## §4. RECORDS

Grant recipients must retain the following records for a period of **five** years after project completion:

* + - Records of significant project experience and results;
		- Records that fully show amount of funds under the grant, how the funds were used, total cost of projects, all costs provided from other sources, and other records to facilitate an effective audit;
		- Records to show the grant recipient’s compliance with program requirements, including how the project is grounded in scientifically based research; and
		- Participant data (**see below in the paragraph beginning “Narrative reports”**).

## §5. REPORTING REQUIREMENTS

* Section 80.40(a) of **EDGAR requires**, among other things, State monitoring of grant activities. MHEC staff may conduct site visits, undertake telephone interviews, or request written materials for this purpose.

##### **Formal final reports are required from all grantees**. **At the end of the grant, both a financial and a narrative report will be due to the Commission. Final reports should address the items described below under “The Financial Report” and “Narrative Reports.”** Refer to the Summary Timetable or the Grant Award Notice for report due dates.

### §5A) Preparing for Reporting

Project directors should maintain records indicating when and where activities took place, the length of time participants spent in activities, who participated in each activity by name**,** and how funds were expended, as well as what is the total project cost. In addition, project directors should maintain evidence that demonstrates whether activity and project goals are being met. **The amended ESEA places increased emphasis on data and accountability based on data.** Interim and final financial reports have a similar format but must clearly distinguish between approved expenditures and actual expenditures. See Appendix H for the Interim and Final Report Form; see also “Grant Management”, §7, Records.

**Project directors should request participant data while activities are still ongoing**.

Such information may be used for statewide evaluation of the MHEC grant program, in accordance with the guidelines provided by EDGAR 34 CFR 99.30-31 and 99.35. During at least one of the group activities (and preferably more for maximum coverage), project directors are asked to seek **written permission from participants to release appropriate data** for the purposes of program evaluation and to ask if participants would be willing at a later date to be contacted to help evaluate the program, should such an evaluation take place. Participants’ SSNs are not required. See below under “Narrative Reports” for more information about collecting participant data. Participant addresses and/or e-mail addresses should be collected at the same time. If project directors plan to use the data collected for research publication, all institutional IRB protocols should be followed.

### §5B) Interim Reports

**The second payment of grant funds will be contingent upon the acceptance of the interim report by the Commission. The Interim Report and all associated forms can be found in Appendix H, the report must include:**

* An assessment of the progress towards attainment of goals and objectives;
* A Participant Roster (form provided) that includes: position (teacher/principal/highly qualified paraprofessional, subject taught, participant’s school, school district, grade levels taught, and number of students impacted by their teaching during the academic year in which the professional development takes place;
* A Participant Contact Hours by School Level table (form provided);
* A Budget Summary worksheet for the reporting period (form provided) that shows how much of the grant has been spent and how much remains in each line item of the original accepted budget application;
* Responses to the other questions posed on the interim report form; and
* Evidence that the project is progressing with sufficient effectiveness to continue

See below under “Narrative Reports” for more information about gathering participant data. MHEC reserves the right to request a revised expenditure budget based on the Interim Report prior to the disbursement of subsequent payments on the grant.

### §5C) Final Reports

* Final reports must be submitted. **Failure to submit a final report will make the project director ineligible to apply for future grants**.
* An assessment of the progress towards attainment of goals and objectives;
* A Participant Roster (form provided) that includes: position (teacher/principal/highly qualified paraprofessional, subject taught, participant’s school, school district, grade levels taught, and number of students impacted by their teaching during the academic year in which the professional development takes place;
* A Participant Contact Hours by School Level table (form provided);
* A Budget Summary worksheet for the reporting period (form provided) that shows how much of the grant has been spent and how much remains in each line item of the original accepted budget application;
* Responses to the objectives evaluation questions
* Evidence of the project success or why it did not succeed
* Final reports have a financial report section and a narrative report section.
* The final report includes evaluation of the grant. This evaluation will include the accepted evaluation plan components from the application. The Final Report should include any evaluation report completed for the project. Data tables, sample surveys and other related evaluation tools should be placed in an appendix.
* A discussion assessing the attainment of the goals and objectives should be included. Each grantee will provide an account of the project evaluation data results in the final report and in an online survey. Grantees will be required to complete the final survey as part of their final report requirement. The survey questions are organized into three categorical areas:
Area 1: Changes in Teacher Content Knowledge
Area 2: Changes in Teacher Pedagogical Knowledge and Teacher Practice
Area 3: Changes in Student Learning Outcomes
In each area, grantees are asked for three types of information: the type of study conducted, the measurement instrument used, and the general trend of the evaluation results.
* Final reports should include the same type of Participant Roster and Participant Contact Hours by School Level requested for the interim report that is updated to reflect the information for the full term of the grant (not just the second half of the grant).
* The final report includes a *Budget Summary* worksheet (see Appendix J) and a *Budget Narrative.*
* **The final report will include a summary of how the 50% rule was followed.**

### §5D) Final Financial Reports

The financial report should be structured like the approved budget, with both a budget summary and a budget narrative (see forms in appendix for the specific form/format to use). **It must be signed by a financial officer at the institution serving as the fiscal agent.** Grantees should keep records indicating how funds are expended, the total cost of project activities, the share of the cost provided from other sources (in-kind or otherwise), and any other relevant records to facilitate an effective audit; such records should be held for five (5) years after the grant ends. Any unspent grant funds should be returned with the financial report.

### §5E) Final Narrative Reports

Narrative reports must include the results of the evaluation plan outlined in the project application

and document the project outcomes. These reports will:

* address the goals of the project, explaining how project activities addressed those goals and to what extent the project was successful in meeting those goals;
* note where or how the project activities might be improved; and
* indicate the number of teachers, principals, and highly qualified paraprofessionals that were served and estimate how many students were impacted.

The narrative report should also detail participant data, reflecting the total number of participants. In addition to the information contained in the roster/table mentioned in §5B and §5C, the report should include if applicable, the number of teachers who moved from uncertified to certified or “not highly qualified” to “highly qualified” and the number who passed Praxis I and/or Praxis II exams.

Sign-in sheets can serve as a place to collect most of this information in preparation for reporting. A sample chart appears in Appendix I. **Project directors should request participant data while activities are still ongoing**.

##### Because ITQ aims to improve student achievement and to close achievement gaps, school data are also likely to be relevant. At the very least, indicate:

##### What schools were served?

##### Were any of these schools low-performing? Are they still low-performing?

##### What LEAs were served? Which LEAs were “high need”?

* Measures of student achievement where available

Relevant student achievement indicators might be test scores, expansion of curricula, or documented changes in student behavior and performance. The specifics will have to be relevant to your project and your evaluation. Try to demonstrate as clearly as possible the impact your project had on the teachers served and on their students.