

Nebraska Commission for the Blind & Visually Impaired  
Public Meeting  
Saturday, November 3, 2012; 9:00 a.m.  
Heartland Workforce Solutions  
5752 Ames Avenue  
Omaha, Nebraska

**Approved Minutes**

Call to order. Welcome and introductions. Announcement concerning meeting agendas, open meeting act, proof of publication, recordings, lunch arrangements and other logistics.

Julie Johnson, Chairman of the Board of Commissioners, called the meeting to order at 9:02 a.m. and she welcomed everyone to the meeting.

Commissioners present: Julie Johnson, Chairperson, York; Mike Hansen, Designee of the National Federation of the Blind of Nebraska, Lincoln; Jim Jirak, Vice Chairperson, Designee of the American Council of the Blind of Nebraska, Omaha; Nancy Oltman, Hastings; Darrell Walla, Omaha.

Commission staff present: Dr. Pearl Van Zandt, Executive Director, Lincoln; Kathy Stephens, Administrative Assistant, Lincoln; Carlos Serván, Deputy Director VR, Lincoln; Bob Deaton, Deputy Director IL; Nancy Flearl, Omaha District Supervisor; Monica Tripp, VR Counselor, Omaha.

Public Present: Hubert Paulson, NCBVI Contractor; Deb Stanton, NCBVI Contractor; Mark Bulger, Omaha;

ACB: Shirley Allen, Paulette Monthei, Carol Gibilisco, Howard Compton, Janis Compton, Barbara Epworth.

Announcements Concerning Lunch Arrangements and Other Logistics

Nancy Flearl announced that lasagna, bread and salad will be served around 12 noon.

It was noted that public comments are always welcome regarding the agenda items. Hubert Paulsen recorded the meeting and the recordings are available on the website.

A copy of the Nebraska Open Meeting Act was available. The Act was available in both print and Braille format. The Notice of the Meeting was published in the Lincoln Journal Star, the State Government Calendar, NCBVI Website, NFB Newslines® and Radio Talking Book. The Notice was also sent to ACB and NFB, the NCBVI List Serve

Approval of August 4, 2012 Board Minutes

Commissioner Jirak moved to approve the Minutes of August 4, 2012 Commission Meeting. Commissioner Oltman seconded the motion. A roll call vote was taken and it was unanimous in favor of the motion.

Chairperson Johnson noted that the Minutes are located on the NCBVI website for review.

#### Explanation of cooperative agreement between NCBVI and Heartland Workforce Solutions

Executive Director Van Zandt noted that partnering is required by the Rehab Act. Nebraska has three local Workforce Boards. The Tri-County Workforce which covers Omaha and the nearby area, the Lincoln/Lancaster County Workforce which covers Lincoln and Lancaster county, and the Greater Nebraska Workforce which covers everything else. There are also Workforce Centers throughout the State. Heartland Workforce Solutions is a brand new facility. Across the State there are satellite centers which work fairly well for meeting the people's needs in that area.

Van Zandt reported that she was on the State Board for many years. At that time she had a lot more detailed information about the specific things each area was doing. This last year was the first since the Workforce Act was implemented that she has not served on the Board. Currently a staff member is on the Board at each location. Omaha office staff also co-locates at Heartland Workforce Solutions two days per week. This is a good way for NCBVI to network with the other employers who may come or the other agency people who are represented at Heartland Workforce Solutions. Director Van Zandt noted that she feels there are a lot of benefits to the partnership. This agreement is for one year. After that time NCBVI will evaluate whether or not to renew it.

Nancy Flearl stated that she also feels that the partnership with Heartland Workforce Solutions is a great opportunity. Twenty-four of the mandated partners are co-located at this location. This allows the Commission to work closely with all of the demographics in which we serve. Boys Town is working with children and families to help provide counseling and to provide a resource for all to build healthier families. There are also representatives from the Office of Aging. Employers rotate in and out of the building all week long to conduct actual interviews. Each entity has a job club in which NCBVI clients can take part in.

Nancy Flearl noted that NCBVI has always been an agency that is willing to try new things. We will not know if this type of agreement is going to work out unless we try. This is an opportunity to do some outreach to a big population that we serve. It is also beneficial in making blindness more visible to the community.

Chairperson Johnson asked how long VR Counselor Monica Tripp has been co-locating at Heartland Workforce Solutions. Nancy Flearl noted that it has only been for the past month and a half or so. Heartland Workforce Solutions had its official ribbon cutting on October 18 for this location. Omaha has one of the highest dropout rates for high school

students. Therefore there are a lot of youth services provided and transition is a focus of NCBVI. Metro Community College is also located here and offers a GED program.

Commissioner Walla noted that as a teacher he feels that this is a move in the right direction to look at the whole picture. A lot of the partners that NCBVI would collaborate with will be at Heartland Workforce Solutions. All NCBVI staff will have access to the building throughout the work week. The YMCA Dress for Success has a program where women can get clothes for interviewing. Men's Warehouse has also donated clothing for men.

Commissioner Hansen stated that this sounds like an awesome opportunity to him. It provides a lot of access to opportunities that we did not have in the past. Commissioner Hansen asked if NCBVI has had any new referrals in the short time that the partnership began. Nancy Flearl noted that NCBVI has had two referrals to date.

The Commissioners thanked Van Zandt and Flearl for the information.

Focus Topic: Rehabilitation Services Administration (RSA).

Executive Director Van Zandt stated that she will report on the 2010 Federal Report Card (the 2011 data is not yet available) and she will report the agency's performance on the federal Standards and Indicators from 2008 to 2011. These are the items to which agency performance is held most accountable. Director Van Zandt noted they the feds are a couple of years behind due to the federal reporting process. Director Van Zandt emailed Focus Topic materials to the board prior to today's meeting. The materials will also be provided on-line with the minutes of today's meeting.

NCBVI does a lot of work in gathering data about services and the financial aspect of things. There is a lot that is done quarterly, semi-annually and annually. Sometimes it is specific to an audit or a federal review. The major reporting is two-fold. One major reporting is our client services data. This goes into the 911 form which includes all of the elements of when a person is referred, when they apply, what their age is, what their source of support is, gender, race, multiple disabilities, and all the kinds of things that describe the person and as they get into a plan for services, all of the elements that describe what they are going to be receiving in terms of services. Some of the services are in-house, some is where we purchase for them equipment, and some providing books and tuition for college. This is all driven from the Individualized Plan for Employment or Individualized Plan for Independent Living. All parts of the system have similar reports. All reports are geared from a particular grant. We have the VR grant (Basic Support), Supported Employment, In-Service Training, Older Blind, and Independent Living Part B.

Chairperson Johnson asked about the documents that Commissioner Jirak sent out a few days ago. The documents were sent to all of the commissioners and to the executive director. Chairperson Johnson asked for an explanation of what the documents were.

Director Van Zandt stated that what Commissioner Jirak sent out two huge data files which are compiled from all of the specific data elements that are submitted with the 911 and all the other reports to the feds by every state including the five territories. There are 80 agencies which include some General, some Blind and some combined. All of these pieces of information are fed into what ends up being called The Federal Report Card. Years ago the feds did not crunch the numbers in this way.

NCBVI focuses on the Standards and Indicators. These have been in place for a very long time. There are seven indicators and each one has a standard that agencies must meet. Every state agency must pass four of the six indicators and three of these are called primary indicators. Agencies must pass two of the three of the primary indicators. In the bigger report card, these things are embedded, but the report card also covers a lot more data.

Director Van Zandt noted that federal data it is always a few years behind because of the whole reporting process. The headings on the main page summarize each piece. You get a list of specific indicators, the national mean, the national median, the national minimum, the national maximum, agency data, agency type mean, agency type median, national rank, type of agency rank, and the source report. For example, the first indicator is New Applicants Per \$1 Million of grant funding. For 2010, NCBVI had 30 new applicants per \$1 Million grant source and our ranking amongst other blind agencies was 20<sup>th</sup>. NCBVI's ranking in the national was 76th. Director Van Zandt stated that the column that is the national rank where NCBVI is lumped in with all of the other huge agencies and different types of agencies is not very informative from her perspective. Van Zandt stated that she feels it is informative to look at our own numbers and how we compare each year to our own performance in previous years. Are we doing better each year or what are the things that we need to be doing? Also, in some respects, to compare NCBVI with other State Agencies for the Blind.

Commissioner Hansen asked if NCBVI is being compared to all rehab services in a state and not just the blind rehab services that a state may have. Commissioner Hansen noted that if this is the case, we are not comparing apples to apples. Director Van Zandt stated that she agrees and that she feels this is the biggest drawback of the Report Card. The other piece is that even with the other blind agencies; all agencies do not do business in the same way. The agencies have a number of variables such as different numbers of counselors. Some agencies outsource their services, trainings and rehab. There are many aspects that do not show up in the Report Card.

Paulette Monthei stated that the other difference here is that a lot of the larger states may have also implemented a combined service and an order of selection. Therefore, they many have a waiting list for services. Their new clients coming in will be much higher because they have an established waiting list for services that may have a thousand people on it at any given time. This will really change the numbers.

Director Van Zandt stated that the element about the order of selection is quite interesting because NCBVI does not have order of selection, but our ranking in our agency type was 4<sup>th</sup>. Director Van Zandt stated that she cannot explain this because it does not make sense to her. Some of the bigger agencies have staff that work with the statistics and analyze all of the elements. NCBVI does not have this capacity.

Director Van Zandt read through the list of indicators. This list is available on the website with the minutes.

Director Van Zandt noted that NCBVI wants people to get good jobs with good earnings and chances for benefits and advancement in a career. NCBVI ranks 11 in this category.

It was noted that a lot of the ranking depends on how the numbers are interpreted.

Executive Director Van Zandt reported on the Indicators that the agency must pass, the Standards and Indicators. The actual percentage that is required is different for the blind agencies than for the general or combined agencies. Van Zandt noted that she will only be talking about the blind agency performance requirements. There are 24 separate agencies for the blind.

On all of these, RSA is comparing NCBVI to NCBVI. Figures are based on aggregated 2-year segments. For example, Fiscal Year (FY) 2001 is based on figures for Fiscal Year 1999 and Fiscal Year 2000, and Fiscal Year 2000 and Fiscal Year 2001, with the difference between the two, 2-year segments, is the outcome. Performance Standard 1, (1.1 through 1.6), RSA Standard is to pass 4 of the 6 Indicators, and 2 out of 3 of the Primary Indicators 1.3 thru 1.5.

1.1 is a Change in Employment Outcomes.

The number of individuals exiting the VR program who achieved an employment outcome during the current performance period compared to the number of individuals who exit the VR program after achieving an employment outcome during the previous performance period. This includes home-makers. Each year we should have at least equal to or one more than the previous FY results.

1.2 is the Percent of Employment Outcomes and whether this is greater than or equal to 69 percent. NCBVI's ranking was 42.15 percent.

Of all individuals who exit the VR program after receiving services, the percentage that are determined to have achieved an employment outcome.

This is the one and only Indicator that NCBVI failed in 2011.

1.3 is Competitive Employment. This must be greater than or equal to 35.4 percent. NCBVI's was 94.68 percent.

Of all individuals determined to have achieved an employment outcome, the percentage who exited the VR program in competitive, self, or BEP employment with earnings equivalent to at least the minimum wage.

1.4 is Significant Disability. This must be greater than or equal to 89 percent. NCBIV's was 100 percent.

Of all individuals who exit the VR program in competitive, self-, or BEP employment with earnings equivalent to at least the minimum wage, the percentage who are individuals with significant disabilities. In our case, blind people are considered to be individuals with significant disability. We always pass this standard.

1.5 Earnings Ratio. This must be greater than or equal to .59. NCBIV's was .803.

The average hourly earnings of all individuals who exit the VR program in competitive, self-employment, or BEP employment with earnings levels equivalent to at least the minimum wage as a ratio to the State's average hourly earnings for all individuals in the State who are employed (as derived from the Bureau of Labor Statistics report "State Average Annual Pay" for the most recent available year).

1.6 Self Support. This must be greater than or equal to 30.4 percent. NCBVI had 38.2 percent.

Of all individuals who exit the VR program in competitive, self, or BEP employment with earnings equivalent to at least the minimum wage, the difference between the percentage who report their own income as the largest single source of economic support at the time they exit the VR program and the percentage who report their own income as the largest single source of support at the time they apply for VR services.

How much a client had as an income when accepted to be a client (including SSI, SSDI or any other main source of income) compared to how much the client is making when close as competitive employment when being closed. The purpose here is to see if the services we provided had made a difference in the individual life in regards to his/her income.

Performance Standard 2 Equal access to services.

2.1 Minority Service Rate Ratio. This must be greater than or equal to .8 percent. NCBVI's was .895.

This measures the service rate for all individuals with disabilities from minority backgrounds as a ratio to the service rate for all non-minority individuals with disabilities. In other words, the percentage of people we serve who represent minority populations.

The Standards and Indicators are looked at closely by the management staff. When case reviews are done, we look to see if we are helping people move toward the employment they want. We also look to see if there is anything we need to do differently for clients.

Commissioner Walla asked what happens if an agency does not meet the Standards.

Director Van Zandt noted that potentially the feds may also choose to make the agency pay the money back or not fund the agency for the next year. They may also do an intensive audit. Director Van Zandt added that to her knowledge, the feds have never pulled funds, but it is a possibility.

Vice Chairperson Jirak noted that numbers can be read in many different ways and he appreciated the clarification.

Commissioner Walla asked how the changes in RSA administration have affected the agencies. Director Van Zandt reported that specific to Rehab Services Administration; the biggest change was back when they eliminated the regional offices. Not only did they get rid of many people who were in the regional offices that had lots of experience, but they also cut down the size of the workforce in Washington, DC. From the perspective of those out in the states who are trying to provide the services, the biggest problem is that a lot of expertise went away. A lot of folks who are currently in RSA do not have the years of experience. Director Van Zandt noted that it can be a barrier in getting a clear articulation of regulations when needed.

The regional office that NCBVI was in (includes Nebraska, Kansas, Missouri and Iowa) was Region VII. Director Van Zandt noted that NCBVI had a good working relationship with the federal regional office.

This concluded the Focus Topic discussion.

#### Public comment.

Mark Bulger – commented that there are 24 agencies that are separate from the other disability groups. Mark noted that we should be thankful for this. For example, the cost for a successful employment outcome for the disabled in general, not counting the blind, is \$16,000 per successful outcome. For the blind it is \$100,000. If the agencies were combined together and then trying to put to best uses every dollar, the blind would fall towards the bottom. This is one reason that we fought hard for separate agencies and we should continue to push for that and continue to value that.

The second comment has to do with the Federal Report Card verses the Standards and Indicators. The way he sees the Indicators is that they are pass/fail. Hopefully the goal is to pass everything. The Report Card tells how well the agency is doing. Last year NCBVI passed six out of seven Standards and Indicators. Mark stated that he feels the most important Indicator is 1.2 which deals with percentage of employment. NCBVI failed this one last year and continues to fail this one. This is an important one because our purpose is to take people off of SSI and SSDI and get them to an employment outcome. Typically, NCBVI is towards the bottom of the nation in the percentage of successful outcomes.

The third comment deals with competitive outcomes. Mark stated that he feels NCBVI does well in this area. However, if NCBVI's percentage of successful outcomes is low but it is a great competitive outcome, we can look good on the few successful outcomes and skew the results. It may show that NCBVI serves a few people, but very well.

Mark Bulger noted that it is important the clients can also self-support themselves. Mark noted that NCBVI is also low in this area.

Mark Bulger stated that he feels that the Report Card is important as it shows how NCBVI is doing compared to other states.

Howard Compton – asked what NCBVI plans to do in order to meet Indicator 1.2. Howard also asked what the NCBVI is doing to educate employers that blind people can work jobs.

Executive Director Van Zandt noted that NCBVI does strive to pass all of the Indicators. NCBVI deputy directors are meeting with individual staff and supervisors to go through the cases to look at the actual clients and identify what we can do directly to help each client achieve their goal.

Carlos Serván reported that NCBVI is currently opening cases in I.L. and making sure that the client is committed to an employment goal before opening them in Basic Support. Carlos stated that since last year NCBVI has decreased in half the number of unsuccessful closures. Director Van Zandt noted that her goal is not to spend a lot of time saying NCBVI is better or worse than other state agencies. NCBVI looks at the individuals we are serving and looking at ways we can improve.

Executive Director Van Zandt reported that NCBVI works state-wide to educate employers on the abilities of blind people to work. NCBVI has held Employment conferences to address the issue, counselors go to places of employment and network with employers for the purpose of educating them about blindness. One of the Lincoln VR counselors recently completed a power point presentation for employers about the value of employing blind people. This is a resource that will also be placed on the NCBVI website and will be shared with employers. Director Van Zandt stated that she hopes that co-locating at Heartland Workforce Solutions is another part of educating employers.

Shirley Allen – Shirley asked if NCBVI has resources to go back to unsuccessful closures to see if there lifestyle has improved after receiving NCBVI services.

Director Van Zandt reported that NCBVI has a third party person who does surveys and telephone interviews with individuals who have been closed from service; both successful and unsuccessful closures.

Break

A break was taken at 10:45 a.m. The Commission and all present were also given a tour of the Heartland Workforce Solutions new facility. The meeting resumed at 11:22 a.m.

### Report from the Chair

Chairperson Johnson reported that she attended the Nebraska Business Enterprise retreat in Omaha and she also attended the National Federation of the Blind State convention this quarter.

Commissioner Oltman reported that she also attended the National Federation of the Blind State convention this quarter. Commissioner Oltman noted that she continues to attend the Blind Networking Conference calls. These calls will now be held quarterly. Commissioner Oltman noted that the calls are a good resource for sharing information.

Vice Chairperson Jirak reported that he attended the reception at the Nebraska Business Enterprise retreat in Omaha.

Commissioner Hansen reported that he also attended the National Federation of the Blind State convention in Kearney. During the convention he gave a report on the NCBVI Commission. Commissioner Hansen noted that he is looking forward to attending the Center's Thanksgiving luncheon on November 8. During this time he will be talking to clients.

### Report from the Executive Director

Director Van Zandt verbally gave highlights of her report and she thanked the Commissioners for their time. The entire report of the Executive Director is pasted below.

### **Executive Director's Report November 3, 2012**

Our Scottsbluff staff will be moving to the new State Office Building on November 8<sup>th</sup>. There have been a lot of changes about all the logistics involved, including when the move would occur, where we would end up, how we would manage everything. The Scottsbluff staff members, Josie Rodriguez and Angie Hoff, have worked very hard through all this! This move should be our final one, with hopes for no more floods and a good location with other state agencies.

We completed the RSA Monitoring Review Corrective Action Plan quarterly update as required. This included work on the federal findings, aspects to resolve the findings related to cost allocation, policies, funding, plans for transition aged clients, cooperative agreement with education entities, workforce agreements, etc.

The Biennium Budget Proposal has been submitted to the State of Nebraska Budget Office. It will be reviewed by the Unicameral and Governor's offices; then considered during the Legislative session starting in January 2013.

Work on the State Plan was completed; it was submitted to RSA and approved by RSA. We have begun discussions with Mississippi State University to develop a contract for a Comprehensive Statewide Needs Assessment.

Director attended Employment Seminar, NBE Blind Vendors Committee Training Retreat, and numerous meetings with personnel issues, Admin Team, Supervisors, Center Staff and others.

Worked to complete and submit the State Biennium Budget proposal. We are in process of completing answers to questions from the Legislative Budget Analyst; also working with Governor's Budget Analyst as the process moves forward.

We are working with Mississippi State University – Rehabilitation Research and Training Institute on Blindness and Low Vision, to develop a project for Federal Fiscal Year 2013, to conduct a Comprehensive Statewide Needs Assessment. Planning for this is in process.

Attended and represented NCBVI at the Omaha Association for the Blind 90<sup>th</sup> Anniversary Celebration in Omaha.

Attended and represented NCBVI at National Federation of the Blind of Nebraska State Convention; held a public forum for comments and input from consumers.

Worked with Friends of the Commission on tax status and other issues.

Attended Dept. of Education/Transition Advisory Committee meeting, combined with Transition Practitioners Committee.

Attended Governor's Employee of the Year Awards Ceremony; celebrating Cheryl Poff as NCBVI Honoree for 2012. The White Cane Proclamation was also held by Governor Heineman; it was attended by several staff members, some Center clients and other consumers.

Worked on accessibility issues with Wes Majerus and state officials. The State Administrative Services, Dept. of Personnel is rolling out a new employee performance appraisal system. It is all online and is not fully accessible.

We have been fine tuning policies regarding Client Confidentiality, Client Confidentiality in Electronic Formats, IPE development for Transition aged clients, the Technology Policy, Center Prerequisites, and others.

#### Field Services

During Federal Fiscal Year 2012 (October 1, 2011 through September 30, 2012), we served 559 Vocational Rehabilitation (VR) clients in all statuses. 63 were closed having achieved their employment goals. 35 were closed without achieving employment (refusing further services, unable to locate, failure to cooperate, transfers to other agency, and other).

In the Independent Living (IL) track, from October 1, 2011 through September 30, 2012, we served 770 clients in all statuses. 288 were closed successfully. 54 were closed without achieving their goals (withdrew, moved, deceased, institutionalized, and other reasons).

#### Nebraska Center for the Blind

Total Full-time Clients Served between 1996 through October 2012: 204

Competitive Employment: 116

Homemakers: 23

Students: 48

#### Results:

Of the clients that finished training and schooling;

88.5 percent are employed (competitive employment and homemaker)

74 percent of the clients are competitively employed

14 percent are homemakers

23.5 percent are students from the total number

8.8 percent are not working (less than last quarter 9.6%)

#### Center Activities

Bryan Hospital Nursing students spent days at Center to learn about training

County Fair many blue ribbons and second and third places for food items

College workshop

Employment workshop

Fishing

Movie activity

NFB State Convention

White Cane proclamation

Fire Safety at the apartments

Appetizer activity

Halloween soup and salad party

Getting ready for Thanksgiving dinner to be held next week

#### Omaha District Update November 2012 by Nancy Flearl

Once again there is never a lack of activity.

Kathy and Kelly have been working with the Winnerfest Committee preparing for the upcoming Winnerfest Program November 8, 9 and 10<sup>th</sup>.

They likewise attended the Envision conference in St. Louis in September and brought back many ideas to share with staff.

Cheryl has been doing in-services in the community to service providers that are providing services for healthy aging.

We had a meeting with Alegent Health System patient advocate director on September 27th. We discussed our services and how we receive very few referrals from doctors. We discussed doing presentation for Human Resources, Nursing Education, Diabetic Educators, Social Workers, doing a Grand Rounds. They will be discussing have a referral to us on discharge from clinic and hospital visits.

We also networked with the doctors and staff that attended the Academy of Eye Physicians and Surgeons on October 5<sup>th</sup>. Discussed how we can work in partnership in helping their patients maintain independence and employment.

Kathy did a presentation with Mary Davis on October 10<sup>th</sup> at the Diabetes of the Midlands. They discussed our services the importance of early referrals and sharing the techniques and skills for diabetic management. This presentation was for Diabetic Educators and pharmacy Techs.

Kelly did a presentation with the Nebraska Occupational Therapy Association on October 12th. More and more eye doctors employ an OT that focus on low vision therapy. But the sessions are limited. She discussed early referrals for employed individuals so we can assist with accommodations and it is much easier to maintain employment than to find new employment opportunities.

Chad, Carol and Monica attended the "Big O" show on October 17<sup>th</sup> and networked with 300 businesses about our services to employers.

Chad and Monica attended an employment conference in Iowa sponsored by TACE in October.

Carol, Elaine and Monica attended the Transition conference in October.

We have attended some Chamber Events and luncheon's held by Human Resources of the Midlands.

October 18<sup>th</sup> was the grand opening of the Heartland Workforce Solutions facility. I did have an opportunity to visit with the Mayor and other elected officials as well as city and business leaders about our services and work with employers. With that thought I did a presentation to the full Work Force Board about our services on September 27<sup>th</sup>. Monica Tripp co-locates there on Thursday's and Friday's.

We are continuing our work with Motivational Interviewing with Kate Speck. We have been bringing case scenarios and discussing how we have been implementing MI in our work.

We have had 4 people find employment this quarter. One as a Chef, One a Vending Assistant, One in Customer Service and lastly one as a Machine Operator. 2 of the 4 are supported employment cases.

We once again have about 10 clients doing a temporary job for Omaha Steaks for the holiday season. It is a wonderful way to evaluate clients work readiness, how they relate on the job, etc. This was started on October 9<sup>th</sup> and will end December 14<sup>th</sup> or 21<sup>st</sup> depending on the response from Omaha Steaks and the number of orders they are receiving.

We did celebrate Staff Appreciation with a joint potluck to celebrate Boss's Day on October 1<sup>st</sup> in Omaha and Connie Daly and I did a joint lunch with Norfolk on October 17<sup>th</sup>. I am so fortunate to work with an incredible team here at NCBVI.

We are also excited that Cheryl Poff from the Omaha Office was this year's Employee of the Year. We did attend the ceremony on October 24<sup>th</sup>.

October is also boss's day and I am so fortunate to have the support of wonderful administration.

#### North Platte District – Sarah Stewart

I began my position as the North Platte District Supervisor in June of this year. I have been learning a lot and everyone (besides me) has been very patient with this process.

In August, VR staff and clients attended the College Workshop and Employment Conference. We had three students participate in the college workshop and two in the Employment Conference.

In September, most of the North Platte District staff participated in the For Your Independence Training held in North Platte. There were 7 participants who attended including 1 VR (Voc Rehab) client, 4 OIB ("Older Blind") clients, and 2 IL-B (Independent Living) clients. One of the IL-B clients was so empowered by the training that he decided that he is capable of working and asked that we open a VR case so he can begin more intensive training.

In October, several staff attended the Transition Summit held in Grand Island. Staff are also seeking other trainings such as Bridges Out of Poverty, evaluating low vision products, and Elder Abuse prevention. I attended a training called Emergenetics which was focused on making the most of individual strengths. I also attended a First Time Supervisor's Training which provided me with some helpful strategies in addressing staff needs and issues. Cristal Grado, Jamie Forbis, and I will begin attending committee meetings for Project Search sites in Kearney, North Platte, Grand Island, and Hastings.

We are currently collaborating with a consumer and Chadron State College to hold a disabilities awareness workshop titled "Disabilities No More; Together we will Explore." Jan Brandt and Angie Hoff have been working hard to help coordinate the program and plan presentations. Fatos Floyd and Mike Floyd will also be attending and presenting. We are excited for this collaboration and the chance to build opportunities for the blind in rural Nebraska.

The Scottsbluff office is planning for their move to a new office building. Unfortunately, the move date continues to be pushed back. The office has been relocated several times in the past few years and staff there will be glad to have a final home. I appreciate their patience with the process.

We continue to do our best to serve the number of clients we have over a vast area and have been receiving a steady stream of both IL and VR referrals. This will continue to be a challenge as Cristal goes on maternity leave and we hire and train for the North Platte Vocational Rehabilitation Counselor position. We are lucky to have a great team who continue to endeavor to persevere.

Since June, we have had seven successful closures for clients including new employment for a Computers Systems Analyst and supported employment for a Stock Clerk. We also were able to achieve job retention for clients working as an Accountant, Pump Mechanic, Construction Laborer, Maintenance Worker and NBE Vendor.

We will hold our annual North Platte District Meeting in Kearney on November 27<sup>th</sup> and 28<sup>th</sup>. Dr. Van Zandt, Carlos Serván, Bob Deaton and Wes Majerus are planning to join us for the meetings.

#### Other Field Services

We have opened the position for VR counselor in North Platte (NP).

Lincoln and Omaha districts are now taking MI (motivational interviewing) training. The NP district is scheduling its MI training for the spring of 2013.

We had 63 successful VR closures this year, same as last year. We had 27 fewer unsuccessful VR closures than last year.

The Employment Conference and the College workshop were done in August. The Employment Committee recommended having an Employment Conference next year in Lincoln. The Lincoln District will also coordinate the College Workshop next year.

#### NBE – Nebraska Business Enterprises

There is a new vendor on training at the Juice Bar at the Omaha Air Force Base. She is still getting training and seems to start doing better and better in her business.

The National Guard gave us a new small contract, delivering sandwiches to the Lincoln Airbase one weekend per month for a year. The vendor found this opportunity. There is a possibility that when they finish the remodeling at the Airbase dining area, NCBVI will get a contract.

On September, we had our second annual NBE training and retreat for our blind vendors and potential candidates to enter into the program.

We will meet with the Department of Roads staff on November 8 to talk about vending opportunities in their buildings.

Seven new buildings from the Postal Services will be added to a couple of blind managers in Omaha. A new vendor will be running five small buildings from the Postal Services in Lincoln starting December.

Serván reported on the NBE income for this past year and the previous year. There was a dramatic increase in the overall income, net income, and the individual blind vendor's income.

Technology Team – Program Manager Report by Wes Majerus

August was a busy month for me. I prepared my commencement meal on August 16 and graduated training August 17. I assumed the Technology Program Manager position on August 20. Since then, I have visited all three districts and worked with the Technology Specialists that I supervise in those districts. I have also begun to support Commission staff solving computer and access technology related issues.

I am serving as the liaison between the Office of the CIO and the Commission for ensuring that technological infrastructure and software works to meet our needs and falls within the parameters set by the State. I am also working with AS State Personnel to ensure that a Performance Appraisal system to be used state-wide is accessible for our employees to utilize.

Dottie Wilmott and I have also been working to ensure that eForce remains accessible. We are planning to allow developers from Freedom Scientific to examine the system to resolve issues with the way that JAWS interacts with some page components.

Jan Brandt, Nancy Coffman, and I also presented tech seminars at the 2012 NFBN State Convention in Kearney, NE. Highlights included a comparison of the Macintosh and the PC, as well as access technology useful for students.

The State is preparing to migrate to Exchange 2010. I will be assisting staff with any issues that arise with desktop and mobile devices on our November 5 conversion date.

One of the more major projects I have been undertaking is inventory. We need to determine what software and hardware we have and the software and hardware needs

that are unmet. I am working with the technology specialists and with Bill Brown to get an accurate inventory of computers and software. We are also replacing laptop and desktop computer systems. We have begun allowing the Office of the CIO to image, or baseline, the systems after they are received from Dell. Once this is done, I install JAWS, test the systems, and set them up in the staff member's office. This process seems to be working well.

Business Office - Bill Brown

State Budget completed and submitted.

Cost Allocation Plan approved on a provisional basis; working with feds and internally to finalize and implement.

Put together Single Audit Resolution and enact it.

Kathy Stephens – Administrative Assistant

Worked with Linda Duran of Specially for You in Lincoln to design staff appreciation gift which was a business card holder.

Completed registrations and reservations for staff and clients attending the NFB-N Convention. Also made arrangements for several staff members to attend various trainings.

Assisted with NCSAB 2012 Fall Conference registrations and payments.

Finished with inventory for Division 001 of NCBVI fixed asset inventory and bar code scanning. Don Ward completed the inventory for Division 003. Inventory report is due August 31 of each year.

Continue to work on surplus of old and non-working electronic equipment as well as unusable office furniture.

I contacted:

Drake University in Iowa,

Emporia State University in Kansas,

Stout University in Wisconsin,

Maryville University Missouri,

Minnesota State University in Minnesota,

Saint Cloud University in Minnesota, and

Langston University in Oklahoma in regard to posting NCBVI job openings at their University. They have all informed me to simply email to them the job opening and they will post it.

I will put all of their email addresses in a group and will email to them job postings as they become available. This was done with the recently opened position of VR Counselor, North Platte District.

## **Unfinished Business**

### **Budget Update**

Executive Director Van Zandt noted that NCBVI is in a good position with its budget. The agency has had carryover each year due to social security reimbursements.

The Feds are looking at all agencies as agencies must spend Program Income before they can draw down federal grants. Social Security reimbursement is considered program income. We have developed a formula to assure that our business processes comply.

Director Van Zandt reported that NCBVI has received Grant Awards for 2013. The Feds give agencies a proportion of the funds at various times throughout the year.

Director Van Zandt reported that NCBVI is working on a Cost Allocation Plan (CAP). This is a plan to ensure that funds are spent appropriately. For example, Vocational Rehabilitation funds must be spent on Vocational Rehabilitation clients. Staff now marks their Personnel Activity Report (timecard) to show how many hours they spend working in each grant. Various other changes are being made to ensure that the agency is spending funds appropriately.

The State Budget was submitted. When the Legislative Session begins, there will be a budget hearing for each agency. NCBVI has no special agenda this year. NCBVI is just requesting continued support.

### **NFB Newsline® Update**

Nebraska NFB-Newsline®  
Jamie K. Forbis, Outreach Coordinator  
October 29, 2012

August started this quarters report with 1,586 subscribers with 7 more added throughout the month. Subscribers accessed the state newspapers 3,381 times, the local channel 109 times and TV listings 430 times for a total of 16,479 minutes of content read. The average call length in August was 13.72 minutes and 50.65% of the calls were made using the local number.

In September 6 new subscribers were added to NFB-Newsline®. The state newspapers were accessed 3,315 times, the local channel 122 times and TV listings 512 times for a total of 15,677 minutes of content read. The average call in September lasted 13.23 minutes and 48.28% of the calls were made using the local number.

As of the midnight on the 28<sup>th</sup> day of October; 14 new subscribers were added bringing the total numbers to over 1,600. Between those subscribers, 13,480 minutes were spent reading NFB-Newsline®. The state newspapers were read 2,771 times, the local channel

114 times and the TV listings 371times. The average call lasted 13.87 minutes and 48.08% of the calls were on the local number.

#### Client Assistance Program (CAP) Complaint or Issues

Executive Director Van Zandt reported that there have been two CAP cases this past quarter.

The first one involved providing technology equipment to a client. The issue was resolved before it became a formal complaint.

The second one was that a client requested their case be transferred to from one office to another. CAP will discuss with the client what would be involved in transferring the case so that the client can make an informed choice, based on all the factors involved.

#### Nebraska Business Enterprise (NBE) Update

Chairperson Johnson reported that she attended the NBE Retreat at the Marriott in Omaha September 7 – 9 and it was very good. Johnson noted that she attended the Business meeting, the presentations and the reception. Johnson also noted that she sees a large need for leadership training for those who are new to the program.

NBE bid on and was granted the award for the Field House juice bar and vending at Offutt Air force Base. This should be a good opportunity for an individual vendor. Because of transportation to the area, there were not any current vendors interested in the site, but there was an individual who has been in line to be a vendor is now in place at that site in training.

Carlos Serván noted that the Offutt Air Force Base vending has a good opportunity for growth. This is a challenge for the new vendor and NBE is offering much support.

The National Guard has a new small contract for NBE, delivering sandwiches once per month to the Lincoln Airbase.

NBE has two new vending sites at the Hastings and Fremont Post Offices. Carlos Serván noted that NBE has fewer vendors than they had two years ago, but the current vendors are making more money. There were 15 vendors and there are currently 13 vendors.

NBE has acquired 14 small Post Offices in Omaha. Two vendors have four Post Offices each and six Post Offices are being subcontracted. Lincoln has five small Post Offices and a client is interested in the vending opportunity who will start running them in December. Carlos noted that he and Pearl have spoken to the Department of Roads and requested that NBE operate their vending machines. He sent an email to Cindy Roth and inquired about the status of the request. Cindy informed him that he will get an answer

soon. Carlos Serván and Director Van Zandt have a meeting with the Department of Roads staff on November 8, 2012.

One of the problems that NBE had in the past is that NBE was a totally separate program from the other programs within NCBVI. As NCBVI is doing things differently, the field counselors are now more involved and NBE is a part of the NCBVI team. In this instance, the field counselor is working hard with NBE staff to ensure that the client is successful. In the past, the client was referred to the NBE program and then the counselor did not participate much in helping the client as a vendor. Currently, everyone is working as a team.

Carlos Serván reported that in 2011 the average yearly salary per vendor was \$20,130 and in 2012 it was \$29,280. The total set-aside in 2011 was \$39,304 and in 2012 it was \$48,740. Set-aside funds go to repairing equipment, purchasing new equipment and paying support staff. The guidelines are stated in the Randolph-Sheppard Act. It was also noted that a retirement program option is also available for vendors.

### Lunch

A lunch break was taken at 12:10 p.m. and the meeting resumed at 12:45 p.m.

### Public Comment

Paulette Monthei – asked if eForce has a way to allow staff to code their time as it relates to cost allocation.

Director Van Zandt noted that eForce does not. Staff uses their Personnel Activity Report to record their time.

Barbara Epworth – asked what is meant by the word sequestration.

Director Van Zandt reported that sequestration is a potential federal way that funds may be handled. It could result in a budget cut of almost 8%, but we do not know yet what will happen.

### New Business

#### Discuss, Review and Act on Developed Guidelines for Client Travel to Consumer Conventions, Training Opportunities, Workshops, etc.

Executive Director Van Zandt read draft guidelines for client travel to consumer conventions, training opportunities, workshops, etc. The draft is below.

#### **Procedure for Point of Contact for Clients when Traveling on NCBVI Functions**

When a client is traveling to a convention or training event, supported by NCBVI, they will be given a NCBVI staff point of contact in the event that they need assistance, have questions or have a travel issue that needs to be resolved. The counselor must ensure that the client knows who their point of contact is before they leave.

If the counselor is attending the same event that the client is attending, then the counselor will be the main point of contact. The counselor is to ensure that the client has their work cell phone number before the event. The Executive Director will be the second point of contact and the client should also be provided with Executive Director's cell phone number. If the counselor will not be attending this particular event, or does not have a work cell phone, then the Executive Director will be the main point of contact.

Again, clients are to be provided with the point of contact phone number/contact information before they leave for the event. Clients who need help with travel problems, should contact their Counselor or the Executive Director via cell phone. The Executive Director may designate an alternate staff member as the point of contact if necessary.

After discussion it was suggested that the guidelines be revised per the comments of the commissioners and further review by agency supervisors.

#### Public Comment

Paulette Monthei suggested that NCBVI keep in mind as they develop the procedures that the agency is looking at preparing individuals for employment.

#### Discuss and Act on 2013 Meeting Dates, Locations and Focus Topics

The following dates, locations and Focus Topics were decided upon for 2013.

February 2 - Lincoln. Focus Topic: Transition Services and the Opening Doors Handbook

May 4 – location to be determined. There will be no Focus Topic as the Evaluation of the Executive Director will be discussed.

August 3 - location to be determined. The Focus Topic: Employers

November 2 – Omaha. The Focus Topic will be determined later.

The reason that the May and August meeting locations will be decided at a later date stems from discussion held at the August 4, 2012 Commission Board meeting. At that meeting it was suggested that the Commissioners look at the more active consumers out there and go to the home communities of where active consumers are. Vice Chairperson Jirak and Commissioner Hansen are to talk to consumers to find out what communities would like to host a NCBVI Commission Board meeting. This will hopefully help eliminate the Commission making trips across the state and having no public show up.

Executive Session Follow-up on Personnel Matters stemming from May 5 & August 4 Commission Board Meeting

Commissioner Jirak moved to go into Executive Session at 1:33 p.m. to discuss personnel matters and for the prevention of needless injury to the reputation of an individual. Commissioner Hansen seconded the motion. A roll call vote was taken and all commissioners voted in favor of the motion.

Commissioner Jirak moved to come out of Executive Session at 2:00 p.m. Commissioner Walla seconded the motion. A roll call vote was taken and all commissioners voted in favor of the motion.

Final Announcements

Commissioner Walla noted that if it is possible, he would like to have some public school teachers present during the Focus Topic at the February 2, 2013 Commission Board meeting.

Adjournment

Commissioner Jirak moved to adjourn the November 3, 2012 Commission Board meeting at 2:05 p.m. Commissioner Hansen seconded the motion. A roll call vote was taken and all commissioners voted in favor of the motion.

If you have an item that you would like to have placed on the agenda of the February 2, 2013 Commission Board meeting, please email it to the NCBVI Commission Board at [ncbvi.commission-board@nebraska.gov](mailto:ncbvi.commission-board@nebraska.gov).

Respectfully submitted,  
Kathy Stephens, Administrative Assistant  
NCBVI

Julie Johnson, Chairperson  
NCBVI Board of Commissioners

**FEDERAL REPORTS**  
Commission Board Meeting Focus Topic  
November 3, 2012

Nebraska Commission for the Blind and Visually Impaired (NCBVI) must submit numerous reports to federal entities throughout the year. Some are annual, some quarterly, a few are twice per year. For this focus topic, we have compiled information about the different reports involved. Each section discusses a different report that is submitted. Most are in line with or driven by our federal grants. Some are more programmatic, others financial, others purely data-based. The information provided here is to give you an understanding of what is involved with the work we do. I am not including the occasional reports which come up when federal audits or monitoring reviews take place, but all the reports we submit may be included in the audit or review activities which occur.

At the federal level, U.S. Department of Education/Rehabilitation Services Administration (RSA) compiles data submitted by all the various reports. In recent years, RSA has a great deal of data available to the public online. Two major documents were discussed during the Focus Topic session, so are also attached.

The information was provided by different members of our administrative team, particularly Pearl Van Zandt, Dottie Wilmott, Bob Deaton and Bill Brown.

**RSA-113 Report - Quarterly Cumulative Case Report**

The required data is used to track trends of persons applying for VR services, determinations of eligibility, identification of persons with significant disabilities, individualized plan for employment (IPE) development, service implementation and program outcomes. These trends are key program measurements that provide a general assessment of the VR program and its accomplishments.

Other uses of this data are to identify need for technical assistance, to develop RSA's budget requests and to provide program information for the Office of Management and Budget, the Department of Education and the United States Congress. The Social Security Administration also uses this data in computing reimbursement payments to State VR agencies. Caseload data from the RSA-113 are an integral part of the RSA's Annual Report to the

President and to the Congress on Federal Activities Related to the Rehabilitation Act of 1973, as Amended.

Data is periodically extracted from the eForce case management system for use in a Microsoft Access database for analysis as it is not feasible to do this directly within eForce. After analyzing, a monthly cumulative report is processed, generated and distributed. 30 days after the end of the first, second and third quarters and within 60 days after the end of the fourth quarter of the Federal Fiscal Year the data is entered directly into the RSA MIS website, validated, signed and submitted to RSA. The Federal Fiscal Year begins October 1st and ends September 30th.

### **RSA-911 Report - Case Service Report**

The RSA-911 Report contains a record for each case closure that occurred, regardless of the reason for closure. Therefore, because case closure is the trigger event, it is feasible that a consumer: 1) may not appear in the report in a given year, even though they received VR services during that year or 2) an individual may appear more than once in one year, if their case was closed on two or more separate occasions. Case closures from referral status are not part of the RSA-911 Report.

This report aggregates many variables of outcomes related information, including demographics, disability, sources of financial support, medical coverage, vocational goal, employment status, services provided, cost of case services, type of closure, reason for closure and more. The values of certain fields (e.g. income, hours worked per week, etc.) are reported both at application and at closure.

This report specifies the number of characters, the position, and, where appropriate, the possible values for each field within the record. The format divides each record into "elements", of which there are 43 in the current format resulting in 213 characters in length for each closure that is reported.

There is an Administrative Function within eForce that will generate the RSA-911 Report in a table format and also converts the table to the required text file of 213 characters per closure record. However, before running this report, we need to determine the "Cost of Case Services" for each case closure which is a required data element in the RSA-911.

There is a Case Costs Report in eForce that will generate the closures for the current fiscal year indicating the address book number for each case closure.

From this report you will then need to run a financial report in Edge to generate and obtain the costs of case services for each record. In some instances wherein a case has been opened prior to 2003, an additional financial report will need to be obtained from the old Grants Management System (GMS) which has been placed on the w: drive to determine the entire amount for the cost of case services. After this report is run and separated by case closure, the costs are entered into eForce. The cost of case services financial report generated in Edge for each client is then placed in their closed file.

After running the eForce RSA-911 report, which is usually generated every quarter, the text file is then processed and saved. The next step would be to run the text file through RSA ERA edit check which will produce the total number of submitted closures by closure type, anomaly log, error log and reasonableness log. These logs are checked and if necessary, errors fixed and all anomalies and reasonableness issues will need to be corrected and/or explained in the narrative section of the final submission.

Once the final RSA-911 report has been generated, the text file is submitted via email to RSA in Washington, DC in a zip password protected file including a separate narrative to address any errors, anomalies and/or reasonableness issues and is due 60 days after the end of the current fiscal year (September 30th).

The RSA-911 and the RSA-113 are used in conjunction with each other for comparison as to the total number of the specific closure types and number of case closures in each closure type.

The RSA-911 data is also used by RSA to generate our Annual Report and the Standards and Indicators which are completed by them and sent to us later in the year.

On Monday, July 2, 2012, the Federal Register published the Notice of Proposed Information Collection Requests for the Annual Vocational Rehabilitation Program/Cost Report (RSA-2) and the Case Service Report (RSA-911).

## **FEDERAL REPORTS: RSA 2, SF 425, and RSA 15**

Federal Reports coordinated by the Business Office include 3 regularly scheduled items.

1. RSA-2 Annual Vocational Rehabilitation Program/Cost Report for Nebraska Blind
2. SF-425: Federal Financial Report, known before 2010 as SF-269
3. RSA-15 – Report of Vending Facility Program

### **RSA-2 Annual Vocational Rehabilitation Program/Cost Report for Nebraska Blind**

The RSA 2 report is an annual report of expenditures made on behalf of the Vocational Rehabilitation program during the federal fiscal year that begins on October 1 and ends on September 30 each year. It includes Federal, Non Federal, SSA Program Income, and Supported Employment. It also deals with present grant year and carryover funds that are posted/spent during the fiscal year.

The report has 5 schedules which take a look at a cross section of expenditure and resource types:

- Schedule I deals with agency expenditures during the year that support broad areas of the program including Administration, Services to Individuals with Disabilities, Services to Groups of Individuals with Disabilities, and Innovation and Expansion Activities.
- Schedule II isolates the number of individuals who were served by the agency and amount of money spent on particular types of services including Assessment, Evaluation and Diagnostics; Training; Placement and Other services. It also isolates Supported Employment Expenses
- Schedule III is a report of the number of staff (Person Years) devoted to selected activities including, Administrative, Counseling, Staff supporting Counselor activities, and other.
- Schedule IV is a report that tells what part of the expenditures on the Vocational Rehabilitation Program were from sources other than Vocational Rehabilitation funds including Supported Employment (Title VI-B) and other rehabilitation Funds which generally refers to Social Security Reimbursement funds.
- Schedule V refers to Carryover expenditures and activities. It reports the amount of all funds that were carried over from the previous fiscal

year to the year reported and also identifies the amount of year reported funds carried over to the next fiscal year.

This report is generally prepared by the Business Manager and then Certified and submitted by the Executive Director.

**SF-425: Federal Financial Report, known before 2010 as SF-269**

The SF-425 or 425 Report is an annual report (except for Vocational Rehabilitation which is semi-annual) that reports expenditures for each federal grant award from to the agency. This reporting is done for the grant year and a carryover year as all grants have carryover capabilities and can have activity.

The report captures information on the amount of federal expenditures, obligations, and non-federal expenditures and obligations. It also monitors the matching requirements for each grant and it monitors the advances of federal funds to make sure that we are not drawing our federal funds before they are needed.

The report also monitors our SSA Program Income and how it is spent and allocated as we can allocate SSA Program Income to our Independent Living Grants if we choose.

This report is prepared by the Business Manager online in the RSA- MIS system and certified and submitted by the Executive Director.

**RSA-15 – Report of Vending Facility Program**

The RSA 15 report is a collaborative report that is developed by the Business Manager and the BEP Program Staff.

It is a report that isolates the amount of federal and BEP set aside funds that are spent on specific activities of the program and it reports the amount of Program Vendors income, expenses, and profits.

The report also tracks the number of sites that are on specific federal properties; new, established, and closed.

It tracks expenditures by sources of funds including federal, set aside and non-federal funding by type of expense which can include equipment, maintenance, or management services.

It also includes staff numbers and activities that are devoted to training vendors and agency personnel.

This report is prepared by the Business Manager and BEP staff. It is Certified and submitted by the agency Executive Director.

7OB - Annual Report of the Title VII Part B Chapter II Older Individuals who are Blind (OIB) Program - Submitted by Bob Deaton

The reporting period starts on October 1 and ends on September 30 of each federal fiscal year, and submission is due on December 31. Bob Deaton is the Program Manager of the OIB program and is responsible for coordinating the compilation and ultimate submission of the report.

Since FY2010, submission of the 7OB report has been entirely electronic.

Data collected for completion of the report come under seven sections.

Part I: Funding Sources and Expenditures - Bill Brown, NCBVI Business Office Manager, collects the data needed to complete this section of the 7OB report.

Part II: Staffing – completed by Bill Brown and Dave Robinson, NCBVI Personnel Officer.

Part III: Data on Individuals Served - Dottie Wilmott generates a print-out of the demographic data needed to complete this part of the 7OB report.

Part IV: Types of Services Provided and Resources Allocated - Dottie Wilmott and Bill Brown work together to gather the statistical and financial data needed to complete this part of the 7OB report.

Part V: Comparison of Prior Year Activities to Current Reported Year - Some of the data needed to complete this part of the 7OB report is not tracked in eForce. For example, to answer the item regarding the number of collaborating agencies NCBVI works with in the provision of services, Bill Brown and Bob Deaton determine the best answer in consultation with each other. Since RSA does not provide a clear and distinct definition of “collaborating agencies,” it is sometimes necessary to make a judgment call as to what the best answer should be. Dottie Wilmott also provides statistical data from eForce that can help respond to other items.

Part VI: Program Outcomes-Performance Measures - Dottie Wilmott generates a print-out of the data needed to complete this part of the 7OB report.

Part VII: Narrative - Bob Deaton completes this part of the 7OB report. For the past several years, the narrative has been in response to the following questions:

A. Briefly describe the agency's method of implementation for the Title VII-Chapter 2 program (i.e. in-house, through sub-grantees/contractors, or a combination) incorporating outreach efforts to reach underserved and/or unserved populations. Please list all sub-grantees/contractors.

B. Briefly describe any activities designed to expand or improve services including collaborative activities or community awareness; and efforts to

incorporate new methods and approaches developed by the program into the State Plan for Independent Living (SPIL) under Section 704.

C. Briefly summarize results from any of the most recent evaluations or satisfaction surveys conducted for your program and attach a copy of applicable reports.

D. Briefly describe the impact of the Title VII-Chapter 2 program, citing examples from individual cases (without identifying information) in which services contributed significantly to increasing independence and quality of life for the individual(s).

Summary of the Section 704 Annual Performance Report for the State Independent Living Services Program - Submitted by: Bob Deaton

There are two parts to the 704 report. Part I is filled out by the designated state units and state independent living councils. The “designated state units” represented in Nebraska include the Nebraska Commission for the Blind and Visually Impaired (NCBVI) and Nebraska Vocational Rehabilitation (VR) Services. Part II is filled out by independent living centers (such as the League of Human Dignity). NCBVI is only concerned with Part I of the 704 report.

The “state independent living services program” is authorized by Title VII Part B of the Rehabilitation Act of 1973 (as amended 1998). In the case of Nebraska, this report covers independent living services provided by NCBVI, VR, Nebraska State Independent Living Council (NeSILC), and Panhandle Independent Living Services (PILS).

Note: PILS does not complete Part II of the 704 report as other independent living centers in the state are expected to do because it was created after the Rehabilitation Act was amended to provide Title VII Part C funding for independent living centers. Created too late to benefit from Part C funding, PILS is almost entirely dependent on Title VII Part B funding provided by NCBVI and VR. For this reason, data provided by PILS is reflected under Part I of the 704 report.

Bob Deaton (NCBVI); Don Crouch, Director of Independent Living Services (VR); Kathy Hoell, Executive Director (NeSILC); and Carolyn Foged, Executive Director (PILS) are responsible for collecting the data from their respective agencies and organizations needed to complete the annual 704 report. All data are compiled by Kathy Hoell. Dr. Pearl Van Zandt (NCBVI), Mark Schultz (VR), and Kathy Hoell (NeSILC) sign the final report, and Kathy Hoell transmits it to the Rehabilitation Services Administration before the deadline on December 30.

The data on the 704 report are somewhat similar to that required to fill out the 70B report. Bill Brown provides the financial data reflecting services to IL clients as well as NCBVI's contribution to the Resource Plan of NeSILC and PILS. Bill Brown and Bob Deaton work together to answer some of the items regarding staffing of the IL program. Dottie Wilmott provides a printout of client demographics and data reflecting the types and extent of services provided. Bob Deaton also provides a short success story highlighting how independent living services can make a difference.

### IN-SERVICE TRAINING GRANT REPORTS

We prepare regular reports about our use of In-Service Training (IST) grant funds. The grant is usually in a five-year cycle; reports are done twice a year, or more, and each year the funding depends on completion of satisfactory reports for the previous period.

The IST reports include program performance and financial performance, both federal and state matching funds must be included in the report. The reports must mirror the project design, based on program areas, skills areas and needs identified.

It is not unusual for the amount of federal funds granted to be changed within the grant project year. When that occurs, we must revise the financial and program portions of the grant itself. Consequently the reports are also changed, to fit the new level of funding. The change in federal funds is followed by a change in non-federal, since the latter are set to match the former.

The program portions of the IST reports are quite detailed; based on the grant proposal goals and objectives. Throughout the year, we compile attendance and satisfaction data for training sessions from each counselor.

This information helps us to determine future use of IST funds. There are many different training opportunities available and the funds are limited. We work to assure they are used most effectively.

The last section of this document provides more detail about the IST reporting requirements, based on a presentation from RSA officials.

### RSA-722 Report - Annual Report on Appeals Process

Form RSA-722 was developed to comply with the specific reporting requirements of Section 102(c) of the Rehabilitation Act as amended in 1998 (Act). This section delineates the procedures by which applicants for and eligible individuals of State vocational rehabilitation (VR) programs may appeal decisions made by personnel of the VR unit/agency that affect the provision of VR services to them. Individuals may request that their disputes be resolved through mediation and/or an impartial due process hearing. (In some States, a Fair Hearing Board, established by a State before January 1, 1985, carries out the responsibilities of the impartial hearing officer (IHO).) The State may elect to establish a procedure that enables either party to seek review of a decision rendered by the IHO. Finally, either party may file a civil action if either remains unsatisfied with the final administrative decision.

Section 102(c)(8) of the Act requires the State VR Director to collect and report data on the appeals process to the Commissioner. A summary of this information is included in the Commissioner's Annual Report submitted to Congress pursuant to section 13 of the Act. Section 102(c)(8)(B) specifies the information that is to be collected:

1. A copy of the standards used by State reviewing officials for reviewing decisions made by IHOs;
2. Information on the number of hearings and reviews sought from the IHOs and the State reviewing officials, including the type of complaints and the issues involved;
3. Information on the number of hearing decisions made that were not reviewed by the State reviewing officials;

4. Information on the number of the hearing decisions that were reviewed by the State reviewing officials, and, based on the reviews, the number of hearing decisions that were:

- a. sustained in favor of the individual;
- b. reversed in favor of the individual;
- c. sustained in favor of the agency; and
- d. reversed in favor of the agency; and

5. Copies of all decisions rendered by the IHOs and State reviewing officials.

While Form RSA-722 was designed initially to respond to the mandate of law, it also will enable the Commissioner to monitor the appeals process in the State agencies that has been set up to safeguard the rights of individuals with disabilities. The form itself is devised to approximate the sequence of the appeals process and contains a series of checks and balances throughout to simplify the completion of the report.

RSA-722 is entered via the RSA MIS website, validated, signed and submitted and is due by November 30, 2012.

## DESCRIPTION OF DUE PROCESS PROCEDURES

1. Administrative Review of counselor's decision by NCBVI Executive Director or designee: Following the Administrative Review, the NCBVI Executive Director or designee sends to the consumer a full written report of the findings, the decision, and the basis for that decision.

An administrative review is not a mandatory part of the appeal process, but is suggested as a first step to allow for resolving the issue in the most timely manner and in an informal setting. The consumer may choose to go directly to a fair hearing or mediation.

2. If the Administrative Review decision is appealed, the applicant/consumer has the option to ask for mediation. An agreement has been made with the Nebraska Office of Dispute Resolution (NODR) and Regional Mediation Centers for the provision of Mediation Services for NCBVI. NODR, established in accordance with the Nebraska Dispute Resolution Act, is an office under the Nebraska State Supreme Court.

3. If the Applicant/Consumer does not want mediation, he/she can request an Impartial Hearing Officer: The Administrative Assistant to the NCBVI Executive Director has been appointed as the Hearing Coordinator. The impartial hearing officer makes a decision and sends, by mail to the consumer and the NCBVI Executive Director, a full written report of the

findings and the basis for the decision. If dissatisfied, consumers may request an impartial review and/or bring a civil action for review of that decision and if the latter is chosen, the fair hearing decision will be implemented pending review by the court.

4. Impartial Review of the Fair Hearing Decision: Either the NCBVI Executive Director or the consumer, or as appropriate the consumer's representative, may request a review of the decision of the hearing officer. The reviewing official shall be from the Office of the Governor.

RSA Program and Financial Management for In-Service Training Grants  
Presentation for NCRE Conference by Douglas Zhu and Tom Macy  
October 31 and November 1, 2011

I. Program Management For In-Service Training Grants

Legal Authorities:

The Rehabilitation Act of 1973, as amended, Title III, Sec. 302(g)(3) In-Service training of rehabilitation personnel

Applicable Regulations:

34 CFR Part 388 – State Vocational Rehabilitation Unit In-Service Training  
The Education Department General Administrative Regulations (EDGAR) in  
34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, and 99

OMB Circular A-87/2 CFR Part 225 – Cost Principles for State, Local and  
Indian Tribal Governments

General Requirement on Project Design:

The In-Service Training grants are designed to support projects for training State vocational rehabilitation (VR) unit personnel in program areas essential to effective management of the State VR services program or in skill areas to improve ability to provide VR services leading to employment outcomes for individuals with disabilities. (34 CFR 388.1)

The In-Service Training grants respond to the needs identified in the comprehensive system of personnel development (CSPD) described in the State Plan. (34 CFR 388.1)

To address recruitment and retention of qualified rehabilitation professionals;  
To provide for succession planning;  
To provide for leadership development and capacity building; and

To provide training on amendments to the Rehabilitation Act of 1973, as amended. (34 CFR 388.1)

The In-Service Training program is a needs-based staff training program. The State VR agency is required to provide evidence of needs and that the agency has conducted an assessment of the in-service training needs for all of the State unit employees. (34 CFR 388.20)

The basic grant funds are allocated to grantees based on a formula that provides each approved project an amount equal to the percentage that the designated State agency's staff, as reported by total person years to the Secretary on Form RSA-2, represents of all staff of all designated State agencies, as reported to the Secretary on Form RSA-2 for the most recent reporting period. (34 CFR 388.21)

The amounts of basic grant awards (84.265A) are calculated annually.

Quality awards (84.265B) must address the In-Service Training priorities, including [Note-NCBVI has had a Quality award in the past; we did not apply for one in the current 5-year cycle]:

- Development and Dissemination of Model In-Service Training Materials and Practices;
- Distance Education; and
- Enhanced Employment Outcomes for Specific Populations.

(34 CFR 388.22)

- Grantees (other than those receiving a minimum allotment) are required to provide at least 10 percent of the total costs of the project (about 11.12 percent of the Federal share).
- Grantees that receive a minimum share of one-third of one percent of the sums made available for the fiscal year are required to provide at least 4 percent of the total costs of the project (or about 4.16 percent of the Federal share).
- Grantees are encouraged to provide more than the minimum amount of State match.

Grantees are required to submit annual performance reports (ED-524B) through [www.G5.gov](http://www.G5.gov)

The annual performance reports will be used to determine the continuation awards for the following year.

The annual performance report is due April 30, 2012, 2013, and 2014.

The annual performance report for the fifth grant performance year is not required; however, a final performance report is required for all grantees and the final report will cover the entire five-year grant performance period from 10/01/2010 to 09/30/2015.

The due date for the final performance report is 12/30/2015 (90 days after the grant expiration or termination of grant support).

Annual and final performance reports will be submitted electronically through the Education Department's grants management website at [www.G5.gov](http://www.G5.gov). Grantees must use the ED Grant Performance Report Form (ED 524B) to submit grant performance reports.

If a grantee receives both a basic award (84.265A) and a quality award (84.265B), the grantee is required to submit a performance report for each of the grants.

Performance reports will contain, for each grant, brief information on the following:

- (i) A comparison of actual accomplishments to the objectives established for the period.
- (ii) The reasons for slippage if established objectives were not met.
- (iii) Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

Grantees must obtain the prior approval of RSA whenever any of the following actions is anticipated:

- 1) Any revision of the scope or objectives of the project (regardless of whether there is an associated budget revision requiring prior approval).
- 2) Need to extend the period of availability of funds (carryover).
- 3) Changes in key personnel in cases where they are specified in an application or a grant award.
- 4) Any budget revision which would result in the need for additional funding.
- 5) The applicable cost principles contain requirements for prior approval of certain types of costs. Except where waived, those requirements apply to all grants and sub-grants.
- 6) 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.

RSA has established uniform standards that provide a common framework for monitoring discretionary grants and cooperative agreements. RSA is authorized to conduct on-site visits or off-site monitoring.

- Desk Monitoring – Quarterly Teleconferences and on-going communications between the RSA Project Officer and the grantee Project Director
- On-site Monitoring – Risk-Based and Non-risk Based (RSA pilot in 2011)

RSA has established four evaluation standards for discretionary grants:  
Program Management and Administrative Compliance  
Financial Compliance and Internal Controls  
Program Performance, and  
Post-grant Compliance.

RSA will use a modified Lykert Scale to assign each criterion a value from zero to three. A higher number indicates a higher degree of concern.

- If the grantee is in full compliance with the criterion, the grantee would receive a rank of 0.
- If there are concerns, but they are relatively minor, this criterion would receive a rank of 1.
- A rank of 2 indicates a moderate level of concern with the grantee's performance related to this criterion.
- A rank of 3 indicates a high level of concern.
- The score for each criterion associated with a standard is added to reach a subtotal for that standard. The subtotal associated with each evaluation standard is then added to determine a total score for that grantee.
- A total score for the grantee of from 1-4 would result in a classification of Low Risk; 5-8 At Risk; and 9 and above, Significant Risk.
- The term of Significant Risk in this Grant Scoring Rubric refers to a grant condition that is below the risk level of "high risk" as defined by EDGAR 80.12(a) (34 CFR 80).
- When a grant is scored at the Significant Risk level, RSA project officer is required to conduct intensive monitoring and to further assess the grant conditions to determine if the grantee may be considered "high risk" in accordance with 34 CFR 80.12(a) and the Office of General Council needs to be consulted.

## II. Financial Management For In-Service Training Grants

In accordance with EDGAR 34 CFR 80.20, Standards for Financial Management Systems, grantees are required to have a financial management system that provides the following:

Expend and account for grant funds in accordance with State laws and procedures for expending and accounting for its own funds. Fiscal control and accounting procedures of the State must be sufficient to:

- (1) Permit preparation of reports required by the grant, and
- (2) Permit the tracing of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes.

The financial management system must meet the following standards:

(1) Financial reporting. Accurate, current, and complete disclosure of the financial results of financially-assisted activities must be made in accordance with the financial reporting requirements of the grant.

(2) Accounting records. Grantees must maintain records which adequately identify the source and application of funds provided for financially-assisted activities. These records must contain information pertaining to the grant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income.

(3) Internal control. Effective control and accountability must be maintained for all grant cash, real and personal property, and other assets. Grantees must adequately safeguard all such property and must assure that it is used solely for authorized purposes.

(4) Budget control. Actual expenditures or outlays must be compared with budgeted amounts for each of the grants (84.265A and 265B). Financial information must be related to performance or productivity data. If unit cost data are required, estimates based on available documentation will be accepted whenever possible.

(5) Allowable cost. Applicable OMB cost principles, agency program regulations, and the terms of the grant will be followed in determining the reasonableness, allowability, and allocability of costs.

(6) Source documentation. Accounting records must be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contract documents, etc.

(7) Cash management. Procedures for minimizing the time elapsing between the transfer of funds from the U.S. Treasury and disbursement by grantees must be followed whenever advance payment procedures are used. When advances are made by letter-of-credit or electronic transfer of funds methods,

the grantee must make drawdowns as close as possible to the time of making disbursements.

The budget plan is the financial expression of the project as approved during the award process. It includes the Federal and non-Federal share. If the grant award amount is different from the requested amount in the grant application, grantees are required to make revisions to reflect the actual awarded amount of Federal share and the approved matching amount shown on the Grant Award Notification.

In accordance with EDGAR 34 CFR 80.30, grantees are permitted to rebudget within the approved direct cost budget to meet unanticipated requirements and may make limited program changes to the approved project. However, unless waived by RSA, certain types of post-award changes in budgets and projects shall require the prior written approval of RSA.

The applicable cost principles (EDGAR 34 CFR 80.22) contain requirements for prior approval of certain types of costs. Grantees must obtain the prior approval of RSA whenever any of the following changes is anticipated under the In-Service Training grant:

- (i) Any revision which would result in the need for additional funding.
- (ii) Unless waived by the awarding agency, cumulative transfers among direct cost categories, or, if applicable, among activities which exceed or are expected to exceed 10 percent of the current total approved budget, whenever the awarding agency's share exceeds \$100,000.
- (iii) Transfer of funds allotted for training allowances (i.e., from direct payments to trainees to other expense categories).

#### Limit on Total Cost of a Project

A grantee must insure that the total cost to the Federal Government is not more than the amount stated in the Grant Award Notification. (EDGAR 75.531)

Regulatory CFR Citation 34 CFR 388 State Vocational Rehabilitation Unit In-Service Training

CAN FUNDS be CARRIED OVER?

Depends on the type of organization receiving grant Type of Organization

Direct Grant Programs, EDGAR 34 CFR Part 75

75.250 Project period can be up to 60 months.

75.251 The budget period.

(a) The Secretary usually approves a budget period of not more than 12 months, even if the project has a multi-year project period.

(b) If the Secretary approves a multi-year project period, the Secretary:

(1) Makes a grant to the project for the initial budget period; and

(2) Indicates his or her intention to make continuation awards to fund the remainder of the project period. 75.253 Continuation of a multi-year project after the first budget period.

(a) The Secretary may make a continuation award for a budget period after the first budget period of an approved multi-year project if:

(1) The Congress has appropriated sufficient funds under the program;

(2) The recipient has either—(i) Made substantial progress toward meeting the objectives in its approved application; or

Obtained the Secretary's approval of changes in the project that—

(A) Do not increase the cost of the grant; and

(B) Enable the recipient to meet those objectives in succeeding budget periods;

(3) The recipient has submitted all reports as required by §75.118, and

(4) Continuation of the project is in the best interest of the Federal Government.

(b) Subject to the criteria in paragraph (a) of this section, in selecting applications for funding under a program the Secretary gives priority to continuation awards over new grants.

(c)(1) Notwithstanding any regulatory requirements in 34 CFR part 80, a grantee may expend funds that have not been obligated at the end of a budget period for obligations of the subsequent budget period if—

(i) The obligation is for an allowable cost that falls within the scope and objectives of the project; and

(ii) ED regulations other than 34 CFR part 80, statutes, or the conditions of the grant do not prohibit the obligation.

Note: See 34 CFR 74.25(e)(2).

(2) The Secretary may—

(i) Require the grantee to send a written statement describing how the funds made available under this section will be used; and

(ii) Determine the amount of new funds that the Department will make available for the subsequent budget period after considering the statement

the grantee provides under paragraph (c)(2)(i) of this section or any other information available to the Secretary about the use of funds under the grant.

(3) In determining the amount of new funds to make available to a grantee under this section, the Secretary considers whether the unobligated funds made available are needed to complete activities that were planned for completion in the prior budget period.

(d)(1) If the Secretary decides, under this section, not to make a continuation award, the Secretary may authorize a no-cost extension of the last budget period of the grant in order to provide for the orderly closeout of the grant.

(2) If the Secretary makes a continuation award under this section—

(i) The Secretary makes the award under §§75.231–75.236; and

(ii) The new budget period begins on the day after the previous budget period ends.

(e) Unless prohibited by program regulations, a recipient that is in the final budget period of a project period may seek continued assistance for the project under the procedures for selecting new projects.

75.261 Extension of a project period.

(a) General rule. A grantee may, notwithstanding any regulatory requirement in 34 CFR part 80, extend the project period of an award one time for a period up to twelve months without the prior approval of the Secretary, if—

(1) The grantee meets the requirements for extension of 34 CFR 74.25(e)(2); and

(2) ED regulations other than the regulations in 34 CFR part 80, statutes or the conditions of an award do not prohibit the extension.

(b) Specific rule for certain programs of the National Institute on Disability and Rehabilitation Research. Notwithstanding paragraph (a) of this section, grantees under the following programs of NIDRR must request prior approval to extend their grants under paragraph (c) of this section:

(1) The Knowledge Dissemination and Utilization Centers and Disability and Technical Assistance Centers authorized under 29 U.S.C. 761a(b)(2), (4), (5), (6), and (11) and implemented at 34 CFR part 350, subpart B, §§350.17–350.19.

(2) The Rehabilitation Research and Training Centers program authorized under 29 U.S.C. 762(b) and implemented at 34 CFR part 350, subpart C.

(3) The Rehabilitation Engineering Research Centers authorized under 29 U.S.C. 762(b)(3) and implemented at 34 CFR part 350, subpart D.

(4) The Special Projects and Demonstrations for Spinal Cord Injuries authorized under 29 U.S.C. 762(b)(4) and implemented at 34 CFR part 359.

(c) Other regulations. If ED regulations, other than the regulations in 34 CFR part 80, or the conditions of the award require the grantee to get prior approval to extend the project period, the Secretary may permit the grantee to extend the project period if—

(1) The extension does not violate any statute or regulations;

(2) The extension does not involve the obligation of additional Federal funds;

(3) The extension is to carry out the activities in the approved application; and

(4)(i) The Secretary determines that, due to special or unusual circumstances applicable to a class of grantees, the project periods for the grantees should be extended; or

(ii)(A) The Secretary determines that special or unusual circumstances would delay completion of the project beyond the end of the project period;

(B) The grantee requests an extension of the project at least 45 calendar days before the end of the project period; and

(C) The grantee provides a written statement before the end of the project period giving the reasons why the extension is appropriate under paragraph (c)(4)(ii)(A) of this section and the period for which the project needs extension.

(d) Waiver. The Secretary may waive the requirement in paragraph (a)(4)(ii)(B) of this section if—

(1) The grantee could not reasonably have known of the need for the extension on or before the start of the 45-day time period; or

(2) The failure to give notice on or before the start of the 45-day time period was unavoidable.

## EDGAR 34 CFR PART 80—UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS

### 80.23 Period of availability of funds

(a) General. Where a funding period is specified, a grantee may charge to the award only costs resulting from obligations of the funding period unless carryover of unobligated balances is permitted, in which case the carryover balances may be charged for costs resulting from obligations of the subsequent funding period.

(b) Liquidation of obligations. A grantee must liquidate all obligations incurred under the award not later than 90 days after the end of the funding period (or as specified in a program regulation) to coincide with the submission of the annual Financial Status Report (SF-425). The Federal agency may extend this deadline at the request of the grantee.

So what is the answer, can funds be carried over?

- YES

- What is the procedure to request carryover?

- A written request to the Project Officer prior to the end of the budget period.

- Included in the request

- Amount requested to carry over

- Reason for the carryover request

- What the funds will be used for ( must be used to complete program goals not completed during budget period)

- RSA will approve or disapprove the request in writing, including an explanation for disapproval

WILL NO COST EXTENSION BE GRANTED PER 34 CFR 75.261?

- NO

- In-Service Training grantees will not be allowed to receive a no cost extension at the end of the 60-month performance period.

- We anticipate having a new competition for In-Service Training grants in FY 2015, which will be open to all state vocational rehabilitation agencies.

SF-425 Financial Program Reporting- In-Service Training

Background

- Reason for change – OMB developed the Federal Financial Report (FFR) for the purpose of establishing a standard format through which recipients of grants and cooperative agreements may report the financial status of their grants and cooperative agreements.

- The FFR replaces the SF-269 and SF-269A, as well as the Federal Cash Transaction Report forms (SF-272 and SF-272A).

- Grantees must use the new FFR (SF-425) to report financial data for new and continuation grants that were awarded on or after October 1, 2009.

Introduction to SF-425

- While the SF-425 is designed for single grant and multiple grant award reporting, the U.S. Department of Education's (ED) policy is that multiple

grant award reporting is not permitted for ED grants. [The SF-425 attachment (SF-425A), which is intended for reporting multiple grants, is not to be used for ED grants.]

- References to multiple grant reporting and to the SF-425A in items 2, 5, and 10 of the SF-425 are not applicable to ED grantees.

#### Data Entry Guidelines

- Numbers entered must be a positive or neutral integer except for percentages (e.g., 0, 1).
- If there is nothing to report in a required field, you must enter a zero.

#### \*Lines 1-4:

• The following information will be automatically entered from the Grant Award Notification (GAN):

- Federal Agency
- Grant Award Number (GAN Box 5)
- Recipient Organization (GAN Box 1)
- UNS Number (GAN Box 8)
- EIN

#### \* Grantee Entry Required

#### Changes to Lines 1-4

- Changing any of the information in Lines 1-4 requires an administrative change to the Grant Award. To request a change, please contact the RSA Program Officer.

#### \*Line 4b - EIN:

- Data entry is not required for this field. The Employer Identification Number (EIN) associated with the Grantee DUNS number listed in the G5 system will be the default entry.
- This number is also known as the Tax Identification Number (TIN).

#### Line 5 - Recipient Account Number or Identifying Number:

- This is an optional data element. Enter an account number or any other identifying number assigned by the grantee to the award.
- This number is for the GRANTEE'S USE ONLY and is NOT required by RSA. Data entry is limited to 30 characters.

#### \*Line 6 - Report Type:

- Select annual or final (report type).
- A report can be marked as final prior to the end of the grant award period if the grantee has liquidated available funds and no additional reporting is required for the grant award.

#### \*Line 7 - Basis of Accounting (Cash/Accrual):

- Specify whether a cash or accrual basis was used for recording transactions related to the grant award and for preparing the SF-425.
- A grantee can report using either a cash or accrual basis of accounting. However, if a grantee changes from one basis to another, the grantee should inform RSA of the change.

Line 8 - Project/Grant Period (From/To):

- Data entry is not required for this field. The grant period will be entered by default and will be the same as Box 6 on the GAN that documents when federal sponsorship begins and ends.
- The time period represents the year in which the funds were allocated. The grant period is one year in accordance with 34 CFR 77.1: "Grant period means the period for which funds have been awarded."

Line 9 - Reporting Period End Date:

- Data entry is not required for this field. The reporting period end date will be entered by default and will correspond with the required reporting period.
- The period covered is always the beginning date of the grant through the end of the reporting year.

Transactions: Federal Cash

\*Line 10a - Federal Cash Receipts:

- Enter the cumulative amount of grant funds drawn down from the beginning of the grant period to the reporting period end date.
- If no Federal funds have been drawn down, grantee should enter zero.

Transactions: Federal Cash

- Funds should be reported when they are received or drawn down by the payee or grantee, not when the drawdown is requested.
- Amount must be consistent with G5 drawdown data.

Transactions: Federal Cash

\*Line 10b -

Federal Cash Disbursements:

- Enter the cumulative amount of actual disbursements made from Federal funds drawn down as of the reporting period end date.
- Disbursements are the sum of actual cash expenditures made for direct charges for goods and services and the amount of indirect expenses charged to the award.
- If no Federal funds have been disbursed, grantee should enter zero.

Transactions: Federal Cash

Line 10c (Line 10a – 10b=10c) – Federal Cash On Hand:

- Data entry is not required for this field. This data element is calculated automatically by the RSA-MIS system.

- If more than three business days of cash are on hand, RSA may require an explanation on Line 12, Remarks, explaining why the drawdown was made prematurely or other reasons for the excess cash.

Transactions: Federal Cash

- Grantees must minimize the time elapsing between drawdown of federal funds and disbursement by the grantee in accordance with Treasury regulations at 31 CFR part 205 (34 CFR 80.21(b)).

Transactions: Federal Cash

Lines 10a, 10b, & 10c

Federal Cash: (Summary)

Cash Receipts..... \$999,999

Cash Disbursements.....\$998,888

Cash On Hand (Line a-b)....\$1,111

Note: Fiscal planning and cash management will enable grantees agencies to control and maintain a minimum amount of cash on hand.

Transactions: Federal Exp. and Unobligated Balance

Line 10d – Total Federal Funds Authorized:

- Data entry is not required for this field. This data element is updated automatically through the RSA-MIS system and represents the total amount of federal funds awarded to the grantee as of the end of the reporting period.

Transactions: Federal Exp. and Unobligated Balance

\*Line 10e – Federal Share of Expenditures:

- Enter the cumulative amount of actual disbursements made from federal funds as of the reporting period end date. This amount is for expenditures that are the sum of cash disbursements for direct charges for goods and services and the amount of indirect expenses charged.
- If no federal expenditures have been made, enter zero.

Transactions: Federal Exp. and Unobligated Balance

\*Line 10f – Federal Share of Unliquidated Obligations:

- Enter the federal portion of unliquidated obligations incurred by the grantee. Unliquidated obligations include direct and indirect expenses for goods and services incurred by the grantee, but not yet paid or charged to the grant award.

- Do not include the following amounts on line 10f:

-Expenditures reported on line 10e.

-Future commitments for funds for which an obligation or expense has not been incurred.

- If no federal Unliquidated Obligations, grantee should enter zero.

Transactions: Federal Exp. and Unobligated Balance

- Grantees have 90 days from the end of the grant period to liquidate federal obligations (34 CFR 80.23(b)). This 90-day liquidation period applies regardless of whether the grantee uses a cash or accrual basis of accounting.

Transactions: Federal Exp. and Unobligated Balance

Line 10g – Total Federal Share:

- Sum of Lines 10e + 10f = 10g
- Data entry is not required for this field. This data element is calculated automatically by the RSA-MIS system.

Transactions: Federal Exp. And Unobligated Balance

Line 10h – Unobligated Balance of Federal Funds

- Lines 10d – 10g = 10h
- Data entry is not required for this field. This data element is calculated automatically by the RSA-MIS system. For the final report, this represents the amount of federal funds awarded that the grantee did not request or drawdown. If this amount includes any cash on hand, the grantee must return the funds.

Transactions:

Federal Expenditures and Unobligated Balance: (Summary)

- d. Total Federal Funds Authorized... \$5,000,000
- e. Federal Share of Expenditures.....\$ 998,888
- f. Federal Share of Unliquid. Oblig...\$ 501,112
- g. Total Federal Share (10e + 10f)...\$1,500,000
- h. Unoblig. Balance of Fed. Funds....\$ 3,500,000

Transactions: Recipient Share

Line 10i - Total Recipient Share Required:

- Enter the total of the grantee's required non-federal share of the amount of federal funds drawn down, as reported on line 10a. Only include the actual non-federal share amount required of the amount reported on line 10a.
- Do not include any excess non-federal share amounts provided by the grantee on line 10i. Excess non-Federal share provided will be captured in the amount reported on line 10j.

Transactions: Recipient Share

\*Line 10j - Recipient Share of Expenditures:

- Enter the grantee's total amount of non-federal expenditures as of the end of the reporting period. This amount must include the grantee's non-federal share of actual cash disbursements or outlays (less any rebates, refunds, or other credits), including payments to contractors, AND the grantee's non-federal share of unliquidated obligations.

Transactions: Recipient Share

Line 10k - Remaining Recipient Share to Be Provided (Line 10i – 10j = 10k):

- Data entry is not required for this field. This data element is calculated automatically by the RSA-MIS system.
- If the amount entered is a positive number, this figure represents the amount of (the additional) non-federal share the grantee is required to provide by the end of the year in which the federal funds were awarded.
- If the amount entered is a negative number, this figure represents the amount of excess non-federal share provided by the grantee.
- All non-federal share funds expended in support of this program must be reported on the SF-425 – Line 10j

Indirect Expense:

Line 11

- Indirect costs are generally charged to federal awards via an indirect cost rate.
- Any grantee that wishes to claim indirect costs under federal grants must prepare an indirect cost proposal and submit it to the cognizant federal agency for approval (OMB Circular A-87, Attachment A, Paragraphs B and F).
- Grantees claiming indirect expense based on an approved cost allocation plan, rather than an indirect cost rate, should leave lines 11a, 11b, and 11c blank....
- But should enter the total amount of indirect expense claimed during the reporting period on line 11d and complete 11e, 11f, and 11g.

Indirect Expense:

- 11a. Type of Rate(s): Select whether the approved indirect cost rate is Provisional, Predetermined, Final, or Fixed.
- 11b. Rate: Enter the approved indirect cost rate(s) in effect during the reporting period.

- 11c. Period From; Period To: Enter the beginning and ending effective dates for the approved indirect cost rate(s).
- \*11d. Base: Enter the amount of the base against which the approved indirect cost rate(s) was applied. The base includes allowable expenditures to which the approved indirect cost rate may be applied.
- 11e. Amount Charged: Amount will be calculated automatically. No data entry is required.
- This amount is calculated by multiplying the approved indirect cost rate (line 11b) by the amount of the base against which the approved indirect cost rate was applied (line 11d).
- \*11f. Federal Share: Enter the federal share of the amount in 11e.
- 11g. Totals: Enter the totals for each of the columns on lines 11d, 11e, and 11f.
- Line 11g will contain three amounts, representing one total for each of lines 11d, 11e, and 11f.

Remarks:

Line 12

- This area can be used by the grantee to provide clarification about data found in other parts of the report. It can be used to describe special characteristics of the grant or to explain unique program aspects of the grant.

Certification:

Line 13:

- By signing this report, the grantee certifies that it is true, complete, and accurate to the best of their knowledge.
- Additionally, any false, fictitious, or fraudulent information may subject the grantee to criminal, civil, or administrative penalties (U.S. Code, Title 18, Section 1001).
- 13a. Typed or Printed Name and Title of Authorized Certifying Official: Enter name and title of authorized certifying official.
- 13b. Signature of Authorized Certifying Official: The authorized certifying official must sign here.
- 13c. Telephone (Area Code, Number and Extension): Enter the telephone number (including area code and extension) of the individual listed in line 13a.
- 13d. E-mail address: Enter the email address of the individual listed in line 13a.
- 13e. Date Report Submitted: Data entry is not required for this field. This date is automatically entered when the report is submitted (or resubmitted).