

# Strong Pipelines, Strong Principals

A guide for leveraging federal sources to fund principal pipelines



Guide prepared by:  
Brenda Turnbull, Policy Studies Associates  
Sean Worley, EducationCounsel  
Scott Palmer, EducationCounsel



# About this Guide

## Federal sources for funding principal pipelines

A comprehensive, aligned principal pipeline is a systematic approach districts can use to develop and support school principals – one that researchers have termed a feasible, affordable and effective way to improve student achievement.<sup>1</sup> This guide shows how federal funding sources can be used to help cover its cost, which is estimated at less than half a percent of a large district’s annual budget.<sup>2</sup>

The importance of effective principals is clear. A synthesis of 20 years of research found that replacing a principal at the 25th percentile of effectiveness with one at the 75th percentile of effectiveness would yield roughly an additional three months of student learning in reading and math – close to the four months of gain produced by a teacher at the 75th percentile but over an entire school.<sup>3</sup> Principal and teacher efforts go hand in hand, with the teacher as the key source of school-related influence in the classroom (typically 21 students in elementary schools) and the principal as the key source of school-related influence overall in the building (typically 483 students.) Principals also play vital roles in advancing equity.

Comprehensive, aligned principal pipelines, made up of seven parts or domains, can help districts create a strong

bench of principals and a stronger principal corps. A study of schools in six large districts that had developed such pipelines found outperformance in math and reading compared to similar schools in their state. A related publication, *Principal Pipeline Self-Study Guide for Districts*, shows districts how to identify gaps in their current pipelines, plan for improvement, and implement plans over several years.<sup>4</sup>

To use this guide, district federal programs officers along with district staff leading pipeline development may want to follow these steps:

- Review Part 1 to reflect on the seven domains of a high-quality, comprehensive principal pipeline, and consider using the *Principal Pipeline Self-Study Guide for Districts* to determine which domains to focus on first.
- For each domain, use the guide to identify the federal sources you want to help support activities within it.
- Review Part 2 to identify the purpose, core allowable uses, and allocation mechanisms for each of the federal funding sources, and ensure that your particular use meets statutory and regulatory requirements.

3. *How Principals Affect Students and Schools: A Systematic Synthesis of Two Decades of Research*, Wallace, 2021, <https://www.wallacefoundation.org/knowledge-center/pages/how-principals-affect-students-and-schools-a-systematic-synthesis-of-two-decades-of-research.aspx>

4. <https://www.wallacefoundation.org/knowledge-center/pages/principal-pipeline-self-study-guide-for-districts.aspx>

\*EducationCounsel and Policy Studies Associates analyzed existing federal funding streams and compared allowable uses to core activities for each of the domains and indicators. This guide is based on our analysis of statutory language and allowable uses of federal funding. This guide does not constitute specific legal advice.

## TABLE OF CONTENTS

- 2 INTRODUCTION  
**About this Guide**
- 3 PART 1  
**About the Domains**
- 4 DOMAIN 1  
**Leader Standards**
- 5 DOMAIN 2  
**High-Quality Pre-Service Principal Preparation**
- 7 DOMAIN 3  
**Selective Hiring and Placement**
- 9 DOMAIN 4  
**Evaluation and Support**
- 11 DOMAIN 5  
**Principal Supervisors**
- 13 DOMAIN 6  
**Leader Tracking System**
- 14 DOMAIN 7  
**Systems and Sustainability**
- 16 AT-A-GLANCE  
**Federal Funding Sources by Pipeline Domain**
- 17 PART 2  
**About the Federal Funding Sources**
- 25 CLOSING  
**About the Authors**

1. *Principal Pipelines: A Feasible, Affordable, and Effective Way for Districts to Improve Schools*, RAND, 2019, <https://www.wallacefoundation.org/knowledge-center/pages/principal-pipelines-a-feasible,-affordable,-and-effective-way-for-districts-to-improve-schools.aspx>

2. *What It Takes to Operate and Maintain Principal Pipelines: Costs and Other Resources*, RAND, 2017, <https://www.wallacefoundation.org/knowledge-center/pages/what-it-takes-to-operate-and-maintain-principal-pipelines-costs-and-other-resources.aspx>

# About the Domains

With relevant funding for each related activity

A principal pipeline is more than a simple sequence of recruitment and hiring. Districts work in seven domains to create and strengthen a comprehensive, aligned principal pipeline adapted to their own context and in which each domain supports the others. This section of the guide is organized around these seven domains so that as districts plan their pipeline work for the short and longer

term, they can identify federal funding sources that may fit their specific purposes, activities, and timelines. While any particular set of pipeline-related activities typically focuses on one domain, strengthening a pipeline is a multi-year process that touches every domain, and district leaders should always keep an eye on coherence across domains.





## DOMAIN 1: LEADER STANDARDS

# Leader Standards

Strengthen principal pipelines with these related activities within Domain 1

- With a broad base of stakeholders (principals, principal supervisors, district cabinet and directors, students, parents, community, etc.), review current state/district leader standards and competencies in relation to Professional Standards for Educational Leaders (PSELs).<sup>5</sup>
- Revise district leader standards.
- Review and revise documents, tools, and policies used in all domains of principal pipeline for alignment to district leader standards and alignment across domains.
- Pilot-test revised documents, tools, and policies; gather data on results; revise further.
- Gather and use stakeholders' input, reflecting their priorities for school leadership at all stages.

5. *Professional Standards for Educational Leaders*, National Policy Board for Educational Administration, 2015. <https://www.wallacefoundation.org/knowledge-center/Documents/Professional-Standards-for-Educational-Leaders-2015.pdf>

## Relevant funding for each related activity

	American Rescue Plan Act	Elementary and Secondary Education Act (ESEA)						Higher Education Act (HEA)				Individuals with Disabilities Education Act	Education Sciences Reform Act (ESRA)	
		Title I-A		Title II-A	Title II-B		Title IV-F		Title II-A	Title III-A	Title III-B	Title V	Part D	SLDS
	ARP ESSER Fund	LEA Grants	School Improvement Funds	Supporting Effective Instruction	Teacher and School Leader Incentive Fund	Supporting Effective Educator Development (SEED) Program	Education Innovation and Research	Full-Service Community Schools	Teacher Quality Partnerships	Strengthening Institutions Program	Strengthening HBCUs	Developing HSIs Program	Personnel Development Grants	Statewide Longitudinal Data System
<b>1a. Standards adopted and used</b> The district has standards of principal practice and uses them in each pipeline domain. The standards include competencies, or the concrete actions that define day-to-day work of principals.	✓	✓	✓	✓	✓	✓	✓	✓	✓				✓	
<b>1b. Collaboratively developed</b> Adoption and revision of standards reflect input and priorities of key stakeholders.	✓	✓	✓	✓	✓	✓	✓	✓	✓				✓	



# High-Quality Pre-Service Principal Preparation

Strengthen principal pipelines with these related activities within Domain 2

- Identify preparation programs (in-house and external, including university programs) that are or could be partners with the district to supply qualified candidates for positions as assistant principals or principals. Build new programs in the district or in partnership with external providers as needed.
- Support and incentivize assessment and revision of programs to align with district standards, district needs, and research evidence.
- Develop processes to recruit and select promising educators into preparation programs, ensuring that leaders will reflect the student population.
- Provide authentic, school-based leadership training in pre-service preparation. Select and train principals, coaches, and/or mentors to support and guide this part of preparation. Create school-based internships or residencies.

Relevant funding for each related activity

	American Rescue Plan Act	Elementary and Secondary Education Act (ESEA)							Higher Education Act (HEA)				Individuals with Disabilities Education Act	Education Sciences Reform Act (ESRA)
		Title I-A		Title II-A	Title II-B		Title IV-F		Title II-A	Title III-A	Title III-B	Title V	Part D	SLDS
	ARP ESSER Fund	LEA Grants	School Improvement Funds	Supporting Effective Instruction	Teacher and School Leader Incentive Fund	Supporting Effective Educator Development (SEED) Program	Education Innovation and Research	Full-Service Community Schools	Teacher Quality Partnerships	Strengthening Institutions Program	Strengthening HBCUs	Developing HSIs Program	Personnel Development Grants	Statewide Longitudinal Data System
<p><b>2a. Standards-based preparation</b> Partner preparation programs have aligned relevant domains to district leader standards.</p>	✓	✓	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓	

## DOMAIN 2: HIGH-QUALITY PRE-SERVICE PRINCIPAL PREPARATION

	American Rescue Plan Act	Elementary and Secondary Education Act (ESEA)							Higher Education Act (HEA)				Individuals with Disabilities Education Act	Education Sciences Reform Act (ESRA)
		Title I-A		Title II-A	Title II-B		Title IV-F		Title II-A	Title III-A	Title III-B	Title V	Part D	SLDS
	ARP ESSEER Fund	LEA Grants	School Improvement Funds	Supporting Effective Instruction	Teacher and School Leader Incentive Fund	Supporting Effective Educator Development (SEED) Program	Education Innovation and Research	Full-Service Community Schools	Teacher Quality Partnerships	Strengthening Institutions Program	Strengthening HBCUs	Developing HSIs Program	Personnel Development Grants	Statewide Longitudinal Data System
<p><b>2b. Responsive programming</b></p> <p>One or more partner programs (in-house or external) are responsive to district input and needs, particularly in coursework.</p>	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
<p><b>2c. Evidence-based programs</b></p> <p>District policy calls for assessing programs in relation to research evidence on effective preparation and ensuring a logical sequence of content.</p>	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
<p><b>2d. Coordinated recruitment and selection</b></p> <p>The district has processes to recruit and select promising educators into leader preparation programs, and one of the purposes of these processes is ensuring that school leaders will reflect the student population.</p>	✓	✓	✓	✓	✓	✓	✓		✓	✓	✓	✓		
<p><b>2e. Authentic, school-based leadership training</b></p> <p>With skilled support and guidance from experienced principals, coaches, or mentors, aspiring principals learn the job of principal by undertaking authentic leadership tasks during their pre-service preparation.</p>	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
<p><b>2f. Completer placement</b></p> <p>Partner preparation programs (in-house or external) provide an increasing proportion of newly placed principals.</p>	✓	✓	✓	✓	✓	✓	✓		✓	✓	✓	✓		



# Selective Hiring and Placement

Strengthen principal pipelines with these related activities within Domain 3

- Review and revise all school leader hiring and placement procedures, tools, and practices to align them with district standards. Using expert consulting help if needed, establish performance tasks and other protocols for the process of selection into talent pools for school leader positions. Train scorers and calibrate their scoring. Pilot-test revised procedures, tools, and practices; gather data on results; revise further.
- Provide professional growth opportunities for candidates who are in the pool awaiting placement in leadership positions.
- Develop and use standardized profiles of candidates' experience and performance and standardized profiles of school needs in matching candidates to schools.

Relevant funding for each related activity

	American Rescue Plan Act	Elementary and Secondary Education Act (ESEA)							Higher Education Act (HEA)				Individuals with Disabilities Education Act	Education Sciences Reform Act (ESRA)
		Title I-A		Title II-A	Title II-B		Title IV-F		Title II-A	Title III-A	Title III-B	Title V	Part D	SLDS
	ARP ESSER Fund	LEA Grants	School Improvement Funds	Supporting Effective Instruction	Teacher and School Leader Incentive Fund	Supporting Effective Educator Development (SEED) Program	Education Innovation and Research	Full-Service Community Schools	Teacher Quality Partnerships	Strengthening Institutions Program	Strengthening HBCUs	Developing HSIs Program	Personnel Development Grants	Statewide Longitudinal Data System
<p><b>3a. Standards-based hiring</b> District hiring and placement practices are aligned to district leader standards.</p>	✓	✓	✓	✓	✓		✓		✓					
<p><b>3b. Hiring pool</b> Selection includes entry into a talent/hiring pool that identifies promising candidates through a rigorous process.</p>	✓	✓	✓	✓	✓		✓		✓					

# DOMAIN 3: SELECTIVE HIRING AND PLACEMENT

	American Rescue Plan Act	Elementary and Secondary Education Act (ESEA)							Higher Education Act (HEA)				Individuals with Disabilities Education Act	Education Sciences Reform Act (ESRA)
		Title I-A		Title II-A	Title II-B		Title IV-F		Title II-A	Title III-A	Title III-B	Title V	Part D	SLDS
	ARP ESSER Fund	LEA Grants	School Improvement Funds	Supporting Effective Instruction	Teacher and School Leader Incentive Fund	Supporting Effective Educator Development (SEED) Program	Education Innovation and Research	Full-Service Community Schools	Teacher Quality Partnerships	Strengthening Institutions Program	Strengthening HBCUs	Developing HSIs Program	Personnel Development Grants	Statewide Longitudinal Data System
<p><b>3c. Performance tasks and interpersonal skills</b></p> <p>Candidates complete performance tasks and demonstrate the needed interpersonal skills as part of the hiring process.</p>	✓	✓	✓	✓	✓		✓		✓					
<p><b>3d. Vacancy matching</b></p> <p>The district has a process to fit/match candidates to schools that includes standardized candidate profiles and school profiles.</p>	✓	✓	✓	✓	✓		✓		✓					✓
<p><b>3e. Bridge opportunities</b></p> <p>The district provides professional growth opportunities for candidates in the hiring pool.</p>	✓	✓	✓	✓	✓	✓	✓		✓				✓	





# Evaluation and Support

Strengthen principal pipelines with these related activities within Domain 4

- Review and revise criteria and procedures for principal evaluation aligned with standards. Engage principal supervisors, principals, and other stakeholders in review of criteria and procedures. Train principal supervisors in evaluation criteria and procedures, and calibrate their ratings.
- Train principal supervisors in providing intensive, ongoing feedback and support, based on principals' individual needs identified through evaluation, at the school site. Develop and maintain programs of mentoring, coaching, and/or professional learning for principals, aligned with an evaluation system that includes multiple measures of principal effectiveness.
- Hire, train, and support mentors and/or coaches for novice principals.

Relevant funding for each related activity

	American Rescue Plan Act	Elementary and Secondary Education Act (ESEA)							Higher Education Act (HEA)				Individuals with Disabilities Education Act	Education Sciences Reform Act (ESRA)
		Title I-A		Title II-A	Title II-B		Title IV-F		Title II-A	Title III-A	Title III-B	Title V	Part D	SLDS
	ARP ESSER Fund	LEA Grants	School Improvement Funds	Supporting Effective Instruction	Teacher and School Leader Incentive Fund	Supporting Effective Educator Development (SEED) Program	Education Innovation and Research	Full-Service Community Schools	Teacher Quality Partnerships	Strengthening Institutions Program	Strengthening HBCUs	Developing HSIs Program	Personnel Development Grants	Statewide Longitudinal Data System
<p><b>4a. Standards-based evaluation and support</b></p> <p>The district evaluates and supports principals using a standards based system.</p>	✓	✓	✓	✓	✓	✓	✓	✓	✓				✓	

# DOMAIN 4: EVALUATION AND SUPPORT

	American Rescue Plan Act	Elementary and Secondary Education Act (ESEA)							Higher Education Act (HEA)				Individuals with Disabilities Education Act	Education Sciences Reform Act (ESRA)
		Title I-A		Title II-A	Title II-B		Title IV-F		Title II-A	Title III-A	Title III-B	Title V	Part D	SLDS
	ARP ESSER Fund	LEA Grants	School Improvement Funds	Supporting Effective Instruction	Teacher and School Leader Incentive Fund	Supporting Effective Educator Development (SEED) Program	Education Innovation and Research	Full-Service Community Schools	Teacher Quality Partnerships	Strengthening Institutions Program	Strengthening HBCUs	Developing HSIs Program	Personnel Development Grants	Statewide Longitudinal Data System
<p><b>4b. Intensive, individualized support</b></p> <p>Principals receive intensive and ongoing feedback and support, based on individual needs identified through evaluation, at the school site.</p>														
<p><b>4c. Mentoring or coaching in induction</b></p> <p>Novice principals receive support through a mentor or coach.</p>														



# Principal Supervisors

Strengthen principal pipelines with these related activities within Domain 5

- Principal supervisors play an essential role in the development and support of principals, especially when principal supervisors actively and frequently take responsibility for mentoring and supporting principals with instructional leadership and the school’s managerial operations.<sup>6</sup>
- With principal supervisors and principals, review and revise principal supervisor job descriptions and performance standards, comparing them with model standards and aligning them with district standards for instructional leadership.
- Develop and use systems of selection, induction, and professional learning for principal supervisors aligned with the role of supporting principal growth as instructional leaders.
- Gather and use evidence to assess adequacy of supervisors’ on-site support for principals, especially in high-need situations. Design structural improvements that ensure adequate support. Review principal supervisor caseloads and assess needs for additional staffing in the role.

6. Changing the Principal Supervisor Role to Better Support Principals: Evidence from the Principal Supervisor Initiative, Vanderbilt Peabody College, Mathematica, 2020. <https://www.wallacefoundation.org/knowledge-center/Documents/Changing-the-Principal-Supervisor-Role.pdf>

## Relevant funding for each related activity

	American Rescue Plan Act	Elementary and Secondary Education Act (ESEA)						Higher Education Act (HEA)				Individuals with Disabilities Education Act	Education Sciences Reform Act (ESRA)	
		Title I-A		Title II-A	Title II-B		Title IV-F		Title II-A	Title III-A	Title III-B	Title V	Part D	SLDS
	ARP ESSER Fund	LEA Grants	School Improvement Funds	Supporting Effective Instruction	Teacher and School Leader Incentive Fund	Supporting Effective Educator Development (SEED) Program	Education Innovation and Research	Full-Service Community Schools	Teacher Quality Partnerships	Strengthening Institutions Program	Strengthening HBCUs	Developing HSIs Program	Personnel Development Grants	Statewide Longitudinal Data System
<b>5a. Redefining the supervisor role</b> The district has job descriptions, performance standards, and deployment structures that focus principal supervision on supporting principal growth and instructional leadership.	✓	✓	✓	✓	✓	✓	✓		✓				✓	

# DOMAIN 5: PRINCIPAL SUPERVISORS

	American Rescue Plan Act	Elementary and Secondary Education Act (ESEA)						Higher Education Act (HEA)				Individuals with Disabilities Education Act	Education Sciences Reform Act (ESRA)	
		Title I-A		Title II-A	Title II-B		Title IV-F		Title II-A	Title III-A	Title III-B	Title V	Part D	SLDS
	ARP ESSER Fund	LEA Grants	School Improvement Funds	Supporting Effective Instruction	Teacher and School Leader Incentive Fund	Supporting Effective Educator Development (SEED) Program	Education Innovation and Research	Full-Service Community Schools	Teacher Quality Partnerships	Strengthening Institutions Program	Strengthening HBCUs	Developing HSIs Program	Personnel Development Grants	Statewide Longitudinal Data System
<p><b>5b. Building principal supervisor capacity</b></p> <p>The district has systems of selection, induction, and professional learning for principal supervisors that are aligned with the role of supporting principal growth and instructional leadership.</p>														
<p><b>5c. Caseload for supervision</b></p> <p>The caseload for each supervisor (and their team if they have one) is at a level that allows them to carry out their role.</p>														



# Leader Tracking System

Strengthen principal pipelines with these related activities within Domain 6

- Assess needs for data on skills and experience of sitting and aspiring principals to support short- and long-term plans for leader preparation, hiring, and support, based on district standards and priorities for school leadership. Compile, clean, and use available data; gather additional needed data. Work with external preparation partners and labor unions to gain needed consents for access to key data.
- Pilot test the use of data in decision making. Develop information technology systems to update, maintain, and deliver data in user-friendly, interactive displays. Assess results seen in decision making and revise systems to meet evolving needs effectively and efficiently.

## Relevant funding for each related activity

	American Rescue Plan Act	Elementary and Secondary Education Act (ESEA)						Higher Education Act (HEA)				Individuals with Disabilities Education Act	Education Sciences Reform Act (ESRA)	
		Title I-A		Title II-A	Title II-B		Title IV-F		Title II-A	Title III-A	Title III-B	Title V	Part D	SLDS
	ARP ESSER Fund	LEA Grants	School Improvement Funds	Supporting Effective Instruction	Teacher and School Leader Incentive Fund	Supporting Effective Educator Development (SEED) Program	Education Innovation and Research	Full-Service Community Schools	Teacher Quality Partnerships	Strengthening Institutions Program	Strengthening HBCUs	Developing HSIs Program	Personnel Development Grants	Statewide Longitudinal Data System
<p><b>6a. Leader data</b></p> <p>The district has a Leader Tracking System that provides accessible information for decisions about leader preparation, hiring, and evaluation and support.</p>	✓	✓	✓	✓	✓		✓							✓
<p><b>6b. Collaboratively developed</b></p> <p>The LTS reflects input and the decision-making priorities of key stakeholders.</p>	✓	✓	✓	✓	✓		✓							✓



# Systems and Sustainability

Strengthen principal pipelines with these related activities within Domain 7

- Based on broad-based stakeholder input, articulate a vision for developing and continuously improving a comprehensive, aligned principal pipeline that will help the district achieve key strategic priorities over the long term.
- Ensure that the pipeline manager has clear oversight responsibilities, the authority and time needed to carry them out, and access to all top district leaders. Maintain engagement of the school board, central office staff, principals, principal supervisors, and other administrators with the pipeline.
- Look to the future with data-informed succession planning and with funding that will be in place when needed at different stages of pipeline development, maintenance, and renewal.

Relevant funding for each related activity

	American Rescue Plan Act	Elementary and Secondary Education Act (ESEA)						Higher Education Act (HEA)				Individuals with Disabilities Education Act	Education Sciences Reform Act (ESRA)	
		Title I-A		Title II-A	Title II-B		Title IV-F		Title II-A	Title III-A	Title III-B	Title V	Part D	SLDS
	ARP ESSER Fund	LEA Grants	School Improvement Funds	Supporting Effective Instruction	Teacher and School Leader Incentive Fund	Supporting Effective Educator Development (SEED) Program	Education Innovation and Research	Full-Service Community Schools	Teacher Quality Partnerships	Strengthening Institutions Program	Strengthening HBCUs	Developing HSIs Program	Personnel Development Grants	Statewide Longitudinal Data System
<p><b>7a. Articulated vision</b></p> <p>District leaders have articulated a vision for a principal pipeline that defines the long-term nature of ongoing improvement, the relevance of a pipeline to their professional lives, and the pipeline's role in achieving key district priorities.</p>	✓	✓	✓	✓	✓	✓	✓	✓	✓				✓	

# DOMAIN 7: SYSTEMS AND SUSTAINABILITY

	American Rescue Plan Act	Elementary and Secondary Education Act (ESEA)						Higher Education Act (HEA)				Individuals with Disabilities Education Act	Education Sciences Reform Act (ESRA)	
		Title I-A		Title II-A	Title II-B		Title IV-F		Title II-A	Title III-A	Title III-B	Title V	Part D	SLDS
	ARP ESSER Fund	LEA Grants	School Improvement Funds	Supporting Effective Instruction	Teacher and School Leader Incentive Fund	Supporting Effective Educator Development (SEED) Program	Education Innovation and Research	Full-Service Community Schools	Teacher Quality Partnerships	Strengthening Institutions Program	Strengthening HBCUs	Developing HSIs Program	Personnel Development Grants	Statewide Longitudinal Data System
<p><b>7b. Pipeline leadership</b></p> <p>The principal pipeline is managed by a leader with explicit oversight responsibilities, decision-making authority, access to leaders of district divisions, and support of the superintendent.</p>	✓	✓	✓	✓	✓	✓	✓		✓					✓
<p><b>7c. Succession planning</b></p> <p>The district has data-based procedures for forecasting principal vacancies and trends in candidate availability.</p>	✓	✓	✓	✓	✓	✓	✓		✓					✓
<p><b>7d. Internal stakeholders</b></p> <p>Key internal stakeholders, including school board, central office staff, principals, principal supervisors, and school administrators, are engaged with the pipeline.</p>	✓	✓	✓	✓	✓	✓	✓		✓					
<p><b>7e. Pipeline funding</b></p> <p>The district has secured ongoing funding from diverse sources, has reallocated funding to support the pipeline, and has identified pipeline must-haves.</p>	<p>This guide is designed to help districts identify diverse funding sources to support principal pipelines. Specific programs must meet relevant statutory and regulatory requirements.</p>													

# AT-A-GLANCE

## Federal Funding Sources by Pipeline Domain

	American Rescue Plan Act	Elementary and Secondary Education Act (ESEA)							Higher Education Act (HEA)				Individuals with Disabilities Education Act	Education Sciences Reform Act (ESRA)
		Title I-A		Title II-A	Title II-B		Title IV-F		Title II-A	Title III-A	Title III-B	Title V	Part D	SLDS
	ARP ESSER Fund	LEA Grants	School Improvement Funds	Supporting Effective Instruction	Teacher and School Leader Incentive Fund	Supporting Effective Educator Development (SEED) Program	Education Innovation and Research	Full-Service Community Schools	Teacher Quality Partnerships	Strengthening Institutions Program	Strengthening HBCUs	Developing HSIs Program	Personnel Development Grants	Statewide Longitudinal Data System
<b>DOMAIN 1: LEADER STANDARDS</b>														
1a. Standards adopted and used	✓	✓	✓	✓	✓	✓	✓	✓	✓				✓	
1b. Collaboratively developed	✓	✓	✓	✓	✓	✓	✓	✓	✓				✓	
<b>DOMAIN 2: HIGH-QUALITY PRE-SERVICE PRINCIPAL PREPARATION</b>														
2a. Standards-based preparation	✓	✓	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓	
2b. Responsive programming	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
2c. Evidence-based programs	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
2d. Coordinated recruitment and selection	✓	✓	✓	✓	✓	✓	✓		✓	✓	✓	✓		
2e. Authentic, school-based leadership training	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
2f. Completer placement	✓	✓	✓	✓	✓	✓	✓		✓	✓	✓	✓		
<b>DOMAIN 3: SELECTIVE HIRING AND PLACEMENT</b>														
3a. Standards-based hiring	✓	✓	✓	✓	✓		✓		✓					
3b. Hiring pool	✓	✓	✓	✓	✓		✓		✓					
3c. Performance tasks and interpersonal skills	✓	✓	✓	✓	✓		✓		✓					
3d. Vacancy matching	✓	✓	✓	✓	✓		✓		✓					✓
3e. Bridge opportunities	✓	✓	✓	✓	✓	✓	✓		✓				✓	
<b>DOMAIN 4: EVALUATION AND SUPPORT</b>														
4a. Standards-based evaluation and support	✓	✓	✓	✓	✓	✓	✓	✓	✓				✓	
4b. Intensive, individualized support	✓	✓	✓	✓	✓	✓	✓	✓	✓				✓	
4c. Mentoring or coaching in induction	✓	✓	✓	✓	✓	✓	✓	✓	✓				✓	
<b>DOMAIN 5: PRINCIPAL SUPERVISORS</b>														
5a. Redefining the supervisor role	✓	✓	✓	✓	✓	✓	✓		✓				✓	
5b. Building principal supervisor capacity	✓	✓	✓	✓	✓	✓	✓		✓				✓	
5c. Caseload for supervision	✓	✓	✓	✓	✓	✓	✓		✓					
<b>DOMAIN 6: LEADER TRACKING SYSTEM</b>														
6a. Leader data	✓	✓	✓	✓	✓		✓							✓
6b. Collaboratively developed	✓	✓	✓	✓	✓		✓							✓
<b>DOMAIN 7: SYSTEMS AND SUSTAINABILITY</b>														
7a. Articulated vision	✓	✓	✓	✓	✓	✓	✓	✓	✓				✓	
7b. Pipeline leadership	✓	✓	✓	✓	✓	✓	✓		✓					✓
7c. Succession planning	✓	✓	✓	✓	✓	✓	✓		✓					✓
7d. Internal stakeholders	✓	✓	✓	✓	✓	✓	✓		✓					
7e. Pipeline funding	This guide is designed to help districts identify diverse funding sources to support principal pipelines. Specific programs must meet relevant statutory and regulatory requirements.													

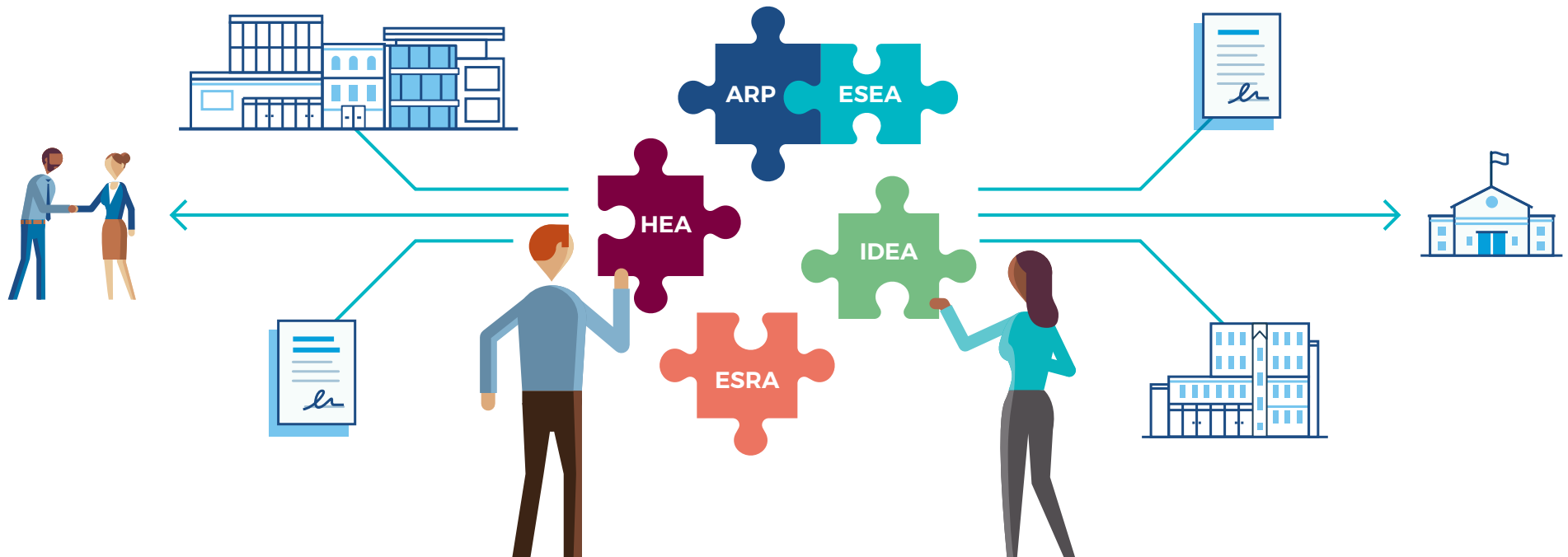


# About the Federal Funding Sources

With highlights of specific allowable uses

This guide is intended to highlight the diversity of sources that a district could leverage to support their principal pipelines. Recognizing the unique needs and circumstances of districts, this guide supports individual districts in identifying what federal funding sources may be best to support their principal pipelines. Further, we note that any potential use of funds – to support district implementation of principal pipeline activities – needs to meet the qualifications within federal statute, regulation,

and guidance. In this section, we provide brief descriptions of the funding sources, which are adapted from those of the U.S. Department of Education, and highlight specific allowable uses that may be helpful for a district in determining if that funding source aligns with their principal pipeline. We also include information related to the type of funding (e.g., competitive or formula) and who are the primary recipients of the grants. This guide is not intended to be an exhaustive list of federal funding sources.



# American Rescue Plan (ARP) Act

## ARP Elementary and Secondary Schools Emergency Relief Fund (ARP ESSER)

The American Rescue Plan (ARP) Elementary and Secondary School Emergency Relief (ESSER) fund was created as part of the American Rescue Plan Act and was the third federal relief package related to the COVID-19 pandemic. The ARP ESSER fund has wide allowable uses for districts, with certain restrictions related to supporting evidence-based activities that address the impacts of lost instructional time. The ARP ESSER fund is a non-recurring federal investment. Accordingly, districts have until September 30, 2024 to obligate funds from the ARP ESSER fund (with the requirement that all funds are expended by January 2025).<sup>6</sup>

### RELEVANT ALLOWABLE USES

All allowable activities under the Elementary and Secondary Education Act (ESEA) and the Individuals with Disabilities Education Act (IDEA), amongst others, are allowable under the ARP ESSER fund.

<https://oese.ed.gov/offices/american-rescue-plan/american-rescue-plan-elementary-and-secondary-school-emergency-relief>  
<https://www2.ed.gov/documents/coronavirus/reopening-2.pdf>

### FUNDING TYPE

**F** Formula

### PRIMARY FUNDING RECIPIENTS

**S** SEAs

### SUB-GRANTEES

**L** LEAs

# Elementary and Secondary Education Act (ESEA)

## Title I, Part A (ESEA)

Title I, Part A of the Elementary and Secondary Education Act, as amended by the Every Student Succeeds Act (ESSA), provides financial assistance to local educational agencies (LEAs) and schools with high numbers or high percentages of children from low-income families to help ensure that all children meet challenging state academic standards.

### RELEVANT ALLOWABLE USES

A 2019 analysis<sup>6</sup> of the Principal Pipeline Initiative (PPI) found that the PPI met the ESSA threshold to be considered a Tier II and Tier III intervention. Such an evaluation would support the use of Title I, Part A funds which require the use of evidence-based practices.

<https://oese.ed.gov/offices/office-of-formula-grants/school-support-and-accountability/title-i-part-a-program/>

### FUNDING TYPE

**F** Formula

### PRIMARY FUNDING RECIPIENTS

**S** SEAs

### SUB-GRANTEES

**L** LEAs

## School Improvement Funds (Title I-A, Section 1003)

Under section 1003(a) of the Elementary and Secondary Education Act, SEAs must reserve seven percent of Title I-A funding to award grants to LEAs identified for Comprehensive Support and Improvement or Targeted Support and Improvement activities. Grants are awarded to LEAs to develop improvement plans, implement school improvement plans, and align other funding sources to carry out activities.

### RELEVANT ALLOWABLE USES

LEAs may use funds for any activity that will help a school identified for improvement have improved student outcomes, including activities such as professional development. LEAs must use at least one evidence-based intervention as part of its overall improvement plan. A 2019 analysis<sup>6</sup> of the Principal Pipeline Initiative (PPI) found that PPI met the ESSA threshold to be considered a Tier II and Tier III intervention.

<https://www2.ed.gov/policy/elsec/leg/essa/1003awebinarandpresentation.pdf>

### FUNDING TYPE

**F** Formula

### PRIMARY FUNDING RECIPIENTS

**S** SEAs

### SUB-GRANTEES

**L** LEAs

6. [https://www.wallacefoundation.org/knowledge-center/Documents/Abt-ESSA-Evidence-Review-PPI\\_20190402.pdf](https://www.wallacefoundation.org/knowledge-center/Documents/Abt-ESSA-Evidence-Review-PPI_20190402.pdf)

# Elementary and Secondary Education Act (ESEA) (Cont'd)

## Supporting Effective Instruction Grants (Title II-A)

The purpose of the Supporting Effective Instruction Grant program is to increase academic achievement by improving teacher, principal, and other school leader quality. This program is carried out by: increasing the number of highly qualified teachers in classrooms; increasing the number of highly qualified principals and assistant principals in schools; and increasing the effectiveness of teachers, principals, and other school leaders by holding LEAs and schools accountable for improvements in student academic achievement.

### RELEVANT ALLOWABLE USES

State-level activities supported by Supporting Effective Instruction grants could include but are not limited to: reforming teacher, principal, and other school leader certification programs; providing support for new teachers; providing professional development for teachers, principals, and other school leaders.

Local-level activities supported by Supporting Effective Instruction grants could include but are not limited to: recruiting and retaining effective teachers, principals, and other school leaders; providing professional development for teachers, principals, and other school leaders; reducing class size.

<https://oese.ed.gov/offices/office-of-formula-grants/school-support-and-accountability/instruction-state-grants-title-ii-part-a/>  
<https://www2.ed.gov/policy/elsec/leg/essa/essatitleiipartaguidance.pdf>

### FUNDING TYPE

**F** Formula

### PRIMARY FUNDING RECIPIENTS

**S** SEAs

### SUB-GRANTEES

**L** LEAs

## Teacher and School Leader Incentive Fund (Title II-B)

The Teacher and School Leader Incentive Fund program supports entities in implementing, improving, or expanding their overall Human Capital Management System (HCMS), which by definition must include a Performance-Based Compensation System (PBCS). HCMS is one that allows a district to make and implement human capital decisions, such as decisions on preparation, recruitment, hiring, placement, retention, dismissal, compensation, professional development, tenure, and promotion; and includes a performance-based compensation systems. The Teacher and School Leader Incentive Fund program primarily serves educators in high-need schools who raise student academic achievement and close the achievement gap between high- and low-performing students, although the program may also fund services for educators serving in high-need subject areas (though not necessarily in high-need schools), as determined by the LEA or the SEA.

### RELEVANT ALLOWABLE USES

Activities supported by Teacher and School Leader Incentive Fund program could include, but are not limited to, developing or improving an evaluation and support system that provides principals and other school leaders with ongoing, differentiated, targeted, and personalized support and feedback for improvement, including professional development opportunities designed to increase effectiveness; improving the district's system and process for the recruitment, selection, placement, and retention of effective principals or other school leaders in high-need schools, such as by improving district policies and procedures to ensure that high-need schools are competitive, such as establishing or strengthening school leader residency programs; and, instituting career developing opportunities characterized by increased responsibility and pay that reward and recognize effective principals or other school leaders in high-need schools, and enable them to expand their leadership, and results, such as through mentoring, coaching, hybrid roles, administrative duties, and career ladders.

<https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/effective-educator-development-programs/teacher-and-school-leader-incentive-program>

### FUNDING TYPE

**C** Competitive

### PRIMARY FUNDING RECIPIENTS

**S** SEAs

**L** LEAs

**N** Non-Profit Organizations

# Elementary and Secondary Education Act (ESEA) (Cont'd)

## Supporting Effective Educator Development (SEED) (Title II-B)

The Supporting Effective Educator Development (SEED) grant program provides funding to increase the number of highly effective educators by supporting the implementation of evidence-based preparation, development, or enhancement opportunities for educators.

### RELEVANT ALLOWABLE USES

Supported Effective Educator Development (SEED) grants should support activities such as providing teachers, principals, and other school leaders from nontraditional preparation and certification routes to serve in traditionally underserved districts; providing evidence-based professional development activities to address academic needs of districts; providing teachers, principals, and other school leaders with evidence-based professional enhancement activities, which may include activities that lead to an advanced credential.

<https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/effective-educator-development-programs/supporting-effective-educator-development-grant-program>

### FUNDING TYPE

**C** Competitive

### PRIMARY FUNDING RECIPIENTS

**I** IHEs

**N** Non-Profit Organizations

**B** BIE

## Education Innovation and Research (EIR) (Title IV-F)

The Education Innovation and Research (EIR) program is designed to generate and validate solutions to persistent educational challenges and to support the expansion of effective solutions to serve substantially larger numbers of students.

### RELEVANT ALLOWABLE USES

Education Innovation and Research (EIR) Program funds can be used to for activities such as creating, developing, implementing, replicating, or scaling entrepreneurial, evidence-based, field-initiated innovations to improve student achievement and attainment for high-need students; and rigorously evaluating such innovations.

<https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/innovation-early-learning/education-innovation-and-research-eir>

### FUNDING TYPE

**C** Competitive

### PRIMARY FUNDING RECIPIENTS

**I** Non-Profit IHEs

**N** Non-Profit Organizations

**L** LEAs

**E** Educational Service Agencies

**S** SEAs

**B** BIE

# Elementary and Secondary Education Act (ESEA) (Cont'd)

## Full-Service Community Schools (Title IV-F)

The Full-Service Community Schools (FSCS) program encourages coordination of academic, social, and health services through partnerships among public elementary and secondary schools; the schools' local educational agencies (LEAs); community-based organizations, nonprofit organizations, and other public or private entities. Types of projects can include: family engagement, including parental involvement, parent leadership, family literacy, and parent education programs; providing comprehensive academic, social, and health services to students.

### RELEVANT ALLOWABLE USES

Full-Service Community Schools provide comprehensive academic, social, and health services for students, students' family members, and community members that will result in improved educational outcomes for children. These services may include: high-quality early learning programs and service; remedial education, aligned with academic supports and other enrichment activities, providing students with a comprehensive academic program; family engagement, including parental involvement, parent leadership, family literacy, and parent education programs; programs that provide assistance to students who have been chronically absent, truant, suspended, or expelled; mental health services. Activities, which must be evidence-based, supported by Full-Service Community Schools grants could be aligned to school leader professional development opportunities.

<https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/school-choice-improvement-programs/full-service-community-schools-program-fscs/funding-and-legislation/>

### FUNDING TYPE

**C** Competitive

### PRIMARY FUNDING RECIPIENTS

**L** LEAs

**N** Non-Profit Organizations

**C** Community Based Organizations

# Higher Education Act (HEA)

## Teacher Quality Partnership (TQP) Grants (Title II)

The Teacher Quality Partnership (TQP) Grant program aims to increase student achievement by improving the quality of new prospective teachers by enhancing the preparation of prospective teachers and the professional development activities for current teachers; holding teacher preparation programs at institutions of higher education accountable for preparing talented, certified or licensed, and effective teachers; and recruiting effective individuals, including educators from minority backgrounds and individuals from other occupations, into the teaching force. Partnerships funded by the Teacher Quality Partnership program may also include leadership development programs for principals and other school leaders.

### RELEVANT ALLOWABLE USES

Programs funded by Teacher Quality Partnership grants could include, but are not limited to, activities such as preparing individuals enrolled or preparing to enroll in school leadership programs for careers as superintendents, principals, or other school leaders; promoting strong leadership skills; ensuring that individuals who participate in the school leadership program receive preservice preparation, mentoring, and full state certification or licensure; developing and improving a sustained and high-quality preservice clinical education program, including year-long job-embedded learning opportunities; creating an induction program for new school leaders; and, developing and implementing effective mechanisms to ensure that partnerships are able to recruit qualified individuals to become school leaders.

<https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/effective-educator-development-programs/teacher-quality-partnership/>

### FUNDING TYPE

**C** Competitive

### PRIMARY FUNDING RECIPIENTS

**I** IHEs

**L** LEAs

# Higher Education Act (HEA) (Cont'd)

## Strengthening Institutions (Title III-A)

The Strengthening Institutions program helps eligible institutions of higher education to become self-sufficient and expand their capacity to serve low-income students by providing funds to improve and strengthen the academic quality, institutional management, and fiscal stability of eligible institutions.

### RELEVANT ALLOWABLE USES

Institutions receiving a Strengthening Institution grant may use funds to support activities such as program planning, faculty development, and establishing endowment funds. Grants may also support activities such as administrative management, and the development and improvement of academic programs. Other projects include joint use of instructional facilities, construction and maintenance, and student service programs designed to improve academic success, including innovative, customized, instruction courses designed to help retain students and move the students rapidly into core courses and through program completion, which may include remedial education and English language instruction.

<https://www2.ed.gov/programs/iduestitle3a>

### FUNDING TYPE

**C** Competitive

### PRIMARY FUNDING RECIPIENTS

**I** IHEs

## Strengthening Historically Black Colleges and Universities (Title III-B)

The Strengthening Historically Black Colleges and Universities (HBCUs) program is intended to assist institutions in strengthening their academic, administrative, and fiscal capabilities. Funds may be used for the purchase, rental, or lease of scientific or laboratory equipment. Also supported are the construction, maintenance, renovation, and improvement of instruction facilities and physical plant. Funds may support faculty exchanges and the development of academic instruction in disciplines in which Black Americans are underrepresented. Projects may support the purchase of library materials as well as tutoring, counseling, and STEM programs too.

### RELEVANT ALLOWABLE USES

Institutions receiving Strengthening Historically Black Colleges and Universities grants may use funds to support projects such as those related to funds and administrative management; enabling the joint use of facilities; establishing or enhancing teacher education programs; establishing outreach programs; and other activities that a grantee proposes in its application that contribute to carrying out the purposes of the program and are approved by the Secretary of Education as part of the review and acceptance of the grant application.

<https://www2.ed.gov/programs/iduestitle3b>

### FUNDING TYPE

**C** Competitive

### PRIMARY FUNDING RECIPIENTS

**H** HBCUs

# Higher Education Act (HEA) (Cont'd)

## Developing Hispanic Serving Institutions (Title V)

The Developing Hispanic-Serving Institutions (HSIs) program provides grants to assist Hispanic Serving Institutions to expand educational opportunities for, and improve the attainment of, Hispanic students. These grants also enable Hispanic Serving Institutions to expand and enhance their academic offerings, program quality, and institutional stability.

### RELEVANT ALLOWABLE USES

Institutions receiving Developing Hispanic Serving Institution grants may use funds for activities such as improving scientific or laboratory equipment for teaching; construction or renovation of instructional facilities; faculty development; purchase of educational materials; academic tutoring or counseling programs; funds and administrative management; joint use of facilities; endowment funds; distance learning academic instruction; teacher education; and student support services.

<https://www2.ed.gov/programs/idedshsi>

### FUNDING TYPE

**C** Competitive

### PRIMARY FUNDING RECIPIENTS

**H** HSIs

# Individuals with Disabilities Education Act (IDEA)

## Personnel Development Grants (Part D)

The IDEA Personnel Development grant program helps meet state-identified needs for adequate numbers of fully certified personnel to serve children with disabilities by supporting competitive awards. The U.S. Department of Education is required to make competitive grants that support training activities in a few high priority areas include: general personnel development and preparing beginning special educators; personnel serving children with low incidence disabilities; and leadership development. Leadership preparation activities focus on improving results for students with disabilities by ensuring that leadership personnel in both regular and special education have the skills and training to help students with disabilities achieve to high standards. Under this authority, leadership personnel may include a variety of different personnel, such as teacher preparation and related service faculty, administrators, researchers, supervisors, and principals. Authorized activities include preparing personnel at the graduate, postgraduate, and doctoral levels, and providing interdisciplinary training for various types of leadership personnel.

### RELEVANT ALLOWABLE USES

Projects supported by Personnel Development Grants can include, but are not limited to, providing high-quality professional development for principals or other school leaders, superintendents, and other administrators. Such professional development can include training in instructional leadership; behavior supports in the school and classroom; paperwork reduction; promoting improved collaboration between special education and general education teachers; assessment and accountability; ensuring effective learning environments; and fostering positive relationships with parents.

<https://www2.ed.gov/programs/osepprep/index.html>

### FUNDING TYPE

**C** Competitive

### PRIMARY FUNDING RECIPIENTS

**I** IHEs

**L** LEAs

**N** Non-Profit Organizations

**S** SEAs

# Education Sciences Reform Act (ESRA)

## Statewide Longitudinal Data Systems

These grants are intended to enable SEAs to design, develop, and implement statewide longitudinal data systems (SLDSs) to efficiently and accurately manage, analyze, disaggregate, and use individual student data, consistent with the Elementary and Secondary Education Act. These systems are intended to enhance the ability of SEAs to efficiently and accurately manage, analyze, and use education data, including individual student records. The SLDSs should help SEAs, LEAs, schools, educators, and other stakeholders to make data-informed decisions to improve student learning and outcomes; as well as to facilitate research to increase student achievement and close achievement gaps.

### RELEVANT ALLOWABLE USES

SEAs are the primary recipients of SLDS grants and such funds are intended to build and improve systems that efficiently and accurately manage, analyze, disaggregate, and use individual student data, consistent with ESEA. Given the ability to incorporate educator and school leader data into student data systems, SLDS funds could be used to support components of a state's leader tracking system. See NCES link below for examples of data system elements related to educator and school leader data.

<https://nces.ed.gov/pubs2020/2020157.pdf>  
<https://www2.ed.gov/programs/slids/index.html>

### FUNDING TYPE

**C** Competitive

### PRIMARY FUNDING RECIPIENTS

**S** SEAs



# About the Authors

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1120 20th Street NW  
Suite 200N  
Washington, DC 20036  
(202) 939-9780  
[www.policystudies.com](http://www.policystudies.com)

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101 Constitution Avenue NW  
Suite 900  
Washington, DC 20001  
(202) 689-2961  
[www.educationcounsel.com](http://www.educationcounsel.com)

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140 Broadway  
49th Floor  
New York, NY 10005  
(212) 251-9700  
[www.wallacefoundation.org](http://www.wallacefoundation.org)

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