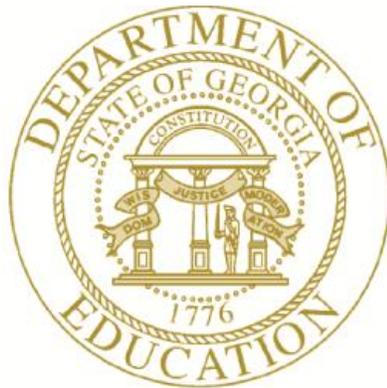


**Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule**



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Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

**Table of Contents**

**Executive Summary ..... Page 1**

**Monitoring Plan ..... Page 2**

**Monitoring Protocol..... Page 3**

**Project Management..... Page 8**

**Onsite Monitoring..... Page 8**

**Onsite Monitoring of RT3 and SIG..... Page 10**

**Monitoring Schedule..... Page 12**

**Monitoring Performance Measures ..... Page 16**

**Attachments (Descriptions)..... Page 17**

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

## **Executive Summary**

Georgia's monitoring plan proposes to monitor in four important ways.

1) We plan to monitor how the Department of Education, other state agencies, local education agencies (LEAs), and contractors expend funds and to ensure expenditures are done in a manner consistent with requirements in EDGAR, OMB Circulars and Georgia Department of Education internal controls. The Georgia Department of Education internal controls include a rigorous approval and monitoring of all contracts, including monitoring milestones and deliverables.

2) We plan to monitor each project in Georgia's approved Scope of Work using strategies consistent with project management. Each project in the four reform areas is identified with a detailed list of activities. Georgia has assigned a lead person from the RT3 Implementation Office to ensure projects are on target with meeting performance measures.

3) We plan to monitor how LEAs and other state agencies are actually implementing project plans and expenditure controls by conducting an onsite review of program implementation and fiduciary responsibilities. The Cross-Functional Monitoring team will apply a set of indicators, determine the degree to which programs and fiduciary requirements are met, and provide written documentation with recommended and required corrective actions, if necessary. The updated Cross-Functional Monitoring Indicators include indicators for the four reform areas.

4) We plan to monitor each of the four reform areas in specific ways. Standards and Assessment, Data Systems to Support Instruction, and Great Teachers and Leaders activities in Georgia's Scope of Work will be monitored through project management, including monitoring LEAs Scope of Work around three of the four reform areas. Georgia will monitor the Turning Around Lowest Achieving Schools reform area by ensuring LEAs are implementing the turnaround model for lowest achieving, SIG, and State-Directed (NI-5 and higher) schools. Each of the schools has a school improvement specialist (SIS) assigned to monitor and support each school. School Improvement Specialists and their leads are required to provide formal feedback to schools on a periodic basis regarding how well the school is on target to meet the performance measures.

A detailed protocol describing the processes for each of the areas above is included. Georgia has included a list of appendices to further explain how such protocols will be accomplished. The appendices are available upon request.

The schedule for the onsite monitoring has been updated to accurately reflect LEAs with the highest risk rating will be monitored during the 2011-2012 school year. The revised schedule will provide the LEAs and other state agencies a full year of implementation.

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

## **Background**

The Race to the Top (RT3) fund is a \$4 billion grant opportunity provided in the American Recovery and Reinvestment Act of 2009 (ARRA) to support new approaches to school improvement. The funds are made available in the form of competitive grants to encourage and reward states that are creating conditions for education innovation and reform, specifically implementing ambitious plans in four education reform areas:

- Recruiting, preparing, rewarding, and retaining effective teachers and principals, especially where they are needed most; and
- Adopting standards and assessments that prepare students to succeed in college and the workplace and to compete in the global economy;
- Building data systems that measure student growth and success, and inform teachers and principals about how they can improve instruction;
- Turning around our lowest-achieving schools.

Georgia was awarded \$400 million to implement the RT3 plan and the State Board of Education has direct accountability for the grant. Georgia partnered with 26 school systems around the state in its application. Half of the awarded funds will remain at the state level and half will go directly to partnering local education agencies (LEAs) via their Title I formula. All funds are to be used to implement Georgia's RT3 plan. An MOU was signed by each district superintendent and board chair.

Condition O of the grant award requires the grantee to monitor its grant and subgrant-supported activities to assure compliance with applicable Federal requirements and performance goals are being achieved through the entire grant period. To meet this condition, the Georgia Department of Education (GaDOE) is submitting a written plan, protocols, and a schedule for subrecipient monitoring, including both programmatic and fiscal issues.

## **Monitoring Plan**

The GaDOE monitoring plan consists of four major components:

- **Monitoring of Expenditures for LEA subrecipients** – LEA subrecipients must submit for approval a Scope of Work and an annual budget through the Consolidated Application before funds can be expended. The GaDOE must meet all procurement procedures before funds can be spent on the initiatives for which it has responsibility for implementing. The GaDOE RT3 Implementation Office is subject to internal control audits as well. In addition, the GaDOE and subrecipients, LEAs and other state agencies must comply with the Federal Single Audit Act and testing of expenditures in accordance with the Federal Compliance Supplement.

**Monitoring of Expenditures for State Agencies (Direct Recipient)** – State agencies receiving RT3 funds from another state agency are designated as a direct recipient. Direct recipient state agencies must comply with the approved budget aligned with Georgia's approved scope of work for the agency. Any changes to the approved state agency's RT3 budget require approval from the RT3 Implementation Office prior to implementation. In addition, all state agencies defined as direct recipients must adhere to cash management guidelines and must comply with the same 1512 reporting process as with Stabilization and Education Jobs Funding. State Agencies are required to enter information into the State Accounting Office (SAO) reporting system. SAO will submit 1512 data reporting for the State. A copy of Attachment 2 "Best Practices Fact Sheet" on Cash Management Guidelines is available upon request.

- **Project Management** – Two RT3 project managers and two budget analysts will monitor the execution of projects outlined in Georgia's Scope of Work and the state agencies responsible for implementing RT3 initiatives to ensure that related activities remain in alignment with the four assurance areas listed above.

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

- Onsite Monitoring – A GaDOE onsite Cross-Functional Monitoring Team will visit each LEA subrecipient to apply the criteria included in the *Monitoring Form*. The high-risk LEA subrecipients will be monitored beginning in the 2011-2012 school year. In Georgia, LEAs were allocated funds in March 2011. A team from the RT3 Implementation Office, the two RT3 budget analysts and the budget analyst from the Governor’s Office of Planning and Budget (OPB) will conduct an onsite visit to the state agencies. OPB has primary responsibility for providing the Governor with the administrative support necessary for short and long term financial analysis and operating budget development, monitoring and fiscal control. Additional budget-related services include policy development, planning and accountability. OPB also provides management services dealing with strategic planning and the integration of performance measures and information into the budget process.
  
- Monitoring the Four Reform Areas - A GaDOE onsite Cross-Functional Monitoring Team will visit each LEA subrecipient to apply the criteria included in the *Monitoring Form*. The Monitoring Form includes additional criteria to assess the implementation strengths and weaknesses in the four reform areas. In addition, a highly effective State Director is assigned to each lowest-achieving school designated as Needs Improvement Year 5 or Higher (NI – 5+) and/or also receiving School Improvement Grant (SIG) funds. The School Improvement Specialists is responsible for monitoring the day-to-day implementation of the SIG, the RT3 reform model, and implementation of the RT3 four reform areas as defined in the LEA’s Scope of Work. (See Progress Monitoring for School Turnaround) and RT3 Monitoring Indicators.

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

### **Monitoring Protocols**

The Georgia Department of Education (GaDOE) has a comprehensive program and fiscal management monitoring plan for subrecipients of federal funds. The GaDOE will utilize the current monitoring processes/protocols in conjunction with enhanced monitoring protocols designed to address the specific requirements in RT3 to assure compliance with applicable Federal requirements and performance goals.

In particular, the GaDOE monitoring protocols include:

#### Monitoring of Expenditures for LEA subrecipients:

Ensuring grantee (GaDOE) and subrecipients' compliance with the Federal Single Audit Act provisions of OMB Circular A-133 which will include RT3 funds and testing of expenditures in accordance with the Federal Compliance Supplement. A copy of the Single Audit report is located at <https://www.audits.ga.gov/rsaAudits/loadRSAAudits.aud>. A copy of the A-133 Compliance Internal Control Tool (Attachment 1) is available upon request. The State used the protocol described below to comply with A-133 requirements for the State Fiscal Stabilization Fund (SFSF). The State will use the same policies and procedures for RT3 subrecipients.

#### Policies and procedures established for auditing SFSF:

In deciding which organization or organizations the Department of Audits (DOA) would perform Federal compliance work for the State Fiscal Stabilization Fund Cluster, DOA considered each organization which reported expenditures related to the State Fiscal Stabilization Fund Cluster and applied a risk based approach, following the guidance provided in OMB Circular A-133, to make the selection.

For FY 2009, DOA conducted Stabilization audit work at the Department of Education. In FY 2009, the Department of Education expended approximately \$157 million of State Fiscal Stabilization Fund Cluster funds. This represented approximately 80% of all State Fiscal Stabilization Fund Cluster expenditures by the State of Georgia.

For FY 2010, DOA currently plans to conduct audit work on Stabilization at the Department of Education, Department of Corrections, and the Department of Juvenile Justice. DOA is monitoring activity at other sites to determine the need to audit at additional locations.

- Utilizing the GaDOE expenditure reporting process (DE 046) to obtain confirmation that RT3 funds granted to LEA subrecipients were expended and requiring LEA subrecipients to detail expenditures in accordance with the Financial Management for Georgia Local Units of Administration (LUAs) and the Consolidated Application Submission Process.
  - Financial Management for Georgia Local Units of Administration, a joint project between the Georgia Department of Education and the Governmental Training Division of the Institute of Government and the Georgia Center for Continuing Education, University of Georgia, has been written to assist LUAs in solving day-to-day financial management problems. Additionally, this manual provides guidance to LUA fiscal personnel and serves as a useful training and reference source for LUA employees. LUAs are required by Georgia law [O.C.G.A. 20-2-167 (b) (1)] to comply with uniform regulations established by the State Board of Education relative to the statewide uniform computerized budget and accounting system.
  - Rule 160-5-2-.23, of the Georgia Board of Education incorporates this manual by reference. Section I covers accounting and financial reporting principals and procedures in a governmental environment. Financial reporting is presented in Section II, including specific reporting requirements imposed by the Quality Basic Education Act (QBE). Section III reviews various accounting subsystems. A variety of financial management topics are discussed in Section IV. Section V includes travel regulations, records management, and state and federal program fiscal requirements. Section VI provides records management

Dr. John D. Barge, State Superintendent of Schools

August 18, 2011 Page 6 of 21

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Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

implementing. Procurement must be based on competitive bidding whenever possible. Purchases less than \$5,000.00 may be made without competitive bidding. Small and minority businesses should be given a fair and equal opportunity to participate in the state's purchasing process. Agencies must follow the Order of Precedence that has been set by the State Procurement Division (SPD) when purchasing commodities or services. The agency may purchase commodities and services within the agency's Delegated Purchase Authority; however certain procurements, such as Requests for Proposal discussed below, must be coordinated with the SPD.

1. Whenever an agency identifies the need for a good, commodity or service, the process should begin with the development of specifications by the user, for example an engineer or other procurement official. The end user submits a written request for the commodity or service to the Agency Procurement Officer (APO) along with specifications. The APO should determine whether the commodity or service can be procured from a statewide or agency contract, or other mandatory sources. The APO must follow the Order of Precedence discussed below in making this determination.
  2. If the dollar amount of the purchase is less than \$5,000.00 the APO will be able to purchase the item or service without competition. If the dollar amount is more than \$5,000.00, the APO must use competitive bidding procedures. The APO must next determine whether the item or service to be purchased is within the agency's Delegated Purchasing Authority (DPA). If the dollar amount of the purchase is within the agency's DPA, the APO can process the solicitation. The APO must post the solicitation on the Georgia Procurement Registry where the solicitation is \$10,000.00 or higher. An exception to this rule pertains to Sole Source procurements, which must be posted for procurements over \$5,000.00. If the dollar amount of the purchase exceeds the agency's DPA the solicitation must be processed by the SPD. In this case the agency must submit a requisition along with other pertinent documentation, including specifications to the SPD.
  3. The SPD will review the requisition and other documentation submitted by the agency for completeness. The SPD will review specifications to ensure that they are not too restrictive so as to preclude competition. The SPD Buyer will coordinate with the agency throughout the solicitation process until a contract has been awarded.
- Utilizing the GaDOE system of internal controls and internal audits to maintain an effective system of accountability for all funds. An effective system of internal control: provides accountability for meeting GaDOE goals; promotes operational efficiency; improves the reliability of financial statements; strengthens compliance with laws and regulations; and reduces the risk of financial or other asset losses due to fraud, waste, or abuse. Responsibility for internal control begins with State Superintendent of Schools and extends to all GaDOE employees. Management's role is to design, implement, monitor, and periodically evaluate internal control. There are five components of internal control. The five components are listed below. A brief description is given on how each component relates to establishing an effective system of internal control.
    1. Control Environment – Internal control requires an adequate control environment foundation. The control environment reflects top management's expectations for how seriously GaDOE employees should view and execute their fiduciary responsibilities. The attitude and concern that top management expresses for having an effective system of internal control must be definitive, clear, and permeate GaDOE.
    2. Risk Assessment – The process of analyzing potential events and considering likelihood and impact to determine those events' possible impact on achievement of GaDOE's goals. Management must assess the risk of unexpected potential events and expected events that could have a significant impact.

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

3. Control Activities – Policies and procedures established and implemented to help ensure GaDOE operations are effectively carried out. Control activities occur throughout GaDOE, at all levels, and in all functions. They include: a. authorization; b. review and approval; c. verification; d. reconciliation; e. physical security over assets; f. segregation of duties; g. education, training, and coaching; and, h. performance planning and evaluation.
4. Information and Communication – An effective system of internal control requires communicating relevant information to enable people to carry out their responsibilities. To be effective communication must occur downward, across, and upward in GaDOE. An effective information and communication process ensures that all GaDOE personnel receive a clear message from the State Superintendent of Schools that internal control must be taken seriously.
5. Monitoring – The process of assessing the presence and functioning of internal control components and making continuous improvements. Monitoring can be accomplished by routine management activities, separate evaluations, or both. It is the assessment by management to determine if controls are operating as intended and the controls are modified as appropriate for changes in conditions. To be effective, monitoring of internal control must occur in the normal course of business. A copy of the GaDOE Procurement and Internal Support Services Procedure Manual is available on the GaDOE intranet at doepolicies.

Establishing and implementing data reporting requirements in accordance with Section 1512 of the American Recovery and Reinvestment Act of 2009 (ARRA). Georgia will use the same data collection and reporting protocol established for the State Fiscal Stabilization Fund (SFSF) to comply with Section 1512 data collection and reporting for RT3. Georgia State Accounting Office (SAO) developed the STAR Application of the COGNOS Solution for Stimulus Tracking. SAO is the State agency responsible for the following duties:

- Establishing statewide accounting and reporting standards and practices.
- Operating and improving statewide financial and human capital management systems.
- Preparing the state's Comprehensive Annual Financial Report (CAFR); the annual audited financial statement for the entire state entity.
- Providing statewide financial information on interim basis.
- Training state accounting and payroll personnel in new policies, procedures and standards.
- Improving accountability, efficiencies and internal controls.

All subrecipients receiving RT3 funds will be required to comply with SAO protocol. A copy of the SAO State Monitoring Protocol (Attachment 5) is available upon request.

Specifically for LEA subrecipients, each quarter the GaDOE collects the required ARRA data from LEA subrecipients using the STAR Application of the COGNOS Solution for Stimulus Tracking (a data collection tool). LEAs are required to enter their cumulative (Grant to date) expenditures for function and object along with vendor information. Before every collection, GaDOE notifies the LEAs and holds a webinar training session to review the process with all subrecipients (see <http://elluminate.gavirtualschool.org/doe/index.html>). LEAs are informed of the open window dates for ARRA reporting and given the reporting website address: <https://stimulusreporting.gadoe.org>.

- Reviewing the risk assessment for each local education agency receiving RT3 funding. The Georgia Department of Education has the responsibility to monitor high-risk local educational agencies (LEAs). The GaDOE defines high risk as:
  - LEAs showing evidence of serious or chronic compliance problems;
  - LEAs with financial audit findings;
  - LEAs with a high number of complaints from parents and other stakeholders about program implementation; and
  - LEAs with complaints from parents and other stakeholders about fraudulent use of funds.

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

In addition, other elements may cause an LEA to be determined as high risk:

- LEAs receiving Race To The Top (RT3) allocation in the top 25 percent of LEAs receiving the greater portion of Race To The Top funding in a fiscal year;
- LEAs having new personnel not familiar with program requirements;
- LEAs having directors/coordinators not attending Department training sessions; and
- Other items listed on the Risk Assessment Checklist.

Thus, a high risk assessment does not necessarily mean an LEA is not performing the requirements of the program, federal regulations, or administrative procedures. It does mean that an LEA may be at a high risk of having program elements that could lend themselves to causing an LEA to perform the activities associated with the federal rules, regulations, and administrative procedures in a manner that keeps the LEA in compliance.

An annual risk assessment is completed for each LEA subrecipient. LEA subrecipients identified as high risk will be monitored onsite as a priority each year of the grant and depending on the results may be scheduled for additional onsite monitoring. Medium-risk subrecipients will be monitored on an annual basis beginning the second year of the grant. Low-risk LEA subrecipients will be monitored onsite at least once during the grant cycle. A copy of the FY 11 risk assessment (Attachment 6) is available upon request.

Monitoring of Expenditures for State Agencies

State agencies designated as direct recipients are required to sign a Memorandum of Agreement with the Governor's Office of Planning and Budget (OPB), the State agency responsible for the disbursement of funding for the RT3 grant. The purpose of the agreement is to specify the agency's role in implementing parts of the RT3 grant, including a budget for each activity. Each participating agency is required to submit a budget for approval. Any changes to the approved budget **require** approval from the RT3 Implementation Deputy Superintendent prior to implementation. OPB will provide disbursements to the agency. The agency will submit in writing to OPB a request for funds expended which support the work described in the agreement. The request will be submitted by the 15<sup>th</sup> of each month. OPB will then make payments to the agency. A copy of an agency's MOU (Attachment 3) is available upon request.

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

Project Management

- Conducting subrecipients' desk reviews of Scopes of Work and holding webinars on a quarterly basis to determine the progress subrecipients are making towards meeting approved Scopes of Work. An approved Scope of Work (SOW) is required for all RT3 initiatives and projects. For the RT3 initiatives and projects managed by the RT3 Implementation Office, SOW must be approved by the State Board of Education as requests are made to enter into contracts with providers. SOW for LEA subrecipients must be submitted for approval to the GaDOE through the Consolidated Application. The Assurances component of the Consolidated Application requires LEA subrecipient to agree to Part 75 Direct Grant Program requirements in Education Department General Administrative Regulations (EDGAR).
- The Georgia Department of Education monitors contracts through its online contracts database. Contracts to meet Georgia's RT3 Scope of Work are included in the online contract. All contract requests must be entered in the contracts database. In addition to a plethora of information required by Georgia's procurement laws, each contract must respond to the following:
  - What will the vendor be doing? This includes a scope of services and a justification for the contract.
  - How will the vendor be paid? This includes payment procedures and methods.
  - When will the vendor perform the services? This includes a list all crucial milestones, including any dates where deliverables are due and any dates that are pertinent to the contract as well as a risk assessment.

Each contract is assigned a program manager who is responsible for monitoring the milestones. There are several automatic notices (milestones report, 14-day milestone due date report, milestones not met report) to sent to managers, and supervisors to ensure appropriate monitoring of all contracts.

Onsite Monitoring

- Conducting onsite monitoring of LEA subrecipients based on the current risk analysis process. Georgia's Race to the Top grant is not an add-on that is separate from all other education reform work in the State. As such, training GaDOE program managers and specialists (responsible for monitoring) on RT3 program quality and fiscal compliance is central to the onsite monitoring process. A GaDOE onsite Cross-Functional Monitoring Team visits an LEA to apply the criteria included in the *Monitoring Form*. The Monitoring Form includes the requirements under Part 80 of EDGAR. The *Monitoring Form* has been updated to include RT3 indicators. The following procedures are followed for the on-site monitoring visit:
  - Selection of LEAs to be Monitored
    - LEAs are monitored on a three year cycle. Approximately one-third of the LEAs are monitored each year. As part of the process in determining which LEAs are to be monitored, GaDOE conducts a risk assessment using a combination of programmatic and fiscal elements. Consequently, LEAs with audit or monitoring findings requiring a return of monies, or a high number of complaints from parents and other stakeholders are monitored within the year of the LEA audit or monitoring report and the written complaint. For example, if an LEA is audited in FY10 for FY09 and the GaDOE receives the report of findings in FY10 before the end of the monitoring cycle, the LEA would be included as an LEA to receive an onsite monitoring visit. In addition, onsite monitoring outside of the scheduled cycle may be arranged as needed if an LEA evidences serious or chronic program quality and compliances problems. A copy of all documentation is maintained with the GaDOE. A copy of the Monitoring Form (Attachment 7) is available upon request.
  - Onsite Cross-Functional Monitoring Team
    - Each onsite Cross-Functional Monitoring Team consists of two to five members. The specific make-up of particular teams is determined by the programs being monitored in an

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

LEA. Each Cross-Functional Monitoring Team consists of a Team Lead and other team members as determined by need. The 26 RT3 partner LEA teams will include staff from the RT3 Implementation Office and the two budget analysts paid with RT3 funds.

- Preparation Prior to Onsite Visit  
Training and technical assistance is provided for LEA personnel prior to an onsite visit. The training is scheduled during the summer or fall prior to the onsite monitoring visit. Training includes an explanation of how the *Monitoring Form* will be applied during the visit. The LEA prepares documentation for each of the components on the monitoring checklist prior to the visit. The LEA may solicit technical assistance from the RT3 Implementation Office regarding appropriate documentation for monitoring prior to the visit.
- Onsite Monitoring Visit  
The onsite visit typically lasts for one to three days. During the onsite visit, the team reviews documentation and interviews the LEA staff and other stakeholders. As mentioned in the Background section, the onsite monitoring visit for RT3 subrecipients will be enhanced to include lowest achieving schools visits to interview teachers, parents, business and community members to determine the impact of RT3 initiatives on all aspects of teaching and learning and school operation.

The Team Lead is responsible for ensuring that each LEA is asked to report any fraudulent activities occurring in the program and whether or not the LEA has been asked to participate in any fraudulent activities for the program. The GaDOE Fraud Appendix for Program Operations Manuals is used to guide the team lead through this interview process. In addition, the GaDOE internal audit division has developed General Grant Fraud Indicators guidelines to be used during onsite monitoring process. The indicators may indicate fraud, waste, or abuse related to grant funded programs. The existence of such indicators does not necessarily mean that problems are present, but that the program may require additional scrutiny, follow-up, or analysis.

- Monitoring Feedback and Follow-up  
After the onsite monitoring visit, the Cross-Functional Monitoring Team Lead discusses item ratings with team members and develops the final report after the team reaches consensus. The GaDOE provides this comprehensive monitoring report to the LEA within 30 business days of the onsite visit. The report will be sent to the LEA Superintendent and RT3 Coordinator/Project Manager. The report contains recommendations, findings, and required actions that together provide an analysis of the implementation of RT3 Scope of Work.

Upon receipt of the final report from the SEA, the LEA has 30 business days to respond to any required actions. When the monitoring team determines that the response indicates that the LEA has taken steps to ensure full compliance in the identified areas, a notice is sent to the LEA approving the proposed corrective actions.

The RT3 team members will monitor the implementation of the timeline of the LEA subrecipients corrective action(s) and recommend(s) appropriate alternatives if strategies are not implemented in a timely manner. Any LEA failing to correct deficiencies outlined in the LEA written corrective action timeline are subject to a delay of funds until corrections are made.

The RT3 Implementation Office will maintain a database of all onsite visit reports by monitoring cycle. Summary analyses of the findings, recommendations, and commendations/best practices from

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

the reports provide a more complete picture of implementation, and inform efforts to provide leadership activities and technical assistance to the LEA.

Onsite monitoring of SIG, RT3 reform model, and RT3 four reform areas

- The LEA must enter into an annual state directed improvement contract with non-negotiable terms and conditions directed by the GaDOE.
- GaDOE school improvement specialist or State Director is assigned to the school to monitor and provide direct supervision in the implementation of all school improvement actions including actions that are required to implement the model for SIG schools, RT3 reform model, and RT3 four reform areas:
  - Directly involved in decisions regarding replacement of staff (e.g., principal);
  - Ensures that instructional frameworks are used appropriately in each classroom;
  - Ensures benchmark assessments are given and results are analyzed to guide instruction;
  - Oversees implementation of 45 day short-term action plans;
  - Ensures that the leadership team analyzes teacher attendance and develops action plan if needed;
  - Ensures that the leadership team analyzes student attendance and develops action plan if needed;
  - Ensures that the leadership team analyzes discipline records and develops action plan if needed;
  - Ensures that the leadership team addresses targeted areas from the Georgia Assessment of Performance on School Standards (GAPSS) review through the short-term action plans;
  - Assists with the completion of a weekly progress report for submission to the superintendent and lead school improvement specialist;
  - Assists with alignment of the school budget to ensure that it supports the school improvement plan and the improvement contract;
  - Provides and/or ensures targeted professional learning;
  - Participates in the GaDOE Summer Leadership Academy (SLA) and/or assistance with follow-through in the implementation of strategies from the SLA;
  - Participates in required GaDOE-provided professional learning with follow-up.
- Other Mandates for State Directed Schools
  - Participate in an additional GAPSS review at NI-5, NI-7, and NI-9;
  - Provide training, implementation and monitoring reform strategies; and
  - Hire instructional coaches for specific content areas of need based on AYP results.
- Customized Contract Expectations
  - In addition to the set of non-negotiable actions, a set of customized expectations will be developed annually by the GaDOE with each school and system to address the unique issues that school faces in the coming school year. These expectations will be based on the most recent school data analysis available.
- Monitoring Short-Term Action Plan Process

School Improvement Specialists must use the following steps to monitor the short-term action plan

  - Revisit the short-term action plan as a standing leadership team agenda item. The agendas of the leadership team meetings should be aligned to the prioritized strategies outlined in the short-term action plans. The role of the leadership team is to determine weekly/biweekly actions that must be accomplished and barriers that must be removed in order to reach full implementation of the short-term action plan. The agendas and actions planned should be

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

- routinely discussed with teachers. Awareness walks, peer observations, demonstration lessons, outside consultant support and any other professional learning should all support the priorities of the plans. Typically, if the leadership team meets weekly, eight to twelve leadership team meetings are held prior to establishing the subsequent short-term action plans.
- During leadership team meetings, determine progress with implementation of the strategies to address the four RT3 reform areas in the MOU and Contract.  
What is an implementation strength?  
What actions were taken?  
How will successes be celebrated?  
What is the impact on student learning?
  - During leadership team meetings, identify barriers to implementation of the four reform in the MOU and Contract areas.  
What is an implementation concern/issue?  
Why is it an issue?  
What are the barriers?  
What actions will be taken to mitigate barriers?  
How will the actions be monitored?
  - At the end of each short-term action plan cycle, determine the quality of implementation of strategies identified in the four reform areas of the MOU and Contract. Include artifacts and evidences in the progress check and record implementation status.
  - Following the short-term action planning process, a school may scaffold the improvement effort and make it more manageable. As the leadership team implements the short-term action plan, it continues to embrace the school improvement plan as a living document.  
Georgia's statewide system of support for lowest achieving schools is detailed in the School Improvement Fieldbook: A Guide for Advancing Student Achievement. State Directed Improvement Contract Process begins on page 45 of the guide. The Fieldbook is located at [http://www.gadoe.org/tss\\_school.aspx?PageReq=TSSNeedsImprovement](http://www.gadoe.org/tss_school.aspx?PageReq=TSSNeedsImprovement). Progress Monitoring Process for NI 5+, SIG, RT3, RT3/SIG Schools (Attachment 8) provides a detailed list of reports and responsibilities. Attachment 8 is available upon request.

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

**Monitoring Schedule** for: Monitoring Expenditures of LEA subrecipients

- **Annually**  
Consolidated Application Budget Submission  
September 1 is the Consolidated Application deadline for RT3 budget submission for subsequent years.

FY12	September 1, 2011
FY13	September 1, 2012
FY14	September 1, 2013

Single Audit that complies with OMB Circular A-133

In addition to the annual audit (required by OMB A-133) and the RT3 quarterly review, Georgia DOE may periodically request a monthly invoice to ensure compliance with SOW, Budget, and Cash Management.

- **Quarterly**  
The Race to the Top Quarterly Report (provided to each LEA) and the LEA's substantiating expenditure report are submitted electronically on a quarterly basis to the RT3 Budget Analysts. The cumulative RT3 Quarterly Report is due on the 15<sup>th</sup> day of the following month and users can find the instructions on the second tab of the form. The Quarterly Report and expenditures report will be utilized to confirm compliance with the LEA's budget submission, the LEA's Scope of Work (SOW), and Georgia DOE Cash Management guidelines.
- **Year End**  
RT3 Funds Remaining at Year End  
Any unspent RT3 funds at year end will be reallocated to the LEA to use during the remaining years of the grant. For example: In Year 1, a LEA is awarded \$500,000 but only spent \$400,000. The RT3 Implementation Office will add the \$100,000 remaining to the Year 2 award. If the same LEA is awarded \$750,000 for Year 2, the amount submitted to the State Board of Education for budget Year 2 is \$850,000. The LEA will prepare a budget for the entire \$850,000 in the Consolidated Application. All RT3 funds expire September 30, 2014.

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

**Monitoring Schedule** for: Monitoring Expenditures of State Agencies (Direct)

**Annually**

State Agencies must comply with the Single Audit requirements of OMB Circular A-133.

**Quarterly**

OPB will periodically request a monthly invoice to ensure compliance with approved Scope of Work, Budget, and Cash Management. OPB and the GaDOE RT3 Implementation Office will compare draw down of funding (quarterly) to the required 1512 reporting to US DOE. OPB will periodically request expenditure reports to verify compliance with 1512 reporting.

GaDOE RT3 Implementation Office, in collaboration with OPB, will reconcile year end expenditures of approved budget to ensure compliance with the SOW and budget. Any changes to the approved state agencies RT3 budget require approval from the RT3 Implementation Office prior to implementation.

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

**Monitoring Schedule** for Project Management

Georgia's RT3 Implementation Office will utilize the services of one lead project manager and one additional support person. The project management team is responsible for developing a project plan; including defining and confirming the project goals and objectives, identifying tasks and how goals will be achieved, quantifying the resources needed, and ensuring budgets and timelines are tracked through project completion. It also includes managing the implementation of the project plan, along with adhering to the GaDOE's internal controls to ensure that there is accurate and objective information on performance goals and targets relative to the state's Scope of Work, and the mechanisms to recommend actions when milestones are at risk.

**Weekly**

Ongoing review of the 21 projects of which the GaDOE is responsible as well as the state agency projects. This includes assessing risk and notifying the appropriate personnel of any outstanding issues.

**Monthly**

Report to the State Board of Education on project milestones, successes, and potential risks.  
Report to the U.S. ED RT3 Office.

**Quarterly**

Beginning July 2011, host Webinars with GaDOE and state agencies to review milestones, share best practices, and assess potential risk.

**Annually**

Report on performance targets and project milestones.

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

**Monitoring Schedule for Onsite Monitoring of State Agencies (Direct)**

<b>State Agency (Direct)</b>	<b>Initiative</b>	<b>Date of Onsite Visit</b>
<b>University System of Georgia</b>	<b>Operational Data Storage System</b>	<b>April 2012</b>
<b>University System of Georgia</b>	<b>Data System</b>	<b>May 2012</b>
<b>Professional Standards Commission</b>	<b>Data System and Master Teacher Program</b>	<b>June 2012</b>
<b>Georgia Student Finance Commission</b>	<b>Data Systems</b>	<b>July 2012</b>
<b>Governor's Office of Student Achievement</b>	<b>Student Matching Data System</b>	<b>January 2013</b>
<b>Office of Planning and Budget</b>	<b>Innovation Fund</b>	<b>February 2013</b>
<b>Department of Early Care and Learning (Pre-K)</b>	<b>Implementation of Classroom Assessment Scoring System (CLASS) and Family Support Resources</b>	<b>April 2013</b>
<b>Technical College System of Georgia</b>	<b>Data Collection and Reporting of Teacher Prep Data</b>	<b>June 2013</b>

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

**Monitoring Schedule for Onsite Monitoring of LEA subrecipients**

Onsite Monitoring Schedule based on  
2010-2011 High Risk LEA Subrecipients

District Name	LOW, MED or HIGH Risk	RT3 Partner LEA	Onsite Visit 2011-2012	Onsite Visit 2012-2013	Onsite Visit 2013-2014	Onsite Visit 2014-2015
Ben Hill County	LOW	YES		X		
Bibb County	MED	YES	X		X	
Burke County	LOW	YES		X		
Chatham County	LOW	YES		X		
Cherokee County	LOW	YES	X*			X
Clayton County	LOW	YES		X		X
Dade County	LOW	YES			X	
DeKalb County	HIGH	YES	X	X	X	X
Dougherty County	HIGH	YES	X	X	X	X
Gwinnett County	LOW	YES		X		X
Hall County	LOW	YES			X	
Henry County	LOW	YES			X	
Meriwether County	LOW	YES			X	
Muscogee County	LOW	YES		X		X
Peach County	MED	YES	X		X	
Pulaski County	LOW	YES		X		
Rabun County	LOW	YES				X
Richmond County	LOW	YES	X		X	
Rockdale County	LOW	YES			X	
Spalding County	LOW	YES				X
Treutlen County	LOW	YES		X		
White County	LOW	YES		X		
Atlanta Public Schools	HIGH	YES	X	X	X	X
Carrollton City	LOW	YES				X
Gainesville City	MED	YES	X		X	
Valdosta City	LOW	YES		X		

\*Added due to expanded ESEA Title I monitoring.

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

**Monitoring of Performance Measures**

The Governor's Office of Student Achievement will design and implement evaluations of Race to the Top (RT3) programs. Program design will include methodologies to:

- (1) Monitor/audit any proposed performance measures;
- (2) Determine impact of initiatives on the four RT3 goals; and
- (3) Determine which initiatives merit continued investment after RT3 funding ends.

Georgia Department of Education  
Race to the Top (RT3) Monitoring Plan, Protocols, and Schedule

**List of Attachments available upon request**

Attachment 1. A-133 Compliance Internal Control Tool.

Attachment 2. “Best Practices Fact Sheet” on Cash Management Guidelines.

Attachment 3. Office of Planning and Budget MOU.

Attachment 4. The Quarterly Report Cash Management.

Attachment 5. State Accounting Office State Monitoring Protocol.

Attachment 6. LEA Risk Assessment.

Attachment 7. LEA Monitoring Form.

Attachment 8. Progress Monitoring Process for NI 5+, SIG, RT3, RT3/SIG Schools.