

MEMORANDUM

To: FY 2009 Safe Schools/Health Students (SS/HS) Grantees
From: SS/HS Federal Team
Subject: “Dear Colleague Memo”: Performance Reporting Instructions and Guidance

The purpose of this memo is to explain the Safe Schools/Healthy Students (SS/HS) Initiative performance reporting requirements and provide specific instructions for development and submission of SS/HS performance reports. Please take time to review the instructions and contact your FPO if you have any questions.

This document *does not* include instructions for no-cost reporting or final performance reports and grant close-out. There are some important differences between reports required during a no cost extension year or to close out a SS/HS grant. Guidance for these reports and processes will be provided during grant year four.

Table of Contents

I. Performance Reporting Periods and Due Dates	2
II. Types of Performance Reports	3
A. The Comprehensive Report	3
B. The GPRA and Budget Update Report	4
III. Performance Report Forms	4
IV. Report Instructions and Guidance	5
A. ED 524B Cover Sheet	6
B. ED 524B Executive Summary	8
C. ED 524B Section A – Government Performance Results Act (GPRA) Measures Data	8
D. ED 524B Section B – Budget Information	9
E. Budget and Expenditures Spreadsheet	9
F. ED 524B Section C – Additional Information	10
G. SS/HS MOA and Logic Model	11
H. Appendices	11
V. Report Submission Instructions	12
A. Hard Copy Submission	12
B. Electronic Submission	12
VI. List of Enclosed Attachments	12

I. Performance Reporting Periods and Due Dates

All FY 2009 SS/HS grantees are required to submit two reports every grant year. Each report covers a specific period of time (the reporting period) and is due no later than thirty days after the end of each reporting period. Table 1 provides the report type, reporting period, and due date for all four grant years plus a no-cost extension year. The report types are discussed in further detail in [Section II](#) of this memo.

Table 1: Reports, Periods, and Due Dates

Grant Year	Type of Report	Reporting Period	Due Date
Year 1	Comprehensive Report	<u>Comprehensive</u> July 1, 2009 – December 31, 2009 <u>Budget*</u> July 1, 2009 – December 31, 2009	January 31, 2010
	GPRA and Budget Update Report	<u>GPRA</u> July 1, 2009 – June 30, 2010 <u>Budget*</u> January 1, 2010 – June 30, 2010	July 31, 2010
Year 2	Comprehensive Report	<u>Comprehensive</u> January 1, 2010 – December 31, 2010 <u>Budget*</u> July 1, 2010 – December 31, 2010	January 31, 2011
	GPRA and Budget Update Report	<u>GPRA</u> July 1, 2010 – June 30, 2011 <u>Budget*</u> January 1, 2011 – June 30, 2011	July 31, 2011
Year 3	Comprehensive Report	<u>Comprehensive</u> January 1, 2011 – December 31, 2011 <u>Budget*</u> July 1, 2011 – December 31, 2011	January 31, 2012

Grant Year	Type of Report	Reporting Period	Due Date
	GPRA and Budget Update Report	<u>GPRA</u> July 1, 2011 – June 30, 2012 <u>Budget*</u> January 1, 2012 – June 30, 2012	July 31, 2012
Year 4	Comprehensive Report	<u>Comprehensive</u> January 1, 2012 – December 31, 2012 <u>Budget*</u> July 1, 2012 – December 31, 2012	January 31, 2013
	GRPA and Budget Update Report	<u>GPRA</u> July 1, 2012 – June 30, 2012 <u>Budget *</u> January 1, 2013 – June 30, 2013	July 31, 2013
No-Cost Extension	No Cost Extension	January 1, 2013– December 31, 2013	January 31, 2014
	Final Report	July 1, 2009 – June 30, 2014	Within 90 days after the end of the NCE

***Please note:** You will be required to submit with every report a budget narrative and a budget and expenditures spreadsheet. The budget and expenditures spreadsheet is always cumulative, i.e., it documents all budgeted and expended funds from July 1, 2009 to the end of each designated reporting period. The budget narrative is not cumulative, and covers only the specific reporting periods included in the table above. Budget reporting is discussed in further detail in [Section IV](#) of this memo.

II. Types of Performance Reports

There are *two* performance report types required for each FY2009 SS/HS grantee during the four-year period of performance—the Comprehensive Report and the GPRA and Budget Update Report. Both performance report types utilize Department of Education reporting forms, identified as forms ED 524B. These forms and their instructions have been approved by the Office of Management and Budget and *must* be used to report performance of all SS/HS grants. A link to electronic versions of the ED 524B forms can be found in [Section III](#) of this memo. [Section IV](#) provides step by step instructions for using these forms.

A. The Comprehensive Report

The Comprehensive Report is just as it sounds – comprehensive. It must include a cover sheet, executive summary, budget narrative, budget and expenditures spreadsheet, program narrative,

and a current Memorandum of Agreement and Logic Model. (See Table 2) The Comprehensive Report will take time to develop. You should take steps throughout the year to carefully document (both quantitatively and qualitatively) accomplishments, challenges, and resolutions so that an accurate account of all activities can be included in the report.

The budget information furnished as part of the comprehensive report is comprised of two parts: the ED form 524B Section B Narrative Report (labeled “Budget Information”) and a budget and expenditures spreadsheet. The Narrative Report should address the fiscal status of the grant only for the most recent reporting period. The budget and expenditures spreadsheet, however, should account for all cumulative funds budgeted and expended from the initial grant award date (July 1, 2009) to the end of the most recent budget reporting period. More information about Budget Update reporting and budget and expenditure spreadsheets can be found in [Section IV](#) of this memo.

B. The GPRA and Budget Update Report

Under the Government Performance and Results Act of 1993 (GPRA), Federal departments and agencies must clearly describe the goals and objectives of programs, identify resources and actions needed to accomplish goals and objectives, develop a means of measuring progress, and regularly report on achievement. ED and HHS collect GPRA performance measure data from grantees to demonstrate program success to Congress. This information ensures that program implementation is focused on results and that success is measured by outcomes achieved. GPRA data may be used by Congress to determine future program funding and will be made available to the public on the Departments’ Web sites. Therefore this report, though less broad than the Comprehensive Report, is equally important and requires careful calculation and reporting of your data. Your local evaluator may be able to assist in helping the project director complete this section, but the project director ensures the quality and accuracy of the data provided.

As in the Comprehensive Report, the budget information furnished as part of the GPRA and Budget Update Report is comprised of two parts: the ED form 524B Section B Narrative Report (labeled “Budget Information”), and a budget and expenditures spreadsheet. The Narrative Report should address the fiscal status of the grant only for the most recent reporting period. The budget and expenditures spreadsheet, however, should account for all cumulative funds budgeted and expended from the initial grant award date (July 1, 2009) to the end of the most recent budget reporting period. More information about Budget Update reporting and budget and expenditure spreadsheets can be found in [Section IV](#) of this memo.

III. Performance Report Forms

All performance reports utilize Department of Education reporting forms, identified as ED 524B forms. These forms have been approved by the Office of Management and Budget and must be used to report performance for all SS/HS grants. Links to electronic versions of these forms can be found on the U.S. Department of Education Web site: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

If you are accessing these forms electronically, select Part 1 for the ED 524B Cover Sheet and Executive Summary and Part 2 for forms ED 524B Sections A, B, and C.

Additional report components, such as the budget spreadsheet are included as attachments. A list of all attachments can be found in [Section VI](#) of this memo.

IV. Report Instructions and Guidance

This section provides step by step directions and guidance for the Department of Education reporting forms (ED 524B) and the additional components required for SS/HS performance reporting. Table 2 includes a list of all of the ED 524B forms relevant to SS/HS performance reporting and identifies which forms (or report components) are required.

Table 2: Report Components

	Comprehensive Report (due on or before January 31)	GPRA and Budget Update Report (due on or before July 31)
ED 524 B Cover Sheet	Yes	Yes
Executive Summary	Yes	Optional
ED 524B Section A: GPRA Measures Data	Yes	Yes
ED 524B Section B Budget Information	Yes	Yes
Budget & Expenditures Spreadsheet	Yes	Yes
ED 524B Section C: Additional Information	Yes	No
MOA with Logic Model	Yes	No
Appendices (e.g. resumes of new staff, updated timeline, etc.)	If applicable	If applicable

The following instructions are meant to be reviewed in tandem with the ED 524B forms. Please download and print a copy of these forms at the Web site identified in [Section III](#).

A. ED 524B Cover Sheet

Report	Required (Y/N)
Comprehensive	Yes
GPRA and Budget Update	Yes

General Information

1. The PR/Number is the grant award number and can be found on the Grant Award Notification (GAN). This number begins as Q184L-XXXXXX.
2. The NCES ID# for the grantee can be found at <http://nces.ed.gov/ccd/search.asp>. When using this locator, it is best to include the city and state of the local education agency only, and then select the correct local educational agency. In cases where you are working with a consortium of grantees, you should select the NCES ID# of the lead school district (grantee).
3. Self-explanatory.
4. Self-explanatory.
5. Self-explanatory. [Note: Be sure to include the complete and current district mailing address on each cover sheet].
6. Self-explanatory

Reporting Period Information

7. Self-explanatory

Budget Expenditures

8. This section of the form should be completed by your Business Office.
 - a. The amount reported in this box should be the *cumulative* amount of grant funds expended prior to the start of the current budget period [NOTE: Refer to page 2 of this Dear Colleague memo for the actual dates of each budget period.]
 - b. The amount reported here should be the actual amount of grant funds expended for the current budget reporting period. For example, the Year 2 GPRA Report and Budget Update would report on funds expended during the period of January 1, 2011 – June 30, 2011.
 - c. Leave blank - this box is only completed for the final performance report.

If you indicated in your original grant application that you were providing non-Federal funds (i.e., in-kind or match/cost share) to the SS/HS Initiative you will need to separate expenditures, using the two columns, into Federal grant funds expended and non-Federal funds expended for the grant for Sections 8a and 8b.

Indirect Cost Information

9. The section of the form should be completed by your Business Office.
 - a. Please check “yes” or “no” to indicate whether or not you are claiming indirect costs under this grant.
 - b. If you checked “yes” in item 9a, please indicate in 9b, whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal Government.
 - c. If you checked “yes” in item 9b, please indicated in item 9c the beginning and end dates covered by the Indirect Cost Agreement. In addition, please indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check “Other”, please specify the name of the Federal agency that issued the approved agreement. Please submit a copy of the documentation of the approved indirect cost rate.
 - d. Leave this blank – SS/HS is not a restricted rate program

Human Subjects

10. In the development of your SS/HS grant evaluation plan, you and your local evaluator should have determined if your local evaluation activities were subject to Institutional Review Board approval for human subjects’ regulations.

If your local evaluator determined that requirements related to human subjects regulations were not applicable to your local evaluation you should check “N/A”. You should also include in [Section C](#) of the Comprehensive Report a brief discussion of the factors used to make this determination and the concurrence of ED’s Human Subjects Office.

If your local evaluator determined that your local evaluation did involve human subjects, you should check “yes” and include documentation of Institutional Review Board (IRB) review and approval from an IRB annually with every Comprehensive Report. Certification of IRB review must be submitted prior to using grant funds to support SS/HS activities.

Performance Measures Status and Certification

11. For all GPRA and Budget Update Reports, this section requires you to indicate whether complete data on the six GPRA measures have been included in Section A of the Project Status Chart. If you check “no”, please indicate in item 11b the date when the information will be submitted. Complete GPRA data should be submitted by the date you indicate in item 11b (usually not later than the due date for the next performance report).
12. The Grant Performance Report Cover Sheet must be signed by the authorized representative of the school district. The authorized representative is the official within an organization with the legal authority to give assurances, make commitments, enter into contracts, and execute such documents on behalf of the organization as may be required by the Department of Education, including certification that commitments made in grant proposals have been honored and that the applicant continues to comply with the Department’s regulations, guidelines, and policies. The authorized representative for most local educational agencies is the Superintendent. The Project Director cannot sign as the authorized representative.

B. ED 524B Executive Summary

Report	Required (Y/N)
Comprehensive	Yes
GPRA and Budget Update	Optional

The Executive Summary should concisely address the overall progress towards meeting the project's goals and objectives included in the approved grant application. This summary should not exceed two single spaced pages.

C. ED 524B Section A – Government Performance Results Act (GPRA) Measures Data

Report	Required (Y/N)
Comprehensive	Yes
GPRA and Budget Update	Yes

The ED 524B Section A is only used to report on the six GRPA performance measures. Data for the six GRPA performance measures should be submitted as part of both required reports. If any of the GPRA performance measure data is not available to be reported when the GPRA and Budget Update Report is due, it should be submitted by the date indicated in item 11b of the ED 524B Cover Sheet. This is usually not later than the due date for the next performance report.

You are required to report two sets of GPRA performance measure data in the Year 1 GPRA and Budget Update Report: baseline data and actual Year 1 performance data. Baseline data must be collected prior to implementing the project. If complete baseline data was included in the original application, it does not need to be recollected but must be recorded on the form.

In subsequent years for Section A, continue to include baseline data, the previous year's annual data, and current (new) data under "Explanation of Progress." This means that Section A will provide a cumulative report of your data collection. SS/HS grantees should work with their local evaluator to complete the Section A charts with GPRA data and information.

The original Section A forms were pre-populated with the six GPRA performance measures, but you will need to add the following to each measure:

- The specific student population the data represents;
- The specific change expected;
- Specific survey, data collection, or source from which the data will be collected; and
- The time period in which the change is expected (e.g., each year, by the end of the project, etc.).

The six GPRA measures included in Section A should match the GPRA measures identified in your final logic model.

Attachment 1 - Government Performance and Results Act (GPRA) Guidance provides additional information about how to report GPRA data and analyses of that data.

D. ED 524B Section B – Budget Information

Report	Required (Y/N)
Comprehensive	Yes
GPRA and Budget Update	Yes

ED Form 524B, Section B Budget Information should be used to provide the budget narrative. It should include the following:

- A list of and explanation for obligated or encumbered funds that have not been drawn down from GAPS to pay for approved and budgeted expenses;
- An explanation if you did not expend funds at the expected rate during the reporting period;
- A description of any significant changes to your budget resulting from modification of project activities;
- A description of any changes to your budget that affected your ability to implement your approved project activities and/or achieve your approved project objectives;
- If applicable, a report on any non-Federal (e.g., in-kind) funds expended and any actual or anticipated changes.

E. Budget and Expenditures Spreadsheet

Report	Required (Y/N)
Comprehensive	Yes
GPRA and Budget Update	Yes

The Budget and Expenditure Spreadsheet is not a part of the Department of Education 524B forms package. Instead, we have provided a Budget and Expenditure Spreadsheet Template as an attachment to this memo. Please review the template and the following instructions together and talk with your FPO if you have any questions.

The Budget and Expenditure Spreadsheet should show the cumulative amount budgeted as compared to the cumulative amount expended. It should be broken down first into the two separate Element budgets and then by cost categories (e.g., personnel, fringe, travel, etc.). The “budgeted” column for each of the two separate Element budgets should document the sum of the approved annual budget(s). The “expended” column for each of the two Element budgets should document the cumulative total of all expended funds.

Since budget information related to expenditures is always reported cumulatively, the time period for reporting financial information in the spreadsheet will always be from the initial award date (i.e., July 1, 2009) through the end date for that particular reporting period. As an example, the budget spreadsheet for the Year 3 Comprehensive Report would cover the time period of July 1, 2011 through December 31, 2011.

Obligated or encumbered funds should not be counted as expended funds and therefore should not be included in the spreadsheet. Also, please note that the amount reported as expended should match the draw downs recorded in G5 (the Department of Education’s grants software).

F. ED 524B Section C – Additional Information

Report	Required (Y/N)
Comprehensive	Yes
GPRA and Budget Update	No

Section C of the Comprehensive Report should not exceed 25 double spaced, sequentially numbered pages using a 12-point font. It is helpful to follow the organization of the logic model when reporting on performance indicators, approved activities, and process measures. The following information should be included:

- Data and an analysis of that data for all project indicators by each of the SS/HS elements. Include both a quantitative and qualitative analysis.
- Clear and specific evidence of progress towards meeting project objectives. Include examples of accomplishments as they relate to the process measures. Adequate justification must be provided if objectives and process measures have not been attained, if scheduled activities were not implemented, or if there has been less than substantial progress for any activity;
- A discussion of any unanticipated outcomes or benefits;
- Evidence of the integration of grant-funded activities between elements and partners, as well as integration with non-grant-funded activities, programs, and services in the schools and communities;
- Any relevant information demonstrating how activities funded under SS/HS are linked to interventions and strategies not funded but included as part of the overall comprehensive approach to violence prevention and healthy youth development;
- If applicable, an overview of changes made to the logic model and MOA and explanation of why the changes were necessary.
- Evidence of continued (and perhaps increased) collaboration between agencies included in the SS/HS application’s signed agreements;
- As appropriate, demographic information on the population(s) served by SS/HS. FPOs will review this information in conjunction with the grant application to determine if populations identified in the application are being served.

- An update of local evaluation activities, including but not limited to the status of local evaluation data collection and its use in program management;
- An account of progress towards planning for sustainability at the end of Federal funding;
- A brief summary of the technical assistance services requested and provided by the National Center for Mental Health Promotion and Youth Violence Prevention and the SS/HS Communications Team staff; and
- As appropriate, information regarding any new staff hired for the SS/HS Initiative (i.e., their position or responsibility and their qualifications for the position). Resumes should be included as an Appendix.

G. SS/HS MOA and Logic Model

Report	Required (Y/N)
Comprehensive	Yes
GPRA and Budget Update	No

The most current logic model and MOA should be included as an attachment for the Comprehensive Report.

H. Appendices

Report	Required (Y/N)
Comprehensive	If Applicable
GPRA and Budget Update	If Applicable

Any relevant information not reported elsewhere and not included in a previous report should be included as an appendix. This could include updated timelines, resumes of newly hired staff, and local evaluation reports.

V. Report Submission Instructions

SS/HS grantees are *required* to submit **both hard copy and electronic versions** of all performance reports.

A. Hard Copy Submission

Grantees *must* prepare **two** (2) complete hard copies of each report.

The **first** hard copy must be delivered to:

Safe Schools/Healthy Students Initiative
Office of Safe and Drug Free Schools
U.S. Department of Education
Potomac Center Plaza
550 12th Street SW, Room 10065
Washington, DC 20202-6450

The **second** hard copy *must* be delivered to the grantee's designated Federal Project Officer (FPO). Mailing addresses and additional contact information for the SS/HS FPOs is included as an attachment to this memo.

B. Electronic Submission

An electronic copy of Sections A and C of each performance report *must* be sent via e-mail to SSHHS@samhsa.hhs.gov.

VI. List of Enclosed Attachments

1. GPRA Guidance
2. Budget and Expenditure Spreadsheet Template (.xls)
3. List of Federal Project Officers