

## Research Subaward Agreement Amendment

Pass-Through Entity (PTE)

Subrecipient

Western Kentucky University Research Foundation	Entity Name	Jefferson County Board of Education
1906 College Heights Blvd., #11016 Bowling Green, KY 42101-1016	Address including City, State, Zip+4 (Country, if non-US)	3332 Newburg Road Louisville, KY 40218
	Principal Investigator	Carmen Coleman
PTE Award No: 20160533	Amendment No: 2	Awarding Agency: Wallace Foundation
Project Title: Western Kentucky University Principal Preparation Program Redesign		
Subaward Period of Performance: Start Date: Feb 26, 2020 End Date: Dec 31, 2020		Amount Funded This Action: \$ 50,000.00
		Subaward No: 598365-17-004
Effective Date of Amendment: Jan 1, 2020	Total Amount of Funds Obligated to Date: \$ 55,625.48	Subject to FFATA: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

### Amendment(s) to Original Terms and Conditions

This Amendment revises the above-referenced Research Subaward Agreement as follows:

#### Action:

This amendment changes the project end date from 12/31/2019 to 12/31/2020.

This amendment deobligates funds of \$44,374.52 from the previous year and adds \$50,000 to the current year funds obligated.

Final Invoices must be received no later than 30 days after project end date.

No carry forward from prior years is allowed at this time.

Any changes to agreed upon scope of work, approved budget or personnel require prior approval before implementation.

**All other terms and conditions of this Subaward Agreement remain in full force and effect.**

By an Authorized Official of PTE:		By an Authorized Official of Subrecipient:	
Name: Dr. Cheryl D. Davis Title: Associate Provost for Research and Creative Activity	Name: Title:	Date: 	Date: 

## UPPI Year Four Scope Template

### 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 at the end of the grant?
- 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 2018 RAND UPPI Implementation Report?
  - 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?

*Start with the description you provided in your Year Three scope and revise based on what you have learned (please do not use the same description as last year).*

WKU and District Partners: Our vision is by 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, program implementation and the program cycle of improvement. The ideas, identification of problems of practice unique and common, as well as support 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 having 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 regional district partners 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 in Year 3 of the initiative (the largest and only urban district in Kentucky) as a new thought partner and critical friend, allowed the curriculum development to focus on the similarities and difference between urban, suburban/town and rural districts, and scalability of the project work. It provides the university with a large scale data loop via the LTS. Year 4 will focus on and emphasize structures, procedures and systems for sustainability beyond the conclusion of the initiative.

KDE/EPSB/OELE: Through the UPPI and in collaboration with all IHE's and education cooperatives throughout the state, KDE will utilize data and information from Year 3 to determine the sustainability of state policy and regulation process with input from stakeholders, particularly working with university preparation programs and key state stakeholders. Focus will be on feedback systems for preparation programs, evidence and data collection with stakeholders, partnerships with stakeholders, and continuous improvement for effective principal preparation programs.

➤ **Key partners**

<i>(List key partners to accomplish the following scope of work)</i>			
<b>District partners</b> <ul style="list-style-type: none"> <li>• Bowling Green ISD</li> <li>• Daviess County Public Schools</li> <li>• Jefferson County Public Schools</li> <li>• Owensboro City Schools</li> </ul>	<b>State partner</b> <ul style="list-style-type: none"> <li>• KDE/OELE/EPSB</li> </ul>	<b>Partner provider(s) (if any)</b> <ul style="list-style-type: none"> <li>• University of Illinois - Chicago</li> </ul>	<b>TA/ Consultants (if any)</b> <ul style="list-style-type: none"> <li>• Glenn Pethel</li> </ul>

<ul style="list-style-type: none"> <li>• Simpson County Schools</li> <li>• Warren County Public Schools</li> </ul>			
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- Describe your *areas of focus* for Year Four redesign (i.e. curriculum, instructional methods, clinical practice). How does this build upon your work in Years One, Two and Three?

Year four state focus will be how to continue to expand the leadership tracking system for all EPPs and sustain the effort for feedback to universities regarding the effectiveness of their principal preparation programs. Additionally, year four will focus on continuing to refine the process for EPPs and stakeholders to meet and work on problems of practice in preparation programs. Year 4 will continue to involved P-21 systems in utilizing the same standards for preparation and district evaluation systems.

WKU/District Partners: The LTS: The LTS will be piloted a second time in Spring 2020, with the purpose of providing feedback to the university. During Spring 2020, WKU will work with other EPPs across the state to demonstrate how the LTS can support ongoing cycles of improvement, monitor and track candidate success/progress, and assess program effectiveness. Sharing this information with all state EPPs will provide leverage for scale and sustainability by meeting state goals and accreditation requirements.

State Partners: Through regular UPPI State meetings, KDE/EPSB/OELE will continue to collaborate with EPPs, districts and state agencies to ensure the use of PSEL statewide. The following will occur: 1. Revise KY Admin regs to include recommendations from the state principal stakeholder group; 2. Advocate and recommend Kentucky ESSA work incorporate and emphasize principal preparation and professional development based on UPPI work with district and university partners; 3. Develop an ongoing and sustainable process for regular statewide convenings with all EPPs and stakeholders focusing on current problems of practice using evidenced based data; 4. Provide the opportunity for all EPPs to engage in a process of self-reflection regarding program effectiveness using evidenced based processes such as QM.

WKU: The principal preparation program will focus our work, in collaboration with our provider partner, UIC and district partners, to prepare all school leaders who are equity “warriors” through a rigorous, diverse and inclusive curriculum, a variety of diverse clinical, internship and field experiences, and feedback from the LTS and student reflections of the program. We will engage in QM to assess the evidence we are collecting and analyze to determine if the evidence collected aligns with the program outcomes. WKU will work with UIC to observe, adapt and implement structures that frame the cycle of improvement to sustain the work long-term. WKU will develop a faculty development program to prepare all adjunct and clinical faculty to teach, support and supervise principal candidates in the program with an emphasis on equity, diversity and inclusive practices.

The WKU faculty will expand our work on diversity, equity, and inclusion as well as the leadership pipeline to the School of Teacher Education at WKU. Bridging the gap between initial prep and advanced prep will provide so many opportunities to develop a strong teacher



leader program that can translate into the next generation of school leaders who have a strong foundation in equity, diversity and inclusion. An inclusive, rather than siloed approach to educator preparation allows for a continuum for development.

**Finally,** WKU, our district partners, our partners in teacher preparation and the state will revisit our process of visioning, and develop a new logic model and theory of action that will be part of the long-term sustainability and scalability plan for the UPPI. We will focus on lessons learned from the planning and implementation of the UPPI and think strategically about the long-term impact of the work.

#### STRATEGIES (Year Four)

The redesign will be reflective of the coordinated efforts of the university, the three 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), revise and finalize any program element(s) in an effort to deepen its coherence, alignment and sustainability.

- I. **QM Year Four process/analysis to assess the progress made during the course of UPPI and contribute to sustainability planning** *(Spring 2020)*
- II. **Sustainability Plan** *(Due November 2020; one month prior to December 2020 PLC)*
- III. **Leader Tracking System:**
  - Version 1.0 of the LTS to begin to inform subsequent university redesign *(beginning December 2019 through December 2020)*
- IV. **Design and implement a specific mechanism to scale the lessons of UPPI within the state**
  - Each university team completes this section based on its plans

#### **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**

Grantee 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
  - Final round of Quality Measures will be done spring 2020
- 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 2020)
- Regularly-scheduled conference calls (twice per month) with your Wallace contact
- Other conference calls and virtual activities, including financial webinar

**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)**

- ✓ Revised Year Four Scope of Work due October 31, 2019
- ✓ Year Four workplan due January 15, 2020
- ✓ Final program update on workplan activities completed in Year Threedue January 15, 2020

**APPENDIX A**  
**GRANT ID#«REQUEST\_ID»**

- ✓ Final financial reports from Year Three due March 31, 2019
- ✓ Progress reports for Year Four due one month prior to June PLC
- ✓ Interim financial report due August 10, 2020
- ✓ Final program update on workplan activities completed due January 15, 2021
- ✓ Final financial report for Year Four due March 31, 2021



Submitted to Wallace 11/21/19

Grantee:	<b>Western Kentucky University</b>			
Grant ID #:	<b>20160533</b>			
<b>DISTRICT NAME:</b>	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%	Salary paid by grant:		\$0
	Annual Salary:	Fringe Benefits Rate:		\$0
2	Name:			
	Title:			
	# staff	Salary paid by grant:		\$0
	Annual Salary:	Fringe Benefits Rate:		\$0
3	Name:			
	Title:			
	% of Time:	Salary paid by grant:		\$0
	Annual Salary:	Fringe Benefits Rate:		\$0
4	Name:			
	Title:			
	% of Time:	Salary paid by grant:		\$0
	Annual Salary:	Fringe Benefits Rate:		\$0
5	Name:			
	Title:			
	% of Time:	Salary paid by grant:		\$0
	Annual Salary:	Fringe Benefits Rate:		\$0
		<b>DISTRICT SALARIES TOTAL</b>	\$0	\$0
		<b>DISTRICT FRINGE TOTAL</b>	\$0	\$0
		<b>DISTRICT PERSONNEL TOTAL</b>	\$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		
	Indirect costs may not exceed 15%	3%	
	Indirect costs	\$1,574	\$0
<b>GRAND TOTALS</b>		<b>\$50,000</b>	<b>\$0</b>