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A. QUALITY OF THE PROJECT DESIGN

(1) Clear Goals and Strategy:

The United States is in the midst of an education crisis. Nearly 15 million children live in poverty¹. Upon entering fourth grade, children from low-income families are already two to three grades behind their higher-income peers². That gap widens significantly as students progress to high school, where only half of students in low-income communities will graduate by age 18³. Those who do graduate perform on average at an eighth-grade level and struggle to move forward in higher education⁴. Raising the academic achievement of all students is both a moral and an economic imperative – vital to ensuring today’s children are prepared to tackle the challenges of tomorrow and compete for the jobs of the future.

Several studies have shown that teacher effectiveness is one of the most important school-based factors influencing achievement⁵. Addressing teacher quality is critical to closing the achievement gap; however, focusing only on teacher quality will not be sufficient to improving teacher practice, nor will it solve the larger education crisis in low-income communities. To succeed in that endeavor, our nation must create and support whole schools and school systems that can advance academic achievement for all students, regardless of their race or income.

In order to transform low-performing schools in low-income urban areas, our country must increase the number of high-performing principals with strong instructional and adult leadership skills that enable them to recruit, select, train and support strong teachers. On

¹ National Center for Children in Poverty, 2012.

² National Center for Education Statistics, National Assessment of Educational Progress, 2009.

³ National Center for Education Statistics, High School Transcript Study Results, 2005

⁴ National Center for Education Statistics, High School Transcript Study Results, 2005

⁵ Hanushek, Kain, & Rivkin, 1996; Sanders & Horn, 2004; Wright, Horn & Sanders, 1997; Gordon, Kane & Staiger, 2006

numerous occasions the U.S. Secretary of Education Arne Duncan has said, “There are no good schools without a great principal.”⁶ Indeed, throughout our nation’s history, one principle has remained constant: great leaders drive innovation and revolutionary change. And no institution – whether a business, nonprofit organization or government entity – can succeed without strong leadership in place. A school is no different.

Further, researchers have noted repeatedly that there are virtually no cases of school turnarounds that have occurred without effective leadership⁷. Principals have a significant impact on student achievement. A meta-analysis of 35 years of school leadership research found that principals’ actions account for 25 percent of a school’s total impact on student achievement⁸. Yet, districts in low-income communities lack a strong leadership pipeline, making it difficult to attract and retain effective principals. Some of the most successful charter schools and networks report that leadership is their greatest barrier to replication and growth⁹.

New Leaders is uniquely positioned to fill this gap in the school leadership pipeline. The mission of New Leaders 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. In order to achieve this mission, we work to create successful schools and students by training future school leaders and collaborating with partner school systems to foster the conditions that enable principals to drive great results for students.

New Leaders has over a decade of experience recruiting, selecting, training and supporting effective principals who, based on independent evaluations, have been found to drive

⁶ The Wallace Foundation’s National Conference on Education Leadership, (October 14, 2009)

⁷ Bryk et al. (2010); Duke (2004); Leithwood (2004); Berends et al. (2001).

⁸ Marzano et al. (2005); Leithwood et al. (2004)

⁹ Chadwick and Kowal (2011)

student achievement gains at significantly higher levels than non-New Leader Principals and increase graduation rates¹⁰. New Leaders leverages our extensive field experience and robust research in and evaluation of school leadership to build the capacity of school districts, charter management organizations and states through our District and State Services team. Through this work, New Leaders enhances local and state-wide policies and practices that enable school systems to prepare, select, evaluate and develop effective principals. No other principal preparation program matches New Leaders' geographic breadth or national scale, nor do any have the expertise and resources to drive both effective local practices and broader policies around leadership development.

With funding from the U.S. Department of Education's Investing in Innovation (i3) grant, New Leaders will build on 11 years of experience, expertise and success to recruit, select, train and support 140-145 new principals by 2017, increasing the number and equitable distribution of effective principals transforming schools, teacher practice and student achievement in seven cities committed to education reform and able to act as positive proof points for replication in urban and rural communities across the nation. The i3 grant will enable us to double the number of New Leaders trained and students reached (94,500¹¹) in Baltimore, the Bay Area, Charlotte, Chicago, Greater New Orleans, Prince George's County and Washington, D.C. To further scale our impact, we will disseminate in strategic and purposeful ways the findings from this project's evaluation to support states, districts and charter management organizations beyond these seven cities to pursue effective school leadership policies and practices.

¹⁰ Internal program analysis based on publicly available data for 2010.

¹¹ The number of students impacted is calculated based off of the number of principals trained and their tenure during the grant period. This does not include the number of students impacted through the ELP program. See section 1C for more details.

Leadership Development Program Goals: The goal of the Leadership Development Program is to increase student achievement by increasing the number of effective principals in high-need, low-income schools. The program will utilize a rigorous recruitment, selection, training and support model in order to identify and develop the strongest individuals for principalships. Upon conclusion of the program New Leaders will share research findings that benefit the larger education community and better enable New Leaders and other like organizations, districts, charters and states to replicate strong principal training and development programs in new communities across the country.

Through the Leadership Development Program, New Leaders will partner with 15 school districts and charters to prepare approximately 140-145 individuals for principalships in high-poverty schools. As a result of this grant, New Leaders will impact an estimated 94,500 K-12 students and serve a critical mass of 28 percent of high-poverty schools in New Leaders partner cities¹².

In addition, New Leaders will develop and disseminate knowledge from the grant activities to facilitate program expansion, replication and scale-up in other locations throughout the country. New Leaders will prioritize opportunities to strengthen our nation's collective thinking around principal training programs and principal evaluations. We will translate learnings from this project and the independent evaluation into recommendations to state policymakers and district and charter leadership to help them pursue effective school leadership policies and practices.

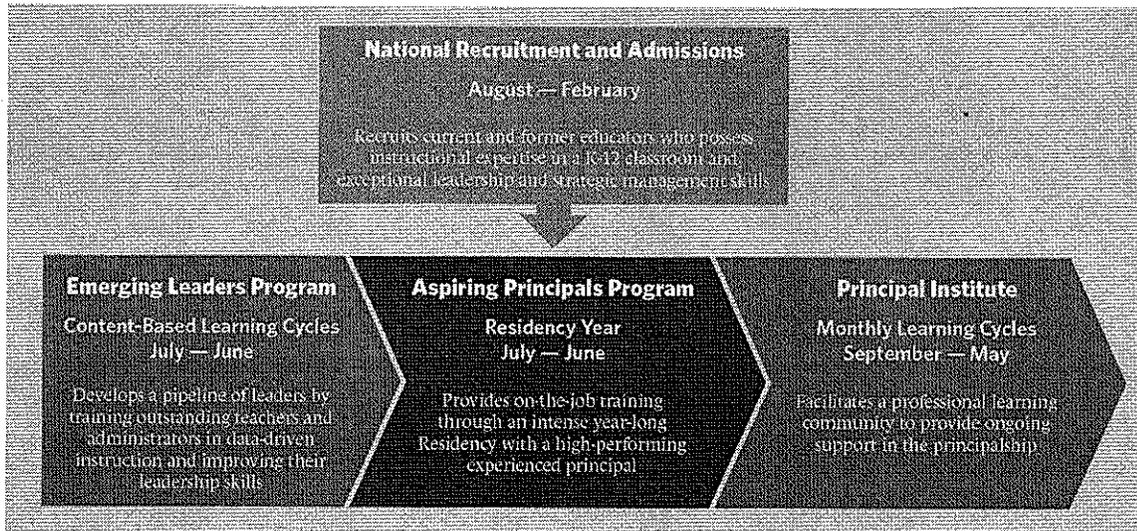
¹² This calculation was determined based off of the 2010 publicly available data on Free and Reduced Lunch Schools in each of the seven cities. Data was unavailable for Charlotte and Greater New Orleans at the time of calculation.

New Leaders will engage in four key strategies to successfully execute the Leadership Development Program and our dissemination approach and achieve our target outcomes (see Table 2).

Strategy 1: Build a Pipeline of Promising Future Principals for Partner School Systems:

A crucial part of New Leaders’ program model is the recruitment and selection of individuals who exhibit a set of characteristics and competencies found in highly successful school leaders.

Figure 1: New Leaders Program Continuum



New Leaders uses two approaches: (1) a national recruitment and selection process to identify talent from across the country and (2) a pipeline-building strategy to identify talent within the school systems we serve. New Leaders aggressively recruits current and former educators who possess instructional expertise in a K-12 classroom, exceptional leadership and strategic management skills, and an unyielding belief in and urgent desire to ensure that all students achieve at high levels. In addition to their classroom experience, New Leaders Principals have diverse expertise, in business, military, non-profits and more. Aspiring Principals

Program (APP) participants are selected with the expectation that they demonstrate a lifelong commitment to being urban school leaders.

In our national process, New Leaders engages in a rigorous, executive-style recruitment process based on best practices from the education and business worlds. Using research-based selection criteria, New Leaders assesses candidates in the following areas: (1) believes that all students will achieve college success, (2) demonstrates a relentless drive to achieve results, (3) demonstrates strong adult leadership, (4) focuses on student achievement results, (5) works to personally improve self, (6) demonstrates strong project management skills and (7) demonstrates interpersonal leadership. These criteria are used as an evaluation rubric during the admissions process, which includes: an extensive online application; a virtual assessment; and an intense Finalist Selection Day comprised of a full day of interviews, case-based scenarios and group observations testing finalists' responses to sample leadership challenges in an urban school. During this grant, New Leaders will recruit nationally 127 individuals to participate in APP.

The Emerging Leaders Program (ELP) creates a leadership pipeline by identifying talented teachers, instructional coaches and assistant principals who have the desire and intent to become a principal in two to three years and by strengthening their adult leadership skills to prepare them for future leadership roles. Participants in ELP develop their skills in using data to drive instruction and building teacher and student efficacy, which in turn enables them to build a culture of high expectations for both students and adults. These are foundational elements of the adult leadership required to transform underperforming schools in low-income communities¹³. With their principals' permission, ELP participants are responsible for leading two to three teachers to improve student achievement, gaining real-world experience and impacting student

¹³ New Leaders, Urban Excellence Framework

learning. Based on their ability to set goals for driving student achievement gains and leading their teacher team to meet them, and their growth in adult leadership skills, , select participants are invited to continue their journey to principalship by joining New Leaders' Aspiring Principals Program. During this grant, New Leaders will train 690 teacher leaders and anticipates that approximately 20-30% will be invited to join and matriculate into APP.

Strategy 2: Train Aspiring Principals and Help Them Secure Placements: The Aspiring Principals Program selects and trains promising future leaders through our best-in-class principal residency year, similar to a medical school model, which includes four parts: (1) induction; (2) rigorous academic coursework; (3) a year-long residency under a mentor principal who has driven results in student achievement; and (4) assessments of leadership growth.

Induction: After matriculating into APP, program participants – or Residents, as we call them – are placed at their school site and conduct a school diagnostic, identify their strengths and weaknesses through 360 degree feedback and develop an individualized learning plan, allowing them to focus their practice.

Coursework: Our Residents then move onto Summer Foundations, a two-week national seminar they attend with their nation-wide cohort to learn about data-driven instruction, teacher and student efficacy, facilitative leadership, observation and supervision, cultural competence, personal leadership, math and literacy leadership and school culture leadership. This rigorous curriculum is based on the latest research in principal training and aligned to New Leaders' Urban Excellence Framework (see details in Attachment J). Throughout the residency year, Residents attend two additional national gatherings in the fall and spring, regular local sessions

and virtual learning modules led by accredited faculty, New Leaders subject-matter experts (SMEs) and their local Program Directors.

Residency: The residency offers APP program participants meaningful hands-on experience in a high-need public school. Residents have the opportunity to deeply and purposefully practice the actions of a successful principal in an urban school, going through a cycle of role-plays, simulations, feedback (from coaches and peers), reflection and implementation.

Assessments: New Leaders then uses rigorous, research-based assessments to evaluate Residents' growth and endorses for principalship those who demonstrated increases in student achievement and measurable shifts in adult practice.

In total, those enrolled in the Aspiring Principals Program complete over 400 hours of coursework and 1,000 hours of training via the residency. Following the year-long residency, New Leader Principals¹⁴ make a five-year commitment to their placement district or charter network. New Leaders collaborates with its district and charter partners to assist New Leader Principals with their school placements. During this grant, between 2012-13 and 2014-15, New Leaders will train approximately 300 APP Residents. Predictors indicate that 60% or about 180 individuals will complete the program and be endorsed for principalships (i.e., be prepared to meet the rigorous demands of leading a low-income school and driving student achievement). Of the 180 individuals endorsed, we expect 140-145 to be hired as principals and the rest to serve in other school leadership roles based on principal openings available at the time of program completion.

¹⁴ New Leaders refers to individuals who complete the Aspiring Principal Program as New Leader Principals.

Strategy 3: Support Early Tenure Principals to Drive Student Achievement Gains: To drive dramatic gains in student achievement, New Leaders provides structured professional development and support for all first-year New Leader Principals and, given the complexities of the role, all second-year high school principals, through the Principal Institute (PI). Through this professional learning community, New Leaders provides entry planning to help new principals prioritize critical factors for school improvement and set a culture of high expectations, along with substantial professional development and coaching crucial for new principals in their first months on the job. When surveyed, 89 percent of PI participants stated that the entry planning process helped them prepare for a successful start to the school year, and 92 percent stated that the tools and resources provided by New Leaders were focused on the areas where they needed the most support¹⁵. During this grant, New Leaders will support 140-145 new principals in their first one to two years.

Strategy 4: Develop and Disseminate Knowledge to Facilitate Program Replication: New Leaders is committed to developing and disseminating learning from this project that can inform efforts to replicate the program and its impacts on rural and urban communities throughout the nation. Findings from the Leadership Development Program will expand the knowledge base of school leadership, both internally to influence core program design and externally through New Leaders' district and state consulting and policy work.

Disseminating Knowledge: New Leaders houses a robust internal research and evaluation team that publishes and disseminates papers, leads presentations and facilitates discourse at various educational conferences, such as the American Educational Research Association (AERA). Under the i3 grant, New Leaders will publish two public reports detailing how the

¹⁵ Internal program analysis.

program was implemented and lessons learned about conditions and strategies that enabled implementation. New Leaders will also seek to identify opportunities to share tools and resources that benefit the broader education community, such as research reports and white papers on principal manager research and district context research, recommendations for states on certification policies and practices, tools for districts for use in principal hiring and selection and recommendations for school districts around building a leadership pipeline.

In addition to presenting at AERA, New Leaders will target other conferences attended by principal preparation organizations, such as the University Council of Educational Administration (UCEA)—which is a major convening of higher education institutions that provide traditional routes to principal certification—and the Alliance to Reform Educational Leadership (AREL)—which is a major convening of alternative principal preparation program providers. New Leaders and RAND will also execute an aggressive dissemination plan to make the external impact results and internal implementation findings widely known and available.

Program Replication: As an organization, New Leaders welcomes the opportunity to further expand its programs in new communities and assist those who want to design and implement effective recruitment, selection, evaluation and development of effective school leaders. Many charter schools and districts have recognized the critical importance of leadership due to New Leaders' decision to share findings with the broader education field. Districts and charters alike have asked New Leaders to assist them in creating their own leadership development programs. For example, the NYC Leadership Academy (launched in 2003) leveraged the New Leaders business model and program design to launch trainings and supports to prepare principals to lead New York City's high-need schools. The program has now trained more than 400 individuals for principalships in NYC.

The District and State Services team identifies and executes against opportunities like the one mentioned above to share our knowledge and expertise with states, districts and charter schools interested in increasing the number and distribution of effective principals in their communities. Through this grant, New Leaders will publish and disseminate two reports on the Leadership Development Program model (used to train principals) in Baltimore, the Bay Area, Charlotte, Chicago, Greater New Orleans, Prince George’s County and Washington, D.C., and to further scale our impact, we will leverage these findings to support states, districts and charter management organizations beyond these seven communities to pursue effective school leadership policies and practices.

(a) Alignment with Absolute Priority 1:

The Leadership Development Program represents an exceptional approach to each of the elements of Absolute Priority 1: Improving the Effectiveness and Distribution of Effective Teachers and Principals.

Serving High Need Students: APP serves both district and charter schools across the country. As with i3’s priorities, New Leaders’ stated mission is to serve all students, but especially low-income students and students of color, ensuring that all children have access to a quality education. For this reason, New Leaders partners with high-need school districts and charters. Even within the high-need systems with which New Leaders partners, APP serves the highest-need schools and student populations from among that pool, as Table 1 shows.

Table 1: Characteristics of Students Served

	Students of Color	Economically Disadvantaged	Limited English Proficiency	Special Education	Total Students
National Comparison	45%	45%	10%	13%	49,264,393
All New Leaders Partner Districts (weighted average)	87%	76%	15%	13%	2,109,076
Current Schools Served by All APP Participants and Alumni	93%	83%	15%	14%	231,382

Increasing the Distribution and Retention of Effective Teachers and Principals: Since 2001, New Leaders has trained more than 800¹⁶ school leaders in 12 urban areas in some of our country's highest-need district and charter networks. New Leader Principals currently lead 18 percent of high poverty schools in the systems we serve, and as noted above, through our 2015 growth plan, we will increase that penetration to 28 percent across Baltimore, the Bay Area, Charlotte, Chicago, Greater New Orleans, Prince George's County and Washington, D.C. New Leaders graduates have been placed as principals at much higher rates than graduates of other principal preparation programs — 81 percent compared to estimates of 20-30 percent from traditional programs¹⁷. They have also demonstrated long-term commitment to their schools: 80 percent of New Leader Principals have remained at the helm of their schools for at least three years, a particularly important measure in the high-need schools they serve.

Evidence of Impact on Growth in Student Achievement: Since 2006, independent evaluators at the RAND Corporation have studied the impact of New Leaders. The evaluation meets the definition of moderate evidence for the i3 competition: a quasi-experimental design (QED) study with high levels of internal and external validity, including an interrupted time series design with control group (i.e., a “value-added model”). Students in New Leader schools achieve at significantly higher levels than their peers *specifically because* they have a New Leader Principal. Using a quasi-experimental design that isolates the New Leaders program effect, independent evaluators at the RAND Corporation have found that students in K-8 schools led by a New Leader Principal for three or more years are experiencing greater academic growth than their matched peers by statistically significant margins. RAND has found this “New Leader

¹⁶ Number of APP participants. This number increases to 1000 when including ELP participants.

¹⁷ Darling-Hammond et al. (2007)

effect” for five years in a row¹⁸. In 2011, New Leader schools were among the top 10 highest-gaining schools in eight cities: Baltimore, Chicago, Memphis, New Orleans, New York City, Oakland, Prince George’s County and Washington D.C. Students in K-8 schools led by 3+ New Leader Principals¹⁹ are currently outperforming their peers in math and reading by statistically significant margins.²⁰

Evidence of Impact in Closing Achievement Gaps: From 2006-07 to 2008-09, the high-poverty, high-minority K-8 schools led by New Leader Principals closed the proficiency gap between their students and state averages by 13 percentage points across math and reading. Subgroup data show that over a three to four year period, New Leader Principals have significantly increased student achievement for students who are of color, economically disadvantaged, or limited English-proficient, or who have disabilities, across all cities with publicly available data²¹. Because schools led by New Leader Principals are almost entirely comprised of students of color (93 percent) and economically disadvantaged students (83 percent), these overall gains represent important progress toward closing achievement gaps. For example, in Oakland Unified School District, New Leader-led schools saw a reduction in the overall achievement gap for African American students of 17 percentage points, whereas the overall district achievement gap for African American students decreased by only three percentage points during the same time period²².

Evidence of Impact in Decreasing Dropouts: Despite serving students who are at higher risk of not graduating, New Leader Principals have demonstrated that they retain and graduate students at higher levels than other schools. In 2009-10, the four-year graduation rate in schools

¹⁸ Ongoing RAND Evaluation; preliminary results were published in 2010 (Martorell et al., 2010) and final results will be published in 2014.

¹⁹ 3+ represents a New Leader Principal that has been in the role for three consecutive years.

²⁰ Ongoing RAND Evaluation to be completed with published results in 2012-13.

²¹ One exception is for ELL students in Chicago, where the entire district experienced a significant decline in ELL proficiency during this time period. New York results are through 2008-09, reflecting the previously mentioned testing change.

²² Internal analysis based on publicly available data.

led by New Leader Principals was 71 percent, compared to 63 percent in New Leaders' partner districts.²³

(b) Competitive Preference Priorities:

The Leadership Development Program will also have a significant impact on the following competitive priorities:

Competitive Preference Priority 9— Improving Productivity: The Leadership Development Program will train and support leaders in strategies to improve educational productivity in their schools. The Emerging Leaders Program and Aspiring Principals Program curricula include dedicated units on human capital management, including data-based performance management (such as the modification of school schedules) and staff development strategies to maximize each teacher's output as measured by demonstrated student learning. The curriculum also includes units on the creation of coherent, standards-aligned school curricula that minimize time spent on activities that do not improve student achievement, and it stresses heavily the use of data-driven instruction to maximize teacher productivity. Principal Institute also focuses on successfully leveraging content-specific tools around data-driven instruction; observation and supervision; goal setting; action planning; and monitoring and tracking tools. All of these strategies work together to foster improved productivity in schools led by New Leader Principals.

Competitive Preference Priority 10— Technology: Throughout the Leadership Development Program participants will utilize a New Leaders-developed innovation in education technology for professional development, made possible through funding from the federal Teacher Incentive Fund (TIF 1). Participants will be granted access to, trained on and supported in the ongoing use of resources available on a high-quality, web-based digital tool called the

²³ This statistic is based off of the most recent available data and excludes schools in California, where 2009-10 graduation data was not available.

Effective Practice Incentive Community (EPIC) Knowledge System. These resources include multimedia case studies, professional development modules, and tools from over 200 district and charter schools identified as among the highest-gaining in the country by independent evaluators at Mathematica Policy Research and in Denver Public Schools, District of Columbia Public Schools and Memphis City Schools, using a value-added model. These schools share their effective practices in exchange for financial awards. To date, EPIC has awarded \$15.5M to more than 5,100 principals, assistant principals, teachers and teaching assistants. New Leaders Emerging Leaders, Aspiring Principals Program Residents and Principals use the best practices housed on the EPIC Knowledge System for their coursework, and also use the videos, protocols, templates and other tools to drive improvements in student learning and instruction with teachers in their schools.

In addition to EPIC, New Leaders uses web technology to deliver virtual instruction throughout the program as well as to provide a comprehensive learning management system that allows principals to access research-based content and upload artifacts from their practice for assessment and feedback. New Leaders also uses a cloud-based computing technology, Salesforce, for its recruitment, selection, program data management and fundraising. By using these technological innovations New Leaders is able to effectively and efficiently deliver a more cost-effective and scalable principal training program.

(c) Expected Results:

Through the Leadership Development Program, New Leaders expects to train 140-145 effective principals over the five year grant period in 15 district and charter partner school systems across the country. In order to ensure the program yields the highest quality candidates, who are prepared to meet the demands of transforming under-performing, low-income schools

into places that prepare all of their students for success in college, career and citizenship, New Leaders has created the following benchmarks. These metrics are based on our lessons learned in terms of the volume of qualified candidates needed in the leadership pipeline to meet the target goal of effective principals trained and placed. New Leaders believes that having a robust talent and leadership pipeline has been and continues to be a critical factor in our program success and is key in program replication efforts. Though ultimately some candidates will not want to pursue or be ready or suited for principal roles, everyone engaging in New Leaders’ training benefits from a comprehensive, high-quality professional development program that increases their knowledge and skills in leading other adults to drive student achievement across schools and school systems.

Table 2: Key Program Benchmarks

		2013-2015 School Year Benchmarks			
		2011-12 Outcomes	2012-13	2013-14	2014-15
Emerging Leaders Program		Build a pipeline of promising future principals for partner school systems			
	# who start program	132	230	230	230
	# graduates invited to join APP	70	57	57	57
National Admissions					
	# selected for APP	26	27	48	52
Aspiring Principals		Train aspiring principals and help them secure placements			
	# who start program	59	84	105	109
	# program completers	50	71	89	93
	# successful completers (endorsed for principalship)	35	50	62	65
	# of expected placement as principals (within two years)	28	40	50	52
Principal Institute		Support early-tenure principals to drive student achievement gains			
	% who are closing the achievement gap	0.35	0.4	0.45	0.5

(2) Project Sustainability: Potential and Planning for Continuation of Work

New Leaders and its partners are fully committed to the work of scaling the Leadership Development Program during and beyond the grant period. Independent of the i3 grant, our district and charter partners in each of the seven communities — Baltimore, the Bay Area, Charlotte, Chicago, Greater New Orleans, Prince George’s County and Washington, D.C. — have recognized the critical importance of school leadership and thus, have agreed to continue scaling the program, directly impacting approximately 94,500 students throughout the grant period.

Long-Term Market Demand: There is an increased focus among district and charter partners on the importance of school leadership and thus demand for high quality leadership development programs. New Leaders regularly receives requests to expand our Leadership Development Program to new locations, but only pursues such expansions when a site meets rigorous site selection model criteria designed to ensure policy and practice alignment and long-term sustainability. Based on this, there may be opportunities to expand within existing sites and to new sites during the grant period. However, New Leaders will be thoughtful about any expansion efforts to ensure program success in driving student achievement and to engage in opportunities to act as a lever in driving system-wide change.

Long-Term Financial Sustainability: New Leaders has been able to fund its growth from 13 to over 800 New Leaders in our first 10 years, increasing annual revenues of \$1.5M in 2000-01 to \$28M in 2010-11. Moreover, that funding mix has become more diverse, demonstrating sustainability and widespread interest in New Leaders. In 2005-06, 84 percent of New Leaders’ revenue came from private foundations. Just five years later (2010-11), New Leaders diversified its funding to 46 percent from private foundations, eight percent from corporations, seven

percent from individuals, and 39 percent from public funding sources. Importantly, direct investments in the program continuum from New Leaders’ partner districts and charters more than doubled from \$1.75M in 2008-09 to \$3.8M in 2010-11, signaling partners’ interest in prioritizing the program given its impact.

(3) Reasonable Costs of the Project

New Leaders is committed to increasing the effectiveness of the organization in order to drive even greater student achievement in high-poverty schools while remaining financially sustainable. Currently, we invest \$214,000 per New Leader (participant) in recruitment, selection, training and support, which results in a cost per student over New Leader Principals’ tenure of \$367. New Leaders has the lowest cost per student among many large-scale education reform programs because effective principals — by establishing a culture of high expectations and managing the performance and professional development of a school’s entire teaching staff — have a broader impact than classroom-targeted interventions. New Leaders’ costs were also found by an internal 2005 Monitor Company study to be “equal to or lower than the few programs with comparable program activities.” Figure 2 illustrates New Leaders’ cost per student as compared to other education reform programs²⁴.

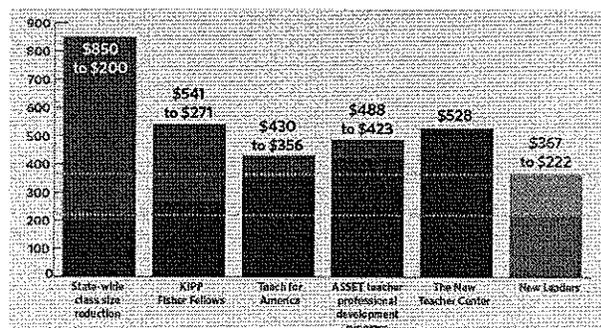


Figure 2: Cost per Student Comparison

²⁴ US DOE (2010); Strong & Villar (2007); Reichardt (2001).

(4) Cost Estimates: Start-Up, Operating and Scaling-Up Project

New Leaders is requesting \$15 million from the Investing in Innovation (i3) Fund to support a three year growth plan. With significant growth experience and a strong infrastructure and foundation to build upon (three to 11 partner cities and 13 to 800 New Leaders in the last decade), there are minimal direct start-up costs associated with this project. By utilizing a centralized operational structure, New Leaders is able to manage local programs in ways specific to their context and district needs while also allowing our program to benefit from centralized program design, quality control, support and shared services (finance, HR, marketing, fundraising and IT). This keeps costs in both existing and expanded sites at a minimum while leveraging the expertise and knowledge of the broader organization. Growth in the annual budget is also minimal and directly related to investments in program innovations and participant numbers.

As noted above, serving a total of 94,500 students during the grant period while recruiting, selecting and training new and current principal cohorts (FY12) will cost an estimated \$367 per student. As the project grows to scale, these costs will decrease throughout the grant period to an estimated \$222 per student by FY15. Table 3 displays the projected costs for scale up of this program to serve the following students reached.

Table 3: Costs to Replicate and Scale Up Program

Number of students	100,000	250,000	500,000
Estimated total costs	\$35,440,000	\$71,500,000	\$86,000,000
Cost per student	\$354	\$286	\$172

B. SIGNIFICANCE

(1) Exceptional Approach to the Priorities

New Leaders seeks to revolutionize education in America — to transform our society, our economy and our democracy — by developing transformational school leaders and identifying and advancing the policies and practices that allow great leaders to transform underperforming schools in high-poverty areas and increase student achievement. New Leaders envisions a day when there is equity and excellence in the American education system for all children, regardless of their race or socioeconomic status.

New Leaders operates off of the following theory of change: highly effective principals drive both teacher and school quality. To put this theory in action and reach the *ultimate goal of accelerating the achievement of all students*, New Leaders programs center on four key tenets: (1) attract high quality candidates, (2) utilize a rigorous selection model, (3) train for what matters most and (4) foster a supportive context.

Attract high quality candidates: New Leaders recruits from the nation's top talent in the education field to identify individuals who deeply believe that all students can achieve at academically high levels. To date, New Leaders has screened over 15,000 applicants and admitted only the top seven percent through its national admissions process.

New Leaders Aspiring Principals represent a diverse group, ranging in age, race and background. Approximately two thirds of New Leaders participants are people of color, all have a track record of driving student achievement having taught for at least two years and all come with strong experience in the education, non-profit, business or policy sectors. New Leaders recruits broadly from the educational community, utilizing general and direct marketing techniques and seeking referrals from school system partners, our network of 800 New Leaders, partnerships with other education organizations such as Teach For America and the Stanford School of Education, community organizations and universities.

Utilize a rigorous selection model: Over the past decade New Leaders has continued to refine the selection model to ensure that only the strongest candidates with the potential to have the greatest success in a high-poverty school gain admission to the Aspiring Principals Program. Historically, New Leaders has employed a rigorous national admissions process, which consisted of an online application; an 8-hour virtual assessment; and a day-long leadership exercise with interviews, written assignments, role-plays and reflections on case-studies. Throughout the process New Leaders staff looks for the following indicators to determine whether or not a candidate is a strong fit for the program: (1) believes that all students will achieve college success, (2) demonstrates a relentless drive to achieve results, (3) demonstrates strong adult leadership, (4) focused on student achievement results, (5) works to personally improve self, (6) demonstrates strong project management skills and (7) demonstrates interpersonal leadership.

In 2011, the organization expanded the admissions process to include referrals from school system partners of talented teacher leaders and other instructional leaders who have a strong intention to become a principal, and who could be ready for the principalship in two to three years. These Emerging Leaders²⁵ engage in local and national training events that center on a monthly learning cycle, gaining the opportunity to learn new leadership skills and immediately apply them in real-life settings. At the same time, New Leaders staff can assess participants' adult leadership skills — a crucial success factor as a principal — in real-life settings over an extended period of time. While only in its first year, already the Emerging Leaders Program component has proven to be a cost-effective strategy for establishing a pipeline for the Aspiring Principals Program.

Train for what matters most: New Leaders has captured the best practices from more than 100 of the highest gaining schools in low-income communities nationwide in the Urban

²⁵ Emerging Leaders is the term for participants currently participating in the year-long Emerging Leaders program.

Excellence Framework™ (UEF) and leveraged those findings as part of the core New Leaders curriculum. The UEF focuses on five categories of school practices. Among them are two primary drivers of student achievement: (1) rigorous, goal- and data-driven learning, teaching and achievement and (2) belief-based school-wide culture. Two additional categories of a principal's work are essential to supporting these drivers: building and managing a high-quality aligned staff to the school's vision and instituting operations and systems to put the vision into place. Undergirding all of these categories is the personal leadership modeled by a principal who sets the tone for all student and adult relationships and practices in the school.

The residency provides a comprehensive and purposeful training for future principals by utilizing a rigorous curriculum based on best practices and the latest research, plus hands-on experience and practice driving student achievement through leading teacher teams. It has become an effective and sustainable model that can be replicated in other principal training programs across the country.

Foster a supportive context: New Leaders is committed to making a broad contribution to education reform by not only training tomorrow's school leadership, but in identifying and promoting policies and practices that enable principals to succeed long-term. New Leaders has built a deep knowledge base about the policies and practices at both the state and local level that have the potential to aid or impede school leader success. Through the District and State Services team, New Leaders partners with districts and states to drive system-wide change that reflects these findings. Specifically, there are three distinct sets of characteristics that interlace to create a supportive system context: (1) vision, beliefs and leadership; (2) leadership pipeline practices and policies and (3) principal autonomy. New Leaders works to select partner cities where

superintendents and leadership have a strong belief that all students can achieve at high levels and in the importance of human capital in transforming schools.

(2) Up-to-Date Knowledge from Research and Effective Practice

Over the last decade, New Leaders has conducted research on principal effectiveness, evaluation and leadership and published key reports that have paved the way for modern thinking on principal training programs. As a result of the emphasis on research and evaluation, New Leaders has received numerous recognitions for contributions to the field and in 2011 was recognized as an Exemplar Program by the George W. Bush Institute's Alliance to Reform Education Leadership. The findings of these studies are published in works such as the Evaluating Principals paper and the Principal Effectiveness paper, and the practices have been integrated into the New Leaders training curriculum.

Research Literature Review: Since its inception, New Leaders has based every element of its Leadership Development Program on the most up-to-date knowledge from research and effective practice. At its inception in 2001, the core model of New Leaders was based upon research by Doug Reeves and others on 90-90-90 schools, research on instructional leadership, interviews with successful principals on their strongest learning experiences, and a review of rigorous educational and corporate selection processes. The program continues to be modeled on the insights from a comprehensive, ongoing review of the relevant literature on principal effectiveness, principal preparation and specific program content areas such as school culture and school turnarounds.

Best-In-Class Tools and Resources: New Leaders remains committed to continuous learning and improvement of the program model, and to sharing learnings with the broader education field to improve New Leaders' efficacy and effect broader system change. The

Effective Practice Incentive Community (EPIC) and the Urban Excellence Framework™ (UEF) are two resources created by New Leaders that benefit the larger education community.

Effective Practice Incentive Community: As noted in section A1(b), EPIC has provided critical insights around transformational school leaders by enabling New Leaders to reward, document and analyze the practices of schools that are driving significant student achievement gains. New Leaders has incorporated these effective practices into the curriculum, mapping EPIC case studies to the Urban Excellence Framework and the Aspiring Principals Program training.

Urban Excellence Framework: In 2006, New Leaders created the Urban Excellence Framework, a tool that outlines the school practices and principal actions evident in the highest performing schools, against which the entire New Leaders curriculum is mapped, as noted above. New Leaders developed the Urban Excellence Framework based on more than 100 visits and case studies of schools that achieved dramatic gains; an extensive review of the available research on the practices of effective schools and leadership; the resources available through New Leaders' EPIC Program; and the collective knowledge of the New Leaders staff and participants. In 2011, the UEF was refined to incorporate several new insights on how critical it is for leaders to create a strong, college-oriented school culture in driving high school success and increased graduation rates.

An Unparalleled Knowledge Base: The numerous high-quality resources and tools reflect New Leaders' substantial knowledge base around what works — and what doesn't — when recruiting, selecting, developing and supporting leaders to transform America's struggling schools. An unparalleled knowledge base integrates lessons learned from current New Leaders programs, including extensive longitudinal data sets and ongoing internal and external evaluation processes, as well as work with states and districts around leadership development and policy

and practices. Yet New Leaders is cognizant that sustained excellence is built on a foundation of continuous learning and improvement – and that there is much to learn and improve upon. New Leaders’ organizational learning is based on a variety of sources:

- *An independent, external evaluation.* The RAND Corporation is conducting a longitudinal evaluation of New Leaders work through a multi-year study — begun in 2006 — that involves annual student achievement analyses, principal surveys, case studies and analysis of district-level factors that could provide leading indicators of success.
- *Robust internal analyses.* New Leaders currently has one of the largest databases in the nonprofit education sector (capturing information and tracking 1,100 variables across over 3,700 schools). New Leaders collects and evaluates publicly available student achievement data, principal recruitment and selection data, longitudinal surveys of New Leader Principals, as well as placement, retention and career trajectory data.
- *Examining Effective Practice Incentive Community (EPIC) trends.* As noted above, EPIC allows New Leaders to analyze success trends and integrate that knowledge into existing programs and advocacy work to support the success of education leaders, as well as to provide professional development to leaders and schools in the New Leaders network.

(3) Importance and Magnitude of Effect Obtained by the Project

Statement of Need: Despite the hard-fought-for progress we have made, the American education system continues to perpetuate social and economic inequity by failing to equip all children with the knowledge, skills and mindsets they need to succeed in school and in life, particularly students living in poverty and students of color. An inequitable education system

limits the life choices, professional options and income growth of our nation's children, and severely weakens families and communities — the very fabric of our society.

A significant underlying problem is that there simply is not enough great talent in school systems — from teachers and principals to principal managers and other school, district and state leaders. In particular, there are not enough great school leaders. Too few talented teachers and other instructional leaders enter the principalship, and many school systems do not create a clear pathway for gifted educators to become school leaders — nor do they effectively evaluate and support them once on the job. School leaders also face multiple barriers in exerting their leadership (e.g., lack of autonomy over budget, personnel and use of in-school time), so many of their best efforts are thwarted by the system. The result is chronic low student performance in schools and system-wide as well as high attrition rates, especially in the highest need schools and districts.²⁶

Measurable Improvement of Student Achievement and Growth: One of the strongest levers for realizing these critical changes is human capital: teachers and principals, who research indicates are the two most important in-school factors driving student achievement²⁷. Principals directly account for a full quarter of a school's effect on student learning, an understatement given their critical role in hiring and developing teachers and thus driving teacher effectiveness.²⁸ Effective school leaders play a significant role in improving student achievement by strategically and effectively managing teaching and learning at the school level each and every day, and along the continuum of learning from year to year — impacting student learning beyond the scope of even the most effective teachers. Indeed the difference between an average and an above-average

²⁶ According to the 2010 Principal Follow-up Survey, over one quarter of principals working in high-need schools moved to a new school or left the profession while less than 18% of principals serving schools with lower poverty rates moved schools or left the profession.

²⁷ Center for American Progress (2011). Gateways to the Principalship: State Power to Improve the Quality of School Leaders.

²⁸ Center for American Progress (2011). Gateways to the Principalship: State Power to Improve the Quality of School Leaders.

principal can impact student achievement by as much as 20 percentage points in a given school year.²⁹

New Leaders works to recruit, select, train and support transformational school leaders focused relentlessly on ensuring high academic achievement for all children and who hold themselves accountable for student outcomes. New Leaders is building a critical mass of outstanding school leaders who deeply believe that all children can achieve at high levels while also helping districts and states enact policies and practices that enable all leaders to succeed in transforming outcomes for our nation's children.

As noted above, the RAND Corporation has found that more than half of students in New Leader-led schools outperform peers in reading and math and these gains can be attributed to their New Leader Principal.³⁰ The effect size of New Leaders' program is higher than the effect of principal experience. New Leaders expects the effect size to increase as sample sizes increase over the grant period.³¹ Throughout the grant period, New Leaders will track the percentage of who are closing the achievement gap, with an end goal of 50 percent of New Leader Principals closing the achievement gap in their schools.

C. QUALITY OF MANAGEMENT PLAN AND PERSONNEL

New Leaders' executive team, led by CEO Jean Desravines and comprised of senior functional leaders, meets every month to review progress to goals, discuss critical programmatic and operational needs, monitor organizational effectiveness and sustainability, prioritize and plan for the future. In line with this, the executive team will ensure that this project is completed on time and on budget and tracking toward the proposed outcomes. Within each program area, New

²⁹ Based on a 2005 study by McREL that analyzed 70 different studies from over three decades of research.

³⁰ 58 percent outperformed peers in math and 55 percent outperformed peers in reading based on publicly available data from 2011.

³¹ Clark et al. (2009); Corcoran et al. (2009).

Leaders has a management plan and staffing structure to execute against goals (details below) and monitor and manage expenditures.

The partnership with an external evaluator, the RAND Corporation, will be crucial to continuous improvement efforts. Moreover, deep partnerships with philanthropic partners will support ongoing execution of key programmatic activities not included in this proposal and will ensure financial sustainability as the program grows to scale.

(1) Management Systems, Responsibilities and Milestones

Key Responsibilities and Milestones:

Objective	Owner	Responsibilities	Milestone	Timeline
Emerging Leaders Program	Recruitment Goal	<ul style="list-style-type: none"> Develop recruitment pipeline of high-quality Evaluate all applicants against research and competency-based selection criteria Ensure quality-assurance for all recruitment and selection processes 	Recruitment/Selection progress to goals meetings	Bi-weekly; April - September
			Select all members of following year's cohort	Annually; September
			Finalize matriculant roster	Annually; October
	Training Goal	<ul style="list-style-type: none"> Ensure continued successful execution of blended learning and peer network training model Enhance quality assurance and technology integration efforts to ensure long-term sustainability Maintain high, research- and competency-based bar for assessments and certification 	Virtual and in-person training sessions	Monthly; October - May
			School-based practice and peer feedback sessions	Monthly; October - May
			1:1 participant/facilitator development sessions	Three times per year, fall, winter, spring
			Collect evidence and conduct standards-based assessment of each participant's readiness for the principalship	Ongoing; finalized by May

Aspiring Principals Program	Recruitment Goal	Chief Program Officer, Regional Directors, city Executive Directors, national program staff, local Program Directors	<ul style="list-style-type: none"> Develop national recruitment pipeline of high-quality candidates Evaluate all applicants against research and competency-based selection criteria Ensure quality-assurance for all recruitment and selection processes 	Recruitment/Selection progress to goals meetings	Bi-weekly; August – February	
				Select all members of following year’s cohort	Annually; February	
				Finalize matriculant roster	Annually; May	
	Training Goal	Chief Program Officer, Regional Directors, city Executive Directors, national program staff, local Program Directors	<ul style="list-style-type: none"> Ensure continued successful execution of academic coursework and residency model Enhance quality assurance and technology integration efforts to ensure long-term sustainability Maintain high, research- and competency-based bar for assessments and certification 	National academic coursework intensive	2 weeks in July; 1 week each in October and April	
				Academic coursework and residency coaching	Weekly; August – June	
				School-based residency with Mentor Principal	Full-time; August – June	
				Resident growth assessments	Bi-annually; December and May	
				Certification and placement support	Annually; May – June	
	Principal Institute	Support Goal	Chief Program Officer, Regional Directors, city Executive Directors, national program staff, local Program Directors	<ul style="list-style-type: none"> Ensure all early-tenure New Leaders principals receive entry planning support and participate in professional learning communities with content aligned to research and individual needs Enhance quality assurance and technology integration efforts to ensure long-term sustainability 	Principal entry planning and support	Annually; June – September
					School diagnostic assessment and action planning	Bi-annually; September and May
PLC meetings for early-tenure principals					Monthly; August – May	
Evaluation	Complete robust external evaluation	Susan Gates, PhD, RAND Corporation	<ul style="list-style-type: none"> Execute a longitudinal evaluation of the Leadership Development Program 	Year 2 RAND Restricted Draft report & briefing on interim results	Fall 2014	
				Year 2 New Leaders Restricted Draft report & briefings on implementation results		
	Complete robust internal evaluation	Executive Director of Research and Policy Development	<ul style="list-style-type: none"> Gather, analyze and report on robust data about program implementation, quality, improvement and impact Lead staff in continuous data-driven improvement 	Year 3 RAND Restricted Draft report & briefing on outcome results	Fall 2015	
				Year 3 New Leaders Restricted Draft report & briefings on implementation results		

Evaluation	Broadly disseminate knowledge to facilitate program replication	Chief Strategy Officer; Chief Policy and Partnerships Officer; Executive Director of Research and Policy Development	<ul style="list-style-type: none"> Inform the wider education sector -- including program providers, LEAs, SEAs and policymakers -- on insights from the Leadership Development Program 	Year 4 RAND Restricted Draft report & briefing on outcome results	Fall 2016
				Year 4 New Leaders Restricted Draft report & briefings on implementation results	
				Final RAND monograph & research brief documenting the results of the evaluation effort. Final New Leaders report & research brief documenting the implementation results and lessons	Dec-17

The Chief Program Officer is supported by a team of national staff who are responsible for content design and implementation, and quality assurance of program elements that are executed at the local level. National program staff meet weekly to assess progress to goals and discuss implementation bi-weekly with local program staff to identify and address cross-city program implementation issues.

Recruitment and selection: The team leverages a robust internal data system (Salesforce) to track city-by-city progress to recruitment and selection goals, including recruits’ progress through the recruitment pipeline toward selection. The system provides reports that are customizable depending on management position. For example: a local program director can generate a report to determine which ELP recruits are missing an official letter of reference and follow up prior to moving her or him to the next stage in process, while a member of the national program team can view reports that show aggregate data on recruits’ admissions scores.

Training: Throughout their training, leaders are assessed on their mastery of key leadership skills as demonstrated by completion of assignments and school-based projects, the results of which are managed via data dashboards and reports. New Leaders’ research team supports program staff with data analyses to inform short- and long-loop learning — enabling

course-corrections throughout the school year, more individualized support and long-term planning to ensure continuous improvement.

Support: The local and national program teams also utilize a centralized data system to manage the ongoing support New Leader principals receive on the job. Once again, the system provides tools to track and analyze data related to operations and program delivery (e.g., session attendance records and survey data) as well as to the progress of individual principals (e.g., scores on school diagnostic data and student achievement data).

Evaluation and Dissemination of Findings: New Leaders is well-known for its robust internal research and evaluation processes and its commitment to using learnings to continuously improve programming. The Executive Director of Research and Policy Development will continue to oversee these internal processes and dissemination of learning through publications and conferences. The ED of Research and Policy Development will also meet with external evaluators bi-weekly to discuss progress and ensure the evaluation and associated publications are completed on time and within budget.

(2) Qualifications and Experience of Leadership and Personnel

New Leaders' Executive Team: The leadership team at New Leaders is made up of individuals with diverse backgrounds experiences, including, business, finance, public policy, law and education. In total they have over 70 years of experience in the education sector. (Full resumes are available in Appendix F).

Jean Desravines, Chief Executive Officer of New Leaders, has 20 years of education experience. As CEO, he has led New Leaders to new levels of effectiveness and sustainability. As New Leaders' Chief Officer for Cities and Policy for five years, Jean oversaw New Leaders'

expansion to five new cities, successfully managing a \$17M annual budget and 100 staff. Prior to New Leaders, Jean spent five years at the New York City Department of Education as Executive Director for Parent and Community Engagement and Senior Counselor to Chancellor Joel Klein. Jean has a Master in Public Administration degree from New York University.

Benjamin Fenton, Chief Strategy Officer and Co-Founder, provides oversight to New Leaders' evaluation and program improvement efforts, and as a widely recognized expert in principal evaluation and supervision, leads the organization's knowledge dissemination work. At New Leaders, he has served as Chief Operating Officer, Chief Cities Officer and Chief School Support Officer. Ben has a Master in Business Administration from Harvard Business School.

Jackie Gran, Chief Policy and Partnerships Officer, leads New Leaders' efforts to create a supportive policy environment for school leaders and high-performing school leadership preparation programs nationwide. From 2005 to 2008, she oversaw new site expansion for New Leaders; she also served as Special Assistant in the Offices of the Secretary and Deputy Secretary and as Senior Advisor in the Office of Planning, Evaluation and Policy Development at the U.S. Department of Education. Jackie is a certified k-6 teacher and taught middle school as a Teach For America corps member in New York City. She earned a Masters of Science in Teaching from Pace University.

Jennifer Henry, Chief Program Officer, oversees New Leaders' Leadership Development Program, including city-level program execution. She joined New Leaders in 2006 as the National Director of School Support — designing and launching the early-tenure principal support model that has evolved into the Principal Institute. Prior to New Leaders, Jennifer was the founding Executive Director of the Academy for Urban School Leadership (AUSL). She was a high school history teacher before matriculating in the founding cohort of New Leaders

Aspiring Principals Program. Jennifer has a Master in Business Administration from the Kellogg Graduate School of Management at Northwestern University.

Dianne Morse Houghton, Chief Operating Officer, oversees all organizational planning and operations across New Leaders' program sites. She also led the design and execution of EPIC, a \$70M program to reward effective educators, and was a management consultant to Fortune 100 and government organizations. Dianne has a Master in Business Administration from the College of William and Mary.

David Kuizenga, Chief Administrative Officer, oversees New Leaders' financial, technological, legal and human resources to ensure that the Leadership Development Program receives crucial operational support. Prior to joining New Leaders, David served in multiple leadership positions in the nonprofit and corporate sector. David has a Master in Business Administration from the Atkinson School of Management at Willamette University.

Stephanie Morimoto, Chief External Relations Officer, is responsible for securing resources to reach New Leaders' goals and increasing awareness of New Leaders' impact. Before joining New Leaders, Stephanie was Vice President, Regional Development at Teach For America, where she grew funding from \$30 million to \$114 million and built the infrastructure to support rapid growth. Early in her career, she taught English in Hiroshima, Japan. Stephanie earned her bachelor's degree from Brown University.

Leanne Shimabukuro, Regional Director, manages city program sites. Prior to joining New Leaders in 2007, Leanne was Director of Community Engagement at the New York City Department of Education, leading a citywide parent coordinator initiative in all 1,200+ of the city's public schools. She also launched a teacher quality initiative at New Visions for Public Schools. Leanne has a law degree from George Washington University's National Law Center.

New Leaders' city Executive Directors

Before joining New Leaders in 2008, **Maggie Blinn DiNovi**, executive director of **New Leaders, Chicago**, helped to create the Office of Principal Preparation and Development while at The Chicago Public Education Fund (The Fund) and served at OPPD as Deputy Chief Officer. Maggie earned her law degree cum laude from the University of Chicago.

Before joining New Leaders in 2010, **Donald Fennoy II**, executive director of **New Leaders, Maryland**, served as the principal of Phillip O. Berry Academy of Technology in Charlotte, N.C. In 2010, Donald and his team received the National School Change award, an honor presented annually to the seven schools in the United States that have demonstrated the greatest turnaround in a two-year period. Donald earned a master's degree in educational leadership from the University of Central Florida, where he recently earned his doctorate in educational leadership and administration.

Before joining New Leaders in 2008, **Eric Guckian**, executive director of **New Leaders, Charlotte**, was the executive director of Teach for America - North Carolina, where he led the expansion of TFA into Charlotte. Eric has continued to play a leading role in North Carolina's public school reform efforts, serving as the director of strategic partnerships for the North Carolina New Schools Project, a consultant to the Bill and Melinda Gates Foundation, and the leader of a strategic planning effort for KIPP. Eric began his professional career as an elementary science teacher. He earned a master's degree in education from Harvard University.

A Cohort 9 New Leader, **Kareem Weaver** will begin serving as executive director of **New Leaders, Bay Area**, in late June 2012. Kareem has 16 years of teaching and leadership in Oakland Unified School District (OUSD). He currently serves as principal of Lazear Elementary, which has seen dramatic student achievement gains since Kareem assumed the principalship in

2010, for which he was awarded the 2011 OUSD Educational Leadership Award. Kareem earned bachelor's degrees from Morehouse College.

Before joining New Leaders in 2011, **Adren Wilson, executive director of New Leaders, Greater New Orleans**, served as the assistant secretary of the Louisiana Department of Social Services, executive director of the Louisiana governor's Children's Cabinet and as the national director of the Equity and Inclusion Campaign. Adren has a Master in Public Administration from the Kennedy School of Government at Harvard University. He is currently pursuing a doctorate in public policy from the Nelson Mandela School of Public Policy and Urban Affairs at Southern University.

Michelle Pierre-Farid is the executive director of New Leaders, Washington, DC. Before joining New Leaders in 2010, Michelle served as deputy chief academic officer for Friendship Public Charter Schools and principal of Friendship Southeast Academy, where she dramatically increased student achievement and won an EPIC award. Before joining Friendship, she was the principal of John Tyler Elementary School. When she arrived, Tyler was the lowest performing elementary school in D.C., but over her tenure, it was one of three schools to win the TEAM award for more than 20 percent gains in one year. Michelle is a proud member of New Leaders Cohort 3 and served her residency in D.C. Michelle graduated from Adelphi University with a Bachelor of Science in sociology and education and earned master's degrees from Towson University in human resource development and Trinity University in school leadership. She is currently in the University of Pennsylvania's mid-career doctorate program in educational leadership.

New Leaders' Research and Evaluation Management:

Gina Ikemoto, PhD, Executive Director of Research and Policy Development, leads New Leaders' internal research and evaluation and liaises with RAND. She is an expert in mixed methods research — focusing specifically on qualitative studies of school leadership — and worked on several large-scale experimental and QED studies. Gina was formerly an Education Policy Researcher at RAND, and she is currently a member of the Technical Advisory Group for the National Board Certification for Accomplished Principals. Gina has a PhD in Education Policy from the University of Maryland.

Independent, External Evaluators:

Susan Gates, PhD, of the RAND Corporation, will serve as Principal Investigator and primary liaison for the quasi-experimental independent evaluations of the Leadership Development Program. She has served in this role since the evaluation began in 2006. An expert in experimental and quasi-experimental designs, Susan holds positions as a Senior Economist at RAND, Director of the Kauffman-RAND Institute for Entrepreneurship Public Policy in the RAND Institute for Civil Justice and a Professor at the Pardee-RAND Graduate School.

Laura Hamilton, PhD, Senior Behavioral Scientist at RAND and Adjunct Professor of Education at the University of Pittsburgh, and **Francisco Martorell, PhD, Associate Economist at RAND** also serve as Investigators on the independent evaluation. Laura's research focuses on educational assessment, accountability, instructional practices and school reform. She has directed several large experimental and quasi-experimental studies, including investigations of the relationships between student achievement and teachers' instructional practices in math and science. Francisco's research has included quasi-experimental evaluations of college remediation, studies of post-secondary education in Qatar and a study on the effects of instructional coaches on data-driven decision making in middle schools.

(3) Sustainability Plan and Scalability of Project

New Leaders' track record to date is a testament to the organization's ability to scale the Leadership Development Program successfully. New Leaders has scaled its impact from 13 leaders in two cities to 800³² leaders in 11 cities by executing four strategies – (1) expanding to new sites, (2) expanding within existing sites, (3) expanding the program model and (4) sharing knowledge and expertise with districts, charters, states, federal officials and the broader field. Taken together, these efforts will enable New Leaders to impact more students at competitive costs (see “Reasonable Costs of the Project” above).

Local Fundraising and Support: New Leaders changed its business model to secure the majority of funding from the communities served, making the organization more sustainable and scalable. Local sites must be on a trajectory to raise approximately 75 percent of their budgets by FY14. Currently, they are on track to hit the FY12 target of raising approximately 50 percent of their budgets locally (double the percentage of their budgets raised in FY10) through diversified sources including, as stated above, increased investments from charter partners and funding by 100 percent of district partners — a huge signal of the value New Leaders brings to them, especially during tough economic times. Please see Appendix J for a list of major supporters in each New Leaders site, including district and charter partners. Please see Appendix G for letters of support from LEAs in the seven communities included in this project.

National Fundraising and Support: New Leaders has a history of success in establishing partnerships with the private sector and therefore expects that it will be able to continue securing funds to increase its scale and impact during the course of the proposed grant period and beyond. New Leaders is fortunate to be supported by the following distinguished funders, each of whom invests in high-quality, high-impact education reform initiatives: (Please see Appendix J for a list

³² Includes number of principals trained through New Leaders APP program.

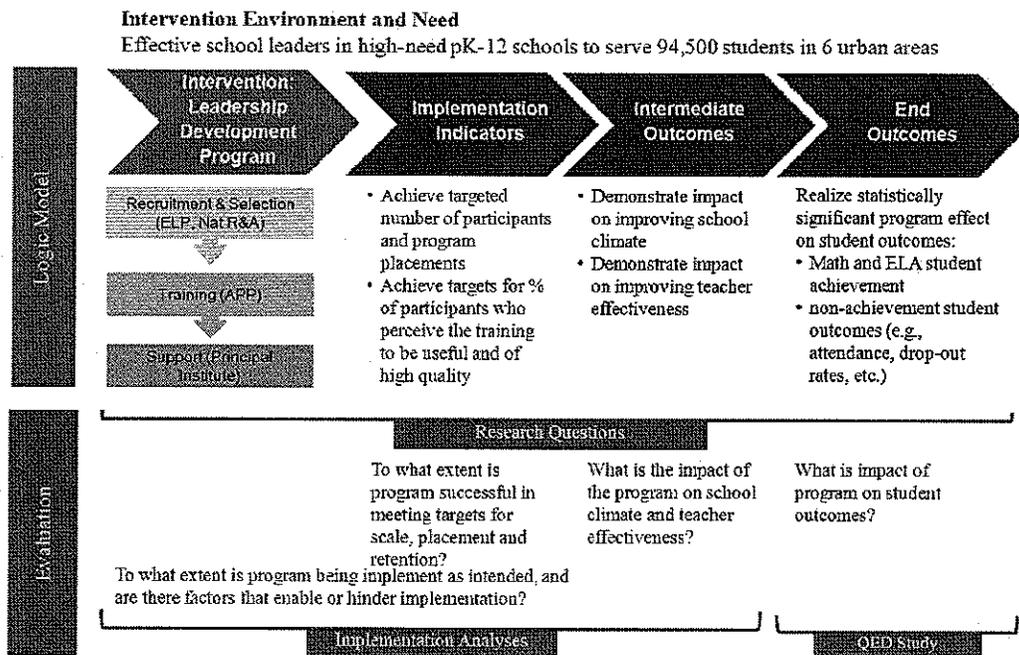
of major FY12 national funders). For the i3 grant, New Leaders has secured commitments totaling [REDACTED] from Boeing Corporation and the Noyce Foundation, which can be used to fulfill match requirements.

D. QUALITY OF THE PROJECT EVALUATION

New Leaders will employ a two-pronged approach to evaluating the impact of the proposed Innovation Fund intervention. The approach includes:

- 1) An independent, quasi-experimental design (QED) study to validate the impact of the New Leaders intervention on student achievement and non-achievement student outcomes.
- 2) Program implementation analyses to provide performance feedback that will support organizational learning and provide further evidence for replication and knowledge generation.

Figure 3: Leadership Development Program Logic Model



The above figure illustrates the logic model for the intervention, outlining the program model, implementation indicators, intermediate outcomes and end outcomes (targets outlined in A(1)). It describes key research questions and how the evaluation plan relates to each area.

Research Questions: The evaluation will address four research questions:

- 1) What is the impact of the intervention on student outcomes, including achievement and non-achievement (e.g., attendance, drop-out rates, etc.) student outcomes?
- 2) What is the impact of the intervention on intermediate outcomes, such as school climate and teacher effectiveness?
- 3) To what extent is the intervention successful in meeting targets for scale, placement and retention (as noted in section A1)?
- 4) To what extent is the intervention being implemented as intended? Related questions include:
 What elements are being implemented? Are there factors that enable or hinder implementation? What is the program cost? What are participants' perceptions of quality?

The RAND Corporation will conduct an independent evaluation, including implementation analyses and rigorous quasi-experimental impact analyses. New Leaders internal research and evaluation team staff members will also conduct implementation and impact analyses to provide just-in-time data that can drive program improvement decision-making on a monthly and quarterly basis. The team will coordinate with RAND to avoid unnecessary duplication of efforts, while maintaining RAND's independence. Section D(3) details the plans for reporting and disseminating the evaluation results for program improvement and replication.

Table 5: Research Question 1, Data and Publication Plan

	Data and Analyses	Publication Plan
1) What is the impact of program on student outcomes, including achievement and non-achievement student outcomes		
RAND	Student-level achievement data (annual and historic scores from state assessments)	Final, peer-reviewed, published report in year five
	Student-level non-achievement data (e.g., school placement information; demographic data; suspensions, attendance, high school outcomes such as dropout, graduation, and grade progression rates)	Annual, restricted draft reports (formative and summative) to New Leaders in years three-four
	Principal tenure data (for control and comparison group identification)	
New Leaders	Publicly available school-level student achievement and non-achievement data	Annual internal reports
2) What is the impact of the intervention on intermediate outcomes, such as school climate and teacher effectiveness?		
RAND	School climate data (e.g., district surveys)	RAND final, peer-reviewed, published report in year five
	Teacher effectiveness data (e.g., teacher evaluation scores used by districts)	RAND annual, restricted draft reports (formative and summative) to New Leaders in years three, four
	District interviews	
3) To what extent is the intervention successful in meeting targets for scale, placement and retention?		
RAND	Participant selection data	RAND final, peer-reviewed published report in year five
	Participant placement data	
	Endorsement data	
	Principal retention data	
	Career trajectory data	
New Leaders	Participant selection data	New Leaders internal just-in-time quarterly and annual reports
	Participant placement data	
	Endorsement data	
	Principal retention data	
	Career trajectory data	
4) To what extent is the intervention being implemented as intended? Related questions include: What elements are being implemented? Are there factors that enable or hinder implementation? What is the program cost? What are program participants' perceptions of quality?		
RAND	RAND interviews of partner district leaders	RAND final, peer-reviewed, published report
	RAND interviews of New Leaders staff	
	Participant admissions scores	
	Participant assessment scores (admissions, mid-year, final)	
	Resident surveys (multiple times during the year)	
	Mentor principal surveys (annual)	
	Session evaluation surveys	
	Staff surveys	
Program cost, revenue and expenditure data		
New Leaders	Participant admissions scores	New Leaders final, publicly published report New Leaders internal just-in-time quarterly and annual reports
	Participant assessment scores (admissions, mid-year, final)	
	Resident surveys (multiple times during the year)	
	Mentor principal surveys (annual)	
	Session evaluation surveys	
	Staff surveys	
Program cost, revenue and expenditure data		

(1) Well-designed Quasi-Experimental Study

New Leaders will contract with the RAND Corporation to conduct an independent, quasi-experimental design (QED) study to validate the impact on student achievement and non-achievement outcomes. Specifically, it will examine the impact of the i3 intervention on student outcomes for cohorts 12, 13 and 14 during the 2012-13 through 2015-16 school years. RAND will also examine the intervention's impact on intermediate outcomes and its implementation using qualitative and quantitative data. Since 2006, RAND's independent evaluators have studied the impact of New Leader Principals and its leadership development program, meeting the definition of moderate evidence as documented in Martorell et al. 2010 (Appendix D).

Independence of Evaluator: RAND is neither the program developer nor implementer. RAND is one of the world's largest public policy research institutions; its strongest core values are quality and objectivity. RAND will collect the data for its QED evaluation directly from districts or from surveys and interviews; it will also conduct independent analyses of program data collected by New Leaders. No New Leaders staff will be involved in RAND's data analysis, nor will New Leaders exercise editorial control over RAND's public reporting of its findings.

Increased Strength of Evidence Standards: The study will be distinct from previous evaluations, though it will build upon past methodology. It will further validate the intervention's impact by adding a second quasi-experimental study to the evidence base and give new data about changes reflected in the model as a result of program expansion and refinement to the admissions approach. Moreover, study design will meet WWC standards by using a QED and statistical controls and is characterized by high internal validity and external generalizability.

Sampling Plan: The treated group includes members of New Leaders 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. As per letters of support from the independent evaluator, 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 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. RAND will conduct similar comparison and analysis for all alumni serving as principals (i.e., graduates of earlier New Leader cohorts).

Methods & Analyses: To address research questions 1 and 2, RAND's tasks will include: 1) analysis of student achievement; and 2) analysis of 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 the New Leaders program, on student outcomes (McCaffrey et al., 2003). 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_{it} denotes student achievement for student i in year t in school s , x_{it} 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_{it} is a random disturbance term. The key variable for this study is D_{it} , 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 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 models³³. 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 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)³⁴, 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.

³³ Angrist and Pischke, 2009

³⁴ Cook, T. D., & Campbell, D. T. (1979). *Quasi-experimentation: Design and Analysis Issues for Field Settings*. Chicago: Rand McNally.

(2) Implementation Data and Performance Feedback

The evaluation includes a program implementation component to provide both i) rapid, high-quality implementation data and performance feedback for continuous improvement; and ii) information on key elements of the intervention for replication in other settings (see D(3)).

RAND: RAND will conduct various analyses that look at Research Questions 3-4. RAND will look at top-level data on the program's success in meeting implementation targets for scale, placement and retention. This will be accomplished through a descriptive analysis of data on program participants collected by New Leaders and provided to RAND, as well as data on principal placement and retention gathered from partner organizations (see Table 5).

During years one through four, RAND will also analyze the program's implementation including what 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.

New Leaders: In addition to the RAND evaluation, New Leaders pursues its own evaluation and program improvement efforts, in order to provide high-quality, just-in-time implementation data and performance feedback. To examine research question 1, New Leaders collects school- and subgroup-level evidence about student achievement progress a full year before RAND's student-level achievement results are available. For research questions 3 and 4, New Leaders will collect and analyze a wealth of data on participants and their performance, program feedback from participants, mentor principals and program staff, and program budget data. A more detailed description of the internal evaluation for the Aspiring Principals Program is provided in Attachment J.

(3) Evidence for Replication in Other Settings

The quasi-experimental evaluation and implementation analyses will provide key insights and data for leadership preparation programs interested in replicating the program's components. Both RAND and New Leaders will publish reports to facilitate replication and knowledge sharing.

In year five, RAND will publish a peer-reviewed report with final, summative results of the QED study, intermediate outcome analyses and implementation analyses. RAND will meet requirements set forth by the Department for making its data available to other researchers. The final report will identify elements that correlate with student achievement outcomes, allowing other providers to focus on these elements. Importantly, RAND's report will provide unbiased, rigorous analysis, providing others with valid information about the intervention's impact.

New Leaders will also publish a public report in the final year of the study with a detailed description of the program, its costs and lessons learned about implementation to facilitate replication of the same or similar programs in other settings. In addition, New Leaders will publish tools to hire and evaluate principals on its website and actively present at conferences. These tools may include research reports and white papers on principal manager research and district context research, recommendations for states on certification policies and practices, tools for districts for use in principal hiring and selection and recommendations for school districts around building a leadership pipeline.

(4) Resources for Implementing an Effective Evaluation

The costs of all evaluation and knowledge dissemination efforts by RAND and New Leaders total **\$1,965,259.37**, or 3 percent of the i3 project budget. RAND has committed to carry out this evaluation, and the internal staff resources at New Leaders and RAND have been

identified and allocated. Further description of budget and staff resources required are described in C3.

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