October 7, 2016

Dear AIVRS Project Directors,

The time has come to submit your annual performance report for the reporting period 10/01/2015 – 09/30/2016 and is due January 13, 2017 (for H250H, H250J, and H250K grants). This report is comprised of five required components – 1) the Rehabilitation Services Administration (RSA) Management Information System (MIS) online database reporting form, 2) the ED 524B Grant Performance Coversheet, 3) the Executive Summary of the ED 524B Form, 4) in accordance with the Education Department General Administrative Regulations (EDGAR), section 75.560(b), a copy of the Tribe's current Indirect Cost Rate (IDC) agreement, and 5) the AIVRS Survey. The five components are further described in the enclosed "HELPFUL HINTS" document.

NOTE: 1) PLEASE DO NOT MAIL US A HARD COPY OR EMAIL A COPY OF YOUR PERFORMANCE REPORT AND AIVRS SURVEY. RSA HAS ACCESS TO MIS AND READS YOUR REPORTS ONLINE; AND 2) PLEASE DO NOT INCLUDE ANY PERSONAL IDENTIFYING INFORMATION REGARDING CONSUMERS IN YOUR REPORT.

Please submit the ED 524B Coversheet Form, the Executive Summary, and the IDC agreement via email to your ED Program Contact: Sonja.Turner@ed.gov or August.Martin@ed.gov or via fax to (202) 245-7591, 7592, or 7593.

The submission of an annual performance report is required under EDGAR section 75.118 in order to assess the progress towards achieving the projected goals and objectives of the approved grant application. Based upon the information in the annual performance report, projects under the CFDA numbers 84.250J and 84.250K that are determined to have made substantial progress towards the goals and objectives of their approved grant application will be awarded continuation funding in this fiscal year (FY) 2017 to be used for grant expenses in FY 2018. The data reported in the annual performance reports is also complied to be included in RSA's Annual Report to the President and Congress.
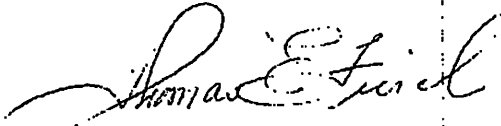
We appreciate your cooperation in submitting your report on or before the deadline date of January 13, 2017. We cannot make continuation awards until we have reviewed and approved the performance reports. As such, reports received after the deadline may delay the timely award of your continuation award. Please call your ED Program Contact if you have any questions or concerns regarding the performance report.

400 MARYLAND AVE. S.W., WASHINGTON, DC 20202
www.ed.gov

The Department of Education's mission is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access.

On behalf of RSA, thank you for all of your hard work to facilitate the provision of vocational rehabilitation services to American Indians with disabilities living on or near your reservation.

Sincerely,

Thomas E. Finch, Ph.D.
Director
Training and Service Programs Division

Enclosures

## HELPFUL HINTS

The web-based performance reporting system, initiated by the Rehabilitation Services Administration (RSA), is available for you to access. The reporting system is a part of RSA's Management Information System (MIS) database and is necessary in order to submit the required performance report for non-competing continuation awards under the American Indian Vocational Rehabilitation Services (AIVRS) Program. As you complete the web-based performance reporting form, there are several points to remember:

1) The answer to question #1a in Section 1. Budget Narrative, *"Enter the grant amount awarded by RSA for the entire fiscal year for this reporting period."* must reflect the amount stated in Block #7 of the Grant Award Notification.
2) Please pay attention to the instructions for each question.
3) Please make use of the "Note" sections to include additional or explanatory information. And please refrain from using any information that could be considered sensitive and confidential information (i.e., proper names).

The ED 524B Form and Executive Summary is required to be submitted along with any performance report. (The ED 524B Form is not part of the MIS, but a separate form attached to this email.) The following are points to remember:

1) Must be submitted with an original signature from the Authorized Representative and may be submitted either by scanned document and emailed to your ED Program Contact, fax (to August or Sonja at 202-245-7591, 7592 or 7593). The Authorized Representative is the individual that signed the ED 424 Application Face Sheet when the Tribe submitted the grant application.
2) Item 2 – NCES ID may be answered "N/A."
3) Item 10 – Human Subjects may be answered "N/A."
4) Item 11 – Performance Measures Status – Answer "YES" because your performance measures are entered in the online reporting form.
5) Executive Summary – please provide an executive summary of the accomplishments, barriers, struggles, and success stories that occurred during the entire 12 months of this project. Please refrain from using any information that could be considered sensitive and confidential such as proper names. You may include the types of trainings provided and/or occupations achieved.

Indirect Cost Rate Agreement
In addition to the above requirements, the Tribe is required to submit the most current IDC rate agreement. EDGAR 34 CFR 75.560(b) says, "A grantee must have a current indirect cost rate agreement to charge indirect costs to a grant. To obtain an indirect cost rate, a grantee must submit an indirect cost proposal to its cognizant agency and negotiate an indirect cost rate agreement." Submitting a current IDC rate agreement provides the Tribe with the opportunity to report whether the rate agreement has changed, remained the same, or is in negotiations.

The following information will help you Access and Complete the web-based performance reporting form:

- The URL for the AIVRS program performance reporting form is https://rsa.ed.gov
- If you have a User ID and Password, then you can log in and begin entering data
- If you forgot your User ID or Password, on the right side of the screen, under "New User?", click on "Click here if you a have any problems logging in"
- If you do not have a User ID, you must request a new user ID; follow these instructions to register:
  o On the top right hand side of your screen, you will see and need to click on the words "Logon":
  o On the right hand side of your screen, you will see "New User?" Click on "Click here to get a user ID"
  o After you have read through the directions, you will click on a button you will find at the bottom of the page that says, "Fill out a Request MIS Access form now."
  o The next page that opens up will have two option buttons. Click on the bottom button that says, "I want to fill out a Request MIS Access Form now."
  o The next page that opens is step 1 of 3 and asks for identifying information. Please use your work address when filling this form out. In the drop down box for "State," please choose the State where your program is located. Be sure to check the box that says, "American Indian Vocational Rehabilitation Services (AIVRS)."
  o Please make sure that the email address you place in this form is accurate because once the form is complete, a form will be sent to you via email that will need to be completed and faxed back to the RSA office.
  o After you click on the "Continue" button at the bottom of the page, you will be taken to step 2 of 3, which is a page that lists the AIVRS programs in your State. Please select your program, select the type of access needed (you will need to select both "view" and "edit"), and then select "American Indian Vocational Rehabilitation" and click on continue.
  o At step 3 of 3, please read the directions before you complete the registration process.
  o Please note: a username will be assigned to you. You will be sent a default password that you should change once you've successfully logged onto the system.
- For technical assistance in completing your form, you can send your questions via email to RSAMIS.Technical.Support@ed.gov.

# U.S. Department of Education
## Grant Performance Report Cover Sheet (ED 524B)
*Check only one box per Program Office instructions.*
[  ] Annual Performance Report    [  ] Final Performance Report

## General Information

1. PR/Award #: _____    2. Grantee NCES ID#: _____

 *(Block 5 of the Grant Award Notification - 11 characters.)*    *(See instructions. Up to 12 characters.)*

3 Project Title: _____

 *(Enter the same title as on the approved application.)*

4. Grantee Name *(Block 1 of the Grant Award Notification.)*:_____

5. Grantee Address *(See instructions.)*

6. Project Director *(See instructions.)* Name:_____Title: _____

 Ph #: (    ) _____ - _____ Ext: (    )         Fax #: (    ) _____ - _____

 Email Address: _____

## Reporting Period Information *(See instructions.)*

7. Reporting Period:    From: ____/____/_____    To: ____/____/_____    (mm/dd/yyyy)

## Budget Expenditures *(To be completed by your Business Office.  See instructions.  Also see Section B.)*

8. Budget Expenditures

|  | Federal Grant Funds | Non-Federal Funds *(Match/Cost Share)* |
|---|---|---|
| a. Previous Budget Period |  |  |
| b. Current Budget Period |  |  |
| c. Entire Project Period *(For Final Performance Reports only)* |  |  |

## Indirect Cost Information *(To be completed by your Business Office.  See instructions.)*

9. Indirect Costs

 a. Are you claiming indirect costs under this grant? ___Yes ___No

 If yes, please indicate which of the following applies to your grant?

 b. ___ The grantee has an Indirect Cost Rate Agreement approved by the Federal Government:
 The period covered by the Indirect Cost Rate Agreement is from: ____/ ____/_____ to: ____/ ____/_____ (mm/dd/yyyy)
 The approving Federal agency is:  ___ED ___Other *(Please specify)*: _____
 The Indirect Cost Rate is _____%
 The Type of Rate *(For Final Performance Reports Only)* is: ___ Provisional ___ Final ___ Other *(Please specify)*:

 c.___ The grantee is not a State, local government, or Indian tribe, and is using the de minimus rate of 10% of modified total direct costs (MTDC) in compliance with 2 CFR 200.414(f).

 d.___ The grantee is funded under a Restricted Rate Program and is you using a restricted indirect cost rate that either:
 ___ Is included in its approved Indirect Cost Rate Agreement; or
 ___ Complies with 34 CFR 76.564(c)(2).

 e.___ The grantee is funded under a Training Rate Program and:
 ___ Is recovering indirect cost using 8 percent of MTDC in compliance with 34 CFR 75.562(c)(2); or
 ___ Is recovering indirect costs using its actual negotiated indirect cost rate.

## Human Subjects (Annual Institutional Review Board (IRB) Certification) *(See instructions.)*

1. Is the annual certification of Institutional Review Board (IRB) approval attached? ___Yes ___ No ___ N/A

**Performance Measures Status and Certification** *(See instructions.)*

11. Performance Measures Status

    a. Are complete data on performance measures for the current budget period included in the Project Status Chart? ___Yes ___ No

    b. If no, when will the data be available and submitted to the Department? _____/_____/_____ (mm/dd/yyyy)

12. By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate and the expenditures, disbursements, and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-33812).

Furthermore, to the best of my knowledge and belief, all data in this performance report are true, complete, and correct and the report fully discloses all known weaknesses concerning the accuracy, reliability, and completeness of data reported.

_____    Title: _____

Name of Authorized Representative:

_____    Date: _____/_____/_____

Signature:

PR/Award # (11 characters): _____

(See Instructions)

# INSTRUCTIONS FOR GRANT PERFORMANCE REPORT (ED 524B)

## PURPOSE

Recipients of multi-year discretionary grants must submit an annual performance report for each year funding has been approved in order to receive a continuation award. The annual performance report should demonstrate whether substantial progress has been made toward meeting the project objectives and the program performance measures. The information described in these instructions will provide the U.S. Department of Education (ED) with the information needed to determine whether recipients have demonstrated substantial progress. ED program offices may also require recipients of "forward funded" grants that are awarded funds for their entire multi-year project up-front in a single grant award to submit the Grant Performance Report (ED 524B) on an annual basis. Project performance and budget expenditure reporting requirements are found in 34 CFR, 75.118 of the Education Department General Administrative Regulations (EDGAR)and 2 CFR 200.327 and 200.328 of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance).

## GENERAL INSTRUCTIONS

- Please read the attached "Dear Colleague Letter" from your program office carefully. It contains specific instructions for completing the ED 524B for your program.

- You must submit the ED 524B Cover Sheet, and Executive Summary. You may reference sections and page numbers of your approved application rather than repeating information.

- Please follow the appropriate instructions depending on whether you are submitting an annual performance report or a final performance report.

- ED program offices will notify grant recipients of the due date for submission of annual performance reports; however, general guidelines are provided below in the instructions for ED 524B Cover Sheet, item 7. Reporting Period.

  Note: For the purposes of this report, the term "project period" is used interchangeably with the term "performance period," which is found on the Grant Award Notification (GAN).

- For those programs that operate under statutes or regulations that require additional or different reporting for performance or monitoring purposes, ED program offices will inform you when this additional or different reporting should be made.

## INSTRUCTIONS FOR THE ED 524B COVER SHEET

Complete the ED 524B Cover Sheet with the appropriate information. Instructions for items 1, 3 and 4 are included on the ED 524B Cover Sheet. Instructions for items 2 and 5 and items 6 through 12 are included in this instruction sheet.

### 2. Grantee NCES ID Number

**-- Annual and Final Performance Reports:**
Please enter the current National Center for Education Statistics (NCES) ID number of the grantee. Grantees that are State Educational Agencies (SEA) should enter their state's FIPS (Federal Information Processing Standards) code in item 2. Item 2 only applies to grantees that are Institutions of Higher Education (IHE), SEAs, Local Educational Agencies (LEA), public libraries, and public, charter, and private elementary or secondary schools. Leave blank, if this item is not applicable.

Please go to the applicable website listed below to obtain the grantee's NCES ID number or FIPS code. Depending on your organization type, this number will range from 2 to 12 numeric digits.

- IHEs (IPEDS ID); Public Libraries (Library ID); and Public, Charter and Private Schools (NCES School ID): http://nces.ed.gov/globallocator
- LEAs (NCES District ID): http://nces.ed.gov/ccd/districtsearch/
- SEAs (FIPS code): To obtain your state's FIPS code, please search on any public school district in your state at: http://nces.ed.gov/ccd/districtsearch/. **The FIPS code is the first two digits of the NCES District ID number for any public school district in a state.**

Note: Newly established organizations that do not have an NCES ID number yet should leave item 2 blank. However, once the organization's NCES ID number has been established, it must be entered on all future submissions of the ED 524B.

## 5. Grantee Address

**Instructions for Submitting Address Changes**

**-- Annual and Final Performance Reports:**

If the address that is listed in Block 1 of your GAN has changed, submit the change through e-Administration (annual performance reports only), the administrative action function of e-Grants.

## 6. Project Director

**-- Annual and Final Performance Reports:**

Please enter the name, title, phone number, fax number and email address of your approved Project Director listed in Block 3 of your GAN. Please note, however, that changing the approved Project Director requires prior approval from ED and may only be requested for a grant whose performance period has not ended. You may also submit a request for a change in your Project Director through e-Administration.

## 7. Reporting Period Information

**-- Annual Performance Reports:**

**Due Date:** Please follow instructions from your program office regarding the specific due date of the annual performance report for your grant.

The reporting period for the annual performance report is the entire budget year from the start of the current budget period. The start date for your current budget period may be found in Block 6 of the GAN. Please note, however, that complete data on performance measures for the current budget period must be submitted to ED, either with this report or as soon as they are available, but no later than the final due date specified by your ED program office.

## 8. Budget Expenditures [Also see Section B (Budget Information) of the Project Status Chart]

The budget expenditure information requested in items 8a. – 8c. must be completed by your Business Office.

Note:
Budget Expenditures: For the purposes of this report, the term budget expenditures means allowable grant obligations incurred during the periods specified below. (See EDGAR, 34 CFR 75.703; 75.707; and, 2 CFR 200.34 as applicable.)

For budget expenditures made with Federal grant funds, you must provide an explanation in Section B (Budget Information) of the Project Status Chart, if you have not drawn down funds from ED's G5 System to pay for these budget expenditures.

<u>Non-Federal Funds (Match/Cost Share)</u>: If you are required to provide non-Federal funds or resources for this grant because the funding program has a statutory (legislative) matching or cost sharing requirement or you voluntarily committed to providing non-Federal funds or resources in your approved grant application, you must complete the "Non-Federal Funds (Match/Cost Share)" column in items 8a. – 8c., as applicable. (You are encouraged to review the following information regarding allowable cost sharing/matching contributions: the funding program's statute and regulations (if any), 2 CFR 200.306, and other applicable requirements found in 2 CFR part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at: <u>eCFR — Code of Federal Regulations</u>.

**--Annual Performance Reports:**

- Report your actual budget expenditures for the *entire previous budget period* in item 8a. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share) expended for the project during the entire previous budget period.

  Note: If you are reporting on the first budget period of the project, leave item 8a. blank.

- Report your actual budget expenditures for the *current budget period for the entire budget year* in item 8b. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share) expended for the project during the current budget period.

## 9. Indirect Cost Information

The indirect cost information requested in Items 9a. – 9e. must be completed by your Business Office.

**--Annual and Final Performance Reports:**

- Item 9a -- Please check "yes" or "no" to indicate whether or not you are claiming indirect costs under this grant.
- If you checked "yes" in item 9a, you selected one of the following:
- Item 9b, please indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. Please indicate the beginning and ending dates covered by the Indirect Cost Rate 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. Provide the actual indirect cost rate. *For final performance reports only*, check the appropriate box to indicate the type of indirect cost rate that you have – Provisional, Final, or Other. If you check "Other," please specify the type of indirect cost rate.
- Item 9c, If you use the de minimis rate, you are subject to the provisions in 2 CFR § 200.414(f). Note: You may only use the 10 percent de minimis rate if you are a first-time Federal grant recipient, and you do not have an approved Indirect Cost Rate Agreement. You may not use the deminimis rate if you are a State, Local government, or Indian Tribe, or if your grant is funded under a training rate or restricted rate program.
- Item 9d. Please indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in EDGAR, 34 CFR 76.564(c) (2). Check only one response.
- Item 9e Please indicate whether you are using 8 percent of MTDC in compliance with 34 CFR 75.562(c)(2), or your negotiated rate in your approved Indirect Cost Rate Agreement. Note: ED regulations limit the recovery of indirect costs under training grants to the grantee's actual indirect costs, as determined by its negotiated rate agreement, or 8 percent of a MTDC, whichever is lower (34 CFR 75.562(e)(4). Check only one response.

## 10. Human Subjects (Annual Institutional Review Board (IRB) Certification)

**--Annual Performance Reports Only:**

Annual IRB certification is required if Attachment HS1, Continuing IRB Reviews, was attached to the GAN. Check "yes" if annual IRB certification is required and attached to the ED 524B as instructed in Attachment HS1. Check "no" if annual IRB Certification is required by Attachment HS1, but is not attached to the ED 524B. Please indicate the reason why the IRB certification is not attached (e.g., the research has been completed) under Section C (Additional Information) of the Project Status Chart. Check "N/A" if annual IRB certification does not apply to your grant (i.e., no human subjects research is being conducted under this grant or Attachment HSI was not attached to the GAN.)

## 11. Performance Measures Status

### --Annual Performance Reports:

Please check "yes" or "no" in item 11a. to indicate whether *complete* data (i.e., all of the data that you anticipate will be collected) on performance measures for the current budget period are included in this report in Section A of the Project Status Chart. If no, please indicate in item 11b. the date when the information will be available and submitted to ED. Complete data must be submitted for any performance measures established by ED for the grant program (included in the attached "Dear Colleague Letter") and for any project specific performance measures that were included in your approved application.

If *complete* data on performance measures for the entire current budget period have not been obtained when you submit the ED 524B, please submit *available* data for the budget period to date with this report, unless instructed otherwise by your program office. *Complete performance measures data for the current budget period should be submitted by the date you indicated in item 11b.*

Note: Your program office will inform you of the *final date* by which performance measures data must be submitted to the Department for this program.

## 12. Certification

### --Annual and Final Performance Reports:

The grantee's authorized representative must sign the certification for the ED 524B. The certification confirms that to the best of the authorized representative's knowledge and belief that the report is true, complete and accurate, and the expenditures and disbursements were for the purposes and objectives set forth in the terms and conditions of the Federal award. The authorized representative is aware that any false, fictitious, or fraudulent information, or the omission of any material fact, he/she may be subject to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-33812). If there are any known internal control weaknesses concerning data quality (as disclosed through audits or other reviews), this information must be disclosed under Section C (Additional Information) of the Project Status Chart as well as the remedies taken to ensure the accuracy, reliability, and completeness of the data.

## INSTRUCTIONS FOR THE EXECUTIVE SUMMARY

### --Annual Performance Reports:

Provide a one to two page Executive Summary for *annual performance reports*. Provide highlights of the project's goals, the extent to which the expected outcomes and performance measures were achieved, and what contributions the project has made to research, knowledge, practice, and/or policy. Include the population served, if appropriate.