

**GROWING THE SEED:
CULTIVATING GREAT TEACHER AND SCHOOL LEADERSHIP**

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A. SIGNIFICANCE

New Leaders is a nationally significant non-profit whose mission is to ensure high academic achievement for all children, especially students in poverty and students of color, by developing transformational school leaders and advancing the policies and practices that allow great leaders to succeed. New Leaders respectfully requests \$15,000,000 from the SEED Grant Program to support two of our school-based leadership development programs: our one-year, standalone Emerging Leaders Program (ELP) to identify and develop highly effective new teacher leaders, and our three-year principal preparation and induction program (Year 1 - Emerging Leaders Program, Year 2 - Residency, Year 3 - Principal Induction), called our Aspiring Principals Program (APP). Additionally, SEED funding will support our program evaluation and dissemination of our results and research to inform the field and support policies that create the conditions for effective school leadership.

These programs, as this proposal will demonstrate, explicitly address the following Absolute and Competitive Priorities: **Absolute Priority 1** – Supporting Practices and Strategies for Which There Is Moderate Evidence of Effectiveness; **Absolute Priority 2** – Teacher or Principal Recruitment, Selection, and Preparation; **Absolute Priority 3** – Professional Development for Teachers of Academic Subjects; **Competitive Preference Priority 2** – Improving Efficiency; **Competitive Preference Priority 3** – Promoting STEM Education; and **Competitive Preference Priority 4** – Supporting High-Need Students.

A1) National Significance

The academic achievement of all students is both a moral and economic imperative for our country, and it is vital to ensuring that our children have the opportunity to realize their potential and to compete for the jobs of the future. We cannot prepare children for success

without great teaching in every classroom, and the only way to make that happen systematically is to develop school leaders who can cultivate and retain great teachers. New Leaders' programs are an externally validated, highly effective response to this imperative. Principals have been described as the primary drivers of school improvement due to their important role in cultivating and retaining effective teachers, building culture, and aligning resources. Researchers have noted that there are virtually no cases of school improvement occurring without effective leadership.¹ However, many high-need districts lack a strong leadership pipeline and struggle to attract and retain effective principals.² An estimated 27% of principals from high-need districts leave their schools each year, many to take less demanding roles in more affluent schools.³ Numerous charter networks also report that leadership is their greatest barrier to replication and growth.⁴

New Leaders' programs are nationally significant in addressing this problem because of our scale and scope, proven effectiveness, placement rate, training model, and diversity.

Scale and Scope. Since 2001, New Leaders has trained more than 1,600 school leaders and impacted over 14,000 teachers and 350,000 students. Today, we partner with 15 districts and various charters serving high-need students across 13 states. By FY18, funding from SEED will enable us to nearly double, developing an additional 1,500 highly effective new teacher leaders and new principals to improve the effectiveness of 7,500 additional teachers and the academic achievement of more than 200,000 additional students.

Proven Effectiveness. Fifteen years ago, principals were mainly seen as operational

¹ A.S. Bryk et al., *Organizing Schools for Improvement: Lessons from Chicago* (Chicago: The University of Chicago Press, 2010); D.L. Duke, "The Turnaround Principal: High-Stakes Leadership," *Principal* September/October (2004); K. Leithwood et al., *How Leadership Influences Student Learning* (New York: Wallace Foundation, 2004); M. Berends et al., *Implementation and Performance in New American Schools: Three Years into Scale-Up* (Santa Monica: RAND, 2001).

² Chris Bierly and Eileen Shy, *Building Pathways: How to Develop the Next Generation of Transformational School Leaders* (Boston: Bain & Company, 2013), <http://www.bain.com/publications/articles/building-pathways-to-school-leadership.aspx>.

³ School Leaders Network, *Churn: The High Cost of Principal Turnover* (2014), http://connectleadsucceed.org/sites/default/files/principal_turnover_cost.pdf.

⁴ C. Chadwick and J. Kowal, *Preparing for Growth: Human Capital Innovations in Charter Public Schools* (Washington, D.C.: Center for American Progress, 2011).

building managers. New Leaders, among others, recognized the potential of effective instructional leaders to transform schools. Since 2006, independent evaluators at the RAND Corporation have studied the impact of principals who have completed our APP Residency. The evaluation meets the definition of moderate evidence: a quasi-experimental design study with high levels of internal and external validity, including an interrupted time series design with a control group. RAND isolated a “New Leader effect” – students outperform their peers *specifically because* they have a New Leader principal – and the results are statistically significant, the gold standard in research.⁵ For example, in Washington, DC, students in New Leader high schools outperformed peers by 9 percentile points in math. In Baltimore, students in New Leader high schools outperformed peers by 5 points in reading and math, and those in K-8 schools outperformed by 4 points in reading.⁶

RAND evaluated outcomes for 160,000 students in schools led by *all* principals trained in New Leaders’ first 10 years, *not just a sample*. New Leaders is the only principal preparation program with causal proof of impact. RAND’s findings were corroborated in a study by Mathematica Policy Research, which found that on average, New Leader principals in the Bay Area produce an estimated four months of additional learning in math and one and a half months of additional learning in reading over a three-year period, as compared to non-New Leaders.⁷ Since principals do not teach students every day, this effect size on student learning *by a principal* is notable.

Principal Placement. New Leaders graduates have been placed as principals at much

⁵ S. Gates et al., *Preparing Principals to Raise Student Achievement Implementation and Effects of the New Leaders Program in Ten Districts* (Santa Monica: RAND Corporation, 2014).

⁶ The numbers reflect the average percentile rank value add for students in schools led by New Leader principals compared to schools led by non-New Leader in the district. Percentile ranks compare student performance relative to their peers. If a student’s percentile rank improves, she made gains greater than her peers: **definitive movement to “close the achievement gap.”** RAND showed that New Leaders consistently moved student achievement in a positive direction, and controlled for other factors to pin down the *causal effect of the New Leader alone*. The RAND study looked at individual student growth, rather than percentages of students that scored within particular achievement categories. New Leader principals that led their students to percentile increases likely experienced notable jumps in proficiency percentages across their school, depending on how many students entered the school at a proficient level or if cut scores changed within a given state.

⁷ Kevin Booker and Jaime Thomas, *Impacts of New Leaders on Student Achievement in Oakland* (Washington, DC: Mathematica Policy Research, 2014), http://www.mathematica-mpr.com/~media/publications/PDFs/education/NewLeaders_Oakland.pdf.

higher rates than graduates of other principal preparation programs: 81% compared to estimates of 20-30% from traditional programs.⁸

Clinical, Experiential Training Model. Both our ELP and APP are research-based programs that use a clinical, experiential model in which participants engage in webinars and in-person trainings, and then practice skills in their schools. Program participants engage in a rigorous Learning Cycle (see Section B) that is grounded in socio-cultural learning theory: participants practice what they learn by engaging in authentic, structured activities, receiving expert feedback, and deepening understanding by providing feedback to others.⁹

Diverse Participants that Reflect Communities Served. New Leaders is committed to selecting and developing school leaders who reflect the communities they serve, which are, on average, 88% students of color. To date, 75% of New Leaders are people of color, compared with 35% of principals in urban schools nationally.¹⁰

A2) Advancement of School Leadership Theory, Knowledge and Practice

By supporting an experienced school leader training program operating at a national scale, this SEED project will yield unique insights on how to identify and develop highly effective new teacher leaders and principals for high-need schools and students.

Advanced Understanding of the Role of Teacher Leaders. For 15 years, New Leaders has prepared outstanding principals to transform underserved schools, but we know that a single principal cannot sustain results without support from a leadership team. Our experience shows that developing strong teacher leaders can play an instrumental role in putting students on a brighter path. Just as we led the field in redefining the principal role, we will determine best

⁸ L. Darling-Hammond et al., *Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs* (Stanford: Stanford University, 2007).

⁹ J. Lave and E. Wenger, *Situated Learning: Legitimate Peripheral Participation* (New York: Cambridge University Press, 1991).

¹⁰ Tiffany Lee, "New Leaders Prepares Diverse Top Talent for High-Need Schools," *Innovation and Entrepreneurship in Education Blog* (NewSchools Venture Fund: 2015), accessed April 10, 2015, <http://www.newschools.org/blog/new-leaders-prepares-diverse-top-talent-for-high-need-schools>.

practices for developing teacher leaders and share our findings broadly (see Section D). As a first step, we recently released “Leading from Every Seat,”¹¹ which draws on our experience and a broad research base about the conditions that enable teacher leaders to thrive.

Developing Leaders Along a Career Continuum. New Leaders is the only program of its kind to provide a seamless pathway from a teacher leadership role to a school administrator role. In many sites, we partner with the state so that participants receive credit for program completion. For example, a recent agreement in Maryland allows ELP completers to receive their Administrative Level I Certification, qualifying them to move into assistant principal positions. They can then continue their development by completing an APP Residency while serving in that assistant principal role. Our programs allow educators to engage in an aligned multi-year sequence of development, therefore helping districts to retain effective talent that might otherwise exit the field due to a lack of growth opportunities.

Standards Guidance for School Leaders. In recent years, significant work has been done to identify the knowledge and skills teachers need to shift their instruction in accordance with new standards and assessments. However, school leaders are in positions to manage these shifts effectively and consistently schoolwide. New Leaders will coach leaders in the implementation of more rigorous standards, such as how to define the instructional agenda and to create opportunities for teachers to plan and learn together to improve their practice. With SEED funding, New Leaders will leverage our program results and implementation findings to develop a principal version of the Instructional Practice Guide,¹² clarifying the level of standards-aligned content knowledge needed by school leaders. Experts such as the Aspen Institute and Student

¹¹ New Leaders, *Leading from Every Seat: Empowering Principals to Cultivate Teacher Leadership for School Improvement* (2015), <http://www.newleaders.org/newsreports/publications/leading-from-every-seat>.

¹² Student Achievement Partners, *Achieve the Core: Instructional Practice Guide* (2014), accessed April 11, 2015, <http://achievethecore.org/page/969/instructional-practice-guide-list-pg>.

Achievement Partners have noted that no such guide exists and would advance the field.

This project will build on New Leaders' track record of developing innovative partnerships and sharing our learning across the field. Our past experience includes:

Great Principals at Scale. New Leaders and the Bush Institute's Alliance to Reform Educational Leadership launched the Conditions for Effective Leadership Project and partnered with more than 20 leading researchers and practitioners to generate a framework outlining the district conditions necessary for transformational school leaders to succeed. Based on the results, we released the "Great Principals at Scale" report in 2014, accompanied by a toolkit to help school system leaders assess their current leadership conditions and improve their practices.

University Partnerships. In 2013, New Leaders began consulting with major universities to redesign the universities' principal preparation programs based on lessons learned from APP. Current partnerships include the University of Connecticut and The Ohio State University, which are creating new programs to develop leaders specifically for turnaround schools, as well as the University of Missouri–St. Louis. With each university, we focused on developing clear program standards; creating and managing opportunities for authentic leadership practice; integrating coursework, field experience, and assessment; and forming supports for principals beyond certification.

Principal Preparation Program Evaluation. States play a critical role in evaluating and approving quality preparation programs, but the field lacks models for enacting this role effectively. The University Council for Educational Administration (UCEA) and New Leaders are collaborating to provide state education agencies with detailed guidance on fair and reasonable data sources and processes for evaluating preparation programs.

A3) Magnitude of Results

Improving Student Achievement through Teacher Leader Development. ELP was

designed around the same principles that led to APP's success, as documented by RAND. Given the strong connection between the two programs, we feel confident that ELP participants will demonstrate a level of impact comparable to APP Residents. This assumption is corroborated by early internal evaluation. Based on public 2013-2014 data, Emerging Leaders increased student achievement during their training year: in Memphis, 100% of participants showed proficiency gains through their teacher teams, with 55% leading double-digit gains (some as high as 30 points). Also, Memphis participants reduced the percent of students at Below Basic Level by half, from 47% to 25%. This is no small accomplishment: half of the participants were in schools that started the year performing in the bottom 10%. In New Orleans, 100% of participants led substantial proficiency gains, ranging from nine to 60 points. Based on the magnitude of these and potential future results, we can inform the field on how to identify effective teachers working in high-need schools and develop them to increase student achievement across classrooms (see Sections B and E).

Managing the Transition to Higher Standards. Our country is at a critical moment: the rollout of more rigorous college- and career-ready standards is changing the face of education. According to a recent teacher survey, 81% of teachers agreed that the implementation of the new standards is, or will be, challenging, and 84% indicated that professional development would be critical for successful implementation.¹³ New Leaders believes that school leaders are the key leverage point for ensuring high-quality implementation of the new standards. By increasing the number of school leaders with the skills and knowledge to manage the transition and develop teacher effectiveness, we will ensure that more students are college- and career-ready.

B. QUALITY OF PROJECT DESIGN AND SERVICES

B1) Project Design, Goals, Objectives, and Outcomes

¹³ Bill & Melinda Gates Foundation and Scholastic, *Primary Sources: America's Teachers on Teaching in an Era of Change* (Scholastic.com, 2014), accessed April 10, 2015, <http://www.scholastic.com/primarysources/>.

Project Design. SEED funding will support New Leaders to identify, select and prepare a greater number of highly effective new teacher leaders and principals, especially those who serve high-need students (see Objectives, Figure 5). We will achieve these objectives through two school-based leadership programs: our one-year, standalone Emerging Leaders Program, and our three-year principal preparation and induction program, or Aspiring Principals Program (Year 1 - Emerging Leaders Program, Year 2 - Residency, Year 3 - Principal Induction).

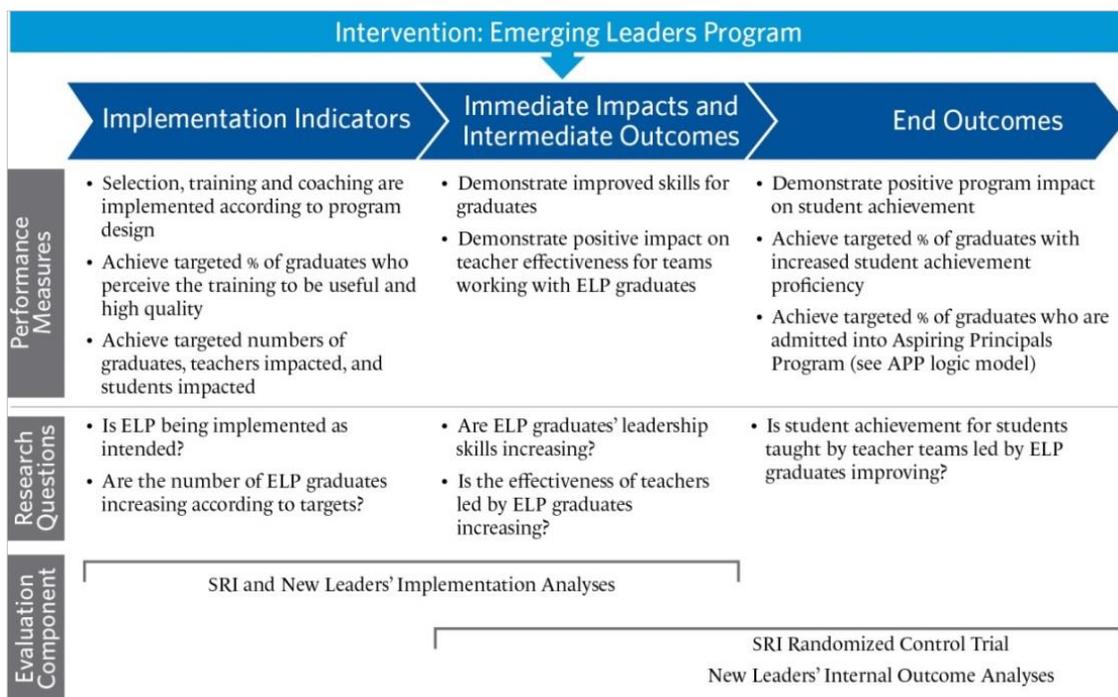
Both programs identify the leadership competencies required to be a highly effective teacher leader or principal, which are bucketed in five leadership domains (see Figure 1). Based on that competency set, we rigorously select candidates who, after building their knowledge and skills through our one- or three-year program, can then become highly effective teacher leaders or principals. Through a mix of engaging course modules, job-embedded practice and assignments, differentiated coaching, and a focus on demonstrating measurable improvements in teaching and student learning, both programs build participants’ proficiency in the leadership competencies. New Leaders’ expert Emerging Leaders Program Directors (ELPDs) and Aspiring Principals Program Directors (APPDs)—themselves former principals who led student achievement gains within their schools—assess participants’ growth and proficiency before endorsing participants as ready for the next step in their leadership journey.

Figure 1: Leadership Domains (Competencies that Drive Program Standards)

Leadership Domain	Description
Instructional Leadership	Setting the expectation that college success is the target, guiding teams through a full data analysis cycle; observing and coaching teachers to improve instruction
Personal Leadership	Demonstrating personal and professional behaviors focused on vision/mission/values, reflective practice, effective communication, and strategic thinking to improve student achievement
Culture Leadership	Building a learning orientation among team members and students who are focused on hard work and personal responsibility for their own development; creating a set of expectations, incentives and systems to get a set of behaviors out of adults that then builds the culture of efficacy related to student achievement
Adult Leadership	Motivating a team to believe in college success for all students and in the team’s ability to realize this goal; building trusting relationships; giving constructive feedback; facilitating effective meetings
Operational Leadership	Creating action plans, processes, structures, systems and budgets aligned to school-wide goals and strategic priorities

Emerging Leaders Program (ELP): This innovative program, started in 2011, builds the leadership skills of talented teachers, instructional coaches and assistant principals in partner districts and charters. New Leaders initially created ELP to lead into APP, basing the program design on insights from a decade of implementation. During the one year program, participants have principal permission to coach a team of three to five teachers to improve student achievement by year’s end. They lead this team to use data to diagnose student baselines and set growth goals. Participants complete courses on coaching, motivating, and giving feedback to their teacher teams, while they are coached by expert ELPDs who assess participant growth. Successful program graduates can move into formal teacher leadership roles or continue into APP as part of our three-year program if they desire to become a principal.

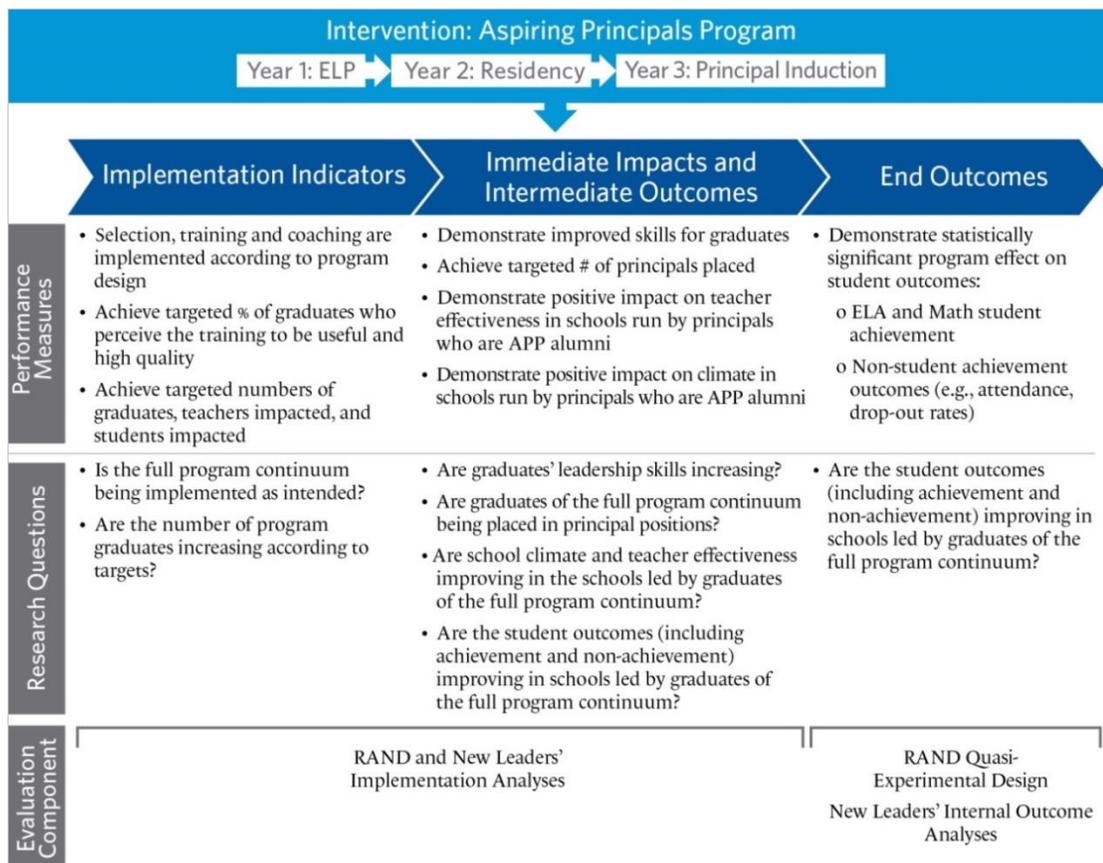
Figure 2: ELP Logic Model: Theory of Action



Aspiring Principals Program (APP): Operated since our founding 15 years ago, APP is a three-year principal preparation and induction continuum. Year 1 is ELP, to help demonstrate that participants have the mindset and proficiency in necessary competencies to advance into school leadership. Year 2 is the Residency, a clinical training experience. Residents assume leadership

of teacher teams within their assigned school—leaving their classroom-based roles for a full-time administration team role – and, similar to ELP, are responsible for improving teacher effectiveness and student achievement. Residents take course modules covering the five leadership domains with an increased focus on topics relevant for new principals (e.g., supervision of instruction, establishing a climate of high expectations, hiring teachers, creating and managing budgets, scheduling); complete an assignment to improve school climate; and work closely with their Mentor Principal to observe first-hand the daily life of a principal. If Residents complete all courses and assignments, demonstrate proficiency in key leadership competencies and show improvements in teacher effectiveness and student achievement, we endorse them for a principal role—which assists them in obtaining a state license. Year 3 is principal induction for first-year principals, in which endorsed Residents who move into principal roles are supported by APPDs with Entry Planning, coaching and resources.

Figure 3: APP Logic Model: Theory of Action



Rigorous Recruitment and Selection: Given the challenges of improving high-need schools, we emphasize rigorous recruitment and selection of candidates whose results, skills and values indicate the potential to take on this task. We source candidates using high-yield strategies: district and principal nominations, alumni engagement, local and national information sessions, promotion via social media, and school visits to inform and inspire potential candidates.

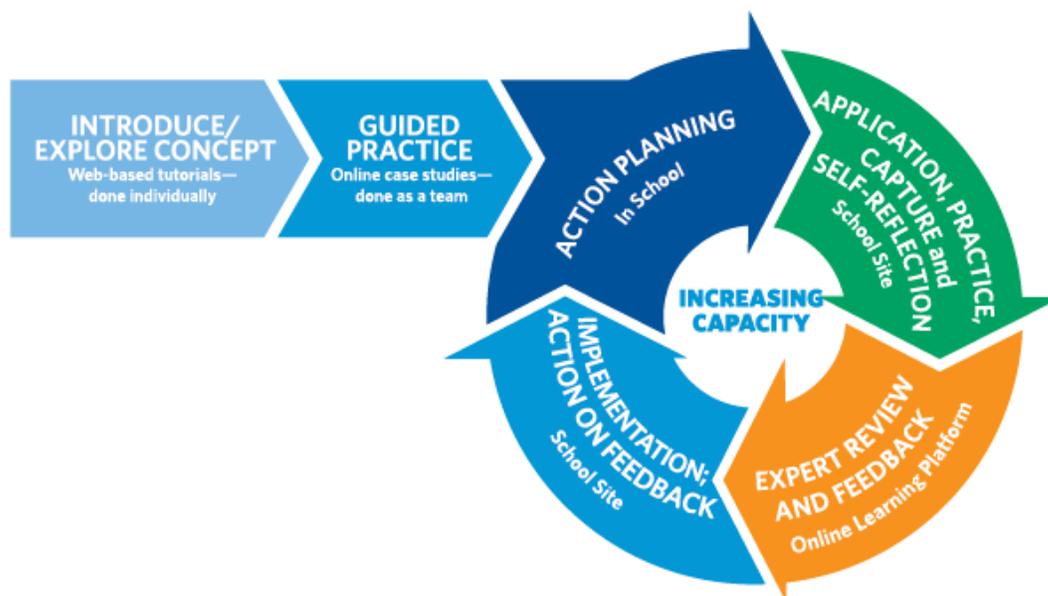
To be selected into either program, candidates must achieve a starting proficiency “cut score” in competencies within the five leadership domains (Figure 1). Candidates for the one-year ELP complete rigorous admissions activities, including a case study, review of student-level data, and a video review to assess teaching and learning in action, which together must demonstrate a belief in all students’ ability to achieve, positive impact on student achievement, and proficiency in the leadership domains. Candidates for the APP complete similar admissions activities, plus an intensive full-day interview simulating a day in the life of a principal; they must demonstrate a higher level of proficiency. Admission is both rigorous and highly selective: only about 8% of the APP applicant pool is admitted.

Clinical, Experiential Training and Coaching Model: Both programs use a *clinical, experiential model* with real-time coaching and on-the-job training – the New Leaders Learning Cycle¹⁴ (Figure 4 below). The Learning Cycle is the process by which ELP participants and APP Residents demonstrate proficiency of leadership competencies learned during the year through practical application. In steps 1, 2 and 3 of the Learning Cycle, participants explore a concept, apply that concept in a case study, and create an action plan to use it in their school. In steps 4 and 5, participants apply the concept in their school, capture evidence of that application (e.g.,

¹⁴ Ron Rabin, *Blended Learning for Leadership: The CCL Approach* (Center for Creative Leadership, 2014), <http://www.ccl.org/leadership/pdf/research/BlendedLearningLeadership.pdf>. This rule is based on research of how executives learn, grow, and change over the course of their careers. This rule suggests that successful leaders learn within three clusters of experience: challenging assignments (70%), developmental relationships (20%), and coursework and training (10%).

digitally recording themselves leading a teacher team meeting), reflect on what worked and what did not, and get feedback from their ELPD or APPD and participant peers. Finally, in step 6, participants adjust their in-school practices based on this feedback, then start the Cycle over. The ongoing learning and application of leadership competencies, coupled with reflection and targeted adjustments to practice, helps participants develop the transformational leadership skills needed to improve teacher effectiveness and student achievement.

Figure 4: Learning Cycle ©



Project Objectives, Goals and Outcomes. The following table outlines our objectives, goals and outcomes for ELP and APP.

Figure 5: Project Objectives, Goals and Measures

Objectives	Goals	Outcomes (See Section E for more detail)
Objective 1: Identify, select and prepare highly effective new teacher leaders, especially those who serve high-need students	Goal 1: Increase the number of teacher leaders developed through New Leaders' ELP	<ul style="list-style-type: none"> • 1250 participants complete ELP
	Goal 2: Increase leadership skills of new teacher leaders who pass a rigorous, competitive selection process and complete one year of intensive training	<ul style="list-style-type: none"> • 70% of ELP participants will score proficient on the ELP skill assessment • ELP graduates will outperform the control group in measures of leadership skill development
	Goal 3: Increase the effectiveness of teacher teams led by ELP participants	<ul style="list-style-type: none"> • Teacher teams working with ELP graduates will outperform the control group in measures of teacher effectiveness¹⁵
	Goal 4: Increase achievement of students taught by teacher teams led by ELP participants	<ul style="list-style-type: none"> • Students in classes of teacher teams working with ELP graduates will outperform the control group in measures of student proficiency¹⁵
Objective 2: Identify, select, prepare and support highly effective new principals, especially those who serve high-need students	Goal 5: Increase the number of new principals developed through New Leaders' APP	<ul style="list-style-type: none"> • 250 participants will complete the Residency and be endorsed as principals
	Goal 6: Increase the quality of school climate in New Leader schools	<ul style="list-style-type: none"> • NL schools will outperform non-NL schools on measures of positive school climate¹⁵
	Goal 7: Increase the effectiveness of teachers in NL schools	<ul style="list-style-type: none"> • NL schools will outperform non-NL schools on measures of teacher effectiveness.
	Goal 8: Increase achievement of students enrolled in NL schools	<ul style="list-style-type: none"> • Students in NL schools will outperform non-NL schools in measures of student achievement¹⁵

Project Outcomes. As described above, both programs focus on, (1) measurable improvements in teacher effectiveness and student achievement, and (2) developing proficiency in leadership competencies required of highly effective new teacher leaders or principals.

Measuring Progress to Goals: ELPDs or APPDs assess participant progress in these two areas during the program year(s). To build participant skills, we train ELP participants and APP Residents to set standards-aligned student achievement goals with their teacher teams at the start of the year, lead the team in diagnosing gaps in student understanding and root causes, create and execute corrective instruction plans, and adjust teaching practices to improve student learning. Participants are required to plan, execute and track progress toward these goals. To assess

¹⁵ We have only identified the most rigorous proposed outcome here. However, our evaluation plan, detailed in section E, includes multiple measures related to achieving this outcome.

participant growth, ELPDs and APPDs conduct a series of Learning Meetings with each participant to give feedback, reflect on growth and discuss the tracked progress to goals. ELPDs and APPDs use standardized rubrics—aligned to the leadership domains—to assess proficiency and develop individualized learning plans for mastering the skills required for endorsement.

Measuring End Outcomes: With SEED support, we will develop more highly effective new teacher leaders and principals with the critical end outcome of increasing achievement for high-need students. Our internal and external evaluation plans will measure the extent to which we accomplish these end outcomes. To ensure that we meet these outcomes, we will work closely with our evaluation partners, the SRI and RAND, to track implementation measures and interim outcomes (see Section E).

B2) A Comprehensive Effort

New Leaders Programs and Alumni as a Comprehensive Effort. During our 15 years of training highly effective new school leaders, we have learned that we cannot rely on lone superhero principals. Great principals improve schools by building leadership teams, and they can do it faster with support in developing effective teacher leaders. Our Theories of Action (see graphics in B1) are based on a comprehensive approach to *improving teaching and learning and supporting rigorous academic standards for students*, with school leaders as the leverage point.

Through ELP, we enlist and empower highly effective teachers to extend their impact across multiple classrooms as team leaders. Through APP, we prepare new principals who can affect change across entire schools by creating environments in every classroom that allow *all* students to learn and grow. At the heart of both programs is a focus on building the leadership skills needed to center teaching and learning on rigorous college- and career-ready standards, and to create opportunities for teachers to plan and learn together to improve their practice.

Finally, we engage New Leaders program alumni to become school system leaders. Over 50 New Leaders alumni are now principal supervisors overseeing multiple schools, such as Mark Triplett, High School Network Deputy Superintendent, Oakland Unified School District. Other New Leader alumni are executives leading school systems, such as Michelle Pierre-Farid, Chief Academic Officer of the Cleveland Metropolitan School District.

Ground-Breaking Research. Through this project, we will produce ground-breaking research showing how highly effective teacher leaders can improve student outcomes across multiple classrooms by coaching teacher teams (moving teacher practice without formal authority is a strong indicator of a future great principal). With SEED support, we can do more to share our learning, encouraging adoption of proven practices across the field (see Section D).

B3) Sufficient Quality, Intensity and Duration

Quality. As noted in Section A1, our programs have proven effectiveness: RAND demonstrated that students attending schools led by New Leaders outperform their peers *specifically because they have a New Leader principal*—and the results are statistically significant, the gold standard in research. New Leaders is *the only principal preparation program with causal proof of impact*.¹⁶ The success of our participants stems from our research-based, experiential training model and rigorous recruitment and selection (see Sections A1 and B1). Our programs are grounded in competencies shown to improve teaching and learning in high-need schools. We developed the Urban Excellence Framework™ based on artifacts from 773 schools studied in our Teacher Incentive Fund-supported Effective Practice Incentive Community¹⁷ and 100 case studies of high-gaining schools. Another example of program rigor is the ELP Data-Driven Instruction (DDI) assessment. The

¹⁶ Gates et al., *Preparing Principals to Raise Student Achievement Implementation and Effects of the New Leaders Program in Ten Districts*.

¹⁷ B. Teh, K. Booker, and N. Savitz, *An Analysis of the EPIC National Charter School Consortium* (Washington, D.C.: Mathematica, 2012).

University of Wisconsin conducted validity studies to confirm the psychometric properties of the assessment and found it to be a valid measure of DDI knowledge and team-building.¹⁸

Participant Feedback: Further proof of success is positive feedback from program participants and their supervisors. Half of traditionally-trained, non-New Leader principals report they rarely have quality training that focuses on high-impact skills.¹⁹ By comparison, 92% of APP participants say the program helped them drive student achievement gains in their schools, and 100% of New Leaders participants say the topics covered are important for leadership growth.²⁰ Supervisors of graduates also give high marks for program quality: 94% of supervisors agree that ELP improved participants' leadership capacity, and 88% of APP Mentor Principals believe their Residents are ready for the rigors of the principalship after the Residency year.²¹

Intensity. Both programs in the SEED project are intensive. Our one-year ELP offers participants 135 hours of training.²² Our three-year APP offers participants nearly 500 total hours of training (including the hours noted above for ELP in Year 1). This includes 280 hours of training across 35 days²³ in addition to the full-time Residency role (Year 2); and at least 80 coaching hours²⁴ during principal induction (Year 3). As described in Section B1, the Learning Cycle is an intensive training model that leads to demonstrated changes in leadership practice.

Duration. Our programs bridge the gap between the necessity of time and the “urgency of now” with a duration that is appropriate for those who meet our high entry bar. Both programs

¹⁸ P. Goff and S.H. Hyun, *Data-driven Instruction: An Analysis of Instrument Validity* (Madison: University of Wisconsin, 2014).

¹⁹ Karen Seashore Louis, Kenneth Leithwood, Kyla L. Wahlstrom, Stephen E. Anderson, *Learning from Leadership: Investigating the Links to Improved Student Learning: Final Report of Research to The Wallace Foundation*, University of Minnesota and University of Toronto, 2010.

²⁰ Internal survey results from our Principal Induction, a program which couples 1:1 coaching with peer learning communities.

²¹ Internal survey results from our Emerging Leaders and Aspiring Principals programs.

²² Includes approximately 15 hours per month.

²³ 35 8-hour session days; does not include local induction.

²⁴ Total support hours may exceed this as we differentiate based on principals' needs.

begin with intensive seminars to build baseline knowledge and skills, and require coursework, multiple Learning Cycles and on-site coaching over the duration of the program.

Increased Quality. With SEED support we will ensure that *our training remains relevant during the transition to college- and career- ready standards*. We will increase our impact in two areas: 1) leadership for more rigorous state standards and 2) strategic localization of training.

Leadership for More Rigorous Standards: Many of our school partners have moved to more rigorous instructional standards. Our programs offer a scalable solution to the challenge of standards implementation by training highly effective new teacher leaders and principals who *can propel students to meet and exceed college- and career- ready standards*. We will upgrade both programs' content *to align with state standards and district requirements for P-12 teachers*.

Our National Program Team, in partnership with external consultants who are experts in designing standards-aligned courses for educators, will revise all of our course content to include new modules and case studies on supervising standards-aligned curriculum, assessments, and leading for subject-specific instruction (e.g., understanding the required rigor in Math and the staircase of text complexity in ELA to implement shifts). The revised ELP curriculum will include the EQUiP (Educators Evaluating the Quality of Instructional Products) rubric and the Instructional Practice Guides from Student Achievement Partners (SAP), which include coaching and lesson planning tools to support teachers.²⁵ We have also contracted with SAP and Kate Gerson of the Regents Research Fund to train internal staff on new standards.

With this new expertise, our National Program Team will align our other course modules on personal, culture, adult and operational leadership to support standards implementation. Once updates are complete, all program staff will receive training on the new modules to ensure consistent

²⁵ Student Achievement Partners (SAP) is a non-profit founded to help all students and teachers see their hard work lead to greater student achievement. <http://achievethecore.org/>.

understanding and expectations for program quality. They will also be trained in facilitation and receive regular support from national staff to ensure high fidelity in program delivery.

Strategic Localization of Training: We will maximize resources by evolving the APP design and delivery model. We will maintain quality control by *designing* 80% of training content nationally while localizing 20% of content, allowing us to align our curriculum with school partners' priorities and state standards, ensuring immediate applicability and tailoring to local context (such as budgeting and teacher evaluation). Instead of paying to fly and lodge all Residents and Facilitators in one location three times per year, we will significantly reduce costs by *delivering* trainings locally, allowing us to source district experts as co-facilitators.

Increased Intensity. We will revise three components of the Residency (Year 2) of our three-year APP to increase intensity. **(1)** We will require all APP Residents to lead their school as “acting principal” for a brief period to experience the principal role before assuming the job. **(2)** When possible, we will place Residents in more authentic leadership roles, such as open assistant principal roles, to give them more authority and reduce additional salary costs for our partners. **(3)** We will add bi-weekly school visits and more intensive coaching. To date, ELPDs and APPDs have both designed and facilitated trainings and provided on-site coaching. Going forward, the role will be separated, with new Facilitators managing trainings, freeing up ELPDs and APPDs to provide more personalized, contextualized support for participants.

B4) Preparing Personnel for Shortages

We have seen strong demand from districts and charters for help identifying and training highly effective new teacher leaders. Indeed, ELP has seen a compound annual growth rate of over 30% since its 2011 launch. School systems also face untenably steep principal attrition

rates, with an estimated 27% annual principal turnover rate in urban, high-need districts.²⁶

Constant change in leadership brings turmoil and lack of clarity to schools—and no one suffers more than high-need students.

New Leaders addresses the issue of *preparing personnel for fields in which there are demonstrated shortages* in three primary ways. **(1)** ELP builds a pipeline of leaders so that schools and districts can succession plan. **(2)** We have achieved extremely high rates of principal placement: 81% of New Leaders graduates have been placed as principals compared to estimates of only 20-30% from traditional principal preparation programs.²⁷ **(3)** The participants who meet our rigorous selection bar and successfully complete our programs are passionate, tenacious individuals who are committed to their schools: 79% of APP principals stay past year three versus the national average of 50%.²⁸

B5) Focus on the Needs of Disadvantaged Students

New Leaders' mission is to ensure equal access to a quality education for all students, but *especially low-income students and students of color*. We serve the highest poverty schools in the highest-need districts. The average population of students receiving Free and Reduced Meals in New Leader schools is 83% – 9 points higher than the average of our partner districts. Additionally, 14% of our student population are students with special needs, 14.3% are Limited English Proficient, and 88% are students of color, compared with 48% of public school students nationwide.²⁹

New Leaders are often tasked with improving schools where the starting proficiency is painfully low, but even in these circumstances we achieve impressive academic growth. For example, when APP alumnus Antonio Burt started as principal at Ford Road Elementary in

²⁶ School Leaders Network, *Churn: The High Cost of Principal Turnover*.

²⁷ Darling-Hammond et al., *Preparing School Leaders for a Changing World*.

²⁸ Percentage of New Leaders who stay in principalships in their Residency districts, based on internal analysis of tenure data

²⁹ G. Kena et al., *The Condition of Education 2014* (Washington, D.C.: U.S. Department of Education, National Center for Education Statistics, 2014), <http://nces.ed.gov/pubs2014/2014083.pdf>.

Memphis, overall proficiency was 16.9% in math and 14.7% in reading. In just two years under Antonio's leadership, combined scores rose a dramatic 48.7 points.

C. QUALITY OF MANAGEMENT PLAN AND PERSONNEL

C1) Qualifications and Expertise of Key Personnel and Time Commitments

Chief Program Officer Jaime Aquino, who leads New Leaders' National and Regional Program Teams, will oversee this project along with Chief External Relations Officer, Stephanie Morimoto. Under their oversight, five teams will execute this project: **(1) National Program Team**, which designs New Leaders' programs and ensures programmatic sustainability; **(2) Regional Program Team**, which recruits, selects, trains and coaches program participants in partnership with districts and charters across the United States; **(3) External Relations Team**, which grows New Leaders programs and ensures financial sustainability; **(4) Research and Evaluation Team**, which evaluates programs; and **(5) Technology Team**, which supports program technology. All teams closely coordinate to ensure success of this project, and team members have deep expertise and experience in their respective areas.

National Program Team. Our National Program Team has three responsibilities in this project: **(1) College and career-ready curriculum upgrades.** To better prepare school leaders for standards aligned to high academic rigor, we have contracted with expert consultant curriculum writers Strategic Leadership Design, the Artful Alliance, and independent consultant Maria Iams. Chief Program Officer Jaime Aquino leads this work. **(2) National training design and delivery.** Once content is complete, Lead National Leadership Facilitator Maria Esponda will oversee National Leadership Facilitators in delivering curriculum to participants and conducting quality assurance visits to each region. **(3) Program cohesion and improvements.** Within the National Program Team, Emerging Leaders Program (ELP) Executive Director Cheryl Borden and Aspiring Principals Program

(APP) Executive Director John Jenkins are responsible for program design and development in conjunction with Aquino and the consultant curriculum writers; ensuring program cohesion from ELP into APP; and quality control at the Regional level. National Director of Admissions and Assessments Kaitlyn Mittan ensures that assessments and assignments have construct validity and provides quality checks through random sampling of assessments and assignments.

Regional Program Team. Our Regional Program Team has four responsibilities in this project. **(1) Conduct local site trainings** and **(2) Onsite coaching and assessment.** Senior Executive Director, Regional Programs Yolonda Marshall supervises Executive Directors (EDs), Regional Programs who oversee ELP and APP on the ground. These EDs manage staff who recruit and select program participants, manage local trainings, and provide on-site coaching and assessment (see Section B). **(3) Partnering with systems and Mentor Principals.** The Regional Program Team works with our system partners and Mentor Principals to ensure program participants learn the skills necessary to become highly effective new teacher leaders and principals. **(4) Program management.** Along with ED, Strategy and Operations Rika Wilcox, Marshall leads quarterly meetings to monitor and manage progress toward annual goals for both programs. These meetings bring together the National and Regional Program Teams to ensure quality, problem solve challenges, take corrective action, and identify best practices and program improvements.

External Relations Team. Our External Relations Team has three primary responsibilities in this project. Chief External Relations Officer, Stephanie Morimoto, supervises Executive Directors, External Relations who do new site development and fundraising. **(1) Grow ELP and APP in current regions.** We will aim to serve more participants based on district and charter need, in coordination with the Regional Program Team. For example, we will grow our cohort sizes to optimal scale in the Bay Area and New Jersey. **(2) Expand both programs to new regions.** We will

leverage our networks and presence at high-impact education conferences to initiate relationships with district and charter superintendents in states where we do not currently have ELP or APP to secure partnerships. Criteria for new site expansion include systems with high-need students where leadership opportunities exist for our program graduates; committed superintendents and central office leaders who believe in New Leaders' training model and have a clear vision for how our programs fit into their leadership development strategy; system conditions that allow participants to learn and complete program assignments; and sites that can fully fund programs. Through these strategies, we have secured four new ELP partnerships in just 11 months, with Arlington ISD in Texas, Duval County Public Schools in Florida, a consortium of San Jose, CA districts and charters, and Newark charter schools. **(3) Secure sustainable funding.** We will establish contracts with partners to pay an increasing share of our lower program costs and raise diversified private funding. (See Section D for our financial sustainability and successful track record to date.)

Finally, our **Research and Evaluation Team** will lead program evaluation in partnership with SRI and RAND, and our **Technology Team** will support program technology platforms and data systems as outlined in the table below.

Figure 6: Key Project Personnel

Name and Title	Project Responsibilities and Time Commitments ³⁰	Relevant Experience
Project Oversight		
Jaime Aquino, PhD, Chief Program Officer (Co-Project Director)	<ul style="list-style-type: none"> •Oversee design, development and delivery for core programs •75% of time 	<ul style="list-style-type: none"> •Led Common Core implementation and increased student achievement as Deputy Supt. for Instruction at 664,000-student L.A. Unified School District, 2011-2014 •Chief Academic Officer for the 90,000-student Denver Public Schools, 2005-2008 •Leads team of 31 that designs and delivers New Leaders’ ELP and APP
Stephanie Morimoto, Chief External Relations Officer (Co-Project Director)	<ul style="list-style-type: none"> •Oversee partnerships and fundraising •75% of time 	<ul style="list-style-type: none"> •Grew funding from \$30 million to \$114 million as former VP, Regional Development, Teach For America •Raised over \$100 million and secured multiple new district/charter partnerships over 3.5 years at New Leaders •Leads team of 28 responsible for all client partnerships and fundraising
National Program Team		
Cheryl Borden, Executive Director, ELP	<ul style="list-style-type: none"> •Design, develop, and ensure quality control of ELP •100% of time 	<ul style="list-style-type: none"> •Director of KIPP Fisher Fellowship Program, for aspiring school leaders to found and lead new schools •6 years’ experience as a school principal and administrator with KIPP in Annapolis, MD and Washington, DC
John Jenkins, Executive Director, APP	<ul style="list-style-type: none"> •Design, develop, and ensure quality control of APP •100% of time 	<ul style="list-style-type: none"> •Ensured high-quality program delivery of a model serving 500 school leaders and 375,000 students as National VP of Program for the School Leaders Network •6 years’ experience as a school principal and administrator in Yonkers and Brooklyn, NY
Curriculum Consultants Jan Box, Maria Iams, Richard Martinez, Maureen Sanders, Patricia Slaughter	<ul style="list-style-type: none"> •Co-design 15 days of sessions around supervision of instruction through the lens of college- and career-ready standards •100% of time 	<p>Sampling of relevant experience:</p> <ul style="list-style-type: none"> •Increased scores of students as teachers, principals, and instructional superintendents •Designed, implemented, and evaluated leadership programming •Dozens of years’ experience coaching principals
Maria Esponda, Lead National Leadership Facilitator	<ul style="list-style-type: none"> •Train and certify Facilitators •Lead team of 4 to deliver curriculum •100% of time 	<ul style="list-style-type: none"> •Program Director for State of New York Regents Research Fund, Office of School Innovation •Co-creator and leader of the NYSED Learning Lab, on-line professional development for the Diagnostic Tool for School and District Effectiveness (DTSDE) •4 years’ experience as principal in New York, NY
Kaitlyn Mittan, National Director, Admissions and Assessments	<ul style="list-style-type: none"> •Ensure assessments and assignments have construct validity; provides quality assurance through random sampling •100% of time 	<ul style="list-style-type: none"> •Developed principal evaluation frameworks and detailed rubrics to evaluate principal practice for 4 partner states

³⁰ Time commitments included in this proposal represent the time committed to the actual project – the planning, design, execution, and evaluation of our ELP and APP. These percentages do not necessarily reflect the percent of effort for each individual included in the budget. As displayed on form ED 524, the total costs of this project exceed the grant request; the balance of the project, and thus of personnel’s dedicated time, will be covered by private philanthropy, state funding and district fees.

Name and Title	Project Responsibilities and Time Commitments ³⁰	Relevant Experience
Regional Program Team		
Yolonda Marshall , Senior Executive Director, Regional Programs	<ul style="list-style-type: none"> •Ensure EDs, Regional Programs hire, develop and retain effective Facilitators, ELPDs and APPDs •75% of time 	<ul style="list-style-type: none"> •Managed \$7 million program as ED, Greater Philadelphia, Teach For America •20-plus-year career as a seasoned manager of complex operations; MBA, Columbia Business School
Executive Directors, Regional Programs Andre Cowling Kareem Weaver	<ul style="list-style-type: none"> •Oversee rigorous recruitment and selection •Support on-the-ground implementation of ELP/APP trainings by managing Facilitators •Oversee coaching/assessment provided to Emerging Leaders and APP Residents •100% of time 	<ul style="list-style-type: none"> •Experiences range across education, military and public service •Served as successful principals; some as New Leaders •Increased ISAT Standardized Test scores 28 percentage points in the first two years of school turnaround as founding principal of Harvard School of Excellence (Andre Cowling) •Led STEM initiative to 81% Proficient/Advanced in science as principal of Lazear Elementary (Kareem Weaver)
Rika Wilcox , Executive Director, Strategy and Operations	<ul style="list-style-type: none"> •Manage regional annual planning and budget process; strategy partner to regional teams ensuring program coordination •100% of time 	<ul style="list-style-type: none"> •6 years' senior leadership experience in New Leaders' program operations •2 years' experience as a third and fourth grade teacher in New York, NY
External Relations Team		
Executive Directors, External Relations Paul Barnhardt Gabe Scheck Joshua Thompson	<ul style="list-style-type: none"> •Secure resources to reach goals and increase awareness of our impact •Grow ELP and APP in financially sustainable ways •50% of time 	<ul style="list-style-type: none"> •Exceeded or met school's growth goals for 4 years as principal in Charlotte, NC; 7 years' total experience as principal in Charlotte and Greenwood, MS (Paul Barnhardt) •Led 7-person team to matriculate and place 400+ corps members as Senior Managing Director at Teach For America; responsible for raising \$26M annually at New Leaders (Gabe Scheck) •Grew existing and new partnerships for New Leaders in NYC, NJ and CT (Josh Thompson)
Research and Evaluation Team		
Gina Ikemoto , PhD, Executive Director, Research and Evaluation	<ul style="list-style-type: none"> •Create and lead our research agenda on principal effectiveness and the related necessary training/conditions •50% of time 	<ul style="list-style-type: none"> •13 years' experience as former Education Policy Researcher at the RAND Corporation •Former elementary teacher, D.C. Public Schools •Ph.D., Education Policy, University of Maryland
Marjorie Wechsler , PhD, Co-Director, Center for Education Policy, SRI International	<ul style="list-style-type: none"> •Principal researcher for proposed evaluation of ELP •20% of time 	<ul style="list-style-type: none"> •Specializes in research on teacher development and school- and district-level reform •Over 20 years of evaluation experience
Susan Gates , PhD, Senior Economist, RAND Corporation	<ul style="list-style-type: none"> •Principal researcher for current evaluation of APP program •20% of time 	<ul style="list-style-type: none"> •Co-leads several evaluations of initiatives focused on improving the leadership quality in high-needs schools •Over 20 years of evaluation experience at RAND
Program Technology Platforms and Data Systems		
Ben Florman , Senior Executive Director, Technology Strategies	<ul style="list-style-type: none"> •Ensure technology infrastructure and services support programs and operations •50% of time 	<ul style="list-style-type: none"> •Overhauled back-office operations and supported scaling of fundraising from \$150M to \$300M in three years as former Senior VP of Learning and Operations at Teach For America •Over 15 years' experience in education technology

C2) Key Tasks, Timelines and Project Milestones

With SEED funding, New Leaders will achieve two objectives: **(1)** identify, select and prepare highly effective new teacher leaders, especially those who serve high-need students and **(2)** identify, select, prepare and support highly effective new principals, especially those who serve high-need students. Below are key tasks, timelines and milestones for both objectives; for ease, we have outlined how we will grow the number of new teacher leaders and principals respectively under Objective 3 in the table.

Figure 7: Management Plan³¹

Objective 1	Identify, select and prepare highly effective new teacher leaders, especially those who serve high-need students			
Owner/s	National Program Team, Regional Program Team, Research and Evaluation Team, and Technology			
<i>Key Tasks</i>	<i>Timeline</i>	<i>Milestones</i>	<i>Team Owner</i>	<i>Team Lead</i>
Upgrade curriculum for rigorous standards	Feb 2015- July 2016	<ul style="list-style-type: none"> •Embed EQUIP rubric •Embed Instructional Practice Guides (IPGs) from Student Achievement Partners (SAP) into our curriculum³² 	National Program Team	Jamie Aquino; consultants
Train and certify Leadership Facilitators	June 2015 – January 2017	<ul style="list-style-type: none"> •Conduct summer training for Facilitators •Conduct year-long certification for Facilitators beginning in January 2016 	National Program Team	Maria Esponda
Prepare and operate upgraded tech platforms	June 2015– November 2015	<ul style="list-style-type: none"> •Build structure for program (mid-June 2015 launch) and add content, assignments, and scoring (ongoing) •Train staff/participants to use tech platform 	Technology	Ben Florman
Recruit and select participants	July 2015 – June 2016	<ul style="list-style-type: none"> •Launch ELP recruitment (July 2015) •Complete ELP recruitment (June 2016) 	Regional Program Team	EDs, Regional Programs with Yolonda Marshall’s oversight
Train participants	July 2015 – May 2016	<ul style="list-style-type: none"> •Conduct monthly trainings 	National and Regional Program Teams	Leadership Facilitators with Lead National Facilitator and EDs, Regional Programs’ oversight
Provide on-site coaching and assessment	Aug 2015 – May 2016	<ul style="list-style-type: none"> •Conduct Learning Meetings (Aug 2015-May 2016) 	Regional Program Team	ELPDs with EDs, Regional Programs’ oversight
Monitor progress to goals	Sept 2015- May 2016	<ul style="list-style-type: none"> •Conduct quarterly reviews on progress to goals for student achievement and program management 	Regional Program Team	Jaime Aquino; Yolonda Marshall; Rika Wilcox

³¹ Entire plan is annual and will all continue for project duration with the exception of college- and career-ready standards curriculum upgrades—these are mostly occurring in 2015-2016, with a smaller set of revisions for the second year.

³² See Section B3 for more information about the EQuIP rubric and IPGs.

Evaluate program data	June 2015 - June 2016	<ul style="list-style-type: none"> Analyze implementation and outcome data Conduct “step back” meetings 2-3 times per year with stakeholders to drive program improvement 	National Program Team	Gina Ikemoto
Objective 2	Identify, select, prepare and support highly effective new principals, especially those who serve high-need students. (APP)			
Owner/s	National Program Team, Regional Program Team, Research and Evaluation Team, and Technology			
Key Tasks	Timeline	Milestones		
Upgrade curriculum for more rigorous standards	Feb 2015- July 2016	<ul style="list-style-type: none"> Create 17 day summer curriculum (Module 1) Create additional modules (18 days) to be delivered during school year 	National Program Team	Jaime Aquino; consultants
Train and certify Leadership Facilitators	June 2015– January 2017	<ul style="list-style-type: none"> Conduct summer training for Facilitators Conduct yearlong certification for Facilitators beginning in January 2016 	National Program Team	Maria Esponda
Prepare and operate upgraded tech platforms	June 2015– November 2015	<ul style="list-style-type: none"> Build structure for program (mid-June 2015 launch) and add content, assignments, and scoring (ongoing) Train staff and participants to use tech platform 	Technology	Ben Florman
Recruit and select participants	July 2015 – June 2016	<ul style="list-style-type: none"> Launch APP recruitment (July 2015) Complete APP recruitment (January 2016) 	Regional Program Teams	EDs, Regional Programs with Yolonda Marshall’s oversight
Train participants	July 2015 – May 2016	<ul style="list-style-type: none"> Conduct Foundations training (Summer, Spring, Winter) Conduct monthly trainings 	National and Regional Program Teams	Leadership Facilitators with Lead National Facilitator and EDs, Regional Programs’ oversight
Provide on-site coaching and evaluate participants	Aug 2015 – May 2016	<ul style="list-style-type: none"> Conduct Learning Meetings (Aug 2015-May 2016) 	National Program Team	APPDs with EDs, Regional Programs’ oversight
Monitor progress to goals	Sept 2015- May 2016	<ul style="list-style-type: none"> Quarterly reflections on progress to goals for student achievement and program management 	National Program Team	Jaime Aquino; Yolonda Marshall; Rika Wilcox
Evaluate program data	June 2015 - June 2016	<ul style="list-style-type: none"> Analyze implementation and outcome data Conduct “step back” meetings 2-3 times per year with stakeholders to drive program improvement 	Research and Evaluation Team	Gina Ikemoto
Objective 3	Grow the number of highly effective new teacher leaders and new principals, especially those who serve high-need students			
Owner/s	External Relations Team, Regional Program Team			
Key Tasks	Timeline	Milestones		
Develop growth strategy	May 2015- August 2015	<ul style="list-style-type: none"> Size the market for ELP and APP Identify priority prospect list for new partnerships Create plan to pursue prospects 	External Relations Team	EDs, External Relations with Stephanie Morimoto’s oversight
Engage new partners and secure contracts and funding	June 2015- May 2016	<ul style="list-style-type: none"> Pursue prospects, understanding their needs and whether they meet our new site expansion criteria Finalize partner MOUs; raise private funds as needed 	External Relations Team	EDs, External Relations with Stephanie Morimoto’s oversight
Launch new program site(s)	July 2016	<ul style="list-style-type: none"> ELPD and/or APPD hired; recruitment, selection, training and coaching begins 	Regional Program Team	EDs, Regional Programs with Yolonda Marshall’s oversight

C3) Sufficient and Reasonable Resources

New Leaders believes that our management plan includes *sufficient and reasonable resources to effectively carry out our project*. Our plans balance ample resources – financial, talent, technology, systems – and cost-efficiency.

Caseload system. ELPDs and APPDs maximize their time and talents in training, coaching and assessment with participant-to-Facilitator ratios of 35:1 (ELP) and 12-14:1 (APP).

Targeted use of expert consultants. As noted in Section C1, consultants will provide cost-effective access to the expertise we need early on. New investments will be thoroughly vetted by organizational leadership to ensure value and work that leads to our outcomes.

Commitment to cost efficiency. All changes are grounded in our commitment to being cost effective for our partners and funders. Based on feedback about our cost structure, we will reduce our cost per participant of our one-year ELP by 13% and of our three-year APP by 35% (see Section D for details on how we achieve cost savings).

Project evaluation. New Leaders has always had a deep commitment to evaluating our programs for effectiveness, as evidenced by our long-term RAND evaluation. For comprehensive information on how we will evaluate this project, please see Section E.

D. SUSTAINABILITY

D1) Building Capacity Beyond the Grant Period

This SEED project will develop highly effective new teacher leaders and principals to improve student outcomes and will be financially and programmatically sustainable beyond the grant period. The project will yield long-term outcomes both for our organization and the field.

Long-Term Financial Sustainability. Over the grant period, we forecast project expenses of \$33.6 million to identify and develop an additional 1,500 highly effective school leaders to improve the

practices of 7,500 additional teachers and the academic achievement of more than 200,000 additional students.³³ Already, we have secured \$16.6 million of private funding toward this project; with \$15 million from SEED and another expected \$2 million, we can fully fund the project. We have raised more than \$100 M in the past four years and have strong base of private donors to meet the overall need.

Federal funding supports New Leaders' financial sustainability goals in two ways. First, developing highly effective leaders to improve performance takes time. Federal funding offers a valuable, multi-year revenue source that provides us with the security to make the critical investments in program improvement and innovation we have outlined in this proposal. Second, the program revisions supported by SEED funding will allow us to reduce our costs, making our programs more affordable for school system partners, thus allowing us to reach a greater number of high-need students. This SEED project will reduce the cost per participant for the one-year Emerging Leaders Program (ELP) by 13% over the grant period, from \$15,000 in FY15 to \$13,000 by FY18. We will also reduce the cost per participant of our three-year Aspiring Principals Program (APP) continuum by 35%, from \$161,000/3 years in FY15 to \$105,000/3 years by FY18. Cost savings will be achieved by growing the program size so that all ELP Directors and APP Directors have full participant caseloads and by eliminating in-person national trainings that require travel and lodging, instead delivering more trainings online and locally.

Long-Term Programmatic Sustainability. As detailed previously, we will revise our program content and delivery model during the three-year grant period. Support from SEED will ensure that our programs are viable and relevant in a changing educational landscape as states implement rigorous standards. We have a track record of innovating for relevance; e.g., we anticipated partners' need to develop teacher leaders and build a pipeline of future administrators

³³ 69% of expenses will be covered by fundraising revenue, while 31% will be covered by fee-for-service revenue.

when we launched ELP in 2011, and its 30% compound annual growth rate demonstrates high demand. With this project, we anticipate long-term programmatic outcomes in two areas.

Scalable Resources: This project will allow New Leaders to create flexible, standards-aligned modules that we can use in ELP, APP, and in our other programs for different school leader audiences.

Staff Capacity: This project will add new expertise and skills to our staff through collaboration with content and curriculum expert consultants and by specializing roles, with Facilitators focused on training and ELP and APP Directors focused on participant coaching and assessment.

Building Partner Capacity. For leadership development to have a sustainable, system-wide impact, it is essential that we build the capacity of our partners over time. In past years, New Leaders has built partner capacity through consultancy engagements and through our programs. District partners reported to RAND that New Leaders influenced their principal selection criteria, principal evaluation, and principal support, improving the district as a whole.³⁴

With SEED funding, we will increase our focus on building capacity for partners who want to take greater ownership. We will offer a new “train the trainer” model where district staff eventually facilitate trainings and coach participants, continuing to access the resources we create through this SEED project. We recently signed an agreement with the Jersey City (NJ) Public Schools that reflects this approach. We specifically designed the partnership with JCPS to phase out New Leaders’ direct service after five years, with New Leaders training district staff to lead aspiring principal coaching and training facilitation by the third year.

This strategy also increases New Leaders’ organizational sustainability. Through partnerships like Jersey City, we will exit the district over time while providing a lasting impact on school performance and student outcomes. Rather than adding more districts to our portfolio,

³⁴ Gates et al., *Preparing Principals to Raise Student Achievement Implementation and Effects of the New Leaders Program in Ten Districts*.

we are building their capacity and then establishing new partnerships, allowing us to reach a greater number of students without exponentially increasing our costs.

Lasting Results. As noted in Section B, New Leaders have demonstrated long-term commitment to their schools: 79% of New Leader principals have remained at their schools for at least three years, compared to the national average of 50%.³⁵ Given strong retention, our alumni will remain in school-based leadership positions and impact students for many years to come. Furthermore, many of those who leave their schools will move into system leadership roles. As noted in Section B, more than 50 alumni have moved into principal supervisor roles, where they lead positive outcomes for an even greater number of students.

D2) Yielding Findings and Products Useful for Other Organizations and D3) Disseminating Results

New Leaders is committed to advancing ideas that reshape policies and practices to benefit many more students than we could reach directly through our programs. With SEED support, this project will produce research and resources that we believe will be valuable assets for other organizations. Specifically, we will publish white papers to share our lessons widely; publish our School Leadership Playbook; and, through consulting engagements, influence adoption of our approach beyond our program clients. To disseminate these resources, we will focus on two avenues: presenting at conferences that reach leaders in the education field and promoting our findings through blogs, social media and the press.

³⁵ Percentage of New Leaders who stay in principal roles in their Residency districts, based on internal analysis of tenure data.

Product
<p>Publications: New Leaders will produce at least one high-impact publication annually to codify what we learn through training leaders around college- and career- ready standards.</p> <ul style="list-style-type: none"> • These publications will be accompanied by a toolkit of resources that offer actionable guidance to state and local officials as well as sitting school leaders. • For example, we plan to produce an Instructional Leadership Practice Guide with case studies of successful New Leader Principals to demonstrate what supervisors should expect to see of principals that are successfully supporting implementation of rigorous new standards. This publication will be a significant contribution to the field, which to date has only provided guidance around new standards at the teacher level.
<p>School Leadership Playbook: New Leaders has two books (in process) centered on our research-based Urban Excellence Framework™, which outlines the high-leverage actions principals have taken to see sustained improvement in student achievement at their schools.</p> <ul style="list-style-type: none"> • <u>The School Leadership Playbook: A Field Guide for Dramatic Improvement</u>, features the full framework with brief section descriptions and will be published by Jossey-Bass in spring 2015. • A second handbook for school leaders on how to use the framework to diagnose their schools and improve student achievement is slated for publication by Jossey-Bass in 2016.
<p>Consulting Services: Based on the programmatic work supported by SEED funding, we will provide technical assistance to districts and charters outside of current program partners and universities to adopt our leadership development approaches, modules and/or tools.</p> <ul style="list-style-type: none"> • For example, we have trained districts in Tennessee and Indiana to use principal and assistant principal selection tools that we designed based on our rigorous program admissions process, resulting in 122 principals and assistant principals hired using our criteria. • We have worked with universities, such as The Ohio State University, to create new, year-long programs to develop leaders specifically for turnaround schools.

Conferences. New Leaders will identify opportunities to speak publically about our SEED project results from our internal and external evaluations to benefit the broader education community. We recently participated in the Goldman Sachs-Harvard Global Education Conference and the University Council for Educational Administration Annual Convention and are regularly engaged by the Council of Chief State School Officers to share our learning with state education agencies. Moving forward, we will target conferences attended by other education leaders such as the Texas Association of School Boards Summer Leadership Institute and the Learning Forward Annual Conference.

Blogs, social media and press. We will use these platforms to highlight school leadership issues and to disseminate results from this SEED project. We currently participate in education policy debates on the *National Journal's* blog and share those posts with our network. SEED funding would provide resources to guest blog with widely-read outlets such as *Education Week* or *EducationPost.org*,

to share best practices and showcase diverse voices from across our alumni network and partners.

E. QUALITY OF THE PROJECT EVALUATION

E1) Evaluation Methods Support the Goals, Objectives and Outcomes of the Evaluation

New Leaders will evaluate the impact of the leadership programs for which we are seeking SEED support with two research questions:

1) **To what extent is the one-year Emerging Leaders Program (ELP) meeting Project**

Objective 1: identifying, selecting and preparing highly-effective new teacher leaders, especially those who serve high-need students, and its related goals and outcomes? Sub-

questions include: 1A) Is ELP being implemented as intended?; 1B) Are we achieving the targeted number of ELP participants?; 1C) Are ELP graduates' leadership skills increasing?;

1D) Is the effectiveness of the teacher teams led by the ELP graduates increasing?; and 1E) Are outcomes for students taught by teacher teams led by ELP graduates improving?

2) **To what extent is the three-year Aspiring Principals Program (APP) (Emerging Leaders Program, Residency, Principal Induction) meeting Project Objective 2: identifying, selecting,**

preparing and supporting highly effective new principals, especially those who serve high-need students, and its related goals and outcomes? Sub-questions include: 2A) Is the full

program continuum being implemented as intended?; 2B) Are we achieving the targeted number of APP participants and new principal placements? 2C) Are graduates' leadership skills increasing?;

2D) Are graduates of the full program continuum being placed in principal positions?; 2E) Are school climate and teacher effectiveness improving in the schools led by graduates of the full

program continuum?; and 2F) Are student outcomes (including academic achievement and non-academic achievement) improving in schools led by graduates of the full program continuum?

New Leaders will employ a three-pronged approach to addressing these research

questions. As noted in section B1, while both programs' ultimate end outcomes are improved outcomes for students, the theories of action for the two programs are different, which requires different evaluation methods. The approach includes:

- 1) **ELP interim and end outcomes:** A randomized control trial (RCT) to measure the impact of ELP graduates on the teacher teams that participants lead and student achievement for those teachers' students, conducted by SRI International.
- 2) **APP interim and end outcomes:** A quasi-experimental design (QED) study to validate the impact of the three-year program continuum on student achievement and non-academic achievement student outcomes, as well as intermediate school outcomes, conducted by the RAND Corporation.
- 3) **Program implementation:** Data collection and analyses to provide high-quality implementation data and performance feedback for continuous improvement, conducted by RAND, SRI, and New Leaders.

RAND, SRI, and New Leaders will coordinate to avoid unnecessary duplication of efforts, while maintaining RAND and SRI's independence. Section D3 details the plans for reporting and disseminating the evaluation results for program improvement and replication.

E2) Use of Objective Performance Measures Related to Outcomes

Each research question measures progress to project objective 1 or 2 and its related outcomes, drawing on a wide range of quantitative and qualitative data (see Section B1). Figure 8 below shows the alignment between the research questions and proposed data collection.

Figure 8: Research Questions and Data Collection

Research Question	Measures Related to Outcomes	Data Collected	Responsible Party
1a	<ul style="list-style-type: none"> # of program elements implemented according to program design 	Interviews of partner district leaders	RAND, SRI
		Staff surveys	RAND, SRI, NL
		Interviews with school staff (teachers, principals)	SRI
	<ul style="list-style-type: none"> % of participants who identify programming to be useful % of participants who identify programming to be high quality 	Session evaluation surveys	RAND, SRI, NL
		Host Principal Survey	SRI, NL
		ELP surveys (multiple times per year)	RAND, SRI, NL
1b	# of ELP participants	Participant selection data	NL
	# of teachers impacted	Participant placement data	NL
	# of students impacted	School demographic data	
1c	<ul style="list-style-type: none"> % of ELP graduates that score proficient on the ELP skills assessment Size of program effect on ELP assessment score (ELP graduates vs. control group in measures of leadership skill development) 	Participant assessment scores (admissions, mid-year, final)	RAND, SRI, NL
1d	<ul style="list-style-type: none"> % of teachers working with Emerging Leaders who demonstrate effective teaching practices Size of program effect on teacher effectiveness (Teacher teams working with ELP graduates vs. control group in measures of teacher effectiveness) 	Teacher effectiveness data (classroom observations)	SRI
		Teacher effectiveness data (teacher evaluation scores used by districts)	RAND, SRI
1e	Size of ELP program effect on student achievement (Students in classes of teacher teams working with ELP graduates vs. control group in measures of student proficiency)	Student-level achievement data (scores from state assessments)	RAND, SRI
	% of Emerging Leaders that raise student proficiency	Publicly available school-level student achievement and non-achievement data	NL
2a	<ul style="list-style-type: none"> # of program elements implemented according to program design 	Interviews of partner district leaders	RAND, SRI
		Interviews of New Leaders staff	RAND
		Mentor principal surveys (annual)	RAND, NL
	<ul style="list-style-type: none"> % of participants who identify programming to be useful % of participants who identify programming to be high quality 	Session evaluation surveys	RAND, SRI, NL
		Staff surveys	RAND, SRI, NL
		Resident surveys (multiple times per year)	RAND, NL
	ELP surveys (multiple times per year)	RAND, SRI, NL	
2b	<ul style="list-style-type: none"> # of Residents # of principals placed 	Participant selection data Participant placement data Endorsement data	NL
	<ul style="list-style-type: none"> # of teachers impacted # of students impacted 	Participant placement data School Demographic data	NL
2c	% of APP graduates that score proficient on the leadership assessment	Participant assessment scores (admissions, mid-year, final)	RAND, NL
2d	% of Residents endorsed for the principalship hired as principals within two years	Placement data	NL

Research Question	Measures Related to Outcomes	Data Collected	Responsible Party
2e	<ul style="list-style-type: none"> • % of NL schools will improve on measures of school climate • Size of program effect on school climate (NL schools vs. non-NL schools on measures of positive school climate) 	School climate data (district surveys)	RAND, NL
	<ul style="list-style-type: none"> • Size of program effect on teacher effectiveness 	Teacher effectiveness data (teacher evaluation scores used by districts)	
2f	<ul style="list-style-type: none"> • Size of program effect on student outcomes (Students in NL schools vs. students in non-NL schools in measures of student achievement) 	Student-level achievement data (scores from state assessments)	RAND, SRI
		Student-level non-achievement data (e.g., suspensions, attendance)	RAND, SRI
	<ul style="list-style-type: none"> • % of NL schools outperforming non-NL schools in gains in student proficiency • % of NL principals that raise student proficiency 	Publicly available school-level student achievement data	NL

E3) Implementation Data and Performance Feedback

SRI, RAND, and New Leaders will all conduct program implementation analyses throughout the grant period to inform continuous improvement. SRI will conduct annual site visits to ELP-only partner districts and draw on New Leaders’ internal implementation data. Specifically, SRI will conduct annual interviews with district leaders, principals, ELP participants, teacher team members, and New Leader staff who support the program in each district. These site visits will allow SRI to gain a nuanced understanding of teachers’ and others’ experiences with the program and will also provide a deeper understanding of how context affects SRI implementation. Analysis for performance feedback will focus on program implementation, supports and challenges to implementation, and perceptions of program quality.

RAND will conduct descriptive analysis of data on program participants collected by New Leaders and provided to RAND, as well as data on principal placement gathered from partner districts where New Leaders is implementing the full program continuum. RAND will also analyze what program elements are implemented, barriers or facilitators to implementation, perceptions of quality and implementation costs. RAND will also track the nature of New Leaders partnerships and the context in which New Leaders operate by conducting interviews

with placement partners. RAND will publish relevant findings from these analyses in their annual restricted draft reports to New Leaders and in the final published report.

In addition to the RAND and SRI evaluations, New Leaders will conduct an internal evaluation analyzing program scale and outcome data, including tracking program participants, program implementation, and school- and subgroup-level student achievement data.³⁶

E4) Meeting the What Works Clearinghouse Standards

The evaluation of this project will provide evidence that will meet the What Works Clearinghouse Evidence Standards of effectiveness without reservations.

Randomized Control Trial of ELP. New Leaders will contract with SRI International to conduct a year-long cluster-randomized control trial to estimate the effect of ELP on participants, teaching teams, and students during the 2016–17 school year. New Leaders will identify 150 ELP candidates that meet its selection criteria, and SRI will randomize half into treatment (receiving ELP training in the 2016–17 school year) and half into control (receiving no ELP in 2016-17 and receiving delayed treatment in 2017–18).

Participation in the treatment group will be determined by random assignment and SRI and New Leaders will work to keep differential attrition low. All analyses will test for baseline equivalence in the analytic sample. Outcome measures are valid, reliable, appropriately aligned to the intervention, and will be collected in the same way across treatment and control. No outcome data will be imputed and no significant confounds exist. All data will be analyzed according to standards set by WWC at the time of analysis.

Identification of Study Participants. The RCT design will include outcomes on three clustered levels of participants: 1) ELP participants, 2) their teaching teams, and 3) the students

³⁶ See Figure 8.

assigned to work with these ELP participants and teachers in the 2016–17 school year.³⁷ SRI will support New Leaders recruitment to encourage participant buy-in and proactively prevent attrition from the RCT.³⁸ All 150 potential ELP participants will identify a teaching team prior to randomization. Each ELP participant’s teaching team will include, at minimum, one teacher teaching a tested grade and subject. The entire team – inclusive of the ELP participant – will be randomly assigned as a unit into treatment or control in the month prior to the start of the 2016–17 school year. Randomization will be blocked at the district and school level (i.e., elementary, middle, and high school) to ensure the treatment and control groups are balanced across district contexts and differing student developmental levels.³⁹ No in-mover teachers will be included in the study, and teachers who leave the school between randomization and the end of the study will be considered attrition. The student sample will consist of all students assigned to one of the study teachers during the 2016–17 school year.⁴⁰

Methods and Analyses. SRI’s tasks will include analysis of: 1) student achievement; 2) teacher outcomes; and 3) ELP participants’ leadership outcomes.

Student Achievement: The evaluation will use student standardized test scores in mathematics and English language arts from spring 2017 as measures of student achievement.⁴¹ We will use

³⁷ ELP participants do not receive release time for their increased leadership responsibilities. We therefore expect that the sample size and composition of the student populations will not differ by treatment and control status.

³⁸ J. Roschelle et. al., *Recruiting Participants for Large-Scale Random Assignment Experiments in School Settings* (Menlo Park, CA: SRI International, 2014).

³⁹ New Leaders estimates that 10% of ELP participants will be clustered within schools. SRI will randomize without regard to school and therefore expect s that approximately 5% of ELP participants will be randomized into a different condition than another ELP teacher in the school. Any resulting accidental contamination of the control condition would cause us to underestimate the true effect of ELP. However, contamination is unlikely to eliminate enough difference between treatment and control teacher practices to outweigh the improved statistical power that comes with teacher-level vs. school-level randomization. C. Rhodes, “The Implications of ‘Contamination’ for Experimental Design in Education,” *Journal of Educational and Behavioral Statistics* 36, no. 1 (2011).

⁴⁰ This design allows for the study results to meet WWC without reservations for impacts on individuals for ELP participants and teachers (the two more proximal outcomes). The study will meet WWC without reservations for impacts on student groups, as opposed to individuals.

⁴¹ B. May et. al., *Using State Tests in Education Experiments: A Discussion of the Issues* (Washington, DC: National Center for Education Evaluation and Regional Assistance, Institute of Education Sciences, U.S. Department of Education, 2009). Given the unknown composition of the states and school levels included in the analytic sample and ongoing changes to state assessments, practicality precludes a predetermined plan for combining assessment scores across states and grades. SRI will follow May (2009) to formulate an appropriate plan for converting assessment scores into z-scores and modeling impacts given the observed

student demographic data (including measures of socio-economic status) for all students and prior achievement data as available (i.e., for those students in grades tested the prior year) to check for baseline equivalence between treatment and control groups in the analytic sample.

To assess ELP impact on student standardized test scores, SRI will estimate a hierarchical linear model (HLM) with the effect of the intervention estimated at the ELP participant level. HLM adjusts standard errors associated with the clustering of observations and point estimates for the different sample sizes of clusters, thus minimizing Type I error associated with nested models.⁴² The predicted academic achievement for student i , taught by a teacher on ELP participant j 's teaching team (inclusive of ELP participant j) as a function of ELP participant j 's assignment to treatment is given as:

$$Y_{ij} = \beta_0 + \beta_1(Treatment_j) + (\overline{Baseline_{ij}})\beta_2 + \beta_3(\overline{Baseline_{j(t-1)}}) + e_{ij} + r_j + d_j + \gamma_i$$

Random effects e_{ij} and r_j allow for error at the student and ELP participant level, respectively. The term d_j indicates that the model controls for fixed block effects, which account for both differences in district policy and context and the blocked randomization within district and school level. Students' grade levels, and resulting differences in assessments, are accounted for by the fixed grade effect γ_i . We include both a vector of students' own demographic characteristics (β_2) and the mean of student pre-treatment scores from teaching teams' prior year (β_3) as a control to improve precision of the estimate without eliminating students who were not in tested grades the prior year. β_1 provides an estimate of the effect of ELP participants' assignment to treatment (the Intent to Treat effect). We estimate these student impact analyses will have an MDES of .08.⁴³

distribution of assessment scores in study districts in the 2015–16 (baseline) school year. For parsimony, we present in this proposal a single model with fixed effects to account for variation in state assessments and grades.

⁴² S.W. Raudenbush and A.S. Bryk, *Hierarchical Linear Models: Applications and Data Analysis Methods* (Newbury Park, CA: Sage, 2002).

⁴³ Larry Hedges and E.C. Hedberg, "Intraclass Correlation Values for Planning Group-Randomized Trials in Education," *Educational Evaluation and Policy Analysis* 29, no. 1 (2007). MDES is calculated using a two-level model, assuming the

Teacher Outcomes: The evaluation's primary teacher outcome will be a measure of teachers' classroom environment and instruction. SRI will conduct classroom observations for study teachers across treatment and control conditions; early fall provides a baseline measure and late spring provides an outcome measure. Observations will use an externally validated instrument that aligns with the ELP model. Classroom observations will be used as an intermediate outcome measure in a two-level model similar to the model presented above, clustering teachers within their associated ELP participant and adjusting for teachers' own baseline observation scores. We estimate an MDES of .30 for teacher observations.⁴⁴

ELP Participant Outcomes: The primary ELP participant outcome of interest will be leadership skills, assessed in spring 2017 using New Leaders' Data Driven Instruction (DDI) assessment, an externally validated and reliable instrument appropriate for administration to both treatment and control conditions ($\alpha=.8053$)⁴⁵, which taps into multiple leadership areas, including instructional leadership around data analysis and action planning to promote student achievement. SRI will work with New Leaders to ensure this assessment is administered similarly in both treatment and control conditions and scored blindly to participants' treatment status, ensuring this data meets WWC criteria for outcome measurements. For this analysis, SRI will use ELP participants DDI proficiency status from New Leaders' selection process as a baseline measurement to test for baseline equivalence and adjust for prior knowledge in the outcome estimate. Outcomes will be estimated using a logistic regression with fixed block

top level N is 150 ELP participants and an average of 60 tested students per cluster. We use estimated ICCs and R²s in reading averaged across all grade levels from Hedges & Hedberg (2007; ICC=.109, $\eta_B^2=.193$, $\eta_W^2=.449$). Attrition of 20% of ELP candidates would result in an MDES of .09.

⁴⁴ Wechsler, et al., *Evaluation of the Florida Master Teacher Initiative* (Melo Park, CA: SRI International, forthcoming). MDES is calculated using a two-level model, assuming the top level N is 150 ELP participants and an average of 2 teachers per ELP participant, randomly chosen from among those teachers teaching tested grades and subjects. Estimated ICCs and R²s are taken from preliminary results from a study of similar design using CLASS observations (Wechsler et. al., forthcoming; ICC=.098, $\eta_B^2=.77$, $\eta_W^2=.77$). Attrition of 20% of ELP participants would result in an MDES of .34.

⁴⁵ Goff and Hyun, *Data-driven Instruction*.

effects, as described above, to account for randomization within blocks and rater-fixed effects to account for any rater differences. We estimate this model will have the power to detect an 11.8 percentage point differences in rates of ELP participants' leadership knowledge proficiency.⁴⁶

Quasi-experimental study of APP. New Leaders has contracted with the RAND Corporation to conduct an independent, quasi-experimental design (QED) study to validate our impact on student achievement and non-achievement outcomes.⁴⁷ Specifically, it will examine the impact of the full leadership continuum for cohorts 12, 13 and 14 through the 2016-17 school year.

The study design will produce evidence about the project's effectiveness that will meet What Works Clearinghouse Evidence Standards without reservations by a) using an interrupted-time series design with control group to estimate the impact of the New Leaders principal (i.e., "value-added models"); b) including statistical controls for factors such as student demographics, prior achievement, and principal tenure; c) including large samples of participants who have received the same treatment (high internal validity); and d) including a sample that includes New Leaders participants over many cohort years, across many cities, and school types (high external generalizability).

Sampling Plan. The treated group includes members of APP cohorts 12, 13 and 14, which will include approximately 140-145 New Leaders placed as principals within the project period. The control group for the outcome analysis will consist of newly-placed principals in district and charter partner schools who were not trained through the New Leaders program. RAND will obtain data on all students in all schools in partner areas in years one through four of the project, allowing RAND to measure impact and establish matched peer control groups. RAND will collect student-level data and

⁴⁶ MDES is calculated for differences in binary outcomes with a one level logistic regression model, assuming 150 ELP participants. Estimates used an average base pass rate of 7%, based on historical NL selection data. Completers pass rates from prior ELP cohorts indicate an estimated pass rate at outcome of well above 50%, indicating that this analyses is adequately powered to detect the expected effect.

⁴⁷ It is important to note that an RCT is not a viable design option for evaluating the full program continuum. Based on implementation research conducted by RAND, NL recommends that districts carefully match principals to schools. Since randomly assigning principals to schools violates the program's theory of action, a quasi-experimental design is best suited for evaluating the outcomes of the program continuum model.

principal tenure information (for New Leader and non-New Leader principals) so as to control for that variable and to accurately assess a student’s exposure to the treatment.

Methods & Analyses. RAND’s tasks will include analysis of: 1) student achievement; and 2) intermediate outcome measures.

Student Achievement: RAND’s primary analytic approach uses longitudinal student-level data to estimate “value-added” models. The goal of all value-added models is to isolate the incremental contribution of some intervention, in this case New Leaders APP, on student outcomes.⁴⁸ Because this approach exploits “interruptions” in the student’s exposure to a New Leaders principal, it can also be characterized as a quasi-experimental design known as interrupted “time-series” (with a control group), with data on “control” students who never receive exposure to a New Leaders principal. RAND and New Leaders estimate models of the form:

$$(1) Y_{ist} = \theta D_{st} + X_{st}\beta + W_{ist}\lambda + \alpha_i + \eta_t + \varepsilon_{ist}$$

where Y_{ist} denotes student achievement for student i in year t in school s , X_{st} is a vector of observed school-level covariates (such as principal experience), η_t is a year fixed-effect, W_{ist} is a vector of observed student-level covariates that may be time-varying (such as grade) or permanent (such as race), α_i is a student-specific intercept, and ε_{ist} is a random disturbance term. The key variable for this study is D_{st} , which denotes the program status of school s in year t (program status denotes both whether a student had a New Leader as a principal and the years of experience the New Leader had). RAND estimates Equation (1) treating α_i as both a “fixed” and “random” effect. Although fixed- and random-effects models are valid under different statistical assumptions, in practice findings show that both approaches yielded similar estimates.

Furthermore, RAND will estimate refined models that account for differential learning

⁴⁸ D. McCaffrey et al., *Evaluating ValueAdded Models for Teacher Accountability* (Santa Monica: RAND Corporation, 2003).

trajectories of students in New Leaders-led and non-New Leaders schools. In addition, RAND will consider an alternative estimation strategy that limits the sample to matched comparison schools (selected, for instance via propensity score matching on principal, demographic and baseline student achievement characteristics), though the design would need to overcome the challenge of student migration into and out of matched schools.

Because the tests, institutions, and student characteristics differ so much across cities, the estimation will be done on a city-by-city basis. For each city, the estimated standard errors on the effect sizes will be adjusted for clustering at the school-year level, and aggregate estimates will be generated by taking a weighted average of the city-level estimates. Though practicality precludes random assignment, these new elements will ensure that the RAND study otherwise meets the requirements for a large, controlled, multi-site trial by the end of the grant period.

To calculate the expected minimum detectable effect size, RAND uses the estimated standard errors reported in Martorell et al. (2010) for the effect of having a New Leader principal with 3+ years of tenure. For math, the estimated standard error is 0.013 and for reading, it is 0.008 in standardized test score units. Assuming that the estimates in the proposed study have roughly the same level of precision as what RAND has previously seen, the minimum detectable effect size with 80 percent power will be $2.8 \times 0.013 = 0.036$ for math and $2.8 \times 0.008 = 0.022$ for reading.

In addition to examining overall effects of having a New Leaders principal, RAND will examine several dimensions of heterogeneity in the impacts. One is how the effects vary over time. The New Leaders theory of action states that it will take time for the reforms instituted by principals to have appreciable effects on student outcomes. Thus, RAND will estimate models where the effect of having a New Leader principal (θ in Equation 1) varies with the number of years she has been with a particular school. RAND will also examine whether the effects differ

for charter and non-charter schools.

Intermediate Outcomes: While it may take several years for principals to improve student outcomes, the New Leaders theory of action posits that changes in key school-level characteristics, such as teacher effectiveness and school climate, precede achievement gains. RAND will examine whether schools with New Leader Principals experience larger changes in these measures than schools with non-New Leader principals.

The analysis of intermediate outcomes will draw on available data from partner districts. Each partner district either has or will have achievement-based teacher evaluation metrics by 2013-14. In addition, five of the seven districts currently have a school climate survey that yields school-level data. Importantly, data are available for all schools in the district, allowing us to construct intermediate outcome measures for both New Leaders and non-New Leaders schools.

To estimate the effect of having a New Leader Principal on intermediate outcomes, RAND will estimate difference-in-difference models.⁴⁹ This approach will allow RAND to compare differences in outcomes between schools that in a given year did and did not have a New Leader Principal and then net out the difference in outcomes between these two groups of schools observed at baseline (when neither had a New Leader Principal). Provided that differences between the two groups of schools in unobserved confounding factors remain constant over time, this approach will identify the effect of having a New Leader Principal on a given intermediate outcome measure. Formally, RAND will estimate models of the form:

$$(2) Y_{st} = \delta D_{st} + X_{st} \beta + \alpha_s + \eta_t + \varepsilon_{st}$$

where Y_{st} denotes some intermediate outcome Y in year t in school s , α_s is a school-specific dummy variable (fixed effect) and other variables are defined as above in Equation (1). The key variable for

⁴⁹ J. Angrist and S. Pischke, *Mostly Harmless Econometrics* (Princeton: Princeton University Press, 2009).

this study is D_{st} , which denotes whether a school had a New Leader in year t . By controlling for school fixed-effects and year effects, the model compares the relative growth in Y before and after a New Leader entered a school relative to schools that did not experience a transition to a New Leader.

With additional data on intermediate outcomes in years prior to a New Leader entering a school, it will also be possible to estimate richer models that control for differences in baseline trends. With this “interrupted time series” approach (Cook and Campbell, 1979)⁵⁰, the effect of the New Leader on intermediate outcomes will be identified by estimating a break in the relative trends in intermediate outcomes, guarding against bias in the simple difference-in-difference estimates that would result from differences in baseline trends.

F. ABSOLUTE PRIORITIES

F1) Absolute Priority 1 – Supporting Practices and Strategies for Which There Is Moderate Evidence of Effectiveness

The proposed SEED funding will support New Leaders *to identify and develop more highly effective new teacher leaders and principals* through our one-year Emerging Leaders Program and three-year Aspiring Principals Program as detailed in Section B. Our curricula are based on New Leaders’ research-based Urban Excellence FrameworkTM, which identifies leadership areas needed to improve student achievement in under-performing schools.⁵¹ Our aligned program standards outline what participants need to know and be able to do in positions of leadership. Content for both programs focuses on developing participants’ proficiency in alignment with those standards. New Leaders *has established moderate evidence of effectiveness* for our project via an independent evaluation showing that students outperform their peers

⁵⁰ T.D. Cook and T.D. Campbell, *Quasi-experimentation: Design and Analysis Issues for Field Settings* (Chicago: Rand McNally, 1979).

⁵¹ The Urban Excellence FrameworkTM has been independently validated by researchers at Johns Hopkins University: D.J. Hutchins, J.L. Epstein, and S.B. Sheldon, *How do principals’ report of leadership practices reflect UEF categories, levers, and concepts?* (New York: New Leaders, 2012).

specifically because they have a New Leader principal—and the results are statistically significant, the gold standard in research.⁵² (See Sections A1, B2 and Appendix C).

F2) Absolute Priority 2 – Teacher or Principal Recruitment, Selection, and Preparation

New Leaders recruits, selects, and prepares talented individuals to work in schools with high concentrations of high-need students, and through this project, we will expand the number of highly effective school leaders we develop. As outlined in Section B, our programs start with a *rigorous selection process* ensuring that only the most highly qualified individuals join our programs through a competitive admissions process (only 8% are accepted to APP) based on our research and competency-driven standards. Our *clinical, experiential training model* uses intensive seminars; real-time, differentiated coaching; and on-the-job training, all with consistent opportunities to practice in actual schools (see Sections B1- B3). We have a comprehensive strategy to *redesign and implement program coursework and maintain alignment with increasingly rigorous college- and career-ready standards* by leveraging curriculum experts to create new standards-aligned training modules and by having highly trained Facilitators deliver curriculum (see Section B3). Our internal and external evaluations will measure progress toward interim and end outcomes including student achievement; New Leaders and our evaluation partners, SRI and RAND, will share annual findings on progress to interim outcomes (see Sections A and E). ELP and APP Directors assess participants on their abilities to perform tasks *that are proven to drive student achievement*, as determined by our research-based, competency-driven program design (see Section B1).

F3) Absolute Priority 3 – Professional Development for Teachers of Academic Subjects.

Our mission is to ensure high academic achievement for all students, and we do this in ELP through *high-quality professional development for teachers*: 94% of ELP supervisors agree

⁵² Gates et al., *Preparing Principals to Raise Student Achievement Implementation and Effects of the New Leaders Program in Ten Districts*.

or strongly agree it improves participants’ leadership capacity. Emerging Leaders lead teachers to increase student achievement in *college- and career-ready, standards-aligned subject matter* (see Sections B1-B3 and letters of support from our district partners). Our partner districts encourage us to focus on English Language Arts (ELA) and math due to the *high need for academic improvement in these subjects*. Proficiency in the schools where we work is even lower than the district averages shared in the following table.

Figure 9 Student Proficiency in Math and ELA (District Level; SY2013-14⁵³)

District	Math	ELA
New York	34.20%	28.40%
Memphis	41.70%	41.00%
Baltimore	42.00%	62.40%
Bay Area (Oakland)	44.00%	45.00%
Newark	47.00%	36.00%
Chicago	52.80%	46.20%
Washington, D.C.	54.00%	49.90%
Charlotte	55.70%	56.80%
New Orleans (Recovery School District)	62.80%	57.10%
Arlington	75.00%	79.00%

As detailed in Sections B and E, we determine our programs’ impact on teacher effectiveness *using multiple measures and based in significant part on student growth*. These are both *transparently communicated to our participants and fair as we assess participants against our research-based program standards*. Our internal and independent evaluations will analyze classroom observations, rigorous teacher evaluation data from district partners, student achievement as measured by state assessments and non-achievement data (e.g., suspensions, attendance) to inform continuous program improvement.

G. COMPETITIVE PRIORITIES

G1) Competitive Preference Priority 2 – Improving Efficiency

⁵³ Or most recent publicly available data.

New Leaders integrates *innovative and sustainable technology* to make better use of our resources and staff and participant time, while creating efficiencies for our school partners. These efficiencies enable us to deliver cost-effective virtual trainings that allow participants to engage at their own pace; to streamline our data tracking; and to create a sense of community and more effective communication among staff and program participants in multiple locations. One example of *innovation and sustainability* in ELP is the use of technology to digitally record teachers’ practice for reflection and feedback . This approach is supported by several studies showing that collecting artifacts that illustrate practice in context—like videos or observation data—can provide a rich source of learning in collaborative communities.⁵⁴ Using digital recording also allows ELPDs to coach a larger caseload, as they save time by not traveling to multiple schools, and it creates efficiency for the Emerging Leader because the feedback cycle is much faster.

This table provides an overview of other technology used by both staff and participants:

Figure 10: Innovative and Sustainable Technology

Emerging Leaders and Aspiring Principals Programs – Participant and Staff Technology			
Technology	User	Purpose	Benefits and Efficiencies
Adobe Connect & WebEx	ELP, APP, NL staff	Live webinars; document-sharing; community	<ul style="list-style-type: none"> • Benefit = Creates community among participants who are geographically dispersed • Efficiency = Reduces travel, lodging and space expenses related to in-person trainings
Articulate & Storyline	APP ELP	Asynchronous web-based tutorials	<ul style="list-style-type: none"> • Benefit = Taken on participants’ own time; convenient • Efficiency = Used to have 30 live webinars requiring staff to create, lead and support; have reduced costs for us and partners by replacing 10 webinars with web-based tutorials
Canvas	ELP, APP	Learning management system	<ul style="list-style-type: none"> • Benefit = Easy to use; has app to post webinars, documents • Efficiency = Streamlined system for managing participant learning
Google sites	NL staff	Central home for program materials	<ul style="list-style-type: none"> • Benefit = Easy access for staff in multiple locations • Efficiency = Allows efficient collaboration
Qualtrics	ELP, APP, NL staff	Web-based survey tool; assessments	<ul style="list-style-type: none"> • Benefit = Ease of use on mobile devices, on own time for participants • Efficiency = Participants’ self-assessment automatically uploaded/sent to APP Director once completed; saves staff time/cost
Salesforce	NL staff	Organization-wide database	<ul style="list-style-type: none"> • Benefit = Houses all participant data—from recruitment pipeline to graduate principal placements—in one place • Efficiency = Digital data storage saves cost; allows easy access for staff in multiple locations

⁵⁴ H. Borko, “Professional Development and Teacher Learning: Mapping Terrain,” *Educational Researcher* 33, no. 8 (2004): 3-15; M. Sherin and S. Han, “Teacher learning in the context of a video club,” *Teaching And Teacher Education* 20, no. 2 (2004): 163-183.

Additionally, as described in earlier sections, we are committed to reducing costs to create more affordable programs for our district and charter partners and to increase our long-term sustainability. We are confident that we can maintain and increase the quality and intensity of our programs while maximizing resources (see Sections B3, C3 and D).

G2) Competitive Preference Priority 3 – Promoting STEM Education

New Leaders is deeply committed to developing leaders who can prepare today's students to thrive in tomorrow's world, and *increasing opportunities for high-quality preparation of STEM teachers* is critical to that goal. We have demonstrated strong impact in STEM leadership. In SY2013-14, 67% of our Residents and 55% of our Emerging Leaders taught a STEM subject with a track record of leading strong student achievement. New Leaders has partnered with 100kin10, a multi-sector network addressing the national imperative to train 100,000 STEM teachers. Our shared growth goal is to train 800 additional highly effective new STEM teacher leaders by 2021. Our commitment to STEM is paying off: Mathematica found that New Leaders-led Bay Area schools, compared to other schools in California, produced an estimated four months of additional math learning over three years.⁵⁵ For example, Emerging Leader Neil Terpkosh and his team increased the percentage of students scoring Proficient/Advanced in Algebra I by 23%, and for the very first time, his school had the highest Algebra I scores in the district.

Diversity among STEM teachers and leaders also ensures the best outcomes for the students and teachers we serve. We actively recruit a diverse group of STEM Emerging Leaders: 88% identify as people of color, with 53% identifying as African-American or Black. We were highlighted for our success in this work at the US Department of Education's conference on

⁵⁵ Booker and Thomas, *Impacts of New Leaders on Student Achievement in Oakland*. Note that reading instruction was also addressed, and students received additional months of learning in that subject as well.

diversity in education leadership.⁵⁶ Our commitment to diverse recruitment runs deep and also includes staff, 56% of whom are people of color.⁵⁷

Finally, New Leaders is committed to tracking data for continuous program improvement and managing progress to our goals of increasing teacher effectiveness and raising student achievement. For more information on how we will *measure the impact of our programs on teacher effectiveness—including STEM teachers*—see Sections E and F3.

G3) Competitive Preference Priority 4 – Supporting High-Need Students

We are dedicated to serve all students, *especially low-income students and students of color*. We prepare *transformational leaders to support high-need students*—83% of students we serve qualify for free and reduced-price meals, 88% are students of color, and 14% are English Language Learners—and we serve the *highest-need districts and the highest poverty schools* in our partner districts. We are often asked to improve schools where starting proficiency is painfully low, and even in these circumstances we achieve impressive academic growth (see Section B5 for details).

Leading this work in high-need schools requires a deep commitment to cultural equity and awareness. Through our cultural leadership domain of training, we thoughtfully prepare school leaders to understand their own biases, become culturally competent, and create inclusive, efficacious environments for adults and children.

⁵⁶ Lee, “New Leaders Prepares Diverse Top Talent for High-Needs Schools.”

⁵⁷ Based upon internal data from our People Development and Human Resources Team.