National Institute of Justice

NIJ

Writing Good Progress Reports and GANs

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Progress Reporting 101

- **Semiannual regular reports are due within 30 days of the end of the reporting period**

- **Reporting Periods are:**
  - **January 1 through June 30**
  - **July 1 through December 31**

- Final reports are due within 90 days of the end of the project period

  must be approved within 90 days of the end of the project period – please do not wait until the 90th day to submit your report!

Why Report Performance Metrics?

- Provide measurable determination of progress

- Evaluate if project goals are still feasible during the project period

- Help the Program Managers evaluate the successes and issues with projects

- Because you promised to when you accepted your award…

The Commitments your agency made…

Department of Justice
Office of Justice Programs
National Institute of Justice

AWARD CONTINUATION SHEET

Cooperative Agreement

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PROJECT NUMBER   2008-DN-BX-K003   AWARD DATE   09/16/2008

SPECIAL CONDITIONS

1. The recipient agrees to comply with the financial and administrative requirements set forth in the current edition of the Office of Justice Programs (OJP) Financial Guide.

7. (A) Quarterly performance metric reports

   The Recipient agrees to submit quarterly performance metric reports. The first and second quarterly performance metrics will be submitted with the January - June semiannual progress report. The third and fourth quarterly reports will be submitted with the July - December progress report. The reports shall be submitted online to the Office of Justice Programs, Grants Management System. The reports should contain information regarding the number of DNA database samples analyzed, and DNA profiles reviewed, that are entered into CODIS, and uploaded into NDIS when applicable, during the designated quarter.

The Commitments your agency made…

Special Condition #1:

The recipient agrees to comply with the financial and administrative requirements set forth in the current edition of the Office of Justice Programs (OJP) Financial Guide.

From the OJP Financial Guide:

Government Performance and Results Act

The funding recipient agrees to collect data appropriate for facilitating reporting requirements established by Public Law 103-62 for the Government Performance and Results Act. The funding recipient will ensure that valid and auditable source documentation is available to support all data collected for each performance measure specified in the program solicitation.

The Commitments your agency made…

Special Condition #7:

The Recipient agrees to submit quarterly performance metric reports. The first and second quarterly performance metrics will be submitted with the January - June semiannual progress report. The third and fourth quarterly reports will be submitted with the July - December progress report. The reports shall be submitted online to the Office of Justice Programs, Grants Management System. The reports should contain information regarding the number of DNA database samples analyzed, and DNA profiles reviewed, that are entered into CODIS, and uploaded into NDIS when applicable, during the designated quarter.

Types of Performance Metrics

- <u>Baseline</u>: Provide the data for each performance metric at the beginning of the project period (typically October 1). These are required regardless of project status and should not change during the entire project period.

- <u>Progress</u>: Provide data for progress based upon ongoing project activities. These data are expected to change during the project period.

- <u>Impact</u>: Provide data for impact of the progress based upon ongoing project activities.

DNA Performance Metrics

- <u>Capacity Enhancement</u> performance metrics provide information on turn around time and average analyst throughput.

- <u>Casework & Convicted Offender DNA Backlog Reduction</u> performance metrics provide information about quantities of samples analyzed, profiles entered into CODIS, and hits made *using funding from the award being reported.*

Quarterly reported Semiannually?

- Awards made in FY05, FY06, FY07 & FY08 require collection & submission of quarterly performance measure data.

- All awards require the submission of semiannual progress reports

- **"At the beginning of the award period" = baseline data**

- **"At the end of the prior quarterly reporting period" = data from the first 3 months of the 6 month reporting period.**

  For example: These metrics for the reporting period January 1 through June 30 would be collected for the period January 1 through March 30.

- **"At the end of the current quarterly reporting period" = data from the last 3 months of the 6 month reporting period.**

  For example: These metrics for the reporting period January 1 through June 30 would be collected for the period April 1 through June 30.

What Does NIJ Do with Performance Metric Data?

- Report to Congress and OBMS
- Used in presentations to the community
- Publications

FY 07 and 08 DNA Backlog Awards

- Don't forget to include the total number of cases worked with funds from the award when filing the final report.

- This data is not collected in the performance measures, but we need it to close your awards and track the effectiveness of the award.

FY 09 Awards

- Performance measures required semiannually!

- No more quarterly reports!
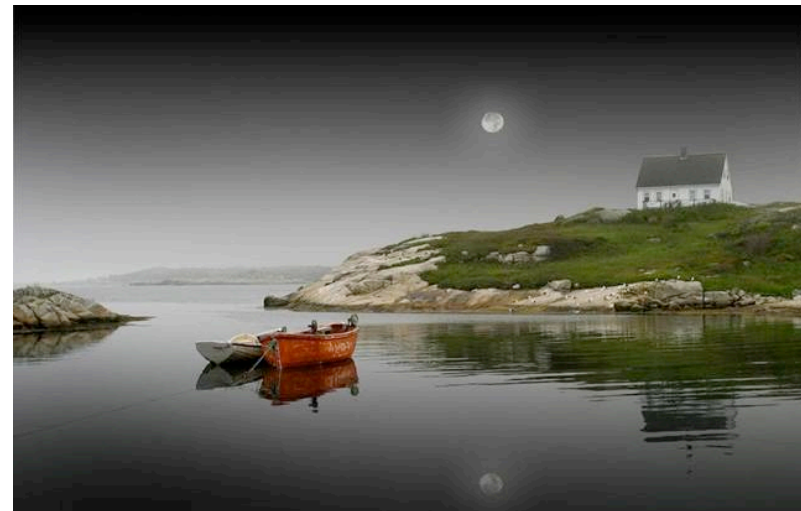
Handouts

- You have a performance metric tip handout in your registration materials

How to Write a Good Narrative

1. State the goals of your project (as defined in the grant application)

2. If the goals were changed by GAN, please state this as well

3. Provide a description of your status towards meeting these goals.

4. Build a template & update it each reporting period.

For Example…

- <u>Goal 1</u> (from application 2007-12345-AB-DN): To increase capacity of the DNA lab by purchase of automated equipment.

- <u>Progress</u> (Oct-Dec 07): In this reporting period the lab sent out requests for bids to purchase 2 robotic workstations, and sent out orders for 3 new 96 well thermal cyclers that were requested in our budget.

- <u>Progress</u> (Jan-Jun 08): In this reporting period the lab received, validated and has put the 3 new thermal cyclers on line for casework analysis. The two robots have been received and are undergoing validation testing.

- <u>Progress</u> (Jul-Dec 08): Progress July-Dec 08 – All equipment authorized and described above has been received, validated and is in use in the DNA lab.

- <u>Goal 1 Status</u>: **Goal completed**

Progress Report - Narratives

- Be descriptive – no limitation on verbiage – use charts and diagrams to illustrate points
- You may attach your narrative to the progress report as a separate document.
- You do not have to use the Categorical Progress Report form that has a requirement for a signature.

GMS Limitations on Reports

- When your award is made or an extension is approved– GMS automatically calculates the number of progress reports needed

- Always check the dates on the reports to make sure you're entering the correct report for that time frame.

- Contact the Program Office for instructions if the dates for the next report are incorrect.

- Never enter a Regular Progress Report into the slot that GMS has designated for a Final Report. Choosing "Regular" for the Report Type when creating your report in GMS will have no impact; the system will automatically enter the submission as a Final Report.

Final Progress Reports

- We recommend you submit a Final Report no later than 80 days from the end date of the award. The final report has to be approved and possibly amended before you may submit the closeout package (due 90 days after the project period end date).

- If your project ends in June or December – do not enter a Regular Progress Report for the reporting period in a final report slot. <u>GMS allows 90 days to file the Final Report</u>. (Your Final Report is not overdue 30 days after the end of the semi-annual reporting period)

- **If you end an award early, create the Final Report in the Final Report slot; not the next Regular Progress Report slot available**

GANS

- Basics
- To change personnel
- To modify project budgets
- To change the scope of a project
- To obtain Program Office approval
- To change the project period
- Sole source purchases

Grant Adjustment Notice (aka GAN)

A Grant Adjustment Notice (GAN) is used to request project changes and/or correction for any programmatic, administrative, or financial change associated with a grant award. All GANS **must be requested electronically by the grant recipient** through the GAN module in the Grants Management System (GMS). For further assistance, visit the GMS Training website: http://www.ojp.usdoj.gov/gmscbt/

Change of Personnel

- **Changes to the Grantee's Contact Name or Key Staff and/or Contact Information.**

  A grantee may make changes to the information for main contacts or key staff.

- **Changes to the Grantee's Authorized Signing Official and/or Official's Contact Information.**

  A grantee may make changes to the person who is responsible for authorizing and signing official documents, (such as award documents, Progress Reports, Standard 424 documents, etc).

Keep contact information current in GMS! Both GMS & the Program office send notifications to individuals based on contact information in GMS.

New awards will not be accepted if someone other than the signing official signs the award document package

The "Change Grantee's Authorized Signing Official" is the only GAN that can be filed before accepting the award

Budget Modification

- Grantees may reallocate dollar amounts among budget categories within the existing award amount.

- A Budget Modification GAN must include the following:
  - A revised Budget Detail Worksheet
  - A revised Budget Narrative
    - any new proposed items should include statements justifying how they will facilitate project goals;
    - any item removals should include statements justifying why their removal will not prevent achieving project goals.
- Ensure all amounts are consistent between the GAN budget, the Budget Detail Worksheet and the Budget Narrative (if amounts are included here).
- Make sure you have items in the correct budget cost category

Budget Modification

- Make sure to show the computations of cost – For example
  - Meals - $ 35/day X 5 days X 5 meeting attendees
  - Thermal cyclers - $ 4500 X 2 =
  - Outsourcing of cases $2500/case x 45 cases =
  - Fringe benefits $ 45,000 salaries X 7.65% FICA =

- Ensure the math is correct – do not erase the formulas in the detail budget worksheets provided by the Program Office

Budget Modification (Coverdell)

- Coverdell awards require a revised budget to be submitted due to changes in the formula awards

- Please submit your revised budget worksheet and a narrative stating what you plan to do with the additional funds granted directly to your Program Manager as an e-mail attachment.

Change of Project Scope

- A grantee may make minor changes in methodology approach, or other aspects of the grant to expedite achievement of the grant's objectives, without initiating a GAN.

- Altering programmatic activities
- Affecting the purpose of the project
- Changing the project site
- Changes to the organization with primary responsibility for implementation of the grant, contracting out, sub-granting, (if authorized by law) or otherwise obtaining the services of a third party to perform activities which are central to the purpose of the award; and
- Changes in scopes that affect a grantee's budget must follow the budget modifications GAN procedures.

Program Office Approval

- Written approval is required for cost specified as "Costs Allowable with Approval of Awarding Agency" or costs which contain special limitation.

- Compensation for individual consultant services in excess of $450/day;

- Publication Plans;

- Purchase of Automatic Data Processing (ADP) Equipment and Software;

- Costs incurred prior to the date of the sub-award period; and

- Foreign Travel;

Sole Source GANs

- Required for formula awards where any one vendor may receive a contract (s) , purchase order(s) in excess of $100,000

- Procurements are subject to the standards set forth in 28 C.F.R. section 66.36 and other applicable Federal law, including the provisions of 28 C.F.R. section 66.36 that relate to competition. Prior approval from OJP is required for all sole-source procurements in excess of $100,000.

Sole Source Outsourcing
of DNA Cases

- Must attach justification that follows Program office Guidance (Newsletter 14 & on NFSTC website – "**Guide for Single Vendor Purchases > $100,000"**

- DNA Program Office will NOT approve sole source requests for outsourcing DNA cases or convicted offender samples to be tested on a CE platform

Changing A Project Period

A grant adjustment notice is required for a change to the grant period, such as an extension of the project period end date and/or an extension of the expenditure deadline (no cost extension).

- File no less than 45 days (Financial Guide says 30 days)
- The grantee may request an extension no more than 12 months beyond the original end date.
- Make sure the new ending date agrees with the justification information and any attachments (end dates must be the last day of the month).
- Limits on extensions for older awards – *Program Manager specific*

Change Requested GANs

- When a GAN is change requested back – please revise the change requested GAN and resubmit. Do not create a new GAN for the same purpose.

- Program managers are supposed to deny GANs that have been change requested for more than 10 working days – Please revise and resubmit your GANs in a timely fashion

Useful Links and contacts:

- OJP Grants Management Computer Based Training

  http://www.ojp.usdoj.gov/gmscbt/

- OJP Financial Guide

  http://www.ojp.usdoj.gov/financialguide/

- GMS Help Desk:

  GMS.HelpDesk@usdoj.gov

  (888) 549-9901

- OCFO Customer Service:

  Ask.OCFO@usdoj.gov

  (800) 458-0786

Your Program Managers:
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