**TRIVIUM CONSULTING:**
**FUNDING OPPORTUNITY BRIEF**

**Department of Education**

**TRIVIUM CONSULTING FUNDING OPPORTUNITY BRIEF**

**Education Innovation and Research Program MID-PHASE Grants**

*https://www.federalregister.gov/documents/2016/12/15/2016-30084/applications-for-new-awards-education-innovation-and-research-program-mid-phase-grants (CFDA) Number: 84.411B*

### SUBMISSION DEADLINES

*Applications Available:* **December 19, 2016.**

*Deadline for Notice of Intent to Apply:* **February 13, 2017.**

*Deadline for Transmittal of Applications:* **April 13, 2017.**

*Deadline for Intergovernmental Review:* **June 13, 2017.**

### EIR GRANT FUNDING and PROJECT PERIOD

*Type of Award:* Cooperative agreements.

*Estimated Available Funds:* The Administration has requested $180,000,000 for the EIR program for FY 2017, of which approximately $141,000,000 would be used, in total, for new awards under the Early-phase, Mid-phase, and Expansion competitions.

*Estimated Range of Awards:*

*Early-phase grants:* $700,000-$800,000 per year.

*Mid-phase grants:* $1,400,000-$1,600,000 per year.

*Expansion grants:* $2,750,000-$3,000,000 per year.

*Estimated Average Size of Awards:*

*Early-phase grants:* $3,750,000 for the entirety of the project period.

*Mid-phase grants:* $7,750,000 for the entirety of the project period.

*Expansion grants:* $14,500,000 for the entirety of the project period.

*Estimated Number of Awards:*

*Early-phase grants:* 24-38 awards.

*Mid-phase grants:* 15-20 awards.

*Expansion grants:* 3-5 awards.

<center>*Maximum Awards:*</center>

*Early-phase grants:* $4,000,000 for the entirety of the project period.

*Mid-phase grants:* $8,000,000 for the entirety of the project period.

*Expansion grants:* $15,000,000 for the entirety of the project period.

*Project Period:* Up to 60 months.

## ELIGIBLE APPLICANTS

(a) An LEA; (b) A State educational agency; (c) The Bureau of Indian Education; (d) A consortium of State educational agencies or LEAs; (e) A nonprofit organization; and (f) A State educational agency, an LEA, a consortium described in (d), or the Bureau of Indian Education, in partnership with— (1) A nonprofit (as defined in this notice) organization; (2) A business; (3) An educational service agency; or (4) An institution of higher education.

## MATCHING FUNDS

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. Section 4611 of the ESEA, as amended by ESSA also authorizes the Secretary to waive this matching requirement on a case-by-case basis. Please see full solicitation for further information.

## PURPOSE of the EIR PROGRAM

The Education Innovation and Research (EIR) Program, provides funding to create, develop, implement, replicate, or take to scale entrepreneurial, evidence-based, field-initiated innovations to improve student achievement (as defined in this notice) and attainment for high-need students (as defined in this notice); and rigorously evaluate such innovations. The EIR program is designed to generate and validate solutions to persistent educational challenges and to support the expansion of effective solutions to serve substantially larger numbers of students.

The central design element of the EIR program is its multi-tier structure that links the amount of funding that an applicant may receive to the quality of the evidence supporting the efficacy of the proposed project, with the expectation that projects that build this evidence will advance through EIR's grant tiers. Applicants proposing innovative projects that are supported by limited evidence can receive relatively small grants to support the development, iteration, and initial evaluation of the practices (as defined in this notice); applicants proposing projects supported by evidence from rigorous evaluations, such as large randomized controlled trials (as defined in this notice), can receive larger grant awards to support expansion across the country. This structure provides incentives for applicants to: (1) Explore new ways of addressing persistent challenges that other educators can build on and learn from; (2) build evidence of effectiveness of their practices; and (3) replicate and scale successful practices in new schools, districts, and states while addressing the barriers to scale, such as cost structures and implementation fidelity.

## EXPECTATIONS of MID-PHASE GRANTS

Mid-phase grants provide funding to support scaling of projects supported by moderate evidence (as defined in this notice) for at least one population or setting to the regional level (as defined in this notice) or to the national level (as defined in this notice). This notice invites applications for Mid-phase grants only. Mid-phase projects are expected to refine and expand the use of practices with prior evidence of effectiveness, in order to improve outcomes for high-need students. They are also expected to generate important information about an intervention's effectiveness, including for whom and in which contexts a practice is most effective.

Mid-phase grantees must evaluate the effectiveness of the EIR-supported practice that the project implements and expands, and the application must include an evaluation designed to have the potential to meet the evidence requirement of strong evidence under Expansion. Not only will such evaluation data build the knowledge base about effective practices for underserved students, but it will also encourage future Expansion applicants to leverage the findings from Mid-phase grantees' efforts. The evaluation of a Mid-phase project must identify and codify the core elements of the EIR-supported practice that the project implements in order to support adoption or replication by other entities; furthermore, the evaluation must examine effectiveness of the project for any new populations or settings that are included in the project. Mid-phase grantees should measure the cost-effectiveness of their practices using administrative or other readily available data, and test and validate alternatives to practices that are too costly or inefficient. These types of efforts are critical to sustaining and scaling EIR-funded effective practices after the EIR grant period ends, assuming that the practice has positive effects on important student outcomes.

## ABSOLUTE PRIORITIES for the MID-PHASE GRANT

*This competition includes four absolute priorities.*

**Absolute Priority 1—Supporting High-Need Students.** Under this priority, we provide funding to projects that are designed to improve academic outcomes for high-need students.

**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.

**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.

**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 (as defined in this notice).

**Absolute Priority 5—Evidence-Driven Practices**. Under the priority, we provide funding to projects that meet the evidence standard for this competition and are designed to improve student achievement and attainment in areas of critical national need. Please see below.

## EVIDENCE STANDARDS

In order to be funded an applicant must meet the prescribed evidence standard for the type of application being submitted. These standards have been refined in FY 2013 and apply in this year's application. They will likely include the following definitions, all of which are pegged to the What Works Clearinghouse (WWC) evidence standards:

• *Evidence of Promise* — empirical evidence that a program or practice is supported by at least one correlational study with statistical controls, a quasi-experimental study that meets WWC evidence standards *with reservations*, or a randomized controlled trial that meets WWC standards *with or without reservations*, and that the study in question found a statistically significant or substantively important favorable outcome.

• *Moderate Evidence of Effectiveness*— a program or practice having at least one study that: (a) meets the WWC standards *without reservations*, found at least one favorable outcome (and no unfavorable outcomes), and has a sample that overlaps with the population or settings proposed to be served through a grant; or (b) meets WWC standards *with reservations*, found at least one favorable outcome (and no unfavorable outcomes), has a sample that overlaps with the population or settings to be served, and has a large sample or multi-site sample

• *Strong Evidence of Effectiveness* — a program or practice having: (a) at least one study that meets WWC standards *without reservations*, found at least one favorable outcome (and no unfavorable outcomes), includes a sample that overlaps with the populations or settings proposed to be served, and includes a large sample and a multi-site sample; or (b) at least two studies, each of which meets WWC standards *with reservations*, found at least one favorable outcome (and no unfavorable outcomes), has a sample that overlaps with the populations or settings proposed to be served, and has a large sample and a multi-site sample.

• *Strong Theory* — a rationale for a proposed process, product, strategy, or practice that includes a "logic model."

## DEPARTMENT of EDUCATION POINT of CONTACT

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