



# Performance Reporting

GAANN Project Director's Meeting

Rebecca Green



# Highlights

- ✔ Annual Performance Report
- ✔ Unexpended Balances
- ✔ Carry over
- ✔ Performance Reports
- ✔ Extensions
- ✔ Final Performance Report
- ✔ Performance Report Reminder
- ✔ Contact Information

# Annual Performance Report

## Annual Performance Report (APR):

- Letter and detailed instructions will be e-mailed in March 2011 requesting APR.
- Due no later than Friday, April 29, 2011.
- The reporting dates for the APR are from May 1 – April 30:
  - Dates apply to the grantee fiscal data portion of the performance report.

# Annual Performance Report (cont'd)

- Once you have submitted the performance report:
  - Print a copy for your records;
  - Print the certification form;
  - Ensure the appropriate office has the cost-share/match information so they may complete the SF 425, Federal Financial Report (FFR).

# Unexpended Balances

## Grantees:

- May start a student on the GAANN at any point in their graduate study.
- May keep a fellow on the GAANN for the length of time necessary for the fellow to complete the course of graduate study, but in no case longer than five years.
- GAANN Regulation Section 648.60(a)

# Unexpended Balances (cont'd)

- Grantees in their **second year** with an unexpended balance of 50% or more (as of April 30<sup>th</sup>) should provide a **detailed plan** to include:
  - A plan for expending the remaining funds;
  - Number of students that will begin the GAANN in the fall; and
  - Information to justify a third year of GAANN funding.

# Unexpended Balances (cont'd)

- Grantees in their second year:
  - Third-year funding may be reduced or eliminated if the plan does not provide enough information to justify receiving continuation funding.

# Unexpended Balances (cont'd)

## Example of a GOOD plan:

- Three students are now on GAANN (John, Amy and Amanda). An additional student will start in June (William). All have completed the FAFSA for fall, and estimate that \$135,250 will be allocated by the end of the next reporting period. We have also found a promising student who may start the program in the fall. If that student qualifies for the GAANN, he will be added.

# Carry-over

- GAANN funds will carry over to the next budget period, however:
  - All grantees are responsible to provide a plan to ensure that the grant does not have a large unexpended balance when it ends.

# Performance Reports

## Problem areas:

- Grantee Fiscal Data
- Supervised Teaching Experience (STE)
- Financial Need
- Stipend
- Certification Form
- SF 425, Federal Financial Report (FFR)

# Grantee Fiscal Data

Continuation of matching cost share funds and federal grant funds and budget period (if none, enter zero).

**Fiscal Data**

Instructions: Enter data for 1) the budget period and 2) the cumulative budget for this project.

	<b>Budget Period</b> (funds spent from May 1 – April 30)	<b>Cumulative Budget</b> (from grant inception to current date)
Federal funds expended	\$ _____	\$ _____
Matching/cost-share funds expended	\$ _____	\$ _____
		\$ _____

Should read "Reporting Period".

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# Supervised Teaching Experience

Mark “Yes” for those fellows who have completed the Supervised Teaching Experience (STE) during the reporting period and enter the requested information.

13) Has this fellow completed his/her supervised teaching experience requirement? If yes, please provide information in the text box below how you were able to comply with the following regulatory requirements: (1) providing the fellow with adequate instruction on effective teaching techniques; (2) providing extensive supervision of each fellows teaching performance; and (3) providing adequate and appropriate evaluation of the fellow's teaching performance.

Yes  No

Please provide a description of the experience in the text box below.

John lectured in an undergrad biology course under the mentorship and supervision of Dr. Smith. He developed pop tests about XXX. Students provided quarterly and feedback using the standard questionnaire that we use. He was also monitored by Dr. Smith and other GAANN students at the end of the winter session. Feedback was provided in verbal, written and video formats. John was also able to critique his own teaching. This provided more insight for him to improve on lectures and how to respond to questions from students. He has been nominated for a TA award due to his lecture on XXX.

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# Supervised Teaching Experience (cont'd)

- Supervised Teaching Experience (STE) could include:
  - Number of classes and/or labs taught
  - Provide details regarding:
    - Lesson plans;
    - Test questions;
    - Lectures;
    - How feedback was provided to fellows;
    - How fellow was mentored and monitored; and
    - Did the fellow have a mentor?

# Supervised Teaching Experience (cont'd)

If the student **COMPLETED** the STE **PRIOR** to the reporting period, then...

teaching performance.

Yes  No

**If fellow has not completed the supervised teaching experience, please state when this requirement will be fulfilled. Note: If the Fellow has completed his/her supervised teaching experience prior to receiving a GAANN fellowship, please specify how they met the three regulatory requirements referenced above.**

John lectured in an undergrad biology course under the mentorship and supervision of Dr. Smith. He developed pop tests about XXX. Students provided quarterly and feedback using the standard questionnaire that we use. He was also monitored by Dr. Smith and other GAANN students at the end of the winter session. Feedback was provided in verbal, written and video formats. John was also able to critique his own teaching. This provided more insight for him to improve on lectures and how to respond to questions from students. He has been nominated for a TA award due to his lecture on XXX.

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# Supervised Teaching Experience (cont'd)

If the student **WILL COMPLETE** the STE during the next reporting period, then...

teaching performance.

Yes  No

**If fellow has not completed the supervised teaching experience, please state when this requirement will be fulfilled. Note: If the Fellow has completed his/her supervised teaching experience prior to receiving a GAANN fellowship, please specify how they met the three regulatory requirements referenced above.**

John is in the process of beginning the Supervised Teaching, which he will complete by the next reporting period. He is currently taking the required Introduction to Teaching Methods course in addition to taking the GAANN Teaching Technology course developed by Dr. Smith. This course it to provide additional information to prepare GAANN fellows on critiquing their teaching methods as well as providing additional assistance to address student issues of questions, tests and how to provide additional resources for lectures.

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# Supervised Teaching Experience (cont'd)

## Supervised Teaching Experience:

### Click "NO" if:

- The fellow has **NOT** completed during the reporting period and
  - Include a description of what the fellow is doing to progress to STE.
- The fellow **COMPLETED PRIOR** to the reporting period and
  - Include a DETAILED description (see Slide 15) of the STE.

# Financial Need

## Financial Need:

- GAANN fellows must have need determined under Title IV, Part F.
- GAANN fellows should have need determined by your institution's Financial Aid office.
  - For information about how need is determined, go to: [www2.ed.gov/programs/gaann/resources.html](http://www2.ed.gov/programs/gaann/resources.html) for the Graduate Fellowship Programs and Determining Financial Need-2009 presentation.

# Financial Need (cont'd)

Data that must be provided from the financial aid office that is based on the students' FAFSA.

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institution determines a GAANN Fellow's COA. This will affect reporting of financial need and the resources used to meet that need.

14) What was the total COA for the current year? Enter the COA at the time of the fellow's need determination for the current year.

\$

15) If tuition and fees were added to the COA, please enter the amount of tuition and fees for the fellow for the academic year.

\$

16) At the time of need determination, what was the fellow's expected family contribution (EFC) to their education?

\$

17) What was the fellow's financial need at the time of need determination?

\$

Note: Financial need = Total COA - tuition and fees (if they were included in determining a fellow's financial need) - EFC

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# Financial Need (cont'd)

How need is determined.

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\$

17) What was the fellow's financial need at the time of need determination?

\$

**Note:** Financial need = Total COA - tuition and fees (if they were included in determining a fellows financial need) - EFC

**Fellow's Stipend |**

18) What is the source of this fellow's GAANN fellowship? (Check one)

- Entirely from federal GAANN funds
- Entirely from matching/cost-share funds
- Combination of federal GAANN and matching funds

19) What is the amount of the fellow's stipend for the current funding year? This is the stipend amount provided directly to the fellow from either federal GAANN funds, matching/cost-share funds, or a combination federal GAANN funds and matching/cost-share funds. Remember the fellow's stipend should not exceed a fellow's financial need.

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# Stipend

Mark how fellows' **STIPEND** was provided: with GAANN Federal funds, matching funds, or a combination of both.

\$

**Note:** Financial need = Total COA - salary and fees (if they were included in determining a fellow's financial need) = EFC

**Fellow's Stipend**

**18) What is the source of this fellow's GAANN fellowship? (Check one)**

- Entirely from federal GAANN funds
- Entirely from matching/cost-share funds
- Combination of federal GAANN and matching funds

**19) What is the amount of the fellow's stipend for the current funding year? This is the stipend amount provided directly to the fellow from either federal GAANN funds, matching/cost-share funds, or a combination federal GAANN funds and matching/cost-share funds. Remember the fellow's stipend should not exceed a fellow's financial need.**

\$

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# Stipend (cont'd)

The screenshot shows a Microsoft Word document titled "APR FY 09 - 12\_v2". The ribbon includes Home, Insert, Page Layout, References, Mailings, Review, and View. The Home ribbon is active, showing Font, Paragraph, and Styles groups. The document content includes a note, a section header "Fellow's Stipend", and two questions. A red callout box highlights the word "Stipend" in question 19, with an arrow pointing to the word in the text. A red circle highlights the section header "Fellow's Stipend".

Note: Financial need = Total of financial need, EFC

**Fellow's Stipend**

18) What is the source of this fellow's stipend?

- Entirely from federal GAANN funds
- Entirely from matching/cost-share funds
- Combination of federal GAANN and matching funds

19) What is the amount of the fellow's stipend for the current funding year? This is the stipend amount provided directly to the fellow from either federal GAANN funds, matching/cost-share funds, or a combination federal GAANN funds and matching/cost-share funds. Remember the fellow's stipend should not exceed a fellow's financial need.

\$

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# Stipend (cont'd)

Explain if the fellows' stipend does not equal need.

Note: Financial need = Total COA – tuition and fees (if they were included in determining a fellow's financial need) – EFC

## Fellow's Stipend

18) What is the source of this fellow's GAANN fellowship? (Check one)

If the fellow's stipend does not equal demonstrated level of need, please state the reason.

# Stipend (cont'd)

## Stipend:

- Remember to use the GAANN federal and/or matching funds to pay the fellow up to the fellows' stated level of need.

# Stipend (cont'd)

- If you would like to pay the fellow more than his or her stated level of need, you must not use GAANN federal nor matching funds.
  - Example: research funding or other scholarship funds.
    - CAUTION: If you do this, then the fellowship will be reduced in the subsequent year. This increase counts against a fellow's need.

# Stipend (cont'd)

- Financial Need/Stipend Determination:
  - GAANN Regulation Section 648.51
- Institutional Payment:
  - GAANN Regulation Section 648.62
- Cost-Share/Match:
  - GAANN Regulation Section 648.63

# Certification Form

The Project Director and the Certifying Official must sign and date the form.

The image shows a screenshot of a web-based certification form. A red box highlights the instruction: "The Project Director and the Certifying Official must sign and date the form." Two red arrows point from this box to the signature lines. Two red ovals are drawn around the signature and date lines for both the Project Director and the Certifying Official.

5. Phone Number: (999) 999-9999  
Fax Number: (999) 999-9999  
Email Address: susan.rushing@GAANNNEWInstitution  
6. Report Period: 08/15/2009 to 08/14/2010

**B. Certification**  
We certify that the information reported herein is accurate, complete, and readily verifiable to the best of our knowledge.

Name of Project Director (Print) \_\_\_\_\_  
Signature and Date \_\_\_\_\_

Name of Certifying Official (Print) \_\_\_\_\_  
Signature and Date \_\_\_\_\_

**C. Warning**  
Further funding or other benefits may be withheld under this program unless this report is completed and filed as required by the U.S. Code of Federal Regulations.

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# SF 425, Federal Financial Report

- SF 425, Federal Financial Report (FFR):
  - Completed and e-mailed by Sponsored Programs/Contracts and Grants office at the same time the APR is due.
  - The principal investigator (PI) must provide cost-share/matching data.

# Extensions

For FY 2009 GAANN grants:

- Extension requests are submitted in 2012.

If you will need an extension:

- You must submit an APR in April 2012.
- You will receive an e-mail in June or July 2012 with further information for the formal request.

# Final Performance Report

## Final Performance Report (FPR):

- Letter with attachments will be e-mailed in September after the grant ends.
- Due 90 days after the close of a grant (in mid-November).
- Required to update data on all fellows.
- Ensure appropriate office has cost-share/match information so that office may complete the SF 425, Federal Financial Report.

# Final Performance Report (cont'd)

## ➤ To close a grant successfully:

- Both the FPR and FFR submitted; and
- Responses to questions are addressed in a timely manner.

## ➤ Remember:

- The grant is in non-compliance until both reports are received and/or questions addressed.

# Additional FPR Reminder

- ☞ Two years after your grant has expired, you are required to submit an additional final performance report.
  - Additional FPR requires grantees to update student data for academic and employment status for all fellows; no fiscal data required.

# Performance Reports Reminder

Grant Year	Type of Report	Date Report Due
1	APR	April
2	APR	April
3	1. APR – If extension needed 2. FPR – If extension not needed	1. April 2. November
4	1. APR – If extension needed 2. FPR – If extension not needed	1. April 2. November
5**	1. FPR 2. Additional FPR **	1. November 2. Required for grantees that finished grant in Yr 3 (November)
6**	Additional FPR **	Required for grantees that finished grant in Yr 4 (November)
7**	Additional FPR **	Required for grantees that finished grant in Yr 5 (November)

# GAANN Information

## Web address:

- [www2.ed.gov/programs/gaann/index.html](http://www2.ed.gov/programs/gaann/index.html)

## Program E-mail:

- [OPE\\_GAANN\\_Program@ed.gov](mailto:OPE_GAANN_Program@ed.gov)

## Contact Information:

<b>Gary Thomas</b>	<b>Rebecca Green</b>
202-502-7767	202-502-7779
<a href="mailto:gary.thomas@ed.gov">gary.thomas@ed.gov</a>	<a href="mailto:rebecca.green@ed.gov">rebecca.green@ed.gov</a>