

Performance Monitoring, Evaluation, and Interim Reports

Fiscal Year 2009 Initial Grantee Meeting
November 18 – 19, 2009 ~ Irving, Texas



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Session Objectives

- Review U.S. Department of Education's (ED) performance monitoring plan
- Discuss evaluation and reporting requirements
- Introduce the ED 524B form



REMS Performance Monitoring Plan

- Post-award performance calls
- Site Visits
- Interim and Final Reports



REMS Site Visits: Overview

- Site visits, also called on-site reviews, are a grant monitoring tool as provided for in the Education Department General Administrative Regulations (EDGAR) Part 80.40(e), “Federal agencies may make site visits as warranted by program needs.”
- Two staff (ED and Technical Assistance Center) will typically participate
- Typically last 1.5 days
- At least 5% of all FY 2009 REMS grantees (approximately 6 sites) will be visited



REMS Site Visits: Reasons for Selection

- Program performance – Exemplary
 - Goals and objectives achieved in unique or innovative ways
 - Development of effective strategies that may be replicable at other sites
- Program performance – Problems Identified
 - Difficulty achieving goals and objectives
 - Compliance issues
 - Fiscal improprieties
 - Technical assistance
- Upon request by grantees



REMS Site Visits: Participants and Expectations

- Grantee Participants
 - Project Director (required)
 - Authorized Representative
 - Key community partners
 - Other key project personnel
 - Evaluator
 - Finance/Budget personnel
- What to expect during the site visit
 - Entrance and exit interviews
 - Review of grant activities to date
 - Review recent budget and expenditures
 - Review evaluation plan



REMS Site Visits: Follow-up

- Federal Project Officer (FPO) provides a written report
 - Positive findings
 - Negative findings
 - Required Actions: Compliance
 - Recommended Actions: Non-binding suggestions
- REMS grantee provides a written response
 - Required Actions
 - Describe corrective actions that will bring grant into compliance with programmatic/fiscal guidelines
 - Dispute findings and present supporting documents
 - Recommended Actions
 - Respond to recommended actions
- FPO will ensure all corrective actions have been accomplished



Evaluation and Performance Reporting



Evaluation: Overview

- What it does...
 - Determine if a project is accomplishing objectives
 - Support decision-making in the district and community
 - Provide data for communicating to stakeholders
 - Help the U.S. Department of Education report on progress
- What it does not do...
 - Attempt to judge a project or school system subjectively
 - Represent a false picture of program success for administrators or funders



Why Evaluate REMS Projects?

Because evaluation...

- is a way to gather school-based and community data to help improve emergency management plans,
- allows for feedback and continuous improvement,
- uncovers new information or consequences that were not anticipated, and
- involves multiple stakeholders in the process and creates buy-in for emergency management planning.



Creating an Evaluation Plan: Key Components

Key questions to consider:

- Who will conduct your evaluation? Are they unbiased?
- Who are the key stakeholders in your grant project and your overall emergency management efforts?
- Have you captured the appropriate baseline data at the beginning of your project?
- What are your key project objectives?



Interim and Final Performance Reports

- Interim Reports
 - FY 09 REMS interim reports are due on August 1, 2010
 - A listserv message with instructions for completing the interim report will be sent on, or around, July 1, 2010
- Final Reports
 - Grantees have up to 90 days after the project performance period to submit the final report



What information should be included in performance reports?

- Explanation of progress on:
 - GPRA measure
 - Project-specific measures
 - Grant requirements
- Other relevant information, such as:
 - Innovative practices or outcomes
 - Explanation of challenges encountered on the project



Government Performance and Results Act (GPRA): Overview

- What is GPRA?
 - The Government Performance and Results Act of 1993 requires all Federal agencies to manage activities with attention to outcomes.
 - Agencies must:
 - State intended accomplishments
 - Identify the resources required
 - Periodically report to Congress
- What are the benefits of GPRA?^a
 - Improved accountability for expenditures using public funds
 - Informed Congressional decision making through use of objective information
 - Government focus on results

^a Government Performance and Results Act of 1993. Accessed at: <http://www.whitehouse.gov/omb/mgmt-gpra/gplaw2m.html> August 27, 2008.



Project-specific Objectives

- A specific, measurable statement about what the project will achieve.
- For example, a Project-Specific objective might be: “To train five emergency management team members in each of our 10 school buildings in basic first aid as measured by 100% successful certification in the ‘Basic First Aid Training’ course offered by our local Red Cross by December 1, 2010.”



Project-specific Performance Measures

- The value or characteristic that can be used to determine the extent to which each identified objective has been achieved.
- In the previous example, the number of emergency management team members who are certified in Red Cross Basic First Aid by December 1, 2010.



ED 524B Form



What is the ED 524B form?

- A generic reporting form covering most U.S. Department of Education discretionary grants
- Your job is to populate and individualize this generic form to describe your progress toward meeting:
 - GPRA Measure
 - Project-Specific Measures
 - Grant Requirements



Performance Reporting: ED 524B

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



ED 524B Instructions

- Review the instructions that are provided for completing the ED 524B
- 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 that is used to guide REMS program improvements.
- GPRA data is public data and will be posted online.
- GPRA data from the FY 06 grant cohort is available at:
<http://www.ed.gov/programs/dvpemergencyresponse/performance.html>



Interim Performance Reporting: Completing the ED 524B



ED 524B: Cover Sheet and Executive Summary





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 #: _____
(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

1. Check this box: **Annual Performance Report** at the top.
2. Reporting Period: Grant start date until 30 days prior to report due date (July 1, 2010).
3. The budget expenditure information requested in items 8a. – 8c. and 9a. – 9d. must be completed in their entirety by your **Business Office**. **Check G5 to ensure that report and drawdown amounts are consistent.**
4. Note: If your project includes in-kind funds, the Non-Federal Funds column in section 8 must also be completed.
5. **The Cover Sheet must be signed by the Authorized Representative (AR) on the grant 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.**
6. If you submit the report via e-Reports, **you will need to fax the signed Cover Sheet to the attention of your FPO.**



Common ED 524B Cover Sheet Errors

- Example:
- Washington School District has expended \$15,000 out of their approved budget of \$150,000 in Federal funds and \$20,000 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. 1894-0005
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	\$15,000	
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

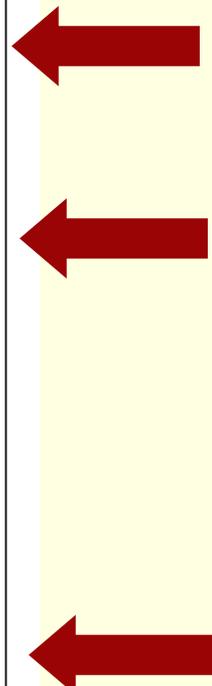
b. If no, when will the data be available and submitted to the Department? ___/___/___ (mm/dd/yyyy)

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.

Sally Sue Title: **Project Director**

Name of Authorized Representative: _____

Signature: _____ Date: ___/___/___



ED 524B: Executive Summary

- Executive Summary should:
 - Include a 1-2 page narrative summary
 - Provide highlights of the project's goals
 - Describe the extent to which outcomes and performance measures have been achieved
 - Explain any contributions the project has made toward advancing the field of campus-based emergency management



ED 524B, Section A: Project Status Charts





**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

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



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

- **GPRA:** 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



ED 524B, Section A: Project Status Chart, GPRA (Cont'd.)

- Information needed to respond to this measure includes:
 - Baseline 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.
- Goal should be an average increase of two course completions per person by the end of the grant.
- **Start tracking this information early in your project!**



ED 524B, Section A: Project Status Chart, GPRA (Cont'd.)

- **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, GPRA (Cont'd.)

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 completion



ED 524B, Section A: Project Status Chart for GPRA (Cont'd.)

Under Explanation of Progress:

- A table indicating baseline data including number of courses completed at the beginning of the project and actual course completions during the grant
- A narrative list of the actual NIMS courses completed by school personnel



GPRAs: Example Project Status Chart

- The “Target/Raw Number” will ALWAYS be 2. The “Actual Performance Data/Raw Number” is based upon each grant’s outcome data.

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	/		2.7	/	



GPRA: Example Explanation of Progress

- **Outcome:** 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
- In this example, the grantee would have successfully met the target for the GPRA measure.



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

- Grantees are required to provide information under the following sections for project-specific measures as well:
 - 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.
- **Under Section B** grantees are requested to submit 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, and
 - 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.



ED 524B, Section B: Budget Information

- The following should 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.



ED 524B, Section B: Budget Information (Cont'd.)

- 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.
- It would be helpful if you could include an entire budget breakdown that notes your originally approved budget (by ED budget category) and actual expenditures in each line item.



ED 524B, Section C: Additional Information



ED 524B, Section C: Additional Information

- If applicable, 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



Common Interim Report Issues

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



Questions?



Thank you!





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

OMB No. 1890-0004
OMB Approved

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)



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

OMB No. 1890-0004
OMB Approved

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.)



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

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

Project Status Chart: Example for FY 2009 Readiness and Emergency Management for Schools (REMS) Grantees

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.

To achieve an average increase of two NIMS course completions by key personnel by the end of the grant

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	/		2.7	/	

④ Explanation of Progress (Include Qualitative Data and Data Collection Information)

INSTRUCTIONS:

- ① Type the GPRA performance measure in the "Performance Measure" box on Section A (Project Status Chart) of the ED 524B.
- ② Type "GPRA" in the "Measure type" box.
- ③ In the Target Raw Number box, provide the target average number of course completions for the performance period. The target increase should be an average increase of at least 2 courses. In the Actual Performance Data Raw Number box, provide the average number of course completions as of the reporting date. In the above example, the school district had a target average increase of two course completions at the baseline and an average increase of 2.7 course completions during the reporting period.

④ Under the "Explanation of Progress" section, include the following:

Data:

- 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 at the start of the grant (baseline data).
- The average course completions of the group as an aggregate number.
- This information may be reported in a table. For example,

	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

Increase in Average Course Completions: 2.7**Additional Information Needed:**

- A narrative list of the actual NIMS courses completed by school personnel.
- Target number of NIMS courses to be completed by the school personnel (the number of courses you hope to complete by the end of the grant period) (Interim Reports only.)
- A narrative list of the TOTAL courses completed by school personnel. (Final Reports only).