

## Request for Proposals (RFP): NGLC Wave IV, Cycle Two and Breakthrough Schools Regional Fund

**National Fund:** Cycle two of \$12 million for new and redesigned schools, grades 6–12.

**Regional Fund (D.C. and Chicago only):** \$3.6 million for new and redesigned schools, grades PK-12.

**Application Deadlines:** December 2, 2013 (Launch) and January 13, 2014 (Planning/Regionals)

### Overview of Grant Program

EDUCAUSE, through Next Generation Learning Challenges (NGLC), offers this Request for Proposals (RFP) for two types of grants—launch and planning grants—from developers of new or redesigned whole-school, breakthrough learning models at the secondary level (students within grades 6–12; see Table 1). Note that in addition to the original set of national Wave IV grants, NGLC (in association with other partners) is also now offering additional opportunities to school designers planning to open a breakthrough school model in Washington, D.C. or Chicago as part of the new NGLC Regional Fund. These regional grants are open to schools serving students from PK-12 including elementary schools. See details below and at the [Regionals Fund page](#) on the NGLC website. Through all of these grants, NGLC seeks to identify and support new or redesigned, scalable, whole-school models that combine the best aspects of place-based and online learning with more personalized, mastery-based approaches to result in substantially improved outcomes for students.

EDUCAUSE, a nonprofit association whose mission is to advance higher education through the use of information technology, helps those who lead, manage, and use information technology in higher education to shape strategic decisions. In 2010, EDUCAUSE, in conjunction with the Bill & Melinda Gates Foundation, the League for Innovation in the Community Colleges, the International Association for K–12 Online Learning (iNACOL), and the Council of Chief State School Officers (CCSSO) launched NGLC. NGLC seeks to **dramatically improve college readiness and completion in the United States, maximizing student learning and closing achievement gaps, through the *applied use of technology*, particularly among low-income individuals at both the secondary and postsecondary levels.** To date, NGLC has awarded [three waves of funding](#) and the [first cycle of Wave IV](#) totaling nearly \$47 million. Beyond providing investment capital, the initiative builds evidence, disseminates analyses of outcomes and lessons learned, and fosters an active community of innovators and adopters.

**Table 1. Summary of Wave IV, Cycle 2: Breakthrough School Models for College Readiness**

Cycle	Type of Grant	Launch Date	Number Awarded (Approx)	Amount	Application Due
<b>Cycle 2 National</b>	Launch grant for new school developers well along in their new school design	Fall 2014	12	\$150K guaranteed + up to \$300K available in 1:1 matching funds	Dec. 2, 2013
	Planning grant for new school developers in planning phase	Fall 2015	Up to 10	\$100K	Jan. 13, 2014
<b>Regional</b>	Planning grant for new school developers in planning phase	Fall 2014 or 2015	Up to 12 total (up to 6 in each city)	\$100K	Jan. 13, 2014

In addition to monetary awards, all grantees will receive the following: 1) designation and national visibility as an NGLC winner; 2) access to a network of other innovators and entrepreneurs; 3) connections with the communities represented by the NGLC organizational partners; 4) resources that may help refine instructional and business models; and 5) a third-party research study and validation of impact.

Funds for the Wave IV Cycle 2 investments are provided by the Bill & Melinda Gates Foundation. The Regional Fund is made possible by the Eli and Edythe Broad Foundation, CityBridge Foundation (for D.C.), New Schools for Chicago, and the Public Education Fund of Chicago, along with continuing support from the Bill & Melinda Gates Foundation.

### The Problem We Are Trying to Solve

NGLC's grants address an important challenge in American public education: how to dramatically improve student outcomes, particularly in schools that serve large numbers of low-income and minority students. One reason that our schools are struggling to meet the needs of the 21st century is a *design problem*. The prevailing model of schooling in the United States largely reflects a century-old factory/efficiency model that was not designed to meet the needs of today's global society or diverse student population. Its challenges are rooted in a flawed assumption—that groups of similarly aged students all start grades and courses having mastered the previous year's standards and then acquire new knowledge and skills at the same pace and in the same way over the course of a year. In reality, students start at different places and progress at different rates, which makes it exceedingly challenging to adequately meet each student's needs.

Our current system also suffers from a *scale problem*. While a number of schools have produced outstanding results even for our most underserved students, those schools have not achieved massive scale. One key cause of the scale problem is that many schools rely heavily on limited sources of capital, such as nonrecurring public grants and private philanthropy, to fund ongoing operations and growth. Furthermore, success in many of our most effective schools is predicated on a "superstar" human capital model that does not easily scale beyond a limited number of schools. Finally, some leaders of successful schools simply do not have an appetite for scale. Taken together, these challenges create very real impediments to replication and scale.

We are encouraged by the growing number of whole-school models that are simultaneously tackling the design and scale problems by employing the design principles presented above. This innovative group includes, but is not limited to, the 20 schools that recently won [NGLC Wave IIIa grants](#) and 38 schools ([30 planning](#)) and ([8 launch](#)) grants that were awarded in the [first cycle of Wave IV \(announced July 2013\)](#). While still in the early stages of development and implementation, these schools are demonstrating the potential of personalized learning, incorporating blended approaches and competency-based student progression, to accelerate the

### Seven Design Principles for Breakthrough Schools

- **Student Centered:** Designed to meet the diverse learning needs of each student every day
- **High Expectations:** Committed to ensuring that every student will meet clearly defined, rigorous standards that will prepare them for success in college and career
- **Self Pacing and Mastery-Based Credit:** Enables students to move at their own optimal pace and receive credit when they demonstrate mastery of the material
- **Blended Instruction:** Optimizes teacher- and technology-delivered instruction in group and individual work
- **Student Ownership:** Empowers students with skills, information, and tools they need to manage their own learning
- **Financial Sustainability:** Sustainable on public per-pupil revenue within four years
- **Scalable:** Designed to serve many more students if it demonstrates impact



academic outcomes of all students in a financially sustainable way.<sup>1</sup> We call these models “breakthrough schools,” and we use the term “breakthrough school developers” to refer to the entrepreneurial charter operators, districts, third-party provider organizations, and other partners that are behind these pioneering schools.

With this Wave IV RFP, NGLC aims to further accelerate the development of breakthrough school models in secondary education. Our goal is to enrich the educational landscape with a larger and a more diverse portfolio of schools that are innovating to achieve breakthrough results—that is, outcomes that reveal themselves in the successful pathways that students take *following* graduation from high school. NGLC aims to find entrepreneurs and innovative organizations and agencies that share our sense of urgency and recognize the potential of technology-enabled breakthrough school models to catalyze transformative change in the K–12 sector.

## Breakthrough School Launch Grants

### Overview

NGLC will award at least twenty (eight in Cycle 1 opening fall 2013, and 12 or more in Cycle 2 opening fall 2014) Breakthrough School Launch Grants to support new, whole-school learning models. Our ultimate goal is to build a robust pipeline of new breakthrough schools that serve secondary school students. Such schools must employ the seven design principles for personalized learning listed above and must be committed to achieving breakthrough results for all students.

### Who Should Apply

We are looking for school developers from a range of organizations. We define “new school developers” as organizations and individuals committed to planning and leading breakthrough schools. School developers could include school districts, charter management organizations (CMOs), aspiring charter entrepreneurs, nonprofit and for-profit organizations, postsecondary institutions, state education agencies, or other related organizations.

All Cycle 2 applicants for launch grants must be on a clear trajectory toward **opening new schools in the fall of 2014**. Launch grants are intended *only* for school developers who are already well along in their designs and who are also well along in securing required approvals (charter authorization, MOUs between developers and districts, etc.) For school developers earlier in their planning process, please refer to the description of the planning grants below. Planning grantees awarded in Cycle 1 will be able (and encouraged) to apply for a launch grant in Cycle 2.

Our experience with the Wave IIIa breakthrough schools and other research suggests that *new school startups* provide the optimum conditions in which to implement innovative school designs. However, we do believe that existing schools can undergo this transformation process with the right conditions and capacity in place. As described in the table below, applicants from existing schools may apply *only if* they meet all of the eligibility requirements. See Appendix A for sample profiles of eligible applicants and projects.

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<sup>1</sup> We refer applicants to the Christensen Institute’s newly revised definition of blended learning: 1) a formal education program in which a student learns at least in part through online learning, with some element of student control over time, place, path, and/or pace; 2) at least in part in a supervised brick-and-mortar location away from home (such as school); and 3) the modalities along each student’s learning path within a course or subject are connected to provide an integrated learning experience.



Applicants seeking to launch schools in Chicago or D.C. in the fall of 2014, are interested in this larger grant (as opposed to the \$100,000 planning grant), and believe their model is sufficiently well developed to be competitive should apply to this program.



## Launch Grant Eligibility and Award Information

<p><b>Award</b></p>	<p>All winners are eligible for up to \$450,000 in funding:</p> <ul style="list-style-type: none"> <li>• \$150,000 at time of award</li> <li>• Up to \$300,000 in 1:1 matching funds             <ul style="list-style-type: none"> <li>○ Matching funds are available to winners immediately, subject to demonstrated progress of grantee against any required milestones and proof of raising the non-NGLC matching funds.</li> <li>○ Matching funds must be raised from private or public sources and cannot come from the sponsoring/operating organization itself.</li> <li>○ Matching funds must be received (cash in hand) by the grantee after the NGLC award announcement but before the end of the grant period (June 30, 2015).</li> <li>○ Matching funds must be specifically earmarked for the new model.</li> <li>○ Matching funds must be cash only. In-kind support will not be counted towards the matching-funds requirement.</li> <li>○ Applicants will be required to submit a letter from the institution(s) providing the matching funds indicating disbursement of those funds. Funds committed prior to NGLC award receipt are ineligible as matching funds.</li> </ul> </li> </ul>
<p><b>Applicants</b></p>	<p>Eligible applicants must have designed a breakthrough school and must fit into one of the categories below:</p> <p>School District</p> <ul style="list-style-type: none"> <li>○ <i>New school</i>: Districts that intend to open a <i>new</i> breakthrough school.</li> <li>○ <i>Complete redesign school</i>: Districts may elect to redesign existing high-performing schools that demonstrate evidence of strong capacity and, at a minimum, proficiency rates that meet or exceed state averages (while meeting this RFP’s student population requirements, below). <i>Complete redesign</i> schools must propose a comprehensive reinvention of their academic, organizational, and financial models and must demonstrate sufficient operating latitude and support from the district to meet the design requirements expressed in this RFP before a grant can be awarded.</li> <li>○ <i>Restart school</i>: Districts that seek to address an officially designated failing school (under federal School Improvement Grant guidelines) through the SIG “Restart” option, working with an outside operator to launch a breakthrough school.<sup>2</sup></li> </ul>

<sup>2</sup> “Restart” is the only School Improvement Grant (SIG) category under which districts may apply for a Wave IV grant. With these investments, NGLC is deliberately making its top priority the optimization of these new school models’ chance for success. Wave IV is not an initiative focused on school turnaround; it is an initiative focused on new school designs based on blended, personalized, competency-based approaches. Our eligibility criteria, consequently, place highest value on applicants with the capacity, operating latitude, and informed new-model vision with the highest probability of success for their students and scalable impact in the field.



	<p>Charter Network</p> <ul style="list-style-type: none"> <li>○ <i>New CMO</i>: An entrepreneur who wants to open a <i>new</i> charter network.</li> <li>○ <i>New school</i> in an existing CMO: Networks with more traditional academic models that have proven results may apply to open a <i>new</i> breakthrough school within their network; the new school must be substantively different from existing schools in ways outlined in this RFP.</li> <li>○ <i>Complete redesign</i> school in an existing CMO: Limited to existing schools with strong capacity and, at minimum, state-average outcomes (while meeting this RFP’s student population requirements, below). <i>Complete redesign</i> schools must envision a comprehensive reinvention of their academic, organizational, and financial model and will have to secure necessary authorizations and/or charter to permit sufficient operating latitude to meet the design principles expressed in this RFP before a grant can be awarded.</li> </ul> <p>Breakthrough School Developer Partnership</p> <ul style="list-style-type: none"> <li>○ Non-charter school developers, postsecondary institutions, for-profit or nonprofit management organizations, service providers, state agencies, technology firms, or other entities that want to open a <i>new</i> breakthrough school. <ul style="list-style-type: none"> <li>▪ These applications will require signed MOUs with an officially authorized school manager (e.g., a district or charter) before a grant can be approved.</li> <li>▪ That managing organization must be listed as the primary applicant.</li> </ul> </li> </ul>
<p><b>School Opening</b></p>	<ul style="list-style-type: none"> <li>● Fall 2014: Apply to Cycle 2 by December 2, 2013</li> <li>● Summer school models are not eligible.</li> </ul>
<p><b>Intended Outcomes</b></p>	<p>Proposals should discuss the plans to achieve <i>all</i> of the intended outcomes below by the end of their fourth year of operation:</p> <ul style="list-style-type: none"> <li>● All students will achieve at least 1.5 years of growth annually on Common Core State Standards in ELA and Math.</li> <li>● Four-year cohort graduation rate should be 90% for all retained students (using definitions developed by the U.S. Department of Education) or equivalent and/or 90% three-year cohort completion rate for schools serving students in grades 6–8.</li> <li>● Postsecondary matriculation rate will be 80%.</li> <li>● Program will be financially sustainable (see Business Model, below).</li> </ul> <p><i>In addition:</i> Applicants should discuss their plans to support and measure other college and career success standards they deem important (e.g., critical thinking, complex communication skills, collaboration, and student self-efficacy).</p>
<p><b>Student Population</b></p>	<ul style="list-style-type: none"> <li>● Schools must serve (when fully launched) at least three grades, or their non-age-based leveling equivalent, within the traditional 6–12 grade range. <ul style="list-style-type: none"> <li>○ Eligible schools: K–8, K–12, 6–8, 6–12, 9–12, etc.</li> <li>○ Ineligible schools: K–5, 4–7, 8–9</li> </ul> </li> </ul>



	<ul style="list-style-type: none"> <li>• At least 40% of students must be eligible for the Free and Reduced Lunch program.</li> <li>• Note that applicants to the Regional Fund have slightly different eligibility criteria. School proposals may span any grade K-12 and in some cases regional competitions may also consider applicants with less than 40% poverty. Please refer to the eligibility conditions listed for the specific city of interest and contact the local partner for more information.</li> </ul>
<p><b>Academic Model</b></p>	<p>Applicants should describe how their academic model will support college and career readiness for all students. Accelerating learning growth on the Common Core State Standards should be foundational in all models, but this should not be the entirety of a school’s focus. We expect applicants to <i>begin</i> with a discussion of the Common Core and address how they intend to prepare students with the skills necessary to succeed in college and beyond.</p> <ul style="list-style-type: none"> <li>• The applicant must describe how the academic model supports each of the following design principles of personalized learning related to instruction:             <ul style="list-style-type: none"> <li>○ <b>Student Centered:</b> Designed to meet the diverse learning needs of each student every day</li> <li>○ <b>High Expectations:</b> Committed to ensuring that every student will meet clearly defined, rigorous standards that will prepare him or her for success in college and career</li> <li>○ <b>Self Pacing and Mastery-Based Credit:</b> Enables students to move at their own optimal pace and receive credit when they can demonstrate mastery of the material</li> <li>○ <b>Blended Instruction:</b> Optimizes teacher and technology-delivered instruction in group and individual work; we require that at least 25% of all students’ core literacy and math learning time be spent using digital content that gives students control over their path and pace</li> <li>○ <b>Student Ownership:</b> Empowers students with skills, information, and tools they need to manage their own learning</li> </ul> </li> <li>• At least 50% of each student’s instructional time must be delivered in a brick-and-mortar setting.</li> </ul> <p>NGLC is particularly interested in academic models that enable opportunities for students to gain college credit or that otherwise ease the transition from high school to postsecondary learning, although such components are not required.</p>
<p><b>Business Model</b></p>	<p>NGLC expects all applicants to provide detailed business models that</p> <ul style="list-style-type: none"> <li>• Demonstrate that the school can operate in a sustainable manner on recurring public revenue no later than Year 4 and ideally sooner</li> <li>• Demonstrate reasonable cost projections and revenue assumptions</li> <li>• Demonstrate an interest in and ability to scale the model and its strategies beyond a single school, preferably by some means beyond single-school replication.</li> </ul>
<p><b>Evaluation</b></p>	<p>NGLC will require all winners to participate in a comprehensive, multiyear research and evaluation study that will begin once schools are open. This study will be fully funded but will require a significant investment of time and effort on</p>



	<p>the part of the school. Grantees should view this portion of the initiative as an important value-add, as it will enhance their own efforts to design and implement solid performance metrics to demonstrate results.</p>
<p><b>Competitive Preferences</b></p>	<p>Strong preference will be given to proposals that represent</p> <ul style="list-style-type: none"> <li>• Pure innovation for the field (i.e., no school in the United States is doing this now)</li> <li>• Novel combinations of both promising and proven solutions</li> <li>• Groundbreaking partnerships that have the potential for significant and rapid scale-up</li> </ul> <p>The following proposals will <u>not</u> be competitive:</p> <ul style="list-style-type: none"> <li>• An approach that does not fully incorporate all of the principles of personalized learning described on page 2 of this RFP</li> <li>• A whole-school 1:1 laptop initiative that is not driven by a comprehensive instructional vision</li> <li>• A proposal for a “new” school that is essentially a carbon copy of an existing model</li> <li>• An approach that uses digital content but does not give students some control over their own path and pace</li> <li>• Programs or courses that only serve a subset of the students (i.e., a “school within a school” or a program only for struggling students would not be eligible)</li> <li>• Models that do not substantively address how they would support students who have not been successful in traditional environments</li> <li>• Applicants that do not have plans to scale beyond a single school</li> </ul>

NGLC staff reserve the right to disqualify proposals from review preemptively if they do not meet minimal standards for eligibility, innovation, risk, and impact potential.

## Breakthrough School Planning Grants

### Overview

In Cycle 2, NGLC will award up to ten (10) Breakthrough School Planning Grants nationally and up to 12 Breakthrough School Planning Grants as part of the Regional Fund currently available in D.C and Chicago. These grants will be awarded to school districts, charter management organizations, aspiring charter entrepreneurs, nonprofit and for-profit school developers, state education agencies and other institutions, agencies, or entities that are planning to open a new breakthrough school in the fall of 2015 (though the Regional program will consider applicants aiming to open in the fall of 2014). The goal of the planning grant program is to support school developers earlier in the pipeline of development and to encourage nontraditional institutions to consider opening new breakthrough schools. The ultimate goal of the planning grant is similar to the goal of the launch grants—to build a robust, national pipeline of new breakthrough schools that serve secondary school students.

### Who Should Apply

We are looking for school developers from a range of organizations, including but not limited to school districts, charter management organizations (CMOs), aspiring charter entrepreneurs, postsecondary institutions, nonprofit and for-profit school developers and state education agencies. Individuals may apply for planning grants, provided that they demonstrate a clear pathway towards creating the organization or

partnership that would undertake the development of the school (and, for example, become the applicant for an NGLC launch grant).

If you plan to open a school located in D.C., please see the specific information on the D.C partnership with CityBridge Foundation at [Breakthrough Schools: D.C.](#)

If you plan to open a school located in Chicago, please see the specific information on the Chicago partnership with New Schools for Chicago and the Public Education Fund of Chicago at [Breakthrough Schools: Chicago.](#)

All applicants for planning grants must be on a trajectory toward **opening new schools in the fall of 2015.** (Regional Fund applicants may be seeking to open in the fall of 2014.). Planning grants are intended for school developers who are far enough along in their designs to be able to articulate how they would meet the criteria presented in this RFP but who can use grant funds and other supports to bring their model to the point that it could be a successful applicant for an NGLC launch grant (and/or for funds from other sources).

Our experience with the Wave IIIa Breakthrough Schools and other research suggests that *new school startups* provide the optimum conditions in which to implement innovative school designs. However, we do believe that existing schools can undergo this transformation process with the right conditions and capacity in place. As described in the table below, applicants from existing schools may apply *only if* they meet all of the eligibility requirements. See Appendix A for sample profiles of eligible applicants and projects.

Planning Grant Eligibility and Award Information	
Award	Each of the 10 national and 12 regional planning grantees will receive \$100,000 in a single payment for planning purposes.
Applicants	<p>The following entities are eligible to apply for a planning grant:</p> <p>School District</p> <ul style="list-style-type: none"> <li>○ <i>New school</i>: Districts that intend to open a <i>new</i> breakthrough school.</li> <li>○ <i>Complete redesign</i> school: Districts may elect to redesign existing high-performing schools that demonstrate evidence of strong capacity and, at a minimum, proficiency rates that meet or exceed state averages (while meeting this RFP’s student population requirements detailed below). <i>Complete redesign</i> schools must envision a comprehensive reinvention of their academic, organizational, and financial model and can demonstrate a pathway towards securing the necessary authorizations and/or charter to permit sufficient operating latitude to meet the design principles expressed in this RFP.</li> <li>○ <i>Restart</i> school: districts that seek to address an officially designated failing school (under federal School Improvement Grant guidelines) through the SIG “Restart” option, working with an outside operator to launch a blended, personalized-learning school.<sup>3</sup></li> </ul>

<sup>3</sup> “Restart” is the only School Improvement Grant (SIG) category under which districts may apply for a Wave IV grant. With these investments, NGLC is deliberately making its top priority the optimization of these new school models’ chance for



Charter Network

- *New CMO*: An entrepreneur who wants to open a *new* charter network.
- *New school* in an existing CMO: Networks with more traditional academic models that have proven results may apply to open a *new* breakthrough school within their network; the new school must be substantively different from existing schools in ways outlined in this RFP.
- *Complete redesign* school in an existing CMO: Limited to existing schools with strong capacity and, at minimum, state-average outcomes (while meeting this RFP’s student population requirements, below). *Complete redesign* schools must envision a comprehensive reinvention of their academic, organizational, and financial model and can demonstrate a pathway towards securing the necessary authorizations and/or charter to permit sufficient operating latitude to meet the design principles expressed in this RFP.

Breakthrough School Developer Partnership

- Non-charter school developers, postsecondary institutions, for-profit or non-profit management organizations, service providers, state agencies, technology firms, or other entities that want to open a *new*, public breakthrough school.
  - These applications must demonstrate a pathway towards obtaining signed MOUs with an officially authorized school manager (i.e., a district or charter).

School  
Opening

- Fall 2015: Apply to Cycle 2 by January 13, 2014
- Summer school models are not eligible.

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success. Wave IV is not an initiative focused on school turnaround; it is an initiative focused on new school designs based on blended, personalized, competency-based approaches. Our eligibility criteria, consequently, place highest value on applicants with the capacity, operating latitude, and informed new-model vision with the highest probability of success for their students and scalable impact in the field.



<b>Intended Outcomes</b>	<p>Proposals should discuss the plans to achieve <i>all</i> of the intended outcomes below by the end of their fourth year of operation:</p> <ul style="list-style-type: none"><li>• All students will achieve at least 1.5 years of growth annually on Common Core State Standards in ELA and Math.</li><li>• Four-year cohort graduation rate should be 90% for all retained students (using definitions developed by the U.S. Department of Education) or equivalent and/or 90% three-year cohort completion rate for schools serving students in grades 6–8.</li><li>• Postsecondary matriculation rate will be 80%.</li><li>• Program will be financially sustainable (see Business Model, below).</li></ul> <p><i>In addition:</i> Applicants should discuss their plans to support and measure other college and career success standards they deem important (e.g., critical thinking, complex communication skills, collaboration, and student self-efficacy).</p>
<b>Student Population</b>	<ul style="list-style-type: none"><li>• Schools must serve (when fully launched) at least three grades, or their non-age-based leveling equivalent, within the traditional 6–12 grade range.<ul style="list-style-type: none"><li>○ Eligible schools: K–8, K–12, 6–8, 6–12, 9–12, etc.</li><li>○ Ineligible schools: K–5, 4–7, 8–9</li></ul></li><li>• At least 40% of students must be eligible for the Free and Reduced Lunch program.</li><li>• Note that applicants to the Regional Fund have slightly different eligibility criteria. School proposals may span any grade K-12 and in some cases regional competitions may also consider applicants with less than 40% poverty. Please refer to the eligibility conditions listed for the specific city of interest and contact the local partner for more information.</li></ul>



<b>Academic Model</b>	<p>Applicants should describe, in general terms, how their academic model will support college and career readiness for all students. The Common Core State Standards should be foundational in all models but not the entirety of their focus. We expect applicants to <i>begin</i> with a discussion of the Common Core and address how they intend to prepare students with the skills necessary to succeed in college and beyond.</p> <ul style="list-style-type: none"><li>• Planning grant applicants are not expected to provide detailed descriptions of their learning model, but they should understand NGLC’s priorities in determining whether to apply. We are interested in catalyzing academic models that contain each of the following design principles of personalized learning related to instruction:<ul style="list-style-type: none"><li>○ <b>Student Centered:</b> Designed to meet the diverse learning needs of each student every day</li><li>○ <b>High Expectations:</b> Committed to ensuring that every student will meet clearly defined, rigorous standards that will prepare him or her for success in college and career</li><li>○ <b>Self Pacing and Mastery-Based Credit:</b> Enables students to move at their own optimal pace and receive credit when they can demonstrate mastery of the material</li><li>○ <b>Blended Instruction:</b> Optimizes teacher- and technology-delivered instruction in group and individual work; we require that at least 25% of all students’ core literacy and math learning time be spent using digital content that gives the student control over their own path and pace</li><li>○ <b>Student Ownership:</b> Empowers students with skills, information and tools they need to manage their own learning</li></ul></li><li>• At least 50% of each student’s instructional time should be delivered in a brick-and-mortar setting.</li><li>• NGLC is particularly interested in academic models that enable opportunities for students to gain college credit or that otherwise ease the transition from high school to postsecondary learning, although this component is not required.</li></ul>
<b>Business Model</b>	<p>NGLC expects all applicants to provide a general description of how their financial and scaling plan will not only support the goals and strategies of their learning model but also match it in terms of innovation. The discussion of envisioned business models should:</p> <ul style="list-style-type: none"><li>• Demonstrate that the school could operate in a sustainable manner on recurring public revenue no later than year four or, ideally, sooner.</li><li>• Demonstrate reasonable cost projections and revenue assumptions.</li><li>• Demonstrate an interest in and ability to scale the model beyond a single school, preferably by means beyond single-school replication.</li></ul>
<b>Evaluation</b>	<p>NGLC will require all winners to participate in a comprehensive, multiyear research study that will begin once schools are open. This study will be fully funded but will require a significant investment of time and effort on the part of the school. Grantees should view this portion of the initiative as an important value-add, as it will enhance their own efforts to design and implement solid performance metrics to demonstrate results.</p>

## Application Instructions

### Before You Apply

Applicants can access a copy of this RFP and online application materials [on the Wave IV grant page](#). All application materials must be submitted online via the NGLC proposal submission website. Upon registration, applicants must provide information about the tax status of their organizations, given that different grant terms and conditions may apply. The online proposal template will not allow you to submit your proposal until such information has been included. Applicants will need to complete an intake form with a number of questions, along with submitting the materials described below.

NGLC will host a number of interactive webinars and program officer chats offering prospective applicants the opportunity to ask questions and learn more about NGLC and the proposal process. Date, time, and registration information are available at on the NGLC Wave IV and D.C. and Chicago announcement pages

Any changes to the Rules and Guidelines will be posted on the Frequently Asked Questions section of the Wave IV page on the NGLC website. Please read the current FAQs before submitting questions, which can be asked either on the webinars or by e-mail to an NGLC program officer.

### Proposal Requirements for Launch Grant Applicants

Applicants for a launch grant are expected to submit a 5–7 page narrative summarizing the proposal; a narrated PowerPoint presentation (no more than 10 slides) describing the school’s academic model in detail; and a financial model/narrative using a short template provided online. Please adhere to strict page limits. All of these materials should be submitted through the NGLC proposal submission website. The main narrative should encompass your entire design for the school. Applicants should ensure that they cover the following topics in the narrative:

- What is your overarching vision for the school? What are your intended outcomes for students?
- How in general will your proposed learning model support and enable those intended outcomes?
- What changes in the design and allocation of a school’s primary resources—staff, time, budgets, and facilities—will you undertake to enable your learning model to succeed?
- How will technology play a critical, highly integrated role in supporting these approaches?
- What elements of your school design demonstrate the ability to scale up in order to serve—or to exert a major influence on serving—many multiples of your original student population?
- Why are you and your partners, if any, particularly well suited to successfully design and execute the proposed model? What special capacities do you have, or what track record of success can you demonstrate?
- In the landscape of school reform, why is your proposed model an important addition?

The narrated PowerPoint deck should focus on the learning model and describe all of the following components (applicants should feel free to organize the deck however they see fit but should make sure to touch on these points):

- How the school will use blended learning to achieve its goals.
- How instruction at the school will be self-paced.
- How instruction at the school will be personalized for each student.
- How instruction will ensure higher-order thinking skills and deeper learning.
- How the model will ensure student ownership of their learning.
- How roles for teachers and staff in the school will be adjusted to support the model.



- What student outcomes will be measured and how data on such outcomes will be collected, reported, and integrated into day-to-day instructional decision making.
- A typical daily schedule and description of the learning experience for students.
- What online products or digital learning tools the school will use (names of tools/products if possible, understanding that these are preliminary choices).
- A justification for why this learning model is unique in the next generation landscape and would add something important to the national “spectrum” of breakthrough model schools.

For applicants applying on behalf of existing schools (“Complete Redesign” or SIG Restarts) please provide substantial evidence in either the deck or the narrative of the following:

- Your LEA/SEA or CMO has provided sufficient authority and operational flexibilities required to execute the proposed strategy.
- In addition, for districts proposing “Complete Redesign” of existing high-performing schools, evidence that your school has a history of solid performance (meeting or exceeding state averages in proficiency), a readiness to undertake substantial reform, and the demonstrated leadership capacity to implement a transformation such as this.

In addition, during the application process you will be asked to meet these requirements:

- Confirm that you have read and understand the website Terms and Conditions, Intellectual Property Policy, and Rules and Guidelines Document and acknowledge that any information submitted on behalf for NGLC (including proposals, reports, and any related documentation and communications) will be subject to and handled in accordance with such provisions.
- Confirm your commitment to complying with the intellectual property requirements of NGLC, as stated in the NGLC Intellectual Property Policy.

Applicants whose initial proposals are accepted for the finalist round will be asked to respond to a number of questions in narrative form and to complete a more comprehensive financial model, provided online. Notification of winners will take place by e-mail around the week of March 25, 2014. Grantees will receive their initial \$150,000 checks after all grant documents have been signed.

### **Proposal Requirements for Planning Grant Applicants**

Applicants for a planning grant are expected to submit the following materials. Please adhere to strict page-limit requirements.



- Five-page concept paper outlining key features of the plan:
  - The **Academic Model**: Provide a brief overview of the academic model based on criteria set forth in this RFP.
  - **Boldness and Impact**: Describe what's different about this model and why it would challenge current stasis and move the field of next generation learning forward.
  - **Scalability**: Discuss how this model could scale up beyond the first few hundred students served.
  - **Capacity**: Convince us that you have the experience, knowledge, and skills necessary to deliver a strategic/business plan that would ultimately win an NGLC launch grant or successfully attract other funding, open your door to students, and succeed.
  - **Advantages**: Describe any additional relevant resources, partnerships, funding, or other supports that would be available to your model and/or to your planning efforts.
- Résumé (s) of the key applicant(s).

In addition, during the application process you will be asked to meet these requirements:

- Confirm that you have read and understand the website Terms and Conditions, Intellectual Property Policy, and Rules and Guidelines Document, and acknowledge that any information submitted on your behalf for NGLC (including proposals, reports, and any related documentation and communications) will be subject to and handled in accordance with such provisions.
- Confirm your commitment to complying with the intellectual property requirements of NGLC, as stated in the NGLC Intellectual Property Policy.

Planning grant applicants whose initial proposals are accepted for the finalist round may be asked to respond to a number of questions to clarify aspects of their proposal for the final round. Notification will take place by e-mail around the week of March 25, 2014. Grantees will receive their \$100,000 checks after all grant documents have been signed.

### Review and Handling of Proposals

In keeping with the spirit of NGLC, we require grantees to make their proposal materials available to others for community benefit under the Creative Commons licensing framework described under Intellectual Property Policy (included below). As part of this effort, we may post elements from grantees' full proposals on the NGLC website. In order to protect individual privacy, before publishing the materials, we will redact salary line-item information from the proposal budgets, preserving only higher-level budget categories.

Due to the number of initial proposals anticipated, applicants not invited to submit a finalist proposal or awarded a grant will receive a notice that their proposals were declined without specific feedback. Applicants declined in the finalist round will receive feedback drawn from reviews by NGLC staff, NGLC organizational partners, and a panel of expert outside reviewers.

The review process will involve four steps:

1. NGLC staff will screen submissions to ensure proposals address the key criteria described in the RFP. We will screen for ineligible proposals as well as submissions that are clearly noncompetitive. Applications excluded during the screening process will be notified that their proposals were declined.
2. Staff, in consultation with NGLC's organizational partners, will review initial proposals. These initial proposals will be considered on their individual merits. The authors of initial proposals selected for the next stage of review will be invited to submit final proposals. These proposals will take the same

format as the initial proposals for planning grants, but finalist applicants may be asked to address questions and/or to supplement their original proposal with more detail.

3. Final proposals will be evaluated by a set of expert reviewers. Those recommended for funding will be advanced to a final review by the NGLC Executive Committee, composed of representatives from each of NGLC’s partner organizations. The committee’s decisions are final.
4. The final step will be a due diligence review to ensure that the potential grantee is an appropriate recipient of funding.

This process and dates may change—for instance, due to an unexpectedly large response to this RFP. Any updates to it will be published on the [FAQ page](#) on the NGLC website. Please refer to that page regularly for changes.

<b>Applications submitted by:</b>	<b>Will be notified of finalist status by:</b>	<b>Final applications submitted by:</b>	<b>Will be notified of funding the week of:</b>	<b>Schools should start in:</b>
<b>Cycle 2</b>				
Dec 2, 2013 (Launch)	Jan 6, 2014	Jan 27, 2014	March 25, 2014	Fall 2014
Jan 13, 2014 (Planning)	N/A	N/A	March 25, 2014	Fall 2015

**Possibility of Future Funding**

NGLC waves are independent funding panels; unless explicitly stated otherwise, no wave can promise subsequent funding in another wave. Previous NGLC grant winners are encouraged to apply to Wave IV but have no advantage over any other applicant.

**Eligibility for NGLC Funding**

NGLC is open to all entities, taxable and tax-exempt organizations, and U.S. federal, state, tribal, and local government agencies. Non-U.S. organizations may apply, but the primary focus of the grant-supported work must be in the United States.

NGLC generally invites proposals in waves, spaced approximately every 6–12 months. An individual principal investigator (PI) or project lead may direct the submission of only one proposal *per wave*; however, individuals serving as PI on one proposal may serve as co-investigators on other proposals in the same or other waves. Participants must be prepared to carry forward *all* of the proposals in which they agree to participate; consequently, in no case should an individual’s budgeted time, summed across all proposals in which he or she participates, exceed 100%. In the case of grants where PIs or other leading managers leave the sponsoring organization during the grant period, the grant generally will remain with the organization.

**Conflicts of Interest**

To identify and avert conflicts of interest, reviewers will not be permitted to review proposals from organizations for which they have self-identified the presence of or potential for such conflicts. See the NGLC [Conflict of Interest Policy](#) for details.



## Conditions of Funding

The detailed Sample Next Generation Learning Challenges Grant Terms and Conditions can be found in Appendix B at the end of this document. These terms and conditions have been developed specifically for NGLC and are not negotiable. You are advised to be sure that your organization can accept these terms and conditions at the time you submit a proposal. If your proposal is selected for funding, you will be provided 10 days after the notification of award to accept the grant and return the award letter with an appropriate institutional signature.

## Reporting

Each grantee will be required to prepare an interim Financial and Project report, due 12 months from the date of award. Grantees will also be required to prepare a final financial and project report at the end of the Wave IV grant period (June 30, 2015). These reports are due as described in the Reporting section of the Sample Next Generation Learning Challenges Grant Terms and Conditions (below). The reports are to be submitted electronically and should be cumulative, stand-alone documents that describe the work proposed in the grant award. The project section of each report must include any technical data gathered, models developed, and summary conclusions. The financial section of each report should include an account of the funds expended. Detailed instructions for the reporting format will be provided at the time of award.

We recognize that the goals for this RFP do not easily lend themselves to summative measurement at the end of the grant period, much of which is given over to planning, even before the first student cohort is served, in some cases. Our grants are designed to be catalytic rather than program-supporting over multiple years. The reports we anticipate receiving from grantees, consequently, will of necessity be more directional than summative, resting primarily on fairly early indicators of progress against the model. Our goal is to create communities of NGLC practice that are sufficiently useful to grantees that they will continue to share outcomes and learning with those communities even after the grant periods conclude.

## Intellectual Property Policy and Terms of Use

NGLC aims to enable the widest adoption of innovative proven solutions. The goal is to broadly disseminate all knowledge gained as part of the program to the education community and make accessible developed outcomes or products to support education for all students—particularly those at risk of inadequate college readiness, such as students from low-income and/or minority backgrounds. In considering proposals, NGLC will favor those applicants that are clearly thoughtful about the potential of their work to not only transform the current system of education but also to facilitate open-source collaboration for public-service ends.

All documents, written materials, and other content submitted to NGLC during the period of a grantee's grant term may be made available by NGLC or an NGLC partner to the broader community of stakeholders. By providing any submission materials, applicants represent to NGLC that they have the right to provide the information submitted. Furthermore, grant recipients will be required to grant NGLC a no-cost assignable license to use or publish grantee data, including outcomes data, and information about strategy and implementation of the funded work.

Finally, NGLC grantees will be expected to participate in the joint knowledge-building goals of the overall initiative—for their own benefit as well as for the benefit of the entire cohort. We respect grantees' need to focus on the design and effective implementation of their model and will strive to limit this participation to activities that directly or indirectly support that work. Specifically, grantees must agree to (a) provide



performance and student participation data that relate to the project as appropriate and requested by NGLC; (b) participate in a third-party research study, contracted for and managed separately through the Bill & Melinda Gates Foundation, of activities and outcomes supported by the grant; and (c) actively participate in their NGLC grantee cohort, an in-person and virtual community of like-minded innovators. NGLC counts these supports among the principal value-adds of receiving an NGLC grant. Grantees that for any reason fail to launch their models, or are otherwise unable to meet the goals expressed in this RFP, are not exempt from these requirements; the success of NGLC's cohorts of technology-enabled, next generation learning models depends as much on learning from setbacks as in learning from successes. All conditions generally apply to Regional Fund applicants. Metrics for research may vary slightly.

NGLC encourages grantees to share any source code, content, or technology developed as part of the grant and disseminate widely using traditional methods and emerging technologies. While copyright and intellectual property to the tangible work product will remain with the grantee, NGLC strongly encourages grantees to consider a Creative Commons license in order to encourage innovative iteration, spur adoption, and provide access to a broad field of innovators, adopters, and researchers. Indication of such a commitment will be a priority in making grant selections, but it is not a requirement.

NGLC recognizes that there may be circumstances where limited or delayed licensing of the grant product or limited access to data may be appropriate to protect the legitimate interests of the grantee. Applicants with questions may contact NGLC's K-12 Program Officer, Sarah Luchs, at [sluchs@educeuse.edu](mailto:sluchs@educeuse.edu). [Regional Fund applicants have additional contacts for local support.](#)

## **Additional Information**

Please refer to the FAQ document, which can be found [on the Wave IV page](#). The FAQ document will be the primary channel through which NGLC updates prospective applicants on any changes to the proposal process, deadlines, and/or terms and conditions.

For questions relating to this RFP, please contact NGLC Program Officer Sarah Luchs at [sluchs@educeuse.edu](mailto:sluchs@educeuse.edu).

## Appendix A: Additional Design Principles and Examples

NGLC focuses on supporting significant change in both the supply and demand for effective solutions to problems of student readiness, persistence, and completion. Ultimately, NGLC seeks to create a healthier marketplace of innovators and adopters who join together to dramatically increase the quality of learning experiences. NGLC provides investment capital through “waves” of funding; waves are released every 6–12 months, and each involves a select number of challenges.

The following core principles, developed collectively by all of the NGLC partners, drive this wave of investments:

- Proposals should demonstrate a relentless focus on outcomes. What matters most is proven student achievement and a sustainable and scalable business model; new methods matter, but only if they deliver results.
- Education should be learner-centered, and learning experiences should be engaging and not confined to classrooms or campuses. Active, situated, and experiential learning improves engagement, problem solving, and achievement.
- Students learn differently and advance at varying rates. Deliberate design of innovative approaches to education has the potential to maximize student learning while accelerating the progress of students furthest behind, simultaneously closing achievement gaps and increasing educational attainment.
- Within a context of increasing career-ready expectations, technology has the potential to enable a personalized learning experience for all students. While technology is a driver behind personalizing instruction in classrooms and an enabler of effective teaching practices, it is not an end unto itself.
- Technology-enabled breakthrough learning models have the potential to loosen the resource constraints of traditional models—time, human capital, and space. This flexibility allows differentiated approaches to content, assessment, pacing, and learning styles.
- Rapidly and radically improving college readiness and completion requires the widespread adoption of proven models, practices, and processes. To be truly scalable and portable, models must be affordable, sustainable, and driven by widely accepted academic and technological standards.

### Research-Based Hypotheses

Drawing on lessons learned from these emerging models, existing research, and a review of other sectors that have embraced technology, the following hypotheses drive this RFP:

- Personalizing instruction accelerates student learning.
- Combining technology-enabled and face-to-face instruction makes learning more effective and affordable than relying on either method alone.<sup>4</sup>
- Relative to pure online models, blended models that operate primarily out of brick-and-mortar settings offer two distinct advantages: (a) Having a physical location facilitates the delivery of key scaffolding to students who need additional support; and (b) a pure online model is not a feasible option for students who do not have access to a computer, Internet connectivity, and/or a conducive learning environment at home.

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<sup>4</sup> Mastery-based learning is defined as learning where students advance and earn credits on demonstration of learning by applying specific skills and content. See Sturgis, C., Patrick, S., Pittenger, L. (2011). *It's Not a Matter of Time: Highlights from the Competency-Based Learning Summit* (iNACOL).



- Ensuring that all students are prepared for college will require an intense and relentless focus on identifying and meeting individual student needs. Only school models that produce exceptional results and are sustainable on recurring public revenue can (and should) achieve massive scale.
- Despite a number of promising personalized, mastery-based school models in operation today, the number and the variety are limited relative to what we believe is possible.
- Starting new schools from scratch provides maximum flexibility, which is necessary to produce transformational innovations in areas such as instructional delivery, the use of time, the role of teachers and other educators, and business models. The degree of innovation we seek might be possible through restarts of existing schools, or through the complete redesign of higher-performing schools (state average outcomes with at least 40% poverty student population), and that may be the most realistic pathway for widespread scale-up of blended, personalized learning strategies. We have therefore opened this RFP to applicants committed to pursuing either of those approaches. We believe that they are quite difficult to accomplish, however, and we will require demonstrations of high capacity, complete operating latitude, and fidelity to the core design requirements expressed in this RFP before funding applicants in those categories.

### Examples of Eligible Applicants

Examples of breakthrough schools can be found among NGLC's Wave IIIa and Wave IV, Cycle 1 grantees. Applicants are encouraged to review the material available on these models (including video versions of the narrated PowerPoint decks that were part of their finalist proposals) at <http://nextgenlearning.org/>. Applications eligible for Wave IV could include any of those models or, for example:

- **A new district school** that ultimately serves 1,000 students in grades 6–12 and uses online courses from multiple content vendors to deliver approximately 75% of instruction in a learning lab setting. The remaining 25% of instructional time is spent on a rich STEM-focused, project-based learning curriculum. Students progress through online courses and projects at their own pace and can attain credit at any time based on demonstrated mastery. Part of the cost savings from online learning is reinvested in project-based learning and an intense support program for struggling students, but the school is sustainable on recurring public revenue by year two of operation. *Applicant category: New District School.*
- **A partnership between a district, an online curriculum provider, and a leading CMO** to create a new, personalized, blended-learning charter school that gradually replaces an existing, failing high school under federal SIG "Restart" provisions. The district-authorized new school would eventually serve 600 students in grades 9–12 via an integrated learning management system, as well as content and assessments, from an array of vendors assembled by the partners to deliver 50% of instruction online during traditional class time, as opposed to a separate learning lab. Teachers introduce core concepts that are reinforced online and act as instructional guides to engage students more deeply with particular concepts. Computer-assisted learning is adaptive and structured around the needs of individual students, who progress as quickly as they master steps on their curricular learning pathways. The partners use the charter authorization to provide the operating latitude required to immediately put all of these changes in place. They begin with the ninth grade and then build, year by year, until the entire school reflects the transformation. The model is sustainable on recurring public revenue by year three of operations, and cost savings from online learning are reinvested into professional development and differentiated pay for teachers taking on differentiated roles. After two years, the district employs the same model in five other failing schools and participates in a statewide consortium that allows other districts to learn from its experience. The partners apply lessons from developing and implementing this model to all of their related work. *Applicant category: Restart.*



- **The complete redesign of an existing, high-capacity school** along the lines suggested by the “Restart” description just above. The difference is that this work is undertaken by a district with one of the major national education-laboratory nonprofits, which is in the process of developing a new division to support blended, personalized learning. The district maintains control over the school but gains charter-like operating authority by winning designation as an innovation school under their state’s new education reform innovation law. The redesign proceeds grade by grade. The model is sustainable on recurring public revenue by year three of operations, and cost savings from online learning are reinvested into professional development and differentiated pay for teachers taking on differentiated roles. After two years, the district employs the same model in several other schools and participates in a national consortium that allows other districts to learn from its experience. The ed-lab partner applies lessons from developing and implementing this model to the launch of its new division for personalized learning. *Applicant category: Complete Redesign.*
- **A new charter school that is the “2.0” model of a more traditional, successful “no excuses” charter management organization network**—essentially, a next-gen/blended version of its original school design. The new school (when fully enrolled) serves 800 students in grades 9–12 and offers an intense, personalized learning experience for all students. Using adaptive digital content for approximately 30% of instructional time, students in grades 9 and 10 receive an intense literacy and math remediation program that rapidly accelerates each student’s learning growth to ensure that he or she is on or above grade level by the end of grade 11. The grades 11 and 12 experience is a completely redesigned college preparatory program that involves a combination of self-paced online courses, some of which count for college credit; group projects; and external internships that allow students to extend and apply learning in real-world settings. The model is sustainable on recurring public revenue by year four of operation. The CMO gradually converts most or all of its more traditional schools to the new model. *Applicant category: New Charter School.*
- **A partnership between an urban district with a student dropout problem, a neighboring community college, and their state’s education agency.** The new school initially serves 100 former dropouts, aged 14–19, who self-select back into this model and participate on a schedule that recognizes their need to attend school part-time. At capacity, though, it can serve many more students than that, through the state’s consortium of community colleges (as the site-based locations) and online learning. Most instruction and student support take place on-site at the community college, but students also have the flexibility to do some of their work off-campus/online. Students are issued laptops and at-home broadband access to mitigate equity-of-access issues. Once students have demonstrated mastery of core content and skills, they may enter into dual enrollment programs that earn credit through the community college. Furthermore, they are guaranteed entrance into the college upon completion of the required high school course of study. These programs are shepherded through multiple community colleges by the state agency. The model is sustainable on recurring public revenue by year two of operation, and cost savings from lower human capital requirements are reinvested in sustaining a year-round, extended-day operation. The community college and SEA collaborate to create a website specifically to help other states and community colleges adapt elements of their model. *Applicant category: School Developer Partnership.*



- **A new statewide charter academy, serving grades 6–12, created by a partnership between a state education agency, an online curriculum provider, a leading home-school network, and the state’s network of youth community centers.** The partnership matches the site-based learning opportunity offered by the youth community centers with the project-based learning activities and small learning circles of the home-school provider, along with the online learning offerings of the curriculum provider, to produce an entity that stretches our very concept of the word “school.” Students take interdisciplinary courses in which they rotate between learning online in self-paced environments and offline in group instruction or team-based projects. Student rotations are based on a “recommendation engine” that assigns each student to a type of learning environment (online/offline, small/large group) and content based on assessment data that reveals academic needs and learning-style preferences. The model is sustainable on recurring public revenue after year three of operation, and cost savings are reinvested into core technologies and expansion. *Applicant category: School Developer Partnership.*

These examples are illustrative only. Projects not fitting these descriptions may also be highly competitive, provided they adhere to NGLC’s Wave IV requirements.

## Appendix B: Sample Next Generation Learning Challenges Grant Agreement Terms and Conditions

This Grant Agreement dated \_\_\_\_\_ is entered into by and between EDUCAUSE (“EDUCAUSE”) as Grantor and \_\_\_\_\_ as Grantee.

In consideration of the mutual promises contained in this Grant Agreement, EDUCAUSE and Grantee agree as follows:

### I. Organizational Eligibility and Use of Funds

**Tax Status:** The specific terms and conditions of NGLC grants from EDUCAUSE may depend on the tax status of your organization. You must indicate which of the following descriptions applies to your organization when submitting a proposal. (Note that the online proposal template will not allow you to submit your proposal for consideration until the requested tax status information has been provided.) You must also submit copies of the governing documents for your organization with your application (e.g., Articles and Bylaws).

The organization is:

- Exempt from United States federal income tax under section 501(c)(3) of the United States Internal Revenue Code of 1986 (the “Code”) and not a private foundation;
- Exempt from United States federal income tax under Section 501(c)(3) of the Code and a private foundation;
- Exempt from United States federal income tax under a section of the Code other than 501(c)(3) (e.g., Section 501(c)(4) or 501(c)(6)). If applicable, please indicate which section applies to your organization \_\_\_\_\_;
- Not a tax-exempt organization under the Code. If applicable, please indicate the type of organization and place of incorporation;
- A United States government unit described in section 170(c)(1) of the Code;
- A state, tribal, or local government unit. If so, please describe \_\_\_\_\_;
- An organization formed under the laws of a country other than the United States. If applicable, please indicate the country of formation and type of organization \_\_\_\_\_.

**Use of Grant Funds:** The use of the grant funds must be restricted solely to the purposes of the Project described in the Proposal attached as Exhibit A hereto (the “Project”). Grant funds may not be used: (a) for any purpose other than the Project; (b) to carry on propaganda or otherwise attempt to influence legislation; (c) to influence the outcome of any public election or to carry on, directly or indirectly, any voter registration drive; (d) to make a subgrant to any individual or to any other organization. Any portion of the grant funds unexpended or uncommitted at the end of the grant period must be promptly returned to EDUCAUSE.

**For Non-U.S. Grantees:** All payments will be made in U.S. dollars and will not be adjusted to reflect currency fluctuations.

**Limitations on Capital Assets:** You may use the grant funds to purchase capital assets such as equipment as long as (a) the assets are used exclusively for the Project during the term of the grant and used in accordance with the NGLC Intellectual Property Policy after the term of the grant; and (b) the aggregate amount of grant funds used to purchase capital assets does not exceed one-quarter (1/4) of the total grant funds.

**Subcontracts:** Although you may not subgrant any funds received under the Grant Agreement, you may subcontract with third parties to conduct Project activities, as long as the aggregate amount of grant funds

paid to subcontractors does not exceed one-third (1/3) of the total grant funds. As the grantee for the Project, your organization has sole responsibility for selection and oversight of any and all subcontractors. EDUCAUSE does not approve the selection of any of your subcontractors and will not oversee their respective activities. Therefore, no implication should be made to investors, media, or the general public that EDUCAUSE supports the activities of any subcontractor. EDUCAUSE requires that you include this stipulation in any agreements with subcontractors you engage to assist with the Project.

**Indirect Costs:** Grant funds may be used to pay indirect costs of up to 10% of the total grant amount. Indirect costs are defined as (a) overhead expenses incurred as a result of the Project but that are not easily identifiable with the Project; and (b) administrative expenses that are related to overall general operations and are shared among projects and/or functions. Examples of indirect costs include, but are not limited to, executive oversight, accounting, grants management, legal expenses, utilities, and facility maintenance.

**Anti-Terrorism:** You acknowledge that you are familiar with the U.S. Executive Orders and laws that prohibit the provision of resources and support to individuals and organizations associated with terrorism and the terrorist-related lists promulgated by the U.S. Government. You will use reasonable efforts to ensure that you do not support or promote violence, terrorist activity or related training, or money laundering. Such efforts to comply with this provision should not be interpreted to interfere with your commitment to academic freedom and open debate on controversial issues.

## II. Compliance and Indemnification

**Compliance by All Parties:** As the grantee for the Project, you agree that (a) all agreements with subcontractors to which you pay grant funds will be consistent with the terms and conditions of the Grant Agreement; and (b) all subcontractors to which you pay grant funds shall be in compliance with the terms of the Grant Agreement (including but not limited to all limitations on the use of grant funds). You also agree that any activities in association with the Project or the Proposal will not modify the provisions of the Grant Agreement or constitute the basis for any claim by you against EDUCAUSE. You have obtained all necessary regulatory and governmental licenses and approvals required to pursue the Project.

## III. Research Practice Assurances

**Limitations on Human Subjects Research:** Grant funds may be used for human subjects research, but you must have all appropriate approvals, assurances, and certifications (including, but not limited to, institutional review board [IRB] approvals) as of the date the Grant Agreement is fully executed.

**Compliance for All Sites:** You agree that for each venue in which any part of the Project is conducted, you and your subcontractors shall comply with all laws and regulations applicable to the conduct of the Project (including, but not limited to, any research or other activities that are governed by human subjects guidelines, laws, or regulations), as well as comply with and assure and gain timely, appropriate prior approval for all activities subject to regulation and/or other types of required assurances, certifications, or legal requirements. All appropriate approvals, assurances, and certifications must be obtained no later than the date the Grant Agreement is fully executed. You acknowledge and agree that, as between you and EDUCAUSE, you take and will have full responsibility for all such compliance, both for yourself and all other sites included in the Project, including without limitation those activities conducted through subcontracts.

## IV. Payment and Reporting Schedules

**Payment:** EDUCAUSE will disburse grant funds to grantees via check within 10 business days of receipt of the countersigned Grant Agreement. Grant amounts will vary based on the wave and specific challenges.

All grant payments to be made from EDUCAUSE to Grantee hereunder are contingent upon EDUCAUSE's receipt of funding from the Bill & Melinda Gates Foundation, the William and Flora Hewlett Foundation, and/or any other current or prospective NGLC funders, for use by NGLC in making such grant payments.

**Reporting:** You agree to provide EDUCAUSE with an annual Financial and Program Report via e-mail to the Program Officer no later than \_\_\_\_\_, and a final Financial and Program Report via e-mail to the Program Officer no later than \_\_\_\_\_ (i.e., no later than 90 days after the end of the grant period). You may apply for one no-cost extension for this deadline, provided that you submit a formal request to the appropriate NGLC Program Officer no later than \_\_\_\_\_; if approved, the grant would end on \_\_\_\_\_, and the final Financial and Program Report would be due no later than \_\_\_\_\_.

Grant recipients will receive the reporting guidelines and template electronically. Reports should be submitted electronically to the assigned NGLC Program Manager.

Please note that these formal reporting requirements are in addition to, not a substitute for, the knowledge-sharing and community engagement requirements that apply to all NGLC grantees. Projects supported under the program are expected to actively and publicly share information, knowledge resources, findings and lessons learned, and so forth, via the NGLC website ([www.nextgenlearning.org](http://www.nextgenlearning.org)) and other appropriate forums throughout the life of the grant.

**Record Maintenance and Inspection:** You agree to maintain (and require your subcontractors to maintain) adequate program and financial records to enable EDUCAUSE to easily determine how the grant funds were expended. Such records shall be maintained for at least three years following termination of the Grant Agreement and will be available for review by EDUCAUSE personnel or our designee upon reasonable notice.

## V. NGLC Priorities

You understand and acknowledge that EDUCAUSE is making the NGLC grant in furtherance of its nonprofit purposes, which include the priorities of ensuring that (a) the knowledge gained during funded projects will be promptly and broadly disseminated to the education community, and (b) the intended product(s) or outcomes be made accessible (with respect to cost, quantity, and applicability) to organizations dedicated to improving college readiness and completion. You agree to conduct and manage support of the research, product development, and innovations funded by this grant in a manner that facilitates the achievement of NGLC priorities and in accordance with the NGLC Intellectual Property Policy.

## VI. Mandatory Participation in Designated NGLC Activities

**NGLC Meetings:** You agree to participate in the annual NGLC meeting, should such be held, by sending two representatives including the Principal Investigator. In that event, reasonable travel expenses associated with your participation will be reimbursed. All travel arrangements must be made in accordance with the travel policy, which will be provided with any meeting materials.

**Collaboration:** In addition to meeting attendance, NGLC grantees pursuing similar challenges and overarching goals are expected to communicate and collaborate on a periodic basis in achieving progress towards these solutions. EDUCAUSE will identify the other entities with which you should consider collaborating.

## VII. Publication

**Publication:** You agree to prepare and publish data sets, models/frameworks, text, and/or multimedia resources—including but not limited to courses or courseware—and findings resulting from the Project for public use on the NGLC website ([www.nextgenlearning.org](http://www.nextgenlearning.org)) and/or other online forums as directed by NGLC [NGLC Wave IV, Cycle Two and Breakthrough Schools Regional Fund](#)

staff. You further agree to do so as soon as practical during the course of the Project and immediately following conclusion of the Project. All investigators supported in whole or in part by funds from this grant must be made aware of this obligation and should be encouraged to publish or otherwise disseminate the Project findings as broadly and promptly as reasonably possible. All publications must include the acknowledgement, “Funded by a grant from EDUCAUSE through the Next Generation Learning Challenges.”

**Grant Announcements, Public Reports, and Use of NGLC Name and Logo:** NGLC, EDUCAUSE, the Bill & Melinda Gates Foundation, and other NGLC collaborative organizations identified on the NGLC website may include information on this grant in periodic public reports and may make information about this grant public at any time on their web pages and as part of press releases, public reports, speeches, newsletters, and other public documents. If you wish to issue a press release or report announcing this grant, or otherwise use NGLC, EDUCAUSE, or a collaborative organization’s name or logo, please contact EDUCAUSE as outlined in the Grant Agreement at least two weeks before the desired announcement or publication date. You agree to obtain advance approval from EDUCAUSE of the press release and the date of release, or of any other use of the names or logos of NGLC, EDUCAUSE, or any NGLC collaborative organization. EDUCAUSE requests an opportunity to review and comment on subsequent press releases or reports that are directly related to the grant.

**Entire Agreement:** The Grant Agreement will constitute the entire agreement and supersedes any prior oral or written agreements or communications between the parties regarding its subject matter. The provisions of the Grant Agreement are severable so that if any term or provision is found for any reason to be invalid, illegal, or unenforceable, such finding shall not affect the validity, construction, or enforceability of any remaining term or provision. The Grant Agreement may be amended or modified only by a mutual written agreement of the parties.

#### **VIII. Term of Offer**

Grant award offers are only valid for 10 days. Upon receipt of award notification, you must return a fully executed Agreement to EDUCAUSE postmarked no later than \_\_\_\_\_, in order to receive an NGLC Wave IV grant award.

#### **IX. Right of EDUCAUSE to Terminate Grant**

EDUCAUSE reserves the right, at its sole discretion, to terminate the grant at any time if Grantee fails to abide by the terms and conditions of the Grant Agreement, fails to make satisfactory progress with respect to the grant objectives, misappropriates NGLC funds, or behaves in any other fashion detrimental to the success or effectiveness of NGLC. Should EDUCAUSE exercise this right, Grantee will be responsible for returning all unspent or misspent funds. In such case, any materials or work products produced with grant funds will still be subject to the NGLC Intellectual Property Agreement.



## Appendix C: Technical Interoperability Standards

Among the goals of the learning challenges is the development of educational content and assessments that can be deployed in a variety of learning environments. This is facilitated by using open-content formats. As a baseline, applicants are encouraged to use content formats that have been adopted by the World Wide Web Consortium (W3C) and are supported by a majority of web browsers. These include HTML, JPEG, PNG, GIF, SVG, and XML.

Due to patent encumbrances, the W3C has not specified standard formats for audio and video content. Grantees are encouraged to choose formats that are supported by current versions of at least two of the prominent web browsers.

There are a few existing specifications for assessment encoding. However, support by learning management systems is spotty, and existing specifications may not support innovative question formats such as mathematical equivalence, simulation environments, or blended instruction and assessment frameworks. Grantees are encouraged to use existing assessment format specifications when they are applicable and not limiting. In other circumstances, grantees are encouraged to propose appropriate encoding formats and use those consistently. When custom encoding is used, grantees should release code for rendering and scoring under an open-source license, as well as authoritative semantic documentation (e.g., XML DTDs or Schemas) sufficient to allow others to machine-process the results reliably and accurately.

Whenever custom code is used, grantees should choose a commonly available programming language. Examples include the popular scripting/rapid-prototyping languages (Perl, PHP, Python, Ruby), Java, C/C++/Objective-C, and open versions of ECMAScript, such as JavaScript. Source code should be released under an open-source license, should include adequate documentation and ancillary materials (e.g., makefiles) to support its fast and easy migration to other development environments, and, for compiled languages, should be ready to compile, without modification, in at least one freely available, open-licensed compiler (e.g., the GNU compilers).

## Appendix D: NGLC Intellectual Property Policy

Effective Date: October 5, 2011

This Policy describes the commitments that Grantee is required to make with respect to intellectual property rights in grant applications, content, materials, developments, and products submitted to EDUCAUSE at any time during the period of Grantee's NGLC grant or developed using any NGLC grant funds. This Policy is supplemented by terms and conditions included in the Grant Agreement between Grantee and EDUCAUSE or as may be agreed otherwise in writing by Grantee and EDUCAUSE.

Grantee understands and acknowledges that EDUCAUSE is making the NGLC grant in furtherance of its nonprofit purposes, which include the priorities of ensuring that (a) the knowledge gained during funded projects will be promptly and broadly disseminated to the education community, and (b) the developed product(s) or outcomes be made accessible (with respect to cost, quantity, restrictions, and applicability) to support education for low-income students in state, tribal, and local education agencies, school districts, other public and private school systems, postsecondary institutions or public libraries, as applicable ((a) and (b) collectively, the "NGLC Priorities"). To best achieve the NGLC Priorities, we require that Grantee agree to the following:

- First, so that the knowledge gained during NGLC-funded projects is promptly and broadly disseminated, all documents, written materials, and other content submitted to EDUCAUSE during the period of Grantee's NGLC grant application and grant (e.g., website postings, initial proposals, proposals, findings, and information generated by Grantee) can be made available to the community under a Creative Commons Attribution license. We recommend that Grantee review the terms of this license, which is described at <http://creativecommons.org/licenses/by/3.0/us/>. This participation in the joint knowledge-building work of the overall initiative reflects a fundamental goal of NGLC in making these grants available in sequential waves. We respect Grantee's need to focus on the effective implementation of their model and will strive to limit this participation to activities that might directly or indirectly support that work. Specifically, Grantee must agree to (a) provide performance and student participation data that relate to the project as appropriate and requested by NGLC; (b) participate in a third-party evaluation of activities and outcomes supported by the grant; and (c) participate in an in-person and virtual community of like-minded innovators. Grantees that for any reason fail to launch their models, or are otherwise unable to meet the goals expressed in this RFP, are not exempt from these requirements; the success of this cohort of six technology-enabled, next generation learning depends as much on learning from setbacks as in learning from successes. For that reason, grantees that are not serving students through their proposed new model by the end of their grant period will be expected to make work products generated under the grant available to the reform community through EDUCAUSE, under the licensing described below.
- Second, so that products, software, and other technology developed using any NGLC grant funds are made accessible to the public in furtherance of the NGLC Priorities, we require that the Grantee only use and otherwise exploit the research, products, and innovations (and intellectual property rights relating thereto) developed using any NGLC grant funds (the "Materials") directly in furtherance of making the Materials widely available to the public without unreasonable burden (e.g., costs, restrictions on use). This means that Grantee agrees to conduct and manage support of the Materials in a manner that supports the sustainable wide adoption of demonstrably successful technology-enabled products, projects, or service-based solutions and that facilitates the achievement of the NGLC Priorities. Although Grantee is not required to use open-source licenses for the Materials, we encourage Grantee to do so, and preference will be given to projects that utilize and adopt open-



licensed platforms and make technology available under an open-source license (for a list of approved licenses, see <http://www.opensource.org/licenses>). If a proposal promises open-source licensing of technology created or adapted, the Grantee will be required to keep that promise; failure to do so will give EDUCAUSE the right to terminate your grant.

- To aid EDUCAUSE in furthering the NGLC Priorities, EDUCAUSE also requires that certain rights in the Materials be granted to EDUCAUSE. As long as Grantee is using and exploiting the Materials as described above in the preceding section, these rights are limited to research and educational purposes. However, if Grantee fails to do so, EDUCAUSE reserves the right to (itself or with the assistance of third parties) make the Materials available in furtherance of the NGLC Priorities. So that EDUCAUSE can exercise these rights, Grantee will be required to grant certain licenses to EDUCAUSE under the Grant Agreement.
- Grantee is entitled to retain all rights (including all intellectual property rights) in any research, products, or innovations developed prior to Grantee’s receipt of NGLC grant funds or independently of any project funded by NGLC grant funds which are incorporated in the Materials. However, Grantee should be aware that if Grantee makes any Materials incorporating such prior research, products, or innovations available under an open-source license, these prior developments may also be subject to the terms of such license. Further, in order for EDUCAUSE to exercise the rights it requires under the preceding section, EDUCAUSE also requires the same rights in any prior developments that are incorporated in the Materials. Appropriate licenses to provide EDUCAUSE with these rights will be included in the Grant Agreement.
- Any data sets, models/frameworks, text, and/or multimedia resources—including but not limited to courses or courseware—and findings resulting from the NGLC-funded project prepared by Grantee may be made available for public presentation on the NGLC website ([www.nextgenlearning.org](http://www.nextgenlearning.org)) and/or other online forums as directed by NGLC staff. All such materials will be subject to the Creative Commons license described above.
- All investigators supported in whole or in part by funds from the NGLC grant must be made aware of this Policy, must have a written obligation to assign or license all intellectual property created under a NGLC grant to Grantee so that Grantee can deliver to EDUCAUSE the licenses described above, and should be encouraged to publish or otherwise disseminate the project findings as broadly and promptly as reasonably possible.
- All publications relating to the NGLC-funded project must include the acknowledgement, “Funded by a grant from EDUCAUSE through the Next Generation Learning Challenges.”