Transforming Education in Rhode Island

The Race to the Top Opportunity

Rhode Island Race to the Top:

Performance Monitoring Plan

Submitted April 28, 2011

Revised and Resubmitted June 24, 2011

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Introduction

The State of Rhode Island is committed to ensuring maximum transparency and accountability in using its Race to the Top (RTTT) funding to realize a single powerful vision: an education system that prepares all Rhode Island students for success in college, careers, and life. Pursuant to this commitment, the Rhode Island State Education Agency (SEA) will monitor each sub-recipient's implementation of the Race to the Top initiatives as identified in each of the Local Education Agency (LEA) Scopes of Work (LEA SOWs) that were submitted to the Rhode Island Department of Elementary and Secondary Education (RIDE) on November 22, 2010 and approved by the U.S. Department of Education (ED) on April 8, 2011. While the primary sub-recipients are LEAs, RIDE will also monitor all vendors and contractors who are involved in supporting Rhode Island's Race to the Top initiatives.

The SEA and its 50 LEAs have jointly committed to manage and monitor the implementation of the RTTT initiatives and measure progress towards meeting our overarching student-achievement goals. Both the SEA Scope of Work (SEA SOW) and the LEA SOWs are organized within a framework of five systems of supports: (1) Standards and Curriculum; (2) Instructional Improvement; (3) Educator Effectiveness; (4) Human Capital Development; and (5) School Transformation and Innovation. It is the implementation of these systems of support by both the SEA and the LEAs over the four years of the RTTT grant that are undertaken to achieve our statewide goals.

Purpose of the Performance Plan

The performance plan has several key purposes:

1) Assess the progress that sub-recipients are making toward meeting goals and identify gaps in reaching goals;
2) Track Rhode Island's progress in implementing all five systems of support in the RTTT program initiatives and make informed decisions on redirections based on performance monitoring;
3) Ensure that sub-recipients of RTTT funds have the internal controls needed to prevent fraud, waste, abuse, and that funds are spent on appropriate activities, aligned with approved budgets; to promote efficiencies, and achieve compliance with all applicable statutory and regulatory requirements;
4) Identify effective practices and enable collaborative learning for outcomes among sub-recipients to improve implementation of the RTTT initiatives identified in the LEA SOWs.

This document describes the process that RIDE and the Office of Economic Recovery and Reinvestment (OERR)will collectively use in monitoring both programmatic outcomes and fiscal funding to achieve those outcomes. OERR is responsible for oversight and facilitation of all state activities associated with the American Recovery and Reinvestment Act (ARRA).

The monitoring plan, its attachments, and schedule will be reviewed and revised periodically, as appropriate. This performance monitoring plan is submitted to comply with the Race To the Top grant conditions, attachment T2 Phase 2 of the Race to the Top, Section O [September 24, 2010; modification letter to grantee April 14, 2011]. The performance plan submitted on April 28, 2011 was revised to include supplemental information requested by ED.

Intent and Goal

The intent of the performance monitoring plan is to move the SEA and the LEAs toward a system of managing data for results. RIDE and the LEAs have jointly committed to being accountable to one another on mutually agreed-upon goals. They recognize that only by working together in partnership can we accelerate student achievement. As stated in both the SEA SOW and the LEA SOWs: *Our working relationship will be one of mutual accountability, regular cycles of reflection, monitoring of results, and providing ongoing feedback* [page 5 SEA SOW; page 4 LEA SOWs].

Therefore the primary goal of the performance monitoring plan is to create the processes and supports that focus adult leadership and management practices on results for students. The emphasis is on outcomes and quality of program implementation rather than simply ensuring compliance with a set of activities. The process will also include monitoring the fidelity of implementation through the creation and tracking of metrics for changes in district, school and/or classroom practice. These metrics will also be tied to measures of student achievement through the development and use of a "theory of outcome" model.

The overall RTTT performance monitoring process will track implementation of our RTTT projects with LEAs, vendors, and contractors to ensure that they are being completed as outlined in the SEA and LEA Scopes of Work, contractors/vendors approved work scopes, and according to allocated budgets.

Principles Guiding the Design and Development of the Plan

The Rhode Island RTTT plan specified four key principles that guide our approach to supporting all participating LEAs:

1) Transparent and timely communication on expectations and results is essential;
2) Collaboration around challenging implementation issues is vital for achieving results;
3) Building leadership capacity at the local level is necessary for sustainability; and
4) Engaging state and national expert partners is necessary to support our work and supplement our state capacity (Page A-30 RI RTTT application).

These guiding principles are the underpinnings of the design of the performance monitoring plan.

Engaging LEAs in the Design and Implementation of Performance Monitoring

Interactions between RIDE and its LEAs are guided by the five principles stated in the SEA and LEA scopes of work, which emphasize a collaborative partnership built on a shared vision, mutual accountability, hard work, intensive problem solving, and ongoing communication.

During the course of Race to the Top implementation, and specifically as it pertains to performance monitoring, RIDE and LEAs will work together to:

- Plan and coordinate performance monitoring activities that respect and balance the time and effort of RIDE and LEA staff;

- Identify the appropriate participants in performance monitoring activities that will lead to enhancing leadership capacity for sustainability;
- Minimize the burden of data collection and reporting; and
- Evaluate the performance monitoring processes and make recommendations for improvement.

In the development of this performance monitoring plan RIDE met with the "LEA Design Team" (which includes representatives of superintendents, principals, school committees, charter public schools, teachers unions, business managers, and technology directors) in February 2011 to get initial feedback on the concept and basic structure of the performance monitoring process. RIDE met with this group again in April 2011 to ask for additional feedback on a more detailed draft plan and to find out how we might best roll out the plan to LEAs. RIDE will consult the LEA Design Team by electronic survey bi-annually to gauge the effectiveness of RIDE's communication and engagement with LEAs, including the engagement happening as part of the performance monitoring process.

In May and June 2011 RIDE held meetings with the superintendents, assistant superintendents, curriculum directors and the RI Charter League to introduce the performance monitoring process and acquire feedback on the development of the process including protocols and tools. Further, all participating LEAs were asked to complete a survey for input on scheduling, LEA grouping and any suggestions to make this process a positive and successful opportunity. This information has been incorporated into the design of the Collaborative Learning for Outcomes (CLO) process [see page 6]. A description of the CLO process (see Attachment A: LEA Collaborative Learning for Outcomes Process) was provided to all LEAs.

Communicating the Performance Monitoring Plan to LEAs

Upon receiving approval from ED on our performance monitoring plan, RIDE will share the approved plan with all participating LEAs. We will offer a series of webinars and in-person presentations, which may be combined with other RTTT-related meetings. RIDE will seek feedback from its LEA Design Team on effective ways to build understanding of the requirements of the performance monitoring plan. The results of performance monitoring will be communicated by RIDE with all Rhode Islanders, through the use of RIDE website and other communication vehicles.

Relationship of Rhode Island's Monitoring and Federal Monitoring

ED has developed a progress monitoring protocol that all Race to the Top state recipients will adhere to on a monthly basis. RIDE will report a progress update via monthly phone calls in which key accomplishments and challenges of the month, tracking of goals, and timelines are discussed. RIDE will also prepare a monthly narrative report in accordance with the RTTT protocols.

Rhode Island will participate in a yearly on-site program review and stocktaking process. Members of ED RTTT implementation team will travel to Rhode Island to meet with RIDE and selected Rhode Island LEAs. RIDE will prepare deliverables as evidence that the SEA is working toward its goals in each assurance area. The state will also produce an annual performance report in accordance with ED performance review protocols. The RIDE performance monitoring of LEAs and other sub-recipients outlined in this document will inform the reporting it does to ED on overall progress in implementation and achieving the goals set forth in the approved State scope of work.

I. Components of Performance Monitoring: Program and Fiscal

The RTTT performance monitoring plan provides an opportunity for RIDE to create an approach to monitoring that engages both the SEA staff and the LEA personnel in a collaborative and professional learning opportunity that emphasizes analysis of data, identifying effective practices and solutions, ensuring effective use of fiscal resources, and communicating progress in meaningful and accessible ways.

Our overall performance monitoring consists of both programmatic and fiscal components that work together to provide a complete analysis of the progress that sub-recipients are making toward meeting their stated goals. Our system of monitoring sub-recipients builds on our effective web-based federal grants management systems that are used for all federal grants and launches a new approach to engaging with LEAs around performance monitoring and management for results. Both programmatic and fiscal staff work together to determine how well sub-recipients are doing in meeting their goals. Based on all information, gathered RIDE will determine when areas of non-compliance must be addressed. Each of the components of our performance monitoring system is described below.

A. Programmatic Monitoring of LEAs

Collaborative Learning for Outcomes is a facilitated process that enables groups of LEAs to manage performance toward results by engaging in data-driven, problem-solving conversations with their peers and with RIDE.

There are four core components of LEA programmatic monitoring that together create an accountability frame for RTTT implementation:

- Annual Gap Analysis
- Progress Update Reports (includes narrative and self-assessment components)
- LEA Implementation Data Analysis Reports
- Collaborative Learning for Outcomes (CLO) Meetings

Through the CLO progress updates, data reports and regular CLO meetings, we will track progress in meeting the technical tasks agreed to in the LEA SOWs, manage performance towards results, share effective practices, and improve communication between RIDE and participating LEAs. The ultimate objective of CLOs is to provide a forum for collaboration in which LEAs gain clarity and receive support and advice from each other on the tactics and strategies for the broad implementation and use of systems being developed through Rhode Island’s Race to the Top work. At its heart, this work is about sharing how to best close achievement gaps and raise student achievement in LEAs across Rhode Island. CLOs are about performance management and sharing implementation practices between LEAs and are not intended to be forums for RIDE to provide technical assistance.

Each of the four components for progress monitoring is described below.

The Annual Gap Analysis will be conducted by RIDE with each LEA at the end of each school year. The Gap Analysis consists of a two-part design that addresses gaps in student achievement outcomes as well as gaps in LEA implementation capacity. For Part 1 of the Gap Analysis, RIDE will populate LEA data into a Student Performance Outcomes Gap Analysis Template. This data will be used during the Gap Analysis meetings with the LEA leadership teams to monitor progress towards the student performance goals set by each LEA and to reinforce the frame of the RTTT work in the context of improving student academic outcomes. For Part 2 of the Gap Analysis, all LEAs will work with RIDE staff and consultants to complete a carefully-designed gap analysis tool that will focus on implementation of all RTTT projects that are either (a) slated to begin during the upcoming school year, or (b) have already begun and will continue through the upcoming school year. Part of this gap analysis tool includes a likert-scale rating system for LEAs to score their implementation for each RTTT project (see Attachment B: Sample Gap Analysis Tool). Once each LEA has completed both their gap analysis and awarded implementation scores, RIDE staff will be able to analyze score trends across RTTT projects and across LEAs, as well as cross-reference the scores with short-cycle leading indicators of implementation collected through other performance management processes. With these cross-referenced data sets, RIDE will be more effective in isolating areas in which LEAs are struggling and be able to intervene in a timely manner.

The Progress Update Reports, consisting of narrative updates on implementation work as well as LEA self-assessments of progress, will be completed online and used to document LEA implementation work and support strong discussions in the CLO meetings. LEA RTTT leadership teams will complete this online report documenting their implementation progress and challenges relating to each System of Support prior to each CLO meeting. LEAs will also be able to list questions they have for RIDE and other LEAs in the online reporting system (See Attachment C: LEA Progress Report Template). Based on LEA feedback and strengthening accountability features, the LEA Progress Report Template includes a self-assessment dashboard feature on RTTT implementation. These reports will also feed into the data analysis completed by RIDE.

The LEA Implementation Data Analysis Reports will track relevant implementation data and will be used to document LEA implementation work, support strong discussions in the CLO meetings, and create shared expectations around measuring effective implementation. The implementation conversation will be grounded in and driven by data memos produced for each district prior to meeting. Prior to each CLO meeting, RIDE will compile LEA-specific implementation data relevant to the System of Support that will be the focus of the upcoming CLO meeting. The data will then be shared with participants prior to the meetings and analyzed during the meetings. These data memos will focus on leading, primary, and secondary data related to implementation. This data will form the basis of the CLO meetings, thereby enabling RIDE staff to closely monitor short and medium cycle data. Because this data review will happen within peer-driven conversations, RIDE will gain a deeper understanding of not only the data itself, but also LEA interpretations of the data. This additional understanding will enrich the performance monitoring function and make RIDE support more targeted and useful. Data will be drawn from RIDE implementation management data collection systems and (in future years) from the Educator Performance and Support System (EPSS) and the Instructional Management System (IMS) that are being built by RIDE using Race to the Top funding. The data memos produced for and through the CLO process will be augmented with LEA artifacts and local data that districts will be asked to collect and bring to each session. By collecting both state-level data around RTTT project implementation and locallygenerated implementation data or artifacts, RIDE will develop both a keen sense of the implementation level of each LEA and expand its own library of evidence for future performance management.

Coordinated by RIDE, LEA RTTT leadership teams will meet together in Collaborative Learning for Outcomes (CLO) meetings in small groups of LEAs on a ten week cycle (each group will meet once every ten weeks for a total of four to five meetings per year). The purpose of these meetings is to create a forum through which LEAs will share their experiences in implementing the Race to the Top SOW, problem-solve together and share what's working with each other. RIDE has developed a CLO protocol to guide the meeting process (see Attachment D: CLO Protocol). The CLO process was designed to grow local capacity and create rich peer-to-peer networks from across Rhode Island. Heterogeneous district groupings were an intentional part of the CLO design and are intended to help promote a peer-driven culture that expects that all members are actively implementing the RTTT projects, collecting data on implementation, and sharing that data in a constructive, reflective, and informed manner. CLO facilitators will be trained by UPD Consulting and come from existing RIDE staff that have strong knowledge in working with Rhode Island LEAs. Districts will be expected to come to each CLO meeting having already reviewed the data memo and prepared to talk about their district's data. CLO meetings will be driven by the regular use of data in performance monitoring sessions that challenge LEA leaders to improve implementation practices based on data, shared experiences and peer input. Effective practices, lessons learned and other insights that develop through this process and that are shared in these meetings will be documented in an online system that will share the results of all CLO meetings. Participants will be able to access and add to content on this system, which will be organized by topic and searchable. This creation of total transparency around RTTT implementation data will both help expose areas that are posing implementation challenges statewide and isolated, LEA-specific problems that can be more effectively addressed through the LEA group than from RIDE staff.

The proposed groupings of LEAs and the proposed calendar for CLO meetings for September 2011 to August 2012 are contained in Attachment E: LEA Grouping and Calendar. The overall performance monitoring timeline is illustrated in Table 1.

Table 1. LEA Programmatic Performance Monitoring Timeline

<table>
<tr><th></th><th>Sep</th><th>Oct</th><th>Nov</th><th>Dec</th><th>Jan</th><th>Feb</th><th>Mar</th><th>Apr</th><th>May</th><th>Jun</th><th>Jul</th><th>Aug</th></tr>
<tr><td>Annual Gap Analysis</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>Progress Update Report</td><td colspan="12">To be completed by LEA Leadership Teams prior to each CLO Meeting
(4-5 times per year for each LEA, on a ten-week cycle)</td></tr>
<tr><td>Data Analysis Report</td><td colspan="12">To be completed by RIDE Facilitators prior to each CLO Meeting
(4-5 times per year for each LEA, on a ten-week cycle)</td></tr>
<tr><td>CLO Meetings</td><td colspan="12">Each group of LEAs will meet 4-5 times per year on a ten-week cycle</td></tr>
<tr><td>Annual Performance Report</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td>RIDE</td><td></td></tr>
<tr><td>ED On-Site Review of RIDE implementation with selected LEAs</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
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B. Fiscal Monitoring of LEAs

Recordkeeping and Documentation

RTTT funds are part of ARRA. As such, all RTTT funds must be spent with an unprecedented level of transparency and accountability. Accordingly, recipients of ARRA funds must maintain accurate, complete, and reliable documentation of all ARRA expenditures. The law contains very specific reporting requirements and requires that detailed information on the uses of funds be available publicly on www.recovery.gov. LEAs are required to adhere to all required ARRA and RTTT reporting requirements.

LEAs account and track RTTT funds through Uniform Chart of Accounts fund numbers that are specific to Rhode Island's RTTT application. This enables LEAs to account for revenue and expenses in their general ledger.

LEA Budget Application Process

RIDE utilizes AcceleGrants, a web-based grant management system to administer the fiscal components of the grant. Approved application reports are publicly available at http://www.eride.ri.gov/Accelegrants/. Also, available in AcceleGrants is the Race to the Top Budget Guidance, the Race to the Top Budget Instructions and the RTTT Assurances signed by each LEA. The application approval process comprises of a fiscal review and a program review by a lead in each of the 5 program support systems. The Finance Office oversees the overall process to assure all approved applications comply with ARRA guidance and regulations and approves the sub-awards.

As indicated above, the LEA RTTT application is a consolidated budget structured around the following five support systems:

1. Standards and Curriculum
2. Instructional Improvement Systems
3. Educator Effectiveness
4. Human Capital Development
5. School Transformation and Innovation

LEAs were required to submit a budget for each RTTT system of support for the specific period of April 1, 2011 through September 30, 2012, for direct funding only for reimbursement of activities aligned to the timelines and sequencing of the initiatives in the LEAs approved Scope of Work. The balance of the allocations will be on reserve for years three and four of the RTTT grant.

Each LEA budget includes a direct allocation and a set aside. A direct allocation is funding an LEA will receive for reimbursement of costs incurred by the LEA for RTTT approved activities. A budget set-aside is LEA funds designated to support the costs incurred at the SEA for the design, development, and implementation of the five RTTT systems. These funds will be allocated to LEAs, but RIDE will budget the funding and post expenditures for each LEA as funding is drawn down for reimbursements for approved activities. Some LEAs were allocated non-committed funds, which have not yet been earmarked for specific agreed-upon RTTT activities outlined in the LEA's memorandum of understanding (MOU) and SOW. Since the Title I, Part A, formula was used to determine the allocation of RTTT funds for each LEA, it allowed for some LEAs to receive more funds than the projected amounts needed to implement the RTTT plans. LEAs can submit a proposal in the form of an amendment to their budgets to include these funds through the AcceleGrants amendment process.

LEA Cash Reimbursement

Reimbursements are made via cash request through the AcceleGrants process for the deliverables outlined in the approved LEA Scope of Work budget. This is consistent with other federal grant reimbursement cash requests at RIDE (similar to the SFSF reimbursement process), which includes compliance with ARRA reporting and state and federal monitoring requirements. Cash reimbursements are approved by finance staff, as received. All professional development sessions held by RIDE will be documented, to track LEA attendance at professional development trainings for a cash reimbursement to be approved. Funds are disbursed to LEAs based on actual expenditures, with the exception of design and development funds (see Attachment F: RTTT Cash Reimbursement Process).

Funds for design and development will be set aside for costs incurred during the development of the support systems and will be managed through an internal budgeting process to be handled at RIDE. RIDE will maintain a "RTTT fiscal tracking tool" that monitors how funds are allocated, set aside, budgeted, and spent. Although managed at the state level, these are LEA funds, and the revenue and expenses will be accounted in the LEA's general ledger. RIDE ensures that LEAs document RTTT expenditures properly through review of the Schedule of Expenditures of Federal Awards (SEFA) within the LEA's A-133 audit report.

Budget Adjustments and Amendments

The budget amendment process is also managed through the AcceleGrants system requiring both program and fiscal approval. An amendment to an approved budget application is required whenever there is including but not limited to the following:

- Balance of unapplied RTTT funds appearing in the budget summary;
- Anticipation that the approved RTTT plan, as currently designed, will not be fully implemented as expected, resulting in unexpended funds at the end of the grant period;
- Change in the total amount of available funds that has caused the currently approved budget to exceed the total amount of available funds due to changes in the sequencing and timelines of the RTTT activities;
- Change in the budgeted bottom line;
- Cumulative anticipated change(s) within or among objects of expenditure (budget series) that exceeds 10% of the total approved budget, or over $100,000.00, whichever amount is less;
- Change in the scope, goals, and/or intent of the currently approved SOW;
- Change in program activities and/or staffing that alters the scope, goals and/or intent of the currently approved SOW; and/or
- Changes that are required to correct any validation error messages that occur because of changes in allocation amounts.

Monitoring of Prime Recipients and Co-Prime Agencies

Pursuant to Section 1512 of ARRA, the State has established the following processes for monitoring prime recipients (RIDE) and co-prime agencies (State agencies).

<u>Spending Proposal Review</u>

Once notifications of funding allocations are made, each recipient is required to submit a spending proposal consisting with the following documents to OERR; Departmental Certification Letter, an Assessment Form, and a Budget and Justification Form. Each spending proposal must undergo both financial review and compliance review.

<u>Financial Reporting</u>

At the end of each month, OERR creates a series of financial reports, which are distributed to each State Agency receiving ARRA funds for review. Each State Agency must certify either (i) that the data contained in the report is accurate, or (ii) that review has revealed one or more inaccuracies or questions with respect to the data. After any inaccuracies are corrected, each State Agency must designate its finalized financial reports, which are published to the OERR website.

<u>ARRA Job Reporting</u>

Section 1512(c)(3)(D) of ARRA requires prime recipients of ARRA-funded awards to provide "an estimate of the number of jobs created and the number of jobs retained by each ARRA-funded project or activity". The reporting Guidance from the Office of Management and Budget (OMB), which implements this provision of ARRA, requires prime recipients that receive funds pursuant to ARRA to report: (i) an estimate of the number of jobs created and retained, and (ii) a narrative description of jobs created.

State agencies must report job data separately for each ARRA award. In addition, responsibility for job data reporting cannot be delegated to sub-recipients or vendors. Accordingly RIDE is responsible for:

1. Collecting and aggregating jobs data from themselves, sub-recipients and vendors;
2. Reporting jobs data to FederalReporting.gov; and
3. Maintaining adequate documentation of jobs data for potential audits.

<u>Section 1512 Reporting</u>
RIDE has elected to report on behalf of LEAs, on its 1512 Prime Report. RIDE collects and reviews the data submitted by sub-recipients for data quality, before including in the prime report. At the end of each quarter, prime recipients must report pursuant to section 1512 of ARRA. OERR reviews the data submitted to FederalReporting.gov for quality and publishes a copy of each section 1512 report to its website.

Monitoring of Sub-Recipients (LEAs)

In addition to the monitoring steps outlined above for all recipients of RTTT, RIDE will supplement the monitoring process for LEAs receiving RTTT funds. RIDE has developed several processes in order to assure maximum transparency and accountability in the use of all federal funds.

<u>ARRA Job Reporting</u>

Sub-recipients are responsible for:

1. Collecting and aggregating jobs data from themselves, sub-recipients and vendors;
2. Reporting jobs data to RIDE timely and accurately; and
3. Maintaining adequate documentation of jobs data for potential audits.

<u>Section 1512 Reporting</u>
At the end of each quarter, LEAs submit a vendor inventory listing all vendors that were paid using RTTT funds, from the beginning of the award through that quarter's end. RIDE reviews and compares the listed vendors with the LEA budgets to ensure that expenditures reported are reasonable and within budgeted lines. RIDE then inputs the sub-recipient award and vendor information onto the RTTT 1512 prime report (for all receiving $25,000 or more in RTTT funds), and submits the completed RTTT 1512 prime report to FederalReporting.gov.. Additionally, OERR reviews the data submitted by RIDE, on behalf of the sub-recipients, to FederalReporting.gov for data quality.

Each LEAs set-aside funds for design and development costs are managed at the state level through an internal monitoring and budgeting process. These costs are provided to each LEA quarterly by RIDE via the AcceleGrants system, during the reporting period, for each LEA to report and account for the expenses in the LEA's general ledger.

C. Monitoring of Non-Compliance and At-Risk Sub-Recipients

RIDE has important oversight responsibilities related to passed through funds for all federal programs. RIDE will monitor activities supported by RTTT funding, through its current oversight process, to ensure compliance with all applicable federal requirements. If a sub-recipient fails to comply with the requirements governing these funds RIDE may take one or more enforcement actions, consistent with applicable administrative procedures, including the withholding or suspending, in whole or part, funds awarded under the program, or recovering misspent funds following an audit. RIDE will determine sub-recipients that are at risk for non-compliance using information gathered from fiscal and programmatic reviews. The tools and processes used for making the determination are described below.

Sub-Recipient Annual Surveys

1. A-133 (Single Audit) Survey

RIDE's current oversight process includes an annual "Single Audit Survey", which is sent out on March 31st*. The survey asks LEAs to certify above or below $500,000 in federal funds being spent during the prior fiscal year. Those spending more than $500,000 during the fiscal year are required to submit an A-133 audit report to RIDE within 9 months of the end of their fiscal year. All A-133 reports are reviewed for financial statement or federal award findings which are specific to Education funds or that would indicate a problem that is potentially pervasive through all federal programs. RIDE follows up on findings that are repeated from prior years, findings without corrective action plans, as well as following up on potential discrepancies in the Schedule of Expenditures of Federal Awards.

*In SFY14, RIDE will include the RTTT Self-Assessment Survey as an attachment for all sub-recipients of RTTT funds to complete.

2. RTTT Self-Assessment Survey

All sub-recipients that have been awarded RTTT funds are subject to an additional annual self-assessment survey regarding RTTT implementation and supports received. This survey will focus on the current year just ending. A self assessment survey will be distributed, in early July**, to all sub-recipients. Sub-recipients are required to complete the survey within 60 business days. This self-assessment survey is a tool for cross-checking with other fiscal information to determine their risk assessment.

**The Self-Assessment Survey Attachment H will be merged and sent with the A-133 (Single Audit) survey in SFY14. See Attachment I for RIDE's fiscal monitoring schedule.

Risk Assessment

Within 90 days of receiving the self assessment survey results, all sub-recipients of federal funds may be subject to an annual risk assessment based on the following criteria:

1. Program compliance complexity
2. Percentage of pass-through funds
3. Award amount
4. Findings during application or financial reporting process
5. Single audit findings
6. History of non-compliance
7. New sub-recipient
8. Sub-recipient has gone through significant changes in organizational structure or infrastructure

Criteria 1 to 3 apply to all sub-recipients of RTTT funds. Criteria 4 to 8 will be applied on an individual basis. Based on the results of the self-assessment survey and other fiscal monitoring information, sub-recipients that are determined to be “High Risk” may be subject to additional reviews (e.g. on-site review).

Monitoring of High-Risk Sub-Recipients

RIDE auditors will conduct additional reviews as needed to high risk sub-recipients and compliance issues will be addressed in a manner consistent with RIDE policies.

Prior to a desk review or on-site visit, RIDE auditors will require the sub-recipient to submit specific documentation such as: uses of funds, fiscal oversight, maintenance-of-effort, progress in the five support systems as documented in the Collaborative Learning for Outcomes process, payroll and accounting, procurement and contracting protocols. Auditors will review the submitted documentation and interview programmatic and fiscal sub-recipients officials.

Monitoring Evaluation and Follow-up

Monitoring Report

After the desk review or monitoring visit, RIDE auditors will prepare a monitoring report that will contain a brief summary of the monitoring activities undertaken and a summary of findings, required corrective actions, and recommendations. A draft of the report will be transmitted electronically to the sub-recipients within 60 business days of the desk review or on-site visit. Sub-recipients have 15 business days to review the draft report and provide any technical edits, prior to RIDE’s issuance of the final report.

Sub-Recipient Response

Upon receipt of the final report, sub-recipients have 30 business days to respond to any required actions. RIDE auditors will review these responses and any other documentation provided to determine whether the response indicates that the actions that the sub-recipient has taken or proposes to take will ensure full compliance in the identified areas. Upon completion of this review, RIDE will send a letter to the sub-recipient approving or disapproving the proposed actions, noting any areas that require further action.

Follow-Up Activities

If a sub-recipient is not able to demonstrate sufficient progress toward full compliance with issues identified in the monitoring report, or when such issues are so significant and pervasive that on-site verification by RIDE is required, a follow-up visit will be scheduled as necessary. Follow-up visits are individualized to address the specific needs and issues presented by each sub-recipients, and will address verification of the sub-recipient's efforts to correct identified compliance issues.

Process for Supporting Compliance with the Scopes of Work

Throughout the performance monitoring process, RIDE will make every effort to ensure that both LEAs and vendors and contractors have a clear understanding of what is expected with respect to tasks, deliverables, time-lines, and documentation. For LEAs, RIDE will review the implementation data reports for each system of support, examine the results of the progress update reports that are completed for the CLO meeting, and review budget expenditures for each system. Based on this review, RIDE will determine whether an LEA requires further support or intervention from RIDE regarding compliance with their RTTT implementation work. [See the earlier description of the four features of progress monitoring, page 7]. RIDE will determine whether a participating LEA is not meeting its goals, budget requirements, annual targets, conducting an unallowable activity or failing to fulfill other applicable requirements. [See non-compliance process described above]. At a minimum, the Race to the Top Oversight Team will review on a quarterly basis the results of the CLO meetings with LEAs and determine the set of actions to be taken with any LEA who is at risk for non-compliance.

The first step in this process will be done by directly communicating and meeting with the LEA RTTT leadership team responsible for implementation. RIDE program staff will work with the LEA to determining appropriate solutions to ensure successful implementation. In the event that an LEA will not implement the agreed upon solutions, identified tasks and/or commitments within the LEA's SOW, RIDE will issue a formal written report outlining the options, implications, and conditions regarding the LEA withdrawal from the RTTT work. In the event this occurs, RIDE will contact ED regarding the necessary steps and approvals required when an LEA withdraws after the initial 90 day planning period.

D. Monitoring of Vendors and Contractors

RIDE project leads will be responsible for programmatic monitoring of vendors and contractors, (including any selected vendor or contractor that the awardees are using) including the developed deliverables, deadline adherence, and compliance with program objectives. Upon vendor procurement, a set of deliverables and reporting mechanisms will be established in each contract. Vendor sub-recipients will be responsible for following the determined protocols for both programmatic and fiscal review. At minimum, vendors/ contractors will meet with their RIDE project lead and other key individuals on a quarterly basis, develop and submit work plans, and submit monthly reports.

Performance monitoring meetings between RIDE and vendor/contractors will incorporate a review of successes and challenges, logistical issues, budgetary concerns, updates on deliverables and expectations for the next review meeting. RIDE and the sub-recipients will collaborate in determining agenda items for each program review session. The frequency of the programmatic review meetings will vary depending on the vendor/ contractor and the specific needs of each project. However, consistent review through progress reports will supplement the review meetings. Informal progress monitoring will occur through consistent communication with vendors and contractors by RIDE staff, as well as communication with districts being served by the vendor or contractor.

The following persons will be present for each program review meeting: the RIDE RTTT project leads, RIDE oversight staff, RIDE fiscal personnel, vendor project point persons, service providers, and vendor project management staff. Required documentation and reporting details will vary depending on the nature of each project. All written documentation and monitoring reports from vendors and contractors will be maintained in the Race to the Top documentation file. In addition, the Race to the Top Oversight Team will review on a quarterly basis all vendors and contractors progress in meeting SEA SOW timetable.

II. State Education Agency (SEA) Supports for Implementing the Monitoring Plan

The implementation of the RIDE *Strategic Plan for Transforming Education in Rhode Island (2010)* and the Race to the Top initiatives is overseen by the Commissioner's Adaptive Leadership Team (page A-29, RTTT application). This team is responsible for monitoring progress indicators in RTTT in order to make decisions regarding programmatic redirections, resource allocations, and staff members' deployment to ensure RTTT project implementation and engagement with LEAs. The Adaptive Leadership team created an Internal RTTT Oversight team that consists of key project leads to oversee the implementation of the RTTT grant program which includes the development of the SEA SOW, LEA SOWs, performance monitoring plan, monthly reports to ED, and amendment submissions to ED, as needed. These management supports are designed to ensure that the results of fiscal and programmatic monitoring will be addressed by RIDE key leaders throughout RTTT implementation. Further, RIDE has engaged UPD Consulting, a company with expertise in performance management for results in the public sector, in designing the programmatic performance monitoring process outlined in this plan that RIDE will use with LEAs. In addition to these internal SEA supports, RIDE has established an external advisory committee of engaged stakeholders, the RTTT Steering Committee, to support RTTT implementation, to review quarterly progress on RTTT implementation, and advise RIDE on issues related to improving implementation [page 12, SEA SOW; page A-38 application].

In planning our performance monitoring plan, two considerations were critical for the design: (1) shifting our traditional approach from compliance monitoring to a focus on student outcomes; and (2) a caution for not placing additional burdens on the LEAs with respect to data collection and paper reporting or increasing demands on LEAs for separate compliance monitoring efforts. As we continue to work on performance monitoring, RIDE is examining its overall state and federal monitoring obligations. Attachment G: RIDE's Current Monitoring System Obligations illustrates the direction we are working toward as we implement RTTT monitoring. Over the length of the Race to the Top grant, the state will refine and adjust the performance monitoring system to strengthen integration and alignment with other federal and state monitoring processes.

This performance monitoring plan is aligned with the outcomes and tasks for each of the five systems of support identified in the SEA SOW and the LEA SOWs. As such, the implementation of the performance monitoring plan is guided by clear expectations and key individuals who will be responsible for ensuring that the performance monitoring plan is carried out with fidelity and adjusted as needed.

Personnel and Consultants Responsible

The following table lists the key individuals who will be responsible for planning, overseeing, and implementing the performance monitoring plan.

Personnel and Consultants	Title
Deborah A. Gist	Commissioner of Education
David Abbott	Deputy Commissioner of Education
Vacant	Chief of Fiscal Integrity and Efficiencies
Mary Ann Snider	Chief of Educator Excellence and Instructional Effectiveness
Andrea Castaneda	Chief of Accelerating School Performance
Mary-Beth Fafard	RTTT Coordinator/ Strategic Planner
Mark Dunham	Director of Finance
David Alves	Grant and Finance Officer
RIDE Facilitators	8 Education Specialists
Alaina Restivo	RTTT Performance Management Executive
Leah McPhail	RTTT Executive Assistant
UPD Consulting	Performance Management/Progress Management Consultants

III. Attachments

- **A. LEA Collaborative Learning for Outcomes (CLO) Process**
- **B. Sample Gap Analysis Tool**
- **C. LEA Progress Update Template**
- **D. CLO Protocol**
- **E. LEA Grouping and Calendar**
- **F. RTTT Cash Reimbursement Process**
- **G. RIDE's Current Monitoring System Obligations**
- **H. RTTT Self-Assessment Survey**
- **I. Fiscal Monitoring Schedule**

LEA Collaborative Learning for Outcomes (CLO) Process

As we begin the implementation of our Race to the Top work together, it is critical that we know that our work is producing the results we expect. We all know that there is no "to-do" list that we can complete to be successful in our implementation. Success in our educational reforms supported with Race to the Top funding will require real-time learning, collaboration, and adaptation. We must frequently ask ourselves, "Are we delivering for our teachers and students?" and "If not, how do we adjust and learn from our experiences and those of our partner districts?" These are the objectives of a new process RIDE is developing as part of Race to the Top implementation monitoring and support: Collaborative Learning for Outcomes.

Facilitated and coordinated by RIDE, the Collaborative Learning for Outcomes (CLO) process consists of regular meetings of small cohorts of Local Education Agencies (LEAs) during which the LEA Race to the Top Leadership Teams will engage in data-driven, problem-solving conversations with their peers. Through the CLOs, we will track progress, manage performance towards results, share effective practices, and improve communication between RIDE and participating LEAs.

CLOs will enable small groups of LEAs to engage in performance management of their Race to the Top reform implementation efforts in each of the five Systems of Support. The Systems of Support are: standards and curriculum, instructional improvement, educator effectiveness, human capital development, and school transformation and innovation. CLOs will be driven by the regular use of data in performance monitoring sessions that challenge LEA leaders to improve classroom, school and district-level practices based on data, shared implementation experiences and peer input. While primary strategic problem-solving responsibility lies with LEA leadership teams, a RIDE facilitator will work with each CLO to coordinate the process, document lessons learned and facilitate the discussions for the duration of the process.

The ultimate objective of CLOs is to provide a forum for collaboration in which LEAs will gain clarity and receive support and advice from each other on the tactics and strategies for the broad implementation and use of the systems being developed through Rhode Island's Race to the Top work, not limited to monitoring the technical tasks agreed to in the Race to the Top LEA Scopes of Work. At its heart, this work is about sharing how to best close achievement gaps and raise student achievement in LEAs across Rhode Island. CLOs are about performance management and sharing implementation practices between LEAs and are not intended to be forums for RIDE to provide technical assistance.

Goals of the CLO Process

- Provide small groups of LEA the opportunity to support each other in implementing their Race to the Top scopes of work through collaborative problem-solving discussions and sharing of effective practices
- Support and develop LEA capacity to use data for performance management and accountability
- Improve communication between RIDE and LEAs and between LEA leadership teams
- Identify differentiated supports RIDE can provide LEAs in their Race to the Top implementation
- Fulfill performance monitoring expectations from USED
- Develop a shared understanding of how implementation of reform efforts impacts the achievement of goals from the Rhode Island strategic plan for education (*Transforming Education*) and the Race to the Top application

Pre-Meeting Preparation & Post-Meeting Follow-Up

Prior to each meeting, the RIDE facilitator will work with LEA teams and RIDE program staff to compile data relevant to the upcoming discussion. The facilitator will then share the data and analysis with the meeting participants a few days before the meeting. For example, if the focus of the group discussion of System of Support One (the implementation of the study of the standards and curriculum alignment work), data compiled for the meeting may include: numbers of educators trained from each LEA compared with the total to be trained, percentage of schools by LEA that are implementing aligned curricula on-schedule, etc. Note that these metrics also will likely be part of the internal RIDE EdStat process (especially at the beginning of the implementation process), which will simplify the data collection burden on both LEA and RIDE staff and will help ensure that everyone is on the same page regarding how to measure effective implementation.

Once the implementation work is further along (probably in years 3 and 4 of Race to the Top implementation), data tracking progress on the student outcomes gaps identified through the LEA SOWs and the gap analysis process (including state assessment results and graduation rates) will also be discussed at the CLO meetings.

As part of the federal requirement to document LEA implementation work and in order to support strong discussions in the CLO meetings, LEA RTTT Leadership Teams will complete an online report with the following three sections:

- Documentation of the major implementation activities and challenges relating to all Systems of Support[1] as preparation for the upcoming CLO meeting.
- LEA self-assessment of their progress on implementing all Systems of Support using an online dashboard with clearly defined components as the basis of the self-evaluation.
- List questions they have for RIDE and other LEAs that can either be discussed at the CLO meeting or addressed through other communications.

Using an online collaboration system, RIDE facilitators will be responsible for sharing meeting notes, posting the action steps and assignments determined during the meeting and to share this with participants so that everyone has a written record of what was discussed and what they are responsible for between that meeting and the next.

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[1] *Note that LEAs implementing Support System Five (school transformation and innovation) will include all reports on progress on that system as a part of their regular reporting on transformation efforts in their PLA schools.*

RIDE facilitators will also be responsible for working with the RIDE program staff directly after meetings as needed to share issues that are brought up during CLO meetings and to follow-up prior to the next meetings to determine what actions were taken between meetings (to enable report-backs to the LEAs as part of the performance management process).

RIDE facilitators will also document best practices, lessons learned and other insights that develop through the process in the online system that will be developed to manage and document this process. Other facilitators and LEA team members will be able to access and add to content on this system which will be organized by topic and searchable (like how people use tags in blogs) so that there is open information and another forum for sharing what works across all LEAs in the state.

In between meetings, LEA leadership teams are responsible for all assigned action items and for providing data (as needed) and updates for the upcoming meeting. Action items should not be make-work or additional implementation responsibilities but should focus on improving strategies for implementing ongoing work with the intention of achieving improvements in on-the-ground practice and student outcome results. LEA Teams will be responsible for updating the status of each action step they were assigned as needed prior to the next meeting using the online collaboration tool.

Meeting Logistics

CLO groups will include approximately five LEA RTTT leadership teams. Meetings are attended by RTTT leadership teams from each of the participating LEAs, made up of two to five people from each LEA, determined based on LEA Scopes of Work in consultation with RIDE. Meetings will also be attended by the RIDE facilitator and a second RIDE staff person responsible for documenting the discussion and supporting logistical coordination. Meetings will be 2 hours long and meeting calendars will be set and shared far in advance. Meetings locations will be determined in such a way as to enable efficient travel for participants.

Meeting Format

Each meeting will follow a standard format, beginning with a scan of implementation progress across all Systems of Support and updates on action items from the previous meeting. The core of the meetings will be data-based discussions focused on the implementation of one System of Support. Meetings will have clear norms, processes and purpose. The schedule for which System of Support will be the focus of each CLO meeting, as well as the meeting dates/times and locations, will be predictable and known by all participants far in advance. The core meeting topics will rotate so that each group covers multiple Systems of Support over the course of the year, as laid out in the schedule determined each year.

Draft meeting agenda

1. **Welcome, Introductions and Review of Agenda.** (10 minutes)
2. **Two-Minute Team Updates on RTTT Implementation.** Review of progress each LEA is making on RTTT implementation work based on the self-assessment progress dashboard completed prior to each meeting. Each LEA will have 2 minutes to report-out on major areas of progress and concern, share chart showing self-assessment colors. (15 minutes)
3. **Follow-Up from Previous Meeting and Previously Submitted Issues or Questions.** (25 minutes)
4. **Review of Data and Facilitated Discussion on Implementation of System of Support.** (60 minutes)
    a. Sharing of LEA-specific implementation data based on the LEA Implementation Data Analysis Report

b. Discussion of implementation plans, challenges and strategies for resolving barriers to implementation based on the Progress Update Reports (including questions for other LEAs)

5. **Review Next Steps and Action Items.** (10 minutes)

Preliminary Timeline

April-May 2011	• Create LEA performance monitoring process • Input on process from LEAs
June-September 2011	• Work with LEAs to orient them to the templates and the process • Confirm the gap analysis data and plans with the LEAs
October - November 2011	• Launch the CLO process with all LEAs • Document lessons learned, best practice examples and preliminary implementation status
December 2011-August 2012	• Continue to implement the CLO process with all LEAs on 10 week cycles • Document lessons learned, best practice examples and implementation status

Options for Grouping LEAs

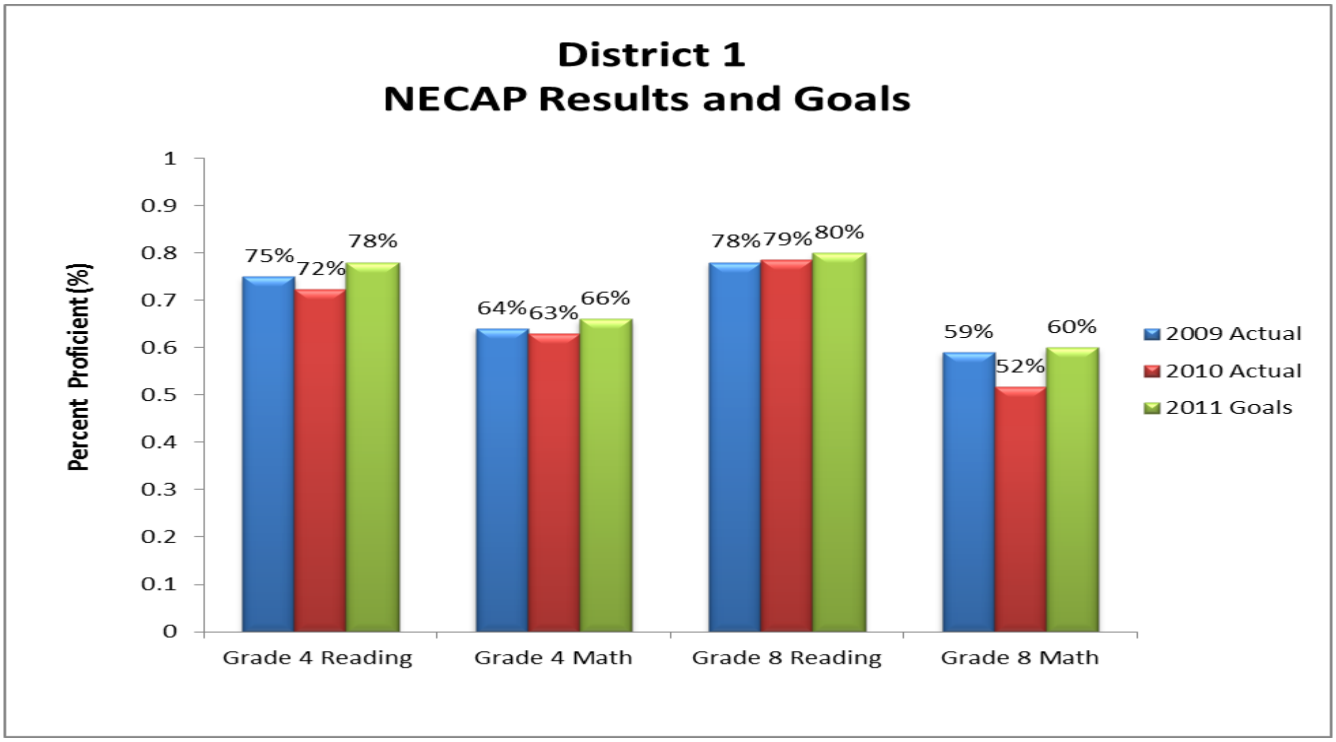
The grouping of LEAs for attending CLO meetings is being decided with LEA input. The following options are being taken into consideration and groupings will use a combination of these options as needed:

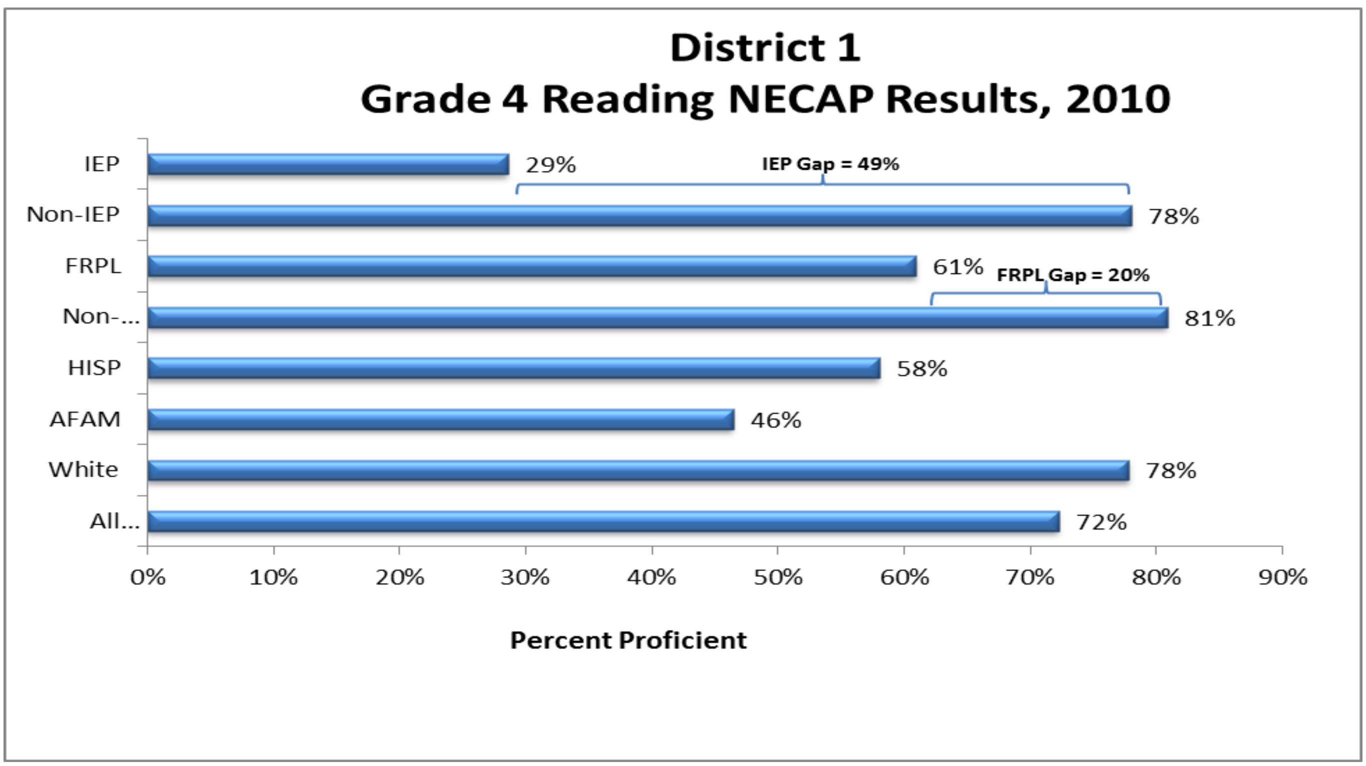
- By LEA type (urban, urban-ring, suburban, charters, state schools)
- By region or current collaborative association
- By LEA size (grouping different size LEAs together or grouping similarly sized LEAs together)
- By LEA preference (based on a survey)

SAMPLE GAP ANALYSIS TOOL PART 1

For the first part of the LEA RTTT Gap Analysis process, RIDE will populate LEA data into a Student Performance Outcomes Gap Analysis Template. Select tables and charts from this template are shown below. This data will be used during the Gap Analysis meetings with the LEA leadership teams to monitor progress towards the student performance goals set by each LEA and to reinforce the frame of the RTTT work in the context of improving student academic outcomes.

District 1: Goals and Performance Measures	2009 Actual	2010 Actual	2011 Goals	Difference 2009 - 2010	Progress 2009-2010	Gap between 2010 Actual - 2011 Goal
Students entering the fourth grade will be proficient in reading on NECAP	75%	72%	78%	-3%	▼	-6%
Students entering the fourth grade will be proficient in mathematics on NECAP	64%	63%	66%	-1%	▼	-3%
Students entering the eighth grade will be proficient in reading on NECAP	78%	79%	80%	1%	▲	-1%
Students entering the eighth grade will be proficient in mathematics on NECAP	59%	52%	60%	-7%	▼	-8%
85% of students who first entered 9th grade 4 years prior will graduate from high school	80%	81%	81%	1%	▲	0%
77% of students who graduate from high school will enroll in an institution of higher education (IHE) within 16 months of receiving a diploma	75%	75%	76%	0%	◀▶	-1%
90% of students who enroll in an institution of higher education will complete at least one year's worth of credit within two years of enrollment in the IHE	80%	88%	82%	8%	▲	6%


District 1
NECAP Results and Goals
Percent Proficient (%)
1
0.9
0.8
0.7
0.6
0.5
0.4
0.3
0.2
0.1
0
75%
72%
78%
64%
63%
66%
78%
79%
80%
59%
52%
60%
Grade 4 Reading
Grade 4 Math
Grade 8 Reading
Grade 8 Math
2009 Actual
2010 Actual
2011 Goals


District 1
Grade 4 Reading NECAP Results, 2010
IEP
Non-IEP
FRPL
Non-...
HISP
AFAM
White
All...
29%
IEP Gap = 49%
78%
61%
FRPL Gap = 20%
81%
58%
46%
78%
72%
0%
10%
20%
30%
40%
50%
60%
70%
80%
90%
Percent Proficient

SAMPLE GAP ANALYSIS TOOL PART 2

For the second part of the LEA RTTT Gap Analysis process, all LEAs will work with RIDE to complete an analysis of implementation capacity gaps using the tool below. The LEAs will complete the analysis for all specific RTTT projects that are either (a) slated to begin during the upcoming school year or (b) have already begun and will continue through the upcoming school year. The Gap Analysis Tool is designed to address the four LEA capacities that are identified in Rhode Island's Basic Education Program Regulations: Leadership, Content, Infrastructure and Personnel Supports [G-12-2.3].

This capacity gap analysis is aligned with the LEA SOW that asked LEAs to identify adaptive challenges for RTTT implementation. The RTTT projects have been mapped to the four LEA capacities to demonstrate the expectations for successful implementation of a particular system of support (see examples below of the four LEA capacities and the sample templates for the Study of the Standards and Model Curriculum Development projects).

EXAMPLES OF THE FOUR LEA CAPACITIES USED IN THE GAP ANALYSIS	
Leadership	• Central office and building leadership • Leadership structure and tenure • Distributive leadership structure, including assistant principals, department chairs, teacher leaders, instructional coaches, etc. • Leadership commitment to strategic plan
Content	• Academic standards • Curricula • Assessment instruments and sufficiency of assessment cycle • Cross-disciplinary connections • Instructional practices and quality of pedagogy • Lesson Planning
Infrastructure	• Organizational structure • Technology • Resources and materials • Planning time • Fiscal management and resource distribution • School calendar and schedule • District strategic plan and school improvement plans
Personnel Supports	• Teacher mentoring • Observation and evaluation instruments and processes • Technical support • Leadership support • Professional development • Parent and community engagement • System of student supports

Gap Analysis Tool: Study of the Standards						
	Weak (1)	**Strong (4)**	**LEA Evidence**	**BEP Evidence**	**Readiness Score** 1 2 3 4 **Weak Strong**	**Avg. Score**
Leadership	• Ownership of the Study of the Standards (SoS) work is not explicitly assigned to an individual or team. Participants are chosen randomly. • Participants are not aware of the purpose of Study of the Standards workshops and/or believe they are attending a "Train the Trainer" session.	• Ownership of the Study of the Standards (SoS) work and transition to the CC has been assigned to an individual or team & stakeholders know of this designation so that participants in the SoS are selected strategically. • Participants are aware of the purpose of the Study of the Standards workshops, how it fits into their district plan and their role post-attendance.				
	• Planning for implementation of the CC and SoS has not included principals and/or teacher leaders and there is no explicit plan for its implementation	• Both principals and teachers have been engaged in SoS and in planning for implementation of the CC so that each school has a plan for gradual implementation of the CC				
	• Principals are unaware of the relationship among the SoS, the transition to the CC, and the Educator Evaluation observations of practice	• Principals understand the relationship among the SoS, the implementation of the CC and the Educator Evaluation observations of practice				
Content	• The SoS and the incremental transition to the CC is not currently district priority	• The SoS and the transition to the CC is a district priority and clearly visible in the strategic plan and district budget				
	• Central office and building leadership do not have a multi-year plan for completion of SoS and the roll-out of the CC	• Central office and building leadership have a multi-year plan for completion of SoS and the roll-out of the CC				

Infra-structure	• Staff are left to themselves to find and use resources and materials to support their understanding of the CC • Common planning time is not used to support the CC.	• The district has identified specific tools and materials for staff to access to support the understanding of the CC • Common planning time is designed to support discussions and planning for implementing model lessons and units aligned to the CC				
Personnel Supports	• LEA has not scheduled teachers to participate in the SoS training	• LEA has fully scheduled teachers into the SoS training				
	• LEA has no plan in place to scale up the SoS training to reach all educators	• LEA has a viable plan for scaling the training throughout the district				
	• LEA has not integrated SoS or implementation of CC into any short or long-term professional development planning	• LEA has integrated SoS and implementation of the CC into the professional development and common planning plan for the 11-12 academic year.				

Gap Analysis Tool: Model Curriculum Development						
	Weak (1)	**Strong (4)**	**LEA Evidence**	**BEP Evidence**	**Readiness Score** 1 2 3 4 **Weak Strong**	**Avg. Score**
Leadership	• Leadership, at all levels, was not engaged in the planning and decision-making for curriculum	• Leadership, at all levels, was included in the gap analysis study and decision to develop curriculum in a particular content area				
	• Leadership does not participate in the leadership strand of the curriculum work, nor do they implement classroom walkthroughs	• Leadership from the central office and schools participate in the leadership strand and implement classroom walkthroughs				
	• The district has no plan or process for evaluating and revising the curriculum	• The district has someone responsible for developing and implementing a process to implement, evaluate, and revise the curriculum over a specified timeframe.				
Content	• Teachers have little to no understanding of the content standards.	• Teachers have studied the content standards deeply and are knowledgeable of the progressions of learning in each content area above and below the grade level they teach.				
	• There are few or no opportunities to capitalize on cross-disciplinary connections. • Curriculum is based on resource availability or textbooks. • Curriculum does not include differentiation or strategies for ELL, special education or other populations. • Social Studies and/or Science and	• Cross-disciplinary connections are made explicit and teachers work together to align integrated units of study that take advantage of these connections. • Curriculum is based on RI Standards first, with resources (including text) in support. • Curriculum includes support for all learners, including but not limited to ELL, special education and others. • Social Studies and/or Science and or Technical Subjects teachers are aware of				

	or Technical Subjects teachers are not aware or do not implement the CCSS for literacy in History/Social Studies, Science and Technical subjects.	and implement in their instruction the CCSS for literacy in History/Social Studies, Science and Technical subjects.				
Infrastructure	• District has not distributed the new curriculum documents • There are not enough materials for teachers to implement the curriculum • There is no dedicated time to review data and problem-solve around issues related to implementing new curriculum • Leadership has no multi- year plan for implementation of model curriculum.	• District distributes either paper or electronic version of new curriculum to every effected educator in the district. • Every teacher and classroom has the materials needed to implement the curriculum • There is dedicated time for teachers and administrators to review data and problem-solve around issues related to implementing the new curriculum • Leadership has a multi- year plan for implementation of model curriculum, including staffing, budget and strategic plan.				
Personnel Supports	• Teachers are provided with no professional development or support to implement the new curriculum.	• Teachers are provided with professional development (both content and pedagogy) and are well prepared to implement the new curriculum				
	• Administrators do not monitor the implementation of the curriculum	• Administrators are required to gather data to determine if the new curriculum is being implemented with fidelity				
	• Families are not aware of the curriculum • Students performing below grade level are not provided with any support to close gaps.	• Families understand the new curriculum and are aware of grade specific expectations for their children • Students who are not able to engage in curriculum at grade level are identified and given support				

Rhode Island Race to the Top (RTTT) Progress Update
LEA Performance Monitoring System

The Collaborative Learning for Outcomes (CLO) process is the principal instrument of support and performance monitoring for LEAs in Rhode Island's Race to the Top work. Coordinated by RIDE, small groups of LEAs will meet at least four times each year to share their experiences in implementing the Race to the Top reform efforts in each of the five Systems of Support (standards and curriculum, instructional improvement, educator effectiveness, human capital development and school transformation and innovation) and to problem-solve together.

As part of the federal requirement to document LEA implementation work and to support strong discussions in the CLO meetings, LEA RTTT Leadership Teams will complete a Progress Update Report documenting their implementation progress and challenges relating to each of the Systems of Support currently being implemented at the LEA level. This report will be submitted online prior to each CLO meeting and will be used to generate some of the meeting content. The report also has a section where LEAs can list questions they have for RIDE and other LEAs that can either be discussed at the CLO meeting or addressed through other communications. LEA RTTT Leadership Teams are expected to come prepared to use this report as part of the CLO meeting discussions.

LEAs should complete the Progress Update Reports to reflect not only their participation in the technical tasks outlined in the LEA Scopes of Work but to reflect all activities undertaken relating to the strategic use and implementation of the statewide systems developed through Race to the Top in Rhode Island. For example, "major implementation activities" for study of the standards should include not only numbers of educators participating in the state-provided trainings but plans, protocols and activities undertaken by the LEA to ensure that this knowledge (a) is shared with all educators in the LEA, and (b) is making a difference in school and classroom practices.

For the <u>self-assessment of implementation</u> component of this progress update, please use the following color-key to indicate the status of implementation for each of the active RTTT projects:

GREEN: Implementation of this project is **on-track** for timely implementation and there is evidence that the work is taking hold at the school and district levels

YELLOW: Implementation of this project is **delayed** and more preparation or alternative strategies are needed for the work to take hold at the school and district levels

RED: Implementation of this project is **off-track** for timely completion and there are significant barriers to implementation at the school and district levels

LEA	*ONLINE SYSTEM WILL AUTO-POPULATE*
Date	*ONLINE SYSTEM WILL AUTO-POPULATE*
Reporting Period	*ONLINE SYSTEM WILL AUTO-POPULATE*

SYSTEM OF SUPPORT	**LEA ACTION PLAN IMPLEMENTATION STATUS** *Please use the following colors to label whether implementation of each of these projects is on-track (green), delayed (yellow) or off-track (red). Sample colors are included below.*	**Key Accomplishments and Major Implementation Activities Undertaken in This Reporting Period** *Please include all activities undertaken relating to the strategic use and implementation of the relevant statewide systems developed through Race to the Top in Rhode Island.*	**Implementation Challenges Encountered and Resolutions Developed in This Reporting Period** *Please include all challenges and resolutions relating to the strategic use and implementation of the relevant statewide systems developed through Race to the Top in Rhode Island.*
System of Support 1: Standards and Curriculum	Study of the Standards: GREEN Model Curriculum Development: YELLOW	• [example] All designated teams of educators have completed training in study of the standards • [example] Copies of the common core state standards have been distributed to all relevant educators • [example] Teams have been selected for participation in science model curriculum development project	• [example] School leaders are having trouble determining the best way to share the information from the study of the standards training attended by small teams with the other educators in the school—need help thinking through the most effective and efficient plans for how best to use PD and internal school resources to do this
System of Support 2: Instructional Improvement	Formative Assessment: Interim Assessments: Instructional Management System Data Platform: Using Data Professional Development:	*NOT APPLICABLE AT THIS TIME*	*NOT APPLICABLE AT THIS TIME*
System of Support 3: Educator Effectiveness	RI Evaluation Design and Implementation: RED	• [success here] • [success here]	• [challenge here] • [challenge here] • [challenge here]
System of Support 4: Human Capital Development	Statewide Educator Recruiting Platform: GREEN New Teacher Induction: GREEN	• [success here] • [success here] • [success here]	• [challenge here] • [challenge here]
System of Support 5: School Transformation and Innovation	School Achievement Specialist: Turnaround Principal Corp: Summer Leadership Institute: Evaluation Implementation:	*LEAs implementing Support System Five (school transformation and innovation) will include all reports on progress on that system as a part of their annual reporting on transformation efforts in their PLA schools.*	

Questions for the Other LEA RTTT Leadership Teams:

1. ____
2. ____
3. ____

Questions for RIDE:

1. ____
2. ____
3. ____

CLO Protocol to be Used at Meetings

This Protocol is intended to guide the facilitator and the LEA leadership teams during the CLO meetings to: (1) Do a quick assessment of implementation; (2) Answer a series of questions; (3) Examine data that has been collected on implementation; and (4) Share practices and challenges faced. A version of this protocol will be created for every CLO meeting summarizing LEA-level implementation progress data, LEA self-assessment of implementation progress information and challenges and accomplishments submitted by LEAs in advance of the meeting.

<table>
<tr><td colspan="2">Race to the Top
LEA Collaborative Learning for Outcomes (CLO) Meeting
October 18, 2011</td></tr>
<tr><td>Meeting Purpose</td><td>To review current implementation of RTTT strategies in LEAs
• Discuss current progress to goal
• Identifies barriers to implementation
• Collaborate with CLO members on potential solutions
• Identify and assign action items, where applicable</td></tr>
<tr><td>Agenda</td><td>8:00 – 8:10 AM Welcome and review of agenda
8:10 – 8:25 AM Two-Minute Team Updates: RTTT Implementation
8:25 – 8:50 AM Follow-Up from Previous Meeting and Previously Submitted Issues or Questions
8:50 – 9:50 AM Review of Data and Facilitated Discussion on Implementation of Standards and Curriculum Initiatives
9:50 – 10:00 AM Review Next Steps and Action Items</td></tr>
<tr><td>Attendees</td><td>- CLO Group 2: District 1, District 2, District 3, District 4, and District 5
- [TBD], RIDE Facilitator
- Cali Cornell, RIDE Documenter
- Elaine Budish, UPD
- Andrea Castaneda, RIDE Chief of Accelerating School Performance</td></tr>
</table>

Two-Minute Team Updates: RTTT Implementation

[This is an opportunity for each team to talk for two minutes regarding their RTTT implementation overall and to highlight major challenges or successes that they want to share. Facilitator can point out patterns across LEAs, such as in Educator Evaluation System implementation problems and seen in the table below. The content of this table is populated using the LEA's self-assessment of progress on all active projects submitted prior to each CLO meeting.]

	Study of the Standards	Model Curriculum	Educator Evaluation System	New Teacher Induction
District 1	Delayed	Off Track	Off Track	On Track
District 2	On Track	Delayed	Off Track	On Track
District 3	On Track	On Track	Off Track	On Track
District 4	Delayed	On Track	Off Track	On Track
District 5	On Track	On Track	Off Track	On Track

1. What factors are driving the colors denoting project status in the table above?
2. What challenges are common between LEAs? What challenges are shared by LEAs?

This is a working document that will be revised based on feedback gathered during the initial phase of the process.

Follow Up from Prior Meeting and Previously Submitted Issues or Questions:

Below are the questions you submitted for RIDE along with preliminary answers, as well as the updates you provided on action items from the previous meeting.

The following questions for RIDE were submitted by you in your Self-Assessment Progress Report with preliminary answers from the project teams at RIDE. All questions and answers from every CLO group are also available on the CLO online site in the Q&A section (www.collaborativelearningforoutcomesri.com).

1. When can we expect the copies of the common core state standards to be available and what is the process for receiving them? This question was submitted by District 3.
    a. Copies will be available beginning on July 1, 2011. You can call John Doe at RIDE at (401) 222-5555 to arrange a pickup date and time.
2. Question 2 for RIDE is….and was submitted by….
    a. Preliminary answer #2
3. Question 3 for RIDE is….and was submitted by….
    a. Preliminary answer #3

Updates on Action Items from Previous Meeting (New Teacher Induction (NTI) Program)

	Who	What	By When	Status	Comments
1	District 1	Set LEA policy for participation in the NTI Program	10/1/2011	Completed	Available through online collaboration site
2	District 2	Meet with every principal and teacher leader to update them on NTI Program	10/1/2011	Completed	Used district staff meeting time
3	District 3	Find funding to support additional induction coaches in Newport	10/1/2011	Not Started	Postponed working with school committee to re-direct funds due extent of budget crisis that has recently come to light
4	District 4	Address scheduling issues in implementing coaching	10/1/2011	Completed	Worked with New Teacher Center and RIDE to reschedule
5	District 5	Develop a plan to align the existing coaching program for new teachers with the RTTT NTI Program	10/1/2011	In Progress	Stakeholder group met and developed preliminary plan—final plan will be completed by 11/30/2011

Facilitated Discussion on Implementation of Standards and Curriculum Initiatives:

[Narrative summary of the key accomplishments, major activities and challenges faced by each district as it pertains to the implementation of System of Support 1: Standards and Curriculum. This section includes all activities undertaken relating to strategic use and implementation of the relevant statewide systems developed through Race to the Top in Rhode Island and is populated using data RIDE is tracking as well as information submitted by the LEAs in the progress update reports completed prior to each CLO meeting.]

Almost all districts have begun the process of training teachers and administrators on study of the standards.

- District 4 has trained 75% of their teachers on Module 1, and 100% of administrators
- District 1 has not begun the training, due to difficulties securing training space
- District 5 has trained 25% of administrators, but have not begun teacher training
- District 2 is an early adoption district, and has developed a plan for training all elementary and middle school educators in the common core state standards

District	# of Schools	# of Educators to be Trained	Educators Trained (#)	Educators Trained (%)
District 1	6	24	10	42%
District 2	6	24	0	0%
District 3	6	24	20	84%
District 4	3	12	12	100%
District 5	6	24	1	4%

System of Support	***District***	***Key Accomplishments & Major Activities***	***Challenges Faced***
Standards and Curriculum - Study of Standards - Model Curriculum Development	District 1	o All designated teams of educators have completed training in study of the standards o Copies of the common core state standards have been distributed to all relevant educators o Teams have been selected for participation in science model curriculum development project	o School leaders are having trouble determining the best way to share the information from the study of the standards training attended by small teams with the other educators in the school—need help thinking through the most effective and efficient plans for how best to use PD and internal school resources to do this
	District 2	o Accomplishment 1 o Accomplishment 2 o Accomplishment 3	o Challenge 1 o Challenge 2 o Challenge 3
	District 3	o Accomplishment 1 o Accomplishment 2 o Accomplishment 3	o Challenge 1 o Challenge 2 o Challenge 3

	District 4	o Accomplishment 1 o Accomplishment 2 o Accomplishment 3	o Challenge 1 o Challenge 2 o Challenge 3
	District 5	o Accomplishment 1 o Accomplishment 2 o Accomplishment 3	o Challenge 1 o Challenge 2 o Challenge 3

Discussion Questions:

1. What has been the most successful of the work you have done so far? What has been least successful?
    a. *(Facilitator Note for Follow Up) District 3, it looks like you are having success communicating across all district stakeholders about the new common core state standards. Can you share what is working for you and what challenges you have been facing?*

2. When you look at the work you are doing to implement the standards and curriculum projects, what do you think are biggest barriers to success? What tools, resources and practices have you found to be the most successful in overcoming these barriers?

3. How will you know that your work is delivering its intended outcomes and leading to improvements in student achievement? How will you measure this?

Questions submitted in progress update reports for other LEA RTTT Leadership Teams:

1. What are other small LEAs doing to monitor classroom implementation of the new common core state standards given that there are insufficient administrative resources (and knowledge) to visit every classroom? This question was submitted by District 5.
2. Question 2 for other LEAs is….and was submitted by….
3. Question 3 other LEAs is….and was submitted by….

LEA Groups for the Collaborative Learning for Outcomes (CLO) Process

Preliminary CLO groupings were determined using a combination of the following grouping options: regional and/or current collaborative associations, LEA type (urban, suburban, charter, etc.), LEA size, and specific LEA requests.

Group	Members					
1	Chariho	Coventry	Exeter-West Greenwich	West Warwick	Westerly		
2	East Greenwich	Jamestown	Narragansett	New Shoreham	North Kingstown	South Kingstown	
3	Barrington	Bristol Warren	Little Compton	Middletown	Newport	Portsmouth	Tiverton
4	Burrillville	Foster	Foster-Glocester	Glocester	North Smithfield	Scituate	Smithfield
5	Cranston	Providence	Warwick				
6	Central Falls	East Providence	North Providence	Pawtucket			
7	Cumberland	Johnston	Lincoln	Woonsocket			
8	BEACON Charter School	Blackstone Academy Charter	Davies Career and Tech	DCYF	The MET	Paul Cuffee Charter	RI School for the Deaf
9	Blackstone Valley Prep Charter	Compass Charter School	Highlander Charter School	International Charter School	Kingston Hill Academy Charter	The Learning Community Charter	Segue Charter

Collaborative Learning for Outcomes (CLO) | 2011-2012 CALENDAR

SEPTEMBER 2011

S	M	T	W	Th	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

CLO Group #1
Tuesday, October 18, 8:00 – 10:00am
CLO Group #2
Wednesday, October 19, 8:00 – 10:00am
CLO Group #3
Tuesday, October 25, 8:00 – 10:00am
CLO Group #4
Wednesday, October 26, 8:00 – 10:00am

OCTOBER 2011

S	M	T	W	Th	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

CLO Group #5
Tuesday, November 1, 8:00 – 10:00am
CLO Group #6
Wednesday, November 2, 8:00 – 10:00am
CLO Group #7
Tuesday, November 8, 8:00 – 10:00am
CLO Group #8
Wednesday, November 9, 4:30 – 6:30pm
CLO Group #9
Tuesday, November 15, 4:30 – 6:30pm

NOVEMBER 2011

S	M	T	W	Th	F	S
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30			

DECEMBER 2011

S	M	T	W	Th	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

CLO Group #1
Tuesday, January 10, 8:00 – 10:00am
CLO Group #2
Wednesday, January 11, 8:00 – 10:00am
CLO Group #3
Wednesday, January 18, 8:00 – 10:00am
CLO Group #4
Tuesday, January 24, 8:00 – 10:00am
CLO Group #5
Wednesday, January 25, 8:00 – 10:00am
CLO Group #6
Tuesday, January 31, 8:00 – 10:00am

JANUARY 2012

S	M	T	W	Th	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

CLO Group #7
Wednesday, February 1, 8:00 – 10:00am
CLO Group #8
Tuesday, February 7, 4:30 – 6:30pm
CLO Group #9
Wednesday, February 8, 4:30 – 6:30pm

FEBRUARY 2012

S	M	T	W	Th	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29			

MARCH 2012

S	M	T	W	Th	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

CLO Group #1
Tuesday, March 13, 8:00 – 10:00am
CLO Group #2
Tuesday, March 20, 8:00 – 10:00am
CLO Group #3
Wednesday, March 21, 8:00 – 10:00am
CLO Group #4
Tuesday, March 27, 8:00 – 10:00am
CLO Group #5
Wednesday, March 28, 8:00 – 10:00am

APRIL 2012

S	M	T	W	Th	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30					

CLO Group #6
Tuesday, April 3, 8:00 – 10:00am
CLO Group #7
Wednesday, April 4, 8:00 – 10:00am
CLO Group #8
Tuesday, April 10, 4:30 – 6:30pm
CLO Group #9
Wednesday, April 11, 4:30 – 6:30pm

MAY 2012

S	M	T	W	Th	F	S
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

CLO Group #1
Tuesday, May 15, 8:00 – 10:00am
CLO Group #2
Friday, May 18, 8:00 – 10:00am
CLO Group #3
Tuesday, May 22, 8:00 – 10:00am
CLO Group #4
Wednesday, May 23, 8:00 – 10:00am
CLO Group #5
Friday, May 25, 8:00 – 10:00am
CLO Group #6
Wednesday, May 30, 8:00 – 10:00am

JUNE 2012

S	M	T	W	Th	F	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30

CLO Group #7
Tuesday, May 30, 8:00 – 10:00am
CLO Group #8
Tuesday, June 5, 4:30 – 6:30pm
CLO Group #9
Wednesday, June 6, 4:30 – 6:30pm

JULY 2012

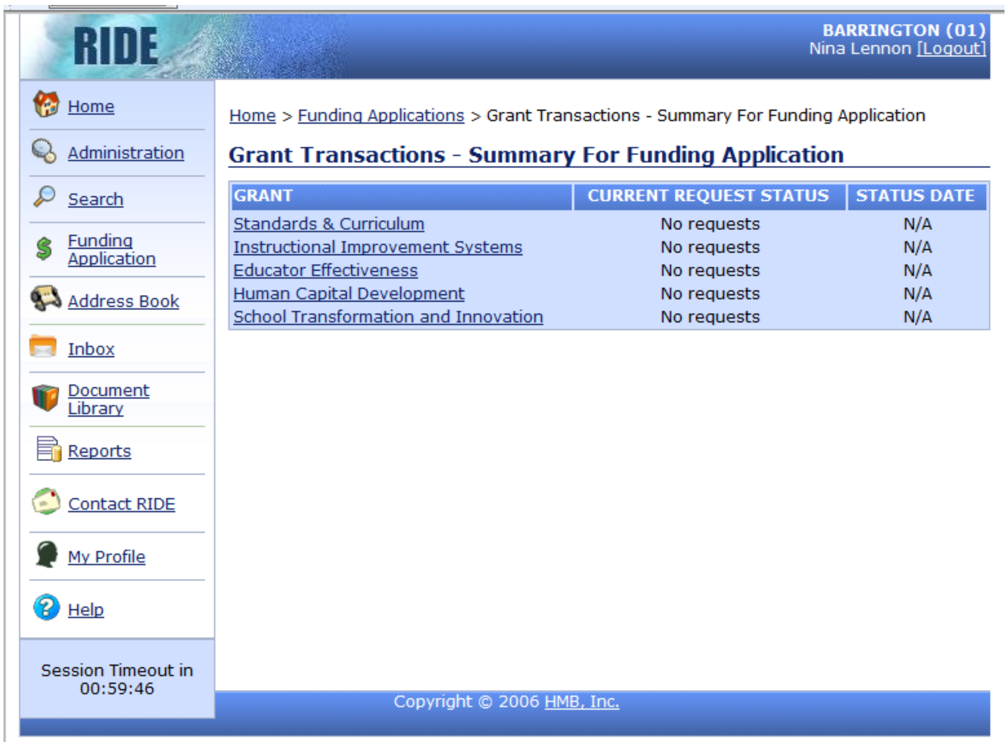
S	M	T	W	Th	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

AUGUST 2012

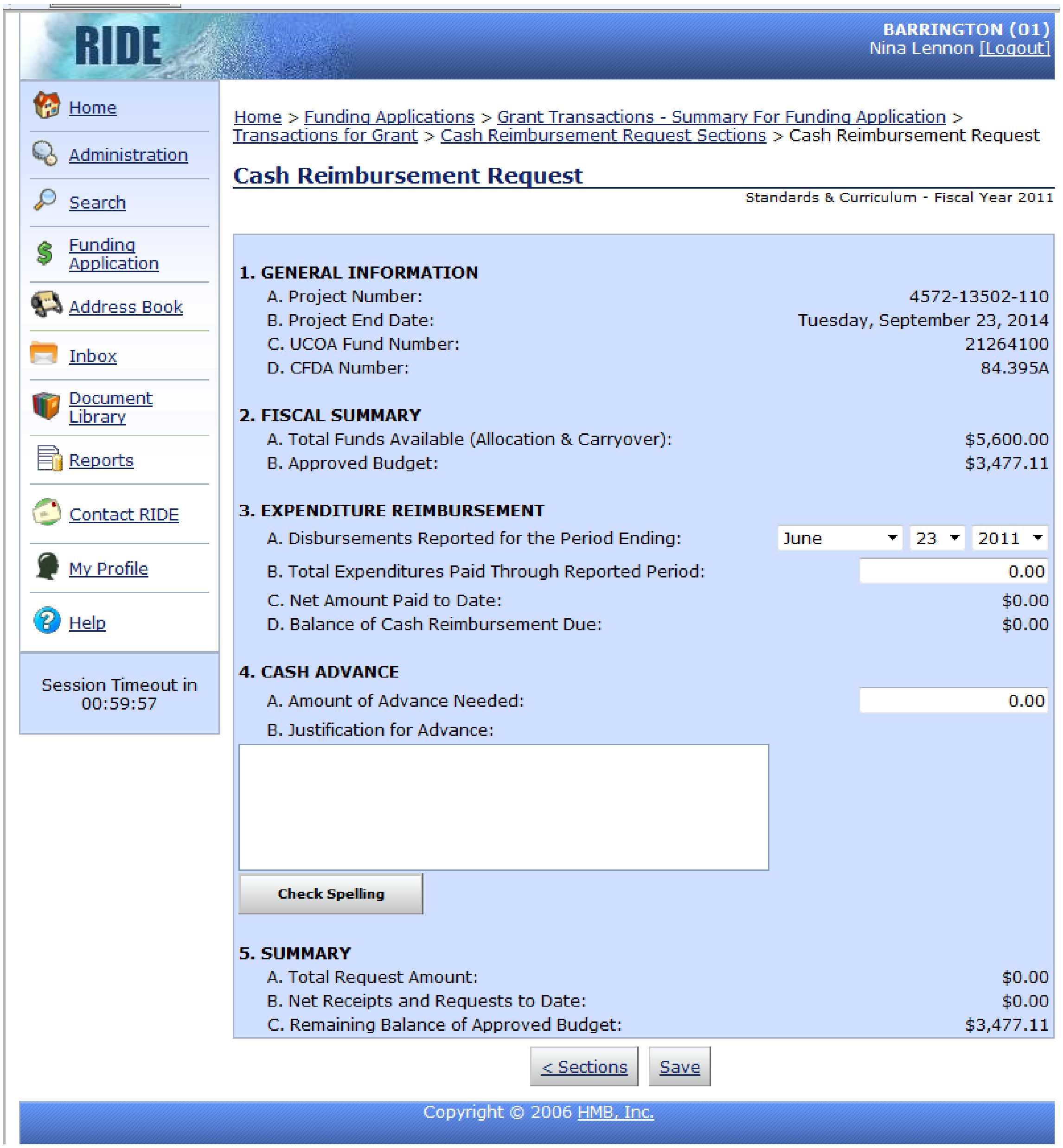
S	M	T	W	Th	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

Race to the Top Cash Reimbursement Process

Cash reimbursement requests from the Local Education Agency's (LEA) come into RIDE through AcceleGrants, a web-based grant management system. These requests are aligned to the deliverables outlined in the approved Scope of Work budget. Below is a screen shot of the Grant Transactions home page in AcceleGrants, which illustrates the breakdown of each system of support budget.



To submit a cash reimbursement request for Race to the Top expenditures, an LEA will select the appropriate system of support and AcceleGrants will then generate a new reimbursement request in the system. The expenditure reimbursement form will need to be completed by the LEA and submitted to RIDE. Below is an example screen shot of a new Standards & Curriculum cash reimbursement request.



RIDE

BARRINGTON (01)
Nina Lennon [Logout]

Home
Administration
Search
Funding Application
Address Book
Inbox
Document Library
Reports
Contact RIDE
My Profile
Help

Session Timeout in 00:59:57

Home > Funding Applications > Grant Transactions - Summary For Funding Application > Transactions for Grant > Cash Reimbursement Request Sections > Cash Reimbursement Request

Cash Reimbursement Request

Standards & Curriculum - Fiscal Year 2011

1. GENERAL INFORMATION

A. Project Number:	4572-13502-110
B. Project End Date:	Tuesday, September 23, 2014
C. UCOA Fund Number:	21264100
D. CFDA Number:	84.395A

2. FISCAL SUMMARY

A. Total Funds Available (Allocation & Carryover):	$5,600.00
B. Approved Budget:	$3,477.11

3. EXPENDITURE REIMBURSEMENT

A. Disbursements Reported for the Period Ending:	June 23 2011
B. Total Expenditures Paid Through Reported Period:	0.00
C. Net Amount Paid to Date:	$0.00
D. Balance of Cash Reimbursement Due:	$0.00

4. CASH ADVANCE

A. Amount of Advance Needed:	0.00
B. Justification for Advance:	

Check Spelling

5. SUMMARY

A. Total Request Amount:	$0.00
B. Net Receipts and Requests to Date:	$0.00
C. Remaining Balance of Approved Budget:	$3,477.11

< Sections Save

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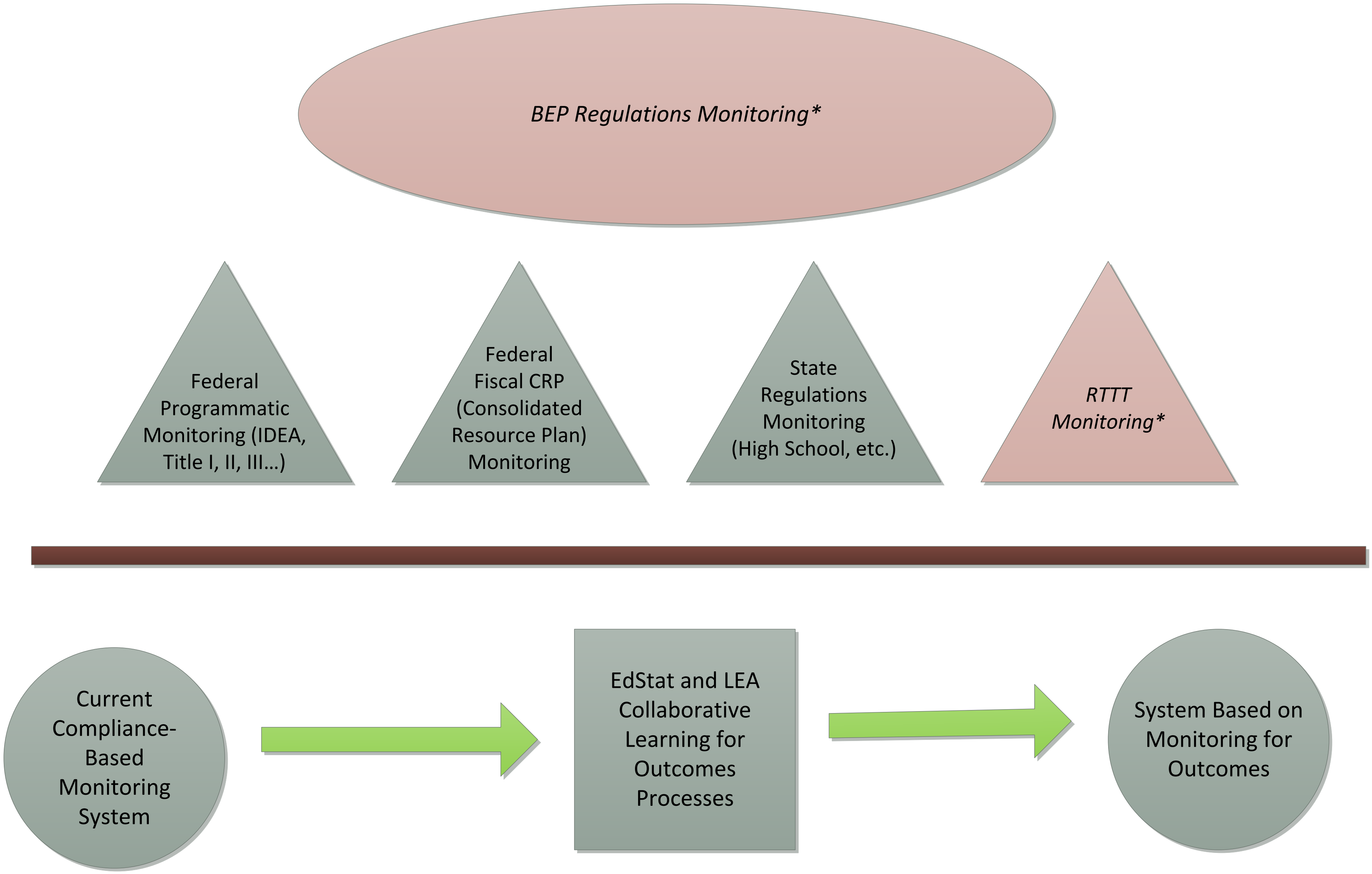
The cash reimbursement includes RTTT grant information which was pre-populated by RIDE, such as CFDA number. This also includes the Uniform Chart of Accounts (UCOA) fund numbers which allows the LEA to track and account for the RTTT funds. After an LEA submits a cash reimbursement to RIDE, it is reviewed by both program and fiscal staff before approval. Grant transaction reports are publicly available and can also be found at http://www.eride.ri.gov/Accelegrants/.

RIDE'S CURRENT MONITORING SYSTEM OBLIGATIONS



**Monitoring system currently in design phase.*

Attachment H: Race to the Top Self-Assessment Survey

LOCAL EDUCATIONAL AGENCY FISCAL MONITORING SURVEY

RACE TO THE TOP STATE INITIATIVES

THIS SURVEY MUST BE COMPLETED AND RETURNED TO RIDE BY SEPTEMBER 5, 2013

Local Educational Agency: ____

Name/Title: ____

Telephone Number: ____

Email Address: ____

1. Please provide the name and contact information for the person at your LEA who is responsible for overseeing Race to the Top (RTT) spending to ensure consistency with budget plans and federal/state guidelines.

2. Please describe your LEA's accounting/financial system. How are RTTT expenditures charged and monitored to ensure compliance with state and federal requirements mandating segregation of ARRA funds from other funding received from the State and other sources, including other Federal awards or grants?

3. Please attach a copy of your LEA's Race to the Top chart of accounts.

4. Please describe the internal controls that are in place to ensure Race to the Top expenditures are allowable.

5. Please email evidence from your accounting system showing how FY13 expenditures were aligned to your last approved budget (for that period). Please email to Crystal Martin at crystal.martin@ride.ri.gov.

6. Are those employees paid with Race to the Top funds required to complete time and effort reports? How often are these reports completed? Are these reports signed by both the employee and approved by their supervisor?

7. Please list any questions or concerns related to your Race to the Top award.

Attachment I: RHODE ISLAND DEPARTMENT OF ELEMENTARY AND SECONDARY EDUCATION - SUB-RECIPIENT OVERSIGHT - MERGE OF PROCESSES IN SFY14

Attachment I: Schedule

	SINGLE AUDIT REVIEW	SFY 13												SFY 14												SFY 15											
		JAN	FEB	MAR	APR	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
1	**single audit surveys (certification) &**																																				
1a	*email surveys to all sub-recipients (through Access)*			X												X												X									
1a1	*Send self-assessment survey to all Race to the Top recipients- this will be an attachment to the single audit survey (starting in SFY14)*															X												X									
1b	*collection of surveys/single audits (first round)*			X	X											X	X											X	X								
1c	*second round of surveys*				X												X												X								
1d	*collection of surveys/single audits (second round)*				X	X											X	X											X	X							
1e	*final round of surveys*					X												X												X							
1f	*collection of surveys/single audits (final round)*					X	X											X	X											X	X						
1f1	*Collection of RTT surveys* ***(60 day window)***															X	X	x										X	X	x							
1g	*follow up with any outstanding non-responders*						X	X	X	X	X	X	X	X	X				X	X	X	X	X	X	X	X	X				X	X	X	X	X	X	X
2	**Review of survey responses**			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
2a	*Follow up on conflicting answers*			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
2b	*Conduct risk assessment for RTT survey responses (due after 90 days of receipt)*									X	X	X						X	X	X										X	X	X					
3	**Review of single audits**			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
3a	*Audits with no findings or finding with sufficient corrective action plans; no significant discrepancies in SEFA; no deficit in school unrestricted fund; etc. - send* ***no finding*** *letter by 6 months after receipt of single audit report (may receive audits as early as October)*	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
3b	*Audits with findings; SEFA discrepancies; deficits in unrestricted school fund; other questionable items -- send a follow up request for information, corrective actions, etc.(desk review)*	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
4	***Follow up for single audit review and RTT risk assessment***																																				
4a(S.A.)	*Perform On-site review as deemed necessary (if response or corrective actions are not sufficient or non-responsive - WILL USE BOTH REVIEWS TO DETERMINE NECESSARY ON-SITES*								X	X		X			X	X		X	X		X			X			X	X		X	X		X			X	
4b(S.A.)	*Final determination letters - must be sent to sub-recipients by 6 months after receipt of single audit report (may receive audits as early as October)*	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
4c(RTT)	*Perform desk reviews based on risk assessment (continuous)*											X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
4d(RTT)	*Perform on-site reviews based on risk assessment*														X	X		X	X		X			X			X	X		X	X		X			X	
4e(RTT)	**Final determination letters to those receiving desk reviews or on-site (due after 15 day review period by sub-recipient)**													X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

	SELF ASSESSMENT SURVEY - RACE TO THE TOP (tentative schedule)	JAN	FEB	MAR	APR	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC
1	**Send self-assessment survey to all Race to the Top recipient**							X					
2	**Collection of surveys (60 day window)**							X	X	x			
3	**Review of survey**									X	X	X	
3a	*Conduct Risk Assessment (* ***due 90 days after receipt*** *)*									X	X	X	
4	**Perform desk reviews based on risk assessment (continuous)**											X	X
5	**Perform on-site reviews based on risk assessment**												
6	**Draft determination letters to those receiving desk reviews or on-site (due 60 after review)**												X
7	**Final determination letters to those receiving desk reviews or on-site (due after 15 day review period by sub-recipient)**												

*** This process will be merged in SFY14 with the already in place single audit review for efficiency purposes (see above schedule)