Investing in Innovation (i3) Fund Summary of Proposed Priorities, Requirements, Definitions, and Selection Criteria

Overview

On October 9th, the US Department of Education officially released the Investing in Innovation (i3) fund's summary of proposed priorities, requirements, definitions and selection criteria. The i3 fund is a $650 million dollar fund authorized under the American Recovery and Reinvestment Act (ARRA) to support emerging innovative education reforms. Earlier that week a pre-publication draft was circulated; however, the draft released on October 9th is the formal release seeking public comments. **Public Comments on the proposed priorities, requirements, definitions, and selection criteria, the Notice of Proposed Priorities (NPP), are due by November 9th, 2009**.

The i3 fund will provide competitive grants to eligible entities {(1) LEAs and (2) non-profit organizations in partnership with (a) one or more LEAs or (b) a consortium of schools} with a record of improving student achievement, in order to expand the implementation of, and investment in, innovative practices that are demonstrated to have an impact on improving student achievement, school readiness, closing achievement gaps, decreasing drop-out rates, increasing high school graduation rates, and improving teacher and school leader effectiveness. **Specifically, the grants will:**

- **Allow eligible entities to expand and develop their work so that their work can serve as models of best practice;**
- **Allow eligible entities to work in partnership with the private sector and the philanthropic community; and,**
- **Identify and document best practices that can be shared and taken to scale based on demonstrated success.**

In the ARRA legislation, the i3 fund (in the statute it was called the Innovation Fund, Sec. 14007 of ARRA) is only one page long. The Secretary crafted these draft priorities to support the Administration's education reform objectives, including an emphasis on serving high-need students (students at risk of academic failure) and on projects that have significant evidentiary support and potential large-scale impact. **As the Department seeks public comments, it is ESPECIALLY interested in hearing if the NPP adequately supports innovation while still meeting the Department's requirement to be good stewards of tax payer dollars.**

How Will The Proposed i3 Fund Work?

The Department of Education is likely to only administer one grant competition for the i3 fund. The Department must obligate these funds by Sept. 30th, 2010; thus, the Department is on a tight timeline to review public comments from this notice, formally release the i3 fund application, give entities enough time to craft applications, subsequently review the applications, and then make awards all by Sept. 30th, 2010.
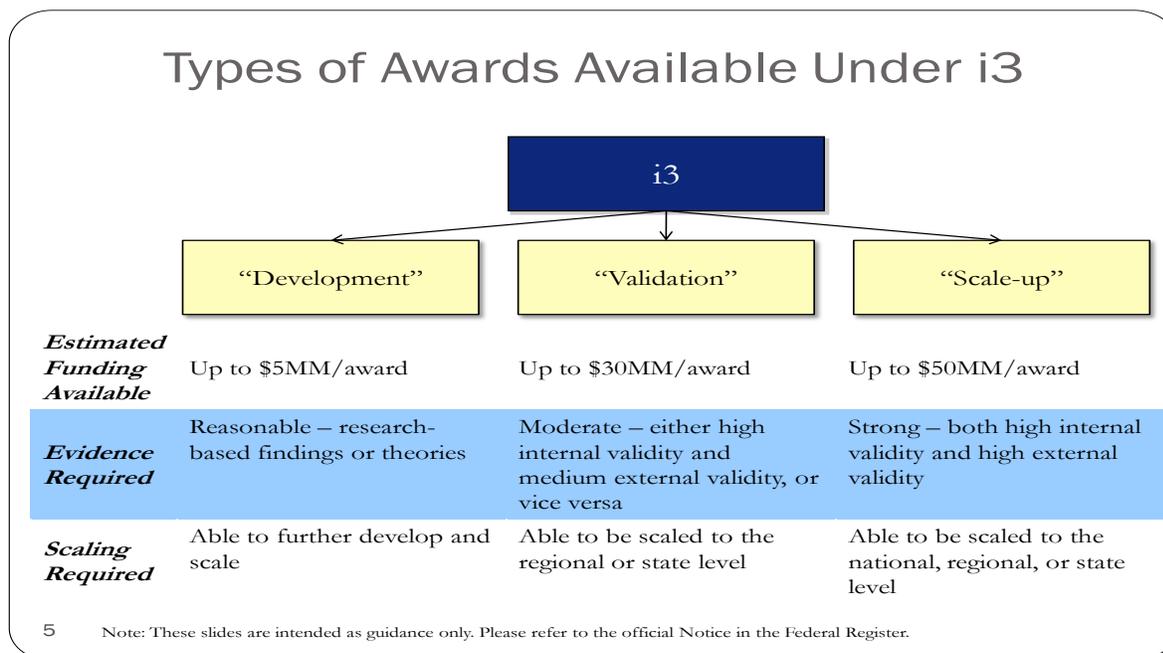
When the Department makes the awards, there will be three types of grants:

- *Scale-up Grants (up to $50 million per award) – provide funding to scale up practices, strategies, or programs for which there is* **STRONG EVIDENCE (defined in the notice and later in this document)** *that the proposed practice, strategy, or program will have a statistically significant effect on improving student achievement or student growth, closing achievement gaps, decreasing dropout rates, or increasing high school graduation rates, and that effect of implementing the proposed practice, strategy, or program will be substantial and important. Projects funded with Scale-up grants would be expected to scale their practice to the national, regional, or state levels impacting significant numbers of students.*

- *Validation Grants (up to $30 million per award) – provide funding to support practices, strategies, or programs that show promise but for which there is currently only* **MODRATE EVIDENCE (defined in the notice and later in this document)** *that the proposed practice, strategy, or program will have a statistically significant effect on improving student achievement or growth, closing achievement gaps, decreasing dropout rates, or increasing high school graduation rates, and* **that with further study, the effect of implementing the proposed practices, strategy, or program may prove to be substantial and important.** *Validation grants will support entities looking to scale to either the state or regional levels.*

- *Development Grants (up to $5 million per award) – provide funding to support new, high potential and relatively untested practices. Grants will support projects that are based on research findings (not necessarily just from education, can be other disciplines) or reasonable hypotheses. Development grants do not need to have the same level of evidentiary support as the Scale-up or Validation grants, nor do they need to plan to scale to a specific geographic region via this grant, but they must be able to be further developed and scaled.*

Entities may apply for ONLY ONE of type grant; under the draft, an entity cannot submit an application for the same project across the grant types.

See Diagram 1 for an overview of the grant types and their differences.

Diagram 1

Types of Awards Available Under i3

i3		
"Development"	**"Validation"**	**"Scale-up"**
Estimated Funding Available Up to \$5MM/award	Up to \$30MM/award	Up to \$50MM/award
Evidence Required Reasonable – research-based findings or theories	Moderate – either high internal validity and medium external validity, or vice versa	Strong – both high internal validity and high external validity
Scaling Required Able to further develop and scale	Able to be scaled to the regional or state level	Able to be scaled to the national, regional, or state level

5   Note: These slides are intended as guidance only. Please refer to the official Notice in the Federal Register.

Proposed Priorities for Awarding a Grant

When awarding an i3 grant there are 8 total proposed priorities the Department will consider: 4 absolute priorities and 4 competitive priorities. These priorities are the issue areas that will guide the Department's i3 grant making process. **Applicants must apply under ONE of the 4 absolute priorities. Absolute priorities are "musts" for eligibility; competitive priorities enable applicants to increase the chances their application is funded.** Under a competitive priority, the Department gives competitive preference to an application by: (1) awarding additional points or (2) selecting an application that meets the priority over an application of comparable merit that does not meet the competitive priority.

As part of the ARRA authorized earlier this year, the i3 fund's 4 absolute priorities (which applicants must choose ONE from when applying for a grant) are the same 4 absolute priorities for other education-related ARRA funding. **The intent is for all ARRA funding to be spent harmoniously in support of these objectives, specifically**:

- ***Absolute Priority 1 – Innovations that Support Effective Teachers and School Leaders****: this priority is intended to support projects that promote practices, strategies, or programs to increase the number and percentage of effective teachers and school leaders, OR help reduce the inequities in the distribution of effective teachers and school leaders. **IT IS ALSO DESIGNED TO ENCOURAGE THE USE OF TEACHER AND SCHOOL LEADER EVALUATION SYSTEMS THAT ARE TIED TO STUDENT GROWTH.***

- ***Absolute Priority 2 – Innovations that Improve the Use of Data****: this priority is intended to provide funding to support strategies, practices, or programs that encourage and*

facilitate the evaluation, analysis, and use of student achievement or student growth data by educators, families, and other stakeholders in order to improve decision-making; improve student achievement or student growth, and teacher, school leader, school, or LEA performance and productivity; or enable data aggregation, analysis, and research.

- ***Absolute Priority 3 – Innovations that Complement the Implementation of High Standards and High Quality Assessments****: this priority is intended to fund projects that support States' efforts to transition to college- and career-readiness standards and assessments, including curricular and instructional practices, strategies, or programs in core academic subjects that are aligned with high academic content and achievement standards and with high-quality assessments based on those standards.*

    Proposals may include activities that: (a) Increase the success of under-represented student populations in academically rigorous courses and programs; (b) increase the development of and use of formative assessments and interim assessments, or other performance based tools and metrics that are aligned with student content and academic achievement standards; or (c) translate the standards and information from assessments into classroom practices that meet the needs of all students, including high-need students.

- ***Absolute Priority 4 – Innovations that Turn Around Persistently Low-Performing Public Schools****: this priority is intended to fund activities designed at turning around the lowest performing public schools through EITHER whole school reform or targeted approaches to reform. **Whole school reform includes comprehensive interventions to assist, augment, or replace persistently low-performing schools.** Targeted approaches to reform includes activities such as extending the school day, week, or year; increasing instructional time for core academic subjects; integrating student supports to address non-academic barriers to student achievement; or creating multiple pathways for students to earn regular high school diplomas.*

Entities applying for a grant MUST apply under one of these absolute priorities. And, while charter schools undoubtedly have many programs, practices, or strategies which would fall under any of these four priorities, two that stand out immediately are Absolute Priority 3 with its focus on increasing the success of under-represented student populations in academically rigorous courses and programs; and Absolute Priority 4's whole school reform initiative - ESPECIALLY combined with the Department's goal to utilize charter schools as a turnaround strategy for failing schools and the Department's desire to have all ARRA funds spent in line towards the same objectives.

There are also 4 proposed competitive priorities in the i3 notice. The 4 additional competitive priorities are all aligned to other significant education reform goals of this Administration and are:

- ***Competitive Priority 5 – Innovations for Improving Early Learning Opportunities****: the Department intends to give competitive preference to applicants that focus on*

*improving the educational outcomes of **high-need students who are young** (birth through 3rd grade) by enhancing the quality of early learning programs. Proposals qualifying under this priority MUST FOCUS ON: (1) improving young children's school readiness; (2) improving and aligning developmental milestones and standards with outcome measures; and, (3) improving alignment, collaboration, and transitions between early learning programs that serve children from birth to age three, in preschools, and in kindergarten through 3rd grade.*

- ***Competitive Priority 6 – Innovations That Support College Access and Success**: the Department intends to give competitive preference to proposals that will enable K-12 students, particularly high school students, to successfully prepare for, enter, and graduate from a two- or four year college. PROPOSALS MUST include practices, programs, or strategies for K-12 students that address students' preparedness and expectations related to college; help students understand the issues of college affordability and the financial aid and college application process; and, provide support to students from peers and knowledgeable adults.*

- ***Competitive Priority 7 – Innovations to Address the Unique Needs of Students with Disabilities and Limited English Proficient Students**.*

- ***Competitive Priority 8 – Innovations that Serve Schools in Rural LEAs**: the Department intends to give competitive priority to proposals that focus on the unique needs and challenges of high-need students in schools within rural LEAs.*

Applicants would enhance their chances of winning an i3 grant if they craft an application under **one or multiple competitive priorities**. **Competitive Priority 6 stands out as one under which many charter schools would be able to craft a strong application.**

<u>Eligibility Requirements for Receiving a Grant</u>

Applications for i3 grants must focus on high-need students. The NPP does not say exclusively to focus on high-need students, but clearly applicants must incorporate a significant focus on this group in their applications to position themselves for winning a grant. **High-Need students are defined in the NPP as: students at risk of educational failure, or otherwise in need of special assistance and support, such as students who are living in poverty, who are far below grade level, who are over-age and under-credited, who have left school before receiving a regular high school diploma, who are at risk of not graduating with a regular high school diploma on time, who are homeless, who are in foster care, who have been incarcerated, who have disabilities, or who are limited English proficient.**

Entities that are eligible for an i3 grant are: an LEA (including charter schools which are defined in their state as their own LEA); or a partnership between a nonprofit organization and either 1 or more LEAs or a consortium of schools (which is defined as two or more public elementary or secondary schools acting collaboratively for the purpose of applying for and implementing an i3 grant).

To be eligible for an i3 grant, in addition to applying under ONE of the ABSOULTE Priorities, there are 5 specific criterion applicants MUST meet, (the first 4 of these were clearly stipulated in the statute). An entity must:

1. Have significantly closed the achievement gaps between subgroups of students (economically disadvantaged students, students from major racial and ethnic groups, students with limited English proficiency, students' with disabilities);

2. Have exceeded the State's annual measurable objectives for two or more consecutive years or have demonstrated success in significantly increasing student achievement for all groups of students through another measure (such as the National Assessment of Educational Progress);

3. Have made significant improvements in other areas, such as graduation rates or increased recruitment and placement of high-quality teachers and school leaders;

4. Demonstrate that they have **established partnerships with the private sector, which may include philanthropic organizations, and that the private sector will provide matching funds in order to help bring results to scale**; and

5. In the case of a NONPROFIT ORGANIZATION, provide in its application the names of the LEAs with which it will partner, or the names of the schools in the consortium with which it will partner. **If a nonprofit organization intends to partner with additional LEAs or schools that are not named in its application, it MUST describe in its application the demographics and characteristics of these LEAS and schools and the process it will use to select them.**

Note about Eligibility for an Entity that Includes a Nonprofit Organization: According to the statute, an application submitted by a nonprofit organization, in partnership with one or more LEAs or a consortium of schools, meets the eligibility requirements in paragraphs (1), (2), and (3) described above if the nonprofit organization has a record of meeting those requirements through its work with an LEA or consortium of schools. **Therefore, an applicant that is a nonprofit organization would not necessarily need to partner with an LEA or a consortium of schools that meet the eligibility requirements in paragraphs (1), (2), and (3) described above.** Rather, the nonprofit organization would have to demonstrate that it has a record of meeting those requirements through the assistance it has provided to one or more LEAs in the past.

Applicants must state which grant type (Scale-up, Validation, or Demonstration) they are applying for; and, although the NPP does not prohibit entities from applying for multiple grants with multiple projects, **the Department DOES clearly take into consideration ORGANIZATIONAL CAPACITY to implement the grants when evaluating applications** (see Appendix I for the selection criteria for each grant).

To leverage the i3 funds, the Department is proposing a SPECIFIC match requirement for applicants based upon the statutory requirement to secure matching funds. **Entities applying for a grant MUST obtain matching funds OR IN KIND DONATIONS of at least 20% of its grant award.** HOWEVER, the Secretary may consider waiving the match requirement on a case by case basis, but only in the most exceptional cases.

Additionally, applicants will be REQUIRED to include in their applications plans for an **independent evaluation** funded with their grant. The ARRA statute did not require, nor provide, funding for the Department to carry out an evaluation of the i3 grants, so the Department has built a requirement for evaluations into the applications. Additionally, entities receiving an i3 grant must comply with any requirements or requests for ANY EVALUATION conducted by the Department, if it is able to do so. Awardees will also be required to participate in, organize, or facilitate as appropriate "communities of practice" to meet, discuss, and collaborate with other grantees about projects.

Key Definitions in the i3 NPP

Evidence –

- *Strong Evidence* – Means evidence from previous studies whose designs can support causal conclusions (i.e., studies with high internal validity), and studies that in total include enough of the range of participants and settings to support scaling up to the State, regional, or national level (i.e., studies with high external validity). The following are examples of strong evidence:

    1. More than one well-designed and well-implemented experimental study or well-designed and well-implemented quasi-experimental study that supports the effectiveness of the practice, strategy, or program; or

    2. One large, well-designed and well-implemented randomized controlled, multisite trial that supports the effectiveness of the practice, strategy, or program.

- *Moderate Evidence* – Means evidence from previous studies whose designs can support causal conclusions (i.e., studies with high internal validity) but have limited generalizability (i.e., moderate external validity), or studies with high external validity but moderate internal validity. The following would constitute moderate evidence:

    1. At least one well-designed and well-implemented experimental or quasi-experimental study supporting the effectiveness of the practice strategy, or program, with small sample sizes or other conditions of implementation or analysis that limit generalizability;

    2. At least one well-designed and well-implemented experimental or quasi-experimental study that does not demonstrate equivalence between the intervention and comparison groups at program entry but that has no other major flaws related to internal validity; or

3. Correlational research with strong statistical controls for selection bias and for discerning the influence of internal factors.

Conclusion

The Notice of Proposed Priorities affords the charter movement and education reform advocates an opportunity to examine the Department's intentions and goals for the i3 fund and provide comment back to the Department on the NPP. **Charter schools, charter supporters, and education reform advocates should examine the complete i3 NPP closely, especially whether the Department has balanced its support for innovative and successful practices with the criteria and evidentiary requirements stipulated in the draft.** The Alliance will submit formal comments to the Department of Education on the i3 fund, so please send us your opinions on the draft and any suggestions for our comments by emailing i3fundcomments@publiccharters.org.

Appendix I – Selection Criteria

SELECTION CRITERIA – The Secretary proposes the following selection criteria for evaluating applications (differences in selection criteria noted in **bold**):

1. Scale-Up Grants	2. Validation Grants	3. Development Grants
		The Department anticipates using a two-tier process to review the applications for Development grants. This two-tier review would include a pre-application process to select applicants that would be invited to submit a full application. The Department anticipates that the pre-application process will require an applicant to submit a short summary of its proposed project and that the Department will use some or all of the selection criteria that follow to rate the proposed projects, but with a particular focus on the need for the project and quality of the project design and the strength of research, significance of effect, and magnitude of effect in support of the proposed project. Applicants that are rated highly in the pre-application phase would be invited to submit a full application, from which the awards for Development grants would be made.
A. Need for the Project and Quality of the Project Design.	A. Need for the Project and Quality of the Project Design.	A. Need for the Project and Quality of the Project Design.
(1) The Secretary considers the need for the project and quality of the design of the proposed project.	(1) The Secretary considers the need for the project and quality of the design of the proposed project.	(1) The Secretary considers the need for the project and quality of the design of the proposed project.
(2) In determining the need for the project and quality of the design of the proposed project, the Secretary considers the following factors:	(2) In determining the need for the project and quality of the design of the proposed project, the Secretary considers the following factors:	(2) In determining the need for the project and quality of the design of the proposed project, the Secretary considers the following factors:
(a) The extent to which the proposed project represents an exceptional approach to the priorities the applicant is seeking to meet (i.e., addresses a	(a) The extent to which the proposed project represents an exceptional approach to the priorities the applicant is seeking to meet (i.e., addresses a	(a) The extent to which the proposed project represents an exceptional approach to the priorities the applicant is seeking to meet (i.e., addresses a

1. Scale-Up Grants	2. Validation Grants	3. Development Grants
largely unmet need, particularly for high-need students, and is a practice, strategy, or program that has not already been widely adopted). (b) The extent to which the proposed project has a clear set of goals and an explicit strategy (i.e., logic model), with **actions that are (1) aligned with the priorities the applicant is seeking to meet, and (2) expected to result in achieving the goals, objectives, and outcomes of the proposed project**.	largely unmet need, particularly for high-need students, and is a practice, strategy, or program that has not already been widely adopted). (b) The extent to which the proposed project has a clear set of goals and an explicit strategy (i.e., logic model), with **actions that are (1) aligned with the priorities the applicant is seeking to meet, and (2) expected to result in achieving the goals, objectives, and outcomes of the proposed project**.	largely unmet need, particularly for high-need students, and is a practice that has not already been widely adopted). (b) The extent to which the proposed project has a clear set of goals and an explicit strategy (i.e., logic model), with the **goals, objectives, and outcomes to be achieved by the proposed project clearly specified and measurable and linked to the priorities the applicant is seeking to meet**.
B. Strength of Research, Significance of Effect, and Magnitude of Effect. (1) The Secretary considers the strength of the existing research evidence and the significance of effect in support of the proposed project, as well as the magnitude of the effect on improving student achievement, closing achievement gaps, decreasing dropout rates, or increasing high school graduation rates. Applicants may also demonstrate success through an intermediate variable that is directly correlated with improving these outcomes, such as teacher or school leader effectiveness, or improvements in school climate. (2) In determining the strength of the existing research evidence and the significance of effect to support the proposed project, as well as the magnitude of the effect, the Secretary considers the following factors: (a) The extent to which the applicant **demonstrates that there is strong evidence** that the proposed practice, strategy, or program will have a statistically significant effect on improving student	B. Strength of Research, Significance of Effect, and Magnitude of Effect. (1) The Secretary considers the strength of the existing research evidence and the significance of effect in support of the proposed project, as well as the magnitude of the effect on improving student achievement, closing achievement gaps, decreasing dropout rates, or increasing high school graduation rates. Applicants may also demonstrate success through an intermediate variable that is directly correlated with these outcomes, such as teacher or school leader effectiveness, or improvements in school climate. (2) In determining the strength of the existing research evidence and the significance of the effect to support the proposed project, as well as the magnitude of the effect the Secretary considers the following factors: (a) The extent to which the applicant **demonstrates that there is moderate evidence** that the proposed practice, strategy, or program will have a statistically significant effect on improving student	B. Strength of Research, Significance of Effect, and Magnitude of Effect (1) The Secretary considers the strength of the existing research evidence to support the proposed project and the significance of effect in support of the proposed project, as well as the magnitude of the effect on improving student achievement or student growth, closing achievement gaps, decreasing dropout rates, or increasing high school graduation rates. Applicants may also demonstrate success through an intermediate variable that is directly correlated with improving these outcomes, such as teacher or school leader effectiveness, or improvements in school climate. (2) In determining the strength of the existing research evidence, the significance of effect to support the proposed project, and the magnitude of effect, the Secretary considers the following factors: (a) The extent to which the applicant **demonstrates that there are research-based findings or reasonable hypotheses that support the proposed project, including related research in education**

1. Scale-Up Grants	2. Validation Grants	3. Development Grants
achievement, closing achievement gaps, decreasing dropout rates, or increasing high school graduation rates, and **that the effect will be substantial and important**.	achievement, closing achievement gaps, decreasing dropout rates, or increasing high school graduation rates and **that with further study, the effect may prove to be substantial and important**.	**and other sectors**.
(b) **The importance and magnitude of the effect expected to be obtained** by the proposed project, including **the extent to which** the project will substantially and measurably improve student achievement, close achievement gaps, decrease dropout rates, or increase high school graduation rates. The **evidence in support of the importance and magnitude of the effect** would be the research-based evidence provided by the applicant to support the proposed project.	(b) **The importance and magnitude of the effect expected to be obtained** by the proposed project, including **the likelihood that** the project will substantially and measurably improve student achievement, close achievement gaps, decrease dropout rates, or increase high school graduation rates. The **evidence in support of the importance and magnitude of the effect** would be the research-based evidence provided by the applicant to support the proposed project.	(b) **The extent to which the proposed project has been attempted previously, albeit on a limited scale or in a limited setting, with promising results that suggest that more formal and systematic study is warranted**.
		(c) **The extent to which the applicant demonstrates that, if funded, the proposed project likely will have a positive impact, as measured by the importance or magnitude of the effect, on improving student achievement or student growth, closing achievement gaps, decreasing dropout rates, or increasing high school graduation rates**.
C. Experience of the Applicant. (1) The Secretary considers the experience of the applicant in implementing the proposed project. (2) In determining the experience of the applicant, the Secretary considers the following factors: (a) The past performance of the applicant in **implementing large, complex, and rapidly growing**	C. Experience of the Applicant. (1) The Secretary considers the experience of the applicant in implementing the proposed project. (2) In determining the experience of the applicant, the Secretary considers the following factors: (a) The past performance of the applicant in **implementing complex projects**.	C. Experience of the Applicant (1) The Secretary considers the experience of the applicant in implementing the proposed project **or a similar project**. (2) In determining the experience of the applicant, the Secretary considers the following factors: (a) The past performance of the applicant in **implementing projects of the size and scope**

1. Scale-Up Grants	2. Validation Grants	3. Development Grants
projects.		**proposed by the applicant**.
(b) The extent to which an applicant provides information and data demonstrating that it has (or has supported an LEA in taking actions that have) –	(b) The extent to which an applicant provides information and data demonstrating that it has (or supported an LEA in taking actions that have) –	(b) The extent to which an applicant provides information and data demonstrating that it has (or supported an LEA in taking actions that) –
(i) Significantly closed the achievement gaps between groups of students described in section 1111(b)(2) of the ESEA;	(i) Significantly closed the achievement gaps between groups of students described in section 1111(b)(2) of the ESEA;	(i) Significantly closed the achievement gaps between groups of students described in section 1111(b)(2) of the ESEA;
(ii) Exceeded the State's annual measurable objectives consistent with section 1111(b)(2) of the ESEA for two or more consecutive years or demonstrated success in significantly increasing student achievement for all groups of students described in that section through another measure, such as measures described in section 1111(c)(2) of the ESEA (i.e., the National Assessment of Educational Progress); and	(ii) Exceeded the State's annual measurable objectives consistent with section 1111(b)(2) of the ESEA for two or more consecutive years or demonstrated success in significantly increasing student achievement for all groups of students described in that section through another measure, such as measures described in section 1111(c)(2) of the ESEA (i.e., the National Assessment of Educational Progress); and	(ii) Exceeded the State's annual measurable objectives consistent with section 1111(b)(2) of the ESEA for two or more consecutive years or has demonstrated success in significantly increasing student achievement for all groups of students described in that section through another measure, such as measures described in section 1111(c)(2) of the ESEA (i.e., the National Assessment of Educational Progress); and
(iii) Made significant improvements in other areas, such as graduation rates or increased recruitment and placement of high-quality teachers and school leaders, as demonstrated with other meaningful data.	(iii) Made significant improvements in other areas, such as graduation rates or increased recruitment and placement of high-quality teachers and school leaders, as demonstrated with other meaningful data.	(iii) Made significant improvements in other areas, such as graduation rates or increased recruitment and placement of high-quality teachers and school leaders, as demonstrated with other meaningful data.
D. Quality of the Project Evaluation.	D. Quality of the Project Evaluation.	D. Quality of the Project Evaluation
(1) The Secretary considers the quality of the evaluation to be conducted of the proposed project.	(1) The Secretary considers the quality of the evaluation to be conducted of the proposed project.	(1) The Secretary considers the quality of the evaluation to be conducted of the proposed project.
(2) In determining the quality of the evaluation, the Secretary considers the following factors:	(2) In determining the quality of the evaluation, the Secretary considers the following factors:	(2) In determining the quality of the evaluation, the Secretary considers the following factors.
(a) The extent to which the **methods of evaluation will include an experimental study or, if a well-**	(a) The extent to which the **methods of evaluation will include a well-designed experimental or well-**	(a) The extent to which the **methods of evaluation are appropriate to the size and scope of the**

1. Scale-Up Grants	2. Validation Grants	3. Development Grants
designed experimental study of the project cannot be conducted, the extent to which the methods of evaluation will include a well-designed quasi-experimental study.	**designed quasi-experimental study**.	**proposed project**.
(b) **The extent to which, for either an experimental study or quasi-experimental study, the study will be conducted of the practice, strategy, or program as implemented at scale**.	(b) The extent to which the methods of evaluation will provide high-quality implementation data and performance feedback, and permit periodic assessment of progress toward achieving intended outcomes.	(b) The extent to which the methods of evaluation will provide high-quality implementation data and performance feedback, and permit periodic assessment of progress toward achieving intended outcomes.
(c) The extent to which the methods of evaluation will provide high-quality implementation data and performance feedback, and permit periodic assessment of progress toward achieving intended outcomes.	(c) The extent to which the evaluation will provide sufficient information about the key elements and approach of the project to **facilitate replication or testing in other settings**.	(c) The extent to which the evaluation will provide sufficient information about the key elements and approach of the project to **facilitate further development, replication, or testing in other settings**.
(d) The extent to which the evaluation will provide sufficient information about the key elements and approach of the project to **facilitate replication or testing in other settings**.	(d) The extent to which the proposed project plan includes sufficient resources to effectively carry out the project evaluation.	(d) The extent to which the proposed project plan includes sufficient resources to effectively carry out the project evaluation.
(e) The extent to which the proposed project plan includes sufficient resources to effectively carry out the project evaluation.	(e) The extent to which the proposed evaluation is rigorous, independent, and neither the program developer nor the project implementer is evaluating the impact of the project.	
(f) The extent to which the proposed evaluation is rigorous, independent, and neither the program developer nor the project implementer is evaluating the impact of the project.		
Note: The Department encourage applicants to review the following technical assistance resources on evaluation:	**Note**: The Department encourage applicants to review the following technical assistance resources on evaluation:	**Note**: The Department encourage applicants to review the following technical assistance resources on evaluation:
(1) What Works Clearinghouse Procedures and	(1) What Works Clearinghouse Procedures and	(1) What Works Clearinghouse Procedures and

1. Scale-Up Grants	2. Validation Grants	3. Development Grants
Standards Handbook: http://ies.ed.gov/ncee/wwc/references/idocviewer/doc.aspx?docid=19&tocid=1; and (2) IES/NCES Technical Methods papers: http://ies.ed.gov/ncee/tech_methods/.	Standards Handbook: http://ies.ed.gov/ncee/wwc/references/idocviewer/doc.aspx?docid=19&tocid=1; and (2) IES/NCES Technical Methods papers: http://ies.ed.gov/ncee/tech_methods/.	Standards Handbook: http://ies.ed.gov/ncee/wwc/references/idocviewer/doc.aspx?docid=19&tocid=1; and (2) IES/NCES Technical Methods papers: http://ies.ed.gov/ncee/tech_methods/.
E. Strategy and Capacity to Scale. (1) The Secretary considers the quality of the applicant's strategy and capacity to **bring the proposed project to scale on a national, regional, or State level**. (2) In determining the quality of the strategy and capacity to scale, the Secretary considers: (a) The number of students to be reached by the proposed project and the applicant's capacity to reach the proposed number of students during the course of the grant period. (b) The applicant's capacity (e.g., in terms of qualified personnel, financial resources, management capacity) **to bring the project to scale on a national, regional, or State level** working directly, or through partners, either during or following the end of the grant period. (c) The feasibility of the proposed project to be replicated successfully, if positive results are obtained, in a variety of settings and with a variety of student populations. Evidence of this ability	E. Strategy and Capacity to Scale. (1) The Secretary considers the quality of the applicant's strategy and capacity to **bring the proposed project to scale on a State or regional level**. (2) In determining the quality of the strategy and capacity to scale, the Secretary considers: (a) The number of students proposed to be reached by the proposed project and the applicant's capacity to reach the proposed number of students during the course of the grant period. (b) The applicants capacity (e.g., in terms of qualified personnel, financial resources, management capacity) **to bring the project to scale on a State or regional level (as appropriate, based on the findings of the proposed project)** working directly, or through partners, either during or following the end of the grant period. (c) The feasibility of the proposed project to be replicated successfully, if positive results are obtained, in a variety of settings and with a variety of student populations. Evidence of this ability	E. Strategy and Capacity to Further Develop and Scale (1) The Secretary considers the quality of the applicant's strategy and capacity **to further develop and scale the proposed project**. (2) In determining the quality of the strategy and capacity **to further develop** and scale the proposed project, the Secretary considers: (a) The number of students proposed to be reached by the proposed project and the applicant's capacity to reach the proposed number of students during the course of the grant period. (b) The applicant's capacity (e.g., in terms of qualified personnel, financial resources, management capacity) **to further develop and scale the proposed practice, strategy, or program, or to work with others to ensure that the proposed practice, strategy, or program can be further developed and scaled, based on the findings of the proposed project**. (c) The feasibility of the proposed project to be replicated successfully, if positive results are obtained, in a variety of settings and with a variety of student populations. Evidence of this ability

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includes **the proposed project's demonstrated success in multiple settings with different types of students**, the availability of resources and expertise required for implementing the project with fidelity, and the proposed project's evidence of relative ease of use or user satisfaction.	includes the availability of resources and expertise required for implementing the project with fidelity, and the proposed project's evidence of relative ease of use or user satisfaction.	includes the availability of resources and expertise required for implementing the project with fidelity, and the proposed project's evidence of relative ease of use or user satisfaction.
(d) The applicant's estimate of the cost of the proposed project, which includes start-up and operating costs per student (including indirect costs) for reaching the total number of students proposed to be served by the project, as well as for the applicant or others to reach 100,000, 500,000, and 1,000,000 students.	(d) The applicant's estimate of the cost of the proposed project, which includes start-up and operating costs per student (including indirect costs) for reaching the total number of students proposed to be served by the project, as well as for the applicant or others to reach 100,000, 250,000, and 500,000 students.	(d) The applicant's estimate of the cost of the proposed project, which includes the start-up and operating costs per student (including indirect costs) for reaching the total number of students proposed to be served by the project as well as for the applicant or others to reach 100,000, 250,000, and 500,000 students.
(e) The mechanisms the applicant will use to broadly disseminate information on its project **to support replication**.	(e) The mechanisms the applicant will use to broadly disseminate information on its project **to support further development, expansion, or replication**.	(e) The mechanisms the applicant will use to broadly disseminate information on its project **to support further development or replication**.
F. Sustainability. (1) The Secretary considers the adequacy of **resources to continue the proposed project after the grant period ends**. (2) In determining the adequacy of resources for the proposed project, the Secretary considers the following factors: (a) The extent to which the applicant demonstrates that it has the **resources to operate the project beyond the length of the Scale-up grant, including a multi-year financial and operating model and accompanying plan; the demonstrated commitment of current and future partners; and**	F. Sustainability. 1. The Secretary considers the adequacy of **resources to continue to develop the proposed project**. 2. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors: (a) The extent to which the applicant demonstrates that it has the **resources, as well as the support of stakeholders (e.g., State educational agencies, teachers' unions), to operate the project beyond the length of the Validation grant**.	F. Sustainability (1) The Secretary considers the adequacy of **resources to continue to develop or expand the proposed practice, strategy, or program after the grant period ends**. (2) In determining the adequacy of resources for the proposed project, the Secretary considers the following factors: (a) The extent to which the applicant demonstrates that it has **the resources, as well as the support from stakeholders (e.g., State educational agencies, teachers' unions) to operate the project beyond the length of the Development grant**.

1. Scale-Up Grants	2. Validation Grants	3. Development Grants
evidence of broad support from stakeholders (e.g., State educational agencies, teachers' unions) critical to the project's long-term success. (b) The potential and planning for the incorporation of project purposes, activities, or benefits into the ongoing work of the LEA, schools, or nonprofit organization at the end of the Scale-up grant.	(b) The potential and planning for the incorporation of project purposes, activities, or benefits into the ongoing work of the LEA, schools, or nonprofit organization at the end of the Validation grant.	(b) The potential and planning for the incorporation of project purposes, activities, or benefits into the ongoing work of the LEA, schools, or nonprofit organization at the end of the Development grant.
G. Quality of the Management Plan and Personnel. (1) The Secretary considers the quality of the management plan and personnel for the proposed project. (2) In determining the quality of the management plan and personnel for the proposed project, the Secretary considers: (a) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks, **as well as plans for sustainability and scalability of the proposed project**. (b) The qualifications, including relevant training and experience, of the project director and key project personnel, especially in **managing large, complex, and rapidly growing projects**. (c) The qualifications, including relevant expertise and experience, of the project director and key personnel of the independent evaluator, especially	G. Quality of the Management Plan and Personnel. 1. The Secretary considers the quality of the management plan and personnel for the proposed project. 2. In determining the quality of the management plan and personnel for the proposed project, the Secretary considers: (a) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks, **as well as plans for sustainability and scalability of the proposed project**. (b) The qualifications, including relevant training and experience, of the project director and key project personnel, especially in **managing complex projects**. (c) The qualifications, including relevant expertise and experience, of the project director and key personnel of the independent evaluator, especially	G. Quality of the Management Plan and Personnel (1) The Secretary considers the quality of the management plan and personnel for the proposed project. (2) In determining the quality of the management plan and personnel for the proposed project, the Secretary considers: (a) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (b) The qualifications, including relevant training and experience, of the project director and key project personnel, especially in **managing projects of the size and scope of the proposed project**.

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in designing and conducting **large-scale** experimental and quasi-experimental studies of educational initiatives.	in designing and conducting experimental and quasi-experimental studies of educational initiatives.	

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[i] Prepared by Van Scoyoc Associates