Standardized Grantee Reporting

January 19, 2018
Last Updated October 10, 2019

Periodic Performance Report (PPR) & Periodic Financial Report (PFR)

1

1

Standardized Grantee Reporting

General Observations

2

2

What We Will Cover

- General Observations
    - Purpose of Standardized Reports
    - Limited Agency Discretion
    - Needed Software
    - What Reports are Due?
    - Where Can the Standardized Report Templates be Found?
    - Standardized Reports tie to Uniform Grant Agreement
    - OET Procedures
    - OET Grant Programs
- Periodic Performance Report (PPR) Specifics
    - Content
    - General Information
    - "Alternative File or Databases Used" Check Box
    - Deliverable, Performance Measure, and the Difference Between Them
    - Grantee Certification/Agency Acceptance
    - Naming Conventions
    - Common Issues
    - Supporting Documentation

- Periodic Financial Report (PFR) Specifics
    - Content
    - General Grantee/Program/Grant Information
    - Indirect Cost Rate
    - Program Income and Interest Earned
    - Expenditure Budget to Actuals
    - Grantee Certification/Agency Acceptance
    - Naming Conventions
    - Common Issues
    - Supporting Documentation

3

3

Purpose of Standardized Reports

- The Periodic Performance Report (PPR) and the Periodic Financial Report (PFR) were developed by multiple multi-agency GATA working groups.
- ALL state agencies / programs are required to utilize the standardized templates, unless *statutorily exempted*.
- Purpose
    - Simplify reporting for grantees, most of whom receive funds from multiple agencies
    - Comply with 2 CFR 200 and GATA
    - Better manage grants

4

4

Limited Agency Discretion

- Agencies have limited discretion
  - ➢Cannot edit existing components
  - ➢Can require additional information / data (e.g., supporting documentation)
  - ➢Can establish protocols on how to submit (email, etc.)

5

Software Needed

- Grantees may need to install or update their Adobe Software in order to use the form.
  - ➢The form was created with Adobe Livecycle Designer ES4, version11.0.0.20130303.1.892433.
  - ➢The form is for Acrobat and Adobe Reader 10.0 or later per the form properties. The scripting default language is JavaScript.
- Grantees can download the free reader at https://get.adobe.com/reader/

6

What Reports are Due?

- Grant managers will collect the new reports for **_ALL grants._** These reports are to be used even if the report deliverable schedule and eGrants notifications for your grants still reference the old DCEO Grantee Report (DGR).

- These reports were discussed in Part II of the GATA Training provided during September and October of 2017.

7

Where Can the Standardized Reports be Found?

- Blank Grantee Reports can be found on the DCEO Agency Website – https://www.illinois.gov/dceo/ServicesGuide/GranteeResources/Reporting/Pages/Grantee-Report.aspx

- OET Grant Managers may assist grantees by pre-populating the required reports. Grant Managers will provide grantees with these templates if available.

8

Standardized Reports tie to Uniform Grant Agreement

- Many data Sections in the standardized reports tie directly to Exhibits found in the Uniform Grant Agreement (UGA).

- Grantees will continue to use and reference tracking databases such as the Illinois Workforce Development System (IWDS), Incumbent Worker Tracking System (IWTS), or Illinois workNet for the Periodic Performance Report (PPR) and the Grantee Reporting System (GRS) for the Periodic Financial Report (PFR).

- Grant Managers need the original report PDFs. **Scanned copies of the PPR and PFR won't be accepted** since state agency staff must complete Sections of the report as well.

9

9

OET Procedures

- OET has established internal procedures on quarterly reporting which are covered in this presentation.

- Contact your grant manager listed in this presentation should you have any questions or concerns.

10

10

OET Grant Programs

Local Incentive Grants (Program 632)

- Grant Manager: Paula Barry
- CSFA Number: 420-30-2161
- CFDA Number(s): 17.258; 17.259; and 17.278

WIOA Statewide Activities - Workforce Initiatives (Program 633)

- Grant Manager: Gary Eicken
- CSFA Number: 420-30-0075
- CFDA Number(s): 17.258; 17.259; and 17.278

WIOA Statewide Activities - Talent Pipeline (Program 634)

- Grant Manager: Lorraine Wareham
- CSFA Number: 420-30-0075
- CFDA Number(s): 17.258; 17.259; and 17.278

11

11

OET Grant Programs

Youth Career Pathways (Program 635)

- Grant Manager: Terah Scott
- CSFA Number: 420-30-0075
- CFDA Number(s): 17.259

WIOA Statewide Rapid Response (Program 651)

- Grant Manager: Lorraine Wareham
- CSFA Number: 420-30-0081
- CFDA Number(s): 17.278

WIOA Rapid Response - Talent Pipeline (Program 654)

- Grant Manager: Lorraine Wareham
- CSFA Number: 420-30-0081
- CFDA Number(s): 17.278

12

12

OET Grant Programs

Trade Adjustment Assistance
Program (Program 661)
- Grant Manager: Crystal Bigelow
- CSFA Number: 420-30-0074
- CFDA Number(s): 17.245

WIOA National Dislocated Worker
Grants (Program 672)
- Grant Manager: Tammy Stone
- CSFA Number: 420-30-0080
- CFDA Number(s): 17.277 and
  17.281

WIOA Formula Grants (Program
681)
- Grant Manager: Lora Dhom
- CSFA Number: 420-30-0076
- CFDA Number(s): 17.258; 17.259;
  and 17.278

13

13

Standardized Grantee Reporting

Periodic Performance Report (PPR) Specifics

14

14

PPR - Content

- General Information
- "Alternative File or Databases Used" Check Box
- Deliverables
- Performance Measures (Metrics)
- Grantee Certification/Agency Acceptance
- Naming Conventions
- Common Issues
- Supporting Documentation

15

PPR – General Information

- High level instructions are included on pages 1-4 of the Report.
  - ➢ Sections **must** match information found in the Uniform Grant Agreement (UGA).
- Grantees are to complete Sections 1-13
  - ➢ The Catalog of Federal Domestic Assistance (CFDA), CFDA/Program Name, and Catalog of State Financial Assistance (CSFA) can be found in 1.3 of Article I of the *new* Uniform Grant Agreement (UGA) or by using the listing/chart included in the OET Grant Programs portion of this presentation.
- A final PPR shall be required at the completion of the grant award. For final PPRs, the reporting period end date shall be the end date of the project / grant period and the box should be checked "yes" in Section 11.

16

PPR – "Alternative File or Database Used" Check Box

- If Grantees are already entering Deliverable/Performance information into an existing database, check the appropriate box and enter the database/file name (between Sections 13 and 14).
  - ➢ If **IWDS** is used to track participant data, check the box "Alternative file or database used" and add "See Illinois Workforce Development System – IWDS" to the File Name or Database Source box. *Skip to Section 23*.
  - ➢ If **Illinois workNet** is used to track participant data, check the box "Alternative file or databased used" and add "See Illinois workNet" to the File Name or Database Source box. *Skip to Section 23*.
- Mostly applies to federally-funded programs (SBDC/PTAC, WIOA, IHWAP, LIHEAP).
- Data Section 23 will still require attention (see slide #24).

17

17

PPR – "Alternative File or Database Used" Check Box

- If grant funds are **not being used for participants** (e.g., incentive grants) or are **not being tracked in a participant database**, the "Alternative File or Database Used" Check Box can not be used.
  - ➢ Complete Sections 14 – 22
  - ➢ Some items may be N/A

18

18

9

PPR Difference Between Deliverable and Performance Measure

- Deliverables are "milestones".
  - ➤ Hiring staff, conducting workshop, submitting report, etc.

- Performance Measures are "results".
  - ➤ # of people trained, # jobs created, etc.

19

19

PPR - Deliverables

- Any Deliverables completed during the period or still pending should be listed in Section 14.
  - ➤ **Must** match UGA
  - ➤ One deliverable per row
- Due date should be entered in Section 15.
  - ➤ **Must** match UGA
  - ➤ Can be grant end date
- Date Completed, if completed during reporting period, should be entered in Section 16.
  - ➤ If not completed, mark as N/A

20

20

PPR - Deliverables

- A brief description of progress towards satisfying the deliverable should be provided in the Deliverable Explanation Section (Section 17).
  - ➢ Grantee **must** provide explanation in rows below when deliverables are behind schedule and is encouraged to provide explanation when deliverables are ahead of schedule.
  - ➢ If the grantee is on pace to complete a Deliverable that comes due after the reporting period, the grantee should, at a minimum, enter "On schedule" in Section 17.
- Grantees can add rows or append supplemental information as needed (see slide #29 for appending supplemental information).

21

21

PPR – Performance Measures

- All Performance Measures (PM) should be listed in Section 18.
  - ➢ **Must** match UGA
  - ➢ One PM per row
- Corresponding Performance Standard (Target) and Frequency should be listed in Section 19.
  - ➢ **Must** match UGA
  - ➢ Example: 25 participants entered into work-based training
- Results (Actuals) are recorded in Section 20.
- Indicate whether PM is mandatory per terms of grant by entering R (Required) or IO (Inform Only) in Section 21.
  - ➢ Failure to achieve "R" metrics may indicate grantee is out of compliance with terms of grant.
  - ➢ Failure to achieve "IO" metrics might or might not indicate a problem, but by itself would not indicate the grantee is out of compliance with terms of grant.

22

22

PPR – Performance Measures

- Section 22 includes check boxes to indicate if **ALL** performance measure results are consistent with targets.
  - ➤Focus is on grant-to-date, not just reporting period
- Grantee **must** provide explanation in rows below when performance accomplishments are behind schedule and is encouraged to provide explanation in rows below when performance accomplishment are ahead of schedule.
- Grantees can add rows or append supplemental information as needed (see slide #29 for appending supplemental information).

23

23

PPR – Performance Measures

- Section 23 is required to completed for **ALL GRANTS**, even if performance data is tracked via database.
- 2 CFR 200.301 and GATA mandate that grantees relate financial data to performance accomplishments.
- Includes check boxes to indicate if performance is consistent with grant-to-date expected services and expenditures/earnings.
- Grantee **must** provide explanation in rows below when performance is not consistent with grant-to-date expected services and expenditures/earnings and is encouraged to provide explanation in rows below when performance is consistent with grant-to-date expected services and expenditures/earnings.

24

24

Report "Good News"

- Various data elements require explanations for late deliverables or poor performance, but only *encourage* discussion of better-than-expected task completion or results.
- The Department and OET benefits from receiving "good news" too.
  - ➢ Help to establish/promote best practices
  - ➢ Could help to shape RFPs in future rounds

25

PPR – Grantee Certification / Agency Acceptance

- Data elements 24-26 are completed by Grantee and data elements 27-29 are completed by the OET grant manager.
- Enter the name and title of individual from **grantee organization** in Section 24.
  - ➢Only authorized signatories or their designees as found in the UGA and the CEO Acknowledgment and Designation Form (for Local Workforce Innovation Areas (LWIAs) should certify the report
- Enter phone number and email address of the individual in Sections 25 and 26.
- The report **DOES NOT** need to be signed.

26

PPR – Naming Convention

- Naming convention –
  - Standard Quarterly Report:
    - Grant number PPR last date of the reporting period – 1X-XXXXXX PPR MM-DD-YY
      - **Standard Quarterly Report Example: 19-681003 PPR 09-30-19**
  - Final Report:
    - Grantees may submit one report for the last quarter and the final report if the grantee is ready to close out.
    - Grant number FPPR end date of grant – 1X-XXXXXX FPPR MM-DD-YY
      - **Final Report Example: 17-681003 FPPR 06-30-19**

- Reminder: Grant Managers need the original report PDFs. **Scanned copies of the PPR and PFR won't be accepted** since state agency staff must complete Sections of the report as well.

27

27

PPR – Common Issues

- Grantees don't follow naming convention
- If grants are not being used to serve participants, then:
  - the deliverable listed as the dot point in Exhibit A of the UGA must be listed in (14);
  - the end date of the grant should be listed in (15);
  - unless the grant has been fully expended, N/A can be listed in (16);
  - an explanation about the expenses is to be entered into (17);
  - (18) – (21) can be N/A; and
  - nothing should be checked for (22).

28

28

PPR – Supporting Documentation

- PPR Supporting Documentation
  - ➢ Grantee **must** include documentation from the file or database with the submission of the PPR.
    - ○ It is suggested grantees submit a *Plan vs. Actual* report or *Participant by Grant with Services* report from IWDS for participant serving grants in that system, plan summary report in IWTS, etc.
    - ○ The OET grant manager will provide further guidance if requested.
  - ➢ A cover page provided by the grant manager that includes the grant #, grantee organization, DUNS #, FEIN, report period end date, number of pages, the date submitted, and if the supporting documentation is for the final report **must** accompany the PPR.

29

PPR – Supporting Documentation

  - ➢ All supporting documentation is to be submitted in a single PDF.
- Naming convention –
  - Standard Quarterly Supporting Documentation:
    - Grant number PPR Support last date of the reporting period – 1X-XXXXXX PPR Support MM-DD-YY
      - ➢ **Standard Quarterly Supporting Documentation Example: 19-681003 PPR Support 09-30-19**
  - Final Supporting Documentation:
    - Grantees may submit one supporting documentation for the last quarter and the final if the grantee is ready to close out.
    - Grant number Final PPR Support end date of grant – 1X-XXXXXX Final PPR Support MM-DD-YY
      - ➢ **Final Supporting Documentation Example: 17-681003 FPPR Support 06-30-19**

30

Standardized Grantee Reporting

Periodic Financial Report (PFR) Specifics

31

31

PFR - Content

- General Information
- Indirect Cost Rate Information
- Program Income and Interest Earned
- Expenditure Budget to Actuals
- Grantee Certification/Agency Acceptance
- Naming Conventions
- Common Issues
- Supporting Documentation

32

32

PFR – General Information

- High level instructions are included on pages 1-4 of the Report.
  - ➢ Sections a-j and p-s must match information found in the UGA.

- Grantees are to complete Sections a-w.
  - ➢ The Catalog of Federal Domestic Assistance (CFDA), CFDA/Program Name, and Catalog of State Financial Assistance (CSFA) can be found in 1.3 of Article I of the Uniform Grant Agreement (UGA) or by using the listing/chart included in the OET Grant Programs portion of this presentation.
  - ➢ A final PFR shall be required at the completion of the grant award. For final PFRs, the reporting period end date shall be the end date of the project / grant period and the box should be checked in Section l.

33

33

PFR – Indirect Cost Rate Information

- Section n - Indirect Cost Rate percentage (%) as accepted by State Cognizant Agency for indirect cost reimbursement. If no indirect cost reimbursement is requested, enter 0%.
  - ➢ **Must** match GATA Grantee Portal
  - ➢ Not applicable to Trade grants since claiming indirect costs is not allowable under this funding source. For trade grants, select 0% for this section and N/A for Section o.
- Section o - Indirect Cost Base description as accepted by State Cognizant Agency for indirect cost reimbursement. (Example: Modified Total Direct Costs - MTDC). If no indirect cost reimbursement is requested, enter N/A.
  - ➢ **Must** match GATA Grantee Portal
  - ➢ Not applicable to Trade grants since claiming indirect costs is not allowable under this funding source

34

34

PFR – Program Restrictions

- Section p – Since there are funding-related program restrictions that will be monitored, mark "Yes".
- Section q – Type in "Reference the requirements of Article 41 and the budget" for the List of Restrictions.

35

35

PFR - Match

- Section r – If the UGA requires a mandatory match, select "Yes".
- Section s – Indicate the percentage of match required. If section r is no, enter N/A.

36

36

PFR – Program Income and Interest Earned

- Sections t-w should be completed by the Grantee, unless program income or interest were not allowed per terms and conditions of grant.
  - ➤ Program and interest income be separately reported in GRS for compliance with GATA.
  - ➤ **Must** match GRS 371 screen
- When program income or interest were not allowed per terms and conditions of grant, N/A should be entered.

37

37

PFR – Expenditures Budget to Actuals

- If financials are reported through GRS, then "See GRS" must be typed in Section x and Sections y – ee can be left blank.

38

38

PFR – Grantee Certification / Agency Acceptance

- Data elements ff-ii are completed by Grantee and data elements jj - ll are completed by OET fiscal monitor.
- In Section ff enter the name and title of individual from **grantee organization.**
  - ➢ Only authorized signatories or their designees as found in the UGA and the CEO Acknowledgment and Designation Form for LWIAs should certify the report
- Complete Sections gg, hh, and ii.
- The report **DOES NOT** need to be signed.

39

39

PFR – Naming Convention

- Naming convention –
  - Standard Quarterly Report:
    - Grant number PFR last date of the reporting period – 1X-XXXXXX PFR MM-DD-YY
      - ➢ **Standard Quarterly Report Example: 19-681003 PFR 09-30-19**
  - Final Report:
    - Grantees may submit one report for the last quarter and the final report if the grantee is ready to close out.
    - Grant number FPFR end date of grant – 1X-XXXXXX FPFR MM-DD-YY
      - ➢ **Final Report Example: 17-681003 FPFR 06-30-19**

- Reminder: Grant Managers need the original report PDFs. **Scanned copies of the PPR and PFR won't be accepted** since state agency staff must complete Sections of the report as well.

40

40

PFR – Common Issues

- Grantees don't follow naming convention.
- If indirect cost rate is N/A, put zero in (n) and N/A in (o).
- (p) is not marked Yes, and nothing is entered into (q).
- If no match, put N/A in (s).
- (t) and (v) should match the 371 screen in GRS.
- (x) should say See GRS.
- Supporting Documentation is the Trial Balance, GRS Screens, and if applicable, a Bridge document.

41

41

PFR – Supporting Documentation

- PFR Supporting Documentation
  - ➢A copy of the GRS screen print out for screens 362 and 371 **must** be submitted with the PFR.
  - ➢A Trial Balance as supporting documentation for expenditures **must** accompany the PFR.
  - ➢A "bridge" document providing details of why GRS and the trial balance don't match must be submitted, **if applicable.**
  - ➢A cover page provided by the grant manager that includes the grant #, grantee organization, DUNS #, FEIN, report period end date, number of pages, the date submitted, and if the supporting documentation is for the final report **must** accompany the PFR.

42

42

PFR – Supporting Documentation

➢All supporting documentation is to be submitted in a single PDF.

- Naming convention –
  - Standard Quarterly Supporting Documentation:
    - Grant number Trial Balance last date of the reporting period – 1X-XXXXXX Trial Balance MM-DD-YY
    - ➢ **Standard Quarterly Supporting Documentation Example: 19-681003 Trial Balance 09-30-19**
  - Final Supporting Documentation:
    - Grantees may submit one supporting documentation for the last quarter and the final if the grantee is ready to close out.
    - Grant number Final Trial Balance end date of grant – 1X-XXXXXX Final Trial Balance MM-DD-YY
    - ➢ **Final Supporting Documentation Example: 17-681003 Final Trial Balance 06-30-19**

43

43

Thank you!

For questions about the standardized reports, contact your grant manager.

44

44