurred was one of the SERVE Center's meeting rooms. It was well-lighted, clean, and modern in terms of fixtures, furnishings, etc. It was adequately supplied with tables (able to seat 2-4 students) and chairs set up in a large U-shape so that all students could see one another as well as the projection screen and instructor. In attendance were 21 of the 22 students in the cohort as one individual was absent due to illness.

The first part of the class session (ELC 660) was led by Dr. Rumley and used an online simulation activity to allow the students to experience micro-politics and administration, particularly the sort of consequences that can occur based on an individual's actions. The lens for viewing the activity was the impact of consequences as a result of decision-making. This was an extension from an activity conducted in the previous class. For this activity, there were assigned groups with administrator, note-taker, and other roles such as Board member, parent, etc. for each group. The simulation was located at:

<https://www.edsimspd.com/TEMP100818/boardrelations/>. Groups were to go through the simulation and choose a different pathway than was chosen the previous week, with one individual filling the role of the administrator/superintendent and another serving as note-taker.

The administrator's tasks were: 1) Examine all potential choices each time a decision is to be made, 2) With the initial choice, choose a different pathway (2nd choice or least preferred choice) from the previous week, 3) Facilitate a discussion about each choice, debating its possible merits and/or potential pitfalls, using the question sheet to guide dialogue (Questions on sheet: What are the strengths and weaknesses of each choice? What choice do you feel is least good/effective? Make an argument FOR that choice. What choice(s) is/are missing that you might have made in this class? How do your different contexts inform your preferred choices?) and 4) Reach consensus among group members to input decisions along the way.

The note-taker's task was to capture answers throughout the simulation to the questions: 1) Which choices were the most difficult to agree on? 2) What aspects of the scenario generated the most interesting discussions? 3) What were some key take-aways from your discussion and from this simulation? The note-taker was to then work with group members following the simulation to create a short (10 minute) in-class presentation. The presentation was to consider

relationships, politics, impacts upon external stakeholders, and other leadership-based take-aways that resulted from the work as a group.

This observer watched one group's work session as they went through the simulation several times, choosing different pathways each time to see what choices changed their "credibility" score. They also discussed the potential options and made note of situations in which they felt none of the options were good or a combination of the options that would be best. This was included in the group presentation so that the larger group could weigh in on it. The group presentations with whole group discussion were debriefing sessions discussing the relationships, politics, effects upon internal and external stakeholders, effects upon school/district culture, consequences of decisions made, and other take-aways from the simulation.

The second part of the class session (ELC 670) was led by Dr. Hewitt and began with general program and class specific announcements as well as check-ins with individual group members regarding challenges or celebrations they might be experiencing. There was a presentation of clarifying terms (such as scaffolding, accountable talk, mathematical modeling, scientific modeling) to be sure that everyone was using the same definition in assessing example instructional materials. The instruction then shifted to having the students reflect on the definitions and how they have seen the concepts used in schools. There was also discussion among the group of how each of these concepts could be introduced to teachers from the perspective of serving as an instructional leader. After this, the class returned to a previous assignment regarding review and critique of an example instructional unit on the cycle of corn and examined it through the lens of the concepts covered and what the appropriate feedback would be to give a teacher using this unit from the perspective of instructional leader. At the end of class, each student was to complete an exit ticket to demonstrate understanding of concepts covered. The discussions among the group before class and during breaks also showed the level of cohort building has been effective in creating a cohesive and supportive group.

GrantProse Evaluation Rubric of Observation

Based on observation, rate level of agreement with each statement below:

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

Students seemed very engaged in the learning experience activities, appearing attentive to both group and instructor presentations, and asking appropriate questions. No one appeared engaged in other activities (e.g., texting, side conversations). Group discussions were lively and on topic. Overall, there was high energy and engagement from students.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

The first activity was designed to simulate the experience of serving in an administrative role and dealing with crises as they arise, while maintaining an environment of support for staff and negotiating micro-politics. The second activity was designed to help participants transition from the role of teacher to instructional leader providing feedback to teachers on the adequacy of lesson plans in meeting developmentally and educationally appropriate instructional goals. Both of these assignments are reflective of the real world work participants will be expected to perform in an administrative role.

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: UNC-G PPEERS
Observation Location: Gateway University Research Park (North Campus)
Dixon Building
5900 Summit Avenue
Browns Summit, NC 27214
Date of Observation: 2/5/2019
Time of Observation: 5:00 p.m. – 7:50 p.m. (7:50 was in the GrantProse schedule, the agenda for evening says 8:20 and class went till 8:35)
Observer: Eleanor Hasse
Class/Activity: ELC 694 Cultural and Political Dimensions of Schooling
Instructors/Facilitators: Dr. Tracey Lewis

This class took place at the SERVE Center in the Gateway University Research Park. The room had a projector and screen. The tables in the classroom were pushed together so that the students could sit in groups. The instructor, Dr. Tracey Lewis, had arranged her materials near the front of the classroom and was setting up the technology for her presentation when I arrived. The students seemed to all already be present and were setting up their computers and talking when I arrived at 4:45 p.m. There were 22 students present. Most were dressed in business casual or casual clothing. They had just received their internship assignments and in the time before class started, Dr. Lewis walked around and checked in with each student. There appeared to be a high level of camaraderie and support in the group.

Class started on time at 5:00 p.m. The opening PowerPoint slide title was: “Cultural and Political Dimensions of Teaching - Day 2: Feb 5, 2019”. Students became quiet immediately when Dr. Lewis started class with review of the Learning Agreement and Learning Environment for the class. She then reviewed and had students reflect on the previous class’s topics, emphasizing the impact of self-awareness in working with others. Students shared some reflections including insights into the need to work with different people rather than always choosing to work with people with which one feels comfortable.

Dr. Lewis then walked students through the agenda and learning targets for this class period and had students take an on-line pre-assessment of their understanding of key terms related to cultural proficiency in the assigned reading (Terrell and Lindsey, 2018). She then began an interactive lecture discussing culture in terms of both individual and organizational (school) culture. The lecture was accompanied by a PowerPoint presentation that was available to the students through their online classroom. The focus was on the deeper unseen and possibly unconscious elements of culture that shape beliefs, values, and behavior. Dr. Lewis emphasized that race, religion, and ethnicity are only part of culture – important also to consider age, gender, sexual orientation, etc. For an organization, the surface culture is the way we do things around here – where we park, what time we get to school, what people wear, and who people sit with at faculty meetings. The deeper culture includes beliefs about students, learning, expectations, and the school’s mission. Students appeared very engaged. When the videos embedded in the presentation did not work, Dr. Lewis moved on quickly. Dr. Lewis asked students to share ways

in which their schools do or do not respect students' cultures. One student shared that her school has a very Christian culture (prayer, holiday decorations, songs), which may not be welcoming to others. Another student shared how the teachers on her team realized that some students who were fasting at Ramadan needed to be allowed not to go to the cafeteria for lunch while they were fasting. Her team arranged for these students to stay in classrooms with off-duty teachers during lunch.

Dr. Lewis said, "kudos to her and her group for respecting students' needs." She discussed the need for family involvement to get the best performance from students. Then, she talked about the iceberg concept of culture anthropologist, Edward T. Hall, distinguishing between surface or observable culture and deep culture with unconscious and difficult to observe attitudes and values such as concepts of time, justice, spiritual beliefs. The video presentation started to work so she showed the class a short video on this idea. Then the class watched another short video of Geneva Gay (Professor at the University of Washington and an expert on culturally responsive teaching) distinguishing between visible and invisible or tangible and intangible culture. She said that the visible tangible culture includes the physical – art, music, food etc., but the intangible is more important and includes beliefs, religion, and outlook. Then Dr. Lewis asked students to take out their KWL (Know, Want to Know, and Learned) charts, reflect for two minutes on what they have already learned and add to their KWL charts. Students all had these charts and immediately got to work. Then Dr. Lewis asked them to do a partner sharing activity. Students appeared to be very engaged. After the partner sharing, Dr. Lewis asked them to share out with the whole group. Students engaged in a discussion. The following were some of the comments in this discussion.

- When we have culture fairs we are just skimming the surface – might be ok at elementary, but for older kids we should go deeper.
- Sometimes cultural things might be unhealthy – you want to respect, but you might want to break that cycle – for example Hispanic students drinking early or dropping out to care for family.
- Some cultures might think we are disgusting - for example other cultures might think the way Americans kiss our dogs is disgusting.
- What is served in cafeteria during Lent may reflect cultural sensitivity or lack of cultural sensitivity.
- Cultural sensitivity at school might upset some parents. When the dominant group makes concessions that may be upsetting to some people.
- Great question – how do you know someone's culture – you have to be willing to take the time to have those conversations and listen.
- What do we sacrifice culturally in order to keep order?
- How do you not diminish students' culture while teaching them about the real world where they need to get a job in the dominant culture (someone brings up the recent controversy at Duke in which a Dean asked Chinese students not to speak Chinese in public as an example of this issue)?
- A student shared an example of a situation with a student in which she thought the student was being disrespectful, but checked with the student. Seek first to understand – don't jump to conclusions. In our culture, we automatically interpret when there may be a cultural difference. Important to have those conversations. You cannot put a price tag on the time you spend building relationships.

- At end of the day, what matters most is how people feel – if they do not feel like you respect them etc. on a deeper level than you are missing an opportunity to get to know them and them to know you.

Then Dr. Lewis moved the students to a jigsaw activity, assigning groups and group leaders - two groups of five and three groups of four students. She used color cards to assign students to home group and expert group for the activity, which involved processing the readings. Then some groups went to another room to work. They worked for about 15 minutes and then reorganized to share out from the expert groups to the home groups. In the groups that I observed, all group members were actively engaged in the discussions.

After a dinner break of about 20 minutes, the students came back together for more discussion of culture and cultural proficiency.

At 8:15 p.m., Dr. Lewis had students discuss a scenario involving a school secretary loudly reprimanding a student in a crowded office for not bringing in their picture money. There was a lot of discussion of the ramifications of this scenario - the duty to protect students and not allow shaming, whether the secretary is enforcing a school policy, how the administrator should intervene with the secretary and work to change the policy, the role of the students in this class who will not have power in their internships, the importance of the relationship with the school secretary, the proper procedures to follow if the school secretary persists in publicly shaming students after being warned, etc.

Dr. Lewis began to wrap up by asking students to leave their KWL charts on their tables for her review. She would return these during the next class. She went back to the learning target and did a thumbs up/down assessment to check on student self-assessment. She briefly mentioned expectations and due dates for upcoming assignments and class finished up around 8:35.

1. **Students are actively engaged in the activity.** Students participated actively in all aspects of the various activities, contributing to discussions, taking notes, working in groups etc.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

2. **Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.** The material on culture and cultural proficiency was related to developing relationships with staff and students and to developing awareness of influences of student cultures on school culture and learning.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: UNCG: Principal Preparation for Excellence and Equity in Rural Schools (PEERS)
Observation Location: Gateway Research North Campus, UNCG, Greensboro NC
Date of Observation: February 26, 2019
Time of Observation: 5:00 – 8:30 pm
Observer: Janey Sturtz McMillen, Ph.D.
Class/Activity: Class session for *ELC 688: Leadership of Rural Schools*
Instructors/Facilitators: Dr. Jill Reinhardt, Instructor

This learning experience was a class session of *ELC 688: Leadership of Rural Schools* held at the SERVE Center at UNCG's Gateway Research North Campus in Greensboro NC. The physical environment in which the learning experience took place was a standard meeting room that was well-lighted, clean, and modern in terms of fixtures, furnishings, etc. The room set up included seating for groups of four students at small tables and one long rectangular table seating 10 students, several white boards, and projector with pull down overhead screen at the front of the room. Twenty-one Cohort II program participants took part in the learning experience. The participants included 5 males and 2 minorities, which was reflective of the demographic profile provided by the Program Director.

The evening began with a quick review of the course objectives and a reminder that the students were currently halfway through the course. With this in mind, the students were asked to reflect on how far they were in the course in terms of those objectives. They had completed the first two objectives and were now ready to move onto the third objective (distributive leadership) beginning with the next class meeting. The class was then engaged in a 15-20 minute activity in which each student was given a slip of paper with a topic prompt and instructed to move around the room, partnering with other students, to share information learned in their interviews with district leaders or principals (which they had summarized and which identified challenges that need to be addressed) based on the prompts. After each partner had a chance to share, the pair raised their hands to identify themselves as ready to pair with other students and share using their prompts. These discussions were engaged, lively, and on topic, identifying challenging issues at the district and school level. After the paired discussions, the large group was asked to share individual favorite responses to the prompts after having heard many different responses in the smaller pair-share.

The next activity was related to an ongoing case study (from an article) the class was using to complete some group assignments. After receiving the evening's grouping (which students would work together in which groups), the students moved to sit in these groups and were then asked to complete an activity in which they were to: 1) identify key issues that the case study principal is facing, 2) prioritize actionable concerns, 3) strategize action steps that the principal could follow, distinguishing between short-term responses and long-term strategies (possibly technical vs. adaptive change), and 4) use the texts (*Adaptive Challenges*, *Leading Change in Your School*, and *The Human Side of Change*) to identify strategies, while citing text to support their answers. One member of each group was tasked with recording the teams' answers to the items and sharing the document with the instructor so that all of the answers across groups could be charted on the overhead screen. During this 30 minute activity, students were highly engaged and on task. At the end of this period, each group was given two minutes to share their answers

to these questions. After the group share, each student was asked to spend two minutes writing a reflection on what decision s/he would make as the principal and why.

After a short break, the students broke into two groups to discuss individually assigned chapters from the Reeves and Evans books (see Resources below) for 15 minutes. The groups then had each student share an overview of what was covered in his or her assigned chapters and relate it to previously covered content. Afterwards, students returned to the full class and were divided into small groups and tasked with creating posters demonstrating shared concepts and themes from the two books across the assigned chapters. Each group then shared their poster and its contents with the full class.

The last activity of the evening was for students to break into small groups and discuss their current progress on their assigned capstone projects. Each group member shared with the others and received feedback and suggestions on additional resources that might be accessed as the student continued to work on the project going forward.

In summary, the program participants were highly engaged in the learning activities during the session as demonstrated by active discussion of the content presented, relevant questions for the instructor, and absence of off track activities (e.g., texting, side conversations). Based on small and large group discussions and questions posed, participants seemed to understand the relevance and importance of the session content to the role of being a future school administrator.

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

During the small and large group discussions, all students took part and actively expressed ideas and opinions. During other teams' presentation(s), all students were actively listening, taking notes, and asking relevant questions.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

All of the learning activities and discussions were very focused on application of the relevant leadership concepts to the "real world" of being an administrator in today's schools in terms of both the challenges they address and the supports they provide.

Resources:

Heifetz, R. A., Linsky, M., & Grashow, A. (2009). *The Practice of Adaptive Leadership: Tools and Tactics for Changing Your Organization and the World*. Harvard Business Press.

Reeves, D. B. (2013). *Leading Change in Your School: How to Conquer Myths, Build Commitment, and Get Results*. ASCD.

Galpin, T. J. (1996). *The Human Side of Change: A Practical Guide to Organization Redesign*. Jossey-Bass.

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: WCU NCSELP North Carolina
Observation Location: WCU at Biltmore Park
 28 Schenck Pkwy #100, Asheville, NC 28803
Date of Observation: December 1, 2018
Time of Observation: 9:45am-4:00pm
Observer: Pamela Lovin
Class/Activity: EDL 876 Ethics in Educational Leadership
 EDL 793 Topics in Educational Leadership: Leadership for Equity and Social Justice
Instructors/Facilitators: Dr. Jess Weiler, Assistant Professor and Program Director for Educational Leadership program, instructor
 Dr. Kofi Lomotey, Bardo Distinguished Professor, instructor

Western Carolina University at Biltmore Park Town Square was the location of the fall observation of EDL 876 Ethics in Educational Leadership and EDL 793 Topics in Educational Leadership: Leadership for Equity and Social Justice. This hybrid class met online and four times in person during the semester. The participants met in Room 338 with tables set up in rows. Chairs were arranged in groups of two or four to facilitate discussion. Thirty-one participants (including the ten TPP Scholars) were in attendance. (This doctoral-level class is included in the MSA program for TPP Scholars.) Twenty-two participants were in attendance in addition to the two course facilitators. The observation occurred during the last face-to-face meeting. Participants' dress ranged from professional to casual during the Saturday class meeting.

To open a discussion on poverty, Dr. Lomotey began the class by showing "Wealth Inequality in the US" by The Daily Conversation (YouTube <https://www.youtube.com/watch?v=JTj9AcwkaKM>). One TPP scholar had shown the same video to their civics class earlier that week. One student noted that real monetary values on the graph would help lend more perspective. A doctoral student, who was also an instructor at WCU, was running a poverty simulation in their department. Another participant suggested playing *Spent* from the Urban Ministries of Durham (Several of the doctoral students are from the Chapel Hill area).

Dr. Lomotey challenged the class to consider how they contribute to poverty and questioned "are we [educators] poverty pimps in education since we make money on the fact that society has people who are poor and uneducated." Dr. Weiler encouraged the class to think about poverty from the student's perspective. During the discussion, TPP Scholars shared several different perspectives. For example, at a rural high school the way that a student gets to school separates people. Students know whom you are by how you get to school. Another noted that the backpack food program is humiliating for some students. Dr. Lomotey pointed out that cell phones and field trips are also discriminating factors for students. Disparity between groups of students starts before kindergarten and can follow students for their whole lives.

Dr. Weiler asked, “How does a savior complex play into this?” The discussion continued focused on Fun Run, which often brings a lot of money for the school. Often the prizes are delivered to the classrooms and can make poor students feel very bad since they have not earned as many prizes as others. A participant noted, “I often donated to students because I want the students to get the prize so perhaps I was acting in that savior complex.” Another participant challenged “Students can pick up if the teacher views them as ‘lesser than’ or if they are truly kind hearted.”

The rest of the class time was group presentations, Addressing Inequities within Educational Organizations: A Case-Study Approach. The groups were heterogeneously mixed based on race, gender, and geographic location. Groups worked for weeks, virtually and in person, on case studies ranging from Discipline and Race to LGBTQIA rights. Two groups presented before lunch. Lunch was provided for the participants. Most chose to eat in the classroom, which facilitated discussion and feelings of camaraderie. After lunch, four more groups presented. The groups with TPP scholars discussed discipline referrals, race/discipline and hunger/health. After groups presented, the classmates and instructors challenged the conclusions of the presenters.

Once the presentations were complete, the tables were pushed to the side of the room and the chairs were arranged in a circle. The participants were going to finish presenting their critical biographies. The assignment required students to write an autobiography looking at their own life, including schooling, through the lenses of race, ethnicity, social class, gender, language, and (dis)ability. Students must read five minutes of the critical autobiography with the class. Since this assignment was extremely personnel, the observer was asked to leave before the readings began.

Based on observation, rate level of agreement with each statement below:

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

TPP Scholars were engaged in class discussions on poverty. They asked challenging questions and offered personal anecdotes to enrich the discussion. Scholars were prepared for the group presentations and able to defend their conclusions. Overall, the participants were energetic and engaged.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

The instructors continually pointed the poverty discussion back to the real world struggles of students and parents. The case study presentations provided participants a diverse group of issues including race, ethnicity, social class, gender, and language. The case study allowed the participants to work in a collaborative fashion to analyze a problem, review data and

formulate practical solutions. The critical autobiography allowed the participants to face their own identity issues and perspective that they may have been unaware of before the project. Assignments were reflective of the real-world social justice/ethics issues they will face as school-level administrators.

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: NCSELP-Western Carolina University
Observation Location: Western Carolina University, Virtual Session
Date of Observation: December 11, 2018
Time of Observation: 6:15-8:00 p.m.
Observer: Janey Sturtz McMillen, Ph.D.
Class/Activity: TPP Scholars: First semester wrap-up (not tied to a specific course)
Instructors/Facilitators: Dr. Heidi Von Dohlen & Dr. Jess Weiler

This session was virtual and took place using GoToMeeting software. Nine of the ten cohort members were in attendance, while the tenth member was absent due to illness. Prior to the online meeting, participants were instructed to consider three questions for discussion: “1) What is your strongest take-away from your first semester as a TPP Scholar? 2) What are you considering for your Change Project? How will your Change Project connect to leadership for equity and social justice? and 3) What are your questions about the 10-month internship, starting this coming fall? What other questions do you have?” Questions 1 and 3 were discussed with the group using both individual verbal responses and the chat function of the software.

The meeting began with a welcome from Dr. Weiler and a quick attendance check. After this, Dr. Von Dohlen led the discussion of the first question, “What is your strongest take-away from your first semester as a TPP Scholar?” There was a lively and friendly discussion with each attendee providing a response. Common responses referred to the strength of the cohort and the support it provides, the ability to interact with MSA candidates who were not in the cohort, awareness of social justice and equity issues, opportunities to learn from a variety of people and settings, being able to apply what is learned immediately, increased excitement toward becoming an administrator, the ability to process issues with the cohort, seeing the big picture at a systems level, clarity on what it takes to be an effective school leader versus a classroom teacher, knowledge regarding how important data are, learning about systems of which they were previously unaware, and learning how to turn theory into practice and then see it in action. Drs. Weiler and Von Dohlen responded to individual comments with follow up questions and comments as needed. They also expressed gratitude for the positive comments.

The discussion moved on to the third question, “What are your questions about the 10-month internship (starting this coming fall)?” and was led by Dr. Von Dohlen. She began the discussion by informing the attendees that program staff would be recommending to WCU liaisons that they put the attendees forth for provisional principal licensure. This was also discussed with WRESA representatives given that they will be in 10-month internships. This must be recommended by the districts, but will allow interns to perform in all capacities of an assistant principal such as LEA led IEP meetings, observing teachers for formal observations including those on probationary terms, and supervising students independently. This was particularly important given the majority of the interns would be teachers on a leave of absence. She then opened the discussion up to questions the attendees might have regarding the internship. Questions were raised about how salary would work during the internship period (will not be an obvious change to interns since handled at district level; funding goes to the district so that it seems seamless including supplements, health insurance, etc.), how the placement decisions will be made (WCU will engage in collaborative decision-making to help districts

facilitate an appropriate well-qualified principal mentor who is committed to supporting their development), if the ten months will all occur in one school or multiple (program is encouraging 1-2 weeks in settings outside of the single placement in order to give experiences in multiple types of settings with different challenges), how they will understand expectations of the assistant principal role particularly in schools that have not had consistent AP coverage, and what the next steps will be in the process (training for principal mentors, discussion with mentors of guidelines for internship). Drs. Von Dohlen and Weiler responded to individual comments with follow up questions and comments as needed. Participants were assured that there would be more opportunities for discussion of this topic in the future.

Dr. Weiler provided attendees with information regarding the program adding a summer equity course: *EDL 794: Leadership for Equity: Applying Theory to Practice*. This will be a one-credit course with a format directly tied to the Change Project and conducted online with 1-2 face-to-face meetings. Syllabus is still in the design stage, but the course will be specific to using and responding to equity audits so that participants are comfortable with the process. Participants will identify an area of need using equity data in order to identify the problem, do a causal analysis, and suggest a solution. In the course, participants would do the work needed in order to make a presentation at the fall *Leaders for Equity Summit* (discussed below). Dr. Von Dohlen pointed out that the upcoming spring courses would also help prepare the participants for this work. Also, accompanying the new summer course will be the existing summer course on *Ethics in Education*, which will cover issues regarding leadership for equity.

The WCU program is in the very early stages of developing a *Leaders for Equity Summit* that may become an annual event dependent on funding. This would allow for sharing of the unique equity approach of the program both in the Western region and across NC as a whole. The program is considering a mini-conference (1-day) for district leaders and principals. The summit's purpose would be to: 1) Begin/extend the conversation about equity in schools to the districts in the western region, 2) build regional capacity to lead with an equitable lens, and 3) engage/connect the CEAP faculty across programs in a collective mission toward equity. Potential seminar components would include opening up the ICS work to the region (system-wide equity); a two-hour overview by Drs. Capper & Frattura; inviting Asheville City Scholars teachers and leaders to present; having TPP scholars present for (6-7 minutes each) their Change Projects (problem identification, causal analysis, and a proposed improvement initiative). This means the program would like to know by March-April where the participants are going for fall internship so that in the summer they can go and meet their mentors and initially communicate with them in the summertime regarding this Change Project work.

The discussion was then opened for participants to ask questions about what was shared. A few questions were raised about how soon the participants would know their placements (spring), whether or not it would be okay to contact their mentor principals in the spring (yes), and if it would be okay to share the equity audit with the mentor principals (yes). Clarification was requested regarding dates for summer classes (June 3rd start; online so the dates for in-persons would need to be worked out as it gets closer; end about a month before fall classes begin).

In summary, this online session was primarily a wrap up of the semester focused on gathering feedback for program improvement as well as providing participants with information regarding upcoming spring and summer course expectations. Participants were highly engaged as evidenced by their active discussion and relevant questions for Drs. Weiler and Von Dohlen. No

one appeared engaged in other activities (e.g., texting, side conversations) during the session. Based on group discussion and questions posed, participants seemed to understand the relevance of the session content to the role of being a future school administrator.

Based on observation, rate level of agreement with each statement below:

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

Students came to class prepared for the class discussion. The students participated in discussion and posed relevant questions.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

The participants provided feedback for program improvement and were given the opportunity to ask questions about their upcoming coursework and internships. The participants were introduced to a practical project that may be shared with school staff during their internships.

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: NCSELP-Western Carolina University
Observation Location: Western Carolina University, 28 Schenck Parkway #100, Asheville, North Carolina
Date of Observation: February 23, 2019
Time of Observation: 9:00p.m.-3:00p.m.
Observer: Pamela Lovin
Class/Activity: EDL 721 School Law
Instructors/Facilitators: Dr. John “Andy” Peoples, Facilitator
John Henning Jr., School Attorney
Dean Shatley II, School Attorney

Western Carolina University at Biltmore Park Town Square was the location of the spring observation of EDL 721 School Law. This hybrid class met online and in person several times during the semester. The participants met in a classroom with tables set up in rows. Tables are arranged in groups of two or three to facilitate discussion. Thirty-eight participants, a facilitator, and school attorney were in attendance. (Since this was a mixed class, it was not possible to identify how many TPP Scholars were in attendance this day.) Participants’ dress ranged from professional to casual during this Saturday class meeting. Water, candy and breakfast bars were available for the participants.

Dr. Peoples greeted participants and asked about placements and life, in general. He began class slightly earlier than the scheduled time, reviewed the schedule, and introduced the speaker, a school attorney. The attorney used a School Funding PowerPoint. Some students took notes on laptops and others used paper and pencils. Most students were actively listening to the class lecture. Students peppered the lecturer with questions which the attorney answered and provided examples from current legislation or cases. A break was provided midmorning. The lecture continued focusing on the possible relationships between an LEA and a 501(c)(3) or nonprofit. The attorney also addressed what administrators should do if they suspect funding irregularities. He also shared examples of third parties using the school’s name to acquire funds. Students were dismissed for lunch.

A different attorney spoke in the afternoon on Bullying, Harassment and Transgender Students. To begin the session, he projected a list of questions to review the employment law section. The participants eagerly discussed the questions/situations. The attorney then presented the class with a case study of a teacher with a poor evaluation. The case study had several parts with discussion questions provided at the end of each section. (At this point the observer left to conduct a faculty interview.)

The attorney continued the lecture comparing the laws affecting students and employment. A participant from the Triangle area asked a question comparing her urban setting to the more rural settings which pervade in the mountains. The attorney reminded the participants that if the school knows someone is being bullied then the administration must stop it from occurring. The

lecture ended with Transgender issues, focusing on the asking the student/parent what they want, such as name and pronouns.

Based on observation, rate level of agreement with each statement below:

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

Students listened to the attorneys, who shared real-world examples. The participants asked questions and shared personal experiences.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

The guest speakers presented issues, legislation and case studies that administrators will encounter. At the beginning of the afternoon session the whole class discussed a teacher evaluation case study.

TRANSFORMING PRINCIPAL PREPARATION PROGRAM OBSERVATION PROTOCOL

Institution/Program: NCSELP-Western Carolina University
Observation Location: Western Carolina University, 28 Schenck Parkway #100, Asheville, North Carolina
Date of Observation: February 23, 2019
Time of Observation: 3:00p.m.-4:00p.m.
Observer: Pamela Lovin
Class/Activity: EDL 617 History, Sociology, and Philosophy of Education
Instructors/Facilitators: Dr. Heidi Von Dohlen

Western Carolina University at Biltmore Park Town Square was the location of the spring observation of EDL 617 History, Sociology and Philosophy of Education. This online class uses some time on the Saturday meeting for a short face to face meeting. The participants met in a classroom with tables set up in rows. Tables are arranged in groups of two or three to facilitate discussion. Students worked in four groups of 5-7 participants. Participants' dress ranged from professional to casual during this Saturday class meeting.

Dr. Von Dohlen began the class discussing registration issues. (A few TPP Scholars were in each group.) While the online website was projected on the wall, she also discussed the final project and offered to send out exemplars after class. Dr. Von Dohlen elicited feedback from the students on course pacing or classwork. Students participated in a short discussion voicing concerns and identifying positive changes in the course.

The class was then divided into discussion board groups to talk about the "Doubled Up" webinar and any other pressing issues found in the reading of American Education by Joel Spring. The class divided into four groups of 5-7 participants. The participants had rich engaging discussions even though this occurred after being in class for all day. The discussion lasted for over 20 minutes. In one group the discussion concerned difficulties with student transportation. The participants compared the different ways the LEAs transport homeless students. Another group discussed how hard it is to connect homeless families to schools.

After more than 20 minutes, Dr. Von Dohlen asked the groups to share 2-3 highlights from their discussion. One group did not know about the McKinney-Vento Act. Another group shared how one LEA created office space for an outside agencies meeting students' needs but in other LEAs even sharing information with within the school and with outside agencies was difficult. Dr. Von Dohlen reminded the participants that administrators often know about issues that the teachers do not; and some information may be shared but confidentiality is key. Another group identified communication as a key working with the social worker and other community entities. The final group focused on sharing some ah-ah moments they had looking back on students they had taught in the past.

Finally, Dr. Von Dohlen reviewed the final project again. The project requires the participants to create a digital platform which is a professional development that can be presented to school

staff. The project should look at school/LEA data and present work on a social worker, homeless liaison, or counselor.

Based on observation, rate level of agreement with each statement below:

1. Students are actively engaged in activity.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

Students came to class prepared for the class discussion. The students participated in the small group and whole class discussions. Students listened intently within small groups.

2. Learning activities are clearly relevant to the day-to-day work environment and responsibilities of a school leader.

Strongly Disagree	Disagree	Agree	Strongly Agree	Not Relevant
1	2	3	4	N/A

The participants discussed issues and legislation revolving around homeless students. The participants were introduced to a practical project which may be shared with school staff.



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OBSERVATION REPORT
NC Transforming Principal Preparation Program PLN: Fall 2018 Meeting
Released January 2019
Pamela Lovin and Bill Carruthers

OVERVIEW

The North Carolina Association for School Leadership Development (NCASLD) hosted the NC Transforming Principal Preparation (TPP) Program Professional Learning Network (PLN) Fall Meeting on Tuesday, October 2, 2018 at The Friday Institute for Educational Innovation at North Carolina State University in Raleigh, North Carolina. The meeting lasted from 10:00am to 3:00pm. The agenda is provided in Appendix A. The conference room was arranged in nine table groups. All five principal preparation programs attended along with other stakeholders, such as GrantProse. Thirty-one attendees participated in the meeting. The attendees are listed in Appendix B. Each preparation program was represented by a variety of individuals, such as the director, program team members, and general counsel. The presenters were Shirley Prince, NCASLD; Mary Jo Dunnington, New York City Leadership Academy; Bill Carruthers, GrantProse, Janey Sturtz McMillen, GrantProse, and Chris Willis, NCASLD. Ms. Clark and Dr. Hart led small and large group discussions on participant recruitment, participant selection, mentor selection, and intern placement.

OBSERVATION

Shirley Prince welcomed participants, reviewed the goals of both TPP and the PLN, and shared the goals for the day. The goals of the meeting were to kick off the PLN work for 2018-19, review and discuss 2017-18 evaluator recommendations, provide opportunities for team-based work time and cross-team sharing to encourage collaboration, and provide updates on TPP budget requirements and the funding cycle. She also provided some background into the Measurability Assessment and the evaluation process and reviewed the schedule of PLN meetings for the year. The PLN PowerPoint slides are in Appendix C.

Bill Carruthers led a discussion of GrantProse recommendations made in the July 2018 annual report to SEAA (available at <http://www.ncasld.org/principalpreparation.html>). GrantProse overall recommended the continued funding of the five TPP Providers in 2018-19 and NCASLD's expansion of the Professional Learning Network to include other NC principal preparation programs. GrantProse recommendations for NCASLD included conducting a review of how employees of TPP Providers are assigned roles and responsibilities for implementing the program and directing focus in the coming years to the issues of sustainability, replicability/expansion, and scalability of identified best practices to additional programs across the state. Recommendations for the TPP Providers included better communication of the internship expectations with LEAs and continued efforts to place participants with exemplary principals.

GrantProse also encouraged the TPP Providers to continue tracking graduates' placement. Over 98% of the participants completed TPP programs. One program director commented that the percentage of completers should not be a focus concern since some may be counseled out of the program while others may leave for personal reasons. Programs received a handout showing the principal and assistance principal placements thus far. Since high need schools are the focus of the grant, GrantProse explained that almost 70% of the individuals serving in principal and assistant principal positions have accepted positions in high needs schools.

Mary Jo Dunnington and Janey Sturtz McMillen used the tools of implementation science to lead the next discussion. Before coming to GrantProse, Dr. Sturtz McMillen's noted that her research focused on the role of technology in supporting broad scale implementation and sustainability of evidence-based programs in school and community mental health treatment settings. After reviewing the Stages of Implementation Process, Dr. Sturtz McMillen defined and used questions to help focus the key words of sustainability, replicability/expansion, and scalability. Replicability/Expansion was defined by questions including, a) What set of core components should be replicated by other principal preparation programs in NC? and b) Can these components be prioritized? In small groups, individual programs added to the core intervention components found in best practices and identified those they deemed most critical. Programs identified social justice/equity focus, coaching, and switch experience as just a few of the core intervention components.

Next in small groups, the programs identified the core implementation components of their program and operationally defined some components. Groups discussed the selection of participants and the qualities of participants and those of program team members. One attendee noted, "We have been so much in the moment....with our students, we have not looked up to see how we have and are implementing the system. A concern in my experience is a grant comes along and phenomenal things come along and you simply can't sustain it without resources. Some things we could not sustain without grant dollars." Shirley Prince reminded the programs that they need to identify what are the most impactful things and the highest return on investment, and Dr. Sturtz McMillen reminded attendees to continue identify such areas for continual refinement. Lunch was provided on site.

After lunch, legal representatives of the TPP programs joined the meeting. Shirley Prince and Chris Willett, NCASLD Attorney, led a quick review of budget criteria and then facilitated a discussion of district partnership agreements. The programs shared key features, management processes, and challenges. Programs discussed how they balanced the need to develop true authentic partnerships with LEAs with the LEAs' view of program participants as property that can be lost or stolen. The "clawback" portion of the participant's agreement with an LEA was a key discussion point. In an earlier virtual meeting, the program directors had begun their discussion on the clawback portion. The Sandhills program has created an executive committee to deal with placement issues. NCSU explained that their participants should not have to pay back salary, but tuition and fees are reasonable items to repay if they are unable to secure a job within a reasonable time period. As for the district agreements, the UNCG program plans to provide each district with a detailed explanation of the expectations for each participant including release time. As the meeting came to a close, Shirley Prince reminded participants to complete the evaluation form.

FEEDBACK

At the end of the day, the participants were invited to complete a feedback form on the PLN meeting. Six surveys were completed. A copy of the survey is located in Appendix D.

The survey began with eight Likert-scale items addressing the PLN. Sixty-six percent or more of the respondents choose either Strongly Agree or Agree for the eight Likert-scale items. None of the items received Disagree or Strongly Disagree. **Table 1** shows the percentage of individuals who responded Strongly Agree or Agree to each item.

Table 1. Percentage of Respondents Indicating Strongly Agree to Likert Survey Items on this PLN

Survey Item	Percentage Responding Strongly Agree or Agree
Q1. This PLN had clear objectives.	83.34%
Q2. This PLN was relevant to my professional development needs.	66.67%
Q3. This PLN was led by effective facilitators.	100%
Q4. This PLN was well structured.	66.67%
Q5. This PLN provided me with useful resources.	66.67%
Q6. This PLN was engaging.	83.34%
Q7. This PLN included adequate opportunities for participants to consider applications to their own professional practice.	66.67%
Q8. This PLN was of high quality overall.	66.67%

The feedback form continued with three Likert-scale items addressing the sessions. Participants highly rated the opportunity to discuss the evaluation recommendations, “Overview and Discussion of TPP 2018-18 Evaluation and Recommendations”. The participants were least satisfied by the session “Strengthening Principal Preparation Statewide: Sustaining and Scaling our Work.” **Table 2** shows the percentage of individuals who responded Satisfied and Very Satisfied to each item.

Table 2. Percentage of Respondents Indicating Very Satisfied or Satisfied to Likert Survey Items on Sessions

Survey Item	Percentage Responding Very Satisfied or Satisfied
Q9. Overview and Discussion of TPP 2018-18 Evaluation and Recommendations	83.33%
Q10 Strengthening Principal Preparation Statewide: Sustaining and Scaling our Work	50.00%
Q11. Working Session: District Partnership Agreements and Service Agreements with Students	66.67%

Participants' comments to the open-ended request, "Please provide any specific thoughts and feedback you have regarding the October 2nd PLN session:" are recorded in **Table 3**.

Table 3. Please provide any specific thoughts and feedback you have regarding the October 2nd PLN session:

"Please provide programs with this opportunity to meet with other programs to dialogue, share, and plan. We do not need a specific structure or agenda for this. Thank you."

"Still need scheduled time for programs to collaborate."

"This was another well-planned, well executed training session."

CONCLUSIONS

The professional learning network conducted by NCASLD for TPP programs furnished an opportunity for principal preparation programs to meet and share insights. The opening session of the PLN provided an opportunity for preparation programs to review the evaluation and recommendations from GrantProse. The team discussion allowed the programs to begin the process of planning for sustainability, replicability, and scalability. The roundtables and discussions in the afternoon allowed teams to discuss the district partnership agreements and participant service agreements. This day provided growth opportunities for all partners and paths to strengthen the TPP programs.

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Appendix A: NC Transforming Principal Preparation Program PLN Fall Meeting Agenda

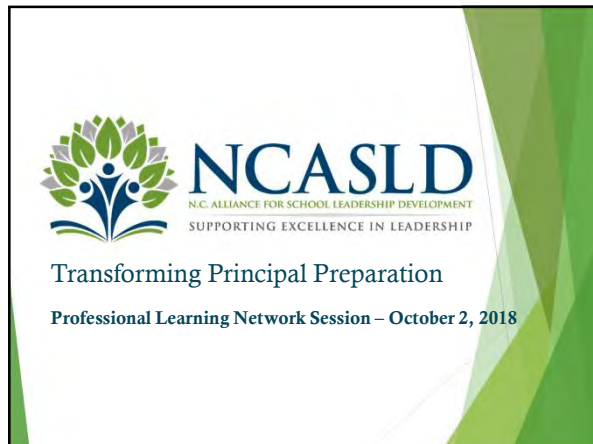
**Transforming Principal Preparation (TPP) Program
Professional Learning Network Meeting
Tuesday, October 2, 2018
10:00 a.m. to 3:00 p.m.
The Friday Institute, Raleigh**

Agenda

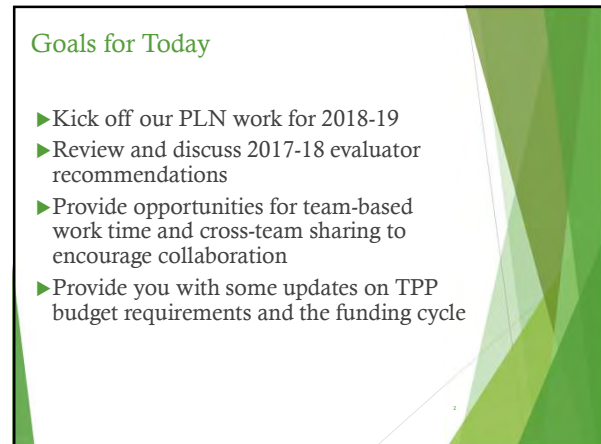
10:00 am	Introductions and Overview of 2019-20 PLN plans	Shirley Prince NCASLD
10:10 am	Overview and Discussion of TPP 2018-19 Evaluation and Recommendations	Bill Carruthers GrantProse
11:15 am	Break	
11:30 am	Strengthening Principal Preparation Statewide: Sustaining and Scaling Our Work	Mary Jo Dunnington NYCLA
		Janey Sturtz McMillen GrantProse
1:00 pm	Lunch	
1:30 pm	Working Session: District Partnership Agreements and Service Agreements with Students	Shirley Prince Chris Willett NCASLD Attorney
2:45 pm	Closing/Wrap Up	Shirley Prince

Appendix B: NC Transforming Principal Preparation Program PLN Fall Meeting Attendees

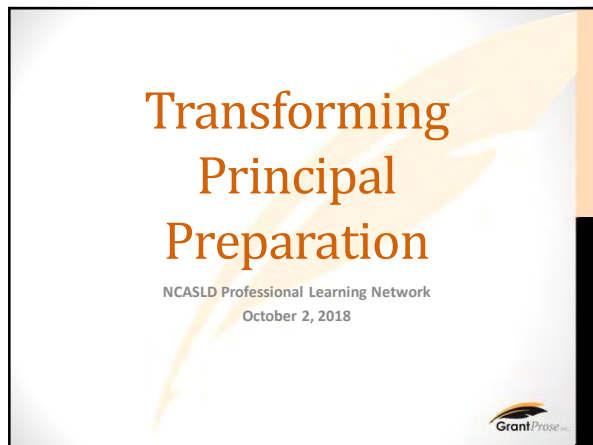
Organizers and Presenters		Mary Jo Dunnington-NYC Leadership Academy Tracy McBride- NCASLD Shirley Prince- NCASLD Jamie Woodlief- NCASLD Bill Carruthers-GrantProse Janey Sturtz McMillen-GrantProse Chris Willis-NCASLD Attorney
Attendees by Program	HPU-HPLA:	Amy Holcombe Sandy Sikes Debra Barham Barbara Zwadyk
	NCSU:	Bonnie Fusarelli Lance Fusarelli Brenda Champion Cathy Williams Shawn Troxler Martina Krzywicki. Stephanie Jackson Carrie Johnston
	SREC-SLPDP:	Ashley Hinson George Norris Jim Simeon Emilee Simeon
	UNCG-PPEERS:	Kim Kapper-Hewitt Candice Nelson Mark Rumley
	WCU-NCSELP:	Phyllis Robertson Heidi VonDohlen Jess Weiler
GrantProse Evaluation Team		Eleanor Hasse Pamela Lovin



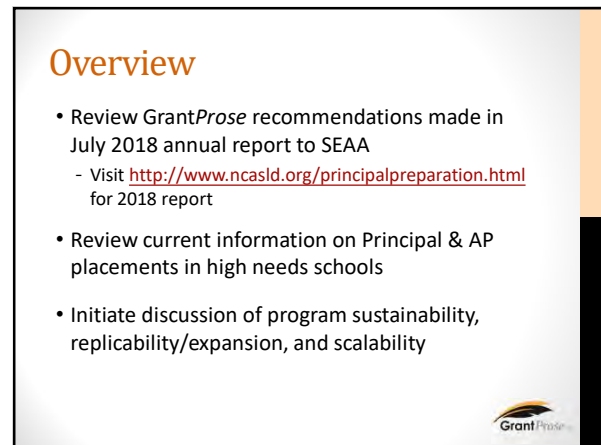
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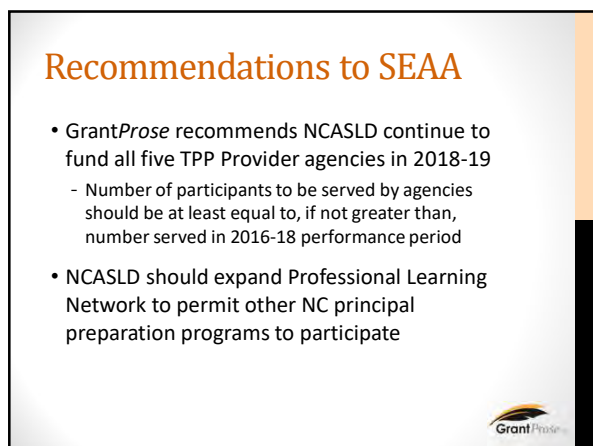
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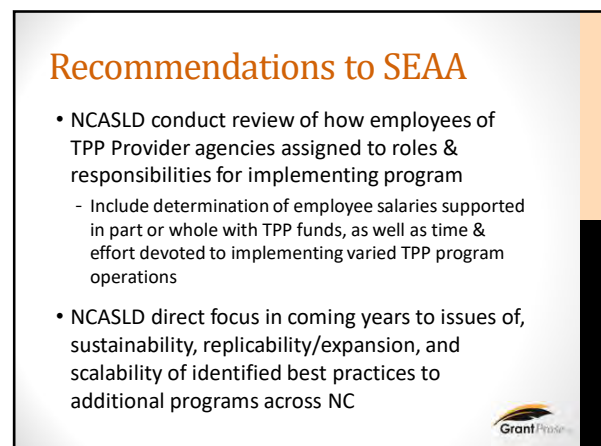
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4



5



6

Recommendations to SEAA

- TPP Provider agencies clarify communications with LEAs regarding expectations for participants during internship
 - Distinction needs to be made as to whether individual will be serving as intern or in a position of employment as AP
 - In either instance, conflicts can be created if participant needs to be away from school for reasons such as attending university classes
 - Clarity in expectations should eliminate such conflicts



7

Recommendations to SEAA

- TPP programs continue determined efforts to place participants with exemplary principals, not necessarily where LEA may feel AP is most needed
- TPP programs ensure professionalism is emphasized in even smallest details such as style of dress, attending meetings on time, & use of social media
- TPP programs track graduates employed and whether working as principals or APs



8

Principal & AP Placements

- Of original 120 participants, 118 (98.3%) completed TPP programs.
- Of 118 completers, 76 (64.4%) secured principal or AP positions as of October 2018.
- Of 76 serving in principal or AP positions, 52 (68.4%) were assigned to high needs schools.
- The 68.4% assigned to high needs schools is greater than 57.9% high needs schools GrantProse identified for NC in 2017-18.
- Handout showing principal and AP placements in high needs schools.



9

TPP Vision

Transform preparation of principals across NC through selected Institutions of Higher Education (IHE) implementing rigorous school leader preparation programs that include research-based programmatic elements for developing well-prepared school leaders who apply school leadership practices linked to increased student achievement with a focus on high-need schools/ school administrative units.

A commitment to share lessons learned and improve capacity of other IHEs to include these research-based programmatic elements in school leader preparation programs in order to reach similar outcomes.



10

What are we hoping to accomplish?

- Apply an implementation science lens in order to take a step back and look at things not only as project directors, but also as faculty and researchers to contribute to the knowledge base on implementing at the programmatic level and to transform how principal prep is implemented state wide.
 - Where are your programs in the implementation process?
 - How are you currently implementing the components & ensuring quality?
 - What do you need to clarify & articulate to move forward with sustaining your programs?
 - How are you going to sustain your programs?
 - Where could your programs benefit if they had some external support or if we worked together differently?



11

Implementation Science

(NIRN, 2015)

Implementation science is the study of factors that influence the full and effective use of innovations in practice. The goal is not to answer factual questions about what is, but rather to determine what is required.

Using this model, implementers need to answer the following questions:

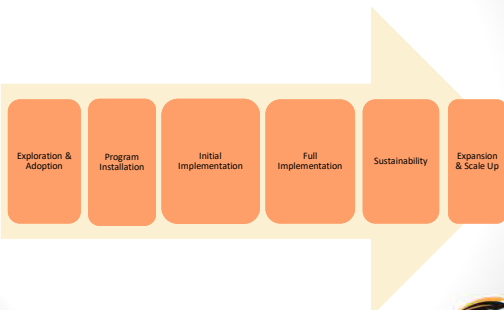
- What is the intervention/innovation being implemented?
- Who is accountable for ensuring that it is being delivered as intended?
- When is the organization ready to make the needed shifts until it is fully embedded and has become "education as usual?"
- How do you create a system that will support and sustain these programs and practices?



12

Stages of Implementation Process

(Fixsen et al, 2005, National Implementation Research Network, 2018)



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Early Stages of Implementation Process

- **Exploration & Adoption** – Explore feasibility & fit between evidence-based practices/ programs, identified needs/ desired outcomes, & resources; make decision on adoption or not
- **Program Installation** – Complete “start up” tasks required to build capacity to support implementation
- **Initial Implementation** – Put new practices/programs in place at established sites

14

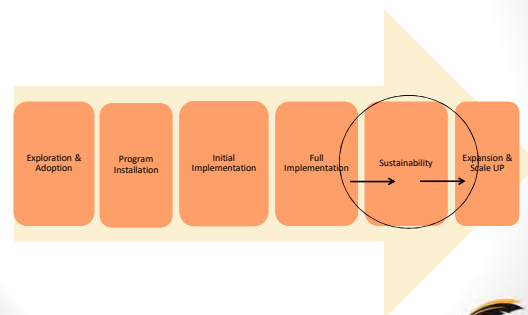
Later Stages of Implementation Process

- **Full Implementation** – Implement program with focus on high fidelity, achieving outcomes at initial sites, & program sustainability
- **Sustainability** – Long-term survival and continued effectiveness of implementation site in context of administrative, organizational, & fiscal support needed to sustain high fidelity
- **Expansion & Scale Up** – Increase number of sites implementing program with fidelity & good effect

15

Stages of Implementation Process

(Fixsen et al, 2005, National Implementation Research Network, 2018)



16

Sustainability, Replicability, & Scalability

- **Sustainability**
 - What do current TPP programs need to do to ensure their program can be sustained in the absence of future funding from the State?
- **Replicability/ Expansion**
 - What set of core components should be replicated by other principal preparation programs in NC? Can these components be prioritized?
- **Scalability**
 - What strategies & activities can be implemented by SEAA, NCASLD, and the TPP Provider agencies to support scaling to other principal preparation programs in NC?

17

Replicability/Expansion

- What set of core components should be replicated by other principal preparation programs in NC? Can these components be prioritized?
 - Core intervention components
 - Most essential & indispensable components of intervention practice or program that are essential to achieving outcomes
 - Core implementation components
 - Most essential & indispensable components of implementation of practice or program

18

Core Intervention Components

- Partnerships with LEAs
- Targeted recruitment of program applicants
- Selection of program participants using rigorous criteria
- A cohort model
- Alignment to school executive leadership standards
- Rigorous & authentic coursework with relevant fieldwork and problem-based learning
- Full-time internships with embedded mentoring and substantial leadership responsibilities
- Processes for continuous review and program improvement including feedback loops with partnering LEAs
- Institutional evaluation activities that inform continuous improvement



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Core Intervention Components

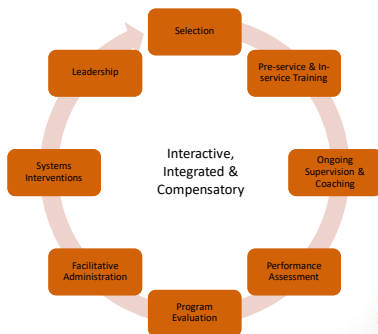
- At individual tables:
 - Reflect on core intervention components, name any you would add, & identify which you consider most critical (using worksheet)
 - Determine areas your program needs to spend more time on to continue to refine
 - Thinking of capacity & partnerships, where would you see more progress if you could move district practice or statewide focus?
 - Are there stakeholders who could be changing behaviors or offering support?



20

Core Implementation Components

(Blase & Fixsen, 2013; Fixsen et al, 2005; NIRN, 2018; Ogden et al, 2012)



21

Core Implementation Components

(Blase & Fixsen, 2013; Fixsen et al, 2005; NIRN, 2018; Ogden et al, 2012)

- **Selection** – Recruitment & selection of program staff who will carry out program
- **Pre-service & in-service training** – Content & methods used with staff to impart knowledge, skills, & abilities needed for program implementation
- **Ongoing supervision & coaching** – Supporting newly-learned content & behaviors needed for program implementation



22

Core Implementation Components

(Blase & Fixsen, 2013; Fixsen et al, 2005; NIRN, 2018; Ogden et al, 2012)

- **Performance assessment** – assess use (fidelity) & outcomes of skills reflected in staff selection criteria, taught in training, and reinforced & expanded in supervision/ coaching
- **Program evaluation** - assess key aspects of organization overall performance to assure continuing implementation of key components
- **Facilitative administration** - attention by administration to reduce implementation barriers & create an administratively hospitable environment for staff to implement program



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Core Implementation Components

(Blase & Fixsen, 2013; Fixsen et al, 2005; NIRN, 2018; Ogden et al, 2012)

- **Systems intervention** - strategies to ensure availability of financial, organizational, & human resources required to support work of program staff
- **Leadership** – provide leadership and make use of data to inform decision making, support overall processes, & keep focus on desired program outcomes



24

Core Implementation Components

- At individual tables:
 - Identify your program's core implementation components
 - Select 2 components to operationally define (provide the type of detail needed for replication)
 - Determine areas your program needs to spend more time on to continue to refine
 - Thinking of capacity & partnerships, where would you see more progress if you could move district practice or statewide focus?
 - Are there stakeholders who could be changing behaviors or offering support?



25

Next Steps

- Continue to work on areas of your program that you identified as needing continued refinement
- We'll summarize the information communicated & look at implications for our shared work together



26

Resources to Continue Work

- Blase, K., & Fixsen, D. (2013). *ImpleMap: Exploring the Implementation Landscape*. Chapel Hill, NC: NIRN, FPG Child Development Institute, University of North Carolina at Chapel Hill.
- Blase, K., Van Dyke, M., & Fixsen, D. (2013). *Stages of Implementation Analysis: Where are we?* Chapel Hill, NC: NIRN, FPG Child Development Institute, University of North Carolina at Chapel Hill.
- Fixsen, D., Blase, K., Naoom, S., & Duda, M. (2015). *Implementation Drivers: Assessing Best Practices*. Chapel Hill, NC: NIRN, FPG Child Development Institute, University of North Carolina at Chapel Hill.
- Metz, A. & Louison, L. (2018). *The Hexagon Tool: Exploring Context*. Chapel Hill, NC: NIRN, FPG Child Development Institute, University of North Carolina at Chapel Hill.
- State Implementation & Scaling-up of Evidence-based Practices Center. (2018). *Implementation Stages Action Plan*. Chapel Hill, NC: SISEP, FPG Child Development Institute, University of North Carolina at Chapel Hill.
- State Implementation & Scaling-up of Evidence-based Practices Center. (2018). *Strategic Analysis of Implementation Drivers*. Chapel Hill, NC: SISEP, FPG Child Development Institute, University of North Carolina at Chapel Hill.
- Van Dyke, M., Blasé, K., Sims, B., & Fixsen, D. (2013). *Implementation Drivers: Team Review and Planning*. Chapel Hill, NC: SISEP, FPG Child Development Institute, University of North Carolina at Chapel Hill.



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References

- Blase, K., & Fixsen, D. (February 2013). *ASPE Research Brief: Core Intervention Components: Identifying and Operationalizing What Makes Programs Work*. Washington, DC: Office of the Assistant Secretary for Planning and Evaluation, Office of Human Services Policy, US Department of Health and Human Services.
- Fixsen, D. L., Naoom, S. F., Blase, K. A., Friedman, R. M. & Wallace, F. (2005). *Implementation Research: A Synthesis of the Literature*. Tampa, FL: University of South Florida, Louis de la Parte Florida Mental Health Institute, The National Implementation Research Network (FMHI Publication #231).
- National Implementation Research Network <https://nirn.fpg.unc.edu/>
- National Implementation Research Network's Active Implementation Hub <https://implementation.fpg.unc.edu/?o=nirn>
- Ogden, T., Bjornbekk, G., Kjobi, J., Patras, J., Christiansen, T., Taraldsen, Knut, & Tollefson, N. (2012). Measurement of implementation components ten years after a nationwide introduction of empirically supported programs – a pilot study. *Implementation Science*, 7, 49. <http://www.implementationscience.com/content/7/1/49>



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TPP Budget Criteria

- ▶ All partnering school districts or charters should meet the definition of "high needs" as legislatively required. (*A majority of the schools in the district be identified as Title I Schools*)
- ▶ Provide full student salary replacement so that students' are "held harmless" during the 10-month term of their residency.
- ▶ Maintain or improve students' summer salary stipends.
- ▶ Provide full cost of tuition, books, fees and travel expenses for all coursework and all other required program activities.
- ▶ Provide reimbursement of all expenses to the LEA's for health and fringe benefits for students during the term of their 10-month residency.
- ▶ Maintain or improve stipends to mentors.

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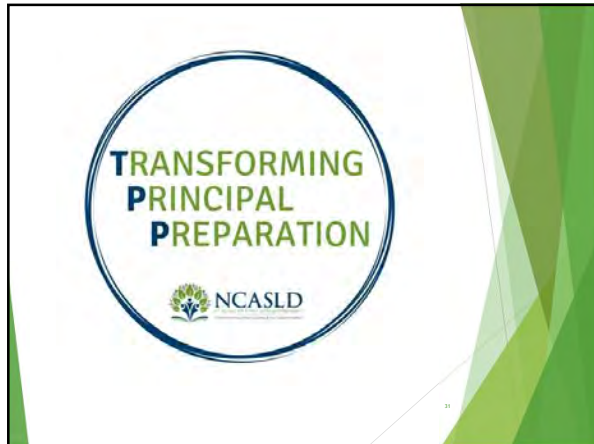
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District Partnership Agreements & Service Agreements with Students

- ▶ Key Features of Agreements
- ▶ Agreement Management Process
- ▶ Challenges

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Appendix D: NC Transforming Principal Preparation Program PLN Fall Meeting Feedback Form



TPP PLN Session Feedback October 2, 2018

This survey is designed to assess your satisfaction with the PLN session in which you just participated. Please respond to each item candidly, as your responses will contribute to the overall evaluation of the quality of professional development provided by NCASLD, GrantProse and NYC Leadership Academy.

Using the scale below, please indicate your level of agreement or disagreement with each of the statements listed by checking the appropriate box.

This PLN Session...	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
had clear objectives.	☐	☐	☐	☐	☐
was relevant to my professional development needs.	☐	☐	☐	☐	☐
was led by effective facilitators.	☐	☐	☐	☐	☐
was well structured.	☐	☐	☐	☐	☐
provided me with useful resources.	☐	☐	☐	☐	☐
was engaging.	☐	☐	☐	☐	☐
included adequate opportunities for participants to consider applications to their own professional practice.	☐	☐	☐	☐	☐
was of high quality overall.	☐	☐	☐	☐	☐

Using the scale below, please indicate your level of satisfaction with each of the presentations listed by checking the appropriate box.

Session	Very Unsatisfied	Unsatisfied	Neutral	Satisfied	Very Satisfied
Overview and Discussion of TPP 2018-18 Evaluation and Recommendations	☐	☐	☐	☐	☐
Strengthening Principal Preparation Statewide: Sustaining and Scaling our Work	☐	☐	☐	☐	☐
Working Session: District Partnership Agreements and Service Agreements with Students	☐	☐	☐	☐	☐

Please provide any specific thoughts and feedback you have regarding the October 2nd PLN session:



2503 Cravenridge Place
Garner, NC 27529
phone 919.414.5861
www.grantproseinc.com

OBSERVATION REPORT
NC Transforming Principal Preparation Program PLN: Winter 2019 Meeting
Released February 2019
Pamela Lovin and Eleanor Hasse

OVERVIEW

The North Carolina Association for School Leadership Development (NCASLD) hosted the NC Transforming Principal Preparation (TPP) Program Professional Learning Network (PLN) Winter Meeting on Tuesday, January 15, 2019 in the Maple Room of the Elliot University Center at the University of North Carolina at Greensboro in Greensboro, North Carolina. The meeting lasted from 9:00am to 3:30pm. The agenda is provided in Appendix A. The conference room was arranged with seven circular tables where programs sat at their given tables. Because HPU had only one representative, WCU joined HPU's table to help facilitate discussion. All five principal preparation programs attended along with other stakeholders, such as GrantProse. Twenty-three attendees participated in the meeting. The attendees are listed in Appendix B. The presenters were Shirley Prince, NCASLD; Mary Jo Dunnington, New York City Leadership Academy; and Mary Rice-Boothe, New York City Leadership Academy (NYCLA).

OBSERVATION

Shirley Prince welcomed participants and noted that based on past suggestions, the agenda provided time to collaborate within and across teams. She introduced the topic by noting the need to make national standards related to ethics, care for students, and equity more prominent in North Carolina. Mary Jo Dunnington emphasized the timeliness of equity and acknowledged that the TPP programs are already working to strength equity education. Ms. Dunnington introduced the speaker, Mary Rice-Boothe, Chief Access and Equity Officer for NYCLA.

Dr. Rice-Boothe introduced herself and explained how she brought her experiences as a student of color, then a teacher, principal, and parent to her understanding of equity issues. She then began the day with a Four Corners activity that scaffolded from personal opinion questions to equity issues in schools. After sharing norms, including lean in and accept discomfort and expect and accept non-disclosure, the participants were asked to create a timeline of five to ten major personal education related events. Next, participants walked around the room viewing a timeline of North Carolina race and education events and adding these to their personal timeline. Participants then reflected on how these events affected them and their perceptions. The individuals then discussed how personal identity impacted their experience with education and how historical events shaped their worldview and behaviors. The facilitator then led a whole group debrief of the discussion. Participants noted ways in which history was repeating itself (e.g. Pearsall Amendment, resegregation). Participants noted that data are key. One noted that using data for equity audits can help bring equity issues to light while others noted that data can be used improperly to create less equitable educational experiences. Participants and the presenter noted how system is not working for students in special education. The facilitator noted

that policies work against the poorest kids the most and that the TPP programs are making aspiring principals at least recognize these equity issues.

After a short break, Ms. Rice-Boothe asked participants what equitable practice looks like? One participant defined it as all groups proportionally represented in all classes and receive services from interdisciplinary teams in the classroom. Another participant stated that when adults in school examine their own implicit bias and help students have a critical consciousness. After this introduction, the facilitator assigned the four working tables a topic (leadership, instruction, partnerships, and culture). Each table created a chart of equitable and non-equitable practices for their assigned topic. After working as a table team, the participants circulated around the room and added to the other charts and acknowledged commonalities.

Before breaking for lunch, the facilitator introduced five competencies that New York City Leadership Academy developed for equity and access leaders. The competencies were as follows: 1) Reflect on personal beliefs, biases, assumptions, and behaviors; 2) Publicly model a personal belief system that is student-centered and grounded in equity and access; 3) Act with cultural competence and responsiveness in interactions, decision-making, and practice; 4) Confront and alter institutional biases of student marginalization, deficit-based schooling, and low expectations associated with race; and 5) Create equitable systems and structures to promote equity with a focus on race. In table groups, the programs reflected on how to incorporate these ideas within their own principal preparation programs. Lunch was provided on site.

After lunch, Ms. Rice-Boothe led a jigsaw activity in which participants from three or four different programs met and completed the Equity Leadership Dispositions Consultancy Protocol. A group member presented their equity problem for five minutes; the other members then had five minutes to ask clarifying/probing questions. The small group discussed the issue for seven minutes and the presenter was able to reflect on what had been offered. The small groups repeated this process two more times allowing other members of the group to share their equity problems. Some of the issues that were addressed in small groups were how to increase diversity in the program, how to strengthen mentor principals, and what framework develops a shift in their equity decision-making when they are making short- and long-term decisions.

Dr. Rice-Boothe provided a handout with a list of resources to integrate equity into courses including example activities and references. To complete the reflection process, the participants stood in a circle and were allowed to voluntarily share appreciations and lingering questions. Some of the reflections were as follows:

- “Mary did a fine job today. We drove down here saying we do equity. We know equity. We don’t need someone from New York to tell us how to do this but you did teach us something.”
- “Society tolerates a lot of inequity. If we get principals who are strong and face the challenge, then students will leave those schools and expect it [equity] to happen elsewhere in life.”
- “Conversations allowed us to look more critically at our own program.”
- “I’m excited about the conversations that will happen after this. I am leaving here feeling empowered.”

As the meeting came to a close, Shirley Prince shared a story of how one principal strove to bridge the divide between the haves and the have-nots. The principal was faced with groups who did not agree, yet the principal stuck to her ideals and made a difference for the children. The key for the principal preparation programs is to develop leaders who have grit and are willing to be strong equitable leaders. Tracy Story reminded participants to complete the evaluation form.

FEEDBACK

At the end of the day, the participants were invited to complete a feedback form on the PLN meeting. Fourteen surveys were completed. A copy of the survey is located in Appendix D.

The survey began with eight Likert-scale items addressing the PLN. One hundred percent of the respondents choose either Strongly Agree or Agree for all eight Likert-scale items as indicated in **Table 1**. None of the items received Neutral, Disagree or Strongly Disagree.

Table 1. Percentage of Respondents Indicating Strongly Agree or Agree to Likert Survey Items on this PLN

Survey Item	Percentage Responding Strongly Agree or Agree
Q1. This PLN had clear objectives.	100%
Q2. This PLN was relevant to my professional development needs.	100%
Q3. This PLN was led by effective facilitators.	100%
Q4. This PLN was well structured.	100%
Q5. This PLN provided me with useful resources.	100%
Q6. This PLN was engaging.	100%
Q7. This PLN included adequate opportunities for participants to consider applications to their own professional practice.	100%
Q8. This PLN was of high quality overall.	100%

The feedback form continued with six Likert-scale items addressing the activities. (No responses were recorded for Q14. Other.) **Table 2** shows the percentage of individuals who responded Very Satisfied or Satisfied to each item.

Table 2. Percentage of Respondents Indicating Very Satisfied or Satisfied to Likert Survey Items on Activities

Survey Item	Percentage Responding Very Satisfied or Satisfied
Q9. The History of Race in NC Education	93%
Q10. How Equitable Practice Shows Up in School	100%
Q11. Dispositions of an Equitable Leader and How Principal Preparation programs Build These Skills	100%
Q12. Feedback on Strengthening Equity within Programs (Cross-team work)	93%
Q13. Strategies for Incorporating Dispositions into Pre Programs	100%

Participants' comments to the open-ended request, "Below or on back, please provide any specific thoughts and feedback you have regarding the January 2nd PLN session:" are recorded in **Table 3.**

Table 3. Please provide any specific thoughts and feedback you have regarding the January 15th PLN session:

• <i>Thank you for a well-planned, enjoyable day!</i> • <i>Awesome! Much food for thought from presentation as well as cross-team work.</i> • <i>Excellent opportunity to reflect on individual program objectives and practices and to consider and develop ways to strengthen our program.</i> • <i>Mary did a very effective job!</i> • <i>Best face to face session yet!</i> • <i>Great lunch!</i> • <i>Great session!</i> • <i>Mary did an admirable job facilitating. Great learning activities!</i> • <i>This s the best session to date. Thank you!</i>

CONCLUSIONS

The professional learning network conducted by NCASLD for TPP programs focused on equity and thoughtful consideration of how to encourage new leaders to develop their equity "muscle." The opening session of the PLN provided an opportunity for participants to review the history of equity in North Carolina. Program discussion allowed the teams to consider how principal preparation programs can build equitable leaders. The cross-team discussion gave the participants the opportunity to share and receive critical feedback on areas of concern for the programs. The day provided growth opportunities for all partners and paths to strengthen equity leadership in TPP programs.

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Appendix A: NC Transforming Principal Preparation Program PLN Winter Meeting Agenda



Transforming Principal Preparation Professional Learning Network Meeting Tuesday, January 15, 2019 9 a.m. to 3:30 p.m. Elliott University Center, UNC – Greensboro Maple Room (first floor)

9:00 AM	Welcome & Introductions	Shirley Prince NCASLD
9:15 AM	Preparing Principals to Advance Equity in Our Schools <i>Mary Rice-Boothe, the Chief Equity Officer at NYC Leadership Academy, will lead the group in an exploration of what it means to prepare our principal candidates to lead schools that nurture and educate all children. In addition to modeling activities that can engage educators in conversations about equity, Mary will introduce and facilitate a discussion of key leadership dispositions that school leaders need to develop in order to effectively identify and confront inequities in their schools.</i>	Mary Rice-Boothe NYCLA
10:30 AM	Break	
10:45 AM	Continue previous session	
12:30 PM	Lunch (Alexander Room-ground floor of Elliott University Center)	
1:30 PM	Working Session: Helping Aspiring Leaders Develop their Equity “Muscle”: What Does This Look Like in Practice? <i>During this session, we work will in smaller groups (both within program teams and across teams) to identify and unpack problems of practice and share best practices related to designing and assessing equity-related learning experiences for aspiring school leaders.</i>	Mary Rice-Boothe NYCLA
3:15 PM	Wrap-Up	Shirley Prince

Appendix B: NC Transforming Principal Preparation Program PLN Winter Meeting Attendees

Organizers and Presenters		Mary Jo Dunnington-NYC Leadership Academy Mary Rice-Boothe-NYC Leadership Academy Tracy McBride- NCASLD Shirley Prince- NCASLD Jamie Woodlief- NCASLD
Attendees by Program	HPU	Amy Holcombe
	NCSU	Brenda Champion Cathy Williams Leslie Wirt Pat Ashley Karen Anderson
	SREC	Ashley Hinson George Norris Jim Simeon Emilee Simeon
	UNCG	Kim Kapper-Hewitt Candice Nelson Annie Wimbish
	WCU	Darrius Stanley Heidi VonDohlen Jess Weiler
GrantProse Evaluation Team		Eleanor Hasse Pamela Lovin

Appendix D: NC Transforming Principal Preparation Program PLN Winter Meeting Feedback Form



TPP PLN Session Feedback January 15, 2019

Using the scale below, please indicate your level of agreement or disagreement with each of the statements listed by checking the appropriate box.

This PLN Session...	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
had clear objectives.	☐	☐	☐	☐	☐
was relevant to my professional development needs.	☐	☐	☐	☐	☐
was led by effective facilitators.	☐	☐	☐	☐	☐
was well structured.	☐	☐	☐	☐	☐
provided me with useful resources.	☐	☐	☐	☐	☐
was engaging.	☐	☐	☐	☐	☐
included adequate opportunities for participants to consider applications to their own professional practice.	☐	☐	☐	☐	☐
was of high quality overall.	☐	☐	☐	☐	☐

Using the scale below, please indicate your level of satisfaction with each of the presentations listed by checking the appropriate box.

Session	Very Unsatisfied	Unsatisfied	Neutral	Satisfied	Very Satisfied
The History of Race in NC Education	☐	☐	☐	☐	☐
How Equitable Practice Shows Up in Schools	☐	☐	☐	☐	☐
Dispositions of an Equitable Leader and How Principal Preparation programs Build These Skills	☐	☐	☐	☐	☐
Feedback on Strengthening Equity within Programs (Cross-team work)	☐	☐	☐	☐	☐
Strategies for Incorporating Dispositions into Pre Programs	☐	☐	☐	☐	☐
Other (please specify)	☐	☐	☐	☐	☐

Below or on the back, please provide any specific thoughts and feedback you have regarding the January 15th PLN session:

Equity's Place in Principal Preparation Programs

January 15, 2019

Meet the Team



Mary Rice-Boothe
Chief Access and
Equity Officer



Mary Jo Dunnington
Chief Strategic
Partnerships &
Communications
Officer

Four Corners

Four Corners

- Each round, go to the corner of the room that you most agree with
- You have to choose **just one**
- In your corner, discuss:
 - Why did you choose this answer? OR
 - What impact does your answer have on your day-to-day life, personally and professionally?

Four Corners

ROUND 1: What is your favorite vacation destination?

- A. Beach
- B. Mountains
- C. Historical Location
- D. Staycation

Why did you choose this answer?

Four Corners

ROUND 2: How many countries have you visited?

- A. Less than 3
- B. 3 - 5
- C. 5 - 10
- D. More than 10

What impact does your answer have on your day-to-day life, personally and professionally?

Four Corners

ROUND 3: What identity do you most identify with?

- A. Race
- B. Gender
- C. Socio-economic Status
- D. Home City/State

Why did you choose this answer?

What impact does your answer have on your day-to-day life, personally and professionally?

Four Corners

ROUND 4: What identity is hardest for you to talk about?

- A. Race
- B. Gender
- C. Sexual Orientation
- D. Socio-economic Status

Why did you choose this answer?

What impact does your answer have on your day-to-day life, personally and professionally?

Four Corners

ROUND 5: What area is your school struggling with the most in becoming an equitable organization?

- A. Addressing issues of race
- B. Addressing issues of gender
- C. Addressing issues of power
- D. Addressing issues of sexual orientation

Why did you choose this answer?

Four Corners

What are these answers telling us about
the work that lies ahead?

About NYCLA



Leading At the Nexus of Equity and Leadership

Outcomes, Agenda, Norms

Outcomes for the Session

- Build a joint understanding of the importance of focusing on equity in our work
- Explore the components of an equitable school
- Examine the dispositions that enable school leaders to lead for equity
- Introduce strategies for incorporating equitable practice into principal preparation programs

A
G
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D
A

1

Explore the History of Race in North Carolina Education

2

Brainstorm How Equitable Practice Shows Up in Schools

3

Unpack the Dispositions of an Equitable Leader

4

Lunch

AGENDA

5

Receive Feedback on Plans to Increase Focus on a Leadership Disposition in Prep Programs

6

Explore Strategies for Incorporating the Dispositions into Prep Programs

Norms

- Stay engaged and listen fully
- Speak your truth without blame or judgment
- Value and leverage our interconnectedness
- Foster risk-taking
- Lean in and accept discomfort
- Expect and accept non-closure

History of Race in North Carolina Education

Your Timeline

Individually write down 5-10 major education-related events in your lifetime with specific attention to the date/year it occurred.

i.e. When you started school, graduated, entered education, became a principal, district leader, when family members entered school, etc.

North Carolina/National Timeline

Circulate the room and identify major events which closely correlate to the dates that are represented on your personal timeline

Personal Reflection

- How has your experience affected you?
How has it affected your perceptions?
- Did anything surprise you?

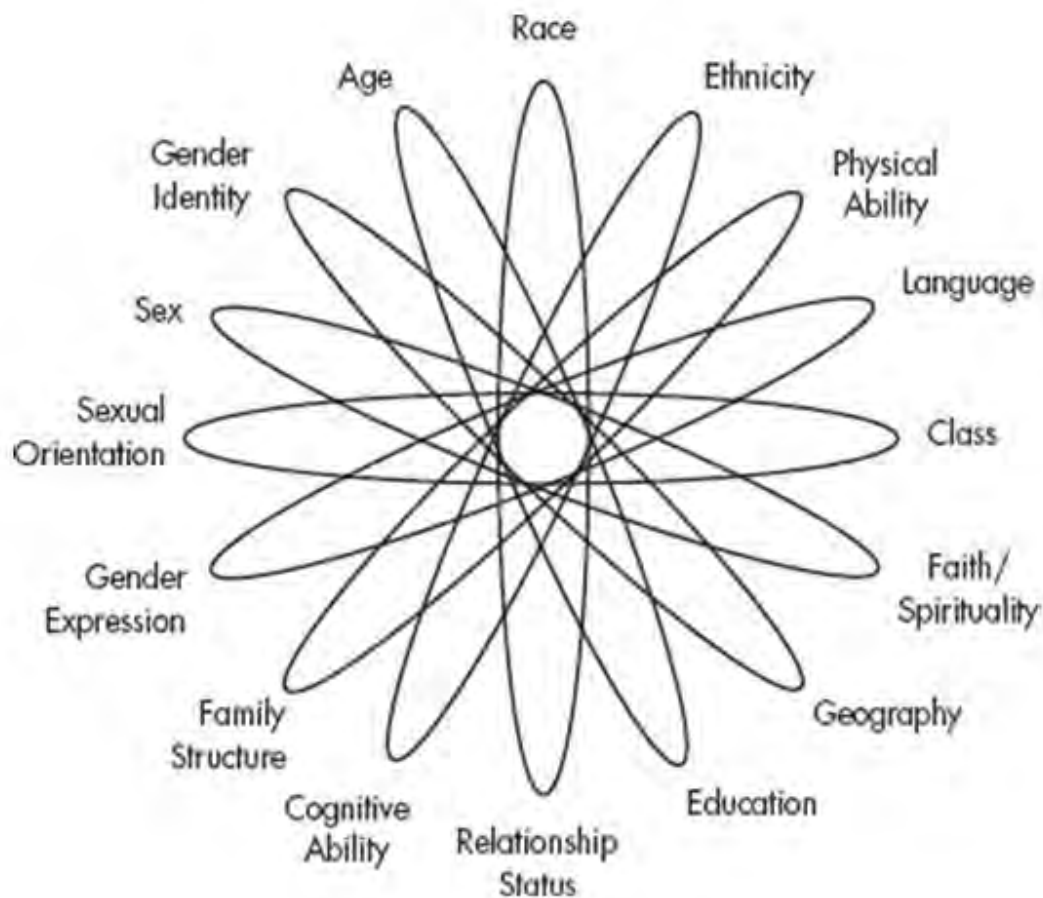
Table Conversation

- How has your personal identity impacted your experience with education?
- If it has not impacted your experience, why not?
- How do you think these events may have shaped your worldview/behaviors?

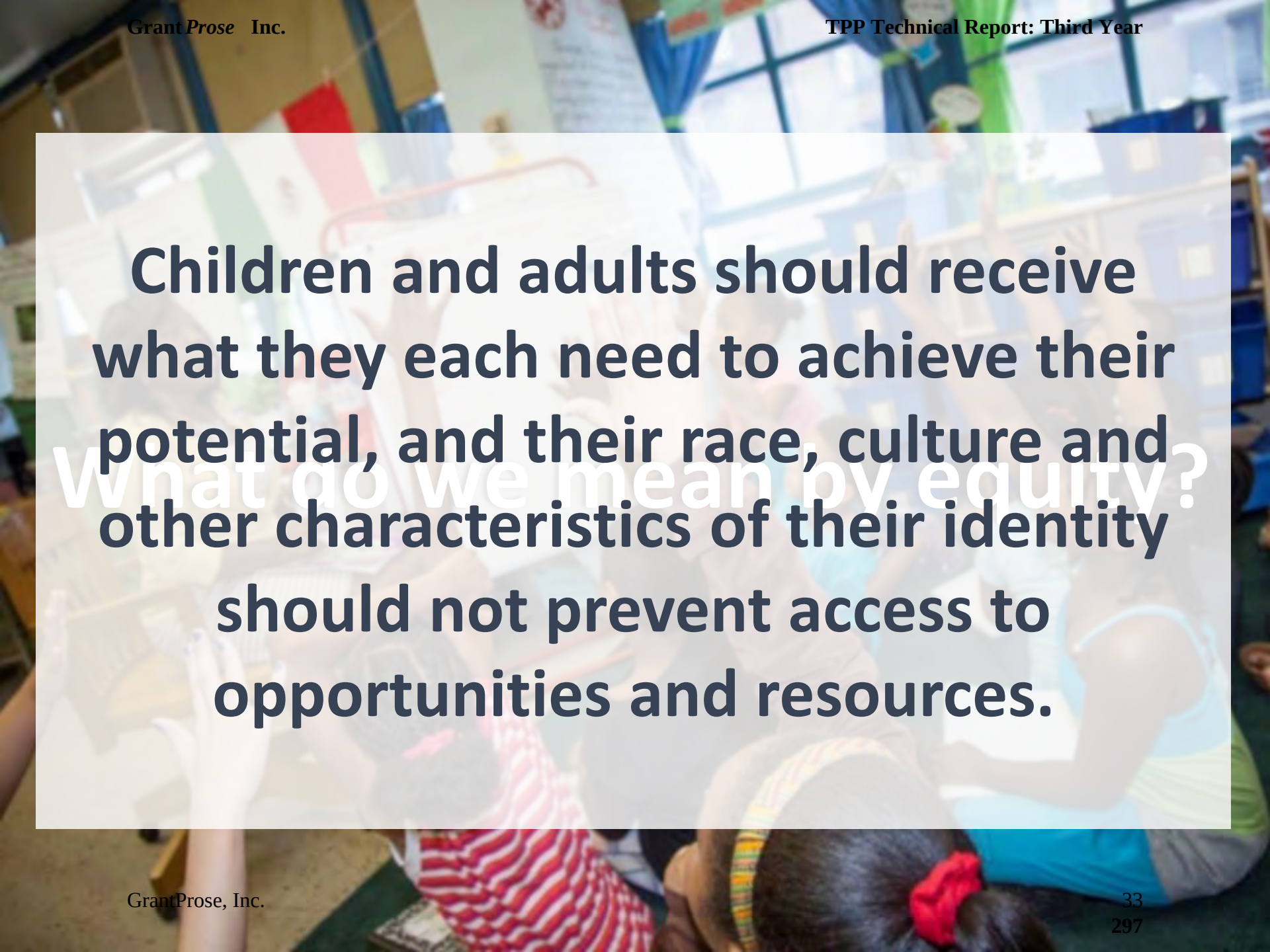
Whole Room Debrief

Reflecting on the timeline, what systems/structures/policies have led to the current state in your local district?

Identity and Equity: Why Race?



Source: Building Equity: Policies and Practices to Empower Learners by Smith, Frey, Pumpian and Fisher, 2017



Children and adults should receive what they each need to achieve their potential, and their race, culture and other characteristics of their identity should not prevent access to opportunities and resources.

What do we mean by equity?

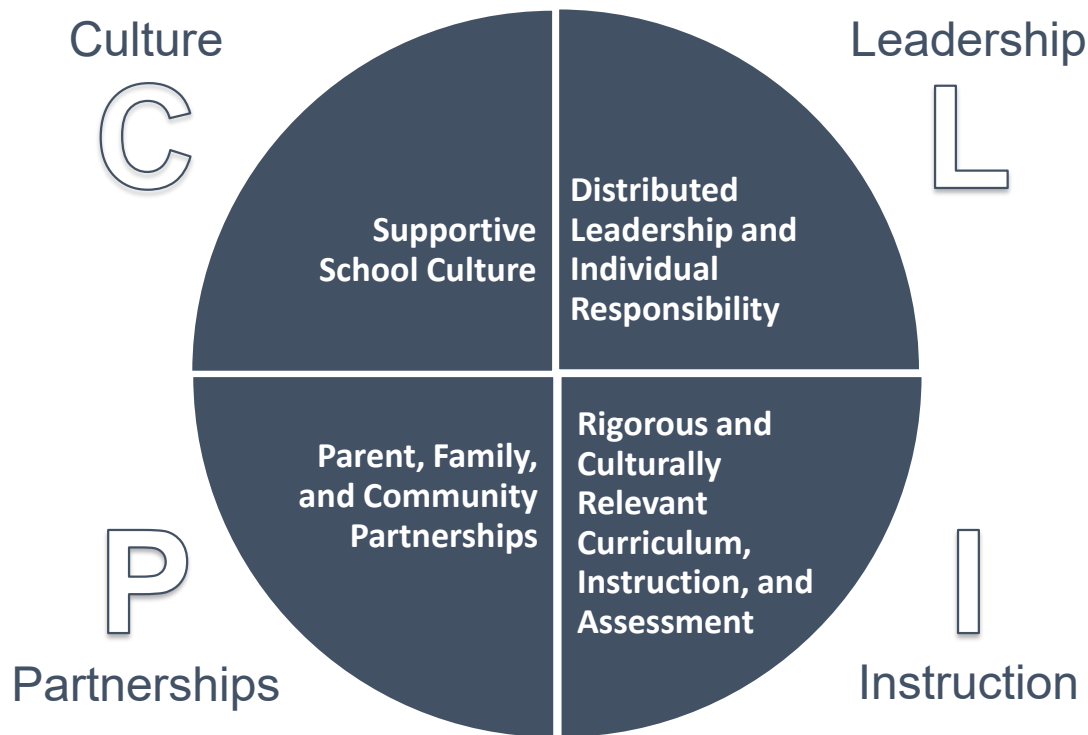
BREAK

Components of an Equitable School

Equitable School Practices

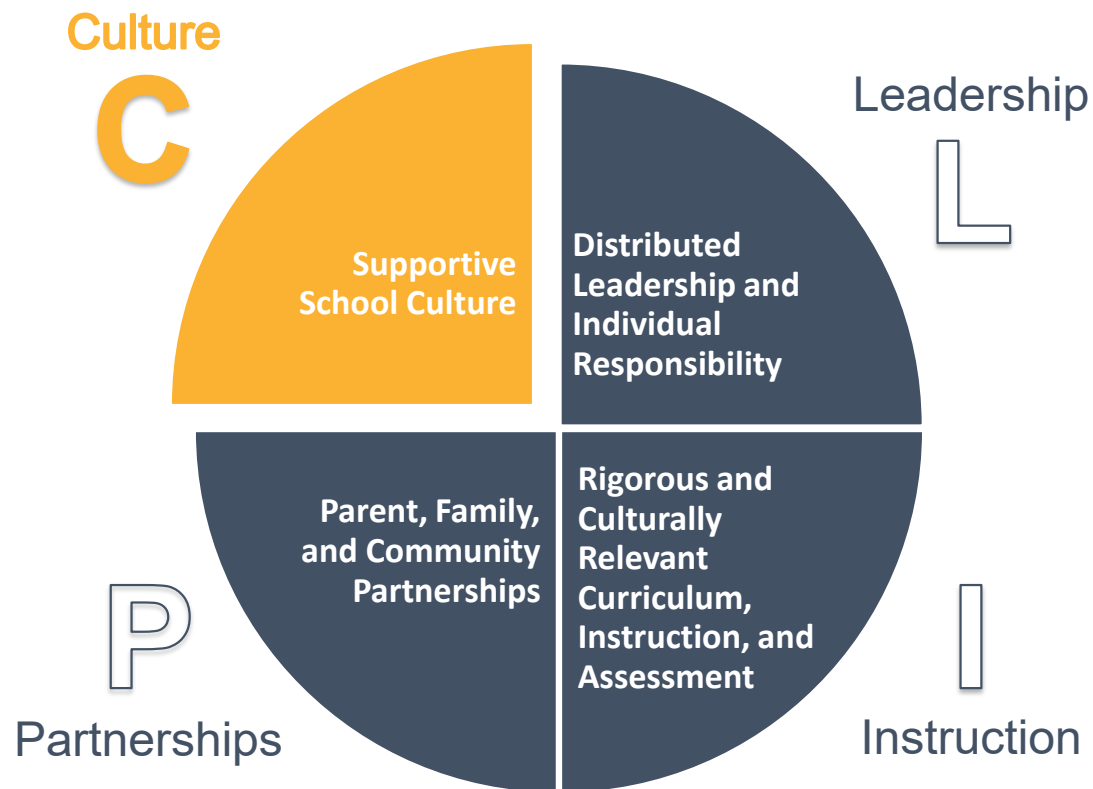
What does equitable practice mean to you?

CLIP: Equitable School Practices



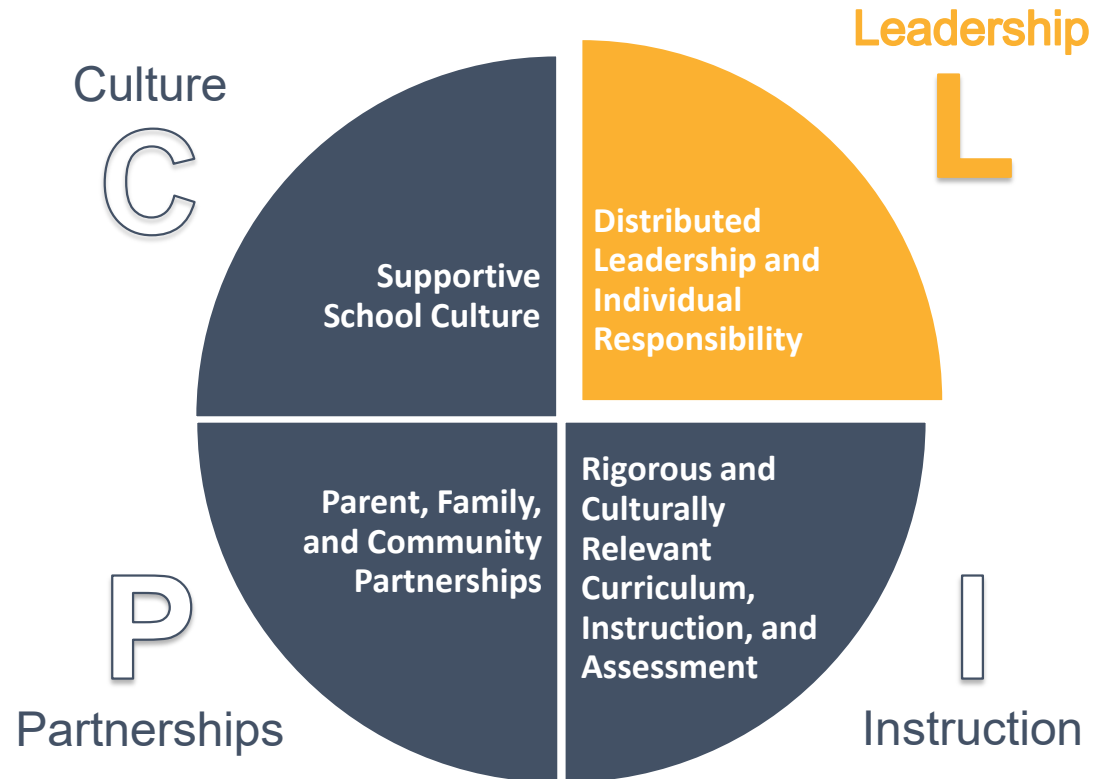
CLIP: Equitable School Practices

Supportive school culture has measurable effects on student engagement and academic performance. School culture speaks to the conditions that shape the learning environment.



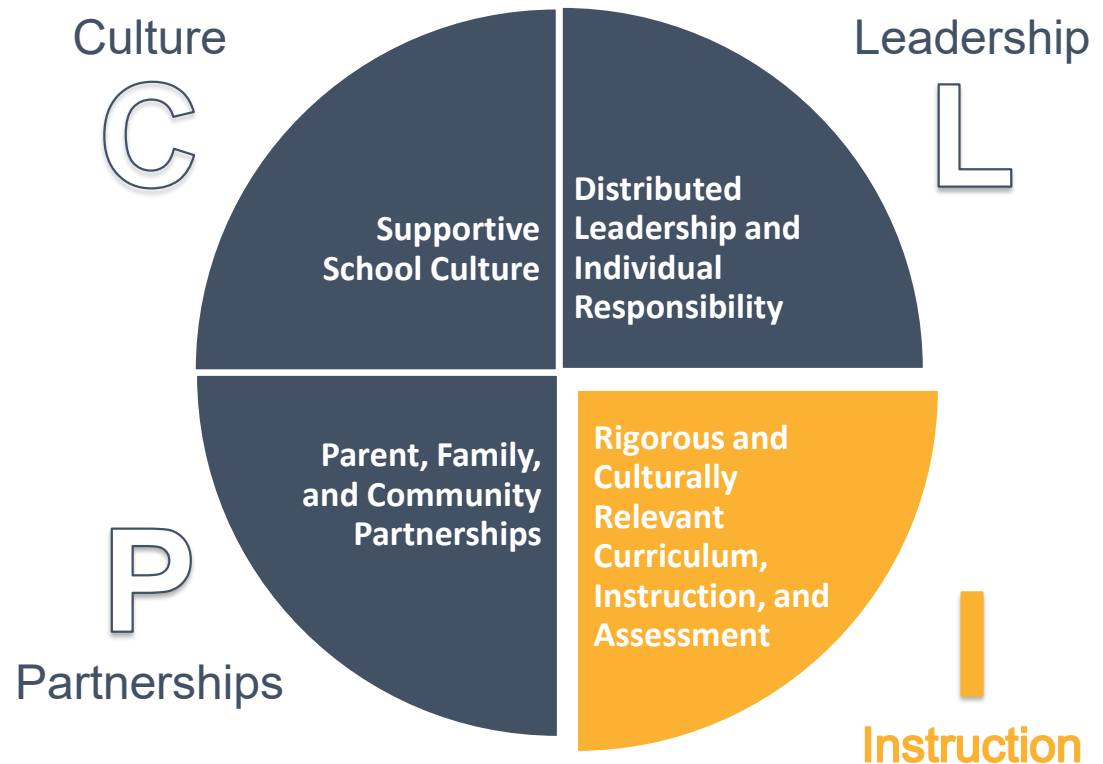
CLIP: Equitable School Practices

Effective school leaders and teachers approach teaching, learning, and leadership with a commitment to equitable outcomes for students. These school leaders and teachers have a capacity for self-reflection, an understanding of the impact of systemic racism on schools, and the skills necessary to close the opportunity and performance gaps between their students.



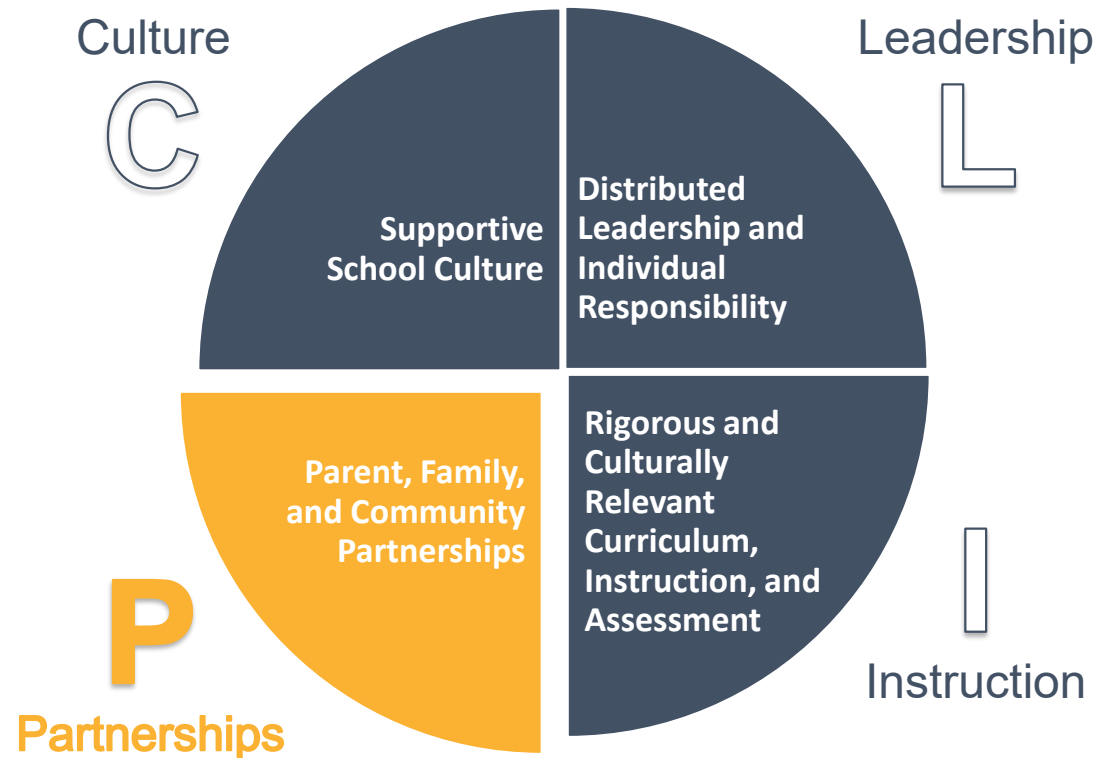
CLIP: Equitable School Practices

Rigorous and culturally relevant instruction ensures that students have access to appropriately challenging learning experiences, like AP courses. In order to create these classrooms, educators must align curriculum, instruction, and assessment.



CLIP: Equitable School Practices

Parents and family members want their children to do well in school. Thoughtful and respectful school partnership with these key stakeholders improves involvement and academic outcomes for students.



CLIP: Equitable School Practices

In your group, consider your assigned equitable practice area and chart responses to the following questions:

- Where have you seen evidence of equitable practice in the work you do / have done with schools?
- Where have you seen evidence of inequitable practice?

Equitable School Practices Gallery Walk

One member of the group stays with the chart paper and the other group members travel around the room. As you travel:

- What do you agree / disagree with?
- What questions do you have?

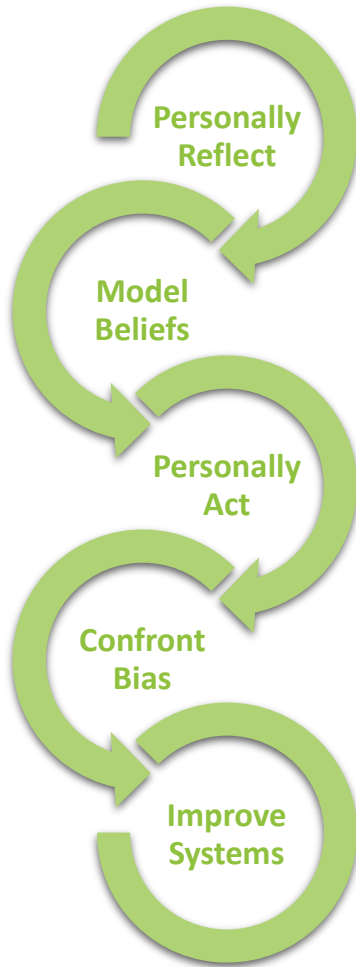
School-Level Equity Diagnostic

NYCLA's Leading for Equity tool is designed for the school leader who is aware of issues related to race in their school and is struggling to identify an entry point for addressing those issues. It guides leaders to:

- **Understand** their leadership in the area of racial equity
- **Identify** the current state of racial equity in their school and narrow a focus for moving forward
- **Surface** leadership implications for the school leader and other members of the school community

Equity Leadership Dispositions

Equity Leadership Dispositions



Personally Reflect: Reflect on personal assumptions, beliefs and behaviors

Model Beliefs: Publicly model a personal belief system that is student centered and grounded in equity

Personally Act: Act with cultural competence and responsiveness in interactions, decision-making and practice

Confront Bias: Confront and alter institutional biases of student marginalization, deficit-based school, and low expectations associated with race

Improve Systems: Create systems and structures to promote equity with a focus on race

Equity Leadership Dispositions

At tables, discuss:

What experiences / assignments should be incorporated into a principal preparation program to build leaders' abilities against these dispositions?

Equity Leadership Dispositions

With others at your university:

- Which of these dispositions do you think your preparation program is adequately addressing, and how are you doing it?
- Which aren't you focusing on enough?
- How might you incorporate more work on the dispositions that you aren't focusing on?

Everyone will need to present in the afternoon, so keep track of what your group is discussing!

LUNCH

One Word

One Word

- Stand up and find a partner **who you weren't sitting with in the morning**
- Think of **one word** that describes how you are feeling about your morning experience and/or that describes your hopes for this afternoon
- **Share** the word with your partner, and why you chose it

Incorporating the Dispositions

Equity Leadership Dispositions

Revisit these questions with others at your university:

- Which of these dispositions do you think your preparation program is adequately addressing, and how are you doing it?
- Which aren't you focusing on enough?
- How might you incorporate more work on the dispositions that you aren't focusing on?

Next Step: Construct a question you would like help answering from other programs based on the results of your self-assessment.

Consultancies

Each presenter will have 20 minutes, divided in the following way:

- Presentation (5 minutes)
- Clarifying / Probing Questions (5 minutes)
- Group Discussion (7 minutes)
- Reflection (3 minutes)

Choose participants at each table to play the role of:

- Timekeeper
- Facilitator to keep the group moving

Consultancies

How do we implicate ourselves?

What resources do we need to push this work forward?

Integrating the Dispositions

Reflect on Personal Assumptions, Beliefs, and Behaviors

- Write personal racial autobiographies
- Do a friend audit. Note the genders, race and ethnicities of your 5 closest friends. If they are not diverse and representative of your students, find a way to hear the stories of others
- Cultural competency training that focuses on how to recognize own bias and its impact on your leadership approach and interactions with stakeholders
- Personal one-on-one coaching that focuses on how to recognize own bias and its impact on your leadership approach and interactions with stakeholders

Integrating the Dispositions

Publicly Model a Personal Belief System That Is Student Centered and Grounded in Equity

- Write and practice communicating a clear vision that is grounded in equity and which promotes the cultural, racial and linguistic diversity of the community as an asset.
- Develop racial affinity groups that allow participants to practice modelling a personal belief system in a safe environment

Integrating the Dispositions

Act with Cultural Competence and Responsiveness in Interactions, Decision-Making, and Practice

- Do a listening tour. Ask parents, students, departing and remaining staff of color to share their story being in the school building. And just listen.
- Conduct a curriculum audit where you assess:
 - Does curriculum ignore or diminish the value of students' cultural backgrounds?
 - Are all aspects of the curriculum culturally relevant, respectful, and accurate?
 - Do curricular units offer all students choice and the opportunity to think critically about authentic problems?

Integrating the Dispositions

Confront and Alter Institutional Biases of Student Marginalization, Deficit-Based Schooling, and Low Expectations Associated with Race

- Conduct an equity audit paying attention to how the school provides access and opportunities to traditionally marginalized students
- Observe and give feedback to educators based on evidence of their cultural competency in the classroom or school
- Develop a framework for an accountability team (or series of teams) that regularly examines school and district data and the results of parent/student surveys for signs of inequity and is empowered to make changes to the system based on their findings
- Review the district's teacher and leader development pipeline. Does it start with teacher's aides and family workers and supports in gaining credentials necessary to be classroom teachers and leaders?

Integrating the Dispositions

Create Systems and Structures to Promote Equity with a Focus on Race

- Analyze your principal preparation program to see if it integrates key characteristics of culturally responsive principal preparation leadership program:
 - Vision: Does the program mission statement call out the importance of developing culturally responsive school leaders and recognize the impact of racism on students?
 - Personnel: Are the faculty of the program diverse and bring diverse experiences into the position? Is there an expectation that faculty use culturally relevant pedagogy with aspiring leaders?
 - Curriculum: Does all course syllabi integrate conversations about race, inequities and culturally responsive leadership? Do syllabi include critique of school policy and larger societal issues?
 - Fieldwork: Does fieldwork experiences integrate gathering information about the school community and community stakeholders' experiences with the school? Are there fieldwork experiences that target parental involvement, student voice and community activism?

Integrating the Dispositions

Review the suggestions for integrating the NYC Leadership Academy Equity Leadership Dispositions into principal preparation programs.

- Do any of the activities seem doable to try for next semester? What obstacles might you face?

Closing Reflection & Evaluation

Evaluation

www.tinyurl.com/NYCLAFeedback

Date: 01/15/2019

Facilitator: Mary Rice-Boothe



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www.grantproseinc.com

OBSERVATION REPORT

NC Transforming Principal Preparation Program PLN: Spring 2019 Meeting

Released: June 2019

Bill Carruthers, Pamela Lovin, Janey Sturtz McMillen, and Eleanor Hasse

OVERVIEW

The North Carolina Association for School Leadership Development (NCASLD) hosted the NC Transforming Principal Preparation (TPP) Program Professional Learning Network (PLN) Spring Meeting on Tuesday, April 2, 2019 at the Center for School Leadership Development at the University of North Carolina at Chapel Hill in Chapel Hill, North Carolina. The meeting lasted from 10:00am to 3:30pm. The agenda is provided in Appendix A. The conference room was arranged in eleven table groups where each program sat as a group to facilitate discussion. All five principal preparation programs attended along with other stakeholders, such as mentor principals, GrantProse and SEAA. Twenty-three attendees participated in the meeting. The attendees are listed in Appendix B. The presenters were Shirley Prince, NCASLD; Mary Jo Dunnington, New York City Leadership Academy; David Rease Jr., New York City Leadership Academy; and Marlene Filewich, New York City Leadership Academy (NYCLA).

OBSERVATION

Shirley Prince welcomed participants and noted that the meeting would focus on mentor principals. Mary Jo Dunnington introduced the speakers, David Rease Jr. and Marlene Filewich, from NYCLA. The speakers did a quick icebreaker to see who was in the room. The outcomes for the day were introduced: build an understanding of effective mentoring practices, identify the conditions for a strong mentoring relationship, understand the elements of mentor competencies, connect program standards to effective leadership experiences, and explore strategies to strengthen mentor programs.

After displaying the quote: “Every great achiever is inspired by a great mentor” by Laila Gifty Akita, the participants were encouraged to think for one minute about the characteristics of a relationship that encouraged them to do better. Attendees shared some of their ideas. After discussing the norms for the day, participants completed a “Lift a Line Text-based Protocol.” Individuals read “The Essences of Coaching-Research Quotes” for three minutes and picked two quotes. Next, the participants formed triads and one member shared his quotes for two minutes, others in the triad responded for one minute and the initial member reflected on the responses for two minutes. This process of sharing and reflecting was repeated for the other two triad members. David Rease Jr. debriefed the activity with the whole group and asked probing questions, such as “How do we build in time in the program for people to reflect?” A break was provided.

Marlene Filewich distributed the handout “Mentor Competencies” and asked attendees to review the list and identify which of the four key roles was important. The four key roles were as follows: delegate authority to the aspiring principal, be transparent about decision-making and share mistakes, model effective leadership practices, and provide targeted feedback about areas for growth. These roles were written on posters and placed around the room. Participants choose which role they thought was most important and gathered at that poster for an “alike” group discussion. The largest group was the “model effective leadership practices” one and the smallest group was the “delegate authority to the aspiring principal” one. After a short discussion on what the mentee would learn if this is all they were taught, the participants regrouped with the role that they thought was next most important for mentors.

Before braking for lunch, Ms. Filewich displayed Standard 2 for the NC standards for principals and led the whole group in a discussion of how a mentee would demonstrate proficiency in this standard. Next, each program chose a standard and wrote on a poster how the mentee would demonstrate proficiency for the standard. After the groups created their lists, the participants went on a gallery walk and reviewed and added to others lists. Lunch was provided on site.

The afternoon was set aside for program team planning. After reviewing mentor competencies, program groups were asked to discuss an aspect of the mentor competencies that the program would like to explore more deeply. The program group decided on a question that they would be willing to share with other attendees. Participants counted off to form inter-program groups for consultancies. During the consultancy, one member in the small group presented their question for two minutes. Other group members asked clarifying and probing questions for four minutes. While the person presenting their question listened, the small group discussed the issue for six minutes. Finally the questioner reflect on what they heard for three minutes. This process was repeated until all members of the small group presented.

Several people shared the ideas discussed in their small groups. Participants were fully engaged in the small and large group discussions. Several participants wished that they had a matrix of projects, texts and activities used by each program. NYCLA shared several electronic resources including a sample residency compact. All participants were reminded to complete the evaluation form.

FEEDBACK

At the end of the day, the participants were invited to complete a feedback form on the PLN meeting. Fourteen surveys were completed. A copy of the survey is located in Appendix D.

The survey began with eight Likert-scale items addressing the PLN. One hundred percent of the respondents choose either ‘Strongly Agree’ or ‘Agree’ for five of the eight Likert-scale items as indicated in **Table 1**. None of the items received ‘Neutral’, ‘Disagree’ or ‘Strongly Disagree’.

Table 1. Percentage of Respondents Indicating ‘Strongly Agree’ or ‘Agree’ to Likert Survey Items on this PLN

Survey Item	Percentage Responding ‘Strongly Agree’ or ‘Agree’
Q1. This PLN had clear objectives.	100%
Q2. This PLN was relevant to my professional development needs.	100%
Q3. This PLN was led by effective facilitators.	100%
Q4. This PLN was well structured.	100%
Q5. This PLN provided me with useful resources.	95%
Q6. This PLN was engaging.	100%
Q7. This PLN included adequate opportunities for participants to consider applications to their own professional practice.	90%
Q8. This PLN was of high quality overall.	95%

The feedback form continued with six Likert-scale items addressing the activities. (No responses were recorded for Q12. Other.) **Table 2** shows the percentage of individuals who responded ‘Very Satisfied’ or ‘Satisfied’ to each item.

Table 2. Percentage of Respondents Indicating ‘Very Satisfied’ or ‘Satisfied’ to Likert Survey Items on Activities

Survey Item	Percentage Responding ‘Very Satisfied’ or ‘Satisfied’
Q9. The Role of Mentor Principals in Effective Principal Preparation	95%
Q10. Building the Capacity of Mentor Principals to Support Standards-Based Learning for Aspiring School Leaders	90%
Q11. Strengthening Work with Mentor Principals: Cross-Program Sharing and Exploration of Problems of Practice	91%

Participants’ comments to the open-ended request, “Below or on back, please provide any specific thoughts and feedback you have regarding the April 2nd PLN session:” are recorded in **Table 3**.

Table 3. Please provide any specific thoughts and feedback you have regarding the April 2nd PLN session:

• Great sharing day with focus. • A true PLN! Learning from others but in a great structured activity-based day that led to productivity. • Enjoyed the conversation! • Got good ideas/concepts. Wish we had time with our team at the end of the day to reflect, debrief, and plan, based on what we learned today. • Exceptionally good/effective seminar/workshop?

- Appreciated that PD was focused and on task. Thank you!
- Great, rich conversations that will effect change.
- I enjoyed the opportunity to share information with others and learning from them.”

CONCLUSIONS

The professional learning network conducted by NCASLD for TPP programs focused on the role of and support for mentor principals. The opening session of the PLN provided an opportunity for participants to discuss the role of mentor principals. Program discussion allowed the teams to consider how to build capacity of mentor principals. The cross-team discussion gave the participants the opportunity to share and explore problems encountered with mentor principals. The day provided growth opportunities for partners and paths to mentor principal capacity in TPP programs.

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Appendix A: NC Transforming Principal Preparation Program PLN Spring Meeting Agenda



Great Mentors Build Great Leaders

Tuesday, April 2, 2019

10:00 am – 3:15 pm

Session Outcomes

- o Build an understanding of effective mentoring practices
- o Identify the conditions for a strong mentoring relationship
- o Understand the elements of mentor competencies
- o Connect program standards to effective leadership experiences
- o Explore strategies to strengthen mentoring programs

Agenda

AM

10:00am – 12:30pm

- o Welcome, Ice Breaker, Session Outcomes and Agenda
- o Envisioning, Norms, Conditions for Learning
- o Research About the Essence of Mentoring
- o Mentor Competencies
- o How Standards Guide Effective Leadership Experiences

12:30pm – 1:15pm - Lunch

PM

1:15pm – 3:15pm

- o Program Team Reflections
- o Consultancies on Competencies
- o Sharing Resources
- o Closing

Appendix B: NC Transforming Principal Preparation Program PLN Spring Meeting Attendees

Organizers and Presenters		Mary Jo Dunnington-NYC Leadership Academy David Rease Jr.-NYC Leadership Academy Marlene Filewich-NYC Leadership Academy Tracy McBride- NCASLD Shirley Prince- NCASLD Jamie Woodlief- NCASLD
Attendees by Program	HPU	Amy Holcombe Debra Barnham
	NCSU	Brenda Champion Leslie Wirt Pat Ashley Karen Anderson Gregory Hicks Jill Freeman Robert Grant Michelle Casey
	SREC	Ashley Hinson George Norris Jim Simeon Emilee Simeon A.J. Hammond Peggy Hester Kim Robertson
	UNCG	Kim Kapper-Hewitt Candice Nelson Mark Rumley Donna Peters Valerie Feezor Dana Albright-Johnson Debbie Sheron Paige Badgett
	WCU	Heidi VonDohlen Jess Weiler
GrantProse Evaluation Team		Bill Carruthers Eleanor Hasse Pamela Lovin Janey Sturtz McMillan
SEAA		Terrance Scarborough

**Appendix C: NC Transforming Principal Preparation Program PLN Spring Meeting
Power Point**



Meet the Team



Mary Jo Dunnington

Chief Strategic
Partnerships
&
Communications
Officer



Marlene Filewich

Vice-President
School Leadership
Programs



David Rease, Jr.

National
Designer
&
Facilitator

NYC
LEADERSHIP
ACADEMY

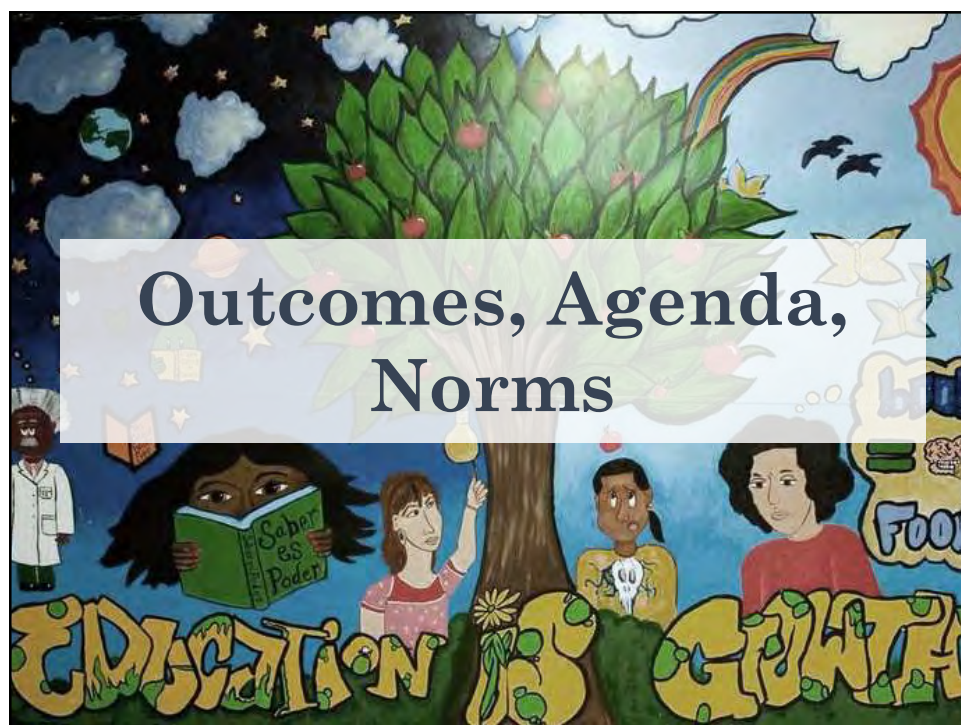
About NYCLA



Working with
Mentors and
APP Programs
Since
2003

- Trained more than 400 mentors in NYC
- Trained program directors and mentors in 10+ states including:
 - ❖ Delaware
 - ❖ Massachusetts
 - ❖ New York
 - ❖ Rhode Island
 - ❖ South Carolina
 - ❖ Cleveland, OH
 - ❖ Denver, CO
 - ❖ Fort Wayne, IN
 - ❖ Maricopa County, AZ
 - ❖ Minneapolis, MN
 - ❖ Washington, DC

Leading At the Nexus of Equity and Leadership



Outcomes for Today's Session

- Build an understanding of effective mentoring practices
- Identify the conditions for a strong mentoring relationship
- Understand the elements of mentor competencies
- Connect program standards to effective leadership experiences
- Explore strategies to strengthen mentoring programs



AGENDA

1

Envisioning and Conditions for Learning

2

The Essence of Mentoring - What Does the Research Say?

3

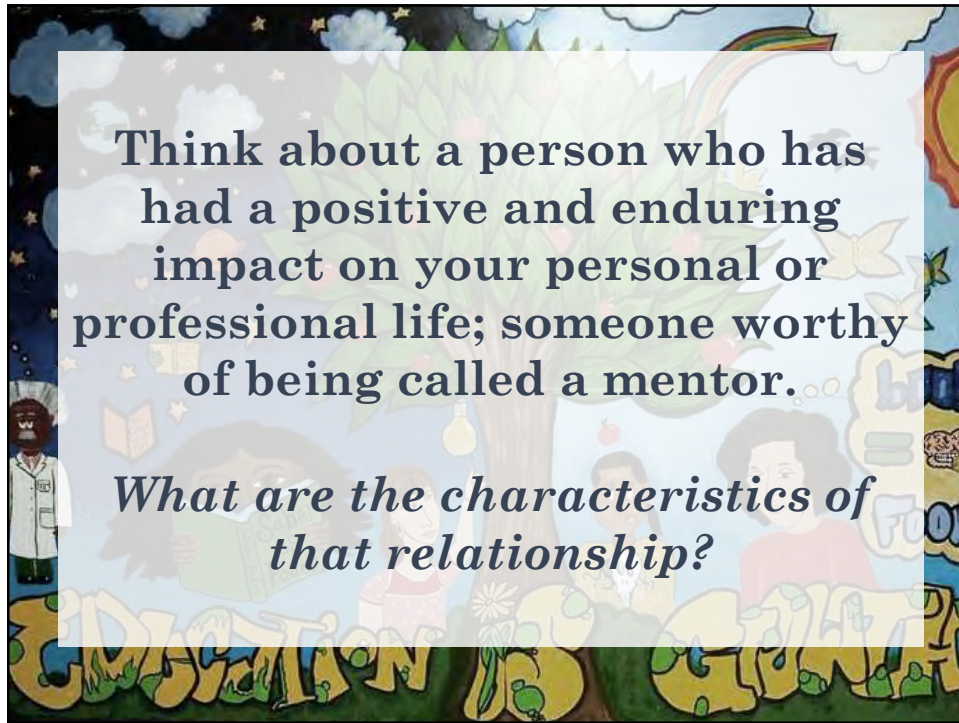
Mentor Competencies

4

How Standards Guide Effective Leadership Practices







Norms

- Stay engaged and listen fully
- Speak your truth without blame or judgment
- Value and leverage our interconnectedness
- Foster risk-taking
- Lean in and accept discomfort
- Expect and accept non-closure
- Others? _____

The Essence of Mentoring

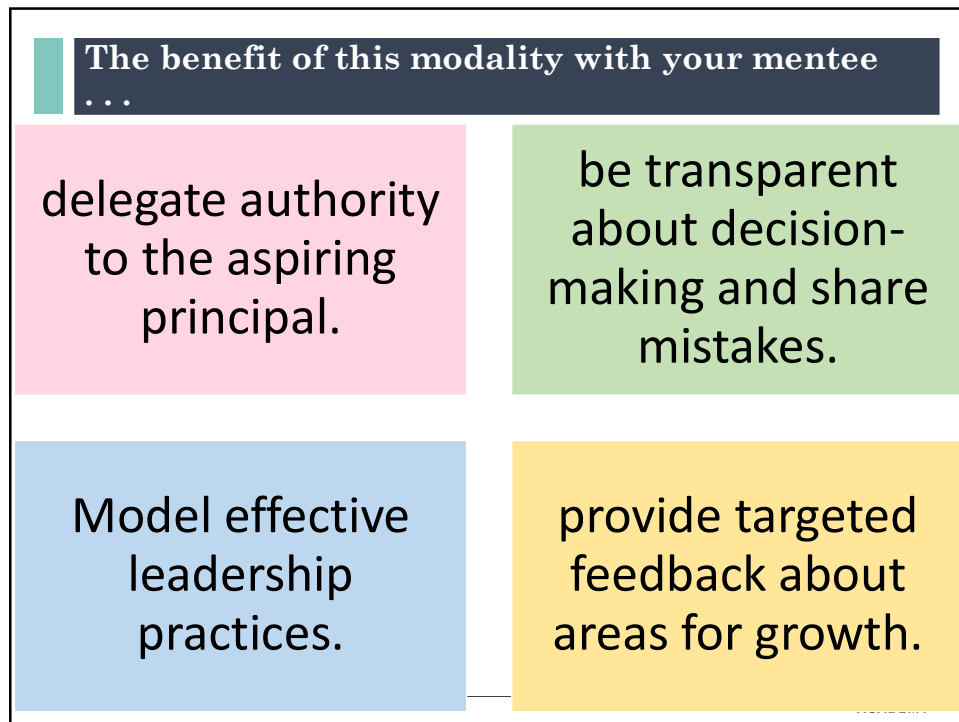
What does the research say?

Lift A Line Text-based Protocol

Triad Work :

- Select a facilitator and timekeeper
- Individually read the quotes and select two quotes that resonate with you (2 mins)
- Each person will read the selected quote & discuss why it resonated (2 mins)
- Others in the triad will respond (1 min pp)
- Presenter reflects on the responses(2 mins)
- Continue for two additional rounds





How Standards Guide Effective Leadership Experiences

Sometimes an activity is a task and sometimes that same activity is leadership.

— Barbara Neufeld, Anne Levy, Sara Schwartz Chrismer,
The Boston School Leadership Institute: 2004-2005 Evaluation Report



Standard 2: Instructional Leadership

School executives will set high standards for the professional practice of 21st century instruction and assessment that result in a no-nonsense, accountable environment. The school executive must be knowledgeable of best instructional and school practices and must use this knowledge to cause the creation of collaborative structures within the school for the design of highly engaging schoolwork for students, the on-going peer review of this work and the sharing of this work throughout the professional community.



Standard 2: Instructional Leadership

School executives will **set high standards** for the professional practice of 21st century instruction and assessment that result in a no-nonsense, accountable environment. The school executive must be **knowledgeable of best instructional and school practices** and must use this knowledge to **cause the creation of collaborative structures within the school for the design of highly engaging schoolwork for students**, the on-going **peer review of this work** and the **sharing of this work throughout the professional community**.



Prompt

What experiences or activities would allow your mentee to demonstrate proficiency in this standard?



LUNCH



In Program Teams....

- Review mentor competencies
- Discuss an aspect of these competencies your program would like to explore more deeply; one that your program would like to focus on
- Decide on a question you would like to share with colleagues across programs

Consultancies

Consultancies

Each table will choose a facilitator (to keep the discussion moving) and a timekeeper.

Each round is 15 minutes, divided in the following way:

- Presenter poses a question (2 mins.)
- Clarifying/Probing questions (4 mins.)
- Group Discussion while presenter listens (6 mins.)
- Reflection by the presenter (3 mins.)

Continue rounds until all participants have presented.



Resources

Four, Three, Two, One...

Closing

Evaluation

Thank You!

Appendix D: NC Transforming Principal Preparation Program PLN Spring Meeting Feedback Form



TPP PLN Session Feedback

April 2, 2019

Using the scale below, please indicate your level of agreement or disagreement with each of the statements listed by checking the appropriate box.

This PLN Session...	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
had clear objectives.	☐	☐	☐	☐	☐
was relevant to my professional development needs.	☐	☐	☐	☐	☐
was led by effective facilitators.	☐	☐	☐	☐	☐
was well structured.	☐	☐	☐	☐	☐
provided me with useful resources.	☐	☐	☐	☐	☐
was engaging.	☐	☐	☐	☐	☐
included adequate opportunities for participants to consider applications to their own professional practice.	☐	☐	☐	☐	☐
was of high quality overall.	☐	☐	☐	☐	☐

Using the scale below, please indicate your level of satisfaction with each of the presentations listed by checking the appropriate box.

Session	Very Unsatisfied	Unsatisfied	Neutral	Satisfied	Very Satisfied
The Role of Mentor Principals in Effective Principal Preparation	☐	☐	☐	☐	☐
Building the Capacity of Mentor Principals to Support Standards-Based Learning for Aspiring School Leaders	☐	☐	☐	☐	☐
Strengthening Work with Mentor Principals: Cross-Program Sharing and Exploration of Problems of Practice	☐	☐	☐	☐	☐
Other (please specify)	☐	☐	☐	☐	☐

Below or on the back, please provide any specific thoughts and feedback you have regarding the April 2nd PLN session:

HIGHLIGHTS OF THE 2018-19 TPP ANNUAL REPORT

Report 4.04

William Carruthers, Eleanor Hasse, & Pamela Lovin ¹

Released October 2019

OVERVIEW

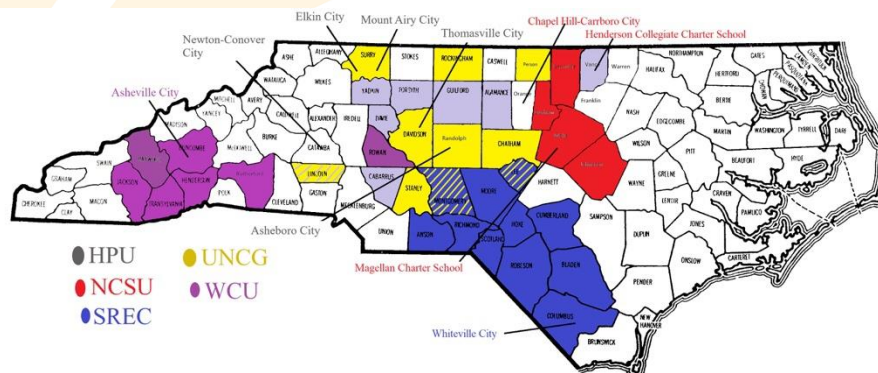
This report was originally developed for the North Carolina Alliance for School Leadership Development (NCASLD) to share with the recently constituted North Carolina Principal Fellows and TP3 Commission (TP3 Commission). Repurposed here, the report summarizes the most significant findings and considerations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

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)*

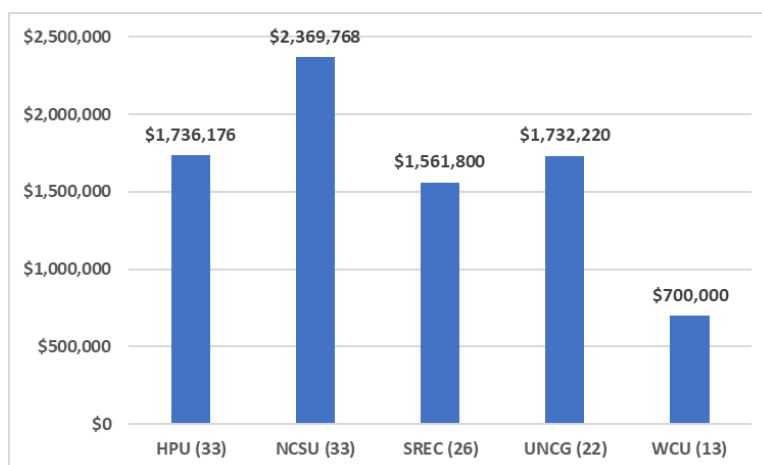
These Providers completed one cycle of grant programs during the 2016-18 period graduating 118 participants. A second cycle is now underway for the 2018-20 period with 127 participants enrolled. In 2018-19, the Providers established partnerships with 47 Local Educational Agencies (LEA) in 37 of North 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



¹ 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.

² 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.

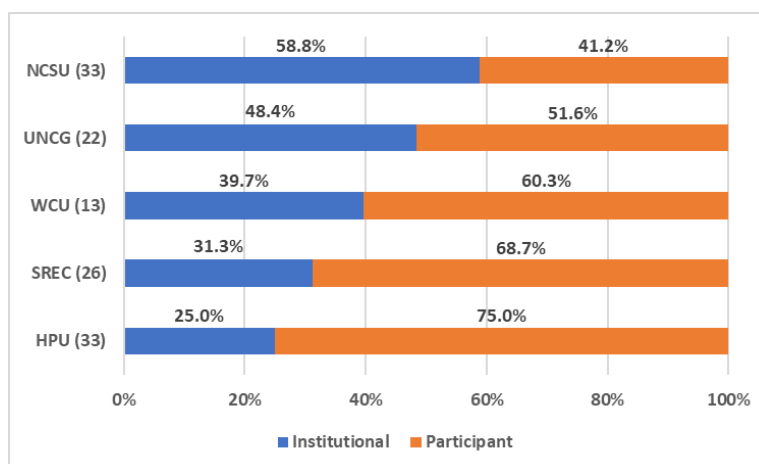
Table 1. Enrollment and Placement as Principals or Assistant Principals (P/AP)					
	HPU	NCSU	SREC	UNCG	WCU
2016-18 Funding Cycle					
Number of partnering LEAs	7	4	13	11	18
Number of individuals initially enrolled in the program	30	34	26	20	10
Number and percentage of individuals securing P/AP positions 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%)
2018-20 Funding Cycle					
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.³

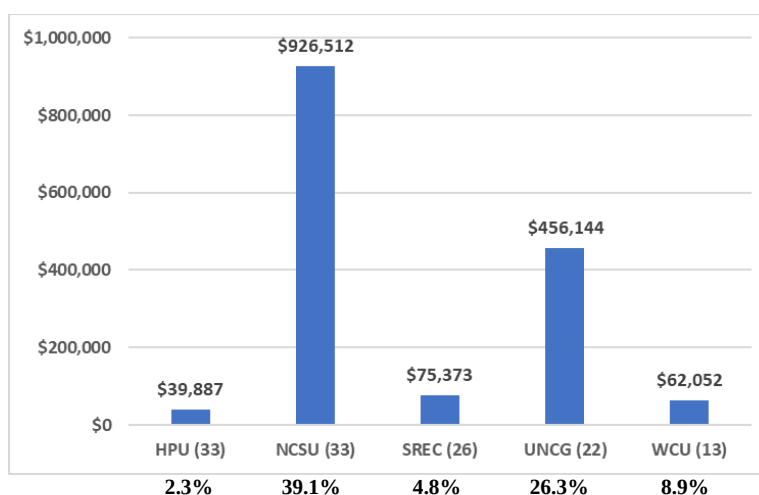
³ **Figures 3 through 7** are derived from adding together expenditures Providers reported for the 2018-19 year and projected expenditures for the 2019-20 year indicated in budget proposals approved by NCASLD in May 2019 for HPU and SREC and in August 2019 for NCSU, UNCG and WCU. **Appendix A** at the 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

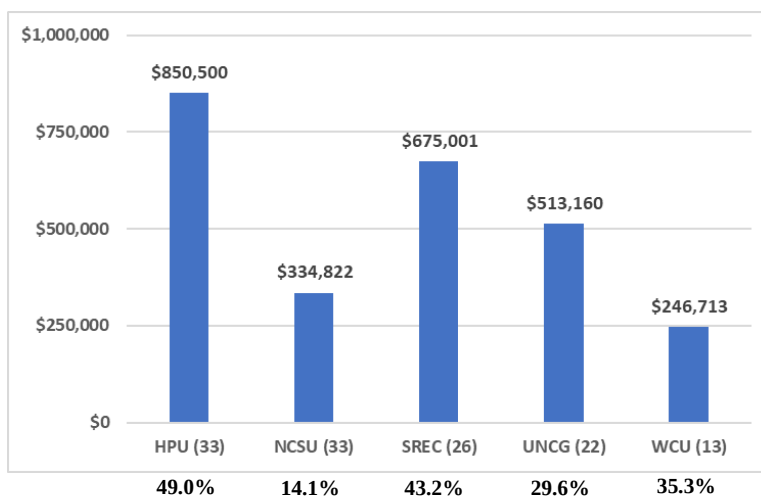
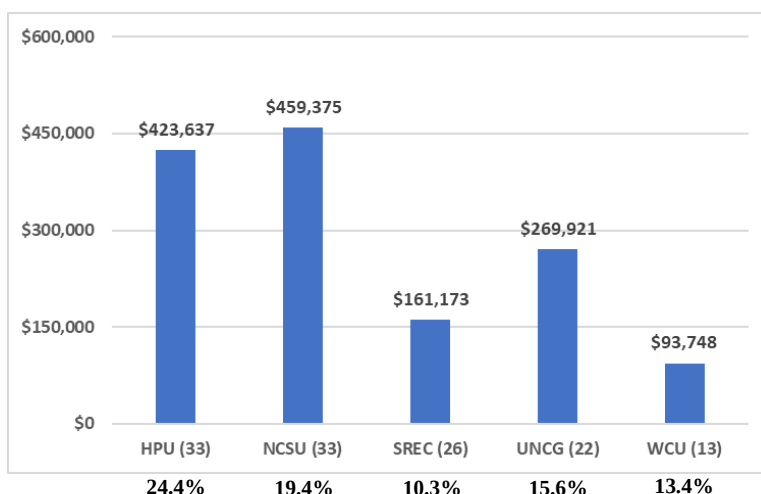


Figure 6. Actual and Projected Expenditures for Participant Tuition/Fees from TPP Funds: 2018-19

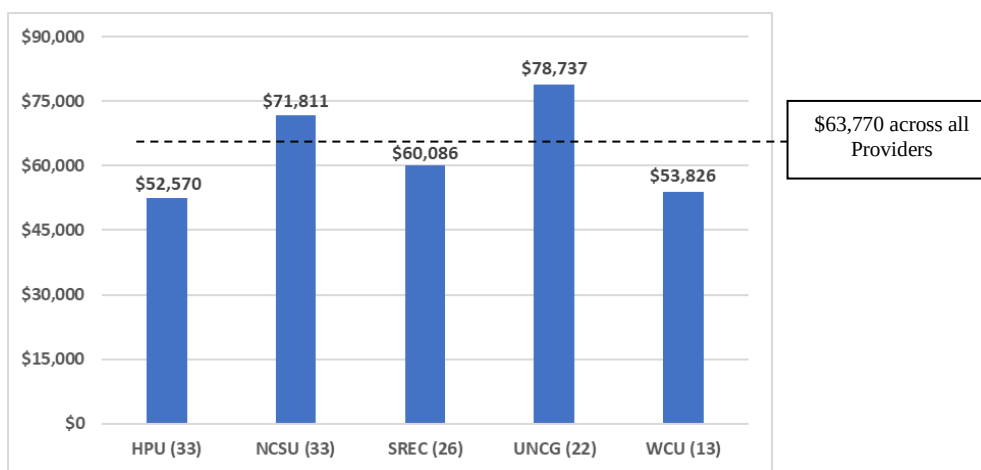


Considering all expenses associated with TPP funds—institutional and participant—the average per participant cost across the five Providers is \$63,770 for the 2-year 2018-20 performance period.⁴ This average varies from \$52,570 at HPU to \$78,737 at UNCG as shown in **Figure 7**.

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.

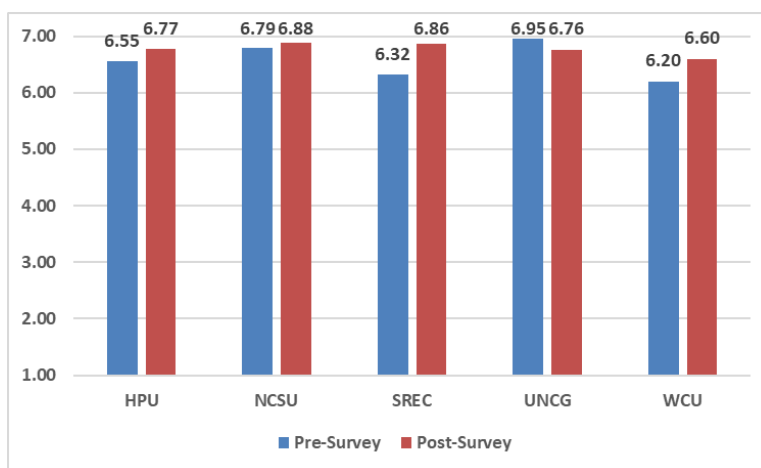
⁴ This average assumes that the Providers fully expend their 2019-20 budgets.

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

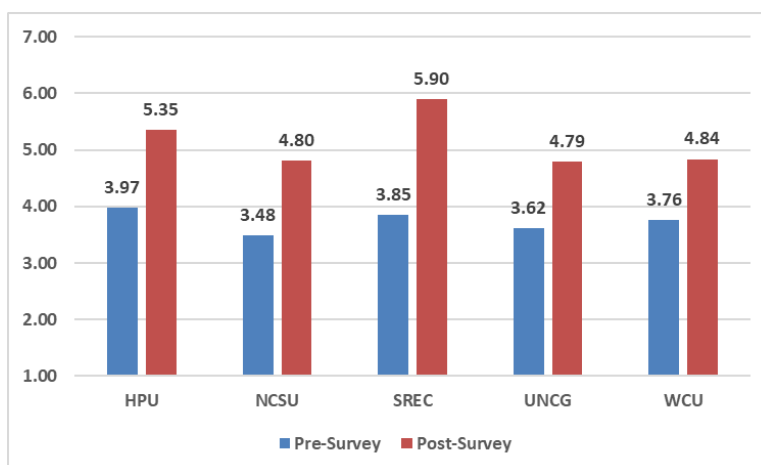
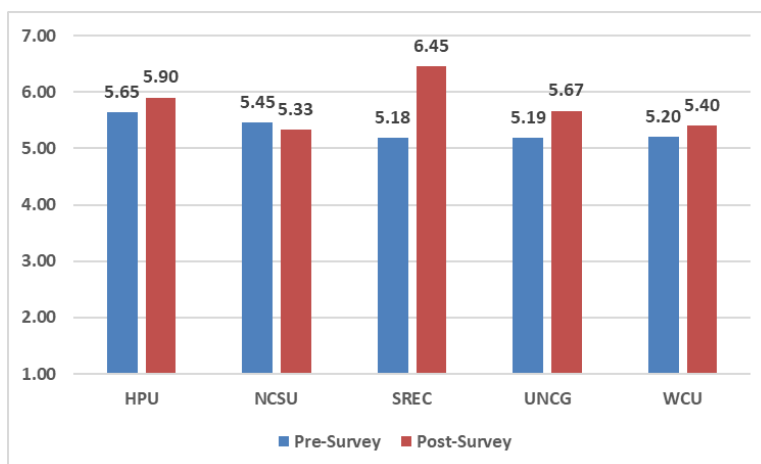


Tier III: Evaluation of TPP Participants. A pre-post survey was conducted with participants in the 2018-20 funding cycle to assess what change over the 2018-19 year there might be in their self-reported perceptions of, a) commitment to becoming a school principal, b) knowledge and competencies with the NC Standards for School Executives, and c) confidence that they can be a successful principal.⁵ 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



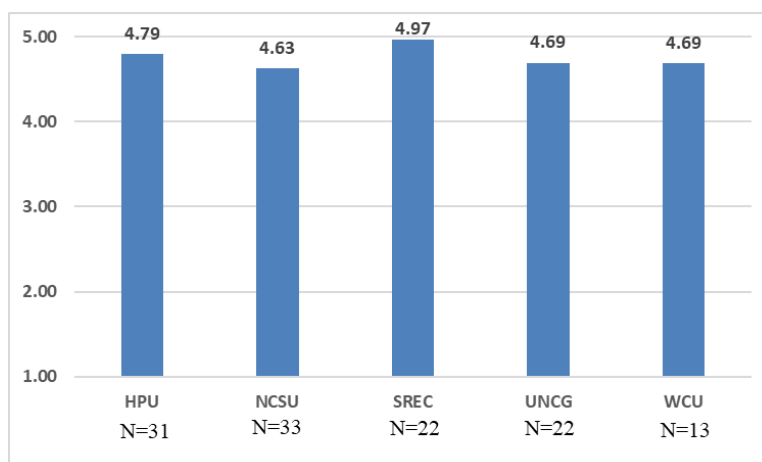
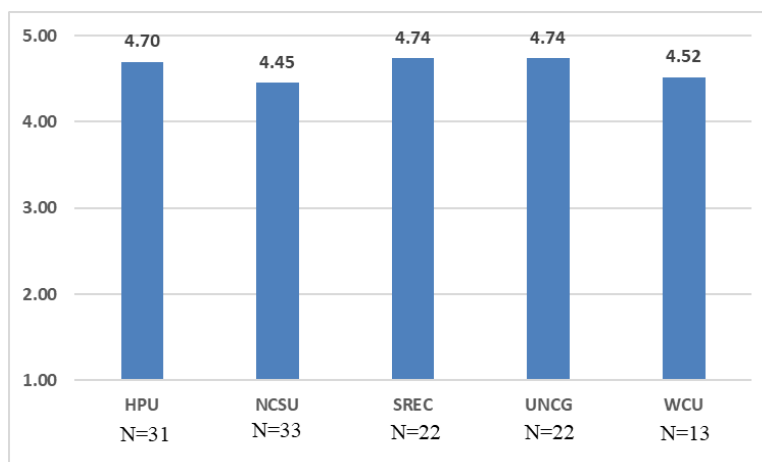
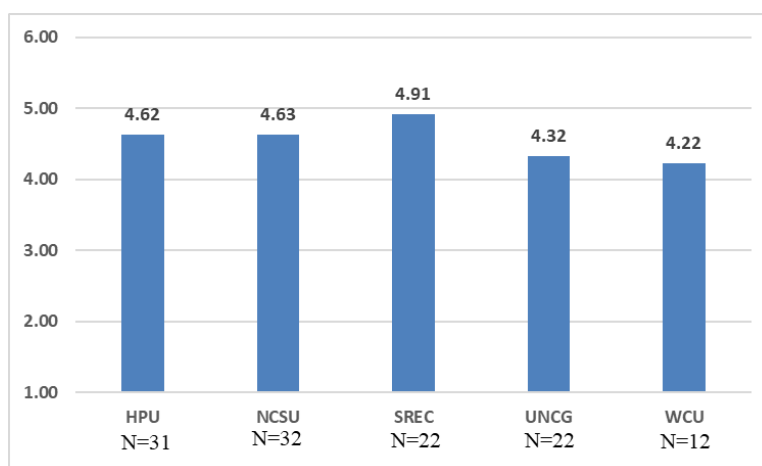
⁵ Commitment to becoming a principal was measured with a single Likert item; knowledge and competencies were measured with eight Likert items paralleling the eight standards for school administrators; and confidence with being successful as a principal was measured with a single Likert item.

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.⁶*

Table 2. Minimum Number of Participants By Size of 2-Year Award	
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

⁶ 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.⁷ 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.⁸ 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.

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

⁸ 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, 3/36th of the expense would be allocated to Institutional Travel and 33/36th 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.

Table 3. GrantProse Secondary Analyses of Actual and Projected Expenses for 2018-20 Performance Period												
	HPU		NCSU		SREC		UNCG		WCU		Totals	
INSTITUTIONAL EXPENSES												
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%
Institutional SubTotal	\$433,586	25.0%	\$1,392,943	58.8%	\$488,603	31.3%	\$838,671	48.4%	\$277,747	39.7%	\$3,431,550	42.4%
PARTICIPANT EXPENSES												
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%
Participant SubTotal	\$1,301,239	75.0%	\$976,825	41.2%	\$1,073,626	68.7%	\$893,548	51.6%	\$421,985	60.3%	\$4,667,223	57.6%
TOTAL	\$1,734,825	100.0%	\$2,369,768	100.0%	\$1,562,229	100.0%	\$1,732,219	100.0%	\$699,732	100.0%	\$8,098,772	100.0%