2012 Investing in Innovation (i3): Development Grants

Final Priorities, Requirements and Selection Criteria

March 7, 2012

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Agenda

- **Introduction**

- **FY12 I3 Overview**
    - **Eligibility**
    - **Types of Grants**
    - **Evidence Requirements**
    - **Priorities**

- **I3 Development Grants**
    - **Timeline**
    - **Matching Requirements**
    - **Selection Criteria**
    - **Pre-Application Components**

- **USDOE Resources**

- **College Board Resources**

Learning Objective:

Understand the fundamentals of the i3 grant so you can:

1. Determine whether it is a match for your institution
2. Move forward with applying

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Introduction: The College Board

- As a not-for-profit membership association representing more than 5,900 colleges, universities and schools, the College Board leads national and international efforts to improve access to and readiness for higher education.

- Provide direct support and outreach to districts seeking to maximize existing resources and identify and secure additional needed revenue to achieve college readiness and success goals.

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Introduction: The College Board

- The College Board is driven by a single goal – to ensure that every student has the opportunity to prepare for, enroll in and graduate from college.

- Our work falls broadly into three categories:

  - College Readiness

  - College Connection and Success

  - Advocacy

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FY12 I3 OVERVIEW

Overview

Funding and Duration

$140.5 million, to be obligated by 12/31/12

 3 to 5 years

Grantees

(1) LEAs or (2) non-profits in partnership with (a) LEAs or (b) consortia of schools.

Purpose

*   To provide competitive grants to applicants with a record of improving student achievement, attainment, or retention in order to expand the implementation of, and investment in, innovative practices that are demonstrated to have an impact on:

    *   Improving student achievement or student growth

    *   Closing achievement gaps

    *   Decreasing dropout rates

    *   Increasing high school graduation rates, or

    *   Increasing college enrollment and completion rates
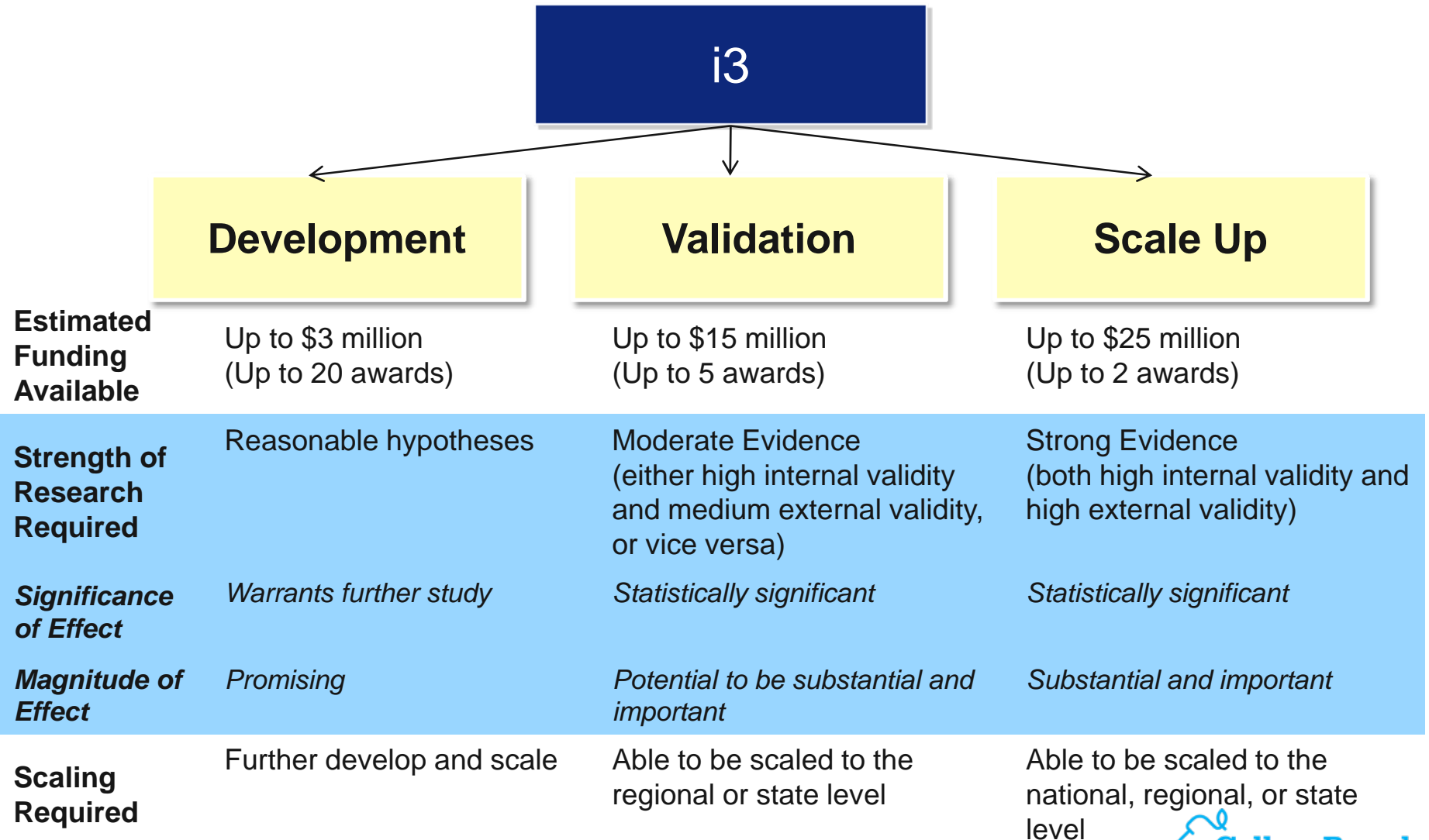
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Eligibility Requirements

To be eligible for an award, an applicant must:

1. a. **Have significantly closed the achievement gaps** between groups of students described in ESEA

   – *OR* –

   b. **have demonstrated success in significantly increasing student academic achievement for all groups of students** described in such section

2. **Have made significant improvements in other areas,** such as graduation rates or increased recruitment and placement of high-quality teachers and principals, as demonstrated with meaningful data;

3. **Demonstrate it has established one or more partnerships with the private sector** and a private sector match

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Types of i3 Grants Available

	i3		
	Development	**Validation**	**Scale Up**
Estimated Funding Available	Up to $3 million (Up to 20 awards)	Up to $15 million (Up to 5 awards)	Up to $25 million (Up to 2 awards)
Strength of Research Required	Reasonable hypotheses	Moderate Evidence (either high internal validity and medium external validity, or vice versa)	Strong Evidence (both high internal validity and high external validity)
Significance of Effect	*Warrants further study*	*Statistically significant*	*Statistically significant*
Magnitude of Effect	*Promising*	*Potential to be substantial and important*	*Substantial and important*
Scaling Required	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

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Evidence Requirement: Definitions

	Development	Validation		Scale-up
Strength of Research	Reasonable hypotheses	Moderate		Strong
Internal Validity Required	N/A	High (causal conclusions)	Moderate (design flaws that limit causal conclusions)	High (causal conclusions)
External Validity Required	N/A	Moderate (limited generalizability)	High (strong generalizability to support scaling)	High (strong generalizability to support scaling)

Evidence Requirements: Examples

Development	Validation	Scale-up
Research-based findings or reasonable hypotheses that support the proposed project, including research in education and other sectors	At least one well-designed and well-implemented experimental or quasi-experimental study, with small sample sizes or other conditions that limit generalizability	More than one well-designed and well-implemented experimental study or quasi-experimental study that supports effectiveness of project
	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 has no other major flaws related to internal validity	One large, well-designed and well-implemented randomized controlled, multisite trial
	Correlational research with strong statistical controls for selection bias and for discerning the influence of internal factors.	

I3 Priorities

Improve Achievement for High-Need Students

Required for all applications

+

- Teacher and Principal Effectiveness
- Promoting STEM Education
- Parent and Family Engagement
- Improving Achievement in Persistently Low-Performing Schools
- Improving Rural Achievement

Must address one (Absolute Priority)

+

- Improve Early Learning Outcomes (0, 1)
- Support College Access and Success (0, 1)
- Address the Unique Learning Needs of Students with Disabilities and Limited English Proficient Students (0, 1)
- Improving Productivity (0, 1)
- Technology (0, 1)

May address up to 2 (Competitive Preference)

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Definition of High Need Students

Students at risk of educational failure, or otherwise in need of special assistance and support, such as students who are:

- Living in poverty

- Far below grade level

- Over-age and under-credited

- Left school before receiving a regular high school diploma

- At risk of not graduating with a regular high school diploma on time

- Homeless, in foster care, or have been incarcerated

- Limited English proficient

- Students with disabilities

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I3 Applications Received in 2011

Summary of i3 Applications Received by Absolute Priority and Grant Type				
Absolute Priority	**Scale-up**	**Validation**	**Development**	**Grand Total**
AP1- Teachers and Principals	2	14	91	**107**
AP2- STEM	3	21	138	**162**
AP3- Standards & Assessments	1	15	86	**102**
AP4- Turning Around Failing Schools	2	25	85	**112**
AP5- Rural LEAs	4	23	72	**99**
Unclear	2	1	2	**5**
Total	**14**	**99**	**474**	**587**
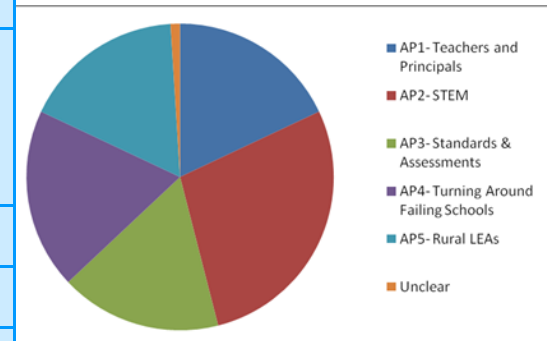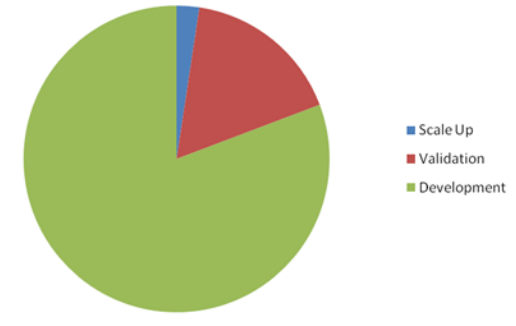
Source: US Department of Education

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Summary of 2011 i3 Highest-Rated Applications

Data Type	Summary Data Table	Summary Graphic
Competition		

Competition

	Percent	Count
Scale-up	4%	1
Validation	22%	5
Development	74%	17

Type of Grant
- Scale-up
- Validation
- Development

Absolute Priority

	Percent	Count
AP1: Effective Teachers & Principals	17%	4
AP2: STEM	22%	5
AP3: Standards & Assessments	22%	5
AP4: Low-Performing Schools	17%	4
AP5: Rural	22%	5

Absolute Priority
- AP1
- AP2
- AP3
- AP4
- AP5

Competitive Preference Priority*

*Calculated as a percentage of the total number of highly-rated applicants that claimed the preference

	Percent	Count
CP6: Early Learning	22%	5
CP7: College Access & Success	52%	12
CP8: SWD &LEP	43%	10
CP9: Productivity	22%	5
CP10: Technology	39%	9

Competitive Preference Priority

CP6, CP7, CP8, CP9, CP10

Highest-Rated Applicant Data

HRA by Competition and Applicant Type

Applicant Type	Scale up	Validation	Development	Grand Total
LEA			7	7
Nonprofit w/ consortium of schools	1	2	3	6
Nonprofit w/LEA		3	7	10
Grand Total	1	5	17	23

HRA by Competition and Absolute Priority

Priority	Scale up	Validation	Development	Grand Total
AP1:Effective Teachers & Principals		1	3	4
AP2:STEM	1	1	3	5
AP3:Standards & Assessments		1	4	5
AP4:Low-Performing Schools		1	3	4
AP5:Rural		1	4	5
Grand Total	1	5	17	23

HRA by Competition and Competitive Preference Priority

Competitive Priority	Scale up	Validation	Development	Grand Total
CP6: Early Learning		1	4	5
CP7: College Access		3	9	12
CP8: SWD &ELP	1	2	7	10
CP9: Productivity		3	2	5
CP10: Technology	1		8	9

Highest-Rated Applicant Data

Projected Funding by Competition and Absolute Priority

Priority	Scale up	Validation	Development	Grand Total	% of Funding
AP1: Effective Teachers & Principals		$ 14,891,362	$ 8,540,923	$ 23,432,285	16%
AP2: STEM	$ 24,995,690	$ 14,996,367	$ 8,947,067	$ 48,939,124	33%
AP3: Standards & Assessments		$ 12,907,707	$ 11,980,273	$ 24,887,980	17%
AP4: Low-Performing Schools		$ 14,999,766	$ 8,863,383	$ 23,863,149	16%
AP5: Rural		$ 14,999,802	$ 11,918,776	$ 26,918,578	18%
Grand Total	$ 24,995,690	$ 72,795,004	$ 50,250,422	$ 148,041,116	100%

23 HRA's Across 14 States

HRA by Competition and State*

*State of applicant, implementation may include other states

State	Scale up	Validation	Development	Grand Total
AK		1		1
AZ			1	1
CA			4	4
IL			1	1
KY			2	2
MA			1	1
MD			2	2
MN		1		1
NC		1		1
NY		1	3	4
OH			1	1
PA			1	1
TX		1	1	2
VA	1			1
Grand Total	1	5	17	23

FY12 I3 <u>DEVELOPMENT OVERVIEW</u>

Development Grant Timeline

Date	Activity	Additional Information
February 24, 2012	Official I3 Notice Inviting Application published in Federal Register	Application and notice can be downloaded at: http://www2.ed.gov/programs/innovation/applicant.html
March 15, 2012	Intent to Apply Due	Strongly encouraged, though not required. Submit at http://go.usa.gov/Qvd. Will provide (1) the applicant organization's name and address, (2) the applicant type, (3) the one absolute priority the applicant intends to address
April 9, 2012 by 4:30 p.m. Washington DC time	Pre-Applications Due	Submit electronically using http://www.grants.gov
TBD	Full Applications available	Highest-rated pre-applications will be invited to submit a full application. Invitations will include full application and instructions.
TBD	Full Applications due	Only top-rated pre-applicants eligible to submit

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Matching Requirements

Development: at least 15%

Selection Criteria – Point Allocations

Development Selection Criteria	Pre-Application	Full Application
A. Quality of the Project Design	10	25
B. Significance	10	35
C. Quality of the Management Plan and Personnel	*Not scored during the pre-application review*	20
D. Quality of the Project Evaluation		20
Competitive Preference Priority Points		Up to 2
Total Points	**20**	**102**

Pre-Application Selection Criteria

A. *Quality of Project Design (up to 10 points).*

- The Secretary considers the quality of the design of the proposed project. In determining the quality of the project design, the Secretary considers the following factors:

- (1) The extent to which the proposed project has a clear set of goals and an explicit strategy, with actions that are (a) aligned with the priorities the eligible applicant is seeking to meet, and (b) expected to result in achieving the goals, objectives, and outcomes of the proposed project.

- (2) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

B. *Significance (up to 10 points).*

- The Secretary considers the significance of the project. In determining the significance of the project, the Secretary considers the following factors:

- (1) The extent to which the proposed project represents an exceptional approach to the priority or priorities established for the competition.

- (2) The potential contribution of the proposed project to the development and advancement of theory, knowledge, and practices in the field of study.

Pre-Application Components

- **Part A:**

  - Project Narrative Form (7 pages max)

  - Budget Narrative Form (2 pages max)

  - Other Attachments Form (appendices)

    - Appendix A – i3 Applicant Info Sheet

    - Appendix B: Proprietary Info

- **Part B**

  - Required Forms

  - ED Standard Forms

  - Assurances and Certifications

  - I3 Program Form

FY12 i3 Development Overview

Pre-App Period (45 Days)
- Department publishes pre-application package
- Applicants register **early** on Grants.gov and CCR
- Applicants develop pre-application (7 pages)
- Applicants submit pre-application through Grants.gov

- Pre-application peer review
- Department announces highest-rated pre-apps

Full App Period
- Department publishes full application package
- Highest-rated pre-applicants **only** develop full application (25 pages), including project partners and evaluation plans
- Highest-rated pre-applications submit full application through Grants.gov

- Full application peer review
- Department eligibility review, including evidence and applicant's prior record of improvement
- Department announces highest-rated apps

Matching Period
- Highest-rated applicants secure evidence of required private sector match
- Highest-rated applicants submit evidence to the Department for approval and confirmation

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Key USDOE Resources

- **I3 Website** (including official Notices Inviting Applications, Application Packages, Checklists, Application Tips and FAQs)

  - http://www2.ed.gov/programs/innovation/index.html

- **Pre-recorded Webinar**

  - https://educateevents.webex.com/educateevents/lsr.php?AT=pb&SP=EC&rID=45528097&rKey=3e623ef1ab6dec36

- **Upcoming Q&A Webinar: Tue, March 13, 2012 at 2pm EST**

  - http://www2.ed.gov/programs/innovation/index.html

- **I3 Program Office**

  - i3@ed.gov

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College Board Support

- Serve as an "Other Partner" in application

- Key service provider

- Informational webinars; technical assistance; strategic planning

- Proposal and application development

  - Needs Analysis, Management Plan, Budget Assistance, etc.

- Application review and feedback, **with enough time to turn-around**

- Letters of support, **please request with enough time to produce and return to you, a suggested 1-2 week window.**

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College Board Support

| Absolute Priority	Aligned College Board Support
1. Teacher and Principal Effectiveness - "…development…of teachers and principals"	Pre-AP and AP professional development SpringBoard EXCELerator leadership development
2. Promoting STEM -Providing students with increased access to rigorous and engaging coursework in STEM -Increasing # and proportion of students prepared for postsecondary/careers in STEM -Increasing opportunities for high-quality PD for STEM teachers -Increasing # of individuals from traditionally underrepresented groups (including minorities, individuals with disabilities and women)	Pre-AP and AP STEM courses Pre-AP and AP STEM PD SpringBoard Math
3. Parent and Family Engagement	CollegeEd Family resources from ReadiStep, PSAT, SAT
4. Persistently Low-Performing Schools	EXCELerator District Reform College Readiness Diagnostic Assessments Pre-AP and AP PD SpringBoard
5. Rural schools	Pre-AP and AP PD SpringBoard College Readiness Diagnostic Assessments

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College Board Support

Competitive Priority	Aligned College Board Support
7. College Access and Success -address students' preparedness and expectations related to college -help students understand college affordability and financial aid and college application processes	Pre-AP and AP professional development SpringBoard ReadiStep, PSAT and SAT My College QuickStart CollegeEd Other College Board Resources
9. Improving Productivity	Pre-AP, AP and SpringBoard PD that can help increase staff effectiveness and efficiency
10. Technology	SpringBoard Online CollegeEd Other College Board online resources

Funding 101 Webinars

Date	Topic
Wed, Jan 11, 2 pm EST	**Foundation Funding 101**
Mon, Feb 13, 1 pm EST	**Grants 101a:** **Intro, Need for the Project and Project Design**
Tues, Feb 28, 2pm EST	**Grants 101b:** **Adequacy of Resources, Management Plan and Budget**
Tues, March 6, 1pm EST	**Grants 101c:** **Evaluation and Sustainability**
Wed, Mar 14, 1pm EST	**Grants 101d:** **Finalization and Submission: Tips and Strategies**

http://www.collegeboard.org/grants

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For More Information
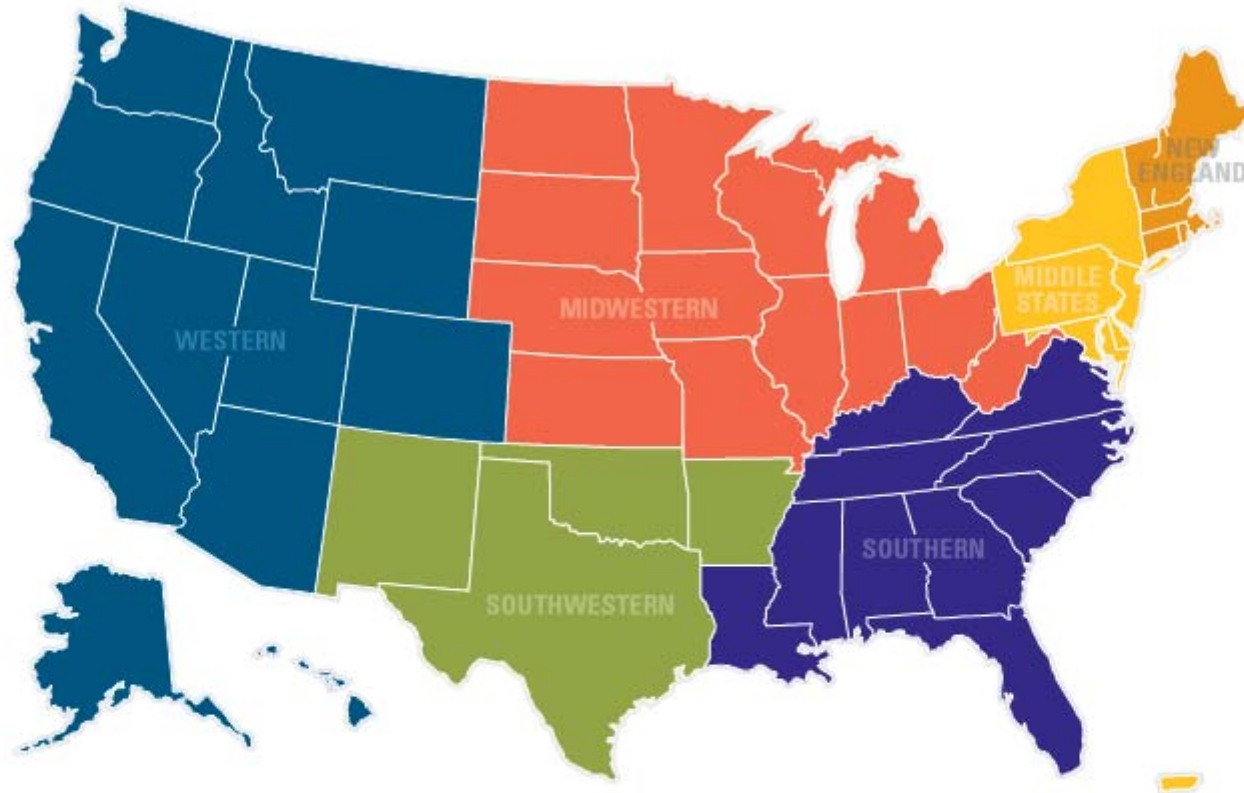
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