



PhilanthropyRoundtable

Achieving Teacher and Principal Excellence

A GUIDEBOOK FOR DONORS

by Andrew J. Rotherham



ACHIEVING TEACHER
and
PRINCIPAL EXCELLENCE:
A GUIDEBOOK FOR DONORS

ANDREW J. ROTHERHAM



PhilanthropyRoundtable

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*This guidebook
is dedicated to
the memory of Lewis C. Solmon.*

Table of Contents

Letter from The Philanthropy Roundtable	7
Acknowledgments	9
Introduction	11
I. Why Human Capital?	15
Teachers Matter	
And Principals, Too	
The Changing Landscape	
The Crisis Today	
Toward the Future	
II. A New Approach	27
Effective Giving for Human Capital Improvement	
Performance, Not Paper	
III. Five Strategic Priorities	31
IV. Attracting New Talent to Education	35
Building the Talent Pipeline	
From Madison Ave. to the Classroom: The New Teacher Project's smart recruitment strategy	
Teachers (Also) Wanted: Parochial and pre-K	
Leading the Leaders: Finding and developing excellent principals	
V. Reforming Teacher and Principal Training	49
Deepening the Talent Pool	
Lemons into Lemonade: Incentivizing reform in education schools	
Building from Scratch: Creating new teacher preparation programs	
Moving Training into the Workplace: Building residency training programs	
Keeping New Teachers, Making Better Teachers	
Finishing School: Liberal arts and core knowledge training for teachers	
First "Principals" of Reform: Make leadership training practical, not theoretical	
Training Education Entrepreneurs: An MBA for school leaders	
Building Leadership Training to Scale	

■ *Table of Contents*

VI.	Distributing Educators Where They Are Most Needed	69
	Exponential Results: Improving math and science teaching	
	Getting the Right People into High-need Places	
VII.	Restructuring Incentives to Reward Excellence	77
	Leading the Way: The story of Denver's ProComp initiative	
	Big Enough to Matter: The Milken Family Foundation and the Teacher Advancement Program	
	Let a Thousand Flowers Blossom: Strategies for linking teacher compensation to student performance	
VIII.	Investing in Research and Advocacy	87
	Investing in Research	
	What Makes a Successful Teacher?	
	What Makes a Successful Principal?	
	Turning Ideas into Action: TNTP reforms hiring processes nationwide	
	Investing in Advocacy	
	Lowering Barriers to Entry	
	Retaining New Teachers through Better Induction	
	Reforming Compensation	
	What to Do with Teachers' Unions? Three views for change	
IX.	Making Investments Count	107
X.	Ten Big Ideas in Need of Support	111
	Idea 1: Focus on a Single, Proof-point Location	
	Idea 2: Create a New Model for Colleges of Education	
	Idea 3: Devise <i>Good</i> Alternative Teaching License Procedures in <i>Every</i> State	
	Idea 4: Redirect Teacher Incentives	
	Idea 5: Build Knowledge-management Tools	
	Idea 6: Address the Rural Challenge	
	Idea 7: Swap Tomorrow's Benefits for Today's Compensation	
	Idea 8: Leverage Charter Schools as the Leading Edge of Teacher and Leader Effectiveness	
	Idea 9: Create Incentive Prizes to Encourage Reform	
	Idea 10: Maximize Strategic Use of Technology in the Classroom	
XI.	Conclusion	119
	Appendix A: Projects Mentioned	121
	Appendix B: Funders Mentioned	133
	About the Author	141

Letter from The Philanthropy Roundtable

The Philanthropy Roundtable is delighted to publish Andrew J. Rotherham's guidebook on how philanthropists can support teacher and principal excellence in America.

Teachers and principals are the backbone of America's K-12 education system. Recent research has confirmed what many educators have long suspected: teachers matter more to student learning than anything else schools do. Indeed, studies have found that having a high-quality teacher throughout elementary school can offset—or even eliminate—the disadvantage of a low socioeconomic background. Philanthropists serious about improving education in America, particularly among our neediest children, cannot ignore the importance of improving human capital.

Yet within the field of education, teachers and principals are insufficiently recruited, inadequately trained, inequitably distributed, and unfairly compensated. In response, reform-minded philanthropists and entrepreneurs are devising bold new ways to tackle the human capital challenge, especially in schools serving our nation's most disadvantaged students. This guidebook discusses the nature of the human capital challenge and explains why philanthropists can—and must—help resolve it, while presenting the best opportunities for donors of all sizes to achieve an excellent teacher and principal for every child.

The Philanthropy Roundtable gratefully acknowledges the generous support of the Challenge Foundation, the Bill & Melinda Gates Foundation, and the Joyce Foundation for making this guidebook possible.

The Philanthropy Roundtable holds public meetings around the country where donors can exchange ideas, strategies, and best practices. We also offer customized private seminars, at no charge, for donors who are thinking through how they can make the greatest difference in their giving. Please contact us at 202.822.8333 or at main@PhilanthropyRoundtable.org if you would like further information.

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Any errors of fact or interpretation remain, of course, mine alone.

Introduction

Nearly 30 years have passed since the night Martin J. (“Mike”) Koldyke was watching the Oscars with his wife, Patricia. They were at home, enjoying the show, when all of a sudden something occurred to the Koldykes. Why is it, they wondered, that this country goes to such incredible lengths to celebrate exceptional actors and directors, but it barely ever recognizes the amazing work of its most talented teachers? After all, a good teacher can change a child’s life. Surely that’s as important as playing a supporting role in some otherwise forgettable film.

Koldyke couldn’t shake the thought. “You have to remember,” he recalls, “this was a time when the Chicago Public Schools were at a particularly low ebb. It was really desperate. Men and women who were good teachers were just swamped by all the problems.”

Koldyke decided to help. He had the means. Koldyke was a successful venture capitalist, the founder of Frontenac, a Chicago-based private equity firm. He also had the credibility. He’s a leading civic activist, with experience on the board at Northwestern University and as chair of the local PBS affiliate. He decided that he would start directing his energy towards improving Chicago’s public schools.

So, to recognize and reward exceptional teachers, Koldyke established the **Golden Apple Foundation**. Teachers, Koldyke decided, should have their own version of the Oscars. Since then, the foundation has annually honored 10 educators with the Golden Apple Award for Excellence in Teaching. Every year, a gala award ceremony is broadcast in a one-hour, prime-time special on Chicago public television, with the winners receiving a cash prize, a personal computer, and a tuition-free fall sabbatical at Northwestern University.

Over the last 23 years, the program has grown in a number of new directions. Today it offers structured networking so that successful teachers can trade ideas directly with their peers. It also runs Golden Apple Scholars of Illinois, an initiative to identify, recruit, and support promising college-age students. All in all, Golden Apple has helped the Chicago public schools with teacher recruitment and morale.

But Koldyke gradually came to realize that, despite its accomplishments, Golden Apple alone wasn’t really solving the problem. More had to be done. Chicago is the nation’s third largest school system, with more than 575 principals and 24,000 teachers. Golden Apple just wasn’t getting enough effective teachers and principals into the system.

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In 2001, Koldyke decided to try another approach. He would attempt to drive broader change with an ambitious and innovative training program for urban teachers—the **Academy for Urban School Leadership (AUSL)**. Rather than target college-age students, AUSL recruited from a wider pool of mid-career professionals who wanted to transition into teaching. Everyone at the academy would train specifically to teach in demanding urban settings.

AUSL is modeled on medical school residency programs. Participants undergo a year-long residential training program in which candidates receive on-the-job training from practicing teachers. Applicants undergo standard credential checks, as well as extensive inter-

views to gauge their potential as teachers. If a candidate is accepted into the program, he or she combines master's degree coursework with hands-on teaching experience.

After completing graduate-level summer coursework, residents (as the candidates are called) begin classroom teaching, with responsibilities increas-

ing over the course of the school year. One day per week, they devote themselves to completing their master's degree in education. In return, they receive an annual stipend of \$32,000—and, when residents complete the program, they earn fully portable teaching credentials.

AUSL training is specifically geared towards the challenges of urban schools. “This isn't just about new teachers. It's also about folks who want to teach in urban schools, or who have taught elsewhere and are transitioning,” says Brian Sims, the managing partner at AUSL. The central purpose of AUSL is never far from Sims' mind: to prepare residents to teach in inner-city schools.

Koldyke started with one school. Today, AUSL manages 11—six as teacher training sites, and five as turnaround efforts for low-performing schools. Leaders in Chicago hope to see AUSL manage more schools as part of broader reforms. So far the results are very promising. AUSL has a 95 percent teacher retention rate, far above comparable schools in the district. Moreover, the program is moving the needle on student achievement. Even with their substantial challenges, AUSL's schools outperformed the school district average for improvement in 2006-07, and one of its schools saw the highest gains in the state in 2005-06. The impact of the program extends beyond AUSL's schools: AUSL's 195 graduates now serve about 7,500 Chicago students. In practical terms, all early signs

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indicate that AUSL is producing more effective teachers who are also staying in Chicago's public school system.

AUSL offers a good example of how even relatively small initiatives can leverage broader change. In fact, Koldyke's financial contributions to AUSL were always a small fraction of its budget. "Almost all the money," Koldyke emphasizes, "is raised elsewhere."

Indeed, AUSL's largest supporters are the **Chicago Community Trust**, the **Michael & Susan Dell Foundation**, the **Bill & Melinda Gates Foundation**, **NewSchools Venture Fund**, and the Chicago Public Schools. It wasn't Koldyke's money that made the difference. Rather, it was his creativity, contacts, and commitment that made AUSL into such a promising reform effort.

Granted, AUSL is an expensive program, with relatively high costs per teacher produced. But it is based on genuinely new ideas, ideas that are fundamentally reshaping how educators, reformers, and funders are thinking about recruiting, selecting, training, and supporting talented teachers for America's neediest schools.

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Why Human Capital?

When Koldyke founded Golden Apple, very few people were paying serious attention to the human capital challenge facing American primary and secondary education. That's finally changing, as educators, policymakers, and philanthropists are coming to recognize that to get better schools, America needs better educators.

This guidebook discusses the nature of the human capital challenge and explains why donors must help resolve it. It then reviews some of the major policy initiatives under discussion and describes different ways for grantmakers to think about the problem. Finally, the guidebook proposes five strategic priorities for philanthropists interested in improving the quality of America's teachers and principals.

- First, it suggests ways to **attract new talent** to teaching and leadership positions.
- Second, it offers ways to **improve training** for teachers and principals.
- Third, it proposes opportunities to **get talented teachers and principals where they are needed most**.
- Fourth, it looks at ways to **restructure incentives**, in order to encourage and reward excellence in teaching and leadership.
- Fifth, it examines ways to **invest in research and advocacy**.

Teachers Matter

Successful organizations pay close attention to the recruitment, training, compensation, development, evaluation, and promotion of their personnel. Not so in American public school systems. The situation is made all the worse because education is, by its nature, a labor-intensive field—and quality schools depend on quality people.

Indeed, current studies indicate that, among in-school factors, *teacher effectiveness is the single most important factor in student learning*. Kati Haycock, director of the **Education Trust**, a well-regarded

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■ *Achieving Teacher and Principal Excellence*

research and advocacy group, summarized the current research in her September 2007 testimony before Congress, noting the following findings:

- Having a high-quality teacher throughout elementary school can substantially offset or even eliminate the disadvantage of a low socioeconomic background.¹
- Having a top-quartile teacher rather than a bottom-quartile teacher four years in a row would be enough to close the black-white test score gap.²
- A teacher's influence on student achievement scores is 20 times greater than any other variable, including class size and student poverty.³

Such findings confirm what leaders in the field have long observed. Advanced technology, improved curricula, and expanded school choice all hold promise for improving education. But better people remain the key to better schools. “The number one gatekeeper to growth and serving more kids is human capital,” says Richard Barth, CEO of the **Knowledge Is Power Program (KIPP)**, one of the nation's leading networks of high-performing charter schools serving disadvantaged children. “People still think that there is a workaround to the problem, but those focused on transformative solutions realize that human capital has to be improved, that there is no workaround to the

challenge of attracting, selecting, developing, and advancing human capital.”

Policymakers and philanthropists simply cannot ignore teacher and principal quality if they are serious about improving America's public schools.

Yet despite the importance of human capital, current strategies for teacher recruitment, training, compensation, development, evaluation, and promotion are seriously misaligned with even rudimentary measures of effectiveness. It's an

enormous problem—especially considering that, of the roughly \$500 billion spent annually on American public education, over two-thirds goes directly to supporting personnel. Policymakers and philanthropists simply cannot ignore teacher and principal quality if they are serious about improving America's public schools.

1. Steven G. Rivkin, Eric A. Hanushek, and John F. Kain, *Teachers, Schools, and Academic Achievement*. University of Texas, Dallas: Texas Schools Project, 2002.
2. Robert Gordon, Thomas J. Kane, and Douglas O. Staiger, *Identifying Effective Teachers Using Performance on the Job*. Washington, D.C.: The Brookings Institution, 2006.
3. As cited by Daniel Fallon, *Case Study of a Paradigm Shift (The Value of Focusing on Instruction)*. Education Research Summit: Establishing Linkages, University of North Carolina, 2003.

And Principals, Too

A second major focus of human capital reform in the nation's public schools concerns principals. A good principal is a teacher force-multiplier: he or she inspires, motivates, and empowers dozens of teachers. (Conversely, a lousy principal can demoralize an entire faculty, even the high-performers.) A single good principal can do a lot more than a single good teacher to turn around an underperforming school. In fact, a recent study has shown that principal quality is the second most important factor—after teacher quality—in driving student achievement. Good principals, in short, make great philanthropic investments.

Unfortunately, many of the difficulties besetting teacher recruitment and retention also afflict principals. The two problems are, of course, related. School leaders—from administrators to principals to superintendents—are overwhelmingly drawn from the ranks of teachers. As a result, problems with teachers manifest themselves downstream in problems with principals.

Just as teachers are asked to do more and more, so too are school leaders asked to take on ever greater responsibilities. Even a few years ago, principals were expected to maintain an orderly school and oversee the operations of the physical plant. These days, they are expected to manage a complicated and highly differentiated instructional program, while poring over data to improve all aspects of school performance, while still maintaining an orderly learning environment and overseeing the operations of the physical plant. Jon Schnur, the co-founder and chief executive officer of **New Leaders for New Schools**, notes that the increased orientation toward student performance is a radical and positive shift: “At New Leaders for New Schools, our first measure of success is student learning. This represents a major shift from what has traditionally defined the principalship and the field of school leadership.” Principals are now tasked with substantial new management *and* instructional challenges.

Further complicating matters is the fact that, although nearly every state has elaborate mechanisms for licensing school leaders, there is little comparable concern for effectiveness. “States have mandated costly and onerous preparation regimens” without “evidence documenting their contribution to improved student learning,” writes Frederick Hess of the American

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Enterprise Institute in his 2003 paper “A License to Lead?” In 2005, Arthur Levine, the former president of Teachers College at Columbia University, released an exhaustive study titled “Educating School Leaders.” The report concludes that, “collectively, educational administration programs are the weakest of all the programs at the nation’s education schools.”

Essentially, today’s school leaders are running a complicated small business, often with a seven- or eight-figure budget, but they are doing so without adequate training or support.

The Changing Landscape

Only recently have education reformers begun focusing their efforts on improving the quality of America’s teachers and principals. This sudden interest in human capital can be attributed to three basic factors.

First, and perhaps most importantly, until late in the 20th century, education enjoyed a relatively captive labor market. Widespread discrim-

ination prevented many intelligent and educated women and minorities from entering most professions. The field of education, however, was left open to them. For many years, this state of affairs kept aggregate teacher quality artificially higher than it otherwise might have been. But, as the movement for civil rights began to open new fields and erode pay inequalities,

women and minorities began to leave teaching to pursue more lucrative careers. We can all be grateful that these barriers in the labor market are now mostly gone. But, as a consequence, public schools must compete for talent on the same terms as other professions.

Second, the nation’s economy is changing. For centuries, the economy was driven by industries that grew, built, or moved things. In a 1999 article for *Education Week*, Hugh Price, the former president of the Urban League, pointed out that in previous generations, “the output of schools meshed with the needs of the American economy—a handful of well-educated managers, and hordes of blue-collar workers with strong backs and a solid work ethic.” Today, however, good jobs require strong minds at least as much as strong backs. According to **Achieve, Inc.**, a nonprofit that promotes and studies academic standards, roughly two-thirds of all new jobs require some form of post-secondary education. Experts expect this percentage to increase in the future.

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Finally, the political tides are beginning to shift. In the past, educators and administrators have been extremely reluctant to consider any human capital reforms. They organized politically at the local, state, and national levels, and strongly resisted any movement that seemed to endanger their privileges. According to Ted Mitchell, the CEO of NewSchools Venture Fund and president of the California Board of Education, a series of interlocking monopolies consistently blocked any attempt at reform. Richard Laine, director of education at **The Wallace Foundation**, notes that, in education, human capital reform has long been a “huge third-rail issue.” For that reason, many policymakers and philanthropists were understandably hesitant to press the issue. Yet around the country, the political calculus is starting to change. As it becomes obvious that other reform efforts will fall short without attention to human capital, the appetite for reform is noticeably increasing—as is the willingness of donors and politicians to take risks and challenge special interests.

The primary human capital challenge in education today is that, in general, nowhere in a teacher’s career is he or she evaluated on the basis of performance or potential.

The Crisis Today

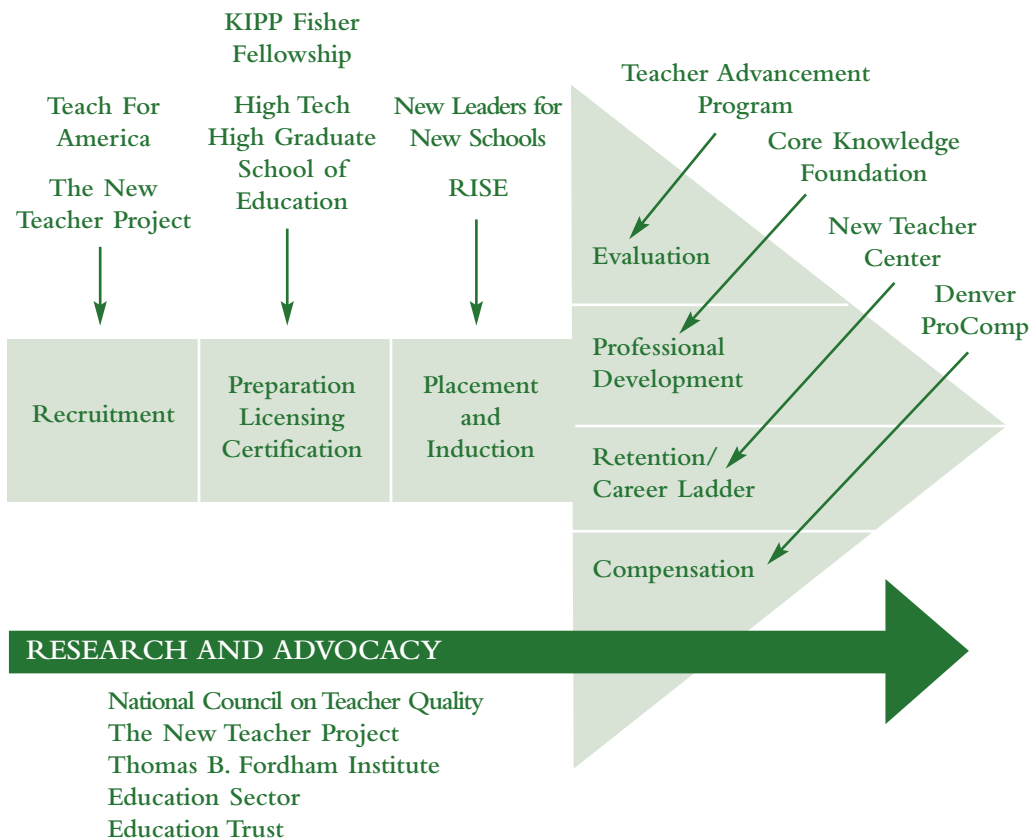
Over the past 40 years, the demands on America’s public schools have changed dramatically, but their approach to human capital has changed little. Teachers are still recruited, trained, and compensated much as they were a generation or two ago. If public schools are going to improve, more attention has to be paid to getting the right people into the right positions.

Successful industries tend to consider people along two dimensions: potential and performance. In general, high-potential employees are supported and grown, and high-performers are rewarded and promoted. Low-performers are remediated, while low-potential employees are counseled into other lines of work. The primary human capital challenge in education today is that, in general, *nowhere* in a teacher’s career is he or she evaluated on the basis of potential or performance.

There are, to be sure, many talented teachers working tirelessly in the nation’s schools. But their presence simply isn’t the result of a deliberate effort to recruit, train, compensate, and promote people because of potential or demonstrated effectiveness. Public schools are failing to strategically manage and grow their most important resource: people.

What is more, there are many points in an educator’s career where attention to potential and performance would yield enormous dividends. At cer-

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National Council on Teacher Quality
 The New Teacher Project
 Thomas B. Fordham Institute
 Education Sector
 Education Trust

Note: This graphic is meant to illustrate examples of high-leverage philanthropic investments along an educator's career path. Many of these organizations do not fit easily into any one category, and many other examples could be offered.

tain crucial junctures—like recruitment, licensing, evaluation, compensation, and promotion—teachers and principals could be assessed for their effectiveness. The above graphic illustrates the trajectory of a teacher's career, and notes the organizations working at these crucial junctures.

Take teacher recruitment, for example. School districts rarely launch aggressive and targeted campaigns to recruit the most talented people to teaching. Scott Hamilton is an experienced education policymaker and foundation official; as the former head of the Pisces Foundation (now the **Doris & Donald Fisher Fund**), he led the effort to grow KIPP and instigated the doubling of **Teach For America (TFA)**. Hamilton believes that outside of TFA and a few other programs, the decision to become a teacher or administrator is almost always based on a sense of calling rather than deliberate and

focused recruitment. Education, he says, has come to resemble a vocation “that people have chosen, like the priesthood or the convent.” It needs instead to become a profession in which candidates are systematically recruited.

Training is also generally weak for teachers and principals, and there’s little evidence that traditional programs increase teacher effectiveness. Teacher effectiveness seems to owe more to individual characteristics than to formal preparation. Meanwhile, education schools currently consume enormous resources and yield paltry results; a number of studies have shown that traditional teacher preparation programs have had very limited impact on teacher effectiveness. They may even be counterproductive, inculcating instructional methods and ideologies that are in tension with today’s accountability-driven environment.

Once hired, teachers typically receive limited ongoing support from their school systems, even though good mentoring programs have been shown to help retain and improve new teachers. Where they exist, however, these programs are often ineffective. In many school systems, there simply aren’t enough quality mentors to go around. This is particularly true in inner-city and rural areas, which are struggling to retain their best educators. Furthermore, many mentoring programs fail to offer quality training to the mentors themselves. Without formal training, it can be difficult for a teacher—even a highly successful one—to help a colleague effectively improve his or her teaching. Teaching adults is simply different from teaching children.

Professional development throughout the school year—for new and veteran teachers alike—is equally inadequate. Most school districts dedicate less than 1 percent of their annual budgets to teacher training and support, and these funds are often wasted on irrelevant programs. An analysis conducted by the **Finance Project**, a nonprofit research and training organization, concludes that professional development in education is of significantly lower caliber than that offered in other professions. Not surprisingly, educators are rarely satisfied with, or challenged by, their professional development.

Teacher evaluation is similarly perfunctory. Writing in *Education Week*, education reformer Mike Schmoker perfectly describes the prob-

At certain crucial junctures—like recruitment, licensing, evaluation, compensation, and promotion—teachers and principals could be assessed for their effectiveness.

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lem: evaluations have “become a polite, if near-meaningless matter between a beleaguered principal and a nervous teacher. Research has finally told us what many of us suspected all along: that conventional evaluation, the kind the overwhelming majority of American teachers under-

Currently, the teaching profession exhibits what labor economists call “adverse selection.”

go, does not have any measurable impact on the quality of student learning. In most cases, it is a waste of time.” Teacher evaluation is tied to student achievement in a mere 12 states, and only 26 states provide any formal training for evaluators.

Besides, most teachers are always rated highly, even in school districts with obvious and widespread problems. In Chicago, with a school system whose graduation rate is just over 50 percent and which has more than 200 faltering schools, 92 percent of all teachers are rated “excellent” or “superior.” Only 7 percent were found “satisfactory,” and less than 1 percent “unsatisfactory.”

Compensation too is divorced from any real effort to cultivate potential or improve performance. School districts nationwide rely on a standardized salary scale, commonly referred to as “steps and lanes.” With each year of experience, teachers advance a step; with the accumulation of additional graduate credits, they advance a lane.

The problem, however, is that the “steps and lanes” scale is completely indifferent to talent and effectiveness. Instead, teachers are overwhelmingly compensated on the basis of seniority and graduate-level degrees in education—despite research indicating that effectiveness plateaus early in a teacher’s career, and the lack of evidence linking advanced education degrees to improved student achievement.

Originally envisioned as a way to protect teachers from discrimination, today the “steps and lanes” scheme prevents schools from rewarding performance, attracting teachers to subjects with teacher shortages (like math and science), or distributing teachers to underserved schools. Indeed, education analysts Andrew Leigh and Sara Mead argue in their 2005 report “Lifting Teacher Performance” that adherence to “steps and lanes” has led to wage compression, which has in turn further deterred talented people from staying in the profession.

Still more worrisome is the fact that the human capital crisis seems to be greater than the sum of these individual parts. Currently, the teaching profession exhibits what labor economists call “adverse selection.” Teaching is an intellectually demanding profession, yet teachers are disproportionately drawn from the lower percentiles of standardized exams

like the SAT, ACT, and GRE. Moreover, according to the Department of Education, new teachers with higher SAT and ACT scores are more likely than low-scorers to leave teaching after a few years.

Research on the IQ of new teachers paints a similar picture. In *Improving America's Schools*, Richard Murnane of Harvard University writes that “in the late 1960s, college graduates with IQ scores of 130 were only slightly less likely to become teachers than graduates with IQ scores of 100. By 1980, a college graduate with an IQ score of 100 was more than four times as likely to become a teacher than was a graduate with a score of 130.”

Of course, neither a high IQ nor a good SAT score guarantees effective teaching. But teaching is intellectual work, and such evidence cannot be ignored. And, to be sure, there are many individual exceptions to these trends. But heartwarming anecdotes do not refute aggregate data.

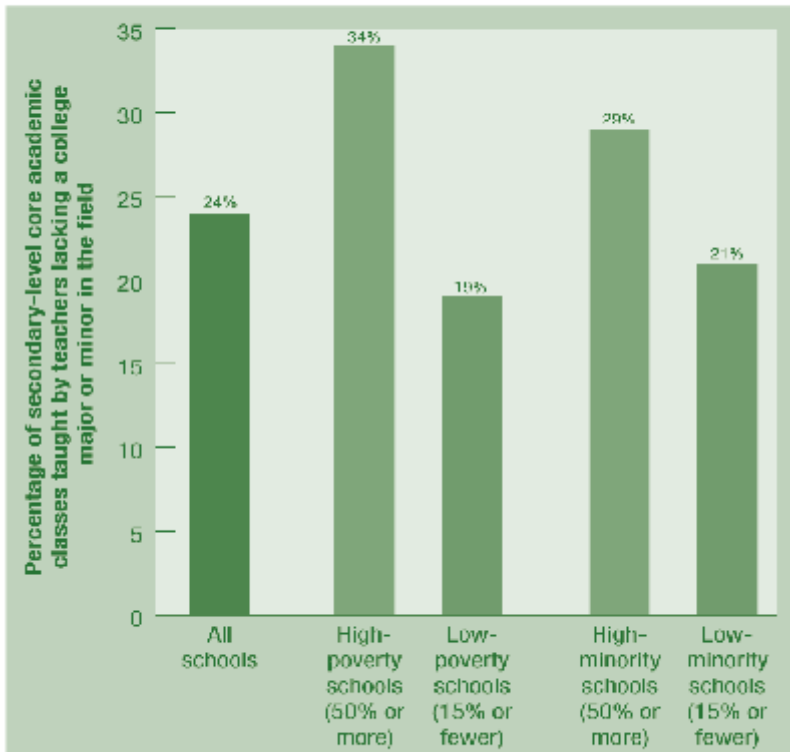
Another difficulty involves the massive expansion of the teacher work force. As Chester E. Finn Jr., the president of the **Thomas B. Fordham Institute**, recently observed, “During the past half-century, the number of pupils in U.S. schools grew by about 50 percent, whereas the number of teachers nearly tripled. Spending per student rose threefold, too. If the teaching force had simply kept pace with enrollments, school budgets had risen as they did, and nothing else had changed, today’s average teacher would earn nearly \$100,000, plus generous benefits. We’d have a radically different view of the job, and it would attract different sorts of people.” Instead,

With a growing emphasis on improving performance for almost all students, the challenges of teaching are steadily ratcheting upwards—and the work is becoming ever more difficult.

America has invested in *more* teachers rather than in *better* teachers. “When you employ three million people and you don’t pay very well,” continues Finn, “it’s hard to keep a field fully staffed, especially in locales (rural communities, tough urban schools) that aren’t too enticing, and in subjects, such as math and science, where well-qualified individuals can earn big bucks doing something else.”

At the same time, increasing demands have been placed on teachers. With a growing emphasis on improving performance for *almost all students*, the challenges of teaching are steadily ratcheting upwards—and the work is becoming ever more difficult. Teachers today are asked

More Classes in High-Poverty, High-Minority Secondary Schools Are Taught by Out-of-Field Teachers



Source: Reported in All Talk, No Action: Putting an End to Out-of-Field Teaching, Craig D. Jerald, The Education Trust, 2002.

to be more deliberate about their instruction, to analyze and apply extensive testing data, and to work with students who have an increasingly diverse array of needs.

“In recent years,” says Valleau (“Val”) Wilkie Jr., the executive vice president of the **Sid W. Richardson Foundation** in Fort Worth, Texas, “the mission of our schools has changed dramatically. Back when I was in school, at least half of my contemporaries didn’t get through high school. They dropped out, got a menial job or worked for a company like Ford Motors, earning a reasonable wage. Suddenly there’s a whole new mission for schools and teachers. Nowadays, they have to educate all children, and educate them well.”

Further compounding the human capital crisis is the fact that talent is not equitably distributed within the teaching force. Research compiled by the Education Trust shows that poor and minority students are less likely than other students to be taught by instructors with demonstrated subject-area expertise (please see chart on p. 24). In other words, the students who would most benefit from knowledgeable teachers are the least likely to have access to them.

Subject-area shortages are also concentrated. Some subjects enjoy an abundance of teaching candidates. But others—like math, science, foreign languages, and special education—suffer from chronic and acute shortages. The problem is not just that the nation produces too few exceptional teachers. The problem is also that it doesn't produce enough *in certain critical subjects*.

For grantmakers, these systemic human capital problems mean that there is often a lack of qualified candidates to implement much-needed improvements. The shortage of good teachers in low-income communities has hamstrung efforts to close the achievement gap. The shortage of math and science teachers has hampered attempts to improve performance in those subjects. And the shortage of good principals and administrators has impeded the expansion of high-quality new schools—both traditional public and public charter schools.

Toward the Future

Steven Seleznow of the Bill & Melinda Gates Foundation, the single largest donor to K-12 education today, says that addressing America's human capital challenge will be a key objective for the foundation's general education grantmaking. "The more we talked to our grantees, the more we heard them say, 'We need highly talented teachers,' or 'I must have better principals,' or 'I have to find more entrepreneurial leaders.' You hear it over and over: you can design the best reforms in the world, but if you don't have the right people, the results will always be suboptimal."

A New Approach

Effective Giving for Human Capital Improvement

For much of the 20th century, donors and grantmakers interested in education funded efforts that maintained and supported already-existing institutions, practices, and policies. To this day, many generous individuals and foundations continue to direct significant resources to such activities. They underwrite professional development programs, for example, or support conferences, or create teacher recognition awards.

It's easy to see the attraction of traditional giving. In general, it's uncontroversial; nobody in the field really opposes it because it does not fundamentally challenge the status quo. It's also safe. Unlike philanthropic investments that experiment with new ideas or institutions—and must therefore be open to the possibility of failure—such giving has very little downside risk.

The problem, however, is that these donations have an unfortunate tendency to bolster practices and institutions that require correction. “Most current education philanthropy is just dumping buckets of water into the ocean of public school spending,” says education analyst Jay P. Greene. Greene carefully studied K-12 philanthropic giving for 2002, and found that of the estimated \$1.5 billion that philanthropists gave to public schools, nearly 80 percent—some \$1.2 billion—was spent on what he labels “low-leverage activities.”

Today, however, many philanthropists and grantmakers are directly tackling the problems of American education by creating new institutions, offering new processes, and advocating new policies. What unites these donors is a sense of entrepreneurial possibility—and risk. Their work can be controversial. But it has the potential to turn around dysfunctional systems.

All in all, reform-oriented philanthropists are thinking creatively and devising new ways to improve public education in the United States. For donors interested in teachers and principals, the emphasis today is on performance, with clear goals and measurable outcomes.

Performance, Not Paper

Among educators, reformers, and donors, there are two basic schools of thought on how to increase the supply of good teachers and principals. One side emphasizes credentials; the other side emphasizes *performance*.

The “credential-based” approach considers education a vocation like law or medicine, with formal points of entry, canonical knowledge, and

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specialized skills honed through a course of professional development. The credential-based agenda draws upon the professional teaching standards movement of the 1950s. Advocates of a credential-based approach to human capital improvement would, in general, like to see:

- Increased formal education for prospective teachers and principals, with post-baccalaureate studies designed, mediated, and conducted by specialized university teaching faculties;
- Required accreditation from interstate professional organizations;
- Compulsory professional development courses for all practicing educators;
- Mandatory certification procedures to license educators to teach certain subjects;
- Higher teacher pay across the board; and
- A broad view of effective teaching, not limited to measured student performance.

The “performance-based” approach, however, considers education a profession like journalism or business, in which formal education is less important than verifiable results. While not denigrating credentials, advocates of a performance-based approach are much more interested in demonstrated effectiveness. They usually call for:

- Reduced formal education requirements, in exchange for an increased emphasis on subject-area expertise;
- Lowered barriers to entry wherever possible, in order to expand the pool of prospective teachers and school leaders;
- Alternative forms of training and licensing for teachers and principals;
- Greater flexibility for local administrators to hire and fire personnel as they see fit;

- Differential compensation, with financial incentives tied to improved results; and
- A view of effective teaching that links directly to student performance.

It should be noted that these are not absolute or exclusive agendas. Some proponents of the performance-based agenda support professional development for teachers, for example, while others in the credential-based camp support differentiated pay schemes.

Nevertheless, there are a number of organizations that have clearly identified themselves with one approach or the other. Supporting the credential-based approach are large institutional actors like the **American Association of Colleges for Teacher Education**, the **National Council for Accreditation of Teacher Education**, the **National Education Association**, and the **National Commission on Teaching and America's Future**.

Organizations that advocate the performance-based approach include the Thomas B. Fordham Institute, the **Progressive Policy Institute**, the Education Trust, and the **National Council on Teacher Quality (NCTQ)**.

Donors should understand that those backing the credential-based agenda are likely to have constituencies ready and willing to protect their institutional privileges. Donors interested in higher-leverage giving are likely to face resistance—particularly when it comes to public policy advocacy.

Five Strategic Priorities

Philanthropists interested in dramatically improving the quality of America's teachers and principals should concentrate on five strategic priorities: attracting new talent, reforming teacher and principal training, distributing personnel where they are most needed, restructuring incentives to reward excellence, and investing in research and policy advocacy.

Each of the first four priorities mirrors a critical juncture in an educator's career, a point at which a concern for potential or performance will yield real dividends. These are the junctures where strategic investments can do the most to help identify promising candidates, train them effectively, distribute them where they are most needed, and motivate them for excellence. (The final priority, meanwhile, pertains to factors that impinge on the work of every educator: knowledge of best practices and creating a hospitable policy environment.) Donors large and small can leverage significant changes at these decisive moments, either by investing in direct programs or in efforts to change public policies.

- **Attracting new talent to education:** We know that schools must do a better job of getting outstanding teachers into classrooms and exceptional principals into schools. Teaching and school leadership need to be marketed as attractive options for talented undergraduates and mid-career professionals. Recruiting new talent will be greatly facilitated by lowering barriers to entry that are not directly associated with effectiveness or quality, a task that requires simplifying the credentialing process for new teachers.
- **Reforming teacher and principal training:** Conventional teacher preparation programs currently consume enormous resources in exchange for marginal results. Training for principals is, if anything, even less effective. Reform is desperately needed. Some promising new organizations are experimenting with mission-focused residential programs, where hands-on training takes place where it counts: in the classroom.

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- **Distributing educators where they are most needed:** It is a perverse if unsurprising fact that the best-qualified teachers and principals are too rarely found in the most challenging schools—which is precisely where they are needed most. It is important to increase the supply of outstanding educators in underserved rural and inner-city school districts, and in hard-to-staff subjects like math, science, and special education. Toward that end, the right incentives can help the right people find their way to the right places.
- **Restructuring incentives to reward excellence:** In America's public schools, the evaluation and compensation of educators is

These are the junctures where strategic investments can do the most to help identify promising candidates, train them effectively, distribute them where they are most needed, and motivate them for excellence.

almost entirely unrelated to any meaningful measure of their effectiveness. As a result, other things being equal, a school's worst teacher makes the same salary as its best teacher. This needs to change. Compensation should reflect an educator's performance or potential, and a variety of efforts are underway to develop fair and effective ways to link teacher pay to student performance. These reforms will also help

attract more high-performers to education, and can encourage them to teach in the toughest schools.

- **Investing in research and advocacy:** When it comes to strategies for alleviating the human capital crisis in education, there is still a great deal that donors, educators, and reformers do not know. What characteristics are predictive of success as a teacher? What are the best measures of teacher effectiveness? How can systemic bottlenecks be removed to get the best teachers where they are most needed? What models of professional development contribute the most to student achievement? All of these questions, and many more, require much closer investigation.

At the same time, the evidence already points to some common-sense reforms that would benefit students. To help effect these reforms, many donors turn to policy advocacy in order to achieve systemic change. These are relatively high-risk philanthropic invest-

ments, but they also hold the promise of extremely high returns. After all, changes in educational policy can instantly affect millions of students, teachers, and administrators—for good or for ill.

The problems facing American public education are many, deep, and widespread. But the abundance of problems creates an abundance of opportunities. There is work to be done by foundations large and small, working independently and working collaboratively, funding direct operations and funding policy advocacy. Many of the initiatives highlighted in this guidebook involve new organizations, but some are new approaches taken up by established groups. The common threads tying together these promising ideas are an entrepreneurial spirit, a willingness to innovate, and a relentless focus on demonstrably improving student achievement. The ideas and initiatives described here are not meant to be an exhaustive roster of promising human capital initiatives. Instead, they intend to highlight the innovative work and ambitious ideas that imaginative grantmakers across the country are pursuing.

Attracting New Talent to Education

Building the Talent Pipeline

In 1969, frustrated with a pair of ill-fitting jeans, Donald (“Don”) Fisher decided to open his own retail-clothing shop. When he and his wife, Doris, retired from the business 34 years later, their company had grown from a single store in San Francisco to a world-famous brand with 4,000 outlets and \$16 billion in annual sales. Having stepped down as chairman of Gap, Inc., Don Fisher consulted with Doris and made another career decision. The couple would now dedicate themselves entirely to philanthropy.

The Fishers knew they wanted to improve the state of American public education. What they needed was a great idea, a model that clearly worked. Once they had that, they planned to scale it, to grow it from the ground up, just as they had with the Gap. The Fishers were patient. In 2000, after a year of looking and waiting, they caught an episode of *60 Minutes* featuring Houston’s Knowledge Is Power Program (KIPP). They knew right away that they had found what they were looking for. Soon thereafter, they became the program’s primary benefactors, helping grow KIPP from two schools into a nationwide network of high-performing public charter schools.

The Fishers have donated over \$50 million to fuel KIPP’s growth since 2000. But they have given more than money to the effort. Don Fisher also gives his time and expertise, serving as the chairman of KIPP’s board. Today KIPP runs 65 schools in 19 states and the District of Columbia. Over 16,000 students attend KIPP schools. Fisher expresses enthusiasm for the organization’s potential and its plans for expansion in the coming decades.

But the Fishers noticed that KIPP could only build new schools as fast as it could find fresh talent to staff them. And they couldn’t help but notice that nearly two-thirds of KIPP’s principals and 40 percent of its teachers came from an organization called Teach For America (TFA). They saw their opportunity. If they wanted to build a talent pipeline for KIPP, the best place to start was with TFA. So the Fishers made a \$10 million challenge grant to TFA, aiming to more than triple the size of its teaching corps in five years.

TFA is the brainchild of Wendy Kopp. While an undergraduate at Princeton, Kopp had an idea: she was going to organize a new cadre of elite young educators who would sign up for a two-year commitment to teach in the nation’s worst public schools. Her senior thesis, once patronized as youthfully unrealistic, has grown today into the best-

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known, and arguably most influential, human capital reform in American education. With over 6,000 corps members nationwide—and plans to expand to 8,000 by 2010—TFA takes outstanding college graduates and places them in the country’s most demanding classrooms.

TFA’s astonishing success with recruiting new teachers is a testament to the power of cachet. While many school districts are happy just to get warm bodies, TFA relies on a rigorous screening and interview process to select its teachers. Its slots are highly competitive; only about one in six applicants is accepted into the program. Good grades at an impressive alma mater are not enough to secure a position with TFA—the program also screens for characteristics like tenacity and commitment. Given its exclusive profile, TFA has raised the stature of primary and secondary education

The Fishers noticed that KIPP could only build new schools as fast as it could find fresh talent to staff them.

among America’s most talented undergraduates. Indeed, in reference to the highly prestigious consulting firm, TFA is often referred to as the “McKinsey of education.” But perhaps TFA’s greatest impact has been its alumni: almost 20,000 strong, with firsthand experience in the nation’s most challenging schools, who are now moving into leadership roles both inside and outside the field of education.

TFA’s newly minted teachers now reach some 440,000 students in low-income communities nationwide. A 2004 study by **Mathematica Policy Research**, an independent research organization, found that “students of TFA teachers outscored a randomized control group of non-TFA teachers’ students by three percentile points on the math portion of the Iowa Test of Basic Skills.” (On the reading portion of the test, however, test scores for TFA students were “nearly identical to that of control students.”)

In March 2008, the **Urban Institute** released further research on the classroom performance of TFA teachers. Titled *Making a Difference? The Effects of Teach For America in High School*, the study was conducted by Zeyu Xu, Jane Hannaway, and Colin Taylor. It found greater evidence of robust achievement gains among the students of TFA teachers. “On average,” the authors write, “high school students taught by TFA corps members performed significantly better on state-required end-of-course exams, especially in math and science, than peers taught by far more experienced instructors. The TFA teachers’ effect on student achievement in core classroom subjects was nearly three times the effect of teachers with three or more years of experience.”

Moreover, the program has had a considerable secondary impact within the field of education. According to a 2006 study conducted by Bridget Kelly for **Education Sector**, 60 percent of TFA teachers stay in education after their two-year commitment ends.⁴ All over the field, from classrooms to principals' offices, from nonprofits to city halls, the influence of TFA is manifestly visible. Says KIPP co-founder Mike Feinberg, himself a TFA alumnus, "No one has done more for creating quality human capital within public education than Teach For America."

Talk with any of your friends who know education reform, and they will tell you that wherever there is good work going on in education reform today, you will find people from Teach For America. It's just that simple. Whether it's KIPP, award-winning districts, high-performing charter management organizations, progressive foundations, or exceptional leaders in school systems and advocacy organizations throughout the country—so many of the inspiring young people you come to know in this field were spun out from this pipeline. TFA is going to be—it already is—essential to the transformation of education in this country.

*James H. Shelton III, program director for education,
Bill & Melinda Gates Foundation*

"Teach For America's growth and success," says Fisher, "is critical to the growth of other educational reform efforts, including the charter school and small schools efforts." The sentiment is shared by many other grantmakers, and TFA has attracted substantial backing from a number of other major donors, including the Michael & Susan Dell Foundation, **The Eli & Edythe Broad Foundation**, and the **Robertson Foundation** of New York. All of these donors understand that, if broader improvements are to be made, there is a pressing need to bring highly talented young people into education. But smaller donors also play a vital role. According to Kopp, large donors are crucial in supporting TFA's expansion and impact, but "ongoing support from smaller foundations is key to maintaining our presence in many communities." Indeed, when TFA decides on new worksites for its teachers, a major factor is the support shown by smaller, local philanthropists.

4. In the interest of full disclosure, the author of this guidebook is the co-founder and co-director of Education Sector and oversaw the production of this report.

Donor Spotlight: The Boettcher Foundation

Not all foundations have the national reach of a Gates, Fisher, or Broad, but regional foundations can still create innovative and effective teacher training programs. Take the Colorado-based **Boettcher Foundation**, for example.

“We’re good at investing in high-potential individuals,” says Timothy Schultz, president of the Boettcher Foundation. Over the past 50 years, the foundation, with assets of \$270 million, has awarded over \$50 million in full college scholarships to Colorado’s most promising high school graduates.

Four years ago, at the 50th anniversary of the Boettcher Scholars Program, Schultz presented the board with a couple of questions. “What do we want our legacy to be?” he asked. “What will make a lasting difference 50 years down the road?”

The board took the issue seriously. It explored areas where it felt Boettcher might have the greatest impact, including health care and the environment. But the board kept returning to education. As Schultz explains, “Philanthropists shouldn’t move away from what they feel is right. If education is your passion, and if you really want to improve education, then the place to start is with teachers and principals.”

Building on decades of experience in selecting merit-based scholars, the Boettcher Foundation decided to create a program to train and deliver the best teachers to the neediest urban classrooms in two nearby school districts. In 2004, the foundation convened a group of top experts, school leaders, and business partners. Within a year, it developed and launched the **Boettcher Teachers Program (BTP)**, a residency-based teacher training program that combines traditional and alternative graduate-level teacher education.

BTP selects 20 fellows annually—approximately 10 percent of applicants—to teach for five years in Colorado’s most challenging urban classrooms. First-year fellows complete a year-long urban teaching residency with a master teacher, during which the foundation pays each resident a \$10,000 living stipend and covers the cost of a master’s degree at the University of Denver. For the remaining four years of the program, the fellows work as full-time teachers, receiving ongoing mentoring and coaching support while meeting frequently as a group. If a fellow leaves the classroom before completing the full five-year commitment, he or she is required to pay back a portion of the cost covered by the foundation.

The foundation hopes that, through excellent training and continuing support, the Boettcher Fellows will remain in the teaching profession. Anecdotal evidence suggests that these fellows are making a posi-

tive impact on their students' achievement and their schools' cultures—and superintendents and principals are seeking out BTP Fellows for their schools. “If we can prove our model works,” says Schultz, “then we hope others will follow in creating similar programs.”

Challenges facing the program include recruiting top-notch applicants, navigating the bureaucracy of alternative certification requirements, and the expense. The foundation currently invests \$1 million per year in the program and has just agreed to extend its commitment through 2013.

The Boettcher Foundation has also sought and found willing partners to help operationalize the program. “Everyone sees it as a win-win for them,” says Schultz. “The districts are very excited about the quality of the new teachers, and they are learning from this program how they can better train their own teachers. Businesses see BTP as a great way to impact K-12. Universities see it as a new and creative way to instruct teachers. As donors, we see a tremendous leveraging opportunity here. Every teacher touches a lot of kids. Add that up over a career, and you’ve made a huge difference.”

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From Madison Ave. to the Classroom: The New Teacher Project's smart recruitment strategy

For almost two decades, TFA has incubated a new generation of leaders in education reform. One of the most impressive examples of TFA's secondary impact in human capital reform has been **The New Teacher Project (TNTP)**. Michelle Rhee, another TFA alumna, founded TNTP in 1997. As its name suggests, TNTP's foremost concern is the recruitment of outstanding new teachers.

TNTP addresses education's human capital challenge from two directions simultaneously. It undertakes substantial programmatic work, with intensive recruitment efforts aimed at getting top-flight talent into the classroom. At the same time, it is deeply engaged in analysis and research, conducting rigorous studies to guide policymakers. (For more information on TNTP's work on research and analysis, please see Chapter VIII.) By the time Rhee left TNTP in 2007—she was appointed chancellor of the District of Columbia public schools—it had grown into an organization with more than 130 employees and a budget of \$17 million.

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TNTP is nationally recognized for its effectiveness in recruiting promising prospective teachers and getting them into hard-to-staff subjects and underserved schools. Its success owes largely to its carefully orchestrated advertising campaigns, which are targeted at mid-career professionals looking for a change of pace. Every winter in New York City, for example, TNTP launches a massive advertising blitz. Buses and

subways across the city are plastered with punchy ads and messages like: “You remember your first grade teacher’s name. Who will remember yours?” These campaigns are locally sensitive—outside of New York, TNTP advertises much less on public transportation—but all of them share a common goal of recruiting leaders with a strong sense of responsibility and adventure.

The advertisements also underscore the exclusivity of the program. Since 2000, TNTP has received over

185,000 applications for its Teaching Fellows programs. As a result, TNTP can be highly selective. In 2007, the average acceptance rate was only about 15 percent; in 2006, its **New York City Teaching Fellows** program processed almost 20,000 applications for 1,850 positions.

The results have been remarkable. In New York City, TNTP has placed more than 8,000 teachers in the city’s schools, where today *one in ten teachers* is a Teaching Fellow. In Washington, D.C., TNTP has produced almost 600 new teachers. TNTP Teaching Fellows tend to have better-than-average GPAs and SAT scores, and TNTP has been unusually successful in attracting persons of color as well as math and science teachers. TNTP’s results buck the notion that people don’t want to teach in urban school systems. They have instead shown how an aggressive, carefully crafted recruitment campaign can attract tremendous talent to the country’s most troubled schools.

Philanthropic investment has been indispensable to TNTP’s success—not only for funding direct operations, but also for creating partnerships. In Memphis, for example, a major grant from the **Hyde Family Foundations** enabled TNTP to help reform the school district’s human resources department. TNTP undertook its customary work with recruitment, more than tripling the number of applications, quadrupling the number of advanced degree applications, and attracting sig-

TNTP’s results buck the notion that people don’t want to teach in urban school systems. They have instead shown how an aggressive, carefully crafted recruitment campaign can attract talent to the country’s most troubled schools.

nificantly more teachers to hard-to-staff subjects. But Hyde also supported a serious effort to improve the school district's personnel administration. TNTP improved and simplified human resources practices, built customized and technology-based human resources solutions, and created an accountability framework for hiring teachers and principals.

Teachers (Also) Wanted: Parochial and pre-K

It's not only public schools that are faced with recruitment challenges. Parochial schools and public pre-Kindergarten programs are also having difficulty finding and keeping the teachers they need. It's a problem that the **Alliance for Catholic Education (ACE)** prays it can remedy.

Every year, ACE selects 85 students (from approximately 400 applicants) for a two-year fellowship program. Candidates gather at the University of Notre Dame for an intensive summer session, after which they teach in under-resourced Catholic schools for a year. They return for a second summer at Notre Dame, where they complete the

Parochial schools and public pre-Kindergarten programs are also having difficulty finding and keeping the teachers they need.

coursework for a master's degree, and then close out their fellowship with a second year of teaching. For the past 14 years, the program has seen 70 percent of its teachers remain in education. Its success has led ACE to open a program to train principals for Catholic schools.

A second effort to help staff inner-city Catholic schools began in 1991, when Patrick ("Pat") Ryan Jr. funded the **Inner-City Teaching Corps (ICTC)**. ICTC runs the Volunteer Teacher Corps, a two-year program for outstanding college graduates who want to teach in the Archdiocese of Chicago's poorest schools. Since then, ICTC has grown substantially. Today, the organization manages UNITE (a one-year teaching program for mid-career professionals), the Alain Locke Charter Academy (a high-performing charter school in Chicago's historically underserved East Garfield Park neighborhood), and the Family Resource and Learning Center (a program offering a broad array of free marriage and family counseling). All of these initiatives—but especially the Volunteer Teaching Corps and UNITE—combine rigorous screening and placement with ongoing training and support.

Donor Spotlight: Thomas Larkin takes on the human capital challenge in Catholic schools

Thomas Larkin believes in the value of Catholic education. A graduate of the University of Notre Dame, Larkin went on to help found the Trust Company of the West. His success has led him to a second career in philanthropy, where he and his wife, Margaret, seek to expand access to quality education for underserved children. As he surveyed the struggling public schools of Los Angeles, Larkin increasingly came to see the city's Catholic schools as the best immediate resource for poor families who wanted their children to receive a good education.

But Larkin soon came to appreciate that Catholic schools need fresh talent every bit as much as public schools. The difficulty brought him to the Alliance for Catholic Education (ACE) at Notre Dame. He now helps fund ACE's teacher training program. "The schools ACE serves are principally in the inner cities. Those schools are getting great teachers at a great price," says Larkin. He adds that the majority of ACE teachers remain in Catholic schools, and that the program's success has led other universities to replicate it.

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A final example of reformers working alongside traditional K-12 public education can be found in Washington's **CityBridge Foundation**. CityBridge was founded by David and Katherine Bradley. David is the founder and former owner of the Advisory Board Company and the Corporate Executive Board, two Washington, D.C.-based consulting companies; he currently owns Atlantic Media Company, the publisher of several high-end magazines including *The Atlantic*, *National Journal*, *Congress Daily*, *Government Executive*, and *The Hotline*. Today, CityBridge is trying to improve K-12 education through an experimental program to provide high-quality early childhood education.

Among CityBridge's top priorities is human capital development, and the foundation has recently collaborated with Teach For America to create TFA's first structured pre-K pilot program. It began operations in 2006 with 12 TFA teachers; by 2007, 14 more teachers were added in Washington, with 126 more teachers placed elsewhere around the country. CityBridge has since partnered with Georgetown University to create an institute for offering high-quality training to early-childhood teachers.

Leading the Leaders: Finding and developing excellent principals

It's quite an accomplishment to found a Fortune 500 company. Most people would be very pleased. Well, Los Angeles businessman Eli Broad has created *two*: SunAmerica and KB Home. Suffice it to say, Eli Broad knows a thing or *two* about management.

Broad's philanthropy takes its cues from his business experience. In both endeavors, he pays scrupulous attention to institutional management and leadership. "We focus on district-level investments," says Broad. "After studying K-12 public education, I am convinced change starts at the top. I believe a new generation of leadership from outside the bureaucratic environment of the public schools will bring marked improvement in student achievement. A talented senior management team can make a profound difference in turning a school system from a lackluster bureaucracy into a high-performing public enterprise."

Committed as he is to excellence in management, Broad has founded a number of initiatives dedicated to the recruitment and training of school leaders. **The Broad Institute for School Boards** offers an intensive two-year, invitation-only, training, development, and consulting program for urban school board members. **The Broad Superintendents Academy**, meanwhile, offers a rigorous 10-month training program geared towards executive-level leadership in the public school system. But the longest and most intensive program is **The Broad Residency in Urban Education**, a two-year management development program for early- and mid-career professionals eager to assume leadership roles in urban public schools.

There is widespread interest among up-and-coming executives in applying their management skills to the field of education—and The Broad Residency has proven it. Over the last two years, more than 2,500 leaders from the private, public, and nonprofit sectors have applied for the program—and only 3 percent have been accepted.

The Broad Residency immediately places its candidates into full-time management positions in urban school districts. They report directly

"After studying K-12 public education," says Eli Broad, "I am convinced change starts at the top. I believe a new generation of leadership from outside the bureaucratic environment of the public schools will bring marked improvement in student achievement."

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to the district superintendent or executive cabinet leaders in the district—in the case of charter schools, they report to the equivalent figures within the charter management organization—and take professional development courses for the duration of their two-year residency. Upon graduation, it is expected that candidates will be hired by the districts they served. To date, The Broad Residency has placed over 100 leaders into more than 35 urban school districts. Nineteen out of 20 alumni—a full 94 percent—continue to work in education.

The management programs created by Broad neatly reflect their founder's expertise and interests. Broad has also been instrumental in launching New Leaders for New Schools, a nonprofit that trains

There is widespread interest among up-and-coming executives in applying their management skills to the field of education.

promising candidates to become urban principals. New Leaders was co-founded by Jon Schnur, an education policy expert who served at the Department of Education and in the Clinton White House. In less than a decade, New Leaders has already placed reform-minded principals and school leaders in over 500

inner-city schools nationwide, and is playing an active role in reform efforts in New Orleans.

The creation of New Leaders illustrates a particularly creative way to launch new education reform efforts. Two venture philanthropies—NewSchools Venture Fund and **New Profit, Inc.**—helped support New Leaders with techniques borrowed from the world of venture capital. The funders provided resources to underwrite New Leaders' startup costs, and in return received seats on the New Leaders board to keep an eye on and support their philanthropic investment. The early funding allowed Schnur and his partners to focus on launching a successful organization rather than on fundraising.

Foundations often work with New Leaders because they see better principals as a high-yield investment: a great principal can improve dozens of teachers and hundreds of students. One such organization is the Hyde Family Foundations, which partnered with New Leaders to improve the school leadership in Memphis. Teresa Sloyan, executive director of the foundations, likes that New Leaders “was a comprehensive program, with residents making a long-term commitment. Its curriculum had a laser-like focus on instructional leadership and student achievement. We like the year-long residency under outstanding mentor principals. We mark our fifth year of working with New Leaders in the

fall of 2008, and we've trained 48 people to go into the principalship." Those 48 candidates were selected from a pool of 571 applicants, for a selection rate of 8 percent. Moreover, the New Leaders partnership allowed Hyde to take a more long-term view. "We can really take this to scale and we can create systemic cultural change," Sloyan observes. "Our work with New Leaders has allowed us to train 48 new leaders for the future, which is more than one-fourth of our overall labor force. Over time, it gives us the ability to be very innovative."

Beyond Teachers and Principals

In education, discussions about human capital usually center on teachers and principals—but they shouldn't end there. School districts and non-profits have a tremendous and growing need for talented people to take over the executive "c-roles": chief executive officer, chief financial officer, and chief operating officer.

Education Pioneers, like the Broad Superintendents Academy, is an organization dedicated to attracting and developing executive-level educational leaders. Founded in 2004, Education Pioneers runs fellowship programs in San Francisco, Boston, Los Angeles, New York, and Washington, D.C. These fellowships attract graduate students in education, law, business, and public policy, and allow them to work hands-on in education reform organizations. Upon completing the program, participants are expected to be ready to step into advanced roles. The program will graduate 175 promising leaders in 2008, and to date more than 60 percent of Education Pioneers alumni remain in the field after graduation. Major funders of the initiative include the Michael & Susan Dell Foundation, The Broad Foundation, and the **Draper Richards Foundation**.

Several organizations are working to cultivate talent elsewhere in the field of education. In Indianapolis, **The Mind Trust** offers fellowships for innovators to develop the next generation of education reform ideas. In Washington, D.C., the Fordham Institute runs a fellowship program that connects aspiring educational policy analysts with advocacy and research groups. In Manhattan, the **Hechinger Institute on Education and the Media** teaches journalists how to cover the education field.

Successfully training executives for the education sector is not too different from successfully training teachers and principals. Excellence in each field relies on three basic elements. Both require a careful selection of candidates, with close attention paid to potential and performance. Both need ongoing support to help candidates grow professionally. And both need sufficient resources to keep promising candidates within the system.

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Not all donors have the resources to create a full-scale teacher preparation program, but they can nevertheless help leverage significant reforms. A foundation can establish a smaller-scale teaching fellowship program, for instance, or it can partner with organizations like New Leaders to train great principals. Groups like TFA, TNTP, and New Leaders incur relatively mundane but absolutely essential costs, like office space and staff salaries. Helping underwrite these necessary but less-than-glamorous expenses is engaging in high-leverage (if low-key) giving. And it's a worthwhile contribution for philanthropists and foundations of any size.

Donor's Story

Charity Begins at Home: Hyde Family Foundations Bring the Nation's Best to Memphis

A number of foundations and philanthropists restrict their giving to a specific geographic region. Such is the case with the Hyde Family Foundations, which focus their philanthropic investments in Memphis, Tennessee.

The Hyde family has deep roots in the city. Joseph Reeves Hyde Sr. left Chattanooga at the turn of the 20th century because he had heard “Memphis was a good place for a young man in search of a career.” In 1907, he founded Malone and Hyde, which grew into the nation’s third largest wholesale food distributor by the close of the century. His grandson, J. R. Hyde III, in turn established AutoZone in 1979, and grew the company from three stores in two states to over 4,000 stores in the United States, Mexico, and Puerto Rico.

Improving the Memphis public schools has long been a concern of the Hyde Family Foundations. “Any measurement of a healthy city always comes back to schools,” says Teresa Sloyan, executive director of the Hyde Family Foundations. “If you really want to impact all of the major indicators in a city—health, safety, business—you have to focus on education.”

The Hyde Family Foundations centered their attention on human capital issues, especially school leader development. “One thing that has really evolved over the last few years is our interest in leadership, which has been a key driver to improving education in our city,” she notes. “We decided to focus on principals, because at the time 57 percent of our principals were at, or nearing, retirement age.” That decision led Sloyan to New Leaders for New Schools, an organization specializing in cultivating school leaders.

“We learned that New Leaders was going to add another city to its portfolio,” Sloyan recalls. “In collaboration with other civic partners, we saw a real opportunity for Memphis. We convened multiple civic partners in the community, including the schools, the public education fund, the other local foundations, and the higher education community.” From that union the **Memphis Alliance for School Leadership** was born.

■ *Achieving Teacher and Principal Excellence*

The Memphis Alliance marks its fifth year of partnership in the fall of 2008, and has so far trained 48 principals. But the work had broader implications. Sloyan acknowledges that “New Leaders really opened our eyes to looking at the entire area of human capital. Once we have a successful leader, their success is dependent on the quality of instructional leadership in the classroom. That made us think about how to recruit and develop teachers. As a result, we partnered with The New Teacher Project and the district to streamline the hiring and recruitment process for teachers.” Meanwhile, the Memphis Alliance also succeeded in bringing Teach For America to the city.

Soon thereafter, the Memphis public schools saw an increase in the number and quality of applicants for teaching positions in the city’s schools. “We doubled the number of applicants with experience,” Sloyan observes, “and quadrupled the number of applicants with advanced degrees. We were really able to see a great increase in the number of qualified applicants in math and science.”

Throughout their efforts, the Hyde Family Foundations played pivotal roles as both funder and convener. “We introduced these organizations to the district,” says Sloyan, “and helped put together some of the private funding necessary to bring the initiatives to town.” “Our role,” she concludes, “has been that of a funder, to be sure. But, more than that, we’ve been an active participant and collaborator in driving forward the work in Memphis.”

Reforming Teacher and Principal Training

Deepening the Talent Pool

One evening, a few years back, Norman Atkins and David Levin were having a beer and talking shop. Atkins is the founder of **Uncommon Schools**, a highly regarded network of charter schools based in New York and New Jersey; Levin is a TFA alumnus and the co-founder of KIPP. Their conversation kept returning to the problem of how to scale up their organizations without compromising quality. “We realized,” says Atkins, “that we both were waking up at 3:00 a.m., wondering where we were going to find nearly enough good teachers.”

The problem was supply—and it was compounded by the fact that neither Uncommon Schools, nor KIPP, nor any other high-performing charter school network wanted to cannibalize each other’s stock of teachers. “We didn’t want to fight over fewer and fewer people,” Atkins recalls. “We decided instead to deepen the talent pool, so we could all get stronger and better. We felt that approach was key to getting more high-quality schools for low-income kids.”

Atkins and Levin discussed the question with Dacia Toll, the co-founder and co-CEO of **Achievement First**, another network of exceptional public charter schools that wanted to participate in the venture. The three school leaders understood that deepening the talent pool would require improving teacher training. Research indicates that today’s conventional training programs add little (if anything) to actual classroom performance. In addition, the coursework at existing colleges of education is frequently not aligned with the practices that make schools like theirs successful. Nevertheless, teachers are required by state and federal law to take at least some education coursework to obtain or maintain their credentials—even those coming through alternate routes such as Teach For America.

Atkins, Levin, and Toll faced a decision. Should they rail against the inadequacies of the colleges of education, in the hope of shaming them into reform? Should they try to construct a new college of education, circumventing existing programs altogether? Or should they work with a specific college of education, devising a curriculum based on their own best practices and taught by smart, experienced fellow educators? They settled on the latter. They would work to build a new training program within an existing institution.

■ *Achieving Teacher and Principal Excellence*

That decision was made much easier once they found a willing partner in David Steiner, dean of the education school at New York's **Hunter College**. Steiner is widely known as a reformer—and something of a maverick. The dean, Atkins explains, was “waiting with open arms for a program like this: innovative, rooted in effective practice, but part of a traditional graduate school.” Steiner, Atkins, Levin, and Toll put their heads together and came up with a plan for a new teacher training program at Hunter. The three organizations founded a new nonprofit, **Uncommon Knowledge and Achievement**, which has in turn partnered with Hunter College to establish Teacher U, which trains teachers for KIPP, Uncommon Schools, and Achievement First. Teach For America has since partnered with the project, as have a number of out-of-network charter schools. In partnership with the Department of Education, Teacher U also aims to add Teaching Fellows in the near future.

A critical outcome measure for a school of education is the value-added its graduates can generate in the classroom. Do the graduates of that school actually raise academic achievement levels in the classrooms in which they teach?

Atkins, Levin, and Toll had tackled the first problem: they were now paired with an established college of education. Now they were faced with a second question. How could they be absolutely sure that the Hunter College initiative would actually be

an improvement on traditional schools of education?

First and foremost, they decided to link the teaching degree to actual student achievement. All candidates in Hunter College's Teacher U program would have to demonstrate real value-added teaching gains before they could receive their degrees. “Let me suggest a very simple criterion for supporting teacher preparation,” says Steiner. “Does the program use any kind of meaningful outcome measure for its graduates? I would argue that a critical outcome measure for a school of education is the value-added its graduates can generate in their classrooms. Do the graduates of that school actually raise academic achievement levels in the classrooms in which they teach?”

It is a question that Teacher U takes very seriously—so seriously, in fact, that in order to graduate from the teacher preparation program, candidates must have already demonstrated added value in a classroom. As Steiner explains, “Our joint commitment is to design a program in which candidates will not be able to get a degree unless they have demonstrated—based on their students' tests and concrete performance measures—the ability to produce strong academic achievement gains in their class-

rooms during the two years that they are a part of the program.”

But Steiner is also concerned with ensuring that program participants get all the help they need. The program will use extensive videotaping of teachers in the classroom from which shorter clips will be collected to focus on particular teaching challenges. These clips—placed in a digital library and fully indexed—will be used as case studies throughout the master’s program. “You actually watch the clips and you see the behavior,” says Steiner. “We can stop the tape and say: ‘What would you do?’ And we do it in the company of highly effective teachers and principals. That’s how seriously we take this.”

Atkins, Levin, Steiner, and Toll now had a program. But there was one final issue: funding. The initiative would be expensive. The city was willing to provide some public funds in exchange for including traditional public school educators in the program—but additional support would still be necessary to get the program up and running.

That’s where Larry and Amy Robbins came in. Larry is the founder and CEO of Glenview Capital Management; Amy, a committed education philanthropist. (As Larry told a reporter from the *New York Sun*, “My parents taught us the power of education. My wife taught me the time to give back is now.”) The Robbinses are major supporters of KIPP schools in New York City and are deeply familiar with the difficulties of finding and training great teachers. The Hunter College initiative struck them as a sound philanthropic investment. They pledged \$10 million.

Impressed by the Robbinses’ commitment, the **Robin Hood Foundation** took the next step in helping move the Teacher U program forward. The foundation hosts a major fundraising benefit every year in Manhattan; in 2007, it shattered records, raising \$72 million in one night. (Amazingly, within the first three minutes of the ceremony, founder and hedge fund manager Paul Tudor Jones managed to secure 23 separate \$1 million commitments from 23 different attendees.) Donors were clearly excited about the innovative experiment in K–12 human capital: about \$20 million of the funds raised by Robin Hood at the 2007 fundraiser were directed towards the Teacher U program at Hunter. David Saltzman, executive director of Robin Hood, thought it was a relatively easy sell: “This is one of the most exciting projects we’ve ever been involved in.”

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The project was a good fit for Robin Hood, which works to reduce poverty in New York City. Education is a core component of Robin Hood's work. The foundation has long supported KIPP and Uncommon Schools, and was a major player in getting Achievement First to expand into New York City. Addressing the human capital challenge through teacher training was a logical next step. "Those

Once fully operational, Teacher U will immediately have a broad impact on New York's children: each cohort of 500 teachers could reach up to 50,000 students per year.

three organizations have done an outstanding job recruiting and training teachers," says Saltzman. "If they could train hundreds a year, they could fill their schools and scale up their work."

Robin Hood found other ways to help. As the project moved forward, the foundation's staff traded ideas with the initiative's staff—an

interaction greatly facilitated by the fact that Robin Hood provided office space for Achievement First and Uncommon Schools. "It was a real partnership, not just a grantmaker relationship," says Saltzman.

The Hunter College program started with a pilot cohort of 40 charter school teachers in the summer of 2007. In the summer of 2008, the program will expand with 125 new teachers and gradually ramp up to full capacity. Ultimately, Hunter could enroll as many as 1,000 candidates working through its two-year training program. (Joel Klein, chancellor of New York City's public schools, recognized the potential of the new training route and offered to supply up to two-thirds of the teachers for the program.) Once fully operational, the program will immediately have a broad impact on New York's children: each cohort of 500 teachers could reach up to 50,000 students per year.

The Hunter College training program is poised to benefit the students of New York City, and an initiative like this has the potential to expand to many other communities. Donors may wish to replicate the initiative in other cities, or they may want to collaborate with the organizations already at work in New York. Either way, there are many possibilities to extend the basic idea in new and exciting directions.

Lemons into Lemonade: Incentivizing reform in education schools

In December 2007, the **Woodrow Wilson National Fellowship Foundation** launched a \$17 million effort to transform teacher education and attract top talent to teach in high-poverty schools. Based in Princeton, New Jersey, the Woodrow Wilson Foundation administers a variety of academic fellowship programs, in fields ranging from foreign affairs to conservation to religion and ethics. It has also had a sustained interest in improving teaching—not surprisingly, given its namesake’s career in education.

The Woodrow Wilson Foundation confirmed that longstanding interest in education in the summer of 2006, when it named Arthur Levine, the former president of Teachers College at Columbia University, as its new president. Levine has long been a vigorous critic of traditional teacher-preparation programs. He is now in a position to push for systemic reform.

To that end, Levine is trying to incentivize reform *within* the nation’s colleges of education. He has inaugurated a program to provide teaching fellowships at selected universities which agree to overhaul their schools of education. University provosts are required to directly oversee the reform of education programs. Levine also expects to see greater

integration of the schools of education with colleges of arts and sciences; closer collaboration with school districts to give graduate students more classroom experience; the provision of three years of mentoring after graduates begin teaching; and a strong evaluation component. “If they did all those things, we would have a radically different brand of teacher education,” says Levine.

The Indianapolis-based **Lilly Endowment, Inc.** provided \$10 million to bring this program to Indiana, with fellowships specifically targeting math and science teachers. Created in 1937 by three members of the Lilly family—J. K. Lilly Sr. and sons J. K. Jr. and Eli Lilly—the Lilly Endowment’s foremost priority is to help the people of their hometown, Indianapolis, and home state, Indiana, build a better life. Four universities in Indiana will participate, with each university admitting 20 fellows. In addition, a consortium of Ohio foundations has agreed to finance a sim-

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ilar program in Ohio starting next year.

At the same time, the Woodrow Wilson Foundation will start a broader teacher preparation program, awarding hundreds of national teaching fellowships. Starting in 2009, selected fellows will receive stipends to attend graduate education programs at Stanford, the University of Pennsylvania, the University of Virginia, and the University of Washington. As with the state-based programs, fellows must agree to teach at a high-poverty school for three years. They must also allow the foundation to track the performance of the fellow's high school students in order to determine whether the program has an impact. The **Annenberg Foundation**, based in Pennsylvania and California, contributed \$5 million for the national fellowships, and the **Carnegie Corporation of New York** gave \$1 million.

Not only does Levine aim to attract high-caliber students to teaching, but he also hopes to use the fellowships and foundation grants to revolutionize teacher education in America. But many critics of the plan remain skeptical. They believe that schools of education cannot be reformed from within, and that any further philanthropic investment in schools of education will be wasted. Levine disagrees: "One of the things we are finding is that with the promise of 20 fellowships to a university for three years, with a promise of \$500,000 matching money to change their program, with a promise of expert consulting, we are getting schools to talk about radical changes."

Building from Scratch: Creating new teacher preparation programs

Larry Rosenstock was frustrated by the poor quality of new teachers coming out of California's schools of education. A lifelong teacher (and former lecturer at the Harvard Graduate School of Education), Rosenstock started to wonder if he could do a better job himself. And why not? He enjoyed building things—in fact, earlier in his career, he had taught carpentry for 11 years. He decided to do it. He would find willing partners and build his own college of education, situating it on the San Diego campus of **High Tech High**, the charter school he leads.

The **High Tech High Graduate School of Education** immediately faced tremendous opposition, ranging from skepticism to hostility—existing teacher training programs recognized the competitive threat that his idea represented. Rosenstock spent three years convincing the state of California to certify his school as an approved teacher preparation program. He was persistent. Ultimately, it paid off. The quality of his proposed program prevailed upon the state licensing board. Today, the High Tech High Graduate School of Education offers

master's degrees in teacher leadership and school leadership.

High Tech High functions as a degree-granting institution of higher education. Unlike AUSL in Chicago or the Hunter College initiative in Manhattan, High Tech High is not partnered with a university. That's exactly the way Rosenstock likes it. For one thing, it means that teachers for his charter school network—High Tech High has grown from one school to seven—are trained amid the school's unique culture, with its emphasis on the personalization of education, real world connections, and a common intellectual mission.

More concretely, Rosenstock notes, it means High Tech High can get highly qualified teachers right into the classroom. "The No Child Left Behind Act (NCLB) defines a 'highly qualified teacher' as a credentialed teacher—or one who is in a credentialing program," he says. "This creates a barrier to entry during a time of vast teacher shortages, particularly in the areas of math, science, and engineering. Many teachers at High Tech High have advanced degrees in those areas, and/or experience as working scientists or engineers. By having a credentialing program, new teachers are immediately placed in the program (at no cost to them), and therefore meet NCLB's definition of highly qualified teachers. In this way, paradoxically, High Tech High can hire more qualified teachers

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instead of merely hiring credentialed teachers." As a result of its degree-granting program, High Tech High enjoys more highly qualified teachers who are credentialed, more adults on campus as interns, more integrated professional development programs, and more impact on education outside of the school's small portfolio.

The impact has been considerable, while the costs so far have been minimal. The program has run about \$1 million per year for the first three years. Those funds have provided the state with a significant boost in its number of credentialed math and science teachers. "California needs 2,000 new math teachers per year—math teachers alone," says Rosenstock. "The entire University of California system credentials 290 math and science teachers per year. Last year, High Tech High credentialed 29 teachers, 17 of whom were math and science teachers."

Moving Training into the Workplace: Building

residency training programs

The **W. Clement and Jessie V. Stone Foundation** of San Francisco was looking to fund a program that trains teachers to work in urban schools. Then Stone discovered the **Boston Teacher Residency**. The Boston Teacher Residency offers a 13-month program that trains and licenses teachers to work in Boston's inner-city public schools; like AUSL, the Residency is based on the medical school model, with coursework and hands-on training combined in the same setting. Candidates are lent the \$10,000 tuition to participate in the residency. After they teach for three years in Boston's public schools, the loan is completely forgiven. Stone was impressed. The foundation invested \$200,000 in the initiative.

"We were attracted to the Residency because of its 'grow your own' potential," says Sandra Treacy, executive director of the Stone Foundation. "The program is highly selective and seeks candidates

Each of these initiatives relies on actual practitioners, close to the ground, working in the kinds of schools where the candidates will soon find themselves. As AUSL's managing partner Brian Sims says, "We'll look back in 20 years and say, 'Teacher preparation programs where you just spend 8 or 12 weeks teaching? What were we thinking?'"

who will commit to teaching in the Boston Public Schools. It combines on-the-job training with professional development, so it is very relevant to what these candidates will be doing in the classroom. The training lasts a full year, which is considerably more than other alternative certification programs. And, importantly, it was endorsed by then-Superintendent Thomas Payzant, who committed public school funds to the project. That meant a lot to us. It meant that the Boston Teacher Residency was a priority for the public school system. It meant that the program would not get pushed to the edge of the reform agenda."

The Stone Foundation has been sufficiently pleased with the Boston Teacher Residency that it is now funding efforts to launch similar ventures elsewhere, including the **Coalition of Urban Teacher Residencies**. "Urban teachers mostly receive general preparation from schools of education," says Treacy. "They have no real understanding of the students they will be teaching, they tend to be isolated, and there is little or no support for them in the early years. How can we possibly have

quality teachers given those realities?”

The Boston Teacher Residency, High Tech High, AUSL: all of these programs share a common commitment to on-the-job training outside of traditional colleges of education. They have little interest in preparing teachers in institutions far from the site of their future work and staffed by people who are not regularly engaged in the work of teaching. Each of these initiatives is intensive. Each relies on actual practitioners, close to the ground, working in the kinds of schools where the candidates will soon find themselves. As AUSL’s managing partner Brian Sims says, “We’ll look back in 20 years and say, ‘Teacher preparation programs where you spend just 8 or 12 weeks teaching? What were we thinking?’”

Keeping New Teachers, Making Better Teachers

New teachers are often placed in the most difficult classes in the neediest schools. Some new teachers seek out the most challenging positions, but many do not. Whether the challenges are sought or not, they are real—yet state and district induction and mentorship programs are often poorly designed and ineffective. Left to navigate treacherous waters on their own, many novice teachers run aground and decide to abandon ship, leaving education altogether.

As a result, almost half of all new teachers leave the profession within their first five years. Such enormous personnel turnover incurs major systemic costs and represents a failure of the educational sector to retain a significant amount of promising human capital.

One organization working to keep talent in the classroom is the **New Teacher Center (NTC)**. NTC provides high-quality mentoring and induction for new educators. The program began in 1988

as the Santa Cruz New Teacher Project, and has since grown to serve nearly 10,000 California teachers and now works in 31 states. In their work with new teachers (and, more recently, new principals), NTC induction programs aim to help novice educators survive their first few years in the classroom—and emerge as self-assured and experienced professionals.

NTC promotes better teacher mentoring and induction through

Almost half of all new teachers leave the profession within their first five years. Such enormous personnel turnover incurs major systemic costs. One organization working to keep talent in the classroom is the New Teacher Center.

■ *Achieving Teacher and Principal Excellence*

several coordinated strategies. It offers a variety of regional training programs for educational organizations throughout the year; these training sessions intend to support the growth of mentors, coaches, supervisors, master teachers, consultant teachers, support providers, principals, and coordinators of induction programs. At the same time, NTC conducts independent research on successful mentoring strategies, specifically concerned with the first two years of an educator's career. It has also established a policy division, which works with government agencies, advocacy organizations, teachers' unions, research groups, individual policymakers, and other key education stakeholders to advocate for the establishment and funding of high-quality induction programs for educators.

"We think they do great work in both providing excellent programming and in making the case to policymakers that induction is a smart investment of public resources," says Gretchen Crosby Sims, the director of strategic initiatives at the **Joyce Foundation**. Other donors agree with Sims' evaluation—and are looking to NTC to help new teachers develop into master teachers.

Finishing School: Liberal arts and core knowledge training for teachers

By and large, reformers working in the field of K-12 education have enthusiastically greeted the new focus on demonstrated student improvement (even if they sometimes disagree about how best to implement it). Welcome as the new expectations are, however, some educators have expressed concern that the new environment privileges skill-development over content-acquisition. Reformers like E. D. Hirsch Jr., professor emeritus of education and the humanities at the University of Virginia, argue that "for the sake of academic excellence, greater fairness, and higher literacy, early schooling should provide a solid, specific, shared core curriculum in order to help children establish strong foundations of knowledge."

Much of the work on content-acquisition to date has focused on curriculum development, but there is a significant opening for human capital reform, as well. The single best way to deliver a content-rich education is to ensure that educators thoroughly understand the subjects they teach.

It's a problem that William ("B.J.") Steinbrook Jr. is working to solve. As the executive director of the **Challenge Foundation**—as well as an ordained minister in the Presbyterian Church, with pastorates that have overseen a variety of educational programs—Steinbrook emphasizes the need for every American child to attain a high school education that, as the foundation's mission clearly states, produces "literate, factually aware,

and thinking graduates.”

The Challenge Foundation was established in 1989 by Georgia Gulf Corporation entrepreneur John Bryan, and was an important pioneer in charter school philanthropy. The foundation, based in Plano, Texas, provided seed capital for 185 charter schools nationwide early in the movement’s history. It has since expanded the scope of its efforts to include programs that promote school choice, strengthen charter schools, and develop teacher training that focuses on core knowledge.

More recently, Challenge has decided to launch its own brand of charter schools with a strong core knowledge component. The foundation now runs a number of Challenge Foundation Academies (CFAs), with a CFA charter school in Indianapolis, two more in rural areas around Charlotte, North Carolina, and plans to open a fourth in Phoenix, Arizona. Challenge is also exploring potential sites in St. Louis, Baton Rouge, and Deltona, Florida.

“We support core knowledge programs because we believe *content matters*,” says Steinbrook. “To teach English well, you must know English. To teach math well, you must know math. Core knowledge programs stress such content mastery throughout the core disciplines.”

“Probably our greatest grant investment in teachers is through the **Core Knowledge Foundation**,” Steinbrook adds. “Essentially a teacher training program, Core Knowledge revitalizes teachers’ careers by providing them with the basic curricular tools they need to become great, content-equipped educators. Grants have been in the \$100,000 to \$500,000 range and have impacted most states. We recently made a \$2 million matching grant to Core Knowledge to complete the first phase of their new reading program, a key component to Core Knowledge comprehension at each grade level.”

The Challenge Foundation hopes to partner with a university or college that will provide its teachers with deep core knowledge training—and offer teaching degrees and credentials. “At this point, it’s more of a goal than a reality,” Steinbrook admits. “We came very close with Shimer College, a private liberal arts college with a Great Books curriculum, but we didn’t quite get there. We need great teachers and school leaders with broad and

“We support core knowledge programs because we believe content matters,” says Steinbrook. “To teach English well, you must know English. To teach math well, you must know math. Core knowledge programs stress such content mastery throughout the core disciplines.”

■ *Achieving Teacher and Principal Excellence*

deep knowledge of the subjects they teach. And we would like to be able to train them ourselves. That's the goal. And it's a very worthy goal."

Of course, many donors prefer to focus on programs that improve teaching in some single, specific liberal arts subject. One such organization is the **Gilder Lehrman Institute of American History**, founded in 1994 by Richard Gilder and Lewis Lehrman to "promote the study and love of American history." The two long-time friends are highly successful investors and businessmen; Gilder heads the brokerage firm Gilder, Gagnon, Howe & Co., while Lehrman is senior partner of the investment firm L. E. Lehrman & Co. They also share a passion for American history, and their philanthropic efforts to support its study won them the 2005 National Humanities Medal. Their support, with other donors, enables the Institute to offer a range of educational programs. With respect to K-12 teacher development, the

With respect to K-12 teacher development, the Gilder Lehrman Institute runs two major programs: the History Teacher of the Year Award and the Summer Seminar for Teachers.

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In partnership with the White House-led initiative Preserve America, Gilder Lehrman administers the History Teacher of the Year Award. Since 2004, the two organizations have cooperated to confer the prize on an outstanding middle

or high school American history teacher in each of the 50 states, the District of Columbia, the Department of Defense schools, and the U. S. Territories. Each state-level winner receives \$1,000, as well as a collection of books and other educational resources for the winner's school library. The state-level winners are then considered finalists for the big prize: the National History Teacher of the Year Award, conferred at an awards ceremony by the First Lady.

In addition to its annual teacher award, the Gilder Lehrman Institute also runs a program of tuition-free, university-based classes: the Summer Seminars for Middle and High School Teachers. Every summer since 1994, Gilder Lehrman has offered select teachers the opportunity to participate in a week-long examination of some particular historical figure or event with a leading historian. During these week-long seminars, teachers take field trips, engage in a research project using primary source documents (which results in a large set of materials they can use when they return to their classrooms), and have

the opportunity to discuss teaching strategies with fellow teachers. (The 2008 summer schedule offered 32 seminars for 960 teachers and covered topics from George Washington and Abraham Lincoln to the Cold War and the civil rights movement.) The seminars are tuition-free and selected teachers receive a \$400 stipend, books, materials, and room and board. They also enjoy sessions led by distinguished scholars such as Sandra Day O'Connor, Henry Louis Gates, and Gordon Wood.

Another major donor working in this area is the **Charles G. Koch Charitable Foundation**. The Koch Foundation funds a variety of initiatives dedicated to improving civic knowledge, chief among them the **Bill of Rights Institute (BRI)**. “The Koch Foundation launched the Bill of Rights Institute in 1999 to help students increase their awareness and knowledge of the liberties guaranteed in our founding documents and their relevance to modern society,” says Richard Fink, president of the Koch Foundation.

BRI works to spread knowledge about the Constitution through a variety of educational programs and instructional materials. All of BRI's programs are tuition-free and have altogether reached over 10,000 teachers in 40 states.

BRI works to spread knowledge about the Constitution through a variety of educational programs and instructional materials. For example, BRI has worked extensively on developing instructional materials on the American founding—it has produced 10 full curriculum sets for middle and high school students—and its materials are being used in over 91,000 classrooms nationwide.

Within the field of teacher training, the Bill of Rights Institute runs a range of programs for elementary, middle, and high school teachers. Every year, it offers dozens of half-, one-, and two-day classes in cities throughout the country. These classes are led by a master teacher and provide resources, ideas, and strategies for teaching the principles of American constitutional government. Additionally, BRI runs a week-long summer institute at Mount Vernon, giving 50 selected teachers from around the nation the opportunity to study the ideas that informed the Constitution. All of BRI's programs are tuition-free and have altogether reached over 10,000 teachers in 40 states.

“We wanted to help teachers gain access to the best scholars and

other educational resources to help them in their course preparation,” Fink emphasizes. “We believe that if teachers are given the tools to educate their students more effectively on our founding principles, young people can better understand how our liberties are the primary drivers behind the prosperity and enhanced quality of life they and their families enjoy today.”

First “Principals” of Reform: Make leadership training practical, not theoretical

Training programs for principals are also deeply inadequate. Arthur Levine, the former dean of Columbia’s Teachers College, has a solution: make principal training less like the Ph.D. and more like the MBA. (The Ph.D., he explains, teaches theory, while the MBA teaches skills.) The idea seems to be catching on. All over the country, educators are trying to develop new ways to train great principals.

One example of this new trend can be seen in Virginia. With substantial support from Microsoft—and prodding from then-Governor Mark Warner—the Darden School of Business and the Curry School of Education partnered to create the **Darden/Curry Partnership for Leaders in Education** at the University of Virginia. The initiative trains

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and certifies “turn-around specialists,” school leaders who can quickly and successfully fix struggling schools. Turning around a chronically failing school is very different from leading a new school; a specialized type of leadership is needed to fix a school that has long been impervious to reform. The program also brings together school district leaders from around the country to study the most efficient means of achieving rapid

improvement. The establishment of the Darden/Curry Partnership is an example of grantmakers nimbly responding to the human capital crisis by investing in specialized training programs.

Another such effort is underway in New York City, where Mayor Michael Bloomberg and Chancellor Joel Klein launched the **NYC Leadership Academy (NYCLA)** as an integral part of their ambitious “Children First” reform effort. The NYCLA is an independent

nonprofit organization dedicated to recruiting, training, and supporting a new generation of exceptional principals for the city's 1,400 public schools. From its inception in January of 2003 through April of 2008, Klein chaired the NYCLA's board of directors. The organization works closely with the New York City Department of Education.

The NYCLA's focus on developing principals committed to improving student learning attracted philanthropic support almost immediately. The Wallace Foundation has been a partner since the NYCLA's inception, investing \$22 million in the Academy, or about a third of the initiative's total support to date. "We were confident in the idea, and agreed with Chancellor Klein that universities could not deliver on the timeline he needed," says Richard Laine, director of education

programs at The Wallace Foundation. "We wanted to support this ambitious and new approach." The **Partnership for New York City** committed \$30 million to the effort, and The Broad Foundation and the Michael & Susan Dell Foundation also made major grants.

Such philanthropic support has allowed the Academy to offer a range of additional programs. NYCLA now offers one-on-one coaching for school leaders during their first four years, as well as leadership development for principals of New York's newly opened schools. "One exciting element of the Academy, and a real tribute to the funders, has been its ability to innovate and grow our programs in response to real needs," says Sandra J. Stein, chief executive officer of the Academy. "For example, our New Principal Support program started as a one-year initiative and has blossomed into a robust and differentiated support program for NYC principals up to four years into their tenure."

"We're seeing a much better leader in the lowest-performing schools," Laine observes. "The NYCLA is addressing the entire leader development pipeline—from rigorous recruitment and screening to innovative training methods to ongoing mentoring—and the principals are sticking around." But he nevertheless expresses a worry common among funders of ambitious new education models: "Is this the fully loaded Cadillac model that can't be sustained without significant foundation dollars? Is this sustainable on public dollars alone?"

The NYCLA represents only one of Wallace's investments in school

The NYCLA is addressing the entire leader development pipeline—from rigorous recruitment and screening to innovative training methods to ongoing mentoring—and the principals are sticking around.

leadership. “We focus on the leaders and the conditions and situations in which they operate,” says Laine. “We expand human capital in two ways: by developing individuals and by developing the system around them.” While frustrated with the slow pace of improvement, Laine is grateful that at least systemic issues are more a part of the human capital conversation than they were a few years ago. “It’s not just about the next superstar anymore,” he notes. “Today, philanthropists and policymakers are focusing on systemic change, on finding ways to build a system that enables good principals to have major impact on their schools and students.”

Training Education Entrepreneurs: An MBA for school leaders

In Houston, donors are backing a principal-training program that takes the principal-as-MBA concept to its natural conclusion. At Rice University, the Jesse H. Jones Graduate School of Management is experimenting with the nation’s first university-based principal-training program that takes place *completely outside* of a traditional school of education. Instead, the **Rice Education Entrepreneurship Program (REEP)** occurs *completely within* a business school.

According to John Deasy, school superintendent of Prince George’s County, Maryland, there is a compelling logic to the idea. As Deasy explained to Jay Mathews of the *Washington Post*, “We don’t teach students one way. Why would we want to train principals in just

one way? A public school can have a \$5 million payroll and a plant worth more than \$90 million. That is a job for an MBA.”

The architects of the program are quick to point out that they do not want to replace education schools. “We want to *compete* with them in creating great principals,” says Leo Linbeck III, a Houston-based entrepreneur and business school professor who has advised the program. Linbeck is an impressive figure. Tall and bearded, he is the CEO of Aquinas

At Rice University, the Jesse H. Jones Graduate School of Management is experimenting with the nation’s first university-based principal-training program that takes place completely outside of a traditional school of education. Instead, the program occurs completely within a business school.

Companies, LLC, the parent company of eight values-driven enterprises; under his leadership, the family-owned business grew from

annual revenues of \$40 million in 1994 to \$550 million in 2007. He also teaches in the business schools at Rice and Stanford. Suffice it to say, Linbeck understands the value of a solid foundation in business management.

The two-year MBA principal-training program began in July 2008. All of the program's participants are expected to continue working in Houston-area public schools, taking courses at night and on weekends.

One of REEP's biggest funders is **Houston Endowment, Inc.**, which contributed \$7.2 million towards the program. Along with other donors, Houston Endowment believes that REEP will attract elite applicants because the program offers its participants an MBA from a prestigious business school. If the program's alumni decide to leave education, the degree will have real value in the private sector. But, to keep REEP's alumni in the field, the program plans to forgive business school loans over time if the new principals continue working in Houston-area public schools. And, to get REEP alumni to the schools that most need motivated leadership, those who work in high-challenge schools will receive accelerated amortization on their student loans.

Partners in the program include TFA, KIPP, **Houston A+ Challenge**, and **YES Prep Public Schools**. The KIPP and YES charter school networks are undergoing a massive, 10-year expansion plan, and will need principals and school leaders for the 55 new campuses they intend to open in Houston within the next decade. They'll be looking to REEP to help find them.

Building Leadership Training to Scale

Systemic change in principal training is certainly on the mind of the **KIPP Foundation**, and has been ever since its network of public charter schools began to grow. New schools require new leaders, and KIPP wanted to make certain its principals could meet and exceed expectations. "Besides," says Darryl Cobb, chief learning officer at the KIPP Foundation, "we knew that we had a generation of leaders that would not be there forever. The reality is that people want to play other roles in our network, move on to further their professional career, or leave for personal reasons. We had to build our capacity to create quality school leaders."

KIPP's leadership program is premised on the idea that strong principals must be great instructional leaders, be able to manage building operations, and be cognizant of what it is that makes an organization great. To help candidates cultivate these skills, the leadership initiative offers an inten-

■ *Achieving Teacher and Principal Excellence*

sive summer residency and placement in KIPP schools during the academic year. The foundation has closely studied best practices from a variety of fields and applied its findings to the development of educational leaders.

The KIPP Foundation offers two primary fellowships for prospective principals. The flagship **KIPP Fisher Fellows** are individuals slated to open new KIPP schools. Fisher Fellows participate in a year-long school leadership training program that includes coaching, live and virtual interaction with colleagues, intensive summer coursework in an academic setting, and extensive hands-on work at a KIPP school. In 2008, a record class of 18 educators began the Fisher Fellowship to prepare to open new KIPP schools in 2009. To date, over 75 principals have been trained through the KIPP Foundation.

A second, related initiative, the **Miles Family Fellowship**, supports individuals who have the potential to open a KIPP school but need additional training and development before becoming Fisher Fellows. The program intends to feed successful candidates into the Fisher Fellows program; like Fisher Fellows, Miles Family Fellows receive ongoing coaching, opportunities to meet with their peers, and experience working in KIPP schools.

To address succession issues in existing schools, the KIPP Foundation runs **Principal Prep Pathway**. The initiative targets individuals within the KIPP network who have been identified as potential school leaders. During their year-long program, Principal

Prep participants receive summer training, work as assistant principals, undergo coaching, attend conferences, and participate in structured work and study to develop their knowledge and skills.

Two smaller initiatives are intended to cultivate candidates for other leadership roles. **Leadership**

Team Pathway is a development program that prepares candidates to take on senior leadership roles in a KIPP school, roles like assistant principal and academic dean. The program is also one year long, with participants attending the KIPP summer institute and participating in monthly leadership and skill-building activities. The **Teacher Leader Pathway**, meanwhile, works with potential leaders among the junior faculty at KIPP schools. The initiative involves networking and development programs throughout the year.

“We knew that we had a generation of leaders that would not be there forever. We had to build our capacity to create quality school leaders.”

The costs of the programs vary with their intensity. Fisher Fellows undergo an extensive course of training, and each represents a six-figure investment. The Leadership Team and Teacher Leader programs, by contrast, carry much smaller marginal costs. But, in a sense, the programs pay for themselves: the web of interrelated initiatives creates a deeply textured leadership development system. More generally, the KIPP Foundation's efforts demonstrate how donors can help create a system for consistent leadership. The principles and basic structures of these initiatives are broadly applicable and await incorporation into school districts and other charter management organizations.

Until then, the KIPP leadership program is willing to share its graduates with other high-performing charter schools. "The driving force is definitely our own needs," says Cobb. "But for the last four years we've been training leaders associated with other charter management organizations, including Achievement First, Uncommon Schools, **Noble Street**, and **Green Dot** as well."

KIPP's leadership program is premised on the idea that strong principals must be great instructional leaders, be able to manage building operations, and be cognizant of what it takes to make an organization great.

Distributing Educators Where They Are Most Needed

It is unfortunate but not surprising that the best educators are rarely found in the worst schools—which is, of course, where they are needed most. Talented teachers are desperately needed in inner-city and rural schools. Yet all of these face disproportionate staffing shortages and chronic teacher quality problems. One of the great human capital challenges in education is getting quality teachers and principals into these hard-to-staff locations.

There is a second dimension to the problem of teacher distribution: there are a number of subject areas with far too few qualified teachers. Persistent teacher shortages are found in math, science, foreign languages, and special education. Current practices often limit the ability of schools to use compensation and other incentives to attract teachers in these subject areas.

Addressing the distribution challenge is a key priority for new entrants like Teach For America, The New Teacher Project, and New Leaders for New Schools. These groups recruit talented people for the specific purpose of placing them in challenging settings. Yet these non-profits cannot solve the problem on their own. For teacher distribution, policy matters. (Please see Chapter VIII for more on policy solutions to human capital distribution.)

Talented teachers are desperately needed in inner-city and rural schools, and there are a number of subjects with far too few qualified teachers, especially in math, science, foreign languages, and special education.

Exponential Results: Improving math and science teaching

Many donors focus on efforts to improve the quality of teaching in one particular subject area—and math and science education is of special concern. John Hennessy, president of Stanford University, recently spoke at a conference hosted by The Philanthropy Roundtable, where he argued that the most serious long-term threat to American competitiveness is the nation's failure “to prepare our K-12 education students adequately—particularly women and minorities—to embark on careers in science, math, and engineering.” But it's a challenge grantmakers can help solve, either by creating new initiatives or by partnering with successful ongoing efforts.

■ *Achieving Teacher and Principal Excellence*

The **National Math and Science Initiative (NMSI)** represents the largest recent response to the crisis in teaching math and science. NMSI was established in the wake of *Rising Above the Gathering Storm*, a 2005 report issued by the National Academies that detailed the dimensions of the problem. Among the report's findings: in the ranking of 31 countries by the Organization for Economic Cooperation and Development, American students recently finished 14th in science, 15th in reading, and 19th in math.

The **ExxonMobil Foundation** is the lead donor for NMSI, having contributed \$125 million to the program. Employing 14,000 scientists and engineers, ExxonMobil sees the donation in part as an investment in its own future corporate well-being.

NMSI plans to identify programs and ideas with proven results and provide the means to apply them on a national scale.

“The National Academy’s paper really documented the situation. More needed to be done,” says Gerald McElvy, president of the ExxonMobil Foundation. “There is a tremendous demand for programs that help to inspire and motivate kids

in science and math. We wanted the opportunity to respond to the report and the issues that it raised.” Other major donors include the Gates Foundation, which has committed \$10 million through 2009, and the Dell Foundation, which has committed \$5 million through 2010.

NMSI plans to identify programs and ideas with proven results and provide the means to apply them on a national scale. The two most promising models that NMSI has found to date are **UTeach** and **Advanced Placement Strategies, Inc.** (please see pp. 72–73). Within five years, NMSI plans to grow UTeach from 13 to 50 programs, and A.P. Training and Incentives from seven to 20 programs.

A number of other initiatives intend either to address particular human capital strategic priorities or to employ a full-spectrum strategy that touches on all of the priorities simultaneously.

- **Full-spectrum strategy:** James H. Simons created **Math for America (MfA)** to help address the shortage of math teachers in New York City, but the organization has since expanded its reach nationwide. Simons certainly understands the value of a solid foundation in mathematics. He began his career as a mathematician, with a bachelor’s degree from MIT and a doctorate from the University

of California at Berkeley, and conducted cutting-edge research in advanced geometry and topology. In 1982, he founded Renaissance Technologies, a hedge fund that uses scientists and mathematicians to develop highly technical investment strategies. Its exponential success has given Simons (along with other donors) the wealth with which he funds MfA.

MfA employs a full-spectrum strategy, with efforts aimed at the recruitment, training, development, and compensation of new math teachers. MfA offers a five-year program, with first-year candidates studying at a partner university and then spending the next four years teaching in public high schools in Los Angeles, New York City, San Diego, or Washington, D.C. The program provides a \$100,000 stipend, paid out over five years, as well as extensive training and mentoring. During their fifth year, MfA fellows are encouraged to apply to become MfA master teachers, thereby remaining in the MfA Corps and becoming eligible for financial and other support. MfA enjoys a retention rate over 95 percent, a point underscored by its executive director Irwin Kra.

Kra likewise emphasizes that competitive salaries are necessary to attract more math and science teachers. “If you’re a math or science graduate and you’re trying to choose a career, you know that as a high school teacher you’ll earn \$10,000 to \$30,000 less per year than you would if you worked for a software company or an engineering firm,” he notes.

But providing a competitive salary isn’t enough. New teachers also need better working conditions. “We have been extremely careful to include mentoring and professional development,” says Kra. “You can’t take people who have just graduated from college—or those who just finished a master’s—and throw them into the classroom. New teachers need appropriate mentoring and professional development. They need to feel that their work is valued and appreciated by society. MfA is building a corps of professionals.”

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■ *Achieving Teacher and Principal Excellence*

- **Recruitment and training:** UTeach began as a program at the University of Texas with a focus on the recruitment and training of future math and science teachers. UTeach targets undergraduates studying math and science in an effort to persuade them to consider a career in education. The program offers its participants a number of limited-commitment teaching apprenticeships, so they can experience the front end of the classroom or lab. If they decide to become teachers, UTeach provides streamlined coursework to get candidates ready as soon as possible. To date, 92 percent of UTeach candidates go on to teach secondary-level math and science immediately; over 70 percent are still teaching five years later. Almost half of UTeach's participants work in schools in which 40 percent of the student body qualifies for free or reduced-price lunches.

UTeach received its first grant from the Sid W. Richardson Foundation. Sid Richardson's executive vice president, Val Wilkie, believes the program serves dual purposes. Not only does UTeach

To date, 92 percent of UTeach candidates go on to teach secondary-level math and science immediately; over 70 percent are still teaching five years later.

help recruit math and science undergraduates, it also ensures that they receive pedagogical training from actual, active mathematicians and scientists. "The point," Wilkie emphasizes, "is that it has to be the mathematicians and scientists who are providing the subject matter preparation. Not just on the college

campus, but following those youngsters into the classroom. They need to work on the specific question of 'How do you teach math?' or 'How do you teach physics?' Those questions are separate and different from the question, 'How do you teach?'"

The New Teacher Project is also engaged with math and science teacher recruitment efforts. In New York City, for instance, TNTTP increased the number of new math teachers in NYC by a staggering 500 percent. Crucially, TNTTP capitalized on its discovery that well-screened applicants from a variety of college majors could perform perfectly well on New York's certification exam for teaching mathematics. Before taking the qualifying exam, non-math undergraduates must undergo two weeks of intensive math instruction and seven weeks of pre-service training focused on content and pedagogy. As a result, in 2006 TNTTP placed 290 new math teachers in the New York City Public Schools—only 40 of whom had been math majors.

Early research has shown no significant difference in performance, principal satisfaction, or retention between teachers who were math majors and those who were placed in math positions through the immersion program.

- **Placement:** Other donors are funding efforts to place math and science teachers in hard-to-staff schools. The **Amgen Foundation**, for example, has committed \$5 million to Teach For America, with the goal of doubling the number of corps members teaching math and science in underserved schools by 2010. “The TFA partnership is one of our major commitments,” says Amgen’s Scott Heimlich. “One of our reasons for aligning with an organization like TFA is that they’re able to recruit from the top college graduates in the nation. They are specifically reaching out to student leaders on campus—and getting those students involved.”
- **Training with incentives:** Some grantmakers have decided to invest in teacher and principal professional development. Philanthropist Peter O’Donnell of Dallas wanted to see more minority students take and pass the Advanced Placement exams in math and science. So in 2000, O’Donnell created a teacher development program to make it happen. He called the program Advanced Placement Strategies, Inc. (Advanced Placement Strategies, Inc. is the model for one of NMSI’s expansion programs; the NMSI initiative is known as Advanced Placement Training & Incentives.) Teachers in the program receive extensive training and are offered financial incentives for posting academic gains among their students. High performers are recognized and cultivated. The results have been remarkable. In Texas schools served by the program over a five-year period, the number of students passing A.P. math and science tests multiplied four and five times, respectively. At the original 10 schools where the program was first implemented, the number of students passing A.P. exams has exploded, from 29 students in 1995 to 664 in 2007. It doesn’t take a mathematician to recognize a gain of over 2,000 percent!

Getting the Right People into High-need Places

On a local scale, donors can do a great deal to help get talented educators into the schools and subjects where they are most needed. Those interested in the subject should bear in mind the observation of Reed

■ *Achieving Teacher and Principal Excellence*

Hastings, founder of Netflix and former member of the California State Board of Education. American public schools, Hastings says, face less a shortage of talented teachers than a shortage of schools where talented teachers want to work.

One group working to remedy the problem is the **Resources for Indispensable Schools and Educators (RISE) Network**, which focuses on retaining teachers in high-poverty schools. Underperforming urban schools desperately need good teachers, but the demanding environment often wears down even the most committed educators. “The number one driver of attrition is work environment. And so, we partner with public schools in low-income communities—we think of them as

Underperforming urban schools desperately need good teachers, but the demanding environment often wears down even the most committed educators.

‘emerging schools’—schools that could be great, provided they attract and retain effective teachers,” says Temp Keller, founder and president of RISE.

RISE offers teachers in its network professional support, including job placement into other high-need schools with better working

conditions. RISE also collects data from the schools themselves and tries to address potential issues that could lead to teacher attrition. Currently focused on Los Angeles, San Francisco, Chicago, and New York, RISE is in the process of gradual expansion.

The city of Indianapolis has taken another approach to the teacher distribution problem. Former mayor Bart Peterson decided to turn the city into a center of educational reform, one that would attract talent from across the country. Peterson believed that, with the right incentives and sufficient philanthropic support, Indianapolis could become the “Silicon Valley of educational innovation.” With that goal in mind, Peterson helped establish The Mind Trust, an independent nonprofit organization that gives fellowships to promising educational innovators and provides funding to bring proven programs—like TFA and TNTP—to Indianapolis. (Please see the Donor Spotlight on p. 75 for more information on The Mind Trust.)

Donor Spotlight: Richard M. Fairbanks Foundation

Richard M. Fairbanks was a pioneer in radio broadcasting. Today, the foundation that bears his name is helping finance one of the most pioneering efforts on education: The Mind Trust. The **Richard M. Fairbanks Foundation** has given \$2.4 million to help The Mind Trust launch its operations. The Mind Trust brings education leaders to Indianapolis, where they are encouraged to incubate ideas and engage in venture philanthropy. Fairbanks has made a deliberate decision to support The Mind Trust's infrastructure and operations rather than any specific programs. "We want them to be able to concentrate on the work, so they need a solid underpinning," says Mary ("Betsy") Bikoff, Fairbanks' vice president and chief grantmaking officer. "The Mind Trust is attracting leaders who are bringing new ideas, and some proven ideas, to Indianapolis. By educating our children better, we're helping supply a better-educated workforce for the region."

• • •

Other reformers are experimenting with the provision of generous incentives for educators willing to work in understaffed schools. Some policymakers and philanthropists have turned to mortgage assistance as a way to attract prospective teachers and principals. This strategy has been particularly effective in helping staff underperforming public schools in very expensive real estate markets—cities like Los Angeles, San Francisco, and Washington, D.C. For instance, in San Jose, California, Mayor Ron Gonzales offered forgivable loan assistance to teachers who committed to serve in the city's understaffed schools for a fixed number of years. The initiative attracted talented teachers who otherwise could not have afforded to live in San Jose. Similarly, public-private partnerships are underway in Baltimore and New York City to provide housing assistance for teachers. Grantmakers can partner with school districts to offer such incentives—or even create affordable housing for educators willing to work in hard-to-fill schools or subjects.

Some policymakers and philanthropists have turned to mortgage assistance as a way to attract prospective teachers and principals.

Restructuring Incentives to Reward Excellence

Education is a field in which for years no real attempt has been made to differentiate quality among practitioners—leaders and laggards are compensated and treated more or less the same. (This, ironically, in a field where a key responsibility of the job is grading the performance of others.) Yet research clearly shows that teachers have widely different effects on student achievement. The downstream effect of great teachers—and, unfortunately, of bad teachers—is pronounced. Restructuring incentives to encourage and reward excellence is a vital component of a more coherent human capital strategy in education.

Leading the Way:

The story of Denver's ProComp initiative

How to link compensation to performance remains one of education's most hotly battled issues, which makes it all the more appropriate that the **Rose Community Foundation** of Colorado has led the campaign. The Rose Community Foundation traces its name to Major General Maurice Rose, commander of the fabled Third Armored Division, a hard-charging unit that distinguished itself during the Second World War as the first Allied division to penetrate into Germany. (The foundation was established in 1995 with the proceeds from the sale of Denver's Rose Medical Center.) Today, the foundation reflects its namesake's fearless courage in its education grantmaking—particularly in its leadership in helping create the Denver **ProComp** teacher pay-for-performance plan.

Rose first became involved with efforts to reform teacher pay in large part because of Phillip A. Gonring, the foundation's senior program officer for education. Gonring was clear about his basic priority: any new compensation system in Denver should reward quality teaching. He made the decision, however, not to back any single, specific model. Instead, he wanted to support the development of an initiative that could win the support of the teachers' union and the school district. His approach was low-key and mission-focused, and it was integral to the initiative's success. Patience and determination led to a broad buy-in and a well-conceived compensation scheme. Beverly Ausfahl, former president of the Colorado Education Association, flatly admits that ProComp “wouldn't have happened without Rose.”

■ *Achieving Teacher and Principal Excellence*

Initial grants were small—a \$90,000 grant from Rose got early planning off the ground. It was only as the program progressed that Rose committed to making a multimillion-dollar donation to ProComp, a move which helped leverage additional funding from other philanthropists. In time, The Broad Foundation and the **Daniels Fund** joined Rose in financing most of the initiative’s development, as well as later efforts to secure the support of Denver’s teachers and, ultimately, voters.

Not surprisingly, as the grants grew larger, the donors faced tough questions about strategic grantmaking. The foundation’s board felt that they could not make substantial investments in a program whose time-

The ProComp plan would allow Denver teachers to earn additional compensation for superior performance.

horizon was uncertain and possibly short. Rose’s most innovative (and controversial) decision was publicly making a \$1 million grant contingent on the school district’s expansion of a (then quite small) pilot reform program into a much more substantial four-year commitment.

Some members of the Denver School Board and the local community felt that, by attaching conditions to the grant, Rose was being heavy-handed. But the reformers persisted and prevailed. From their perseverance, ProComp was born.

The agreement ratcheted up the commitments on both grantmaker and grantee. After the school district agreed to the four-year extension, Rose found itself even firmer in the conviction that changing the way teachers are paid was an idea whose time had come—and that smart philanthropy was needed to make it happen.

The ProComp plan would allow Denver teachers to earn additional compensation for superior performance, as well as to take on different roles and opportunities for professional growth. All new teachers in the Denver schools were to be automatically entered into the system, and veteran teachers could decide whether they wanted to join or to stay in the existing salary system, which would gradually be phased out over time. Under ProComp, teachers would receive salary bonuses by working in hard-to-staff schools, acquiring professional knowledge, and receiving consistently positive evaluations. Some reformers criticized the initiative for not tying more of the incentives to student achievement, but, aware of the intense resistance the measure would face (and the important signal an agreement would send to other reformers), they decided not to press the issue.

Of course, once the idea for ProComp was ready, Denver teachers

still had to approve it. The issue split the union, but the proposal ultimately passed—thanks in large part to the opt-in component: veteran teachers were not forced into the new compensation scheme. But misinformation, confusion, and skepticism meant that an information campaign was needed to convince Denver teachers that the plan was in everybody's interest.

Once the teachers had ratified the plan, it was up to the voters still to approve financing. Paying for ProComp would require Denver voters to sign off on a \$25 million tax levy. Once again, foundations aggressively backed the initiative—the Rose Foundation alone contributed \$250,000 to the campaign.

In all, the effort received some \$1.3 million in support from reform-minded foundations, which permitted the hiring of experienced political operators to promote the measure. (The teachers' union split over the ballot initiative and stayed on the sidelines during the election.) In the end, voters approved the levy 58 to 42 percent—an impressive margin for a tax hike.

Some reformers criticized the initiative for not tying more of the incentives to student achievement, but, aware of the intense resistance the measure would face (and the important signal an agreement would send to other reformers), they decided not to press the issue.

Ask a Teacher!

It's worth noting that teachers themselves are widely receptive to the idea of performance-based compensation—much more so, in fact, than many of the groups that speak on their behalf. In a national survey of teachers in 2003, the non-partisan Public Agenda found that 70 percent of teachers favored offering financial incentives to educators who teach in difficult neighborhoods and schools. The same study found that 60 percent favored extra compensation for those who teach especially challenging students, put in longer hours, or consistently receive outstanding evaluations. A 2008 follow-up study by Education Sector found similar results, although surveys also reveal a deep skepticism among teachers about using test scores as part of any pay scheme.⁵ But teachers have

5. In the interest of full disclosure, the author of this guidebook is the co-founder and co-director of Education Sector, was involved in the survey, and was an author of the final report.

■ *Achieving Teacher and Principal Excellence*

supported reform efforts like Denver's ProComp program and a new performance-based pay initiative in New York City's public schools. More recently, the Joyce Foundation has funded an initiative to gather a group of nationally recognized teachers and have them put forward a model for future performance-pay proposals.

Even today, with ProComp established as a model, Gonring cautions against attempting to copy the initiative elsewhere. The worst thing other grantmakers can do, he says, is "import ProComp wholesale—but the best thing they can do is import the process." That process is never easy or clear, and there are always competing agendas that can derail any reform initiative. Philanthropists have to keep their sights set firmly on the ultimate goal, he says, but also "be flexible, even when there are mistakes or even bad behavior."

Big Enough to Matter: The Milken Family Foundation and the Teacher Advancement Program

Michael and Lowell Milken are proud to be products of the California public school system. The brothers grew up in Encino, and eventually went on to graduate summa cum laude from the University of California at Berkeley. Their education served them well: the brothers are legendary figures in the worlds of finance and real estate development (respectively). When they established the **Milken Family Foundation** in 1982, they dedicated its work to advancing medical research and improving American education.

The Milken Family Foundation's first contribution to human capital reform was the creation of a teacher recognition award. Every year since 1987, the Milken Educator Awards have honored outstanding elementary and secondary school teachers and principals; to date, over 2,300 educators have won the prize. The award announcements are closely watched—and with good reason. Winners of the Milken Educator Award receive a no-strings purse of \$25,000. If it seems like a lot, "well, that's the point," said the late Lewis ("Lew") Solmon, who headed educational programs for the Milken Family Foundation. "It's very important to reward these people commensurate with the rewards in other fields. The size of the award matters."

As the foundation became more involved in human capital reform efforts, however, it recognized that a more strategic approach was necessary. At first, Milken brought together its award winners for conferences

to discuss contemporary reform initiatives. “We initially hoped that these award-winners would become a cadre of education reform leaders,” Solmon admitted. But the foundation soon realized that excellent educators are not necessarily equipped to debate public policy. “So we decided to bring the award-winners together to various kinds of conferences to learn about early childhood education and technology, and standards and assessment, and other aspects of school reform.”

But Milken’s most ambitious initiative still lay in the future. “How can we motivate those with high potential to choose education as a career?” asked Lowell Milken. Milken, with Solmon, a former dean of UCLA’s college of education, understood that a key to achieving this objective was differential compensation, along with powerful opportunities for career advancement, professional growth, and fair accountability: “We also knew that teachers are willing to be evaluated if they know what is expected,” said Solmon. Out of that conviction grew the **Teacher Advancement Program (TAP)**.

“How can we motivate those with high potential to choose education as a career?” asked Lowell Milken.

Milken understood that the key was differential compensation, along with opportunities for career development, professional growth, and fair accountability.

TAP was launched in 1999 as a comprehensive strategy to find, motivate, and reward excellent teachers. The program offers professional development, evaluation, and compensation through the implementation of its trademarked Four Elements: multiple career paths; ongoing, applied professional growth; instructionally focused accountability; and performance-based compensation.

- **Multiple career paths:** Many school districts have compensation plans that suffer from a pronounced perverse incentive: career educators make a higher salary when they leave the classroom and become administrators. Immense amounts of teaching experience are lost as a result. To counter this trend, TAP provides long-time teachers with substantial bonuses if they stay in the classroom. Teachers can apply to TAP to become master and mentor teachers, earning more salary in exchange for taking on leadership and mentoring responsibilities.

■ *Achieving Teacher and Principal Excellence*

- **Ongoing, applied professional growth:** TAP places a heavy emphasis on professional development for teachers. It requires participating schools to schedule time for teachers to meet, learn, plan, and share with other teachers. Novices are paired with experienced mentors, and all teachers are expected to meet for regular small group discussions. Goals are set, plans formulated, and methods compared—all with an eye to making teachers as good as they can possibly be.
- **Instructionally focused accountability:** Every teacher in a TAP school is evaluated four to six times per year by multiple outside observers. Students are tested at the beginning and the end of every year, in order to determine how much value each teacher has added to their education. In addition, TAP schools are evaluated as a whole, to determine the overall effectiveness of the entire faculty.
- **Performance-based compensation:** In TAP schools, teachers earn additional compensation based on their performance, their responsibilities, and their students' academic achievement. Bonuses are also awarded to those who teach in hard-to-staff schools and in understaffed subjects.

TAP's goal is to encourage great teachers to advance within the profession, take on new responsibilities, lead their colleagues, challenge their students—and stay in the classroom.

“One reason some pay-for-performance plans have not worked is because the bonuses were too small,” Solmon was quick to point out. It's a fact Milken has demonstrated with its Educator Awards. “Rewards of \$500 aren't enough to motivate teachers. Why do all the work to prepare to be evaluated for such a small potential reward? In our system, the best-

performing teacher can make an additional \$4,000. Add to that the \$15,000 a teacher gets for becoming a master teacher, and you're talking about some significant money.”

TAP has not been universally embraced, but it has succeeded in bringing together human capital reformers and their opponents. In March 2004, Sandra Feldman, then-president of the American Federation of Teachers, wrote an article praising the initiative because of its dual emphasis on merit pay and professional development. The pro-

Today, TAP's 5,000 participating teachers serve approximately 72,000 students in 220 schools.

gram, she wrote, “exemplifies the principle of putting teacher compensation in the context of improving student achievement.”

Today, TAP’s 5,000 participating teachers serve approximately 72,000 students and in 220 schools. Within five years, TAP wants to expand its reach to serve 600 to 1,000 schools. The initiative has grown sufficiently that the Milken Family Foundation decided to spin it off into a separate entity, the **National Institute for Excellence in Teaching**, which will continue to run TAP and other programs to advance teacher quality reforms. After all, as Solmon emphasized, “TAP is a program of systemic change.”

“One reason some pay-for-performance plans have not worked is because the bonuses were too small. Rewards of \$500 aren’t enough to motivate teachers. In our system, the best-performing teacher can make an additional \$4,000. Add to that the \$15,000 a teacher gets for becoming a master teacher, and you’re talking about some significant money.”

Let a Thousand Flowers Blossom: Strategies for linking teacher compensation to student performance

Across the country, philanthropists are pairing up with policymakers to devise creative new ways to link teacher compensation to student achievement. A range of possibilities await the entrepreneurial donor, as the following examples illustrate.

- **Focus efforts locally:** In Hamilton County, Tennessee, the **Benwood Foundation** wanted to implement pay-for-performance reforms. So, as part of a broader package of human capital reforms, it funded an effort by the local Public Education Fund to work with the school district and create an incentivized compensation scheme for nine underperforming, inner-city elementary schools. Using data from the Tennessee Value-Added Assessment System—an assessment tool designed to measure student achievement from one year to the next—the program rewards “exceptionally effective” teachers (defined as those teachers whose students show 15 percent more than a year’s gain in a school year) with a \$5,000 cash bonus. Principals whose schools post similar gains earn a \$10,000 bonus. The program, like Denver’s ProComp, began as a phil-

■ *Achieving Teacher and Principal Excellence*

anthropic venture. Again, like Denver, its success has built community support, which has expressed itself with eventual public funding.

- **Study results:** In Little Rock, Arkansas, a pay-for-performance pilot program was reviewed by researchers at the **University of Arkansas Department of Education Reform**. The Achievement Challenge Pilot Project (ACPP) was first implemented during the 2004–05 school year with a grant from the **Hussman Foundation** through the **Public Education Foundation of Little Rock**. The demonstrated results of this three-year pilot project were viewed as promising, according to research conducted by Marcus Winters, Jay P. Greene, Gary Ritter, and Ryan Marsh. The evidence indicated that “students whose teachers were eligible for performance pay made substantially larger test score gains in math and reading than students taught by untreated teachers.” The gains from 2004–05 and 2005–06 attracted further funding from the **Walton Family Foundation** and the **Brown Foundation, Inc.** in the 2006–07 school year. Although the pilot in Little Rock was not continued in 2007–08, the three-year ACPP pilot led to the establishment of state funds in which school districts could build their own teacher incentive and pay-for-performance programs in Arkansas.
- **Underwrite reform campaigns:** Public school teachers in New York City’s “high-need” schools recently backed a pay-for-performance plan by an overwhelming margin: 205 schools for the measure versus 33 opposed. The plan gave teachers bonuses that were largely based on the overall test scores of students at schools with high concentrations of poor children. As in Denver, education philanthropists played a crucial role in persuading teachers to sign up for the program. By offering funding commitments, the Robertson Foundation, The Broad Foundation, and the Partnership for New York City showed that the program would be sustainable in the long term, and thereby addressed a concern of many teachers.
- **Devise new ways to evaluate performance:** Concerned with the lack of systemic evaluation in education, the public school teachers of Toledo, Ohio, created a system of peer review. Experienced teachers rely on a series of standards to review their colleagues’ performance. Persistent low-performers—even veteran teachers—are counseled out of the field. Although the actual number of teachers dismissed through the program remains relatively low, the idea of

incorporating teachers into the review process holds promise for future reforms. In 2001, the Toledo Plan won the prestigious Innovations in American Government Award from Harvard University and the Council for Excellence in Government.

- **Offer non-monetary incentives:** The **M. J. Murdock Charitable Trust** sponsors **Partners in Science**, a teacher-compensation scheme with non-monetary incentives. Partners in Science identifies outstanding high school science teachers and provides them with the opportunity to conduct cutting-edge research at prestigious national laboratories over the course of two summers. The teachers pair with a mentor, design their own projects, and are invited to network with leaders in the field. John Van Zytveld of the M. J. Murdock Charitable Trust says the program achieves two goals: “helping some of the best science teachers at the high school level become even better, while at the same time prolonging their life in the classroom.”

All of these local initiatives are much-needed and worthy efforts—but none of them can ever hope to comprehensively solve the problem. True reform of teacher compensation will require changes in public policy. The mathematics of the problem are straightforward: public education spending in the United States comes to over \$500 billion per year, over two-thirds of which is allocated to labor costs. Not even the nation’s biggest grantmakers working together can drive change at that scale without engaging in public policy.

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Investing in Research and Advocacy

Philanthropists can approach education's human capital crisis from two different angles. They can approach the problem with direct programs, or they can approach it through research and advocacy. Some philanthropists undertake both approaches simultaneously. Other donors focus on one approach or the other. There is much to commend each, and neither can ultimately succeed without the other.

Direct programs seek to drive change from the bottom-up. They intend to create new examples from promising ideas and practices, on the assumption that successful models will be replicated elsewhere, becoming an integral part of future reforms. This strategy hopes to build a better mousetrap, in the belief that, as its superior design comes to be recognized, one success will lead to another, over and over again, across the country.

Research and advocacy, on the other hand, intend to leverage reform from the top-down. The goal is to convince policymakers to back necessary and desirable reforms. Such efforts share the common goal of fundamentally altering the rules of the game. Gisèle Huff, executive director of the **Jaquelin Hume Foundation**, drives the point home: "It doesn't matter how good individual schools are if they're operating in a hostile environment. You cannot give up on the environment—the policy piece."

Perhaps the greatest difference between the two approaches relates to the probability of success. Direct programs are more likely to have an immediate impact than are advocacy efforts. But, when research and advocacy initiatives succeed, they can instantly affect millions of teachers, principals, and students. Indeed, the certainty of success and the magnitude of impact often seem inversely related—and donors must decide for themselves how much risk they are willing to tolerate.

INVESTING IN RESEARCH

Donors interested in improving education have long supported research and analysis. That tradition must be continued and expanded if America is to improve its teachers and principals. Programs and policies need to be guided by solid empirical evidence. When such research is rigorous and relevant, it can make a powerful contribution to improving our understanding of what works best in improving teacher and principal quality. After all, as any good teacher will tell you, you have to understand the problem before you can formulate a solution.

What Makes a Successful Teacher?

In October 2004, the National Council on Teacher Quality released “Increasing the Odds: How Good Policies Can Yield Better Teachers.” The study reviewed the vast literature on the factors that most lend themselves to classroom success, and distilled the state of current research in an accessible, jargon-free booklet. Its goal: to give administrators the tools to find and recruit promising teacher applicants. The results of the study confirmed what many in the field had already guessed—but added analytical rigor to their anecdotal impressions.

Among the findings of “Increasing the Odds” are:

- “Channeling public resources to teachers’ pursuits of advanced degrees does not appear to improve teachers’ effectiveness. Districts interested in exploring smarter compensation packages might consider redirecting lockstep salary increases connected to earning an advanced degree toward more targeted purposes.”
- “Policies based on a simple linear growth over time in teacher effectiveness should be reexamined. If student achievement gains are a school district’s primary focus, little evidence supports compensation packages that raise salaries equally for each year of service without regard to other considerations.”
- “Pre-service education courses may help some aspiring teachers to be more effective than they would have been otherwise, but there is no evidence to support policies that bar individuals from the profession because they lack such coursework. Other credentials or experience may add just as much or more value.”
- “States and districts seeking to increase the number of minority teachers in order to match teacher and student race should do so prudently. There is insufficient evidence to support hiring policies that give a teacher’s race primary consideration.”
- “Clearly a prospective teacher’s level of literacy, however measured, should be a primary consideration in the hiring process.”

Perhaps most importantly, however, the study found that the best indicator of future classroom success could be found among the “soft

attributes.” Tests and transcripts are an excellent way to begin a careful consideration of a candidate, but they simply cannot eclipse the crucial but largely subjective judgments about a candidate’s dedication, creativity, tenacity, and sense of personal responsibility.

“Increasing the Odds” was well-received upon its publication, and for good reason. It condensed the findings of numerous studies and presented them clearly for a wider audience. But there is still plenty of research to be done. Educators everywhere would benefit enormously from further study of teacher characteristics that are predictive of future effectiveness. As Daniel Goldhaber, an economist at the University of Washington, likes to point out, we know a lot about just a little of what makes a teacher effective.

Educators everywhere would benefit enormously from further study of teacher characteristics that are predictive of future effectiveness. We know a lot about just a little of what makes a teacher effective.

What Makes a Successful Principal?

Across the country, inspiring school leaders are turning schools around. Educational reformers far and wide recognize the importance of excellent principals. Everyone wants to see more of them.

But there are two problems. We are not (yet) producing excellent school leaders at scale. The first problem is largely a consequence of a second problem: We simply do not know very much about why some principals are capable of making dramatic improvements in student performance. To some extent, it is a matter of personality, timing—and maybe even luck. But to what extent is it a function of certain replicable practices? Are there any patterns to be discovered? Are there any models that can be exported? We don’t know yet.

Enter New Leaders for New Schools. New Leaders, working in conjunction with the RAND Corporation, has launched a major investigation of transformational school leadership. The study has three objectives. First, it intends to survey a broad array of principals who have led their schools to achieve dramatic breakthroughs. Second, drawing on the assembled case studies, it aims to offer a “research-based hypothesis of a redefined principalship that can drive dramatic improvements in historically low-performing schools.” Finally, New Leaders plans to work with RAND to produce a lon-

■ *Achieving Teacher and Principal Excellence*

gitudinal evaluation of, on the one hand, the links between principal selection, training, and coaching, and, on the other, improvement in student achievement.

New Leaders released its initial report in March 2008; by June, it had released “Version 3.0.” Acknowledging that the project was still very much in the early stages of research, the reports nevertheless tentatively

*Much research remains to be done,
as New Leaders makes clear.*

propose that five key factors seemed to be essential in the task of quickly turning around poorly performing public schools. Principals who have overseen dramatic student improvements have tended to focus

on instituting achievement-based learning and teaching, improving the school culture, placing the right people in the right roles, managing the facilities and operations properly, and leading by personal example.

Much research remains to be done, as New Leaders makes clear. That research may prove to be enormously important in coming years, if it can help identify, cultivate, and train world-class school leaders.

The View from 30,000 Feet: Funding sector-wide research

In 2006, the Research Center at *Education Week* identified 13 studies as having been especially influential for education policy. Many of these studies offer big-picture, state-of-the-sector research, which is not necessarily connected to a particular policy, but is enormously helpful for reformers, educators, and policymakers who are looking to identify trends and direct resources where they are most urgently needed.

Some of the studies are decades-long, government-funded reports, like *National Assessment of Educational Progress* or *Trends in International Mathematics and Science Study*. But others are privately funded individual studies, like Education Trust’s research on teacher quality or the American Diploma Project’s report *Ready or Not: Creating a High School Diploma that Counts*. Wherever conducted and however funded, the impact of this literature has been profound, and it debunks the notion that monographs and articles on education and education reform are inevitably destined to sit on shelves gathering dust.

Turning Ideas into Action: TNTP reforms hiring processes nationwide

Many grantmakers and philanthropists feel that their direct programs seem more tangible, more real, than do their investments in research and analysis. After all, research funding carries a substantial risk of low returns. Even when the work is solid, its impact can be difficult to quantify. It is the nature of educational reform that donors and grantees may produce first-rate research, but still fail to influence policy because of events beyond their control.

But sometimes education research can reap huge dividends—as it did when TNTP released its pioneering 2003 study, *Missed Opportunities*. The report was not based on anecdotes or speculation, but on a detailed and data-rich analysis funded by the **Annie E. Casey Foundation** and **Washington Mutual**. Before the publication of the report, the conventional wisdom had long held that urban schools were hopelessly understaffed because few teachers wanted to teach in the inner city. By compiling and analyzing the data on hiring in urban schools, *Missed Opportunities* shattered that conventional wisdom.

Missed Opportunities found that urban school districts often had many more applicants than vacancies, even in hard-to-staff subjects. One district in the study received 4,000 applications for fewer than 200 available spots; the remaining districts had roughly between five and seven applications for each available position. Yet despite this enormous interest, all of the districts were scrambling to fill teaching slots when the school year began.

The problem, *Missed Opportunities* concluded, was not a lack of interest among prospective teachers. The problem was rather a series of longstanding hiring policies. These policies needlessly held up applications and frequently prevented job offers from being extended until mid-to-late summer. By that point, the most promising candidates were usually frustrated and had taken positions elsewhere.

Many inner-city school district leaders had long suspected that paperwork and bureaucratic hassles were major impediments to teacher recruitment, and blamed human resources personnel for driving away highly qualified teacher candidates. *Missed Opportunities* attributed some

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of the blame to “a cumbersome application process, too many layers of bureaucracy, inadequate customer service, poor data systems, and an overall lack of urgency.” But TNTP’s central finding was that hiring policies, rather than human resources personnel, were causing the problem.

Three basic policies were at the heart of the difficulty. First, vacancy notification requirements often allowed—and sometimes, perversely, encouraged—retiring teachers to give very late notice of their intention to resign, making it difficult to know where vacancies would exist in September. Second, transfer requirements further stalled the process. Teachers already within the system received the first pick of openings before any new teacher could be hired, and state policies and collective bargaining agreements that force schools to hire transferring teachers further compounded the problem by making principals reluctant to post vacancies for fear of being compelled to accept an underperforming

Crucially, the report included four specific recommendations for how policymakers should improve the recruitment process.

transfer. Third, late budget timetables created chronic budget uncertainties, leaving district officials unsure about which openings would receive funding in the coming year. *Missed Opportunities* notes that in “46 states, the fiscal year does not end until June 30; even

then, states may not need to pass a budget if they seek an extension.”

Crucially, the report included four specific recommendations for how policymakers should improve the recruitment process. More specifically, *Missed Opportunities* recommended revising the notification requirement for retiring or resigning teachers, reforming collective bargaining transfer requirements, instituting earlier and predictable budgetary calendars, and revamping human resource departments. Perhaps most importantly, *Missed Opportunities* stimulated further study.

The Annie E. Casey Foundation funded a second TNTP report, *Unintended Consequences*, which was released in 2005. Building on the insights of *Missed Opportunities*, *Unintended Consequences* drilled down on the specific question of how teacher employment contracts exacerbate the human capital crisis. Again, TNTP crunched the numbers, painstakingly reviewing data from five large urban school districts across the United States. The findings were once again impressive—and enormously useful for policymakers.

Unintended Consequences focused on the contractual staffing rules governing “voluntary transfers” and “excessed teachers.” (“Voluntary transfers” refers to tenured teachers who want to move between schools

within a district, while “excessed teachers” refers to tenured teachers released from a specific school, usually because of budget cuts or declining student enrollment.) These rules were often the result of collective bargaining agreements—and, the report argued, they were having the unintended consequence of keeping poorly performing teachers in the system, while blocking out promising new talent.

The authors of the report went to considerable lengths to emphasize that they did not oppose collective bargaining agreements per se. Such agreements, they noted, were prompted by real problems and “resulted in real improvements for teachers.” But, the agreements were

often modeled on the contracts that governed labor relations at industrial factories, many of which assumed that workers were essentially interchangeable. Unfortunately, that assumption is deeply problematic when applied to education; teachers do not work on a production line, and the quality of their work can differ dramatically. A system that had originally been designed to protect good teachers from the capricious actions of poor

management eventually—and quite unintentionally—turned into a job-protection scheme for bad teachers. Students were paying the price.

The problem, the report argued, was that collective bargaining rules were forcing urban schools to hire large numbers of teachers they did not want. (Indeed, the report found that “40 percent of school-level vacancies, on average, were filled by voluntary transfers or excessed teachers over whom schools had either no choice at all or limited choice.”) Because collective bargaining rules made terminating a tenured teacher for poor performance so difficult, principals were encouraging their worst teachers to transfer to other schools. Such teachers knew that they could transfer to any other school within the district that posted vacancies. As a result, instead of being terminated, poorly performing teachers were bouncing from school to school. Meanwhile, to prevent being stuck with one of these poorly performing teachers, many principals held off posting vacancies, which meant that new teacher applicants—including very attractive candidates—were being lost to late hiring.

Unintended Consequences focused on the contractual staffing rules, rules that were often the result of collective bargaining agreements—and, the report argued, they were having the unintended consequence of keeping poorly performing teachers in the system, while blocking out promising new talent.

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The report concluded by proposing a series of reforms that focused on four areas. First, it recommended revisiting the rules governing the manner and timing of voluntary transfers and excessed teachers. Second, it called for rewriting the provisions within transfer and excess rules that privileged poorly performing senior teachers over promising novice teachers. Third, it urged the adoption of better evaluation and dismissal procedures. Fourth and finally, it advocated instituting meaningful rewards for effective senior teachers. Such reforms were intended to ensure that the placements of voluntary transfers and excessed teachers were based on the mutual consent of the teacher and receiving school, to allow the timely hiring of new teachers, and to better protect novice teachers who were making positive contributions to their schools.

Unintended Consequences received substantial attention and drove policy changes from California to New York City. Alan Bersin, then Secretary of Education for California and formerly San Diego's superintendent of schools, says, "*Unintended Consequences* shows how outdated rules restrict our ability to hire promising candidates, keep the strongest novices, and secure great teachers for classrooms where they are most needed. Failure to renegotiate these work rules can no longer be reconciled with properly serving our students or supporting our teachers."

Joel Klein, chancellor of the New York City schools, shares the sentiment. Klein calls TNTP "an invaluable partner," and notes that "they've done important research and analysis, work that set the groundwork for a major restructuring of our teacher collective bargaining agreement. In particular, they helped create an open-market transfer system, one that benefits our teachers—and our students."

Shortly after the release of *Missed Opportunities*, the New York City Department of Education engaged TNTP to conduct a thorough evaluation of its teacher-hiring procedures. TNTP discovered that those hiring processes seriously undermined teacher recruitment for nearly every school in the district. Michelle Rhee, founder and then-CEO of TNTP, delivered her organization's findings before an independent arbitration panel. The panel endorsed TNTP's findings, and its non-binding recommendations were adopted by the city and the teachers' unions.

TNTP has had similarly outsized impact in California. After reading *Unintended Consequences*, California State Senator Jack Scott (Democrat-Altadena) worked with TNTP and the California advocacy group **EdVoice** to create and advance Senate Bill 1655. SB 1655 was intended to implement many of the report's recommended policies; essentially, it aimed to give low-performing schools a bigger say in which teachers they hire.

More specifically, SB 1655 required mutual consent between teacher and school for voluntary transfers, ensuring that a teacher can never be transferred to a low-performing school without the principal's permission. It also prohibited districts from prioritizing voluntary transfers over other applicants after April 15, thereby freeing every school to consider all teacher candidates equally after this date—and hire the best ones for the job.

To build awareness of the problem and clearly define the bill's purpose, EdVoice and TNTP covered the bill in a special symposium, met with newspaper editorial boards, and testified before mem-

bers of the California Legislature's Education Committees. When opposition mounted from groups concerned that the bill might negate teachers' seniority rights, Senator Scott and EdVoice reached out to legislative allies and civil rights groups, making the case for why the changes were necessary. Supported by the research, they persuaded legislators to vote "Yes." The bill ultimately gained broad bipartisan support and was signed into law in August 2006.

SB 1655 served as a watershed moment in TNTP's campaign to see the report's recommended reforms implemented more broadly. Although the bill does not contain all of the report's recommendations, it goes a long way toward balancing the desires of teachers with the needs of schools to staff their classrooms early and effectively, and it provides a model that legislators in other states can look to for achieving their own reforms.

Regional grantmakers—such as the Joyce Foundation in Chicago and Milwaukee—began building on the TNTP template, funding similar work in their own communities. With support from the Joyce Foundation, TNTP partnered with Milwaukee Public Schools to undertake a comprehensive assessment of teacher hiring policies. Once again, TNTP found that preferential treatment for teachers already within the system was having a negative effect on recruiting new talent. TNTP recommended a number of reforms; the city acted on them. The new contract between the district and the teachers' union implemented many of TNTP's proposals, most importantly among them a measure to give a hiring edge to high-challenge public schools.

Today, TNTP is continuing its work in improving the hiring practices at major school districts nationwide. Its clients currently include

The TNTP reports offer a nearly perfect illustration of how research can lead directly to reform.

(among others) Baltimore, Chicago, New Orleans, Oakland, Philadelphia, and Washington, D.C. By demystifying the issues, providing data, and offering solutions, “we break down the most commonly cited excuses,” says TNTP president Timothy Daly.

The TNTP reports offer a nearly perfect illustration of how research can lead directly to reform. First, the reports identified a real problem—but a real problem that policymakers could realistically address. Second, TNTP brought hard data and solid analysis to the table. Third, TNTP not only performed rigorous analysis of the data, but it then translated its findings into clear, common-sense prose. Fourth, the research was not a one-time event; rather, it was part of a series of reports that built on and reinforced one another. Finally, the studies provided policymakers with actionable recommendations, drawing out a roadmap, with clearly visible markers, to guide policymakers along the way. And the philanthropic investment, though essential, was relatively small: the Annie E. Casey Foundation contributed \$200,000 to produce the two reports. Yet that relatively small investment has had massive and widespread impact.

Bringing Clarity to Collective Bargaining Agreements

Not all research needs to be aimed at specialists in the education sector. In January 2007, the National Council on Teacher Quality launched **tr³** (“Teacher Rules, Roles, and Rights”), an online database that provides extensive details on collective bargaining agreements, district calendars, benefits guides, and salary schedules for school districts. The intricate web of collective bargaining agreements, school board policies, and state law often confuses all but the most dedicated researchers. In order to clarify this confusion, **tr³** collects data from 100 school districts and all 50 states—including “right-to-work” districts. The site is designed to help visitors understand the rules governing the day-to-day operations of teachers and schools. Funded by the Bill & Melinda Gates Foundation, the idea behind **tr³** is to bring increased transparency to the general public, whether parents, educators, school board members, or journalists. For more information, visit the website at nctq.org/tr3.

INVESTING IN ADVOCACY

Donors interested in advocating reform policies to improve teacher quality can leverage their investment by focusing on any number of strategic priorities. They can work to improve recruitment by helping to lower barriers to entry. They can try to retain and improve new teachers by helping to institute better development programs. And they can help leverage federal funding that is intended to compensate teachers on the basis of performance.

But perhaps the most basic form of policy advocacy is “preventive.” For programmatic experiments to flourish, they need a receptive—or, at least, non-hostile—regulatory environment. Consider Teach For America. Many districts

have certification requirements that effectively preclude their schools from hiring candidates from organizations like TFA. In some places, those requirements have been waived. But waivers are temporary, and all it takes is a regulatory change to stop TFA cold. That reality is not lost on TFA’s opponents: in 2007, they went to court in an attempt to use No Child Left Behind’s teacher quality requirements to render TFA corps members ineligible to teach. An essential element of policy advocacy involves creating space for high-leverage programmatic investments to move forward.

Under the current regulatory system, educators are required to be credentialed. Maintaining onerous barriers to entry consumes enormous resources and incurs substantial opportunity costs.

Lowering Barriers to Entry

Under the current regulatory system, educators are required to be credentialed. In states where the credentialing regime is too cumbersome, many prospective candidates will be dissuaded from applying. Others are held up by archaic or irrelevant human resource policies. Maintaining onerous barriers to entry consumes enormous resources and incurs substantial opportunity costs. Reforming these credentialing regimes requires engaging in public policy advocacy. It’s controversial, yes, but necessary. After all, without a better credentialing process, even a teacher recruitment superhighway will have bottlenecks.

There are two ways for philanthropists and policymakers to lower the entry barriers for new teachers and principals: They can either improve existing credentialing regimes or offer alternative credentialing processes.

■ *Achieving Teacher and Principal Excellence*

The best-known and -funded alternative credentialing initiative is the **National Board for Professional Teaching Standards**. The program was originally intended to serve as an advanced credential for “master teachers;” today, approximately 64,000 educators nationwide have earned its certification in a variety of subjects. Since its inception in 1986, it has received over \$129 million from the federal government, \$143 million from philanthropic and private sources, and it continues to receive roughly \$100 million every year from states and school districts through various subsidies for candidates.

Unfortunately, there is some question as to whether or not National Board Certified Teachers (or NBCTs) significantly improve student achievement. The issue is being carefully studied by multiple researchers. As of today, it appears that teachers who complete the National Board certification process are at best marginally better than the general population of teachers, as well as the specific population of teachers who applied for, but did not earn, the certification.

The American Board runs a program called “Passport to Teaching,” a flexible, computer-based credentialing program designed for mid-career professionals to complete while still working full time.

The findings are modest enough to raise serious cost-benefit questions. Moreover, NBCTs are unevenly distributed; today, they are much more likely to teach in affluent communities, while the need is greatest in low-income communities. Indeed, only a handful of states employ incentives to

encourage NBCTs to teach in under-resourced schools.

In part as a response to concerns about the National Board, a second alternative credentialing regime was founded in 2001: the **American Board for Certification of Teacher Excellence**. Intended to be an entry-level credential, the American Board runs a program called “Passport to Teaching,” a flexible, computer-based credentialing program designed for mid-career professionals to complete while still working full time. (The American Board is also developing a Master Teacher credential, akin to the National Board’s certification.) According to American Board president David Saba, his organization has received \$36.5 million in federal assistance and an additional \$1.7 million in user fees.

Because the American Board’s credential is fully recognized in only six states and has certified only 1,000 teachers as of June 2008, research regarding its effectiveness has been minimal. In 2007, Mathematica Policy Research released a study titled “Teacher Licensure Exams: How

Do They Compare?” It was the most comprehensive study to date, and it determined that the American Board’s assessments are as rigorous as, if not more rigorous than, comparable assessments now used by the states to certify teachers. Further research is underway.

A number of policy advocacy organizations—groups like the National Council on Teacher Quality, the Thomas B. Fordham Institute, and The New Teacher Project—work with state and local policymakers to reform existing barriers to entry. Reform efforts are also needed to address small but problematic provisions in state or local policy that hinder the ability of poor and rural communities to attract the best teachers.

More than any other strategic priority, addressing the distributional challenge means changing public policy. Lockstep salary schemes make it difficult—if not impossible—to use compensation to recruit educators to work in underserved communities or teach in understaffed subject areas. State and local policies often work at cross-purposes with the goal of improving teacher distribution. If public schools are to systematically place educators where they are needed most, they will need to see changes in longstanding public policies.

Between further research, policy advocacy, and alternative programs, there are plenty of opportunities for grantmakers seeking to address policy barriers to getting more teachers into high-need schools.

Retaining New Teachers through Better Induction

Good support programs for new teachers can significantly reduce turnover, which in turn saves money while improving teacher effectiveness. Indeed, one recent study has shown that every \$1.00 invested in new teacher support programs returns \$1.66 within five years. To that end, the New Teacher Center (NTC) works with administrators, reformers, unions, researchers, and policymakers to advocate for the establishment and funding of high-quality induction programs for educators. In May 2005, for example, the Joyce Foundation and NTC co-hosted the Midwest Teacher Induction Policy Summit. As a result of that conference, education stakeholders in Illinois were able to secure an additional \$2 million in state funds to support ten induction pilot programs throughout the state. NTC hopes to replicate its Illinois success in Ohio and Wisconsin, both of which are reevaluating their teacher support programs.

Reforming Compensation

The federal government has tried to jumpstart efforts to modernize teacher compensation with the establishment of the **Teacher**

Incentive Fund (TIF). TIF supports state and local efforts to implement performance-based teacher- and principal-compensation systems in high-poverty schools. The program has multiple goals: improving student achievement, reforming educator compensation, and getting good teachers into high-poverty and minority schools. In its original conception, TIF was to receive an annual \$500 million budget, but funding for the program has amounted to about one-fifth of that—\$97 million in 2008. At the same time, opponents of the idea of pay-for-performance constantly threaten TIF during the federal appropriations process, limiting the program's wider adoption and raising concerns about sustainability among grantees.

The goal of TIF is to promote the modernization of teacher contracts nationwide by underwriting the costs of differential salaries based on skills, expertise, and performance. To that end, TIF has made a series of major grants, including \$14 million over five years to support an effort led by New Leaders for New Schools to reward principals who turn around their schools, as well as a grant of \$27 million over five years to assist TAP implementation in 40 of Chicago's public schools.

The Joyce Foundation and **The Chicago Public Education Fund** played an instrumental role in securing the TIF grant for Chicago. Like Joyce, the Fund works hard to capitalize on emerging opportunities. Founded in 2000 by an actively engaged group of some of Chicago's most prominent business and civic leaders, the Fund is a venture philanthropy that sets ambitious goals with the district and helps its portfolio of programs create strategic plans, hire management teams, recruit board members, and develop additional sources of financial support. The Fund works with its partners to establish specific goals and benchmarks—and directly links funding to performance. When it learned of the TIF grant opportunity, the Fund began collaborating with Joyce immediately.

Their collaborative work offers an illustration of the convening and networking role that philanthropy can play. Joyce had persistently tried to call attention to the problems of teacher quality in high-need schools, pushing the issue on the local and state policy agenda, while the Fund had invested in creating an unprecedented pipeline of teacher and principal talent through its portfolio of programs. Its breakthrough came when the two organizations alerted the school district about the grant opportunity opened by the passage of TIF.

Joyce and the Fund convened meetings for stakeholders to build support for a grant application. They spread information about TAP. They sat on the committee that developed the grant proposal. They helped identify an external evaluator. And, once the Windy City had

won the grant—the largest ever awarded by the U.S. Department of Education—Joyce underwrote the new program director for Chicago’s TAP schools and the long-term evaluation, while the Fund provided funding and direct support for communication and implementation, including working closely with the local management team to ensure key benchmarks are being met and that the project remains a human capital priority for Chicago Public Schools. The Fund also sits on the joint union–district governance council which oversees the pilot. These efforts demonstrate that supporting reform can mean more than directly funding projects: “We could have played a constructive role even without money, or with just a small investment,” says Gretchen Crosby Sims, director of strategic initiatives at the Joyce Foundation.

Of course, convening and networking are not the only top-down strategies available to donors thinking about how to reform teacher compensation. Grantmakers can also support research and advocacy groups working to change existing policies. One tactic involves funding policy research shops like TNTP or the **National Center on Performance Incentives** at Vanderbilt University. Another tactic involves supporting policy advocacy groups like the **Center for American Progress**, the **Center on Reinventing Public Education**, Education Sector, Education Trust, the National Council on Teacher Quality, and the Thomas B. Fordham Institute. All of these groups are working to change policy and practice at the local, state, and national levels. As with grants for programmatic initiatives, donors must ensure that policy and advocacy organizations have both the capacity to complete the project and well-developed plans to achieve impact.

What to Do with Teachers’ Unions?

Three views for change

Education is a heavily unionized industry. More than 80 percent of teachers belong to one of the two major teachers’ unions, and outside the South (and a handful of other states) most teachers are covered by collective-bargaining agreements of some sort. Whether grantmakers choose to work with or against America’s teachers’ unions, they must recognize their sizable resources and considerable influence.

Presented here are three experts discussing three strategies for dealing with teachers’ unions. First, Andrew Rotherham (the author of this guidebook) makes the case for funding reformers within the unions. Second, Frederick Hess offers several strategies for bypassing union influ-

ence by sponsoring alternative organizations and supporting superintendents committed to aggressively changing district human resource systems. Third, Scott Walter argues that serious human capital reform must involve confronting teachers' unions through measures like pay-check protection, school choice, and public relations campaigns.

What to do with teachers' unions? Work with them.

Teachers' unions often resist serious human capital reforms. This is hardly surprising. Membership organizations have a built-in bias towards addressing the present-day concerns of their current constituents rather than securing benefits for future members or their industry overall. As a result, many teachers' unions are strongly attached to "steps and lanes" salary structures, suspicious of alternative certification programs, and skeptical about new, non-traditional entrants in the field.

But this challenge presents philanthropists with a real opportunity. Teachers' unions are, and will continue to be, a fixture on the education landscape, and their enormous resources can be as much a force for change as a force against it. That's why some grantmakers have begun exploring ways to invest in making the unions themselves into agents of change by supporting the reformers within their ranks and supporting reform ideas that teachers' unions can embrace.

Of course, getting unions to back reforms can be easier said than done. It can be an especially daunting challenge for union leaders, elected as they are by their membership. Dan Katzir, managing director at The Broad Foundation, notes that reform-minded union leaders have not infrequently been "tossed out of office because they were trying to do things differently." Referring to Denver's groundbreaking pay-for-performance initiative, Phillip Gonring of the Rose Community Foundation recalls that the process was "brutal on union leadership. It was essential to build political support for them."

Donors interested in supporting reform-minded teachers' unions must be absolutely clear about their expectations, timelines, goals—and the challenges they expect to face. Working with teachers' unions doesn't mean abandoning

important school improvement goals, and grantmakers should be clear about their bottom line. Potential areas for giving include changing teachers' contracts to better reflect school improvement goals, experimenting with alternative compensation schemes, and developing new roles for teachers' unions, including teacher preparation, mentoring, and evaluation.

Nevertheless, grantmakers should harbor no illusions about the difficulties involved in dealing with teachers' unions. To date, donors have been frustrated, results have been scant, and the pace of reform has been slow. But unions are—and will continue to be—a major presence in the education field. And there is reason to believe they can be a force for school improvement. Consequently, donors should consider ways to build partnerships and support reformers within the unions.

Andrew Rotherham is the co-founder and co-director of Education Sector in Washington, D.C., and the author of this guidebook.

What to do with teachers' unions? Work around them.

Promoting teacher and principal excellence by collaborating with unions is at best an uncertain strategy. Therefore, when possible, donors seeking to improve teacher and principal quality would do well to work around the unions. Here are three strategies for doing so.

- Support alternative professional organizations. In right-to-work states, where educators have the right to decide for themselves if they want to join a union, many teachers join a union for the critical safeguards (like liability insurance and legal assistance) that membership provides. Donors should consider supporting alternative, professional, non-union groups that provide such benefits. The **Association of American Educators (AAE)** is one such organization, providing teachers with the key benefits of union membership, but not at the cost of the unions' anti-reform agendas. Another such organization is the **Christian Educators Association International**.

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- Engage charter schools and other providers that suffer far less from union influence or collective bargaining strictures. Charter management organizations like KIPP or High Tech High are free to recruit, compensate, deploy, and evaluate educators in more flexible and intelligent ways. High Tech High illustrates another promising option with its recently launched accredited graduate school—providing teacher training that bypasses union influence in education schools.
- Support school systems seeking to radically improve their human resource operations. Most district human resources operations seem more focused on managing paper flows than attracting talent. Redesigning human resources and embracing alternative licensure programs permits hard-charging superintendents to target non-traditional talent (like mid-career switchers), flood systems with quality hires, and create an opportunity to reshape the teaching force. Executed aggressively, such efforts have the potential to start changing the culture and political dynamics within the local union.

Frederick Hess is a resident scholar and director of education policy studies at the American Enterprise Institute in Washington, D.C.

What to do with teachers' unions? Work against them.

American K-12 education badly needs change—but the status quo is powerfully defended by the teachers' unions. Unions have repeatedly defeated reforms, and the hope for a “reform unionism” is, as education expert Terry Moe says, “a fanciful notion, based on a fatal misconception: that the unions can be counted on not to pursue their own interests.”

Teachers' unions' three sources of power—members, money, and credibility—must be confronted. Their huge membership can be diminished by expanding the space where unions have little influence. Donors can work to expand school choice. They can support charter schools. They can offer scholarships for low-income children to

attend private schools. They can work to secure tax credits and vouchers.

As union membership diminishes, so too will the tens of millions of dollars per year unions inject into anti-reform politics. “Paycheck protection” laws can likewise tighten union purse strings by making it easier for teachers—many of whom don’t support their unions’ politics—to withhold the portion of their dues going to politics. This has been tried in several states and sometimes leads to a dramatic reduction in unions’ political funds.

Yet even if philanthropists succeed in reducing the unions’ membership and political coffers, teachers’ unions will still have strong credibility because the public (with media encouragement) tends to equate “teachers’ unions” with “teachers.” Reformers must use public relations campaigns to re-frame school reform debates, so the public can see that teachers’ unions are the friend of bad teachers (as when laws and union contracts make it almost impossible to fire incompetents) and the enemy of good teachers (as when unions oppose merit pay to reward great teachers, or insist that layoffs go by seniority, not quality).

Scott Walter is a senior research analyst at the Center for Union Facts in Washington, D.C.

Making Investments Count

While discussing their support for human capital improvement, many experienced donors were eager to offer advice to prospective new entrants in the field. Each of these suggestions intends to help future donors make the most of their philanthropic investments.

- Be absolutely clear about the impact you want to have. If the investment is in a direct program, be clear about expected outcomes. If the goal is to leverage broader change, be clear about how your grantmaking will help achieve it. Target investments carefully, and be realistic about what can be accomplished.
- Think strategically. High-leverage grantmaking is possible even with limited resources. Small donors can provide services and support that in turn leverage larger grants. Larger donors, meanwhile, can serve as “pilot fish,” helping to direct and encourage more high-leverage grantmaking by others.
- Do your homework. Carefully consider the people involved in the project. Who will actually be doing the work? What is their track record for producing results? A well-written proposal may hide the limited capacity of the actual project staff.
- Decide how much visibility you are comfortable with. On controversial issues, some philanthropists and foundations may want to maintain a lower profile. Once you have established your tolerance for exposure, be sure that all grantees understand your expectations.
- Pay attention to local context. Just because an initiative has worked in one place doesn’t mean it can be successfully transferred elsewhere. Consider what is most applicable to the environment in which you work. That said, don’t feel like you have to reinvent the wheel. For instance, it could very well be a better use of resources to attract TFA or TNTP to your community than to build up a teacher recruitment program from scratch.
- Understand that high-leverage human capital reform is controversial. Many actors in the field are intractably opposed to any change that might upset their established prerogatives. Investing in reform can place a donor directly at odds with other institutions and individuals.

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- Consider requiring matching grants or contributions. It never hurts to ensure that grantees have a meaningful financial commitment to the project. At the very least, a match requirement increases the seriousness and diligence with which the recipient treats the grant and can involve additional partners in a project.
- Keep an eye out for federal dollars. Many federal grant programs require a local match. Taking advantage of federal grants not only brings additional funds to a project—it often puts those dollars to more highly leveraged use.
- Ensure that any grantmaking strategy which eventually relies on public funds has a clear sense of how those resources will be secured and sustained over time. Without careful planning, initiatives can fall apart after the philanthropic dollars stop flowing.
- Fund policy research and advocacy, but only if the grantees have the necessary expertise and institutional capacity to achieve clearly definable goals. Encourage collaboration among research groups if a single organization is not able to handle the work. Make sure there is a clear plan to communicate the work to key audiences—including policymakers.
- Talk with other donors in the field. On especially challenging issues—like working with teachers’ unions or supporting alternative compensation schemes—experienced funders can offer invaluable advice on how to avoid repeating past mistakes.
- Work with others. Wherever possible, develop strategies to leverage funding through collaboration with other grantmakers. When making risky or politically contentious investments, collaboration can also help mitigate exposure to negative publicity.
- Keep the lines of communication open. Once a grant is made, maintain contact with grantees for the entire term of the grant.
- Be willing to say, “No.” Because there are so few actors seriously committed to high-leverage human capital reform, donors sometimes feel pressured to fund something. Anything. Even suboptimal grants. Don’t. Patience is better than ineffective grantmaking.

Donor's Perspective:

Ensuring a Return on Investment for Human Capital Grants

Like many other foundations, The Eli & Edythe Broad Foundation focuses on results. When we make human capital grants to help school districts improve their ability to recruit, hire, and support quality teachers and staff, we work with the districts to devise a number of ways to measure progress: diversity and quality of hiring, program selectivity, trainee satisfaction, placement and retention rates, and fiduciary responsibility.

Every year, we work with our grantees to design a performance scorecard that enables us to compare annual progress against history, against best practices in the field, and against annual and long-term targets. The information provides us with an excellent overview of which specific grants (and grant portfolio areas) are succeeding—as well as which are not performing as expected. More importantly, the data enable us to provide concrete feedback and strategic counsel to our current and future grantees.

The key data-point for us: the degree of grantee progress on student achievement metrics. For our human capital grants, we measure four areas of academic performance:

1. Improvement in raising the percentage of students meeting or exceeding proficiency on state achievement exams;
2. Improvement in reducing the percentage of students performing at the lowest levels of proficiency (i.e., “below basic” and/or “far below basic”);
3. Improvement in reducing performance gaps between income groups; and
4. Improvement in reducing performance gaps between ethnic groups.

Similarly, when we make grants to recruit, train, and support school district or school leadership, we measure student test scores that have resulted under the leadership of principals, school boards, or superintendents who have

■ *Achieving Teacher and Principal Excellence*

been trained with Broad money. Then, we compare those results against four relative groups:

1. The historical improvement in that particular school or district;
2. Demographically comparable schools or districts;
3. Other newly placed school or district leaders not trained with Broad money; and
4. The statewide average.

We run similar comparative analyses of student results under our other investments, including public charter management organizations, efforts to provide better pay for better teachers, and efforts to extend the school day and school year to provide children with more opportunities to learn.

Recently, we have begun to analyze college readiness data, including performance and improvement on scores and participation rates (disaggregated by student subgroups) on college preparation tests (like the ACT, SAT, and Advanced Placement exams), graduation rates, and college-going rates. We are also now developing a formal “return on investment” calculation that will enable us to take into account program cost and more directly compare our monetary investments with student achievement results. We look forward to incorporating these additional measures of performance into our overall methodology, in order to advance knowledge in the field about which human capital programs and other initiatives truly are having a significant impact on the students they serve.

Dan Katzir is the managing director of The Eli & Edythe Broad Foundation in Los Angeles, California.

Ten Big Ideas in Need of Support

Many donors are getting involved in improving human capital in the education sector and are supporting a number of promising new initiatives. But there remain many unfunded projects which hold enormous promise for further gains. Here is a list of some of the big ideas that are still in need of support.

Idea 1:

Focus on a Single, Proof-point Location

It's true that some philanthropists here and there are collaborating on human capital issues. In Delaware, The Broad Foundation and the **Rodel Foundation** worked closely together to develop a statewide initiative known as **Vision 2015**. Moreover, perhaps the largest and most impressive collaboration to date, in fact, is occurring in post-Katrina New Orleans. In the Crescent City, Fisher, Gates, and Broad have jointly committed \$17.5 million over three years to support special programs run by organizations like Teach For America, New Leaders for New Schools, and The New Teacher Project.

But nowhere to date have philanthropists collaborated in a concerted effort to simultaneously address every point in a teacher's career trajectory. It's an idea whose time has come. A group of donors could easily combine their resources and choose a single city as an experiment in partnering together to achieve comprehensive and dramatic reform. The combined effort would work simulta-

neously to attract new talent into education, create new training routes for top-notch prospects, distribute resources where the challenge is greatest, and alter the compensation structures to reward excellence.

Effective organizations are already undertaking pieces of this work; coordinating them in a few high-need cities with the right leadership and political climate (like Newark, New Jersey, Washington, D.C., or Chicago) could serve as a powerful "proof-point" for the possibilities of dramatic human capital reform. There is a compounding effect to suc-

There is a compounding effect to successful reform initiatives, so that (for example) advances in compensation often improve recruitment. For that reason, a coordinated effort has potential for much more impact than a singular commitment to any one priority.

■ *Achieving Teacher and Principal Excellence*

cessful reform initiatives, so that (for example) advances in compensation often improve recruitment. For that reason, a coordinated effort has the potential for much more impact than a singular commitment to any one priority. (While the combined philanthropic outreach in New Orleans seems to resemble such an effort, its utterly unique circumstances have made the goal not reforming, but rather re-establishing, a shattered school district.) What is more, such coordination provides an occasion to help steer sizeable resources more effectively. In many communities, cumulative giving from local sources represents a substantial investment, one which could leverage broader change were it more focused.

Idea 2:

Create a New Model for Colleges of Education

The traditional college of education faces increasing competition from the many new experiments in the field: AUSL in Chicago, the Boston

But the boldest idea has yet to be acted on: to create a new college of education that trains practitioners, researchers, and policy analysts, side-by-side.

Residency Program, and High Tech High's Graduate School of Education in San Diego, as well as the partnership of Hunter College with Achievement First, KIPP, and Uncommon Schools in New York City. To all of these, add the new Department of Education Reform at the University of Arkansas, sup-

ported by a \$10 million grant from the **Windgate Charitable Foundation, Inc.**, which was in turn matched by funds from a larger Walton Family Foundation grant.

But the boldest idea has yet to be acted on: to create a new college of education that trains practitioners, researchers, and policy analysts, side-by-side. Such a "green field" initiative would attract considerable opposition. Yet there are a number of cities with the resources to see down any controversy: a strong philanthropic sector, a large number of novice teachers, and a cadre of veteran instructors.

If history is any guide, it is unlikely that today's colleges of education will substantially reform themselves without real competition from other providers. In other words, new entrants in teacher training hold the most promising prospects for redirecting the massive resources that are now sunk into ineffective teacher preparation programs.

Idea 3:

Devise Good Alternative Teaching License Procedures in Every State

Current licensing procedures are altogether too burdensome and drive too many prospective teachers away from the field of education. Alternative and non-traditional routes to teacher certification are crucial for overcoming this obstacle.

But not all alternative routes are created equal, and many are not really alternative at all. According to the National Council on Teacher Quality, “While nearly every state now has something on its books that is classified as an ‘alternate route to certification,’ only six states offer a fully genuine alternative, one that provides talented individuals with an accelerated and responsible pathway into the profession. With some modification of one or two components, an additional 15 states could also meet a genuine standard.” NCTQ defines genuine alternative routes to certification as including a manageable amount of coursework, a maximum program length of two years, a course-load relevant to the immediate needs of new teachers, a strong mentoring program for new teachers, and a diversity of providers located both inside and outside of traditional university-based programs.

Donors could help young teachers cope with two of their biggest financial challenges: buying a first home and saving for retirement.

In many states, there is an opportunity for donors to partner with organizations and create alternative routes into the teaching profession. Grantmakers can sponsor teaching fellowship programs, for instance, or provide support to prospective teachers and principals in strong alternative-licensing programs.

Idea 4:

Redirect Teacher Incentives

While there are some promising reforms for changing teacher incentives underway, there remains plenty of room for philanthropists to support and champion still bolder ideas. One such idea involves reconfiguring compensation packages to attract talented new prospects into the field. In particular, donors could help young teachers cope with two of their biggest financial challenges: buying a first home and saving for retirement.

As for home purchases, donors would do well to consider the example of San Jose’s mayor, Ron Gonzales, who recently began offering teachers forgivable loans for home down payments, in order to help teachers afford Silicon Valley’s expensive real estate market. Indeed, where real estate is most expensive, it has the unfortunate effect of driving out new teachers from the communities they serve. With a little imagination, philanthropists can devise a number of strategies to help teachers and principals afford homes in the communities where they work, to the mutual benefit of both school and neighborhood.

As for retirement saving, career teachers are still generally covered by defined-benefit pension plans. But not all prospective educators plan on staying in the field long enough to earn those benefits—a reality that keeps some potential candidates out of the classroom altogether. There are a number of different ways for donors to help devise new, portable retirement savings vehicles as a way to recruit and retain promising teachers and principals. Young teachers are smart enough to know what money saved now will be worth by the time they reach retirement.

Idea 5:

Build Knowledge-management Tools

Teachers need more and better tools to help them do their work. Nonprofit organizations like **Teachscape**, as well as for-profit companies like **Wireless Generation**, have already shown a few of the ways

Promising ideas include providing teachers with real-time feedback and coaching, constructing wiki-like platforms to build and organize knowledge, and instructing teachers on how best to gather, analyze, and apply data.

that technology can be used to increase teacher effectiveness and productivity. Promising ideas include providing teachers with real-time feedback and coaching, constructing wiki-like platforms to build and organize knowledge, and instructing teachers on how best to gather, analyze, and apply data.

At the moment, such knowledge-management tools are sorely underdeveloped; indeed, Ted

Mitchell of NewSchools Venture Fund notes that “the market for professional development tools is badly formed.” But the current deficiencies mean there are many openings for quality providers. Charter schools, in particular, have been willing to experiment with new technologies. One California charter school network, for example, uses earpieces to provide real-time

coaching for new teachers from a veteran teacher unobtrusively observing in the back of the classroom.

Organizations need better management tools every bit as much as individual practitioners. Some cutting-edge initiatives—like New Leaders for New Schools and Teach For America—already rigorously evaluate their work and create feedback loops for constant self-improvement. TFA, for instance, received support from several key backers to partner with Mathematica Policy Research and undertake a randomized evaluation of their teacher effectiveness. Yet within the field of education as a whole, very little systematic work has been done to identify and publicize effective practices.

A step in the right direction can be found in the **Effective Practice Incentive Fund**, an initiative spearheaded by New Leaders for New Schools. The fund not only identifies and rewards effective educators—it also works hard to spread its findings widely within the education sector. Backed with funds from the federal Teacher Incentive Fund, local school districts, and philanthropic grantmakers, the Effective Practice Incentive Fund represents one way that donors can try to improve the understanding of, and disseminate information regarding, the very best practices in the field. (Please see Chapter VIII for more information.)

Idea 6: Address the Rural Challenge

Like the inner cities, rural communities have to confront a chronic shortage of outstanding teachers and principals. There are a few ongoing human capital initiatives with rural components; TFA, for example, places educators in remote areas of North Carolina, Texas, and the Mississippi Delta. Yet despite the acute need, there are few large-scale efforts aimed at attracting educators to rural communities. “When a school is in a thriving metropolitan area, people—particularly young people—are more likely to move there. People with families and young folks are less likely to move to a rural area,” says Tom Torkelson, the founder of **IDEA Public Schools**, a public charter school network along the Rio Grande Valley.

There is reason to hope that technology will alleviate some of the problems confronting rural communities—Advanced Placement courses, for example, can be offered online. But technology alone cannot solve the core challenge of getting effective

Grantmakers can address that core challenge directly by helping develop teacher preparation and licensing programs through rural community colleges.

■ *Achieving Teacher and Principal Excellence*

teachers and principals into rural communities. Grantmakers can address that core challenge directly by helping develop teacher preparation and licensing programs through rural community colleges, a strategy which has proven effective in bringing much-needed nurses to some rural communities. Similarly, interested donors should avoid treating the rural lifestyle as a drawback, and instead underscore the benefits of living and working in the country. For some prospective educators, the opportunity to live in a small town, own some property, and work in a quiet, beautiful location may well be a rather attractive proposition.

Idea 7:

Swap Tomorrow's Benefits for Today's Compensation

Teacher compensation is heavily backloaded: teachers earn a large percentage of their overall career compensation in their last few years on the job. Yet research shows that effectiveness plateaus much earlier in a teacher's career, and many young teachers leave the field before earning the more substantial benefits. At the same time, many states have significant unfunded liabilities in their teacher pension systems; according to the National Association of State Retirement Administrators, California, Illinois, Ohio, and Texas each have more than \$10 billion in unfunded pension liability.

As policymakers consider ways to address the problem of sustainability, they can also consider ways to modernize how teachers are compensated. For instance, proposals have been floated to frontload compensation to the earlier years of a teacher's career, and to finance this shift by redistributing the entire compensation structure. The idea isn't to pay teachers less, but rather to distribute aggregate pay differently in order to make education more lucrative earlier in a teacher's career. Any reform of this nature will carry substantial transition costs, since existing arrangements must be honored while new initiatives are instituted. Philanthropists are ideally positioned to help underwrite such transition costs and accelerate the movement towards a more frontloaded compensation scheme in school districts nationwide.

Idea 8:

Leverage Charter Schools as the Leading Edge of Teacher and Leader Effectiveness

Charter schools may represent the largest missed opportunity in learning from the use and study of model human resource practices. For example, although charters have much greater flexibility, only a small segment use value-added data in teacher evaluation, differentiated pay tied to per-

formance, or strategic staffing related to class size. In fact, with a few exceptions, most of the innovations in charter schooling have been on the management and organizational side of schools, not in the classroom. Donors should use the inherent flexibilities that charter schools have to leverage the best of what we know about maximizing teacher and leader impact, investing in innovative ideas along all links of the human capital chain, and underwriting applied research and development.

Idea 9:

Create Incentive Prizes to Encourage Reform

In recent years, philanthropists have increasingly come to appreciate the virtues of large-purse incentive prizes. Revitalized by the **X PRIZE Foundation's** awards in aerospace technology and health care, incentive prizes have come to be well-established means for catalyzing major breakthroughs on specific problems. In other words, when structured properly, incentive prizes encourage research development and real-world solutions. It's not by accident that those competing for the prize often end up investing more in research and development than the prize itself is actually worth: that's the whole idea. Of course, the challenge of designing a prize is greater for a field like education, where outside of discrete issues like curriculum and technology the definition of "solution" is often less concrete. Nevertheless, a philanthropist could experiment with, say, offering to fund the best-designed teacher pay reform plan, or proposing to support the winning peer-review evaluation system.

Idea 10:

Maximize Strategic Use of Technology in the Classroom

Computers have been in K-12 classrooms for almost three decades now, but they have never quite lived up to their hype. That may be about to change, however. Until recently, computers were "crammed" into the classroom, as Harvard Business School professor Clayton Christensen likes to say. What Christensen means is that educators tried to fit computers into pre-existing curricula; computers have been treated as glorified typewriters in many English classes, as advanced calculators in many math classes, and as compact card catalogues in many social studies classes.

What educators have not yet done, in a sustained and transformative way, is employ computers to deliver educational content directly to students. As educational software continues to improve, computers will become

increasingly able to provide independent educational instruction. They will be an invaluable tool for addressing the teacher distribution challenge: any computer with an internet connection will be able to provide quality (and increasingly personalized) instruction—in any school, anywhere in the country.

One practitioner already working in this space is **Reasoning Mind, Inc.** Reasoning Mind is the brainchild of Alexander Khachatryan, a Russian mathematician who moved to the United States in 1990 with his wife, his son, \$700 in cash, three suitcases, and 50 crates of books. When Khachatryan found that his son was having difficulty with learning math in school, he decided to create an integrated, web-based mathematics teaching module. The fruit of that decision was the establishment in 2000 of the Houston-based nonprofit Reasoning Mind. Using Reasoning Mind's software, teachers control and coordinate the learning process, interacting with students, tutors, and the system, while students get help from online tutors who mentor students and set up virtual classrooms to aid the learning process. Between 2003 and 2005, Reasoning Mind refined its fifth-grade math sequence, positing 187 learning objectives, integrating over 600 animations, and offering over 8,000 original problems. Reasoning Mind has now fully developed its fourth-, sixth-, and part of its seventh-grade basic math curricula. There are plans to add curricula for advanced mathematics and basic science in the future.

Ernest (“Ernie”) Cockrell, the chairman of Reasoning Mind's board, is quick to note that the program is self-paced and individualized, and that it offers instruction that is immediate, inexpensive, scalable, and uniform. Initial testing has shown impressive student learning gains, at a cost of only \$50 per student per year (based on sites in Houston and Dallas in 2007). Cockrell says he hopes to expand the instructional software to 80,000 students by 2011, at which point the product will become profitable and self-sustaining. But, he hastens to note, donors played an invaluable role in “jump-starting” the Reasoning Mind project. During its development and implementation phases, Reasoning Mind has received over \$12 million in grants from private foundations and individuals, including Forrest Høglund (vice chairman of Reasoning Mind's board) and the **Høglund Foundation**, the ExxonMobil Foundation, the Houston Endowment, Inc., the **Cullen Foundation**, the **Fondren Foundation**, and Ernie Cockrell and the **Cockrell Foundation**, as well as considerable support from a number of other donors. Indeed, without such multi-year philanthropic commitments, Reasoning Mind might never have sparked to life.

Conclusion

Research has convincingly shown what parents and educators have long suspected: *teachers matter more to student learning than anything else schools do*. Good teachers and principals are the prerequisites to school success and student achievement. Other elements of education reform—advanced technology, improved curricula, and expanded school choice—all hold promise for improving education. But none of these reforms can succeed without improving the quality of America’s teachers and principals. Better educators remain the key to better schools.

Yet within the field of education, human capital is insufficiently recruited, inadequately trained, inequitably distributed, and unfairly compensated. These are problems that the philanthropic sector is well-positioned to address. Individual donors enjoy a great deal of flexibility, which allows for experimentation and creativity. Moreover, many policymakers avoid risky and sometimes controversial human capital reforms, leaving the field open for philanthropists to act as educational entrepreneurs, catalysts, and innovators.

There is certainly no shortage of opportunities for the thoughtful donor. Though the problem is widespread, there are a variety of ways philanthropists—both large and small—can play an invaluable role. They can help launch promising new organizations that will hit the ground running, or they can pair with some of the many high-quality nonprofits already at work in the field. Donors can also support research and advocacy, with the larger goal of influencing policymakers and driving wholesale reform of human capital practices.

There is no single best strategy, nor any one ideal grant. Rather, there are many great opportunities for particular donors at specific times. This guidebook is a resource for philanthropists as they begin to think deliberately about which human capital opportunities to pursue.

American students deserve world-class schools, which they will only get if they have world-class educators in every classroom. If, in 20 years’ time, the United States has better and more equitable schools, it will be in large measure because of greater attentiveness to education’s human capital. And if that happens, it may well be the result of far-sighted philanthropy, undertaken by donors who supported the work that led to better teachers, better principals—and better-educated students.

Appendix A: Projects Mentioned

Academy for Urban School Leadership

3400 N. Austin Ave.
Chicago, IL 60634
773.534.0129
ausl-chicago.org

Achieve, Inc.

1775 Eye St., NW
Suite 410
Washington, DC 20006
202.419.1540
achieve.org

Achievement First

790 E. New York Ave.
Brooklyn, NY 11203
718.774.0906
achievementfirst.org

Advanced Placement Strategies, Inc.

8350 North Central Expy.
Suite 300
Dallas, TX 75206
214.599.9700
apstrategies.org

Alliance for Catholic Education

University of Notre Dame
112 Badin Hall
Notre Dame, IN 46556
574.631.7052
ace.nd.edu

American Association of Colleges for Teacher Education

1307 New York Ave., NW
Suite 300
Washington, DC 20005
202.293.2450
aacte.org

■ *Achieving Teacher and Principal Excellence*

American Board for Certification of Teacher Excellence

1225 19th St., NW
Suite 400
Washington, DC 20036
877.669.2228
abcte.org

Association of American Educators

27405 Puerta Real
Suite 230
Mission Viejo, CA 92691
949.595.7979
800.704.7799
aaeteachers.org

Bill of Rights Institute

200 N. Glebe Rd.
Suite 200
Arlington, VA 22203
703.894.1776
billofrightsinstitute.org

Boettcher Teachers Program

1244 Grant St.
Denver, CO 80203
303.861.8661
boettcherteachers.org

Boston Teacher Residency

6 Beacon St.
Suite 615
Boston, MA 02108
617.227.5511
bpe.org

The Broad Center for the Management of School Systems

10900 Wilshire Blvd.
Los Angeles, CA 90024
310.954.5080
broadcenter.org
broadacademy.org
broadresidency.org

Center for American Progress

1333 H St., NW
10th Floor
Washington, DC 20005
202.682.1611
americanprogress.org

Center on Reinventing Public Education

University of Washington
2101 N. 34th St.
Suite 195
Seattle, WA 98103
206.685.2214
crpe.org

Christian Educators Association International

P.O. Box 45610
Westlake, OH 44145
440.250.9566
888.798.1124
ceai.org

Coalition of Urban Teacher Residencies

6 Beacon St.
Suite 615
Boston, MA 02108
617.227.8811
teacherresidencies.org

Core Knowledge Foundation

801 E. High St.
Charlottesville, VA 22902
434.977.7550
coreknowledge.org

Darden/Curry Partnership for Leaders in Education

University of Virginia
100 Darden Boulevard
Charlottesville, VA 22903
434.924.3900
darden.edu

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Education Pioneers

300 Frank H. Ogawa Plaza
Suite 232
Oakland, CA 94612
510.893.4374
educationpioneers.org

Education Sector

1201 Connecticut Ave., NW
Suite 850
Washington, DC 20036
202.552.2840
educationsector.org

Education Trust

1250 H St., NW
Suite 700
Washington, DC 20005
202.293.1217
edtrust.org

EdVoice

1107 9th St.
Suite 730
Sacramento, CA 95814
916.448.3868
edvoice.org

Finance Project

1401 New York Ave., NW
Suite 800
Washington, DC 20005
202.628.4200
financeproject.org

Thomas B. Fordham Institute

1016 16th St., NW
Floor 8
Washington, DC 20036
202.223.5452
edexcellence.net

Gilder Lehrman Institute of American History

19 W. 44th St.
Suite 500
New York, NY 10036
646.366.9666
gilderlehrman.org

Golden Apple Foundation

8 S. Michigan Ave.
Suite 700
Chicago, IL 60603
312.407.0006
goldenapple.org

Green Dot

350 S. Figueroa St.
Suite 213
Los Angeles, CA 90071
213.621.0276
greendot.org

Hechinger Institute on Education and the Media

Teachers College, Columbia University
525 W. 120th St.
Box 127
New York, NY 10027
212.870.1072
hechinger.tc.columbia.edu

High Tech High

2861 Womble Rd.
San Diego, CA 92106
619.243.5000
hightechhigh.org

High Tech High Graduate School of Education

2855 Farragut Rd.
San Diego, CA 92106
619.398.4902
gse.hightechhigh.org

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Houston A+ Challenge

1415 Louisiana St., Box 9
Suite 3250
Houston, TX 77002
713.658.1881
houstonaplus.org

Hunter College School of Education

695 Park Ave.
New York, NY 10065
212.772.4000
hunter.cuny.edu

IDEA Public Schools

505 Angelita Dr.
Suite 9
Weslaco, TX 78596
956.377.8000
ideapublicschools.com

Inner-City Teaching Corps

300 N. Elizabeth St.
Suite 300C
Chicago, IL 60607
312.491.9100
ictc-chicago.org

KIPP Foundation

345 Spear St.
Suite 510
San Francisco, CA 94105
866.345.KIPP
kipp.org

Math for America

50 Broadway
23rd Floor
New York, NY 10004
212.206.0053
mathforamerica.org

Mathematica Policy Research

P.O. Box 2393
Princeton, NJ 08543
609.799.3535
mathematica-mpr.com

Memphis Alliance for School Leadership

Memphis City Schools
2597 Avery Ave.
Suite 214
Memphis, TN 38112
901.416.5300

The Mind Trust

407 North Fulton St.
Suite 102
Indianapolis, IN 46202
317.822.8102
themindtrust.org

National Board for Professional Teaching Standards

1525 Wilson Blvd.
Suite 500
Arlington, VA 22209
800.228.3224
nbpts.org

National Center on Performance Incentives

Vanderbilt University
Peabody 43
230 Appleton Dr.
Nashville, TN 37203
615.322.5538
performanceincentives.org

National Commission on Teaching and America's Future

2100 M St., NW
Suite 660
Washington, DC 20037
202.429.2570
nctaf.org

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National Council for Accreditation of Teacher Education

2010 Massachusetts Ave., NW
Suite 500
Washington, DC 20036
202.466.7496
ncate.org

National Council on Teacher Quality

1341 G St., NW
Suite 720
Washington, DC 20005
202.393.0020
nctq.org

National Education Association

1201 16th St., NW
Washington, DC 20036
202.833.4000
nea.org

**National Institute for Excellence in Teaching
Teacher Advancement Program**

1250 Fourth St.
Santa Monica, CA 90401
310.570.4860
talentedteachers.org

National Math and Science Initiative

325 N. St. Paul St.
Suite 2900
Dallas, TX 75201
214.665.2548
nationalmathandscience.org

New Leaders for New Schools

30 West 26th St.
2nd Floor
New York, NY 10010
646.792.1070
nlhs.org

New Teacher Center

725 Front St.
Suite 400
Santa Cruz, CA 95060
831.459.4323
newteachercenter.org

The New Teacher Project

304 Park Ave. South
11th Floor
New York, NY 10010
212.590.2484
tntp.org

New York City Leadership Academy

45-18 Court Square
2nd Floor
Long Island City, NY 11101
nyleadershipacademy.org

New York City Teaching Fellows

65 Court St.
Room 322
Brooklyn, NY 11201
718.935.4101
nycteachingfellows.org

Noble Street Charter School

1010 N. Noble St.
Chicago, IL 60642
773.278.6895
noblenetwork.org

Partners in Science

Rutgers University, Camden Campus
315 Penn St.
Camden, NJ 08102
856.225.6158
camchem.rutgers.edu/partners

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ProComp

Denver Public Schools
900 Grant St.
Denver, CO 80203
720.423.3900
denverprocomp.org

Progressive Policy Institute

600 Pennsylvania Ave., SE
Suite 400
Washington, DC 20003
202.547.0001
ppionline.org

Public Education Foundation of Little Rock

300 Spring Building
Suite 803
Little Rock, AR 72201
501.372.1461
fortheschools.org

Reasoning Mind, Inc.

410 Pierce St.
Houston, TX 77002
281.579.1110
713.357.9797
reasoningmind.org

Rice Education Entrepreneurship Program

Jesse H. Jones Graduate School of Management
Rice University
P.O. Box 2932
Houston, TX 77252
713.348.3722
jonesgsm.rice.edu

RISE Network

2601 Mission St.
Suite 902
San Francisco, CA 94110
415.821.7473
risenetwork.org

Teach For America

315 West 36th St.
7th Floor
New York, NY 10018
800.832.1230
teachforamerica.org

Teacher Incentive Fund

U.S. Department of Education
Academic Improvement and Teacher Quality Programs
400 Maryland Ave., SW
Room 3W229, LBJ Building
Washington, DC 20202
202.205.5224
ed.gov/programs/teacherincentive/index.html

Teachscape

731 Market St.
Suite 400
San Francisco, CA 94103
1.877.98TEACH (877.988.3224)
teachscape.com

Uncommon Schools

826 Broadway
7th Floor
New York, NY 10003
212.844.3584
uncommonschoools.org

University of Arkansas Department of Education Reform

201 Graduate Education Bldg.
College of Education and Health Professions
Fayetteville, AR 72701
479.575.3172
uark.edu/ua/der

Urban Institute

2100 M St., NW
Washington, DC 20037
202.833.7200
urban.org

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UTeach

The University of Texas at Austin
College of Natural Sciences
Office of Special Projects
1 University Station - G2550
Painter Hall 4.02
Austin, TX 78712
512.232.2770
uteach.utexas.edu

Vision 2015

100 W. 10th St.
Suite 4
Wilmington, DE 19801
302.504.5263
vision2015delaware.org

Wireless Generation

55 Washington St.
Suite 900
Brooklyn, NY 11201
212.213.8177
wirelessgeneration.com

YES Prep Public Schools

6201 Bonhomme Rd.
Suite 168N
Houston, TX 77036
713.574.7600
yesprep.org

Appendix B: Funders Mentioned

Amgen Foundation, Inc.

One Amgen Center Dr.
Thousand Oaks, CA 91320
805.447.1000
amgen.com/citizenship/foundation.html

Annenberg Foundation

Radnor Financial Center
150 N. Radnor-Chester Rd.
Suite A-200
Radnor, PA 19087
610.341.9066
annenbergfoundation.org

Benwood Foundation, Inc.

736 Market St.
Suite 1600
Chattanooga, TN 37402
423.267.4311
benwood.org

Boettcher Foundation

600 17th St.
Suite 2210 South
Denver, CO 80202
303.534.1937
boettcherfoundation.org

The Eli & Edythe Broad Foundation

10900 Wilshire Blvd.
Suite 1200
Los Angeles, CA 90024
310.954.5050
broadfoundation.org

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Brown Foundation, Inc.

P.O. Box 130646
Houston, TX 77219
713.523.6867
brownfoundation.org

Carnegie Corporation of New York

437 Madison Ave.
New York, NY 10022
212.371.3200
carnegie.org

Annie E. Casey Foundation

701 St. Paul St.
Baltimore, MD 21202
410.547.6600
aecf.org

Challenge Foundation

16415 Addison Rd.
Suite 157
Dallas, TX 75248
challengefoundation.org

The Chicago Community Trust

111 E. Wacker Dr.
Suite 1400
Chicago, IL 60601
312.616.8000
cct.org

The Chicago Public Education Fund

200 W. Adams St.
Suite 2150
Chicago, IL 60606
312.558.4500
cpef.org

CityBridge Foundation

600 New Hampshire Ave., NW
Suite 800
Washington, DC 20037
202.266.7249
citybridgefoundation.org

Cockrell Foundation

1000 Main St.
Suite 3250
Houston, TX 77002
cockrell.com/foundation

Cullen Foundation

601 Jefferson St.
40th Floor
Houston, TX 77002
713.651.8835
cullenfdn.org

Daniels Fund

101 Monroe St.
Denver, CO 80206
720.941.4422
danielsfund.org

Michael & Susan Dell Foundation

P.O. Box 163867
Austin, TX 78716
msdf.org

Draper Richards Foundation

50 California St.
Suite 2925
San Francisco, CA 94111
415.616.4050
draperichards.org

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ExxonMobil Foundation

5959 Las Colinas Blvd.
Irving, TX 75039
972.444.1104
exxonmobil.com/community

Richard M. Fairbanks Foundation, Inc.

9292 N. Meridian St.
Suite 304
Indianapolis, IN 46260
317.846.7111
rmfairbanksfoundation.org

Doris & Donald Fisher Fund

1 Maritime Plaza
Suite 1550
San Francisco, CA 94111
415.733.9721

Bill & Melinda Gates Foundation

P.O. Box 23350
Seattle, WA 98102
206.709.3100
gatesfoundation.org

Hoglund Foundation

5910 N. Central Expressway
Suite 255
Dallas, TX 75206
214.987.3605
hoglundfoundation.org

Houston Endowment, Inc.

600 Travis St.
Suite 6400
Houston, TX 77002
713.238.8100
houstonendowment.org

Hussman Foundation

P.O. Box 2221
Little Rock, AR 72203

Jaquelin Hume Foundation

600 Montgomery St.
Suite 2800
San Francisco, CA 94111
415.705.5115

Hyde Family Foundations

17 West Pontotoc Ave.
Suite 200
Memphis, TN 38103
901.685.3400
hydefamilyfoundations.org

Joyce Foundation

70 W. Madison St.
Suite 2750
Chicago, IL 60602
312.782.2464
joycefdn.org

Charles G. Koch Charitable Foundation

1515 N. Courthouse Rd.
Suite 200
Arlington, VA 22201
703.875.1600
cgkfoundation.org

Lilly Endowment Inc.

2801 N. Meridian St.
P.O. Box 88068
Indianapolis, IN 46208-0068
317.924.5471
lillyendowment.org

Milken Family Foundation

1250 Fourth St.
3rd Floor
Santa Monica, CA 90401
310.570.4800
mff.org

M. J. Murdock Charitable Trust

703 Broadway St.
Suite 710
Vancouver, WA 98660
360.694.8415
murdock-trust.org

New Profit, Inc.

2 Canal Park
Cambridge, MA 02141
617.252.3220
newprofit.com

NewSchools Venture Fund

49 Stevenson St.
Suite 575
San Francisco, CA 94105
415.615.6860
newschools.org

Partnership for New York City

One Battery Park Plaza
5th Floor
New York, NY 10004
212.493.7400
pfnyc.org

Sid W. Richardson Foundation

309 Main St.
Fort Worth, TX 76102
817.336.0494
sidrichardson.org

Robertson Foundation

592 5th Ave.
2nd Floor
New York, NY 10036
212.307.7180
robertsonfoundation.org

Robin Hood Foundation

826 Broadway
Floor 9
New York, NY 10003
212.227.6601
robinhood.org

Rodel Foundation of Delaware

100 W. 10th St.
Suite 704
Wilmington, DE 19801
302.504.5241
rodelfoundationde.org

Rose Community Foundation

600 S. Cherry St.
Suite 1200
Denver, CO 80246
303.398.7400
rcfdenver.org

W. Clement and Jessie V. Stone Foundation

1016 Lincoln Blvd.
Suite 111
San Francisco, CA 94129
415.561.6691
wcstonefnd.org

The Wallace Foundation

5 Penn Plaza
7th Floor
New York, NY 10001
212.251.9700
wallacefoundation.org

Walton Family Foundation

P.O. Box 2030
Bentonville, AR 72712
479.464.1570
waltonfamilyfoundation.org

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Washington Mutual Foundation

1301 2nd Ave.
Suite 4201
Seattle, WA 98101
206.500.2191
wamu.com/foundation

Windgate Charitable Foundation, Inc.

P.O. Box 826
Siloam Springs, AR 72761
479.524.9829

Woodrow Wilson National Fellowship Foundation

5 Vaughn Dr.
Suite 300
Princeton, NJ 08540
609.452.7007
woodrow.org

X PRIZE Foundation

1441 4th St.
Suite 200
Santa Monica, CA 90401
310.587.3355
xprize.org

About the Author

Andrew J. Rotherham is the co-founder and co-director of Education Sector, a national education policy think tank. He was appointed to the Virginia Board of Education by Governor Mark Warner in 2005. In addition to these responsibilities, Rotherham is a member of the board of directors of the Indianapolis Mind Trust and of Democrats for Education Reform, as well as a trustee of the Cesar Chavez Public Charter High School for Public Policy. He serves on a variety of committees and task forces, including the Overseers' Committee to Visit the Harvard Graduate School of Education at Harvard University, the Broad Prize Review Board, and the advisory boards for the National Charter School Research Project and the National Association of Charter School Authorizers. Rotherham formerly served as the chairman of the board of directors for the National Council on Teacher Quality, and continues to sit on the NCTQ board. He also writes the award-winning blog, *Eduwonk.com*, which *Education Week* ranked among the most influential information sources in education today.

Previously, Rotherham served President Clinton as Special Assistant to the President for Domestic Policy at the White House. He has authored more than 100 articles, chapters, papers, and op-eds on education and education policy. Rotherham has co-edited three influential books in the field, most recently (with Jane Hannaway) *Collective Bargaining in Education: Negotiating Change in Today's Schools* (Harvard Education Press, 2006).

The Philanthropy Roundtable

The Philanthropy Roundtable is a national association of individual donors, corporate giving officers, and foundation trustees and staff. The Roundtable attracts philanthropists who benefit from being part of an organization dedicated to helping them achieve their charitable objectives. In addition to offering expert advice and counsel, the Roundtable puts donors in touch with peers who share similar concerns and interests. Members of the Roundtable gain access to a donor community interested in philanthropic strategies and programs that *actually work*.

Mission

The mission of The Philanthropy Roundtable is to foster excellence in philanthropy, protect philanthropic freedom, help donors achieve their philanthropic intent, and assist donors in advancing liberty, opportunity, and personal responsibility in America and abroad.

Guiding Principles

- Voluntary private action offers solutions for many of society's most pressing challenges.
- A vibrant private sector is critical for generating the wealth that makes philanthropy possible.
- Excellence in philanthropy is measured by results, not good intentions.
- A respect for donor intent is essential for philanthropic integrity.
- Philanthropic freedom is essential to a free society.

Donor Services

Annual Meeting

The Annual Meeting is The Philanthropy Roundtable's flagship event. Donors from across the country meet to share ideas, strategies, and best practices, and hear from America's premiere experts in private innovation and forward-thinking policy.

Regional Meetings

The Roundtable's programs and services for donors include regional meetings and dinners, held in different cities throughout the year, that bring donors together to discuss issues of common concern. Many donors find that these smaller, more intimate meetings enable them to better network with peers who share similar interests.

Philanthropy

The Roundtable's bi-monthly magazine is "must reading" among donors committed to freedom, opportunity, and personal responsibility. Each issue offers donors insights on topics of significance in the philanthropic world, focuses on broad strategic questions in line with our principles, and provides real guidance and clear examples of effective philanthropy.

Guidebooks

The Roundtable's guidebooks are in-depth examinations of the principled and practical aspects of charitable giving. Our guidebooks connect donors with the best information available for achieving philanthropic excellence. The Roundtable publishes new guidebooks every year and maintains a library of past publications for members to access.

Alliance for Charitable Reform

The Roundtable works on Capitol Hill and around the country to protect the freedom and diversity of philanthropic organizations. Our Alliance for Charitable Reform has played a critical role in stopping the enactment of legislation harmful to grantmaking foundations.

Breakthrough Groups

The Philanthropy Roundtable has five Breakthrough Groups: **K-12 Education, Conservation, Higher Education, National Security, and Helping People to Help Themselves**. These are all subjects where we think philanthropy can achieve dramatic breakthroughs over the next decade.

Consulting and Referral Services

Members of the Roundtable benefit from the insights and experience of their peers. Many of our members have agreed to serve as informal advisors to their Roundtable colleagues. To fulfill donor interests outside of the scope of our mission and activities, the Roundtable collaborates with other philanthropic-service organizations or refers donors directly to other experts.

Becoming a Member

Suggested annual contributions begin at a modest level in order to encourage broad participation. However, the Roundtable depends on larger donations or grants for its continuing operations and programming. While the amount of the annual contribution is left to the discretion of each donor, members are asked to be as generous as possible in supporting the Roundtable in furthering philanthropic excellence.

The Philanthropy Roundtable is a nonprofit, tax-exempt organization under section 501(c)(3) of the Internal Revenue Code. All contributions are fully tax-deductible.

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Achieving Teacher and Principal Excellence

A Guidebook for Donors

“This book is an excellent guide for how and where the philanthropic sector can make investments in improving teacher and principal quality. We especially appreciate the emphasis on district, state, and federal policy levers that affect schools’ ability to attract and retain effective education professionals.”

Ellen Alberding, president, The Joyce Foundation

“Once again, Andrew Rotherham adeptly and provocatively points out the critical component to improving public education in America: talent. There is no substitute in the classroom or the schoolhouse for talented educators and leaders. Attracting and retaining quality teachers and principals is absolutely central to improving opportunities for students to learn.”

Eli Broad, founder, The Eli & Edythe Broad Foundation

“America’s schools need much better teachers and principals. It’s that simple. The question is how to get them. That’s where this nuts-and-bolts guidebook comes in. In *Achieving Teacher and Principal Excellence*, Andrew Rotherham explains exactly how donors can help improve the educational labor force. It’s a bold, incisive, and necessary argument. I recommend it to any philanthropist interested in getting America’s students the teachers and principals they deserve.”

Donald Fisher, co-founder, Doris & Donald Fisher Fund

“American education faces a human capital crisis, and that’s why this guidebook is ‘must reading’ for philanthropists and school reform advocates working to improve education in their cities. Wherever we see an urban school that’s producing impressive results, we find the inevitable key ingredients for success: gifted teachers and strong principal leadership. Andrew Rotherham makes a compelling, convincing, and ultimately inspiring case for the kinds of actions that produce the special brand of teachers and principals that students need and parents want.”

Barbara Hyde, president, Hyde Family Foundations

“Decades of well-intentioned but piecemeal reforms have failed to significantly raise student achievement, because they also failed to make teacher quality the cornerstone of effective education reform. How do we motivate those with high potential to choose education, and to remain in education? And how do we create systems within schools to generate excellence in teaching through continuous improvement? It requires powerful opportunities for professional growth and advancement, accountability, competitive compensation and a collaborative work environment. Andrew Rotherham provides a powerful set of lessons for philanthropists looking to make sustained and significant improvement in student achievement.”

*Lowell Milken, chairman and co-founder, Milken Family Foundation;
founder, Teacher Advancement Program*

The Philanthropy Roundtable

1150 17th Street, N.W., Suite 503, Washington, D.C. 20036

T: 202.822.8333. F: 202.822.8325. E: main@PhilanthropyRoundtable.org

Free copies of this guidebook are available to qualified donors.

Nonprofit organizations may access a free pdf at www.PhilanthropyRoundtable.org.