



**STRONG LEADERS = STRONG SCHOOLS**

## **Transforming Principal Preparation in North Carolina**

**North Carolina Principal Fellow Program  
(NCPFP/TP3) Grants Request for Proposals**

**Issue Date: September 23, 2019**

*This RFP is available by contacting the Director of  
the NC Principal Fellows Program, Dr. Eddie Price  
at: [ceprice@northcarolina.edu](mailto:ceprice@northcarolina.edu)*

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## NC Principal Fellows Program (NCPFP/TP3) Grants Request for Proposals

### A. Funding Authority

The North Carolina Principal Fellows Program (NCPFP/TP3) is issuing this Request for Proposals (RFP) for principal preparation programs as authorized by the State Education Assistance Authority (SEAA) in NC Session Law 2019-60, Section 1.(d), effective on June 30, 2019. See: <https://www.ncleg.gov/enactedlegislation/sessionlaws/pdf/2019-2020/sl2019-60.pdf>.

NCPFP/TP3 is charged with issuing the RFP, reviewing applications, recommending grant recipients to SEAA, monitoring grantees, evaluating grantee programs, overseeing the renewal process for successful grant recipients, and collecting, analyzing, and reporting data to inform the transformation of North Carolina's principal preparation and support. NCPFP/TP3 will collaborate with Principal Fellows Program (NCPFP/TP3) grantees (hereinafter referred to as "NCPFP/TP3 Providers") to build capacity and identify and integrate evidence-based approaches to school leader development. NCPFP/TP3 will facilitate discussion among NCPFP/TP3 Providers and education and business stakeholders to share successes and lessons learned.

NCPFP/TP3 will submit a report to SEAA of NCPFP/TP3 Providers, number of participants, and use of funds by 7/31/20 and each year thereafter. NCPFP/TP3 will maintain continuous evaluation of funded projects in preparation for providing ad hoc reports as requested by SEAA and described in Section V of this RFP. NCPFP/TP3 will collect formative data from grant recipients on program strategies and activities throughout the grant period and summative data on outputs and outcomes beginning in the third year of the grant to provide to the State Board of Education on an annual basis. Data and evaluation reports will be designed for use by the State Board of Education in evaluating and revising the licensure requirements of school administrators and the standards for approval of school administrator preparation programs as required in Senate Bill 227, Section 1.(d).

(<https://www.ncleg.gov/enactedlegislation/sessionlaws/pdf/2019-2020/sl2019-60.pdf>.)

### B. Purpose of the Program

The North Carolina General Assembly established a competitive grant program to "elevate educators in North Carolina public schools by transforming the preparation of principals across the State" in NC Session Law 2019-60, Section 1.(d).

(<https://www.ncleg.gov/enactedlegislation/sessionlaws/pdf/2019-2020/sl2019-60.pdf>).

The goal of the program is to provide funds for the preparation and support of highly effective school principals in North Carolina.

Case studies repeatedly show that an outstanding school leader can transform a struggling school into a high performing one where all students can excel. Great schools that meet the learning needs of all students require great leaders who know how to create school environments that result in high performance for all students. Unfortunately, looming retirements, along with a shrinking pool of candidates, has led to a critical shortage of school leaders, particularly in hard-

to-staff LEAs. North Carolina needs a new strategy for preparing school leaders to overcome the challenges facing today's schools, for creating classroom-to-principal pipelines, and for preparing transformational principals.

NCPFP/TP3 Providers will implement a principal leadership development program that includes rigorous screening and evaluation of candidates and research-based content and curriculum. The program will include a pipeline component to identify and train emerging leaders from education or non-traditional sectors, embedded participant assessments during the program, high-quality and sustained clinical practice in authentic settings, and commitment to data collection, reporting, and continuous improvement. The programs will prepare participants to provide instructional leadership, manage and develop talent, build a positive school culture, apply organizational best practices, and lead change for continuous improvement in student results.

NCPFP/TP3 will evaluate NCPFP/TP3 Providers for grant renewal, dependent upon the allocation of continued funding by the North Carolina General Assembly. The primary consideration for grant renewal will be the extent to which the funded program leads to improved student achievement in eligible schools. Renewal recommendations will be based upon evidence of progress towards project goals in accordance with proposed project timelines. Other evaluation criteria considered may include:

- i. The percentage of individuals who complete the program and are placed as school leaders in North Carolina within three years of receiving the grant.
- ii. The percentage of individuals who complete the program who are rated proficient or above on the North Carolina School Executive Evaluation Rubric.

Each eligible entity that receives grant funds shall use those funds to carry out the following activities in North Carolina:

- (1) Recruiting and selecting, based on a rigorous evaluation of the competencies of the school leader candidates participating in the program and their potential and desire to become effective school leaders.
- (2) Operating a school leader preparation program by doing the following:
  - a. Utilizing research-based content and curriculum (including embedded participant assessments to evaluate candidates before program completion) that prepares candidates to do the following:
    1. Provide instructional leadership, such as developing teachers' instructional practices and analyzing classroom and school-wide data to support teachers.
    2. Manage talent, such as developing a high-performing team.
    3. Build a positive school culture, such as building a strong school culture focused on high academic achievement for all students, including gifted and talented students, students with disabilities, and English learners, maintaining active engagement with family and community members, and ensuring student safety.
    4. Develop organizational practices, such as aligning staff, budget, and time to the instructional priorities of the school.
  - b. Providing opportunities for sustained and high-quality job-embedded practice in an authentic setting where candidates are responsible for moving the practice and performance of a subset of teachers or for school-wide performance as principal-in-planning or interim school leaders.

- (3) Collecting data on program implementation and program completer outcomes for continuous program improvement.
- (4) Covering the cost of attendance and completion for program participants for the school leader preparation program from the funds received on behalf of program participants through forgivable scholarship loans issued in accordance with the requirements of G.S. 116-74.48.

### **C. Award Information and Submission Guidelines**

**(Note: NCPFP/TP3 is not bound by any estimates in this notice.)**

**Estimated Average Size of Awards:** \$750,000 to \$1,000,000 per year for 5 years (contingent upon the continued availability of funds)

**Estimated Number of Awards:** 3 - 5

**Project Period:** Up to 60 months, with the possibility of future funding. Renewal applications to request additional funding should be submitted at the end of the 4<sup>th</sup> year.

**Available Amount:** The North Carolina General Assembly has allocated funds to support the NC Principal Fellows Program. Funds are committed for the 2020-2021 fiscal year. Funding for future years will be contingent upon continued appropriations from the North Carolina General Assembly. Final authority for making awards rests with the NCPFP/TP3 Commission.

**Notification of Intent:** NCPFP/TP3 requests that potential applicants notify NCPFP/TP3 of intent to apply through contacting the Director of the NC Principal Fellows Program, Dr. Eddie Price at [ceprice@northcarolina.edu](mailto:ceprice@northcarolina.edu). Notification of intent to apply does not bind a respondent to submit a proposal. Failure to submit a notification of intent does not disqualify any organization from submitting a proposal. Submitting a notification of intent to apply will help NCPFP/TP3 determine how many applications it may receive and prepare individuals to review the applications.

**Questions about this RFP:** Questions about this RFP may be submitted through emailing the Director of the NC Principal Fellows Program, Dr. Eddie Price at [ceprice@northcarolina.edu](mailto:ceprice@northcarolina.edu). The deadline for submitting questions is 5 p.m. on October 4, 2019. Answers to all questions will be compiled in a PDF file that will be available for download from the website by 5p.m. on October 11, 2019. NCPFP/TP3 is not responsible for oral instructions. Any information about this RFP specifically and/or the grant competition generally gained from questions not submitted in writing following this process through the website identified here is non-binding on NCPFP/TP3. Moreover, it is the applicant's responsibility to ensure that it reviews NCPFP/TP3's answers to questions submitted by this process.

**Key Dates and Review Process**

Deadline for optional Notification of Intent:	October 4, 2019
Deadline to submit questions:	October 4, 2019
Answers posted on NCPFP/TP3 website:	October 11, 2019
Deadline for submitting a proposal:	November 1, 2019
Award announcements:	December 16, 2019

**D. Eligibility, Review Process, and Terms and Conditions**

The following is a description of agencies and organizations eligible to submit a NCPFP/TP3 proposal, a description of the process by which grantees will be selected, and terms and conditions that applicants must meet or commit to in order to receive an award.

**Eligibility**

Entities, agencies and organizations eligible to submit a proposal to the NCPFP/TP3 Provider program include a for-profit or nonprofit organization or an institution of higher education that has an evidence-based plan for preparing school leaders in North Carolina who will implement school leadership practices linked to increased student achievement. Previous NCPFP/TP3 grant applicants and current NCPFP/TP3 grant recipients are eligible to apply for funding under this RFP. Current grantees may not apply to serve the same participants or cohort covered under the current grant.

**Review Process**

**Proposals received by 5p.m. on November 1, 2019 will be subject to review.**  
**Any proposal received after November 1, 2019 will not be reviewed.**

1. NCPFP/TP3 Commission will assemble a team of reviewers including education and business stakeholders to score the proposals based on a predetermined scoring rubric.
2. Proposals will be evaluated according to completeness, content, experience with similar projects, ability of the Provider agency and its staff, number of anticipated participants, cost effectiveness, and anticipated service area.
3. Following review of the written proposals, NCPFP/TP3 will share anticipated awards with the SEAA by December 2, 2019.
4. Award announcements for NCPFP/TP3 Providers are anticipated to occur by December 16, 2019.

Award of a grant to an agency or organization does not mean that the other proposals lacked merit, but that, all factors considered, the selected proposal(s) were deemed most responsive to the intent of the legislation and this RFP, as well as demonstrating the capacity to implement a successful program.

## Terms and Conditions

- The project must propose to serve high-need schools and high-need local administrative units as defined in Appendix C and in the applicable legislation.
- To be considered for a grant award, proposals must be received in the NCPFP/TP3 office no later than 5p.m. on November 1, 2019.
- An applicant must agree that, if awarded, the applicant will:
  - Participate in all third-party evaluation activities as required. If awarded a grant, applicants will be responsible for gaining approval from their Institutional Review Board (IRB) for the conduct of the third-party evaluation activities, including completing any requests to conduct evaluation activities that may be required by participating local education agencies. Should an applicant not have an IRB process, then the applicant should include funds in their budget for a commercial IRB review process.
  - Participate in capacity building and best practice sharing activities coordinated by NCPFP/TP3. Applicants should include travel costs for two people to attend up to three day-long sessions in Raleigh, NC in their proposal budget.
  - Submit required financial and performance reports to NCPFP/TP3.
  - Develop budgets that hold potential participants harmless, meaning that the applicants will allocate funds to ensure that a participant is not charged for books, tuition, fees, etc. AND will receive a salary equivalent to what he or she was earning in his or her current position during their NCPFP/TP3 internship.
  - Comply with the North Carolina General Statutes, the North Carolina Administrative Code, and any other rules or regulations that may govern the performance and oversight of this program.
  - Begin serving fellows before or by September 1, 2020.
  - Provide participants with a full-time clinical practice of at least five months in duration in an authentic setting. Ten months of clinical practice is recommended.
  - Provide any additional reports or records and meet audit requirements as established by the State of North Carolina.
  - Send the Project Director and at least one other representative to a two-day project kickoff workshop in Raleigh. During these two days, awardees will have the opportunity to review their budget and revise as needed and work with NCPFP/TP3 and third-party evaluators to develop an evaluation plan for the NCPFP/TP3 initiative. Applicants should include travel costs for two people to attend the post-award kickoff in Raleigh, NC in their proposal budget.

## E. How To Submit

**Submission Guidelines:** Submit 1 original, signed in blue ink, five copies, and an electronic copy sent to: [ceprice@northcarolina.edu](mailto:ceprice@northcarolina.edu) and by mail or delivery service (e.g., FedEx, UPS) addressed to: **Meredith Riggs-Spangler, Annex Building, UNC Chapel Hill, Principal Fellows Program c/o Dr. Eddie Price, 910 Raleigh Road, Chapel Hill, NC 27514**. Proposals must be received by 5p.m. on November 1, 2019. Proof of receipt is recommended. Please note that if any discrepancies are found between the original, copies, and electronic versions, the original version will be accepted as final and scored accordingly.

A complete proposal is composed of a Cover Page, Abstract, Table of Contents, Proposal Narrative, Attachments, and Allowable Support Materials. The proposal outline including required headers and scoring weights for the different sections of the proposal is provided in Appendix A.

NCPFP/TP3 may return without review proposals that are incomplete or do not adhere to the formatting instructions. Formatting and **minimum required elements** for each component of the proposal are as follows.

## **Required Elements of a Proposal**

### Cover Page

*(Reproduce and complete Appendix D of this RFP. The Cover page is not included in the 30-page narrative count.)*

The cover page of the original document must be signed in blue ink, by an individual who is authorized to bind the agency. Unsigned proposals will not be reviewed.

### Abstract

*(Limited to two pages, Times New Roman 12-point font, double-spaced, 1-inch margins top, bottom, right, and left. The Abstract is not included in the 30-page narrative count.)*

### Table of Contents

*(The Table of Contents is not included in the 30-page narrative count.)*

### Proposal Narrative

*(The narrative portion of the application is limited to 30 pages, double-spaced (no more than three lines per vertical inch). Applicants must use Times New Roman 12-point font for the narrative. Text that is included in table structures may be single-spaced, but must also adhere to the Times New Roman 12-point font style. NCPFP/TP3 reviewers will not review any portion of the narrative that exceeds 30 pages. One-inch margins must be used for the top, bottom, right and left sides of the narrative. Pages must be numbered. The first page of the narrative must be numbered 1 of the maximum 30 pages. The applicant may place the name of their organization and page numbering within the margins.)*

Complete instructions for organization of the required content of the Proposal Narrative are in Appendix A of this RFP. An applicant must include at least the following information in its response to the RFP for consideration of funding, as established in NC Session Law 2019-60, Section 1.(d). Additional information required in the narrative is listed in Appendix A.

- (1) The extent to which the entity has a demonstrated record of preparing school leaders who implement school leadership practices linked to increased student achievement.
- (2) The extent to which the entity has a rigorous school leader preparation program design that includes the following research-based programmatic elements:
  - a. A proactive, aggressive, and intentional recruitment strategy.
  - b. Rigorous selection criteria based on competencies that are predictive of success as a school leader, including, but not limited to, evidence of significant positive effect on student learning growth in the classroom, at the public school-level, professional

recommendations, evidence of problem solving and critical thinking skills, achievement drive, and leadership of adults.

- c. Alignment to high-quality national standards for school leadership development.
- d. Rigorous coursework that effectively links theory with practice through the use of field experiences and problem-based learning.
- e. Full-time clinical practice of at least five months and 750 hours in duration in an authentic setting, including substantial leadership responsibilities where candidates are evaluated on leadership skills and effect on student outcomes as part of program completion. Ten months of clinical practice is recommended.
- f. Multiple opportunities for school leader candidates to be observed and coached by program faculty and staff.
- g. Clear expectations for and firm commitment from school leaders who will oversee the clinical practice of candidates.
- h. Evaluation of school leader candidates during and at the end of the clinical practice based on the North Carolina School Executive Evaluation Rubric.
- i. A process for continuous review and program improvement based on feedback from partnering local school administrative units and data from program completers, including student achievement data.
- j. Established relationship and feedback loop with affiliated local school administrative units that is used to inform and improve programmatic elements from year to year based on units' needs.

Furthermore, NC Session Law 2019-60, Section 1.(l). states that priority shall be given to an eligible entity with a record of preparing principals by demonstrating the following elements. See Appendix A for instructions on how to demonstrate these elements in the narrative.

- (1) Improvement in student achievement.
- (2) Placement as school leaders in eligible schools.
- (3) A proposed focus on and, if applicable, a record of serving high-need schools, high-need local school administrative units, or both.
- (4) A detailed plan and commitment to share lessons learned and to improve the capacity of other entities in reaching similar outcomes.
- (5) A service area that is underserved by existing principal preparation programs or demonstrates unmet need despite current available programs.

*Note on Proprietary Information:* After contract awards have been made, all application packets may be made available to the public. NCPFP/TP3 in consultation with the State Education Authority may determine that trade secrets or proprietary information may continue to be held confidential. If you believe that any of the information contained in your application packet should be held confidential you must designate that information as "Confidential" in your application packet. If you desire an entire page in your application packet to be marked confidential, you may place the term "Confidential" in the footer for that page. If there is a portion of your narrative within a page that you desire to mark confidential, you may use three asterisks followed by the word 'Confidential' (\*\*\* Confidential) to **mark the beginning and ending** of that portion of the text. Information you indicate is Confidential will be redacted from public disclosure to the extent permissible by law. You should minimize such information, if any, in your proposal.

## Attachments

*(The following attachments must be submitted with your proposal. The attachments are not included in the 30-page narrative count.)*

- Attachment A: Budget (including narrative)

*(The budget with detailed justification of line item expenses is not included in the 30-page narrative count. See Appendix E of this RFP for an example of how to provide your budget.)*

The budget must show that the proposed costs are necessary and reasonable in relation to the project's objectives and scope. Expenditures of State funds by any grantee shall be in accordance with the Cost Principles outlined in the Office of Management and Budget (OMB) Circular A-87.

[https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A87/a87\\_2004.pdf](https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A87/a87_2004.pdf).

In the budget and budget narrative, please explain how participants' costs for tuition and/or salary during the period of their internship are supported by the applicant's Principal Preparation Program. Grantees will be required to develop budgets that hold potential participants harmless, meaning that the applicants will allocate funds to ensure that a participant is not charged for books, tuition, fees, etc. AND will receive a salary equivalent to what he or she was earning in his or her current position during their NCPFP/TP3 internship. Such support may be directly budgeted for in the grant funds which the applicant is seeking through this RFP competition, or may be supported by other means that effectively waive or otherwise reduce participants' costs for tuition and/or provide support for participants' salary during their internship.

Include in your travel costs in Year 1 the estimated cost of sending two project personnel to Raleigh, NC for a two-day post-award kickoff workshop. Also, include in Year 1 and Year 2 estimated travel costs for the project director and one other to participate in three capacity building and professional networking activities sponsored by NCPFP/TP3 per year. While the location for these four one-day events is yet to be determined following consultation between the NCPFP/TP3 Provider(s) and NCPFP/TP3, you should develop your budget in anticipation that the events may be held in Raleigh.

- Attachment B: Goal and Outcome/Output Tables (*See Appendix F of this RFP for a template showing how these two (2) tables should be completed.*)
- Attachment C: Letters of Commitment (*see Appendix G of this RFP for model Letters of Commitment*)
  - Commitment from school leader(s) who will oversee clinical practice
  - Commitment from partnering school districts to allow placement of participants in clinical practice in schools and participate in a process for continuous review and program improvement, with data from program completers and student achievement.

- Attachment D: References/Citations to the Literature and/or Research Base (*NC Session Law 2015-241, Section 11.9.(h) states that the school leadership preparation program must utilize a research-based content and curriculum.*)
- Attachment E: List of Board of Directors along with their addresses and occupations (*If you do not have a Board of Directors, provide Attachment E with a statement to this effect.*)
- Attachment F: Most recent audit management letter and/or report on internal controls
- Attachment G: Organizational budgets
  - Budget for the current fiscal year (not including funds you are requesting in this application.)
- Attachment H: List of References
  - Names and contact information of three references from similar projects

#### Allowable Support Materials

You may attach printed support materials such as reports or brochures related to your project. Support materials may not exceed 10 pages total. Any support materials that exceed 10 pages will be discarded before proposals are distributed to reviewers for rating.

## APPENDIX A

### Proposal Writing Template and Checklist

*When developing the proposal, applicants are strongly encouraged to follow the same header structure as provided in the sections below. Note that some of these headers are abbreviations of the full text provided in the state legislation. This full text is indicated earlier in this RFP. Be sure to review the full text associated with each header to ensure that your proposal addresses the question(s) associated with the header. NCPFP/TP3 reviewers will use these headers to rate each section of the narrative. The maximum score under each criterion is noted in parenthesis.*

**Cover Page**

- Use format found in Appendix D.
- Signed in blue ink.

**Abstract**

- Does not exceed two pages.
- Pages are double-spaced with 1-inch margins.
- Font for all text is 12-point Times New Roman.

**Table of Contents**

**Proposal Narrative**

- Font for all text, including in tables, is 12-point Times New Roman.
- Text is double-spaced. Text in tables is double- or single-spaced.
- Does not exceed 30 standard, letter-sized (8.5" x 11") pages.
- Pages are numbered 1-30 and have 1-inch margins.
- Narrative responds to the criteria and uses headers as suggested below:  
*(Organize your 30-page proposal narrative for sections (1) through (4) below, using the following headers. You may abbreviate the headers so long as it will be clear to the reviewers which portion of the narrative they are rating. Point values the reviewers will use in rating each portion of the narrative are indicated in parenthesis following each header below.)*

(1) Organizational Background. *(Brief history of your organization, its mission, and its values.)*

(2) The extent to which the entity has a demonstrated record of preparing school leaders who implement school leadership practices linked to increased student achievement.

- (a) Improvement in student achievement. (0-6 points)
- (b) Placement of school leaders in eligible schools. (0-6 points)
- (c) Record of serving high-need schools, high-need local school administrative units, or both. (0-6 points)

(3) The extent to which the entity has a rigorous school leader preparation program design that includes the following research-based programmatic elements: (*When composing your response to this section, please see the full description of these elements provided on pages 9 & 10 in this RFP.*)

- (a.) A proactive, aggressive, and intentional recruitment strategy. (0-6 points)
- (b.) Rigorous selection criteria based on competencies that are predictive of success as a school leader (0-6 points)
- (c.) Alignment to high-quality national standards for school leadership development. (0-6 points)
- (d.) Rigorous coursework that effectively links theory with practice, field experiences and problem-based learning. (0-6 points)
- (e.) Full-time clinical practice of at least five months and 750 hours in duration in an authentic setting. Ten months of clinical practice is recommended. (0-6 points)
- (f.) Multiple opportunities for school leader candidates to be observed and coached (0-6 points)
- (g.) Clear expectations for and firm commitment from school leaders who will oversee the clinical practice of candidates (*Provide letters of commitment from school leaders who have agreed to supervise clinical practice and from partnering school districts. Model letters are available in Appendix G.*) (0-6 points)
- (h.) Evaluation of school leader candidates during and at the end of the clinical practice based on the NC School Executive Evaluation Rubric. (0-6 points)
- (i.) A process for continuous review and program improvement (0-6 points)
- (j.) Established relationship and feedback loop with affiliated local school administrative unit(s) that is used to inform and improve programmatic elements from year to year based on units' needs. (*Provide letters of commitment. Model letters are available in Appendix G.*) (0-6 points)

(4) Additional program information

- (a) A proposed focus on serving high-need schools, high-need local school administrative units, or both. (*List the counties, districts, and/or schools you propose to serve and indicate how each meets the criteria for high need as defined in Appendix C of this RFP.*) (0-6 points)
- (b) A detailed plan and commitment to share lessons learned and to improve the capacity of other entities in reaching similar outcomes. (0-6 points)
- (c) Management plan and organizational capacity. (*Include a proposed timeline for implementation*) (0-6 points)
- (d) Leveraged Resources (0-6 Points) (*Describe resources [e.g. professional development, substitute teachers] to be provided by the applicant and partner school districts.*)

**Competitive Preference Priority (CPP):** NCPFP/TP3 is interested in receiving proposals that indicate they will provide service to principal candidates in areas where NCPFP/TP3 is not currently represented. Preference will also be given for having more than one local educational agency (LEA). While this is not an absolute requirement of this RFP, applicants proposing to serve principal candidates in currently underserved areas OR partnering with more than one LEA will receive a competitive advantage in the rating of their proposal.

- Attachments** (*Attachments are not included in the page count for the narrative. Point values are not assigned to Attachments C-G; however, the reviewers will take into account the information provided in these attachments when rating other sections of the proposal.*)
  - Attachment A: Budget** (*Not included in the 30-page narrative count.*)
    - Use the format in Appendix E of this RFP
  - Attachment B: Goal/Objectives/Activities/Measures Table, and Outcomes/Output Table**
    - Note: Attachment B includes two separate tables.
    - Use the format for these tables found in Appendix F of this RFP
  - Attachment C: Letters of Commitment**
    - School leaders who will oversee the clinical practice of candidates.
    - Established relationship and feedback loop with affiliated local school administrative unit(s)
  - Attachment D: References/Citations to the Literature and/or Research Base**
  - Attachment E: List of Board of Directors** along with addresses and occupations (*If you do not have a Board of Directors, provide Attachment E with a statement to this effect.*)
  - Attachment F: Most recent audit management letter and/or report on internal controls** (*It is not necessary to provide a complete audit of your organization. A summary will suffice.*)
  - Attachment G: Organizational Budget**
    - Budget for the current year (not including funds you are requesting in this application.)
  - Attachment H: List of References**
    - Names and contact information of three references from similar projects
  - Allowable Support Materials** (May not exceed a total of 10 pages for all materials)

#### Checklist for Submission Procedures

- One original signed in blue ink and five copies.
- One electronic copy sent to: [ceprice@northcarolina.edu](mailto:ceprice@northcarolina.edu)
- Sent by mail or delivery service (e.g., FedEx, UPS) to:

**Meredith Riggs-Spangler, Annex Building,  
UNC Chapel Hill  
NC Principal Fellows Program c/o Dr. Eddie Price  
910 Raleigh Road,  
Chapel Hill, NC 27514**

- Proposal received at the above address by 5p.m. on November 1, 2019.

## APPENDIX B

### Resources and Selected Bibliography

#### Resources

NC Session Law 2019-60, Senate Bill 227, Transforming Principal Preparation, Section 1.(a)  
<https://www.ncleg.gov/enactedlegislation/sessionlaws/pdf/2019-2020/sl2019-60.pdf>.

NC Grants (*see the “Regulations” page for NC’s General Statutes and Administrative Code pertaining to this grant*)

<https://www.osbm.nc.gov/management/grants>

Office of Management and Budget (OMB) Circular A-87

[https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A87/a87\\_2004.pdf](https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A87/a87_2004.pdf)

#### Selected Bibliography

Darling-Hammond, L., LaPointe, M., Meyerson, D., Orr, M. T., & Cohen, C. (2007). *Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs*. Stanford, CA: Stanford University, Stanford Educational Leadership Institute. Available: <http://www.wallacefoundation.org/knowledge-center/school-leadership/key-research/Documents/Preparing-School-Leaders.pdf>

Liu, K., Springer, J., Stuit, D., Lindsay, J., & Wan, Y. (2014). *The utility of teacher and student surveys in principal evaluations: An empirical investigation*. (REL 2015-047). Washington, DC: U.S. Department of Education, Institute of Education Sciences, National Center for Education Evaluation and Regional Assistance, Regional Educational Laboratory Midwest. Available: <http://ies.ed.gov/ncee/edlabs>

McCullough, M., Lipscomb, S., Chiang, H., Gill, B. & Cheban, I. (2016). *Stated Briefly: Measuring school leaders’ effectiveness: Findings from a multiyear pilot of Pennsylvania’s Framework for Leadership* (REL 2016-111). Washington, DC: U.S. Department of Education, Institute of Education Sciences, National Center for Education Evaluation and Regional Assistance, Regional Educational Laboratory Mid-Atlantic. Available: <http://ies.ed.gov/ncee/edlabs>

National Policy Board for Educational Administration (2015). *Professional Standards for Educational Leaders 2015*. Reston, VA: Author. Available: [http://npbea.org/wp-content/uploads/2017/06/Professional-Standards-for-Educational-Leaders\\_2015.pdf](http://npbea.org/wp-content/uploads/2017/06/Professional-Standards-for-Educational-Leaders_2015.pdf)

Osborne-Lampkin, L., Folsom, J. S., and Herrington, C. D. (2015). *A systematic review of the relationships between principal characteristics and student achievement* (REL 2016-091). Washington, DC: U.S. Department of Education, Institute of Education Sciences, National Center for Education Evaluation and Regional Assistance, Regional Educational Laboratory Southeast. Available: <http://ies.ed.gov/ncee/edlabs>

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## APPENDIX C

### Definitions of Terms

The following definitions are established in NC Session Law 2019-60, Section 1.(l). See:

<https://www.ncleg.gov/enactedlegislation/sessionlaws/pdf/2019-2020/sl2019-60.pdf>.

- 1) Authority or SEAA. – The State Education Assistance Authority as created in G.S. 116-203.
- 2) Commission. – The North Carolina Principal Fellows and TP3 Commission.
- 3) Eligible entity. – A for-profit or nonprofit organization or an institution of higher education that has an evidence-based plan for preparing school leaders who implement school leadership practices linked to increased student achievement.
- 4) High-need local school administrative unit. – A local school administrative unit with the majority of its schools deemed to be high-need schools as defined in subdivision (5) of this subsection.
- 5) High-need school. – A public school that meets one or more of the following criteria:
  - a. Is a school identified under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended.
  - b. Is a persistently low-achieving school, as identified by the Department of Public Instruction for purposes of federal accountability.
  - c. A middle school containing any of grades five through eight that feeds into a high school with less than a seventy-five percent (75%) four-year cohort graduation rate.
  - d. A high school with less than a seventy-five percent (75%) four-year cohort graduation rate.
- 6) North Carolina Transforming Principal Preparation Program. – The North Carolina Transforming Principal Preparation Program established pursuant to G.S. 116-74.44.
- 7) Principal. – The highest administrative official in a public school building with primary responsibility for the instructional leadership, talent management, and organizational development of the school.
- 8) Principal Fellows Program. – The Principal Fellows Program established pursuant to G.S. 116-74.42.
- 9) Program. – The North Carolina Principal Fellows and Transforming Principal Preparation Program, which shall include the Principal Fellows Program and the North Carolina Transforming Principal Preparation Program.
- 10) Public school. – An elementary or secondary school located in North Carolina that is operated by a local board of education, charter school board of directors, regional school board of directors, chancellor for a University of North Carolina laboratory school, an innovative school operator, or the United States government.
- 11) School leader. – An individual employed in a school leadership role, including principal or assistant principal roles.
- 12) Student achievement. – At the whole school level, after three years of leading a school, consistent and methodologically sound measures of:
  - a. Student academic achievement.
  - b. Aggregated individual student academic growth.
  - c. Additional outcomes, such as high school graduation rates, the percentage of students taking advanced-level coursework, or the percentage of students who obtain a career-related credential through a national business certification exam.
- 13) Trust Fund. – The North Carolina Principal Fellows and TP3 Trust Fund established pursuant to G.S. 116-74.41B.

**Appendix D Proposal Cover****Page****(Print or duplicate and complete this form and include it in your application package.)**

Project Title: \_\_\_\_\_

**Section 1. Applicant Information**

Organization: \_\_\_\_\_ Tax ID/EIN: \_\_\_\_\_

Website: \_\_\_\_\_ Fax: \_\_\_\_\_

Mailing Address: \_\_\_\_\_ City/State/Zip: \_\_\_\_\_

Principal Location of Business: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ County: \_\_\_\_\_

Contact Name and Position: \_\_\_\_\_

Phone: \_\_\_\_\_ Email: \_\_\_\_\_

**Section 2. Project Information**

Project Director Name and Position (if different from contact): \_\_\_\_\_

Phone: \_\_\_\_\_ Email: \_\_\_\_\_

Total Project Budget: \_\_\_\_\_ Requested Grant Amount: \_\_\_\_\_

Proposed Number of Schools Served: \_\_\_\_\_ Estimated Total Number Served: \_\_\_\_\_

By signing below, I assure NCPFP/TP3 that I am an official of the organization and authorized to bind the organization. I certify the following (*check each box so as to indicate your review and certification*):

- The information provided in this proposal is correct and complete.
- The applicant understands that this proposal and all attachments submitted are public records.
- The applicant understands that if awarded a grant, it will be required to:
  - Participate in all evaluation activities, including collection, recording, and reporting of data, as required by NCPFP/TP3, SEAA, or third-party evaluators, in compliance with relevant privacy laws.
  - Participate in NCPFP/TP3 capacity building and Professional Learning Network activities.
  - Submit required financial and performance reports to NCPFP/TP3.
  - Develop budgets that hold potential participants harmless, meaning that the applicants will allocate funds to ensure that a participant is not charged for books, tuition, fees, etc. AND will receive a salary equivalent to what he or she was earning in his or her current position during their NCPFP/TP3 internship.
  - Comply with the North Carolina General Statutes, the North Carolina Administrative Code, and any other rules or regulations that may govern the performance and oversight of this program.
  - Begin serving participants before or by September 1, 2020.
  - Provide a full-time clinical internship of at least five months' duration. Ten months of clinical practice is recommended.

Signature and date: (in blue ink) \_\_\_\_\_

Title: \_\_\_\_\_ Phone: \_\_\_\_\_

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**APPENDIX E**  
**Budget Template**

**Costs must supplement and not supplant existing operations.**

*(The budget and description of line item expenses will be rated by the NCPFP/TP3 reviewers. This form may be reproduced in Excel or pasted into a Word document. Include it as **Attachment A** in your proposal package.) (The request for funding must not exceed \$1,000,000 in either year.)*

<b>Column A</b>	<b>Column B</b>	<b>Column C</b>	<b>Column D</b>
	<b>Year 1</b> 7/2020 - 6/2021	<b>Year 2</b> 7/2021 - 6/2022	<b>2-Year Total</b>
<b>Budget Justification</b> (Provide sufficient detail in this column such that the reviewers can derive how budgetary expenses in Columns B, C and D were derived.)			
<b>Personnel</b> (Any costs for which the NCPFP/TP3 Provider agency will be obligated to pay one or more fringe benefits such as salaried and hourly positions, stipends, and/or substitute/release pay.) (Add more rows to this category if needed to distinguish separate cost items.)	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
<b>SUBTOTAL</b>	\$	\$	\$
<b>Fringe Benefits</b> (Examples include FICA, Retirement, Medical, Workman's Compensation, etc.) (Add more rows to this category if needed to distinguish separate cost items.)			
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
<b>SUBTOTAL</b>	\$	\$	\$
<b>Travel</b> (Examples include vehicle mileage, airfare for national travel, lodging, per diem, ground transportation, conference registration.) (Add more rows to this category if needed to distinguish separate cost items. Include travel for required NCPFP/TP3 meetings.)			
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
<b>SUBTOTAL</b>	\$	\$	\$

**Equipment:** Items having a unit cost of \$5,000 or greater OR items meeting the applicant's definition of "equipment", whichever is the lesser. Add more rows to this category if needed to distinguish separate cost items.

	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
<b>SUBTOTAL</b>	\$	\$	\$

**Materials/Supplies:** Items costing less than \$5,000 per unit OR which meet the applicant's definition of materials and supplies.

Add more rows to this category if needed to distinguish separate cost items

	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
<b>SUBTOTAL</b>	\$	\$	\$

**Contractual:** Individual consultants, professional services, and the like for which the applicant does not pay any fringe benefits.

Add more rows to this category if needed to distinguish separate cost items.

	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
<b>SUBTOTAL</b>	\$	\$	\$

**Other Expenses:** Expenses (such as tuition) which do not readily fit into any of the previous categories. Grantees will be required to develop budgets that hold potential participants harmless, meaning that the applicants will allocate funds to ensure that a participant is not charged for books, tuition, fees, etc. AND will receive a salary equivalent to what he or she was earning in his or her current position during their NCPFP/TP3 internship.

<b>Budgeted amount for participants' salaries</b>	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
<b>SUBTOTAL</b>	\$	\$	\$

<i>Subtotal of all direct costs indicated in categories above.</i>			
--	--	--	--

<i>Subtotal Indirect Costs (If any, limited to 8% of direct costs or per the applicant's definition of Indirect Costs, whichever is the lesser amount).</i>			
---	--	--	--

<b>TOTAL OF DIRECT AND INDIRECT COSTS</b>			
---	--	--	--

**APPENDIX F**  
**Goal/Objectives/Activities/Measures and Anticipated Outcome/Output Table Templates**  
*(This form may be reproduced.)*

Complete both the Goal/Objectives/Activities/Measures table found on this page 21, **AND** the Anticipated Outcomes/Outputs table found on page 22. Include both Tables as **Attachment B** in your proposal.

Utilizing a research-based content and curriculum, including embedded participant assessments to evaluate candidates before program completion, your organization will prepare candidates to do the following:

**Goal/Objectives/Activities/Measures Table (Include with Attachment B)**

<b>Goal:</b> (Identify a single goal for your project and provide that goal statement here.)		
<b>Objectives - To prepare candidates to do the following:</b>	<b>Described Proposed Activities associated with this objective</b>	<b>Describe proposed measures of success associated with this objective</b>
Provide instructional leadership, such as developing teachers' instructional practices and analyzing classroom and school-wide data to support teachers.		
Manage talent, such as developing a high-performing team.		
Build a positive school culture, such as building a strong school culture focused on high academic achievement for all students, including gifted and talented students, students with disabilities, and English learners, maintaining active engagement with family and community members, and ensuring student safety.		
Develop organizational practices, such as aligning staff, budget, and time to the instructional priorities of the school.		

**APPENDIX F (continued)**  
*(This form may be reproduced.)*

**Anticipated Outcomes/Output Table (Include with Attachment B)**

		Year 1: 2020-21	Year 2: 2021-22	Total for all Years
1	Number enrolled (unduplicated count)	Year 1:	Year 2:	Total:
2	Number who complete all required coursework	Year 1:	Year 2:	Total:
3	Number who complete a clinical practice of at least 5 months and 750 hours. Ten months of clinical practice is recommended.	Year 1:	Year 2:	Total:
4	Number of completers placed as school leaders (principal or assistant principal) in any school within three (3) years (by start of 2022-2023 school year).	Year 1:	Year 2:	Total:
5	Number of completers who are rated proficient or above on the North Carolina School Executive Evaluation Rubric	Year 1:	Year 2:	Total:
6	Number of completers placed as school leaders in <b>eligible schools</b> (see definition in Appendix C) within three (3) years (by start of 2022-2023 year).	Year 1:	Year 2:	Total:
7	Number of completers placed in <b>eligible schools</b> that then show improvement in student achievement within 2 years of principal placement.	Year 1:	Year 2:	Total:

Please provide an estimated “cost per completer” (Row 4 in Outcomes/Output Table above) for Years 1 and 2, by dividing your budget request for each year by the number of completers you anticipate placing at a school as a school leader.

Year 1 (2020-21) Calculated Cost Per Participant: \$ \_\_\_\_\_

Year 2 (2021-22) Calculated Cost Per Participant: \$ \_\_\_\_\_

**APPENDIX G**  
**Model Letters of Commitment**

*(This model is provided as guidance for information needed in Attachment C: Letters of Commitment. Applicants may use this model or compose their own letters.)*

**MODEL LETTER FROM SCHOOL LEADERS**  
**WHO WILL OVERSEE CLINICAL PRACTICE**

School Letterhead

Addressed to NCPFP/TP3 or to point of contact within your

organization Dear:

**RE: Commitment to Oversee Clinical Practice**

I am pleased to commit to partner with [Name of your organization] to support principal preparation by providing clinical practice oversight of participants in your program. This project will prepare transformational school leaders and address a critical shortage in our preparation pipeline. [Information could be added providing qualifications for providing this clinical oversight.]

If the proposed project is funded, I agree to:

- Oversee the clinical practice of participants in a minimum of five months and 750 hours, full-time authentic setting. Ten months of clinical practice is recommended.
- Allow your staff as well as project evaluators access to schools to observe participants at their clinical practice sites.
- Use the North Carolina Executive Evaluation Rubric to evaluate the participants.
- Provide ongoing feedback for program improvement.
- Cooperate fully in the third-party evaluation of the Principal Preparation Program including providing requested student data and allowing participants, principals supervising clinical practice and others to be surveyed and interviewed.

I am committed to achieving North Carolina's goals for preparing transformative school leaders who will increase student achievement. The proposed grant program offers much needed support for developing this next generation of leaders.

Sincerely,

[Printed Name]

Title

School or Organization

**MODEL LETTER FROM PARTNERING DISTRICTS**

School District Letterhead

Addressed to NCPFP/TP3 or to the point of contact in your

organization Dear:

**RE: Commitment to Participate in Principal Preparation Program**

[Name of LEA] is pleased to commit to partner with [Name of your organization] to support principal preparation in our LEA. This project will assist our district in preparing transformational school leaders and address a critical shortage in our preparation pipeline.

[Information could be added explaining the district's history of partnerships with your or other organizations and highlighting a demonstrated record of preparing school leaders who implement school leadership practices linked to increased student achievement. This paragraph could be ended with a statement explaining how the preparation of new school leaders is a critical need in the LEA and/or highlighting local needs and the number of eligible schools in the district.]

If the proposed project is funded, I commit our LEA to:

- Assist with the selection of qualified candidates for the principal preparation program.
- Support full time clinical practice of at least five months and 750 hours selected participants in our schools, allowing substantial leadership responsibilities under the direction of local principals. Ten months of clinical practice is recommended.
- Allow your staff as well as project evaluators access to schools to observe participants at their clinical practice sites.
- Use the North Carolina Executive Evaluation Rubric to evaluate the participants.
- Consider qualified program graduates for placement as school leaders in eligible schools.
- Provide ongoing feedback for program improvement.
- Cooperate fully in the third-party evaluation of the Principal Preparation Program including providing requested student data and allowing participants, principals supervising clinical practice and others to be surveyed and interviewed.

[A concluding paragraph could be added emphasizing that the LEA is committed to achieving North Carolina's goals for preparing transformative school leaders who will increase student achievement. The proposed grant program offers much needed support for developing this next generation of leaders. We look forward to this partnership.]

Sincerely,

[Printed name, Superintendent]

[This letter should be signed by the superintendent.]

## **APPENDIX H**

### **Proposal Package Contents**

The proposal package should be composed of the following documents in the order below. The original and copies should be stapled or clipped. The electronic copy should be submitted via email and composed of all documents in one PDF file.

- I. Cover Page
- II. Abstract
- III. Table of Contents
- IV. Proposal Narrative (limited to maximum of 30 pages)
- V. Attachments
  - a. Attachment A: Budget
  - b. Attachment B: Goal and Outcome/Output Tables
  - c. Attachment C: Letters of Commitment
  - d. Attachment D: References/Citations to the Research Literature
  - e. Attachment E: List of Board Members
  - f. Attachment F: Most recent management letter
  - g. Attachment G: Organizational budget
  - h. Attachment H: List of References
- VI. Allowable Supplementary Materials