

# Next Generation Learning Challenges Wave 2: Building Blocks for College Readiness

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*Request for Proposals — Rules and Guidelines*  
*Pre-Proposals due March 4, 2011*

EDUCAUSE, through the Next Generation Learning Challenges (NGLC), is requesting the submission of grant applications in accordance with the following terms:

## **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, the William and Flora Hewlett Foundation, EDUCAUSE, the League for Innovation in the Community Colleges, the International Association for K12 Online Learning (iNACOL), and the Council of Chief State School Officers (CCSSO) launched the Next Generation Learning Challenges (NGLC) in October 2010. NGLC seeks to dramatically improve college readiness and completion in the United States 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. The program 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. The first Wave, launched in October 2010, targeted four challenges focused on improving college completion. Wave II, the focus of this present request for proposal (RFP), targets college readiness, deeper learning, and the secondary education level, defined as grades 6-12.

## **Wave II: The Problem We are Trying to Solve**

Wave II focuses on addressing a single, complex challenge: how technology-enabled instructional and assessment materials may fundamentally alter and improve mastery of 7<sup>th</sup>-9<sup>th</sup> grade level Common Core State Standards-aligned content with deeper learning competencies, which are critical to college and career readiness.

Despite billions of dollars spent to improve our public education system, nearly three of every ten students will not finish high school. The dropout rate is even higher – nearly 50 percent – among African Americans, Hispanics and low-income students. For those who do go on to college, many are unprepared and will not graduate. Among low-income students, just one in four will obtain a postsecondary degree.

At the secondary education level, student learning experiences remain virtually unchanged despite rapid changes in the world around us. Learning experiences are relatively flat, with few opportunities for students to deeply engage in learning or to think creatively, critically, collaboratively, systemically or to effectively demonstrate mastery of essential knowledge and skills. Furthermore, students currently engage in content in large doses and are rarely offered extended opportunities to focus on a particular knowledge area based on

their demonstrated skill, interest, or area of need. Lastly, approaches to assessing student learning remain relatively narrow and superficial; few assessments are able to evaluate deep understanding of content or the acquisition of complex competencies. In today's complex, dynamic world, the success of students cannot depend on traditional methods of delivering content or assessments.

We need new approaches to engaging students in learning content using state of the art pedagogy and technology and new methods for assessment in order to drive student engagement and mastery of critical content and competencies, and provide students and teachers with continuous, objective data that pinpoint individual student areas of excellence and need.

## Wave II: Vision and Scope

**Vision:** One of the best ways to enable all students to attend and succeed in college is to fundamentally change and expand the avenues through which they learn and receive precise and useful feedback during the learning process. NGLC Wave II seeks to stimulate a significant and bold move to truly next-generation approaches to learning Common Core State Standards (“Common Core Standards” [www.corestandards.org](http://www.corestandards.org)) content with deeper learning competencies.

**Scope of Wave II:** This second wave of the NGLC presents one single, integrated challenge comprised of two highly interdependent elements: 1) next generation approaches to student learning of content with deeper learning competencies and 2) next generation assessments. Successful applicants will design, present, and demonstrate efficacy of technology-enabled learning environments that embed assessments. Learning environments should be structured as “learning modules,” which we define as Common Core Standards-based content that would typically be covered in a four to eight week period of a traditional course of study. Proposals should make clear and explicit how such modules would fit into larger semester or year-long learning sequences (of, say, algebra or US history) *and* how their embedded assessment capabilities will capture Common Core Standards-based performance data. Data captured should feed back to support students in their learning process and help teachers better understand and address students’ needs.

Modules must be designed to enable students to **achieve mastery in a set of literacy or math-based Common Core Standards**, and successful modules will also **support mastery in deeper learning competencies**<sup>1</sup>, such as mastery and application of core content knowledge, critical thinking, complex communication, collaboration and learning to learn. By “literacy or math-based” we mean that applicants may design a social studies module that embeds literacy standards. Similarly, an applicant may design a math module that is or is not anchored in another discipline, such as science. Multi-disciplinary modules, however, are **not** a requirement of the RFP.

Examples of learning modules could include:

- A modularized online course of study that may be composed and sequenced with a variety of other materials and deployed in a variety of learning environments. **Note:** there is not an expectation that an entire year-long course of study be completed.
- An online, collaborative environment in which students are asked to practice and show mastery of literacy Common Core Standards within the context of solving biology problems.

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<sup>1</sup> Deeper learning competencies include mastery and application of core content knowledge, critical thinking, complex communication, collaboration and learning to learn. In addition to identifying the Common Core Standards to be addressed by their proposed projects, applicants may identify at their discretion the learning competencies their projects address. NGLC holds the position that deeper learning competencies are critical to effectively solving complex disciplinary problems. As such, preference will be given to applicants who account and demonstrate learning gains against learning competencies of this type; and, more importantly, how students employ such competencies to solve domain-specific (e.g, biology, pre-algebra) problems. See Appendix 1 for details and rubrics on these competencies.

- A game-based environment that enables multi-player dynamics stimulating students to develop critical synthesis and problem solving skills while also mastering math content.
- A summer or school-based program that utilizes assessments and analytics to develop more immersive learning experiences that enable students to engage in real-world problems and learning contexts (e.g., that asks students to solve math problems within the domain of physical science or architecture).

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

NGLC is particularly interested in identifying and spreading the adoption of adaptive materials that can accomplish all of these improvements at cost-levels equal to or lower than those found with the currently available ‘flat’ (digital or analog) instructional materials.

## Wave II: Overview of Selection Criteria for Proof of Concept and Early Stage Adoption projects

Applicants will apply for one of two awards: Proof of Concept or Early Stage Adoption awards. The table below offers an overview of the selection criteria and general award information for Wave II. Detailed discussion of each criterion follows in the next section of this document.

**Table 1: Overview of Selection Criteria and Award Information**

	Proof of Concept	Early Stage Adoption
<b>SELECTION CRITERIA</b>		
<b>Target Learners and Content/Competencies</b>	<ul style="list-style-type: none"> <li>• Learners in the US needing to master the content with deeper learning competencies (mastery and application of core content knowledge, critical thinking, complex communication, collaboration and learning to learn – please refer to Appendix 1 for additional detail) associated with 7<sup>th</sup>-9<sup>th</sup> grade Common Core Standards in math and literacy. Please note that the focus is NOT on students in the 7<sup>th</sup> to 9<sup>th</sup> grades, but rather, any age learner needing to master content at those levels.</li> <li>• Enrolled students in the US during the summer between the 7<sup>th</sup>-8<sup>th</sup> or 8<sup>th</sup>-9<sup>th</sup> grades.</li> </ul>	
<b>Intended Outcomes</b>	<ul style="list-style-type: none"> <li>• Gains on meeting Common Core Standards.</li> <li>• Gains with respect to deeper learning competencies.</li> </ul>	
<b>Logistical/Conceptual Requirements</b>	<ul style="list-style-type: none"> <li>• Existing user base of at least 50 students</li> <li>• Focused on piloting to refine usability, outcomes, and adoption strategy</li> <li>• Proposed solution must be delivered to at least 50 additional students during the 2011-2012 academic year, the summer of 2011, or the summer of 2012 (Updated 2.18.11)</li> <li>• Evidence of probable cost-effectiveness at least comparable to existing solutions</li> </ul>	<ul style="list-style-type: none"> <li>• Existing user base of at least 1,000 students</li> <li>• Focused on expanding adoption</li> <li>• Has/Requires access to network of school districts ready to serve as partners in piloting and adoption</li> <li>• Proposed solution must be delivered to at least 1,000 additional students during the 2011-2012 academic year, the summer of 2011, or the summer of 2012 (Updated 2.18.11)</li> <li>• Evidence of probable cost-effectiveness at least comparable to existing solutions</li> </ul>

	Proof of Concept	Early Stage Adoption
Adoption	<p>Proposals must estimate the number of students who will be directly impacted by the proposed project and discuss the proposer’s capacity to reach such levels of adoption within the grant period. Applicants invited to submit full proposals will need to include letters of intent or letters of commitment from potential adoption partners for the proposed work, as outlined in below section offering greater detail on criteria.</p> <p>Additionally, full proposals will need to articulate a plan for increased adoption beyond the life of the grant. NGLC expects these plans to be based on at least a five-fold increase in users from the 2011 base, and full proposals will need to outline key adoption partners, timelines, and planned/proposed revenue models.</p>	
Evaluation	<p>Proposals must include a well-articulated use case and intended outcomes. This includes the type and number of target learners over the grant period, intended outcomes targets based on mastery of the Common Core Standards with deeper learning, and interim milestones and measures that will be tracked in order to determine progress against stated goals. Additionally, proposals should include findings from any research/evaluation efforts to date, and early stage adoption proposals in particular are expected to detail such findings.</p> <p>NGLC aims to collect a range of data points about its grantees. All Wave II winning proposals will be required to participate in an NGLC-wide evaluation program so the NGLC may determine the impact of the Wave 2 portfolio at the end of the grant period. The Wave II evaluation will include:</p> <ul style="list-style-type: none"> <li>• Baseline student performance data on state tests, in the content area defined and being addressed by the applicant<sup>2</sup>;</li> <li>• Data resulting from an assessment of learning outcomes that will be selected by NGLC and administered by grantees at the end of the grant period<sup>3</sup>; and</li> <li>• Optional: Pre- and post- student performance data, as established by the applicant, i.e. however the applicant proposes to measure the impact of its proposed solution</li> </ul> <p>These evaluation-related activities will not be separately funded, however, some technical assistance from evaluators will be provided.</p>	
Sustainability	<p>Proposals must discuss strategies to sustain the proposed work beyond the grant interval, as well as strategies to sustain the organizations—and not just the projects—beyond the terms of the grant.</p>	
GENERAL AWARD INFORMATION		
# of Awards	Up to 12	Up to 14

<sup>2</sup> NGLC recognizes that some applicants may have difficulty securing student test scores and, to the extent possible, will provide support to attain scores

<sup>3</sup> NGLC will choose a common assessment(s) that the winners of Wave II will be required to administer and collect data upon at the end of the grant period. The chosen assessment(s) are not intended to be the seminal assessment(s) against which the quality of the proposed solution will be tested, but rather, one measure that will provide NGLC with additional data about the proposed solutions. NGLC will choose the assessment(s) based on their ability to assess learning against the common core, as well the ease of their implementation and their flexibility to assess what will likely be a range of methods to support students in gaining content and skill mastery. This assessment is not an accountability tool, i.e. students, teachers and the grantee will not be held responsible; the point is simply to collect data points.

	Proof of Concept	Early Stage Adoption
Award	<p><b>\$250,000</b></p> <p>Plus access to network of school districts and/or networks ready to serve as partners in further adoption at the end of the grant period</p>	<p><b>\$500,000</b></p> <p>Plus access to network of school districts/networks ready to serve as partners in further adoption at the end of the grant period</p>
Duration of Awards	15 months, with option of six-month extension	
Possibility of Further Funding	Highly successful projects will be considered for additional funding up to \$1M. Criteria for consideration include: 1) progress and impact against intended outcomes, 2) number of users/adopters, 3) plan for future, widespread adoption, and 4) sustainability plan, including reasonable revenue model expectations.	
Examples	Early stage for profit or nonprofit game development company developing software to teach algebra in the context of physical science environments	For profit or nonprofit publisher with existing digital content and assessments seeking to align to the Common Core and develop or increase adoption of more robust and adaptive assessment functionality

## Wave II: Detail on Required Selection Criteria

Innovations, no matter how promising, only become game changers when they begin to radically alter outcomes, affect daily practice, and achieve widespread adoption. Consequently, *quality and adoption* are the primary goals of NGLC Wave 2, and the metrics against which success will be measured. All applicants should have a clear sense of how their proposed solutions make advancements on the *quality* of currently available technology-based solutions.

NGLC Wave II proposals must meet the below criteria in order to be considered for funding. There are two classes of criteria: required and preferred. Proposals failing to demonstrate compliance with required criteria will be eliminated from consideration. Preference will be given to proposals planning and implementing more of the preferred criteria, however, breadth will be secondary to potential or proven impact on the target learning outcomes.

### **Additional detail on elements of Required Criteria:**

- 1) **Target learners, learning content and competencies.** The overall goal of NGLC is to improve college readiness and completion, and Wave II targets a very particular slice of secondary education known to be critical to eventual college readiness and success: *7<sup>th</sup>-9<sup>th</sup> grade content and competencies, as well as the transitional window between 8<sup>th</sup>-9<sup>th</sup> grades*. This slice was chosen based on compelling evidence that student preparation by 9<sup>th</sup> grade is a strong predictor of eventual high school completion and college readiness, and consequently of college success.<sup>4</sup> Consistent with other NGLC Waves, Wave II also targets students who are particularly at-risk of inadequate college readiness, such as students from low-income backgrounds.

<sup>4</sup> R. Balfanz and N. Legters, —Closing ‘Dropout Factories’: The Graduation Rate Crisis We Know and What Can Be Done About It, *Education Week* 25, no. 42 (2006): 42–43. E. Allensworth and J. Easton, *What Matters for Staying On-Track and Graduating in Chicago Public High Schools: A Close Look at Course Grades, Failures and Attendance in the Freshman Year* (Chicago, IL: Consortium on Chicago School Research at the University of Chicago, University Publications Office, 2007). Editorial Projects in Education, —Diplomas Count 2007: Ready for What? Preparing Students for College, Careers, and Life After High School, I Special issue, *Education Week* 26, no. 40 (2007).

To be clear, Wave II focuses on learning 7<sup>th</sup>-9<sup>th</sup> grade Common Core content and competencies regardless of the age of the learner and is therefore not necessarily restricted to 7<sup>th</sup>-9<sup>th</sup> graders alone. Significant numbers of students presently lag in their grade-level performance expectations. Therefore, NGLC welcomes proposals focusing on remediation and acceleration in order to support such students. NGLC also recognizes that part of the purpose of promoting next-generation instructional materials is to free gifted students from often rigid and lockstep academic schedules, and therefore welcomes proposals that can provide advanced content to students who have not yet reached the 7<sup>th</sup> grade (within the bounds of the program’s overall, special emphasis on low-income and minority students).

Proposals must indicate (and document) whether they target *exclusively* low-income and/or minority populations or *primarily* (more than 50% of the total population targeted) low-income and/or minority populations.

Proposals should clearly identify which population(s) the proposal intends to target during the grant interval, and should provide any details needed to evaluate the plausibility of the plan in terms of involving the identified populations; for example, proposals targeting the summertime window should include details of plans for recruiting the students to be served and ensuring their participation for the duration of the project.

- 2) **Careful integration and alignment of the proposed learning content and competencies with the Common Core Standards** (Please refer to the Common Core Standards at [www.corestandards.org](http://www.corestandards.org)). In order to assure a convergence of effort across multiple grant projects, and as a prerequisite to creating a healthier marketplace of innovators and adopters, NGLC Wave II has chosen to focus on the development of instructional materials in math and literacy-based disciplines.<sup>5</sup> In order to permit clearer and more effective comparison of relative success, NGLC requires Wave II projects to align themselves with—and assess themselves against—math and literacy Common Core Standards. Proposals must make clear the nature and degree of this alignment.
- 3) **Special focus on student learning gains.** All NGLC Waves target the increased adoption of technology-enabled solutions effective at addressing important outcomes related to eventual college persistence and completion. The primary intended outcome of Wave II is substantial student learning gains on 7<sup>th</sup>-9<sup>th</sup> grade Common Core Standards and deeper learning competencies. Wave II funds innovative, technology-enabled solutions intended to produce next-generation, interactive, flexible, assessment-rich, adaptive instructional materials; however, all of this effort is predicated upon the conviction and intention that (a) such materials will drive significant learning gains and (b) such learning gains, when adopted, will contribute to substantial improvements in US students’ college readiness, persistence, and completion. Proposals must articulate how their projects will result in the following two types of learning gains:
  - *Gains with respect to Common Core Standards.* In order to ensure that Wave II solutions will be adopted widely (to many students, states, and districts), NGLC Wave II learning experiences must offer students the opportunity to master essential knowledge and skills aligning with the Common Core Standards for math and literacy (reading and writing).
  - *Gains with respect to deeper learning outcomes.* In order to ensure that Wave II solutions will accomplish the desired outcomes in terms of college readiness, persistence, and completion, NGLC Wave II learning experiences must support students’ acquisition of competencies relating to

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<sup>5</sup> NGLC uses the term “disciplines” deliberately, as it recognizes that the math and literacy Common Core Standards are not limited to English and math content alone. Additionally, the standards map to other substantive competencies such as evidence-based reasoning skills that may be learned and expressed in non-English and non- math disciplines.

deeper learning and engagement, including mastery and application of core content knowledge, critical thinking, complex communication, collaboration and learning to learn/ meta cognition. Preference will be given to projects improving more competencies. Please refer to Appendix 1 for more detail on deeper learning competencies.

Proposals should discuss their plans in detail with respect to *both* of these types of gains, and provide quantifiable estimates of the gains to be expected. Applicants should establish evaluation programs that capture pre and post data with regards to these gains, in addition to participation in evaluation required by the NGLC. *See evaluation criteria above and in the section below.*

- 4) **Highly modularized content that can be mixed and matched readily and easily by learners and teachers.** Modules should offer four to eight weeks of content and learning experiences. Applicants interested in developing a year-long sequential course in biology, for example, should consider developing the course using a modularized structure of four to eight week-long singular modular segments that could each be used separately, or could be used within the course sequence in varying ways. Preference will be given to solutions having modularity, as well as those that can be mixed-and-matched in multiple environments (such as between/across learning management systems from different vendors). Minimum number of modules expected: proof of concept – at least one; early stage adoption – at least two.
- 5) **The highest pedagogical quality that exemplifies contemporary research in cognitive and learning science, including interactive and contextualized learning, multiple learning paths, and scaffolded learning that results in deeper disciplinary understanding of knowledge concepts and opportunities to practice and develop skills and competencies.** Proposed solutions should also exemplify innovation in rich, interactive media that facilitate and advance learning. The objective is to make the content modules to be developed under the grant demonstrably superior to existing digital instructional materials.
- 6) **Embedded assessment.** Modules must be able to capture and assess performance in the context of the learning experience and offer performance feedback back to the learner and to teachers. Performance data should offer a breakdown and analysis of gains made against Common Core Standards and the deeper learning competencies.
- 7) **Adoption.** Proof-of-concept projects should focus their proposed efforts on piloting their solutions to (e.g.) refine the solution’s usability, enhance its outcomes, and create/refine adoption and sustainability strategies. The objective for a proof-of-concept proposal should be to reach (at least) a project status suitable for consideration as an early stage adoption proposal in some later NGLC Wave (this analogy is used only to illustrate the requisite project objectives: it does not constitute a promise by NGLC to fund such a wave, or to provide supplemental funding to any particular accepted proposal). Proof of concept proposals should include **letters of intent** from partners who will aid in the refinement and adoption process.

Early stage adoption grants should primarily allocate effort towards expanding adoption, with some refinement or extension of project concepts. Because of the focus on adoption, early stage adoption proposals must include **letters of commitment** that demonstrate access to a network of schools or school districts ready to serve as partners in piloting and adoption. Such evidence should include memoranda of understanding from the network and/or its individual-organizational participants: letters of support lacking a firm, written commitment to participate by someone having the authority to bind the organization will not be considered sufficient evidence.

Both proof of concept and early stage adoption proposals must include language detailing plans for increased adoption beyond the life of the grant, including key adoption partners and planned/proposed

revenue models. NGLC expects these plans to be based on at least a five-fold increase in users within five years from the 2011 base.

- 8) **Evaluation.** As mentioned elsewhere in this RFP, the primary foci of Wave II are to (1) *develop widely adoptable solutions* that (2) *generate substantial student learning gains*. Proposals must meet the required evaluation criteria and provide clear, well-thought-out plans for evaluating project performance on both dimensions of potential for wider adoption and student impact. Applicants should plan to devote significant effort to evaluate their performance throughout the project. Preference will be given to proposals demonstrating clear and sophisticated understandings, as well as competent and thorough plans, with respect to evaluating progress on both foci. NGLC also reserves the right, at its sole discretion, to supplement grantee evaluation activities with other, external assessment activities, to be funded by NGLC or its sponsors.

Proof of concept projects require some evidence for demonstrated efficacy of the proposed solution in some context plausibly relevant to the domains of 7<sup>th</sup>-9<sup>th</sup> grade math/literacy learning gains. The solutions need not have been tested in these domains already; in fact, solutions adopted from elsewhere are welcome, provided the proposal includes a plausible theory of applicability to the objectives of NGLC. At a minimum, the proposed solution must have been tested and shown significant promise on an existing user-base of at least 50 people. Appendix 3 provides additional information about presenting acceptable evidence for demonstrating efficacy.

Early stage adoption projects require evidence for demonstrated efficacy in an environment comprising at least 1,000 students and focusing partly or wholly on the domains of 7<sup>th</sup>-9<sup>th</sup> grade math/literacy skills. Ideally, the solutions should have been tested on math and literacy content already; however, proposals may incorporate solutions tested widely in other, related domains, *provided* the proposal includes a plausible theory of *direct* applicability of the solution to math and literacy.

NGLC expects its grantees to plan and work diligently to evaluate the efficacy of the selected projects in improving outcomes. Applicants will be expected to meet the criteria established in the “evaluation” section of the summary table, as well as in Appendix 3. 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.

- 9) **Sustainability.** Immediate sustainability of the proposed projects is not a prerequisite for NGLC Wave II funding; however, proposals must discuss sustaining strategies and incorporate plans for developing a sustaining strategy during the grant interval. In order for them to have the desired effects, early stage adoption projects must be able to remain self-sustaining for significant periods of time and at comparatively large (and preferably still-growing) levels of adoption after this phase of NGLC funding is exhausted. Experience teaches that the strongest predictor of long-term sustainability is the inclusion of users in the solution/program design process, strong feedback loops and continual improvement processes, and thoughtful revenue models.

For example, will a solution identified in this wave be affordable by schools/districts without the ongoing support of NGLC funding? Will it continue to work effectively when the researchers, designers, implementation teams, and others drawn together by the grant return to their usual positions or move on to other projects? Will ‘old’ policies and practices snap back into place, subverting the solution, as soon as the lure of funding is withdrawn?



Proposals will be evaluated according to the quality, scope, and rigor of their sustainability planning. Preference will be given to projects offering a highly credible sustainability plan, including both student growth and financial aspects.

10) **Use standards-based interoperability protocols** as defined in Appendix 2.

### **Preferred Criteria**

As stated earlier, proposals must meet required criteria as stated above. Preferred criteria reflect NGLC's areas of interest, but failure to address preferred criteria will not disqualify a Wave II application. This RFP intends to help establish substantially new approaches to helping students master content that is aligned to the Common Core Standards. We do not fully prescribe "how" learning environments should be designed to achieve these conditions, though special attention will be paid to the extent that proposed solutions provide a clear research-based rationale for their pedagogical choices. The point of this RFP is to entertain a range of approaches that are all reach towards the same goal of improved student learning in order to help the field develop a stronger understanding of what works. There are a number of attributes that we are particularly interested in due to recent research in digital media and learning (Barab, et al., In press; Ito, et al., 2010; Shaffer, 2006; Watkins, 2009) that suggests they contribute to greater degrees of engagement and deeper learning experiences. The preferred criteria (in no particular order) are as follows.

- Support for learning-centered social activity (e.g. discussion and feedback), ideally integrated with embedded assessment information.
- Encouragement for students to master specialist language, including technical terms endemic to a particular learning domain.
- Opportunities for learners to engage in different ways of being (e.g. ways of taking on varied identities, such as designer, scientist, historian).
- Opportunities for students to produce types of artifacts endemic to a domain (e.g., mathematical algorithms and equations in machine-readable form; written documents of various specialized types).
- Highly immersive and contextualized learning environments focusing on content and competency mastery.
- Support for a broad range of instructional models.

NGLC is particularly interested in identifying and spreading the adoption of adaptive materials that can accomplish all of these improvements at cost-levels equal to or lower than those found with the currently available 'flat' (digital or analog) instructional materials.

### **Intellectual Property**

Please refer to Appendix 4 for Intellectual Property requirements.

### **Award Levels and Durations**

NGLC expects to make up to 12 *proof-of-concept* awards, and up to 14 *early stage adoption* awards. Proof-of-concept proposals may request up to \$250,000. Early stage adoption proposals may request up to \$500,000.

NGLC Wave II grants will be awarded for a period of 15 months—a time-frame chosen to permit projects to complete the 2011-12 academic year. Grantees may request a one-time, no-cost extension of up to six months, subject to NGLC approval.

### **Possibility of Further Funding**

NGLC Waves are independent funding panels: unless explicitly stated otherwise, no Wave can promise subsequent funding in another Wave. NGLC Wave II hopes to be able to offer highly successful grantees the

opportunity to receive supplemental funding in some subsequent Wave, but at present no firm commitments have been made by the funding partners.

## 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 six-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%. 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 Wave I does not bar individuals or organizations from submitting proposals to NGLC Wave II.

These provisions extend across waves as appropriate; for instance, an investigator's budgeted time must not exceed 100% taking into account, not only the proposed effort for this current wave, but also any already-allocated effort from funding awarded in previous waves that will overlap the current wave in terms of project calendars.

NGLC Wave II expects applicants to have formed partnerships with networks of prospective adopters, such as school districts. In a few cases, NGLC reserves the right to accept proposals lacking such pre-arranged networks if, in NGLC's sole judgment, the proposal is extraordinarily compelling and it is feasible to connect the grantee to an existing network of institutions willing to serve that role. However, such exceptions are likely to be extremely rare: applicants are urged to make their own arrangements, in order to make their proposals as competitive as possible.

## About this RFP

Key features are:

- *A short application*—approximately five-page pre-proposals are accepted online at [URL]. Full, 20-page proposals will be solicited from institutions whose pre-proposals are selected to advance to the next stage of review.
- *Rapid turnaround time*—we will select grant recipients approximately three months from the pre-proposal submission deadline.
- *Clear focus for proposal review*—Proposal reviews will emphasize solutions that hold the promise of wide adoption to address America's college readiness and completion needs at the middle-school level.
- *Clear, yet flexible, target for awards*—Preference will be given to solutions that improve college readiness and completion for low-income young adults; however, it is not required that projects focus solely on this population, given that relevant innovations are likely to facilitate greater learning success in general.

## Application Instructions

### Key Dates

Wednesday, January 19, 2011	RFPs announced
Friday, March 4, 2011	Pre-proposals due
Monday, April 11, 2011	Invitations for full proposals issued
Friday, May 13, 2011	Full proposals due
Monday, June 13, 2011	Awards announced

Any changes to the dates will be posted on the FAQ web page at: <http://nextgenlearning.org/the-grants/learn-more>.

In addition, on February 3 and February 7, 2011 EDUCAUSE will host two, two-hour interactive Webinars offering prospective applicants the opportunity to ask questions and learn more about the NGLC and the proposal process. Date, time, and registration information are available at: <http://nextgenlearning.org/the-community/events>.

Please also check <http://nextgenlearning.org> for additional information.

Any changes to the Rules and Guidelines will be posted on the Frequently Asked Questions page of the Next Generation Learning Challenges website at: <http://nextgenlearning.org/the-grants/learn-more>, 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 webinars, 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) on March 4, 2011.

A link to the pre-proposal application is available on the grants page of the NGLC site at: <http://nextgenlearning.org/the-grants>. All applicants will be asked to complete a short eligibility test before completing the application. Applicants are encouraged to bookmark the application URL for future visits. (An application will not need to be completed in one sitting. Applicants can create a unique ID and use it to log in to make changes and updates.)

### Application Format

All respondents must use the electronic pre-proposal and proposal forms; submissions must adhere to the length restrictions imposed by the form. Additional supplemental materials, or applications transmitted by any other form, will not be accepted.

## 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 it.

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 Next Generation Learning Challenges, 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 will publish the pre-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 pre-proposals and proposals anticipated, applicants not invited to submit a full proposal or awarded a grant will receive a notice of non-acceptance 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. Review panels, drawn from community experts, will review pre-proposals. Pre-proposals will be considered on their individual merits. The authors of pre-proposals selected for the next stage of review will be invited to submit full proposals.
3. Full 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 [URL]. 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 or potential for such conflicts. See the NGLC Conflict of Interest Policy at: <http://nextgenlearning.org/the-grants> for details.

## Notifications

Applicants will receive an electronic notification when a pre-proposal has been submitted. Those invited to submit a full proposal will be notified via e-mail by April 11, 2011, and must return a full proposal by May 13, 2011. Award winners will be notified of their selection by June 13, 2011. Completed and signed grant agreements must be returned by 11:59 p.m. EST on June 24, 2011.

Please keep in mind that submission of a NGLC proposal may require compliance with internal processes within an applicant's own governance structure. Meeting all NGLC deadlines is the sole responsibility of the applicants, not NGLC.

***Therefore, applicants are strongly advised to begin institutional review and approval processes as early as necessary to ensure that all NGLC deadlines can be met.***

## Conditions of Funding

The detailed Sample Next Generation Learning Challenges Grant Terms and Conditions can be found in Appendix 5 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.

## Amount and Duration of Grants

EDUCAUSE expects to award multiple grants in 2011 in response to this RFP.

Awards may be made at one of two levels:

- For proof of concept, awards will be made up to \$250,000, for periods not to exceed 15 months (with the option of a six-month no-cost extension).
- For early stage adoption, awards will be made up to \$500,000, for periods not to exceed 15 months (with the option of a six-month no-cost extension).

There is a possibility that projects demonstrating particular effectiveness and proof of or potential for wide adoption will receive additional funds in a future wave of funding.

## 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, due December 30, 2012. 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.

## Intellectual Property Policy and Terms of Use

So that the knowledge gained during the challenges is promptly and broadly disseminated, all documents, written materials, and other content submitted to EDUCAUSE during the period of an applicant's NGLC grant application (e.g., website postings, pre-proposals and proposals, findings, and information that may be generated by applicants) will be made available to the community under a Creative Commons Attribution license. We recommend that applicants review the terms of this license, which is described at <http://creativecommons.org/licenses/by/3.0/us/>. EDUCAUSE will redact individually identifying salary information from pre-proposal and proposal budget spreadsheets before publishing.

By providing any submission materials, the sender represents to EDUCAUSE that they have the right to provide the information submitted.

Applicants with questions concerning the contents of their submission materials may contact EDUCAUSE at: [nglc@educause.edu](mailto:nglc@educause.edu).

## Frequently Asked Questions

The FAQ document will be the primary channel by means of which NGLC updates prospective applicants on any changes to the proposal process, deadlines, and/or terms and conditions. The FAQ will be displayed at: <http://nextgenlearning.org/the-grants/learn-more>. Applicants should refer to this location regularly.

## Inquiries

Please direct all inquiries about NGLC, selection criteria, or application instructions to: [nglc@educause.edu](mailto:nglc@educause.edu). NGLC staff will respond via e-mail. Responses of potentially general interest will be posted in the FAQ (see the previous section).

## Appendix 1: Deeper Learning Competencies

Below are the particular deeper learning competencies this RFP is focused on. Applicants are welcome to propose others they may want to assess as part of their solutions. For the purposes of this RFP, "deeper learning competencies" are defined as competencies that students must develop in order to effectively solve disciplinary complex problems. Thus competencies should be employed and assessed in the context of disciplinary-based (i.e., math, literacy, science) problem-solving.

Deeper learning is an umbrella term for the skills and knowledge that students must possess to succeed in 21<sup>st</sup> century jobs and civic life. At its heart is a set of competencies students must master in order to develop a keen understanding of academic content and apply their knowledge to problems in the classroom and on the job.

Deeper learning competencies fall within three categories. Although each is associated with a different aspect of education, all are essential to prepare students to achieve at high levels.

Category	Skills
A. Content Knowledge	1. Master core academic content
	2. Acquire, apply and expand knowledge
B. Cognitive Strategies	3. Think critically and solve complex problems
	4. Communicate effectively
C. Learning Behaviors	5. Work collaboratively
	6. Learn how to learn

### **A. Content Knowledge**

The foundation of deeper learning is mastery of core academic content, whether in traditional subjects such as mathematics or in interdisciplinary fields which merge several key fields of study. Students are expected to be active participants in their education. Ideally, they are immersed in a challenging curriculum that requires them to seek out and acquire new knowledge, apply what they have learned, and build upon that to create new knowledge.

Cognitive research shows that students learn more when they are engaged in their studies and see them as important. The brain functions by organizing information into databases where things that relate to one another are connected. It determines what is worth holding onto, discarding information it considers useless. At the same time, it files away for future reference information that is tapped frequently to accomplish important tasks.

So the typical worksheet, drill-and-memorize, and test preparation approach to classroom teaching actually makes it difficult for students to retain the myriad bits of information they encounter during the school year. More effective is an instructional method that requires students to use that information repeatedly in complex and meaningful ways such as writing papers or completing projects.

Deeper learning activities should draw upon a clearly defined knowledge base to which students have previously been exposed or to which they will be introduced systematically in the context of the exercise. Activities that are not linked to academic content should be viewed with caution.

In practice, deeper learning prepares students for postsecondary education. They should graduate from high school equipped to:

- 1. Master core academic content.** Students develop and draw from a baseline understanding of knowledge in an academic discipline.
  - a. Students learn, remember, and recall facts relevant to a content area.
  - b. Students extend core knowledge to novel tasks and situations in a variety of academic subjects.
  - c. Students learn and can apply theories relevant to a content area.
  - d. Students know and are able to use the language specific to a content area.
  - e. Students apply facts, processes, and theories to real world situations.
  
- 2. Acquire, apply and expand knowledge.** Students actively engage in their learning.
  - a. Students perceive the inherent value of content knowledge.
  - b. Students know that future learning will build upon what they know and learn today.
  - c. Students are motivated to put in the time and effort needed to build a solid knowledge base.
  - d. Students enjoy and are able to rise to challenges requiring them to apply knowledge in non-routine ways.

## **B. Cognitive Strategies**

Deeper learning activities require learners to draw information from knowledge they have acquired and then do something meaningful with it. This requires a range of strategies for processing information in sophisticated ways. Those strategies vary somewhat based on the subject area and nature of the activity, but all involve a commitment to systematic thought and analysis.

Because the brain must develop the internal wiring necessary to process information efficiently in non-routine ways, deeper learning activities should be structured to give students multiple opportunities, over time, to apply knowledge in a range of challenging tasks. In essence, the learner moves from the novice to the expert level within the sphere of knowledge and expertise in question.

Cognitive Strategies are designed to help students prepare for postsecondary education by teaching them to:

- 3. Think critically and solve complex problems.** Students apply tools and techniques gleaned from core subjects to formulate and solve problems. These tools include data analysis, statistical reasoning, and scientific inquiry as well as creativity, nonlinear thinking, and persistence.
  - a. Students are familiar with and able to use effectively the tools and techniques specific to a content area.
  - b. Students formulate problems and generate hypotheses.
  - c. Students identify the data and information needed to solve a problem.
  - d. Students apply the tools and techniques specific to a content area to gather necessary data and information.
  - e. Students evaluate, integrate, and critically analyze multiple sources of information.
  - f. Students monitor and refine the problem solving process based on available data as needed.
  - g. Students reason and construct justifiable arguments in support of a hypothesis.
  - h. Students persist to solve complex problems.



4. **Communicate effectively.** Students organize their data, findings, and thoughts clearly.
  - a. Students structure information and data in a meaningful and useful way.
  - b. Students listen to and incorporate feedback and ideas from others.
  - c. Students provide constructive and appropriate peer feedback to others.
  - d. Students understand that creating a quality final communication requires review and revision of multiple drafts.
  - e. Students communicate complex concepts to others in both written and oral presentations.
  - f. Students tailor their message for the intended audience.

### **C. Learning Behaviors**

Deeper learning requires a broader range of conscious learning behaviors from students than traditional schoolwork. They must accept responsibility for expending the time and energy necessary to think about a task, select the proper learning strategies, and judge how well those strategies are working. In addition, deeper learning expects students to be able to meet shared goals with others as well as to engage in the self-reflection necessary to continue learning throughout their lives.

Deeper learning behaviors equip students for postsecondary education by training them to:

5. **Work collaboratively.** Students cooperate to identify and create solutions to social, vocational, and personal challenges.
  - a. Students collaborate with others to complete tasks and solve problems successfully.
  - b. Students work as part of a group to identify group goals.
  - c. Students participate in a team to plan problem-solving steps and identify resources necessary to meet group goals.
  - d. Students communicate and incorporate multiple points of view to meet group goals.
  
6. **Learn how to learn.** Students monitor and direct their own learning.
  - a. Students know and can apply a variety of study skills and strategies.
  - b. Students are aware of their strengths and weaknesses.
  - c. Students identify and work towards lifelong learning and academic goals.
  - d. Students evaluate the match between reality and what is needed to attain specific goals.
  - e. Students recognize their weaknesses and anticipate needing to work harder in those areas.
  - f. Students monitor their progress towards a goal, and adapt their approach as needed to successfully complete a task or solve a problem.
  - g. Students enjoy and seek out learning on their own.
  - h. Students understand and are prepared to meet changing expectations in a variety of academic, professional and social environments.

## 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 the following: 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: Sample Summary of Evidence

The example information provided below is intended to illustrate the types of evidence that might contribute to an application. It is not intended to be either prescriptive or exhaustive; you may omit from your own evidence any of the categories below that do not apply to your situation, and you may include other types of evidence that you believe help to make the case that your solution is both applicable and scalable. NGLC recognizes that few prospective solutions will have, for example, published, peer-reviewed studies based on clinical trials; evidence from internal studies and other non-peer-reviewed investigations will be accepted.

For solutions at early stages in their life cycles, supporting evidence of efficacy is usually far from perfect, and “studies” may be opportunistic rather than carefully designed and we therefore recognize the need for flexibility in our evaluation of applicants’ evidence.

Compelling evidence might include the following:

- **Date** (please attach dates where appropriate; e.g., if multiple studies were conducted and/or published at different times, each should be dated separately)
- **Authors/Affiliations.** Please indicate the nature of the relationship between the authors/investigators/institutions and the solution/study.
- **Study Purpose.** Please state the research objective(s) clearly.
- **Study Design/Methodology.** What research design did the study employ? Please provide the information necessary for us to evaluate the study’s ability to make reliable causal inferences.
- **Controls.** For what factors, if any, did the study’s analyses control?
- **Sample.** Please describe the size and demographic composition (age, education level, ethnicity/race, gender, income, locale, etc.) of the study sample, as well as the sampling method. What population was the sample intended to represent? How well did it do so?
- **Institution/ Academic Program.** For what academic program(s) and at what type(s) of institution(s) was the study conducted?
- **Duration.** What was the approximate duration of the study? Did the study’s timing encompass any significant changes in the underlying factors of relevance to assessing the solution’s efficacy?
- **Outcomes.** Please do not provide an exhaustive list of outcomes; we are interested only in the (good and bad) outcomes of direct relevance to the foci of this RFP.
- **Results.** Again, please summarize results rather than providing an exhaustive discussion. Provide details only when they illuminate something of importance to your proposal’s plans.
- **Limitations.** Please consider this heading an opportunity to demonstrate (concisely) that your team and project would make a high-quality contribution to future evaluative efforts.
- **Cost-Effectiveness.** Please discuss the cost/student or equivalent measure of the solution-as-studied, and provide some comparison to the cost/student or equivalent of the status quo or most-realistic alternative.

## Appendix 4: Intellectual Property Policy

### Next Generation Learning Challenges Intellectual Property Policy

Effective Date: \_\_\_\_\_

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 Next Generation Learning Challenges (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 copyrightable content (other than software) submitted to EDUCAUSE during the period of Grantee's NGLC grant application and grant (e.g., website postings, pre-proposals, proposals, findings, and information generated by Grantee) will be made available to the community under a Creative Commons Attribution (CC BY) license. In addition, with the exception of software, all open educational resources and related work product (manuals, integration formats, hosting environments, faculty development guides, or curricula, etc.) created must be made available under this license. We recommend that Grantee review the terms of this license which is described at <http://creativecommons.org/licenses/by/3.0/us/>.
- Second, so that products and other technology, as well as software and other copyrightable content, 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 adoption-at-scale 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 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 Materials available under an open license (for a list of approved open source licenses

for any software, see <http://www.opensource.org/licenses>). If a proposal promises open licensing of Materials, the Grantee will be required to keep that promise, and failure to do so will give EDUCAUSE the right to terminate the grant.

- To aid EDUCAUSE in furthering the NGLC Priorities, EDUCAUSE also requires that certain rights in all 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 products, innovations, or other developments 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, with respect to software, Grantee should be aware that many open-source licenses require that prior developments be compatibly licensed, thereby conferring an open-source license upon both new and prior works. 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 and findings resulting from the NGLC-funded project prepared by Grantee may be made available for public presentation on the NGLC website (<http://nextgenlearning.org>) and/or other online forums as directed by NGLC staff. All such materials will be subject to the Creative Commons license described above.
- All investigators supported in whole or in part by funds from the NGLC grant must be made aware of this Policy, must have a written obligation to assign or license all intellectual property created under a NGLC grant to Grantee so that Grantee can deliver to EDUCAUSE the licenses described above and should be encouraged to publish or otherwise disseminate the project findings as broadly and promptly as reasonably possible.
- All publications relating to the NGLC-funded project must include the acknowledgement, "Funded by a grant from EDUCAUSE through the Next Generation Learning Challenges."

## Appendix 5: 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 Next Generation Learning Challenges 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). You will provide EDUCAUSE with immediate written notice of any challenges to or changes in your organization’s tax status.

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. If so, please describe \_\_\_\_\_;
- 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.

**Repayment of Unused Grant Funds.** 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 so long as (1) 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.

**Subcontracts.** Although you may not subgrant any funds received under the Grant Agreement, you may subcontract with third parties to conduct Project activities. 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 (1) overhead expenses incurred as a result of the Project, but that are not easily identifiable with the Project, and (2) 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 (1) all agreements with subcontractors to which you pay grant funds will be consistent with the terms and conditions of the Grant Agreement; and (2) 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 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 to 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 hereby awards a grant to you as Grantee in the aggregate amount of \$ \_\_\_\_\_. This grant is to be expended over the period of \_\_\_\_\_ through \_\_\_\_\_. EDUCAUSE will disburse grant funds to you via check within 10 business days of receipt of the countersigned Grant Agreement.

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.

Pending use, the grant funds shall be maintained in a separate fund dedicated to the purposes of the grant. Such a separate fund may be either a physically separate bank account or a separate bookkeeping account maintained as part of your financial records, restricted to the purposes of the Project. All grant funds must be invested in highly liquid investments (such as interest-bearing bank accounts) with the primary objective of preservation of principal so that the funds are available for the Project.

This agreement does not create any obligation of EDUCAUSE to provide any future funding or other support for the Project.

**Reporting.** You agree to provide EDUCAUSE with an annual Financial and Program Report via e-mail to the Program Manager no later than June 13, 2012, and a final Financial and Program Report via e-mail to the Program Manager no later than December 30, 2012 (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 Manager no later than June 13, 2012.

Grant recipients will receive the reporting guidelines and template electronically. Reports should be submitted electronically to the assigned Next Generation Learning Challenges 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 Next Generation Learning Challenges 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 Next Generation Learning Challenges website (<http://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. Next Generation Learning Challenges Priorities**

**NGLC Priorities.** You understand and acknowledge that EDUCAUSE is making the Next Generation Learning Challenges 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 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”). You will conduct and manage support of the research, product development, and innovations funded by this grant in a manner that facilitates the achievement of the NGLC Priorities and in accordance with the terms below and the NGLC Intellectual Property Policy.

**Creative Commons.** You agree that all documents, written materials, and other content submitted to EDUCAUSE during the period of your NGLC grant application and grant (e.g., website postings, pre-proposals, proposals, findings, and information generated by you) will be made available to the community under a Creative Commons Attribution license. In addition, all open educational resources and related work product (manuals, integration formats, hosting environments, faculty development guides, or curricula, etc.) must be made available under this license. You acknowledge that you have reviewed and agree to the terms of this license which is described at <http://creativecommons.org/licenses/by/3.0/us/>.

**Open Licenses.** You will conduct and manage support of the learning materials, professional development, research, products, and innovations (and intellectual property rights relating thereto) developed using any NGLC grant funds (the “Materials”) in a manner that supports the sustainable adoption-at-scale of demonstrably successful technology-enabled products, projects, or service-based solutions and that facilitates the achievement of the NGLC Priorities. If your proposal committed to making any Materials available under an open license, then you agree that you will do so (for a list of approved open source licenses for any software, see <http://www.opensource.org/licenses>).

Further, any data sets, models/frameworks, text, and/or multimedia resources and findings resulting from the NGLC-funded project prepared by Grantee may be made available for public presentation on the NGLC website (<http://nextgenlearning.org>) and/or other online forums as directed by NGLC staff. All such materials will be subject to the Creative Commons license described above.

**Grant of Rights to EDUCAUSE.** So that EDUCAUSE can further the NGLC Priorities, you hereby grant to EDUCAUSE a non-exclusive, irrevocable, perpetual, worldwide, fully transferable, and sublicensable, fully paid-up license to exercise all intellectual property rights in or to any Materials solely (a) for research or educational purposes; and (b) in furtherance of making such Materials widely available to the public without unreasonable burden (e.g., costs, restrictions on use). Notwithstanding the foregoing, EDUCAUSE will not exercise any rights under subpart (b) above so long as you are using and exploiting the Materials as described above.

As between you and EDUCAUSE, you will retain all rights (including all intellectual property rights) in any learning materials, professional development, research, products, or innovations developed prior to your receipt of NGLC grant funds or independently of any project funded by NGLC grant funds which are incorporated in the Materials; provided, however, that you hereby grant to EDUCAUSE a non-exclusive, irrevocable, perpetual, worldwide, fully transferable, and sublicensable, fully paid-up license to exercise all intellectual property rights relating to such learning materials, professional development, research, products, or innovations solely for the purpose of exercising EDUCAUSE’s rights under the preceding section.

You represent and warrant that all investigators supported in whole or in part by funds from the NGLC grant have or will have before receiving any grant funds a written obligation to assign or license all

intellectual property created under a NGLC grant to you so that you can deliver to EDUCAUSE the licenses described above.

#### **VI. Mandatory Participation in Designated Next Generation Learning Challenges Activities**

**NGLC Meetings.** You agree to participate in the annual Next Generation Learning Challenges 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, EDUCAUSE expects that grantees pursuing similar challenges and overarching goals will 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 Next Generation Learning Challenges website (<http://nextgenlearning.com>) and/or other online forums as directed by Next Generation Learning Challenges staff, all in accordance with the Creative Commons Attribution license. 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 Next Generation Learning Challenges Name and Logo.** Next Generation Learning Challenges, EDUCAUSE, the Bill & Melinda Gates Foundation, and other Next Generation Learning Challenges collaborative organizations identified on the Next Generation Learning Challenges 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 Next Generation Learning Challenges, 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 Next Generation Learning Challenges, EDUCAUSE, or any Next Generation Learning Challenges 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 (published on June 13, 2011) are only valid for 10 days. Upon receipt of award notification, you must return a fully executed Agreement to EDUCAUSE postmarked no later than June 24, 2011, 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 the Next Generation Learning Challenges. Should EDUCAUSE exercise this right, Grantee will be responsible for returning all unspent or misspent funds.

**Survival.** The following paragraphs shall survive termination of this agreement: Repayment of Unused Grant Funds; Limitations on Capital Assets; Reporting; Record Maintenance and Inspection; Creative Commons; Open Licenses; Grant of Rights to EDUCAUSE; Publication; Grant Announcements, Public Reports, and Use of Next Generation Learning Challenges Name and Logo; and Survival.

#### **X. Other Terms and Conditions**

**Notification.** You will promptly notify EDUCAUSE in writing of any lawsuit brought against you or any proceeding or investigation directed at you by a federal, state, tribal, or local administrative agency or authority that relates to or may have a material effect on the Project.

**Indemnification.** You agree to hold harmless and indemnify EDUCAUSE from and against all claims, suits, and actions arising from any act or omissions by you or your subcontractors in connection with the Project.

**Construction.** The laws of the state of Colorado shall govern this Grant Agreement.

