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Subject: Gates Next Generation Learning Grants
Attachments: RFP_Wavelllb.pdf RFP_Wavellla.pdf

This morning, the Gates Foundation announced the launch of Wave 3 of the Next Generation Learning Challenges (NGLC) with up to \$12 million in new grants. The NGLC is a partnership with EDUCAUSE, the International Association for K-12 Online Learning (iNACOL), the Council of Chief State School Officers (CCSSO), the League for Innovation in the Community College, and the William and Flora Hewlett Foundation.

Wave 3 grants are:

1. Focusing on whole-program or whole-institution breakthrough delivery models, as opposed to particular technology-enabled "building blocks," as was the case for waves 1 and 2
2. Integrating both secondary and postsecondary—the themes are the same, but each sector has a slightly different RFP
3. Accepting applications on three dates—November 11, February 9th, June 8th—as opposed to one deadline
4. Changing up the application itself. Instead of a short written document we are asking for a two minute video, a 12 slide PowerPoint pitch deck with voiceover, and an abbreviated financial model

NGLC's Wave IIIa, Breakthrough Models for College Readiness, will seek new, technology-enabled, whole school solutions that aim to radically improve student performance across grades 6-12. Applicants would be eligible for \$150,000 pre-launch planning grants and up to \$300,000 in one-to-one matching funds. NGLC expects to make up to twenty \$150,000 awards and has a pool of \$3 million for the one-to-one matching funds. NGLC will be seeking both district and charter school applicants who seek to launch new blended school models.

NGLC's Wave IIIb, Breakthrough Models for College Completion, will identify innovations that stimulate the development of new, next generation online and blended programs that lead to the highest quality associate or bachelor degrees. Wave IIIb additionally poses the question: Have learning, policy, and organizational processes advanced far enough to enable associate and bachelor degree programs to be delivered for \$5,000 or less per student per year without sacrificing quality, accessibility, or scalability? NGLC believes such potential exists and seeks to answer the question and provide findings to the field. Applicants, including accredited public, private or for-profit institutions of higher education, are eligible for awards up to \$1 million.

All information about Wave 3, including the RFP and dates for upcoming informational webcasts, may be found at www.nextgenlearning.org.

The two RFPs are attached. Eligible applicants are mostly school districts and charter schools. However, the college competition RFP does encourage state cooperation with institutions of higher education.

All the best,
--John

Next Generation Learning Challenges Wave IIIb: Breakthrough Models for College Completion

Our priority: Innovative delivery models that generate high student outcomes at affordable cost

Request for Proposals — Rules and Guidelines

Initial Proposals due November 11, 2011; February 9, 2012; and June 8, 2012

EDUCAUSE, through the Next Generation Learning Challenges (NGLC), is requesting the submission of grant applications from early stage whole-college or whole-program models of affordable, effective personalized learning. NGLC seeks to identify and support the highest quality Associate’s and Bachelor’s degree programs serving disproportionately Pell-eligible students at scale, getting more of these students to a degree, and spending significantly less than average current spending for such programs – heading towards an ultimate target of \$5,000 per year. These are ambitious goals, which we anticipate could be realized only through “breakthrough” models that fundamentally alter current instructional delivery and student support strategies, financial models, operating structures and (in all likelihood) institutional policies. Our expectation is that technology will play a major role in enabling these new kinds of models – as it already is, to varying degrees, on campuses (both real and virtual) across the country. NGLC’s Wave IIIb, in effect, puts the following challenge to the field: *What quality of degree programs can be provided at an affordable delivery cost and price point and is that quality sufficient to encourage further investment from governments, investors, and students?*

Six or more winning applicants will receive:

- Up to \$1,000,000 in grant funds over two years
- Designation as a Next Generation Learning Challenges winner
- Access to a network of other innovators and entrepreneurs
- Connections with the communities represented by the NGLC partners
- Resources that may help refine and push instructional and business models
- A third-party evaluation and validation of impact

Proposals will be due in any one of three rounds over the next year: November 11, 2011; February 9, 2012; and June 8, 2012.

About the Next Generation Learning Challenges

In order to address the barriers to educational innovation and to tap the potential of technology, EDUCAUSE, the League for Innovation in the Community Colleges, the International Council for K–12 Online Learning (iNACOL), the Council of Chief State School Officers (CCSSO), the Bill & Melinda Gates Foundation, and the William & Flora Hewlett Foundation launched the Next Generation Learning Challenges (NGLC) in October 2010. NGLC seeks to **dramatically improve college readiness and completion in the United States, particularly among low-income individuals, through the applied use of technology.** The program provides investment capital, builds evidence, and fosters an active community of innovators and adopters in pursuit of this goal.

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, which we believe will result in greater college completion. NGLC provides investment capital through “waves” of funding; each involves a select number of challenges. The first two waves, launched in

October 2010 and January 2011, respectively, focused on building blocks for college readiness and completion. Wave III focuses on blended learning models, with two separate RFPs: one directed at the postsecondary level, and one directed at the secondary level, defined as grades 6–12. This request for proposals (RFP) focuses on postsecondary education at accredited institutions of higher education offering associate’s or bachelor’s degrees. While the two RFPs that comprise Wave III are presented as separate, NGLC encourages applicants to each to design responses that recognize and capitalize on technology’s capability to bridge secondary and postsecondary education, accelerating the progress toward completion of college degrees that begins in pre-college years. This is not a requirement, however, and we recognize that some applicants may focus on education priorities that are removed from the secondary-to-postsecondary pathway (e.g., serving somewhat older student populations).

Wave IIIb: The Problem We Are Trying to Solve

Wave IIIb challenges the nation’s most innovative post-secondary institutions to answer the question: Have learning science, technology, policy, and organizational processes advanced far enough to enable Associate’s and Bachelor’s degree programs to be delivered at a cost of \$5,000 – our target goal – per student per year, without sacrificing quality and while getting more students to a degree? There has been recent debate about \$10,000 Bachelor’s degrees and while we applaud the attempts to push the envelope, we have not yet seen evidence that degrees can be delivered with quality at this price point. However, we believe several existing models suggest that annual spending in the \$5,000 to \$7,500 range (and successfully moving students toward a degree) is within reach, through aggressive pricing, spending control, and technology-enabled delivery. Cost levels of the kind we envision will only be possible if institutions are able and permitted to rethink how outcomes are measured, how learning is constructed, and how organizations are designed. The \$5,000-\$7,500/year number we cite here is an average “Education and Related” (full cost per student) figure, and is significantly lower than most postsecondary education delivery models. It is approximately half of the average full cost of community colleges (\$10,242 per the Delta Cost Project, the source for these estimates), and a third to half of the average costs at a public four-year master’s institution (\$12,363 per the Delta Cost Project.) The question remains: can these lower cost programs be delivered without sacrificing quality, accessibility, and scalability? Do these alternative models get more students to degree completion? NGLC Wave IIIb intends to ask this question and provide the field with more and better information and potential exemplars to answer it.

What do we know today about delivering accessible, affordable, high-quality degree programs at scale? Our background research suggests the following:

- 1. Dramatic learning gains are possible if we can consistently scale the best of what we know about student learning and success.**

As Benjamin S. Bloom showed in 1984 in [“The 2 Sigma Problem: The Search for Methods of Group Instruction as Effective as One-to-One Tutoring,”](#) one-size-fits-all instructional approaches are effective for only a minority of students. His research demonstrated that 1:1 tutoring produces two standard deviation improvements in student learning compared to the traditional classroom lecture model. The improvements were greatest for those who were furthest behind or the least well-prepared to succeed. Bloom recommended an approach he termed “mastery learning,” differentiating instructional approaches so that they align with students’ individual learning needs. As the repeated citation of his work in decades since makes clear (e.g., [“Learning Anytime, Anywhere: Advanced Distributed Learning and the Changing Face of Education,”](#) *Educational Researcher*, 2007), Bloom’s work set forth a challenge for applying technology to realize the potential of personalizing instruction. As a field, then, we have known for nearly 30 years how to dramatically improve student success; we just have not been able to affordably provide it to every student. Technology-based delivery of instruction, offered either entirely online or blended with in-class delivery, makes it possible to implement this strategy at

RFP_WaveIIIb.pdf

scale. Customized instruction appropriate to the individual student's needs enables deeper learning experiences for all students, including those whose preparation for higher education may be uneven.

2. Concern continues to mount about the quality, costs, and affordability of higher education.

The United States is becoming less competitive internationally in terms of the postsecondary educational attainment of its citizens, particularly for those in traditionally marginalized groups. According to [US census data](#), just 39% of adults held an associate's or higher degree in 2010; among those from low-income backgrounds and disadvantaged groups, the rate is appreciably lower. In "[Measuring Up 2008](#)," its most recent state-by-state report card on college entry, college completion, and affordability, the National Center for Public Policy and Higher Education cites data about the failure in most states to improve graduation rates for either associate's or bachelor's degrees for those from households below the midrange (\$50,000 to \$100,000) in overall income. The June 2011 Education Trust report "[Priced Out: How the Wrong Financial-aid Policies Hurt Low-income Students](#)" identified only five institutions in the nation, none of which is a large institution or research university, that are presently succeeding both in enrolling a high percentage of Pell Grant-eligible students and graduating at least 50% of them at an annual tuition of \$4,600 or less. Dramatic improvement in college completion would benefit the entire economy: the recent report "[The Undereducated American](#)" by Anthony Carnevale and Stephen Rose of Georgetown University's Center on Education and the Workforce analyzes historical and current data on levels of education and salary levels to demonstrate that increased college graduation rates are "one of the safest long-term investments we can make in our economic future." In recognition of the importance of increasing college graduation rates, President Obama set a goal in 2010 of raising the nation's college graduation rate to 60 percent over the next decade. Disruptive innovation in the areas of cost, access, and quality, rather than incremental improvement, will be an essential element in reaching this goal.

3. Existing institutions feel "locked" into their current ways of doing things, with little flexibility to make fundamental changes.

In "[The Iron Triangle](#)" (2008), a report from the National Center for Public Policy and Higher Education based on interviews with college presidents, the authors identify costs, access, and quality as the three main factors in higher education and describe the strong linkages that senior leaders see among these factors: any change in one factor inevitably impacts the other two. That is, institutions can lower costs, can deliver education to more students, and can deliver high-quality education, but have not, to date, been able to do all of these at the same time. In this challenge, NGLC seeks models, utilizing technology, that make high-quality education accessible to more students at affordable costs and that significantly increase the percentage of these students who complete degrees. To do so may require fundamentally rethinking our traditional notions of competencies, seat time, instructor roles, peer-to-peer learning, and delivery models, among others.

4. While online and blended learning models have grown dramatically, healthy skepticism remains regarding their ability to serve large portions of the college-going population well.

An increasingly diverse range of institutions offer programs of both types. A [2010 Sloan Foundation report](#) cites research indicating that almost 30% of US college students now take at least one online course and that online programs are growing at a rate of 21% annually, more than 10 times the rate of face-to-face programs. Some research has concluded that these courses are, on average, proving at least as effective as traditional classroom instruction. According to a [meta-analysis](#) of over 1,000 studies of online learning commissioned and published in 2009 by the U.S Department of Education, "Students in online learning conditions performed better than those receiving face-to-face instruction," and students in blended environments performed best of all. A 2011 study from the Community College Research Center, "[Online and Hybrid Course Enrollment and Performance in](#)

[Washington State Community and Technical Colleges](#)“ reached a different conclusion: at two-year institutions in this study, students in fully online programs failed or withdrew from their courses in higher proportions than students in face-to-face courses, and students taking more work online were less likely to progress to degrees or transfers than those taking fewer courses online. However, the results of this study also offer support for the idea that blended learning is superior to fully online instruction in terms of outcomes, as indicated by students’ perseverance toward degrees. In a spirit of interested empiricism and with a goal of furthering research into the outcomes of these increasingly widespread methods of instructional delivery, NGLC issues this RFP to enable institutions and entrepreneurs to pursue investigations of the most effective designs for affordable, high-quality, technology-based degree programs in which higher proportions of students can succeed.

5. Specific examples that go beyond simply “online learning” show promising signs of being able to deliver affordable, accessible quality.

Over the last decade and more, new and existing institutions of higher education have developed innovative programs incorporating some of these strategies, with varying degrees of success:

- Western Governors University (WGU), founded in 1997 by the governors of 19 states and since expanded to other states, represented a wholly new university entity. It incorporates online learning environments, assessment of competencies, customized support for learners, affordable tuition, and flexible scheduling. It enrolls 25,000 students nationwide, and current institutional data show an average bachelor’s degree completion time of 30 months. The full cost of WGU is \$6,000 per year.
- Rio Salado College, founded in 1978, is one of 10 community colleges within the Maricopa Community College system. It was one of only seven colleges in the nation without a campus at that time and represented a complete reinvention of the community college model as a virtual environment. Today the institution offers online and blended learning and flexible scheduling, serving 44,000 credit students with a 41% minority enrollment, 33% Pell Grant enrollment, and a 42% three-year graduation rate for students entering in fall 2007. According to IPEDS, Rio Salado’s costs per FTE student are \$5,283/year.
- Ivy Bridge College of Tiffin University is an offshoot of a traditional liberal arts college developed in partnership with a private, for-profit partner, Altius Education, Inc. Ivy Bridge offers online programs, personalized coaching and mentoring, a design specifically intended to foster transfer to bachelor’s degree programs at other institutions or at Tiffin, and articulation agreements with over 20 four-year institutions. In fall 2009, retention rates surpassed 80% for both new and returning students.

This listing should be seen as exemplary rather than prescriptive.

If we are to deliver high-quality degree programs at an affordable price and to the students who need them most, NGLC hypothesizes that personalized learning models that employ some or all of the following strategies will be required. They therefore provide the basis for this RFP. Applicant models should strive to:

- Design learning experiences, assessment, and feedback around specific course and degree program learning outcomes, for both practical and deeper learning competencies
- Employ learning science research to develop effective, targeted learning environments
- Deploy blended or supported online learning environments to increase personalization, engagement, and efficiency
- Combine online and face-to-face components in instruction to make learning more effective and affordable than relying on a single mode of delivery, particularly for low-income and minority students,

who might especially benefit from the support of interpersonal interaction blended with individualized, technology-enabled instruction

- Deliver targeted, customized supports to improve retention and completion with limited resources
- Use learning analytics and performance management systems to deliver quality, affordability, and continuous improvement
- Enable secondary school students to gain college credit or otherwise ease the transition from high school to postsecondary learning, taking advantage of the capability of technology to enable bridging between secondary and postsecondary education that may accelerate students' progression toward the completion of degrees
- Provide new degree programs or whole-institution models with sufficient autonomy to allow the flexibility necessary to produce and/or incorporate transformational innovations in areas such as the use of time, the role of instructors and other staff, and instructional delivery and business models

Through this RFP, NGLC intends to identify entrepreneurial institutions or innovative divisions within institutions committed to significant change in pursuit of demonstrably effective, affordable postsecondary education. Innovators must keep their focus on the most central value proposition: dramatically improved progress to degree completion for all students delivered in a sustainable manner, taking full advantage of the capabilities of technology.

Wave IIIb: Vision and Scope

NGLC's first two waves invested in catalytic "building blocks" to support new educational approaches that directly counter outmoded dimensions of the current system. While innovations of this kind are necessary to enable new learning and organizational approaches, by themselves they will not be sufficient to meet either the scale or the nature of the need. Complete programs of study leading to associate's and/or bachelor's degrees that reorganize the learning process and redefine students' experiences of higher education are necessary to serve as testing grounds, proof points, and sources of competitive pressure to generate dramatically improved outcomes through the higher education system.

Vision: Fundamentally improved models of higher education at the degree program or college level that blend the best aspects of brick-and-mortar and online learning result in deeper learning at scale, equal or lower costs with greater effectiveness, and improved rates of degree completion.

Scope of Wave IIIb: NGLC Wave III seeks to stimulate the development of breakthrough, next-generation online and blended programs that lead to high-quality associate's or bachelor's degrees at affordable costs, particularly for underserved populations.

What Success Looks Like: A strong portfolio of at least six new associate's or bachelor's degree programs with credible, coherent, and scalable business models designed to meet this set of "50/5/5" targets:

- 50% AA completion rate (or 75% bachelor's degree completion rates) for Pell Grant-eligible students and those from minority groups in 150% of standard time
- \$5,000-\$7500 in average education and related spending per year (with a clear, plausible plan to get to the \$5,000 target threshold), and \$5,000 or less per year in sticker prices per full-time student (or full-time equivalent)
- 5,000 students (FTE) served by year five after implementation launch

Wave IIIb seeks degree programs with a cost per degree (or equivalent portion of the degree credits provided by the institution) that averages 25% to 50% below average degree production costs for relevant comparison institutions. Degree costs can be reduced either by reducing unit production costs, or by getting more students to the degree.

Quality is critically important to this wave of investment. Because there are no comparable student outcome measures that are broadly in accepted use in postsecondary education (particularly, measures that indicate deeper learning outcomes), we expect applicants to provide an explanation of how they themselves are tracking and assuring quality in their degree programs. Potential measures include direct measures of student learning (e.g., standardized discipline exams, CLA), external assessments/licensure exams, and/or labor market outcomes (e.g., placement rates, wage data, Payscale.com).

Successful applicants will incorporate most or all of the strategies described to design the breakthrough models. The models may represent a new system of learning design and delivery for existing degree programs, or a new system organized around a new degree. We encourage innovative organizational partnerships and other approaches that may differ from the traditional single-institution/single-provider model; we are strongly interested in supporting development of comprehensive models designed incorporating the listed strategies and demonstrating convincingly a strong likelihood of achieving the “50/5/5” targets with quality.

Wave IIIb: Selection Criteria and Award Information

This RFP intends to help spur the development and support of substantially new approaches in higher education. We do not fully prescribe the way in which models should be designed to achieve the intended outcomes, though we have put a stake in the ground regarding the critical attributes that we believe will make the biggest difference for learners and institutions and at scale. This RFP seeks to entertain a range of approaches that reach toward the same goal—improved rates of degree completion in programs that are mediated by technology—in order to help institutions and researchers develop a stronger understanding of practices that lead to success for all students, regardless of their financial background or racial identity, in completing college degrees.

In order to ensure a convergence of effort across multiple grant projects on what it deems to be the most critical attributes, NGLC has chosen in Wave IIIb to focus on a set of required criteria. The table below offers an overview of the selection criteria and general award information for Wave IIIb. Detailed discussion of each criterion follows.

| Overview of Selection Criteria and Award Information | |
|--|---|
| Award | <p>All applicants are eligible for:</p> <ul style="list-style-type: none"> Awards of \$1,000,000/24 months <p>Additionally, all Wave IIIb winners will gain access to a range of nonfinancial supports, including:</p> <ul style="list-style-type: none"> Connections to other innovators and entrepreneurs within NGLC Connections with the communities represented by the NGLC partners Resources that may help refine and push instructional and business models Access to third-party evaluation and validation |
| Applicants | <ul style="list-style-type: none"> Public, private not-for-profit, or for-profit institutions of higher education accredited to offer associate’s degrees, bachelor’s degrees, or both Coalitions or consortia of higher education institutions, both within states and regional or national in membership, either preexisting or created specifically for the purpose of the project <p>Applicants may partner with other entities, such as technology vendors or consulting firms, but the institution or inter-institutional body must be the primary applicant.</p> |

| | |
|-------------------------------------|---|
| Date of Program Availability | <ul style="list-style-type: none"> No later than fall 2013 |
| Intended Outcomes | <p>Applicants should present a credible plan to achieve the following intended outcomes:</p> <ul style="list-style-type: none"> 50% associate’s degree completion rates or 75% bachelor’s degree completion rates for Pell Grant–eligible and minority students in the program in 150% of standard degree completion time <i>Cost of delivering</i> all educational and related services to each FTE student, as measured by the standards developed by the Delta Cost Project (see below) is ranges between \$5,000 and \$7,500 per full time equivalent student per year, with a clear and plausible business plan to get to the \$5,000 target cost, and with average sticker prices charged to students that are less than \$5,000/student/year Sustainable funding model within five years Clear, defensible measures of quality (e.g., direct measures of student learning outcomes, external assessments/licensure exams, labor market outcomes) |
| Student Population | <ul style="list-style-type: none"> The institution must offer open or less competitive admissions to the program. At least 30% of students admitted to the program must be eligible for Pell Grants (this is the national average for Pell enrollments). Where possible, demonstrate how the student population being served is comparable to community colleges or open-access four-year colleges in terms of academic preparation, enrollment patterns, demographics, and ability to pay. |
| Learning Model | <ul style="list-style-type: none"> At least 25% and up to 100% of instruction is delivered online and/or otherwise enabled by technology. Though not required, NGLC is particularly interested in academic models that enable K–12 students to gain college credit or that otherwise ease the transition from high school to postsecondary learning. Technology has a potentially powerful role in building a bridge between secondary and postsecondary education and accelerating students’ progression toward the completion of degrees. |
| Business Model | <ul style="list-style-type: none"> Realistic and detailed financial model that demonstrates sustainability by year five Plan must demonstrate the possibility of serving 5,000 additional students (FTE) by year five after grant award date |
| Evaluation | <ul style="list-style-type: none"> Winners will be required to participate in detailed program evaluation and auditing, as well as public dissemination of their methodology, operations, key learnings, and program outcomes. |

NGLC Wave IIIb proposals must demonstrate a credible plan to meet the above criteria in order to be considered for funding. Proposals failing to demonstrate compliance with required criteria will be eliminated from consideration.

NGLC understands that launch of a new degree program and enrollment of students in that program may be influenced by external conditions, but expects applicants to mitigate risks as much as possible in order to increase the likelihood of achieving the required criteria.

Additional Detail on Elements of Required Criteria

- 1) **Applicants:** NGLC values diversity in innovations and innovators. In this round NGLC seeks institutions, collaboratives, and consortia with the ability to launch or expand new programs of study leading to associate’s degrees or bachelor’s degrees. Both new program models (i.e., not yet serving students) and innovative degree program models that, in the judgment of NGLC staff and proposal reviewers, are clearly in their nascent stage of development and that offer significant promise will be considered. Partnerships between institutions and companies are eligible, but the primary applicant must be an institution or legally constituted group of institutions. In instances where a group of institutions is not a legal entity, one institution may serve as the lead institution for a collaborative program.

NGLC hopes to receive a broad set of strong applications but will not reserve a certain number of awards for any one particular type of institution or for single institutions versus consortia/collaboratives. The quality of a proposal along the dimensions of intended outcomes, academic model, business model, and target population will prevail.

- 2) **Date of Program Availability:** Applicants must be operating an existing program or plan on opening their programs no later than fall 2013. Programs that are primarily offered in summer are not eligible.
- 3) **Intended Outcomes:** The overall goal of NGLC is to improve college readiness and completion, particularly for students who are particularly at risk of inadequate college readiness, such as students from low-income and/or minority backgrounds. This wave prioritizes student outcomes as measured by persistence to degree completion. We also expect all applicants to communicate how they are ensuring quality of their programs.

NGLC Wave IIIb differs from Wave I in that it focuses on innovative models of degree programs rather than specific types of learning materials or prescribed styles of instructional delivery. NGLC is committed to the idea that as a pedagogical approach, blended or fully online programs offer greater access, more potential for individualizing instruction, and greater data capture for analytical purposes and improvement, enabling institutions more appropriately to pinpoint and respond to student strengths and needs and thereby to improve degree completion rates. Additionally, Wave IIIb prioritizes *financial sustainability and affordability*. NGLC believes that blended and online programs have the capability, though innovative uses of human capital and technology, to achieve the intended student impact while operating at or below current average costs. NGLC expects to see realistic and detailed financial models that account for financial self-sufficiency by year five of operations or sooner. To ensure comparable calculations, we will require grantees to use average annual spending metrics of “Education and Related” spending per student per year, an analytic developed by the Delta Cost Project (<http://www.deltacostproject.org/data/overview.asp>). Applicants are advised that it would be in their best interests, in their application materials, to summarize their financial model using the constructs from the Delta Cost Project’s work.¹

Proposals should discuss in detail the institution’s plans with respect to all of these intended outcomes.

- 4) **Student Population:** This RFP focuses on higher education, and eligible programs will serve students seeking associate’s or bachelor’s degrees. As noted elsewhere in this RFP, NGLC seeks to dramatically improve college readiness and completion in the United States, particularly among low-income individuals. At least 30% of the target student population must be eligible for Pell Grants (matching the national average), and proposals should provide any details needed to evaluate the plausibility of the plan in terms of involving the identified populations; for example, proposals should include details of plans for recruiting students to be served. Additionally, proposals must indicate targeted enrollments of at least 500 students in year 1 and 5,000 students by year five.
- 5) **Academic Model:** Wave III focuses on blended and online models that focus on personalized, mastery-based learning. Additionally, this RFP specifies that at least 25% of instruction in the program must be

¹ Delta’s definition of Education and Related (E&R) costs includes all spending for instruction and student services, plus a portion of spending on academic and institutional support and for operations and maintenance of buildings. (See the issue brief, [Who Pays for Higher Education? Changing Patterns in Cost, Price and Subsidies](#) (PDF) for background information on estimating the cost of delivery and price charged to students.

delivered via online or otherwise technology-mediated methods. Twenty-five percent is the minimum, and applicants are encouraged to exceed that floor. However, the degree of online or blended delivery will be secondary to the potential for impact on the target outcomes defined above. As previously stipulated, innovators must keep their focus on the most central value proposition: dramatically improved progress to degree completion for all students delivered in a sustainable manner, taking full advantage of the capabilities of applied technology.

Though not required, NGLC is particularly interested in academic models that allow for competency-based learning, as opposed to learning constrained to seat time.² Additionally, NGLC is interested in academic models that enable K–12 students to gain college credit or that otherwise ease the transition from high school to postsecondary learning.

- 6) **Business Model:** NGLC expects all applicants to provide detailed business models that outline how the proposed online or blended program model will deliver the intended outcomes at scale. In order to achieve financial sustainability, program models must include viable human capital structures and supports, strong management competence, reasonable estimates of infrastructure costs, and practical considerations of likely revenue sources. At minimum, business models should demonstrate fiscal sustainability not dependent on this grant or on other granted outside funds by year five of operations. NGLC is interested in receiving applications that achieve sustainability before year five and/or operate at a surplus, but neither is required.

By necessity, online and blended learning program models that meet the above criteria will likely need to innovate on the dimensions of time and on the ways in which human capital is utilized. NGLC encourages innovators to push on these dimensions and hopes to see a range of models that creatively use such resources.

- 7) **Evaluation:** NGLC will require all winners to participate in a cross-program model evaluation and expects its grantees to plan and work diligently to evaluate the efficacy of the selected projects in improving the intended outcomes. If invited to submit a final proposal, applicants will need to discuss the team’s capacity to collect, analyze, and share data with others outside the project, for project evaluation and in support of secondary research projects. NGLC will further expect winners to participate actively in the NGLC learning community, sharing their strategies and their results as these emerge (and benefitting, in the process, from the contributions and experiences of their peers).

² Please see Sturgis, C., Patrick, S., Pittenger, L. (2011). It’s Not a Matter of Time: Highlights from the Competency-Based Learning Summit. Published by iNACOL.

Award Levels and Duration

Each award will be up to \$1,000,000, for periods not to exceed 24 months (with the option of a six-month no-cost extension). We anticipate that most applicants will apply for awards of \$1M; we seek full models with budgets appropriate to enable the successful implementation of the proposed projects. However, organizations that have other financial support for new degree programs and choose to request smaller amounts are also invited to make proposals.

Possibility of Future Funding

NGLC investment waves are independent funding panels; unless explicitly stated otherwise, no wave can promise subsequent funding in another wave. Winners of previous NGLC grants are welcome to apply to Wave III, but have no advantage over any other applicant.

Eligibility for NGLC Funding

NGLC is open to all accredited, Title IV–eligible 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 invites proposals in a series of waves. An individual principal investigator (PI) may lead 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%. Submitting a proposal for one or more of the current challenges does not preclude institutions or individuals from participating in subsequent grant competitions, whether one's current proposal is accepted or not; similarly, participation in NGLC Waves I or II does not bar individuals or organizations from submitting proposals to NGLC Wave IIIb.

About the Application

Key features are as follows:

- **Rolling Deadline:** Wave IIIb will accept applications on a rolling application basis with three interim deadlines: November 11, 2011; February 9, 2012; and June 8, 2012.
- **Initial application:** Applicants will be expected to submit a short, 2-minute video and a 12-slide (maximum) presentation slide deck, with audio voiceover. Please refer to <http://nextgenlearning.org/the-grants/wave-iii-challenges> for more information and application instructions.
- **Finalists:** Those applicants who are invited to submit a final proposal will be asked to submit a slightly longer slide deck, a project budget, and a financial model. They will also have the opportunity to speak with NGLC staff and/or Wave IIIb review panelists.
- **Rapid Turnaround:** NGLC will select grant recipients approximately three months from the initial proposal submission deadline.

Application Instructions

Key Dates

NGLC will accept applications until 11:59 p.m. EST on June 8, 2012. However, prospective applicants should consider the following timeline when developing their proposal:

| Applications submitted by: | Will be notified of finalist status by: | Will be notified of funding on: | Programs should start in: |
|----------------------------|---|---------------------------------|---------------------------|
| November 11, 2011 | November 23, 2011 | February 8, 2012 | Fall 2012 or before |
| February 9, 2012 | March 9, 2012 | May 31, 2012 | Fall 2013 or before |
| June 8, 2012 | July 8, 2012 | August 31, 2012 | Fall 2013 or before |

NGLC will host an interactive webinar and a program officer chat 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 <http://nextgenlearning.org/the-community/upcoming-events>.

Any changes to the Rules and Guidelines will be posted on the [Frequently Asked Questions](#) page of the NGLC website, including changes to the dates listed above. Please read the current FAQs before submitting questions.

Before You Apply

Applicants are encouraged to attend one of the two information sessions, mentioned in the previous section, to receive information about the RFP and how to prepare a proposal.

How to Apply

Proposals must be submitted prior to the submission deadline of 11:59 p.m. EST (GMT-5:00) for each of the above due dates.

Applicants can access the online proposal form at <http://nextgenlearning.org/the-grants/wave-iii-challenges>. All application materials must be submitted online via the proposal submission website.

Application Format

Applicants are expected to submit a short, two-minute video and a 12-slide (max) presentation deck, with audio voiceover. Please refer to <http://nextgenlearning.org/the-grants/wave-iii-challenges> for more information and application instructions.

Application Requirements

Upon registration, applicants must provide information about the tax status of their organizations, as 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.

In addition, during the application process you will be required to:

- 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 your proposal, 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 the NGLC, as stated in the NGLC Intellectual Property Policy.

Selection Process

Review and Handling of Proposals

The goal of the NGLC proposal review process is to identify, improve, and spread adoption of solutions at proof-of-concept or early stage adoption that will improve college readiness and completion.

In keeping with the spirit of the NGLC, we require applicants—whether or not their applications are successful—to make their proposal materials available to others for community benefit. As part of this effort, we may post the initial and final 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 large number of initial proposals and proposals anticipated, applicants not invited to submit a final proposal or awarded a grant will receive a notice that their proposals were declined without specific feedback.

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 unrelated proposals as well as submissions that are ineligible. Applications excluded during the screening process will be notified that their proposals were declined.
2. Staff, in consultation with external expert advisors, will review initial proposals. 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.
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.
4. The final step will be a due diligence review to ensure that the potential grantee is an appropriate recipient of funding.

This process may change—for instance, due to unexpectedly large response to this RFP. Any updates to it will be published in the FAQ page on the NGLC Web site at <http://nextgenlearning.org/the-grants/learn-more>. Please refer to that page regularly for changes.

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 2 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 have 10 days after the notification of award to accept the grant and return the award letter with an appropriate institutional signature.

Amount and Duration of Grants

EDUCAUSE expects to award approximately six grants in 2012 and 2013 in response to this RFP.

Each award will be up to \$1,000,000, for periods not to exceed 24 months (with the option of a six-month no-cost extension).

Reporting

At least two reports will be prepared by the grantee for each NGLC grant: an Annual Financial and Project report, due 12 months from the date of award; and a final Financial and Project Report. These reports are due as described in the Reporting section of the Sample Next Generation Learning Challenges Grant Terms and Conditions. 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, which involve student persistence and performance in postsecondary education over a number of years on the way to degree attainment, do not easily lend themselves to summative measurement at the end of a two-year grant period, much of which was given over to planning, even before the first student cohort is served. 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 who are clearly thoughtful about the potential of their work to not only transform the current system of education but also facilitate open-source collaboration for public service ends.

All documents, written materials, and other content submitted to NGLC during the period of an applicant's grant term will 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. We respect grantees' 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, 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 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 models depends as much on learning from setbacks as in learning from successes.

NGLC encourages grantees to share any source code, content, or technology developed as part of the grant and disseminate it 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 on this matter may contact NGLC at nglc@educause.edu.

Frequently Asked Questions

Please refer to the FAQ page, which can be found at <http://nextgenlearning.org/the-grants/learn-more>. The FAQ page will be the primary channel by which NGLC updates prospective applicants on any changes to the proposal process, deadlines, and/or terms and conditions.

Inquiries

For questions relating to this RFP, please contact NGLC Program Officer Nancy Millichap at nmillichap@educause.edu.

Appendix 1: 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 and 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 Officer.

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) 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) and/or other online forums as directed by NGLC 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 and 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; Amendment: 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 I 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 2: 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 3: 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) will 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 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 (<http://nextgenlearning.com>) 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."

Next Generation Learning Challenges Wave IIIa: Breakthrough School Models for College Readiness

Our priority: Personalized, mastery-based, blended learning models

Request for Proposals — Rules and Guidelines

Initial Proposals due November 11, 2011; February 9, 2012; and June 8, 2012

EDUCAUSE, through the Next Generation Learning Challenges (NGLC), requests the submission of grant applications from developers of new, whole-school, breakthrough learning models at the secondary (6–12) education level. NGLC seeks to identify and support fundamentally redesigned, scalable whole-school models that combine the best aspects of brick-and-mortar and online learning and result in more personalized, mastery-based learning.

Winning applicants will receive:

- Up to \$450,000 in funding, including a \$150,000 planning grant at time of award, and eligibility for up to \$300,000 in 1:1 matching funds
- Designation as an NGLC winner
- Access to a network of other innovators and entrepreneurs
- Connections with the communities represented by the NGLC partners
- Resources that may help refine and push instructional and business models
- A third-party evaluation and validation of impact

NGLC will accept applications on a rolling basis starting October 5, 2011, with three interim deadlines: November 11, 2011; February 9, 2012; and June 8, 2012.

About the Next Generation Learning Challenges

In order to address the barriers to educational innovation and to tap the potential of technology, the Bill & Melinda Gates Foundation, EDUCAUSE, the League for Innovation in the Community Colleges, the International Council for K–12 Online Learning (iNACOL), and the Council of Chief State School Officers (CCSSO) launched NGLC in October 2010. 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***. The program provides investment capital, builds evidence, and fosters an active community of innovators and adopters in pursuit of this goal. It also emphasizes identifying proven and emerging technology-enabled solutions and moving them from “islands of innovation” to greater levels of adoption.

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; each wave is released every 6 to 12 months, and each involves a select number of challenges. This wave focuses on breakthrough learning models for college readiness and completion, with two separate Requests for Proposals (RFPs): one directed at the postsecondary level and one directed at the secondary level, defined as grades 6–12. This RFP focuses on the secondary level and defines breakthrough models as personalized, mastery-based school models that leverage technology to deliver high student outcomes and support rapid, effective scale-up.

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

- 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 increasingly high 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.

Wave IIIa: The Problem We Are Trying to Solve

NGLC proposes to advance an important need and growing opportunity in U.S. public education: how to personalize the learning experience for every student in order to reverse stagnant education progress and an unacceptable achievement gap among K–12 students.

Wave IIIa attempts to address both a design problem and a cost problem. First, the prevailing model of education in the United States largely reflects a century-old factory model that struggles to meet the needs of today's diverse student population, particularly low-income, African-American, and Hispanic students. Its failure is rooted in a flawed assumption—that groups of similarly aged students start courses and grades having mastered the previous year's standards and then acquire new knowledge and skills at the same pace over the course of a year. In reality, students start with different strengths and weaknesses and progress at different rates. Because of this disconnect between design and reality, teachers within this one-size-fits-all system often struggle to meet the diverse needs of their students.

While the best schools and teachers can overcome this flawed design and prepare all of their students for college, their solutions have been unable to achieve the type of massive scale required to address this problem nationwide. Although there are multiple reasons why they have not achieved scale, a primary reason is the second problem that Wave IIIa intends to address: *cost structure*. Many of the most successful school models are not sustainable on recurring public revenue. Instead, most rely heavily on nonrecurring public grants, private philanthropy, and other limited sources of capital to fund ongoing operations and growth. This approach works at a small scale, but eventually growth is hindered by the schools' ability to raise funds, thus their impact is limited as well.

The emergence of several innovative new school models suggests that technology can facilitate a more student-centric approach to education within a constrained budgetary environment. When used primarily as an enabler of personalized learning for all students, technology has the potential – albeit unproven, with a still-emerging research base – to accelerate mastery of critical content and skills by all students, particularly those students who are behind. A number of new school models use technology as part of their core academic model in order to offer a more personalized learning experience. These models, while still in the early stages of

development, show promise in meeting the needs of all students affordably and with the potential to scale for broader impact.

In these blended school models, the coherent interplay between technology and teacher-led instruction is crucial to their ability to personalize instruction for all students.¹ The common theme among them is a focus on identifying individual student needs on a frequent basis and then delivering immediate feedback and targeted instruction that meets those needs. Teachers and technology are both critical in these models, though the role they play varies widely by model. Technology plays a crucial role in enabling learning (both within and outside of school walls) by supporting teachers and fostering a sustainable business model.

Drawing from 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 to reflect student needs and interests helps students learn more rapidly and deeply.
- Combining technology-enabled, interactive, and face-to-face instruction makes personalized, mastery-based learning² more effective and affordable than relying on either method alone.
- 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.
- 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 conversions of existing schools, but we believe that to be far more difficult and thus it is not the primary focus of this RFP.

NGLC aims to find entrepreneurs and innovative organizations and agencies that share this urgency and recognize the potential of technology-enabled breakthrough school models to catalyze transformative change in the K–12 sector. While we have specified some design parameters in this RFP, we have tried to keep them to a minimum in order to encourage the widest possible field of applicant models.

¹ This RFP uses Innosight Institute’s definition of a blended model: “[S]chool models in which a student learns at least in part at a supervised brick and-mortar location away from home and at least in part through online delivery, with some element of student control over time, place, path, and/or pace.”

² 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).

Wave IIIa: Vision and Scope

What Success Looks Like: A strong and diverse portfolio of 20 funded proposals that are on target to open new, whole-school and breakthrough learning models with sustainable business plans in either fall 2012 or fall 2013. Ideally, these would be balanced across school districts (some with support from state education agencies), existing school developers, existing charter management organizations, and aspiring charter entrepreneurs.

Vision: Fundamentally redesigned, scalable whole-school models that blend the best aspects of brick-and-mortar and online learning result in more personalized, mastery-based learning.

Scope of Wave IIIa: NGLC Wave III seeks to stimulate and improve the pipeline of *new* breakthrough learning models (as defined earlier) at the secondary (serving students within grades 6–12) education level. Our intent is to provide capital to offset the risks of true innovation, not to subsidize marginal improvements to existing models.

The only instance in which we will accept a proposal to convert an existing school is if the school is being reconstituted and has complete autonomy to alter all aspects of the previous model, including staffing.

Examples of breakthrough learning models could include:

- **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 2 of operation.
- **A district turnaround school** that has reconstituted staff and the use of time and resources to serve 600 students in grades 9–12 via a learning management system, as well as content and assessments, from an array of vendors 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 individual student needs. The school applies this new model to one new grade level every year. The model is sustainable on recurring public revenue by year 3 of operations, and cost savings from online learning are reinvested into professional development and differentiated pay for highly effective teachers.
- **A partnership between an urban district with a student dropout problem and a neighboring community college.** 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, it can serve up to 300 students. Instruction and student support take place mostly 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. The

model is sustainable on recurring public revenue by year 2 of operation, and cost savings from lower human capital requirements are reinvested in sustaining a year-round, extended-day operation.³

- **A new charter school within a 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 they are 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 4 of operation.
- **A new charter or district-sponsored charter-like school** serving 600 students grades K–8. Students take interdisciplinary courses in which they rotate on a fixed schedule every 45 minutes between learning online in one-to-one, self-paced environments and offline in small or large group instruction with a traditional face-to-face teacher. 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 1 of operation, and cost savings are reinvested into core technologies and site expansion.

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

Wave IIIa: Selection Criteria and Award Information

This RFP intends to help spur the development and support of substantially new approaches to secondary-level education delivery. We do not fully prescribe *how* these school environments should be designed to achieve the intended outcomes, though we have put a stake in the ground regarding the critical attributes that we believe will make the biggest difference for students and teachers and at scale. The point of this RFP is to catalyze a range of approaches that all target the same goal of dramatically improved student outcomes in order to help the field develop a stronger understanding of what’s possible.

To ensure a convergence of effort across multiple grant projects on what it deems to be the most critical attributes, NGLC Wave IIIa will focus on a set of required criteria (see below). NGLC Wave IIIa proposals must meet the criteria to be considered for funding. Proposals failing to demonstrate compliance with required criteria will be eliminated from consideration.

Strong preference will be given to proposals that represent:

- Pure innovation, in the sense of unprecedented yet compelling approaches
- Fundamental departures from existing practice for established educational institutions
- Truly novel combinations of multiple proven solutions

³ Note that NGLC supports unique partnerships that unleash imagination about how and when students earn credit. To that end, partnerships between a school and (for example) an agricultural research station, a national laboratory, or a teaching college are encouraged.

The burden of proof of innovation/novelty/risk lies entirely with the respondent, and reviewers (who will have broad and deep familiarity with the range of contemporary educational innovation) will be asked to give these factors heavy weight in their evaluations. Because of this, **the following will not be competitive:**

- An approach that does not fundamentally rethink the core instructional model in support of personalized, mastery-based learning (i.e., providing all students laptops and having them conduct research online or adding digital whiteboards to all classes is not enough)
- A proposal for a “new” school that is essentially a carbon copy of an existing model
- The simple introduction of online components into traditional instruction
- Programs or courses that only serve a subset of the students (e.g. a blended intervention program that is limited to 25% of students)

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

NGLC understands that school opening and enrollment might be influenced by external conditions, but expects applicants to mitigate risks as much as possible to increase the likelihood of meeting the required criteria. We ask that applicants provide an assessment of the primary risks (such as policy barriers) to successful implementation of their proposed model and cite specific strategies for mitigation.

The table below offers an overview of the selection criteria and general award information for Wave IIIa.

| Overview of Required Selection Criteria and Award Information | |
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| Award | <p>All applicants are eligible for up to \$450,000 in funding:</p> <ul style="list-style-type: none"> • \$150,000 planning grant at time of award • Up to \$300,000 in 1:1 matching funds <ul style="list-style-type: none"> ○ Matching funds are available to Wave IIIa winners immediately, subject to availability (see below) and demonstrated progress of grantee. ○ A total of \$3 million in matching funds will be given on a first-come, first-served basis until the pool is spent, with funds expiring in August 2013. ○ Matching funds must be raised from private or public sources and cannot come from the sponsoring/operating organization itself. ○ Matching funds must be received (cash in hand) by the grantee after the NGLC award announcement but before the end of the grant period. ○ Matching funds must be specifically earmarked for the new model. ○ Matching funds must be cash only. In-kind support will not be counted towards the matching funds requirement. ○ 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. <p>Additionally, all Wave IIIa winners will gain access to a range of nonfinancial supports, such as connections to other grantees, connections with the communities represented by the NGLC partners, and resources that may help refine and push academic and business models.</p> <p>All NGLC winners are expected to share learning derived from their work with other members of the NGLC community, and ideally beyond.</p> |
| Applicants | <p>NGLC values diversity in innovations and innovators. In this round NGLC seeks both district and charter applicants who seek to launch new blended whole-school models. Only new models that are starting fresh (including in a turnaround environment) will be considered. Partnerships between one or more other NGLC-eligible entities, such as nonprofits, schools, and technology companies, are eligible, but the primary applicant must be a member of a</p> |

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| | <p>school district or a charter school’s founding leadership team. NGLC hopes to receive a broad set of strong applications, but will not reserve a certain number of awards for charters vs. districts. The quality of a proposal along the dimensions of intended student and financial outcomes, academic model, business model, and student population will prevail.</p> <ul style="list-style-type: none"> • School district <ul style="list-style-type: none"> ○ New schools: districts that want to open <i>new</i> blended learning model schools ○ Reconstituted schools: turnaround schools that have complete autonomy to alter all aspects of the previous model, including staffing • Charter <ul style="list-style-type: none"> ○ New charters: entrepreneurs who want to open a <i>new</i> blended learning charter school ○ Existing charters: charter management organizations with more traditional academic models that want to open a <i>new</i> blended learning school within their network • School developer <ul style="list-style-type: none"> ○ Non-charter school developers and management organizations with more traditional academic models that want to open a <i>new</i> blended learning school within their network <p>Applicants may partner with one or more entities, such as state education agencies, postsecondary institutions, or technology vendors (and such partnerships are encouraged), but the district or charter must be the primary applicant.</p> |
| <p>School Opening</p> | <ul style="list-style-type: none"> • Fall 2012 or fall 2013 • Summer school models are not eligible |
| <p>Intended Outcomes</p> | <p>Proposals should discuss their plans with respect to <i>all</i> of the intended outcomes:</p> <ul style="list-style-type: none"> • At least 1.5 years of growth annually on Common Core State Standards in English Language Arts and Math • 90% four-year cohort graduation rate for all retained students (using definitions developed by the U.S. Department of Education) • 80% postsecondary matriculation rate • Financial sustainability (see Business Model below) <p><i>In addition:</i> applicants should discuss how they intend to accelerate student growth to meet other college and career success standards they deem important, such as deeper-learning competencies including critical thinking, complex communication skills, collaboration, and student self-efficacy.</p> |
| <p>Student Population</p> | <ul style="list-style-type: none"> • Schools must serve students in grades 6–12, though not necessarily exclusively. For example, a K–8 school would be eligible, as would a school serving students in grades 6-8 or 9-12. • At least 40% of students must be eligible for the Free and Reduced Lunch program. |
| <p>Academic Model</p> | <p>Applicants should describe 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"> • The academic model must be designed to personalize learning for all students. • At least 25% of all students’ core literacy and math learning time must be spent using high-quality digital content. While 25% is the minimum bar (and we expect to award grants to proposals that significantly exceed that floor), the degree of online delivery will be secondary to the potential for impact on the target outcomes defined above. Innovators should focus on the most central value proposition: personalizing the learning experience to achieve exceptional academic outcomes for all students, and doing so in an operationally viable manner. Once again, we refer applicants to Innosight Institute’s |

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| | <p>definition for blended learning: “Any time a student learns, at least in part, at a supervised brick-and-mortar location away from home and, at least in part, through online delivery with some element of student control over time, place, path, and/or pace.”⁴</p> <ul style="list-style-type: none"> • At least 50% of instructional time must be delivered in a brick-and-mortar setting. • The academic model must focus on mastery-based learning, as opposed to learning constrained to seat time.⁵ <p>NGLC is particularly interested in academic models that enable students opportunities to gain college credit or that otherwise ease the transition from high school to postsecondary learning, although this is not required. Technology has a potentially powerful role in building a bridge between secondary and postsecondary education and accelerating students’ progression to attaining degrees of value in the marketplace.</p> |
| Business Model | <p>NGLC expects all applicants to provide detailed business models that outline how the proposed blended learning school model will deliver the intended outcomes at a massive scale. While extreme cost savings would certainly accelerate scale, they are irrelevant if the intended outcomes are not met. School models must include viable human capital structures and supports, strong management competence, feasible real-estate plans, reasonable estimates of infrastructure costs, and practical considerations of likely revenue sources.</p> <p>By making technology a core part of the instructional model, blended learning models should have greater flexibility over dimensions such as human capital and time. NGLC encourages innovators to push on these dimensions and hopes to see a range of models that creatively use such resources. The business model must:</p> <ul style="list-style-type: none"> • Be a realistic and detailed financial model that demonstrates school sustainability on recurring public revenue no later than year four, and ideally sooner. • Demonstrate an interest in and ability to scale the model beyond a single school. |
| Evaluation | <p>Given the early stage nature of proposals, NGLC will not immediately implement a cross-Wave IIIa evaluation at the time of award. However, NGLC will require all winners to participate in school-level evaluation once schools are open and expects its grantees to plan and work diligently to evaluate the efficacy of the selected projects in improving the intended outcomes for the primary purpose of learning as opposed to accountability. If invited to submit a full proposal, applicants will need to discuss the team’s capacity to collect, analyze, and share data with others outside the project, for project evaluation and in support of secondary research projects.</p> |

⁴ For more, please see the Innosight Institute/Charter Growth Fund white paper, “The Rise of K–12 Blended Learning,” <http://www.innosightinstitute.org/media-room/publications/education-publications/the-rise-of-k-12-blended-learning/>.

⁵ Please see Sturgis, C., Patrick, S., Pittenger, L. (2011). *It’s Not a Matter of Time: Highlights from the Competency-Based Learning Summit* (iNACOL).

Award Levels and Duration

Incubation Grants: NGLC expects to make up to 20 \$150,000 awards to support pre-launch planning and operations of the highest quality applications received.

Matching Grants: Additionally, NGLC has reserved a pool of \$3 million to be paid out in 1:1 matching grants of up to \$300,000 each, for the most promising Wave IIIa winners who are able to secure new funds from public or private sources, including venture philanthropies. Wave IIIa winners may apply for matching funds between the time they are awarded an initial \$150,000 incubation grant and August 2013 or until the NGLC pool of matching funds is exhausted. The funds used to match NGLC's 1:1 follow-up grants can be raised from private or public sources but cannot originate from the sponsoring or applying organization. In addition, matching funds must be new cash commitments specifically earmarked for the new model. In-kind contributions are not eligible for matching funds. 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's awarding of its initial grant are ineligible as matching funds.

Award Duration: Incubation grants (\$150,000) will be awarded for a period of 12 months. Matching grants (up to \$300,000) will also have a 12 month duration, starting from when match funds are awarded. Grantees may request a one-time, no-cost extension of up to six months, subject to NGLC approval.

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, however, are encouraged to apply to Wave III, 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 will invite proposals in a series of waves, spaced approximately every 6–12 months. An individual principal investigator (PI) may lead 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%.

About the Application

Key features are:

- **Rolling Deadline:** Wave IIIa will accept applications on a rolling-application basis starting October 5, 2011 with three interim deadlines: November 11, 2011; February 9, 2012; and June 8, 2012.
- **Initial Application Process:** Applicants will be expected to submit a short, 2-minute video, a 12-slide (maximum) presentation slide deck, with audio voiceover, and financial model using a provided template. Please refer to <http://nextgenlearning.org/the-grants/wave-iii-challenges> for more information and application instructions.
- **Finalists:** Those applicants invited to submit a full proposal will be asked to submit a revised slide deck, a project budget, and a more detailed financial model. They will also have the opportunity to speak with

RFP_WaveIIIa.pdf

NGLC staff and/or Wave IIIa review panelists. Assistance with the financial modeling will also be provided to finalist applicants who request it.

Application Instructions

Key Dates

NGLC will accept applications until 11:59 p.m. EST on June 8, 2012. However, prospective applicants should consider the following timeline when developing their proposal:

| Applications submitted by: | Will be notified of finalist status by: | Will be notified of funding on: | Schools should start in: |
|----------------------------|---|---------------------------------|--------------------------|
| November 11, 2011 | November 23, 2011 | February 8, 2012 | Fall 2012 |
| February 9, 2012 | March 9, 2012 | May 31, 2012 | Fall 2013 |
| June 8, 2012 | July 8, 2012 | August 31, 2012 | Fall 2013 |

NGLC will host an interactive webinar and a program officer chat 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 <http://nextgenlearning.org/news/upcoming-events>.

Any changes to the Rules and Guidelines will be posted on the [Frequently Asked Questions](#) page of the NGLC website, including changes to the dates listed above. Please read the current FAQs before submitting questions.

Before You Apply

Applicants are encouraged to attend one of the two information sessions, mentioned in the previous section, to receive information about the RFP and how to prepare a proposal.

How to Apply

Proposals must be submitted prior to the submission deadline of 11:59 p.m. EST (GMT-5:00) for each of the above due dates.

Applicants can access the online proposal form at <http://nextgenlearning.org/the-grants/wave-iii-challenges>. All application materials must be submitted online via the proposal submission website.

Application Format

Applicants are expected to submit a short, 2-minute video, a 12-slide (maximum) presentation slide deck, with audio voiceover, and a financial model using a provided template. Please refer to <http://nextgenlearning.org/the-grants/wave-iii-challenges> for more information and application instructions.

Application Requirements

Upon registration, applicants must provide information about the tax status of their organizations, as 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.

In addition, during the application process you will be required to:

- 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 your proposal, 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 the NGLC, as stated in the NGLC Intellectual Property Policy.

Selection Process

Review and Handling of Proposals

The goal of the NGLC proposal review process is to identify, improve, and spread adoption of solutions at proof-of-concept or early stage adoption that will improve college readiness and completion.

In keeping with the spirit of the NGLC, we require applicants—whether or not their applications are successful—to make their proposal materials available to others for community benefit under the Creative Commons licensing framework described under Intellectual Property Policy, below. As part of this effort, we may post the initial proposals and 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 large number of initial proposals and proposals anticipated, applicants not invited to submit a full proposal or awarded a grant will receive a notice that their proposals were declined, without specific feedback.

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 unrelated proposals as well as submissions that are ineligible. Applications excluded during the screening process will be notified that their proposals were declined.
2. Staff, in consultation with external expert advisors, 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.
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.
4. The final step will be a due diligence review to ensure that the potential grantee is an appropriate recipient of funding.

This process 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 at <http://nextgenlearning.org/the-grants/learn-more>. Please refer to that page regularly for changes.

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 1 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 a Financial and Project report, due 12 months from the date of award. Matching funds recipients will be required to prepare a final financial and project report. 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. 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 who are clearly thoughtful about the potential of their work to not only transform the current system of education but also facilitate open-source collaboration for public service ends.

All documents, written materials, and other content submitted to NGLC during the period of an applicant's grant term will 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. We respect grantees' 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, 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 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 models depends as much on learning from setbacks as in learning from successes.

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 at nglc@educause.edu.

Frequently Asked Questions

Please refer to the FAQ document, which can be found at <http://nextgenlearning.org/the-grants/learn-more>. 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.

Inquiries

For questions relating to this RFP, please contact NGLC Program Officer Elina Alayeva at ealayeva@educause.edu.

Appendix 1: 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 and 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) 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) and/or other online forums as directed by NGLC 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 and 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; Amendment: 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 I 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 2: 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 3: 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) will 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 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 (<http://nextgenlearning.com>) 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."