MATHEMATICA Policy Research

REPORT

FINAL REPORT

Understanding the Effect of KIPP as it Scales: Volume II, Leadership Practices at KIPP

Final Report of KIPP's *Investing in Innovation* Grant Evaluation

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EXECUTIVE SUMMARY

KIPP charter schools' consistently positive impacts on student achievement (detailed in Volume I of this report) have prompted efforts to scale up the KIPP model to serve more students. According to the KIPP model, highly qualified and autonomous principals, supported by national and regional staff, drive the success of individual KIPP schools. In 2010, KIPP identified a shortage of leaders ready to become principals as the single greatest constraint to its capacity to expand its network of schools while maintaining existing quality levels. In the same year, the U.S. Department of Education awarded the KIPP Foundation a five-year $50 million Investing in Innovation (i3) scale-up grant. The KIPP network planned to use the grant to fund 10 activities, each designed to expand and improve the pipeline of KIPP-trained leaders in order to expedite the opening of new KIPP elementary, middle, and high schools.

Using funds from the grant, the KIPP network grew from 97 schools in the 2010–2011 school year to 162 schools in the 2014–2015 school year, necessitating the appointment of new principals to lead the new schools. At the same time, principal transitions at existing schools created additional demand for highly qualified principals. Given that principals at new and existing KIPP schools typically advance from the ranks of more junior leaders—those in leadership roles other than the principal position—the demand for new principals created a parallel demand for staff with the training and experience required to take on more junior leadership roles.

To document how leadership practices at KIPP changed over the grant period and to facilitate replication of promising leadership practices, Mathematica conducted an independent evaluation of leadership practices at KIPP as the network grew to scale. In this volume, we describe the leadership practices in place at KIPP schools, in regions, and across the KIPP network by drawing on (1) surveys of all KIPP principals and regional leaders, (2) the KIPP Foundation's administrative records, and (3) interviews with KIPP Foundation staff responsible for training. Next, to facilitate the replication of successful leadership practices both within KIPP and in other school systems, we detail promising leadership practices identified during site visits to five regions that contain high-performing KIPP schools. Finally, we explore the relationship between practices implemented at individual KIPP schools and regions and their impacts, highlighting promising practices for future study. Below, we summarize the major findings from the analyses.

A. KIPP leadership practices

To address the demand for new principals, KIPP combined expanded leadership development opportunities with enhanced training to create a more robust "pipeline" of leaders. Teachers with promising leadership skills advance through the KIPP leadership pipeline to develop the skills, training, and experience needed to grow into junior leadership roles—such as grade level chair and assistant principal or dean—and, ultimately, to become an effective principal of a new or existing KIPP school. To expand development opportunities, the KIPP Foundation used i3 grant funds to provide subgrants to 87 KIPP schools to create assistant principal or dean positions earlier than usual in the life of KIPP schools, thereby providing more staff with the on-the-job training deemed critical for moving into a principal position. More schools adopted the practice of assigning assistant principals and deans broad leadership

responsibilities in three areas—instruction, management, and culture—which align with principals' major responsibilities (as opposed to assigning these leaders responsibilities for only a subset of those areas). As a result, more schools have junior leaders with experience in all three major leadership areas, which KIPP believes makes these leaders better prepared for the principal position. As the same time, the KIPP Foundation used i3 grant funds to expand and enhance both national and local leadership training opportunities.

KIPP principals and regional executive directors exercised their considerable autonomy to implement some practices widely across KIPP schools, many of which have shown promise in prior research. Almost all KIPP principals reported that high expectations for student academics were among their schools' top two priorities, and roughly half reported the same for behavior; most of the remainder prioritized a comprehensive focus on children's social and emotional needs. According to principals, teachers used a variety of interim student assessments and received support in the use of data to drive instruction. Most principals and regional executive directors agreed that there were common systems and structures for curriculum, instruction, and assessments in place for their schools, reducing the burden on individual teachers to develop such materials on their own. Finally, teachers and school leaders were taking a variety of steps to customize instruction and provide additional support to meet individual student needs.

B. Promising leadership practices in KIPP schools and regions

Several key leadership themes emerged from the case studies of five KIPP regions that contain high-performing KIPP schools.

Strong regions used consistent leadership structures. The regions tended to promote similar oversight structures for their schools, facilitating the delivery of training and support to leaders with similar responsibilities and leading to common expectations for leadership roles, which may in turn allow leaders to transfer easily across schools. Generally, regional staff recommended the assignment of broad responsibilities to assistant principals and deans in order to ensure their readiness for leading all key aspects of a school in the event that they become principals; as described in the previous section, this practice appears to be gaining traction in the broader KIPP network.

Strong regions used intentional development opportunities and planned extensively to prepare high quality leaders and transition them into the position of principal. Staff in the five regions engaged in a variety of practices to develop high quality leaders. For example, schools often assigned teacher-leaders significant responsibilities that provided on-the-job experience intended to enhance junior leaders' leadership skills. Regional and school staff used structured leadership training opportunities to share and align practices across the regions; they also provided frequent on-the-job coaching and feedback to develop leadership skills. Generally, leaders in the schools and regions agreed that they made insufficient use of performance management tools; some regional leaders are taking steps to improve and expand the use of performance management systems. Regional staff conducted regular reviews of leadership talent in their region and encouraged advance notice of and planning for principal transitions. They have taken steps to retain promising leaders in their schools and regions by, for example, reducing the length of the school day and accommodating part-time and flexible work schedules

Regional needs for new and existing schools informed leadership assignments. In determining whether to place highly qualified leaders in principal roles at new versus existing schools, regional staff prioritized where the leader was needed at that moment above any specific qualities that may make them more suited to one position or another. In general, regional staff preferred internal candidates but had hired external candidates in all five regions. Some staff believed that external hires can be beneficial because they infuse the region with new ideas. All five regions have typically relied on informal selection processes limited to identified candidates for principal positions, but four regions are shifting to a more formal process that is open to all interested candidates in an effort to increase transparency and ensure all potentially qualified candidates are considered.

C. Characteristics of KIPP middle schools associated with impacts

While most KIPP schools have significant positive impacts on student achievement, some KIPP schools have more positive impacts than others. This raises the question of whether the particular characteristics of some schools make them more successful than others. We investigated the conditions under which KIPP schools are most likely to promote the academic achievement of their students so that successful practices and conditions can be replicated.

Several factors are associated with the strength of KIPP's impacts on middle school reading and mathematics achievement. Giving principals more advance notice before they transition into the principal position is associated with larger impacts in reading and mathematics, consistent with the practices reported by strong regions in the case studies. Two other factors—the use of individualized instruction and reliance on a school-wide approach to managing behavior—are also positively associated with impacts in mathematics. Although previous research has consistently demonstrated a relationship between impacts and the use of school-wide behavior plans or high expectations for behavior, the relationship between individualized instruction and impacts is a new finding.

Another practice—frequent support of teachers in using data to drive instruction—is negatively associated with impacts in reading. It is not clear why the relationship between the use of data-driven instruction and reading impacts is negative. It is possible that KIPP schools demonstrating lower student achievement turn to these practices in an attempt to spur improvements.

Although these relationships are suggestive, they should be interpreted with caution. The design of the analysis means that causality cannot be established—the relationships described above may be due to chance, or other, unmeasured characteristics may explain variation in the effectiveness of KIPP schools. Further and more rigorous analysis (for example, random assignment of some schools to implement specific practices) could produce more conclusive evidence of the effectiveness of these practices.

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I. BACKGROUND

Since its founding in 1994 with a single grade 5 classroom, the KIPP network has grown rapidly to include 162 charter schools in the 2014–2015 school year. In 2000, KIPP founders Mike Feinberg and Dave Levin partnered with Doris and Don Fisher, founders of Gap, Inc., to establish the KIPP Foundation. The KIPP Foundation was created to expand the KIPP approach from the two original KIPP academies in Houston and New York City, primarily by training principals to open and manage KIPP schools. The foundation is not a typical charter management organization but instead establishes the general approach that defines KIPP and licenses the right to use the KIPP name to organizations led by KIPP-trained principals who agree to manage schools in alignment with KIPP's philosophy.[1] The foundation develops and trains leaders through the KIPP School Leadership Programs (KSLP) and plays several other roles, described in more detail in Volume I of this report.

Nearly all KIPP network schools operate as part of one of 30 autonomous regional organizations in 20 states and the District of Columbia.[2] KIPP regions oversee schools in a specific metropolitan or geographic area, providing support in leadership practices, human resources, business operations, technology, and development. KIPP regions and schools collaborate with the foundation in many areas but have distinct responsibilities and exercise substantial autonomy. Practices within each region may vary substantially, as regional executive directors attempt to balance economies of scale and consistency while ensuring flexibility for their principals.

A key tenet of the KIPP approach is "Visionary Leadership"— the belief that outstanding schools are built, led, and sustained by empowered leaders. Empowered KIPP principals have the autonomy to manage the personnel, budget, and other aspects of their school's operation in keeping with their vision for the school. In conjunction with this autonomy, KIPP principals are accountable to both their region and the KIPP Foundation and expected to produce strong results for the students they serve; principals at underperforming schools may be replaced, and chronically underperforming schools may be closed or lose their affiliation with the KIPP network. This autonomy—and the associated accountability—distinguishes KIPP schools from many traditional public schools in which principals have little autonomy over personnel and budget decisions. KIPP believes that high quality principals, armed with the skills and training needed to effectively exercise this autonomy, are pivotal to the success of the KIPP model.

KIPP charter schools' consistently positive impacts on student achievement (detailed in Volume I of this report) have prompted efforts to scale up the KIPP model to serve more students. In 2010, KIPP identified a shortage of leaders ready to become principals as the single greatest constraint to its capacity to expand its network of schools while maintaining existing quality levels. As the network grew, demand increased for principals to found new schools. At the same time, existing schools were aging, and their founding principals were leaving their positions to take on other roles (often still within the KIPP network), increasing the need for

[1] A description of the KIPP approach is available at www.kipp.org/our-approach. The KIPP approach evolved from the Five Pillars, a set of operating principles that historically guided KIPP schools.

[2] Two middle schools are single sites, independent from the regional structure.

replacement (or "successor") principals. In 2010, the number of potential principals identified and trained by KIPP was insufficient to continue to meet growing demand for founding and successor principals.

A. Theory of action for the KIPP Foundation's i3 scale-up grant

In 2010, the U.S. Department of Education awarded the KIPP Foundation a five-year, $50 million Investing in Innovation (i3) scale-up grant; the grants were intended to fund the expansion of programs demonstrating strong evidence of previous effectiveness in improving student achievement and educational attainment.[3] To further KIPP's mission of increasing the academic achievement of low-income students and to support those students "to and through college," the KIPP Foundation planned to use funds from the scale-up grant to expand the number of students reached by the KIPP model while sustaining KIPP's positive impacts. To address constraints to KIPP's growth, the KIPP Foundation set three main goals for the scale-up grant:[4]

1. Train 1,000 school leaders during the grant period, including approximately 250 principals who would each eventually open a new school or assume the leadership of an existing school and 750 others who would start on the path to school leadership.[5]
2. Increase annual school openings by at least 50 percent, accelerating from an average of 10 schools per year in the five years before the grant to 15 to 18 schools per year during the grant period. Accelerated growth would allow 50,000 students to be served in urban and rural KIPP schools by the end of the grant period and 66,000 students as those schools reach full enrollment.
3. Share proven KIPP leadership practices with non-KIPP schools (a) in the urban and rural school districts in which KIPP schools are located and (b) in other growing charter management organizations. By adopting these shared leadership practices, these non-KIPP schools would deepen and expand their own principal pipelines to benefit millions more students.

To achieve these goals, the KIPP Foundation funded 10 activities through the grant, each designed to expand and improve the pipeline of KIPP-trained leaders:

- Increasing the capacity of the KIPP School Leadership Programs (KSLP)
- Staffing assistant principals earlier in the life of schools than is typical to (1) reduce the burden on new principals and (2) accelerate the preparation of assistant principals for principal roles

[3] http://www.ed.gov/news/press-releases/nations-boldest-education-reform-plans-receive-federal-innovation-grants-once-pr, accessed April 12, 2011.

[4] For more information, see the KIPP i3 grant application at http://www2.ed.gov/programs/innovation/2010/narratives/u396a100031.pdf.

[5] The 250 principals include approximately 60 principals trained to serve as principals outside the KIPP network.

- Implementing successor residencies and successor participation in school reviews to ensure smooth transitions between principals in existing schools
- Hiring a national director of leadership development to bridge national leadership programming and local practices led by chief academic officers
- Hiring regional directors of leadership development to ensure better identification, recruitment, and training of future leaders at the regional level
- Providing subsidies to schools/regions that implement local principal coaching
- Implementing leadership development training for regional executive directors
- Remunerating schools that host principal residencies
- Enhancing the performance evaluation process for both current and future leaders
- Codifying and disseminating best practices on leadership development, both internally (within KIPP) and externally

The KIPP Foundation expected both new and existing KIPP schools to benefit from the improvement and expansion of KIPP's leadership pipeline. For example, new schools—those opening during the grant period—would directly benefit by having their leaders trained through KSLP during the grant period. Examples of direct benefits to existing schools would include principal coaching subsidies and successor residencies. Further, the activities directly targeted to a subset of schools were likely to have important indirect effects across all schools; for example, subgrants to a group of existing schools to staff them with assistant principals earlier than the position is typically added would reduce the administrative burden on new principals while accelerating the growth of the leadership pipeline across the network. All of these activities were designed to help KIPP maintain or improve the quality of its existing schools as it opened new high quality schools.

B. The evaluation of KIPP i3

Under the terms of the grant, the KIPP Foundation was required to participate in an independent evaluation of KIPP's scale-up.[6] Using funds from the grant, KIPP subcontracted with Mathematica Policy Research to conduct the evaluation, which was organized around several key research questions, two of which are addressed in this volume:

1. **What are KIPP's leadership structure, training, and pipeline development practices at the school, regional, and national levels?** In this report, we describe the leadership practices in place at KIPP during the grant period at the school, regional, and national levels. We also examine variation in leadership practices across grades, across individual schools and regions, and across the school, regional, and national levels. Building on our findings from the baseline implementation report, in which we examined variation in leadership practices before the start of the grant, we also examine any changes in leadership practices over the grant period.

[6] The KIPP Foundation will also participate in the National Evaluation of i3, a requirement of the i3 grant.

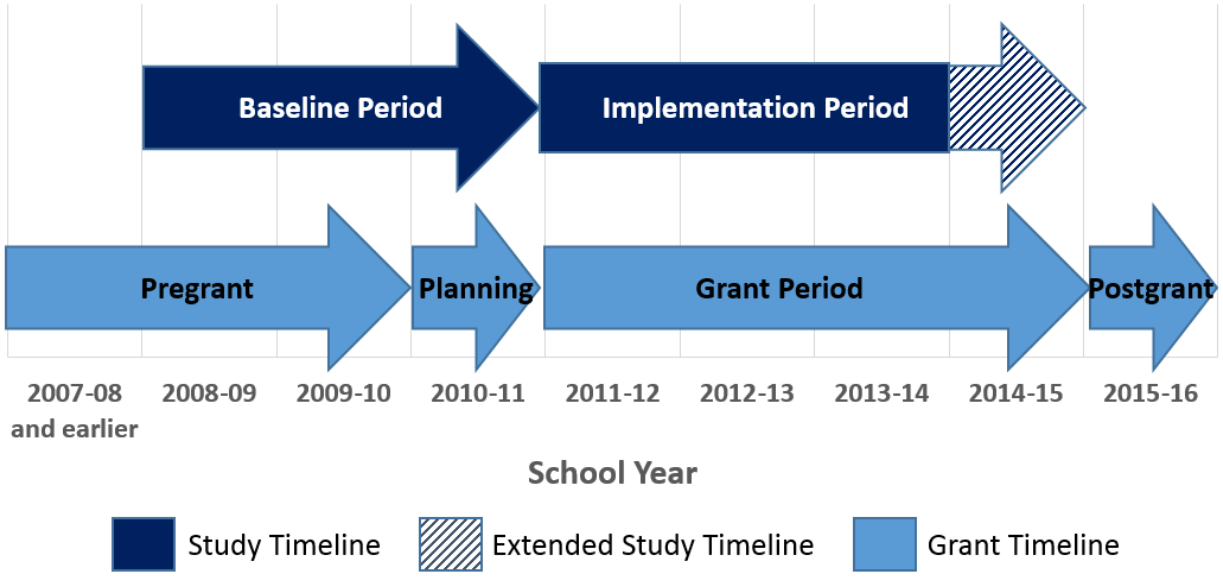
2. **What practices are associated with impacts in KIPP schools and regions?** Given the autonomy accorded to individual KIPP principals and regional executive directors to determine the practices implemented in KIPP schools and regions, we examine the relationship between the practices implemented at individual KIPP schools and regions and their impacts. First, we provide a detailed look at leadership practices in the regions whose schools are producing some of the largest impacts. Next, we investigate the extent to which variations in principal experiences and practices, as well as the characteristics of students in KIPP schools, are linked to variations in objective measures of school performance. From both analyses, we look at what lessons may be drawn from these patterns for future replication efforts, both within KIPP and in other systems.

C. Study timeline and pregrant practices

This report supplements our June 2014 brief and technical report describing pregrant (baseline) leadership practices at KIPP (Furgeson et al. 2014a; Furgeson et al. 2014b), which focused primarily on the three school years immediately preceding the first full year of grant implementation (2008–2009 through 2010–2011). In some cases, this report draws comparisons with pregrant practices as detailed in the baseline report.

The KIPP Foundation was awarded the scale-up grant in October 2010, and the grant period runs through the end of September 2015. For the most part, the remainder of the 2010–2011 school year following the award was devoted to planning (Figure I.1). The findings in this report focus on the three complete school years that we could observe in their entirety (2011–2012 through 2013–2014), with additional information covering the 2014–2015 school year (the final year covered by the grant), where feasible. In some cases, grant funding went into effect before the start of the 2011–2012 school year; in these cases, we may begin to observe the effects of the grant before the first full year of grant implementation (2011–2012).

Figure I.1. Study timeline



D. Data sources and methods

We obtained the information presented in this report through four main data collection efforts: (1) a survey of all KIPP principals and regional executive directors (referred to as the census survey); (2) an interview with KSLP staff at the KIPP Foundation; (3) administrative data collected from the KIPP Foundation; and (4) case studies of five KIPP regions. Below, we briefly describe each data collection effort and data source.

Census survey to identify leadership practices in KIPP schools and regions. We administered the census survey between August 2014 and January 2015 to collect data on the leadership practices implemented in all KIPP schools and regions as well as data on the characteristics of all KIPP principals. The survey targeted principals of all schools and executive directors of all regions in operation during the 2013–2014 school year, including 145 principals from 139 schools (some schools employ co-principals)[7] and 26 regional executive directors. We collected surveys from 137 principals at 131 schools (94 percent response rate) and from 24 of 26 KIPP regional executive directors (92 percent response rate). With a few exceptions, we asked principals and executive directors to report practices as of the 2013–2014 school year (the most recent year completed in its entirety).

Interview with KSLP staff at the KIPP Foundation. In May 2015, we interviewed two members of the KIPP Foundation staff responsible for the design and administration of KSLP. We used a semistructured interview protocol to learn about changes to the structure and focus of KSLP since receipt of the i3 grant, with emphasis on the restructuring of the Successor Prep pathway (formerly called Principal Prep).

Administrative data from the KIPP Foundation. In fall 2014, we collected various sets of administrative data from the KIPP Foundation, such as (1) lists of participants in KIPP training programs; (2) personnel records documenting principal start and end dates; and (3) licensing agreements for KIPP schools.

Site visits to regions with high-performing schools. Mathematica identified five regions with schools that demonstrated strong student achievement impacts in the national evaluation of KIPP middle schools (Tuttle et al. 2013) and in impacts for elementary and high schools prepared for Volume I of this report. The five regions are KIPP Bay Area Schools (California), KIPP DC, KIPP Eastern North Carolina (ENC, formerly KIPP Gaston), KIPP New Jersey (formerly TEAM Schools), and KIPP New Orleans Schools (Louisiana). Our selection criteria and sample differed from those used for the baseline report; in that case, we selected a purposive sample of regions that the KIPP Foundation perceived to be strong in the area of leadership (Akers et al. 2014). Differences in the findings across the two rounds may result from changes in the sample or from changes that have occurred at the regional or school level since data was collected for the baseline report.

[7] In schools with two principals, we asked one principal to complete the full survey capturing practices at the school and asked the second principal to complete only the section that collected information on his or her demographic characteristics and background.

We worked with KIPP regional staff to identify the schools to visit in each region. We prioritized visiting the highest-performing schools in each region at the elementary, middle, and high school levels but made exceptions to visit schools (1) that had expanded to include all planned grades and (2) that the regions deemed to be appropriate in that they were *currently* high performing. Given that our impact estimates were generally two years old (or older in some cases), and that we had impacts only for a subset of KIPP schools, we relied on the judgment of regional staff to ensure that we selected schools that continued to be high-performing. One region (KIPP Bay Area) operated no elementary schools such that we visited two middle schools instead.

Between January and March 2015, we made multiday visits to five regions to conduct data collection (Table I.1). Using semistructured interview protocols, we typically interviewed the regional executive director and any other regional leaders with significant roles in leadership development. At the subset of selected schools, we typically interviewed the principal and the assistant principal(s), dean(s), or others in similar positions. At the same schools, we conducted group interviews with a convenience sample of teacher-leaders or staff with both teaching and leadership responsibilities, such as grade level chairs, department chairs, or special education coordinators. When possible, we also observed school leadership team meetings, regional leadership development trainings, and coaching sessions involving regional staff and principals or principals and junior leaders.

Table I.1. Data collection, by KIPP region

	Number of interviews/observations					
Site	Regional leaders	Principals	Assistant principals/ deans	Teachers/ teacher-leaders	Leadership team meetings	Coaching sessions
KIPP Bay Area	3	3	6	11	1	1
KIPP DC	4	3	6	8	2	3
KIPP ENC	1	5	3	8	2	0
KIPP New Jersey	3	3	6	21	1	0
KIPP New Orleans	6	3	8	19	0	1

Note: The five principals we interviewed in KIPP ENC include a future founding principal of a planned school and a principal of a school that we did not visit. As in the other regions, we visited only three schools in KIPP ENC. In addition to the data collection enumerated in the table, we observed part of a meeting of an instructional community of practice in KIPP Bay Area.

We used information from the first three data sources to provide descriptive information on the leadership practices implemented across the full population of KIPP schools and regions and across the KIPP network as a whole. Using primarily administrative data from the KIPP Foundation, we documented the fidelity of the KIPP schools in our study samples to the KIPP model and documented the fidelity of KIPP scale-up to the intermediate as well as the final outcomes targeted by the grant (Appendix E).

We used information from the site visits to identify the leadership practices adopted in the regions whose schools demonstrated strong impacts on student achievement. Two coders independently reviewed the notes from each site visit. They then completed a grid that summarized the responses related to each topic addressed in the site visit and looked for trends across the sites. The coders then discussed the trends they had independently observed and came to consensus about the trends in leadership practices across regions.

E. A note on terminology

Principals of KIPP schools are typically referred to as "school leaders." In this report, however, we use the term "principal" to refer to these leaders to distinguish them from the broader set of staff who serve in leadership positions in KIPP schools. In this report, the term "school leaders" encompasses the broader set of leaders, including the principal, in KIPP schools. We use the term "junior leaders" to refer to the set of leaders serving in leadership positions other than that of principal in KIPP schools (for example, assistant principals and grade level chairs).

The titles for junior leaders vary across schools. For example, assistant principal, vice principal, and dean are all common titles that refer to the level of leadership immediately beneath the principal. The various titles may reflect different responsibilities (see Chapter II, Section E for more information on the distinction between assistant principals and deans) or may simply indicate the preferences of leaders at individual regions or schools; for consistency, we use "assistant principal" or "dean" to refer to these junior leaders; when describing this level of leadership generally, we use "assistant principal or dean."

Other common positions in KIPP schools include grade level chairs, who provide oversight in various ways to an entire grade level; department chairs, who oversee an academic department or subject area; special education coordinators, who work across grades and departments to provide student support and services in special education; Saturday school coordinators, who manage the full operation of the school during Saturday classes, which are common at KIPP schools; and college counselors (often called KIPP Through College counselors), who support students beginning in high school and as they transition into and continue through college. We introduce other, less commonly used, position titles as they appear in the report.

F. Overview of remainder of report

In Chapter II, we provide an overview of KIPP's leadership structure, training, and pipeline development practices. In Chapter III, we describe promising practices in KIPP schools and regions, informed by site visits to regions that contain high-performing KIPP schools. Finally, in Chapter IV, we investigate the relationship between leadership practices and impacts in KIPP schools.

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II. KIPP'S APPROACH TO SCHOOL LEADERSHIP

The KIPP Foundation views high quality leadership as central to the effectiveness of KIPP schools. In this chapter, we describe KIPP's leadership structure, training, and pipeline development practices at the school, regional, and national levels. We also examine variation in leadership practices across grades, across schools and regions, and across levels (school, regional, and national). Building on our findings from the baseline report (Furgeson et al. 2014), in which we examined variation in leadership practices before the grant period, we also examine any changes in leadership practices over the grant implementation period.

A. The KIPP Leadership Competency Model

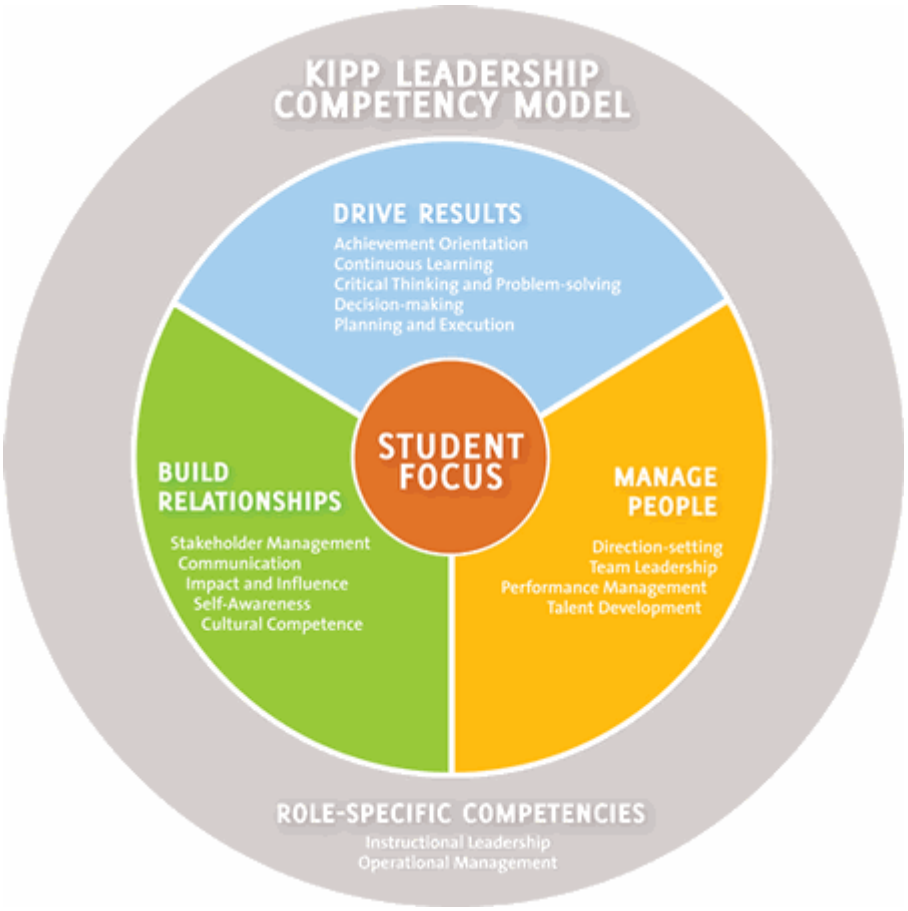
The KIPP Leadership Competency Model identifies the skills, knowledge, and attitudes that KIPP seeks in its leaders. The model establishes the foundation and framework for a unified national leadership approach. Beginning in 2002, the KIPP Foundation supported the creation of the Leadership Competency Model through interviews and focus groups with principals of high-achieving KIPP schools and by conducting a literature review of studies examining the competencies of successful leaders in different fields. After a 2009 revision to the model, the foundation developed a strategy and tools for cultivating needed competencies. For example, the foundation encourages school and regional leaders to evaluate potential leaders on the basis of the competencies and provides frameworks to be used in the evaluation process. The Leadership Competency Model is organized around four core competency clusters (Figure II.1). Other competencies, such as instructional leadership and operations management, build on the core competencies and vary by leadership role.

The competency categories may be summarized as:

- **Student focus.** The ability to create high expectations for, and work effectively with, educationally disadvantaged students.
- **Drive results.** The ability to focus on achieving challenging goals while managing time and resources effectively; this competency category includes the ability to make timely decisions, learn from previous decisions, and remain accountable.
- **Build relationships.** The ability to communicate effectively with community stakeholders and an awareness of one's own strengths and weaknesses.
- **Manage people.** The ability to motivate, supervise, develop, and inspire staff effectively and to lead teams to the achievement of shared goals.

The literal and figurative center of the Leadership Competency Model is a student focus, and effective KIPP leaders must also drive results, build relationships, and manage people. Each of the four core competency categories identifies specific required competencies, and each competency includes key behaviors that describe the actions taken by a leader who demonstrates proficiency in that competency. For example, *drive results* includes the *decision-making* competency; one of the key behaviors in that competency focuses on consequences because an effective leader "considers both the longer-term and unintended consequences of potential decisions."

Figure II.1. KIPP Leadership Competency Model



Source: http://www.kipp.org/school-leaders/leadership-competencies.

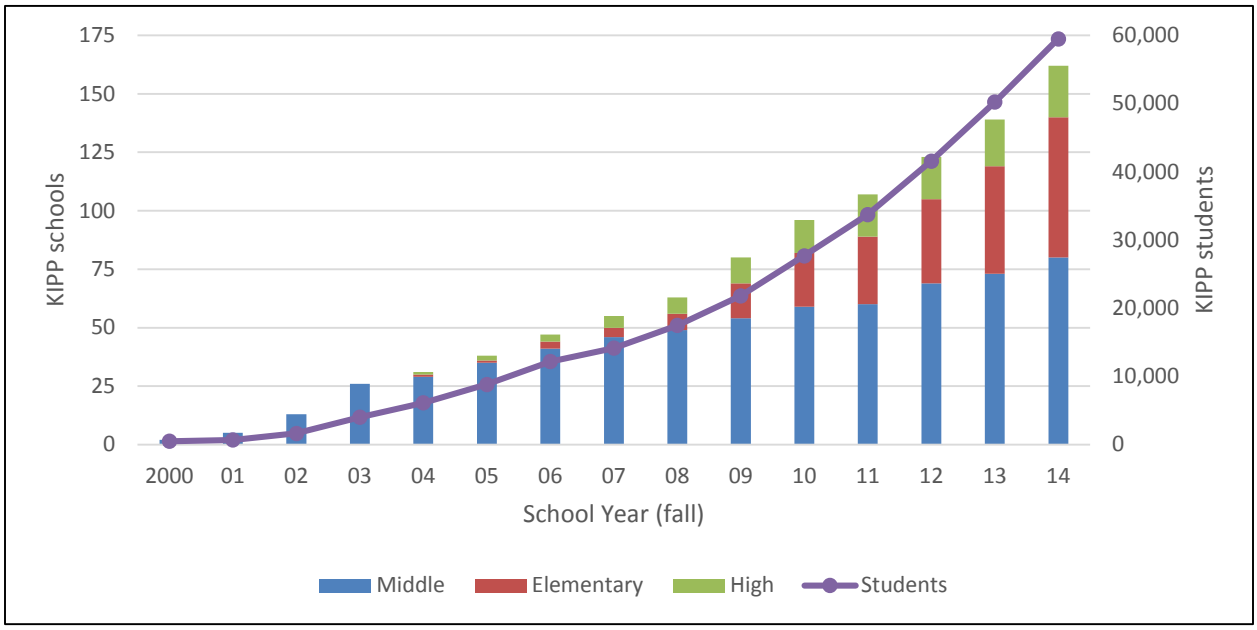
B. Demand for new leaders at KIPP

In 2010, the KIPP network identified a shortage of leaders ready to become principals as the single greatest constraint to its capacity to expand its network of schools while maintaining existing quality levels. The rapid growth in new schools, combined with the inevitable leadership transitions at existing KIPP schools, led to increased demand for qualified principals to lead new and existing KIPP schools. In this section, we examine the demand for principals both to found new KIPP schools and succeed departing principals at existing KIPP schools.

1. Growth of the KIPP network

Between the creation of the KIPP Foundation in 2000 and the last year of the pregrant period (2009–2010), the KIPP network grew rapidly (Figure II.2). With funds from the i3 grant, the network aimed to accelerate growth even further during the grant period, from an average of 10 schools opened per year in the years immediately preceding the grant to an average of 15 to 18 schools opened per year during the grant period, generating an unprecedented demand for principals to lead these new KIPP schools. Typically, KIPP schools open with a single grade and add a grade each year until they serve all planned grades; as the schools grow, they create additional demand for junior leaders as well.

Figure II.2. Number of KIPP schools and students, by year



Source: KIPP Foundation data.

Note: Twelve schools that closed or left the KIPP network are not included. The network plans to open 21 new schools in fall 2015.

2. Frequency of transitions in KIPP schools

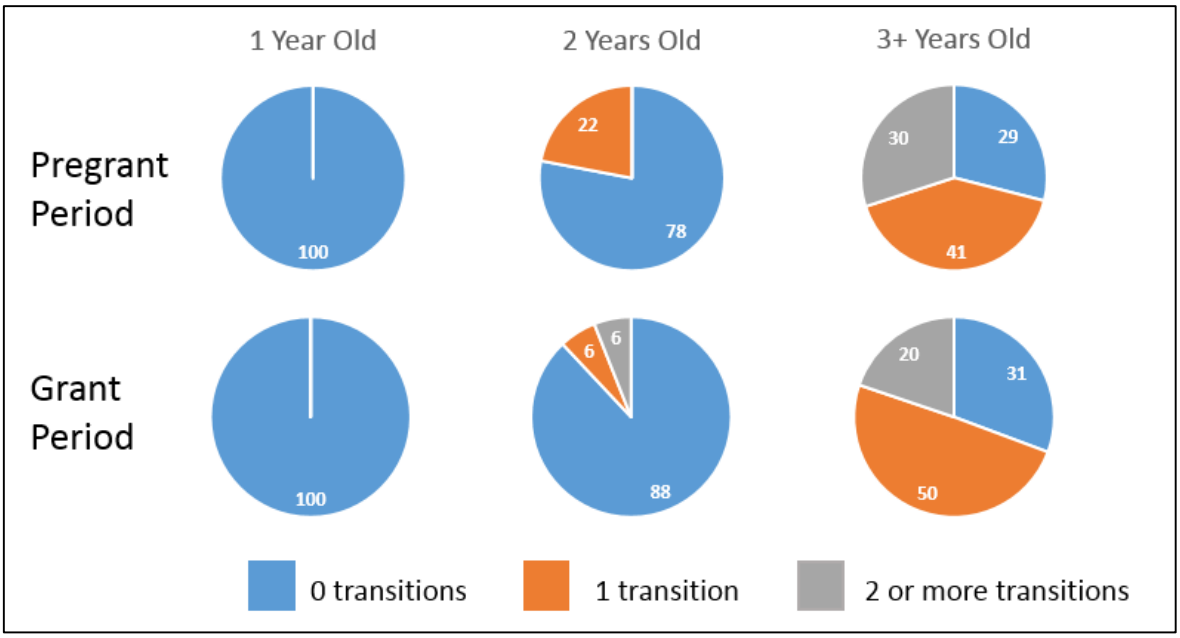
Principal transitions at existing schools created additional demand for highly qualified principals. As in traditional public schools serving similar student populations, principal transitions are common in KIPP schools, particularly after the first few years of operation.[8] KIPP expects leadership transitions to occur at existing schools as principals depart to pursue new opportunities either within or outside the KIPP network. In 2013–2014, among schools in operation for three or more years, 50 percent of schools had experienced one principal transition, and another 20 percent had experienced two or more principal transitions (Figure II.3). As we observed in 2010–2011, most schools in their first or second year of operation (2013–2014) had not yet experienced a principal transition.

When principals vacate the top positions at KIPP schools, current assistant principals or deans in the same schools often fill the vacancies, creating additional demand for new assistant principals or deans. We also examined the frequency of transitions for assistant principals, deans, or similar positions during the grant period. Between the start of the 2013–2014 school year and the start of the 2014–2015 school year, KIPP principals reported an average of 0.6 assistant principal or dean transitions per school as assistant principals and deans moved up to fill vacated principal positions or vacated their own positions for other reasons. Most schools (56 percent) experienced no assistant principal or dean transitions during this period, 27 percent experienced one transition, and the remaining 17 percent experienced two or more transitions. Many KIPP

[8] Principal turnover is common at all public schools, with the average tenure lasting fewer than four or five years (Fuller and Young 2009; Gates et al. 2005). Turnover rates in schools with more low-income and minority students—the target population of KIPP schools—are higher (Fuller and Young 2009; Loeb, Kalogrides, and Horng 2010).

schools employ more than one assistant principal or dean at a time (In Appendix Table A.2, we provide information on the number of leadership positions at KIPP schools), creating more opportunities for transitions.

Figure II.3. Number of principal transitions, by age of school



Source: KIPP Foundation Data.

Notes: Pregrant transitions include transitions that occurred after the start of the 2008–2009 school year and before the start of the 2011–2012 school year (including summer 2011). Transitions during the grant period include those that occurred after the start of the 2011–2012 school year and before the start of the 2014–2015 school year.

3. Planning for principal transitions

Given that principal transitions are inevitable at any school, the KIPP Foundation recommends the identification of successor principals 18 months in advance of principal departure to ensure an effective transition. The long lead time allows sufficient time to plan a smooth transition and ensure that the incoming principal has the needed training and experience to succeed in his or her new role. The long transition period also allows for a gradual transfer of responsibilities and relationships from the outgoing to the incoming principal.

Despite the preference for advance notice for principal transitions, it is not always provided at KIPP schools. Only 8 percent of successor principals in place as of 2014–2015 reported that they received notice of their selection as successor principal at least 18 months in advance of the transition. Another 41 percent reported receiving notification 6 to 17 months in advance, and 51 percent reported being notified fewer than 6 months in advance.

One benefit of a long transition period is the opportunity for the outgoing principal to mentor the incoming principal, allowing him or her to assume increasing responsibility for the operation of the school and gradually transition into the role of principal. In the 2014–2015 census survey, 58 percent of successor principals reported gradually transitioning into the role of principal, informally taking over the responsibilities for that role before formally assuming the

position. On average, successor principals reported that the gradual transition occurred over eight months, but the period ranged from one month to more than three years. Among successor principals reporting a gradual transition into the role of principal, almost 80 percent reported that the outgoing principal mentored them during their transition period, with an average mentorship period of 14 months.

C. KIPP leadership pipeline

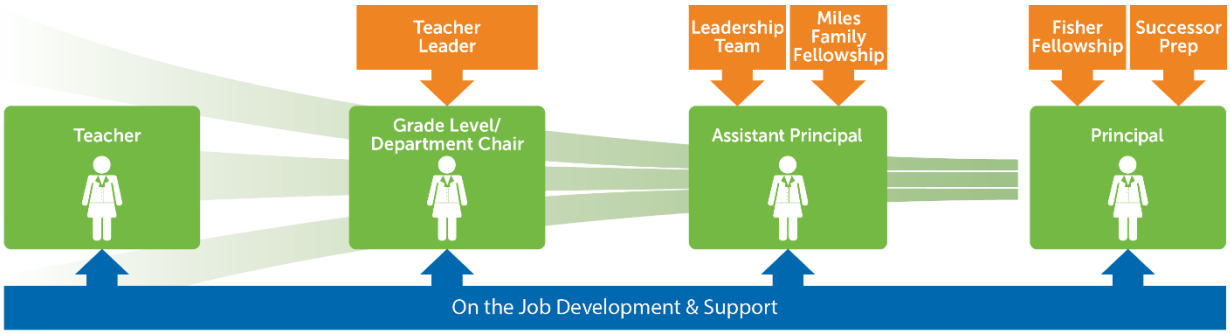
To address the demand for new principals at new and existing KIPP schools, the KIPP network aims to maintain a robust pipeline of leaders in the process of developing the skills and gaining the training and experience needed for effectively leading KIPP schools. A broad leadership pipeline ensures that, when a sitting principal vacates the position, there are junior leaders qualified to take over as principal of that school. Further, as the network continues to grow, the pipeline ensures that there are enough qualified leaders to assume the principal position at new schools. A robust pipeline also means that more junior leaders are prepared to move up to fill other supporting leadership positions at existing schools and to support the operation of new schools as they grow.

To build the leadership pipeline, KIPP encourages principals to consider leadership potential when hiring teachers and then to invest in the development of their leadership skills. Leadership development occurs on the job through development opportunities that gradually build skills and experiences as well as through leadership coaching and formal training programs. These experiences and programs create regularized pathways to the role of principal (Figure II.4).[9] For example, teachers with promising leadership skills may become grade level chairs or department chairs, building team leadership skills and instructional coaching knowledge. These teachers may attend the specialized KSLP Teacher Leader program and learn organizational, management, coaching, and instructional skills. Grade level chairs may build on their training—and the skills and experience acquired on the job—to become assistant principals or deans and attend the KSLP Leadership Team program, further developing team and school-wide management and organizational skills as well as knowledge related to their specific responsibilities. The specific pathway of individual leaders varies, but in general leaders familiar with KIPP practices and experienced with different leadership roles within KIPP flow through the pipeline, creating an experienced "bench" that may be tapped when a principal leaves a school and a successor is needed.[10]

[9] Many KIPP principals also eventually become regional leaders. Consistent with the i3 grant focus, this report focuses on the principal pipeline.

[10] Many strong teachers never enter the pipeline or progress to principal. Often KIPP teachers with leadership abilities do not progress beyond grade level chair, a position that focuses primarily on classroom instruction. These teachers may prefer to continue to work directly with children, and KIPP schools encourage them to be instructional leaders such as grade level chairs, coaches, or department chairs.

Figure II.4. KIPP leadership pipeline



A major goal of the KIPP i3 grant was to broaden the network's leadership pipeline over the grant period through expanding junior leadership roles at KIPP schools. These junior leadership roles—including assistant principals, deans, and grade level and department chairs—are dual-purpose roles in that they relieve the pressure on principals by providing additional leadership support while helping future leaders gain the experience needed to advance to more senior leadership roles, including principal. The availability of junior leadership roles at both new and existing schools may have important implications for KIPP's ability to scale up (In Appendix Table A.2, we provide details on the number and types of leadership positions in KIPP schools).

To broaden the leadership pipeline, the i3 grant funded subgrants to KIPP schools to create assistant principal or dean positions, which resulted in more rapid growth in the number of these positions where future principals gain the needed experience and receive the on-the-job training deemed critical for advancing to the principal position. In the three years before the grant award, KIPP created 96 new assistant principal or dean positions compared to 171 new assistant principal or dean positions created in the first three years of the grant period. The growth cannot be attributed solely to the expansion of KIPP schools; KIPP schools were adding an average of 2.4 assistant principals or deans per new school opened during the pregrant period compared to an average of 4.1 per new school opened during the first three years of the grant period—almost doubling the rate at which the positions were created over the grant period.

The KIPP Foundation also believes that the creation of assistant principal or dean positions earlier in the life of a school can make the school more effective in its early years of operation by reducing the burden on founding principals and freeing them to focus on their most crucial responsibilities. Further, given that the foundation views the assistant principal or dean role as an important stepping stone to the principal position, the creation of more assistant principal and dean positions earlier in a school's life produces a cadre of leaders prepared earlier for the principal role, thus strengthening the leadership pipeline. Using funds from the grant, KIPP awarded subgrants to 87 schools to hire assistant principals earlier in the life of the schools.

Correspondingly, more schools added assistant principal and dean positions in their first year of operation after the network received the grant. In 2010–2011 (pregrant period), 50 percent of schools in their first year of operation employed an assistant principal or dean compared to 57 percent of schools in their first year of operation in 2013–2014 (the third year of the grant period). However, some schools received i3 subgrants to fund the earlier employment of assistant principals in the middle of the 2010–2011 school year such that the "pregrant"

percentage may be inflated because of early implementation of this aspect of the grant. Together with evidence that schools opening before 2010–2011 were even less likely to employ an assistant principal or dean in their first year of operation this suggests we may be underreporting the expansion of this practice over the grant period.[11]

Among schools in their third year of operation or later in 2013–2014, 95 percent had at least one assistant principal or dean. Among the 95 percent with this position, there were an average of 2.4 assistant principals or deans per school. More than half of schools in their third year of operation in 2013-2014 employed at least two assistant principals, deans, or similar positions (55 percent). Together, the evidence suggests that KIPP schools were creating junior leadership positions in their early years of operation during the grant period, providing an increasing number of leaders with the experience needed to advance earlier to the position of principal.

Regional executive directors reported a robust pipeline of candidates for the principal position. On average, they reported almost seven leaders in the pipeline for the principal role, although the range of responses was broad (0 to 30).[12] We describe the training experiences of the leaders in the pipeline in the next section.

D. Leadership training at KIPP

The KIPP Foundation employs a variety of training and development opportunities to groom new leaders and improve the ability of existing leaders to lead the expanding network of KIPP schools. The foundation used i3 grant funds to expand both national and regional leadership development. At the national level, the foundation allocated funds to increase the number of available seats in each KSLP program. At the regional level, the i3 grant funded the creation of regional director of leadership development positions to expand development opportunities for new and current leaders beyond KSLP. In this section, we examine the nature of training and development at KIPP and how it changed over the grant period.

1. KIPP school leadership programs

To develop the skills embodied in KIPP's Leadership Competency Model and promote a common culture in KIPP schools, the KIPP Foundation has developed a series of training programs collectively referred to as KSLP. In this report, we focus on five nationally run, year-long KSLP leadership programs, each of which targets a distinct set of skills corresponding to various KIPP leadership roles (Table II.1). Each KSLP program blends various training or instructional components to form a unique development program for each leadership role. Each component has an identified purpose, a fixed duration, and specific instructional activities; some components are shared across programs. Components may require participants to develop products such as reports; samples such as school design plans and ideas for standards-based

[11] When principals were asked to recall the year in which their school created its first assistant principal or dean position, 37 percent of those from schools that opened in the grant period indicated their school hired its first assistant principal or dean in its first year of operation, but only 18 percent of principals from schools that opened in the pregrant period reported that their school did the same. These findings are less reliable because we asked principals to recall historical information; particularly for older schools, the principal may not have worked at the school when the first assistant principal or dean was hired.

[12] The median number of leaders reported to be in the pipeline was six.

instruction; and procedures for hiring, induction, and performance management. The programs are cohort-based in order to facilitate the development of networks through which leaders may learn from and support one another. Together, the programs reportedly help leaders develop the skills needed to progress through KIPP's most common sequence of leadership roles: classroom teacher to teacher-leader (grade level chair or department chair) to assistant principal or dean to principal. We provide more detail on these programs and their history in our baseline implementation report (Furgeson et al. 2014a).

Table II.1. KIPP school leadership programs through 2015

Program	Overall number of participants 2007–2015	Target leadership role
Fisher Fellowship (started 2000)	158	Founding principal at new school
Miles Family Fellowship (started 2007)[a]	130	Individuals preparing for Fisher Fellowship
Successor Prep (started 2003, formerly called Principal Prep)	177	Successor principal at existing school
Leadership Team (started 2007)	502	Assistant principal or dean
Teacher Leader (started 2007)	942	Grade level chair or department chair

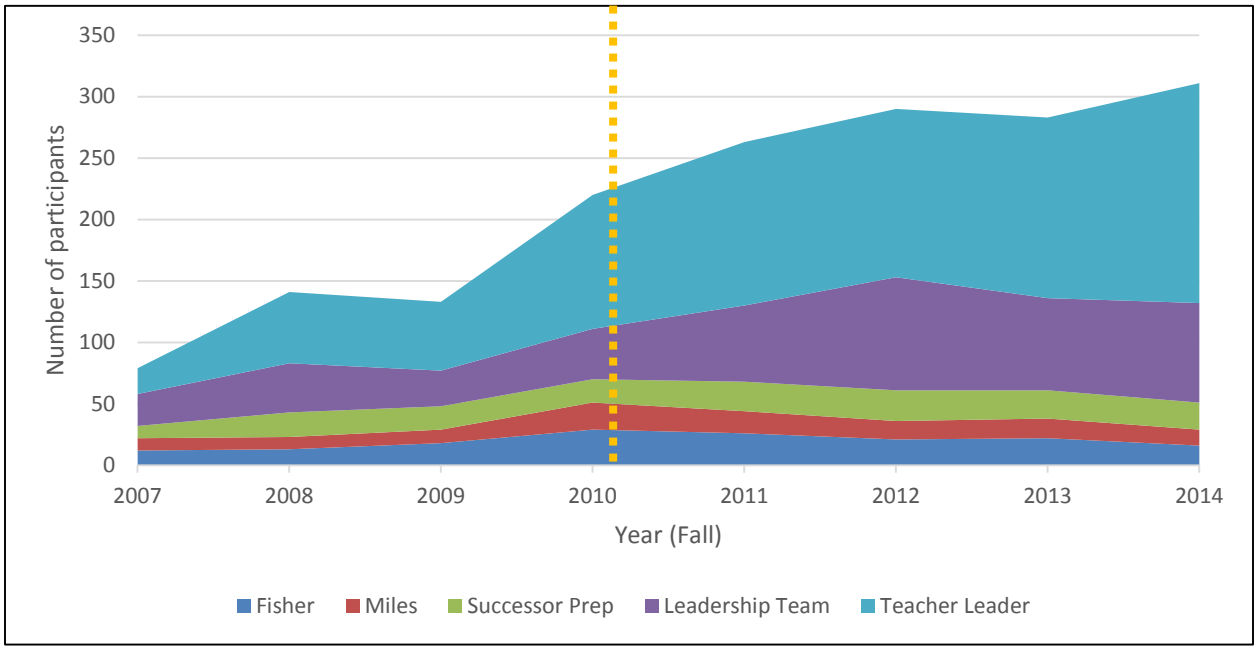
Source: KIPP Foundation data.

[a]Provides less experienced but promising principal candidates with an extra year of preparation before they apply for the Fisher Fellowship.

With receipt of the i3 grant, KIPP was able to increase the number of leaders participating in the KSLP programs overall (Figure II.5). In the years leading up to the grant and in preparation for the network's rapid growth, KIPP was already expanding KSLP training programs, particularly the Fisher and Miles Family Fellowship programs that prepare leaders to open new KIPP schools. During the grant period, the KIPP Foundation expanded training opportunities for the more junior leaders likely to advance one day into more senior leadership positions at KIPP. In particular, the network increased the number of participants in the Teacher Leader and Leadership Team programs to strengthen the pipeline from the bottom up. It was able to do so, in part, by expanding its operations team to handle logistics and hire more designated staff to run specific components.

Regional executive directors reported that most leaders in the pipeline for the principal role were receiving formal KSLP training to prepare them for more advanced positions. As noted previously, executive directors reported an average of almost seven leaders in the pipeline for the principal role; on average, 95 percent of these leaders had either completed or enrolled in KSLP training. On average, 3.9 leaders in the pipeline had completed or enrolled in the Fisher Fellowship, Successor Prep, or Leadership Team training (the three programs that prepare participants directly for assistant principal and principal positions), and another 2.7 had completed or were enrolled in Miles Family Fellowship or Teacher-Leader training (other leadership development programs that do not immediately prepare leaders for assistant principal and principal positions but still offer leaders a possible path to these positions).

Figure II.5. KSLP participation, by program and year



Source: KIPP Foundation data.

Notes: The dotted yellow line indicates the start of the grant period. The 2007-2008 school year was the first year for which we received data.

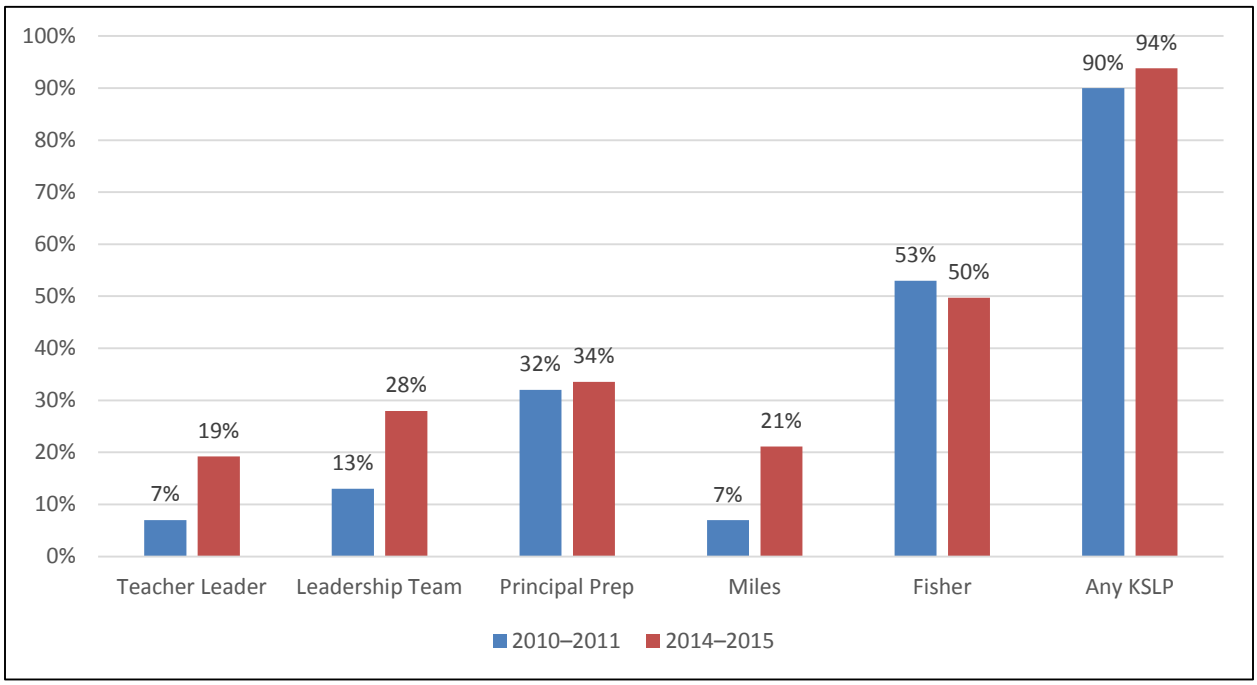
Current KIPP principals (2014–2015) were more likely to have participated in junior KSLP programs as they moved up the leadership pipeline than were principals already in place in the pregrant period (Figure II.6). In particular, participation increased in the Leadership Team, Teacher-Leader, and Miles Family Fellowship programs (by 15, 12, and 14 percentage points, respectively).The increases suggest that the programs may be successfully funneling promising leadership candidates into the pipeline and providing them with the training experiences they need to advance to more senior leadership roles. As the network expands, the ratio of new to existing schools decreases, increasing the need for leaders trained to be successors (through the Successor Prep pathway) relative to the proportion trained to be founding principals of new schools (through the Fisher Fellowship pathway).

In addition to expanding KSLP to serve more participants overall, the network took small steps to improve the rigor and quality of its programs by, for example, introducing “capstone” projects for the Leadership Team and Teacher-Leader programs. The capstone projects are meant to complement parallel projects for other KSLP programs. For example, assistant principals or department chairs might use their capstone projects to establish goals to improve student performance on specific academic standards. They then work within small learning teams to develop a plan for measuring progress toward the goals throughout the year.

Further, the network reshaped the Successor Prep program so that it is better aligned with the needs and timeline of leaders preparing to take over a school (the reshaping corresponded to the renaming of the program, which was formerly Principal Prep). Before the change, leaders were supposed to receive training for 12 months before taking over as successor principals; in practice, leaders were not necessarily identified far enough in advance to enroll in the year before

their succession and therefore received training simultaneously with assuming their position as successors. To remedy the situation, the program start was shifted earlier, from May to January, allowing successor leaders to participate in six months of training before taking over as successor leaders and then continue receiving training during their first six months as principal. The change accomplished three primary goals. First, it gave KSLP leaders more time with participants before they became successor leaders, ensuring that all successors have the same level of preparation before they transition into their new roles. Second, it encouraged regional leaders to be more thoughtful about succession planning and identify successor leaders in time for enrollment in the program. Third, it enabled the network to more closely align Successor Prep with other ongoing professional development for sitting principals. Though participants in Successor Prep still attend a summer institute, which is closely aligned with sitting principal programming such as instructional coaching, they do so for less time so that they are able to spend more time in their schools.

Figure II.6. Percent of principals participating in KSLP, by program and overall



Source: KIPP Foundation data.

Note: The analysis includes all sitting principals in the 2010–2011 and 2014–2015 school years. Principals often participated in more than one program, thus the total participating in any KSLP program is not equal to the sum of the percentages participating in individual programs.

The KIPP Foundation now requires Successor Prep participants to complete a school quality review. Though the process is still evolving, a school quality review begins with a visit by a KIPP Foundation team to the school. The team helps the successor principal identify up to three priorities, or focus areas, for his or her first year as principal. The three priorities feed into a capstone project, which the leader is expected to implement during his or her first year as principal. At some schools, the incoming principal leads the identification of priorities in collaboration with KSLP staff; at other schools, the regional leadership team leads. With

priorities established, regional leaders visit the school during the transition year to measure progress toward achieving the priorities.

2. Regional training and development

To supplement KSLP, additional professional development opportunities are offered by KIPP regions. The type and structure of regional training and development offerings shifted during the grant period, in part because of the availability of grant funds to hire regional directors of leadership development. In 2014–2015, 38 percent of regions had a regional director of leadership development to refine and expand local development opportunities for new and current leaders. For example, a large majority of principals in 2013–2014 reported that they received coaching (81 percent) and attended conferences, training sessions, or meetings offered by their region (95 percent). However, the regions appear to have moved away from offering formal leadership development programs at the regional level since the start of the grant period. In 2010–2011 (pregrant period), 65 percent of KIPP executive directors—the senior leaders responsible for managing all aspects of their region—reported that their region operated a leadership development program. In 2014–2015, only 42 percent of executive directors reported the same.[13]

3. On-the-job development

In addition to these structured professional development offerings, KIPP school leaders are also developed through on-the-job training as they progress through the leadership pipeline. School leaders' experiences in various leadership positions provide opportunities to develop leadership skills in preparation for ultimately assuming the position of school principal. In 2014–2015, current KIPP principals had an average three years of experience in the principal position (Table II.2). In total, 89 percent had at least one year of experience as a principal before the current school year, and 86 percent had at least one year of principal experience in KIPP. Many also had experience as assistant principals or deans (71 percent) and grade level chairs (65 percent), two positions typically considered part of the leadership pipeline. Roughly a third had experience as a department chair (36 percent) or as a Saturday school coordinator (31 percent)—a role often considered a testing ground for promising candidates for principal. In general, the data suggest that principals advanced through junior leadership roles rapidly, spending an average of fewer than two years in each position.

E. Leadership responsibilities at KIPP

Given KIPP principals' autonomy in how they run their schools, knowing how KIPP principals prioritize their many responsibilities may help other schools and future KIPP leaders to replicate their approach and inform the skills and attributes that are the focus of development efforts for more junior leaders. In particular, the KIPP Foundation views experience in the assistant principal or dean position as critical preparation for the principal position. Because KIPP principals are responsible for managing all key areas of their schools including instruction, management, and culture, the KIPP Foundation believes assistant principals or deans are best

[13] Though we did not directly ask why regions shifted away from offering formal leadership development programs, some case study respondents characterized some local programming as duplicative of KSLP, perhaps explaining the rationale for eliminating some local programs.

prepared for the principal position when they gain experience overseeing all the key functions assigned to KIPP principals.

Table II.2. Experience of KIPP principals

Type of experience	Percent of principals with any experience			Mean years of experience		
	Total	Inside KIPP	Outside KIPP	Total	Inside KIPP	Outside KIPP
Principal	89	86	10	3.0	2.6	0.4
Assistant principal, dean, or similar position	71	63	13	1.7	1.4	0.3
Grade level chair	65	55	20	1.3	1.0	0.4
Department chair	36	24	14	0.9	0.5	0.4
Saturday school coordinator	31	27	6	0.7	0.6	0.1
Number of principals	**131–132**					

Source: 2014–2015 principal census survey.

Notes: Sample size is larger for these questions than for other questions in the survey because six schools have co-principals who both answered this section of the survey.

1. Principals' responsibilities

During the grant period, principals continued to view instructional leadership and managing others as their top responsibilities. When principals were asked to describe their top three responsibilities in 2010–2011, they most frequently listed managing others (90 percent), instructional leadership (85 percent), and operational management (75 percent).[14] In 2014–2015, responses were similar—managing others (75 percent) and instructional leadership (81 percent) were among the responsibilities principals perceive to be most important (Table II.3). However, only 11 percent of principals in 2014—2015 listed operational management as among their most important responsibilities. Principals may be delegating operational management to other leaders to free their time for instructional leadership and managing staff. Following receipt of the grant, principals placed greater emphasis on leadership development. In 2014–2015, 95 percent of principals considered leadership development as one of their main responsibilities, though only 21 percent did so in 2010–2011. More than two-thirds of principals (and often almost all) reported that they had responsibility for all of the other categories of responsibility named in the survey except fundraising and board relations, for which only 23 and 18 percent of principals, respectively, reported responsibility. However, principals of single-site schools typically reported responsibility for these two areas (80 and 100 percent, respectively).

[14] The results are not directly comparable to the top three responsibilities cited in 2014–2015. In the interviews in 2010–2011, principals often listed more than three responsibilities or listed responsibilities that crossed categories. In 2014–2015, principals were asked to select their main responsibilities as school leader from a set of options (categories based on the open-ended responses of principals from 2010–2011) and to rank their responsibilities in order of importance.

Table II.3. Percent of schools with common leadership responsibilities for principals

Responsibility	Percent of principals ranking responsibility among top three	Percent of principals with each responsibility
Instructional leadership	81	99
Managing others	75	99
Cultural leadership	47	98
Developing leaders	35	95
Building relationships with current students and parents	19	96
Operational management	11	85
Data-based decision making	11	96
Community outreach	2	67
Fundraising	1	23
Board relations	1	18
Number of principals	**128**	**130**

Source: 2014–2015 principal census survey.

Notes: Principals were first asked to indicate all responsibilities they prioritized and then to rank their top three priorities. Principals reported prioritizing an average 8.9 responsibilities.

2. Assistant principals' and deans' responsibilities

KIPP principals generally rely on one of two approaches to allocate responsibility for the three key leadership responsibilities—instruction, management, and culture—across assistant principals and or deans at their schools. For the first approach, we use the term "general" to describe the responsibilities of assistant principals or deans charged with all three key responsibilities. These leaders often are responsible for oversight of a subset of grades at their school and are typically titled assistant principal or vice principal. For the second approach, we use the term "specialized" to describe the responsibilities of assistant principals or deans with only one or two of these responsibilities. These leaders are typically titled deans (for example, dean of instruction or dean of culture) and are often responsible for overseeing a specific aspect of leadership for all grades in their school.

More KIPP schools had at least one junior leader with general responsibilities in the grant period than in the pregrant period. In 2010–2011, before the start of the grant period, 54 percent of schools had at least one generalist assistant principal or dean with responsibility for the three key areas, whereas by 2013–2014, 80 percent of schools did so. In other words, in 2013–2014 more schools had at least one leader with the experience overseeing all three key leadership areas that, according to the KIPP Foundation, best prepares leaders to advance to the principal position. Although the proportion of schools with at least one generalist junior leader seems to be increasing, the overall ratio of generalists to specialists remained the same over the grant period (58 percent of assistant principals or deans were generalists in 2010–2011 and in 2014–2015). The explanation may reflect in part the growth of high schools during the grant period, which are

more likely than elementary and middle schools to employ specialist assistant principals or deans (in 2014–2015, 47 percent of assistant principals and deans in KIPP high schools were generalists compared to 62 percent in elementary schools and 58 percent in middle schools).

F. Performance management in KIPP schools and regions

Leadership development in KIPP regions and schools often begins during the performance management process, which ideally details expectations for teacher and leader performance, identifies needs, and appropriately structures development to meet those needs. Information on how performance management is conducted at KIPP schools and regions may help other schools and future KIPP leaders develop their own performance management systems. In the following sections, we describe how KIPP defines performance management; the frequency of performance management activities across leadership levels (principal versus junior school leaders and teachers), schools, and regions; and staff perceptions of performance management activities.

1. The KIPP performance management cycle

According to the KIPP Foundation, the performance management cycle at KIPP is a continuous process that includes four key steps (Figure II.7). The process begins with the clarification of roles and responsibilities, which entails matching job responsibilities to individual strengths and areas for growth. The second step is goal-setting, whereby leaders (or their coach or supervisor) establish (or jointly establish) goals related to specific performance outcomes (for example, test scores or student attendance) as well as to the individual's development as a leader (for example, a leader's ability to provide instructional feedback to teachers). The goals typically vary with the leader's responsibilities; a principal's goals might relate to the performance of the whole school, whereas a grade level chair's goals might be specific to the grade that he or she oversees. The goals of individual leaders should cascade from the broader goals for the whole school (in other words, individuals leaders' progress toward meeting their goals feeds into the achievement of overall school goals).

The third step in the performance management cycle is iterative coaching and monitoring through a combination of (1) data collection, (2) observation and feedback, and (3) weekly one-on-one meetings between leaders and their supervisors. Among the types of data typically used for coaching and monitoring purposes are observations of the leader (for example, a principal may be observed delivering feedback to a teacher or leader), assessment data, and data on school climate collected through KIPP's Healthy Schools and Regions Survey. In addition, staff may collect data to self-monitor their progress. Feedback may be formal and informal. For example, a principal may meet with individual teachers weekly to discuss what the principal observed during a classroom observation (the use of regular one-on-one meetings between staff and their supervisors is common in KIPP schools and regions). In the final step of the performance management cycle—typically during a mid- or end-of-year review, but sometimes during a quarterly review—leaders undergo a formal evaluation of their progress toward meeting the goals and expectations established in the second step of the performance management cycle. A mid-year evaluation may lead to a shift in roles and responsibilities for the leader and feed into the development of new goals and expectations. An end-of-year evaluation is intended to inform hiring and promotion decisions for the next school year.

While certain steps of the cycle occur at specific times of the school year, the performance management cycle is intended to be continuous. KIPP believes that leaders should clarify roles and responsibilities and reset goals and expectations as necessary throughout the year.

Figure II.7. The KIPP performance management cycle

2. The frequency of performance management activities

The frequency of goal setting, observation and data collection, and the provision feedback at KIPP schools and regions varied across leadership levels (Table II.4). In general, teachers' performance management activities occurred with the greatest frequency; typically, teachers set goals quarterly and were observed or had data collected on their performance, and received feedback weekly. Principals and junior leaders typically set goals annually and were observed or had data collected on their performance monthly; however, they still received feedback on a weekly basis. In Appendix Table A.3, we provide more detail on the frequency of performance management activities.

Table II.4. Most common frequency of performance management activities, by leadership level

Staff level	Goal setting	Observation/data collection	Feedback
Teachers	Quarterly	Weekly	Weekly
Junior leaders	Annually/biannually	Monthly	Weekly
Principals	Annually/biannually	Monthly[a]	Weekly

Source: 2014–2015 principal and executive director census surveys.

Note: The frequency of performance management activities was reported by regional executive directors for principals and by principals for junior leaders and teachers. Respondents selected from six response categories: (1) never; (2) annually or biannually; (3) quarterly; (4) monthly; (5) biweekly; and (6) weekly. Some categories are combined here. The table indicates the most commonly selected frequency of each performance management activity at each level to illustrate the performance management experiences of a typical leader.

[a]This question in the executive director census survey asked about the frequency with which executive directors received feedback based on observations of their performance; it did not ask about the frequency with which they were observed.

3. Perceptions of performance management activities

According to their supervisors, most principals, junior leaders, and teachers had clearly documented goals and expectations for their performance and knew whether they were meeting performance expectations for their roles. In total, 88 percent of regional executive directors agreed or strongly agreed that principals had clearly documented goals and expectations. Similarly, 85 percent of principals agreed or strongly agreed that the same was true for junior leaders, and 93 percent reported the same for teachers. In addition, 88 percent of executive directors agreed or strongly agreed that principals knew whether they were meeting performance expectations for their roles; 85 percent of principals agreed or strongly agreed that the same was true for junior leaders, and 91 percent agreed that the same held for teachers. In Appendix Table A.4, we provide additional detail on perceptions of performance management activities.

G. Principal selection in KIPP schools and regions

The process and criteria used to select principals are a critical mechanism through which leaders at the KIPP Foundation and in KIPP regions influence the operation of their schools. The KIPP Foundation manages the selection process for founding principals, who, in turn, establish the academic environment and school culture at new KIPP schools, however, candidates must be nominated by their regional leaders before they may apply for the Fisher Fellowship. Regional leaders or the board of single-site schools oversee the selection of successor principals who take over existing KIPP schools, often with considerable input from the departing principal. In this section, we examine the selection process as well the skills prioritized in the selection of principals; we then discuss changes in those practices over the grant period.

1. Characteristics prioritized in the selection of KIPP principals

Given the considerable autonomy afforded to principals at KIPP schools, the criteria used to select principals is a key avenue through which KIPP regional leaders exercise control over the direction of their schools. The knowledge, skills, and abilities that regional executive directors

reported prioritizing when selecting principals to found new KIPP schools and to serve as successor principals at existing KIPP schools are summarized in Table II.5.

Table II.5. Characteristics prioritized in the selection of founding and successor principals

Characteristic	Percent of executive directors ranking characteristic in top three priorities		Percent of executive directors prioritizing characteristic	
	Founding principals	Successor principals	Founding principals	Successor principals
Teaching leadership	78	78	96	88
"Whatever it takes" mentality	65	57	100	96
Management ability	57	65	92	96
Vision/mission	17	13	63	54
Experience in a KIPP or KIPP-like school	13	13	95	92
Teaching ability	13	4	88	75
Organizational skills	9	4	71	75
Student management ability	9	0	96	83
Flexibility	4	9	96	88
Strong relationships with families	4	9	83	88
Experience with the school/community/region	4	0	83	92
Experience in creating systems	4	0	63	54
Change management skills	0	26	29	54
Ability to work within an existing structure	0	0	50	58
Number of regions	**23**	**23**	**24**	**24**

Source: 2014–2015 executive director census survey.

Notes: On average, executive directors selected 11.2 characteristics they prioritized for the selection of founding principals and 11.0 skills they prioritized for the selection of successor principals.

When making hiring decisions about either founding or successor principals, executive directors prioritized the same three characteristics—teaching leadership, management ability, and a "whatever-it-takes" mentality. In the pregrant period, executive directors also emphasized the same characteristics, along with teaching ability, indicating that the criteria used to select principals has remained fairly steady over the grant period. [15] In both periods, executive directors

[15] The findings from the 2014–2015 principal and executive director census surveys, administered during the grant period, are not directly comparable to our findings from the first report. In the follow-up survey, leaders ranked their priorities from among a set of options, whereas, in the baseline census telephone interviews, leaders responded to open-ended questions about what they prioritized in selection. We used the open-ended responses from the baseline telephone interviews to develop the response categories for the follow-up survey.

viewed change management skills—or the ability to influence change within an existing structure (including staff and culture)—as especially important for successor principals.

Even though executive directors named teaching leadership, management ability, and a "whatever it takes" mentality as the most highly valued principal characteristics, they also looked for a broad set of knowledge, skills, and abilities when selecting both founding and successor principals. At least 50 percent of executive directors reported that they prioritized each of the 14 characteristics we asked about for the selection of both founding and successor principals; the one exception was change management, which only 29 percent of executive directors prioritized for founding principal candidates. The percentage of executive directors prioritizing each characteristic was similar for founding and successor principals—a difference of fewer than 10 percentage points—for all 14 characteristics except change management skills, which was prioritized more by executive directors in the selection of successor principals.

2. Selectivity of Fisher and Miles Family Fellowship programs

The selection process for the Fisher and Miles Family Fellowship programs, which train future founding principals, remained highly selective during the grant period. Principals selected into the KSLP Fisher Fellowship program are slated to found new KIPP schools and complete the year-long program before founding their respective schools. The KIPP Foundation and regional leaders collaborate in recruiting and selecting fellows, although the intensity and extent of regional leader participation vary. The selection of Fisher Fellows occurs in conjunction with the selection of Miles Fellows. The Miles Family Fellowship is a one-year program that prepares participants to become Fisher Fellows, though admission to the Fisher Fellowship is not guaranteed. Most applicants express interest in both fellowships, and the selection team decides which fellowship is the better fit for the candidate. Fisher and Miles candidates are winnowed through several selection phases—an application review, telephone interview, regional interview, and a final selection event, consisting of a set of interviews. Given that KIPP grew rapidly during the grant period and increased demand for principals to open new KIPP schools, it is reasonable to think that the selection process for new principals could have become less selective in order to increase the supply of principals. In reality, however, the selectivity of the Fisher and Miles selection process remained remarkably similar over the grant period, with only 6 percent of applicants awarded a Fisher Fellowship and another 8 percent awarded a Miles Family Fellowship in both years.

3. Nature of the selection process for successor principals

Across regions, two key dimensions characterize the selection process for successor principals—whether the process is formal or informal and whether it is open or closed. A formal selection process involves the submission of materials (such as an application, a résumé, or a lesson plan) or the execution of a task (such as a sample teaching lesson). This process facilitates transparency by clarifying how applicants are evaluated. An open process meets two criteria: (1) the process is not limited to certain applicants, implying that any interested candidate may apply for a position (for example, through an announcement of an opening); and (2) a specific candidate is not preselected for a position in advance of the application process.

The majority of regional executive directors (54 percent) reported that, during the grant period, they relied on a formal process to select successor principals (Table II.6). During the

pregrant period, only 42 percent of executive directors reported the use of a formal process for at least some successor principals. Among regions where executive directors reported using a formal process, the percentage reporting an open versus a closed process was fairly similar (29 and 25 percent, respectively). Executive directors in all regions where an informal process was used also reported using a closed process; that is, the process was limited to either certain applicants or a specific candidate preselected for the position. Overall, the proportion using an open process for at least some candidates was similar during both the pregrant and grant periods (29 and 32 percent, respectively).

Table II.6. Characteristics of the selection process for successor principals

Approach	Percent of executive directors reporting each approach
Formal	54
Formal and open	29
Formal and closed	25
Informal and closed	46
Sample size	**24**

Source: 2014–2015 executive director census survey.

Note: No executive directors reported use of an informal and open approach.

H. Practices used in KIPP schools

To understand more fully how leaders exercise their considerable autonomy in managing schools, we examined the practices that leaders implemented in KIPP schools and regions, focusing primarily on a set of four practices theorized to be related to school impacts and building on earlier research, where applicable. The four practices are (1) prioritizing high expectations for academics and behavior; (2) using interim assessments and data to drive instruction; (3) using systems and structures to reduce burden on individual teachers and schools; and (4) customizing instruction to meet individual student needs.

1. School priorities

A study of New York City charter schools found that high expectations for student academics and behavior are associated with greater impacts of charter schools on mathematics and English/language arts outcomes. In the study, high expectations for student academics and behavior are measured by whether schools ranked the following 2 priorities as their top 2 from a list of 10 priorities: (1) "a relentless focus on academic goals and having students meet them"; and (2) "very high expectations for student behavior and discipline" (Dobbie and Fryer 2013).

Principals at 45 percent of KIPP schools operating in 2013–2014 provided responses consistent with the above definition of high expectations for student academics and behavior. Almost all principals reported that "a relentless focus on academic goals and having students meet them" was among their top two priorities (91 percent), but only 51 percent of principals selected "very high expectations for student behavior and discipline" among their top two priorities. Another priority, "a comprehensive approach to the social and emotional needs of the whole child" was also ranked in the top two priorities by 39 percent of principals. Fewer than 10 percent of principals ranked the remaining seven priorities among their top two. The next most frequently ranked priorities were "ensuring that lessons first systematically develop 'basic skills'

and second push kids beyond the concrete to develop application and synthesis skills" (9 percent) and "building a student's self-esteem through positive reinforcement" (5 percent).

2. Interim assessments and the use of data to drive instruction

Some research has suggested that the use of data to drive instruction contributes to a school's effectiveness (Dobbie and Fryer 2013; Furgeson et al. 2012). We looked at the types of interim assessment data collected at KIPP schools as well as at how data is used in KIPP regions and schools.

Most regional executive directors (83 percent) reported that schools in their region are required to use a common set of interim assessments. The use of a common set of regional assessments may reduce the burden on schools associated with creating or selecting assessment tools on their own. In addition, reliance on a common set of metrics can help foster a common understanding of the knowledge and skills that should be the focus of instruction, facilitate collaborative planning and interpretation of data, and allow staff in the region to track student, teacher, and school performance using a consistent set of metrics. One executive director reported that a common set of interim assessments was optional for the region's schools; the remaining 13 percent of regions did not have a common set of interim assessments.

According to principals, the typical teacher in most KIPP schools uses a variety of interim assessments in mathematics and English/language arts (Table II.7). The most common assessments are end-of-unit assessments administered by the typical mathematics teacher in 90 percent of schools and the typical English/language arts teacher in 86 percent of schools. A similar proportion of regions required or recommended the use of such assessments. All other types of assessments listed in the survey were common in KIPP schools and required or recommended by most regions; the only exception was weekly formative assessments, which fewer than half the regions required or recommended in English/language arts. Daily exit tickets—a mini-assessment completed by students to assess their understanding of the day's lesson before they leave a class—were common, particularly in mathematics. Together, the various assessments generate data that KIPP teachers and schools may use to inform their instructional decisions. All KIPP schools are also required to administer the Measures of Academic Progress test to their students each year, providing an additional source of data for use by teachers, school and regional leaders, and the network to assess progress and student needs.

Most teachers and schools receive a variety of supports from staff at their school or region around the use of data, including data or reports, coaching, and professional learning communities, at least quarterly (Table II.8). More than half of principals (56 percent) reported that their teachers received data or reports on student results on a quarterly basis; most of the remaining principals reported that teachers received data or reports more frequently (37 percent). Most regional executive directors also reported that they provided data or reports on student results to their schools on a quarterly or monthly basis (38 and 33 percent, respectively). According to principals and regional executive directors, coaching in the use of data was also common; about two-thirds of regional executive directors (66 percent) reported that they provided coaching to schools on a monthly or quarterly basis, and 71 percent of principals reported that their teachers received coaching in data use at the same frequency. Professional learning communities were the least common type of support offered; still, about two-thirds of

principals reported that teachers participated in professional learning communities at least quarterly.

Table II.7. Types of interim assessments used in KIPP schools

Assessment type	Percent of principals reporting teachers' typical use		Percent of executive directors requiring or recommending	
	Mathematics	English/ language arts	Mathematics	English/ language arts
Daily exit tickets	82	66	71	67
Weekly formative assessments	79	76	57	48
End-of-unit assessments	90	86	86	81
Quarterly benchmark assessments	84	83	81	81
End-of-year assessments	78	75	81	81
Number of principals/ executive directors	**128 principals**		**21 executive directors**	

Source: 2014–2015 principal and executive director census surveys.

Table II.8. Supports for the use of data in KIPP schools and regions

Type of support	Percent of schools or regions with each frequency			
	Daily or weekly	Monthly	Quarterly	Rarely or never
KIPP schools (principal report)				
Typical teacher received data or reports on student results from the school or region	20	17	56	7
Typical teacher received coaching in the use of data to drive instruction	20	32	39	9
Typical teacher participated in a professional learning community around the use of data	13	18	37	32
KIPP regions (executive director report)				
Region provided schools with data or reports on student results	19	33	38	10
Region provided schools with coaching in the use of data to drive instruction	14	33	33	19
Region facilitated professional learning communities around the use of data	5	29	43	24

Source: 2014–2015 principal and executive director census surveys.

Notes: Rows may not total to 100 percent because of rounding

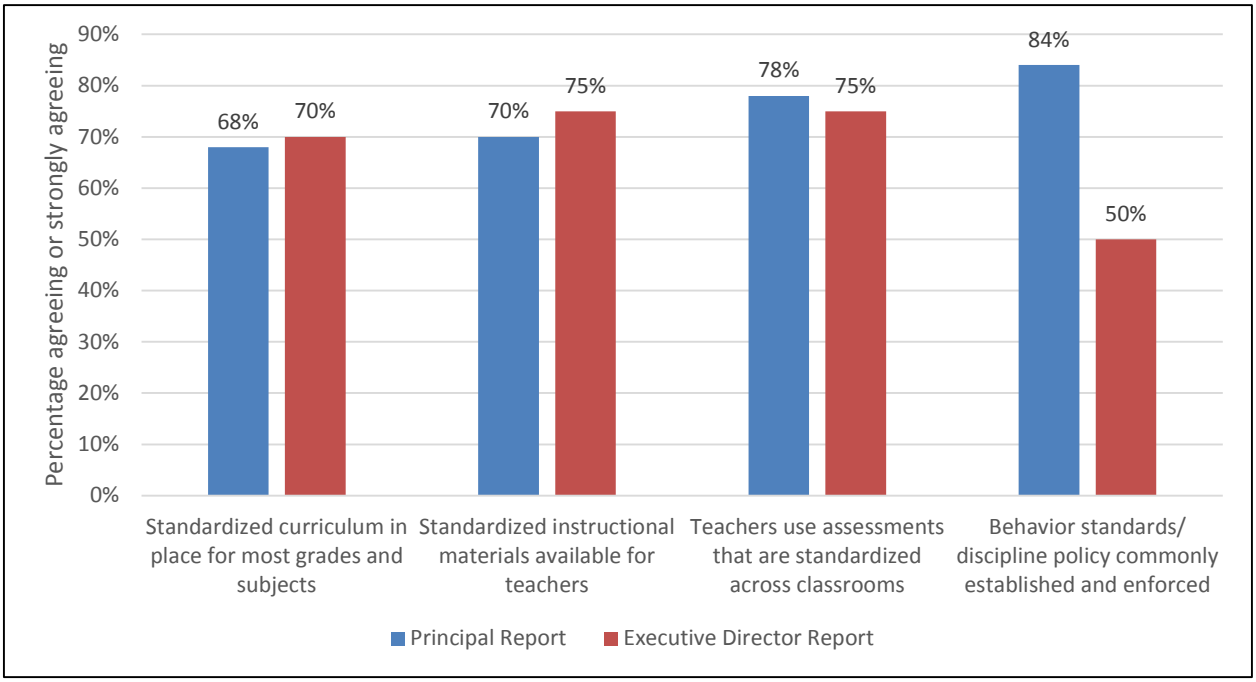
3. Systems and structures

Historically, KIPP teachers and principals have had considerable autonomy in selecting their curricula, instructional materials, and assessments and formulating their discipline policies; often, teachers in KIPP schools developed instructional materials and assessments for use in their own classrooms. Even though autonomy affords teachers and principals flexibility in selecting the approaches they deem most effective for their students, it also imposes a burden on them in terms of the time required to create materials. By creating a set of standard systems and

structures for use by teachers and school leaders, regional and school staff could reduce the burden on individual teachers, and regional staff could reduce the demands on individual schools.

Roughly two-thirds to three-quarters of principals and regional executive directors agreed or strongly agreed that there were common systems and structures for curriculum, instructional materials, and assessments for their schools and teachers; in other words, in these schools and regions, teachers at least had the option to select from existing tools rather than create their own (Figure II.8). Regional respondents were less likely to agree that behavior standards and discipline policies were established at the regional level, although half of the regional executive directors still reported a common set of standards and disciplinary procedures. On the other hand, most KIPP principals agreed or strongly agreed that behavior standards and discipline policy were established and enforced consistently across the whole school (84 percent).

Figure II.8. Systems and structures in KIPP schools and regions



Source: 2014–2015 principal and executive director census surveys.

4. Individualized instruction

The KIPP Foundation is promoting the careful use of individualized instruction as one way to increase the effectiveness of KIPP schools and make efficient use of time in school. At the same time, existing research links high quality, small-group instruction to higher impacts in charter schools (Dobbie and Fryer 2013). Principals of KIPP schools reported on the frequency with which a typical teacher in their schools used different forms of individualized instruction and whether and how small-group instruction was delivered in their schools.

Principals reported that teachers regularly used a wide range of approaches to individualize instruction for their students (Table II.9). Most principals reported that the typical teacher at their school engaged almost every day in each of the six practices listed in Table II.7. In addition,

more than 80 percent of principals reported that teachers engaged in each practice at least weekly. Individualization went beyond struggling students; 45 percent of principals reported that the typical teacher supplemented the regular curriculum with additional material for some students almost every day, and another 43 percent reported that teachers did the same once or twice a week. The use of technology to individualize instruction was also common, with more than half of principals reporting that the typical teacher used technology to provide instruction tailored to individual student needs almost every day.

Table II.9. Frequency with which types of individualized instruction are used in KIPP schools

	Percent			
Type of individualized instruction	Almost every day	Once or twice a week	Once or twice a month	Never or hardly ever
Adapt instruction to address different learning goals for some students	56	35	5	3
Use a different set of methods to teach some students	45	42	9	4
Direct some students to engage in different classroom activities	45	44	10	2
Supplement the regular course curriculum with additional material for some students	45	43	11	2
Pace teaching differently for some students	44	37	14	5
Use technology, such as computers, tablets, or instructional software, to provide instruction tailored to individual student needs	53	33	10	4

Source: 2014–2015 principal census survey.

Note: Rows may not total to 100 percent because of rounding. The number of principals responding to each question totaled 130.

Close to a third of KIPP schools (29 percent) also use small-group tutoring—groups of six or fewer students—to tailor instruction to individual student needs (Table II.10). Across all levels, students in need of academic remediation were most likely to receive small-group tutoring (19 percent). Only 5 percent of KIPP schools offered small-group tutoring for students in need of academic enrichment.

Tutoring was most commonly delivered in a "pull-out" or "power hour" setting (59 and 57 percent of teachers used these delivery modes, respectively). In other words, most schools offering small-group tutoring delivered it by pulling students out of their regular classes to receive tutoring or designating a time for small-group instruction during the regular school day. About a third of schools (32 percent) offered supplemental tutoring outside the regular school day, and about 22 percent of schools offered "push-in" tutoring—in which a tutor delivered small-group tutoring within the context of students' regular classroom.

Small-group tutoring was most frequent for students below grade level; among schools offering small-group tutoring for such students, they provided it an average of 16 times a month. Schools offering small-group tutoring for on- and above-level students provided it less frequently—about 10 and 9 sessions a month, on average, respectively.

Table II.10. Small-group tutoring in KIPP schools

	Percent/mean
Practice	**Total**
Offer any small-group tutoring (percent of schools)	29
Types of students qualifying for small-group tutoring (percent of schools)	
All students	15
Students who need remediation	19
Students above grade level	4
Students in need of academic enrichment	5
Other students (students on the "bubble," credit-recovery students, English-language learners)	2
Sample size (schools)	**128**
Delivery mode for small-group tutoring (percent of schools among those offering)	
Pull-out tutoring	59
Supplemental tutoring	32
"Power hour"	57
Other (e.g., "push-in")	22
Frequency of small-group tutoring (mean number of sessions per month among those offering)	
Above-level tutoring	9.1
On-level tutoring	10.6
Below-level tutoring	16.0
Sample size (schools)	**37**

Source: 2014–2015 principal census survey.

Note: Small-group tutoring refers to tutoring for groups of six or fewer students. Pull-out tutoring refers to pulling students out of their regular classes to receive tutoring; supplemental tutoring refers to tutoring offered outside the regular school day; "power hour" refers to a designated time when students receive small-group instruction during the regular school day; and push-in refers to tutoring delivered within students' regular classrooms.

III. CASE STUDIES OF PROMISING LEADERSHIP PRACTICES

As part of the KIPP Foundation's efforts to equip staff in KIPP regions and schools to adopt proven practices, Mathematica conducted case studies of five KIPP regions to document promising practices as the i3 grant period approached its conclusion. The case studies provide detail on some of the leadership practices covered in Chapter II of this report. Although each of the 12 findings presented in this chapter represents a distinct practice in isolation, each reported practice is only one component of a larger system of leadership practices specific to each region. When individual regions and schools do not implement an identified practice, they usually implement a different practice that fulfills the same function. Further, it may be the combination of various leadership practices employed in a region or an entirely different set of practices that makes each region successful in achieving strong student outcomes. In Appendix B, we provide details on the leadership practices implemented in each region.

1. Consistent but flexible leadership team structures allow schools to accommodate unique needs.

In general, the regions we visited for the case studies have similar oversight structures for their schools, which also have common school leadership team structures. Four of the regions use a head-of-school or chief academic officer model, under which two to three regional leaders each oversees a subset of schools and serves as the respective principals' coaches and managers. Regional leaders in all five regions recommended common leadership structures for schools serving all planned grades—one principal, two assistant principals or deans, and grade level chairs for each grade level—but we observed many variations on this model in all five regions. Regional leaders report that common school leadership structures facilitate the provision of support to leaders with similar responsibilities and create common expectations for leadership roles, which may in turn allow leaders to easily transfer into other leadership opportunities or across schools. On the other hand, regional leaders suggested that allowing variations in the leadership team structure allows schools to respond to specific needs at individual schools or different school levels (elementary, middle, and high) while permitting experimentation to determine what model might work best.

Given specific needs at various school levels, regional leaders sometimes recommended additional leadership team positions. In two regions, regional leaders suggested different leadership structures tailored to elementary, middle, and high schools. For example, regional leaders in KIPP DC identified a need for enhanced instructional coaching at the elementary level and, to that end, instituted a common coaching role in the region's elementary schools. Regional leaders in KIPP New Orleans recommended that, in addition to grade level chairs, middle and high schools should have department chairs for enhanced subject-level leadership; however, they believed that grade level chairs were sufficient for elementary schools. Across all five regions, high school leadership teams were more likely to have specialized dean roles and/or department chair roles to respond to a perceived need for deep content knowledge at the secondary level.

Given their initially small enrollments and budgets, KIPP schools have historically opened with a principal as the sole leader (Akers et al. 2014). The KIPP Foundation used i3 grant funds to award subgrants to schools for the purpose of hiring an assistant principal or dean during a school's first or second year of operation. The purpose was to help relieve the pressure on

founding principals and to provide assistant principals and deans with on-the-job training to prepare them for the principal position (Chapter II). Regional and school leaders reported that the region's circumstances dictated the timeline for hiring assistant principals or deans, which also influenced whether they used the grants. Leaders in all four regions that used i3 funding for this purpose reported that the schools benefited from the subgrants, though some leaders reported the practice may not continue across the board, given funding uncertainty.

In two regions (KIPP Bay Area and KIPP New Jersey), the practice of founding a school with an assistant principal or dean in place is increasingly common, and in KIPP DC, this practice has been used occasionally. Regional leaders with KIPP New Jersey said that, as of the 2015–2016 school year, they plan to mandate that all schools be founded with a dean of instruction, given the especially strong student achievement results attained by one elementary school that employed a dean of instruction in its founding year. KIPP DC used the subgrant to hire an assistant principal to pair with a new principal hired from outside the KIPP network; the assistant principal was charged with helping the external hire acclimate to the region. KIPP Bay Area often launches schools with a dean in place but, depending on the expected size of the student population, may start with an assistant principal as well. This will be the case for an elementary school opening with four grades and 400 students. On the other hand, KIPP ENC leaders decided against founding a school with an assistant principal or dean in place, given the small staff and student population expected in the school's first year. Instead, KIPP ENC used the i3 subgrant to hire an assistant principal in its elementary school during its second year of operation. Echoing the opinions of KIPP ENC leaders, two other principals and a regional leader (from KIPP DC and KIPP New Orleans) cautioned that hiring an assistant principal early in a school's life could interfere with the principal's ability to set a vision for the school and that a founding principal may not be ready to supervise an assistant principal or dean. The practice of hiring assistant principals in a school's first year of operation has not been employed in KIPP New Orleans.

Overall, regional and school leaders agreed that assigning assistant principals general, rather than specialized, responsibilities better prepares them for the principal position; in fact, regional leaders in all regions but KIPP New Jersey encouraged such an approach. Typically, KIPP assistant principals with general responsibilities oversee all of a school's major functions, including instruction, management, and culture, whereas assistant principals or deans with specialized responsibilities oversee either culture or instruction (with management overlapping both roles). The majority of regional and principal respondents said that assistant principals charged with general rather than specialized responsibilities better support the daily operations of the school, and promote the concept that culture and academics are intertwined.

Nonetheless, regional leaders and principals in KIPP New Jersey, as well as a minority of leaders across the other four regions, believed that assistant principals or deans should take on specialized roles to better serve the needs of the school by allowing individuals to play to their strengths. This was particularly evident at the high school level. Assistant principals or deans functioned in specialized roles at three of the five high schools we visited, and the principal at a fourth high school planned to institute specialized roles in the 2015–2016 school year. Principals at these schools emphasized the importance of deep content knowledge in the uppermost grades, more so than in the lower grades. They also cited the need for content knowledge as a justification for adding department chairs or other subject-matter leaders at the high school level.

Three principals across three regions said that specialized leaders can be trained for the principal position as long as they have demonstrated sufficient ability to oversee both culture and academics.

2. Wider opportunities for teacher-leaders and teachers in the pipeline can facilitate their development and create diverse growth pathways.

Four regions (KIPP Bay Area, KIPP DC, KIPP New Jersey, and KIPP New Orleans) have standardized progressions from teacher to principal. Teachers generally advance to school-level leadership by first moving to a teacher-leader position, then to an assistant principal or dean position, and, finally, to a principal position. Teachers in KIPP ENC do not follow a typical pathway to leadership, and leaders in all five regions said that, in practice, all leaders do not necessarily follow the typical pathway. Instead, regional and school leaders look to a variety of teacher-leader positions to prepare candidates for future school leadership, with three positions typically included on leadership teams or in the pipeline: (1) grade level chairs, (2) department chairs, and (3) special education coordinators.

Even though all five regions have the positions of grade level chair, department chair, and special education coordinator, the pathway from teacher to principal varies. [16] In KIPP New Orleans, regional leaders said that the pipeline to school leadership is "a jungle gym, not a ladder"; that is, not all individuals advance through the same series positions before being considered for a principal position. In one KIPP New Jersey school, leaders considered the position of grade level chair as the training ground for the principal position; the leaders in this school rely on the grade level chairs to serve as "assistant principals of their grades." The grade level chairs assume both cultural and instructional oversight of all teachers in their grade and manage those teachers (consistent with the duties of an assistant principal with general responsibilities). On the other hand, the specialized deans in the same KIPP New Jersey school focus on instruction or culture. Throughout all five regions, we encountered individuals in the school leadership pipeline who had worked in less traditional leadership roles, such as college counselors, and had subsequently moved into the position of assistant principal or dean.

Broader leadership pipelines can help alleviate the challenges associated with retaining strong leaders due to slowing regional growth and competition from other schools for talent. In particular, as regional growth slows, there are fewer new schools and principals may remain in their position for longer than they would during periods of rapid growth, resulting in fewer opportunities for promising leaders to advance to the principal position. To improve retention of emerging talent, regional staff across all five regions have added or plan to add new leadership opportunities. The opportunities create a longer "runway" for teachers, which three regions (KIPP DC, KIPP ENC, and KIPP New Jersey) reported was necessary because of slower growth and fewer leadership opportunities than in the past. Regional leaders and principals in all five regions expressed concerns that talented teachers and junior leaders are enticed to leave for other opportunities, such as positions at other charter school networks that offer to hire teachers into leadership positions immediately, or in the case of KIPP ENC, for positions in more desirable, urban areas. Regional leaders in two regions have also added new pipelines to regional leadership, in addition to the traditional pipeline to school leadership. For example, regional

[16] Of the five regions, only KIPP ENC lacked a special education coordinator role.

leaders in KIPP New Orleans created pipelines to regional positions in curriculum planning and instructional coaching, and regional leaders in KIPP DC instituted a regional student support team and other regional positions to support schools and principals.

According to regional and school leaders in all five regions, teacher-leaders who are given expanded responsibilities, such as coaching other teachers and planning curriculum, may be especially well prepared to step into senior leadership roles, such as assistant principal or dean. In KIPP New Jersey, KIPP New Orleans schools, two schools in KIPP ENC, and one school in KIPP Bay Area we visited, leaders reported that grade level chairs and department chairs typically plan curricula, coach and sometimes manage other teachers, and provide feedback on lesson plans. These teacher-leaders reported that they were being prepared to assume higher levels of leadership. School leaders also augmented teacher or teacher-leader roles with additional leadership responsibilities. In one KIPP New Orleans school, each grade has four chairs. Each chair oversees one of four areas—accountability, mathematics, English/language arts, and culture—for the grade level. Leaders in KIPP DC often assign teachers leadership responsibilities for coordinating summer school, Saturday school, field trips, and other tasks. Two leaders in KIPP DC and KIPP New Orleans reported that such additional leadership opportunities can provide teachers with a greater sense of ownership within the school while four leaders in KIPP DC reported that their success in taking on these tasks indicated their readiness for more advanced leadership.

In regions in which grade level chairs or department chairs serve primarily as liaisons between teachers and a school's more senior leaders, teacher-leaders were likely to feel they were not being intentionally developed for senior leadership roles and that their experience was not necessarily preparing them for greater leadership responsibilities.

3. Annual "talent reviews" or discussions of the regional pipeline facilitate long-term leadership planning and encourage leaders to plan proactively for succession.

To assess their leadership pipelines continually, regional leaders in three of the regions hold talent review events in which regional and school-level leaders meet to discuss and consider the strength of the leadership pipeline. KIPP Bay Area leaders held their first such event in the 2014–2015 school year; they also make quarterly reports on the pipeline to the regional board. KIPP DC leaders conduct a talent review at the region's annual fall leadership retreat. During the event, regional leaders and principals list all potential leaders and detail their potential pathways; regional leaders revisit the list throughout each school year. KIPP New Jersey leaders use a tool called the "Nine Box" to assess potential leaders and plan their pathways. Each leader candidate is rated on a grid reflecting nine levels of performance; depending on the "box" into which each leader is placed, regional leaders determine what roles would best suit the candidate and then groom him or her for future leadership. (In Appendix B, we provide details on how the talent reviews are conducted.)

Instead of always promoting staff within the same school, leaders in three regions (KIPP Bay Area, KIPP DC, and KIPP New Jersey) may ask teachers or leaders from one school to move to another school to fill leadership vacancies. They may also ask current principals to leave their schools to found new schools. KIPP DC leaders moved teachers and leaders around the

region during the i3 grant period. In moving teachers and leaders around to different KIPP DC schools, the executive director said the region considers each leader's strengths and limitations to ideally balance school leadership teams. According to one chief academic officer, KIPP DC also tries to retain talent by moving leaders around, to give them a "fresh" experience, such as working with a different grade level. In recent years, KIPP Bay Area and KIPP New Jersey also started shifting leaders to different schools in the region, though they use this practice less frequently than leaders in KIPP DC. In KIPP Bay Area, we interviewed a principal who planned to leave her school at the end of 2014–2015 to open an elementary school two years later. In KIPP New Jersey, a former principal at one school we visited left to open a new school in Camden, New Jersey, and a grade level chair will move across schools in 2015–2016 to facilitate a school-level leadership transition.

4. When leaving their positions, principals who give 12 to 18 months' notice afford regions adequate time to identify, confirm, and transition the successor principal.

Principals who give notice 12 to 18 months in advance of leaving their position allow regional leaders to identify and confirm a successor well before the principal's departure, helping to ensure a smooth transition. Regional leaders in four of the five regions said that, ideally, they would like to know about a succession 18 months in advance while KIPP DC leaders reported that a year's notice is sufficient (KIPP DC typically fills principal vacancies from among the current assistant principals at the same school, which may explain the acceptability of the shorter timeline).

With sufficient time for a transition, outgoing principals can gradually hand off duties to incoming principals, as recommended in the first i3 case studies report (Akers et al. 2014). Four of the regions reported that the outgoing principal increasingly steps away from the school until the incoming principal becomes the acting principal at the end of the school year before he or she officially assumes the principal position. KIPP Bay Area leaders follow a specific 18-month calendar for transitions. First, the chief people officer (the KIPP Bay Area profile in Appendix B provides details about this position) meets with the outgoing principal to learn the reasons for his or her departure, reflect on the principal's demonstrated strengths and challenges, and assess the school's needs. After the position is filled, the chief people officer and outgoing principal transition particular duties from the outgoing to the incoming principal in three phases, leading up to the formal transition. In the first phase, the successor works as an apprentice to the current principal; in the second phase, the outgoing and incoming principals co-lead the school; and, in the third phase, the incoming principal takes on the large share of the work, including hiring and retention decisions, with support and guidance from the outgoing principal.

With a lengthy transition period, incoming principals may devote considerable effort to preparation and planning for their new position, potentially making the transition highly successful. For example, following his selection as successor principal during the 2012–2013 school year, a rising leader in KIPP New Jersey spent the 2013–2014 school year attending KSLP Successor Prep, conducting principal residencies for half of the year, and, during the second half of the year, planning the changes he would institute as principal during the next year. Regional leaders in KIPP New Jersey said that the transition has been particularly smooth and that they plan to use it as a model for future successions. In KIPP DC, regional leaders reduced

the responsibilities of an assistant principal who will transition to the principal position at another school in the 2015–2016 school year, allowing her to devote half of her time to planning for her transition as other school and regional leaders carried out her assistant principal responsibilities.

5. Leadership positions may be more attractive and sustainable if regions and schools address common barriers to leadership.

Across the five regions, leaders reported common barriers or disincentives to the pursuit of leadership positions within KIPP schools. The barriers included perceptions that leaders' workloads are unsustainable and that leaders' salaries are uncompetitive, and competition for talent in some regions, including from other charter school networks.

In all five regions, the long workday and heavy workload deter some potential leaders from pursuing advancement. Across all regions, leaders with families see the long day and its demands as a particular problem; moreover, as KIPP regions—and their staff—grow older, the demands of leadership positions have emerged as a more common concern. Regional and school leaders in KIPP DC, KIPP ENC, and KIPP New Orleans said that in general, the staff used to be younger and wanted to devote more time to work, but as the staff grows older, the regions have made accommodations to retain staff who have families and other obligations. One leader in KIPP ENC reported that her leadership team includes many young people without children who do not seem to care about work-life balance and instead devote "all of their time" to work; however, she thinks that their obligation to work is not sustainable in the long run.

In some regions and schools, leaders see salaries as uncompetitive, potentially enticing staff to consider other employment opportunities. Uncompetitive salaries are especially problematic for KIPP Bay Area leaders; four assistant principals or deans remarked on the Bay Area's particularly high cost of living and the extraordinarily high salaries offered in other regional industries, such as the technology sector. In KIPP New Orleans, teacher-leaders do not receive a stipend for assuming additional responsibilities beyond their classroom duties. As a result, many teachers feel that their compensation is inadequate, reducing the appeal of leadership positions. In KIPP Bay Area and KIPP ENC, teacher-leaders receive a stipend for additional responsibilities, but many reported that the stipend was insufficient to offset the additional workload. Leaders in all regions except KIPP ENC reported contending with competition from other schools, especially other charter school networks that have successfully lured away teachers by offering them leadership positions and/or higher salaries. KIPP ENC leaders said that they face a different problem as teachers and potential leaders, especially younger staff, regularly leave the region for more urban areas.

Regional leaders are taking steps to address the above barriers and retain their leaders and potential leaders. KIPP DC and KIPP New Orleans have shortened their school days and limited Saturday school; KIPP New Orleans has also shortened the school year. Three regions (KIPP Bay Area, KIPP DC, and KIPP New Jersey) are accommodating part-time and flexible work schedules. To be responsive to staff with families, leaders in KIPP New Orleans established a day care center to make it easier for staff to tend to child care needs; more than half of KIPP New Orleans staff have enrolled their children in the center. Two regions, KIPP ENC and KIPP

New Orleans, are considering pay for performance or bonus structures to make compensation more competitive.

6. Regions and schools continually seek to strike a balance between conducting leadership selection processes that are fair and facilitating successful leadership successions.

Across the five KIPP regions, selection processes for new leadership positions may be characterized in two ways: (1) open and formal, meaning that the role is advertised to internal and/or external candidates who progress through a series of steps to apply, such as submitting a written application and interviewing with school and regional leaders; or (2) closed and informal. The second approach usually involves a candidate being "tapped" for the position; in other words, the candidate is offered the role without applying for the position (in Chapter II, we provide more detail on how positions were categorized).

Regional and school leaders in all five of the regions have mainly used the closed and informal selection processes for selecting new leaders, but leaders in KIPP Bay Area, KIPP ENC, KIPP New Jersey, and KIPP New Orleans are now shifting to open and formal processes for at least some leadership positions. Regional and school leaders said that they have abandoned the closed and informal processes for two main reasons: (1) to make the process more fair and transparent, sometimes in response to concerns from school staff, and (2) to ensure the consideration of all potentially qualified candidates, including external candidates.

When regional and school leaders conducted an open and formal leader selection process, teacher-leaders and higher-level leaders reported that decisions appeared to be more fair and transparent. Building on these perceptions, principals at some schools have given leaders and staff a stake in the decision-making processes. For example, principals at two schools in KIPP New Jersey directly involve staff in leadership selection processes. All staff at one KIPP New Jersey school may interview leadership candidates for any position, including that of principal, and anyone who attends the interview may provide feedback the decision makers. Teachers and teacher-leaders who attended the candidate interviews at the KIPP New Jersey school reported appreciating the opportunity to participate in the process. At another KIPP New Jersey school, the principal arranges interview panels for each candidate that include an individual currently in the leadership position for which the candidate is interviewing as well as someone who would be supervised by the candidate. The principal said that the composition of the panel ensures global feedback and involves staff at all levels. In a KIPP New Orleans school with four chairs per grade, the teachers in each grade select the teachers to fill the positions, without input from the principal.

Regional and school leaders sometimes perceived a tension between identifying and developing qualified successors and conducting a fair and transparent selection process. These leaders said that it may not appear fair to invest in the development of a specific individual for a given school leadership position when simultaneously opening the position to a pool of applicants. Staff may perceive that the individual undergoing preparation for the position either was already chosen for the position or enjoyed an advantage in the selection process. In particular, leaders in KIPP New Jersey reported that, even though they would prefer open application processes, they want to ensure that they identify and develop all successor principal

candidates to take over schools as early as possible. To ensure a sufficiently large candidate pool of successors, leaders in some regions and schools were developing more than one potential successor among the assistant principal or dean candidates. For example, principals at one KIPP DC school and one KIPP ENC school considered both their assistant principals to be successor candidates and were developing them to ensure greater bench depth.

Regardless of the type of selection process, leaders responsible for selection across four of the five regions reported that candidates seemed hesitant to apply for positons, and some junior leaders said they did not know how to be considered. Even in the case of open application processes, leaders in KIPP Bay Area, KIPP ENC, and KIPP New Jersey reported that often only one candidate applied for a position, possibly because school staff perceived that leaders had already decided on the successful candidate. Teacher-leaders interviewed in two out of three schools in KIPP Bay Area, one school in KIPP DC, and one school in KIPP ENC said they did not know how to be considered for a principal position; one assistant principal in KIPP DC echoed this sentiment. These respondents worked at schools that have historically relied on closed and informal selection processes for almost all positions, though, as noted, selection processes are shifting in KIPP Bay Area and KIPP ENC.

7. Even though regions strongly prefer internal candidates, all have hired external candidates, and some take steps to facilitate the consideration of external candidates.

Internal candidates are strongly preferred for school leadership positions in all five regions, according to nearly all regional and principal respondents. Such a preference is consistent with what we observed in the first round of case studies (Akers et al. 2014). Many leaders said they preferred internal candidates because they could observe and evaluate the performance of these candidates over time (sometimes, across many years).

To assess candidates for leadership positions, leaders typically observed how well candidates performed when assigned more or different leadership responsibilities. For the selection of principals, regional leaders (and sometimes outgoing principals) usually observed the candidate in roles that involved increasing levels of responsibility. For example, in KIPP DC, principals might first assign a teacher to the role of grade level chair in the candidate's same grade, then move the candidate to the position of grade level chair in a grade with which the candidate has no experience, and then place the candidate in an assistant principal position in order to build the candidate's skills and experiences in preparation for the principal position. The principal would also consult with regional leaders about the candidate's pathway over time. When selecting junior leaders, principals (and sometimes mid-level leaders, such as assistant principals and deans) often assigned "stretch" tasks (small leadership opportunities that challenged the candidates) in order to assess candidates' performance, as recommended in the first case studies report (Akers et al. 2014). Examples of stretch tasks include serving as Saturday school coordinator, organizing a student club, coordinating field trips, overseeing volunteers, and coordinating testing.

Despite the preference for internal candidates, all five regions have hired external candidates and the regions typically took certain steps to observe such candidates' performance before placing them in a principal position. KIPP Bay Area, KIPP DC, and KIPP ENC leaders have

hired external candidates and placed them in a teaching, teacher-leader, assistant principal, or dean role before either endorsing them for the Fisher Fellowship or placing them in a successor principal position. (KIPP Bay Area and KIPP DC leaders have also hired external candidates directly into the principal position; KIPP New Orleans and KIPP New Jersey leaders typically do not consider external candidates for principal positions.) One regional leader from KIPP Bay Area said that the region's external hiring has been intentional; the region has benefited from a small percentage of external leaders who bring new ideas and perspectives to the region. A minority of respondents noted that their regions may be "missing" strong talent external to KIPP by not recruiting outside their regions.

8. When deciding whether to place candidates into founding or successor positions, regional leaders prioritize the needs of the regions rather than the traits of particular candidates.

In contrast to our findings from the first round of case studies (Akers et al. 2014), regional leaders in the second round focused on the relative need for founder or successor principals in determining whether to nominate qualified leaders for the Fisher Fellowship or place them in a successor principal position, rather than basing the decision on specific characteristics of the leaders. Regional leaders in four of the regions (KIPP Bay Area, KIPP DC, KIPP ENC, and KIPP New Jersey) said that, when selecting new principals, they focus largely on the regional growth plan and succession needs at existing schools. These four regions considered founding and successor candidates to be generally interchangeable.

Even though leaders' overarching concerns are the regional growth plan and leadership transitions at each school, regional leaders in KIPP DC and KIPP New Jersey identified the traits that they prioritized for founding or successor principal candidates. Similar to the traits cited in the first round of case studies, one regional leader in KIPP DC said that candidates for founding principal positions should generally be more "charismatic" than successor candidates because they have to "start a school from scratch." Successors generally should have "incredible management" skills because they are taking over an existing school and thus must be well respected by staff, although they may be "less outgoing" than candidates for founding positions. Regional leaders in KIPP New Jersey said that Fisher Fellow candidates should be receptive to feedback, have high expectations for and be committed to students, be enthusiastic, and be able to understand systematic trends. Regional leaders in KIPP Bay Area and KIPP ENC said the traits they look for in founder and successor candidates are largely the same. (In Appendix B, we provide details on the traits sought by different regions.)

Leaders in two regions said that they were rethinking the differences between what they seek in Fisher Fellow and successor candidates. In an effort to attract more candidates to successor positions, regional leaders in KIPP New Jersey said that the region was making it a priority to boost the prestige of the successor position by publicly acknowledging that taking over a school may be more difficult than starting a new school. Despite the need for both successor and founding principals, it seems that most candidates were more interested in founding new schools. KIPP New Orleans regional leaders reported that, in the past, they looked for "visionary" candidates to open new schools but now prefer to place visionaries into successor positions; they want principals to improve these schools, not maintain the status quo.

9. Regional professional development opportunities facilitate sharing and alignment of best practices.

KIPP regions have offered a variety of structured professional development opportunities, some of which have tended to focus on school instruction, culture, or operations, whereas others targeted leadership development. Four of the five regions hosted regularly scheduled events for leaders at different levels.

- **KIPP Bay Area.** Principals, assistant principals or deans focused on culture, and assistant principals or deans focused on instruction gather separately for monthly "communities of practice" focused on school instruction, culture, and operations. The purpose of the communities of practice is to provide instructional and cultural norming across the region and to facilitate shared decision making and problem solving.
- **KIPP DC.** Two opportunities explicitly target leadership development in the region. First, the annual leadership retreat, held at the beginning of each school year for regional leaders, principals, and assistant principals, gives leaders intentional planning time and includes leadership-specific programming and speakers. In the 2014–2015 school year, the region initiated an emerging leaders cohort targeted to selected teacher-leaders. Principals nominated teachers and teacher-leaders for the program. The participants met each Saturday for three months with a principal of an early childhood school to study leadership books and assessments, present case study projects related to their schools, and discuss solutions to challenges at their schools.
- **KIPP ENC.** Weekly principals' meetings and quarterly grade level chair meetings address the region's operation, instruction, culture, and leadership development. During the principals' meetings, all of the region's principals meet with the executive director to norm student work and cultural practices across their schools, assess student performance on school benchmarks, and make operational and administrative decisions as a region. For the quarterly grade level chair meetings, grade level chairs meet with the executive director also to norm practices across their schools and discuss sound leadership practices, such as investing teams in a common goal, identifying and supporting academic and behavioral outliers, and how to effectively coach other staff. During the meetings, grade level chairs also watch videotaped observations of each other and role-play situations, such as conducting a difficult conversation or leading a meeting.
- **KIPP New Jersey.** The region offers four leadership development trainings targeted to specific "cohorts" (teacher-leader, new leader, returning manager, and emerging leader), modeled after the KSLP curriculum. The region's director of leadership development determines each teacher's or leader's cohort based on the results of the regional talent review. Topics are largely based on the KIPP Leadership Competency Model but vary with the cohort. (In Appendix B, we provide details on KIPP New Jersey's regional leadership programming.)

In addition to the above opportunities, leaders in four regions (KIPP Bay Area, KIPP DC, KIPP ENC, and KIPP New Orleans) were starting to conduct "walk-throughs" to provide feedback to their school leaders. During the walk-throughs, regional leaders typically spend several hours to a full day in a school, observing several classrooms and then providing targeted

feedback to school leaders (usually the principal and any assistant principals or deans). According to regional and school leaders, the walk-throughs help facilitate norming across the region and provide an opportunity for holistic feedback.

Leaders reported that they most appreciated programs when they were held at frequent intervals, when content did not overlap substantially with KSLP, when training was targeted to a specific leadership position and when the programming set the region's tone and vision. Respondents in KIPP Bay Area, KIPP DC, and KIPP ENC valued the training targeted to a specific position type (such as all grade level chairs or all instructional assistant principals), saying they could more effectively problem solve and run through common scenarios with each other. Several respondents in KIPP DC and KIPP ENC said that they appreciated regional leadership events that set the tone and vision for the region; they particularly highlighted the annual leadership retreat conducted by KIPP DC as well as KIPP ENC's quarterly grade level chair meetings.

10. Leaders at all levels appreciate regular and intensive coaching through observations and feedback.

In addition to structured, group-based development activities, regional leaders, principals, and sometimes other school leaders across all regions provide intensive and regular coaching to develop new leaders. Typically, regional leaders, such as heads or chiefs of schools and chief academic officers, provide such support to principals, who in turn provide the same types of support to assistant principals or deans. Principals or assistant principals or deans typically coach junior leaders (some of whom coach teachers on instructional practices). Respondents highly valued leadership coaching and said that it provides an opportunity for regular informal evaluation throughout the school year. Even though coaching and feedback appear to be useful for providing actionable and in-the-moment feedback, a few leaders said it may be helpful to supplement such feedback with formal evaluation processes (Finding 11).

Almost all of the schools we visited use one-on-one coaching to deliver feedback (provided by a manager or coach). During such interactions, coaches and leaders often engage in problem-solving and role-playing exercises. A KIPP DC assistant principal explained that her coach (who is her principal) sometimes helps her think through and role-play a difficult conversation with a teacher or parent, and then allows her to have the conversation and debriefs with her about the conversation afterwards. Some leaders said they also observe their coach conducting a difficult conversations, followed by a debriefing, then lead the next similar conversation with the coach observing. In addition, KIPP DC, KIPP ENC, and KIPP New Orleans use video observations to encourage leaders to act naturally but still allow for observation and feedback.

Principals across the regions reported that coaching sessions with their regional coaches often address strategic leadership concerns. For example, we observed a meeting between a principal and a coach in KIPP New Orleans, during which the principal strategized about how he could better develop one of his assistant principals to assume more responsibilities. During the same meeting, the pair planned a time for the regional coach to observe the principal coaching the assistant principal in question. In KIPP DC, we observed coaching discussions between principals and chief academic officers that addressed topics such as the hiring and retention of promising leaders and the shifting of staff to other schools in the region to fill leadership roles. In

KIPP Bay Area, a principal said that her coach helped her balance the development of her personal leadership abilities with school-level outcomes.

Leadership team meetings provide another venue for intentional feedback and coaching. For example, one KIPP DC school's leadership team meets as trios instead of on a one-on-one basis so that the principal can coach the school's two assistant principals at once. KIPP ENC principals regularly use leadership team meetings as development opportunities. In a leadership team meeting we observed, a school leadership team watched a recorded coaching conversation between an assistant principal and a teacher and then used a technique called "start/stop/keep doing" to identify future best practices.

11. More formal and standardized performance management processes and tools may be helpful to regions and schools for evaluating leaders and potential leaders.

Leaders in all five regions reported that performance management processes and tools for evaluating leaders are underdeveloped and underused. Whether or not leadership evaluation was conducted in a formal or standardized manner varied by region and sometimes even by school within a region (In Appendix B, we provide details on each region's evaluation practices).

- KIPP Bay Area leaders were trying to standardize regional evaluation practices. Across the board, principals typically set goals on "dashboards" that track student achievement outcomes. Assistant principals, deans, and teacher-leaders also use individual development plans to set leadership goals based on the Leadership Competency Model, but leaders gave mixed reports as to whether progress is measured toward these goals.
- KIPP DC principals and assistant principals do not set formal goals and do not undergo formal evaluations, but they do participate in 360-degree evaluations that provide feedback on their performance from staff at all levels. Regional leaders informally evaluate principals on several measures of school performance, such as The New Teacher Project Survey that measures school culture and teacher attitudes; the Healthy Schools and Regions Survey that measures student and parent perspectives; and student assessment, attendance, retention, and disciplinary action data. Principals or assistant principals evaluate teacher-leaders on their performance in their leadership role as part of the KIPP DC regional teacher evaluation rubric.
- KIPP ENC's executive director does not formally evaluate principals, but principals set goals that they discuss informally with the executive director throughout the school year. KIPP ENC's principals discuss school performance benchmarks during weekly principals' meetings. Evaluations of assistant principals and teacher-leaders vary. One principal takes a systematic approach by requiring all school leaders to fill out leadership evaluation forms based on the Leadership Competency Model, set goals, and then engage in formal mid-year and end-of-year conversations with the principal to measure progress and set new goals. Leaders at the other schools said that they do not set leadership goals but may set student performance benchmarks.

- KIPP New Jersey principals are formally evaluated two to three times per year according to a performance management plan that includes goals, each principal's individual development plan, results from the School Performance Index (a district-level rating of school performance based on academic progress and student engagement), and staff satisfaction data from the Healthy Schools and Regions Survey. For assistant principals and deans, evaluation practices vary across schools; at two schools, the assistant principals and deans said that they are not formally evaluated, though they are held accountable for school-wide performance. At a third school, the assistant principals said that they set goals based in part on the Leadership Competency Model and KIPP Framework for Excellent Teaching and that their principal informally evaluates their progress toward the goals. Principals or assistant principals or deans generally evaluate teacher-leaders on their leadership performance based on manager survey results and sometimes on a performance management plan grounded in the Leadership Competency Model.
- KIPP New Orleans's regional leaders formally evaluate principals twice per year by using a rubric that incorporates competencies from the Leadership Competency Model as well as measures of school performance outcomes. Similarly, principals use a rubric based on the Leadership Competency Model to evaluate assistant principals and deans. Many teacher-leaders said that they are not evaluated with regard to their leadership position but rather with regard to their teaching competence, though a few teacher-leaders reported that they are held accountable for the success of the teachers they coach or mentor based on those teachers' student achievement outcomes.

Some leaders across all five regions set goals, but progress toward these goals is not necessarily tracked or measured at regular intervals. Goals usually include a mix of personal development or leadership goals (often based on the Leadership Competency Model) and school-level outcome goals, such as benchmarks for student achievement or attendance. Although regional and school leaders usually track school outcome goals very closely, leaders in all five regions, with a few school-level exceptions, reported that they typically discuss developmental goals only informally during one-on-one meetings and that such goals are not tracked. According to one leader in KIPP New Orleans, failure to check on all goals regularly may undermine the connection between various developmental goals and school outcome goals. For example, a principal could be performing well with respect to personal leadership goals even though his or her school is not achieving its student assessment benchmarks or vice versa.

Many leaders across all five regions thought that formal evaluations may be repetitive or unnecessary in view of the intensive and ongoing feedback leaders receive through coaching. However, at least one respondent in each region reported that formalized leadership evaluation may help identify potential leaders. In addition, a few leaders said that they would appreciate formal leadership evaluations because they wanted a documented record of their performance. To address the perceived gaps in evaluation practices, some leaders in KIPP Bay Area, KIPP ENC, KIPP New Jersey, and KIPP New Orleans use the Leadership Competency Model for leadership evaluation purposes and operationalize it accordingly. Leaders shared some lessons they learned related to using the Leadership Competency Model for evaluation purposes that may be instructive for other KIPP regions:

- **The Leadership Competency Model can be an appropriate tool for evaluation, but regional and school leaders have found ways to narrow it or scale it down to provide targeted feedback.** Respondents in KIPP New Orleans saw the Leadership Competency Model as too broad. They were considering ways to narrow it for their own purposes. In KIPP Bay Area, leaders at one school adapted the competencies by using the "2x2x2x2" approach, whereby a leader and his or her manager each pick two areas of strength and two areas of improvement for the leader undergoing evaluation. They then discuss the areas of strength and improvement and, based on the discussion, set goals by consensus. Such an approach allows the leader to focus on two competencies to improve, rather than all competencies embedded in the model at once.
- **Regional and school leaders may want to "rubricize" the Leadership Competency Model to make it a more appropriate evaluation tool.** In KIPP ENC, one principal created a form that permits leaders to rate themselves on each competency. The principal then uses that form to check leaders' progress toward certain competencies at mid-year and the end of the year and to set new goals. Similarly, leaders at one KIPP New Jersey school have created their own leadership evaluation framework for teacher-leaders that incorporates the competencies in a worksheet format that allows for ratings and written comments.

12. Regional and school leaders perceive the regions as best situated for directly removing obstacles and supporting schools while the KIPP Foundation is mostly valued as a training and development partner.

Regional leaders and principals perceived that the regions and the KIPP Foundation play different roles in supporting KIPP schools. Regional leaders said that they focus on addressing operational obstacles so that principals and other school-level leaders can focus on instruction and culture in schools. Typical areas of support included administrative, logistical, recruitment, and legal needs. Further, leaders in all of the regions were starting to provide support by making available shared curriculum and planning resources as well as coaching support for school-level leaders and staff. Regional leaders in KIPP New Orleans have assembled a curriculum team for this purpose. It is composed of three staff members who focus on the content, utilization, and alignment of curriculum across the region. Regional staff were also trying to create standardized curricula so that teachers do not have to create their own lessons. Leaders in KIPP Bay Area, KIPP DC, KIPP New Jersey, and KIPP New Orleans also employ instructional coaches at the regional level as shared resources across all schools. KIPP ENC, which is a leaner region that employs only the executive director to provide leadership support across schools, relies on regional development events (the weekly principals' meetings and the quarterly grade level chair meetings) to offer support in communicating and developing shared instructional and cultural practices. Likewise, KIPP Bay Area's monthly communities of practice facilitate instructional and cultural norming across the region.

Leaders highly value the KIPP Foundation as a training and development resource. Respondents appreciated KIPP training resources, particularly KSLP, and said that they did not want to duplicate training for staff. Leaders in all regions view KSLP training as essential for achieving higher levels of leadership, noting that talent reviews or pipeline discussions often include identification of staff to participate in KSLP training. At the same time, respondents view KIPP training to be standardized, and said that they tailor it to their regional context, often

through regional development opportunities or school-level coaching. A few respondents also mentioned that they appreciate the national network of peers that they developed through KSLP, and principals highly valued the subsidized coaching provided by the KIPP Foundation. Finally, a principal in KIPP ENC mentioned that she appreciated the KIPP Foundation's curriculum initiatives, such as Literacy for Everyone, because of the resources it offered, along with the freedom accorded to schools to decide whether to use the resources and tailor them to their own context.

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IV. INVESTIGATING THE RELATIONSHIP BETWEEN LEADERSHIP PRACTICES AND IMPACTS OF KIPP MIDDLE SCHOOLS

In Volume I of this report, we describe how KIPP elementary, middle, and high schools have positive impacts on students' math and English/language arts scores, on average. Even though the average impact of KIPP schools at each level is generally positive, individual KIPP schools vary in their impacts on student achievement; some schools are more successful than others. In this chapter, we explore possible reasons for the variation. We use a correlational analysis to explore the relationship between characteristics of KIPP schools and their impacts on student achievement—in particular, whether schools with specific characteristics tend to achieve larger positive impacts.

A wide variety of school characteristics (which we refer to as factors) may be associated with the impacts of KIPP schools—that is, their effectiveness relative to neighboring non-KIPP schools. We limit the number of factors examined because the greater the number of factors examined, the greater is the chance that we will find a significant relationship between the factors and the estimated impacts of KIPP schools solely by chance. The analysis therefore focuses on a small set of factors meeting specific criteria. First, the analysis is limited to factors with substantial variation in values across KIPP schools in the sample; a factor that does not vary across schools could not possibly explain variation in school impacts. Among factors with substantial variation, we then investigate those that satisfied at least one of the following two conditions: (1) there is a theoretical or empirical reason to believe that the factor might influence school effectiveness (for instance, the factor was found to be important in previous literature), or (2) the factor is within the control of the schools (for example, the amount of time in the school day or the frequency with which teachers at the school individualize instruction).

We use two approaches to examine the relationship between the characteristics of KIPP schools and achievement impacts:

1. **Simple bivariate associations between individual factors and impacts.** We use a simple regression to examine the relationship between each variable and the impact estimates in reading and mathematics.
2. **Associations between individual factors and impacts while controlling for other factors.** We examine a multivariate model in which the relationships between school impact estimates and several factors potentially explaining the impacts are explored simultaneously. We include variables in the multivariate analysis only if they have a statistically significant relationship with impacts on the Year 2 reading impacts or the Year 2 mathematics impacts in the bivariate analysis. Accordingly, we examine whether the significant bivariate associations persist after we account for other school factors.

For both approaches, we focus on KIPP middle schools to maximize our sample size for the analysis.[17] In particular, we rely on matched comparison (rather than lottery-based) impact

[17] Our estimates for elementary and high school samples were based on different measures and analytic models and captured various lengths of exposure to the KIPP model. As a result, the elementary and high school estimates could

estimates of KIPP middle schools, maximizing the number of schools included in the analysis as well as the precision of impact estimates for each school.

The analysis in this chapter is exploratory and subject to several limitations. First, given that many of the characteristics of high-performing middle schools are interrelated, we cannot discern from the correlations which of the interrelated factors is most likely to be driving the results. We account for the potential interaction of the 13 factors included in our analysis in the multivariate analysis, but it is still possible that any observed relationships we observe are driven by other factors not included in our analysis. In addition, despite limiting the number of factors, we still may find some statistically significant relationships by chance. Therefore, the results of our analysis can suggest several hypotheses for further, more rigorous testing but cannot provide conclusive answers to questions about the reasons for particular KIPP schools' effectiveness.

A. Variation in impacts of KIPP middle schools

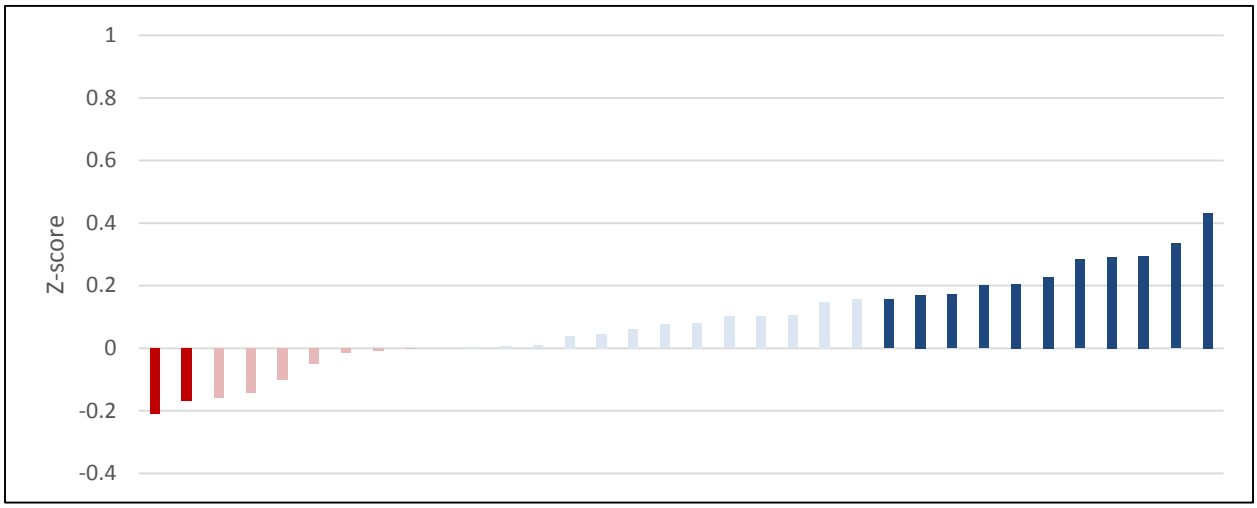
In the first step in the analysis, we determine if the variation in the estimated impacts of KIPP middle schools is sufficient to permit a useful analysis of the characteristics explaining the variance. If all KIPP schools have similar impacts, there would be no differences to explore. We focus on the estimated Year 2 reading and mathematics impacts (2013–2014 school year) because they reflect the cumulative impacts that correspond most closely to the data on leadership practices (we asked principals to report the leadership practices used in the same school year).

In Figures IV.1 and IV.2, we show the variation in estimated school-specific impacts on Year 2 reading and mathematics scores in 2014 across the 34 KIPP schools included in the matched-student impact analysis. Impacts on Year 2 standardized reading scores in 2014 range from -0.21 to 0.43, with a standard deviation of 0.15. Two schools' reading impacts are statistically significant and negative (depicted in dark red, at the left end of Figure IV.1), and 11 schools' impacts are statistically significant and positive (depicted in dark blue, at the right end of the figure). Impacts on Year 2 standardized mathematics scores in 2014 range from -0.16 to 0.88, with a standard deviation of 0.22. One mathematics impact is statistically significant and negative (depicted in dark red, at the left end of Figure IV.2), and 21 are statistically significant and positive (depicted in dark blue, at the right end of the figure). Even though some variation in impact estimates across schools would be expected because of chance or random sampling variability, the observed variation is much larger than expected because of chance alone.[18]

not be combined into the same correlational analysis models, and the sample of elementary and high schools with impact estimates was too small to be included in separate correlational analyses.

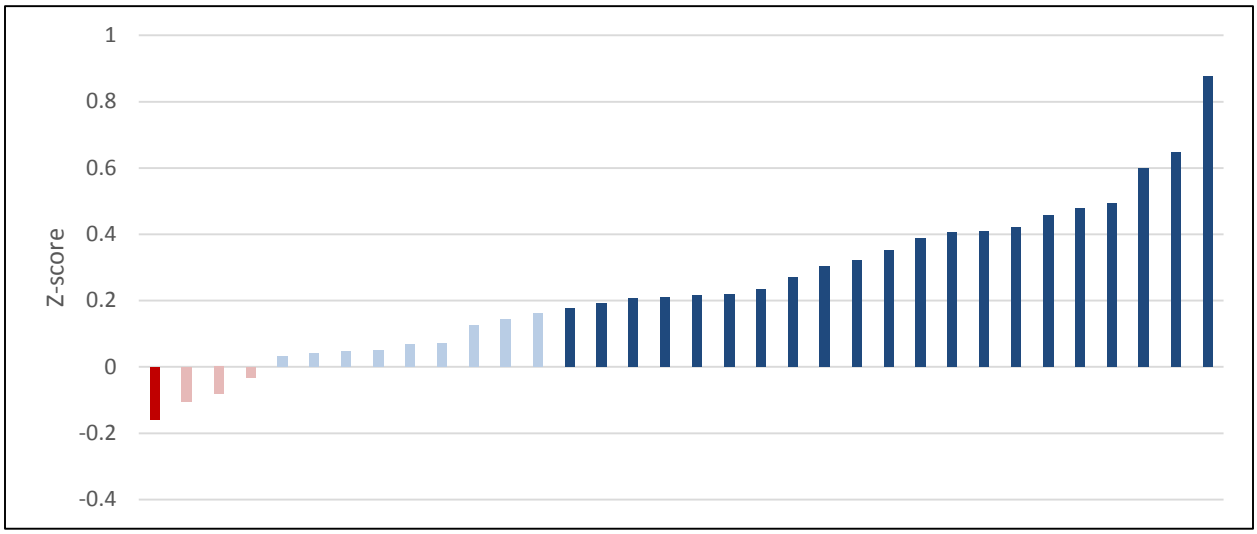
[18] A statistical test confirms that estimated KIPP matching impacts vary significantly across schools.

Figure IV.1. Distribution of school-level impact estimates in reading



Note: Each bar represents the cumulative impact of a single KIPP middle school on reading achievement after two years, measured on state tests in the 2013–2014 school year. The dark red and dark blue bars indicate impact estimates that are statistically significant at the 0.05 level, two-tailed test.

Figure IV.2. Distribution of school-level impact estimates in mathematics



Note: Each bar represents the cumulative impact of a single KIPP middle school on mathematics achievement after two years, measured on state tests in the 2013–2014 school year. The dark red and dark blue bars indicate impact estimates that are statistically significant at the 0.05 level, two-tailed test.

B. Defining the factors of interest

A wide variety of school-level characteristics may be associated with KIPP schools' effectiveness relative to neighboring non-KIPP schools. Given that KIPP's i3 scale-up grant focused on leadership, we concentrate primarily on factors related to KIPP schools' leadership practices, including the practices that KIPP principals employ to manage their schools. The 13 factors are sorted into three categories of characteristics that might influence the effectiveness of KIPP schools (Table IV.1):

- **Principal experiences.** These characteristics relate to the experiences of KIPP principals, which may influence the knowledge and skills they bring to their role.
- **Practices employed by KIPP principals.** Given that KIPP principals exercise autonomy in operating their schools, variations in the practices employed by principals at each school may contribute to variation in the impacts of KIPP schools. Some of these practices have demonstrated relationships with impacts in previous research (Angrist et al. 2011; Furgeson et al. 2012; Tuttle et al. 2013; Dobbie and Fryer 2013).[19]
- **Student characteristics.** The inclusion of student characteristics addresses the concern that schools' impacts might be a function of the characteristics of the students attending the schools rather than a function of the experiences that principals bring to the position or the practices that principals employ at their schools. Although KIPP schools could theoretically influence the distribution of student characteristics through focused or selective recruitment, these factors are largely outside schools' control. Nevertheless, given that critics have argued that KIPP schools achieve large impacts by serving fewer students identified for special education or who are English-language learners, we included both characteristics.

C. School-level factors related to impacts

Overall, the selected factors explain a moderate amount of the variation in the estimated effectiveness of KIPP middle schools.[20] In the bivariate analysis for the 2013–2014 school year, three factors are significantly related to KIPP's impacts on mathematics achievement, and three are significantly related to KIPP's impacts on reading achievement (Table IV.2). Most of the factors that show statistically significant bivariate correlations remain significant in the multivariate models (Table IV.3). In both analyses, we assess minimal statistical significance at the 0.10 level rather than at the 0.05 level used elsewhere.[21]

[19] For example, time in school, the use of data-driven instruction, and the use of a school-wide behavior plan.

[20] The R-squared coefficient, a rough estimate of the proportion of variation in impacts explained by the model, is 0.447 for the multivariate model in mathematics and 0.443 for the multivariate model in reading.

[21] We used a higher critical value for determining statistical significance in this analysis for two reasons. First, given that the sample size of estimated school-level impacts is limited (with 34 school-level observations), the size of the true relationship between factors and impacts would have to be particularly large for the analysis to detect it as significant at the 0.05 level and not quite as large to be able to detect it as significant at the 0.10 level. Second, given that the analysis is exploratory, we were less concerned about concluding that a relationship exists when none exists in reality (type I error) versus concluding that no relationship exists when one exists in reality (type II error).

Table IV.1. Factors potentially influencing KIPP middle school impacts, by domain

Factor	Measurement	Mean	
		Analysis sample	All KIPP schools
Principal experiences			
Principal tenure in position	The number of years that the 2013–2014 principal has been in his or her current position (measured in whole years). In cases where the 2013–2014 principal officially began his or her position after May 1, 2014, we substituted the tenure of the previous leader because that leader was more responsible for the performance of the school in the 2013–2014 school year.	2.75 (1.46)	2.26 (1.87)
Experience as a generalist assistant principal	An indicator for whether the 2013–2014 principal had any experience as an assistant principal with general responsibilities (coded as 1 for yes and 0 for no).[a]	0.66 (0.48)	0.54 (0.50)
Advance notice for leadership succession	Number of months before the time at which the 2013–2014 principal transitioned into that position that he or she was notified of being the planned successor. Variable is missing for 12 founding principals because they did not succeed anyone.[b]	7.85 (6.59)	7.16 (6.37)
Practices employed by KIPP principals			
Instructional leadership	An index measuring the extent to which staff at KIPP schools agree with five statements about instructional leadership at the school, based on KIPP's Healthy Schools and Regions Survey. The five statements are (1) "the school's leadership prioritizes improving teaching and learning"; (2) "my school has clear academic goals"; (3) "I feel supported in my curriculum planning and teaching"; (4) "the school's schedule allows adequate time for teacher preparation and planning"; and (5) "the school's schedule allows adequate time for teacher collaboration." The five-point response scale ranges from "strongly disagree" to "strongly agree."	-0.16 (1.00)	0.00 (1.00)
Distributed leadership	An index measuring the extent to which teachers and other staff at KIPP schools agree with two statements about distributed leadership at the school, based on KIPP's Healthy Schools and Regions Survey. The statements are (1) "school leadership involves staff in decision making and problem solving" and (2) "staff at this school share responsibility for the success of the school." The five-point response scale ranges from "strongly disagree" to "strongly agree." The index includes responses to these questions separately for teachers and other staff.	-0.08 (1.22)	0.00 (1.00)
Time in school	The number of hours in a typical school day.	8.83 (0.50)	8.63 (0.50)
Time in core subjects	The number of hours of instruction that students receive in mathematics, English/language arts, science, and social studies in a typical school day.	5.69 (1.04)	5.50 (0.95)
Systems and structures for curriculum and instruction	An index measuring the extent to which principals agree that there are (1) standardized curricula, (2) instructional materials, and (3) assessments available for teachers' use at the school (versus teachers developing these tools on their own). The four-point response scale ranges from "strongly disagree" to "strongly agree."	-0.17 (0.84)	0.00 (1.00)
Use of data-driven instruction	An index measuring the frequency with which the principal reports that the typical teacher receives supports related to the use of data to drive instruction. The three practices are (1) "receiving data or reports on student results from the school or region"; (2) "receiving coaching on the use of data to drive instruction"; and (3) "participating in a professional learning community around the use of data." The five-point response scale ranges from "rarely or never" to "daily."[c]	-0.03 (0.90)	0.00 (1.00)

Table IV.1 (continued)

Factor	Measurement	Mean	
		Analysis sample	All KIPP schools
Use of individualized instruction	An index measuring the frequency with which principals report that teachers engage in six practices related to adapting their practices to meet individual student needs. The six practices are (1) "adapt instruction to address different learning goals for some students"; (2) "use a different set of methods in teaching some students"; (3) "have some students engage in different classroom activities"; (4) "supplement the regular course curriculum with additional material for some students"; (5) "pace their teaching differently for some students"; and (6) "use technology, such as computers, tablets, or instructional software to provide instruction tailored to individual student needs." The four-point response scale ranges from "never or hardly ever" to "almost every daily."	-0.21 (0.84)	0.00 (1.00)
School-wide behavior plan	An index measuring the degree to which principals agree that (1) "behavioral standards and discipline policies are established and enforced consistently across the entire school"; (2) "there are specific school-wide rules that all teachers enforce in exactly the same way"; (3) "we have a school-wide behavior code that includes specific positive rewards for students who consistently behave well"; and (4) "we have a school-wide behavior code that includes specific negative sanctions for students who violate rules." The four-point response scale ranges from "strongly disagree" to "strongly agree."	0.46 (0.89)	0.00 (1.00)
Student characteristics			
Percent of students identified for special education	The difference between the percentage of KIPP students in our sample for each school identified for special education and the corresponding percentage of students in the jurisdiction where the comparison schools are located.	-0.003 0.102	n.a.
Percent of students who are English-language learners	The difference between the percentage of KIPP students in our sample for each school who are English-language learners and the corresponding percentage of students in the jurisdiction where the comparison schools are located.	-0.034 0.029	n.a.

Note: All indices are in z-score units. Z-scores are standardized with a mean of 0 and a standard deviation of 1 from the full sample of KIPP schools that responded to Mathematica's school leadership survey or KIPP's Healthy Schools and Regions Survey. In Appendix C, we provide detail on how the indices are constructed. The analysis sample contains a subset of 34 schools for which we estimated achievement impacts. Standard deviations are shown in parentheses. n.a. = not available

[a]See Chapter II, Section E for a detailed description of the difference between general and specialized responsibilities.

[b]To maximize the sample size for the multivariate analysis, we constructed an alternate version of this variable where we imputed a value of 12 for founding principals (a rough estimate of the length of time in advance of assuming their positions that these principals began preparations to found their new schools).

[c]Index has an alpha of 0.67, which is just below the threshold we used to define low reliability (0.70).

Table IV.2. Bivariate relationships between school-level factors and KIPP middle school impacts, 2013–2014

Factor	Year 2 reading score	Year 2 mathematics score
Principal tenure in position	0.005 (0.016)	0.020 (0.016)
Experience as a generalist assistant principal	0.052 (0.057)	0.031 (0.084)
Advance notice for leadership succession[a]	0.015*** (0.005)	0.020** (0.008)
Instructional leadership	0.034 (0.022)	0.028 (0.038)
Distributed leadership	0.040* (0.022)	0.026 (0.038)
Time in school	0.027 (0.027)	0.056 (0.043)
Time in core subjects	0.278 (0.270)	0.635 (0.415)
Systems and structures for curriculum and instruction	-0.005 (0.032)	-0.001 (0.041)
Use of data-driven instruction	-0.095*** (0.032)	-0.057 (0.044)
Use of individualized instruction	-0.013 (0.024)	0.057* (0.033)
School-wide behavior plan	0.034 (0.038)	0.136*** (0.045)
Percent of students identified for special education	0.243 (0.904)	1.051 (1.105)
Percent of students who are English-language learners	0.295 (0.404)	0.255 (0.441)
Sample size	**20–34**	**20–34**

Notes: The estimates in the table are coefficient estimates from a regression of the estimated impact on each individual variable. Robust standard errors appear in parentheses.

[a]Advance notice for leadership succession is missing for founding principals because they did not become principals as part of a leadership succession. To maximize our sample size for the multivariate analysis, we constructed an alternate version of this variable whereby we imputed a value of 12 for founding principals (a rough estimate of the length of time in advance of assuming their position that these principals began preparations to found their new schools). This alternate version of the factor was significantly associated with impacts in reading, but not in mathematics in the bivariate analysis.

*Coefficient is statistically different from 0 at the 0.10 level, two-tailed test.

**Coefficient is statistically different from 0 at the 0.05 level, two-tailed test.

***Coefficient is statistically different from 0 at the 0.01 level, two-tailed test.

Table IV.3. Multivariate relationships between school-level factors and KIPP middle school impacts, 2013–2014

Factors significantly related to impacts in bivariate analysis	Year 2 reading score	Year 2 mathematics score
Advance notice for leadership succession [a]	0.013* (0.006)	0.016** (0.007)
Distributed leadership	0.013 (0.023)	n.a.
Use of data-driven instruction	-0.063** (0.030)	n.a.
Use of individualized instruction	n.a.	0.062* (0.033)
School-wide behavior plan	n.a.	0.112** (0.045)
Sample size	**30**	**29**

Note: The estimates in this table are coefficients from a multivariate regression that includes only those factors for which there is a statistically significant bivariate association between that factor and impacts for each outcome.

[a]Advance notice for leadership succession is missing for founding principals because they did not become principals as part of a leadership succession. To maximize our sample size for the multivariate analysis, we constructed an alternate version of this variable whereby we imputed a value of 12 for founding principals (a rough estimate of the length of time in advance of assuming their position that these principals began preparations to found their new schools). We conducted sensitivity tests using the nonimputed advance notice for leadership succession variable in the model and dropping the variable from the model altogether; the results were highly similar (Appendix C provides the estimates from these models).

*Coefficient is statistically different from 0 at the 0.10 level, two-tailed test.

**Coefficient is statistically different from 0 at the 0.05 level, two-tailed test.

***Coefficient is statistically different from 0 at the 0.01 level, two-tailed test.

Giving principals more advance notice before they transition into the principal position is related to higher impacts on reading and mathematics. No other principal experiences in the analysis are associated with impacts. In the bivariate analysis, each additional month of advance notice is associated with a 0.020 standard deviation increase in KIPP's impact on middle school mathematics achievement and a 0.015 standard deviation increase in KIPP's impact on middle school reading achievement. Thus, six additional months of notice would be associated with a 0.120 standard deviation increase in KIPP's impact on middle school mathematics achievement and a 0.090 standard deviation increase in KIPP's impact on middle school reading achievement. These increases are equivalent to moving the students in our sample from the 50th percentile to the 55th and 54th percentiles, respectively. The relationship between months of advance notice and impacts in reading and mathematics remained positive and at least marginally significant in the multivariate model.

Two practices employed by KIPP principals—the use of individualized instruction and reliance on a school-wide approach to managing behavior—are positively associated with impacts on mathematics. Two factors show positive and statistically significant bivariate correlations with mathematics impacts. A one standard deviation increase in a school's score on the individualized instruction index is associated with a 0.057 standard deviation increase in

KIPP's estimated impact on middle school mathematics achievement. A one standard deviation increase in a school's score on the school-wide behavior plan index is associated with a 0.136 standard deviation increase in KIPP's estimated impact on middle school mathematics achievement. In the multivariate analysis, both factors remain positive and significantly associated with impacts in mathematics. In the bivariate analysis, neither the individualized instruction index nor the school-wide behavior index is significantly associated with impacts on reading. Though earlier research has consistently demonstrated a relationship between the use of school-wide behavior plans or similar practices and impacts, the relationship between individualized instruction and impacts is a new finding. One explanation for why we observe this relationship in mathematics but not in reading may be that there is less variation in the degree to which reading teachers individualize instruction. It is possible, for example, that it is more difficult to individualize instruction in mathematics than in reading such that most teachers successfully individualize instruction in reading, but fewer do so successfully in mathematics. Alternatively, it may be that we do not observe a relationship between both factors and reading impacts because there is less variation in those impacts to explain.

One practice employed by KIPP principals—supporting teachers in using data to drive instruction—is negatively associated with impacts on reading. No other leadership practices are significantly related to impacts. In the bivariate analysis, a one standard deviation increase in a school's score on the data-driven instruction index is associated with a 0.095 standard deviation decrease in KIPP's impact on middle school reading. In other words, schools in which teachers receive more frequent supports in the use of data to drive instruction have smaller positive impacts on reading. The relationship persists in the multivariate analysis, although the magnitude is smaller—a one standard deviation increase is associated with a 0.063 standard deviation decrease in KIPP's impact on reading.

It is not clear why the relationship between supporting data-driven instruction and reading impacts is negative. It could be that KIPP schools with lower student achievement are turning to these practices in an attempt to spur improvements. This new analysis, unlike the analysis in our earlier KIPP middle school report (Tuttle et al. 2013), finds no relationship between time in school or time in core subjects and KIPP's impacts on middle school reading and mathematics achievement.

No student characteristics we examined are associated with impacts. This finding counters a common criticism that KIPP achieves results by serving fewer students identified for special education and fewer English-language learners. Also in contrast to our middle school report (Tuttle et al. 2013), in which we found a positive relationship between the proportion of students identified for special education and impacts, we find no significant relationship in this analysis between the proportion of students identified for special education and impacts.

The findings from this analysis should be interpreted with caution. Even though some findings—particularly those showing relationships between factors and middle school impacts in the multivariate analysis—may merit further study, they should be interpreted with caution for a few important reasons. First, the analyses are correlational such that some of the observed relationship may be attributable solely to chance. Other factors not captured in this analysis may also be driving the variation in the impact of KIPP middle schools. Similarly, individual factors found to be associated with impacts in this analysis could be one of a combination of features

(some not captured in our data) that explain the variation in the impacts of KIPP schools. Richer and more extensive data might help identify other potentially influential factors. Finally, the sample for this analysis is small—only 34 schools—meaning that there may not be sufficient power to detect relationships that do exist between factors in our analysis and impacts. Together, these concerns suggest the need for further study to understand more fully the source of variation in the effectiveness of KIPP schools.

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APPENDIX A

SUPPLEMENTAL TABLES

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In Appendix A, we supplement the findings in Chapter II of this volume by providing additional descriptive information on the leadership structure, training, and pipeline development practices at KIPP schools and regions. In particular, we provide detail on principal transitions and leadership positions at KIPP schools (Tables A.1 and A.2), the frequency and perceptions of performance management activities at KIPP schools and regions (Tables A.3 and A.4), and the use of individualized instruction and small-group tutoring at KIPP schools by school level (elementary, middle, or high, Tables A.5 and A.6).

Table A.1. Number of principal transitions, by age of school

	Pregrant (age of school in 2010–2011) (percent of schools)			Postgrant (age of school in 2013–2014) (percent of schools)		
Number of transitions	**1 year**	**2 years**	**3+ years**	**1 year**	**2 years**	**3+ years**
0 transitions	100	78	29	100	88	31
1 transition	0	22	41	0	6	50
2 transitions	0	0	22	0	6	12
3 transitions	0	0	8	0	0	5
4 transitions	0	0	0	0	0	3
Number of schools	**16**	**18**	**63**	**16**	**16**	**107**

Source: KIPP Foundation data.

Notes: Columns may not total to 100 percent because of rounding. Pregrant transitions include transitions that occurred after the start of the 2008–2009 school year and before the start of the 2011–2012 school year (including summer 2011). Grant period transitions include transitions that occurred after the start of the 2011–2012 school year and before the start of the 2014–2015 school year.

Table A.2. Number and type of positions at KIPP schools, by year of operation

	Age of school in 2014–2015		
	Schools 3+ years old	Schools 2 years old	Schools 1 year old
Percent of schools with position			
Principal	100	100	100
Assistant principal or dean[a]	95	93	57
Assistant principal[a]	82	73	36
Dean[a]	54	20	29
Grade level chair	89	93	57
Department/content-area chair	45	20	7
Both grade level and department chairs	42	20	7
Instructional coordinator/director of instruction/instructional coach	39	13	14
Special education coordinator	83	73	64
Social worker/guidance counselor	74	73	57
Director of operations/business manager	83	73	93
Other	19	13	14
Average number of positions (among schools with position)			
Principal	1.1	1.1	1.0
Assistant principal or dean	2.4	1.1	1.3
Assistant principal	1.8	1.1	1.0
Dean	1.8	1.3	1.3
Grade level chair	4.0	2.1	1.6
Department/content-area chair	3.4	2.0	1.0
Both grade level and department chairs	5.5	2.6	1.75
Instructional coordinator/director of instruction/instructional coach	1.9	1.0	1.0
Special education coordinator	1.1	1.0	1.0
Social worker/guidance counselor	1.3	1.0	1.0
Director of operations/business manager	1.0	1.0	1.0
Other	1.5	1.0	1.0
Total number of positions	12.2	7.0	5.1
Number of schools	**99**	**15**	**14**

Source: 2014–2015 principal census survey.

Notes: Some positions (for example, assistant principal, dean, or grade level chair) are included in more than one row but are counted only once in the count of total positions.

[a]To be included in these counts, the position had to be specifically titled assistant principal (or vice principal) or dean. The "or" indicates that the school has either an assistant principal or a dean or both.

Table A.3. Frequency of performance management activities at KIPP schools

Activity	Percent reporting each frequency			
	Never	Annually or biannually	Quarterly or monthly	Biweekly or weekly
Goal setting				
Principals set goals for their school with regional executive director or manager	8	75	13	4
Principals set performance goals for themselves with regional executive director or manager	8	79	13	0
Principals set developmental goals for themselves with regional executive director or manager	4	71	25	0
Principals set developmental goals for themselves with a coach	46	42	8	4
Junior leaders meet with their principal to set goals	0	42	35	23
Teachers meet with their supervisor to set goals	0	27	40	33
Observations of performance				
Principal observes leaders performing key responsibilities for purpose of development feedback and accountability	2	3	44	51
Supervisors observe teachers performing key responsibilities for purpose of developmental feedback and accountability	0	1	8	92
Feedback on progress toward goals				
Principals meet with regional executive director or manager to receive feedback on performance	0	4	25	71
Principals meet with regional executive director or manager to discuss progress toward goals	0	13	38	50
Principals receive formal feedback or ratings on their performance	0	71	25	4
Junior leaders meet with their principal to receive feedback or discuss progress toward goals	0	10	24	66
Teachers meet with their supervisor to receive feedback or discuss progress toward goals	0	2	11	87

Source: 2014–2015 principal and executive director census surveys.

Notes: The frequency of performance management activities was reported by regional executive directors for principals (sample size = 24 regions) and by principals for junior leaders and teachers (sample size = 131 schools). Respondents selected from among six response categories: (1) never; (2) annually or biannually; (3) quarterly; (4) monthly; (5) biweekly; and (6) weekly. The table combines some categories. Rows may not total to 100 percent because of rounding.

Table A.4. Perceptions of performance management activities at KIPP schools

	Strongly disagree	Disagree	Agree	Strongly agree
Executive director perspectives (percent of regions)				
Leaders in my region have clear, documented goals and expectations for their performance	13	0	63	25
Leaders in my region know whether they are meeting performance expectations for their role	13	0	71	17
Data are used in my region to assess leader progress toward goals	13	0	63	25
Data are used in my region to assess whether leaders are meeting performance expectations	13	0	63	25
Principal perspectives (percent of schools)				
Leaders at my school have clear, documented goals and expectations for their performance	2	14	66	19
Teachers at my school have clear, documented goals and expectations for their performance	2	5	53	40
Leaders at my school know whether they are meeting performance expectations for their role	2	13	73	12
Teachers at my school know whether they are meeting performance expectations for their role	2	7	69	22
Data are used at my school to assess *leader* progress toward goals	4	18	60	18
Data are used at my school to assess *teacher* progress toward goals	3	3	51	43
Data are used at my school to assess whether *leaders* are meeting performance expectations	4	14	65	18
Data are used at my school to assess whether *teachers* are meeting performance expectations	3	4	56	37

Source: 2014–2015 principal and executive director census surveys.

Note: Rows may not total to 100 percent because of rounding. Sample size for executive director perspectives = 24 regions. Sample size for principal perspectives = 131 schools.

Table A.5. Frequency of different types of individualized instruction, by school level

How often does the typical teacher at your school do the following?	Percent			
	Almost every day	Once or twice a week	Once or twice a month	Never or hardly ever
Adapt instruction to address different learning goals for some students	56	35	5	3
Elementary	67	28	5	0
Middle	51	42	6	1
High	50	30	5	15
Use a different set of methods in teaching some students	45	42	9	4
Elementary	67	28	5	0
Middle	33	49	13	4
High	40	45	5	10
Direct some students to engage in different classroom activities	45	44	10	2
Elementary	81	14	5	0
Middle	31	55	12	1
High	10	70	15	5
Supplement the regular course curriculum with additional material for some students	45	43	11	2
Elementary	53	37	9	0
Middle	42	43	15	0
High	35	55	0	10
Pace their teaching differently for some students	44	37	14	5
Elementary	53	28	14	5
Middle	42	39	15	4
High	30	50	10	10
Use technology, such as computers, tablets, or instructional software, to provide instruction tailored to individual student needs	53	33	10	4
Elementary	86	14	0	0
Middle	43	39	12	6
High	15	55	25	5
Sample size (schools)		**130**		
Elementary		**43**		
Middle		**67**		
High		**20**		

Source: 2014–2015 principal census survey.

Note: Rows may not total to 100 percent because of rounding.

Table A.6. Small-group tutoring at KIPP schools, by school level

Practice	Percent/mean			
	Total	Elementary schools	Middle schools	High schools
Offer any small-group tutoring (percent of schools)	29	60	11	21
Types of students who qualify for small-group tutoring (percent of schools)				
All students	15	30	5	16
Students who need remediation	19	40	6	16
Students above grade level	4	12	0	0
Students in need of academic enrichment	5	7	3	5
Other students (students on the "bubble," credit-recovery students, English-language learners)	2	2	2	5
Sample size	**128**	**43**	**66**	**19**
Delivery mode for small-group tutoring (percent of schools among those offering)				
Pull –out tutoring	59	65	71	0
Supplemental tutoring	32	19	57	75
"Power hour"	57	62	43	50
Other (e.g., "push-in")	22	23	29	0
Frequency of small-group tutoring (mean number of sessions per month among those offering)				
Above-level tutoring	9.1	9.1	4.0	16.0
On-level tutoring	10.6	10.7	8.0	12.0
Below-level tutoring	16.0	17.2	13.6	12.0
Sample size	**37**	**26**	**7**	**4**

Source: 2014–2015 principal census survey.

Note: Small-group tutoring refers to tutoring for groups of six or fewer students. Pull-out tutoring refers to pulling students out of their regular classes to receive tutoring; supplemental tutoring refers to tutoring offered outside the regular school day; "power hour" refers to a designated time when students receive small-group instruction during the regular school day; and push-in refers to cases where tutors deliver tutoring within students' regular classrooms.

APPENDIX B

CASE STUDY SITE PROFILES

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APPENDIX B.1. PROFILE OF KIPP BAY AREA SCHOOLS

The Bay Area region started in 2002 and grew rapidly to include five schools in different cities by 2004–2005, each overseen by its own board. This is unlike most other KIPP regions, which started with a single school, and scaled up over time to form a region. Since its founding, the Bay Area region has grown to 10 schools as of 2014–2015. The regions plans to open its first elementary school in 2015–2016.

Regional spotlight 2014–2015

Size: 7 middle schools
3 high schools
3,250 students

Year of first school: 2002

Setting: Urban neighborhoods of San Francisco, San Jose, San Lorenzo, and Oakland, California

Mission: "To operate high-achieving public schools in educationally underserved communities, developing in our students the knowledge, skills and character essential to thrive in college, shape their futures, and positively impact the world."

Highlighted i3-funded activities:
- KIPP School Leadership Programs (KSLP) training at all levels
- Principal residencies

Leadership structure

Regional structure. The regional staff directly involved in leadership development and supporting the leadership pipeline include the following positions:

- **Executive director.** The executive director oversees growth, quality, and sustainability for the entire region and supervises the three chiefs and the director of finance.
- **Chief growth and operating officer.** The chief growth and operating officer is responsible for growth, technology, facilities, operations, development, marketing, communications, and advocacy.
- **Chief of schools.** The chief of schools manages the head of schools and leads initiatives in teaching and learning, innovation, data and evaluation, and special education.
- **Chief people officer.** The chief people officer is responsible for human resources, talent, and recruitment, including recruitment of school leaders, and is the manager and coach of four principals.
- **Head of schools.** The head of schools is the manager and coach of six principals and spearheads a social and emotional learning initiative for the region and schools.

School structures. Regional leaders do not recommend a standardized structure for schools' leadership teams; instead, principals may exercise autonomy in shaping their teams. As a result, leadership team structures vary across the region, with some schools relying on generalist assistant principal/dean positions and others on specialized assistant principal/dean positions. According to regional leaders, autonomy allows for customization to the needs of the school community or the realities of a particular talent pool. In addition, it acknowledges that the principal is in the best position to make decisions about leadership team structures. The greatest drawback to autonomy, according to regional leaders, is the lack of consistency in roles across the region, making it difficult to tailor regional development activities to specific leadership roles.

The three schools we visited rely on different leadership team structures, though each team consists of one principal; two to four assistant principals (sometimes called vice principals) or deans; and a mix of teacher-leaders, such as grade level chairs, department chairs, and coaches. The high school leadership team also includes an athletic director/registrar/college counselor, an operations manager, and a detention coordinator. With one exception, all the assistant principals and deans that we interviewed play specialized roles. For example, at one middle school, the dean of instruction is responsible for all academic matters, including testing, data, planning, and analysis, whereas the dean of students and culture deals with areas that fall outside the realm of academics, such as behavior management. Although the responsibilities of grade level chairs and department chairs vary across schools, grade level chairs' responsibilities tend to focus on student culture and administrative duties while department chairs' responsibilities tend to concentrate on setting the vision for an academic department. In the Bay Area region, grade level chairs and department chairs do not manage or coach other teachers.

Leadership progression. Principals defined the traditional pipeline as moving from teacher, to grade level chair or department chair, to assistant principal or dean, to principal. Staff in the pipeline might be considered for the next level of leadership based on demonstrated competencies as defined by the KIPP Leadership Competency Model, interest in the position, and the availability of a position. In practice, progression through the pipeline varied. For example, respondents at one school viewed deans and assistant principals as sharing the same leadership level, but respondents at another school viewed the dean position as a stepping stone to the assistant principal position.

Leadership planning, selection, and transitions

Planning. Regional leaders and school principals share responsibility for carrying out the planning process for identifying future principals. In general, the principals reported that they plan for future school leadership needs by trying to develop current staff in leadership positions and working with their regional coaches (either the regional chief people officer or head of schools) to discuss who has interest in and might be the right fit for a given position. Two more systematic approaches are also employed for reviewing and identifying talent across the region:

- **Data visualization.** Each quarter, regional staff who work with school- and regional-level data produce a one-page visual representation of the region's leadership pipeline for presentation to the regional leaders and the board. For each school in the region, the visualization identifies an emergency successor, each principal's planned successor, and the current participants in any KIPP School Leadership Programs (KSLP). All principals must select an emergency successor within the school, though they are not required to select an ideal, planned successor.

Key planning activity
Data visualization helps leaders review identified successors across the region on a regular basis.

- **Talent reviews.** The region's first formal talent review took place in the 2013–2014 school year, with the review repeated each year since then. In the reviews, all principals meet with regional leaders to discuss emerging leaders across the region. Regional leaders propose and frame the talent review as a way to grow and begin thinking about talent more holistically for the region. At

Key planning activity
Annual talent reviews help leaders think about pipelines for the region as a whole.

the review, each principal presents two individuals from his or her team deemed to be high-performing and demonstrating strong leadership potential. Principals also discuss their plans for emergency and planned successors. Then, the chief people officer and principals discuss each candidate's leadership competencies, desire, ability, and availability for leadership as well as the timeline for that person's assumption of various leadership roles.

One principal thought that the talent review process was a particular strength for the region, noting that it is helpful to evaluate staff carefully at each school, present the results to peers, and learn about other schools' approach to leadership development. Regional leaders said that they are challenged to find enough staff prepared to take on leadership roles within the timeframe needed for the region's rapid expansion plans, but they hope that the talent reviews will help address the staffing problem.

Selection. The leadership selection process varies across schools. The schools we visited are more likely to rely on an open, formal selection process for principals and a closed, informal selection process for junior leaders. The executive director explained that the timeframe, talent, availability of positions, and context at each school determine the process.

Attributes sought in principal candidates

- ✓ Track record of student achievement
- ✓ Leadership experience
- ✓ Experience in managing adults
- ✓ Holistic vision
- ✓ Genuine desire to help students
- ✓ Cultural competence
- ✓ High aspirations for themselves
- ✓ High expectations for students

According to the executive director, regional leaders look for the same set of skills and experiences when selecting principals regardless of grade level or the position as founder or successor. Individual respondents highlighted varying skills and experiences sought in principal candidates (call out box).

Transitions. Regional leaders prefer to be notified of a principal transition at least 18 months in advance. With such lead time, regional leaders can name the successor publicly and employ the individual on campus at least one year in advance. As soon as the chief people officer learns of a principal's departure, she meets with the outgoing principal to outline the needs of the school as well as the skills and experience required of a successor principal. She then prepares a transition plan document. She explained that the document is a "calendar tracker" describing the transition of duties that should occur in each month leading up to the formal transition of the principal position. Ideally, the principal gradually hands off his or her duties to the successor. Typically, the successor takes on decision-making authority at the school before formally assuming the principal position. In practice, the transition process has varied across schools based on several factors, such as when principals notified regional leaders of their departure, the length of time needed for identifying a successor, and whether the successor was an internal or external candidate.

Key transition activity
A transition plan describes the timeline during which duties should be handed to the successor.

Leadership development and evaluation

Regional development opportunities. The region provides three regional "communities of practice:" one for principals, one for assistant principals/deans of culture, and one for assistant principals/deans of instruction. The communities of practice began in 2012–2013 and largely

focus on norming instructional and cultural practices, brainstorming and planning around regional initiatives, and passing on transactional information from regional leaders. The communities of practice meet monthly, typically for the length of a school day. Leaders had different views on the degree to which the meetings were helpful, but most said that the meetings address instructional and teaching practice more so than leadership development. In addition, leaders across all schools highlighted two i3-funded activities: KSLP training at all levels and principal residencies.

Coaching. The head of schools and chief people officer are responsible for coaching principals throughout the region. Principals meet weekly with their regional coach for 90 minutes. The principal and regional staff typically create an agenda for the meetings collaboratively. The head of schools explained that half of each coaching session is usually devoted to instruction and the other half usually to culture, discipline, and school systems. He indicated that part of his coaching is based on the Leadership Competency Model and relevant KSLP trainings. One principal indicated that regional coaching is specific to her immediate needs and concerns.

Key evaluation activity
Dashboards are used to set goals, create plans for achieving them, and review progress.

Performance management. According to the chief of schools, regional leaders systematically evaluate principals annually, based on essential aspects of the Leadership Competency Model, including student results, student attrition, relationship building, and teacher retention. Principals set goals at the beginning of each year, which are captured on a dashboard. Toward the end of the year, principals send reflections to their coaches on their progress toward meeting their goals. Each principal receives a summative rating based on his or her development with regard to each goal, using school data to support the evaluation. The ratings range from "below expectations" to "exceeding expectations."

The head of schools indicated that some goals are based on regional initiatives while others reflect personal development. He suggested that the goals relate to how well the school is performing and the principal's personal strengths and weaknesses. One principal explained that she develops a strategic plan for each goal, identifies key levers, and determines how initiatives may be delegated to others.

Across the region, staff indicated a desire for a more robust performance management system. Regional leaders have tried to standardize the performance management of principals, but leaders in other roles—such as assistant principal, dean, or grade level chair/department chair—are not consistently evaluated on their performance as a leader. Several respondents hoped that regional leaders would create a standardized process for these other leadership roles.

APPENDIX B.2. PROFILE OF KIPP DC

KIPP DC's chief executive officer (CEO) founded the region's first school, KEY Academy, in 2001. After growing the school to capacity, she realized that several teachers within KEY had the talent and skills to open up new KIPP DC schools. By 2007–2008, teachers at KEY became Fisher Fellows and started three more schools: AIM Academy, WILL Academy, and LEAP Academy. As of the 2014–2015 school year, the region has grown to 15 schools.

Regional spotlight 2014–2015

Size: 5 early childhood schools
5 elementary schools
4 middle schools
1 high school
4,500 students

Year of first school: 2001

Setting: Urban; Washington, DC

Mission: "To create and sustain the highest quality school system for the most underserved communities in Washington, D.C."

Highlighted i3-funded activities:
- Hiring an assistant principal in a school's first year
- Principal residencies

Leadership structure

Regional structure. In KIPP DC, the CEO and three chief academic officers are primarily responsible for developing the leadership pipeline and for retaining and developing the region's future leaders. The region uses a "heads of schools" model in which management of principals is split among the chief academic officers. Currently, each chief academic officer manages five principals from a mix of schools at different grade levels, but the region may restructure in the future so that management of principals is organized by level (early childhood, elementary, middle, or high).

Regional leaders attempt to reduce the burden on schools as much of possible so that principals and assistant principals (called vice principals at KIPP DC) may focus on instructional leadership. Chief academic officers act not only as coaches but also as liaisons between schools and the regional office. The chief academic officers help principals take advantage of regional resources and facilitate collaboration between other regional staff and principals.

School structures. Regional leaders recommend a specific leadership team structure for schools including a principal and two generalist assistant principals. Schools typically open with one principal and add the first assistant principal in the second year of operation and the second assistant principal once the last grade is added to the school. Recently, elementary schools added a fourth leadership position that focuses mostly on instructional coaching; the newest position is a response to an identified need for more intensive assistance with instruction at that level. As compared to the assistant principal position, the instructional coach position involves fewer interactions with parents and the community and typically attracts individuals with no interest in advancing to a principal position. Most schools also have grade level chairs, though the regional staff and principals typically do not consider them part of the school leadership team. The region's grade level chairs do not manage, coach, or evaluate other teachers. Some school leadership teams also include a social worker and/or a special education coordinator, depending on the individual's level of experience, but regional leaders do not recommend whether these roles should be included.

Though the three schools we visited generally followed the recommended leadership structure, principals may exercise autonomy in creating a different structure if they can justify

the structure and secure endorsement from their supervising chief academic officer. For example, one principal said that she planned to use a dean model in the coming year; four deans would each provide leadership in their area of expertise. The other two schools follow the standardized regional leadership structure. The principals of the two schools agreed that assigning generalized rolls to assistant principals benefited the pipeline and day-to-day school operations. Both principals also reported that either of their generalist assistant principals could take over the school at any moment.

Leadership progression. Regional leaders described an ideal leadership progression as one that begins with a strong teacher who is promoted to assistant principal and eventually to principal. Before being promoted to assistant principal, a teacher should have at least five years of teaching experience, including experience in teaching a tested subject, and some leadership experience—either leading school-wide events (for example, coordinating Saturday school or field trips) or serving as a grade level chair. Regional leaders also prefer teachers to gain diverse experience by teaching different subjects or at different grade levels, enabling them to relate to a broader band of teachers and students. However, regional leaders are also receptive to promoting individuals with strong potential who have not followed this path. For example, five former special education coordinators have moved into assistant principal and principal positions, and some teachers with fewer than five years of experience have moved into assistant principal roles.

Leadership planning, selection, and transitions

Planning. Planning for future leadership needs is a joint effort of the CEO, the three chief academic officers, and the region's principals. Using several informal and formal processes, they work together throughout the year to assess leadership needs as follows:

Key planning activities
Leaders in the region meet to conduct an annual pipeline conversation and create a pipeline list of potential leaders.

- **Pipeline conversation.** Once per year, the CEO, chief academic officers, and principals participate in a leadership retreat. A significant portion of the retreat is devoted to a "pipeline conversation" in which all principals identify and discuss staff in their schools who are interested in and demonstrate the potential for leadership.
- **Pipeline list.** Based on the pipeline conversation, the regional leaders create a list of all individuals in the pipeline to become an assistant principal or principal. The CEO and chief academic officers revisit the list several times per year, particularly when a principal or assistant principal decides to leave.
- **Talent discussions.** The CEO and chief academic officers conduct regular talent discussions throughout the year. Beginning in January, the discussions occur weekly in order to finalize the leadership teams for the next school year. Each time the CEO/chief academic officer team meets, the team provides an update on its progress in filling open leader positions.
- **Observations.** Regional leaders devote considerable time to observing teachers with leadership potential, including teachers not yet on the pipeline list. One chief academic officer explained that she spends much of her day in classrooms looking for teachers with a strong presence who are achieving strong results.

The above processes have reportedly helped regional leaders develop a good understanding of talent across all of the schools and to think regionally about leadership planning. As a result, regional leaders can pull strong teachers into assistant principal positions in other schools rather than limiting them to positions in their own schools. Regional leaders believe that the pipeline conversation and creation of the annual pipeline list have been effective strategies for identifying leaders.

Skills and experience sought in principal and assistant principal candidates

- ✓ At least five years of teaching experience
- ✓ Experience in teaching a tested subject
- ✓ Diversity in teaching experience
- ✓ Experience in leading adults in the school
- ✓ Experience in working with families
- ✓ Strong instructional and student management skills
- ✓ Respect among peers
- ✓ Charisma and grit
- ✓ Confidence about their vision and ability to articulate it
- ✓ Belief that anything is possible for children

Selection. Drawing on the information collected in the planning process, the CEO, chief academic officers, and principals use an informal and closed process to identify the candidate whom they believe is most qualified to fill a leadership vacancy. The process does not vary between Fisher Fellows (founding principals) and successors, leadership levels, or leaders of different grade levels. The regional leaders described a wide range of attributes that they look for in principal and assistant principal candidates (call-out box).

KIPP DC rarely considers leadership candidates from outside the region. Most leaders said that the internally focused planning process has worked well for the region. According to one principal, a teacher's "interview" for a future leadership position begins on his or her first day of teaching, meaning that leaders have years of information at hand to assess a teacher's strengths, limitations, and readiness for a leadership position. One assistant principal, however, thought that such an approach might be too narrow and cause regional leaders to overlook strong external candidates. Some leaders at all levels felt that the region's selection approach lacks transparency because many teachers do not know who is in the pipeline or how to be considered for leadership.

Transitions. Regional leaders would like to know about a principal transition as far in advance as possible, ideally a full year or longer before the transition takes place. During the fall before a transition, regional leaders identify and secure a successor principal; they publicly announce their choice halfway through the school year, and the successor principal begins taking on the principal's responsibilities in the spring. Two successor principals we interviewed had followed this transition timeline. By contrast, an assistant principal in the third school is in the process of transitioning to become a principal next year at a different school and began her transition activities in the fall instead of in the spring. Her time is split between her assistant principal responsibilities at her current school and planning for her new school, which includes hiring, student recruitment, operations, and planning professional development.

Leadership development and evaluation

Regional development opportunities. A variety of development programming is available to leaders at all levels in the region:

- **Leadership retreat.** In addition to discussing of the leadership pipeline, regional leaders, principals, assistant principals, and instructional coaches discuss hiring, the region's strategic plan, and schools' progress in meeting the region's goals at the retreat.

- **Emerging leaders.** One principal started an emerging leaders program for teachers interested in and demonstrating potential for future leadership positions. A select group of teachers throughout the region met for several hours each Saturday for three months. During the meetings, they discussed leadership books and assessments and, at the end, presented case study projects.
- **Action learning projects.** Regional leaders select teacher-leaders to work together to lead a project for the region. For example, in the 2013–2014 school year, each principal selected a teacher to lead the respective school in writing. The teachers met together for six to seven sessions to review Common Core State Standards and map skills across all grade levels.
- **"Walk-throughs."** Regional leaders are piloting a walk-through process in one of the region's schools and hope to expand the practice. During a walk-through, a chief academic officer meets with the principal and assistant principals to discuss a current initiative in the school and, given the initiative, what the chief academic officer should expect to see in the classrooms. The chief academic officer, principal, and assistant principals then visit classrooms throughout the building, one grade level at a time, with a short debriefing between grade levels, followed by a longer, 45-minute discussion of next steps at the end of the classroom visits. The sessions occur once a week for two hours.

Key evaluation activity
Principals and assistant principals receive annual 360s, which include feedback from their supervisors, peers, and those they supervise.

According to one regional leader, most of KIPP DC's leadership development activities focus on instruction because KSLP focuses on fundamental leadership practices, such as how to lead meetings or engage in difficult conversations. KIPP DC also provides opportunities for leaders in the same position to collaborate across schools, and school leaders reported that they appreciate the collaboration opportunities. Leaders also highlighted two i3-funded development activities: hiring an assistant principal in a school's first year and principal residencies.

Coaching and informal practices. The region's informal development practices include assigning future leaders "stretch tasks," encouraging collaboration with peers, observing leaders' decision-making processes, and regular one-on-one meetings between leaders and their supervisors.

Performance management. Regional leaders do not formally evaluate principals and assistant principals. Instead, school leaders receive regular feedback during one-on-one meetings with their supervisors. Informal principal and assistant principal evaluations are based on the school's performance, which is measured through academic, disciplinary, attendance, and survey data as well as results from an annual 360-degree review. The 360-degree review summarizes feedback from school leaders' supervisors, peers, and those they supervise. All three of the principals we interviewed said that they set their own goals at the beginning of the school year even though the chief academic officers neither ask them to do so nor measure principals' progress toward those goals. Grade level chairs and other teacher-leaders receive formal evaluations as part of the regular teacher evaluation process in KIPP DC; the evaluations may address leadership performance. Several leaders agreed that constant, informal evaluation through coaching is a strength of the region, although some leaders believed that a formal evaluation for principals and assistant principals would be helpful.

APPENDIX B.3. PROFILE OF KIPP ENC (EASTERN NORTH CAROLINA)

The executive director cofounded Gaston College Prep Middle School in 2001, then started the KIPP Pride High School in 2005, and became the region's executive director in 2011. The executive director plans to expand slowly into Halifax and Durham, North Carolina.

Regional spotlight 2014–2015

Size: 1 elementary school
2 middle schools
1 high school
1,300 students

Year of first school: 2001

Setting: Primarily rural North Carolina and expanding to urban North Carolina

Mission: "To empower all of our students with the skills, knowledge and character necessary to succeed in the colleges of their choice, strengthen their community and fight for social justice."

Highlighted i3-funded activities:
- Funding two director of leadership positions
- Principal coaching
- KSLP training at all levels

Leadership structure

Regional structure. The executive director typically is the only regional staff member focused on developing the region's leadership pipeline and retaining and developing future leaders. Although there are several regional positions, including a director of talent recruitment who assists the executive director with hiring, no other staff play a direct role in developing the leadership pipeline. The executive director manages and coaches all principals. At the school level, principals are responsible for retaining and developing potential future leaders.

School structures. The executive director encourages a standardized leadership team model that includes one principal, two generalist assistant principals at full growth, and grade level chairs for each grade. Depending on a school's needs, assistant principals may be added in the second or third year of a school's operation. All three principals interviewed did not think that assistant principals were needed in the first year of school operation due to the small number of students and staff members. Some schools have added other positions with leadership responsibilities, though these positions are not part of the leadership teams. For example, two schools employ a dean of students, and the high school employs instructional coaches, department chairs, and a director of college counseling.

Some schools have temporarily deviated from the above structure as they search for the appropriate individuals to fill leadership positions. For example, at one school, both assistant principals are also grade level chairs, but the school plans to promote two teachers to grade level chairs in the 2015–2016 school year. Another school that now includes all planned grades has operated with just one assistant principal for two years because a suitable candidate has not been found for the second assistant principal position.

Key school leadership role
Grade level chairs track student academic progress, lead team meetings, and act as liaisons between administrators and teachers.

Across schools, leaders described the responsibilities of grade level chairs as "keeping their finger on the pulse of their grade" by tracking student academic progress and discipline, leading grade-level team meetings, and acting as liaisons between a school's administrators and teachers in their grade. The other responsibilities of grade level chairs varied across the schools but included tasks such as leading instructional planning, coaching other teachers, leading

weekly "Pride Time" in which students celebrate academic and behavior growth, reviewing lesson plans and report card comments for consistency across the grade, serving as the first contact to parents for disciplinary issues, and delegating tasks to other teachers.

Leadership progression. The region does not have a standardized pipeline, though principals generally identify assistant principals as their future replacements. An individual does not necessarily need to be an assistant principal before the region endorses him or her for the Fisher Fellowship; for example, the Fisher Fellow slated to open KIPP Durham has never served as an assistant principal but was a grade level chair. One principal reported thinking that teachers should have some coaching experience before becoming an assistant principal. Individuals in less traditional roles can and have moved into the school leadership pipeline, according to the executive director and other leaders we interviewed. For example, one of the high school assistant principals began as a college counselor rather than as a teacher.

Leadership planning, selection, and transitions

Planning. For two reasons, there have been few opportunities for leaders to advance to into the principal position in KIPP ENC. First, despite the region's age, it has experienced only three principal transitions to date (at two schools). Second, the executive director said that she intentionally expanded the region slowly, partly to develop bench depth, meaning just a few new leadership positions have opened up. Partially due to the limited number of openings, it seems, at least 17 individuals have left the region to become principals at other KIPP and non-KIPP schools around the country. Although there have been few principal successions to date, principals speak regularly with the executive director about possible successors as well as about candidates to serve as the founding principals for the three schools planned for Halifax and Durham. Conversations occur during weekly all-principal meetings with the executive director and during one-on-one check-ins between each principal and the executive director. The executive director asks principals to "wear two hats"; that is, to lead their schools and contribute to regional growth through regional leadership pipeline planning. Each principal interviewed had identified a replacement whom he or she is developing to become principal, though timelines were not yet determined. Assistant principals and grade level chairs in the two schools operating with all planned grades are also responsible for identifying their successors.

Selection. The executive director and current principals typically use a closed and informal process to identify staff likely to be strong successors or founders of new schools and then invest in training those staff. Those identified for future assistant principal or principal positions typically express interest to their supervisor and engage in ongoing and open conversations about the skills and experiences that they should develop. According to the executive director, the most important criterion for a principal candidate is alignment with the region's mission, which emphasizes the preparation of students not only to succeed in college but also to strengthen their community and fight

Attributes sought in principal candidates

- ✓ Alignment with the region's mission and mindset
- ✓ Investment in the region
- ✓ Hunger and humility
- ✓ Willingness to be part of a team
- ✓ Thick skin
- ✓ Positive mindset for leadership
- ✓ Understanding that a principal is a servant, not a dictator
- ✓ Strong instructional eye
- ✓ Strong communication with parents, teachers, and students
- ✓ Ability to relate actions to student impact

for social justice. Furthermore, candidates must recognize that they cannot focus solely on their school but must also invest in the region. The executive director, principals, and assistant principals we interviewed identified a wide range of desired qualities for principals (call out box).

The criteria for identifying candidates for the Fisher Fellowship are similar to those for successor principals. The executive director primarily considers an individual's desire to open a school, classroom results, experience in leading adults, and alignment with the region's mission. The executive director begins conversations with Fisher candidates three years in advance to prepare them for the Fisher selection process and ensure their retention.

In most cases, assistant principal selection has also followed a closed process. In one instance in which there were no internal candidates, the executive director and a principal initiated a formal and open selection process. In that case, the regional director of talent recruitment and the principal worked together to identify candidates through a process that included a written application and video responses to questions. For grade level chair positions, two schools use an open selection process with a written application. However, only one individual per grade has typically been interested in the position so the application process has not been competitive at either school.

Transitions. Ideally, the outgoing principal would notify the executive director 18 months in advance of his or her departure. Assisted by the executive director, the principal would be responsible for identifying a successor and preparing that person for the principal position, though the executive director would typically know the principal's identified successor in advance through ongoing conversations. By the semester before the succession, the incoming principal should be the acting school principal. Of two schools that have experienced successions, one school followed the model. In the other, one former principal left suddenly, making a gradual transition impossible.

Leadership development and evaluation

Regional development opportunities. The executive director holds regular meetings for all principals and grade level chairs across the region to target development by leadership level and to align practices:

Key development activity
Regional grade level chair and principal meetings target development and align practices across schools.

- **Regional grade level chair meetings.** The executive director leads a quarterly, two-hour meeting of grade level chairs. Several grade level chairs said that the meetings ensure that grade level chairs' actions purposefully align with the region's mission and goals. The first meeting is held before the school year begins and addresses regional goal setting for teacher-leaders and effectively leading staff to achieve common goals. Other topics touch on challenges that the grade level chairs may share, such as how to invest teams in a common goal and how to identify and support academic and behavioral outliers among students. Grade level chairs may role-play or receive coaching and feedback on topics such as how to conduct difficult conversations with team members, how to lead team meetings, or how to provide instructional and cultural coaching to other teachers.

- **Regional principal meetings.** Principals and the executive director meet once per week for about 90 minutes. To start the meetings, the principals typically conduct an observation together at one of the schools, and then give feedback to the school's principal for norming and coaching purposes. They then review student work for about half of the meeting. The principals may also discuss difficult situations they may be facing, make shared regional decisions, and participate in a book study and discuss best practices that they may want to implement at their schools.

The executive director believes that the regional grade level chair and principal meetings have been helpful for developing a regional mindset and norming across grades K-12. One principal said that the meetings strike a good balance between vesting principals with the "power to lead" while aligning common practices across the region. Across the region, leaders at various levels also highlighted three leadership development opportunities made possible by the i3 grant: funding two regional directors of leadership, principal coaching, and KSLP training at all levels.

Coaching and informal practices. In addition to formal regional meetings, coaching combined with observations and feedback is highly valued in the region. Each principal meets with the executive director for at least an hour each week for this purpose. The meetings focus largely on solving problems that come up over the course of the year, as well as principals' efforts in coaching and managing staff. At times, the executive director has also observed principals and provided feedback, especially during their first year in the position. Principals also informally observe one another's schools and offer feedback, ask each other for advice, discuss how to align practices across grade levels, and sit in on interviews to share their perspectives on candidates.

Key development activity
Leaders video-record themselves coaching teachers and leading meetings in order to receive feedback during one-on-one meetings.

Much of the ongoing development of assistant principals, teacher-leaders, and potential leaders occurs through coaching and feedback during leadership team meetings and weekly one-on-one meetings with the principal at their school. Most school leaders said that they had weekly one-on-one meetings with their principal or assistant principal and that the meetings often addressed the leaders' growth as leaders. For example, a principal might observe a leader coaching a teacher or leading a meeting and then provide feedback on the observation during the one-on-one meeting. Each principal uses videos frequently for observation purposes so that the principal's presence does not interfere with the instruction or meeting. At two of the schools we visited, the leadership team meetings focused on development and included coaching, collaborative problem solving, and relationship building. To promote best leadership practices, principals often frame discussions around what they want to "keep doing," "start doing," and "stop doing." Many leaders indicated that a strength of development in the region is the intensive amount of feedback and coaching available, along with the availability of leaders to help them think through and solve problems.

Performance management. KIPP ENC does not rely on a formal or standardized evaluation system for principals or other leaders. The executive director said that KIPP ENC plans to introduce a more formal evaluation system in the future, but, as of the 2014–2015 school year, evaluation generally took the form of informal and constant coaching and feedback. Even in the absence of a formal evaluation system, principals set goals, with input from the executive

director, before the school year begins. Some goals are benchmarks for academic performance, whereas others are related to the Leadership Competency Model and leadership and management practices. The principals and executive director informally discuss the goals and performance benchmarks throughout the year. Each principal meets at the end of the year with the executive director, but any discussion of goals is informal.

Evaluations of assistant principals and grade level chairs varied at the three schools we visited. One school used a version of the Leadership Competency Model that staff in another region had converted to a rubric for evaluating the leadership of assistant principals and grade level chairs. At the beginning of each school year, assistant principals and grade level chairs at the school rate themselves on all of the Leadership Competency Model's competencies and then set goals for themselves, with the principal's input, based on the ratings. They rate themselves again on the same competencies at the middle and end of the school year and discuss progress toward goals with their principal. In another school, the assistant principals and grade level chairs set goals related not to leadership performance but instead to student performance and achievement benchmarks for the teachers they coach or for their grade levels. The assistant principals and grade level chairs do not receive a formal evaluation based on these benchmarks. The third school we visited did not have a formal goal-setting process.

Across the region, leaders provided mixed feedback on whether a more formal evaluation system would be helpful. Some principals are taking steps to implement a more formal system in their schools, but other principals think that coaching and feedback are sufficient for evaluation purposes.

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APPENDIX B.4. PROFILE OF KIPP NEW JERSEY

KIPP New Jersey began with the creation of TEAM Academy in Newark in 2002; the school's founding principal is now the region's executive director. The region was initially called TEAM Schools and recently renamed itself KIPP New Jersey (TEAM Schools now refers only to those schools in Newark). In 2014, an elementary school opened in Camden, New Jersey, and regional leaders plan to start more elementary and middle schools and a high school there.

Regional spotlight 2014–2015

Size: 5 elementary schools
2 middle schools
1 high school
2,800 students

Year of first school: 2002

Setting: Urban neighborhoods of Camden and Newark, New Jersey

Mission: "To create a network of schools in Camden and Newark, New Jersey, that instill in their students the desire and ability to succeed in college, in order to change the world."

Highlighted i3-funded activities:
- Hiring a regional director of leadership development
- Hiring assistant principals and deans of instruction earlier in schools' lives

Leadership structure

Regional structure. The members of the regional staff charged with leadership development and supporting the leadership pipeline include the executive director, director of leadership development, and three heads of schools. In 2014–2015, the heads of schools each managed a subset of schools in the region (one oversaw elementary schools and the high school, and the other two split up the middle schools). The team was informally structured with one head of schools overseeing the other two; the executive director planned to formally adopt this oversight structure in the 2015–2016 school year.

School structures. Regional leaders have generally not required schools to use a standardized leadership structure, in favor of giving principals autonomy whenever possible. A regional leader explained that autonomy at the school level has allowed schools to experiment with new structures that may be of interest to the entire region. However, regional leaders reported that the resulting variation in structure and leadership responsibilities for similar positions has made it difficult for regional staff to support leaders. For example, variation in the responsibilities across leaders in similar, nonstandardized positions means that the same development opportunities may not be appropriate for all leaders in similar positions. As a result, regional leaders want to standardize some of the responsibilities associated with certain leadership positions.

Key school leadership role
Deans of instruction provide coaching and instructional leadership from the time each school opens.

Regional leaders are beginning to encourage the employment of specialized leaders and recently decided that new schools in the region must open with a dean of instruction. Regional leaders based their decision on the strong student achievement results of an elementary school that opened in the 2013–2014 school year with a dean of instruction. They pointed to the importance of a great instructional leader and noted that leaders who oversee all aspects of the school may not always be the best instructional leaders. Regional staff believe that specialized roles that divide responsibility for instruction and culture allow schools to customize roles to a person's skillset, which may better invest staff members in their roles and ultimately improve staff retention. However, regional leaders noted two drawbacks: (1) specialization of leader responsibilities may require schools to hire additional

leaders, which can be costly and (2) specialized leaders may still be held collectively responsible for outcomes over which they have no direct oversight.

The three schools we visited each had a core administrative team consisting of one principal, two to three assistant principals/deans with specialized roles, and a director of student operations. The extended leadership teams included grade level chairs, department chairs, instructional coaches, special education coordinators, and some nontraditional roles such as social workers and athletic directors. In general, grade level chairs, department chairs, and instructional coaches took on substantive leadership responsibilities in KIPP New Jersey, often including the management, evaluation, and coaching of teachers. For example, at one school, grade level chairs function as assistant principals for their grades; they handle scheduling, discipline, culture, and the management and evaluation of teachers.

Leadership progression. Regional leaders said that there is no ideal progression to school leadership; however, most leaders served as a grade level chair or assistant principal before becoming a principal. Regional staff members believed that, because the grade level chair position is particularly substantive in the region, experience as either a grade level chair or assistant principal provides a leader with sufficient management experience to advance to the principal position. Teachers may also rise through the pipeline by holding positions such as department chair or instructional coach. In the three schools we visited, other positions such as social worker or special education coordinator were not considered part of the leadership pipeline. Although regional leaders were receptive to moving leaders across schools, teachers typically advance through the leadership pipeline in the same school.

Leadership planning, selection, and transitions

Planning. The director of leadership development is primarily responsible for formal leadership planning in the region. She conducts talent reviews to determine leadership potential among current leaders and teachers. Using the "Nine Box" tool (introduced to her by the KIPP Foundation), the director of leadership development assesses each school's leaders and teachers according to their potential and progress in meeting performance goals, placing each leader and teacher into one of the box's nine levels of performance. Regional leaders use the tool's descriptions of the nine levels of performance to determine the positions for which a leader or teacher should be groomed. Even though this is not yet a standardized process, regional leaders intend to conduct talent reviews twice annually. One regional leader said that the Nine Box has been helpful for learning how to develop some leaders and teachers for future positions and for creating a shared understanding of strong leadership.

Key planning activity
The region assesses leaders and teachers in each school according to their potential and performance by using a tool called the "Nine Box" to measure several aspects of leadership potential and current performance.

In addition to conducting the formal talent review process, regional leaders engage weekly in informal discussions about future principal needs. Principals also said that they think about which staff members they might develop as their own replacements if they were to leave. However, none of the principals interviewed had identified a replacement. They had all transitioned into their roles within the last two school years and did not plan to leave in the near future, but they had each identified emergency successors who could assume the principal position in case of a crisis. At this point, regional leaders have identified more potential future principals than the number of positions they anticipate having open. They reported that this

surplus of qualified leaders is a regional strength, but that it also makes it challenging for the region to retain those with the potential for and desire to move into leadership. Some teacher-leaders suggested the creation of additional steps between grade level chair and assistant principal in order to give teachers more experience before they become a principal.

Key criteria for principal candidates

- ✓ Management experience
- ✓ Intelligence
- ✓ Willingness to stand behind their decision
- ✓ Record of strong results

Selection. The region has not developed a standardized approach for selecting successor principals. In some instances, regional leaders have used an informal and closed process to appoint principals; in other instances, they have employed a formal and open process. Although regional leaders would like the process for all principals to be transparent, rigorous, and fair and involve all stakeholders, they also appreciate the option of appointing a new principal without enduring a long process when a school is not performing well. Regional leaders modeled the formal selection process that is sometimes used in the region after the KSLP Fisher Fellow selection process, which includes interviews with the regional leadership team that are guided by the Leadership Competency Model as well as interviews with teachers, parents, and students. Most of the deans and assistant principals at the schools we visited did not undergo a formal selection process; however, in recent years, the same schools have all shifted from informal and closed selection processes to more formal and open processes for grade level and department chairs.

The process and criteria for the endorsement of Fisher Fellowship candidates to open new schools is similar. However, in addition to the key criteria for selecting principals (call out box), regional leaders consider other criteria for Fisher candidates, including receptiveness to feedback, high expectations for and commitment to children, enthusiasm, and an ability to understand systemic trends.

Key transition activity
Reduce the successor's responsibilities the year before the transition.

Transitions. Principal transitions have varied across the region's schools. However, regional leaders view a recent leadership transition as a model for future principal transitions. At the school of interest, the new principal was selected 18 months in advance of the vacancy. Once selected, the successor attended KSLP Successor Leader training and, excused from his leadership responsibilities, observed other schools, participated in residencies, and thought through the school's vision. After returning to the school, the successor principal gradually took on the outgoing principal's leadership responsibilities and received feedback from the outgoing principal and regional leaders. By the end of the school year before the succession, the successor had fully assumed all of the outgoing principal's responsibilities. Regional leaders plan to leverage lessons learned from the transition to improve future transitions.

Key development activity
The region offers cohort-based leadership development tailored to each cohort's needs for growth.

Leadership development and evaluation

Regional development opportunities. In part to save training costs, the region offers in-house professional development, modeled after KSLP training and led by former KSLP session facilitators. The training is delivered to four "cohorts:" teacher-leader, new leader, returning manager, and emerging leader. The director of leadership development determines each teacher's or leader's cohort based on results from the talent review. The topics of professional

development are largely based on the Leadership Competency Model but may vary with the cohort. Each cohort is intended to have five sessions per year, although, in practice, the sessions occur less frequently.

In addition to the cohort programs, the region offers several other development programs targeted to specific leadership roles in order to support leaders and norm practices across schools. The programs include a monthly program for special education coordinators, a regional development program emphasizing instructional leadership for all deans of instruction, and monthly executive committee meetings that offer professional development for principals.

While several leaders reported that the cohort programs overlap too much with KSLP training, regional leaders believe that the programs have helped them be more intentional about developing leaders. Regional leaders also highlighted two i3-funding opportunities: hiring a regional director of leadership development and hiring assistant principals and deans of instruction sooner rather than later after schools' founding.

Coaching and informal practices. In addition to the region's formal programming, leaders meet weekly with their supervisors for a one-on-one coaching session, and many leaders said that the sessions were particularly useful for their development. Several leaders indicated that their school's leadership team meetings often include leadership development topics. For example, at one school, 25 minutes of the weekly grade level chair meeting are devoted to these topics.

Performance management. The region has adopted a standardized process for evaluating principals. Twice per year, the head of schools overseeing each principal evaluates the principal based on (1) the principal's performance management plan, (2) results from a formal walk-through conducted by leaders of other schools, (3) the principal's individual development plan, and (4) data from a staff satisfaction survey. Evaluations for less senior leaders are less standardized than evaluations for principals and vary by school and manager. Some leaders said that they had received formal evaluations while others indicated that they had not. Across all three schools, leaders mentioned that—whether or not subject to formal evaluation—they felt accountable for their results and the results of anyone they managed.

As part of their performance management plans, principals set forth development goals with their head of schools at the beginning of the school year. Leaders indicated that development goals usually focused on two of the competency categories from the Leadership Competency Model: driving results and managing people, such as improving the performance of the teachers they manage. In the middle of the school year, teachers self-evaluate their progress toward the goals and receive an evaluation from their head of schools. They then develop new goals in consultation with their head of schools for the second half of the year and reevaluate their progress toward the new goals at the end of the year.

Several school and regional leaders noted that they believe the KIPP Foundation lacks well-developed rubrics for evaluating leadership. One school responded to the need for a rubric by creating a leadership evaluation framework, which the school is beginning to implement for instructional coaches and grade level chairs. Several leaders indicated that formal evaluations were not important because they received regular and sufficient feedback through their one-on-one coaching sessions.

APPENDIX B.5. PROFILE OF KIPP NEW ORLEANS SCHOOLS

The formation and growth of KIPP New Orleans is interwoven with Hurricane Katrina, which devastated parts of the city in late August 2005. The first KIPP New Orleans school opened in July 2005, and, according to a principal in the region, the hurricane's aftermath spurred the region's growth, as KIPP New Orleans sought to offer educational options to children displaced by the storm. Educators were also attracted to the region out of a commitment to serving these youth and providing them with the best possible education.

Regional spotlight 2014–2015

Size: 5 elementary schools
4 middle schools
1 high school
4,200 students

Year of first school: 2005

Setting: Urban, city of New Orleans

Mission: "Building a high quality, sustainable network of tuition free, open enrollment, college preparatory public charter schools that empowers students with the knowledge and skills necessary to succeed in school and life."

Highlighted i3-funded activities:

- Creating the director of leadership development position
- Hiring assistant principals earlier than would have otherwise occurred
- Principal residencies
- Principal coaching from the KIPP Foundation

Leadership structure

Regional structure. Regional staff members charged with hiring, retention, and professional development for the leadership pipeline include the executive director, chief academic officer, director of talent, and regional leadership coach. KIPP New Orleans uses a "heads of schools" model in which the chief academic officer and regional leadership coach each oversees a subset of schools. To date, leaders are not assigned to schools based on grade. Instead, the executive director attempts to match regional leaders to schools based on each leader's strengths and ability to address a school's particular challenges.

School structures. Regional leaders recently encouraged schools to adopt a standardized leadership structure that differs by grade level. At the primary level, the recommended structure calls for a principal and three assistant principals (one each to cover kindergarten and grade1, English/language arts and social studies in grades 2 through 4, and mathematics and science in grades 2 through 4). For middle schools, the recommended structure includes a principal, two assistant principals (split between upper and lower grades), and content experts in English/language arts, social studies, mathematics, and science. For high schools, the recommended structure consists of a principal, two or three assistant principals, one leader responsible for discipline, and content experts for each major subject area. The assistant principal roles are designed to be generalized at all school levels but place greater emphasis on instruction than on culture. Despite the suggested frameworks, the region does not mandate specific structures because regional leaders have seen schools succeed by matching special skill sets and roles to a school's particular needs. Founding principals in the region also have flexibility as to when they hire their first assistant principal.

Key structure activity
Recommend a leadership structure but grant schools flexibility to choose other models.

The three schools we visited had similar leadership structures, with one principal, three to five assistant principals or deans with specialized roles, and a variety of teacher-leader positions. In one school, each grade level

has four chairs to oversee accountability, culture, mathematics, and English/language arts, and each chair is responsible for ensuring that teachers meet expectations in their respective area. Some grades in the school also have co-teachers, who split their time between teaching and observing and coaching new teachers in their grade. The principal's rationale for the structure is that the traditional grade level chair position involves too much responsibility for one person and that a shared load among teachers increases investment in the school. In the other two schools, the teacher-leader positions include grade level chairs for each grade, content leaders for each of the school's major subject areas, and one instructional coach. Both the grade level chairs and content leaders lead meetings for their respective grade level and department teams. Although some teacher-leaders across the region coached other teachers, none formally managed or evaluated other teachers.

Leadership progression. Regional leaders identified an ideal progression to school leadership as a teacher moving to grade level chair or content lead, then to assistant principal or dean, and then to principal. Given that most assistant principals and deans in New Orleans are in specialized positions, two typical pathways are available: (1) a grade level chair progressing to assistant principal or dean focused on culture and (2) a content lead progressing to an assistant principal or dean focused on instruction. Leaders from both pathways might become a principal. Regional staff indicated that, in practice, the process often does not unfold in such a linear fashion and that the timeline varies across leaders. In addition, regional leaders are developing new pipelines for business operations, for alumni relations, and for teachers with content expertise who do not want to become principals.

Leadership planning, selection, and transitions

Planning. Planning for future principals and other leaders generally occurs at the school level with support from the regional office. Sitting principals typically identify staff likely to be strong leaders and then invest in training those staff. They regularly communicate with regional leaders to discuss potential leaders and to receive support in making their selection decisions. Regional leaders place a high priority on developing future principals and award a monetary bonus to each principal who develops an individual selected for a principal position. The principals at all the schools we visited had identified a successor and had already had an open conversation with the identified successor about transitioning to the principal position.

Key planning activity
Reward principals with a monetary bonus if they develop leaders.

Selection. Most leaders we interviewed at all levels were selected through a closed selection process in which their respective principal identified and groomed them to eventually assume a leadership position. However, within the past two years, regional leaders initiated a formal application process—open to candidates from within KIPP New Orleans—to select successor principals. The full-day process includes interviews with the candidate's colleagues, the staff managed by the candidate, and his or her principal; observations as the candidate coaches teachers and leads meetings; and regional staff interviews with the candidate. Regional leaders said that the new approach has helped them select the principals who will achieve the best school outcomes. Instead of asking founding principal candidates to participate in an open selection process, regional staff continue to nominate internal candidates for the Fisher Fellowship who, in their estimation, best meet the Fisher Fellowship selection criteria.

Leaders across the region agreed that the most important skills or experiences for principal candidates are demonstrated success in the classroom and the ability to lead adults. They also value instructional knowledge and content expertise and the ability to teach and train new leaders. To improve the performance of existing schools, regional leaders have recently tried to place their most visionary leaders in the successor position (as opposed to nominating them for the Fisher Fellowship for founding principals).

Skills and experience sought in principal candidates

- ✓ Demonstrated success in the classroom
- ✓ Ability to lead adults
- ✓ Instructional knowledge and content expertise
- ✓ Ability to teach and train new leaders

Transitions. The region has seen relatively little principal turnover since KIPP New Orleans's inception, but school leaders still regularly communicate with regional staff about potential principal transitions and possible successors. Ideally, regional leaders prefer notification of a planned principal departure 18 months in advance (or as soon as possible), with such notice the selection of a successor would take place in January or February in the school year before the transition, and the future principal would know of his or her selection in February or early March. However, principals who have identified a successor well before the preferred 18-month notification date may experience a much more gradual transition process. In two schools we visited, the identified successors were aware of the timeline for the transition (1.5 to 2.5 years), and each had already begun assuming some of the principal's responsibilities.

Leadership development and evaluation

Formal development programs. The region offers no structured development programs, but regional leaders rely heavily on KSLP programming to prepare candidates with the interest in and potential for future leadership positions and to learn about new practices that leaders can adapt as a region. Nearly all the leaders we interviewed had received some type of KSLP training and highly valued their training experience.

In addition to KSLP, many leaders throughout the region have pursued other non-KIPP leadership development opportunities, such as Match Education, Relay Graduate School of Education, Leading Educators, Teach NOLA, and Columbia University's Summer Principal Academy. A benefit of these external programs, according to one principal, is that they permit leaders to learn from a diverse set of perspectives to improve performance within KIPP New Orleans. On the other hand, some of the lessons may not translate directly to the KIPP New Orleans context. Some leaders also reported that some programs require extensive time and resources for participation.

In addition, regional and school leaders spoke highly of their i3-funded development activities such as creation of the director of leadership development position, hiring assistant principals earlier than otherwise possible, principal residencies, and principal coaching from the KIPP Foundation.

Coaching and informal practices. Although the region does not require schools to adopt particular leadership development approaches, many approaches have become standard across the region, including one-on-one meetings that typically include observations of teachers or leaders and feedback and coaching based on the observations. In addition, some teachers

reported that they receive development as part of their leadership team meetings. Principals in the region are also encouraged to adopt the practice of "data dives" as a way to develop staff leadership skills related to data analysis. Data dives—dedicated time in which staff analyze school data and draw conclusions about next steps—occur in several contexts but are particularly prevalent in grade level team meetings. For example, in one school, grade level chairs pull data each week and lead their teams in analyzing and interpreting the observed trends.

Performance management. All teachers and leaders in the region receive formal evaluations twice a year. Whereas principals, assistant principals, and deans are evaluated in terms of their leadership skills and school outcomes, teacher-leaders are formally evaluated exclusively on their teaching and classroom performance.

Principal mid-year evaluations are primarily based on school outcomes related to teacher retention, student attrition, and student achievement and preparation for college as measured by the Healthy Schools and Regions survey, which the KIPP Foundation administers annually. In May, principals receive a summative end-of-year evaluation that incorporates results from both the Healthy Schools and Regions survey and the region's Leadership Competency Model rubric. During the May evaluation, principals and their supervisors (the chief academic officer or regional coach) collaboratively set development and performance goals for the next year. Development goals are specific to the principal's personal growth areas and may address instruction, outcomes, or leadership. The supervisor sets the performance goals by describing the region's vision for the next five years to the principal, and then working backward to create performance goals for the school for each year.

Key evaluation and development activity

During "academic intensives," regional leaders observe a school for a day, provide feedback, and help set goals.

In addition to formal evaluations, each school participates in two "academic intensives" during the school year. An academic intensive is a day-long school visit by the entire regional leadership team that includes classroom observations and goal setting with school staff. Although academic intensives are meant to be evaluative, principals reported that they function as a development tool by providing time for critical observations and constructive feedback and establishing a foundation on which to set goals.

Leaders across the region felt that evaluation was the one area most in need of improvement. To that end, regional leaders are revising the region's evaluation rubric, which is based on the Leadership Competency Model. According to regional leaders, the current rubric includes too many competencies and is not representative of what regional leaders view as strong leadership. The revised version will still be based on the Leadership Competency Model, but regional leaders are simplifying the rubric to focus on the most important skills for leaders. On the other hand, principals cited weekly one-on-one meetings with their manager as a strength of the region's evaluation processes, noting that the meetings allow them to address issues in a timely and efficient manner.

APPENDIX C

CORRELATIONAL ANALYSIS SUPPLEMENTAL DETAIL

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In this appendix, we provide supplemental information about the study's analysis of the relationship between leadership practices and the KIPP middle school impacts presented in Chapter IV of this volume. First, we describe the construction of the indices for the correlational analysis. Second, we present the results of sensitivity testing for the multivariate analysis.

1. Index construction for correlational analysis

Several of the measures in the correlational analysis are indices created by combining closely related survey items into a single measure, reducing measurement error, and capturing the breadth of a construct. The process for creating the indices involved several steps designed to maximize reliability and reduce the number of separate outcome variables that we examined (that is, to reduce dimensionality). We first identified all items from the surveys that were conceptually related to a specific construct. We used principal component analysis to confirm that the items were related to the underlying construct (and to one another) in the theoretically expected way, excluding items not related to the underlying construct. We then created an index variable based on the included items to represent the underlying construct. Next, we standardized the values for each index such that the overall mean for all KIPP schools had a value of 0 and a standard deviation of 1. Before standardizing each index, we confirmed that there was sufficient variation in the responses on items contributing to the index to justify use of the index as a factor that might explain variation in KIPP impacts. Though we confirmed that there was sufficient variation in the values of the index in each case, the indices were consolidated around a limited interval within the full range of possible values. As a result, we standardized the indices to better capture how the existing variation in the indices is associated with the variation in impacts. Finally, we computed the standardized Cronbach's alpha, an estimate of the internal consistency or reliability of an index, to ensure that the indices had sufficient reliability. According to convention, indices with alpha values greater than 0.7 are considered reliable. Following Gleason et al. (2010), we retained all the indices, including the only index with an alpha value somewhat lower than the 0.7 threshold (use of data-driven instruction, with an alpha of 0.67), but we note that the index has lower reliability in the chapter tables.

2. Sensitivity testing for the multivariate analysis of factors related to KIPP impacts

In Chapter IV, we examined the relationship between the characteristics of KIPP schools and achievement impacts. After conducting simple bivariate correlations between individual factors and impacts, we used a multivariate model, including all factors with statistically significant bivariate relationships with impacts, to examine whether the significant bivariate associations persisted once we accounted for other school factors. One factor examined in our analysis of factors related to KIPP impacts—advanced notice for leadership succession—was missing for founding principals because they did not become principals as part of a leadership succession. To maximize our sample size for the main multivariate analysis, we constructed a version of this variable for which we imputed a value of 12 for founding principals (a rough estimate of the length of lead time during which these principals began preparations to found their new schools). In this section, we test the sensitivity of our findings to the inclusion of the imputed data by examining two alternative multivariate models with different treatment of the factor for advance notice for leadership succession.

The findings from the two alternative multivariate analyses are similar to the findings from the main model (Table C.1). In the first alternative model, we ran the multivariate analysis using a version of the advance-notice-for-leadership-succession variable that did not include imputed data for founding principals (columns labeled "no imputation"). In the second alternative model, we dropped the advance-notice-for-leadership-succession variable from the model altogether (columns labeled "excluded variable"). For comparison purposes, we also include in the table the estimates from the main model (using imputed values). Across all models, the magnitude and significance of the observed relationships are similar. However, some of the observed relationships are no longer significant in the "no imputation" model, which is not surprising given the smaller sample size for the analysis.

Table C.1. Multivariate relationships between factors and KIPP school impacts, sensitivity tests

	Year 2 reading score			Year 2 mathematics score		
	Imputed (main model)	No imputation	Excluded variable	Imputed (main model)	No imputation	Excluded variable
Distributed leadership	0.013 (0.023)	0.02 (0.03)	0.03 (0.02)	na	na	na
Advance notice for leadership succession	0.013* (0.006)	0.01* (0.01)	na	0.016** (0.007)	0.01* (0.01)	na
Use of data-driven instruction	-0.063** (0.030)	-0.06 (0.04)	-0.08** (0.03)	na	na	na
Use of blended learning/personalization	na	na	na	0.062* (0.033)	0.04 (0.04)	0.06* (0.03)
Disciplinary plan	na	na	na	0.112** (0.045)	0.15*** (0.05)	0.14*** (0.05)
Sample size	**30**	**18**	**31**	**29**	**19**	**32**

Notes: The estimates in the table are coefficients from a multivariate regression that includes only those factors for which there is a statistically significant bivariate association between that factor and impacts for each outcome. Robust standard errors are in parentheses. The model labeled "no imputation" leaves advance notice for leadership succession as missing for principals who are the founding leader of their school such that those cases are dropped from the multivariate analysis. The model labeled "excluded variable" does not include the advance-notice-for-leadership-succession variable.

*Coefficient is statistically different from 0 at the 0.10 level, two-tailed test.

**Coefficient is statistically different from 0 at the 0.05 level, two-tailed test.

***Coefficient is statistically different from 0 at the 0.01 level, two-tailed test.

na = not applicable.

APPENDIX D

VARIATION IN IMPACTS, BY REGION

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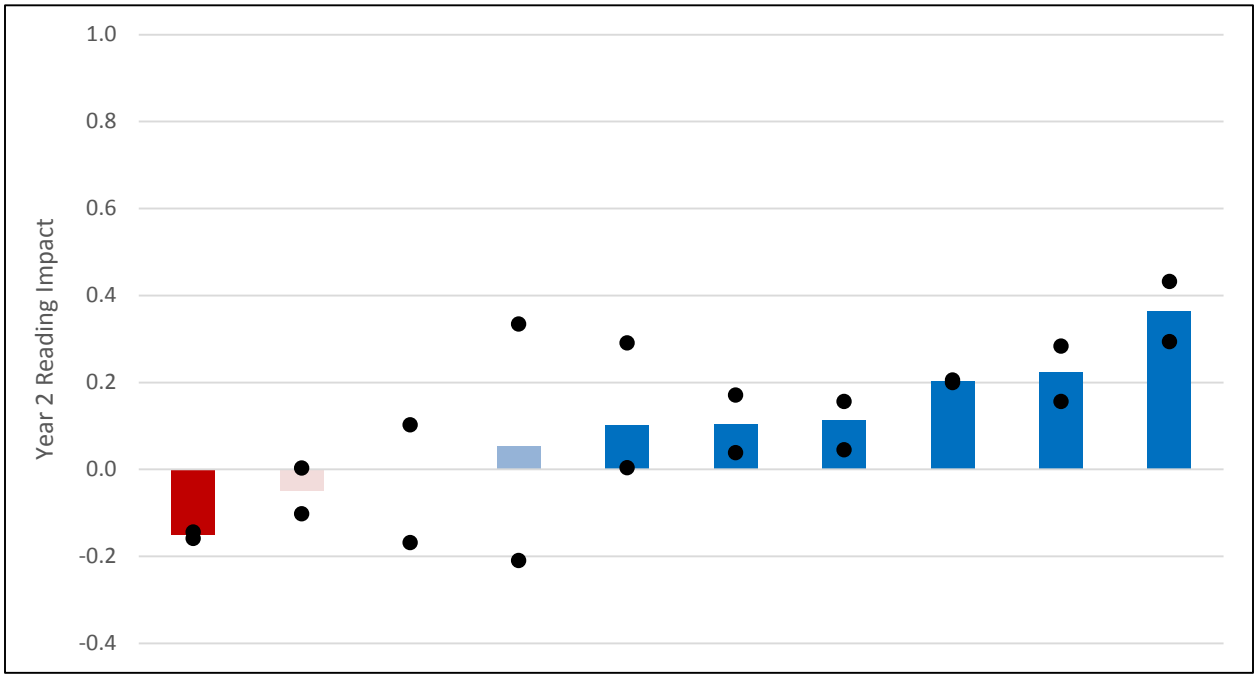
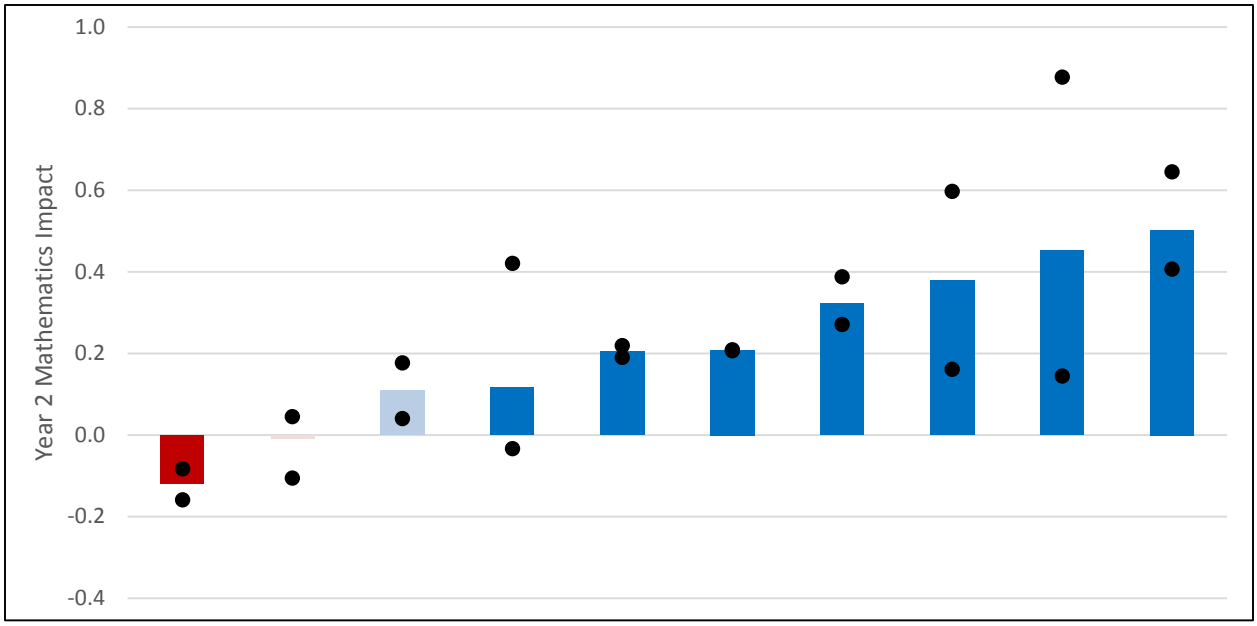
Given the increasing role of KIPP regions in establishing local practices, identifying leaders, and providing support to local KIPP schools, we also examined whether schools in the same region are producing similar impacts. In Figures D.1 and D.2, we show the variation in school-level reading and mathematics impacts by region. In Chapter IV, we found significant variation in impacts on reading and mathematics across KIPP schools. Within regions, impacts are less varied. Variation across regions explains 81 percent of the total variation in reading in 2013–2014 Year 2 school-level impacts and 68 percent of the total variation in mathematics in 2013–2014 Year 2 school-level impacts; the remaining 19 to 32 percent of variation is across schools within regions. Although region explains less of the variation than we found in our report on KIPP middle schools (in that report, variation across regions accounted for 90 percent of the total variation in reading and 87 percent of the total variation in mathematics, Tuttle et al. 2013), the data still suggest that differences in the characteristics of regions, common to KIPP schools within those regions, contribute to the variation in school effectiveness across the network. We do not have a sufficiently large sample size to explore fully the role played by KIPP regions in the analysis, but the findings suggest a more thorough investigation of how region-specific characteristics influence impacts could be fruitful.

Figure D.1. Distribution of school-level impact estimates in reading (by region)



Notes: Sample size = 31 schools. The analysis includes only regions in which two or more middle schools have estimated matching impacts. The dark red and dark blue bars indicate differences from the district population that are statistically significant at the 0.05 level, two-tailed test. Each black dot shows the impact estimate for one middle school managed by the KIPP region whose average impact is represented by the associated vertical bar. Each region displays estimates for two schools to prevent the identification of individual regions. Dots may overlap when estimates are extremely close to each other.

Figure D.2. Distribution of school-level impact estimates in mathematics (by region)



Notes: Sample size = 31 schools. The analysis includes only regions in which two or more middle schools have estimated matching impacts. The dark red and dark blue bars indicate differences from the district population that are statistically significant at the 0.05 level, two-tailed test. Each black dot shows the impact estimate for one middle school managed by the KIPP region whose average impact is represented by the associated vertical bar. Each region displays estimates for two schools to prevent the identification of individual regions. Dots may overlap when estimates are extremely close to each other.

APPENDIX E

FIDELITY INDICATORS

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In keeping with the requirements of KIPP's i3 Scale-Up grant, Mathematica independently measured both the fidelity with which key aspects of the KIPP model were implemented (model fidelity) and the fidelity with which KIPP achieved the intended scale-up outcomes (including intermediate outcomes) outlined in KIPP's i3 grant application ("scale up" fidelity).

1. Fidelity to the KIPP model

The KIPP model differs from other educational interventions in that it allows significant flexibility in the operation of individual KIPP schools. The intervention provides KIPP schools (and their leaders) with the tools and resources they need to succeed, permitting schools and regions to make decisions about their specific practices while monitoring them to ensure they are successful.

We measured fidelity in terms of whether the schools in the study models were taking advantage of the key resources and supports provided through the KIPP network and complying with monitoring requirements. As indicated in Table E.1, we used data collected from the 2014–2015 principal census survey (supplemented with KIPP Foundation data for Year 1 measures), KIPP legal records, and KSLP data to measure the fidelity of KIPP schools to the KIPP model. We assessed fidelity for each of seven criteria, first at the level of the individual school (fourth column of Table E.1) and, second, at an aggregated level for the overall sample to develop an implementation score for each criterion (fifth column of Table E.1). In the table, we also describe how we measured overall fidelity for each KIPP school, for the full sample of KIPP schools (sixth column of Table E.1), and for the sample of schools in each study sample. We measured fidelity for each study sample twice during grant implementation—during Year 1 (2010–2011) and Year 4 (2013–2014) as reported in Table E.2. **We found that the KIPP model was implemented with fidelity across all KIPP schools operating in 2013–2014 and in all study samples in both time periods.**

2. Fidelity of the KIPP scale-up

Final outcomes. We also measured the fidelity with which KIPP achieved the scale-up goals outlined in KIPP's grant application, particularly the development of more, better-trained leaders and the opening of more KIPP schools serving more students (Table E.3). The improvement and expansion of KIPP's leadership pipeline were expected to benefit both new *and* existing KIPP schools.[22] Thus, the fidelity analysis of scale-up outcomes included all KIPP schools. We assessed fidelity for all three scale-up outcomes individually and for the full intervention in spring of the 2014–2015 school year (fifth column of Table E.3). Data for this analysis came from the KIPP Foundation and KSLP. **We found that the KIPP Foundation met all three scale-up goals and implemented the final outcomes of the grant with high fidelity.**

[22] For example, "new" schools—those that opened during the grant period—benefited directly by having their leaders trained through KSLP during the grant period. Examples of direct benefits to existing schools included principal coaching subsidies and successor residencies. Further, the activities directly targeted to a subset of schools were expected to have important indirect effects across all schools; for example, subgrants to a group of existing schools to staff assistant principals earlier in the life of the school than they would typically be hired were expected to reduce the administrative burden on new school leaders and simultaneously accelerate the growth of the leadership pipeline across the network. All of these activities were intended to ensure that KIPP was able to maintain or improve the quality of its existing schools while opening new high quality schools.

Intermediate outcomes. Finally, we measured the fidelity with which KIPP implemented the scale-up activities detailed in KIPP's i3 grant application (Table E.4). We assessed fidelity of the scale-up only at the intervention level because activities were not expected to affect all schools equally. In particular, we assessed fidelity for all 10 scale-up criteria individually and for the full intervention in spring of the 2014–2015 school year (fifth column of Table E.4). Data for the analysis came from the 2014–2015 case studies and principal census survey, KIPP legal records, and KIPP Foundation data. **We found that the KIPP Foundation met its objectives for 9 of 10 proposed scale-up activities; in other words, it implemented the grant's intermediate outcomes with high fidelity.**

Table E.1. Measuring fidelity to KIPP model for KIPP schools in the study samples

Indicator	Operational definition	Data source	School-level implementation score	Sample-level implementation score	Implementation—All 2013–2014 KIPP schools
KIPP-selected principal: School was founded by a principal selected by KIPP	KSLP records indicate founding principal was selected by KIPP	KIPP Foundation data	1 = Yes; 0 = No	1 = 80% of KIPP schools meet criteria; else 0	1 (meets criteria) 100%
KIPP-trained principal: School was founded by a principal trained by KIPP	KSLP records indicate founding principal participated in Fisher Fellowship	KIPP Foundation data	1 = Yes; 0 = No	1 = 80% of KIPP schools meet criteria; else 0	1 (meets criteria) 96%
KIPP-approved school design plan: School was founded with a KIPP-approved School Design Plan	KSLP records indicate a School Design Plan was approved before school founding	KIPP Foundation data	1 = Yes; 0 = No	1 = 80% of KIPP schools meet criteria; else 0	1 (meets criteria) 99%
Licensing agreement: School is licensed by KIPP Foundation to use the KIPP name	KIPP legal records indicate school is licensed by the KIPP Foundation to use the KIPP name	KIPP legal records	1 = Yes; 0 = No	1 = 80% of KIPP schools meet criteria; else 0	1 (meets criteria) 99%
Connected to KIPP network: School is connected to KIPP network as evidenced by one or more of the following:	One or more of the items below is true:	2014–2015 principal census survey[a]	1 = Yes to at least one of the following: 0 = No to all of the following:	1 = 80% of KIPP schools meet criteria; else 0	1 (meets criteria) 89%
Members of the school attend KSS	Principal reports at least one member of the school attends KSS		__ Yes __ No		
Members of the school use KIPPShare	Principal reports at least one member of the school uses KIPPShare		__ Yes __ No		
Members of the school participate in role-specific KIPP Communities of Practice	Principal reports at least one member of the school participates in role-specific KIPP Communities of Practice		__ Yes __ No		
Members of the school attend national retreats	Principal reports at least one member of the school attends national retreats		__ Yes __ No		
School participates in network-wide initiatives	Principal reports school participates in network-wide initiatives		__ Yes __ No		
Participates in school reviews: School received a review within its first two years of operation	Principal reports school received a review within its first two years of operation	2014–2015 principal census survey[a]	1 = Yes; 0 = No	1 = 80 percent of KIPP schools meet criteria; else 0	1 (meets criteria) 82%
Collects and shares data: School provides performance data to the KIPP Foundation in accordance with the HSR	Principal indicates school provides performance data to the KIPP Foundation in accordance with the HSR	2014–2015 principal census survey[a]	1 = Yes; 0 = No	1 = 80 percent of KIPP schools meet criteria; else 0	1 (meets criteria) 92%
Total fidelity score			**First-year KIPP school only:** High fidelity = sum of indicators 1–4 = 4 **and** sum of indicators 5–7 >= 1 Low fidelity = sum of indicators 1–4 < 4 **or** sum of indicators 5–7 = 0 **Second-year (or older) KIPP school:** High fidelity = sum of indicators 1–4 = 4 **and** sum of indicators 5–7 >= 2 Low fidelity = sum of indicators 1–4 < 4 **or** sum of indicators 5–7 < 2	The model will be determined implemented "with fidelity" if 80 percent of KIPP schools meet the criteria in the adjacent cell for high fidelity.	**Implemented with fidelity** 88% of 2013–2014 KIPP schools meet criteria

Notes: KSLP = KIPP School Leadership Programs; HSR = Healthy Schools and Regions Survey; KSS = KIPP Schools Summit

[a]Supplemented with information from KIPP Foundation data for Year 1 measure.

Table E.2. Fidelity of implementation to the KIPP model for the study samples

Sample	School year			
	2010–2011 school year		2013–2014 school year	
	Percent of schools at high level of implementation	"Implementation with fidelity" for Year 1	Percent of schools at high level of implementation	"Implementation with fidelity" for Year 4
Elementary school lottery-based sample	100	Yes	100	Yes
Middle school lottery-based sample	87	Yes	80	Yes
Middle school matched-student sample (new middle schools)	na	na	86	Yes
Middle and high school matched-student sample (cumulative impact)	94	Yes	90	Yes
High school matched-student sample (new entrants)	100	Yes	93	Yes
High school matched-school sample (marginal impact using adjacent cohorts)	100	Yes	80	Yes
High school matched-school sample (marginal impact using matched middle schools)	100	Yes	100	Yes

Source: KIPP Foundation data, KIPP legal records, and 2014–2015 principal census survey.

Notes: The calculation for each model was based on the seven indicators in Table E.1. The sample is defined to have high fidelity to the KIPP model if 80 to 100 percent of the schools in the study sample meet the criteria for high fidelity under the school-level implementation score in Table E.1.

na = not applicable.

Table E.3. Measuring the fidelity of implementation of the KIPP scale-up (final outcomes)

Fidelity indicator	Operational definition	Data source	Implementation score	Score
Number of schools	KIPP records indicate number of new schools founded since start of grant period	KIPP Foundation data	1 = 65 or more new schools opened during grant period 0 = Fewer than 65 new schools opened during grant period	1 (66 new schools)
Number of students	KIPP records indicate number of students served by KIPP schools in final year of grant implementation	KIPP Foundation data	1 = KIPP schools serving 45,000 or more students 0 = KIPP schools serving fewer than 45,000 students	1 (59,495 students)
Number of leaders	KIPP records indicate number of leaders who completed any of the following KSLP training programs since the start of grant period: • Fisher Family Fellowship • Miles Family Fellowship • Successor Prep (formerly called Principal Prep) • Leadership Team • Teacher Leader	KIPP Foundation data	1 = 900 or more leaders have completed at least one of the following programs: • Fisher Family Fellowship • Miles Family Fellowship • Successor Prep (formerly called Principal Prep) • Leadership Team • Teacher Leader 0 = Fewer than 900 leaders have completed at least one of the above programs	1 (1,166 leaders)
Total fidelity score			High fidelity = Sum of fidelity indicators 1-3 = 3 Adequate fidelity = Sum of fidelity indicators 1-3 = 2 Low fidelity = Sum of fidelity indicators 1-3 < 2	High fidelity (sum = 3)

Source: KIPP Foundation data.

Notes: KSLP = KIPP School Leadership Programs

Table E.4. Measuring the fidelity of implementation of the KIPP scale-up (intermediate outcomes)

Fidelity indicator	Operational definition	Data source	Implementation score	Score
National director of leadership development	KIPP Foundation staff report hiring a national director of leadership development	KIPP Foundation data	1 = Yes; 0 = No	1
Performance evaluation			1 if sum of subindicators >= 5 0 if sum of subindicators < 5	1
Framework for evaluating teachers	KIPP Foundation provides a copy of Framework for Excellent Teaching to evaluate teachers	KIPP Foundation data	1 = Yes; 0 = No	1
Leadership Competency Model (LCM)	KIPP Foundation provides a copy of revised and enhanced LCM	KIPP Foundation data	1 = Yes; 0 = No	1
	School and regional KIPP leaders report using LCM in their practice	2014–2015 principal census survey	1 if used by 50% or more of leaders; else 0	1
Healthy Schools and Regions Framework (HSR)	KIPP Foundation provides a copy of refined HSR data collection tool and documentation of revised reporting procedures	KIPP Foundation data	1 = Yes; 0 = No	1
	School and regional KIPP leaders report using HSR in their practice	2014–2015 principal census survey	1 if used by 50% or more of leaders; else 0	1
Improve performance management	School and regional KIPP leaders report access to performance evaluation managers (PEMS)[a]	2014–2015 principal census survey	1 if 28 sites or more have access to PEMS; else 0[a]	0
Principal coaching	KIPP coaching records indicate principals received subsidized coaching	KIPP Foundation data	1 if five or more principals receive fully subsidized coaching annually; else 0	1
Best practices	KIPP Foundation provides report codifying and sharing best practices	2014–2015 case studies and principal census survey	1 if KIPP releases a document during grant period describing these practices; else 0	1
Regional directors of leadership development	Regional leaders report that director of leadership development position was filled	2014–2015 principal census survey	1 if 12 or more regions have a director of leadership development in place, else 0	0
Regional executive director training	KIPP Foundation provides revised training syllabus	KIPP Foundation data	1 = Yes; 0 = No	1
KSLP expansion	KIPP Foundation provides KSLP attendance records indicating number of participants before and during grant period	KIPP Foundation data	1 if number of slots added is 100 or more over course of grant; else 0	1
Earlier assistant principals	School leaders report when assistant principal or similar positions were created	2014–2015 principal census survey	1 if APs or similar have been funded earlier in 28 or more schools during grant period; else 0	1
Successor residencies and school reviews	KIPP Foundation provides data on number of successor residencies and number of school reviews	KIPP Foundation data	1 if 24 or more SLs participate in successor residencies and 24 or more schools participate in school reviews; else 0	1
Subsidize schools hosting principal residencies	KIPP Foundation provides data on number of schools receiving subsidies	KIPP Foundation data	1 if 45 or more schools are subsidized for hosting residencies during grant period; else 0	1
Total fidelity score			High fidelity = sum of indicators 1–10 >= 9 Adequate fidelity = sum of indicators 1–10 >= 6 and <9 Low fidelity = sum of indicators 1–10 < 6	**High fidelity (sum = 9)**

Source: KIPP Foundation data, 2014–2015 case studies, and principal census survey.

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