

4000-01-U

DEPARTMENT OF EDUCATION

Office of Innovation and Improvement

Overview Information

Investing in Innovation Fund

Notice inviting applications for new awards for fiscal year  
(FY) 2010.

Catalog of Federal Domestic Assistance (CFDA) Numbers:

Scale-up 84.396A;  
Validation 84.396B;  
Development 84.396C

Dates:

Applications Available: [INSERT DATE OF PUBLICATION IN THE  
FEDERAL REGISTER].

Deadline for Notice of Intent to Apply: [INSERT DATE 20  
DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]

Deadline for Transmittal of Applications: [INSERT DATE 60  
DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Dates of Technical Assistance Workshops: March 3, 2010 in  
Washington, DC; March 9, 2010 in Dallas, TX; March 10, 2010  
in Chicago, IL; and March 11, 2010 in San Francisco, CA.

Deadline for Intergovernmental Review: [INSERT DATE 60 DAYS  
AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The Investing in Innovation Fund, established under section 14007 of the American Recovery and Reinvestment Act of 2009 (ARRA), provides funding to support (1) local educational agencies (LEAs), and (2) nonprofit organizations in partnership with (a) one or more LEAs or (b) a consortium of schools. The purpose of this program is to provide competitive grants to applicants with a record of improving student achievement and attainment 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, and increasing college enrollment and completion rates.

These grants will (1) allow eligible entities to expand and develop innovative practices that can serve as models of best practices, (2) allow eligible entities to work in partnership with the private sector and the philanthropic community, and (3) identify and document best practices that can be shared and taken to scale based on demonstrated success.

Under this program, the Department will award three types of grants: Scale-up, Validation, and Development grants. Among the three grant types, there are differences

in terms of the evidence that an applicant is required to submit in support of its proposed project; the expectations for scaling up successful projects during or after the grant period, either directly or through partners; and the funding that a successful applicant is eligible to receive.

Applicants must specify which type of grant they are seeking at the time of application.

Following is an overview of the three types of grants:

(1) Scale-up grants provide funding to scale up practices, strategies, or programs for which there is strong evidence (as defined in the Notice of final priorities) 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, increasing high school graduation rates, or increasing college enrollment and completion rates, and that the effect of implementing the proposed practice, strategy, or program will be substantial and important. An applicant for a Scale-up grant may also demonstrate success through an intermediate variable directly correlated with these outcomes, such as teacher or principal effectiveness or improvements in school climate.

An applicant for a Scale-up grant must estimate the number of students to be reached by the proposed project and

provide evidence of its capacity to reach the proposed number of students during the course of the grant. In addition, an applicant for a Scale-up grant must provide evidence of its capacity (e.g., in terms of qualified personnel, financial resources, management capacity) to scale up to a State, regional, or national level, working directly or through partners either during or following the grant period. We recognize that LEAs are not typically responsible for taking to scale their practices, strategies, or programs to other LEAs and States. However, all applicants, including LEAs, can and should partner with others (e.g., State educational agencies) to disseminate and take to scale their effective practices, strategies, and programs.

Successful applicants for Scale-up grants will receive larger levels of funding than successful applicants for Validation or Development grants.

(2) Validation grants provide funding to support practices, strategies, or programs that show promise, but for which there is currently only moderate evidence (as defined in the Notice of final priorities) 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, increasing high school graduation rates, or increasing college enrollment and completion rates and that, with further study, the effect of implementing the proposed practice, strategy, or program may prove to be substantial and important. Thus, proposals for Validation grants do not need to have the same level of research evidence to support the proposed project that is required for Scale-up grants. An applicant may also demonstrate success through an intermediate variable directly correlated with these outcomes, such as teacher or principal effectiveness or improvements in school climate.

An applicant for a Validation grant must estimate the number of students to be reached by the proposed project and provide evidence of its capacity to reach the proposed number of students during the course of the grant. In addition, an applicant for a Validation grant must provide evidence of its capacity (e.g., in terms of qualified personnel, financial resources, management capacity) to scale up to a State or regional level, working directly or through partners either during or following the grant period. As noted earlier, we recognize that LEAs are not typically responsible for taking to scale their practices, strategies, or programs to other LEAs and States. However, all applicants, including LEAs, can and should partner with

others to disseminate and take to scale their effective practices, strategies, and programs.

Successful applicants for Validation grants will receive more funding than successful applicants for Development grants.

(3) Development grants provide funding to support high-potential and relatively untested practices, strategies, or programs whose efficacy should be systematically studied. An applicant must provide evidence that the proposed practice, strategy, or program, or one similar to it, has been attempted previously, albeit on a limited scale or in a limited setting, and yielded promising results that suggest that more formal and systematic study is warranted. An applicant must provide a rationale for the proposed practice, strategy, or program that is based on research findings or reasonable hypotheses, including related research or theories in education and other sectors. Thus, proposals for Development grants do not need to provide the same level of evidence to support the proposed project that is required for Validation or Scale-up grants.

An applicant for a Development grant must estimate the number of students to be served by the project, and provide evidence of its ability to implement and appropriately evaluate the proposed project and, if positive results are

obtained, its capacity (e.g., in terms of qualified personnel, financial resources, management capacity) to further develop and bring the project to a larger scale directly or through partners either during or following the grant period. As noted earlier, we recognize that LEAs are not typically responsible for taking to scale their practices, strategies, or programs. Again, however, all applicants can and should partner with others to disseminate and take to scale their effective practices, strategies, and programs.

Priorities: These priorities are from the notice of final priorities, selection criteria, definitions, and other requirements for this program, published in the Federal Register on **[fill in date] ([fill in FR citation; e.g., 73 FR 48346])**. This notice contains four absolute priorities and four competitive preference priorities that are explained in the following paragraphs.

Absolute Priorities: For FY 2010 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3) we consider only applications that address these priorities. Applicants for all types of grants are required to address only one of the four absolute priorities. Applicants will address the

selected absolute priority in the program narrative by addressing the Selection Criteria.

These priorities are:

Absolute Priority 1- Innovations that Support Effective Teachers and Principals.

Under this priority, the Department provides funding to support practices, strategies, or programs that increase the number or percentages of highly effective teachers or principals or reduce the number or percentages of ineffective teachers or principals, especially for high-need students, by identifying, recruiting, developing, placing, rewarding, and retaining highly effective teachers or principals (or removing ineffective teachers or principals). In such initiatives, teacher or principal effectiveness should be determined by an evaluation system that is rigorous, transparent, and fair; performance should be differentiated using multiple rating categories of effectiveness; multiple measures of effectiveness should be taken into account, with data on student growth as a significant factor; and the measures should be designed and developed with teacher and principal involvement.

Absolute Priority 2- Innovations that Improve the Use of Data.

Under this priority, the Department provides funding to support strategies, practices, or programs that (a) encourage and facilitate the evaluation, analysis, and use of student achievement or student growth data by educators, families, and other stakeholders in order to inform decision-making and improve student achievement, student growth, or teacher, principal, school, or LEA performance, productivity; or (b) enable data aggregation, analysis, and research. Where applicable, these data would be disaggregated using the student subgroups described in section 1111(b)(3)(C)(xiii) of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (i.e., economically disadvantaged students, students from major racial and ethnic groups, migrant students, students with limited English proficiency, students with disabilities, and student gender).

Absolute Priority 3- Innovations that Complement the Implementation of High Standards and High-Quality Assessments.

Under this priority, the Department provides funding for practices, strategies, or programs 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 (as defined in section 9101(11) of the ESEA) that are aligned with high academic content and achievement standards and with high-quality assessments based on those standards. Proposals may include, but are not limited to, practices, strategies, or programs that:

- (a) increase the success of under-represented student populations in academically rigorous courses and programs (such as Advanced Placement or International Baccalaureate courses; dual enrollment programs; early college high schools; and science, technology, engineering, and mathematics courses, especially those that incorporate rigorous and relevant project-, inquiry-, or design-based contextual learning opportunities);
- (b) increase the development and use of formative assessments or 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 Schools.

Under this priority, the Department provides funding to support strategies, practices, or programs that turn around

persistently low-performing schools through either whole-school reform or targeted approaches to reform. Applicants addressing this priority must focus on either:

(a) Whole-school reform, including, but not limited to, comprehensive interventions to assist, augment, or replace persistently low-performing schools, including school turnaround, restart, closure, and transformation models of intervention supported under the Department's School Improvement Grants program; or

(b) Targeted approaches to reform, including, but not limited to: (1) providing more time for students to learn core academic content by expanding or augmenting the school day, school week, or the school year, or by increasing instructional time for core academic subjects (as defined in section 9101(11) of the ESEA) during the day and in the summer; (2) integrating student supports to address non-academic barriers to student achievement; or (3) creating multiple pathways for students to earn regular high school diplomas (e.g., using schools that serve the needs of over-aged and under-credited students and other students with exceptional need for flexibility pertaining to when they attend school and what additional supports they require; awarding credit based on demonstrated evidence of student competency, offering dual-enrollment options).

Competitive Preference Priorities: For FY 2010 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are competitive preference priorities. Applicants for all types of grants may choose to address one or more of the four competitive preference priorities. Under 34 CFR 75.105(c)(2)(i) we will award points as "all or nothing" (i.e. zero or one point) to each competitive preference priority, depending on how well the application addresses each priority.

These priorities are:

Competitive Preference Priority 5- Innovations for Improving Early Learning Outcomes (up to 1 additional point). We give competitive preference to proposals that include practices, strategies, or programs to improve educational outcomes for high-need students who are young children (birth through 3<sup>rd</sup> grade) by enhancing the quality of early learning programs. To meet this priority, proposals must focus on (a) improving young children's school readiness (including social, emotional, and cognitive readiness) so that children are prepared for success in core academic subjects; (b) improving and aligning developmental milestones and standards with appropriate outcome measures; and (c) improving alignment, collaboration, and transitions

between early learning programs that serve children from birth to age three, in preschools, and in kindergarten through third grade.

Competitive Preference Priority 6- Innovations that Support College Access and Success (up to 1 additional point).

We will give competitive preference to proposals for practices, strategies, or programs that enable K-12 students, particularly high school students, to successfully prepare for, enter, and graduate from a two- or four-year college. To meet this priority, proposals must include practices, strategies, or programs for K-12 students that (a) address students' preparedness and expectations related to college; (b) help students understand issues of college affordability and the financial aid and college application processes; and (c) provide support to students from peers and knowledgeable adults.

Competitive Preference Priority 7- Innovations to Address the Unique Learning Needs of Students with Disabilities and Limited English Proficient Students (up to 1 additional point).

We will give competitive preference to proposals that include innovative strategies, practices, or programs to address the unique learning needs of students with disabilities, or the linguistic and academic needs of

limited English proficient students. To meet this priority, proposals must focus on particular practices, strategies, or programs that are designed to close achievement gaps and increase high school graduation rates for students with disabilities or limited English proficient students.

Competitive Preference Priority 8- Innovations that Serve Schools in Rural LEAs (up to 1 additional point).

We will give competitive preference to applications that focus on the unique challenges of high-need students in schools within a rural LEA (as defined in the Notice of final priorities) and address the particular challenges faced by students in these schools. To meet this priority, proposals must include practices, strategies, or programs that improve student achievement or student growth, close achievement gaps, decrease dropout rates, increase high school graduation rates, or improve teacher and principal effectiveness in one or more rural LEAs.

Program Authority: American Recovery and Reinvestment Act of 2009, Division A, Section 14007, Pub. L. No. 111- .

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99.

Note: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

## II. Award Information

Type of Award: Discretionary grants

Estimated Available Funds: \$650,000,000;

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2010 from the list of unfunded applicants from this competition.

Estimated Range of Awards:

Scale-up: Up to \$50,000,000;  
Validation: Up to \$30,000,000; and  
Development: up to \$5,000,000.

Estimated Average Size of Awards:

Scale-up: \$40,000,000  
Validation: \$17,500,000;  
Development: \$3,000,000

Estimated Number of Awards:

Scale-up: Up to 5 awards;  
Validation: Up to 100 awards; and  
Development: Up to 100 awards.

Note: The Department is not bound by any estimates in this notice.

Project Period: 36-60 months.

## III. Eligibility Information

1. Providing Innovations that Improve Achievement for High-Need Students: All applicants must implement

practices, strategies, or programs for high-need students (as defined in the Notice of final priorities).

2. Eligible Applicants: Entities eligible to apply for Investing in Innovation Fund grants include: (a) an LEA or (b) a partnership between a nonprofit organization and (1) one or more LEAs or (2) a consortium of schools. An eligible applicant that is a partnership applying under the section 14007(a)(1)(B) of the ARRA must designate one of its official partners (as defined in the Notice of final priorities) to serve as the applicant in accordance with the Department's regulations governing group applications in 34 VFR 75.127 through 75.129.

3. Eligibility Requirements: To be eligible for an award, an eligible applicant must – except as specifically set forth in paragraph (4) of these requirements and the Note about Eligibility for an Eligible Applicant that Includes a Nonprofit Organization that follows:

(1)(A) Have significantly closed the achievement gaps between groups of students described in section 1111(b)(2) of the ESEA (economically disadvantaged students, students from major racial and ethnic groups, students with limited English proficiency, students with disabilities); or

(1)(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 that it has established one or more 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

(4) In the case of an eligible applicant that includes a nonprofit organization, provide in the 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 an eligible applicant that includes a nonprofit organization intends to partner with additional LEAs or schools that are not named in its application, it must describe in the application the demographics and other characteristics of these LEAs and schools and the process it will use to select them as either official or other partners. An applicant must identify its specific partners before a grant award will be made.

Note about LEA Eligibility: For purposes of this program, an LEA is an LEA located within one of the 50 States, the District of Columbia, or the Commonwealth of Puerto Rico.

Note about Eligibility for an Eligible Applicant that Includes a Nonprofit Organization: The authorizing statute (as amended) specifies that an eligible applicant that includes a nonprofit organization is considered to have met the requirements in paragraphs (1) and (2) of the eligibility requirements for this program if the nonprofit organization has a record of significantly improving student achievement, attainment, or retention. For an eligible applicant that includes a nonprofit organization, the nonprofit organization must demonstrate that it has a record of significantly improving student achievement, attainment, or retention through its record of work with an LEA or schools. Therefore, an eligible applicant that includes a nonprofit organization does not necessarily need to include as a partner for its Investing in Innovation Fund grant an LEA or a consortium of schools that meets the requirements in paragraphs (1) and (2). Rather, the nonprofit organization must demonstrate that it has a record of significantly improving student achievement, attainment, or

retention through the assistance it has provided to an LEA or schools in the past.

In addition, the authorizing statute (as amended) specifies that an eligible applicant that includes a nonprofit organization is considered to have met the requirements of paragraph (3) of the eligibility requirements for this program if the applicant demonstrates that it will meet the requirement relating to private-sector matching.

4. Funding Categories: An applicant must state in its application whether it is applying for a Scale-up, Validation, or Development grant. An applicant may not submit an application for the same proposed project under more than one type of grant. An applicant will be considered for an award only for the type of grant for which it applies.

5. Cost Sharing or Matching: To be eligible for an award, an eligible applicant must demonstrate that it has established one or more partnerships with an entity or organization in the private sector, which may include philanthropic organizations, and that the entity or organization in the private sector will provide matching funds in order to help bring project results to scale. An eligible applicant must obtain private matching funds or in-

kind donations equal to at least 20 percent of its grant award. Selected eligible applicants must submit evidence of the full 20 percent private-sector matching funds following the peer review of applications. No awards will be made without adequate evidence of the full 20 percent private-sector match being committed.

The Secretary may consider decreasing the 20 percent matching requirement in the most exceptional circumstances, on a case-by-case basis. An eligible applicant that anticipates being unable to meet the 20 percent matching requirement must include in its application a request to the Secretary to reduce the matching level requirement, along with a statement of the basis for the request.

6. Subgrants: In the case of an eligible applicant that is a partnership between a nonprofit organization and (1) one or more LEAs or (2) a consortium of schools, the partner serving as the applicant may make subgrants to one or more official partners (as defined in the Notice of final priorities).

7. Limit on Grant Awards: No grantee may receive more than two grant awards under this program. In addition, no grantee may receive more than \$55 million in grant awards.

8. Evaluation: A grantee must comply with the requirements of any evaluation of the program conducted by

the Department. In addition, the grantee is required to conduct an independent evaluation (as defined in the notice of final priorities) of its proposed project and must agree, along with its independent evaluator, to cooperate with any technical assistance provided by the Department or its contractor. The purpose of this technical assistance will be to ensure that the evaluations are of the highest quality and to encourage commonality in evaluation approaches across funded projects where it is feasible and useful to do so. Finally, the grantee must make broadly available through formal (e.g., peer-reviewed journals) or informal (e.g., newsletters) mechanisms, and in print or electronically, the results of any evaluations it conducts of its funded activities.

9. Participation in "Communities of Practice":

Grantees are required to participate in, organize, or facilitate, as appropriate, communities of practice for the Investing in Innovation Fund. A community of practice is a group of grantees that agrees to interact regularly to solve a persistent problem or improve practice in an area that is important to them. Establishment of communities of practice under the Investing in Innovation Fund will enable grantees to meet, discuss, and collaborate with each other regarding grantee projects.

#### IV. Application and Submission Information

##### 1. Address to Request Application Package:

ED Pubs, US Department of Education, P.O. Box 22207, Alexandria, VA 22304. Telephone, toll free: 1-877-433-7827. FAX: (703)605-6794. If you use a telecommunications device for the deaf (TDD), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also:  
<http://edpubs.ed.gov/> or at its e-mail address:  
[edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov).

If you request an application package from ED Pubs, be sure to identify this program or competition as follows:  
CFDA numbers 84.396A, 84.396B, or 84.396C.

You can download the application package at the i3 Web site, also:  
<http://www2.ed.gov/programs/innovation/index.html>.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) by contacting the person or team listed under Accessible Format in section VIII of this notice.

##### 2. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition.

Notice of Intent to Apply: [INSERT DATE 20 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]

The Department will be able to develop a more efficient process for reviewing grant applications if it has a better understanding of the number of applicants that intend to apply for funding under this competition. Therefore, the Secretary strongly encourages each potential applicant to notify the Department of the applicant's intent to submit an application for funding by sending a short email message. This short email should list (1) the applicant organization's name and address, (2) the type of grant the applicant intends to apply for (3) the one absolute priority the applicant intends to address, and (4) all competitive preference priorities the applicant intends to address. The Secretary requests that this email be sent to Intent to Apply at [i3intent@ed.gov](mailto:i3intent@ed.gov). Applications that do not to provide this email notification may still apply for funding.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. Applicants are strongly encouraged to limit the application narrative (Part III) to the following page limits: Scale-up 50 pages; Validation 35 pages; and Development 25 pages. Applicants are also strongly

encouraged not to include lengthy appendices that contain information that could not be included in the narrative.

Applications should use the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, the page limit does apply to all of the application narrative section [Part III].

### 3. Submission Dates and Times:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Notice of Intent to Apply: [INSERT DATE 20 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]

Deadline for Transmittal of Applications: [INSERT DATE 60 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Dates of Technical Assistance Workshops: March 3, 2010 in Washington, DC; March 9, 2010 in Dallas, TX; March 10, 2010 in Chicago, IL; and March 11, 2010 in San Francisco, CA.

These technical assistance workshops are designed to provide technical assistance to interested applicants for all three types of i3 grants. Detailed information regarding the Technical Assistance Workshop locations and times can be found on the Investing In\_Innovation Fund (i3) website at <http://www.ed.gov/programs/innovation/index.html>.

Applications for grants under this competition must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission

requirement, please refer to section IV. 6. Other Submission Requirements of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: [INSERT DATE 60 DAYS AFTER PUBLISHED IN THE FEDERAL REGISTER]

4. Intergovernmental Review: This competition is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this competition.

5. Funding Restrictions: We reference additional regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements:

Applications for grants under this program competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the Investing in Innovation Fund--CFDA Numbers 84.396A, 84.396B, and 84.396C must be submitted electronically using e-Application, accessible through the Department's e-Grants Web site at: <http://e-grants.ed.gov>.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. E-Application will not accept an application for this program [competition] after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

- The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the

following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password protected file, we will not review that material.

- Your electronic application must comply with any page limit requirements described in this notice.
- Prior to submitting your electronic application, you may wish to print a copy of it for your records.
- After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).
- Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:
  - (1) Print SF 424 from e-Application.
  - (2) The applicant's Authorizing Representative must sign this form.

(3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.

(4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.

- We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of e-Application

Unavailability: If you are prevented from electronically submitting your application on the application deadline date because e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery.

We will grant this extension if--

(1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request

this extension or to confirm our acknowledgment of any system unavailability, you may contact either (1) the persons listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If e-Application is unavailable due to technical problems with the system and, therefore, the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of e-Application.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through e-Application because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to e-Application;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the

Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Thelma Leenhouts, U.S. Department of Education, 400 Maryland Avenue, SW., room 4W302, Washington, DC 20202-5900 FAX: (202) 401-4123.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Numbers 84.396A, 84.396B, 84.396C)

LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Numbers 84.396A, 84.396B, 84.396C)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this grant notification within 15 business

days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are from the notice of final priorities, selection criteria, definitions, and other requirements for this program, published in the Federal Register on **[fill in date]** (**[fill in FR citation; e.g., 73 FR 48346]**) and are as follows:

1. Scale-Up Grants.

A. Need for the Project and Quality of the Project Design (up to 15 points).

(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:

(a) The extent to which the proposed project represents an exceptional approach to the priorities the eligible applicant is seeking to meet (i.e., addresses a 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 (i) aligned with the priorities the applicant is seeking to meet, and (ii) expected to result in achieving the goals, objectives, and outcomes of the proposed project.

B. Strength of Research, Significance of Effect, and Magnitude of Effect (up to 20 points).

(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 or student growth, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates, or increasing college enrollment and completion rates. Eligible applicants may also demonstrate success through an intermediate variable that is directly correlated with improving these outcomes, such as teacher or principal 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 eligible applicant demonstrates that there is strong evidence that its implementation of 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, increasing high school graduation rates, or increasing college enrollment and completion rates and that the effect will be substantial and important.

(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 or student growth, close achievement gaps, decrease dropout rates, increase high school graduation rates, or increase college enrollment and completion rates. The evidence in support of the importance and magnitude of the effect would be the research-based evidence provided by the eligible applicant to support the proposed project.

C. Experience of the Applicant (up to 20 points).

(1) The Secretary considers the experience of the eligible applicant in implementing the proposed project.

(2) In determining the experience of the eligible applicant, the Secretary considers the following factors:

(a) The past performance of the eligible applicant in implementing large, complex, and rapidly growing projects.

(b) The extent to which an eligible applicant provides information and data demonstrating that--

(i) In the case of an eligible applicant that is an LEA, the LEA has--

(A) Significantly closed the achievement gaps between groups of students described in section 1111(b)(2) of the ESEA, or significantly increased student achievement for all groups of students described in such section; and

(B) 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; or

(ii) In the case of an eligible applicant that includes a nonprofit organization, the nonprofit organization has significantly improved student achievement, attainment, or retention through its record of work with an LEA or schools.

D. Quality of the Project Evaluation (up to 10 points).

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:

(a) The extent to which the methods of evaluation will include an experimental study or, if a well-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.

(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.

(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.

(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.

(e) The extent to which the proposed project plan includes sufficient resources to effectively carry out the project evaluation.

(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: We encourage eligible applicants to review the following technical assistance resources on evaluation: (1) What Works Clearinghouse Procedures and Standards Handbook: <http://ies.ed.gov/ncee/wwc/references/idocviewer/doc.aspx?docid=19&tocid=1>; and (2) IES/NCEE Technical Methods papers: [http://ies.ed.gov/ncee/tech\\_methods/](http://ies.ed.gov/ncee/tech_methods/).

E. Strategy and Capacity to Scale (up to 15 points).

1. The Secretary considers the quality of the eligible 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 capacity of the eligible applicant and any other partners to reach the proposed number of students during the course of the grant period.

(b) The eligible 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 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.

(d) The eligible applicant's estimate of the cost of the proposed project, which includes start-up and operating costs per student per year (including indirect costs) for reaching the total number of students proposed to be served by the project. In addition, the applicant will provide an estimate of the costs for the eligible applicant or others (including other partners) to reach 100,000, 500,000, and 1,000,000 students.

(e) The mechanisms the eligible applicant will use to broadly disseminate information on its project to support replication.

F. Sustainability (up to 10 points).

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 eligible 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 any other partners; and 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 eligible applicant and other partners at the end of the Scale-up grant.

G. Quality of the Management Plan and Personnel (up to 10 points).

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

## 2. Validation Grants.

A. Need for the Project and Quality of the Project Design (up to 15 points).

(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:

(a) The extent to which the proposed project represents an exceptional approach to the priorities the eligible applicant is seeking to meet (i.e., addresses a

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 (i) aligned with the priorities the applicant is seeking to meet, and (ii) expected to result in achieving the goals, objectives, and outcomes of the proposed project.

B. Strength of Research, Significance of Effect, and Magnitude of Effect (up to 15 points).

(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 or student growth, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates, or increasing college enrollment and completion rates. Eligible applicants may also demonstrate success through an intermediate variable that is directly correlated with improving these outcomes, such as teacher or principal 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 eligible applicant demonstrates that there is moderate evidence 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, increasing high school graduation rates, increasing college enrollment and completion rates and that with further study, the effect may prove to be substantial and important.

(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 or student growth, close achievement gaps, decrease dropout rates, increase high school graduation rates or increase college enrollment and completion rates. The evidence in support of the importance and magnitude of the effect would be the research-based evidence provided by the eligible applicant to support the proposed project.

C. Experience of the Applicant (up to 25 points).

(1) The Secretary considers the experience of the eligible applicant in implementing the proposed project.

(2) In determining the experience of the eligible applicant, the Secretary considers the following factors:

(a) The past performance of the eligible applicant in implementing complex projects.

(b) The extent to which an eligible applicant provides information and data demonstrating that--

(i) In the case of an eligible applicant that is an LEA, the LEA has--

(A) Significantly closed the achievement gaps between groups of students described in section 1111(b)(2) of the ESEA, or significantly increased student achievement for all groups of students described in such section; and

(B) 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; or

(ii) In the case of an eligible applicant that includes a nonprofit organization, the nonprofit organization has significantly improved student achievement, attainment, or retention through its record of work with an LEA or schools.

D. Quality of the Project Evaluation (up to 15 points).

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:

(a) The extent to which the methods of evaluation will include a well-designed experimental study or a well-designed quasi-experimental study.

(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 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.

(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.

Note: We encourage eligible applicants to review the following technical assistance resources on evaluation: (1) What Works Clearinghouse Procedures and Standards Handbook: <http://ies.ed.gov/ncee/wwc/references/idocviewer/doc.aspx?>

docid=19&tocid=1; and (2) IES/NCEE Technical Methods papers:  
[http://ies.ed.gov/ncee/tech\\_methods/](http://ies.ed.gov/ncee/tech_methods/).

E. Strategy and Capacity to Scale (up to 10 points).

1. The Secretary considers the quality of the eligible 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 capacity of the eligible applicant and other partners to reach the proposed number of students during the course of the grant period.

(b) The eligible 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 other 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 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 eligible applicant's estimate of the cost of the proposed project, which includes start-up and operating costs per student per year (including indirect costs) for reaching the total number of students proposed to be served by the project. In addition, the applicant will provide an estimate of the costs for the eligible applicant or others (including other partners) to reach 100,000, 250,000, and 500,000 students.

(e) The mechanisms the eligible applicant will use to broadly disseminate information on its project to support further development, expansion, or replication.

F. Sustainability (up to 10 points).

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 eligible 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.

(b) The potential and planning for the incorporation of project purposes, activities, or benefits into the ongoing work of the eligible applicant and other partners at the end of the Validation grant.

G. Quality of the Management Plan and Personnel (up to 10 points).

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

### 3. Development Grants.

#### A. Need for the Project and Quality of the Project Design (up to 20 points).

(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:

(a) The extent to which the proposed project represents an exceptional approach to the priorities the eligible applicant is seeking to meet (i.e., addresses a 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 eligible applicant is seeking to meet.

#### B. Strength of Research, Significance of Effect, and Magnitude of Effect (up to 10 points).

(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, increasing high school graduation rates, or increasing college enrollment and completion rates. Eligible applicants may also demonstrate success through an intermediate variable that is directly correlated with improving these outcomes, such as teacher or principal 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 eligible applicant demonstrates that there are research-based findings or reasonable hypotheses that support the proposed project, including related research in education and other sectors.

(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 eligible 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, or increasing college enrollment and completion rates.

C. Experience of the Applicant (up to 25 points).

(1) The Secretary considers the experience of the eligible 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 eligible applicant in implementing projects of the size and scope proposed by the eligible applicant.

(b) The extent to which an eligible applicant provides information and data demonstrating that--

(i) In the case of an eligible applicant that is an LEA, the LEA has--

(A) Significantly closed the achievement gaps between groups of students described in section 1111(b)(2) of the ESEA, or significantly increased student achievement for all groups of students described in such section; and

(B) 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; or

(ii) In the case of an eligible applicant that includes a nonprofit organization, the nonprofit organization has significantly improved student achievement, attainment, or retention through its record of work with an LEA or schools.

D. Quality of the Project Evaluation (up to 15 points).

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.

(a) The extent to which the methods of evaluation are appropriate to the size and scope of the proposed project.

(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 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 proposed project plan includes sufficient resources to effectively carry out the project evaluation.

Note: We encourage eligible applicants to review the following technical assistance resources on evaluation: (1) What Works Clearinghouse Procedures and Standards Handbook: <http://ies.ed.gov/ncee/wwc/references/idocviewer/doc.aspx?docid=19&tocid=1>; and (2) IES/NCEE Technical Methods papers: [http://ies.ed.gov/ncee/tech\\_methods/](http://ies.ed.gov/ncee/tech_methods/).

E. Strategy and Capacity to Further Develop and Scale (up to 10 points).

1. The Secretary considers the quality of the eligible 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 eligible applicant's capacity to reach the proposed number of students during the course of the grant period.

(b) The eligible 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 (including other partners) 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 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 eligible applicant's estimate of the cost of the proposed project, which includes the start-up and operating costs per student per year (including indirect costs) for reaching the total number of students proposed to be served by the project. In addition, the eligible applicant will provide an estimate of the costs for the applicant or others (including other partners) to reach 100,000, 250,000, and 500,000 students.

(e) The mechanisms the eligible applicant will use to broadly disseminate information on its project to support further development or replication.

F. Sustainability (up to 10 points).

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 eligible 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.

(b) The potential and planning for the incorporation of project purposes, activities, or benefits into the ongoing work of the eligible applicant and any other partners at the end of the Development grant.

G. Quality of the Management Plan and Personnel (up to 10 points).

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.

2. Review and Selection Process: The Department will screen applications that are properly received by the designated deadline, and will determine which applications are eligible to be read based on whether they have met eligibility and other statutory requirements.

For all three grant reviews, the Department will use independent, non-federal reviewers from various backgrounds and professions including: PK-12 and collegiate educators, State and district education officials, researchers and evaluators, entrepreneurs, strategy consultants, grant makers and managers and others with education expertise.

The Department will thoroughly screen all reviewers for conflicts of interest to ensure a fair and competitive review process.

Reviewers will read, prepare a written evaluation, and score the applications assigned to their panel, using the selection criteria provided.

Eligible Scale-up and Validation applications will be reviewed and scored by a panel of reviewers. If eligible applicants have chosen to address the competitive preference priorities and receive points for the competitive preference priorities, those points will be added to the eligible applicant's score. The Department may ask Scale-up finalists to send a team to the Department's headquarters in Washington, D.C. to present their proposal to a panel of reviewers. The panel will take this opportunity to gain a more comprehensive picture of the applicant's proposal, including its plans and capabilities to implement them. At the conclusion of the presentation process, reviewers will finalize their scoring of the applications based on the selection criteria and information obtained from the applicant presentation.

The Department intends to conduct a two-tier review process to review and score all eligible Development applications. All eligible applications will be reviewed

and scored on the following five criteria: A. Need for the Project and Quality of the Project Design; C. Experience of Applicant; E. Strategy and Capacity to Scale; F. Sustainability; and G. Quality of Management Plan and Personnel. If eligible applicants have chosen to address the competitive preference priorities, reviewers will review and score those competitive preference priorities. If points are awarded, those points will be added to the eligible applicant's score. Applications that score highly on the above five criteria will then have the remaining two criteria reviewed and scored. The remaining criteria are as follows: B. Strength of Research, Significance, of Effect, and Magnitude of Effect and D. Quality of the Project Evaluation.

The Secretary will select the grant finalists after considering the reviewers' scores.

#### VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements:

We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

In addition to the reporting requirements above, an applicant that receives Investing in Innovation funds must also meet the reporting requirements that apply to all ARRA-

funded programs. Specifically, the applicant must submit reports, within 10 days after the end of each calendar quarter, that contain the information required under section 1512(c) of the ARRA in accordance with any guidance issued by the Office of Management and Budget or the Department (ARRA Division A, Section 1512(c)).

4. Performance Measures: We have established several performance measures for each of the three types of the Investing in Innovation Fund grants. The measures are:

**Scale-up Grants:**

**Short term measures** (1) the percentage of grantees with a quality evaluation that meets the bar for strong evidence; (2) the percentage of grantees who are on track to reach the target number of students specified in the application; and (3) the actual cost per student to reach the target number of students specified in the application.

**Long term measures** (1) the percentage of grantees with meaningful results on outcomes and findings on key implementation issues; (2) the percentage of grantees who reach specified scale while maintaining or improving outcomes; (3) the estimated cost per student to reach the target number of students specified in the application.

**Validation Grants:**

**Short term measures** (1) the percentage of grantees with an evaluation that meets the bar for moderate evidence; (2) the percentage of grantees who are on track to reach specified scale; (3) the actual cost per student to reach the target number of students specified in the application.

**Long term measures** (1) the percentage of grantees with meaningful results on outcomes and findings on key implementation issues; (2) the percentage of grantees who reach specified scale while maintaining or improving outcomes; (3) the estimated cost per student to reach the target number of students specified in the application.

**Development Grants:**

**Short term measures** (1) the percentage of grantees with a quality evaluation plan; (2) the percentage of grantees on track to scale programs; (3) the actual cost per student to reach the target number of students specified in the application.

**Long term measures** (1) the percentage of grantees with a quality evaluation; (2) the percentage of grantees on track to scale beyond initial demonstration based on achieving outcome goals; (3) the estimated cost per student to reach the target number of students specified in the application; (4) the percentage of grantees who successfully address an “unmet” need

## VII. Agency Contacts

For Further Information Contact: U.S. Department of Education, 400 Maryland Avenue, SW., room 4W302, Washington, DC 20202-5900, Telephone: (202) 555-5555 or by e-mail: [i3@ed.gov](mailto:i3@ed.gov).

If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

## VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) on request to the program contact persons listed under For Further Information Contact in section VII of this notice

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: [www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister). To use PDF you must have Adobe Acrobat Reader, which is available free at this site.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of

Federal Regulations is available on GPO Access at:  
[www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html).

Dated:

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James H. Shelton III,  
Assistant Deputy Secretary for  
Innovation and Improvement.