

Investing in Innovation Fund (i3) 2011 Competition

Summary Document

June 2011

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

Investing in Innovation (i3) Fund Summary

Purpose

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

- Improving student achievement or student growth, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates
- Increasing college enrollment and completion rates

Funding

\$148.2 million (est.) to be obligated by December 31, 2011

Applicants

Eligible applicants are:

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

Major Changes from 2010

Funding by Grant Type

The maximum award for each grant type has changed:

- Scale-up: Up to \$25 million
- Validation: Up to \$15 million
- Development: Up to \$3 million

Absolute Priorities

The competition now includes five Absolute Priorities (APs) as noted below:

- *Retaining:* Teachers and Principals; Standards and Assessments; Low-Performing Schools
- *Adding:* Promoting STEM Education; Improving Rural Achievement

Major Changes from 2010

Competitive Preference Priorities

- Applicants may identify no more than two Competitive Preference Priorities (CPPs) for the purpose of earning competitive preference points. Applicants may address as many of the competitive preference priorities as needed for the purpose of comprehensiveness. However, the Department will review and award points only for the maximum of two CPPs the applicant identifies.
- The competition now includes five CPPs as noted below:
 - *Retaining:* Early Learning; College Access and Success; Students with Disabilities and Limited English Proficiency
 - *Adding:* Productivity; Technology

Selection Criteria

- The number of selection criteria has been reduced to 4
- Specifically, selection criteria that were addressed elsewhere in the 2010 i3 competition – Strength of Research, Significance of Effect, and Magnitude of Effect and Experience of the Eligible Applicant – are not selection criteria in 2011 (but remain eligibility requirements and should be addressed by applicants as such)
- Allocation of points by selection criterion varies by competition

Major Changes from 2010

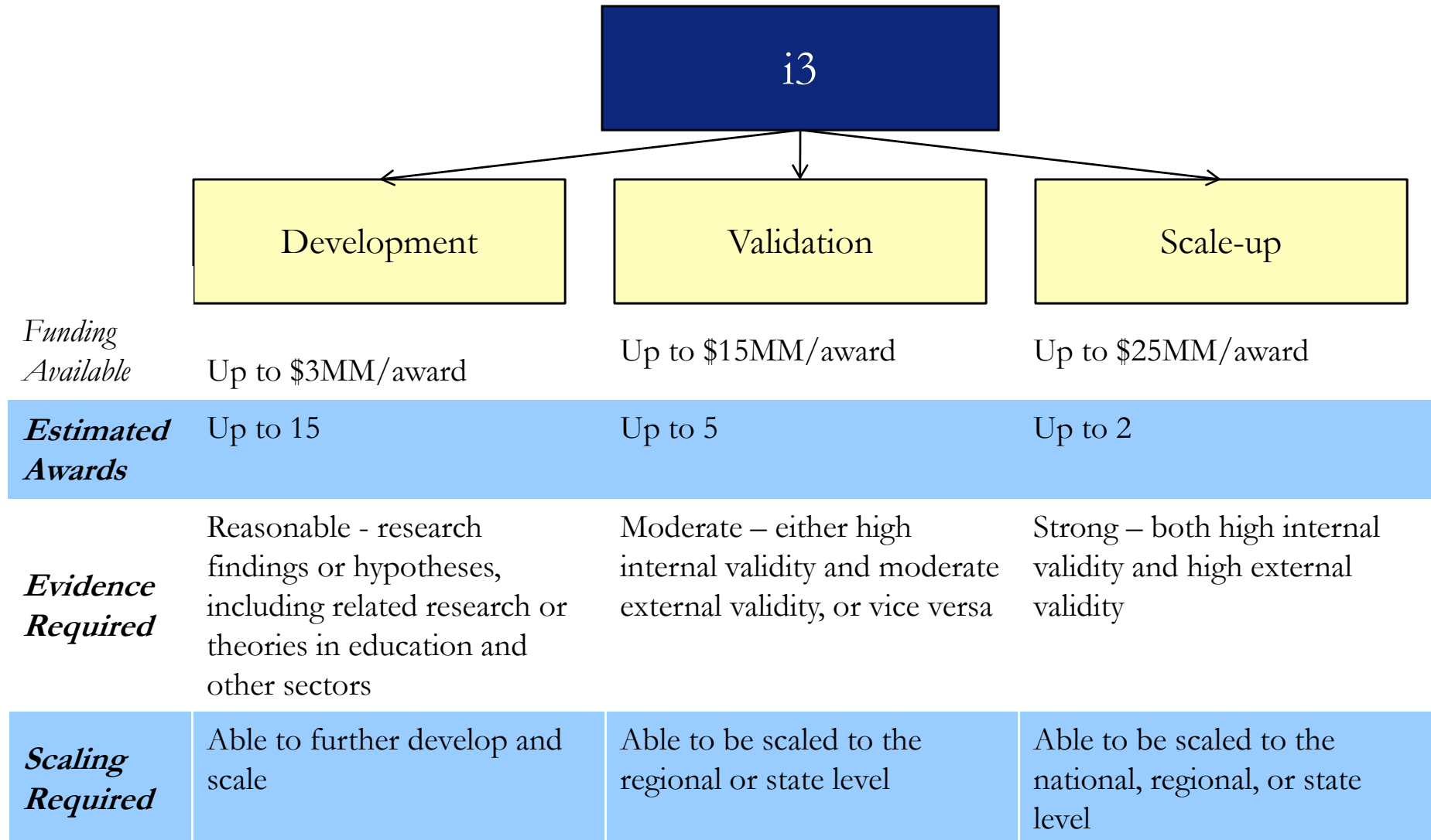
Matching Requirements

- The percentage of required private sector match now differs by competition
 - Scale-up: 5% of the total award requested
 - Validation: 10% of the total award requested
 - Development: 15% of the total award requested
- Applicants may still request a reduction of the required match percentage

Limits on Grant Awards

- The limits on grant awards have been revised such that no grantee may receive more than one new Scale-up or Validation grant in any two-year period
- This is in addition to the limits of no more than two new grant awards and no more than \$55MM in funding in a single year
- This does not affect current Scale-up or Validation grantees' ability to receive new Development grants or to participate in other applications as partners

Types of Awards Available Under i3



i3 Priorities

Improve Achievement
for High-Need
Students

*Required for
all applications*



Teacher and Principal
Effectiveness

Promoting STEM Education

College- and Career-ready
Standards and Assessments

Improving Achievement in
Persistently Low-performing
Schools

Improving Rural Achievement

*Must address one
Absolute Priority*



Early Learning

College
Access and Success

Serving Students with
Disabilities and Limited
English Proficient Students

Productivity

Technology

*May address up to two
Competitive Preferences
(0 or 1 point each)*

Eligibility Requirements: LEA

Eligible Applicant:

LEA

TO RECEIVE A GRANT,
MUST

- Address needs of high-need students
- Address one absolute priority
- Demonstrate that it:
 - (a) closed achievement gaps or improved achievement for all groups of students, and
 - (b) achieved significant improvement in other areas
- Establish partnerships with private sector
- Secure commitment for required private sector match
- Meet the evidence requirement for the type of grant for which it has applied

Eligibility Requirements: Non-Profit with LEA/Consortium

Eligible Applicant:

Non-profits, in partnership with LEAs or a consortium of schools

**TO RECEIVE A GRANT,
MUST**

- Address needs of high-need students
- Address one absolute priority
- Demonstrate that the non-profit organization has a record of improving student achievement, attainment, or retention
- Secure commitment for required private sector match
- Meet the evidence requirement for the type of grant for which they have applied

Evaluation Requirements

All i3 Grantees

MUST

- Conduct an independent program evaluation
- Cooperate with technical assistance provided by the Department and its contractor
- Share broadly the results of any evaluation (and data sets for Validation and Scale-up)

i3 Selection Criteria and Points

Selection Criteria	Development	Validation	Scale-Up
A. Need for the Project	35	25	30
B. Quality of the Project Design	25	25	30
C. Quality of the Project Evaluation*	20	25	20
D. Quality of the Management Plan and Personnel	20	25	20
Total Points	100	100	100

* Depending on the number of applications received, Validation and Development grants may be judged in two tiers: all eligible applications will be scored on Criteria A, B, and D and the competitive preference priorities; then high-scoring applications will be scored on Criterion C by a different panel of reviewers.

Note: These slides are intended as guidance only. Please refer to the official Notices in the Federal Register. The criteria may apply differently to different levels of grants.

i3 Key Dates

**Notices Published in
*Federal Register.***

June 3, 2011

Technical Assistance:

Pre-Application Workshops:

June 17 (Washington, DC)

June 24 (San Francisco)

June 28 (Houston)

Applications:

Intent to Apply Due:

June 23, 2011

Applications Due:

August 2, 2011

Applications Reviewed:

Late Summer/Fall 2011

All Grant Awards Announced:

December 2011

Other Important Resources

Investing in Innovation Fund Website:

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

- Notices of Final Revisions to Priorities, Requirements, and Selection Criteria
- Notices Inviting Applications
- Application Packages for each competition (includes the respective Notice Inviting Applications) – *to be posted June 6, 2011*
- Frequently Asked Questions
- i3 At-A-Glance (Quick Reference)
- Call for Peer Reviewers:
<http://www2.ed.gov/programs/innovation/peerreviewers.html>

All questions about i3 may be sent to i3@ed.gov