



Ohio's LEA Reporting Requirements

Program Accountability

Roles, Responsibilities and Functions

Ohio's progress monitoring plan at the Local Education Agency (LEA) level will leverage the Ohio Department of Education (ODE) management infrastructure which has been highly successful in implementing strategic state-wide initiatives. ODE's existing organizational infrastructure has centers devoted to the work themes included in the four application areas whose principal priority will be Race to the Top (RttT) management, support and performance assessment.

The following four ODE centers are tied to RttT's application areas:

1. The Center for Curriculum and Assessment will lead initiatives in the Standards and Assessment Application Area;
2. The Chief Information Officer will lead the initiatives in the Data Systems Application Area;
3. The Center for the Teaching Profession will lead the Great Teachers and Leaders initiative;
4. The Center for School Improvement, will oversee the Turnaround Schools initiatives.

A critical supporting role is the RttT Program Manager who will directly report to the Deputy Superintendent and assist in the administration of the grant, including State coordination, day-to-day operations, resource facilitation, and serving as a liaison to regional staff working with participating RttT LEAs.

Ohio's proposed management structure and partnership strategy are designed to support LEA implementation of the Ohio reform agenda and the 15 RttT projects. Motivated by RttT's goal to accelerate academic progress for all students; six RttT regions were created in Ohio to efficiently implement systemic changes and reforms statewide.

The RttT team consists of six staff members (Program Manager, Budget and Accountability Manager, Communications and Outreach Manager, Federal Liaison, Professional Development Manager, and Administrative Assistant) who will serve as the delivery unit at the ODE, six Regional Coordinators and sixteen Regional Specialists who will work together to ensure the State and the participating LEAs are successful in fulfilling the transformational requirements of RttT.



Transformation Team Reporting on an LEA SOW

The ODE/LEA Memorandum of Understanding (MOU) states that “The LEA must participate in progress project notes and submit plans for subsequent years for the RttT grant period.”

Ohio’s LEA monitoring documents will include monthly and annual reports that directly align with the approved Scopes of Work (SOW).

Monthly, LEAs will be required to share their stories with stakeholders in their LEA, ODE and USDOE. The minimum monthly reporting requirements will include:

- ❖ A description of the LEA’s key accomplishments and challenges;
- ❖ An update that addresses if the LEA is on track to meet the targets and timelines associated with the activities outlined in its SOW. If they are not on track, the LEA will identify the strategies they’re employing to meet its goals and performance measures;
- ❖ Discuss what ODE can do to help the LEA meet its goals.

In an effort to be responsive to the LEAs, ODE has created an *optional template* for the required monthly progress monitoring that allows the LEA to do an internal audit to be shared among the Transformation Team members as well as an external audit to be shared with ODE’s RttT Delivery Unit (Please see the attached template: LEA_RttT_Monitoring).

The monthly reports will be reviewed by RttT Regional Coordinators every month and if a corrective action is required, the coordinators will work with the RttT Delivery Unit to provide the necessary resources and additional reviews to ensure the LEA is in compliance with their SOW.

The monthly reports will be compiled by each LEA to produce their required annual report which will be reviewed annually by ODE personnel. Annually, LEAs will submit a report on their Scope of Work (SOW) and budget through SharePoint, a web-based data repository. For year 1 reporting, LEAs will provide either a progress monitoring narrative or a reporting template adopted by an LEA that demonstrates progress on their RttT activities and goals. For years 2-4, ODE will provide LEAs with an annual and monthly progress monitoring reporting template that they will be required to use to demonstrate progress on their RttT activities and goals.

LEAs are required to submit an updated SOW and a budget template for year 2 RttT participation on or before June 3, 2011. During Reader Week (begins June 8th) ODE personnel will provide oversight by reviewing the LEA’s SOW to insure they are in compliance with the RttT grant’s application criteria.



If an LEA's SOW has been fully approved, ODE personnel will only read the narrative portion as submitted. If an LEA's SOW is "approved with conditions", ODE personnel will review those application areas as indicated under the "conditions" section before an LEA can access year 2 RttT funding.

LEA Budget Accountability

LEA budgets must be analyzed and approved by the RttT Budget/Accountability Manager who will insure that the fiscal budget and expenditures completely align to the processes, priorities and performance goals designated within the approved budget of the LEA and adhere to all applicable federal requirements (including all proposed budget amendments).

Overall, the Budget/Accountability Manager is responsible for the management and oversight of all federal funds for the RttT grant ensuring effective budgeting, accounting, financial reporting, auditing and financial analysis for RttT funds. The Budget/Accountability Manager will establish the budget process and planning, reporting procedures and tracking of RttT projects, assists in monitoring of spending plans, purchasing, financial reporting and analysis, implements processes to track budgetary expenses and ensure all RttT systems and processes are in compliance with agency, state and federal policies, procedures and regulations.

The Comprehensive Continuous Improvement Plan (CCIP) is the designated financial management system that will be used to track the allocations of the RttT federal funds, provide complete financial reporting, contain reliable budget data, provide budget reconciliation, ensure internal controls on cash flow management and monitor all functions and fiduciary activities related to the fiscal operations when utilizing RttT funds. Source documentation (e.g. cancelled checks, paid bills, payroll and labor records, contracts and related expense documentation) shall serve as a compliment to the activity tracked and recorded in the CCIP. RttT budgets shall be loaded into CCIP per year (before July 1st). LEAs will request RttT funds via CCIP using the project cash request (PCR) or the draw down process. Each PCR is currently capped at 10%. All PCRs higher than 10% will be reviewed and approved by the ODE grants management team. Cash drawdowns are to only occur when expenditures or expenses are incurred by the LEA.

The CCIP will contain the approved budget allocations, revised budget, carryover of funds, cash requests and final expenditure reporting. The CCIP contains a three approval level process at both



the LEA and the State level. The intention of three levels of approval within the LEA and State is to ensure accuracy, both programmatically and financially.

Monitoring of the RttT participants will be conducted by the RttT team, in coordination with the ODE Office of Federal and State Grants Management. The on-site monitoring process will involve eight specific areas including:

1. Pre-fieldwork Procedures (7 items in this review)
2. Activities Allowed and Un-allowed/ OMB Cost Principles/Eligibility (8 items in this review)
3. Cash Management (5 items in this review)
4. Period of Availability (2 items in this review)
5. Equipment and Procurement (7 items in this review)
6. Matching, Maintenance of Effort and Supplement Not Supplant (5 items in this review)
7. Reporting (6 items in this review)
8. Post-fieldwork Procedures (5 items in this review)

The RttT participants selected for the on-site monitoring review program may be chosen based upon various criteria such as (a.) CCIP drawn downs or cash requests equaled 40% or greater in one year, (b.) requested budget amendment revision that was either greater than \$100K or 10% of the four-year total grant in first year, (c.) scheduled to receive more than 50% of total funds in first year or (d.) falls within the top three LEAs within their RttT region for receiving funds in first year. A detailed description of the monitoring procedures can be reviewed in the attached document entitled "On-Site Monitoring Review Program". ODE's current intention is that all participating LEAs will be reviewed during the 4 years of the grant.

Contractor/Vendor Monitoring

ODE will monitor the RttT specific contracts and vendors from a state educational agency (SEA) level, in order to ensure compliance to all agreed upon terms and conditions per the contractual agreement (i.e. personal service contract), completeness of all required deliverables and objectives and overall effectiveness to meeting the benchmarks and requirements associated with the SEA's scope of work.

The monitoring of contracts, vendors and RttT work conducted from external suppliers will be the responsibility of each RttT application area lead and their internal ODE team members who have contracted via a competitive bid process. Every RttT contractual relationship will have benchmarks, deliverables and timelines that a supplier(s) will be measured to and ultimately held accountable for,



in order to receive any financial payments for completed and successful work. Every RttT contractual relationship will be guided by a written agreement that is signed by both ODE and the supplier(s). The written agreement will be based upon the information provided and shared via the competitive bid process. All requirements, benchmarks, deliverables, timelines and relevant information will be disclosed during the bidding process and the information will translate into the written agreement.

Applications area leads and ODE team members will use weekly or monthly meetings and/or progress monitoring reporting from their supplier(s) to ensure all parties remain on track, in order to keep the funding flowing to the supplier(s) per the signed agreement.

If an application area lead or ODE team member encounters any issues with a supplier(s) in terms of performance or meeting the required expectations or timelines involved, the RttT delivery team will assist whenever possible or when required.

Financial payments will not be processed or received by the RttT supplier(s) until all goods are received, all services are rendered and all requirements, benchmarks, deliverables and timelines are met and achieved. RttT payments will be based upon performance and the supplier(s) meeting all agreed upon requirements successfully and completely.



LEA Reporting Requirement Calendar 2011-2014

2011 Activities	Timeline	Intended Audience	Responsible Party
LEA SOW and a budget template for Year 2 RttT.	June 3, 2011	Participating RttT LEAs' stakeholders.	Participating RttT LEAs and ODE-RttT personnel.
Reader Week to review LEAs' SOW and ensure compliance with RttT's grant application criteria.	June 8-10, 2011	Participating RttT LEAs.	ODE –RttT personnel.
Complete commitments in the LEA SOW Year 1 RttT.	June 30, 2011	Participating RttT LEAs' stakeholders.	Participating RttT LEAs and ODE-RttT personnel.
LEA submit CCIP Final Expenditure Report (FER) for Year 1 RttT	July 1, 2011- September 30, 2011	Participating RttT LEAs	Participating RttT LEAs and ODE Grants Management personnel.
Provide monthly progress monitoring reports.	July 31, 2011 – end of grant in 2014	Participating RttT LEAs' stakeholders.	Participating RttT LEAs.
LEA SOW and a budget template for Year 3 RttT.	June 1, 2012	Participating RttT LEAs' stakeholders.	Participating RttT LEAs and ODE-RttT personnel.



2011 Activities	Timeline	Intended Audience	Responsible Party
Reader Week to review LEAs' SOW and ensure compliance with RttT's grant application criteria.	June 6-8, 2012	Participating RttT LEAs.	ODE –RttT personnel.
Complete commitments in the LEA SOW Year 2 RttT.	June 30, 2012	Participating RttT LEAs' stakeholders.	Participating RttT LEAs and ODE-RttT personnel.
LEA submit CCIP Final Expenditure Report (FER) for Year 2 RttT	July 1, 2012-September 30, 2012	Participating RttT LEAs	Participating RttT LEAs and ODE Grants Management personnel.
LEA SOW and a budget template for Year 3 RttT.	June 3, 2013	Participating RttT LEAs' stakeholders.	Participating RttT LEAs and ODE-RttT personnel.
Reader Week to review LEAs' SOW and ensure compliance with RttT's grant application criteria.	June 5-7, 2012	Participating RttT LEAs.	ODE –RttT personnel.
Complete commitments in the LEA SOW Year 2 RttT.	June 30, 2013	Participating RttT LEAs' stakeholders.	Participating RttT LEAs and ODE-RttT personnel.



2011 Activities	Timeline	Intended Audience	Responsible Party
LEA submit CCIP Final Expenditure Report (FER) for Year 3 RttT	July 1, 2013-September 30, 2013	Participating RttT LEAs	Participating RttT LEAs and ODE Grants Management personnel.
LEA submit CCIP Final Expenditure Report (FER) for Year 4 RttT	July 1, 2014-September 30, 2014	Participating RttT LEAs	Participating RttT LEAs and ODE Grants Management personnel.