

# Q&A Webinar

## i3 Development Pre-Application

Overview Slides

April 2015

Note: These slides are intended as guidance only. Please refer to the official documents published in the *Federal Register*.



investing  
in  
innovation fund



# Two Parts of Today's Webinar

- 1) An overview of the 2015 i3 Development Competition, with a focus on the pre-application process.

*These slides are intended as guidance only. Keep in mind that the overview covers only part of the information that prospective applicants should review from the Federal Register and the i3 website.*

- 2) A Q&A period with a discussion organized by specific topic.

# A Few Notes on Q&A

We have allowed substantial time after each discussion topic for Q&A

- Webinar participants should submit their questions via the webinar Q&A function

We cannot answer questions that are applicant-specific

- “Am I eligible to apply?”
- “Does this sound like a good idea?”
- “Does this idea address the absolute priority?”

We may not be able to answer all questions received

If you have additional questions, please send them to the i3 mailbox: [i3@ed.gov](mailto:i3@ed.gov)

# Overview of the i3 Grant Program

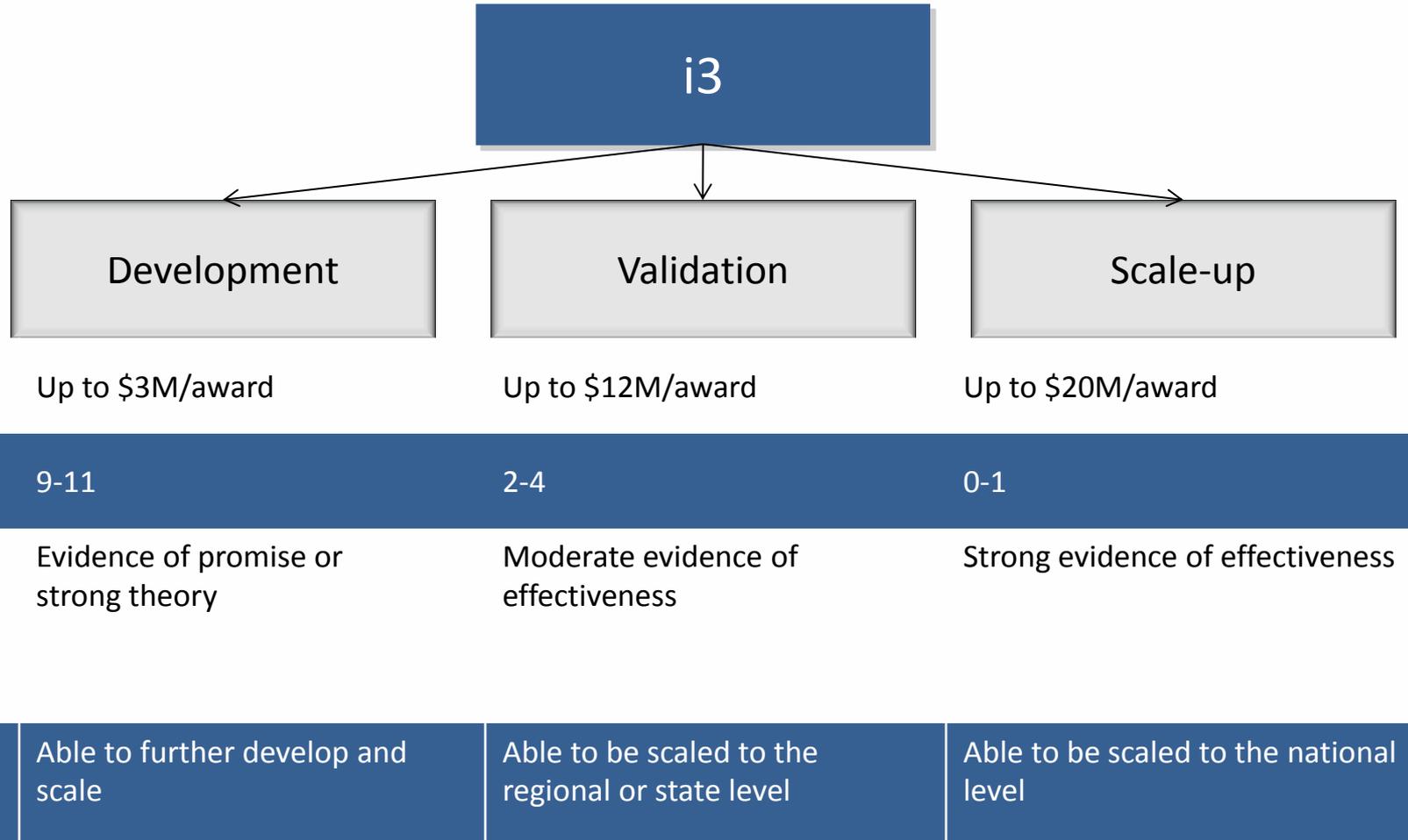
## Purpose

To generate and validate solutions to persistent educational challenges and to support the expansion of effective solutions across the country and to serve substantially larger numbers of students.

## Funding

\$112,400,000 (est.) to be obligated by December 31, 2015.

# Types of Awards Available Under i3



**\*\$112.4 M (est.) to be obligated by December 31, 2015**

# Overview of the i3 Grant Program

## Applicants

Eligible applicants are:

- (1) Local educational agencies (LEAs)
- (2) non-profit organizations in partnership with (a) one or more LEAs or (b) a consortium of schools

## Eligibility Requirements

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

# Order of Q&A Discussion Topics

- **Eligibility**
- Evidence
- Priorities
- Selection Criteria
- Other Topics

# i3 Has Two Types of Eligible Applicants

The entity applying for an i3 grant must be:

(a) A local educational agency (LEA);

**OR**

(b) A partnership between a nonprofit organization **and—**

(1) One or more LEAs; or

(2) A consortium of schools.

There is no competitive advantage to applying as one type of applicant or the other, but an applicant must meet the relevant eligibility requirements.

# Some Eligibility Requirements Apply to Both Types of Applicants

## All applicants must:

1. Address one absolute priority.
2. Improve achievement for high-need students.
3. Serve students in grades K-12.
4. Meet the evidence requirement – for Development grantees: evidence of promise or strong theory.
5. Secure commitment for required private sector match – for Development grantees: 15% of the federal award.

# All Eligible Applicants Must Implement Practices, Strategies, or Programs for High-Need Students

High-need student means a student at risk of educational failure or otherwise in need of special assistance and support, such as students who are living in poverty, who attend high-minority schools (as defined in the Notice of Final Priorities, Requirements, Definitions and Selection Criteria (NFP)), who are far below grade level, who have left school before receiving a regular high school diploma, who are at risk of not graduating with a diploma on time, who are homeless, who are in foster care, who have been incarcerated, who have disabilities, or who are English learners.

Note: To be eligible for an i3 award, an applicant must identify how the proposed project serves high-need student populations. However, while the definition provides examples of high-need students, it **does not attempt to define all possible populations. Applicants must identify how their project serves high-need students.**

# All Eligible Applicants Must Implement Practices that serve students in **Grades K-12**

All eligible applicants must implement practices that serve students who are in grades K-12 at some point during the funding period. To meet this requirement, projects that serve early learners (i.e., infants, toddlers, or preschoolers) must provide services or supports that extend into kindergarten or later years, and projects that serve postsecondary students must provide services or supports during the secondary grades or earlier.

Note: To be eligible for an i3 award, an applicant must identify how the proposed project serves students in grades K-12 at some point during the funding period.

# Some Eligibility Requirements Differ Based on Type of Applicant (Record of Improvement)

- Requirements for Eligibility of an LEA
- Requirements for Eligibility of an nonprofit with one or more LEAs ; or a consortium of schools

# Notes on Eligibility Requirements

- Applicants **do not need to address eligibility in the pre-application**, but should keep it in mind if invited to submit a full application.
- Applicants should fully address all eligibility requirements in the full application.

IMPORTANT: Applicants that do not sufficiently address the eligibility requirements in the full application **will not** be able to supplement their original application with additional information to meet the requirements if they are deemed ineligible.

# Q&A: Eligibility

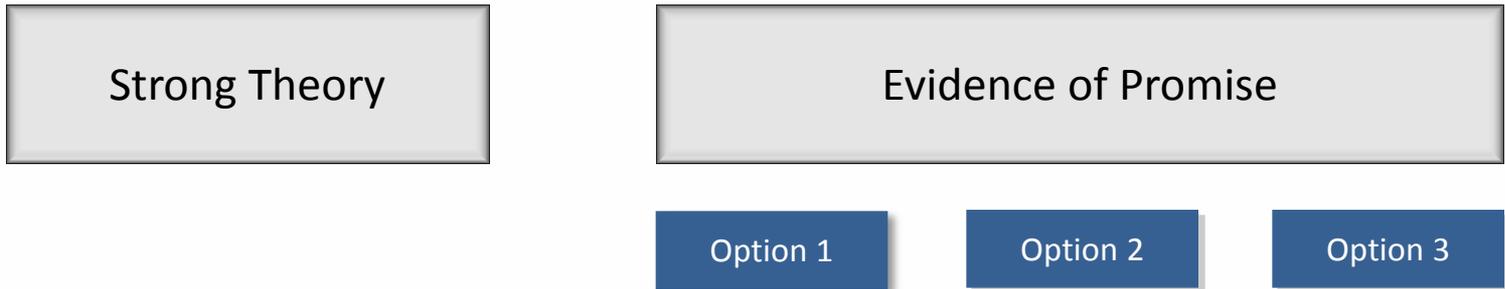
# Order of Q&A Discussion Topics

- Eligibility
- **Evidence**
- Priorities
- Selection Criteria
- Other Topics

## i3 Evidence Requirements

- All applications **must meet** the evidence requirement for the type of grant they are seeking.
- Applications that do not meet the evidence requirement **will not** be eligible for a grant award, regardless of scores on the selection criteria.
- If an application does not meet the “evidence standard” of the grant type under which it was submitted, it **will not** be considered for a different type of i3 grant.

# i3 Development Grant Evidence Standards



<i>Number of Studies</i>	Not Applicable – Logic Model Only	1+	1+	1+
<i>Statistical Significance</i>		Statistically significant positive impact (0.25 standard deviation or larger)		
<i>WWC Standards</i>		Not Applicable; Correlational study with statistical controls for selection bias	Meets without reservations	Meets with reservations

Note: Greyed-out/shaded cells indicate criteria on which the updated standards are silent.

See [What Works Clearinghouse Procedures and Standards Handbook \(Version 3.0, March 2014\)](http://ies.ed.gov/ncee/wwc/DocumentSum.aspx?sid=19), which can be found at the following link: <http://ies.ed.gov/ncee/wwc/DocumentSum.aspx?sid=19>.

# Development Grant Evidence Requirements

## Pre-Application

- **Applicants are not required to address the evidence eligibility requirement in their pre-applications.**
- However, applicants may find it valuable to discuss the evidence in support of their proposed projects in connection with or as justification of the claimed significance or impact.

# Q&A: Evidence

# Order of Q&A Discussion Topics

- Eligibility
- Evidence
- **Priorities**
- Selection Criteria
- Other Topics

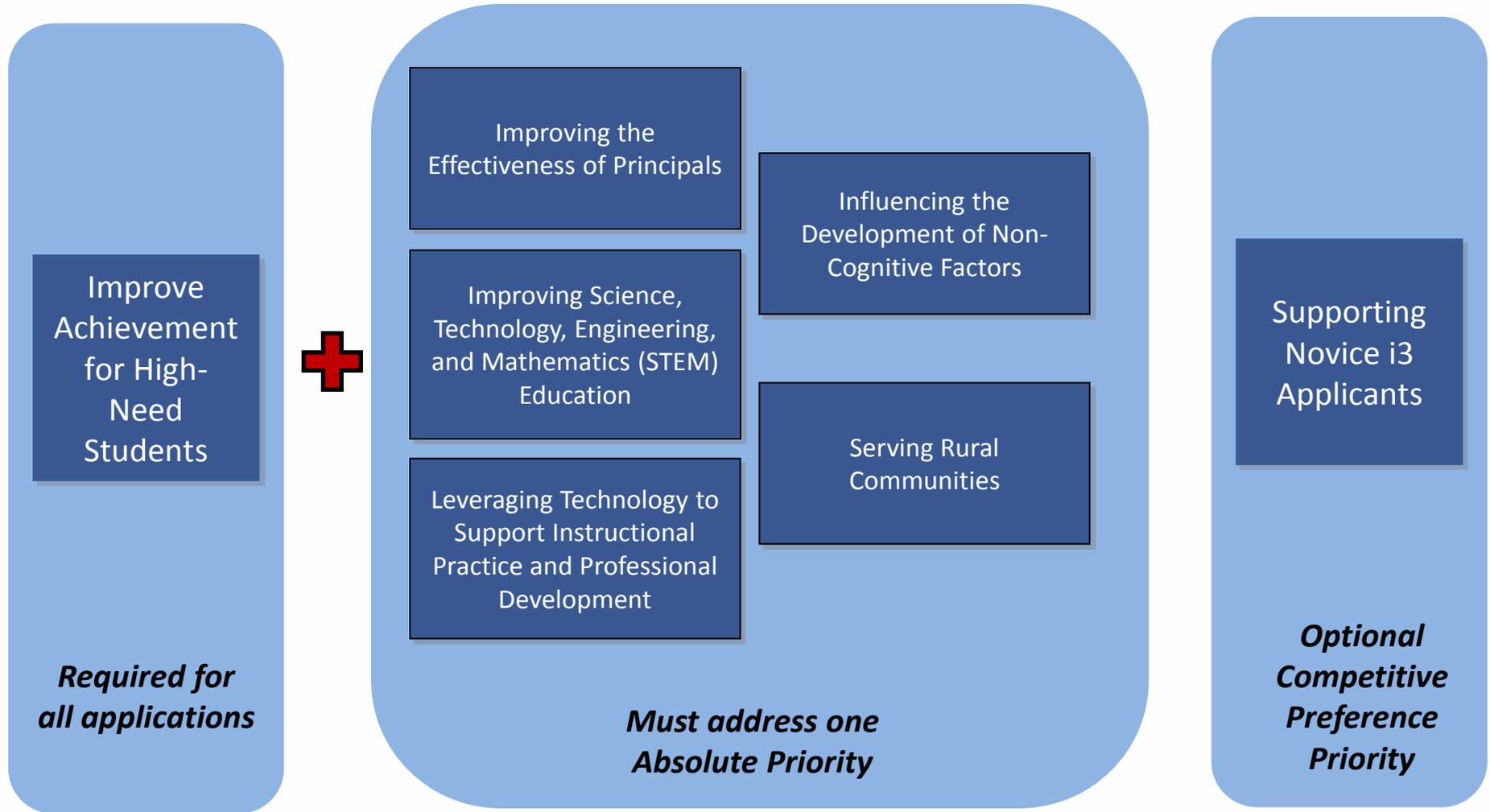
# i3 2015 Priority Structure

- The i3 Development Notice Inviting Applications (the NIA) was published in the Federal Register on March 30, 2015.
- An applicant for a Development grant must choose one of the five absolute priorities in their pre-application.

**NOTE:** Applicants who choose to submit an application under the absolute priority for Serving Rural Communities must identify an additional absolute priority.

- This year's competition also includes one competitive preference priority for novice i3 applicants.

# i3 Development Priorities



## **Absolute Priority 1: Improving the Effectiveness of Principals**

### **Applicants must address the following:**

Under this priority, we provide funding to projects that are designed to increase the number and percentage of highly effective principals by implementing practices or strategies that support districts in hiring, evaluating, supporting, and retaining effective principals.

For the purposes of this priority, principal effectiveness must be measured using a high-quality principal evaluation and support system (as defined in the NIA).

**Absolute Priority 2:  
Improving Science,  
Technology, Engineering,  
and Mathematics (STEM)  
Education**

**Applicants must address the following:**

Under this priority, we provide funding to projects that address the following priority area:

Expanding high-quality out-of-school and extended-day activities, including extending the day, week, or year, or before- or after-school, or summer learning programs, that provide students with opportunities for deliberate practice that increase STEM learning, engagement, and expertise.

**Absolute Priority 3:  
Leveraging Technology to  
Support Instructional  
Practice and Professional  
Development**

**Applicants must address the following:**

Under this priority, we provide funding to projects that are designed to leverage technology through using data platforms that enable the development, visualization, and rapid analysis of data to inform and improve learning outcomes, while also protecting privacy in accordance with applicable laws.

## **Absolute Priority 4: Influencing the Development of Non- Cognitive Factors**

### **Applicants must address the following:**

Under this priority, we provide funding to projects that are designed to improve students' mastery of non-cognitive skills and behaviors (such as academic behaviors, academic mindset, perseverance, self-regulation, social and emotional skills, and approaches toward learning strategies) and enhance student motivation and engagement in learning.

## **Absolute Priority 5: Serving Rural Communities**

### **Applicants must address the following:**

Under this priority, we provide funding to projects addressing one of the absolute priorities established for the 2015 Development i3 competition and under which the majority of students to be served are enrolled in rural local educational agencies (as defined in the NIA).

# Notes on Absolute Priority 5: Serving Rural Communities

- Please note that applicants that choose to submit an application under the absolute priority for Serving Rural Communities must identify ***an additional absolute priority.***
- The peer-reviewed scores for applications submitted under the Serving Rural Communities priority will be ranked with other applications under this priority, and not included in the ranking for the additional priority that they identified.
- This design helps to ensure that applicants under the Serving Rural Communities priority receive an “apples to apples” comparison with other rural applicants.

## **Competitive Preference Priority: Supporting Novice i3 Applicants**

Under 34 CFR 75.105(c)(2)(i) we award an additional three points to an application that meets the competitive preference priority.

Eligible applicants that have never directly received a grant under this program.

# Q&A: Priorities

# Order of Q&A Discussion Topics

- Eligibility
- Evidence
- Priorities
- **Selection Criteria**
- Other Topics

# Notes on i3 Selection Criteria and Points

- The selection criteria are the criteria against which the peer reviewers score each application.
- The Department **selects grantees based on peer reviewer scores**, so clearly addressing the selection criteria is critical.
- There are **different selection criteria** for the pre-application and the full application.
- This presentation includes **just the pre-application selection criteria**.
- Detailed wording for each selection criterion may be found in the Notice Inviting Applications at the i3 website:  
<http://www.ed.gov/programs/innovation/index.html>.

## i3 Selection Criteria and Points

Selection Criteria	Development Pre-Application	Selection Criteria	Development Full Application
A. Significance	10	A. Significance	35
B. Quality of Project Design	10	B. Quality of Project Design and Management Plan	45
		C. Quality of Project Evaluation	20
<b>Total Points</b>	<b>20</b>	<b>Total Points</b>	<b>100</b>

## Pre-App Selection Criterion:

### A. Significance (up to 10 Points)

The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies. (34 CFR 75.210)

Pre-App Selection Criterion:  
B. Quality of the Project Design  
(Up to 10 Points)

The extent to which the goals, objectives, and outcomes to be achieved by the project are clearly specified and measured. (34 CFR 75.210)

# Q&A: Selection Criteria

# Order of Q&A Discussion Topics

- Eligibility
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- Priorities
- Selection Criteria
- **Other Topics**

# Application Checklist

## ED Standard Forms

- Application for Federal Assistance (SF 424)
- Department of Education Supplemental Information for SF 424
- Department of Education Budget Summary Form (ED 524) Sections A & B
- Disclosure of Lobbying Activities (SF-LLL)

## Assurances and Certifications

- GEPA Section 427
- Assurances- Non-Construction Programs (SF 424B)
- Grants.gov Lobby form (formerly ED 80-0013 form)

## Application Narrative

- Project Narrative Form
- Budget Narrative Form
- Other Attachments Form (Upload Appendices here)
  - Appendix A- i3 Applicant Information Sheet  
<https://survey.max.gov/index.php/975161/lang-en>
  - Appendix B- Applicant's list of proprietary information

# Project Narrative Information

The Project Narrative should describe the project that an applicant would carry out if funded and include the eligible applicant's response to the Selection Criteria since the application will be evaluated and scored against these criteria.

## **Selection Criteria**

- Significance (up to 10 points)
- Quality of Project Design (up to 10 points)

# Budget Narrative Information

## Department of Education Budget Summary Form (ED 524) Sections A & B

- Applicants should include the line item budget (ED form 524) **AND** the accompanying detailed budget narrative justification.
- Applicants may request i3 funding for 3, 4, or 5 years.
- Applicants must complete ED 524 for all budget years of the proposed project.
- Applicants should identify funds budgeted for the project evaluation.
- Applicants should include costs for four project staff persons to attend an annual 2-3 day project directors meeting in Washington, DC.
- The budget should only include costs that are allowable, reasonable, and necessary for carrying out the objectives of the i3 projects.
- Section B: Applicants show the funds or in-kind donations they propose to use to meet the matching requirement as well as any other non-Federal funds or in-kind donations that is proposes to use to support its i3 project. Note: An applicant need not have secured matching funds or in-kind donations in order to show those funds or donations in Section B.

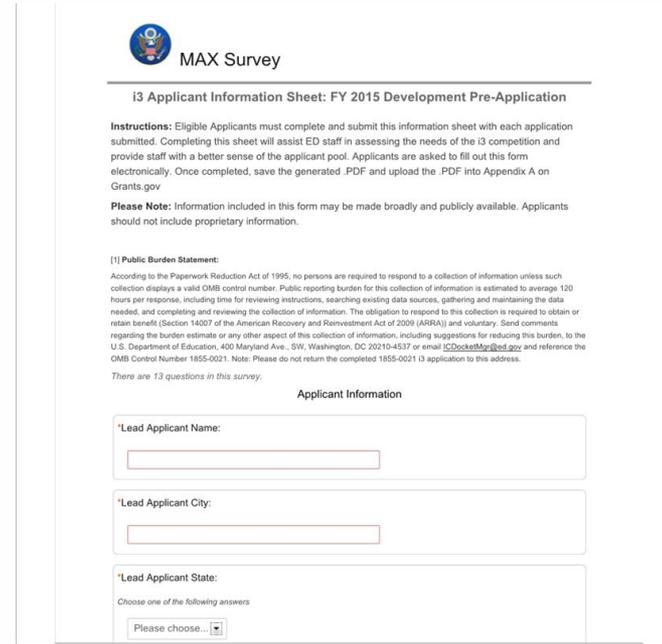
# Appendix A:

## Applicant Information Sheet

Applicants must complete this form electronically and submit the Applicant Information Sheet with each application submitted.

To complete this form and upload:

1. Access Applicant Information Sheet following url:  
<https://survey.max.gov/index.php/975161/lan-en>
2. Complete the form electronically and submit your answers
3. Once you hit “Submit” you will be prompted to “Print Your Answers.”
4. Click “Print Your Answers” and Save the generated .PDF as a .PDF file and upload this to the Other Attachments Form



The screenshot shows the 'MAX Survey' logo at the top left. Below it is the title 'i3 Applicant Information Sheet: FY 2015 Development Pre-Application'. The form includes instructions for eligible applicants, a public burden statement, and a section titled 'Applicant Information' with three input fields: 'Lead Applicant Name', 'Lead Applicant City', and 'Lead Applicant State'. The 'Lead Applicant State' field has a dropdown menu with 'Please choose...' selected.

**MAX Survey**

i3 Applicant Information Sheet: FY 2015 Development Pre-Application

**Instructions:** Eligible Applicants must complete and submit this information sheet with each application submitted. Completing this sheet will assist ED staff in assessing the needs of the i3 competition and provide staff with a better sense of the applicant pool. Applicants are asked to fill out this form electronically. Once completed, save the generated .PDF and upload the .PDF into Appendix A on Grants.gov

**Please Note:** Information included in this form may be made broadly and publicly available. Applicants should not include proprietary information.

[1] Public Burden Statement:  
According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 120 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Section 14007 of the American Recovery and Reinvestment Act of 2009 (ARRA)) and voluntary. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocket@ed.gov](mailto:ICDocket@ed.gov) and reference the OMB Control Number 1855-0021. Note: Please do not return the completed 1855-0021 i3 application to this address.  
There are 13 questions in this survey.

**Applicant Information**

\*Lead Applicant Name:

\*Lead Applicant City:

\*Lead Applicant State:  
Choose one of the following answers  
Please choose...

## Appendix B: Proprietary Information (if applicable)

Applicants should identify the specific information and page numbers in the application where it can be found.

# Post Award Requirements

## Uniform Guidance

- i3 Grants awarded this year will be governed by the Uniform Guidance, 2 CFR Part 200, as adopted by ED at 2 CFR 3474.
- The changes should not have any significant impact on the application preparation process.
- Additional Information on the Uniform Guidance can be found in the FAQs and at this website:  
<http://www2.ed.gov/policy/fund/guid/uniform-guidance/index.html>
- Additional Information on the Uniform Guidance, as it pertains to i3, can be found in the i3 FAQs at this website:  
<http://www2.ed.gov/programs/innovation/faq.html>

# Grants.gov

- Pre- and full applications for grants under this competition must be submitted electronically using the Grants.gov site ([www.Grants.gov](http://www.Grants.gov)).
- In order to apply for an i3 grant, you must complete the Grants.gov registration process. Go to the “Get Registered” link on the left hand side of the Grants.gov homepage. There will be a tutorial on this page that instructs applicants on how to complete the registration process.
- The registration process can take between three to five business days (or as long as four weeks if all steps are not completed in a timely manner).

**Please register early!**

# Applying Through Grants.gov

- To apply for an i3 grant, go to the “Apply for Grants” link on the left hand side of the Grants.gov homepage.
- To locate the application package on the [Grants.gov](https://www.grants.gov) website and hover over the “Applicant” tab. Select the “Apply for Grants” option, then click on “Download a Grant Application Package.” Key in the CFDA (84.411) or the Funding Opportunity Number (ED-GRANTS-033015-001). Click “Download Package.”
- If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and keep a record of it. You can also contact them via email at [support@grants.gov](mailto:support@grants.gov).

# Registering for Sam.gov

- In order to submit an application through Grants.gov, applicants must be active in the System for Award Management (SAM).
- The SAM registration process can take **approximately seven business days, but may take upwards of several weeks**, depending on the completeness and accuracy of the data entered into the SAM database by an entity. Thus, if you are submitting an application under the i3 Pre-Application competition, please allow sufficient time to obtain and register your DUNS number and TIN. We strongly recommend that you register early.
- Once your SAM registration is active, you will need to allow **24 to 48 hours** for the information to be available in Grants.gov and before you can submit an application through Grants.gov.
- Information about SAM is available at [www.SAM.gov](http://www.SAM.gov). To further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, the U.S. Department of Education prepared a SAM.gov Tip Sheet, which you can find at: <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>.

# Cautions from Previous Competitions

- SUBMIT EARLY – The deadline for pre-applications is **Tuesday, May 5<sup>th</sup> at 4:30:00pm (Washington, DC time)**. We will reject applications submitted after the deadline, and some applicants find it takes longer than anticipated to submit in [Grants.gov](https://www.grants.gov). Please make sure that your System for Award Management (SAM) registration is active.
- Once your SAM registration is active, you will need to allow **24 to 48 hours** for the information to be available in Grants.gov and before you can submit an application through Grants.gov.
- WRITE CLEARLY – Peer reviewers can only judge your application based on what you tell them, clearly and comprehensively, in your application.
- UNDERSTAND ELIGIBILITY – We will declare applicants ineligible for funding if they do not meet all of the eligibility requirements.

***READ THE NOTICES and FAQs, UNDERSTAND THE REQUIREMENTS, AND PLAN AHEAD***

# Q&A: Other Topics

# Dates to Remember

## Development Pre-Application (84.411P)

- **Notice of Intent Deadline:** April 20, 2015
- **Deadline for transmitting applications:** **May 5, 2015**
- **Awards announced by:** December 31, 2015

# Notice of Intent Link

## **Development Pre-Application (84.411P)**

**Notice of Intent Deadline:** April 20, 2015

Applicants are strongly encouraged to notify us of the applicant's intent to submit an application for funding by completing a web-based form. The form can be accessed at the following URL:

<https://www.surveymonkey.com/s/9QXGZS7>. Please note that you may have to copy and paste this link into your browser and that this link works best in the Google Chrome browser.

# Resources

Investing in Innovation Fund Website:

<http://www2.ed.gov/programs/innovation/index.html>

Notice Inviting Applications:

<http://www.gpo.gov/fdsys/pkg/FR-2015-03-30/pdf/2015-07213.pdf> (PDF)

<https://federalregister.gov/a/2015-07213> (Text)

Notice of Final Priorities, Requirements, Definitions and Selection Criteria:

<http://www.gpo.gov/fdsys/pkg/FR-2013-03-27/pdf/2013-07016.pdf>

Notice of Final Supplemental Priorities:

<http://www.gpo.gov/fdsys/pkg/FR-2014-12-10/pdf/2014-28911.pdf>

FAQs:

<http://www2.ed.gov/programs/innovation/faq.html>

Application Package on Grants.gov and i3 website:

<http://www2.ed.gov/programs/innovation/applicant.html>

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

# Closing

*All questions about i3 should be sent to [i3@ed.gov](mailto:i3@ed.gov)*

***Thank you!***