

Appendix C: Data Collection Instrument Instructions

U.S. Department of Education, Office of Innovation and Improvement
School Leadership Program (SLP) Annual Performance Report Form, OMB # XXX, exp. x/x
Instructions

Introduction

The School Leadership Program (SLP) provides competitive grants to assist high-need local educational agencies (LEAs) with recruiting, training, and retaining principals and assistant principals. A high-need LEA is defined as one that: (1) serves at least 10,000 children from low-income families or serves a community in which at least 20 percent of children are from low-income families and (2) has a high percentage of teachers teaching either outside of their certification or with emergency, provisional, or temporary certification.

The *Education Department General Administrative Regulations* (EDGAR), 34 CFR 75.253, require each funded project to submit an annual performance report on its progress toward meeting the approved objectives of the project. In 1993, the *Government Performance Results Act (GPRA)* was passed; it requires federally funded agencies to develop and implement an accountability system based on performance measurement. The objectives and associated *GPRA* measures established for the SLP are listed below:

- Objective 1. To recruit, prepare, and support individuals from education or other fields to become principals or assistant principals of schools in high-need local educational agencies (LEAs).
 - **Performance Measure 1.1 of 4:** The percentage of School Leadership Program participants seeking certification who meet certification requirements to become a principal or assistant principal.
 - **Performance Measure 1.2 of 4:** The percentage of School Leadership Program participants certified through the funded project who are hired as an assistant principal of a school in a high-need LEA.
 - **Performance Measure 1.3 of 4:** The percentage of School Leadership Program participants certified through the funded project who are hired as a principal of a school in a high-need LEA.
 - **Performance Measure 1.4 of 4:** The percentage of School Leadership Program participants who are hired as a principal or assistant principal of a school in a high-need LEA and who remain in that position for at least 2 years.
- Objective 2. To train and support principals and assistant principals from schools in high-need local educational agencies (LEAs) in order to improve their skills and increase retention.
 - **Performance Measure 2.1 of 2:** The percentage of principals and assistant principals from schools in high-need LEAs who participated in the School Leadership Program-funded professional development activities who showed an increase in their pre-post scores on a standardized measure of principal skills.
 - **Performance Measure 2.2 of 2:** The percentage of principals and assistant principals from schools in high-need LEAs who participated in the School Leadership Program-funded professional development activities who remained in their administrative position for at least 2 years.

Grantees are required to report on their progress toward meeting the performance measures established for each U.S. Department of Education (ED) grant program and for any project specific performance measures that were included in their approved application. The annual performance report (APR) is the tool designated by ED for reporting grantee performance. The SLP APR includes the following:

- Cover Sheet
- Executive Summary
- Project Narrative
 - Section A: Project Information
 - Section B: *GPRA* Measures
 - Section C: Project Measures

- Budget Information
 - Section A: Budget Summary
 - Section B: Budget Narrative
- Additional Information

For Annual Performance Reports: This report contains target and actual performance data that are specific to each budget period (October 1 to September 30). Annual Performance Reports are due on June 30th of each year. Because the due date is before the end of the budget period, it is expected that the report may be incomplete (i.e., data for the remainder of the budget period will be missing).

For Update Performance Report: This report contains complete target and actual performance data that are specific to each budget period (October 1 to September 30). Update Performance Reports are due on October 15th of each year and should contain data for the entire budget period.

For Final Performance Reports: The due date is 90 days following the end of the final budget period. Complete data on performance measures for the final budget period must be submitted with the final performance report.

If you have any questions about how to complete this form, contact: Beatriz Ceja, (202) 205-5009

Instructions for Cover Sheet

Complete the Cover Sheet with the appropriate information. Instructions for items 1, 3, and 4 are included on the Cover Sheet. Instructions for items 2 and 5 and items 6 through 12 are included in this instruction sheet.

2. Grantee NCES ID Number

Annual, Update, and Final Performance Reports: Please enter the current National Center for Education Statistics (NCES) ID number of the grantee. Grantees that are State Educational Agencies (SEAs) should enter their state's FIPS (Federal Information Processing Standards) code in item 2. Item 2 applies only to grantees that are Institutions of Higher Education (IHE); SEAs; Local Educational Agencies (LEAs); public libraries; and public, charter, and private elementary or secondary schools. Leave blank, if this item is not applicable.

Please go to the applicable website listed below to obtain the grantee's NCES ID number or FIPS code. Depending on your organization type, this number will range from 2 to 12 numeric digits.

- IHEs (IPEDS ID); Public Libraries (Library ID); and Public, Charter, and Private Schools (NCES School ID): <http://nces.ed.gov/globallocator>
- LEAs (NCES District ID): <http://nces.ed.gov/ccd/districtsearch/>
- SEAs (FIPS code): To obtain your state's FIPS code, please search on any public school district in your state at: <http://nces.ed.gov/ccd/districtsearch/>. The FIPS code is the first two digits of the NCES District ID number for any public school district in a state.

Note: Newly established organizations that do not have an NCES ID number yet should leave item 2 blank. However, once the organization's NCES ID number has been established, it must be entered on all future submissions of the SLP APR.

5. Grantee Address

Instructions for Submitting Address Changes

Annual, Update, and Final Performance Reports: If the address that is listed in Block 1 of your grant award notification (GAN) has changed, include the new address in the Additional Information part of the SLP APR or submit the change through e-Administration (annual performance reports only), the administrative action function of e-Grants.

6. Project Director

Annual, Update, and Final Performance Reports: Please enter the name, title, phone number, fax number, and email address of your approved Project Director listed in Block 3 of your GAN. Please note, however, that changing the approved Project Director requires prior approval from ED and may only be requested for a grant whose performance period has not ended. See instructions under Additional Information for requesting a change to the Project Director with the SLP APR. You may also submit a request for a change in your Project Director through e-Administration.

7. Reporting Period Information

Annual and Update Performance Reports: Annual Performance Reports are due June 30th of each year and Updated Performance Reports (i.e., containing complete data on performance measures for the current budget period) are due October 15th of each year. An annual performance period is October 1st to September 30th.

Final Performance Reports: Final performance reports are due 90 days after the expiration of the grant's project period. If you receive a no-cost time extension from ED for this grant, the final performance report is due 90 days after the revised project period end date. Program offices may also request an annual performance report that covers the original final budget period from grantees that receive no-cost time extensions.

Please enter the start and end dates for the final budget period of your grant from Block 6 of the GAN. The reporting period for your final performance report covers the budget period of the project for the final year. The information in the Executive Summary and Additional Information covers the entire project period (performance period) of the project.

8. Budget Expenditures [Also see Budget Information]

The budget expenditure information requested in items 8a. – 8c. must be completed by your Business Office.

For the purposes of this report, the term budget expenditures means allowable grant obligations incurred during the periods specified below. (See EDGAR, 34 CFR 74.2; 75.703; 75.707; and 80.3, as applicable.) For budget expenditures made with Federal grant funds, you must provide an explanation in Budget Information if you have not drawn down funds from ED's G5 System to pay for these budget expenditures.

Non-Federal Funds (Match/Cost Share/In-Kind Contribution): If you are required to provide non-Federal funds or resources for this grant because the funding program has a statutory (legislative) matching or cost sharing requirement or you voluntarily committed to providing non-Federal funds or resources in your approved grant application (i.e., in-kind contribution), you must complete the "Non-Federal Funds (Match/Cost Share)" column in items 8a. – 8c., as applicable. (You are encouraged to review the following information regarding allowable cost sharing/matching contributions: the funding program's statute and regulations (if any); ED's general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments; and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB's website at: <http://www.whitehouse.gov/omb/circulars/index.html>.)

Annual and Update Performance Reports:

- Report your actual budget expenditures for the **entire previous budget period** in item 8a. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share/in-kind) expended for the project during the entire previous budget period.
- If you are reporting on the first budget period of the project, leave item 8a. blank.
- Report your actual budget expenditures for the **current budget period to date** (i.e., through 30 days before the due date of this report) in item 8b. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share/in-kind) expended for the project during the current budget period to date.

Final Performance Reports:

- Report your actual budget expenditures for the **entire previous budget period** in item 8a. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share) expended for the project during the entire previous budget period.
- Report your actual budget expenditures for the **entire final budget period** in item 8b. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share) expended for the project during the entire final budget period.
- Report your actual budget expenditures for the **entire project period (performance period)** in item 8c. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share) expended for the project during the entire project period. Your project period (performance period) start and end dates are found in Block 6 of the GAN.

9. Indirect Cost Information

The indirect cost information requested in Items 9a. – 9d. must be completed by your Business Office.

Annual, Update, and Final Performance Reports:

- Item 9a.—Please check "yes" or "no" in item 9a. to indicate whether you are claiming indirect costs under this grant.
- Item 9b.—If you checked "yes" in item 9a., please indicate in item 9b. whether your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.
- Item 9c.—If you checked "yes" in item 9b., please indicate in item 9c. the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, please indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," please specify the name of the Federal agency that issued the approved agreement. *For final performance reports only*, check the appropriate box to indicate the type of indirect cost rate that you have—Provisional, Final, or Other. If you check "Other," please specify the type of indirect cost rate.

- Item 9d.—For grants under Restricted Rate Programs (EDGAR, 34 CFR 75.563), please indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in EDGAR, 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

10. Human Subjects (Annual Institutional Review Board (IRB) Certification)

Annual and Update Performance Reports: Annual IRB certification is required if Attachment HS1, Continuing IRB Reviews, was attached to the GAN. Check "yes" if annual IRB certification is required and attached to the SLP APR as instructed in Attachment HS1. Check "no" if annual IRB Certification is required by Attachment HS1, but is not attached to the SLP APR. Please indicate the reason why the IRB certification is not attached (e.g., the research has been completed) under Additional Information. Check "N/A" if annual IRB certification does not apply to your grant (i.e., no human subjects research is being conducted under this grant or Attachment HSI was not attached to the GAN.)

11. Performance Measures Status and Certification

Annual Performance Report and Update: Please check "yes" or "no" in item 11a. to indicate whether *complete* data (i.e., all of the data that you anticipate will be collected) on performance measures for the current budget period are included in the Project Narrative of this report. If no, please indicate in item 11b. the date when the information will be available and submitted to ED. Complete data must be submitted for any performance measures established by ED for the grant program and for any project-specific performance measures that were included in your approved application.

If *complete* data on performance measures for the entire current budget period have not been obtained when you submit the Updated Performance Report, please submit *available* data for the budget period to date with this report. *Complete performance measures data for the current budget period should be submitted by the date you indicated in item 11b.*

Final Performance Reports: You must check "yes" in item 11a. Complete data on performance measures for the final budget period *must* be submitted with the final performance report in Section A of the Project Status Chart. Leave item 11b. blank. Complete data *must* be submitted for any performance measures established by ED for the grant program and for any project-specific performance measures that were included in your approved grant application.

12. Certification

Annual and Final Performance Reports: The grantee's authorized representative must sign the certification for the SLP APR. If the grantee has any known internal control weaknesses concerning data quality (as disclosed through audits or other reviews), this information must be disclosed under Additional Information as well as the remedies taken to ensure the accuracy, reliability, and completeness of the data.

Instructions for Executive Summary

Annual, Update, and Final Performance Reports:

Provide a one- to two-page Executive Summary for *annual performance reports* and a two- to three-page Executive Summary for *final performance reports*. The Executive Summary in the *updated annual performance report* should include any additional information not included in the previously submitted report. Please provide a summary of the following (Note: focus on the current budget period for Annual and Updated Performance Reports and the entire project period for Final Performance Reports):

- How the project was implemented, including 1) how project activities related to recruitment, selection, preparation, support, and retention, as applicable, occurred, 2) how, if at all, these project activities differ from what was originally proposed, 3) what challenges or barriers related to these activities the project encountered and how, if at all, it overcame these challenges or barriers, and 4) any successful strategies the project used in carrying out its activities;
- What progress the project has made on *GPRA* and project performance measures, what steps it has taken or will take if progress was not made, and how it used *GPRA* and project results to bring about improvements in project implementation and outcomes; and
- How the project contributed to research, knowledge, practice, and/or policy.

Instructions for Project Narrative

Data in the Project Narrative should be reported on project activities conducted during the current project year (October 1 – September 30).

Section A. Project Information

1. Please indicate the project year on which you are reporting. Enter an X in the box next to the project year on which you are reporting.

2. Please provide the following information on the participants who were NEW to your project this year.

- For 2a, enter the total number of NEW project participants. Enter the number of participants who started the project in the reporting year and who finished project activities for that year (i.e., did not drop out).
- For 2b, enter the number of NEW project participants who belong to each of the racial/ethnic groups listed. The numbers entered should add up to the number reported in 2a.
- For 2c, enter the number of NEW project participants by their occupation at the start of the project. Other school or district staff should include any person who works for a school or district but is not a principal, assistant principal, or teacher. Other positions within the field of education should include anyone who works in the field of education but not in a PK-12 school or district. Positions outside of the field of education include all other occupations outside of those within the field of education. The numbers entered should add up to the number reported in 2a.

3. Did any participants drop out of your project this year? Enter an X next to **Yes** if any participant (new or continuing) dropped out of your project this year. Enter an X next to **No** if no participants dropped out of your project this year. If you marked **Yes**, please indicate the total number of participants who dropped out this year in 3a AND provide an explanation for why these participants dropped out in 3b.

Section B. *GPRA* Measures

Objective 1: To recruit, prepare, and support individuals from education or other fields to become principals or assistant principals of schools in high-need local educational agencies (LEAs).

1. Does your project recruit and prepare individuals to become certified as assistant principals or principals? Enter an X next to **Yes** if your project recruits and prepares individuals who are not currently certified as principals or assistant principals to become principals or assistant principals. **If recruiting and preparing individuals to become principals or assistant principals is an objective of your project, you MUST report on the four *GPRA* measures associated with Objective 1 (i.e., Performance Measures 1.1, 1.2, 1.3, and 1.4).** If your project also recruits individuals who have State certification that allows them to serve as principals or assistant principals, but are not serving in that capacity please report on those individuals in the Explanation of Progress section and not in the *GPRA* measures.

Enter an X next to **No** if your project is not recruiting and preparing individuals to become principals or assistant principals. In most cases, these projects would instead be working to improve the skills of already practicing principals and/or assistant principals. **If recruiting and preparing individuals to become principals or assistant principals is not an objective of your project, do NOT report on the *GPRA* measures associated with Objective 1 as they are not applicable to your project. Proceed to Objective 2, Question 1.**

2. Performance Measure 1.1: The percentage of School Leadership Program participants seeking certification who meet certification requirements to become a principal or assistant principal. Data for this performance measure are to be entered in the provided table annually and reported by the year in which participants started the project. For example, ALL participants who started the project in year 1 will be reported as a group annually. If no participants started the project during a given year, enter N/A (i.e., if no participants started the project in year 2, you would always enter N/A for Group 2 in Columns A, B, and C). For each participant group, data should be entered as follows:

- **COLUMN A:** Enter the number of participants by group who are seeking certification to become an assistant principal or a principal in the current reporting year. The number for a group will change as participants meet certification requirements. For example, participants who meet certification requirements in year 1 will not be counted in the number seeking certification in years 2-5. Also, participants who drop out should not be included in the total number seeking certification but should be reported in Explanation of Progress section.
- **COLUMN B:** Enter the number of participants from Column A by group who MET certification requirements to become an assistant principal or principal through the SLP funded project in the current reporting year. Do not include participants from that group who received certification in previous reporting years.
- **COLUMN C:** For each group, divide Column B by Column A and multiply by 100 to obtain the actual performance for this year. Enter the percentage into Column C. Please round up or down to the nearest whole number.

EXAMPLE. The table below provides an example of a grantee reporting on year 2 of a grant. A project designed to recruit and prepare principals had 10 participants who started the project in year 1 (group 1) and 5 participants who started the project in year 2 (group 2). Of the 10 participants in group 1, 4 met certification requirements in year 1 of the grant, leaving 6 participants still seeking certification in year 2. In year 2, 5 of the remaining 6 participants from group 1 met certification requirements. Of the 5 participants in group 2 seeking certification, only 1 met the requirements in year 2.

- **Column A:** In group 1, 6 of the original 10 participants who started the previous year were still seeking certification in year 2. In group 2, 5 participants were seeking certification in year 2. These totals are listed in Column A.
- **Column B:** In group 1, 5 participants met certification requirements in year 2. In group 2, 1 participant met certification requirements during that year. These totals are reported in Column B.
- **Column C:** For each group, the percentage is calculated by dividing Column B by Column A and multiplying by 100.

In the Explanation of Progress section, the grantee provided more explanation on the number of participants still seeking certification (e.g., dropouts) as well as the numbers who met certification (e.g., when the other participants are expected to meet certification requirements).

Group	COLUMN A Enter the # of SLP participants seeking certification to become an assistant principal or principal	COLUMN B Enter the # of SLP participants who met certification requirements for assistant principals or principals	COLUMN C Divide Column B by Column A, multiply by 100, and enter the percentage
Group 1: All participants who started the project in year 1	6	5	83%
Group 2: All participants who started the project in year 2	5	1	20%
Group 3: All participants who started the project in year 3			
Group 4: All participants who started the project in year 4			
Group 5: Participants who started the project in year 5			

3. Performance Measure 1.2: The percentage of School Leadership Program participants certified through the funded project who are hired as an assistant principal of a school in a high-need LEA. If your project recruits and prepares only principals, enter N/A in Columns A, B, and C. Data for this performance measure are to be entered in the provided table annually and reported by the year in which participants started the project. For example, ALL participants who started the project in year 1 will be reported as part of group 1 annually. If no participants started the project during a given year, enter N/A (i.e., if no participants started the project in year 2, you would always enter N/A for Group 2 in Columns A, B, and C). For each participant group, data should be entered as follows:

- **COLUMN A:** Enter the number of participants by group who have been certified through the project to become an assistant principal or principal, but who were not hired prior to the start of the current reporting year (i.e., October 1). The number for a group will change as participants are hired. For example, a group 1 participant hired in year 1 should not be counted in Column A in years 2-5 of the grant.
- **COLUMN B:** Enter the number of certified participants from each group who were hired as an assistant principal of a school in a high-need LEA **during the current reporting year only**. If the participant was hired as an assistant principal of a school not located in a high-need LEA, do not count him or her in Column B and describe that situation in the Explanation of Progress.
- **COLUMN C:** For each group, divide Column B by Column A and multiply by 100 to obtain the actual performance for this year. Enter the percentage into Column C. Please round up or down to the nearest whole number.

If the project recruited individuals who already had certification but were not working in that capacity and after completing your program were hired as assistant principals you should discuss that in the Explanation of Progress section.

EXAMPLE. In this example, the grantee is reporting on year 3 of the grant. A project designed to recruit and prepare assistant principals and principals had 10 participants who started the project in year 1 (group 1), 5 participants who started the project in year 2 (group 2), and 30 participants who started the project in year 3 (group 3). In group 1, a total of 8 participants were hired in previous reporting years (5 in year 1 and 3 in year 2). In group 2, 2 participants were hired by schools in high-need LEAs in year 2.

- **Column A:** As of the beginning of year 3, 2 participants from group 1 and 3 participants from group 2 were certified but not yet hired. Of the 30 participants in group 3, none had met certification requirements by the beginning of year 3 so “0” is reported in Column A.
- **Column B:** In group 1, neither of the 2 remaining participants were hired as assistant principals in high-need LEAs in year 3. Of the 3 participants from group 2, 1 was hired as an assistant principal in a high-need LEA. Group 3 is N/A because none of the participants met certification requirements. Therefore in Column B, group 1 reported 0 participants hired, group 2 reported 1 participant hired, and group 3 reported N/A.
- **Column C:** For each group, divide Column B by Column A and multiply by 100 to obtain the percentage.

In the Explanation of Progress section, the grantee provided an explanation about the number of participants certified through the project as well as the number of participants who were hired as assistant principals (e.g., any difficulties with assistant principals getting hired, assistant principals hired at schools not located in a high-need LEA).

Group	COLUMN A Enter the # of SLP participants certified through the project to become an assistant principal or principal	COLUMN B Enter the # of SLP participants who have been hired as an assistant principal in a high-need LEA	COLUMN C Divide Column B by Column A, multiply by 100, and enter the percentage
Group 1: All participants who started the project in year 1	2	0	0%
Group 2: All participants who started the project in year 2	3	1	33%
Group 3: All participants who started the project in year 3	0	N/A	N/A
Group 4: All participants who started the project in year 4			
Group 5: Participants who started the project in year 5			

4. Performance Measure 1.3: The percentage of School Leadership Program participants certified through the funded project who are hired as a principal of a school in a high-need LEA. If your project recruits and prepares only assistant principals, enter N/A in Columns A, B, and C. Data for this performance measure are to be entered in the provided table annually and reported by the year in which participants started the project. For example, ALL participants who started the project in year 1 will be reported as a group annually. If no participants started the project during a given year, enter N/A (i.e., if no participants started the project in year 2, you would always enter N/A for Group 2: All participants who started the project in year 2 in Columns A, B, and C). For each participant group, data should be entered as follows:

- **COLUMN A:** Enter the number of participants by group who have been certified through the project to become an assistant principal or principal, but who were not hired prior to the start of the current reporting year (i.e., October 1). The number for a group will change as participants are hired. For example, a group 1 participant hired in year 1 should not be counted in Column A in years 2-5 of the grant.
- **COLUMN B:** Enter the number of certified participants from each group who were hired as a principal of a school in a high-need LEA **during the current reporting year only**. If the participant was hired as a principal of a school not located in a high-need LEA, do not count him or her in Column B and describe that situation in the Explanation of Progress.
- **COLUMN C:** For each group, divide Column B by Column A and multiply by 100 to obtain the actual performance for the current reporting year. Enter the percentage into Column C. Please round up or down to the nearest whole number.

If the project recruited individuals who already had certification but were not working in that capacity and after completing your program were hired as principals you should discuss that in the Explanation of Progress section.

EXAMPLE. In this example, the grantee is reporting on year 3 of the grant. A project designed to recruit and prepare assistant principals and principals had 10 participants who started the project in year 1 (group 1), 5 participants who started the project in year 2 (group 2), and 30 participants who started the project in year 3 (group 3). In group 1, a total of 8 participants were hired in previous reporting years (5 in year 1 and 3 in year 2). In group 2, 2 participants were hired by schools in high-need LEAs in year 2.

- **Column A:** As of the beginning of year 3, 2 participants from group 1 and 3 participants from group 2 were certified but not yet hired. Of the 30 participants in group 3, none had met certification requirements by the beginning of year 3 so “0” is reported in Column A.
- **Column B:** In group 1, 1 participant was hired as a principal in a high-need LEA in reporting year 3. Of the 3 participants from group 2, none were hired as a principal in a high-need LEA. Group 3 is N/A because none of the participants met certification requirements. Therefore in Column B, group 1 reported 1 participant hired, group 2 reported 0 participants hired, and group 3 reported N/A.
- **Column C:** For each group, divide Column B by Column A and multiply by 100 to obtain the percentage.

In the Explanation of Progress section, the grantee provided an explanation about the number of participants certified through the project as well as the number of participants who were hired as principals (e.g., any difficulties with principals getting hired, principals hired at schools not located in a high-need LEA).

Group	COLUMN A Enter the # of SLP participants certified through the project to become an assistant principal or principal	COLUMN B Enter the # of SLP participants who have been hired as a principal in a high-need LEA	COLUMN C Divide Column B by Column A, multiply by 100, and enter the percentage
Group 1: All participants who started the project in year 1	2	1	50%
Group 2: All participants who started the project in year 2	3	0	0%
Group 3: All participants who started the project in year 3	0	N/A	N/A
Group 4: All participants who started the project in year 4			
Group 5: Participants who started the project in year 5			

5. Performance Measure 1.4: The percentage of School Leadership Program participants who are hired as a principal or assistant principal of a school in a high-need LEA and remain in that position for at least 2 years. Data for this performance measure are to be entered in the provided table **STARTING IN YEAR 3**, as this is the first year it is possible for participants to have been in a position for 2 years (i.e., participants who were certified and hired in year 1 would have been in their positions for 2 years by the end of year 3). Each participant should be included in the reporting for this measure only once. For example, a participant hired as an assistant principal in year 2 should be reported in year 4 but not in year 5 or 6 (if no-cost extension). For each participant group, data should be entered as follows:

- **COLUMN A:** Enter the number of participants by group who were certified through the project and who were hired as an assistant principal or principal of a school in a high-need school district at least 2 years ago. The number for a group will change each year as it includes only those participants who were hired as a principal or assistant principal 2 years ago.
- **COLUMN B:** Enter the number of participants from Column A by group who are still employed in the same high-need LEA as an assistant principal or principal. The participant does not need to be at the same school but does need to be working in the same high-need LEA.
- **COLUMN C:** For each group, divide Column B by Column A and multiply by 100 to obtain the actual performance for the current reporting year. Enter the percentage into Column C. Please round up or down to the nearest whole number.

EXAMPLE. In this example, the grantee is reporting on year 5 of the grant. A project designed to recruit and prepare assistant principals and principals had 20 participants who started the project in year 1 (group 1), 20 participants who started the project in year 2 (group 2), and 30 participants who started the project in year 3 (group 3). It takes 2 years for participants to complete the project and meet certification requirements.

- **Column A** shows the number of participants from each group who were certified through the project and hired as assistant principals or principals in a high-need LEA at least 2 years ago. Of the 20 participants in group 1, 15 had been hired as principals or assistant principals 2 years ago. Of the 20 participants in group 2, 10 had been hired as principals or assistant principals 2 years ago. Of the 30 participants in group 3, 0 participants were hired as principals or assistant principals 2 years ago.
- **Column B** shows the number of participants from Column A who are still in an assistant principal or principal position within the same high-need LEA after 2 years. During year 5, 12 participants from group 1 and 9 participants from group 2 remained in a position as assistant principal or principal within the same high-need LEA after 2 years.
- **Column C:** For each group, divide Column B by Column A and multiply by 100 to obtain the percentage.

In the Explanation of Progress section, the grantee provided an explanation about the number of participants hired 2 years ago as well as the number of participants who are still in those positions 2 years later (e.g., explained why some participants were not still in their positions).

Group	COLUMN A Enter the # of SLP participants certified through the project and hired as an assistant principal or principal 2 years ago	COLUMN B Enter the # of SLP participants still in an assistant principal or principal position in the same high-need LEA	COLUMN C Divide Column B by Column A, multiply by 100, and enter the percentage
Group 1: All participants who started the project in year 1	15	12	80%
Group 2: All participants who started the project in year 2	10	9	90%
Group 3: All participants who started the project in year 3	0	NA	NA
Group 4: All participants who started the project in year 4			
Group 5: Participants who started the project in year 5			

Objective 2: To train and support principals and assistant principals from schools in high-need local educational agencies (LEAs) in order to improve their skills and increase retention.

1. Does your project train and support currently practicing principals or assistant principals who did not seek and/or obtain their certification through your project? Enter an X next to **Yes** if your project trains and supports individuals who were practicing as principals or assistant principals prior to participating in your project. If a participant was certified to become a principal or assistant principal through your project, DO NOT include him or her in these measures. **If supporting and training currently practicing principals or assistant principals is an objective of your project, you MUST report on the two GPRA measures associated with Objective 2 (i.e., Performance Measures 2.1 and 2.2).**

Enter an X next to **No** if your project is not training and supporting currently practicing principals or assistant principals. In most cases, these projects would instead be recruiting and preparing individuals to become principals or assistant principals. **If supporting and training currently practicing principals or assistant principals is not an objective of your project, do NOT report on the GPRA measures associated with Objective 2 as they are not applicable to your project. Proceed to Section C: Project Measures.**

2. Performance Measure 2.1: The percentage of principals and assistant principals from schools in high-need LEAs who participated in the School Leadership Program-funded professional development activities who showed an increase in their pre-post scores on a standardized measure of principal skills.

Collecting Data: A standardized instrument should be used to measure changes in principal and/or assistant principal skills and/or behaviors. Instruments should be aligned with the skills and/or behaviors targeted for change by the professional development and must have a version appropriate for the principal and/or assistant principal to complete (i.e., not an instrument designed only for teachers to complete). There are few instruments available for assistant principals; therefore, grantees may use an instrument designed for principals if the skills or behaviors being measured are aligned with the skills or behaviors to be affected by the project. Below is a list of suggested instruments for principals:

- **Principal Instructional Management Rating Scale (PIMRS); Philip Hallinger; 1983.** The purpose of the instrument is to measure the instructional leadership behavior of elementary and secondary school principals. The instrument can be used for school evaluation, staff development, research, and district policy analysis.
- **The Vanderbilt Assessment of Leadership in Education (VAL-ED); Andrew Porter, Joseph Murphy, Ellen Goldring, and Stephen Elliott; 2008.** The purpose of the instrument is to measure the effectiveness of the school leadership behaviors known to influence teacher performance and student learning. The instrument can be used as part of a comprehensive assessment of the effectiveness of a school leader. It can be used annually or more frequently to measure performance growth, guide professional development, and facilitate data-based performance evaluation. For more information see <http://www.vanderbilt.edu/lsi/valed/index.html>.
- **Educational Leadership Assessment (ELA); Accelerated School Administrator Program (ASAP); Council for Educational Change; 2003.** The ELA helps to identify and guide the development of effective principals, assistant principals, and school leaders. It can be used as a principal candidate selection tool as well as a professional development guide. For more information see <http://www.asapela.com/index.php>.

Grantees may select and use other instruments if they are deemed more suitable for their project. If you choose to use an alternate instrument, please submit a copy of the instrument along with a brief summary of the rationale for using the instrument and any evidence available as to the reliability and content validity of the instrument to the School Leadership Program Office for approval prior to administering the instrument to participants. Information about the alternate instrument should include: internal consistency estimates using Cronbach's alpha (for subscales and overall scale); purpose of the instrument; description of what the scores mean; rationale for instrument items (e.g., theory items are based on); and review process (e.g., how items were reviewed for bias and alignment with theory). Grantees administering an alternate instrument should contact program office staff if they have questions about reporting the data.

Administer pre-tests to participants (i.e., assistant principals or principals) before they start any of the professional development activities. Administer post-tests to participants after they complete all professional development activities. **If it takes more than 1 year for a participant to complete or graduate from the project, please pre- and post-test participants before the start and at the end of the professional development activities offered each year.** Alternatively, you may pre-test and post-test during the first project year and then only post-test in the subsequent years until participants complete the professional development.

Analyzing Data: Please use the spreadsheet provided by the School Leadership Program Office to determine which participants made gains from their pre- to their post-test score. Do not enter participant names or Social Security numbers into the spreadsheet. You will be submitting the spreadsheet to the School Leadership Program Office, so data should be entered in a manner that keeps the identity of participants anonymous.

Because projects will be using different instruments, an effect size calculation is being used to detect which participants have made meaningful gains. At the time this document was written, no relevant research literature was located that could be used to inform the size of the effect for determining whether a gain will be considered meaningful. Therefore, pre- and post-test data from grantees who first report on this *GPR*A measure will be used to inform the effect size. The effect size will be calculated based on the standard deviation of the pre-test scores. Although some researchers' calculations use the pooled standard deviation of the gain scores from pre-test and post-test, only the standard deviation from the pre-test will be used because it is more stationary than the post-test, given that the treatment has yet to be administered.

Instructions on how to enter the data are included on the spreadsheet. Once you enter the pre- and post-test mean scores (i.e., the average score across all items on the test) for each participant, the spreadsheet will automatically calculate the effect size, indicate which participants showed gains based on the effect size, tally the number of participants who have pre- and post-test scores, and tally the number of participants who showed gains. These numbers can then be entered into the table for *GPR*A measure 2.1 in the APR.

Reporting Data: Data for this performance measure are to be reported in two ways: 1) by completing the table provided for this *GPR*A measure in the APR and 2) by submitting the spreadsheet electronically that contains participants' pre- and post-data. Data should be entered in the provided table annually and reported by the year in which participants started the project. For example, ALL participants who started the project in year 1 will be reported as a group annually. If no participants started the project during a given year, enter N/A (i.e., if no participants started the project in year 2, you would always enter N/A for Group 2 in Columns A, B, C, and D). Please note that participation in one-time professional development activities should not be counted under this measure. For each participant group, data should be entered as follows:

- **COLUMN A:** Enter the total number of participants by group who completed project activities this year.
- **COLUMN B:** Enter the number of participants by group for whom both pre- and post-test data were collected.
- **COLUMN C:** Enter the number of participants from Column B by group who showed an increase between their pre- and post-test scores as indicated by the provided spreadsheet (see Analyzing Data above).
- **COLUMN D:** Divide Column C by Column B and multiply by 100 to obtain the actual performance for each group. Enter the percentage into Column D. Please round to the nearest whole number.

A description of what constitutes completion of the program, including length of program and expected level of participation, should be included in the Explanation of Progress section.

EXAMPLE. In this example, the grantee is reporting on year 2 of the grant. A project designed to improve the skills of principals had 20 participants who started the project in year 1 (group 1) and 20 participants who started the project in year 2 (group 2). Participants finish the project over the course of 1 year. The grantee is reporting on year 2 of the grant and therefore will be reporting only group 2 participants as group 1 participants finished the project and were reported last year.

- **Column A:** All 20 of the participants in group 2 completed project activities in year 2 (i.e., there were no dropouts).
- **Column B:** For 18 of the 20 participants in group 2, both pre- and post-data were collected.
- **Column C:** In year 2, 16 participants showed an increase in their pre-post scores based on the results obtained using the spreadsheet provided by the SLP Program Office.
- **Column D:** The grantee divided Column C by Column B and multiplied by 100 to obtain the performance measure for year 2.

In the Explanation of Progress section, the grantee discussed the missing data for the two participants, provided more information on the pre- and post-test scores (e.g., average, range, and standard deviation of pre-test and post-test scores), and discussed the scores of those participants not showing an increase in their pre-post scores.

Group	COLUMN A Enter the # who completed project activities	COLUMN B Enter the # of SLP participants with pre- and post-test scores	COLUMN C Enter the # of SLP participants who showed an increase in their pre-post scores	COLUMN D Divide Column C by Column B, multiply by 100, and enter the percentage
Group 1: All participants who started the project in year 1	NA	NA	NA	NA
Group 2: All participants who started the project in year 2	20	18	16	89%
Group 3: All participants who started the project in year 3				
Group 4: All participants who started the project in year 4				
Group 5: Participants who started the project in year 5				

2. Performance Measure 2.2: The percentage of principals and assistant principals from schools in high-need LEAs who participated in the School Leadership Program-funded professional development activities who remained in their administrative position for at least 2 years. Data for this performance measure are to be entered in the provided table **STARTING IN YEAR 3**, as this is the first year it is possible for participants to have completed the project and for 2 years to have passed (i.e., 2 years would have passed for participants who completed the project in year 1). Each participant should be included in the reporting for this measure only once. For example, a participant who completed project activities in year 2 should be reported in year 4 but not in year 5 or 6 (if no-cost extension). If it takes more than 1 year for a participant to complete or graduate from the project, begin reporting on participants 2 years after they have completed the program. A description of what constitutes completion of the program, including length of program and expected level of participation, should be included in the Explanation of Progress section. For each participant group, data should be entered as follows:

- **COLUMN A:** Enter the number of participants by group who completed project activities 2 years ago. The number for a group will change each year as it includes only those participants who completed project activities 2 years ago.
- **COLUMN B:** Enter the number of participants from Column A by group who are still employed in the same high-need LEA as an assistant principal or principal. The participant does not need to be at the same school but does need to be working in the same high-need LEA.
- **COLUMN C:** For each group, divide Column B by Column A and multiply by 100 to obtain the actual performance for this year. Enter the percentage into Column C. Please round up or down to the nearest whole number.

EXAMPLE. In this example, the grantee is reporting on year 3 of the grant. A project designed to improve the skills of currently practicing principals had 15 participants who started the project in year 1 (group 1), 15 participants who started the project in year 2 (group 2), and 15 participants who started the project in year 3 (group 3). Project activities are to be completed in 1 year.

The grantee will be reporting on participants from group 1 because they are the only participants who should have completed the project 2 years ago. Of the 15 participants in group 1, all but 1 completed the project 2 years ago. One participant completed the project in year 2, and therefore will be reported in year 4 (the grantee will explain this in the Explanation of Progress). None of the participants in groups 2 and 3 had completed the project 2 years ago.

- **Column A:** The grantee entered 14 for group 1, 0 for group 2, and 0 for group 3 to indicate the number of participants who completed the project 2 years ago.
- **Column B:** For group 1, 12 participants who completed the project 2 years ago were still working in their same administrative positions in the current reporting year. Group 2 and group 3 are N/A because none of the participants had completed the project 2 years ago.
- **Column C:** The grantee divided Column B by Column A and multiplied by 100 to obtain the percentage.

In the Explanation of Progress, the grantee provided more information about the number of participants who completed the project 2 years ago (e.g., why one participant was not included) and discussed why some participants were not still in their administrative positions after 2 years.

Group	COLUMN A Enter the # of SLP participants who completed the project 2 years ago	COLUMN B Enter the # of SLP participants still in an assistant principal or principal position in the same high-need LEA	COLUMN C Divide Column B by Column A, multiply by 100, and enter the percentage
Group 1: All participants who started the project in year 1	14	12	86%
Group 2: All participants who started the project in year 2	0	NA	NA
Group 3: All participants who started the project in year 3	0	NA	NA
Group 4: All participants who started the project in year 4			
Group 5: Participants who started the project in year 5			

Section C. Project Measures

In the approved grant application, grantees establish project objectives stating what they expect to achieve with the funded grant project. Generally, one or more performance measures are developed for each project objective in order to demonstrate whether the project met or made progress toward meeting those project objectives. Therefore, in addition to reporting on *GPRA* measures, grantees are required to provide quantitative and/or qualitative data on the performance measures intended to demonstrate whether the project is achieving the objectives of the project. The SLP APR provides tables in which grantees are to report their quantitative data and provides the Explanation of Progress section for grantees to discuss the quantitative data as well as report any qualitative data relevant to the project performance measure.

Project Objectives: Enter each project objective that is included in the approved grant application. Project objectives should be numbered sequentially, i.e., 1, 2, 3, etc.

Performance Measures: For each project objective, enter the associated performance measure(s) in the provided table. There may be more than one performance measure associated with a project objective; however, address each performance measure using a separate table and Explanation of Progress section. Each performance measure associated with a particular project objective should be labeled using an alphanumeric indicator. For example, the first performance measure associated with project objective “1” should be labeled “1.a.,” the second performance measure for project objective “1” should be labeled “1.b.,” etc.

Quantitative Data: In the provided table, grantees must provide the targets established for meeting each quantitative performance measure and provide actual performance data demonstrating progress toward meeting or exceeding this target. Only quantitative (numeric) data should be entered in the Target and Actual Performance Data boxes. The Target and Actual Performance Data boxes are each divided into three columns: **Raw Number, Ratio, and Percentage (%)**.

- **Raw Number:** For performance measures that are stated in terms of a single number (e.g., the mean score on an assessment), the target and actual performance data should be reported as a single number under the Raw Number column. **Leave the Ratio and Percentage (%) columns blank.**

EXAMPLE. An objective of a project is to reduce the principal shortage. One of the performance measures the grantee set to demonstrate progress toward the objective was to increase the principal candidate pool by 20% each year. The target was set by adding 20% to the number of qualified applicants that applied for principal positions in the LEA the previous year. Since 8 candidates applied for 3 positions, the calculation is $(8 + (8 \cdot .20) = 9.6)$ and then dividing that number by the number of positions available ($9.6/3 = 3.2$). The number of applicants who applied to principal positions in the LEA during the current project year was 15 applicants for 4 positions, which equals an average of 3.75 applicants per position. As shown, the project exceeded the target. The grantee used the Explanation of Progress section to further explain these results, including how the target and actual performance data were obtained and calculated.

Project Objective 1: Reduce the principal shortage in the LEA.

1.a. Performance Measure: Increase the principal candidate pool in the LEA by 20% each years.					
Target			Actual Performance Data		
Raw Number	Ratio	%	Raw Number	Ratio	%
	/			/	
3.20			3.75		

- **Ratio and Percentage:** For performance measures that are stated in terms of a percentage (e.g., rate of principal turnover), complete both the Ratio column and the Percentage (%) column. In the Ratio column (e.g., 30/40), the numerator represents the numerical target (e.g., the number of schools whose principal left last year) or actual performance data (e.g., the number of schools whose principal left this year), and the denominator represents the total number in the population (e.g., the total number of schools). Enter the corresponding percentage rounded up or down to the nearest whole number (e.g., 75%) in the Percentage (%) column. **Leave the Raw Number column blank.**

EXAMPLE. An objective of a project is to reduce the principal shortage. A second performance measure the grantee established to demonstrate progress toward this objective was to reduce the turnover rate of principals in the LEA. The target was set using data from the previous school year. Specifically, the number of schools that lost their principal (numerator) and the total number of schools (denominator). Last year, 16 out of 87 schools lost their principal. This year, 10 out of 88 schools lost their principal. As shown, the project met its target because the turnover rate this year was LESS than the turnover rate for last year. In the Explanation of Progress section the grantee discussed how the data were obtained and calculated for the target and actual performance data, including why the denominators were different (i.e., a new school opened for the current project year).

Project Objective 1: Reduce the principal shortage in the LEA.

1.b. Performance Measure: Reduce the turnover of principals in the LEA.					
Target			Actual Performance Data		
Raw Number	Ratio	%	Raw Number	Ratio	%
	/			/	
	16/87	18%		10/88	11%

Qualitative Data: Qualitative data collected for a performance measure should be reported in the Explanation of Progress section. If only qualitative data are being collected for a particular performance measure, please leave the table with the Target and Actual Performance Data boxes blank and provide the qualitative data in the Explanation of Progress section. If a performance measure has both quantitative and qualitative data, use the table for the quantitative data and the Explanation of Progress to report and explain the qualitative data.

Instructions for Budget Information

Section A: Budget Summary

Annual, Update, and Final Performance Reports:

- **COLUMN A:** For the current budget period (October 1 – September 30), enter the total amount of School Leadership Program funds spent for each applicable budget category (lines 1-11) as well as the total funds spent (line 12).
- **COLUMN B:** For the current budget period (October 1 – September 30), enter the total in-kind contributions spent for each applicable budget category (lines 1-11) as well as the total in-kind contributions spent (line 12).
- **COLUMN C:** Add the total School Leadership funds and non-Federal funds for each budget category (lines 1-11) and total (line 12) and enter the total into Column C.

Section B: Budget Narrative

Annual, Update, and Final Performance Reports:

- Provide an itemized budget breakdown for each budget category.
- Describe any significant changes to your budget resulting from modification of project activities.
- Describe any changes to your budget that affected your ability to achieve your approved project activities and/or project objectives.

Annual Performance Reports Only:

- Do you expect to have any unexpended funds at the end of the current budget period? If you do, explain why, provide an estimate, and indicate how you plan to use the unexpended funds (carryover) in the next budget period.
- Describe any anticipated changes in your budget for the **next** budget period that require prior approval from the Department (see EDGAR, 34 CFR 74.25 and 80.30, as applicable).

Instructions for Additional Information

Annual and Updated Performance Reports Only:

- If applicable, please provide a list of current partners on your grant and indicate if any partners changed during the reporting period. Please indicate if you anticipate any change in partners during the next budget period. If any of your partners changed during the reporting period, please describe whether this affected your ability to achieve your approved project objectives and/or project activities.
- Describe any changes that you wish to make in the grant's activities for the next budget period that are consistent with the scope and objectives of your approved application.
- If you are requesting changes to the approved Project Director listed in Block 3 of your GAN and/or to other approved key personnel listed in Block 4 with a proposed effective date during the remainder of the current budget period or the next budget period, please indicate the name, title, and percentage of time of the requested key personnel. Please indicate whether the proposed Project Director or other key personnel change would be effective during the current or next budget period. Additionally, please attach a resume or curriculum vitae for the proposed key personnel when you submit your performance report.

Note: Do not report on any key personnel changes that were already made during the current or previous budget period(s). Departmental approval must be requested and received prior to making key personnel changes.

- Provide any other appropriate information about the status of your project, including any unanticipated outcomes or benefits from your project.

Final Performance Reports Only:

(This information covers the entire project period.)

1. Utilizing your evaluation results, draw conclusions about the success of the project and its impact. Describe any unanticipated outcomes or benefits from your project and any barriers that you may have encountered.
2. What would you recommend as advice to other educators who are interested in your project? How did your original ideas change as a result of conducting the project?
3. If applicable, describe your plans for continuing the project (sustainability, capacity building) and/or disseminating the project results.