

Interim Report Instructions

Fiscal Year 2010 REMS Final Grantee Meeting
August 8, 2011
National Harbor, MD



Jade Anthony
Amy Banks
Hamed Negron-Perez
Management and Program Analysts,
U.S. Department of Education,
Office of Safe and Drug-Free Schools



Objective

- **To provide FY 2010 REMS grantees with:**
 - An overview of interim reporting requirements
 - A review of the ED 524B form



Session Overview

Interim Performance Reports:

- **GPRRA measures**
- **The ED 524B Form**
 - Cover Sheet & Summary
 - Project Status Charts (Section A)
 - Budget Section (Section B)



FY 2010 REMS Performance Reports

- **Interim Reports**

- The FY 2010 REMS Interim Report is due October 15, 2011
 - Instructions and examples will be sent via a listserv message on or around September 1, 2011.
 - The FY 2010 REMS Final Report is due 90 days following the completion of your project period. Information will be made available via the listserv prior to the due date.



What information should be included in performance reports?

- **Explanation of progress on:**
 - GPRA measures
 - Project-specific objectives
 - Grant requirements
- **Other relevant information, such as:**
 - Innovative practices or outcomes
 - Explanation of challenges encountered on the project
- **Information must be comprehensive and consistent in the report, even if to say, “*No progress has been made yet.*”**

Government Performance and Results Act (GPRA) 1993: Overview

- **Why use GPRA?**
 - All Federal agencies must periodically report to Congress
- **What are the benefits of GPRA?^a**
 - Improved accountability for expenditures using public funds
 - Informed Congressional decision making
- **Reports that do not properly report on the REMS GPRA measures will not be accepted**

a: Government Performance and Results Act of 1993. Accessed at: <http://www.whitehouse.gov/omb/mgmt-gpra/index-gpra> July 22, 2011.



Project-Specific Objectives

- A specific, measurable statement about what the project will achieve
- For example, a project-specific objective might be:

“To train all 10 School Crisis Team leads in psychological first aid by August 31, 2012.”



Performance Reporting: ED 524B Form

- **What are the components of the ED 524B Form?**
 - Cover Sheet
 - Summary
 - Section A - Project Status Charts
 - GPRA measure
 - Project-specific objectives
 - Section B - Budget Information
 - Section C - Additional Information



ED 524B Instructions

- **Prior to completing the report, please review:**
 - instructions for completing the ED 524B
 - samples and examples

Doing so will save you time and extra work

Because...

- **Incomplete or incorrect reports will not be accepted and will be returned for correction**



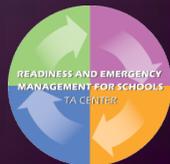
What does ED do with this information?

- ED completes an analysis of all final reports
- GPRA data is public data and will be posted online
- GPRA data from the FY 06 and FY 07 grant cohorts are available at:

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



ED 524B: Cover Sheet





U.S. Department of Education
Grant Performance Report Cover Sheet (ED 524B)

OMB No. 1594-0003
 Exp. 02/28/2011

Check only one box per Program Office instructions.
 Annual Performance Report Final Performance Report

General Information

1. PR/Award #: _____
(Block 5 of the Grant Award Notification - 11 characters.)
2. Grantee NCES ID#: _____
(See instructions. Up to 12 characters.)
- 3 Project Title: _____
(Enter the same title as on the approved application.)
4. Grantee Name *(Block 1 of the Grant Award Notification):* _____
5. Grantee Address *(See instructions.)* _____
6. Project Director *(See instructions.)* Name: _____ Title: _____
 Ph #: () _____ - _____ Ext: () _____ Fax #: () _____ - _____
 Email Address: _____

Reporting Period Information *(See instructions.)*

7. Reporting Period: From: ____/____/____ To: ____/____/____ (mm/dd/yyyy)

Budget Expenditures *(To be completed by your Business Office. See instructions. Also see Section B.)*

8. Budget Expenditures

	Federal Grant Funds	Non-Federal Funds <i>(Match/Cost Share)</i>
a. Previous Budget Period		
b. Current Budget Period		
c. Entire Project Period <i>(For Final Performance Reports only)</i>		

Indirect Cost Information *(To be completed by your Business Office. See instructions.)*

9. Indirect Costs
- a. Are you claiming indirect costs under this grant? Yes No
- b. If yes, do you have an Indirect Cost Rate Agreement approved by the Federal Government? Yes No
- c. If yes, provide the following information:
 Period Covered by the Indirect Cost Rate Agreement: From: ____/____/____ To: ____/____/____ (mm/dd/yyyy)
 Approving Federal agency: ED Other *(Please specify):* _____
 Type of Rate *(For Final Performance Reports Only)*: Provisional Final Other *(Please specify):* _____
- d. For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:
 Is included in your approved Indirect Cost Rate Agreement?
 Complies with 34 CFR 76.564(c)(2)?

Human Subjects *(Annual Institutional Review Board (IRB) Certification)* *(See instructions.)*

10. Is the annual certification of Institutional Review Board (IRB) approval attached? Yes No N/A

Performance Measures Status and Certification *(See instructions.)*

11. Performance Measures Status
- a. Are complete data on performance measures for the current budget period included in the Project Status Chart? Yes No
- b. If no, when will the data be available and submitted to the Department? ____/____/____ (mm/dd/yyyy)
12. To the best of my knowledge and belief, all data in this performance report are true and correct and the report fully discloses all known weaknesses concerning the accuracy, reliability, and completeness of the data.

 Name of Authorized Representative: Title: _____

 Signature: Date: ____/____/____

ED 524B: Cover Sheet

- Check this box: “[X] Annual Performance Report” at the top.
- Reporting Period: Enter the grant start date until 30 days prior to report due date.
- The budget expenditure information requested in items 8a. – 8c. and 9a. – 9d. must be completed in their entirety by your Business Office. The PD checks G5 to ensure that report and drawdown amounts are consistent. The information should reflect expenditures within reporting the period— (project start to 30 days before report due date).



ED 524B: Cover Sheet

- Note: If your project includes in-kind funds (see your REMS application), the Non-Federal Funds column in section 8 must also be completed.
- The Cover Sheet must be signed by the Authorized Representative (AR) or the report will not be accepted. The AR is typically the Superintendent for your district. It is usually NOT the Project Director. If you are not the AR, then you should not sign the report.
- If you submit the report electronically, you will need to email or fax the signed Cover Sheet to the attention of your FPO.



Common ED 524B Cover Sheet Errors

Example:

- Sunshine School District has expended \$15,000 out of their approved budget of \$249,000 in Federal funds and \$11,000 in “in-kind funds” for the project. The grantee has a final indirect cost rate that is approved by the U.S. Department of Education.



U.S. Department of Education
Grant Performance Report Cover Sheet (ED 524B)

OMB No. 1894-0003
Exp. 02/28/2011

Check only one box per Program Office instructions.

Annual Performance Report Final Performance Report

General Information

1. PR/Award #: _____ 2. Grantee NCES ID#: _____
(Block 5 of the Grant Award Notification - 11 characters.) (See instructions. Up to 12 characters.)

3 Project Title: _____
(Enter the same title as on the approved application.)

4. Grantee Name *(Block 1 of the Grant Award Notification):* _____

5. Grantee Address *(See instructions.)*

6. Project Director *(See instructions.)* Name: _____ Title: _____

Ph #: () _____ - _____ Ext: () _____ Fax #: () _____ - _____

Email Address: _____

Reporting Period Information *(See instructions.)*

7. Reporting Period: From: ____/____/____ To: ____/____/____ (mm/dd/yyyy)

Budget Expenditures *(To be completed by your Business Office. See instructions. Also see Section B.)*

8. Budget Expenditures

	Federal Grant Funds	Non-Federal Funds <i>(Match/Cost Share)</i>
a. Previous Budget Period		
b. Current Budget Period	\$15,000	
c. Entire Project Period <i>(For Final Performance Reports only)</i>		

Indirect Cost Information *(To be completed by your Business Office. See instructions.)*

9. Indirect Costs

a. Are you claiming indirect costs under this grant? Yes No

b. If yes, do you have an Indirect Cost Rate Agreement approved by the Federal Government? Yes No

c. If yes, provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: ____/____/____ To: ____/____/____ (mm/dd/yyyy)

Approving Federal agency: ED Other *(Please specify):* _____

Type of Rate *(For Final Performance Reports Only)*: Provisional Final Other *(Please specify):* _____

d. For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement?

Complies with 34 CFR 76.564(c)(2)?

Human Subjects *(Annual Institutional Review Board (IRB) Certification)* *(See instructions.)*

10. Is the annual certification of Institutional Review Board (IRB) approval attached? Yes No N/A

Performance Measures Status and Certification *(See instructions.)*

11. Performance Measures Status

a. Are complete data on performance measures for the current budget period included in the Project Status Chart? Yes No

b. If no, when will the data be available and submitted to the Department? ____/____/____ (mm/dd/yyyy)

12. To the best of my knowledge and belief, all data in this performance report are true and correct and the report fully discloses all known weaknesses concerning the accuracy, reliability, and completeness of the data.

Sally Sue

Project Director

Name of Authorized Representative:

Title: _____

Signature: _____

Date: ____/____/____



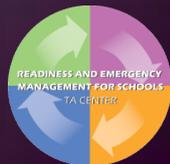
Sample of errors found on the Cover Sheet for Sunshine School District



ED 524B: Summary

- **The 1-2 page summary should include narrative describing:**
 - Highlights of the project's goals
 - The extent to which outcomes and performance measures have been achieved
 - An explanation of any contributions the project has made toward advancing the field of school-based emergency management

ED 524B, Section A:





**U.S. Department of Education
Grant Performance Report (ED 524B)
Project Status Chart**

OMB No. 1894-0003
Exp. 02/28/2011

PR/Award # (11 characters): _____

SECTION A - Performance Objectives Information and Related Performance Measures Data (See Instructions. Use as many pages as necessary.)

1. Project Objective Check if this is a status update for the previous budget period.

1.a. Performance Measure	Measure Type	Quantitative Data					
		Target			Actual Performance Data		
		Raw Number	Ratio	%	Raw Number	Ratio	%
			/			/	

1.b. Performance Measure	Measure Type	Quantitative Data					
		Target			Actual Performance Data		
		Raw Number	Ratio	%	Raw Number	Ratio	%
			/			/	

Explanation of Progress (Include Qualitative Data and Data Collection Information)

ED 524B: Section A (Project Status Charts)

- **Section A will highlight progress towards all project objectives:**
 - All Government Performance and Results Act (GPRA) measures
 - All project-specific objectives and measures
 - Drawn from needs assessment
 - As reflected in grant application
 - Based on individual district priorities

ED 524B, Section A: Project Status Chart for GPRA

- **Example of how to report on a GPRA:**

One of the FY 2010 REMS GPRA measures is: **“The average number of NIMS course completions by key personnel at the start of the grant compared to the average number of NIMS course completions by key personnel at the end of the grant.”**

- **ED’s target for this measure is an aggregated average increase of 2 course completions per person determined to be “key personnel.”**



ED 524B, Section A: Project Status Chart for GPRA

- **Information needed to respond to this measure includes:**
 - **Baseline information** of key personnel in the district to be trained on NIMS courses and the total number of NIMS course completions that each of those key personnel have completed prior to the start of the grant.
 - **Outcome information** on actual number of course completions by those same key personnel at the end of the grant.
- **Your goal for this measure should be an average increase of two course completions per person by the end of the grant.**



ED 524B, Section A: Project Status Chart for GPRA

- **Under Project Objective:**
 - Write “To achieve an average increase of two NIMS course completions by key personnel by the end of the grant.”
- **In Box 1.a. Performance Measure:**
 - Write “Average number of NIMS course completions by key personnel at the start of the grant compared to the average number of NIMS course completions by key personnel at the end of the grant.”
- **In the Measure Type box:**
 - Write “GPRA”



ED 524B, Section A: Project Status Chart for GPRA

Under Quantitative Data:

- **Under “Target/Raw Number”:**
 - Indicate the TARGET for this measure: 2
 - All grantees will have the same TARGET for this measure
- **Under “Actual Performance Data/Raw Number”:**
 - Indicate the increase in average course completions



ED 524B, Section A: Project Status Chart for GPRA

- The “Target/Raw Number” will ALWAYS be 2
- If your “Actual Performance Data/Raw Number” is a whole number, enter it here. If it is a decimal, enter “999”, as G5 may not accept decimals. If you need to input “999”, you must provide the actual data below the chart in the “Explanation of Progress” field.

1. Performance Measure	Measure Type	③ Quantitative Data					
① Average number of NIMS course completions by key personnel at the start of the grant compared to the average number of NIMS course completions by key personnel at the end of the grant	② GPRA	Target			Actual Performance Data		
		Raw Number	Ratio	%	Raw Number	Ratio	%
		③ 2	/		999	/	



ED 524B, Section A: Sample Explanation of Progress on GPRA

Here, grantees should report on the increase in average course completions by key personnel

	Employee Name and Title	NIMS Course Completions at the Start of the Grant	NIMS Course Completions at the End of the Grant (or at the grant midpoint for interim reports)
1.	Bob Jones, Project Director	2	6
2.	Cindy Roberts, Superintendent	0	2
3.	John Phillips, Head of Security	1	4
4.	Chris Thomas, Public Information Officer	2	4
5.	Sally Smith, Director of Student Services	0	3
6.	Matthew Anderson, Chief Business Officer	1	3
	Total Course Completions	6	22
	Average Course Completions	1	3.7

- Outcome (3.7) – Baseline (1) = 2.7
- Also include a narrative list of the actual NIMS courses completed by school personnel below. This narrative should list both the courses taken prior to the grant (baseline) and those taken during the grant period.



ED 524B, Section A: Project Status Chart for Project-Specific Measures

- Grantees are also required to provide information under the following sections for each project-specific measure identified in your grant application:
 - Project Objective (if applicable)
 - Performance Measure
 - Measure Type (write “Project”)
 - Quantitative Data (if applicable)
 - A detailed Explanation of Progress

- ***NOTE: It is preferable to include just one measure on each Project Status Chart page in Section A even though there is space for two measures per page.***



ED 524B, Section B: Budget Information





**U.S. Department of Education
Grant Performance Report (ED 524B)
Project Status Chart**

OMB No. 1894-0003
Exp. 02/28/2011

PR/Award # (11 characters): _____

SECTION B - Budget Information (See Instructions. Use as many pages as necessary.)

SECTION C - Additional Information (See Instructions. Use as many pages as necessary.)

ED 524B, Section B: Budget Information

- **Section B must be completed by the business office.**
- **Section B requests a budget indicating expenses incurred to date and how much funding remains available for unexpended funds in each of the following categories:**
 - Personnel
 - Fringe Benefits
 - Travel
 - Equipment
 - Supplies
 - Contractual
 - Other
 - Indirect Costs
 - Training Stipends
- **In-Kind Funds: If a grantee claimed “matching” or in-kind funds in the original application, they must report on these funds in the budget section of the report (Section B).**



ED 524B, Section B: Budget Information: Sample Expenditures and Budget Modifications

Budget Category	Award Amount	Modifications	Description of Activities	Total Expenditures	Remaining
Personnel	\$60,000	none	\$2,500 a month X 12 = \$30,000	\$30,000	\$30,000
Fringe Benefits	\$15,000	none	\$625 a month = \$7,500	\$7,500	\$7,500
Travel	\$5,000	none	1 required meeting for 2= \$2,200	\$2,200	\$2,800
Equipment	\$0	N/A	N/A	\$0	\$0
Supplies	\$35,000	<p>Transferred \$5,000 from Contractual to Supplies.</p> <ul style="list-style-type: none"> Notified FPO of cost-savings and allowable budget Cost savings: Partners conducted safety audits at no charge Allowable Purchase (Enhanced budget activity in original grant) Purchased 9 extra radios for incident command team 	<ul style="list-style-type: none"> Purchased Go Kits for 8 schools contents- \$4,000 Purchased radios for Incident Command Teams - \$4,500 	\$8,500	\$31,500
Contractual	\$15,000	Transferred \$5,000 to Supplies		\$5,000	\$10,000
Other					
Indirect Costs (.015)	\$1,950		\$48,200 (Personnel, Fringe, Travel, Supplies, and Contractual) X .015	\$723.00	\$1,227
Training Stipends	\$15,000			\$0	\$15,000
Total	\$146,950			\$53,923	\$93,027

Grantee's original application allocated 5,000 for safety audits



Grantee's original application allocated monies for purchasing radios to support communication during response.



ED 524B, Section B: Budget Information

The following should also go in Section B:

- An explanation if funds have not been drawn down from G5 to pay for the budget expenditure amounts reported on the Cover Sheet.
- An explanation if funds were *not* expended at the expected rate during the reporting period.
- A description of any significant changes to the budget resulting from modification of project activities.
- A description of any budget changes that affected your ability to achieve the approved project activities and/or project objectives.



ED 524B, Section C: Additional Information



ED 524B, Section C: Additional Information

- **Describe your plans for continuing the project (sustainability; capacity building) and/or disseminating the project results.**
- **Report on any grant requirements that were not covered in the project-specific measures or in the Executive Summary, such as:**
 - Coordination with community partners
 - Training for students and staff on emergency procedures
 - Coordination with State and/or local homeland security plans
 - Implementation of NIMS
 - Emergency planning for individuals with disabilities
 - Development of a written infectious disease plan that includes disease surveillance, business continuity planning, and continuation of educational services



Avoid These Common Performance Report Mistakes

- Cover sheet is not signed by the AR
- Cover sheet budget information (Section 8) is incomplete
- Indirect cost information (Section 9 of the cover sheet) is incomplete
- GPRA measure/measures not included
- GPRA measure has been altered by the grantee and is inconsistent with ED's language
- Project-specific measures are not included
- Project-specific measures are incomplete/do not match what is in the grant application
- Section B is missing/inconsistent with G5
- Section C does not include an explanation of progress on all grant requirements



Resources for Completing Performance Reports

- The slides from this presentation
- FPO correspondence disseminated via the listserv
- The “Information for REMS Grantees”
Web page at:
http://rems.ed.gov/index.php?page=REMS_Grantees_Info



Questions?



Useful Resources

- **Office of Safe and Drug-Free Schools (OSDFS)**
 - www.ed.gov/about/offices/list/osdfs/index.html
- **Readiness and Emergency Management for Schools Technical Assistance Center**
 - <http://rems.ed.gov/>
- **School Emergency Management Planning Resources**
 - www.ed.gov/emergencyplan
- **Education Department General Administrative Regulations (EDGAR)**
 - www.ed.gov/policy/fund/reg/edgarReg/edgar.html
- **Office of Management and Budget (OMB) Circulars**
 - www.whitehouse.gov/omb/circulars
- **“Grants Management Training and Resources” (ED online training)**
 - <http://e-grants.ed.gov/training/>



Useful Resources

- **Protection of Human Subjects in Research**
 - www.ed.gov/about/offices/list/ocfo/humansub.html
- **Family Educational Rights and Privacy Act (FERPA) & Protection of Pupil Rights Amendment (PPRA)**
 - www.ed.gov/policy/gen/guid/fpco/index.html
- **Indirect Cost Rate information**
 - www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html
- **Freedom of Information Act (FOIA)**
 - www.ed.gov/policy/gen/leg/foia/foiatoc.html
- **Federal Register**
 - www.gpoaccess.gov/fr/index.html
- **American Clearinghouse on Educational Facilities**
 - <http://www.acefacilities.org/>
- **Government Performance and Results Act of 1993**
<http://www.whitehouse.gov/omb/mgmt-gpra/gplaw2m.html>



Thank you!

