

**AMENDMENT TO**  
**MEMORANDUM OF AGREEMENT**  
**BETWEEN**  
**JEFFERSON COUNTY BOARD OF EDUCATION**  
**AND**  
**WESTERN KENTUCKY UNIVERSITY**

This Amendment to Agreement (the "Amendment") is entered into by and between the JEFFERSON COUNTY BOARD OF EDUCATION, a political subdivision of the Commonwealth of Kentucky doing business as the Jefferson County Public Schools (hereinafter "JCPS"), with its principal place of business at 3332 Newburg Road, Louisville, Kentucky 40218 and WESTERN KENTUCKY UNIVERSITY, a public university (hereinafter "WKU"), with its principal place of business at 1906 College Heights Boulevard, Bowling Green, Kentucky 42101. (JCPS and WKU hereinafter referred to individually as a "Party" and collectively as the "Parties"), is for the purpose as hereinafter set forth.

The Agreement is amended as follows:

**WHEREAS** WKU with support from the Wallace Foundation as outlined in Appendix A3 seeks to redesign the Department of Educational Administration, Leadership and Research (EALR) Principal Preparation Program to positively impact the development of school leaders by improving their preparation and clinical experiences; and

**III. Payment:**

Invoices should be submitted as indicated in Attachment 3A:

WKU will provide funding to JCPS in accordance with Attachment 4A.

**V. Termination:**

This Agreement may be terminated by either party with or without cause upon not less than sixty (60) days written notice to the WKU. This Agreement may be terminated immediately by WKU upon sixty (60) business day's written notice to JCPS for its failure to cure a material breach of this Agreement. This Agreement may be terminated immediately should the funding provided to WKU be withdrawn, rescinded or otherwise cancelled beyond the control of WKU. Upon termination prior to completion of the Agreement, WKU shall be responsible for payment of all JCPS costs incurred in the performance of this Agreement prior to termination, and for JCPS's reasonable non-cancelable commitments, not to exceed the maximum liability of WKU stated in Section III.

Except as set forth in this Amendment, the Agreement is unaffected and shall continue in full force and effect in accordance with its terms. If there is conflict between this amendment and the Agreement or any earlier amendment, the terms of this amendment will prevail.

**JEFFERSON COUNTY BOARD OF EDUCATION:**

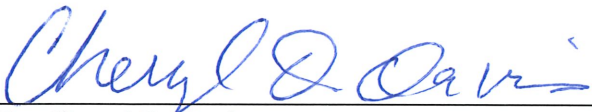
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**Martin A. Pollio, Ed.D.**  
**Superintendent**

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**Date**

**WESTERN KENTUCKY UNIVERSITY:**

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**Dr. Cheryl D. Davis**  
**Associate Provost for Research**

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**Date**

## APPENDIX A3

**Grantee:** Western Kentucky University Research Foundation, Inc.  
**Grant Amount:** \$4,175,000 (Scope period: \$702,877)  
**Term:** July 1, 2016 through December 31, 2020 (Scope period: January 1, 2019 through December 31, 2019)  
**Grant ID#:** 20160533

Wallace's mission is to foster improvements in learning and enrichment for disadvantaged children and the vitality of the arts for everyone. We seek to catalyze broad impact by supporting the development, testing and sharing of new solutions and effective practices.

Our approach is to work collaboratively with others both to create benefits for the people these organizations serve and to develop new knowledge and insights to catalyze broad impact. We seek to establish and maintain strong, effective partnerships with grantees. We have learned from our grantees that our approach means your experience working with Wallace may be similar to your experience with other foundations in some respects, and different in others. Here is what you can expect in working with Wallace:

- The key to successful partnerships is a mutual commitment to open, candid, ongoing and respectful communications. We commit to be clear and timely in communicating our goals, strategies and expectations. In turn, we ask that you share with us what's working well, if something isn't working as expected, and what you are learning. We take seriously our own accountability as a foundation to use philanthropic resources wisely, which means regularly assessing whether the work we are funding is creating hoped-for results and benefits.
- To support our shared goal to test ideas and practices that we can learn from and share broadly with the field, many grants require studies, evaluations or other efforts to elicit lessons and observations from grant-funded activities. These studies and evaluations result in public reports that are widely disseminated. As partners in knowledge development, you agree to cooperate fully with Wallace and its designees, including cooperating with data collection activities.
- To support shared learning, we may ask grantees to participate in learning communities with other grantees and experts to discuss experiences and challenges in the work, exchange ideas, share expertise, and advise members of the community on issues that may be relevant to your work. In turn, we commit to organize these convenings so that you will find them a valuable use of your time.

**A. Initiative strategy and purpose**

This initiative is designed to take a step in the direction of creating a new—and better—norm for principal pre-service training in the 700 or so university programs nationally, based on what we have learned over the last 15 years about what makes for effective principals.



The work will revolve around creating strong examples of how to carry out four key related pieces of work necessary to upgrading principal preparation statewide:

- Developing and implementing high-quality courses of study and supportive organization conditions at universities where future principals receive their pre-service training;
- Having universities work with partner providers in this endeavor;
- Putting in place strong university/school-district collaborations; and
- Developing state policies about program accreditation and principal licensure, which would promote higher-quality training statewide.

The question the initiative seeks to answer is:

How can university principal preparation programs—working in partnership with high-needs school districts, exemplary preparation programs and the state—improve their training so it reflects the evidence on how best to prepare effective principals?

#### B. Goals/Deliverables

- What will your principal preparation program look like in three years?
  - How does this vision align with the evidence (such as: the 2016 report *Improving University Principal Preparation Programs: Five Themes From the Field* and the draft RAND UPPI Implementation Report (including the PowerPoint slides)?
  - How has your partnership with your state, districts and partner provider helped to inform this vision?
  - How are you using this partnership to achieve this vision?

Our vision is at the end of year four, WKU's principal preparation program through the UPPI will prepare candidates for the practical experiences of the principalship through a coherent, logically and sequentially organized curriculum that focuses on developing leaders who understand and lead for equity in their local context; communicate effectively with students, parents, teachers and the community; develop school cultures that facilitate collaboration and student learning; and, lead school improvement efforts for measurable outcomes and maximum impact (four overarching themes).

The curriculum and clinical experiences will align to national and state standards, meet the needs of our Green River Regional Educational Cooperative districts and Jefferson County Public Schools, and align with state goals and expectations for principal preparation programs, as expressed through the adoption of the PSEL standards. Our partners not only participate as critical friends to assess and provide feedback, but are engaged as thought partners in our program redesign. The ideas, identification of problems of practice unique and common, as well as support have provided the WKU team with clarity of purpose and a path to achieve sustainable, ongoing change. This is demonstrated by the development of a principal preparation model that has a continuous improvement framework embedded that includes sustainable collaborative structures involving diverse stakeholders from the district and state levels and the collection of evidence (data) that will inform the program of outcomes and impact.

This vision addresses the Five Themes by (a) involving district leaders in the program redesign to increase satisfaction with the quality of the principal preparation program; (b) creating



sustainable collaborative structures through Green River Regional Educational Cooperative and Jefferson County Public Schools that provides a framework for continuous improvement; (c) using practitioner partners and curriculum resources to create a course of study that reflects principals' real jobs; (d) involving university and state leadership in the process to impact policies and practices that hinder change in principal preparation; and (e) leveraging the experiences and expertise of our provider partner, University of Illinois-Chicago, to minimize risk in producing successful, sustainable and replicable program outcomes and impact.

The inclusion of Jefferson County Public Schools (the largest and only urban district in Kentucky) as a new thought partner and critical friend, is the catalyst that allows the curriculum development to focus on the similarities and difference between urban, suburban/town and rural districts, and scalability of the project work. This is a win-win situation as it will provide the foundation to develop leaders in JCPS who can turn around Priority Schools in the district.

➤ **Key partners**

*(List key partners to accomplish the following scope of work)*

District partners	State partner	Partner provider(s) (If any)	TA/Consultants (if any)
<ul style="list-style-type: none"> <li>Green River Regional Education Cooperative</li> <li>Jefferson County Public Schools</li> </ul>	<ul style="list-style-type: none"> <li>Educational Professional Standards Board</li> <li>Kentucky Department of Education</li> </ul>	<ul style="list-style-type: none"> <li>University of Illinois-Chicago</li> </ul>	<ul style="list-style-type: none"> <li>Peter Rogovin</li> </ul>

➤ **Describe your area of focus of the Year Three redesign (i.e. curriculum, instructional methods, clinical practice). How does this build upon your work in Years One and Two?**

Our primary area of focus for year three will be to develop high quality impactful clinical experiences that align to the NELP and PSEL standards that are flexible to be contextual and apply to the area demographic served. In order to achieve this goal, we will work collaboratively with our district partners, GRREC and Jefferson County Public Schools to understand their unique challenges and develop high quality clinical and field experiences. As part of the process, WKU and district partners, including EPSB and KDE will identify the evidence from the field and program required that will demonstrate student mastery of the curriculum and the four overarching themes. WKU will continue to work with University of Illinois-Chicago to build capacity, coach and mentor program faculty to develop a model program that is sustainable and scalable. WKU will use the clinical aspect of the program – embedded clinical experiences – as part of a larger branding initiative for the program.

*CDD* We plan to work with JCPS to develop a residential or "lab" school clinical experience in exemplary schools with exemplary principals to address the needs of Priority Schools. We will work collaboratively with the JCPS team and our partner provider, UIC to identify best practices and support for JCPS Priority Schools.

We will also use this opportunity with JCPS to begin to scale the LTS for the state and begin to build a pipeline of aspiring leaders to meet the administrative needs of the district.

### **STRATEGIES (Year Three)**

The redesign will be reflective of the coordinated efforts of the university, the six partner districts, the partner provider and the state. Deliverable dates are designed to coordinate with the two UPPI Initiative PLCs, so critical friends feedback can be provided for draft products at the June PLC and final products shared at the December PLC.

Based on the logic model and theory of action developed in Year One (with any subsequent revisions):

- I. **Continue with the clinical practice from Year Two**
  - Revise, refine and implement new approaches for clinical practice (Note: This will be a product developed at the November 2018 Faculty PLC, shared at the December 2018 PLC as well as subsequent Faculty PLCs in 2019; *Due May 1, 2019*)
  - Document subsequent changes in the content analysis and redesign based on clinical practice and lessons learned (*Draft due May 1, 2019*)
- II. **Revise course sequence and syllabi based on piloting and other subsequent data**
  - Description of the rationale for the course sequence (*Draft due May 1, 2019*)
  - Documentation for using the university course approval process and other accreditation processes and the leader tracking system as a strategy to adapt course syllabi and reinforce continuous improvement (*Draft due May 1, 2019*)
- III. **Create a plan to use the branding work to further the broader change agenda. (Due one month prior to the June PLC). Consider the following questions:**
  - What assets are brandable?
  - What are the “value propositions”?
  - How do we tell our story?
  - How can the program’s branding support the context of the university’s branding?
- IV. **Implementation alignment with district partners**
  - Implementation of the plan to align leader evaluation systems with agreed-upon standards (*Based on plan submitted in November 18, 2018 and subsequently revised after the December 11-12 PLC; Draft due May 1, 2019*)
  - Use of district partners as on-going learning laboratories for content and clinical program elements (*Draft due May 1, 2019*)
  - Revise negotiated, shared leader standards with districts, if needed (*Draft due May 1, 2019*)
- V. **Leader Tracking System\***
  - Use soft launch results/lessons learned to improve LTS implementation
  - Plan to integrate clinical and redesign data elements into LTS
  - Launch LTS pilot (*December 2019*)



\* This date is flexible given your conversation with your Wallace contact.

**VI. Integration of university principal prep work with state policy**

- Shared leader standards with state (revised) (*Draft due May 1, 2019*)
- Goal-mapping between principal prep redesign and state accreditation and licensing requirements (*Draft due May 1, 2019*)
- Goal-mapping between principal prep redesign and state's ESSA plan (*Draft due May 1, 2019*)
- State QM (where applicable) (*draft due February 1, 2019; final due November 4, 2019*)

**VII. Design and implement a specific mechanism to scale the lessons of UPPI within the state**

- WKU and our district partners will develop a Leadership Innovation Network (LIN) (housed at WKU) that will (a) support the expansion of the LTS to all districts and IHEs across the state; (b) facilitate and model how effective partnerships function between the districts, state and IHEs for developing curriculum and clinical experiences to meet the needs of all districts in the state; and (c) support the development of a leadership pipelines regionally. (*Report on progress due May 1, 2019*)

**Fiscal Agent**

The University will assume the role of fiscal agent with respect to the funds received from Wallace. In your role as fiscal agent, you will ensure that pass-through distribution of grants to the district and state partners is accomplished in a timely way.

**Wallace Network Activities**

Grantec teams will participate in:

- The third-party evaluation conducted by RAND, including participation in the evaluation surveys and site visits
- The Woodrow Wilson Fellowship Program's collaboration with the Massachusetts Institute of Technology's open-source school leadership simulation
- Initiative-wide technical assistance provided to all teams by Wallace as appropriate:
  - State Quality Measures (as appropriate) Each university team to fill this in according to their specific plans

➤ Note: The final round of *Quality Measures* will be done spring 2020 and therefore incorporated in the Year Four scope.

- Wallace professional learning community (PLC) and other development activities:
  - Initiative PLCs (with provosts)
  - UPPI State PLC
  - Faculty PLC
  - PD group meeting(s) at Wallace
  - "Day at Wallace" (July-August 2019)
- Regularly-scheduled conference calls (twice per month) with your Wallace contact
- Other conference calls and virtual activities, including financial webinar (August 2019)



**C. Changes to the Grant**

You must make a request, in writing, to your Wallace staff contact prior to making any changes to the Grant, including but not limited to:

- Revision of a budget line or budget category of more than \$5,000, subject to a cumulative cap of \$45,000
- Change in the scope of work or strategy
- To add, delete or change a deliverable
- To substantially change the level of involvement of a staff member or members considered key to the Project

If the approved budget includes indirect costs, such costs will be identified in a separate budget line, and may not exceed 15% of direct costs. Indirect costs are shared costs that are not directly attributable to the project itself, such as rent, utilities, allocated charges for administrative departments (e.g., Accounting, HR, Development), information technology, telephone and supplies. The indirect rate should be applied to actual expenditures for each grant payment period.

If you anticipate unexpended funds (balance) will remain at the end of the grant term, you must have a discussion with your Wallace staff contact about the use of the remaining funds at least three months prior to the end of the grant term. Your request should identify the remaining funds and propose a plan for spending down (course correction request).

**D. Reports and Financial Analysis (guidelines will be sent at least 6 weeks in advance of date due)**

- Year Three workplan due February 15, 2019
- Final program update on Year One workplan activities completed due February 15, 2019
- Final financial reports from Year Two due March 29, 2019
- Progress reports for Year Three due May 1, 2019
- Interim financial report due August 9, 2019
- Revised Year Four Scope of Work and Budget due October 31, 2019
- Year Four workplan due January 15, 2020
- Final program update on Year Three workplan activities completed due January 15, 2020
- Final financial report for Year Three due March 31, 2020

**E. Payment Schedule**

Within thirty (30) days of Wallace's receipt of this grant agreement signed by you, Wallace will send you an electronic ACH transfer in the amount of \$702,877.

**ACCEPTED AND AGREED:**  
Western Kentucky University Research Foundation, Inc.

By: Cheryl D. Davis 2/11/19  
Signature Date

Name: Cheryl D. Davis, Ph.D.

Title: Associate Provost for Research and Creative Activity

## APPENDIX U

Grantee:		Western Kentucky University	
Grant ID #:		20160533	
DISTRICT NAME:		Jefferson County	
<b>DISTRICT COSTS</b>			
<b>DISTRICT PERSONNEL COSTS</b>		<b>WALLACE GRANT REQUEST</b>	<b>NON-WALLACE MATCH</b>
		<b>TOTAL PROGRAM BUDGET TO IMPLEMENT SOW</b>	
1 Name: _____ Title: _____ % of Time: 22% Annual Salary: _____ Fringe Benefits Rate: _____ Salary paid by grant: _____			\$0
2 Name: _____ Title: _____ % of Time: _____ Annual Salary: _____ Fringe Benefits Rate: _____ Salary paid by grant: _____			\$0
3 Name: _____ Title: _____ % of Time: _____ Annual Salary: _____ Fringe Benefits Rate: _____ Salary paid by grant: _____			\$0
4 Name: _____ Title: _____ % of Time: _____ Annual Salary: _____ Fringe Benefits Rate: _____ Salary paid by grant: _____			\$0
5 Name: _____ Title: _____ % of Time: _____ Annual Salary: _____ Fringe Benefits Rate: _____ Salary paid by grant: _____			\$0
DISTRICT SALARIES TOTAL		\$0	\$0
DISTRICT FRINGE TOTAL		\$0	\$0
DISTRICT PERSONNEL TOTAL		\$0	\$0
<b>OTHER DISTRICT COSTS</b>		<b>WALLACE GRANT REQUEST</b>	<b>NON-WALLACE MATCH</b>
		<b>TOTAL PROGRAM BUDGET TO IMPLEMENT SOW</b>	
1 Local meeting and office expenses		\$28,426	\$28,426
2 Wallace network activities		\$20,000	\$20,000
<b>INDIRECT COSTS</b>		Enter percentage here <input type="text" value="3%"/>	
Indirect costs may not exceed 15%		3%	
Indirect costs		\$1,574	\$1,574
<b>GRAND TOTALS</b>		\$50,000	\$50,000



**Attachment 3A**  
**Research Subaward Agreement**  
**Pass-Through Entity (PTE) Contacts**

Subaward Number:

598365-19-004

**PTE Information**

Entity Name: Western Kentucky University Research Foundation

Legal Address: 1906 College Heights Blvd., #11016  
Bowling Green, KY 42101-1016Website: <https://www.wku.edu/>**PTE Contacts**

Central Email: sponsored.programs@wku.edu

Principal Investigator Name: Marguerita Desander

Email: marguerita.desander@wku.edu

Telephone Number: 270-745-6039

Administrative Contact Name: Marilyn Anderson

Email: marilyn.anderson@wku.edu

Telephone Number: 270-745-8891

COI Contact email (if different to above): rob.h.pyles@wku.edu

Financial Contact Name: Paula Mattison

Email: paula.mattison@wku.edu

Telephone Number: 270-745-5338

Email Invoices? ☒ Yes ☐ No Invoice email (if different): paula.mattison@wku.edu

Authorized Official Name: Dr. Cheryl D. Davis

Email: cheryl.davis@wku.edu

Telephone Number: 270-745-4652

**PI Address:**

Marguerita Desander  
1906 College Heights Blvd.  
Bowling Green, KY 42101

**Administrative Address:**

Marilyn Anderson  
Office of Research  
1906 College Heights Blvd., #11016  
Bowling Green, KY 42101-1016

**Invoice Address:**

Grants and Contracts Accounting  
1906 College Heights Blvd., #11002  
Bowling Green, KY 42101-1002

**ATTACHMENT 4A  
SUBAWARD AGREEMENT**

**Consideration, Records and Invoicing Instructions**

**Consideration, Records and Invoicing Instruction:**

1. The total compensation to be paid for the period of performance will not exceed \$50,000 based on Subcontractor's budget outlined in Attachment 5.
2. WKU payment to Subcontractor shall be based upon the terms and conditions as specified in this subcontract.
3. The Subcontractor shall submit invoices for approval by the Authorized Representative on a monthly basis by the 15<sup>th</sup> of the month. All expenses must be invoiced within 30 days of the date they were incurred. In order to be eligible for reimbursement, invoices shall be for allowable, approved costs incurred in accordance with the terms of this Agreement and shall display expenses for reimbursement by budget category. Due to the nature of this award, all expenses must be accompanied by backup documentation.  
An authorized representative of the Subcontractor shall certify on each invoice that the costs for which reimbursement is requested are the actual costs as recorded in Subcontractor's records and as expended for the Work actually performed in accordance with the terms of this Agreement.
4. WKU, the Prime Sponsor or its duly authorized representatives shall, until three years after final payment under this Agreement, have access to any of the Subcontractor's records related to this Agreement for the purpose of conducting audits. The period of access for records relating to a) appeals under a dispute, b) litigation or settlement of claims arising from the performance of this Agreement, or c) costs and expenses of this Agreement to which exception has been taken shall continue until such appeals, litigation, claims, or exceptions are disposed of.
5. Invoices should be sent to WKURF's Financial Representative as indicated in Attachment 3A.
6. No changes in the budget, including personnel, are allowed without prior approval.