

**RACE TO THE TOP
YEAR 2
PROGRAM REVIEW**

NOVEMBER 30, 2011



Agenda

- Overview
- Program Review Principles
- Components of Program Review
 - Protocols
 - On-site program review
 - Stocktake meetings
 - Reports
- Year 1 and Year 2 Comparison
- Q & A

Overview

Self Assessment – Areas for Improvement

4

Key Activity	Progress Indicator*
Develop Program Review process	Yellow
Outreach, communication and guidance to grantee on program review process	Yellow
Progress updates with grantees	Green
Conduct Year 1 onsite review visits	Green
Grantee Progress Reports	Yellow
State –specific Annual reports	Yellow
Annual Performance Report	Yellow
Develop Data Display for Annual Performance Report	Green
Stocktakes	Red
Comprehensive Program Report	Green
Roll out plan for State-specific and comprehensive reports	Orange
Amendment Process	Yellow

* See progress Indicator codes on page 15

Feedback from Year 1

- Clarity re: Schedule
- Program Review protocol – Part C
- Prep time and clarity for materials for on-site review
- Color rating
- Timely feedback to States

Highlights of Revisions and Improvement in Year 2 based on State Feedback

- Year 2 cycle ready to go
- Revision to Part C protocol
- Pre-call with SEA and LEAs and a 8 - 9 week period to prepare for on-site
- Additional clarity and suggestions from POs on “evidence” and types of documentation
- Proposed revisions to color rating
- Draft Progress reports within 4 weeks of onsite
- Stocktake schedule

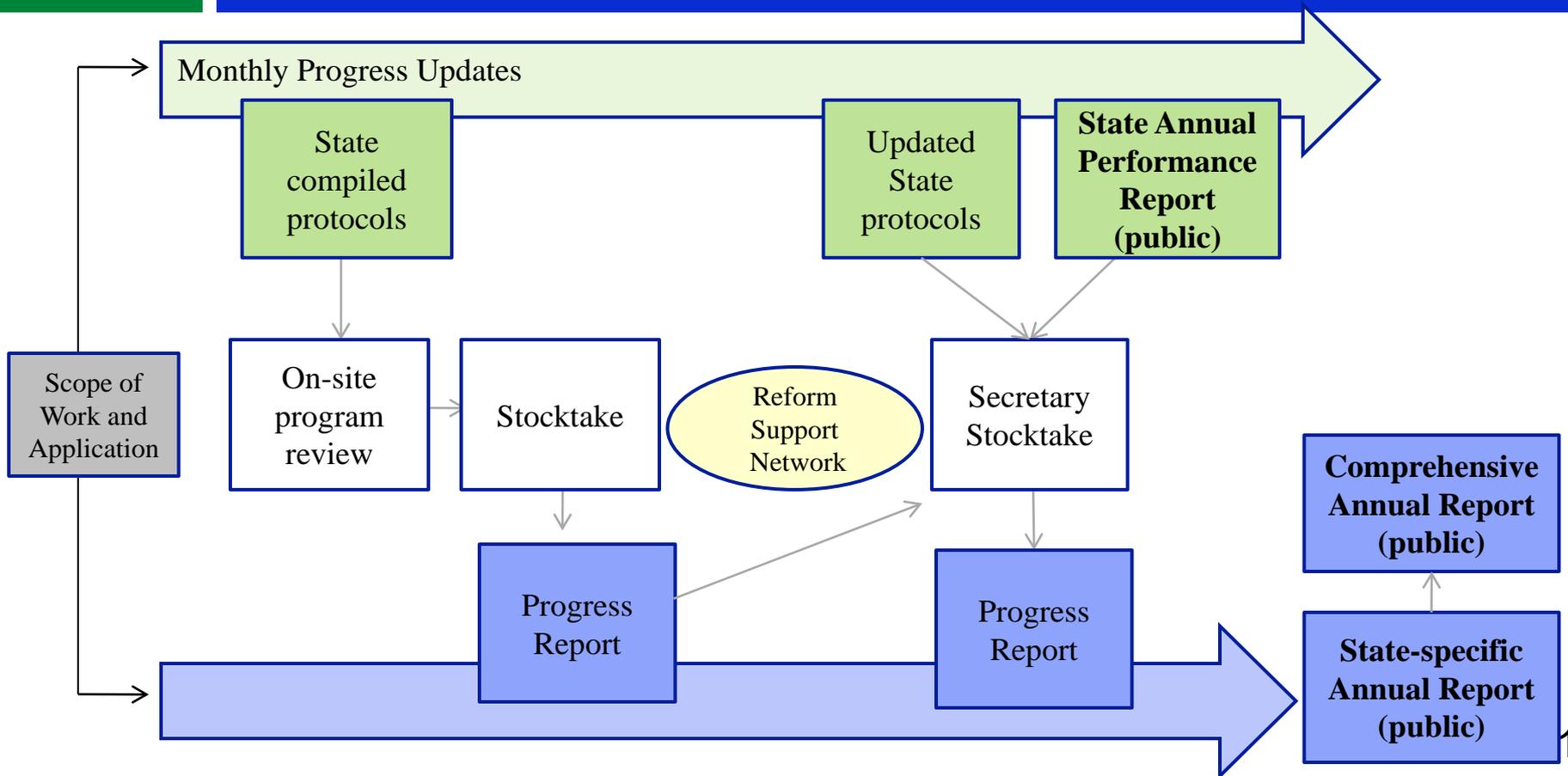
Program Review Principles

Program Review Principles

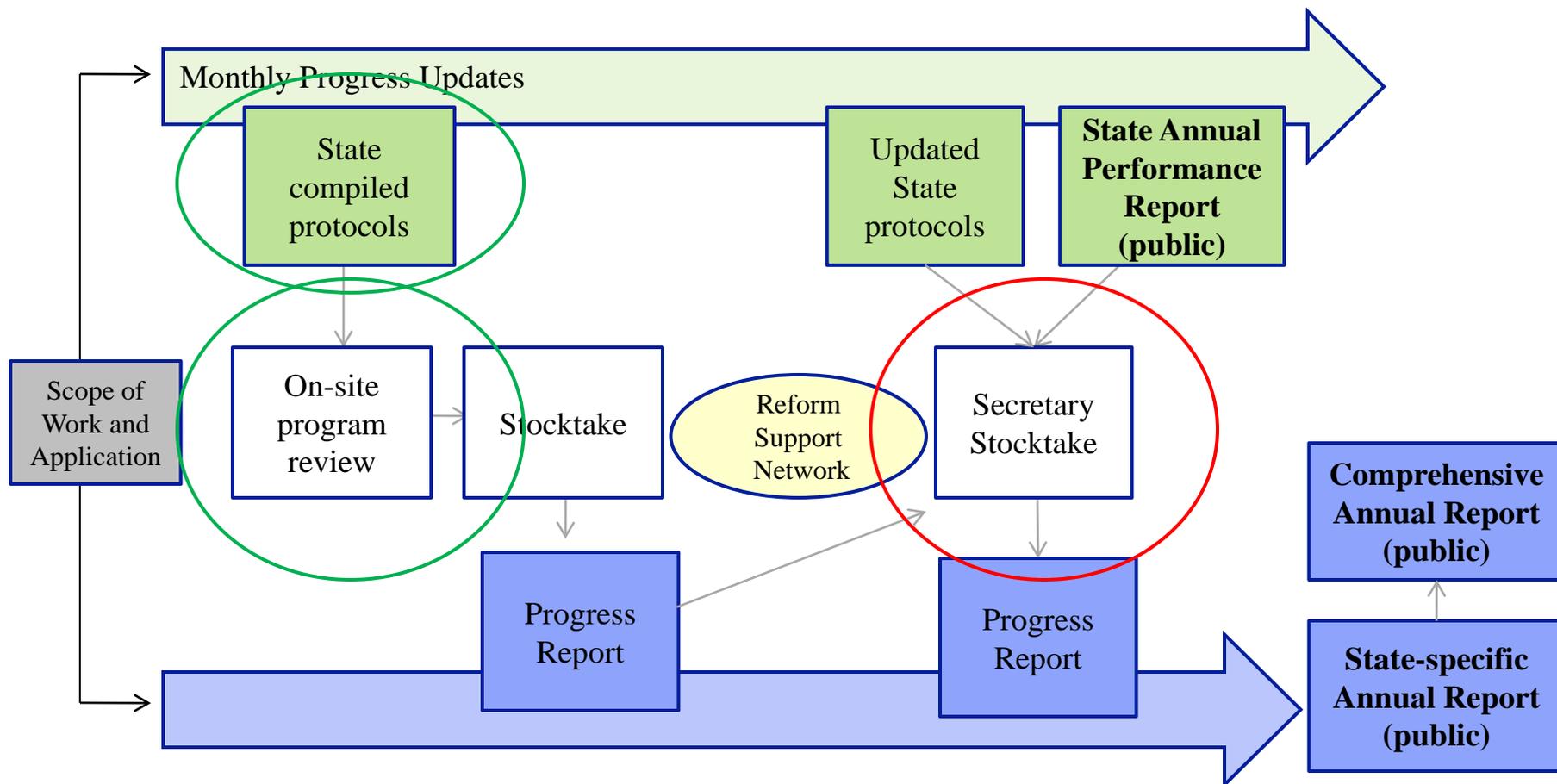
- Focus on **continuous improvement** and mutual problem solving and accountability
- Emphasize **outcomes and quality** of program implementation rather than compliance
- **Support coherent and thoughtful reform** and help resolve barriers to implementation
- Incorporate **State-specific** processes,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

Components of Program Review

Components of Program Review



Components of Program Review



Program Review Protocols

- Two elements:
 - Progress Updates
 - Accountability and Oversight

Progress Updates, Part A

State: _____

Part A: *In preparation for monthly calls, States must answer the following questions.*

1. Describe the State's key accomplishments and challenges this month.
2. Is the State on track to meet the goals and timelines associated with the activities outlined in its scope of work? If not, what strategies is the State employing in order to meet its goals?
3. How can the Department help the State meet its goals?

Progress Updates, Part B

Race to the Top Progress Update – Monthly Call

Part B: *In preparation for monthly calls, States must submit written responses to the following questions for two application sub-criteria (e.g. (A)(2) and (D)(4)).¹ All responses in this section should be tailored to the goals and projects associated with this sub-criterion.*

Application sub-criterion:²

STATE's goals for this sub-criterion:

Relevant projects:

1. What is the extent of the State's progress toward meeting the goals and performance measures and implementing the activities that are included in its approved scope of work for this sub-criterion?
2. What methods, tools, and processes is the State using to determine the progress toward the goals and performance measures and the quality of implementation of the activities described for this application sub-criterion?
3. What is the State's assessment of its quality of implementation to date?
4. If the State is not on track to meet the goals, performance measures, timelines and quality of implementation related to this sub-criterion as outlined in its approved scope of work, why not, and what strategies is the State employing in order to meet goals and performance measures?
5. What are the obstacles and/or risks that could impact the State's ability to meet its goals and performance measures related to this sub-criterion?

Evaluation: Based on the responses to the previous question, evaluate the State's performance and progress to date for this sub-criterion (choose one).

Red (1) Orange (2) Yellow (3) Green (4)³

Proposed Revision of Color Rating

Existing

Rating	Description
Green	Green = good and refinement and systematic implementation is required
Yellow	Yellow = substantial attention is required and some aspects are good
Orange	Orange = substantial attention is required and some aspects need urgent attention
Red	Red = urgent and decisive action is required

Proposed

Rating	Description
Green	Green = on track with high quality
Yellow	Yellow = generally on-track – only a few aspects require additional attention
Orange	Orange = substantial attention is required, with many aspects needing urgent attention
Red	Red = urgent and decisive action is required

Progress Updates, Part C

INCLUDED IN YEAR 1 ON-SITE PROTOCOL:

Part C: *In preparation of the annual on-site review, the State must verify its list of key deliverables that are essential for meeting the State's goals and performance measures. In preparation for the on-site program review and stocktakes, States must evaluate the likelihood of reaching the performance measures committed to in its approved scope of work, including student achievement measures.*

1. Identify 2 to 3 key deliverables that are essential for meeting the State's goals and performance measures in each criterion.

Assessment: On track to meet performance measures for each relevant sub-criterion (choose one):

Red (1) Orange (2) Yellow (3) Green (4)

REVISED LANGUAGE FOR YEAR 2 ON-SITE PROTOCOL:

Part C:

Identify the 2 to 3 critical milestones in year 2 necessary to meet the State's year 2 performance measures for this subcriterion.

Accountability and Oversight

- New to Phase 2 Grantees
- Grantees will:
 - Complete the protocol annually in conjunction with on-site program review.
 - Submit documentation to demonstrate compliance with requirements regarding allocation of funds, fiscal management, 1512 quarterly reporting, and subrecipient monitoring.
- Selected subrecipients will also complete a similar Accountability and Oversight Protocol

Program Review Protocols - Recap

Monthly calls

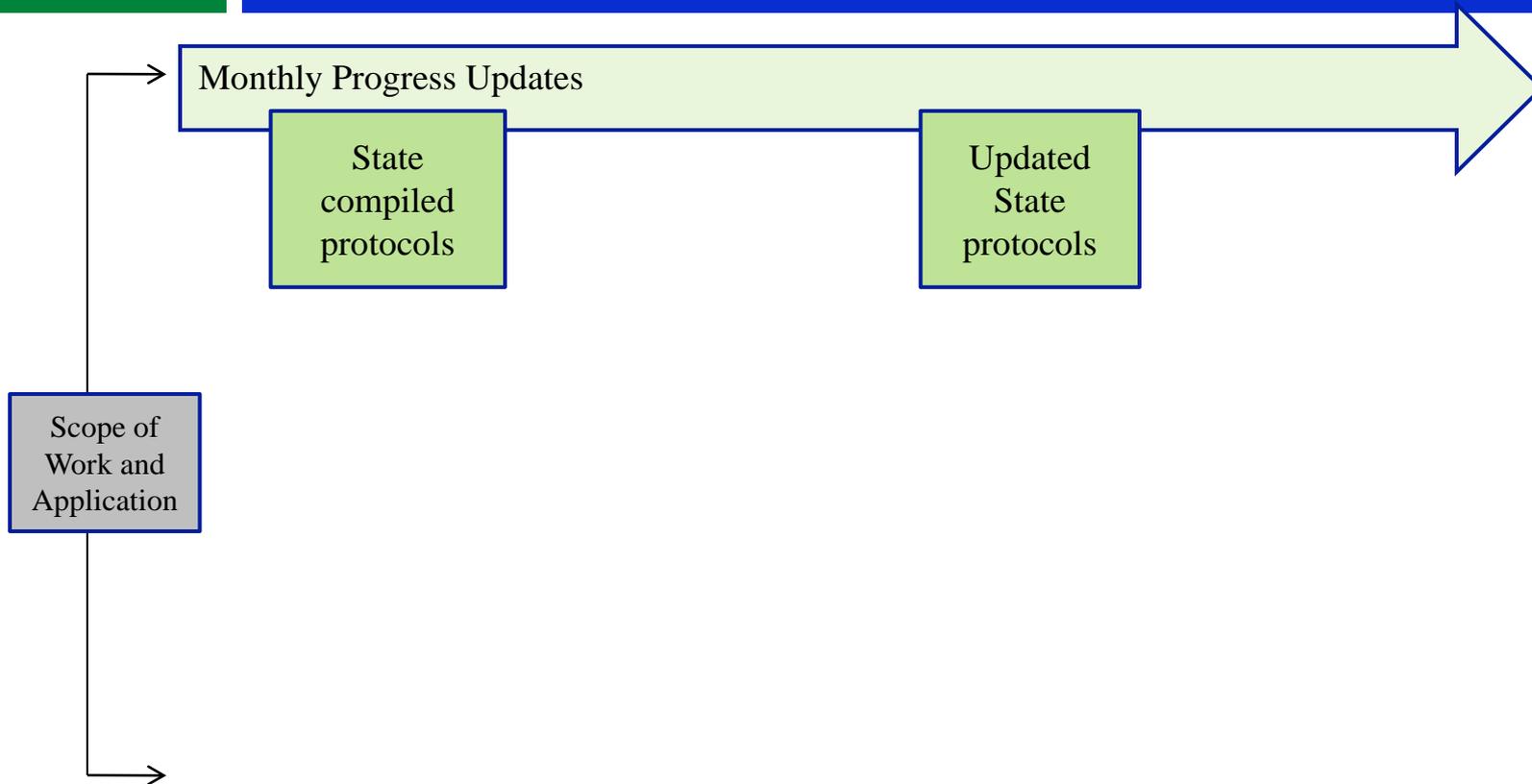
- General update on overall plan (*Part A*)
- Two application subcriteria updates (*Part B*)

On-site Program Review

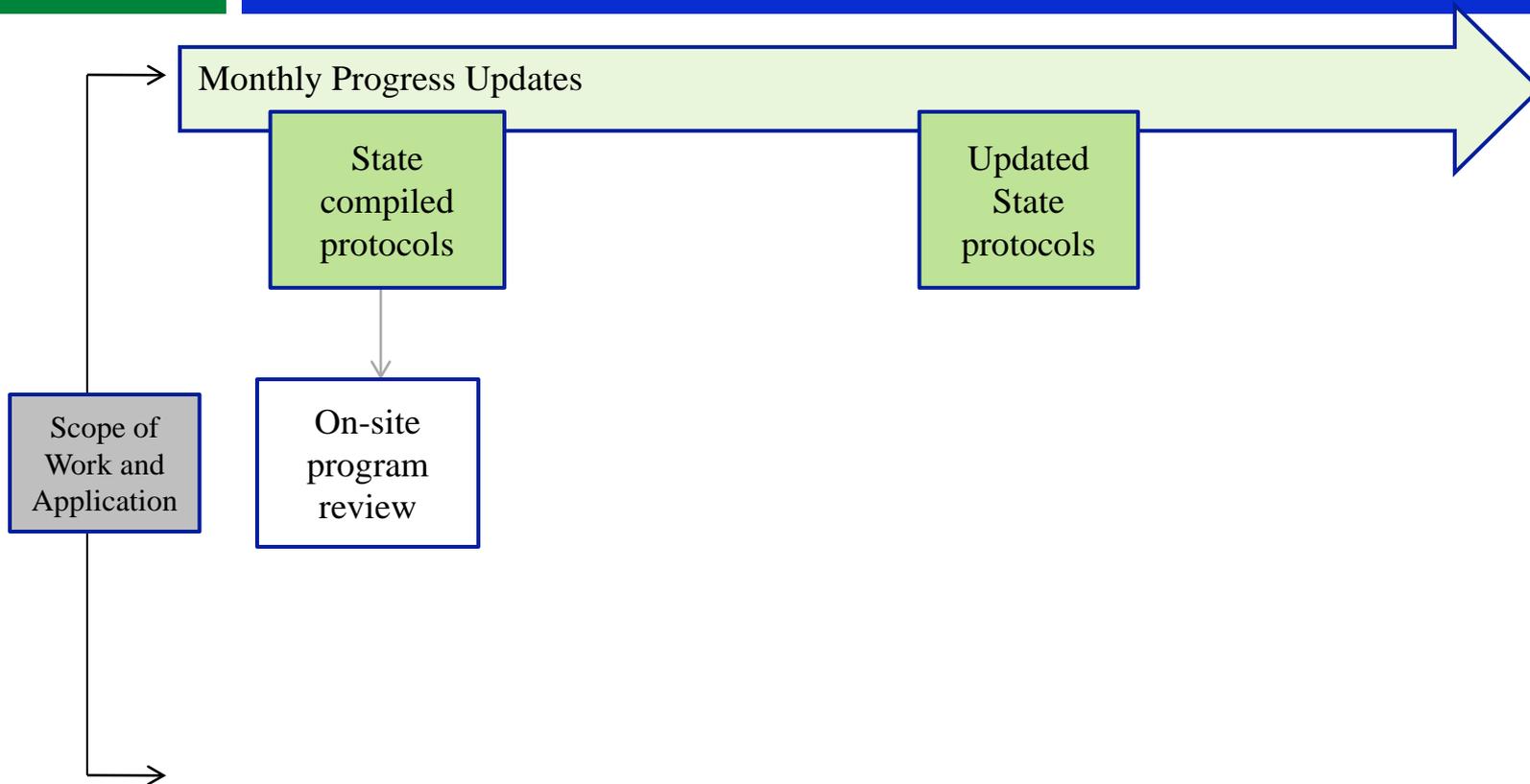
- Application subcriteria updates with documentation (*Part B*)
- Assurance area updates (*Part C*)
- Accountability and Oversight Protocol

On-site Program Review

On-site Program Review



On-site Program Review



On-Site Program Review

- Preliminary call eight to nine weeks prior to onsite review
 - Discuss expectations, timelines, evidence and LEA selection
- 4-5 day visit consisting of two parts--
 - State meetings:
 - Programmatic
 - Accountability and Oversight (fiscal)
 - LEA meetings:
 - Programmatic
 - Accountability and Oversight (fiscal)
 - School roundtable discussion

State Meetings

- Purpose:
 - Assess a State's progress in implementing its Race to the Top plan and achieving the goals described in that plan
- Components:
 - Programmatic
 - Review response to protocols and supporting documentation to analyze progress against performance measures and quality of implementation for all subcriteria
 - Accountability and Oversight (fiscal) (New to Phase 2 grantees)
 - Analyze Accountability and Oversight documentation
- Timeframes
 - ~ 1 hour per subcriteria
 - ~ 2-3 hours for State accountability

State Meetings

□ State Preparation:

- Update Progress Updates, Part B for all subcriteria
- Submit 3-5 key pieces of evidence per subcriterion to substantiate implementation progress and quality (Program Officer will work with State to identify key documents)
- Submit Accountability and Oversight documentation
- Submit most recent approved SOWs, budgets, and subrecipient monitoring plans (if applicable)
- States will have roughly 4 weeks to prepare documentation (due to the program officer 4-5 weeks prior to the on-site visit).
- The program officer then will have roughly 4-5 weeks to review submitted documentation prior to the on-site visit and will work with the State if more information is needed.

LEA Meetings

- Purpose:
 - Assess the impact of the State's Race to the Top Scope of Work implementation and reforms
 - Review the State's management of the quality and progress of local implementation
 - Discuss and explore quality of local implementation
 - Analyze LEA Accountability and Oversight documentation

LEA Meetings

- Selection of LEAs
- Pre-call with LEAs and SEA
- Meeting Timeframe
 - ~ 1.5 hours for each LEA-level meeting
 - ~ 1 hour for each school roundtable
- LEA Preparation:
 - Complete LEA protocol*
 - Submit Accountability and Oversight documentation

**NOTE: LEAs do not need to provide documentation to accompany completed protocols*

LEA Protocol

LEA Analysis of State Implementation and Oversight

Prior to the on-site review, LEAs must submit written responses to the following questions regarding the State's implementation and oversight of Race to the Top reforms to date.

1. In what specific and/or general ways have the activities the State is implementing under its Race to the Top plan impacted the LEA? Please answer this question for all relevant sections listed below.
 - a. Overall State Capacity and Stakeholder Engagement (Application Criterion A)
 - b. Standards and Assessments (Application Criterion B)
 - c. Data Systems (Application Criterion C)
 - d. Great Teachers and Leaders (Application Criterion D)
 - e. Turning Around Lowest Achieving Schools (Application Criterion E)
 - f. STEM (Application Competitive Priority 2)
 - g. Other
2. What is your assessment of the State's quality of implementation?
3. How is the State assessing the quality of implementation for your Race to the Top activities?
4. What methods, tools, and/or processes is the State using to determine the extent of LEA progress toward meeting the goals and timelines described in your scope of work?
5. If you are not on track to meet the goals and timelines in your plan, or if the State has expressed concerns about the quality of implementation, how is the State assisting you?

LEA Protocol

LEA Implementation of Race to the Top

Prior to the on-site review, LEAs must submit written responses regarding LEA implementation of the key Race to the Top reforms included in their approved LEA scope of work to date.

- 1) *Please provide a summary the LEA's key successes and challenges related to implementation (i.e. timelines, goals, and performance measures) of the Race to the Top initiatives in the approved LEA scope of work related to application sub-criterion¹.*

Project/workstream 1

- Successes:
- Challenges:

School Roundtables

- Purpose:
 - Meet with principals and teachers to discuss their SEA and LEA's Race to the Top program implementation*
 - Learn more about perceptions of the progress and impact of the State's Race to the Top reforms on classrooms and educators
- Suggested attendees:
 - 5-10 teachers who are part of the programs that the LEA has implemented under the State plan.
 - Teachers and principals can have separate meetings.

* Teachers and principals participating in the roundtable do not need to prepare anything in advance of the discussion

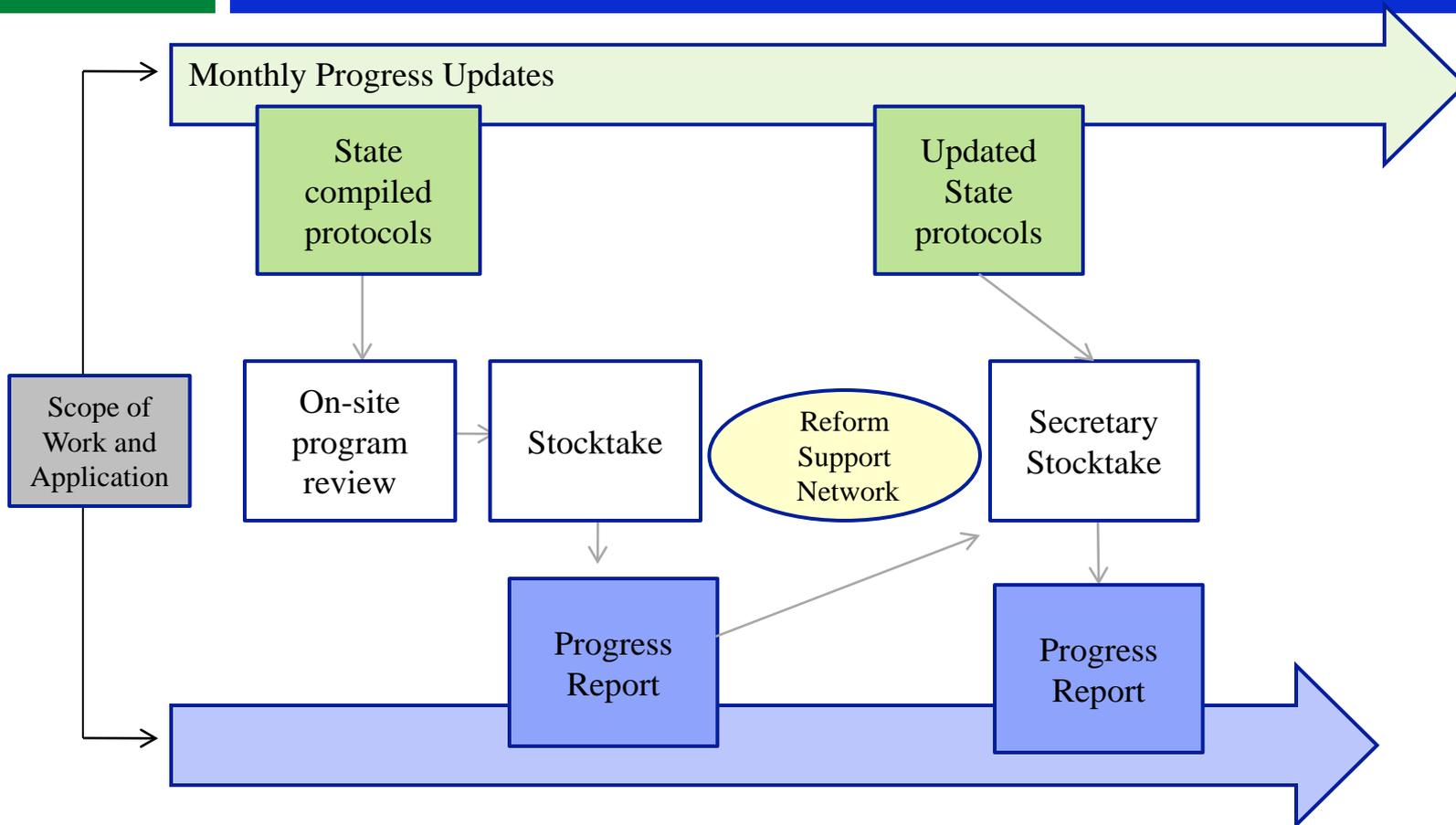
On-site Review:

Year 1 and Year 2 Comparison

Year 1 (for Phase 2 grantees)	Year 2 (for Phase 1 and Phase 2 grantees)
Two subcriteria discussion	Full discussion of all subcriteria
_____	Accountability and Oversight protocols
_____	LEA visits School roundtables

Progress Reports

Progress Report

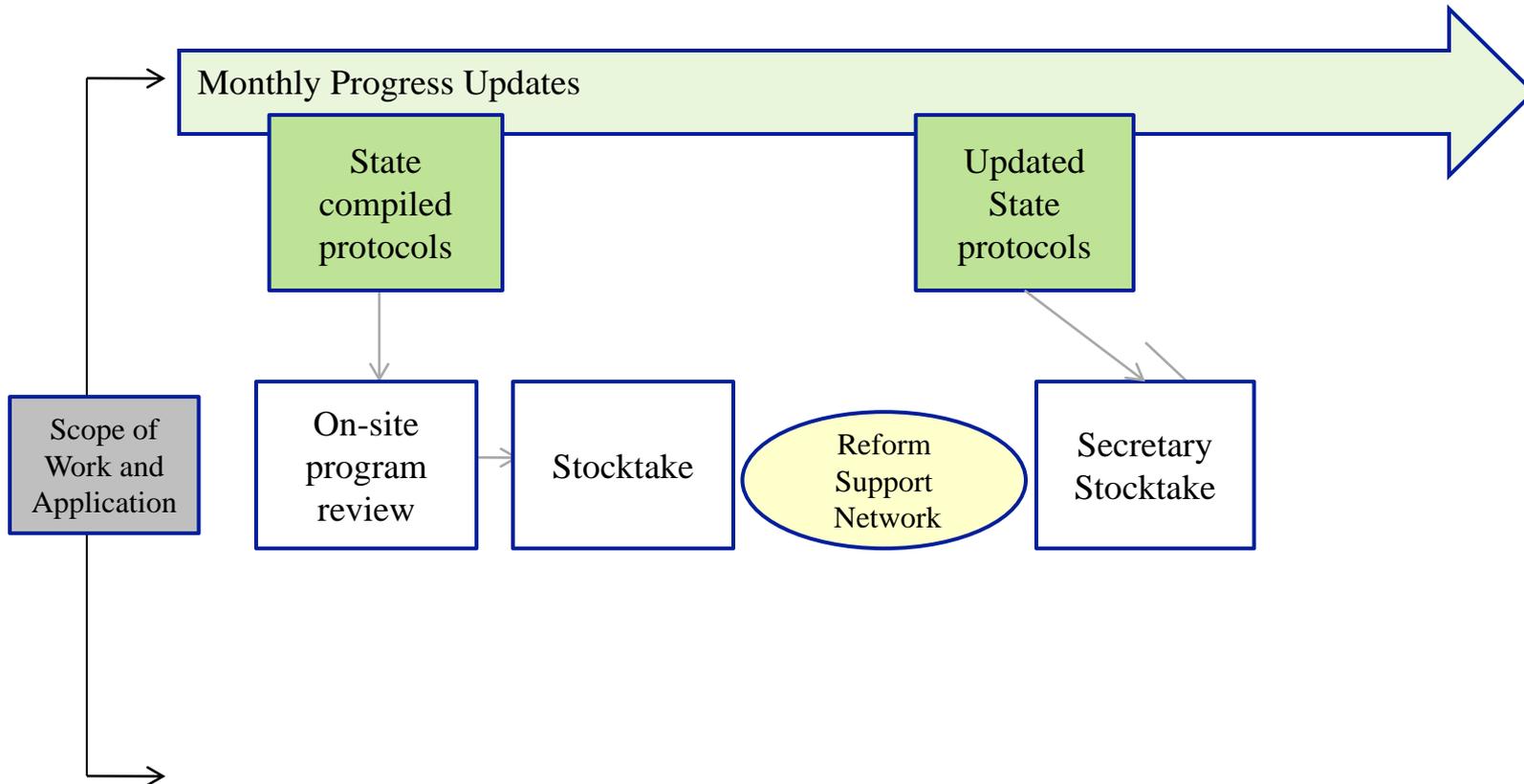


Progress Report

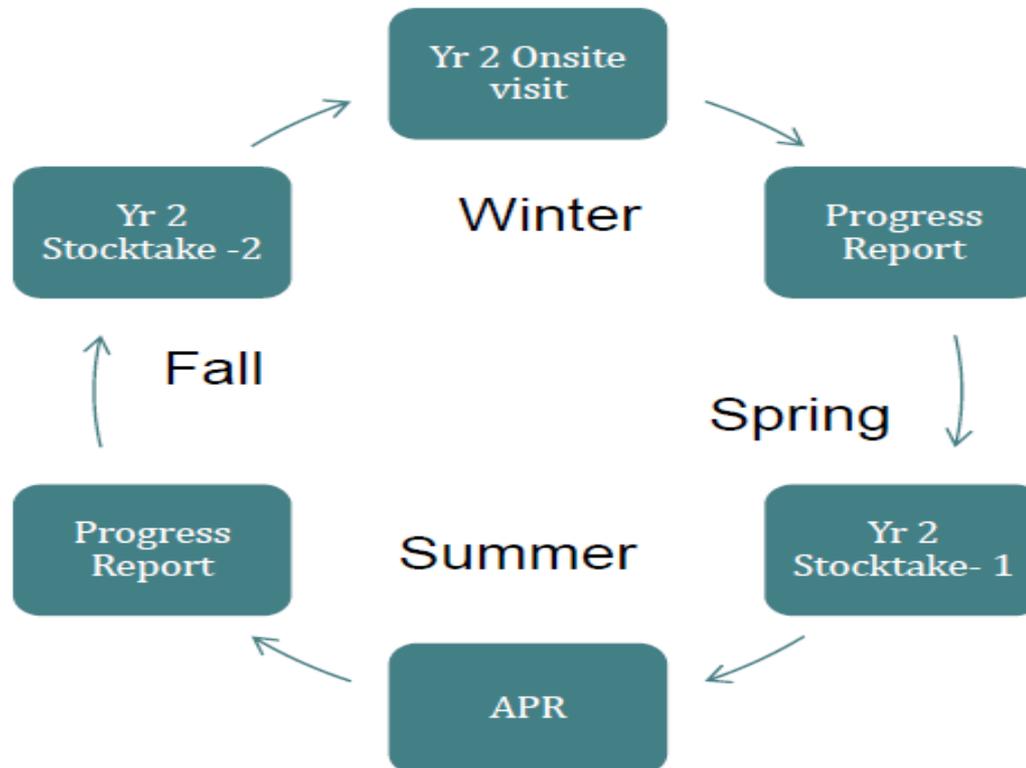
- Purpose:
 - Describe progress on the outcomes, benchmarks, and timelines.
 - Act as a foundation for the stocktake meeting discussions.
- Progress Reports are based on data from—
 - Previous progress report, Monthly Progress Updates, On-site Reviews, and APR (as appropriate)
- Timeline for Year 2
 - Draft developed by the Department within four weeks of on-site review
 - The Department will collaborate with each grantee to revise and finalize the Progress Report.

REMINDER: Feedback on Year 1 Progress Reports is due today, November 30th

Stocktake Meetings



Stocktake Meetings



Stocktake Meetings



Purpose

Periodic data based conversation between grantee and Department teams to discuss program implementation and identify areas of success and need as well as concrete next steps.

Stocktake Meetings

- Two stocktake meetings per year
- Attendees:
 - Grantee Teams
 - Department leadership and staff
 - Members of the Reform Support Network
- Stocktake conversation will be based on data from:
 - Progress Reports
 - Monthly Progress Updates
 - On-site Program Review
 - APR (as appropriate)
 - Other relevant quantitative and qualitative data
- Program Officers will schedule a prep-call and preview all documents, including agenda, prior to meeting

Reports

- State Specific Annual
- Comprehensive Annual

Program Review Timeline

Timeline for Year 2

	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
On-site Program Review				Blue	Blue	Blue	Blue	Blue	Blue						
Stocktake					Blue	Blue	Blue	Blue	Blue	Blue					
APR											Blue	Blue			
Stocktake												Blue	Blue	Blue	Blue w

Program officers will communicate with their States this week regarding more specific timelines.

Next Steps

Next Steps – Year 1 Reports

- Due dates for feedback
 - Year 1 Progress report: November 30
 - Year 1 State Specific: December 6 or 7
(depending on date of receipt)
 - Anticipated State review of data display: Week of December 12

Next Steps – Year 2 On-site Reviews

- Program officers will be contacting grantees to discuss the Program Review in more detail and answer State-specific questions/concerns.
- Program officers will conduct preliminary calls to discuss upcoming on-site review visits and timelines.
- This week, States will receive their schedule for the upcoming on-site review and stocktake meetings.

Questions?