

RACE TO THE TOP PHASE 3

PROGRAM REVIEW AND AMENDMENT PROCESS OVERVIEW

MAY 14, 2012

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Agenda

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1. Overview of Program Review Process
2. Amendment Process
3. State Subrecipient Monitoring Plans
4. Reporting Requirements
5. Resources and Q&A

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Program Review Process

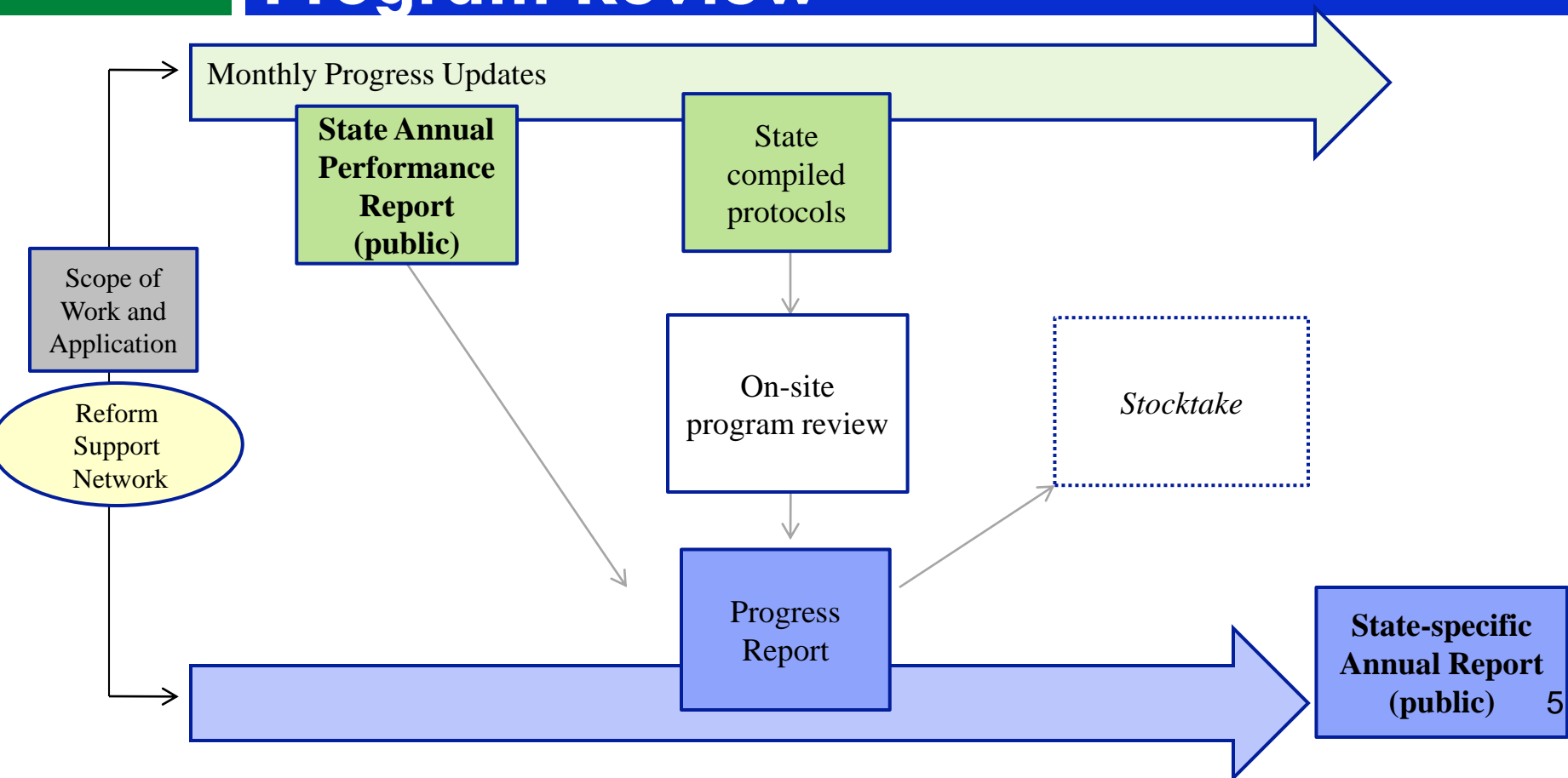
Program Review Principles

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- ❑ Focus on **continuous improvement** and mutual problem-solving and accountability
- ❑ Emphasize **outcomes and quality** of program implementation rather than compliance
- ❑ **Support coherent and thoughtful reform** and help resolve barriers to implementation
- ❑ Incorporate **State-specific** processes, priorities and goals

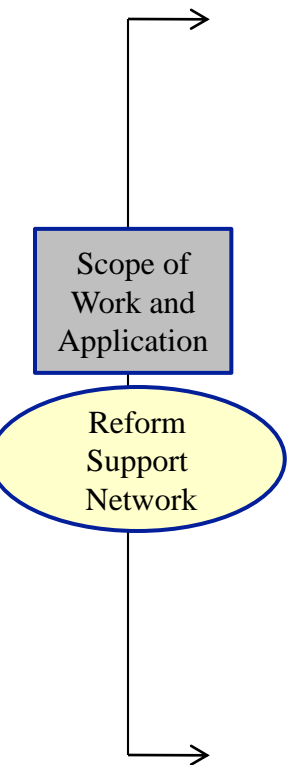
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Components of Race to the Top Phase 3 Program Review



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Scope of Work and Application



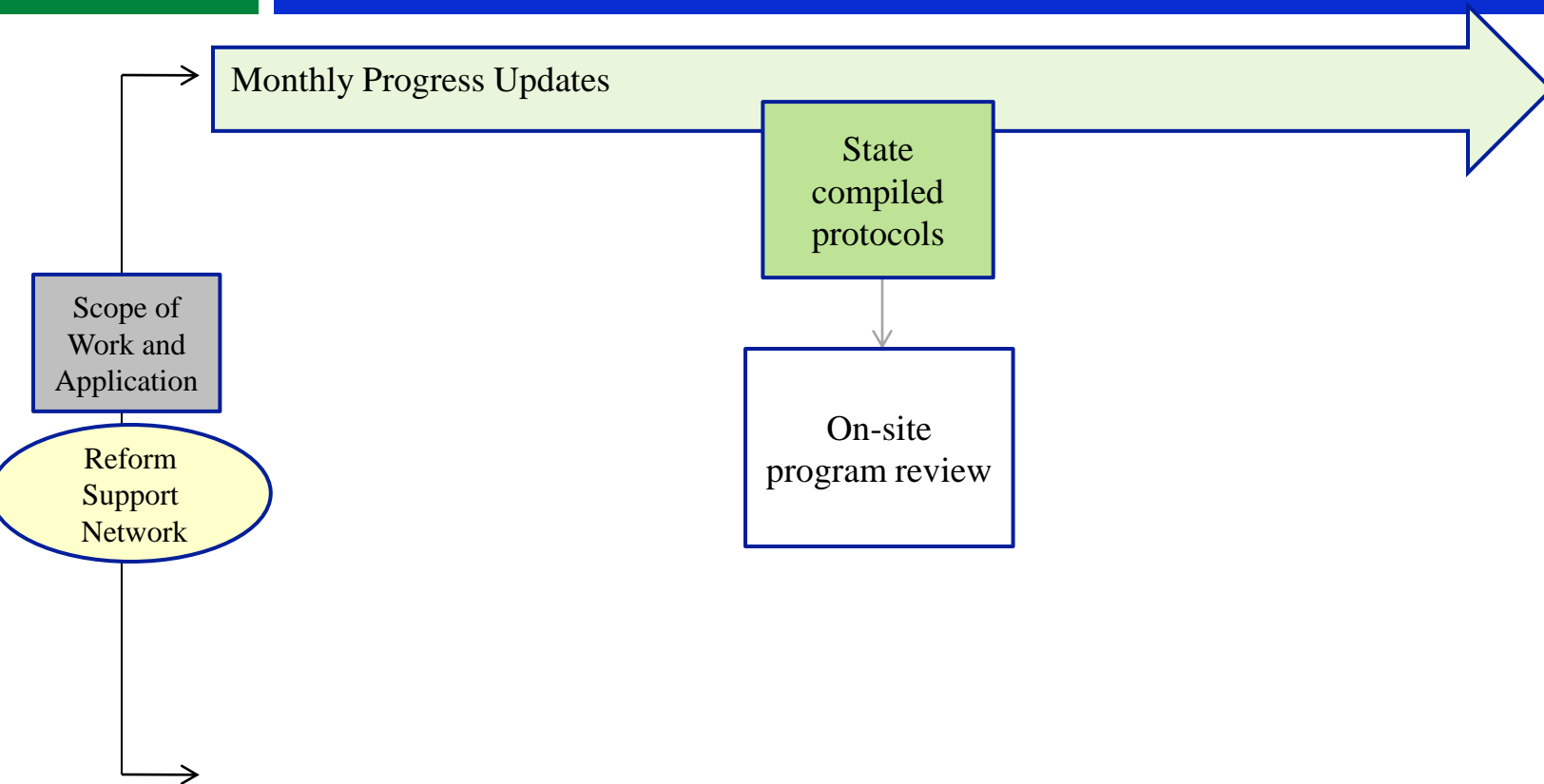
7 Monthly Progress Updates

Monthly Progress Updates

Scope of
Work and
Application

Reform
Support
Network

On-site Program Review



On-Site Program Review

□ State meetings:

- Review response to protocols
- Analyze progress against performance measures
- Discuss and explore quality of implementation
- Identify areas for Department support and technical assistance
- Analyze Accountability and Oversight documentation

□ LEA roundtable:

- Analyze impact of RTT reforms on student outcomes and daily operations
- Discuss and explore quality of local implementation
- Learn more about relationship with the State

Program Review Protocols

- **Two elements:**
 - Progress Updates
 - Accountability and Oversight

Program Review Protocols

- Two elements:
 - **Progress Updates**
 - Accountability and Oversight

Progress Updates, Part A

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- ❑ Part A: In preparation for monthly calls, the State must provide information that addresses the three components below on the implementation of all aspects of its approved Scope of Work:
 1. What are the State's key accomplishments and challenges this past month?
 2. Is the State on track to meet the goals and timelines associated with the activities outlined in its approved scope of work? If not, what strategies is the State employing in order to meet its goals?
 3. How can the Department help the State meet its goals?

Progress Updates, Part B

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- ❑ *In preparation for monthly calls, States must submit written responses to the following questions on relevant application sub-criteria. For the on-site review, the State must provide written responses for ALL applicable sub-criteria and provide supporting documentation to substantiate their progress.*

Questions:

1. What is the extent of the State's progress toward meeting the goals and performance measures and implementing the activities that are included in its approved scope of work for this sub-criterion?
2. What methods, tools, and processes is the State using to determine the progress toward the goals and performance measures and the quality of implementation of the activities described for this application sub-criterion?

Progress Updates, Part B (cont)

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3. What is the State's assessment of its quality of implementation to date?
4. If the State is not on track to meet the goals, performance measures, timelines, and quality of implementation related to this sub-criterion as outlined in its approved scope of work, why not, and what strategies is the State employing in order to meet goals and performance measures?
5. What are the obstacles and/or risks that could impact the State's ability to meet its goals and performance measures related to this sub-criterion?

Progress Updates, Part B (cont)

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- *Based on the responses to the previous questions, evaluate the State's performance and progress to date for this sub-criterion:*
 - Red: Substantially off-track and/or has significant quality concerns; urgent and decisive action is required
 - Orange: Off-track and/or there are quality concerns; many aspects require significant attention
 - Yellow: Generally on-track and of high or good quality; only a few aspects require additional attention
 - Green: On-track with high quality

Progress Updates, Part C

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- ❑ In preparation for the on-site review, the State must identify 2-3 critical milestones for each sub-criterion that are necessary to meet relevant performance measures.

Program Review Protocols

- Two elements:
 - Progress Updates
 - **Accountability and Oversight**

Accountability and Oversight

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- ❑ Grantees will:
 - Submit documentation to demonstrate compliance with all Federal fiscal, reporting, and subrecipient monitoring requirements
 - Complete annually in conjunction with on-site program review
- ❑ Selected participating LEAs will also complete the Accountability and Oversight Protocol in preparation for the on-site review

Program Review Protocols

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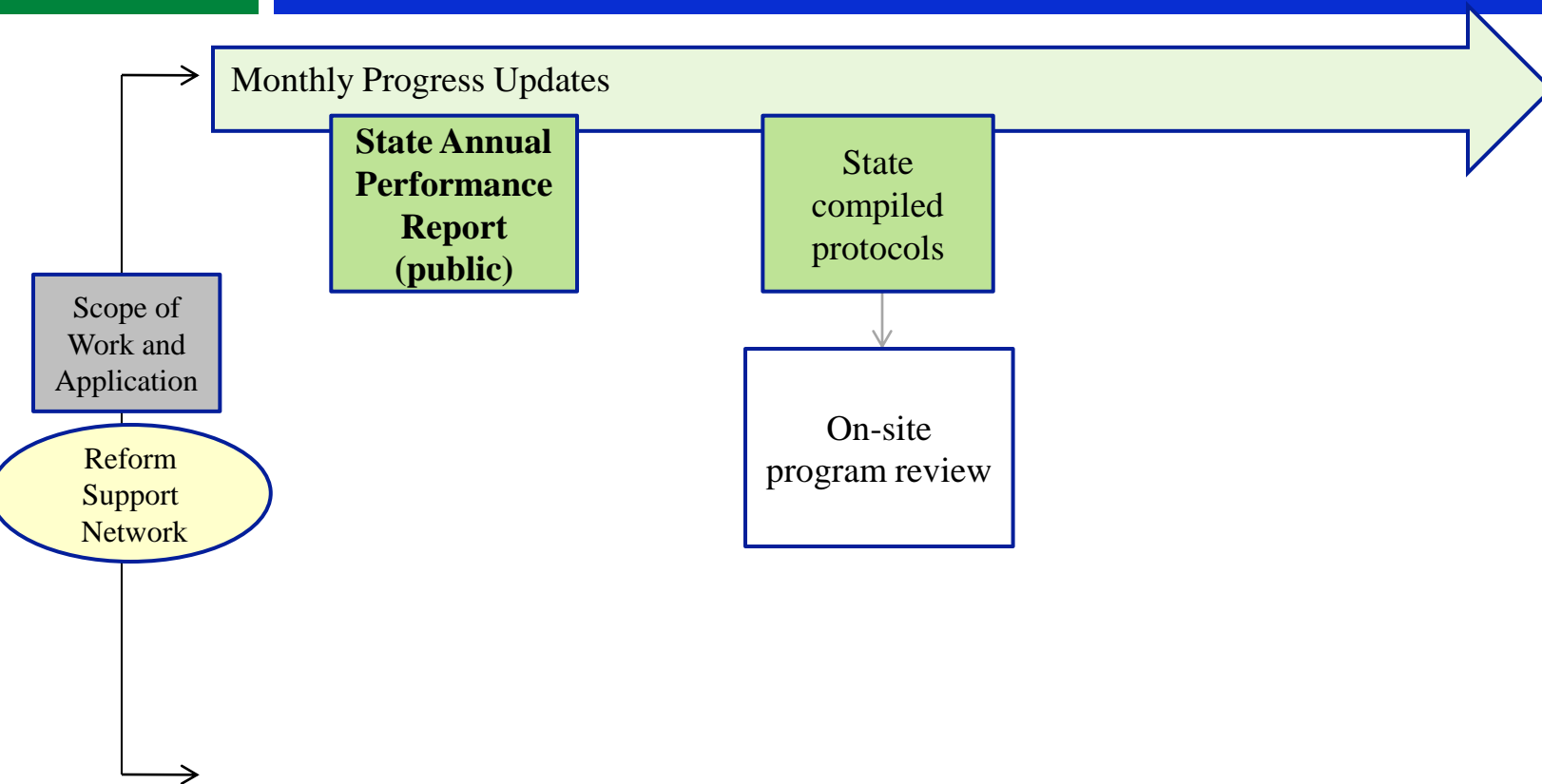
Monthly calls

- ❑ General update on overall plan (*Part A*)
- ❑ Select application sub-criteria updates (*Part B*)

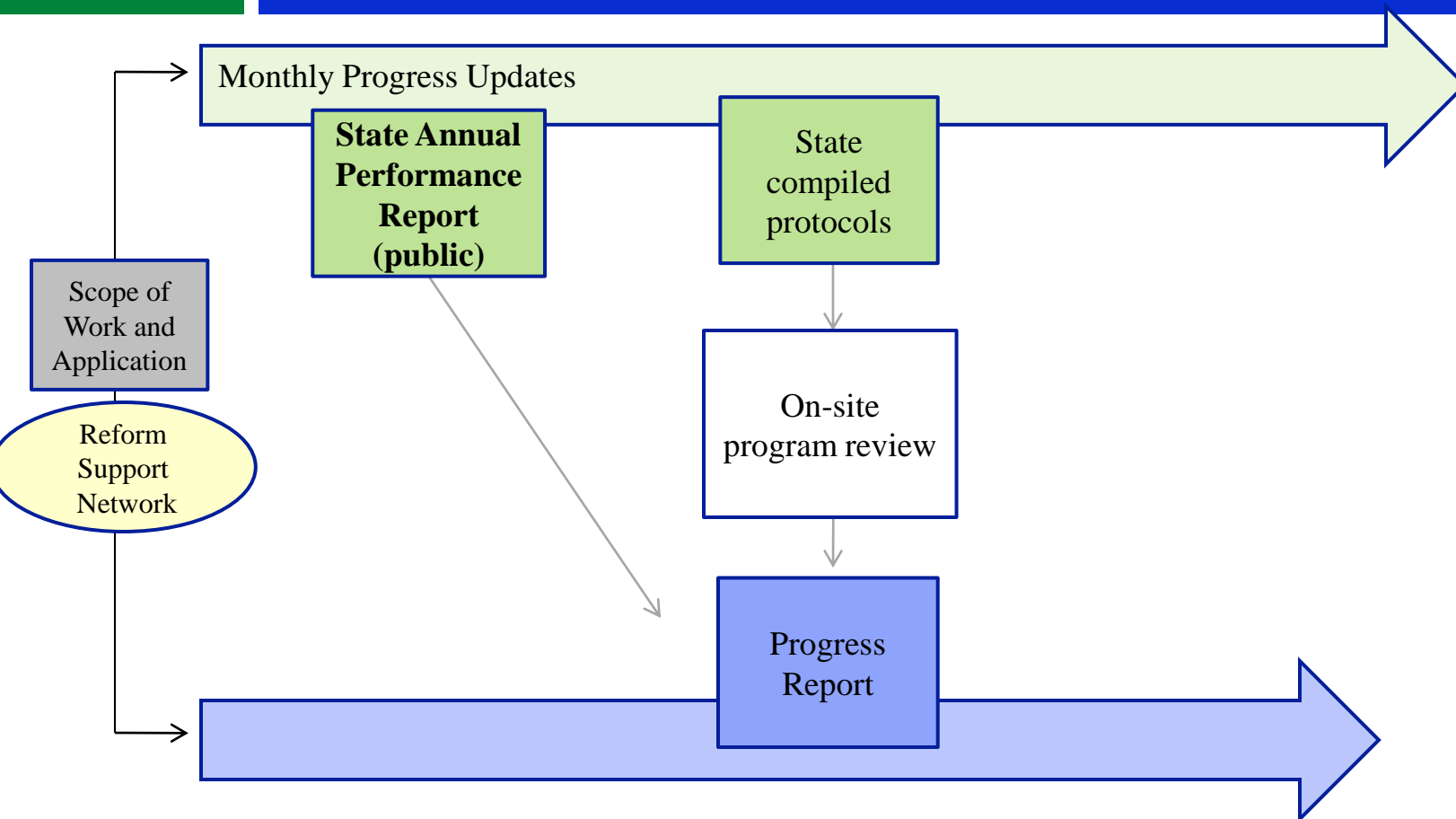
On-site Program Review

- ❑ Application sub-criteria updates, supported with documentation (*Part B*)
- ❑ Critical milestones for each sub-criterion (*Part C*)
- ❑ Accountability and Oversight Protocol

Annual Performance Report



Progress Report



Progress Report

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□ Purpose:

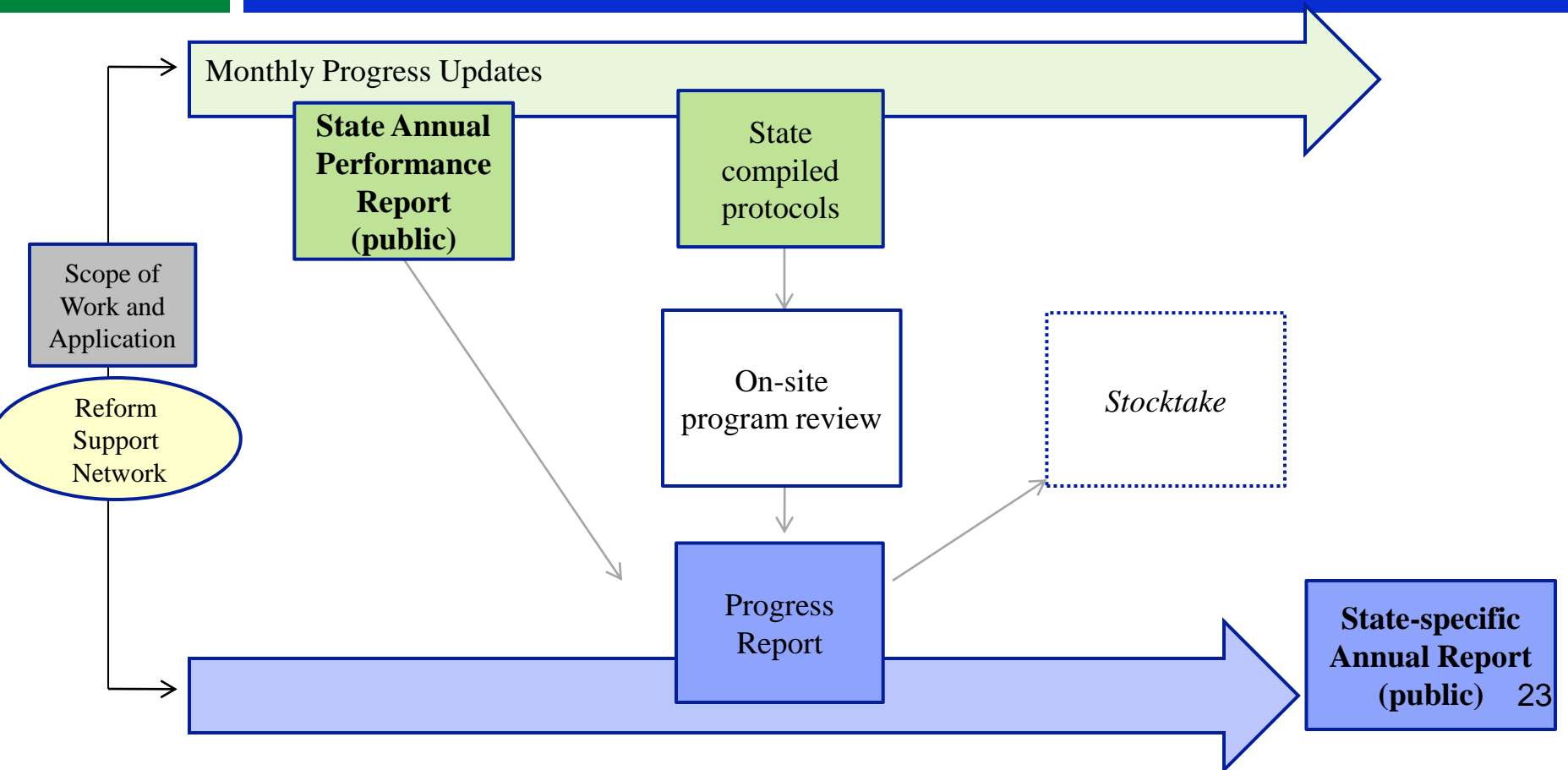
- Describe and analyze grantee progress on the outcomes, benchmarks, and timelines
- Provide formative feedback to the State

□ Progress Reports are based on:

- Monthly Progress Updates
- On-site Program Review
- Other relevant quantitative and qualitative data

□ The Department will collaborate with each grantee to revise and finalize the Progress Report

Stocktake Meeting

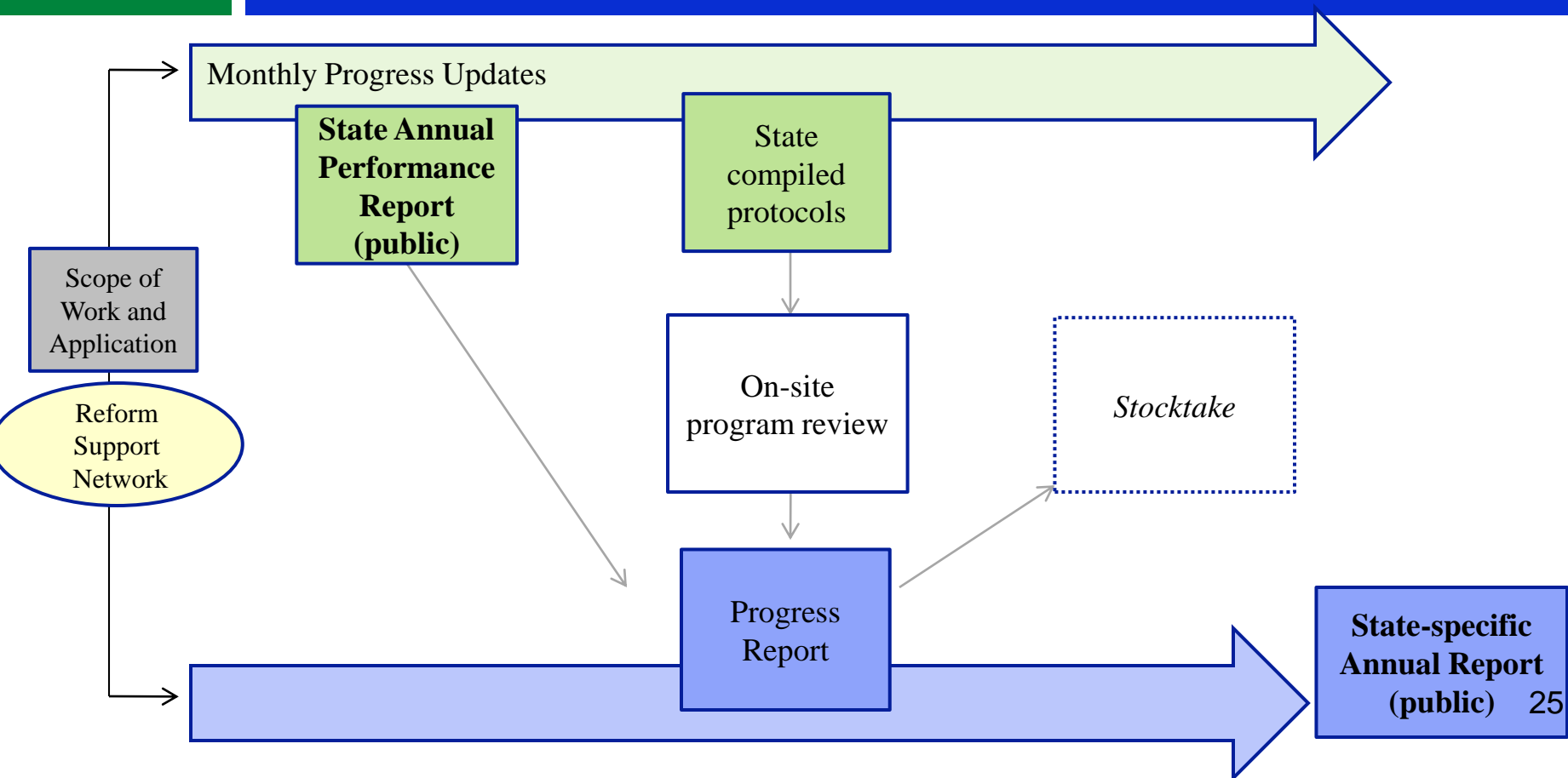


Stocktake Meetings

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- ❑ **Purpose:** Periodic data-based conversation between the grantee and Department teams to take stock of program implementation and identify areas of success and need, as well as concrete next steps.
- ❑ **Attendees:**
 - Grantee Teams
 - Department leadership and staff
- ❑ **Stocktake conversation will be based on data from:**
 - Monthly Progress Updates
 - On-site Program Review
 - APR data
 - Other relevant quantitative and qualitative data

State-specific Annual Report



State-specific Annual Report

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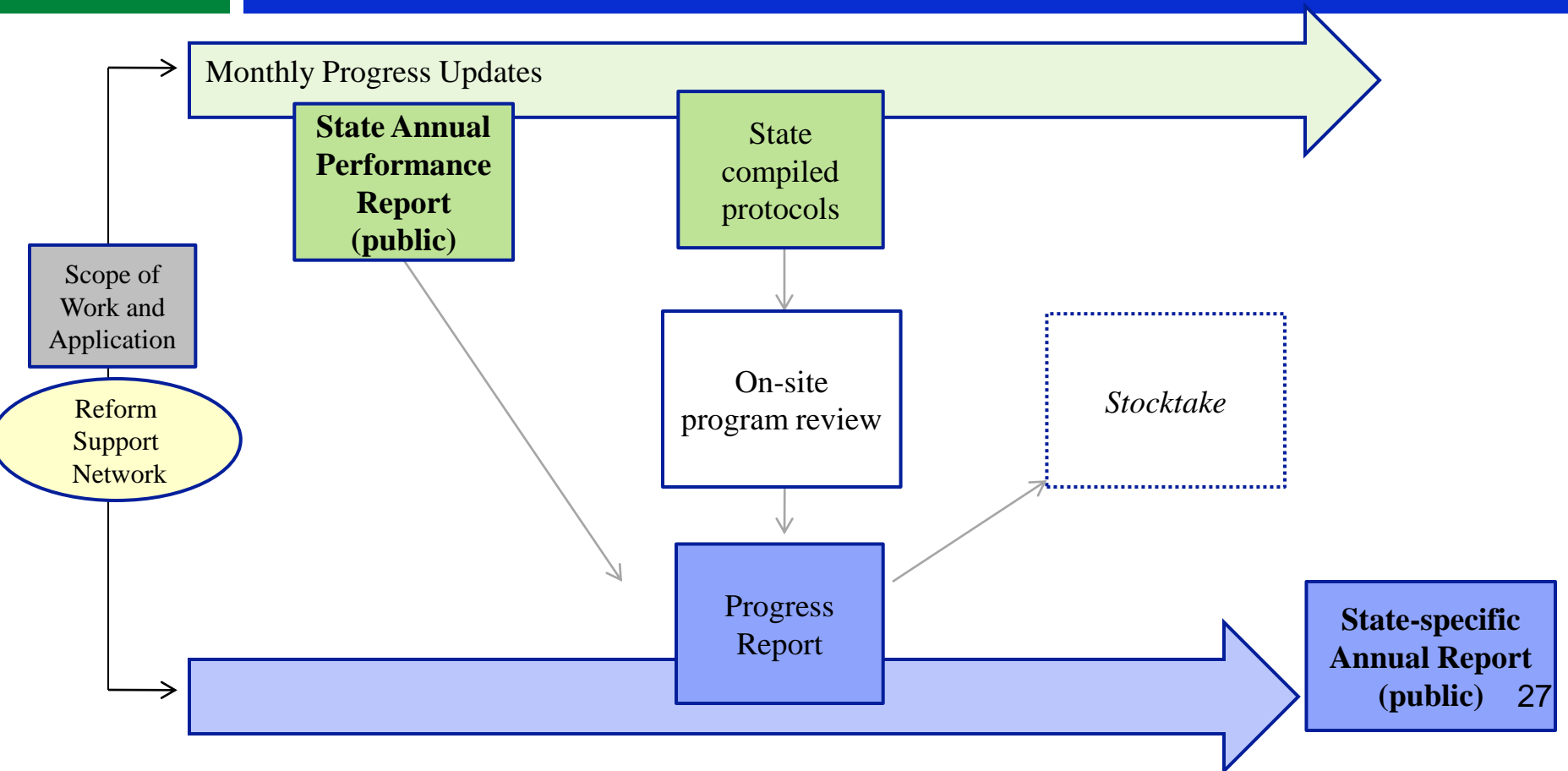
□ Purpose:

- Public review of a State's implementation to date
- Highlights successes and accomplishments
- Identifies challenges
- Provides lessons learned from implementation to date

□ State-specific Annual Reports are based on:

- Monthly Progress Updates
- On-site Program Review
- State APR
- Other relevant quantitative and qualitative data

Recap: Annual Cycle



Proposed Timeline for Year 1

	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul
APR												
Onsite Program Review												
State-specific Annual Report												
Potential Stocktake Meeting (TBD)												

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Q&A

Amendment Process

- ❑ Purpose
- ❑ When to Amend
- ❑ Submission Process
- ❑ Program Principles
- ❑ Department Review Process

Purpose

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- ❑ The application and Scope of Work may need to be adjusted based on the realities of implementation
- ❑ Amendments allow grantees to make adjustments to approved goals, activities, timelines, budgets, and/or annual targets

Purpose (cont)

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- ❑ Grantees may request amendments provided that:
 - Revisions do not result in the grantee's failure to comply with the terms and conditions of the award or the program's statutory or regulatory provisions
 - Revisions do not change the overall scope and objects of the approved proposal
 - The Department and the grantee mutually agree in writing to revisions

NOTE: The Department has sole discretion to approve revisions

When to Amend

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- ❑ The following events necessitate an amendment request:
 - Changes in goals, activities, timelines, annual targets, or performance measures, regardless of budgetary impacts
 - Budgetary changes, including transfer among direct cost categories within a specific budget or across project budgets that exceed \$500,000
 - Adding or removing a participating LEA

Submission Process

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- A grantee must submit a written amendment request to its ED Program Officer that includes:
 - The grant projects/areas affected by the change
 - A narrative description of the change
 - Rationale for the change
 - An impact statement for how the change will impact approved performance measures/outcomes
 - Budget documentation, if relevant
 - Signatures

NOTE: Amendments must be submitted prior to implementing any changes to grant projects or budgets.

Program Principles

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- ❑ Ultimately, States will be held accountable for increasing student achievement, increasing high school graduation rates, narrowing the achievement gaps, and preparing students for success in college and the workforce. A State must ensure that Race to the Top resources are directed toward activities and strategies that support its theory of action for achieving increases in student outcomes.
- ❑ The annual performance measures States included in their applications are leading indicators of their success toward increasing student outcomes, and States will be held accountable for meeting these targets or making significant progress towards them.

Program Principles (cont.)

- ❑ A core element of the Race to the Top program is comprehensive reform that addresses all four education assurance areas. Changes or revisions to a State's plan that would significantly decrease or eliminate reform in any of these four reform areas constitute a fundamental change to the State's scope of work (this includes changes in State law and regulations and union/State board support that would prevent Race to the Top plan activities and deliverables).
- ❑ A grantee's application represents the best thinking at a given point in time and as States and districts implement their Race to the Top plans, they may need to revise their plans. A State must justify any revisions to activities in its approved Race to the Top plan that substantially diverge from what was proposed in its initial plan and must provide compelling evidence of how such a change will help it meet its performance measures and achieve increases in student outcomes, and is consistent with the principles discussed in this section and the conditions noted above.

Program Principals (cont.)

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- ❑ Impact and reach of the Race to the Top program within a given State is relevant to the overall State scope of work. Significant decreases in the number of participating LEAs, number or percentage of students in the participating LEAs, and/or percentage of students in the participating LEAs who qualify for free and reduced-price lunch may be inconsistent with the basis for the original approval of the application and may compromise the program.
- ❑ Fiscal responsibility and appropriate use of funds is a priority for the Department. States will be held accountable for how they and their districts use their Race to the Top grant funds and how they monitor their districts' use of Race to the Top grant funds.

Review Process

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- ❑ The Department will:
 - Review each amendment request against the Race to the Top program principles;
 - Request any additional clarification or documentation needed to make a determination; and
 - Issue a letter notifying the Governor that the amendment request has been approved or denied. **This letter will be posted on ed.gov.**
- ❑ If approved, the grantee must provide an updated State Scope of Work and budget, reflecting approved amendment requests.

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Q&A

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Subrecipient Monitoring Plans

Subrecipient Monitoring Plans

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- ❑ Grantee must submit in writing a plan, protocols, and a schedule for subrecipient monitoring, including both programmatic and fiscal issues.
- ❑ Your program officer will provide you feedback on this plan.
- ❑ New submission deadline: **August 20, 2012.**

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Reporting Requirements

Reporting Requirements

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- ❑ Annual Performance Report (APR)
- ❑ FFATA reporting is required (see next slide)
- ❑ ARRA 1512 reporting is **not** required

FFATA Reporting Requirements

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□ FFATA Reporting

- The Federal Funding Accountability and Transparency Act (FFATA or Transparency Act - P.L.109-282, as amended by section 6202(a) of P.L. 110-252) requires the Office of Management and Budget to maintain a single, searchable website that contains information on all Federal spending awards.
- All grants awarded by the U.S. Department of Education, with an award date on or after October 1, 2010, for \$25,000 or more are required to report sub-award and executive compensation data (where applicable).
- The State is required to file a FFATA sub-award report by the end of the month following the month in which the prime recipient makes a sub-award greater than or equal to \$25,000.

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Resources and Q&A

Resources

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The following items can be found on the Resource page of the Race to the Top Fund Web site:

<http://www2.ed.gov/programs/racetothetop/resources.html>

- ❑ Race to the Top Program Review Guide
- ❑ Amendment Process
 - Grant Amendment Submission Process (Revised October 4, 2011)
 - Optional Amendment Request Template Amendment process
- ❑ Examples of sub-recipient monitoring plans (for Phase 1 and 2 grantees)

Resources (cont.)

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- ❑ Examples of APR and State-specific Reports (for Phase 1 and 2 grantees)

<http://www2.ed.gov/programs/racetothetop/performance.html>

- ❑ Other Phase 3 grantee resources

<http://www2.ed.gov/programs/racetothetop/phase3-resources.html>

- ❑ FFATA Reporting Guidance

The Department will email this guidance to you soon and post on the Web site.

Resources (cont.)

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□ Technical Assistance

- Reform Support Network
- Communities of Practice
- Race to the Top Web Portal
- Webinar scheduled for June 6, 2:00-3:00 ET

□ Calls with Other Grantees

- Calls with RTT Leads – monthly call
- Calls with RTT Chiefs – quarterly call

Q&A

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Any questions?