New York: Race to the Top Subrecipient Monitoring Plan

AUGUST 2012
(December 2013 Update Appended)

THE UNIVERSITY OF THE STATE OF NEW YORK
THE STATE EDUCATION DEPARTMENT

New York State Education Department
Race to the Top | Subrecipient Monitoring Plan
(December 2013 Update Appended)

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NYSED's Approach to Monitoring

The New York State Education Department (NYSED) is implementing a subrecipient monitoring plan for the Race to the Top (RTTT) Program as specified in Grant Condition O in the RTTT Grant Award Notification and the April 15, 2011 letter from the United States Department of Education (USDE). The State Education Department's oversight and monitoring activities address three priorities:

- Assess compliance with appropriate laws, regulations, and the provisions of contracts
- and grant agreements;
- Document the implementation of programs to advance the Regents Reform Agenda and meet program performance targets at both the State and Local Education Agency (LEA) levels; and
- Ensure that the recipients of RTTT funds have the internal controls necessary to prevent fraud, waste and abuse, identify potential or existing problem areas, and identify areas where additional technical assistance is warranted.

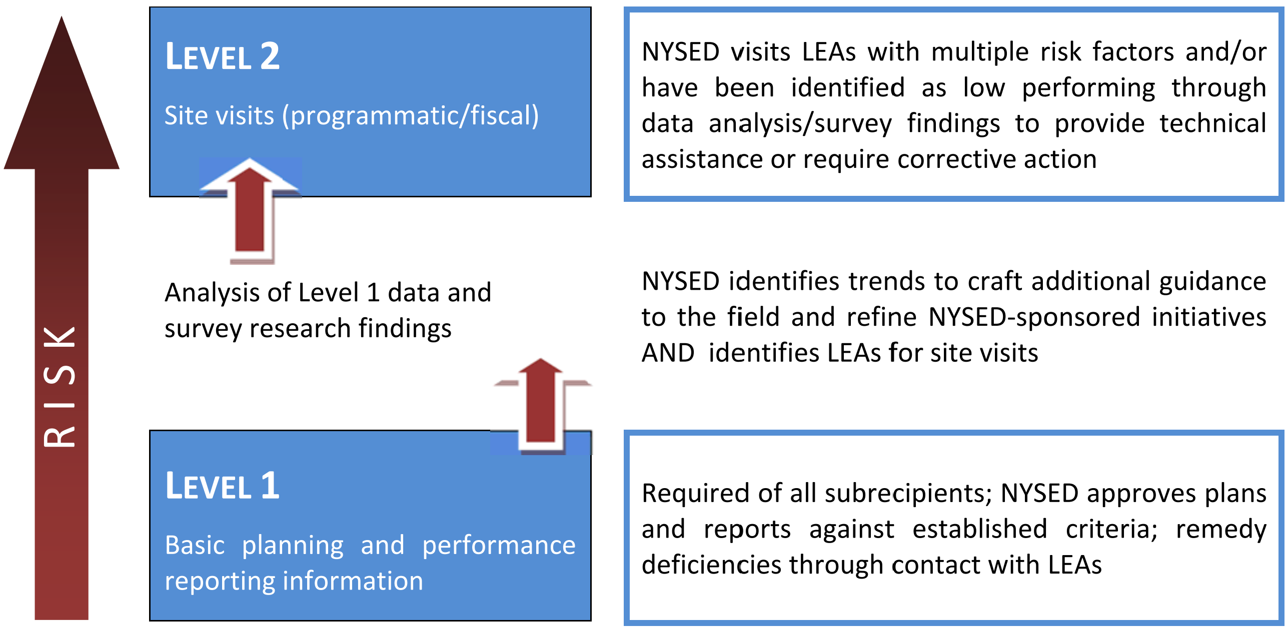
This Subrecipient Monitoring Plan describes NYSED's process for overseeing and monitoring grant activities funded by the local 50 percent share allocated to participating LEAs as well as the intra-state grant programs and statewide procurements funded from the 50 percent of the grant retained by the State Education Department. Our monitoring activities focus on both program implementation and fiscal management. Below is a chart that summarizes New York's framework for monitoring and the tools and protocols used. Some of these tools are designed and being implemented; others are still under development. Each element of our framework will be described in more detail in subsequent sections of this plan.

SUMMARY OF NEW YORK STATE'S RTTT OVERSIGHT AND MONITORING ACTIVITIES

Entity	Program Oversight and Monitoring	Fiscal Oversight and Monitoring
Participating LEAs (50% Local Share)	• Scope of Work Approval • Annual Performance Report Review/Analysis • Implementation Surveys • Network Team Performance Metrics • Network Team Institutes Evaluations • Risk-based Site Visits • External Evaluation of Common Core Implementation	• Annual Budget Approval • Budget Amendment Approval • Annual Final Expenditure Report Approval/Analysis • OSA Risk-based Audits • ARRA 1512 Quarterly Reports
Vendors/Grantees (50% State Share)	• Progress Reports • Contract Compliance Protocols • Grantee Site Visits • Grantee Convenings/CoP	• Payment Approval Process • Final Expenditure Report Approval/Analysis • ARRA 1512 Quarterly Reports

Overlaid on this framework is the concept of managing risk. Given that there are 690 participating LEAs with four-year allocations ranging from $1,400 to more than $256 million as well as 20 statewide procurements and a dozen grant programs with multiple grantees, the State must allocate its monitoring resources in a manner that focuses on subrecipients that may have the greatest challenges and/or least capacity to manage their RTTT funds and program initiatives.

The graphic below illustrates how NYSED has incorporated "risk" into our monitoring of participating school districts and charter schools.



NYSED's approach to monitoring subrecipients of funds from the 50 percent State share begins with the Request for Proposals (RFPs). Regardless of whether NYSED is providing a grant opportunity or soliciting a procurement, the RFP establishes clear statements of desired program outcomes (for grants) or the specifications for the products and services the Department seeks to purchase (for procurements). When soliciting proposals under its RFPs, the Department always adheres to the New York State Procurement Lobbying Law, the Office of the State Comptroller policies, and our own internal controls that collectively are designed to ensure objective, unbiased and fair reviews of all proposals received.

NYSED's RFPs also establish explicit reporting requirements and delineate payment processes for both grants and procurements. In the case of procurement RFPs, payments are most often tied to the completion of specific deliverables on a schedule and in accordance with acceptance standards determined by the State Education Department. Contracts that result from successful proposals always contain clauses that allow NYSED to terminate a vendor's work for cause and with due notice.

Participating LEAs

Level 1

During the first quarter of Year 1, under the leadership of the RTTT Performance Management Office (PMO), the State Education Department developed the templates and guidance documents for completing the four-year Scope of Work plans and budgets (Attachments A-E). NYSED provided extensive support to participating LEAs as they completed their Scope of Work documents. The Department communicated the Regents reform priorities and RTTT policies and procedures through a series of webcasts, regional presentations, field memos, frequently asked questions and other information posted at the Department's RTTT website http://usny.nysed.gov/rttt/.

Participating LEAs were required to submit their Scope of Work plans and budgets through an expanded online portal used for other ARRA reporting purposes. This electronic submission process allowed the Department to build in automatic edit checks and other internal controls to help ensure compliance with NYSED policies (e.g., 15% Year 1 budget cap, 25% apportionment for Teacher/Leader activities, etc.) and to promote accuracy and completeness in documents LEAs were submitting. NYSED staff reviewed submitted Scope of Work plans and budgets according to established protocols (Attachments F-G). Once approved by NYSED staff, the Scope of Work documents became the baseline data set against which subsequent reporting and expenditures would be analyzed to assess compliance with grant requirements and Department policies as well as to gauge progress toward State and local performance goals.

Upon NYSED approval of their submitted budgets, LEAs may expend funds as needed and are required to file their requests for reimbursement of RTTT expenditures separately from the ARRA Reporting System using an FS-25 paper reimbursement form to the Department's Grants Management Office. NYSED requires LEAs to submit their actual expenditures in relation to their original approved budgets. Once submitted, Grants Management staff then review the requests, compare the request to the LEA's budget and, if expenditures are appropriately documented, authorizes payment to the LEA.

Additionally, the State Comptroller has issued guidance directing school districts to adapt their current financial accounting system, if necessary, to be able to separately identify RTTT funds, similar to current federal funds accounting requirements. A new revenue account code has been created - F4289 - to report the ARRA revenues on the annual financial reporting document ST-3. ARRA funds received from RTTT must be recorded in the Special Aid Fund as revenue account code F4289 for all ARRA spending provisions under RTTT. For additional information relative to account codes for ARRA, please refer to http://usny.nysed.gov/arra/

At the end of Year 1, the State Education Department designed and built additional functionality into the online portal to include electronic submission of an Annual Performance Report (APR) and an Final Expenditure Report (FER). The template for the APR (Attachment H) mirrors the template of the Scope of Work plan so that the Department can efficiently compare planned vs. actual activities. The FER mirrors the budget template (Attachment I) so that the Department can compare budget vs. expenditures. These two analyses allow the Department to document statewide trends in progress and fiscal management practices and identify variances from those trends. The fiscal modules of the online system have additional embedded controls. The system does not allow a participating LEA to make changes to its approved annual budget without first getting approval for a budget amendment. Also, LEAs cannot submit a budget for an upcoming year without first closing out the prior year to ensure for timely reporting and filing of reimbursement claims. FER reports are approved by RTTT PMO staff following established protocols (Attachment J).

All participating LEAs must also submit "1512 Quarterly Reports" through the online portal to comply with ARRA reporting requirements regarding expenditures, use of contractors and jobs created or saved (Attachment K). These reports are reviewed and approved by staff in the RTTT PMO following established protocols (Attachment L).

Early in Year 2, NYSED's desk review and analysis capability of the basic planning and reporting information being submitted by all participating LEAs was significantly expanded with the appointment of a full-time project assistant dedicated to subrecipient monitoring and support. Maintaining this "single point of contact" for all LEAs has proven exceptionally helpful in ensuring that LEAs have a clear understanding of how to comply with NYSED reporting requirements, thus helping to minimize reporting errors and improving the timeliness and accuracy of submissions from the field. This additional staff has also strengthened the Department's oversight by augmenting the PMO's capacity to generate and analyze summary reports of subrecipient reporting and activities.

LEVEL 2

The State Education Department plans to begin conducting site visits to select RTTT participating LEAs during the 2012-13 school year. Some of these site visits will be fiscal and internal controls audits conducted by the Department's Office of Audit Services; others will be programmatic in nature and conducted by the Office of P-12 Education's new Network Team Implementation Team.

The site visits begin in Year 3 of the grant for two reasons. First, the Department focused its Year 1 and Year 2 efforts on building its staffing capacity to do this work and on the planning and reporting system previously described. The information contained in this system was a prerequisite for assessing the risk profile for each LEA needed to identify which of our 690 participating LEAs to visit. Second, the Department, again using a risk management framework, determined that there was minimum fiscal risk associated with the Race to the Top subrecipient grants in Years 1 and 2. There were fewer subrecipient funds budgeted and expended during Year 1 (the ten month period between late September 24, 2010 and June 30, 2011), since LEA activity focused on the development of their Scope of Work documents and formation of their Network Teams. During Year 2, many LEAs spent their annual budgets to support their Network

Team's participation in the intensive professional development sessions (monthly Network Team Institutes) sponsored by the State Education Department.

In preparation for the fiscal and internal controls site visits, the Office of Audit Services has conducted a comprehensive risk assessment of all participating school districts and charter schools (Attachment M). The methodology quantified and weighted risk based on certain factors related to subrecipient's fiscal condition, timeliness of reporting, results of external audits including OAS audits of ARRA funds, and results of A-133 single audits of federal funds. The specific risk factors included in the OAS assessment included:

- Total ARRA Race to the Top Funding
- Unreserved, Undesignated Fund Balance (09-10)/Unassigned Fund Balance (10-11)
- Total ARRA RTTT Funding as % of 10-11 Budget
- Fund Balance Subject to Real Property Tax Limit as % of Following Year's Adopted Budget 10-11
- Opinion on Financial Statements as "Qualified"
- Report on Internal Controls
- Financial Statements Received After 30 Day Grace Period
- A-133 Received Late
- A-133 Corrective Action Plans and Corrective Action Plans for other audits received late
- Number of Findings for All Audit Reports by OSC, OAS, Federal Government, and Other State Governments
- Single Audit ARRA Findings
- Reporting Not Timely, 1512 Reports Inaccurate, Separate Account Codes, and Cash and Interest Income
- RTTT Activity Type from Online Budget (Funds budgeted for School Turnaround)

The risk assessment identified 29 subrecipients with potential higher fiscal risk in administering RTTT funds. Of those 29 LEAs, 19 have been awarded a four-year grant of more than $250,000. Through monitoring of activities, two additional districts were identified as high risk bringing the total to 31. The specific LEAs to be visited and the schedule of those visits will be included in OAS's Annual Audit Plan which is projected to be reviewed by the Board of Regents Committee on Audits/Budget and Finance and approved by the Department's Executive Deputy Commissioner in October 2012. These fiscal site visits will concentrate primarily on allowable uses of funds to ensure that grant subrecipients are in compliance with the federal cost principles defined by OMB Circular 87.

The OAS fiscal and internal controls audits of RTTT subrecipients will result in one or more of several possible outcomes:

- The audit will not identify any material findings;

- The audit will identify some material findings of a minor nature resulting in a report that contains recommendations for LEA management to modify existing internal control or expenditure processes; and/or
- The audit will identify substantial findings of material fact resulting in a report and possible NYSED response of withholding future RTTT funds if satisfactory corrective action is not taken in a timely manner.

For each outcome a report will be issued to the LEA's Board and Management. The LEA is required by New York State Education Law to submit a corrective action plan to the Commissioner of Education within 90 days of the issuance of the final audit report. The Corrective Action Plans will be reviewed by OAS as well as program staff to ensure findings are addressed.

OAS's RTTT subrecipient audits will be a factor in enhancing overall LEA accountability for the use of the RTTT funds going forward. All final reports will be posted on the State Education Department's website for public inspection. Findings will be used by NYSED to enforce corrective actions as needed to ensure full compliance with federal ARRA grant requirements.

During Year 3, NYSED will also undertake a limited number of program focused site visits. The purpose of these on-site monitoring visits is several-fold:

- Assess the LEA's fidelity in implementing the Regents Reform Agenda; specifically the Common Core instructional shifts, Data-Driven Instruction, and the Teacher/Principal Evaluation system;
- Compare the LEA's activities to date to its work plan contained in its Scope of Work and provide technical assistance to help the LEA address variances;
- Evaluate the role of local Network Team's involvement and impact in supporting the LEA with implementation of the Regents Reform Agenda;
- Identify implementation challenges at the LEA level in order to improve the ongoing training, support, and technical assistance provided by the Department to the field; and
- Recognize promising practices for sharing statewide through various communications means including Network Team Institutes and posting on EngageNY.org.

LEAs selected for site visits will be informed that they will be visited and provided with the monitoring protocols the Department will use. The visit will include interviews with LEA administrators and teachers, classroom observations and walkthroughs. The site visits will also include a review of relevant records and materials to primarily determine the LEA's compliance with appropriate laws, regulations, and the provisions of contracts and grant agreements. Following the monitoring visit, Department staff will share with the LEAs the results of monitoring findings allowing 30 days for school districts to provide a response. NYSED staff will incorporate district comments in a final report to be mailed to the school superintendent/charter school CEO, posted on the Department's ARRA website and retained in NYSED's files.

LEAs will be selected for on-site monitoring visits based on a combination of programmatic risk factors that may include, but not be limited to: number and complexity of activities in an LEA's Scope of Work, results submitted in an LEA's RTTT Annual Performance Report, trends in the LEA's student assessment results, progress reports from the LEA's Network Team, and results from surveys administered by NYSED. A number of the risk factors for selecting LEAs to be visited will be derived from the Department's Level 1 monitoring efforts. Other risk factor data will come from surveys administered in Year 2 and going forward.

SURVEY RESEARCH

The first survey undertaken was conducted in conjunction with the Department's School Year 2011-12 Intermediate Level Monitoring for Title I Schools (Attachment N). The protocols for these monitoring site visits included a survey asking LEA administrators to: a) rate the progress of their Network Team against the three expected deliverables of these teams for 2011-12; and b) describe the actions the LEA has taken as early implementation of the Regents Reform Agenda (Attachment O).

A more comprehensive survey research plan was initiated in late spring 2012 with the objective of assessing the effectiveness of the professional development provided by the Network Teams and the impact this training has had in the field. The focus on Network Team effectiveness was warranted since NYSED designed these teams to be the major "delivery system" for the professional development needed to implement the ambitious Regents Reform Agenda. Year 1 of the RTTT grant was devoted to establishing approximately 200 Network Teams and Year 2 focused on providing essential training to Network Team members so they could be positioned to turnkey the training locally. Now that the Network Teams have some experience in delivering services directly to schools, it was important to begin to build a systemic approach to monitoring and oversight that is both statewide in scope and would gather data on experiences at the local level from a variety of perspectives.

The State Education Department administered two separate, but related, online statewide surveys (Attachments P-Q) were designed and administered at end of the 2011-12 school year. Both surveys, although differentiated by role (e.g., school building principals and Network Team members), asked similar questions about:

- The quality and fidelity of the initiatives in the field;
- The breadth and scope of the training in the field in three areas (Common Core Standards in ELA and Math, Data-Driven Instruction, and Teacher/Principal Evaluation; and
- The level of effectiveness of the turnkey training to the field.

Specific questions ask school building principals to assess their level of personal familiarity with the three areas and to evaluate the quality and relevance of any professional development they have received. They were also asked to identify "artifacts" they could provide to NYSED on a site visit as evidence of their districts' implementation efforts. Network Team members were asked to provide details on the training they are providing locally, identify obstacles that put their efforts at risk, assess whether they are on track to meet the milestone for deliverables[1], and what additional resources they have found helpful. Findings from these surveys will be used by NYSED to identify trends to craft additional guidance to the field, refine NYSED-sponsored initiatives, and identify LEAs for site visits.

Network Teams

In our application, New York State committed to establish a robust system of "Network Teams" to support schools across the state to implement the Regents Reform Agenda. Network Teams would assist schools, through turnkey training and coaching, as they:

- Implement the Common Core standards and align instruction to the new standards;
- Implement the State's comprehensive assessment program and adapt to more rigorous performance-based assessments;
- Establish school-based inquiry teams to analyze student performance data and make adjustments to instructional practices; and
- Implement the new teacher/leader evaluation system, especially in regards to evidence-based observation.

Now that NYSED has provided a year of professional development to Network Teams members and they have begun turn-keying this training directly to schools, it is essential that NYSED transition its focus. This shift is from largely providing professional development to one that balances on-going professional development with implementation technical assistance and accountability. NYSED has begun the work to strengthen its accountability initiatives in two key aspects. First, the responsibilities of the NYSED's Network Team staff are expanding to include monitoring and assessing implementation. Second, the Department will enhance its survey research methodology begun in Year 2.

Network Team Implementation Team

With approval of an amendment to our State Scope of Work by the U.S. Department of Education, NYSED is establishing an expanded Network Team unit, which will be renamed the Network Team Implementation Team to recognize a shift in focus described above. This team will have three main responsibilities:

1. Planning and implementation of all Network Team Institutes (continuation of current responsibilities);
2. Providing technical assistance and support to Network Teams in the delivery of turnkey training and other services to school districts (a natural maturation of Year 1 and 2 activities); and

[1] As described in the NYSED publication, *Network Teams: Deliverables, Metrics, and Evidence for SY 2011-12.*

3. Assessing the effectiveness of Network Team efforts and gathering data on LEA implementation of Common Core Standards, Data-Driven Instruction, and the Teacher/Principal evaluation system (new responsibility).

To fulfill this new third responsibility, the Network Team Implementation Team will conduct several specific activities including, but not limited to:

- Design and administer a comprehensive statewide survey research plan; analyze results;
- Conduct site visits as described in the previous section;
- Design, create and implement reporting structures, monitoring rubrics for both Network Teams and participating LEAs;
- Evaluate the quality and relevance of Network Team Institutes to inform planning for subsequent Institutes;
- Examine student assessment results data for evidence of measurable improvements that could be attributed to implementation of Common Core Standards, Data-Driven Instruction, and Teacher/Principal evaluations; and
- Use results from monitoring activities to inform the development of statewide systems to sustain best practices beyond the RTTT grant period.

ENHANCED SURVEY RESEARCH

The State Education Department developed a set of expected deliverables and performance metrics for the initial year of Network Team operations, School Year 2011-12 (Attachment R), which was the basis for the implementation surveys administered in the spring of 2012. NYSED has since updated and expanded this document for school year 2012-13 (Attachment S). The new version includes implementation metrics related specifically to Common Core State Standards (CCSS) implementation, alignment of CCSS and Annual Professional Performance Review (APPR), APPR implementation, and implementation of Data-Driven Instruction (DDI). The metrics are also calibrated for different roles: LEA Superintendents, Network Teams, and District Superintendents (BOCES). The Vision and Metrics document forms the basis for several new survey and implementation assessment tools:

- *Overview of District Implementation Efforts Survey* (Attachment T): A survey being administered this summer by Network Teams to directors of professional development or curriculum for their component LEAs.

- *Superintendent Worksheet for Completing the District Implementation Readiness Rubric* (Attachment U) and the *District Implementation Readiness Rubric* (Attachment V): A district-level tool to assist LEA superintendents in assessing their districts' readiness to implement the CCSS instructional shifts and their progress in doing so along each of the focus areas of the performance metrics mentioned above.

- *District Superintendent (BOCES) Regional Implementation Analysis* (Attachment W): Based on the LEA Superintendents' assessment results, BOCES District Superintendents will prepare and submit to NYSED a regional assessment summary reflecting the implementation status of all their component districts.

Additional surveys and assessment tools will be developed by the Network Teams Implementation Team as warranted. The Implementation Team will also be responsible for incorporating the findings of these new survey and assessment tools into all the other analysis of implementation progress and student results that the team will be undertaking.

Third-Party Evaluations

Common Core Implementation

In addition to on-site reviews, NYSED will contract with a vendor to conduct a third-party evaluation of LEA implementation of key components of the State's Common Core-driven agenda; specifically, the degree to which teachers have successfully incorporated Common Core State Standards and instruction in the classroom, the extent to which LEAs have accommodated these changes organizationally and, finally, student performance on Common Core aligned standardized summative assessments. Institution-specific results from this evaluation will be used to validate and substantiate findings from on-site visits and audits and to identify performance trends that will alert NYSED Network Team Implementation Team members to share important findings with the field and provide targeted technical assistance to address outstanding performance issues.

Statewide Evaluation of NYS Interventions into Low Performing Schools

In September 2011, NYSED selected a vendor to evaluate the statewide implementation of:

- School intervention models and the impact on student achievement from implementation of improvement approaches in identified Persistently Lowest Achieving (PLA)/Schools Under Registration Review (SURR) schools.
- Interventions in Differentiated Accountability (DA) Improvement, Corrective Action and Restructuring phases and categories of the State accountability system and the impact on student achievement and implementation of improvement approaches in identified schools.

Specifically, the contractor is addressing several interrelated but distinct evaluation components and assessments including:

1. The implementation of school intervention models, the effectiveness of interventions and improvement approaches, and the impact on student achievement in PLA/SURR schools;
2. The implementation of DA phase and category requirements, the effectiveness of interventions and improvement approaches and the impact on student achievement in identified schools in New York State;
3. Annual formative and summative assessments of implementation in these schools and districts; and
4. A three-year trend analysis for all outcome measures.

Although this contract runs through the life of the RTTT grant, the contractor is providing NYSED's Office of Accountability with quarterly progress reports, annual reports and is providing other deliverables as required in the Request for Proposals.

Oversight & Monitoring: Vendors/Grantees

In New York's *State Scope of Work*, the State Education Department committed to using the 50% share of the RTTT grant to launch several grant programs and fund a number of procurement contracts. In the shortened Year 1 period of the RTTT grant (September 2010 – June 2011), NYSED concentrated its efforts on developing and issuing Request for Proposals (RFPs) as required by the State's procurement rules and regulations. While NYSED issued several RFPs in Year 1, these did not result in any contracts or grant awards being made due to the timeframes of the required processes. In Year 2, NYSED awarded six procurement contracts and made awards under two grant programs.

There will be a significant increase in both contracts and grant awards during Year 3. In total, over the four-year period, more than $170,000,000 of the State's share will be used to provide grants to school districts, charter schools and postsecondary institutions across several of the Assurance Areas. Almost another $150,000,000 of the State's share will be used to purchase products and services (e.g., sample curriculum modules, professional development on the new State teacher/leader evaluation system, the Education Data Portal, etc.) that will have long-term benefits to schools and students beyond the life of the RTTT grant.

In anticipation of the increased numbers of contracts and grant awards, the State Education Department has expanded its online reporting system so that vendors and grantees can submit 1512 ARRA Quarterly Reports similar to what participating LEAs have been doing since the start of the RTTT grant.

Coordinator for Contract Performance Management

NYSED has also hired a full-time, dedicated Coordinator for Contract Performance Management who works as part of the RTTT Performance Management Office (PMO). The Coordinator is assisting program office staff who work directly with contractors and grantees to ensure that all RTTT-funded state contracts and grant programs are overseen in a consistent manner, generate the anticipated deliverables or program outcomes consistent with contract-defined quality standards and that all ARRA/RTTT required reporting is completed accurately and in a timely fashion.

The Coordinator is working with other staff in the RTTT PMO to develop a comprehensive training manual for grant/vendor contract administration and monitoring. The manual will be used to educate internal program staff on how to monitor vendor performance through fiscal and progress reports; establish and maintain a continuous meeting schedule for updates, issues, or concerns; develop internal tracking system for reports and payments; and understand and apply federal and state guidelines (ARRA, OMB Circulars A-31 and A-33) in the administration of the contract. All training materials will be housed on the Department's intranet for future reference as a resource during the RTTT contract.

In addition to the staffing training initiatives, the Coordinator will participate in vendor meetings to ensure contract compliance and service delivery guidelines are met; address any budgetary and reimbursement inquiries, and develop reporting structures to complement service delivery schedules. The oversight of vendor service may occur via on-site monitoring of activities; however, due to State-mandated travel restrictions, oversight will primarily be implemented through conference calls, web-based meetings, and written reports (both progress and fiscal).

OVERSIGHT PROTOCOLS

NYSED employs various strategies to provide oversight and conduct monitoring of vendor/grantee recipients of RTTT funding from the State 50 percent share. These strategies comply with federal and state regulations for the administration of federal funding. The process for awarding funds is similar for grants and procurements.

Initially, NYSED develops and issues a Request for Proposals (RFP) that becomes an executable contract with a vendor (for procurements) or an award notification (for grantees). All contracts include explicit language regarding the State Education Department's expectations for performance. All proposals received in response to RFPs are evaluated against objective criteria (typically related to the quality of proposed work plans, organizational capacity to deliver, and reasonableness of budget, among others). Once a vendor or grantee is selected, a contract is prepared. All contracts and grant awards must first be approved by the Office of the State Attorney General and the Office of the State Comptroller before projects can begin.

Contracts and grant awards provide explicit expectations for the delivery of products and services or grant activities as well as a calendar of activities or milestones for deliverables, payment schedule, and reporting requirements. Once contracts/grant awards are in place, the vendors/grantees are invited to an orientation to meet with NYSED program staff for a brief overview of the contract and fiscal and program delivery expectations. The vendors/grantees are introduced to the various reporting and payment requirements.

The vendor submits deliverables and invoices according to schedule and the NYSED program office contract manager reviews and accepts deliverables based on established quality standards. Invoices are then forwarded to NYSED's Grants Management Office for payment. Grantees submit requests for reimbursement of expenditures on a schedule specified in the RFP. The program office grant manager reviews the reimbursement claim compared to the previously approved work plan and budget. When approved by the program office, the reimbursement claim is submitted to the Grants Management Office for payment.

In addition to payment criteria, the vendors/grantees are responsible for reporting on services provided and activities performed in a progress report. Standard contract language for grants/procurements is a quarterly reporting schedule; however there may be instances where only an annual report may be required. In addition to the quarterly report, the vendor/grantee is required to submit information in compliance with 1512 ARRA reporting requirements regarding expenditures and jobs created or saved. Vendors and grantees use the same online ARRA reporting system that LEAs use when submitting their 1512 reports.

Vendors and grantees are expected to submit to NYSED an Annual Performance Report (APR) as required by the federal Race to the Top grant. The APR is due December 2014, which is 90 days from the grant closing date of September 2014. The vendors/grantees will be notified to complete their APR within the same delivery period, but with an appropriate amount of time for NYSED to submit its required grant closeout reports. The vendors/grantees billing cycle may end within 30 days from the grant closing date, thus allowing them to complete their APRs by October 2014.

If at any time during the contract/grant period, the Department determines that the vendor or grantee is out of compliance with contract terms, NYSED can, at its discretion, decide to terminate the contract/grant and stop payment. This is a standard clause attached to every RFP issued by NYSED and included in every contract approved by the State Attorney General and the Office of the State Comptroller (Attachment X).

Conclusion

This Subrecipient Monitoring Plan describes NYSED's process for overseeing and monitoring grant activities funded by the local 50 percent share allocated to participating LEAs as well as the intra-state grant programs and statewide procurements funded from the 50 percent of the grant retained by the State Education Department. Our monitoring activities focus on both program (to assess progress related to CCSS, DDI and TLE implementation) and fiscal management (to evaluate compliance with federal cost principles defined by OMB Circular 87). Overlaid on this framework is the concept of managing risk. Given that there are 690 participating LEAs with four-year allocations ranging from $1,400 to more than $256 million as well as 20 statewide procurements and a dozen grant programs with multiple grantees, the State is allocating its monitoring resources in a manner that focuses on subrecipients that may have the greatest challenges and/or least capacity to manage their RTTT funds and program initiatives. Some of the tools to be used in this work are designed and being implemented; others are still under development.

Attachments (for 8/2012 report)

Attachment A	Guidance for Developing LEA Scope of Work
Attachment B	LEA Scope of Work Template
Attachment C	LEA Activity Level Annual Budget Template
Attachment D	Request to Certify a Network Team Equivalent
Attachment E	Teacher and Principal Evaluation System Implementation Certifications
Attachment F	LEA Scope of Work Reviewer Checklist
Attachment G	LEA Activity Level Annual Budget Reviewer Checklist
Attachment H	LEA Annual Performance Report Template
Attachment I	LEA Annual Final Expenditure Report Template
Attachment J	LEA Annual Final Expenditure Report Reviewer Checklist
Attachment K	ARRA 1512 Quarterly Report template for Race to the Top
Attachment L	ARRA 1512 Quarterly Reporting Approval Process Checklist
Attachment M	NYSED Office of Audit Services Fiscal Risk Assessment: Summary
Attachment N	Title I Districts Subject to Intermediate Level Monitoring
Attachment O	SY 2011-12 Site Visit RTTT Survey (done as part of the site visits to Selected Title I Districts – see Attachment N)
Attachment P	SY 2011-12 Implementation Surveys: School Building Principals
Attachment Q	SY 2011-12 Implementation Surveys: Network Team Members
Attachment R	Network Teams: Deliverables, Metrics, and Evidence for SY 2011-12
Attachment S	Draft Vision and Metrics for Implementing CCSS, APPR and DDI for SY 2012-13
Attachment T	Overview of District Implementation Efforts Survey
Attachment U	Superintendent Worksheet for Completing the District Implementation Readiness Rubric
Attachment V	District Implementation Readiness Rubric
Attachment W	District Superintendent Regional Implementation Analysis
Attachment X	RTTT Requests for Proposals – Sample Language Regarding Reporting and Payment Requirements

December 2013 UPDATE

NYSED continues to implement various components of its subrecipient monitoring plan for the Race to the Top program. Following is an update on monitoring activities as of December 2013.

Participating LEAs

ADMINISTRATIVE SERVICES GROUP (ASG) SUBRECIPIENT MONITORING (50% Local Share; fiscal and programmatic focus)

Current Activities

At the time of this update, an ASG team has conducted eight fiscal and programmatic site visits (Niskayuna, Schenectady, Albany, Elmira, Whitesboro, Hempstead, Niagara Falls and Central Islip). Scheduling of additional site visits throughout the State to be completed during SY 2013-14 is underway but firm dates have not yet been determined (see Attachment 1 for current schedule). To maximize efficiency, ASG plans to conduct site visits in LEA's that OAS will *not* visit SY 2013-14. This way all 31 high risk sites will have at least one visit by the end of SY 2013-14.

ASG Sub-recipient Monitoring site visits have focused primarily on outcomes of metrics and deliverables as outlined in the Network Team Institute's Metrics and Deliverables document available on EngageNY.org (http://www.engageny.org/) as well as financial components of each LEA's RTTT program in conjunction with the desk audits available to the Department via the NYSED Business Portal. These site visits thus focus on but are not limited to:

- Assessing the LEA's fidelity in implementing the Regents Reform Agenda; specifically the common core instructional shifts, data-driven instruction, and the teacher/principal evaluation system;
- Comparing the LEA's activities to date to its work plan contained in its Scope of Work and providing technical assistance to help the LEA address any variance;
- Evaluating the role of local Network Team's involvement and impact in supporting the LEA with implementation of the Regents Reform Agenda;
- Identifying implementation challenges at the LEA level in order to improve the ongoing training, support, and technical assistance provided by the Department to the field; and
- Recognizing promising practices for sharing statewide through various communications means including Network Team Institutes and postings on EngageNY.org.

ASG utilizes the LEA Level Compliance Review Form (see Attachment 2) to conduct visits and has found it to be a useful instrument. To date, visits have yielded some impressive implementation and professional development artifacts as well as a significant level of dissemination within the each LEA. Reports are prepared from each visit and reports from visits thus far are in draft.

Data from the 2011-12 Annual Program Report has been exported from the NYSED Business Portal. The aggregated results of LEA responses submitted at the time of data capture have been examined and run for frequency and descriptive statistics. The results are currently being analyzed as the Department determines the next steps and any action planning resulting from this information.

ASG Monitoring efforts continue to reaffirm the value of and need for these visits to districts. The team has learned that specifically identifying the artifacts and evidence NYSED is looking for in LEA records prior to the visit is critical. Providing the LEA with this information, including the monitoring instrument benefits both SED and the LEA in this process. As a result, staff have found that Districts' are supplying the monitoring team with flash drives and hard copies of evidence in organized binders upon arrival. This practice has made for effective and efficient monitoring visits that allow more time for collegial conversations around the work to take place between SED and the LEA. Results from visits thus far have been very positive with only minor expenditure issues that have been reconciled with Final Expenditure Report adjustments.

OFFICE OF AUDIT SERVICES (OAS) (50% Local Share; fiscal focus)

Current Activities

In preparation for the fiscal and internal controls site visits, OAS has conducted a comprehensive risk assessment of all participating school districts and charter schools. The methodology quantified and weighted risk based on certain factors related to sub recipient's fiscal condition, timeliness of reporting, results of external audits including OAS audits of ARRA funds, and results of A-133 single audits of federal funds. Specific risk factors in the OAS assessment include:

- Total ARRA RTTT Funding
- Unreserved, Undesignated Fund Balance (09-10)/Unassigned Fund Balance (10-11)
- Total ARRA RTTT Funding as % of 10-11 Budget
- Fund Balance Subject to Real Property Tax Limit as % of Following Year's Adopted Budget 10-11
- Opinion on Financial Statements as "Qualified"
- Report on Internal Controls
- Financial Statements Received After 30-Day Grace Period
- A-133 Received Late
- A-133 Corrective Action Plans and Corrective Action Plans for Other Audits Received Late
- Number of Findings for All Audit Reports by OSC, OAS, Federal Government, and Other State Governments
- Single Audit ARRA Findings

- Reporting Not Timely, 1512 Reports Inaccurate, Separate Account Codes, and Cash and Interest Income
- RTTT Activity Type from Online Budget (Funds budgeted for School Turnaround)

The risk assessment initially identified 29 sub recipients with potential higher fiscal risk in administering RTTT funds. By monitoring other activities (including reports in the portal) two more districts were added (Whitesboro and West Seneca) making the total 31. Of those 31 LEAs, 19 have been awarded a four-year grant of more than $250,000. Fiscal site visits concentrate primarily on allowable uses of funds to ensure that grant sub recipients are in compliance with the federal cost principles defined by OMB Circular 87.

These districts account for $296,404,875 or about 85 percent of the LEA local share of RTTT funding. To date the OAS conducted eight audits: Niagara Falls, Kiryas Joel, Elmira, Utica, Rome, Jamestown, Rochester and Poughkeepsie. Niagara Falls and Kiryas Joel reports are complete with the remainder in various stages of draft. OAS staff are doing fieldwork in Rochester and Poughkeepsie during December 2013. In general, results from visits to date indicate that districts are complying with majority of the requirements of RTTT although there are some areas of non-compliance related to claiming of unallowable or unapproved expenditures, 1512 reporting requirements, some inconsistencies between district record and information submitted online to SED and federal requirement on support for salaries and wages (payroll certification and personnel activity report).

Network Teams

NETWORK TEAM IMPLEMENTATION TEAM (oversight and technical assistance to LEAs)

Current Activities

Nineteen Network Team Institutes (NTI) have been held to date containing a variety of instructional strategies, which include lectures, workshops, and case studies in a train-the-trainer model. Primary NTI objectives have been designed to build an understanding of the Regents Reform Agenda (implementation of common core standards and aligned curriculum and assessments; building a statewide instructional data system; recruiting, retaining and rewarding great teachers and leaders; and turning around our lowest performing schools) and the role of the Network Teams to support sustainable school improvement.

The Network Team Implementation Team uses various methods to measure their effectiveness as well as improve upon the NTIs including: 1) formal surveys distributed statewide, 2) information surveys and monitoring instruments distributed to NTI attendees, and 3) as available, a Network Team Implementation Team member accompanies NYSED staff to on-site visits with a programmatic survey instrument.

To date, after all NTIs, each participant received both an informal as well as a formal way in which to provide feedback. The surveys and responses have helped the NTI team adjust and amend NTIs going forward. From the beginning, the Network Team instituted an online survey for each participant to complete following the conclusion of an NTI. The information gathered from these online surveys have been used in two primary ways: 1) the aggregate data has helped the Network Team plan future events based on the submitted negative or positive responses (plus/deltas), and 2) many of the questions were content based, allowing the Network Team to verify how successful the training was based on the level of understanding that the participants took away from the training.

Examples of how the aggregated data has affected and improved the NTIs are below:

1) *Turnkey materials were improved.* Materials have all been upgraded to a comprehensive turnkey model that includes facilitator guides and PowerPoint presentations to be used in the field. This is now a uniform process used by all vendors in response to the usefulness of materials in post-NTI surveys. To make the materials more useful and accessible to the field who do not attend trainings, the Network Team Implementation Team also pulled key materials out of the NTI handouts via webpages that provide an overview and a scope and sequence of trainings. This is in response to the (lack of usefulness and need for adaptations of materials) feedback regarding materials on EngageNY in the feedback loop survey. This new layout was launched at the July 2013 NTI.
2) *Metrics were upgraded.* More targeted metrics are now provided on high leverage behaviors to drive change in educator practice in the three key initiatives (common core implementation, data-driven instruction and teacher/leader effectiveness utilizing the annual professional performance plan). The Network Team added a principal column and have connected roles across the delivery chain. They have also made metrics more quantifiable. This was in response to regional meeting feedback.
3) *Roles were differentiated.* In response to the plus/delta feedback and parking lot questions, the Network Team now offers specific trainings and breakouts to assist the building principal (and their supervisor) to support common core instruction with fidelity separate from the teacher training. This includes data-driven instruction practices, using Annual Professional Performance Plan (APPR) to support teachers, and coaching conversations as well as calibrating principals to evidence of quality common core materials and instruction.

Additionally, in February 2013 the Network Team Implementation Team distributed throughout the state a comprehensive survey for teachers, principals, and administrators asking for feedback on the implementation of the common core, APPR, and data-driven instruction. The Network Team Implementation Team then aggregated the responses and presented the findings to senior NYSED staff in May 2013. This data has been used by the Network Team to help them re-strategize the NTIs. Additionally, the data has been useful to identify the areas in which teachers and principals have found great value in the NTIs (e.g., the curriculum modules and the web-based information available on engageny.org).

Throughout April and May of 2013, the Network Team conducted five regional delivery trainings for the purposes of assessing regional needs. The Network Team learned that many of the teacher leader effectiveness trainings need to be more evidence-based for the teachers to feel as though they have something concrete to take back to their classrooms, while the providers (BOCES) were looking for more feedback on how to continue the regional trainings going forward. Both of these concerns were addressed at July 2013 NTI trainings as well as incorporated into the regional trainings.

Finally, the Network Team has begun to accompany OAS on visits to school buildings to evaluate the effectiveness of the turnkey training model's ability to infiltrate classroom instruction. Additionally, the Network Team has been working with the team charged with school and district reviews (http://www.p12.nysed.gov/accountability/School_Improvement/home.html) to identify examples of implementation of the common core and data-driven instruction, which has allowed the Network Team to engage with teachers and principals who are actively turn-keying the instruction that they learned at NTI through the diagnostic review team.

Third-Party Evaluations

Implementation Evaluation

In addition to on-site reviews, NYSED is evaluating its entire set of Common Core Implementation activities as well as the implementation of the new educator evaluation system.

NYSED's research partner, Center for Advanced Study in Education (CASE), part of the City University of New York, has designed and will conduct the evaluation. The RTTT Implementation Evaluation plan seeks to answer whether these priority RTTT initiatives were implemented and operated as proposed, and whether the reform efforts as described in our RTTT application are evident at the district and school levels, as measured by incorporation of effective instructional practices and improved student outcomes. It will seek to develop an understanding of which aspects of the RTTT plans were most successfully implemented and under what conditions. The implementation Evaluation plan further seeks to describe how characteristics of the delivery chain and professional development models are related to targeted student learning outcomes identified in the RTTT proposals. The evaluation plan is designed to be both formative and summative, and will allow NYSED to use preliminary evaluation findings to inform and improve the RTTT implementation efforts, and to identify districts or networks of districts where implementation efforts have been successful and subsequently seek to understand why and under what conditions those successes have occurred. Work has commenced and will run through November 30, 2015.

Statewide Evaluation of NYS Interventions into Low Performing Schools

A main project under Section E of New York State's RTTT plan is the external evaluation of the State's efforts to turn around the lowest-achieving schools, including identifying low-achieving schools, supporting LEAs in implementing intervention models, and turning persistently low-achieving schools into high performing schools. This project currently calls for a cumulative report of implementation and impact to be delivered and a trend analysis, including lessons learned and recommendations for sustainability and transportability of improvements.

In 2012, under New York State's ESEA Flexibility Waiver, the State revised its strategies and processes for identifying, intervening in, and supporting low-performing schools. The scope of the evaluation in project E5 was shifted to continue to align with the State's strategies for turning around the lowest-achieving schools, with the same overarching goal of providing an understanding of the implementation and impact of the State's school improvement strategies.

The vendor is responsible for delivering an interim report following each study year. This report is due in the third quarter of the following study year in order to allow time for the incorporation of student data in the impact analyses. NYSED has received the Year 1 report and a draft of the Year 2 report.

The evaluation report will provide the State with an understanding of the quality of implementation of school improvement strategies, as well as the impact of those strategies on the students in low-performing schools. The State will be able to target LEAs and schools that need additional support to implement appropriate interventions. Participating districts and schools will benefit from recommendations for possible improvements they can make.

Oversight & Monitoring: Vendors/Grantees

PERFORMANCE MANAGEMENT OFFICE (PMO) VENDOR PERFORMANCE AND SUBRECIPIENT MONITORING

Current Activities

The PMO Monitoring team has a full complement of staff with one Project Coordinator and five Project Assistants. In April 2013 the PMO Vendor Performance and Sub-Recipient Monitoring team developed a manual contract tracker system (MCTS) to secure key sources of information (contract status, likelihood of success, completion status, primary issue, and immediate next steps) and monitor contract performance. This manual system provided basic but key monitoring details through the fall of 2013. (See Attachment 3 for a copy of the report template.)

While maintaining this manual system, the PMO Monitoring team coordinated with IT staff and Program Offices to design and develop an automated comprehensive monitoring system, the Monitoring and Vendor Performance System (MVPS). MVPS is a tool by which external stakeholders are surveyed on a quarterly basis regarding contract progress and implementation. With input from program staff, the PMO team developed 10 to 15 unique, program specific critical questions forming the basis for each survey.

The on-line system was piloted during August 2013 and went live for all contracts and grants September 1, 2013. A tutorial was sent to all users identified as the primary contact for the RTTT grant or contract. Lessons learned from the initial rollout emphasize the need for clear and regular communication among program staff and external stakeholders. As a result, survey questions have become more refined resulting in more accurate reporting.

Each program lead has been given access to MVPS to view survey responses and submissions. The PMO Monitoring team engages the program lead in a fruitful dialogue on the surveys that contain inaccurate information or lack the appropriate responses and those not submitted. Those responses are "flagged" and un-submitted and a note sent to the respondent to advise of errors in the survey. Simultaneously, program leads are notified of "flagged" survey responses for their follow-up with grantees/contractors.

The PMO Monitoring team will be the repository for all contract information. Using these systems, PMO staff aggregate the data and provide quarterly summaries and analysis of RTTT contracts and their current status.

The following timeline details completed activities of the PMO Monitoring team:

Year 3 (ending 9/30/2013)

- April 20-30 – Introduction of manual contract tracker reporting tool
- April 18-25 – Update from ITS on business portal – monitoring/survey system
- April 18-25 – Load questions for pilot contracts to be tested
- April 30 – Collect remaining questions from each assurance area not included in pilot for review and refinement
- May 15-30 – Bi-weekly meetings with ITS regarding system status and development
- May 30 – Deadline for Program leads to complete contract tracker
- June 1 – PMO introductory notification to field (external stakeholders) of new system
- June 15-30 – Bi-weekly meetings with ITS re: system status and development
- June 15 – Preliminary report to senior manager (CFO)
- June 15 – PMO notification to field (external stakeholders) of new system with log-on instructions
- June 30 – Share preliminary outcomes with USDE with detailed monitoring plan for Year 3 & 4
- July 1-30 – Preliminary conversations with Assurance Area and summary report on contract status
- July 1 – Pilot contracts testing new system (Virtual AP, PD in Advanced Coursework in STEM, & Faculty Development MOUs)
- July 1-30 – Testing meetings with ITS; Provide support to external stakeholders
- August 1-30 – Load questions for remaining RTTT contracts
- September 1 – "Go Live" for all RTTT contracts

Year 4

- October 15 – Initial deadline for electronic survey submission
- October 15-30 – Review of submitted surveys to determine response accuracy
- October 30 – Survey submission deadline extended
- November 1-15 – Initial "draft" MVPS reports referred for review to senior manager

- November 18 – Presentation to Board of Regents (workgroup)
- November-December 6 – Draft reports shared with Program offices for reactions
- December 2-9 – Final drafts of MVPS reports to senior leadership/OAS/ASG
- November 22-December 15 – Corrective action follow-up with program office
- Quarterly iterations of the above steps

The cycle for MVPS quarterly reporting is: September 30, December 31, March 31, and June 30 of each calendar year. MVPS survey data is converted into a draft report (see Attachment 4 for a copy of the report template) using charts and graphs. Quarterly reports provide key information on such items as deliverables, budgets, reports, and risk management. A summary page is developed to highlight noteworthy successes/challenges in each category as well as recommendations for the program leads to consider. The recommendations and suggestions for corrective actions provided by the PMO Monitoring team are for the purpose of sharing insights on areas that might later become risks to performance. Identifying potential risks may assist the program lead in re-focusing and re-positioning the grantee or contractor to mitigate or avoid them all together. Potential risk factors that can be identified through the MVPS survey are: time slippage (delayed start date, deliverables not completed by contract deadline, etc.), budget (billed to NYSED may vary from expended-to-date), or quality of product or service.

The final draft MVPS reports for the 27 Race to the Top competitive grants and vendor contracts will be submitted to the Chief Financial Officer for review by the end of December 2013. Subsequent presentation of reports will be provided to the senior managers of the respective program areas, OAS, and the ASG. Sharing the reports with senior leadership provides them with a high-level view of the status of Race to the Top grants and contracts their respective offices administer.

OAS can use the reports as subsequent background data in preparation for an upcoming audit or to make a determination if an audit is necessary. ASG will receive a copy of the report to align their monitoring protocols for RTTT participating LEAs based on the MVPS report. The coordinated reporting effort will provide OAS and ASG an opportunity to consider the contents of the MVPS report during their audit and on-site review LEA competitive grant recipients.

The PMO Monitoring Team Project Coordinator continues to provide weekly updates of the PMO monitoring activities to NYSED staff.

Section 1 – Capitol Region

1. Date/Time: June 27, 2013; 9:00am – 12:00pm
Meeting location/address: Albany CSD, Academy Park, Albany, NY 12207-1099
Room number:
Contact person and phone number: Marguerite Vanden Wynguaard; 518-475-6010; mvanden@albany.k12.ny.us
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

9. Date/Time: June 17, 2013; 9:00am – 12:00pm
Meeting location/address: NISKAYUNA CSD, 1239 VAN ANTWERP RD., SCHENECTADY, NY 12309-5317
Room number:
Contact person and phone number: SUSAN SALVAGGIO; (518) 377-4666; ssalvaggio@niskyschools.org
Other logistics information:
Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

12. Date/Time: June 18, 2013; 9:00am – 12:00pm
Meeting location/address: SCHENECTADY CSD, 108 EDUCATION DR., SCHENECTADY, NY 12303-1238
Room number:
Contact person and phone number: LAURENCE SPRING; (518) 370-8100; springl@schenectady.k12.ny.us
Other logistics information:
Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

Section 2 – Central Region

3. Date/Time: To be completed by June 30, 2014
Meeting location/address: CLINTON CSD, 75 CHENANGO AVE, CLINTON, NY 13323-1395
Room number:
Contact person and phone number: MATTHEW REILLY; (315) 557-2253, mreilly@ccs.edu
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

13. Date/Time: To be completed by June 30, 2014
Meeting location/address: ALTMAR-PARISH-WILLIAMSTOWN CSD, PO BOX 97, PARISH, NY 13131-0097
Room number:
Contact person and phone number: GERRY HUDSON; (315) 625-5251; ghudson@apw.cnyric.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

17. Date/Time: To be completed by June 30, 2014
Meeting location/address: HAMMOND CSD, PO BOX 185, HAMMOND, NY 13646-0185
Room number:
Contact person and phone number: DOUGLAS MCQUEER, (315) 324-5931; dmcqueer@mum.neric.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

18. Date/Time: To be completed by June 30, 2014
Meeting location/address: ROME CSD, 409 BELL RD., ROME, NY 13440
Room number:
Contact person and phone number: JEFFREY SIMONS; (315) 338-6521; jsimons@romecsd.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

22. Date/Time: To be completed by June 30, 2014
Meeting location/address: UTICA CSD, 106 MEMORIAL PARKWAY, UTICA, NY 13501-3709
Room number:
Contact person and phone number: BRUCE KARAM; (315) 792-2222; bkaram@uticaschools.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

29. Date/Time: To be completed by June 30, 2014
Meeting location/address: SYRACUSE CSD, 1025 ERIE BLVD WEST, SYRACUSE, NY 13204
Room number:
Contact person and phone number: SHARON CONTRERAS, (315) 435-4161, scontreras@scsd.us
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

Section 3 – WNY Region

2. Date/Time: To be completed by June 30, 2014
Meeting location/address: CATTARAUGUS-LITTLE VALLEY CSD, 25 FRANKLIN ST N, CATTARAUGUS, NY 14719-1298
Room number:
Contact person and phone number: JON PETERSON; (716) 257-5292; jpeterson@cattlv.wnyric.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

4. Date/Time: To be completed by June 30, 2014
Meeting location/address: DUNKIRK CSD, 620 MARAUDER DR., DUNKIRK, NY 14048-1396
Room number:
Contact person and phone number: GARY CERNE; (716) 366-9300; gcerne@dunkirk.wnyric.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

6. Date/Time: To be completed by June 30, 2014
Meeting location/address: HORSEHEADS CSD, 1 RAIDER LN, HORSEHEADS, NY 14845-2398
Room number:
Contact person and phone number: RALPH MARINO; (607) 739-5601; rmarino@horseheadsdistrict.com
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

11. Date/Time: To be completed by June 30, 2014
Meeting location/address: RANDOLPH CSD, 18 MAIN ST., RANDOLPH, NY 14772-1188
Room number:
Contact person and phone number: KIMBERLY MORITZ; (716) 358-7005; kmoritz@rand.wnyric.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

14. Date/Time: To be completed by June 30, 2014
Meeting location/address: BATH CSD, 25 ELLAS AVE., BATH, NY 14810-1107
Room number:
Contact person and phone number: JOSEPH RUMSEY; (607) 776-3301; jrumsey@bathcsd.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

16. Date/Time: To be completed by June 30, 2014
Meeting location/address: FILLMORE CSD, PO BOX 177, FILLMORE, NY 14735-0177
Room number:
Contact person and phone number: RAVO ROOT; (585) 567-2251; rroot@fillmorecsd.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

19. Date/Time: To be completed by June 30, 2014
Meeting location/address: BUFFALO CSD, 712 CITY HALL, BUFFALO, NY 14202-3375
Room number:
Contact person and phone number: PAMELA BROWN; (716) 816-3575; pcbrown@buffaloschools.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

21. Date/Time: To be completed by June 30, 2014
Meeting location/address: JAMESTOWN CSD, 197 MARTIN RD, JAMESTOWN, NY 14701-5397
Room number:
Contact person and phone number: DANIEL KATHMAN; (716) 483-4420; dkathman@jamestown.wnyric.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

25. Date/Time: September 18, 2014
Meeting location/address: NIAGARA FALLS CSD, 630 66TH ST., NIAGARA FALLS, NY 14304-0399
Room number:
Contact person and phone number: CYNTHIA BIANCO; (716) 286-4205; cbianco@nfschools.net
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

26. Date/Time: To be completed by June 30, 2014
Meeting location/address: ROCHESTER CSD, 131 W BROAD ST., ROCHESTER, NY 14614-1187
Room number:
Contact person and phone number: BOLGEN VARGAS; (585) 262-8378; bolgen.vargas@rcsdk12.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

30. Date/Time: To be completed by June 30, 2014
Meeting location/address: WEST SENECA CSD, 1397 ORCHARD PARK RD., WEST SENECA, NY 14224-4098
Room number:
Contact person and phone number: MARK CRAWFORD; (716) 677-3101; mcrawford@wscschools.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

28. Date/Time: July 30, 2013; 9:00am – 12:00pm
Meeting location/address: ELMIRA CSD, 951 HOFFMAN ST., ELMIRA, NY 14905-1715
Room number:
Contact person and phone number: JOSEPH HOCHREITER; (607) 735-3010; jhochreiter@elmiracityschools.com
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

Section 4 – NYC Region

5. Date/Time: September 11, 2014
Meeting location/address: HEMPSTEAD UFSD, 185 PENINSULA BLVD, HEMPSTEAD, NY 11550
Room number:
Contact person and phone number: SUSAN JOHNSON; (516) 292-7001; sjohnson1@hempsteadschools.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

7. Date/Time: To be completed by June 30, 2014
Meeting location/address: KINGSTON CSD, 61 CROWN ST., KINGSTON, NY 12401-3833
Room number:
Contact person and phone number: PAUL PADALINO; (845) 339-3000; ppadalino@kingstoncityschools.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

8. Date/Time: To be completed by June 30, 2014
Meeting location/address: MIDDLETOWN CSD, 223 WISNER AVE EXT., MIDDLETOWN, NY 10940-3240
Room number:
Contact person and phone number: KENNETH EASTWOOD; (845) 326-1158; districtclerk@ecsdm.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

10. Date/Time: To be completed by June 30, 2014
Meeting location/address: POUGHKEEPSIE CSD, 11 COLLEGE AVE., POUGHKEEPSIE, NY 12603-3313
Room number:
Contact person and phone number: LAVAL WILSON, (845) 451-4950, lwilson@poughkeepsieschools.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

15. Date/Time: October 16, 2013
Meeting location/address: CENTRAL ISLIP UFSD, PO BOX 9027, CENTRAL ISLIP, NY 11722-9027
Room number:
Contact person and phone number: CRAIG CARR; (631) 348-5001; ccarr@centralislip.k12.ny.us
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

20. Date/Time: To be completed by June 30, 2014
Meeting location/address: EAST RAMAPO CSD (Spring Valley), 105 S MADISON AVE., SPRING VALLEY, NY 10977-5400
Room number:
Contact person and phone number: JOEL KLEIN; (845) 577-6011; joklein@ercsd.k12.ny.us
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

23. Date/Time: To be completed by June 30, 2014
Meeting location/address: YONKERS CSD, 1 LARKIN CTR., YONKERS, NY 10701-2756
Room number:
Contact person and phone number: BERNARD PIERORAZIO; (914) 376-8100; bpierorazio@yonkerspublicschools.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

24. Date/Time: To be completed by June 30, 2014
Meeting location/address: NYC CHANCELLOR'S OFFICE, 52 CHAMBERS ST-RM 320, NEW YORK, NY 10007
Room number:
Contact person and phone number: DENNIS WALCOTT; (212) 374-6000; dmwalcott@schools.nyc.gov
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

27. Date/Time: To be completed by June 30, 2014
Meeting location/address: KIRYAS JOEL VILLAGE UFSD, 48 BAKERTOWN RD-STE 401, MONROE, NY 10950-8433
Room number:
Contact person and phone number: JOEL PETLIN; (845) 782-2300; jpetlin@kjsd.k12.ny.us
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

31. Date/Time: August 15, 2013; 9:00am – 12:00pm
Meeting location/address: Whitesboro Central School District, 67 Whitesboro St. Yorkville, NY 13495
Room number:
Contact person and phone number: Susan Synakowski; (315) 266-3302; ssynakowski@wboro.org
Other logistics information:

Attendees (please add to this based on participants):

Name	Title	Office	Phone	Email
Eric Vosburgh	Program Officer	NYS Department of Education	O: 518-474-1923 C: 716-713-1064	evosburg@mail.nysed.gov
Karen Marconi	Program Officer	NYS Department of Education	O: 518-473-5198 C: 914-523-1996	kmarconi@mail.nysed.gov

The University of the State of New York
The State Education Department

Administrative Services Group
Room 2M EB
89 Washington Avenue
Albany, NY 12234

Race to the Top (RTTT)

Sub Recipient Monitoring

LEA Level Compliance Review Form

LEA / Charter School LEA:			
LEA / Charter School LEA BEDS Code:			
LEA / Charter School LEA Address:			
Superintendent / CEO:			
Contact Person:		**Phone:**	
E-mail:		**Fax:**	
Date of Review:			

Reviewer(s):	**Eric Vosburgh**

PROGRAMS REVIEWED
Race to the Top

REVIEW PURPOSE: This review is conducted to determine the LEA level of compliance with the Federal Race to the Top program goals and the level of progress within the four assurance areas of the Regent's Reform Agenda.

LEGAL REFERENCES

Program

Race to the Top: EDGAR 80.20, 80.21, ARRA Sections 14002(b), 14003, 14004, 1604, 1605, and 1606, OMB Circulars A-87, A-102, and A-133

Definitions

Met Requirements: indicates that the documents selected for this review at the LEA level met ARRA Race to the Top and selected federal requirements under EDGAR.

Finding: indicates that the LEA is not in compliance with the authorizing statute and regulations and must implement the required Corrective Action(s) outlined in the Compliance Status column.

Recommendation: indicates that the LEA documents reviewed were in compliance with corresponding federal and State requirements but that the LEA can improve the quality of their program documentation by implementing the SED recommendations.

Monitoring Area 1 – Fiscal Policies and Grant Management *** Monitor(s) will arrive with copies of all business portal entries, Scope(s) of Work, Amendment(s), Memorandum of Understanding and Activity Level Budget documents and do not need to be reproduced.**				
Documents and Other Items Reviewed	**Document or Item Available and Acceptable**			**Compliance Status and Required Corrective Action or Recommendation**
	YES	**NO**	**N/A**	
1. LEA Chart of Accounts identifying all Race to the Top related fund, program, and account codes • LEA document	☐	☐	☐	
2. Does the LEA have tracking policies and procedures documented? • State Guidance • Tracking policies and procedures	☐	☐	☐	
3. Does the LEA have guidance on allowable uses of funds documented? • State Guidance • Allowable uses document	☐	☐	☐	
4. Does the LEA have cash management policies and procedures documented? • Cash management policies and procedures	☐	☐	☐	
5. Does the LEA have an interest collection and calculation policy documented? • Interest collection and calculation policy	☐	☐	☐	
6. Did the LEA maintain separate accounting records for RTTT which reflects the line items and amounts approved in each application/budget? • General Ledger • Revenue/Expenditure Reports	☐	☐	☐	
7. ONE MONTH or REIMBURSEMENT CYCLE sample of summary reports that include dated reimbursement/cash advance requests for Race to the Top funds. • Dated reimbursement/cash advance requests for Race to the Top funds	☐	☐	☐	

Monitoring Area 1 – Fiscal Policies and Grant Management * Monitor(s) will arrive with copies of all business portal entries, Scope(s) of Work, Amendment(s), Memorandum of Understanding and Activity Level Budget documents and do not need to be reproduced.				
Documents and Other Items Reviewed	**Document or Item Available and Acceptable**			**Compliance Status and Required Corrective Action or Recommendation**
	YES	**NO**	**N/A**	
8. ONE MONTH sample of summary reports that include dated documentation (e.g. journal entry) of Race to the Top expenditures demonstrating that the funds were: - Tracked with fund codes that can be linked to the CFDA number (84.395A), and - spent on allowable expenditures • Dated documentation (e.g. wire transfer, cash receipt form, or bank statement) of Race to the Top revenue (reimbursements from the State) demonstrating that the funds were: o tracked with fund codes that can be linked to the CFDA number (84.395A), and o deposited into a non-interest bearing account	☐	☐	☐	
9. Documentation (i.e. monthly or quarterly bank statement, etc.) demonstrating whether or not the account that the RTT funds are residing in at the LEA level is an interest bearing account. • Dated documentation (e.g. journal entry) of Race to the Top expenditures demonstrating that the funds were: o tracked with fund codes that can be linked to the CFDA number (84.395A), and o spent on allowable expenditures	☐	☐	☐	
10. Dated documentation (e.g., journal entry) of the earliest expenditure (first use) paid for with Race to the Top fund.	☐	☐	☐	
11. Evidence that expenditures are aligned to the most recently-approved budget and/or scope of work.	☐	☐	☐	

Monitoring Area 2 – Programmatic Capacity

What form of Network Team has your LEA chosen to participate in?	☐	Network Team (NT) through BOCES	BOCES:
		OR	
	☐	Network Team Equivalent (NTE)	☐ Single LEA
			☐ Consortium of LEAs

*** Monitor(s) will arrive with copies of all business portal entries, Scope(s) of Work, Amendment(s), Memorandum of Understanding and Activity Level Budget documents and do not need to be reproduced.**

Documents and Other Items Reviewed	Document or Item Available and Acceptable			Compliance Status and Required Corrective Action or Recommendation
	YES	NO	N/A	
1. Has LEA personnel participated in Network Team Institutes? • Attendance records • Travel reimbursement records	☐	☐	☐	
2. Has turnkey training been provided within the district which supports Common Core implementation? • Communication artifacts (e.g., emails, faculty meeting materials, etc.) • Local scope and sequence for professional development and materials • Survey results from teachers and school administrators	☐	☐	☐	
3. Have Common Core aligned curriculum modules/units been introduced? • Communication artifacts (e.g., emails, faculty meeting materials, etc.) • Documentation (e.g., student work, scope and sequence, lesson plans, observation notes, etc.)	☐	☐	☐	
4. Have principals been supported in management of Common Core implementation? • Reports from Superintendents and Charter leads that demonstrate that learning goals are being met and show that support/PD is accessible, meaningful and relevant	☐	☐	☐	

• Local scope and sequence for professional development and materials				
5. Has evidence based-feedback on the Common Core implementation been provided to teachers? • Communication artifacts (e.g., emails, faculty meeting materials, etc.) • Observation/feedback notes from principals and administrators that show school visits and classroom observations	☐	☐	☐	
6. Has continuing professional development been planned based on challenges identified in observations and supports? • Communication artifacts (e.g., emails, faculty meeting materials, etc.) • Action plans with recorded adaptations based on ongoing school visits and midcourse diagnostics	☐	☐	☐	
7. Has school's implementation of data driven instruction been assessed? • Communication artifacts (e.g., emails, meeting materials, initiative announcements, etc.) that reveal districts and/or BOCES administrator capacity building and accountability for School Based Inquiry (SBI)/Data Driven Instruction (DDI) implementation • Observation/feedback notes for principals and administrators confirm school visits and data meetings that support SBI/DDI implementation	☐	☐	☐	
8. Has an action plan been developed to provide any mid-course corrections in each school? Has one been implemented? • Data meeting notes and observation notes indicate a shift in teacher conversation due to principal inputs • Teacher action plans are available for every teacher and reveal alignment to data analysis, curriculum and instruction	☐	☐	☐	
9. Has alignment occurred between instructional practices, assessments, and analysis to the rigor of the Common core? • Teacher lesson plans reflect data analysis • Measurable improvement in student achievement data aligned with district goals	☐	☐	☐	
10. Have systems been put in place to ensure evidenced based observation and adoption of the CCSS shifts have occurred and continue? • Professional development schedules • Communication artifacts (e.g., emails, meeting materials,	☐	☐	☐	

initiative announcements, etc.) that reveal district's action plan and systems				
11. Have APPR evaluators been trained in how to collect objective evidence and align that evidence with the language in the district's observation rubric? • Copy of district observation rubric • Sample artifacts/observation notes	☐	☐	☐	
12. Have APPR evaluators achieved inter-rater reliability? • Sample observations from different evaluators of same practitioner • Professional development materials	☐	☐	☐	
13. Have teachers developed quality Student Learning Objectives(SLOs)? • Sample SLOs that have achieved a 2 or 3 out of 4 on the SLO Quality Rubric • Professional development materials	☐	☐	☐	
14. Has your LEA participated in the NYS Common Core Ambassador Program? • Network Team Institute records of participation August 13-17, 2013	☐	☐	☐	
15. Does the LEA have any other concerns or requests for support with any components of the Regents Reform Agenda as it relates to Race to the Top?	☐	☐	☐	

REVIEWER INSTRUCTIONS				
Documents and Other Items Reviewed	**Document or Item Available and Acceptable**			**Compliance Status and Required Corrective Action or Recommendation**
	YES	**NO**	**N/A**	
This table should be deleted from the final report.	☐	☐	☐	**Upon completion of the boxes to the left, this column <u>must</u> contain one or more of the following:** **I. Met Requirements.** (No further statement needed.) **OR** **II. Finding**: (Followed by statement identifying the reason(s) for the finding.) **AND** **Corrective Action:** (Followed by statement identifying corrective action that must be implemented for LEA to come into compliance with legislation.) *There can be more sets if there were more findings, ex: Finding 1, Finding 2, etc.* **OPTIONAL** **Recommendation: (**Followed by recommendation for action by LEA to improve the quality of their program or documentation.) *There may be multiple recommendations and they may accompany either compliance status (***Met Requirements** *or* **Finding***).* *LEA must respond to Recommendation(s), but is not required to implement or provide documentation of actions taken.*

Additional Comments/Observations/Recommendations:

ATTACHMENT 3 – Manual Contract Tracker System Template

MONITORING STATUS as of (DATE)

PROJECT:	
FUNDING	
DELIVERABLES / TIMELINES UPDATE	
SIGNIFICANT ACCOMPLISHMENTS	
NEXT STEPS PLANNED (by vendor or NYSED team?)	
SUGGESTED ACTION	

MVPS Report

PROGRAM TITLE
DATE

Summary

Deliverables

Budget

Reporting

Risk Management

Other

Deliverables:

Budgeting:

Risk Management:

Additional Support Required:

Other:

Reasons for Amendments:

Program Successes:

Performance Management Office Recommendations:

Program Area Corrective Actions

MVPS Survey Questions