

## EDUCATION INNOVATION AND RESEARCH (EIR) WORKSHOP FOR PROSPECTIVE APPLICANTS

JANUARY 30, 2017
BARNARD AUDITORIUM/LBJ BUILDING
WASHINGTON, DC



#### **ED** Wifi

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#### **AGENDA**

#### Part 1: Requirements

- Overview
- Eligibility and Other Program Requirements
- Evidence Requirements
- Evaluation
   Requirements/Expectations
- Matching Requirements
- Management Plan
- Performance Measures

## Part 2: Priorities/Review Process and Selection Criteria

## Part 3: Preparing Your Application

- Developing a Logic Model
- Developing a Management Plan
- Considerations on Scaling Strategies
- Selecting an Evaluator
- Examining Your Evidence
- Considerations on Procurement
- Preparing Your Budget
- Applying in Grants.gov





# Part 1 Overview of the Program and Program Requirements

#### PURPOSE OF THE EIR PROGRAM

- To solve persistent challenges in K-12 education with innovative, evidence-based solutions.
- To improve student achievement and attainment, particularly among high-need students.
- To develop evidence that will build the research base on practices to address critical education challenges.
- To scale those educational practices with evidence of effectiveness.



## EIR: A MODEL TIERED EVIDENCE GRANT PROGRAM

Early-Phase	Mid-Phase	Expansion
Develops and tests	Further develops	Scales nationally those
innovative education	innovative education	practices demonstrated
practices	practices and	to be effective
	regionally or nationally	
	scales those practices	
Applicants must include	Applicants must meet	Applicants must meet
a logic model informed	"Moderate Evidence"	"Strong Evidence"
by research	standard	standard
Up to \$4 million per	Up to \$8 million per	Up to \$15 million per
award, up to 60 months	award, up to 60 months	award, up to 60 months
(5 years) of funding	(5 years) of funding	(5 years) of funding
24-38 awards	15-20 awards	3-5 awards anticipated
anticipated	anticipated	



#### **EIR IS THE SUCCESSOR PROGRAM OF 13**

Issue	Investing in Innovation (i3)	Education Innovation and Research (EIR)
Tiered Evidence Structure	3 Types of grants, evidence determines level of funding	3 types of grants, evidence determines level of funding
Eligibility	LEAs or Nonprofits in partnership with LEAs or consortia of schools	Expands eligibility to include SEAs, Bureau of Indian Education
Rural		Reserves 25% of funding for rural grantees serving rural areas
Priorities	ED-determined priorities	ED-determined priorities + Field- Initiated Priority in Mid-Phase and Expansion
Matching	Private Sector Matching Requirement	Public or Private Matching





## Eligibility and Other Program Requirements

#### WHO IS ELIGIBLE TO APPLY?

#### Eligible Applicants:

- (a) A local educational agency (LEA);
- (b) A State educational agency (SEA);
- (c) The Bureau of Indian Education (BIE);
- (d) A consortium of SEAs or LEAs;
- (e) A nonprofit organization; and
- (f) An SEA, an LEA, a consortium described in (d), or the BIE, in partnership with--
  - (1) A nonprofit organization;
  - (2) A business;
  - (3) An educational service agency; or
  - (4) An institution of higher education.



## WHAT IS A STATE EDUCATIONAL AGENCY (SEA)?

State educational agency means the agency primarily responsible for the State supervision of public elementary schools and secondary schools.



#### WHAT IS A NONPROFIT?

Nonprofit, as applied to an agency, organization, or institution, means that it is owned and operated by one or more corporations or associations whose net earnings do not benefit, and cannot lawfully benefit, any private shareholder or entity.



## Can the Following Types of Entities Apply to EIR as the Lead Applicant?

**Brief Exercise on eligibility** 



## FUNDS RESERVED FOR RURAL APPLICANTS

- 25% of funds awarded under EIR will go to rural applicants that meet both of the required conditions (see next slide).
- Exception: EIR will reduce the funds available to rural applicants if the program does not receive a sufficient number of applications of sufficient quality.



#### WHO QUALIFIES AS RURAL APPLICANT?

To qualify as a rural applicant under the EIR program, an applicant must meet both of the following requirements:

- (a) The applicant is--
  - (1) An LEA with an urban-centric district locale code of 32, 33, 41, 42, or 43, as determined by the Secretary;
  - (2) A consortium of such LEAs;
  - (3) An educational service agency or a nonprofit organization in partnership with such an LEA; or
  - (4) A grantee described in clause (1) or (2) in partnership with a State educational agency; and
- (b) A majority of the schools to be served by the program are designated with a locale code of 32, 33, 41, 42, or 43, or a combination of such codes, as determined by the Secretary.



#### **LOCALE CODES**

Locale codes are available on the National Center for Education Statistics (NCES) Search for Public School Districts website:

https://nces.ed.gov/ccd/districtsearch/index.asp

### District Details (2014-2015 school year; Fiscal data from 2012-2013) Characteristics Staff Fiscal Census

Show All

County: Nevada County

Grade Span: (grades KG - 12)

KG 1 2 3 4 5 6 7 8 9 10 11 12

Locale: Town: Distant (32)

CSA/CBSA: 46020

Supervisory Union #: 000

County ID: 06057

Total Schools: 12
Total Students: 3,978

Classroom Teachers (FTE): 206.32

Student/Teacher Ratio: 19.28

ELL (formerly LEP) Students: 859

Students with IEPs: 468

NOTES



#### **PROGRAM REQUIREMENTS**

(1 OF 2)

- You must serve K-12 students during the project (Be especially mindful if applying under "early learning" or "postsecondary preparation");
- You must meet the evidence standard that applies to your funding category;
- Funding Category: You will only be considered for the grant type (Early-Phase, Mid-Phase, or Expansion) to which you apply;



#### **PROGRAM REQUIREMENTS**

(2 OF 2)

- Limit on Grant Awards: No grantee may receive in 2017 grant awards totaling more than the sum of the maximum amount of funds for Expansion (\$14 mil.) and the maximum amount of funds for Early-phase (\$4 mil.);
- Partnerships: An applicant must demonstrate partnerships with schools/LEAs by identifying the implementation schools/LEAs for at least years 1 and 2 of the grant project; and
- Grantees must conduct an independent evaluation.





## Evidence Requirements

#### **EVIDENCE REQUIREMENT: EARLY-PHASE**

**DEMONSTRATES A RATIONALE** 

Demonstrates a rationale means the practice is supported by a reasonable logic model that that is informed by research or an evaluation that suggests how the practice is likely to improve relevant outcomes.

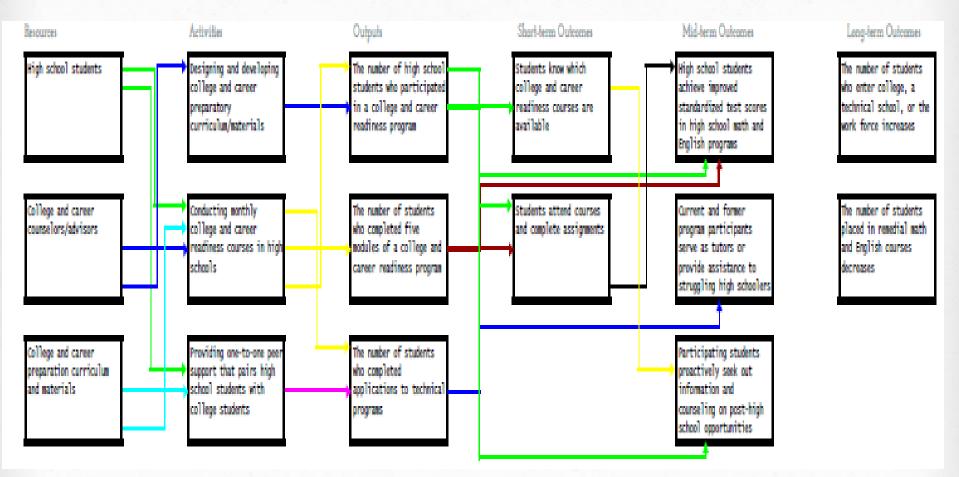


#### WHAT IS A LOGIC MODEL?

Logic model (also known as a theory of action) means a reasonable conceptual framework that identifies key components of the proposed project (i.e., the active "ingredients" that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key components and outcomes.



#### SAMPLE LOGIC MODEL



http://relpacific.mcrel.org/wpcontent/uploads/2016/03/ELMQRG1Logicmodelsatoolfordesigning andmonitoringprogramevaluations.pdf



#### **EVIDENCE REQUIREMENT: MID-PHASE**

#### MODERATE EVIDENCE

- there is at least one experimental or quasi-experimental design study of the effectiveness of the practice with a relevant finding that Meets What Works

  Clearinghouse Evidence Standards with or without reservations (e.g., a quasi-experimental design study or high-attrition randomized controlled trial that establishes the equivalence of the treatment and comparison groups in student achievement at baseline);
- (b) the <u>relevant finding</u> in the study described in paragraph (a) is of a <u>statistically</u> <u>significant and positive</u> (i.e., favorable) effect on a student outcome or other relevant outcome, with no statistically significant and overriding negative (i.e., unfavorable) evidence on that practice from other findings on the intervention reviewed by and reported on the What Works Clearinghouse that Meet What Works Clearinghouse Evidence Standards with or without reservations;
- (c) the relevant finding in the study described in paragraph (a) is based on a <u>sample that</u> <u>overlaps with the populations (e.g., the types of student served) or settings proposed</u> to receive the practice (e.g., an after-school program studied in urban high schools and proposed for rural high schools); and
- (d) (d) the relevant finding in the study described in paragraph (a) is based on a <u>large</u> <u>sample</u> and a <u>multi-site sample</u>.

#### **EVIDENCE REQUIREMENT: EXPANSION**

#### STRONG EVIDENCE

- (a) There is at least one <u>experimental study</u> (e.g., a randomized controlled trial) of the effectiveness of the practice that has a relevant finding that <u>Meets the What Works Clearinghouse Evidence Standards without reservations</u> (e.g., a randomized controlled trial with low rates of sample attrition overall and between the treatment and control groups);
- (b) The <u>relevant finding</u> in the study described in paragraph (a) is of a <u>statistically significant and positive</u> (i.e., favorable) effect on a student outcome or other relevant outcome, with no statistically significant and overriding negative (i.e., unfavorable) evidence on that practice from other findings that Meet What Works Clearinghouse Evidence Standards with or without reservations;
- (c) The relevant finding in the study described in paragraph (a) is based on a sample that overlaps with the populations (i.e., the types of student served) and settings proposed to receive the practice (e.g., an after-school program both studied in, and proposed for, urban high schools); and
- (d) The relevant finding in the study described in paragraph (a) is based on a <u>large</u> sample and a <u>multi-site sample</u>.



#### **EVIDENCE FORM**

#### MID-PHASE AND EXPANSION

For Mid-phase and Expansion applicants, the Evidence Form is required to provide the study citations and other information.

The Evidence Form is available on the EIR website and should be uploaded under Appendix B in the grant application:

https://innovation.ed.gov/what-we-do/innovation/education-innovation-and-research-eir/fy-2017-competition/.

		U.S. Department of Education Evidence of Effectiveness Form	OMB No. <u>1894-0001</u> Exp. 07/31/2019			
- 1	1. Level of Evidence					
- 1	Select the level of evidence of effectiveness for which you are applying. See the Notice Inviting Applications for the relevant definitions.					
- 1	[ ] Promising Evidence [ ] Moderate Evidence [ ] Strong Evidence					
-1	2. Citation and Relevance Fill in the chart below with the appropriate information about the studies that support your application.					
- 1	A. Citation	B. Relevant Finding(s)	C. Overlap of Populations and/or Settings			
- 1						
- 1						
- 1						
- 1						
- 1						
- 1						
- 1						
- 1						
- 1						
- 1						
- 1						





## Evaluation Requirements/Expectations

#### **EVALUATION REQUIREMENT/EXPECTATIONS**

#### **EARLY-PHASE**

- Must be an independent evaluation.
- Must estimate the impact of the EIR supported practice (as implemented at the proposed level of scale) on a relevant outcome.
- Design must have potential to meet <u>moderate evidence</u>.
- First years of grant expected to focus on developing and iterating the practice.
  - Focus on a few schools
  - Evaluation should inform this development and iteration
- Later years are expected to include an efficacy study of the practice.
  - Based on full scale implementation of the practice
  - Focus on a full set of schools
- Evaluation should include focus on the grant's scaling strategy.



#### **EVALUATION REQUIREMENT/EXPECTATIONS**

#### MID-PHASE

- Must be an independent evaluation.
- Must estimate the impact of the EIR supported practice (as implemented at the proposed level of scale) on a relevant outcome.
- Design must have potential to meet What Works Clearinghouse Design Standards Without Reservations.
- Must examine cost-effectiveness of practices.
- Must include focus on the grant's scaling strategy.
- Should identify potential obstacles and success factors to scaling.



#### **EVALUATION REQUIREMENT/EXPECTATIONS**

#### **EXPANSION**

- Must be an independent evaluation.
- Must estimate the impact of the EIR supported practice (as implemented at the proposed level of scale) on a relevant outcome.
- Design must have potential to meet What Works Clearinghouse Design Standards Without Reservations.
- Must examine cost-effectiveness of practices.
- Evaluation plan must describe how the grant's scaling strategy will be assessed.



## PUBLIC AVAILABILITY OF EVALUATION RESULTS

EARLY-PHASE, MID-PHASE, AND EXPANSION

Grantees must publish or otherwise make publicly available the results of the work supported by EIR:

- Make public the final evaluation report
- Submit final studies resulting from EIR supported research (whether in whole or in part) to the Educational Resources Information Center (ERIC):

http://eric.ed.gov



#### PUBLIC AVAILABILITY OF DATA

#### MID-PHASE AND EXPANSION

- Must submit a Data Management Plan (DMP) describing plans to make data accessible to others
- Up to 5 pages long, include in Appendix C
- May find helpful the resources at:
   <a href="http://ies.e.dgov/funding/researchaccess.asp">http://ies.e.dgov/funding/researchaccess.asp</a>



#### **CONTENTS OF DATA MANAGEMENT PLAN**

(DMP)

- Type of data to be shared
- Procedures for managing and maintaining confidentiality of personally identifiable information
- Roles and responsibilities of project or institutional staff in the management and retention of research data
- Expected schedule for data access, including how long data will be available (at least 10 years unless shorter time period is required by State/Federal laws)
- Format of the final dataset
- Dataset documentation to be provided
- Method of data access (how data can be located and accessed)
- Will a data agreement be required that specifies conditions under which the data will be shared?
- Any circumstances that prevent some of the data from being made accessible (for example, data covered by Common Rule for Protection of Human Subjects, FERPA, or HIPAA)





## Scaling Requirements

#### **SCALING REQUIREMENTS**

- All grantees must establish scaling targets in their project narrative:
  - Targets for number of students to be served each year
  - Target for total number of students to be served by project
  - Scaling targets should represent reasonable costs per student
- Scaling strategy must be addressed in project evaluation
- Early-phase grants must scale to multiple schools
- Mid-phase grants must scale regionally or nationally
- Expansion grants must scale nationally





## Management Plan Requirement

#### MANAGEMENT PLAN REQUIREMENT

- An EIR grantee must provide an updated comprehensive management plan for the approved project in a format and using such tools as the Department may require, as outlined in the Cooperative Agreement.
- This management plan must include detailed information about implementation of the first year of the grant, including key milestones, staffing details, and other information that the Department may require. It must also include a complete list of performance metrics, including baseline measures and annual targets. The grantee must update this management plan at least annually to reflect implementation of subsequent years of the project.





### Matching Requirement

#### **MATCHING REQUIREMENTS**

**REQUIREMENTS** 

Cost Sharing or Matching: Under section 4611 of the ESEA, as amended by ESSA, each grant recipient must provide, from Federal, State, local, or private sources, an amount equal to 10 percent of funds provided under the grant, which may be provided in cash or through in-kind contributions, to carry out activities supported by the grant. Grantees must include a budget showing their matching contributions on an annual basis relative to the annual budget amount of EIR grant funds and must provide evidence of their matching contributions for the first year of the grant in their grant applications.





### Performance Measures

The overall purpose of the EIR program is to expand the implementation of, and investment in, innovative practices that are demonstrated to have an impact on improving student achievement for high-need students. We have established several performance measures for the EIR grants.



EARLY-PHASE, MID-PHASE, AND EXPANSION

- The percentage of grantees that reach their annual target number of students as specified in the application.
- The percentage of grantees that reach their annual target number of high-need students as specified in the application.
- The cost per student served by the grant.



- The percentage of grantees with ongoing well-designed and independent evaluations that will provide evidence of their effectiveness at improving student outcomes in multiple contexts.
- The percentage of grantees with ongoing well-designed and independent evaluations that will provide evidence of their effectiveness at improving student outcomes.
- The percentage of grantees that implement an evaluation that provides information about the key elements and the approach of the project so as to facilitate testing, development, or replication in other settings.

#### MID-PHASE AND EXPANSION

- The percentage of grantees with ongoing well-designed and independent evaluations that will provide evidence of their effectiveness at improving student outcomes in multiple contexts.
- The percentage of grantees that implement an evaluation that provides information on the cost effectiveness of the key practices to identify potential obstacles and success factors to scaling.
- The percentage of grantees that implement an evaluation that provides information about the key practices and the approach of the project so as to facilitate replication. (Mid-phase)
- The percentage of grantees that implement a well-designed, well-implemented, and independent evaluation that provides information about the key practices and the approach of the project so as to facilitate replication. (Expansion)





Questions?



### Part 2

EIR Priorities and Review Process/Selection Criteria

#### **EIR PRIORITIES**

	Early-Phase	Mid-Phase	Expansion
Required of All	1. High-Need Students	1. High-Need Students	<ol> <li>High-Need</li> <li>Students</li> </ol>
	<ul><li>2. School Climate</li><li>3. Diversity</li><li>4. Postsecondary Preparedness.</li></ul>	<ul><li>2. Early Learning</li><li>3. Social-Behavioral Competencies</li><li>4. Low-Performing Schools</li></ul>	
Applicants Must Select One	<ul><li>5. Principal</li><li>Effectiveness</li><li>6. Re-Engagement of</li><li>Disconnected Youth</li></ul>		
		5. Evidence-Driven Practices (Field- Initiated)	2. Evidence-Driven Practices (Field- Initiated)



#### **HIGH-NEED STUDENTS**

ABSOLUTE PRIORITY 1: EARLY-PHASE, MID-PHASE, AND EXPANSION

## Supporting High-Need Students:

Under this priority, we provide funding to projects that are designed to improve academic outcomes for high-need students.

- All applicants <u>must</u> target high-need students.
- Applicants may select one or more particular groups of high-need students to focus on in their projects.
- Not all students served in a project must be high need; but it must be a primary focus.



#### **HIGH-NEED STUDENTS**

High-need students means students who are at risk for educational failure or otherwise in need of special assistance and support, such as students who are living in poverty, who attend high-minority schools, 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.

#### **ABSOLUTE PRIORITY 2**

#### **Improving School Climate:**

Under this priority, we provide funding to projects that are designed to improve student outcomes through reducing or eliminating disparities in school disciplinary practices for particular groups of students, including students of color and students with disabilities, or reducing or eliminating the use of exclusionary discipline (such as suspensions, expulsions, and unnecessary placements in alternative education programs) by identifying and addressing the root causes of those alternative disciplinary practices that address the disparities or uses.

- Focuses on relationship of school discipline practices to student outcomes.
- Focuses on disparities between groups of students, particularly students of color or students with disabilities.
- Aims to find alternatives to exclusionary practices, such as suspensions and expulsions or unnecessary placement in alternative education.
- Aim to create positive school culture for all.



**ABSOLUTE PRIORITY 3** 

#### **Promoting Diversity:**

Under this priority, we provide funding to projects that are designed to help LEAs prepare students for success in an increasingly diverse society by increasing the diversity--including racial, ethnic, and socioeconomic diversity--of students enrolled in the individual schools in the LEAs.

- Aims to increase diversity in each school within an LEA.
- Applicants may wish to focus on district-wide or cross-district approaches to diversity.
- Strategies may focus on relationship between racial and socioeconomic integration and student achievement.



**ABSOLUTE PRIORITY 4** 

### Increasing Postsecondary Preparedness:

Under this priority, we provide funding to projects that are designed to increase the number and proportion of K-12 high-need students who are academically and socially prepared for and subsequently enroll in college, other postsecondary education, or other career and technical education.

- Focuses on transition of high need students to college, technical education, or career.
- Applicants may wish to target inequities in rigor and quality of postsecondary preparation.
- Applicants must focus on students who are within K-12 at some point during grant.



**ABSOLUTE PRIORITY 5** 

## Improving the Effectiveness of Principals:

Under this priority, we provide funding to projects that are designed to increase the number and percentage of highly effective principals by creating or expanding practices and strategies to recruit, select, prepare, and support individuals to significantly improve instruction in schools.

- Prepare principals for their role in shaping school culture and student achievement.
- Focus on support and development opportunities for principals that will help them create strong professional communities with collective responsibility for learning.



**ABSOLUTE PRIORITY 6** 

### Re-Engagement of Disconnected Youth:

Under this priority, we provide funding to projects that are designed to improve student achievement through strategies that provide disconnected youth (as defined in this notice) with high-quality educational opportunities.

- Disconnected youth means lowincome individuals, ages 14-24, who are homeless, are in foster care, are involved in the justice system, or are not working or not enrolled in (or at risk of dropping out of) an educational institution.
- May focus on cross-sector regional strategies.
- May use longitudinal data systems for better info and to help match students to support and programs.
- Focus on academic success, diplomas, transition to postsecondary ed, and/or employment.



**ABSOLUTE PRIORITY 2** 

### Improving Early Learning and Development Outcomes:

Under this priority, we provide funding to projects that are designed to improve early learning and development outcomes across one or more of the essential domains of school readiness (as defined in this notice) by sustaining students' improved early learning and development outcomes from Pre-K programs throughout the early elementary school years.

- Applicants must support K-12 students at some point during the project.
- Focus on transition from PreK to early elementary.
- May consider strategies to increase alignment across PreK and elementary.
- Aims to sustain improved outcomes from quality PreK programs into elementary years –sometimes preschool gains fail to persist.



#### **ABSOLUTE PRIORITY 3**

#### **Social-Behavioral Competencies:**

Under this priority, we provide funding to projects that are designed to help students improve their social skills, behaviors, or underlying cognitive abilities that support social-behavioral competencies; 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; and identify better ways of measuring the impact of students' social-behavioral competencies on student achievement.

- Strong need to increase evidence base on how to build positive social skills and behaviors.
- Need new ways to measure social emotional competencies in valid and reliable ways.
- Need new ways to evaluate how such skills and behaviors affect learning outcomes.



**ABSOLUTE PRIORITY 4** 

## Improving Low-Performing Schools:

Under this priority, we provide funding to support strategies, practices, or programs that are designed to improve outcomes for students in low-performing schools.

- Focus on schools with the largest performance gaps between subgroups.
- Aim to use configurations
   of sound research –based
   practices that are mutually
   reinforcing.
- Intervene in timely ways with students most at risk of failure.



**ABSOLUTE PRIORITY 5** 

#### **Evidence-Driven Practices:**

Under the priority, we provide funding to projects that meet the evidence standard established in Section III.3. for this competition and are designed to improve student achievement and attainment in areas of critical national need.

- Applicants may propose projects focusing on an area of their own choosing (Field-Initiated).
- Should focus on a critical area of need.
- The proposed practices must by supported by "moderate evidence."



#### **EXPANSION**

**ABSOLUTE PRIORITY 2** 

#### **Evidence-Driven Practices:**

Under the priority, we provide funding to projects that meet the evidence standard established in Section III.3. for this competition and are designed to improve student achievement and attainment in areas of critical national need.

- Applicants may propose projects focusing on an area of their own choosing (Field-Initiated).
- Should focus on a critical area of need.
- The proposed practices must by supported by "strong evidence."





# Review Process and Selection Criteria

#### **OVERVIEW OF REVIEW PROCESS**

- Applications Sorted and Reviewed by Absolute Priority
- Panel Review
  - Subject Matter Reviewers
  - Evaluation Experts
- Each Application is Scored Against Selection Criteria
- Rank Determined within Each Absolute Priority



Early-Phase Selection Criteria		
Criterion	Points	
A.Significance	30	
B. Quality of Project Design and Management Plan	50	
C. Quality of the Project Evaluation	20	



#### A. SIGNIFICANCE (30 POINTS)

- 1) The national significance of the proposed project.
- 2) 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.
- 3) The extent to which the proposed project represents an exceptional approach to the priority or priorities established for the competition.



## B. QUALITY OF THE PROJECT DESIGN AND MANAGEMENT PLAN (50 POINTS)

- 1) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.
- 2) 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.
- 3) The extent to which performance feedback and continuous improvement are integral to the design of the proposed project.
- 4) The mechanisms the applicant will use to broadly disseminate information on its project so as to support further development or replication.



## C. QUALITY OF THE PROJECT EVALUATION (20 POINTS)

- The extent to which the methods of evaluation will, if well implemented, produce evidence about the project's effectiveness that would meet the What Works Clearinghouse Evidence Standards with reservations.
- 2) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.
- 3) The extent to which the methods of evaluation will provide valid and reliable performance data on relevant outcomes.
- 4) The extent to which the evaluation plan clearly articulates the key components, mediators, and outcomes of the grant-supported intervention, as well as a measurable threshold for acceptable implementation.



## TECHNICAL ASSISTANCE MATERIALS ON EVALUATION

- 1) WWC Procedures and Standards Handbook:
  <a href="http://ies.ed.gov/ncee/wwc/references/idocviewer/doc.aspx?docid=19&tocid=1">http://ies.ed.gov/ncee/wwc/references/idocviewer/doc.aspx?docid=19&tocid=1</a>
  <a href="mailto:cid=1">cid=1</a>
- 2) "Technical Assistance Materials for Conducting Rigorous Impact Evaluations" to the list of evaluation resources: <a href="http://ies.ed.gov/ncee/projects/evaluationTA.asp">http://ies.ed.gov/ncee/projects/evaluationTA.asp</a>
- 3) IES/NCEE Technical Methods papers: <a href="http://ies.ed.gov/ncee/tech\_methods/">http://ies.ed.gov/ncee/tech\_methods/</a>
- 4) In addition, applicants may view two optional Webinar recordings that were hosted by the Institute of Education Sciences:
  - Strategies for designing and executing well-designed quasiexperimental design studies: <a href="http://ies.ed.gov/ncee/wwc/Multimedia.aspx?sid=23">http://ies.ed.gov/ncee/wwc/Multimedia.aspx?sid=23</a>
  - Strategies for designing and executing studies that meet WWC evidence standards without reservations:
     <a href="http://ies.ed.gov/ncee/wwc/Multimedia.aspx?sid=18">http://ies.ed.gov/ncee/wwc/Multimedia.aspx?sid=18</a>



Mid-Phase Selection Criteria		
Criterion	Points	
A.Significance	15	
B. Strategy to Scale	30	
C. Quality of Project Design and Management Plan	35	
D. Quality of the Project Evaluation	20	



#### A. SIGNIFICANCE (15 PTS)

- 1) The magnitude or severity of the problem to be addressed by the proposed project.
- 2) The national significance of the proposed project.
- 3) The extent to which the proposed project represents an exceptional approach to the priority or priorities established for the competition.



#### **B. STRATEGY TO SCALE (30 PTS)**

- 1) The extent to which the applicant demonstrates there is unmet demand for the process, product, strategy, or practice that will enable the applicant to reach the level of scale that is proposed in the application.
- 2) The extent to which the applicant identifies a specific strategy or strategies that address a particular barrier or barriers that prevented the applicant, in the past, from reaching the level of scale that is proposed in the application.
- 3) The feasibility of successful replication of the proposed project, if favorable results are obtained, in a variety of settings and with a variety of populations.



## C. QUALITY OF PROJECT DESIGN AND MANAGEMENT PLAN (35 PTS)

- 1) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.
- 2) 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.
- 3) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project.
- 4) The potential and planning for the incorporation of project purposes, activities, or benefits into the ongoing work of the applicant beyond the end of the grant.



## D. QUALITY OF PROJECT EVALUATION (20 PTS)

- The extent to which the methods of evaluation will, if well implemented, produce evidence about the project's effectiveness that would meet the What Works Clearinghouse Evidence Standards without reservations.
- 2) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.
- 3) The extent to which the methods of evaluation will provide valid and reliable performance data on relevant outcomes.
- 4) The extent to which the evaluation plan clearly articulates the key components, mediators, and outcomes of the grant-supported intervention, as well as a measurable threshold for acceptable implementation.

Expansion Selection Criteria		
Criterion	Points	
A.Significance	10	
B. Strategy to Scale	35	
C. Quality of Project Design and Management Plan	35	
D. Quality of the Project Evaluation	20	



#### A. SIGNIFICANCE (10 PTS)

#### **EXPANSION**

- 1) The magnitude or severity of the problem to be addressed by the proposed project.
- 2) The national significance of the proposed project.
- 3) The extent to which the proposed project represents an exceptional approach to the priority or priorities established for the competition.



#### **B. STRATEGY TO SCALE (35 PTS)**

#### **EXPANSION**

- 1) The extent to which the applicant demonstrates there is unmet demand for the process, product, strategy, or practice that will enable the applicant to reach the level of scale that is proposed in the application.
- 2) The extent to which the applicant identifies a specific strategy or strategies that address a particular barrier or barriers that prevented the applicant, in the past, from reaching the level of scale that is proposed in the application.
- 3) The extent to which the results of the proposed project are to be disseminated in ways that will enable others to use the information or strategies.



# C. QUALITY OF PROJECT DESIGN AND MANAGEMENT PLAN (35 PTS)

#### **EXPANSION**

- 1) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.
- 2) 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.
- 3) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project.
- 4) The extent to which the applicant demonstrates that it has the resources to operate the project beyond the length of the grant, including a multi-year financial and operating model and accompanying plan; the demonstrated commitment of any partners; evidence of broad support from stakeholders (e.g., State educational agencies, teachers' unions) critical to the project's long-term success; or more than one of these types of evidence.



# D. QUALITY OF PROJECT EVALUATION (20 PTS)

#### **EXPANSION**

- The extent to which the methods of evaluation will, if well implemented, produce evidence about the project's effectiveness that would meet the What Works Clearinghouse Evidence Standards without reservations.
- 2) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.
- 3) The extent to which the methods of evaluation will provide valid and reliable performance data on relevant outcomes.
- 4) The extent to which the evaluation plan clearly articulates the key components, mediators, and outcomes of the grant-supported intervention, as well as a measurable threshold for acceptable implementation.





Questions?



# Part 3 Preparing Your Application

#### PREPARING YOUR APPLICATION

#### THINGS TO CONSIDER

- Conduct a literature review
- Think about what makes your idea innovative/distinctive
- Identify how your proposed project will address a persistent educational challenge
- Consider the scaling of the project under the grant,
   the feasibility, and the plan to scale
- Determine how an evaluation will determine the effectives of the practices of the project and how you will share these findings.

#### PREPARING YOUR APPLICATION

#### NOTICE OF INTENT

Applicants are encouraged to complete the notice of intent, which provides:

- 1) the applicant organization's name and address;
- 2) the absolute priority the applicant intends to address; and
- 3) the competition under which the applicant intents to apply.

Early-phase notice of intent:

https://www.surveymonkey.com/r/GSPSYXQ

Mid-phase notice of intent:

https://www.surveymonkey.com/r/GRS32YH

Expansion notice of intent:

https://www.surveymonkey.com/r/GRZ5RDW

- Deadline for notice of intent is February 13<sup>th</sup>
- Applicants that do not complete the notice of intent may still submit an application.





# Developing a Logic Model

#### LOGIC MODEL RESOURCES

The Regional Educational Laboratories provides applicants resources on designing logic models at <a href="http://relpacific.mcrel.org/resources/elm-app">http://relpacific.mcrel.org/resources/elm-app</a>





# Developing a Management Plan

#### **OVERVIEW**

- Pre-Award: Address the selection criteria.
- Post-Award: Must provide an updated comprehensive management plan, which must include detailed information about implementation of the 1<sup>st</sup> year of the grant, including:
  - key milestones,
  - staffing details, and
  - list of performance metrics, including baseline measures and annual targets.

The grantee must update this management plan at least annually to reflect implementation of subsequent years of the project.



#### **BREAKDOWN**

- 1. Goal(s): A broad statement(s) of what the project intends to accomplish. What do you hope to accomplish by implementing your project?
- 2. Objective(s): A concrete attainment that can be achieved by following a number of steps. What is your project doing to support the overall program goal(s)? Are your objectives SMART?
- **3. Performance Measures**: A measurable or observable indicator to assess how well objectives are being met. How will you measure the success of your project?
- **4. Activities**: Day to day pieces that must be completed to signal that the grant is on track.
- 5. Start/End Dates: Provide some timeline that will allow task monitoring.
- **6. Responsible Personnel**: Who will be carrying out those activities?



#### **EXAMPLE**

Goals	Objectives	Measures	Activities	Start Date	End Date	Responsible Personnel	Status	Notes
,	on the Smith Elementary School Online Parent Training System will increase 25% from	knowing about the Online Parent Training System.  Performance Measure 1.1b: Number of logins per year.	Activity 1.1.1: Administer parent survey to get baseline data.	9/1/2016	9/15/2016	Evaluation Team	Not Begun	
Or Tr int ba of Or pe str pa en sc by			Activity 1.1.2: Create a pamphlet for parents that describes how to access and use the Parent Portal.		3/15/2016	Project Director	Completed	
			Activity 1.1.3: Distribute pamphlet during school-wide events and parent-teacher conferences.	9/15/2016	12/1/2016	Project Coordinator	Not Begun	
			Activity 1.1.4: Design a training for parents on using the Parent Portal	2/1/2016	3/1/2016	Project Director	Completed	
			Activity 1.1.5: Organize a focus group on the Parent Portal to gather parent feedback.	11/15/2016	12/1/2016	Evaluation Team	Not Begun	
			Activity 1.1.6: Deliver Parent Portal trainings.	9/15/2016	12/1/2016	Project Director & Project Coordinator	In Progress	Scheduled for 10/1 and 11/1.
			Activity 1.1.7: Administer parent survey.	5/1/2017	6/1/2017	Evaluation Team	Not Begun	
			Activity 1.1.8: Collect monthly reports on parent logins.	10/1/2016	12/1/2016	Data Director	In Progress	
	percentage of students with parents regularly engaging with the school will increase by 5% every school year.	Percentage of students that have at	Activity 1.2.1					
			Activity 1.2.2					
			Activity 1.2.3					



#### **KEY ITEMS**

- Clear and measurable goals, objectives, and outcomes. Make your objectives SMART.
- Clearly defined timelines and milestones.
  - Avoid including year-long or multi-year tasks as they are more difficult to monitor.
  - Try to provide timelines that will allow you to monitor tasks within 3-6 month segments.
- Key personnel responsibilities and qualifications.





# Considerations on Scaling Strategies

# WHAT HAVE WE LEARNED ABOUT SCALING?

- Use multiple methods to establish buy-in;
- Build a regional and national infrastructure;
- Adapt practices based on evidence; and
- Plan for sustainability from day one.

See i3 white paper at:

https://i3community.ed.gov/insights-discoveries/2207



## **ESTABLISHING BUY-IN**

- Use Evidence of Effectiveness
- Use storytelling to help make information about your intervention easy to understand
- Build relationships at all levels within schools and across districts/regions
- Help implementation sites with strategies to identify/redirect sources of funding



# BUILD REGIONAL AND NATIONAL INFRASTRUCTURE

- Develop Your Organization (Project Team) to Manage a Network of Service Providers, Rather than Directly Providing All Services
- Create regional "centers" to help you deliver services locally
- Clarify roles of national, regional, and local leadership



## ADAPT PRACTICES BASED ON EVIDENCE

- Conduct Regular Formative Assessments at Implementation Sites
- Collect Stakeholder Feedback
- Continue to Innovate on Components of Your Intervention
  - Experiment with Ways to Gain Efficiency
  - Adapt to a Variety of Settings



#### PLAN FOR SUSTAINABILITY

- Integrate With Predictable and Reliable Funding Streams
- Diversify Funding
- Seek New Sources of Revenue





# Suggestions for Selecting an Evaluator

# SUGGESTIONS FOR SELECTING AN EVALUATOR

- Is the evaluator closely familiar with What Works Clearinghouse Evidence Standards?
- Has the evaluator conducted evaluations using a variety of designs and methodologies? Has the evaluator published?
- Is there a team of qualified individuals?
- Is the evaluator independent?
- Does the evaluator have strategies for recruiting control sites and experience working with districts to gain appropriate consents and to share data
- Does the evaluator have experience managing data records and protecting student privacy?



# SUGGESTIONS FOR SELECTING AN EVALUATOR (2)

- Is your evaluator familiar with the literature in the area in which you're working?
- Do you see eye to eye on the goals of the evaluation, and would you have a good working relationship?
- Have you talked about what might happen to the design and/or the budget if things do not go as planned?
  - Problems with recruitment
  - Problems with attrition
  - Delays or changes to the program
- Are your expected deliverables clearly defined?
- Have you clearly defined responsibilities of program staff vs. evaluators, or internal vs. independent evaluators?



# **Examining Your Evidence**

## **EXAMINING YOUR EVIDENCE**

In reviewing potential studies for the moderate evidence or strong evidence requirement, you should first review the What Works Clearinghouse (<a href="http://ies.ed.gov/ncee/Wwc/">http://ies.ed.gov/ncee/Wwc/</a>) to determine if the study in question has ever been reviewed. You should also ask yourself the following questions:

- Is it an experimental study?
- Is there a finding that is relevant to a proposed practice of your project?
- Does the cited finding examine the relationship between a practice and a student outcome or other relevant outcome included in your project's logic model?
- Is the cited finding based on a large sample?
- Is the cited finding based on a multi-site sample?
- Does the sample for the cited finding overlap with a population and setting for your proposed project?
- Is the cited finding statistically significant and positive effect?





# Considerations on Procurement

## **USE OF FUNDS**

In expending and accounting for funds awarded under the EIR program, grantees must follow 2 CFR Part 200, the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards(Uniform Guidance) (http://www.ecfr.gov/cgi-bin/textidx?SID=6722121d4325df26109cc388c9ce6944&tpl=/ecfrb rowse/Title02/2cfr200 main 02.tpl), as adopted by the Department of Education at 2 CFR 3474 (http://www.ecfr.gov/cgi-bin/textidx?SID=6722121d4325df26109cc388c9ce6944&tpl=/ecfrb rowse/Title02/2cfr3474 main 02.tpl.

Additional information on the Uniform Guidance can be found at this link: <a href="http://www2.ed.gov/policy/fund/guid/uniform-guidance/index.html">http://www2.ed.gov/policy/fund/guid/uniform-guidance/index.html</a>.



## **USE OF FUNDS**

When needing to pay another party for goods and services needed to carry out the grant project, you must follow the applicable procurement procedures set out in 2 CFR 200.317-326.

Review 34 CFR 75.135 for provisions that provide flexibility on procurement requirement.





# Preparing Your Budget

Providing the **necessary level of detail** is key when preparing your EIR budget. Below is an overview of each specific budgetary ED 524 line item and tips for how to successfully complete each section of your budget.

For each respective budget line item, the applicant needs to provide the following:

#### Personnel:

- -Base salary of each personnel member.
- -The percentage of time devoted to the project (% FTE).

#### Fringe Benefits:

- -Which personnel the fringe benefits are being charged to.
- -The percentage of fringe.



#### Travel:

- -Where they are traveling.
- -The number of people that will be traveling.
- -A breakdown of the costs associated with each trip and justification for the costs.

**Equipment:** Equipment means tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost threshold of 5,000 or more per unit, unless your organization sets that cost threshold at a lower level.

- -The amount of equipment that is being purchased.
- -Cost per unit.
- -Justification of purchases that links to the project narrative.

**Supplies:** Supplies are defined as all tangible personal property other than "equipment" as defined above. Supplies purchased with grant funds, as budgeted in the grant agreement, belong to the grantee. Supplies are to be used for the originally authorized purposes as long as needed for that purpose.

-Justified supply costs and adequate reasoning for the utilization of said supplies.



#### Contractual:

- -Identify who is being contracted with.
- -Amount of the contract (This should include a breakdown of the major service components of the contract and how much each portion costs).
- -Explanation of what services are being provided by the contractor.

#### Construction:

-There should be no construction costs in the applicant's budget.

#### Other:

-Explanation of why the stated expense is separated into this particular budget line item. (Make sure the provided reasoning is logical and that the expense listed in this section does not actually belong in one of the other line items described in this presentation.)



**Indirect Costs:** Indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective.

- -What is the applicant's indirect cost rate? What is the basic calculation of this rate and is it applied correctly?
- -To be applied correctly, the indirect cost rate is applied to the modified total direct cost (MTDC).
- -MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each contract (regardless of the period of performance of the contract under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each contract in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.
- -A copy of the applicant's approved indirect cost rate agreement if it is not provided in the application appendices.



#### **Training Stipends:**

- -Amount of stipend.
- -Amount of grant participants receiving stipends.
- -Justification for stipend.
- -Are all stipend amounts listed in the "Training Stipends" line item? (It is common for applicants to mistakenly place stipend funds in the "Personnel" or "Other" line items. This is important to correct because training stipends are not calculated in the modified total direct cost (MTDC) and should be separated out.)

**Non-Federal Funds (Matching Funds):** The non-federal budget requires the same level of detail that was described in the preceding slides about the federal budget.





# Applying in Grants.gov

## **REGISTERING FOR GRANTS.GOV**

- All EIR grant applications MUST be submitted electronically using Grants.gov (<u>www.Grants.gov</u>)
- Applicants MUST register with Grants.gov and System Award Management (SAM) system in order to submit applications using Grants.gov
- Registration instructions are found in the EIR Application Packages. (Register TODAY!)
- Current registrants should confirm that your Grants.gov and SAM accounts are active and up to date

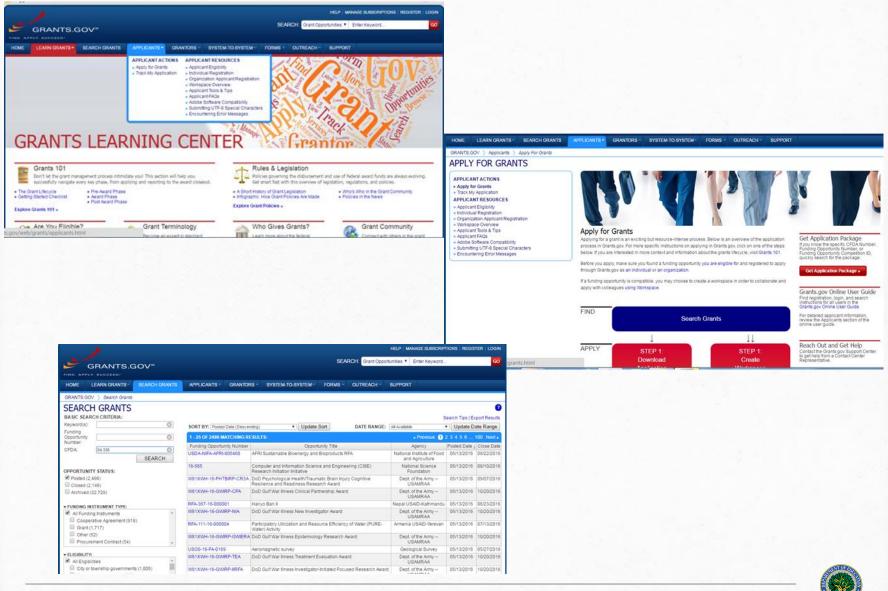


## **APPLYING IN GRANTS.GOV**

- Click the Applicant tab in the top center of the home page
- Click Apply for Grants in the drop down menu
- Click the Search Grants button in the middle of the screen
- Enter CFDA Number: 84.411 to the left of the screen; or, enter the Funding Opportunity Number:
  - Early-phase: ED-GRANTS-121516-003
  - Mid-phase: ED-GRANTS-121516-002
  - Expansion: ED-GRANTS-121516-001
- Problems With Submission: Contact the Grants.gov Help Desk at 1-800-518-4726 or at <a href="mailto:support@grants.gov">support@grants.gov</a>.
- You must obtain a Grants.gov Help Desk Case Number and keep track of your progress to resolve the issue
- Additional submission instructions are found in the EIR Application Packages.



## **GRANTS.GOV SCREEN SHOTS**



## **GRANTS.GOV SUBMISSION TIPS**

#### **REGISTER EARLY for Grant.gov and SAM!**

 Do It TODAY! This process may take DAYS to WEEKS to complete.

#### SUMBIT EARLY

- Depending on the size of the file, transmittal may take SEVERAL MINUTES to HOURS.
- Don't wait until the deadline date to submit. The system will be slow due to last minute submissions.

#### LATE APPLICATIONS WILL NOT BE READ!

Applications that are time/date stamped after
 4:30:00 p.m. Washington D.C. time on April 13, 2017
 will be marked late and will not be read.

## **EIR COMPETITION RESOURCES**

Education Innovation and Research (EIR) Web site:

https://innovation.ed.gov/what-wedo/innovation/education-innovation-and-research-eir/

- Notices Inviting Applications
- Notice of Intent to Apply Links
- Application Packages
- Eligibility Instructions Documents
- Evidence Form
- Frequently Asked Questions
- EIR email: <u>eir@ed.gov</u>
- EIR phone: (202) 453-7122
- Grants.gov phone: 1-800-518-4726





Questions?