

Performance Monitoring and Evaluation: Site Visits, Reporting, and the Government Performance and Results Act

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Session Objectives

- Review U.S. Department of Education's (ED) performance monitoring plan
- Discuss site visits
- Consider key evaluation components
- Review the Readiness and Emergency Management for Schools (REMS) Government Performance and Results Act (GPRA) measures for FY 2008 grantees
- Introduce the ED 524B form
- Explain how to report GPRA data on the ED 524B Project Status Charts



ED's Performance Monitoring Plan

- Post-award performance calls
- Interim performance Federal Project Officer (FPO) check-in
- 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 74.51(g), “The Secretary may make site visits, as needed.”
- Two staff (ED and Technical Assistance Center) will typically participate
- Typically last 1.5 days
- At least 5% of all FY 2008 REMS grantees (approximately 5 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



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
 - Exemplary practices
 - Negative findings
 - Required Actions: Compliance
 - Recommended Actions: Non-binding suggestions
- REMS grantee provides a written response
 - Required Actions
 - Detail 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



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.



What is Evaluation?

‘Program evaluation’ is an assessment, through objective measurement and systematic analysis, of the manner and extent to which programs achieve intended objectives.^a



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



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 data at the beginning of your project?
- What are your key project objectives?



Interim and Final Performance Reports

- Interim Reports

- Typically due mid-way through the 18-month grant period
- FPOs will send out the due date and instructions for completing the interim report in the coming months

- Final Reports

- Grantees have up to 90 days after the project end date to submit the final report



Performance Reporting: Objectives and Performance Measures

- Objectives:
 - “Derived from the program goal(s) and explain how the program goal will be accomplished. Objectives are well-defined, specific, and quantifiable statements of the desired results of the program.”^a
- Performance Measures:
 - Particular values used to measure each objective.^a



Performance Reporting: Objectives and Performance Measures (Cont'd.)

- Project-specific objectives and measures
 - Drawn from needs assessment
 - As reflected in grant application
 - Based on individual school and district issues
- Government Performance and Results Act (GPRA) measures



Project-specific Objectives

- A specific, measurable statement about what the project will achieve.
- For example, an 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.”



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 teachers who are certified in Red Cross Basic First Aid by December 1, 2009.



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.



What are the REMS GPRA Measures?

- **GPRA 1:** The percentage of REMS grant sites that demonstrate they have increased the number of hazards addressed by the improved school emergency management plan as compared to the baseline plan.
- **GPRA 2:** The percentage of REMS grant sites that demonstrate improved knowledge of school and/or district emergency management policies and procedures by school staff with responsibility for emergency management functions.
- **GPRA 3:** The percentage of REMS grant sites that have a plan for, and commitment to, the sustainability and continuous improvement of the school emergency management plan by the district and community partners beyond the period of Federal financial assistance.



Performance Reporting: ED 524B

- What are the components of the ED 524B?
 - Cover Sheet
 - Must be signed by Authorized Representative
 - Budget information should be provided by the business office
 - Executive Summary
 - Section A - Project Status Charts
 - GPRA measures
 - Project-specific objectives
 - Section B - Budget Information
 - Section C - Additional Information



Completing 524B, Section A: Project Status Chart for GPRA 1

GPRA 1: Demonstration of increased number of hazards addressed by the improved school emergency management plan as compared to the baseline plan.



Completing 524B, Section A: Project Status Chart for GPRA 1 (Cont'd.)

Definitions for GPRA 1:

- **Hazards:** Broadly defined as potential threats to the school or district whose date or time of occurrence cannot be predicted. Examples include:
 - Severe Weather
 - Intruders on campus
 - Earthquake
 - Wildfire
 - Influenza pandemic
 - Chemical spills
 - Facilities improvements
- **Addressed:** Written plan is in place that responds to hazards
- **Baseline plan:** The emergency plan in place prior to grant award



Completing 524B, Section A: Project Status Chart for GPRA 1 (Cont'd.)

- **Under Project Objective:**
 - Write “To increase the number of hazards addressed by the improved school emergency management plan as compared to the baseline plan.”
- **In Box 1.a. Performance Measure:**
 - Write “Number of hazards addressed by the improved school emergency management plan as compared to the baseline plan.”
- **In the Measure Type box:**
 - Write “GPRA”



Completing 524B, Section A: Project Status Chart for GPRA 1 (Cont'd.)

Under Quantitative Data:

- Under “Target/Ratio”:
 - *Numerator*: Indicate the TARGET, or total number of hazards you AIM to address at the end of the grant.
 - *Denominator*: Indicate the BASELINE, or total number of hazards you addressed at the beginning of the grant period.
- Under “Target/Actual Performance Data”:
 - *Numerator*: Indicate the total number of hazards you ACTUALLY address at the end of the project period
 - *Denominator*: Indicate the baseline number of hazards you addressed at the beginning of the grant period.

NOTE: The denominator will be the same for both Target and Actual.



Completing 524B, Section A: Project Status Chart for GPRA 1 (Cont'd.)

Under Explanation of Progress:

- A narrative list of the actual hazards addressed by district(s) (or school) baseline plan(s)
- Target number of hazards to be addressed by the improved plan(s) (the number of hazards you hope to address by the end of the grant period)
- A narrative list of the TOTAL hazards addressed by the improved school emergency management plan(s) (at the end of the project period only)



GPRA 1: Frequently Asked Questions

- Can I count facilities improvements as hazards that my school/school district has addressed?
- My application is for a consortium of school districts. How should I report data for this measure—do I aggregate or report on a district-by-district basis?



Completing 524B, Section A: Project Status Chart for GPRA 2

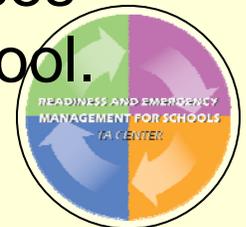
GPRA 2: Demonstration of **improved knowledge** of school and/or district **emergency management policies and procedures** by **school staff** with responsibility for emergency management functions.



Completing 524B, Section A: Project Status Chart for GPRA 2 (Cont'd.)

Definitions for GPRA 2:

- **Improved knowledge:** A quantifiable difference in the amount of information, or quality of information, district staff possess around emergency management.
- **Emergency management policies and procedures:** The written emergency management plan and procedures for the school district and/or school.
- **School staff:** Broadly defined as any school or school district employee involved in one of the four phases of emergency management for the district or school.



Completing 524B, Section A: Project Status Chart for GPRA 2 (Cont'd.)

- **Under Project Objective:**
 - Write “To improve knowledge of school or district emergency management policies and procedures.”
- **In Box 1.a. Performance Measure:**
 - Write “Demonstration of improved knowledge of school/and or district emergency management policies and procedures by school staff with responsibility for emergency management functions.”
- **In the Measure Type box:**
 - Write “GPRA”



Completing 524B, Section A: Project Status Chart for GPRA 2 (Cont'd.)

Under Quantitative Data:

- In the Ratio and % columns: Leave blank in both the Target and the Actual Performance blocks
- In the Raw Number columns:
 - Under Target: Write “YES” (this indicates that you hope there will be an improved level of knowledge)
 - Under Actual Performance Data (to be entered when data are available):
 - Write “YES,” if your district has met this standard.
 - If your district cannot demonstrate improved knowledge then write, “NO.”



Completing 524B, Section A: Project Status Chart for GPRA 2 (Cont'd.)

Under Explanation of Progress:

- Baseline assessment of staff knowledge of school and/or district policies at the start of the grant.
- Target goal for demonstrating “improved knowledge” by the end of the project period.
- Post-assessment of the actual number, or percentage, of staff that do demonstrate improved knowledge by the end of the grant.
- A narrative description of how your district defined “school staff with responsibility for emergency management functions.”
- A narrative description of what process your district(s) used for assessing baseline and post-grant knowledge of procedures.



GPRA 2: Frequently Asked Questions

- Do all REMS grantees need to use the same assessment tool to assess “improved knowledge”?
- Can grantees use different surveys tools for different levels of staff?



Completing 524B, Section A: Project Status Chart for GPRA 3

GPRA 3: Demonstration of a plan for, and commitment to, the sustainability and continuous improvement of the school emergency management plan by the district and community partners beyond the period of Federal financial assistance.



Completing 524B, Section A: Project Status Chart for GPRA 3 (Cont'd.)

Definitions for GPRA 3:

- Plan for, and commitment to, the sustainability and continuous improvement: Grantee's articulated plan (in writing) for maintaining momentum of grant objectives after funding ends.



Completing 524B, Section A: Project Status Chart for GPRA 3 (Cont'd.)

- **Under Project Objective:**
 - Write “To sustain emergency management efforts within the district/school.”
- **In Box 1.a. Performance Measure:**
 - Write “A plan for, and commitment to, the sustainability and continuous improvement of school emergency response plans by your district and community partners beyond the period of Federal financial assistance.”
- **In the Measure Type box:**
 - Write “GPRA”



Completing 524B, Section A: Project Status Chart for GPRA 3 (Cont'd.)

Under Quantitative Data:

- For Target, Raw Number: Write “YES”
- For Actual, Raw Number:
 - Write “YES,” if your district has established a sustainability plan for your emergency management work.
 - If not, write “NO.”



Completing 524B, Section A: Project Status Chart for GPRA 3 (Cont'd.)

Under Explanation of Progress:

- Provide a detailed answer to the question, “Does your district have a plan for, and commitment to, the sustainability and continuous improvement of school emergency response plans by your district and community partners beyond the period of Federal financial assistance?”
- Provide proof of your sustainability plan. This could include, but is not limited to, the following:
 - Copies of Memoranda of Agreements or Memoranda of Understanding
 - Timelines/agenda for upcoming community partner meetings/drills after the grant period is over
 - School board commitments to upcoming emergency management work or facilities upgrades
- Attach a copy of the updated emergency management plan with final reports.



GPRA 3: Frequently Asked Questions

- Do I need to submit a copy of my district's updated emergency plan with my final report?
- What are some ways a district might demonstrate sustainability?



Completing 524B, Section A: Project Status Chart for 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.



Completing 524B, Cover Sheet and Section B: Budget Information

- **Section 8, Budget Expenditures on the Cover Sheet** 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.



Completing 524B, Section B: Budget Information

The following should go in Section B–Budget Information section:

- For budget expenditures made with Federal grant funds, grantees must provide an explanation if funds have not been drawn down from GAPS to pay for the budget expenditure amounts reported on the Cover Page.
- An explanation if funds were *not* expended at the expected rate during the reporting period.



Completing 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.



Completing 524B, Section C: Additional Information

For **final reports only**, the following should go in Section C–Additional Information section:

- Utilizing your evaluation results, draw conclusions about the success of the project and its impact. Describe any unanticipated outcomes or benefits from your project and any barriers that you may have encountered.
- What would you recommend as advice to other educators that are interested in your project? How did your original ideas change as a result of conducting the project?



Completing 524B, Section C: Additional Information (Cont'd.)

- 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



QUESTIONS?

