

OK AS TO FOR
A.M.H. 7.14.2023



The Wallace Foundation
140 Broadway, 49th Floor
New York, NY 10005

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wallacefoundation.org

July 13, 2023

Marty Pollio, Ed.D.
Superintendent
Jefferson County Public Schools
VanHoose Education Center
Louisville, KY 40218-2414

Dear Dr. Pollio:

This letter, when signed by Board of Education of Jefferson County, Kentucky ("you" or "your"), shall constitute an amendment of the agreement governing grant # 20210184 ("Grant") between you and The Wallace Foundation ("Wallace") executed September 1, 2021; as amended on November 8, 2021 and October 7, 2022 (the "Agreement"), as follows:


1. The Agreement is hereby amended to increase the Grant amount by One Million Six Hundred Dollars (\$1,600,000) for a total Grant amount of Five Million Eight Hundred Ten Thousand Dollars (\$5,810,000). These additional funds are to be used to extend your participation in Wallace's Equity-Centered Pipeline Initiative by one year and will be paid to you within thirty (30) days of Wallace's receipt of this amendment signed by you.
2. The attached Appendix A3 (scope of work for year 3) is henceforth incorporated as part of the Agreement.
3. The end date of the Grant is hereby extended by one year from August 31, 2023 to June 30, 2024.

Except as expressly amended herein, all of the terms and conditions of the Agreement shall remain in full force and effect.

Please note that in Wallace's grants management system, this amendment is designated as # 20210184-A3 for payment purposes.

If this letter accurately reflects your understanding, please have a duly authorized individual with the legal capacity to execute and deliver this amendment sign where prompted by DocuSign. If you have any questions, please contact Grants Associate Deanna Chernovetsky at dchernovetsky@wallacefoundation.org.

Sincerely,
THE WALLACE FOUNDATION

DocuSigned by:

D2009BB0FCE7450...
Will Miller, President

ACCEPTED AND AGREED:
Board of Education of Jefferson County, Kentucky

By: _____
Signature Date

Name: Marty Pollio _____

Title: Superintendent _____

APPENDIX A3

Grantee: Board of Education of Jefferson County, Kentucky
Grant Amount: \$5,810,000
Term: September 1, 2021 through June 30, 2024 (Scope period: September 1, 2023 through June 30, 2024)
Grant ID#: 20210184

Wallace's mission is to foster equity and improvements in learning and enrichment for young people, and in 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 sector, 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

Given that comprehensive, aligned principal pipelines have been demonstrated to benefit student achievement, and given the key role of principals in advancing equity, this initiative seeks to learn whether and how districts can develop and implement comprehensive, aligned principal pipelines that produce equity-centered leaders who can help bring a district's vision of equity to fruition. The initiative seeks to benefit both participating districts and yield broadly applicable approaches that other districts can adapt to their own contexts.

The question the initiative seeks to answer is:

"How can large, high-needs districts, in partnership with their stakeholders, create comprehensive, aligned principal pipelines and other supports that are capable of

producing and supporting equity-centered leaders within the district ecosystem?”

B. Overview of Key Terms

The visual below captures key definitions used in this initiative related to expectations for moving work forward and the relationship between goals, strategies, key actions, activities, and expenses.

- **Initiative-Wide Five-Year Goals:** Common goals shared by every district partnership team in the initiative.
- **Strategy:** The set of reasoning that drives the work forward.
- **Year Three Strategy:** The strategy for the initiative’s third year that will undergird the main approach for each of the seven domains and enable teams to prioritize the activities in their work plan.
- **Initiative-Wide Key Actions:** The overall, common set of guiding principles that characterize the approach across the initiative.
- **Activities:** The specific ways the actions will be implemented, captured in the workplan.
- **Expenses:** Costs associated with the activities, captured in the budget.

C. District Ecosystem

This initiative involves the full district “ecosystem,” by which we mean all the organizations that form the community affecting the education of children and preparation of teachers and leaders. This includes the district’s central office, university partners, stakeholders (such as students, parents, city agencies and community organizations), and the state education agency or agencies.

D. Goals: Five-Year Initiative-Wide Goals

At the end of a successful five-year initiative, each district and its stakeholders will have:

- Defined what equity means in the context of the district’s history, policies and strategic vision, and with the input of key stakeholders including parents and students,
- Developed a comprehensive, fully aligned principal pipeline and other supports that produce equity-centered leaders,
- Made each of the seven key pipeline features fully reflect the district’s context and definition of equity,
- Aligned this principal pipeline with the district’s strategic plan, policies and practices, its central office, its equity office (if it has one), and the pipeline functions and the structures of the various organizations in its ecosystem (i.e., feeder university preparation programs, state policies and local community organizations)

E. Year Three Goals

On behalf of your district partnership team, upload the Year Three goals that will undergird the main approach for each domain and enable you to prioritize the activities in your work plan (September 1, 2023-June 30, 2024). Please draw on the vision for an equity centered pipeline developed in Year One and the logic model revised in Year Two.

F. Initiative-Wide Key Actions in Year Three

Throughout the initiative, districts and their partners will employ the six key actions listed below to guide the work, collaborating with all the partners in the ecosystem. District partnership teams will engage with the Program team, participate in the research studies, and share their challenges, opportunities, pitfalls and back-steps during this process. Confidentiality and anonymity will be maintained throughout.

- 1. Key Action One: Developing and sustaining deep partnerships with internal and external stakeholders and organizations,**
- 2. Key Action Two: Visioning and strategic planning**
- 3. Key Action Three: Revisit and refine “equity” and “equity-centered leaders”**
- 4. Key Action Four: Begin implementing an equity-centered principal pipeline that translates the vision into reality**
- 5. Key Action Five: Providing mentoring and training for current assistant principals to become the next generation of equity-centered principals**
- 6. Key Action Six: Engaging in continuous improvement**

See work plan for description of specific activities to implement actions identified above. The budget template includes the corresponding spending anticipated.

G. Participation in Research and Data Requirements

All district teams will participate in the research activities associated with this initiative, including data sharing, interviews with key personnel, and site visits. Names of districts, and local communities participating in this initiative will not be linked to specific findings in any public report, without expressed permission of district leaders. Researchers will provide districts opportunities to review, for accuracy and confidentiality, all research reports before they are published. *Names of individuals will be strictly confidential. While individual identifiers are often necessary to link cases across time and datasets, personal identifiers of participants will not be shared with Wallace or districts and will be scrubbed at the end of the study.*

A draft set of data elements was shared with districts in February 2023 that included student-level data. Specific requests for student-level data will be reconciled between researchers and districts upon mutual agreement. In addition, data requests will be coordinated between the program and research teams to ensure minimum duplication of data requests.

Additionally, districts may participate in a unique short cycle of Research Practice Design Network. Additional information regarding the ECPI RPDN can be found in Appendix B.

Should research Organization use or collect data for the purpose of conducting a research study, Research Organization will separately submit an external research request through Data Provider’s online system: <https://assessment.jefferson.kyschools.us/DRMS/>. For any project, involving data collection or research (e.g., program evaluation or monitoring activities), JCPS student or staff participation is voluntary. As a federally authorized Institutional Review Board (IRB), JCPS complies with the federal definition for research, which includes sharing of Personally Identifiable

Information (PII) for the purposes of answering a question or evaluating activities for effectiveness beyond standard educational or operational procedures. Thus, all data collection and research activities must be approved by the JCPS IRB and shall not begin before approval is secured from the JCPS IRB.

H. Wallace Network Activities

1. Appropriate district partnership team members are asked to continue to meaningfully engage with all provided initiative-wide technical assistance, including:
 - Council of the Great City Schools (School board engagement)
 - Crocus (Leader Development Monitoring and Progression tool capacity development)
 - Education Development Center (Mentor program assistance and *Quality Measures* assessment for university partners)
 - National Urban League (Community engagement)
 - San Diego State University (Faculty Professional Learning Community)
 - University of Pennsylvania (School leader Professional Learning Community)
2. Professional Learning Communities (PLCs):
 - Three initiative-wide PLCs on October 2-3, 2023, January 31-February 1, 2024, and May 15-16, 2024
 - Superintendents are asked to attend at least one initiative-wide PLC. In addition, Superintendents are asked to participate in two mutually agreeable research and communications activities [e.g., participation in facilitated events (panel, presentation, etc.) at convenings hosted by Wallace communications and/or research partners].
 - School leader PLCs (September 27-28, 2023, November 14-15, 2023)
 - University faculty PLCs (October 16-17, 2023)
3. Annual Day with Wallace team review of progress and problem-solving (approximately March-April 2024)
4. Regularly scheduled conference calls with your assigned Wallace Program Officer
5. Other conference calls and virtual activities with your assigned Wallace Program Officer, consultant, technical assistant providers.

I. Deliverables, budget, progress and financial reports (Guidelines will be sent no later than six weeks prior to the due date):

Budget / Report	Date Draft Is Sent to Wallace Program Officer	Due Date Uploaded to GMS
Year Two final financial report (<i>Note: this report was part of districts' Year Two grant agreement</i>)	N/A	October 3, 2023
Year Three Work Plan and Year Three Goals and Partners	September 21, 2023	October 31, 2023

Year Three budget	September 21, 2023	October 31, 2023
LDMP requirements deliverable Leadership Development Monitoring and Progression Tool (LDMP) (formerly known as Leader Tracking System / LTS)	November 17, 2023	January 19, 2024
Year Three progress report	N/A	January 12, 2024
Year Three interim financial report 1 (9/1-11/30)	N/A	January 12, 2024
Year Three interim financial report 2 (12/1-3/31)	N/A	May 10, 2024
Year Three final financial report (9/1-6/30)	N/A	July 31, 2024

J. University Partner Tuition Guidelines (if applicable)

In partnership with the applicable university partners, the district will develop and submit budgets detailing their commitment to support district employees who will enroll as students in graduate programs (i.e., Masters or Doctorate). The budgets will include the amount of grant funds that will be allocated to support tuition, the district sustainability plans for Years Four and Five (e.g., where additional funds will come from to decrease the grant funds used for the tuition support for each year), and the university sustainability plan for Years Four and Five.

K. Fiscal Agent

The district 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 two university and state partners is accomplished in a timely way.

L. Responsibility for Legal Review

The Wallace Foundation expects that all grantees of the Equity-Centered Pipeline Initiative will comply with applicable federal, state and local anti-discrimination and equal opportunity laws and that no portion of the grant funds will be used to in any way discriminate against, deny benefits to, deny employment to, or exclude from participating any persons (except where expressly permitted by law) on the grounds of race, color, national origin, religion, age, disability, marital status, sexual orientation, gender, legal citizenship or any other characteristic protected by law.

M. Freedom of Information Act (FOIA) Reporting Requirements

All grantees are asked to notify their assigned Wallace contact (Program Officer) of any Freedom of Information Act (FOIA) requests received for response that are (1) specifically for documents related to the Wallace grant award, or (2) requests for materials related to your Wallace grant award. Notification of all requests should be shared with Wallace contact(s) within fifteen (15)

days of any request.

N. Changes to the Grant

You must make a request, in writing, to your assigned Wallace Program Officer 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 20% 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 assigned Wallace Program Officer 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).

O. 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 \$800,000. Wallace will send a second payment for the remaining balance of \$800,000 on or before January 30, 2024. Separately, Wallace will send you instructions on how to submit your banking information using our secure grantee portal.

Appendix A: Scope of Work For The Wallace Foundation

DocuSigned by:

F443427287EC488
Rotunda Floyd-Cooper,
Vice President of Education Leadership

7/18/2023

Date

ACCEPTED AND AGREED:

Board of Education of Jefferson County, Kentucky

By: _____
Signature

Date

Name: _____

Title: _____

Appendix B

ECPI RESEARCH-PRACTICE DESIGN NETWORK

An opportunity for collaborative learning and support in Year 3

► Wait, what happened to RPPs?

The idea for a Research-Practice Design Network (RPDN) emerged from our listening tour with district leaders in early 2023. In that listening tour we heard that the lift of initiating, managing, and designing a unique RPP residing in a single district was likely too much to add to already full plates at this time. We also heard that district leaders had similar challenges that they were wrestling with and many expressed desire for more opportunities to collaboratively learn and design together.

► What is an RPDN?

- The RPDN is an opportunity to deepen the learning and design network of districts involved in ECPI – it will bring together multiple districts to partner with a group of researchers on a shared problem of practice identified by district leaders.
- The RPDN is similar to an [Improvement Network](#) in that it is designed to structure intentional collaboration between groups of leaders grappling with similar problems of practice in different contexts.

► What will the RPDN do?

For this first year, the RPDN will engage with the problem of practice that surfaced across our district listening tour: **How can we design ways of seeing/tracking deep change in our districts over time?** We will work together to learn about and co-design [practical measures](#) that could be used to track small and important shifts over time. Practical measures are dip-sticks that are quick, can be built into day-to-day practice, and give real-time information about how change is unfolding to inform ongoing decision-making. In the case of ECPI districts, a practical measure might help us see:

- How are our district visions of equity being taken up in day-to-day practice? Are they becoming shared?
- Is principal supervision practice actually changing in the ways we hope it is? How so?

Whats are practical measures?

Practical measures...

- are easy to implement
- provide frequent, rapid feedback
- directly inform efforts to track and improve practice
- use language that is relevant and meaningful to practitioners
- are not meant to be used for accountability or high-stakes, evaluation purposes

(Adapted from [PMR2 Project](#))

► When will this happen? What are we committing to? Who will participate?

The first RPDN will launch in Fall 2023. During the first year, the current plan is for the RPDN to meet:

- virtually for 2 hours once a month
- In-person about 2 times a year (timing TBD)

By joining as a district, you are committing to sending a team of 3-4 staff/partners to each meeting. They will participate and learn alongside members from other districts, a team of 2-5 researchers, and Wallace staff in a process led by a facilitator. As a district, you will design and test out at least one practical measure to support your ECPI work.

For further information, please do not hesitate to reach out to the ECPI Research-Practice Working Group Leads:

- ✉ Paula Arce-Trigatti: parcetr@rice.edu
- ✉ Allison Fox Resnick: alison.resnick@colorado.edu

**Fall
2023**

Learn about practical measures and imagine potential uses of them in your ECPI context.

**Winter
2024**

Engage in initial design and testing of a practical measure specific to your district's work and context.

**Spring
2024**

Engage in further testing and refinement, aiming to design a practical measure that can be routinely used in the following school year.