

**State Vocational Rehabilitation Services
and
State Supported Employment Services
Programs**

**Federal Fiscal Year 2023
Monitoring and
Technical Assistance Guide**



**U.S. Department of Education
Office of Special Education and
Rehabilitative Services
Rehabilitation Services Administration
State Monitoring and Program Improvement
Division**

TABLE OF CONTENTS

I. Monitoring Objective, Values, and Scope	2
II. Process Overview	6
III. Focus Area—Performance of the State Vocational Rehabilitation Services and State Supported Employment Services Programs	14
IV. Focus Area—Financial Management of the State Vocational Rehabilitation Services and State Supported Employment Services Programs	27
APPENDIX A Vocational Rehabilitation Program Accountability Model	35
APPENDIX B Vocational Rehabilitation Agency Required Documentation	39
APPENDIX C Vocational Rehabilitation Services and Supported Employment Programs	44
Performance Tables	44
APPENDIX D Vocational Rehabilitation Services and Supported Employment Programs Fiscal	67

I. Monitoring Objective, Values, and Scope

A. Objective and Values

Consistent with the requirement in Section 107(a) of the Rehabilitation Act of 1973 (Rehabilitation Act), as amended by Title IV of the Workforce Innovation and Opportunity Act (WIOA), to conduct annual reviews and periodic on-site monitoring of programs authorized under Title I of the Rehabilitation Act, the Rehabilitation Services Administration (RSA) has collaborated previously with State vocational rehabilitation (VR) agencies in the development of the Monitoring and Technical Assistance Guide (MTAG). RSA also engaged VR agency representatives in the development of the Federal fiscal year (FFY) 2023 MTAG, which has a specific focus on the performance of VR agencies in the use and expenditure of Federal funds to maximize quality employment outcomes for individuals with disabilities. As explained in the MTAG, the objective of monitoring is to support State VR agencies and RSA in improving results for individuals with disabilities seeking high-quality competitive integrated employment by responding to the unique needs and challenges of individual agencies and the VR program nationally. Fundamental to this monitoring approach are values shared by RSA and its State partners. RSA is committed to these values as it partners with State VR agencies in the conduct of monitoring to foster continuous improvement in outcomes for individuals with disabilities. As such, RSA's monitoring—

- Maximizes results for VR participants;
- Leads to continuous improvement in the VR program;
- Values and supports the Federal/State partnership;
- Focuses on areas designed to meet the needs of State VR agencies and RSA;
- Addresses the characteristics and circumstances of individual VR agencies with respect to the areas reviewed and the conduct of the monitoring;
- Fosters transparent and thoughtful verbal and written communication;
- Promotes the use of and improves the validity and reliability of programmatic and fiscal data;
- Makes efficient and effective use of RSA and State VR agency personnel and time devoted to the process;
- Delivers accurate, targeted, purposeful, and timely technical assistance, balanced with the need to assure compliance with fiscal and programmatic requirements; and
- Supports alignment of the public workforce system monitoring protocols and provides emphasis on coordination and collaboration at the Federal and State Level in evaluating and reporting performance and compliance across the core programs.

Embodying these values, this MTAG explains the process through which RSA will provide technical assistance to, and review the progress of, VR agencies in 1) maximizing the expenditure and use of Federal funds to improve the quality of services for, and employment outcomes achieved by, individuals with disabilities, and 2) complying with requirements under the Rehabilitation Act.

B. Scope of Review

1. General

Pursuant to Section 107(a) of the Rehabilitation Act, RSA must conduct periodic on-site monitoring and annual reviews to determine whether a VR agency is complying substantially with the provisions of its State Plan under Section 101 and the State Plan Supplement under Section 606 of the Rehabilitation Act and with the evaluation standards and performance indicators established under Section 106 of the Rehabilitation Act (which are subject to the performance accountability measures in Section 116(b) of WIOA and 34 C.F.R. part 361, subpart E).

The specific programs covered by this MTAG include—

- The State Vocational Rehabilitation Services program (VR program), established under Title I of the Rehabilitation Act (Title 1, 34 C.F.R. part 361); and
- The State Supported Employment Services program (Supported Employment program), authorized under Title VI of the Rehabilitation Act (Title VI, 34 C.F.R. part 363).

The return of a substantial amount of unused Federal funds for the VR and Supported Employment programs has generated the attention and concern of RSA, Congress, and stakeholders. Thus, RSA will focus FFY 2023 monitoring on identifying the root causes for the return of unused Federal funds and determining strategies and steps VR agencies may employ to reverse this trend. Importantly, during the programmatic and fiscal monitoring, RSA will ensure designated State units are complying with the nondelegable responsibilities for the administration of the VR and Supported Employment programs described in 34 C.F.R. § 361.13(c)(1). These responsibilities include—

- All decisions affecting eligibility for VR services, the nature and scope of available services, and the provision of these services;
- The determination to close the record of services of an individual who has achieved an employment outcome in accordance with 34 C.F.R. § 361.56;
- Policy formulation and implementation;
- The allocation and expenditure of VR funds; and
- Participation as a partner in the one-stop service delivery system established under Title I of WIOA, in accordance with 20 C.F.R. part 678.

RSA anticipates providing substantial technical assistance during the reviews and limiting compliance findings generally to those focus areas under review.

2. Focus Areas

When monitoring the State VR and Supported Employment programs, teams within the State Monitoring and Program Improvement Division (SMPID) will address two focus areas while reviewing the performance and compliance of each VR agency during on-site and off-site reviews. Generally, these focus areas cover—

- Performance of the VR and Supported Employment programs, including how the VR agency is implementing strategies and practices to achieve continuous improvement in the delivery of VR services, including pre-employment transition services, leading to quality competitive integrated employment and supported employment outcomes for individuals with disabilities; and
- Financial management of the VR and Supported Employment programs that supports and maximizes the use of Federal funds and resources to achieve continuous improvement in assisting individuals with disabilities to achieve quality employment outcomes.

The nature and scope of each focus area, along with the activities to be conducted under each, is contained in Sections III and IV, respectively, of this MTAG. As a result of the activities reviewed in each of the focus areas, review teams may identify—

- Strategies, including innovative practices, that VR agencies use or may employ to improve competitive integrated employment outcomes for individuals with disabilities, including students and youth with disabilities;
- Recommendations leading to continuous improvement in the number and quality of outcomes achieved by individuals with disabilities through the VR and Supported Employment programs;
- Recommendations leading to continuous improvement in the financial management of fiscal resources and strategies for maximizing the use of Federal grant funds;
- Compliance findings and corrective actions to improve processes and procedures, including the development or revision of policies and internal controls supporting effective and efficient program operations, service delivery, and data-based decision making; and
- Areas of technical assistance that will assist and support VR agencies in developing strategic action plans to improve and maximize program and fiscal performance and the use of funds.

3. Other Areas of Review

In general, the review team will conduct monitoring activities related only to those areas of review described above in B.2. However, a team may, after consulting with the VR agency and SMPID management, engage in further activities, including the provision of technical assistance, in areas not covered above, if such areas are of significant concern, and if the VR agency would benefit from technical assistance through the monitoring or review process. Additionally, when areas of potential noncompliance, that are outside the specific scope of the MTAG, are identified through the monitoring process, SMPID may add such areas to the scope of the review to ensure due diligence related to SMPID's legal responsibility to ensure compliance.

C. Technical Assistance

To ensure VR agencies and their educational and workforce partners, as appropriate, receive quality and timely technical assistance services, SMPID consults with: 1) the Office of Special Education Programs (OSEP) in the Office of Special Education and Rehabilitative Services; 2) the Employment and Training Administration and the Office of Disability Employment Policy in the U.S. Department of Labor; 3) the Administration for Community Living in the U.S.

Department of Health and Human Services; and 4) relevant training and technical assistance centers and demonstration projects funded by RSA, OSEP, and other Federal agencies regarding the provision of services for individuals with disabilities, including students with disabilities. The purpose of this coordinated technical assistance service delivery model is to assist VR agencies and their partners in providing quality VR and other services to individuals with disabilities leading to competitive integrated employment. Each technical assistance center focuses its efforts on a specific set of strategies and practices designed to provide universal, targeted, and intensive technical assistance to maximize the transition, employment, independence, and integration into the community of individuals with disabilities.

In FFY 2020, RSA funded three five-year technical assistance centers. They include—

- The Vocational Rehabilitation Technical Assistance Center for Quality Management (VRTAC-QM) awarded to San Diego State University for the purpose of providing training and technical assistance to VR agencies to assist them to manage available staff and fiscal resources, improve effective service delivery, and increase the number and quality of employment outcomes for individuals with disabilities;
- The Vocational Rehabilitation Technical Assistance Center for Quality Employment (VRTAC-QE) awarded to the University of Wisconsin for the purpose of providing training and technical assistance to VR agencies to support the implementation of innovative and effective employment strategies and supporting practices; and
- The National Technical Assistance Center on Transition: The Collaborative (NTACT:C) jointly funded with OSEP and awarded to the University of North Carolina-Charlotte for the purpose of providing training and technical assistance to VR agencies and State and local educational agencies to support the development and implementation of services, including pre-employment transition services for students with disabilities receiving services under the Individuals with Disabilities Education Act (IDEA) or supported by Section 504 of the Rehabilitation Act; and transition services to students and youth with disabilities, including youth who have dropped out of school, are homeless or are involved with the juvenile justice system.

Throughout the on-site monitoring or off-site reviews, SMPID's teams will share with the Training and Service Programs Division (TSPD) project officers who are responsible for the administration of the technical assistance centers, the technical assistance needs of VR agencies that will enable them to take the steps necessary to improve performance and resolve compliance findings. In turn, TSPD project officers will share information with SMPID review teams about any intensive and targeted technical assistance provided by the technical assistance centers to the VR agencies.

RSA strongly encourages VR agencies selected for monitoring in FFY 2023 to include the VRTAC-QM and other technical assistance centers, as appropriate, in monitoring and review activities prior to and during the process to assist in the development and implementation of corrective action plans (CAP) and strategic action plans focused on maximizing the use of Federal funds to improve program and fiscal performance. SMPID intends that the technical assistance provided in conjunction with the monitoring process will reflect a partnership among RSA staff, VR agencies, and the technical assistance centers to address agency and national VR

program areas of focus, including maximizing the efficient and effective use of funds and resources to ensure individuals with disabilities achieve quality employment outcomes.

II. Process Overview

A. Agencies for Review

In FFY 2023, SMPID will use its available resources to conduct eight off-site reviews and four on-site monitoring visits of 12 State VR agencies. RSA will select these VR agencies without specific regard to the recency of prior reviews; rather, RSA will select VR agencies based on the amount of Federal funds the agencies did not expend and their scores on the FFY 2023 accountability model.

B. Accountability Model

1. Background

SMPID uses an accountability model to assist in identifying agencies for review and maximizing the effective use of its resources to administer the VR program. The model is consistent with the guidelines set forth in the U.S. Department of Education’s (Department) Directive titled “Guide for Managing Formula Grant Programs,” dated August 13, 2019.

2. Accountability Model

The FFY 2023 accountability model is comprised of three fiscal factors and one programmatic factor for a total of four performance indicators, as follows:

- Percentage of the total FFY 2022 VR grant appropriation the State’s FFY 2022 VR allotment represents;
- Percentage of the State’s FFY 2021 Federal VR allotment expended during the year of appropriation;
- Percentage of the State’s FFY 2020 Federal VR allotment expended during the period of performance; and
- VR program participant percentage change from Program Year (PY) 2020 to PY 2021.

Note: RSA computes all data on a State basis to align the RSA accountability model with the principles in Title I of WIOA, under which core partners in the workforce development system, including VR agencies, are required to develop performance targets and report the Annual State Performance Report at the State level. This method ensures comparability between States with one combined agency and States with more than one VR agency (general and blind). In making the calculations, RSA/SMPID will review data reported on the Case Service Report (RSA-911) and relevant financial reports for the most recent period for which complete data are available. Further details about the Accountability Model can be found in Appendix A.

C. Selection of States

During FFY 2023, SMPID will use the accountability model and information related to the substantial amount of unused Federal grant funds to select VR agencies for either on-site monitoring or off-site reviews (see Appendix A).

SMPID will assign each State VR agency an overall accountability score of one to five, with five indicating a higher risk score in the identified areas. State VR agencies are selected for review based upon higher overall accountability scores and significant technical assistance needs related to the expenditure of their Federal VR program allotments. As such, SMPID may monitor a VR agency that has been monitored more recently.

D. Duration of the Monitoring Process

To the extent possible, SMPID teams will begin the monitoring process for selected VR agencies following the issuance of the MTAG for FFY 2023 and conclude all on-site monitoring and off-site reviews by September 30. However, the process for each VR agency under review is not intended to last the length of the entire Federal fiscal year. The SMPID review team, in collaboration with the VR agency, will determine the start date of the monitoring process, accommodating the schedule of the VR agency when possible. The process generally includes preparation and planning activities, an on-site visit or scheduled off-site meetings, and the development and issuance of draft and final monitoring reports.

E. Stages of the On-site Monitoring or Off-site Review Process

1. Planning and Preparation

SMPID review teams will contact each VR agency selected for on-site monitoring or off-site review and request documents and conduct virtual meetings, as needed, in preparation for on-site monitoring or off-site reviews. In coordination with each selected VR agency, SMPID teams will—

- Introduce the SMPID team responsible for the review, including the team lead, and have the VR agency identify its staff who will be involved in the review;
- Select dates for the on-site monitoring visit or the schedule for the off-site review;
- Identify stakeholders and partners to be invited to participate in the review, as appropriate, including State Rehabilitation Council (SRC) members, the Client Assistance Program, community rehabilitation programs (CRPs), employers, workforce development partners, educational agencies, and VR agency consumers and their representatives; and
- Determine the involvement of representatives of the technical assistance centers in the review and notify them of the review schedule.

Additionally, through virtual meetings or teleconferences, SMPID teams will—

- Discuss the monitoring process and the substance of the focus areas included in this MTAG with VR agency management, and, as applicable, progress made related to previous recommendations and findings relevant to the scope of the review;
- Discuss the agency's current characteristics and situation, such as its organizational structure and staff capacity, resources for service provision, the State's economic conditions and local labor markets, and the agency's strategic planning goals and objectives, so that SMPID may synthesize and prioritize discussions and technical assistance activities tailored to meet significant areas of need;
- Gather information pertinent to the focus areas of the review from representatives of the VR agency, SRC, and Client Assistance Program, as appropriate; and
- Finalize an agenda, which maximizes efficiency, prioritizes focus areas for discussion, and respects the VR agency's investment of time and resources for the on-site monitoring visit or off-site review.

The SMPID review team will review documents provided by the VR agency in accordance with the document request related to each focus area prior to the on-site monitoring visit or off-site review (Appendix B). Specifically, the review team will use the information obtained from these documents, analyses of program and fiscal data, and the information obtained during the pre-review planning activities described above, to identify, in collaboration with the VR agency, technical assistance needs and priority focus areas that will culminate in a productive review.

2. On-site Monitoring and Off-site Review Activities

The SMPID team will schedule the on-site monitoring visit or off-site review activities with each VR agency, accommodating as much as possible the schedules of VR agency management and personnel. The SMPID team will engage in a variety of activities, including, but not limited to—

- A brief entrance meeting to introduce SMPID review team participants and VR agency management and personnel and to review the on-site monitoring or off-site review scheduled agenda;
- Relevant discussions with key VR agency personnel in the program performance and financial management focus areas;
- The review of policies, procedures, practices, or innovative strategies with key personnel related to the focus areas;
- The review of internal control processes and procedures, particularly as they relate to the reporting of and expenditure of funds for services;
- The provision of technical assistance requested by the VR agency or recommended by SMPID and the exploration and development of strategic actions to address areas identified through the review process; and
- An exit meeting to discuss: 1) information gathered and observed by the review team that may form the basis for potential recommendations, findings, and technical assistance or strategic actions. (Note that any reference to potential recommendations and findings is subject to change based on input from RSA management or other Department offices; 2) next steps in the process, 3) the need for follow-up teleconferences or activities, and 4) input and feedback from VR agency management and personnel and other participants in the review concerning the monitoring process and activities.

The review team or the VR director may invite VR agency management and personnel, the leadership of the designated State agency (DSA), as applicable, and the chairperson or a representative of the SRC to participate in both the entrance and exit meetings, as well as any other activities in which their involvement would be pertinent.

Individuals with whom the review team may engage in discussions related to the focus areas during the on-site monitoring or off-site review may include—

- VR agency supervisors and counselors;
- State educational agency and local school district staff responsible for providing VR services to students with disabilities, particularly those students receiving pre-employment transition services;
- The DSA director;
- Other staff from the DSA responsible for fiscal or administrative oversight;
- Commissioners of agencies for the blind or other stand-alone VR agencies;
- Representatives of CRPs, specifically those contracted to provide pre-employment transition services to students with disabilities;
- Workforce development partners and employers, as appropriate;
- VR agency consumers and their families, as appropriate, and other stakeholders; and
- State auditors.

3. Follow-up Activities

After the on-site monitoring or off-site review activities, the SMPID team may require further documentation from the VR agency to supplement information obtained prior to or during the review. Additional teleconferences or virtual meetings may be necessary to clarify any outstanding questions or concerns the team has or to gather further details about a particular issue.

F. Draft Report

The review team will develop a draft report containing—

- Analyses, observations, and recommendations to improve VR agency performance in each focus area;
- Programmatic and fiscal compliance findings and required corrective actions to improve VR agency management and operations and outcomes for individuals with disabilities; and
- A brief summary of technical assistance provided during the review as well as plans for additional technical assistance and strategic actions that will be required after the conclusion of the review to assist the VR agency in achieving continuous improvement in maximizing the use of funds and resources to ensure high quality outcomes for individuals with disabilities.

The SMPID review team will develop and transmit the draft report to the VR agency following internal review by RSA management and, as needed, relevant departmental or inter-departmental review. If the review team anticipates delays in the issuance of the draft report, this information

will be shared with the VR agency with the intention of increasing the transparency of the monitoring process.

Once the draft report is issued, the VR agency will have 15 business days to submit written responses to the draft report. If there are extenuating circumstances, the VR agency may submit a written request for an extension that must—

- Detail the nature of the extenuating circumstances;
- Include a proposed due date by which the agency could provide its response; and
- Be submitted to SMPID at least 5 business days before the end of the 15 business days provided for the agency's response.

SMPID will notify the VR agency if a new submission deadline is approved.

The VR agency responses to the draft report should include—

- Identification of factual errors either in a comment inserted in the document, if substantial, or in redline track changes, if minor, or through an email;
- Responses to any programmatic or fiscal recommendations, compliance findings, and corrective actions in the designated areas for response in the report;
- The attachment of supporting documentation or data as needed to substantiate VR agency responses; and
- Requests for technical assistance to carry out the recommendations and corrective actions identified in the draft report.

If the VR agency would like to schedule a teleconference or a virtual meeting with the SMPID review team to discuss any aspects of the draft report, the agency should submit a request to the review lead as quickly as possible after receipt of the draft report. Delays in scheduling this call do not extend the 15 business days the agency has to submit its written response to the draft report.

G. Final Report

Based on the information the VR agency provides in response to the draft report, the SMPID review team will develop the final on-site monitoring or off-site review report, making any needed corrections. The SMPID review team may also modify or eliminate a recommendation, compliance finding, or corrective action after consulting with RSA/SMPID management, the Department's Office of the General Counsel, other Department officials, or other agencies, as warranted by the VR agency's response to the draft report.

In addition to the information included in the draft report, the final report will contain the VR agency's responses to the draft report and any requests for technical assistance to support the VR agency in carrying out the recommendations and corrective actions to improve agency management and operations to maximize the provision of services and the use of funds to ensure quality employment outcomes for individuals with disabilities. SMPID will include, at its discretion, documentation or exhibits submitted by the VR agency in support of its responses to the draft report. The SMPID review team may request additional assurances or documentation

from the VR agency in connection with programmatic or fiscal findings. The final report will indicate when such material is required. Once completed, the review team will transmit the final report electronically to the VR agency and the SRC. The VR agency, SRC, and others as appropriate, will be notified upon publication of the final report on the RSA website.

If the analysis and finalization of a particular finding or findings will unreasonably delay issuance of the complete final report, SMPID will issue a partial final report containing the findings for which analysis has been completed. The partial monitoring or review report also will briefly summarize the findings for which analysis has not been completed and indicate that these findings will be transmitted through a separate communication or addendum to the partial final report at a later date.

The final report represents SMPID's final decision related to the issues identified by the review team during the on-site monitoring or offsite review.

H. Corrective Action Plan

A corrective action plan (CAP) is a step-by-step plan of action that is developed to achieve targeted outcomes for resolution of identified monitoring findings. Within 45 calendar days from the issuance of the final report, the VR agency will submit for SMPID review and approval a CAP to address findings identified through the monitoring process to improve the VR agency's compliance, performance, and employment outcomes.

RSA, in collaboration with the VR agency to the extent possible, will identify target dates by which specific corrective action steps will be completed dependent on the specific facts related to each finding. In most instances, corrective actions should be completed within nine months following the approval of the CAP. In accordance with 2 C.F.R. § 200.303(d), VR agencies must "take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings." To facilitate the VR agency's development of the CAP and to promote consistency in the information contained in the plan, all CAPs will be developed, approved, and tracked by the SMPID team.

The content of the CAP must include—

- Statement of programmatic or fiscal findings consistent with the final report;
- Steps the VR agency will take to correct the finding(s). What steps will be implemented and how they will be implemented;
- Timelines for completion of steps;
- Person responsible for ensuring corrective action step is completed; and
- The evidence of success. What evidence will be submitted to demonstrate systemic correction of the identified issue(s).

The review team will transmit instructions to the VR agency for the submission of its CAP on the approved CAP form. The VR agency will use the CAP form to provide required quarterly progress reports on implementing the CAP. The VR agency's RSA State liaison will notify the VR agency once the CAP is approved by SMPID.

The first CAP progress report is due to the State Liaison no later than 30 calendar days after the end of the first full quarter following the approval of the CAP, and then 30 calendar days after each subsequent quarter is concluded, until all corrective actions are completed, and the CAP is retired. Following monitoring and implementation of corrective actions, at a defined interval (e.g., two years), where appropriate, RSA may contact the agency to determine if additional technical assistance or the conduct of another VR agency review is required.

VR agencies are required to make substantive progress toward the resolution of all findings within the required timelines. In the event an agency does not make progress toward compliance through the approved CAP, SMPID, at its discretion, may require the agency to take additional steps including, but not limited to, revising the CAP steps, timeline, target dates, etc. Depending on the nature of the findings, SMPID may take additional enforcement action including assigning specific conditions to the VR grantee's award(s) or designating the grant as high risk. In accordance with Department policy, SMPID may not closeout a grant award in compliance until ALL corrective actions have been successfully resolved.

I. Strategic Action Plan

Specific to the focus areas addressed during the FFY 2023 on-site monitoring and off-site reviews, the VR agency will develop and implement a strategic action plan (SAP) to demonstrate how it will reverse the return of unused funds and maximize the use and expenditure of Federal funds to improve performance and increase employment outcomes for individuals with disabilities, including those with the most significant disabilities, as well as how it will ensure the provision of pre-employment transition services to students with disabilities.

The SAP should—

- Identify causes for unused Federal funds and strategies and activities the VR agency will undertake to increase and maximize its ability to expend Federal VR and Supported Employment program grant funds;
- Provide a written workable plan for taking action, which contains a timeline for implementation that demonstrates results within a reasonable specified time;
- Be supported by documentation (e.g., fiscal reports, data, policies) showing implementation of the actions and results achieved; and
- Demonstrate a roadmap and commitment for continuous improvement.

The SAP also should describe progress the VR agency made in maximizing the use of Federal VR and Supported Employment program funds in FFYs 2021 and 2022, if applicable. Given a State's history with the return of unused Federal funds, RSA believes it is necessary that the VR agency under review identify and take strategic actions to address the root causes. In so doing, the VR agency will be better positioned to develop and implement a solid workable plan that will lead to continuous improvement in the use and expenditure of available Federal funds to assist individuals with disabilities.

The SAP is due to RSA within 60 calendar days of the receipt of the published review report. RSA encourages the VR agency to collaborate with the RSA-funded technical assistance centers,

as appropriate, in the development of the SAP. This collaboration can assist the VR agency in needed technical assistance, the identification and assignment of specific responsibilities for implementation, and the establishment of timelines. The review team will review and provide appropriate input regarding the SAP. The VR agency will submit written updates to the RSA team at least semiannually and the review team will convene teleconferences or virtual meetings with the VR agency and appropriate staff of the technical assistance centers to review progress on the SAP and discuss any further technical assistance needs that may have emerged.

J. Involvement of Consultants in the Review Process

VR agencies, at their discretion, may involve contracted consultants in any or all stages of the review process, including the exchange of information and conduct of teleconferences or virtual meetings in preparation for the on-site monitoring visit or off-site review activities, on-site monitoring or off-site review sessions, follow-up teleconferences or meetings, and the development of responses to draft reports as well as the development of the CAP or strategic action plan. During the initial stages of the monitoring process, VR agencies should inform SMPID about the role of any consultants retained. The review team will direct all communication to VR agency management and staff, as well as to technical assistance center representatives and other stakeholders when appropriate, but not to the consultants.

K. Involvement of RSA-Funded Technical Assistance Centers

VR agencies are strongly encouraged to seek the participation of the VRTAC-QM or other technical assistance centers, as appropriate, in the on-site and off-site monitoring and review activities. The involvement of the technical assistance centers will enhance their ability to support the VR agency with targeted or intensive technical assistance in the development and implementation of strategic actions, which VR agencies may take to maximize the use of funds and their existing resources to provide services to students with disabilities and VR program participants that will result in quality employment outcomes.

L. Evaluation of the Review Process

Consistent with RSA's commitment to continuous improvement, all participants in the monitoring and technical assistance review process, including VR agency management and personnel, SRC members, the Client Assistance Program, technical assistance centers, and other stakeholders, may, at any point in the review process, provide written comment and suggestions for improvement of the review process to RSA. This feedback may be used to inform future monitoring activities.

III. Focus Area—Performance of the State Vocational Rehabilitation Services and State Supported Employment Services Programs

A. Nature and Scope

SMPID will assess the performance of the State Vocational Rehabilitation Services (VR program) and State Supported Employment Services program (Supported Employment program) by reviewing RSA-911 data; will assess the VR agency's internal controls, including policies and procedures; and will conduct in-depth interactive discussions with the VR agency and other appropriate entities. The SMPID review team will consider the unique characteristics and circumstances of individual VR agencies with respect to their performance during the period under review. RSA will assist VR agencies with the provision of technical assistance to promote continuous improvement in the VR and Supported Employment programs, maximize the provision and quality of services, including pre-employment transition services for students with disabilities, ensure quality employment outcomes for VR participants, and improve the validity and reliability of program data to assist the VR agency in making data-driven and strategic program management decisions.

The data used in the analysis are those collected and reported by the VR agency through the RSA-911 based on RSA Policy Directives [16-04](#) and [19-03](#). These data include joint data elements necessary for the calculation of performance indicators for all core programs in the workforce development system, including the VR program, established in Title I of WIOA. The analysis is intended to serve as a broad overview of the performance of the VR and Supported Employment programs administered by the VR agency and should not be construed as a definitive or exhaustive review of all available VR program data. The data tables generally measure performance of the VR agency based on data for individuals with open and closed service records from PYs 2019, 2020, and 2021. The analysis will incorporate the data contained in the tables in Appendix C and information from the RSA data dashboards. SMPID will also review applicable VR agency policies and procedures, particularly as they relate to the provision and scope of VR services, pre-employment transition services, supported employment services, and the use and expenditure of funds, as well as those related to internal controls necessary for the verification of data. The SMPID team will review quality assurance processes and internal control activities related to the VR agency's case service records to assist in assessing the effectiveness of a VR agency's internal controls for the accuracy and validity of its data.

The SMPID review team will examine VR agency data and a variety of other resources, including the VR services portion of the Unified or Combined State Plan, to analyze the VR agency's performance. For example, SMPID will assess the efficacy of policies and services provided to eligible individuals with disabilities by reviewing the quality of employment outcomes, including such factors as hours worked, earnings, and the receipt of other benefits. Also, the examination of data related to attrition and reasons for exit may shed light on the engagement of individuals with disabilities in the VR process. Reviewing the percentage of individuals with disabilities served with particular types of impairments may be indicative of decisions made by VR agency management based on the results of the comprehensive statewide needs assessment (CSNA) and other information. In particular, the review team will look at

policies and program data in combination with fiscal data to formulate a picture of the VR agency's expenditure and use of funds to promote services leading to quality employment outcomes for individuals with disabilities. The SMPID team will also review the VR agency's performance on the WIOA performance indicators established in Section 116(b) of WIOA, discussing any issues related to reliability and validity of the data and the potential effect on the State and VR agency negotiated levels of performance, as applicable. SMPID will provide technical assistance as necessary or upon request.

The SMPID review team will share data tables with the VR agency prior to the on-site monitoring visit or off-site review. Throughout the review process, SMPID will engage the VR agency in discussions related to factors that may inform or explain performance considering any unique circumstances experienced by the VR agency. As a result of its analysis and discussions with key VR agency officials and staff, SMPID may develop recommendations intended to assist the VR agency in its efforts to improve performance in identified areas, specifically those areas related to the use and expenditure of funds for the provision of services, including pre-employment transition services. Generally, compliance findings will not be generated by the analysis unless, for example, SMPID finds that the VR agency lacks sufficient internal controls, VR agency policies or procedures reviewed in conjunction with the performance analysis are not consistent with Federal requirements governing the VR program, or program data are not accurately tracked and reported.

B. Analysis of the Performance of the VR and Supported Employment Programs

During the on-site monitoring or off-site review process, the SMPID team will conduct an analysis and joint discussion with the VR agency of the performance of the VR and Supported Employment programs guided by the questions below. These questions are intended to generate meaningful discussions and may lead to additional questions or areas for exploration, particularly as they relate to the scope and provision of services and the expenditure and use of funds.

VR Agency Profile

Resources: Appendix C

- Table 1—VR Agency Profile

The VR agency profile provides a summary of data that is designed to capture some of the most salient information about the VR agency's performance in the most recently completed program years. Among the data represented are the number of applicants and eligible individuals, the number of participants, the VR agency's employment rate, the number of individuals with disabilities who achieved competitive integrated employment or supported employment, data related to VR process efficiency and services, and data on the WIOA performance indicators.

Questions:

1. What impressions does the VR agency have regarding its performance? Does the VR agency have any unique circumstances or issues that have affected its overall performance as reflected in the profile?
2. Does the VR agency experience challenges or barriers related to the number of applicants or individuals served in the VR program? If so, what are they?
3. Has the VR agency experienced a downward trend in its employment rate? If so, to what does the agency attribute this trend and what strategies is the VR agency undertaking to improve its employment rate?

VR Process: Engagement of Applicants and Eligible Individuals with Disabilities

Resources: Appendix B and Appendix C

- Table 1—VR Agency Profile
- Table 2—Types of Exit
- Table 3—Reasons for Exit
- Table 7—Students with Disabilities

Timely and effective customer service leads to high-quality competitive integrated employment outcomes for VR program participants. Being engaged with applicants and eligible individuals with disabilities and assisting them during the eligibility and individualized plan for employment (IPE) development processes are attributes of positive customer service. SMPID review teams will look at policies, practices, and trend data, including the most recent program year, to create an understanding of the engagement and movement of individuals with disabilities through the VR process. Through the review of relevant policies and data analysis, the VR agency and the review team can pinpoint potential obstacles to efficient service delivery and engagement of individuals with disabilities throughout their VR journey. In many instances, such analysis can help to identify potential reasons for high attrition rates and premature exit at various stages of the VR process. It is equally valuable to examine data that show positive trends to assess the effectiveness of VR agency initiatives, practices, or policy changes to improve performance. To increase the expenditure of funds to serve eligible individuals and participants, VR agencies must increase the number of applicants and reduce the attrition of individuals at various points in the VR process.

Questions:**Order of Selection:**

4. If the agency is on an order of selection (OOS), what are the reasons and how has the OOS affected the expenditure of funds? If the VR agency is not on an OOS, is the VR agency considering implementing an OOS and what are the reasons?

Referral and Application:

5. Has the VR agency experienced rising or falling trends in the total number of referrals or applicants over the past three program years or even before the COVID-19 pandemic? If so, what factors or circumstances are contributing to these trends? How do these factors or circumstances contribute to the expenditure of funds and what strategies is the agency implementing to address falling trends or to sustain rising trends?
6. Once referred, how quickly are individuals engaged in the application process? What constitutes an application?
7. Are applicants leaving before eligibility determination? If so, why, and what is the agency doing to address attrition at application and prior to eligibility?
8. Has the VR agency recently reviewed or revised its policies and procedures pertaining to referral and application? If so, what were the reasons and results? If not, would doing so be beneficial and how?

Eligibility:

9. What is the VR agency's average timeframe for determining eligibility? Has the VR agency implemented strategies to shorten the determination process? Is the VR agency experiencing delays in the determination of eligibility of applicants? If so, why, and what efforts is the VR agency making to monitor and ensure compliance with the 60-day timeframe?
10. How is the VR agency engaging with individuals during the eligibility determination process? Is the VR agency using interim eligibility? To what extent is the VR agency relying on existing documentation or requiring assessments?
11. Is the VR agency complying with the presumption of eligibility requirements for individuals with disabilities eligible for Social Security?
12. What percentage of individuals are exiting after eligibility but prior to IPE development? What are the likely factors contributing to this attrition and how is the VR agency addressing them?

Ineligibility:

13. Is the VR agency providing the required trial work experiences for individuals prior to determining that an individual is ineligible because the individual is too severely disabled to benefit from VR services?
14. What other reasons for ineligibility is the VR agency reporting? Is the VR agency determining an unusually high number and percentage of individuals ineligible?

IPE Development and Participant Status:

15. If the VR agency is experiencing delays in the development of IPEs or is not in compliance with the 90-day timeframe, what steps is the VR agency taking to ensure compliance or to address delays? Does the agency have policies or practices that inhibit the timely development of IPEs?
16. What percentage of individuals are leaving before the development of the IPE and why? Are participants leaving the VR program after receiving services on the IPE prior to achieving an employment outcome? Has the VR agency evaluated the reasons for attrition of participants after receiving services to determine why this is occurring? What strategies is the agency implementing to decrease this attrition?
17. How is the VR agency ensuring and documenting informed choice in the development of the IPE, including the selection of the employment goal, the identification of needed services, and the selection of providers?

Service Record Closure and Exit:

18. Is the VR agency documenting and ensuring that all VR services and supported employment services identified on the IPE, including post-employment services, that are necessary for the achievement of the individual's employment goal have been provided prior to exit consistent with the individual's unique strengths, resources, priorities, concerns, abilities, capabilities, interests, and informed choice?
19. How does the agency ensure that the service records contain the supporting documentation necessary for closure?

Services and Service Delivery

Resources: Appendix B and Appendix C

- Table 1—VR Agency Profile
- Table 4—VR Service Provision
- Table 5—Measurable Skill Gains and Credentials
- Table 7—Students with Disabilities
- Table 8—Pre-Employment Transition Service Provision

Active engagement and meaningful service provision result in VR program participants achieving competitive integrated employment. The ongoing engagement of individuals in the VR process, exercise of informed choice, and the timely provision of quality VR services needed for VR participants to attain and maximize their employment goals is integral to the success of the VR program and the participant experience. The scope and type of services provided; policies related to payments, authorizations, and expenditures; service delivery methods; and established rates of payment are among the components influencing the use of funds to ensure successful employment outcomes for individuals with disabilities.

The information in Table 4 is intended to provide a general overview of the provision of services and the potential effect on the ability of eligible individuals to achieve quality employment. The VR services data are categorized into three subcategories: Training Services, Career Services, and Other Services. Training services may include such services as postsecondary education, vocational and occupation skills training, on-the-job training, and apprenticeship training. A full list of training services is provided in Section 134(c)(3)(D) of WIOA. Career services may include assessments, group or individual counseling, or career planning. A full list of career services is listed in Section 134(c)(2) of WIOA. Other services would include any other service provided through the VR program not specified as training or career services in WIOA. These services include, for example, transportation, maintenance, reader services, or interpreter services.

Questions:

20. What internal control activities, including policies and procedures, are in place to ensure individuals with disabilities are provided timely engagement and services throughout the VR process? Is there a balance between internal controls and service delivery processes? If VR services are delayed following the development of the IPE, does the VR agency have policies or practices that may inhibit the available choice or timely delivery of services?
21. Has the VR agency made any changes in its policies or procedures related to the provision of VR services and supported employment services (e.g., service delivery models, implementation of a financial needs test, cost containment measures, use of comparable services or benefits, expansion or addition of new services, post-employment services, career advancement, job retention, etc.)?
22. Are there limits on the nature and scope of VR services provided to the individual to achieve an employment outcome? What is the VR agency's policy on the provision of out-of-state services?
23. If the VR agency has financial need and cost participation policies, what effect do these have on individuals seeking VR services? For participants, how do these policies affect choice and the services provided on an IPE or the employment goal? Has the VR agency evaluated the effect of eliminating financial need or cost participation policies?
24. Is the VR agency providing VR services in-house or through vendors/ providers using fee-for-service arrangements or contracts, or a combination of both? How does the VR agency monitor or evaluate the effectiveness of VR services as well as consumer satisfaction with VR services?
25. Are there sufficient vendors/providers to meet service needs? If not, what barriers exist and what is the agency doing to address capacity? Is the agency providing VR services in-house that it could contract for to reduce strain on VR program staff resources?

26. Does the VR agency contract with or refer individuals to centers for independent living in the State for pre-employment transition services or VR services that assist individuals to obtain competitive integrated employment? If not, why not?
27. Are written policies for rates of payment compliant with 34 C.F.R. § 361.50(c)? How recently have policies related to rates of payment been reviewed or revised by the VR agency? Does the VR agency experience any barriers related to setting rates of payment? Note: Refer to the Financial Management focus area for additional information and questions related to internal control policies and procedures, contracts, and methodologies for determining rates of payment.
28. What correlations exist between the services being provided and the achievement of employment outcomes, both in terms of the quality and quantity of employment outcomes? Do certain services lead to better outcomes? For participants who exit without achieving an employment outcome after receiving services what types of services are being provided to those participants?
29. How does the VR agency consider the national, State, and local labor market information and future projections, as well as other information, when establishing the employment goal and career path with the individual and evaluating and planning the training and educational needs of the individual in the development of the IPE and the provision of VR services?
30. To what extent is the VR agency providing postsecondary and vocational training leading to credentials and improved opportunities to maximize quality employment outcomes? What are the VR agency's policies on the provision of postsecondary education and training and are there limitations? How often and under what circumstances does the VR agency grant exceptions?

Quality of Employment Outcomes

Resources: Appendix B and Appendix C

- Table 1—VR Agency Profile
- Table 2—Types of Exit
- Table 3— Reasons for Exit
- Table 4—VR Service Provision
- Table 5—Measurable Skill Gains and Credentials
- Table 6—Competitive Integrated Employment and Supported Employment Outcomes

The mission of the VR program is to maximize employment opportunities for all individuals with disabilities, including those with the most significant disabilities, and to assist individuals with disabilities to achieve economic self-sufficiency. The achievement of quality employment outcomes requires an investment in quality services and training, including the establishment of community rehabilitation programs, as needed, and the use of funds to support training programs and education leading to measurable skill gains and credentials, including advanced degrees. VR

program participants should sustain employment after they exit the VR program and be provided the opportunity to advance in their careers. To guide the analysis and discussion of quality employment outcomes, the SMPID team will review a variety of data elements with the VR agency, including the following:

- Employment status at exit;
- Employment rate;
- Median wages earned;
- Median weekly hours worked;
- Health insurance at exit;
- Social security benefits at exit;
- Individuals who exited with competitive integrated employment, including supported employment;
- Individuals employed in second quarter after exit and fourth quarter after exit;
- Percentage of individuals who retained employment;
- Types of occupations that VR participants obtain;
- Efforts to promote career advancement;
- The attainment of Measurable Skill Gains (MSG) and credentials;
- Efforts to assist individuals in achieving parity with the general working population; and
- Strategies to promote job retention.

Questions:

Employment Rate:

31. To what does the VR agency attribute to changes in the percentage of competitive integrated employment outcomes in recent years?
32. Given its employment rate, what strategies has the VR agency developed to improve its overall performance in assisting individuals with significant and most significant disabilities to achieve and retain competitive integrated employment or supported employment, including customized employment? What strategies is the VR agency using to increase the number and quality of supported employment outcomes?

Quality Indicators:

33. What strategies, policy changes, or practices, including the expanded use of funds to support quality services, has the VR agency implemented to improve its performance on the quality indicators for employment outcomes?
34. What strategies has the VR agency engaged in to assist individuals with significant and most significant disabilities to advance in employment, including apprenticeships and advanced training in the fields of science, technology, engineering, or mathematics (STEM), including computer science, medicine, law, or business, in accordance with the requirements of Section 103(a)(18) of the Rehabilitation Act?

35. Does the VR agency have strategies to assist individuals with disabilities in reducing the need for public support? Has there been a change in the number of individuals in receipt of public support (e.g., Supplemental Security Income, Social Security Disability Insurance, Temporary Assistance for Needy Families), other sources of support and medical insurance coverage (e.g., medical assistance) as a result of VR services and benefits counseling?
36. What strategies does the VR agency employ to promote career advancement, attainment of MSGs and credentials, and improvement in the quality and quantity of employment outcomes, including supported employment outcomes?
37. To what extent has the VR agency coordinated with other WIOA partner programs or other State programs to provide/coordinate services and the expenditure of funds that benefit VR program participants?

Pre-Employment Transition Services

Resources: Appendix B and Appendix C

- Table 7—Students with Disabilities
- Table 8—Pre-Employment Transition Service Provision

Early career exploration through pre-employment transition services increases the likelihood of students with disabilities achieving high-quality competitive integrated employment. The review team will analyze data on the number of students with disabilities, the number of those receiving pre-employment transition services, and the types of services provided. In addition, SMPID will provide information related to the breakout of students with disabilities who received pre-employment transition services as potentially eligible students with disabilities and students with disabilities who received these services under an IPE, as well as the number of students with disabilities who advance from potentially eligible status to VR program participant status and their outcomes. These data may be used to evaluate the relationship between the provision of pre-employment transition services, participation in the VR process, and employment outcomes. More specifically, the SMPID review team will explore the use of funds for the provision of pre-employment transition services and whether the agency is meeting the required reservation and expenditure of at least 15 percent of its Federal VR grant funds.

Questions:

38. Does the VR agency have updated and accurate policies and procedures to implement pre-employment transition service requirements, including the provision of services to students with disabilities who are potentially eligible for VR services?
39. How does the VR agency ensure accurate documentation, tracking, and reporting of pre-employment transition services provided to students with disabilities? How are VR staff tracking and documenting time spent providing required pre-employment transition

services or coordination activities for students with disabilities? Is the agency providing authorized activities?

40. For agencies that are not meeting or exceeding the reservation and expenditure of 15 percent of Title I VR funds for arranging and providing pre-employment transition services to students with disabilities, what are the reasons or explanations provided by the agency for not meeting this requirement? What strategies are being implemented to meet the requirement?
41. Of those receiving one or more pre-employment transition services, what percentage of students with disabilities are potentially eligible and what percentage are applicants for the VR program? How many students with disabilities are exiting pre-employment transition services without applying for further VR services? What strategies is the VR agency using to attract, engage, and encourage potentially eligible students with disabilities to consider applying for the VR program?
42. Of reported students with disabilities who are not receiving pre-employment transition services, what strategies is the VR agency using to increase the number of reported students receiving pre-employment transition services?
43. If the number of students with disabilities receiving pre-employment transition services is increasing, what is preventing the VR agency from meeting the reserve requirement?
44. How are pre-employment transition services provided and what challenges exist? Are there differences in the service modalities, level, or availability of pre-employment transition services in different parts of the State (e.g., unavailable CRPs in rural areas of the State, level of local educational agency coordination or cooperation)? What strategies is the VR agency employing to address any deficits?
45. For students with IPEs who receive pre-employment transition services as well as VR services necessary to support their participation in pre-employment transition services, what VR services are these students with disabilities receiving that may be charged to the reserved funds?
46. How does the VR agency engage with partners and education programs to collaboratively provide pre-employment transition services, including planning activities, joint activities, and coordination activities such as Individualized Education Program (IEP) meetings? What challenges, if any, is the VR agency experiencing in collaborating with education programs and other partners to provide pre-employment transition coordination activities?

C. RSA-911 Data Reporting, Internal Controls, and Quality Assurance

Resources: Policies and procedures related to internal controls necessary for the verification of RSA-911 data and quality assurance.

While not the sole basis for VR program management, the analysis of data can play a significant role in decision-making and strategies that drive improvement in performance and the use of

resources and funding. The more accurate and valid the data, the better the data-informed decisions will be. Quality assurance (QA) is a proactive process to ensure agency staff will deliver, and individuals with disabilities will receive, high-quality VR services. QA determines whether specific requirements are being met and improves work processes and efficiency by analyzing and monitoring performance, developing and implementing strategies to detect and correct deficits, and tracking performance metrics. Together, data-informed decisions and quality assurance lead to improved agency management of resources and outcomes for individuals with disabilities.

The SMPID Team will assess whether the agency is adhering to the internal control requirements in 2 C.F.R. § 200.303. Internal controls means a process, implemented by a non-Federal entity, designed to provide reasonable assurance regarding the achievement of objectives in the effectiveness and efficiency of operations, reliability of reporting for internal and external use, and compliance with applicable laws and regulations. Internal controls are established and implemented as a measure of checks and balances to ensure proper expenditures of funds. Internal controls serve to safeguard assets and prevent fraud, waste, abuse, and mismanagement. They include methods and procedures the grantee uses to manage the day-to-day operations of grant-supported activities to assure compliance with applicable Federal requirements and that performance goals are being achieved. SMPID will review the VR agency's current control activities (policies and procedures), communication, and monitoring of internal controls and quality assurance designed to mitigate potential risks in achieving management and performance goals.

The VR agency is required to maintain verifying documentation in an individual's service record, particularly regarding eligibility determination, IPE development, services provided, and case closure. The VR agency must also comply with the data validation requirements outlined in joint WIOA policy guidance (RSA TAC-19-01). The use of an electronic case management system does not remove the requirement for the agency to maintain either hard copies or scanned copies of required supporting documentation in the individual's service record. SMPID staff will review VR agency internal controls to ensure accuracy of data reported in the RSA-911. Accurate reporting of data is paramount in making data-driven decisions in the management and operation of the VR program leading to continuous improvement in program and fiscal performance.

Questions:

47. In addition to case reviews, how does the VR agency's system of internal controls ensure that RSA-911 data are reported accurately and valid?
48. What technical assistance, if any, does the VR agency need on the requirements for developing and implementing improved internal controls to ensure that data reported are accurate and valid?
49. What training and technical assistance does the VR agency need on the type of source documentation required to validate the data reported through the RSA-911? Describe the

VR agency's policies and procedures that implement RSA TAC 19-01: [Guidance for Validating Jointly Required Performance Data Submitted under WIOA](#).

50. Describe how the VR agency adjusts its RSA-911 reporting based on errors it is receiving through RSA's quarterly edit checks. How does the VR agency ensure future reporting errors are avoided based upon past errors generated by the edit checks?
51. How does the VR agency use data to inform and improve program performance and fiscal management?
52. How does the VR agency communicate and ensure that VR counselors and staff understand and consistently apply policies and procedures related to RSA-911 data collection and reporting?
53. What degree of autonomy do VR counselors have in authorizing services and what internal control activities are in place?
54. How does the VR agency ensure accurate reporting of MSG and credential attainment? How does the VR agency identify, capture, and document MSG and credential attainment in case service records? How is this data verified? Do service records have supporting documentation?
55. Is the VR agency a signatory to the State Wage Interchange System (SWIS) Agreement? If the VR agency has not signed the SWIS Agreement what separate interstate wage sharing agreements has the VR agency executed with other States to satisfy the requirement that States use interstate wage records in measuring a State's performance on the WIOA primary indicators of performance?
56. To what extent does the VR agency participate in other data sharing agreements? For example, does the VR agency have existing agreements with secondary or postsecondary institutions for the purpose of obtaining information regarding enrollment, measurable skill gains, or credential attainment; or State workforce partners for the purpose of determining co-enrollment in other workforce programs?

D. Technical Assistance

The following questions are designed to assess the quality of the technical assistance provided by RSA and RSA-funded technical assistance centers, as well as to identify the ongoing technical assistance needs of the VR agency. During the preliminary meetings with the VR agency in preparation for the on-site monitoring or off-site review, the VR agency is encouraged to identify specific technical assistance needs to achieve continuous improvement in performance, which SMPID can address during its on-site or off-site meetings, or which can be referred to the RSA technical assistance centers.

57. What technical assistance needs does the VR agency have on any issue or topic related to the performance focus area?

58. Has the VR agency received technical assistance from RSA staff on any issue or topic related to this focus area? If so, please describe the nature of the technical assistance provided and the need for any additional technical assistance.
59. Has the VR agency received technical assistance from one or more of the RSA-funded technical assistance centers on a topic or issue related to this focus area? If so, from which center? Was the technical assistance universal, targeted, or intensive? Please describe the technical assistance received. What were the objectives and results?

IV. Focus Area—Financial Management of the State Vocational Rehabilitation Services and State Supported Employment Services Programs

A. Nature and Scope

The effective and efficient fiscal administration of the VR and Supported Employment programs is essential to the ability of a VR agency to maximize the funds available for attainment of employment outcomes for individuals with disabilities. SMPID will review components of the grantee's financial management system and assess the fiscal accountability of the programs to—

- Ensure funds are expended within the period of obligation and are used only for allowable purposes;
- Ensure programs have sound internal controls and reliable reporting systems;
- Identify needed improvements in fiscal policy, processes, and procedures to ensure the maximum use of Federal funds to benefit VR participants and students with disabilities; and,
- Ensure a relative benefit to the VR system is proportional to the expenditure (e.g., contracts, one-stops, indirect cost rates, cost allocation plans, etc.).

Internal controls means a process, implemented by the grantee, designed to provide reasonable assurance regarding the achievement of objectives in the effectiveness and efficiency of operations, reliability of reporting for internal and external use, and compliance with applicable laws and regulations. Internal controls serve to safeguard assets and prevent fraud, waste, abuse, improper payments, and mismanagement. They include methods and procedures the grantee uses to manage the day-to-day operations of grant-supported activities to assure compliance with applicable Federal requirements and that performance goals are being achieved. The VR agency's internal controls for ensuring compliance with fiscal requirements will be a core component of the financial management system review, particularly as they relate to the VR agency's use of Federal funds, including the required reservation of funds for pre-employment transition services, and the requirements for non-Federal match.

The Federal fiscal requirements referenced during the review include—

- Rehabilitation Act and VR and Supported Employment program implementing regulations in 34 C.F.R. part 361 and 34 C.F.R. part 363, respectively;
- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) located in 2 C.F.R. Part 200;
- Education Department General Administrative Regulations (EDGAR) in 34 C.F.R. part 76;
- Departmental and RSA guidance, including Policy Directives (PDs), Technical Assistance Circulars (TACs), Grant Bulletins, Frequently Asked Questions (FAQ), etc.; and
- Grant Award terms and conditions.

The review team will use a variety of resources and documents from the current FFY and three FFYs prior. If the issues identified include FFYs beyond the three prior FFYs, SMPID may request additional information as needed. Resources and documentation to be reviewed include data submitted by the VR agency (e.g., Federal Financial Reports (SF-425), VR Financial Reports (RSA-17), and the VR services portion of the Unified or Combined State Plan) and in the Department's Grants Management System (G5).

The SMPID review team will review the following documents, as applicable, to ensure adherence to accountability requirements, and may request additional information, if needed:

- Single Audit findings and corrective actions;
- State/agency allocation/budget documents and fiscal reports;
- Agency policies, procedures, and forms (e.g., monitoring, procurement, etc.);
- Documentation of obligations and expenditures, including contracts, purchase orders, invoices, etc.; and
- Grant award notifications, documentation of non-Federal share/match (e.g., interagency transfers, third-party cooperative arrangements (TPCAs), establishment and construction projects, private donations), maintenance of effort (MOE), and program income documentation.

The SMPID review team will work collaboratively with the VR agency to obtain the documentation necessary to complete the review (see Appendix B), while minimizing the amount of documentation requested to the extent possible.

The degree to which the review team addresses each fiscal requirement is dependent upon the individual circumstances of the agency. The review team will analyze the information obtained prior to on-site monitoring or off-site review activities by reviewing the documentation submitted, conducting teleconferences or virtual meetings, and examining reported data to determine the level of review required for each component. Throughout the FFY 2023 review activities, the review team will focus on the use of funds and identification of strategies to assist VR agencies in minimizing the return of funds for reallocation and/or the return of unused funds at the end of the period of performance for the award. Therefore, the scope of this focus area is limited primarily to areas which address the financial management and operations that impact the use of or return of Federal funds.

B. Period of Performance—VR program

Period of performance is the time during which the non-Federal entity (grantee) may incur new obligations to carry out the work authorized under the Federal award (2 C.F.R. § 200.1). For purposes of the Department's Grant Award Notifications (GANs), the period of performance is referred to as the Federal Funding Period.

To accurately account for Federal and non-Federal funds, the VR agency must ensure that allowable non-Federal and Federal obligations and expenditures are assigned to the correct FFY award. SMPID uses the financial information reported by the grantee to determine each VR agency's compliance with fiscal requirements (e.g., reservation of funds, matching, MOE, etc.). Therefore, if the grantee is not assigning obligations and expenditures to the correct FFY, in

accordance with the period of performance requirements, RSA is unable to determine, with certainty, the grantee's compliance with these Federal requirements.

Because issues identified in this area significantly affect other areas of the fiscal review, if substantive issues related to period of performance are identified, this area will become a primary focus area for the fiscal review.

Questions:

1. Identify the State's requirements for determining when funds are considered obligated.
2. Identify the VR agency's internal control processes for tracking and reporting non-Federal and Federal obligations and expenditures to the correct FFY award. This includes a review of the fiscal data elements used by the VR agency to ensure tracking and alignment of obligations and expenditures to the correct FFY award. Specific areas for review include, but are not limited to—
 - Authorizations for consumer services;
 - Administrative costs (e.g., rent, utilities, personnel salaries, travel); and
 - Contracts (short-term and long-term).
3. Identify how the agency ensures obligations are liquidated within the period of performance or subsequent 120-day liquidation period.
4. Describe the agency's internal control processes for calculating and ensuring the accuracy of financial data, including the Federal and non-Federal share of obligations and expenditures, reported on the SF-425/RSA-17.
5. Describe the agency's processes for ensuring that adjustments (e.g., journal entries, rebates, refunds, etc.) are applied to the correct FFY.
6. How can these internal controls be improved?

C. Match (non-Federal share)—VR and Supported Employment programs

VR Program

This area assesses the matching requirements for the VR program. It includes an assessment of whether the matching level was met, as well as whether the sources of match were consistent with Federal requirements. Because match is the basis for determining a State's compliance with the VR program MOE requirements (34 C.F.R. § 361.62(a)), review of this area may include MOE when issues are identified.

VR program implementing regulations require that the State must incur a portion of expenditures under the VR services portion of the Unified or Combined State Plan from non-Federal funds to meet its cost sharing requirements (34 C.F.R. § 361.60). The required Federal share for expenditures made by the State, including expenditures for the provision of VR services and the

administration of the VR services portion of the Unified or Combined State Plan, is 78.7 percent. The State's share is 21.3 percent.

RSA staff will address requirements pertaining to the sources of non-Federal share used by the State as the match for the VR program including, but not limited to:

- State appropriations and interagency transfers;
- TPCAs;
- Establishment projects; and
- Randolph-Sheppard set aside expenditures.

Prior to the review, SMPID will ask the VR agency to identify the sources and amounts of match contributed by the VR agency, by FFY, for the period under review. Additionally, SMPID will request the agency's internal control processes for ensuring that only allowable expenditures are reported as the match.

State Appropriations and Interagency Transfers

Resources: SF-425/RSA-17 financial reports and agency documentation of non-Federal expenditures (e.g., general ledger, accounting records)

Match from State appropriations include obligations and expenditures from funds appropriated by the State to the DSA or designated State unit (DSU) to pay the State's share of program expenditures. This source may include State expenditures made on behalf of the program from a central account or other State department. For example, a State pays for personnel fringe benefits and indirect costs from a central pool of State funds. The actual State expenditures from this pool for VR staff providing allowable VR services would be treated as State appropriated funds.

This area includes non-Federal funds transferred to or otherwise under the control of the VR agency, so long as the VR agency maintains control over the determination of eligibility, the provision of services, and the allocation and expenditure of the funds.

Questions:

7. What are the sources and amounts of State appropriations reported as match by the VR agency, by FFY, for the period under review?
8. What are the agency's internal control processes for ensuring that only allowable expenditures are reported as the match? How can these internal controls be improved?

Third-Party Cooperative Arrangements (TPCAs)

Resources: Documentation related to TPCAs (e.g., contracts, agreements, and invoices)

TPCAs are agreements between the VR agency and other State or local public agencies (referred to as cooperating agencies). TPCAs allow the VR agency to use a third party to provide VR services to applicants for, or recipients of services from, the VR program. Services are typically provided by cooperating agency staff and may not be provided by VR counselors or other VR

agency staff. The review of TPCAs includes those for the provision of pre-employment transition services.

The SMPID review team will assess consistency of TPCAs with the requirements of 34 C.F.R. § 361.28. This includes the agency's process for ensuring that TPCA costs are allocable to the VR program in accordance with the relative benefits received (2 C.F.R. § 200.405).

Establishment Projects

Resources: Policies related to establishment projects and establishment project contracts or agreements; comprehensive statewide needs assessment; VR services portion of the Unified or Combined State Plan; and SF-425/RSA-17 financial reports

This area assesses fiscal accountability for VR funds used for the establishment, development, or improvement of a public or nonprofit CRP to provide VR services to applicants and eligible individuals of the VR program that promote integration into the community and competitive integrated employment, including supported employment and customized employment (Section 103(b)(2) of the Rehabilitation Act and 34 C.F.R. § 361.49(a)(1)). The VR agency must evaluate the needs of VR participants in the comprehensive Statewide needs assessment (CSNA) (34 C.F.R. § 361.29) to determine whether the VR agency can establish, develop, or improve a public or non-profit CRP (34 C.F.R. § 361.5(c)(16) and (17), and 34 C.F.R. § 361.49(a)(1)). The need to establish, develop, or improve a CRP, along with goals and priorities and strategies to address the need, must be reported in the VR services portion of the Unified or Combined State Plan.

The questions below address the pre-planning requirements, as well as the use of non-Federal funds earmarked for establishment projects (34 C.F.R. § 361.60(b)(3)(i)).

Questions:

9. Identify any contracts or agreements the agency has regarding the establishment, development, or improvement of a public or nonprofit CRP. For these agreements, specify—
 - Where the CSNA incorporates the need to establish, develop, or improve a public or non-profit CRP;
 - The goals and priorities and strategies related to each establishment project;
 - How the agency determined the amount of funds to be contributed toward the project, including the source of the non-Federal funds (e.g., VR agency State appropriation, CRP non-Federal funds);
 - How the agency and CRP will ensure that only allowable applicants or recipients of VR services receive VR services from the establishment project; and
 - The process the agency used to ensure that all pertinent Federal requirements were addressed, such as the requirement that the Federal share of the cost of construction for the facilities for a FFY will not exceed an amount equal to 10 percent of the State's allotment under Section 110 for such year (Section 101(a)(17)(A) of the Rehabilitation Act) and that the Federal share for expenditures made for the construction of a facility for CRP purposes may not be more than 50 percent of the total cost of the project (34 C.F.R. § 361.60(a)(2)).

Randolph Sheppard Set Aside

Resources: Agency documentation of set-aside expenditures, Report of Vending Facility Program (RSA-15)

VR agencies serving as the State licensing agency are authorized by the Randolph-Sheppard Act to set aside funds for the purposes set forth in the statute. Such expenditures, in certain categories, are considered as non-Federal expenditures in support of the Federal VR program. Therefore, these expenditures must also be reported as non-Federal expenditures on the VR agency's financial reports for purposes of determining match and MOE—

- Acquisition of new and replacement equipment;
- Maintenance and repair of equipment; and
- Management Services and Supervision.

Questions:

10. Identify how the agency tracks obligations and expenditures from set-aside funds.
11. Identify the agency's internal control processes for ensuring that only allowable non-Federal expenditures, including set-aside expenditures, are reported as match. How can these internal controls be improved?

Supported Employment Program

Resources: Federal Financial Reports and agency documentation of non-Federal expenditures

This area assesses the matching requirements for the Supported Employment program. It includes an assessment of whether the matching level was met, as well as whether the sources of the match were consistent with Federal requirements. Supported Employment program regulations require that the State expend 50 percent of its total Supported Employment allotment for the provision of supported employment services, including extended services, to youth with the most significant disabilities. This means the amount of Federal funds spent on allowable services for non-youth with the most significant disabilities may not exceed the amount of Federal funds matched and spent on youth with the most significant disabilities. The Supported Employment funds required to be reserved and expended for services to youth with the most significant disabilities are awarded through the SE-B grant award. The Federal share for expenditures from the State's SE-B grant award is 90 percent. The statutorily required 10 percent match requirement applies to the costs of carrying out the provision of supported employment services, including extended services, to youth with the most significant disabilities. This means that the 10 percent is applied to total expenditures, including both the Federal and non-Federal shares, incurred for this purpose, and that the non-Federal share must also be spent on the provision of supported employment services, including extended services, to youth with the most significant disabilities.

Questions:

12. For the SE-B award, identify the sources and amounts of match reported by the VR agency, by FFY, for the period under review.
13. Describe the agency's internal control processes for ensuring that only allowable expenditures are reported as the match. In particular, how does the agency ensure that only expenditures for the provision of supported employment services, including extended services, to youth with the most significant disabilities are counted as the match? How can these internal controls be improved?

D. Vendor Contracts

Resources: Policies and procedures regarding contracting, including determining the rates of the payment, and contract monitoring

This area addresses the requirements related to contracting for purchased services. Uniform Guidance requires that States follow the same policies and procedures it uses for procurements from its non-Federal funds (2 C.F.R. § 200.317). Contract policies are necessary to ensure that contract language results in the VR agency receiving the necessary data that it must collect and report with the frequency required by the terms and conditions of the VR award (2 C.F.R. § 200.328). In addition, VR agencies are responsible for oversight of the operations of the Federal award supported activities. The non-Federal entity must monitor its activities under Federal awards, including contracts, to assure compliance with applicable Federal requirements and performance expectations are being achieved (2 C.F.R. § 200.329(a)). Through the use of contracts, VR agencies must relate financial data and accomplishments to performance goals and objectives of the Federal award, consistent with the reporting of data on the SF-425, RSA-17, and RSA-911 reports (2 C.F.R. § 200.329(b)). VR agencies are required to develop and maintain written policies governing rates of payment for all purchased VR services (34 C.F.R. § 361.50(c)). These policies outline the process the VR agency completes to ensure the rates of payment for VR services are allowable, reasonable, and allocable to the award, in accordance with Uniform Guidance Cost Principles (2 C.F.R. §§ 200.403, 200.404, and 200.405).

Two areas related to vendor contracts will be reviewed—

- Contract development/implementation (e.g., ensuring required language, determining rates of payment, invoice processing, budget management, etc.); and
- Contract monitoring.

This review area includes contracts for the provision of pre-employment transition services.

Questions:

14. Identify the agency's internal control processes related to contract development and implementation (e.g., ensuring contracts contain required language, determining rates of payment or fees for services and ensuring that contract payments are reasonable, etc.).

15. Identify the agency's internal control processes for ensuring sufficient supporting documentation to determine the payment requested was for allowable VR services and was consistent with the provisions of the contract.
16. Identify the agency's contract monitoring processes and the outcomes of contract monitoring.
17. How can these internal controls be improved?

E. Technical Assistance

The following questions are designed to assess the quality of the technical assistance provided by RSA and the OSEP and RSA-funded technical assistance centers, as well as to identify the ongoing technical assistance needs of the VR agency.

18. What technical assistance needs does the VR agency have on any issue or topic related to this focus area?
19. Has the VR agency received technical assistance from RSA staff on any issue or topic related to this focus area? If so, please describe the nature of the technical assistance provided.
20. Has the VR agency received technical assistance from one or more of the RSA-funded technical assistance centers on a topic or issue related to this focus area? If so, from which center? Was the technical assistance universal, targeted, or intensive? Please describe the technical assistance received. What were the objectives/results?
21. Did the technical assistance provided by SMPID and RSA-funded centers aid the VR agency in correcting or improving its management of the VR program and delivery of services to individuals with disabilities?

APPENDIX A

Vocational Rehabilitation Program Accountability Model

I. Background

To monitor the VR program in a manner consistent with Section 107 of the Rehabilitation Act of 1973 (Rehabilitation Act), and the U.S. Department of Education's (Department) policies, and to address technical assistance needs of VR agencies, the State Monitoring and Program Improvement Division (SMPID) within the Rehabilitation Services Administration (RSA), developed an accountability model to enable it to carry out monitoring activities while increasing the effective use of its resources to administer the VR program. The model is consistent with guidelines set forth in the Department's Directive titled "Guide for Managing Formula Grant Programs," dated August 13, 2019.

II. Federal Fiscal Year (FFY) 2023 Accountability Model

The FFY 2023 accountability model is comprised of three fiscal factors and one programmatic factor for a total of four performance indicators, as follows:

- Percentage of the total FFY 2022 VR grant appropriation the State's FFY 2022 VR allotment represents;
- Percentage of State's FFY 2021 Federal VR allotment expended during year of appropriation;
- Percentage of State's FFY 2020 Federal VR allotment expended during the period of performance; and
- VR program participant percentage change from PY 2020 to PY 2021.

RSA computes all data on a State basis to align the RSA accountability model with the principles in Title I of WIOA, under which core partners in the workforce development system, including VR agencies, establish levels of performance statewide and report performance results on the Annual Statewide Performance Report (WIOA Annual Report) at the State level. This method also ensures comparability between States with one VR agency (combined) and States with more than one VR agency (general and blind). In making the calculations, SMPID reviewed data reported on RSA collection instruments, including the RSA-911, the Financial Status Reports (SF-425), and the VR Financial Reports (RSA-17) for the most recent period for which complete data are available. Therefore, the data used in the calculation of the factors comprising the FFY 2023 model are accurate and reliable. Importantly, the data elements used in the calculation of the factors are not subjective in nature, further reducing the likelihood of errors.

III. Description of Factors

The four factors analyzed through the model are described more fully below, including the basis for their use, the methods of calculation, and threshold levels of performance equating with numerical scores.

1. Percentage of the total FFY 2022 VR grant appropriation the State's FFY 2022 allotment represents

Basis: Use of this factor is consistent with the guidelines contained in the Guide for Managing Formula Grants (ODS: 1-102) issued by the Department on August 13, 2019. States allotted a greater amount of the total Federal formula award potentially have more financial resources available to assist a larger number of individuals with disabilities to achieve employment. Consequently, these States can have a more significant effect on VR program performance nationally.

Method of Calculation: This calculation is based on the percentage of the total FFY 2022 VR allotment the State's FFY 2022 formula award allotment represents. The State's formula allotments are not adjusted to account for reallocation, maintenance of effort penalties, or other changes to the allotment.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represents the highest risk.

Formula Grant Award Percentage	Risk Score
0.000% - 0.749%	1
0.750% - 1.490%	2
1.500% - 2.249%	3
2.250% - 3.990%	4
4.000% - 8.800%	5

2. Percentage of State's FFY 2021 VR allotment expended by end of year of appropriation

Basis: Fiscal trend data indicates a decreasing amount of Federal VR funds are expended during the year of appropriation for VR awards. This trend increases the risk of unused VR funds and that VR program objectives will not be attained.

Method of Calculation: FFY 2021 RSA-17 for the reporting period ending September 30, 2021, line 10, Total Federal Funds Awarded divided by line 19, Total Federal Share.

Scoring Thresholds: Numerical scores assigned based on the table below. 1 represents the lowest risk; 5 represents the highest risk.

Low Threshold	High Threshold	Risk Score
64.000%	100.000%	1
48.000%	63.990%	2
32.000%	47.990%	3
16.000%	31.990%	4
0.000%	15.990%	5

3. Percentage of State’s FFY 2020 Federal VR allotment expended during the period of performance

Basis: Fiscal trend data indicates an increasing amount of Federal VR funds remaining unexpended at the end of the period of performance for VR awards. These funds represent resources that were not made available to VR consumers to accomplish VR program outcomes.

Method of Calculation: State’s FFY 2020 VR formula award amount divided by the amount net amount of Federal VR award funds drawn down according to G5.

Scoring Thresholds:

Low Threshold	High Threshold	Risk Score
100.00%	140.00%	1
90.00%	99.999%	2
80.00%	89.999%	3
70.00%	79.999%	4
0.00%	69.999%	5

4. VR Program participant percentage change from PY 2020 to PY 2021.

Basis: VR program participants are individuals with disabilities, who were determined eligible and received VR services under an individualized plan for employment. VR program participants inform the WIOA performance accountability system, and their outcomes are assessed across the performance indicators, as applicable. Program participation change reflects the extent to which State programs are either contracting or expanding. States with contracting VR programs represent a higher risk than States with expanding VR programs because, in States with contractions, fewer individuals with disabilities are receiving VR services and achieving competitive integrated employment through the VR program.

Method of Calculation: The difference between State’s number of VR participants served in PY 2021 and PY 2020 divided by the number of VR program participants served in PY 2020, multiplied by 100.

Scoring Thresholds: Numerical scores assigned based on the table below. 1 represents the lowest risk; 5 represents the highest risk.

Low Threshold	High Threshold	Risk Score
6.1%	22.2%	1
2.2%	3.2%	2
0.4%	1.0%	3
-4.0%	-3.3%	4
-22.8%	-10.2%	5

IV. Method to Determine Level of Monitoring

SMPID performs the described calculations for each State, resulting in a State’s overall score. SMPID selects States for review in FFY 2023 in a manner that ensures Selected VR agencies in States with higher scores and most in need of technical assistance will be scheduled for on-site monitoring or off-site review. SMPID adds the State scores for each of the factors and divides by 5 to calculate an average State program accountability score ranging from 1.00 to 5.00.

On-Site Monitoring and Off-Site Reviews

SMPID will conduct comprehensive on-site monitoring, or off-site reviews when travel is not possible, of a select number of State VR agencies with higher accountability scores to review the programmatic and fiscal performance of the VR and Supported Employment programs.

Scope: This monitoring will entail implementation of all areas of programmatic performance and fiscal review contained in Sections III and IV of this MTAG.

Monitoring Team and Activities: The monitoring team, consisting of at least two program members and one fiscal member, will review documentation and conduct teleconferences related to all focus areas in preparation for an on-site visit, typically lasting for one week (or off-site review activities when travel is not possible).

Additionally, on-site monitoring and off-site reviews will involve the identification of strategies designed to improve program and fiscal performance related to the use and expenditure of funds to maximize employment outcomes for individuals with disabilities.

APPENDIX B

Vocational Rehabilitation Agency Required Documentation

The review team will use documentation provided by the VR agency to inform the development of the on-site or off-site agenda and in the review of each focus area. In accordance with 2 C.F.R. § 200.337(a), records of non-Federal entities, the “Federal awarding agency, Inspectors General, the Comptroller General of the United States, and the pass-through entity, or any of their authorized representatives, must have the right of access to any documents, papers, or other records of the non-Federal entity which are pertinent to the Federal award, in order to make audits, examinations, excerpts, and transcripts. The right also includes timely and reasonable access to the non-Federal entity’s personnel for the purpose of interview and discussion related to such documents.” In accordance with 34 C.F.R. § 81.34(b)(3), “a statement that the recipient failed to maintain records required by law or failed to allow an authorized representative of the Secretary access to those records constitutes a prima facie case for the recovery of the funds affected.”

VR agencies are responsible for submitting the requested documentation within 30 calendar days of the request unless the review team approves an extension based upon extenuating circumstances. When submitting requested documentation, please remember the following:

1. Do not include personally identifiable information (e.g., names, Social Security numbers, dates of birth, etc.);
2. Send copies of signed, executed documents for the last completed Federal fiscal year;
3. “Contract,” as used in this list, means an agreement or promise with another entity to provide goods or services in exchange for VR or Supported Employment funds. These agreements may be referred to as memoranda of understanding, memoranda of agreement, letters of understanding, letters of agreement, grants, agreements, contracts, purchase orders, or service authorizations;
4. If a particular request is not applicable to the VR agency, or if the information is not otherwise available, include a statement letting the review team know;
5. If the data being submitted contains State or agency specific codes or titles, please include a reference sheet that provides an explanation of the code or title to facilitate review;
6. Submit the requested information as soon as it is available. It is not necessary to submit all the documentation at one time. Submitting the information to the review team as soon as possible helps ensure there is adequate time to review the documentation prior to the on-site or off-site review;
7. Provide fiscal data by Federal fiscal year, not State fiscal year or program year; and

8. Label each document submitted with the corresponding number used in the Document Request.

After the initial information has been submitted, the RSA Financial Management Specialist may need to request additional supporting fiscal documents or clarifying information related to the document submission categories in order to complete the review process. Prior to the review, the team’s Financial Management Specialist will work with the VR agency to determine the number of documentation samples being requested and the timeframe from which the samples should be taken (e.g., contracts, third-party cooperative arrangements, etc.).

Note: Many agencies have established collaboration websites where SMPID review team members can access and download the requested documentation. Please coordinate with the review team if this is an approach your agency may wish to use. The Department does not currently have the capability to provide this service.

PRE-MONITORING DOCUMENT REQUEST

III. Performance of the State VR and Supported Employment Programs	Date Submitted
1. Written policies and procedures regarding RSA-911 internal control process (e.g., ensuring data accuracy, reliability, and timely submission).	
2. Written policies and procedures regarding the provision and scope of services, which include the following: <ul style="list-style-type: none"> • Referrals and applications (34 C.F.R. § 361.41); • Eligibility and ineligibility determinations (34 C.F.R. §§ 361.42, 361.43 and 361.44); • Individualized plan for employment (34 C.F.R. §§ 361.45 and 361.46) • Record of services (34 C.F.R. § 361.47); • Scope of vocational rehabilitation services for individuals with disabilities (34 C.F.R. § 361.48); • Scope of vocational rehabilitation services for groups of individuals with disabilities (34 C.F.R. § 361.49); • Written policies governing the provision of services for individuals with disabilities (34 C.F.R. § 361.50); • Informed choice (34 C.F.R. § 361.52); • Comparable services and benefits (34 C.F.R. § 361.53); • Participation of individuals in cost of services based on financial need (34 C.F.R. § 361.54); • Semi-annual and annual review of individuals in extended employment and other employment under special certificate provisions of the Fair Labor Standards Act (34 C.F.R. § 361.55); and • Requirements for closing the record of services of an individual who has achieved an employment outcome (34 C.F.R. § 361.56). 	

3. Written policies and procedures for the provision, scope, tracking and reporting of supported employment services, including extended services for youth (34 C.F.R. § 361.5(c)(54) and part 363).	
4. Written policies and procedures for the provision, tracking, and reporting of pre-employment transition services (34 C.F.R. § 361.48(a)).	
5. A copy of the most recently completed Comprehensive Statewide Needs Assessment (optional unless VR agency spent Federal or non-Federal funds on Construction/Establishment projects).	
6. As applicable, State-imposed requirements: The designated State unit must, upon request, identify those regulations and policies relating to the administration or operation of its vocational rehabilitation program that are State-imposed, including any regulations or policy based on State interpretation of any Federal law, regulation, or guideline (34 C.F.R. § 361.39).	

IV. Financial Management of the State VR and Supported Employment Programs

1. Period of Performance (2 C.F.R. §§ 200.1 and 200.303; 34 C.F.R. § 76.707):	Date Submitted
A. Documentation that identifies the <i>State</i> and <i>VR agency</i> financial obligation requirements and how they are implemented consistent with the Federal requirements. <i>VR agency's</i> written policies and procedures that detail the processes/internal controls for assignment of non-Federal and Federal financial obligations and expenditures—for authorizations/purchase orders, contracts, personal salaries, rent, utilities, etc.—to the correct period of performance specific to Federal awards and non-Federal fund sources;	
B. Description of accounting processes, including chart of accounts, used to track financial obligations and expenditures assigned, tracked, and reported to a Federal award or non-Federal sources; and	
C. <i>VR agency</i> supporting documentation that demonstrates how the process for assigning, tracking, liquidating, and reporting of obligations and expenditures (see 1.A. and 1.B. above) meet the period of performance requirements.	
2. Federal Financial Reporting (2 C.F.R. § 200.328):	Date Submitted
A. <i>VR agency</i> policies and procedures for ensuring the accurate and timely submission of Federal financial reports (SF-425) and VR financial reports (RSA-17); and	
B. <i>VR agency</i> supporting documentation for SF-425/RSA-17 data submitted (RSA Financial Management Specialist will provide reporting period end dates).	

3. Match in VR Program (34 C.F.R. § 361.60(a)(1) and (b)): For FFYs 2020 to 2023 provide dollar amounts (\$) for the following sources of non-Federal share (match), for each program per FFY.	Date Submitted
A. State appropriations;	
B. Interagency transfers;	
C. Third-party cooperative arrangements (VR program only);	
D. Randolph-Sheppard program expenditures (VR program only);	
E. Construction/Establishment expenditures not included in State appropriations (VR program only);	
F. Cash contributions by private entities; and	
G. Other (please describe).	
3.1 Third-Party Cooperative Arrangements (TPCA) (if applicable) (34 C.F.R. § 361.28):	Date Submitted
A. VR agency policies and procedures regarding TPCAs, including for the provision of pre-employment transition services;	
B. TPCA contracts/agreements; and	
C. VR agency supporting documentation for costs paid under TPCAs (e.g., cooperating agency personnel activity reports/work logs, monthly progress reports, invoices, etc., including respective charges to Federal and non-Federal share).	
3.2 Establishment Projects (VR program only) (if applicable) (Section 03(b)(2)(A) of the Rehabilitation Act and 34 C.F.R. § 361.49(a)(1)):	Date Submitted
A. VR agency policies and procedures regarding establishment projects, including pre-planning;	
B. Requirements, demonstration of the need for establishment and reflection of goals and priorities in the VR services portion of the Unified or Combined State plan;	
C. Contracts/agreements; and	
D. VR agency supporting documentation for expenditures (e.g., progress reports, invoices, etc.).	
3.3 Randolph-Sheppard Expenditures (if applicable) (34 C.F.R. § 361.49(a)):	Date Submitted
A. Policies and procedures regarding the VR agency's use of Randolph-Sheppard set-aside funds as match in the VR program;	
B. VR agency supporting documentation that demonstrates only allowable set-aside fund expenditures are counted as match for the VR program (DSU management services and supervision, new or replacement equipment, maintenance and repair of equipment); and	
C. VR agency supporting documentation of non-Federal funds, not set-aside, expended by DSU for acquisition of vending facilities or equipment; management and supervision; maintenance and repair of equipment; initial stocks and supplies not to exceed six months; and initial operating expenses not to exceed six months.	

<p>4. Match in the Supported Employment Program – documentation of non-Federal share being spent in Supported Employment-B for youth with the most significant disabilities.</p>	<p>Date Submitted</p>
<p>A. Supporting documentation that costs used for match met the age requirements for youth and that youth are working in a supported employment position.</p>	

APPENDIX C

Vocational Rehabilitation Services and Supported Employment Programs Performance Tables

Table 1—[AGENCY] Performance Profile

Table 2—[AGENCY] Types of Exit

Table 3—[AGENCY] Reasons for Exit

Table 4—[AGENCY] VR Service Provision

Table 5—[AGENCY] Measurable Skill Gains and Credentials

Table 6—[AGENCY] Competitive Integrated Employment and Supported Employment Outcomes

Table 7—[AGENCY] Students with Disabilities

Table 8—[AGENCY] Pre-Employment Transition Service Provision

Table 1—[AGENCY] Performance Profile

VR Program Performance	PY 2019	PY 2020	PY 2021
Employment Rate			
Number of Participants Exiting in Competitive Integrated Employment or Supported Employment			
Percentage of Timely Eligibility Determinations			
Percentage of Eligibility Determinations Extensions			
Percentage of Timely IPE Development			
Percentage of Initial IPE Extensions	N/A		
Number of Applicants			
Number of Individuals Determined Eligible			
Number of Individuals with an IPE and No VR Services Provided			
Number of Participants (with an IPE and VR Services Provided)			
WIOA Performance Indicators (General/Blind VR agency)	PY 2019	PY 2020	PY 2021
Measurable Skill Gains Rate			
Employment Rate in 2 nd Qtr After Exit			
Median Earnings in 2 nd Qtr After Exit			
Employment Rate in 4 th Qtr After Exit			
Credential Attainment Rate			
WIOA Performance Indicators (State)	PY 2019	PY 2020	PY 2021
Measurable Skill Gains Rate			
Employment Rate in 2 nd Qtr After Exit			
Median Earnings in 2 nd Qtr After Exit			
Employment Rate in 4 th Qtr After Exit			
Credential Attainment Rate			

Calculation Table 1: Performance Profile

VR Program Performance	Number/Percentage
Employment Rate	RSA-911: (Total individuals with Data Element 354 Type of Exit = 6 divided by Total individuals with Data Element 354 Type of Exit = 4 or 6) multiplied by 100
Number of Individuals Exiting in Competitive Integrated Employment or Supported Employment	RSA-911: Total individuals with Data Element 354 Type Of Exit = 6
Percentage of Timely Eligibility Determinations	RSA-911: (Total individuals with Data Element 38 Date of Eligibility Determination during the PY and Data Element 39 Eligibility Determination Extension = 0 where Data Element 38 minus Data Element 7 Date of Application is less than or equal to 60 days divided by Total individuals with Data Element 38 during the PY and Data Element 39 = 0) multiplied by 100
Percentage of Eligibility Determination Extensions	RSA-911: (Total individuals with Data Element 38 during the PY and Data Element 39 = 1 divided by Total individuals with Data Element 38 during the PY) multiplied by 100
Percentage of Timely IPE Development	RSA-911: (Total individuals with the earlier of Data Element 48 Date of Most Recent or Amended IPE and Data Element 127 Start Date of Initial VR Service On or After IPE during the PY and within 90 days or later of Data Element 38 Date of Eligibility Determination or Data Element 41 Date of Exit from OOS Waiting List, divided by Total individuals with Data Element 48 during the PY) multiplied by 100. * PY 2020 calculation will be adjusted to use data element 398 – Date of Initial IPE in place of data element 48
Percentage of Initial IPE Extensions	RSA-911: (Total individuals with Data Element 398 during the PY and Data Element 399 = 1 divided by Total individuals with Data Element 398 during the PY) multiplied by 100
Number of Applicants	RSA-911: Total individuals with Data Element 7 Date of Application during the PY
Number of Individuals Determined Eligible	RSA-911: Total individuals with Data Element 38 Date of Eligibility Determination during the PY
Number of Individuals with an IPE and No VR Services Provided	RSA-911: Total individuals with Data Element 48 Date of Most Recent or Amended IPE during the Program Year and Data Element 127 Start Date of Initial VR Service On or After IPE is blank
Number of Participants (with an IPE and VR Services Provided)	Amended Joint Performance Specs: Item 12 for PY
WIOA Performance Indicators	Number/Percentage
Measurable Skill Gains Rate	Amended Joint Performance Specs: Item 32 for PY
Employment Rate in 2 nd Qtr After Exit	Amended Joint Performance Specs: Item 16 for PY
Median Earnings in 2 nd Qtr After Exit	Amended Joint Performance Specs: Item 26 for PY
Employment Rate in 4 th Qtr After Exit	Amended Joint Performance Specs: Item 19 for PY
Credential Attainment Rate	Amended Joint Performance Specs: Item 29 for PY

Table 2—[AGENCY] Types of Exit

Individuals Who Exited the VR Program				PY 2019	PY 2020	PY 2021
Number of Individuals Who Exited the VR Program						
Exit Type	PY 2019 Number of Individuals	PY 2019 Percent	PY 2020 Number of Individuals	PY 2020 Percent	PY 2021 Number of Individuals	PY 2021 Percent
Individual exited as an applicant, prior to eligibility determination or trial work experience						
Individual exited during or after a trial work experience						
Individual exited after eligibility, but from an order of selection waiting list						
Individual exited after eligibility, but prior to a signed IPE						
Individual exited after an IPE without an employment outcome						
Individual exited after an IPE in noncompetitive and/or nonintegrated employment						
Individual exited after an IPE in competitive and integrated employment or supported employment						
Individual exited as an applicant after being determined ineligible for VR services						
Supported Employment				PY 2019 Number of Participants	PY 2020 Number of Participants	PY 2021 Number of Participants
Number of Participants Who Exited with a Supported Employment Outcome in Competitive Integrated Employment						
Number of Participants Who Exited with a Supported Employment Outcome in Noncompetitive and/or Nonintegrated Employment						

Calculation Table 2: Types of Exit

Number of Individuals Who Exited the VR Program		RSA-911: Total number of individuals where Data Element 353 Date of Exit within PY
Exit Type	Number of Individuals	Percent
Individual exited as an applicant, prior to eligibility determination or trial work experience	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 0	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 0 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Individual exited during or after a trial work experience	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 1	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 1 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Individual exited after eligibility, but from an order of selection waiting list	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 2	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 2 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Individual exited after eligibility, but prior to a signed IPE	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 3	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 3 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Individual exited after an IPE without an employment outcome	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 4	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 4 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Individual exited after an IPE in noncompetitive and/or nonintegrated employment	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 5	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 5 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Individual exited after an IPE in competitive and integrated employment or supported employment	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 6	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 6 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Individual exited as an applicant after being determined ineligible for VR services	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 7	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 7 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Potentially eligible individual exited after receiving pre-employment transition services and has not applied for VR services. Code no longer available as of PY 2020.	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 8	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 8 divided by Number of Individuals Who Exited the VR Program) multiplied by 100

Supported Employment	Number
Number of Participants Who Exited with a Supported Employment Outcome in Competitive Integrated Employment	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 6 and Data Element 356 Employment Outcome at Exit = 5
Number of Participants Who Exited in Supported Employment with Noncompetitive and/or Nonintegrated Employment	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 5 and Data Element 356 Employment Outcome at Exit = 5

Table 3—[AGENCY] Reasons for Exit

Reason for Exit	PY 2019 Number of Individuals	PY 2019 Percent	PY 2020 Number of Individuals	PY 2020 Percent	PY 2021 Number of Individuals	PY 2021 Percent
Individual is No Longer Available for Services Due to Residence in an Institutional Setting Other Than a Prison or Jail			N/A	N/A	N/A	N/A
Health/Medical						
Death of Individual						
Reserve Forces Called to Active Duty						
Foster Care			N/A	N/A	N/A	N/A
Ineligible after determined eligible						
Criminal Offender						
No Disabling Condition						
No Impediment to Employment			N/A	N/A	N/A	N/A
Does Not Require VR Service			N/A	N/A	N/A	N/A
Disability Too Significant to Benefit from Service			N/A	N/A	N/A	N/A
No Long-Term Source of Extended Services Available			N/A	N/A	N/A	N/A
Transferred to Another Agency						
Achieved Competitive Integrated Employment Outcome						
Extended Employment						
Extended Services Not Available						
UN/Able to Locate or Contact						
No Longer Interested in Receiving Services or Further Services						
All Other Reasons						
Short-Term Basis Period	N/A	N/A				
Ineligible: Pursuant to 511	N/A	N/A				
Ineligible: Following Trial Work	N/A	N/A				
Number of Individuals Who Exited the VR Program		-		-		-

Calculation Table 3: Reasons for Exit

Reason for Exit	Number	Percent
Individual is No Longer Available for Services Due to Residence in an Institutional Setting Other Than a Prison or Jail * Code discontinued as of PY 2020	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 1	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 1 divided by Number of Individuals Who Exited the VR Program (Data Element 353 Date of Exit within PY)) multiplied by 100
Health/Medical	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 2	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 2 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Death of Individual	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 3	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 3 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Reserve Forces Called to Active Duty	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 4	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 4 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Foster Care * Code discontinued as of PY 2020	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 5	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 5 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Ineligible after determining eligible	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 6	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 6 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Criminal Offender	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 7	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 7 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
No Disabling Condition	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 8	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 8 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
No Impediment to Employment * Code discontinued as of PY 2020	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 9	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 9 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Does Not Require VR Service * Code discontinued as of PY 2020	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 10	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 10 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Disability Too Significant to Benefit from Service * Code discontinued as of PY 2020	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 11	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 11 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
No Long-Term Source of Extended Services Available * Code discontinued as of PY 2020	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 12	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 12 divided by Number of Individuals Who Exited the VR Program) multiplied by 100

Reason for Exit	Number	Percent
Transferred to Another Agency	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 13	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 13 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Achieved Competitive Integrated Employment Outcome	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 14	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 14 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Extended Employment	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 15	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 15 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Extended Services Not Available	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 16	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 16 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
UN/Able to Locate or Contact	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 17	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 17 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
No Longer Interested in Receiving Services or Further Services	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 18	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 18 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
All Other Reasons	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 19	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 19 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Short Term Basis Period * Code created as of PY 2020	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 20	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 20 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Ineligible: Pursuant to 511 * Code created as of PY 2020	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 21	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 21 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Ineligible: Following Trial Work * Code created as of PY 2020	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 22	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 22 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Number of Individuals Who Exited the VR Program	RSA-911: Total number of individuals where Data Element 353 Date of Exit within PY	N/A

Table 4—[AGENCY] VR Service Provision

VR Service Provision				PY 2019	PY 2020	PY 2021
Total Number of Individuals Who Received VR Services						
Training Services	PY 2019 Number of Individuals	PY 2019 Percent	PY 2020 Number of Individuals	PY 2020 Percent	PY 2021 Number of Individuals	PY 2021 Percent
Graduate Degree Training						
Bachelor Degree Training						
Junior or Community College Training						
Occupational or Vocational Training						
On-the-Job Training						
Apprenticeship Training						
Basic Academic Remedial or Literacy Training						
Job Readiness Training						
Disability Related Skills Training*						
Miscellaneous Training						
Randolph-Sheppard Entrepreneurial Training						
Customized Training						
Work-Based Learning Experience	N/A	N/A				
Career Services	PY 2019 Number of Individuals	PY 2019 Percent	PY 2020 Number of Individuals	PY 2020 Percent	PY 2021 Number of Individuals	PY 2021 Percent
Assessment*						
Diagnosis and Treatment of Impairment						
Vocational Rehabilitation Counseling and Guidance*						
Job Search Assistance						
Job Placement Assistance						
Short-Term Job Supports						
Supported Employment Services						
Information and Referral Services*						
Benefits Counseling*						
Customized Employment Services						
Extended Services (for youth with the most significant disabilities)						

Other Services	PY 2019 Number of Individuals	PY 2019 Percent	PY 2020 Number of Individuals	PY 2020 Percent	PY 2021 Number of Individuals	PY 2021 Percent
Transportation*						
Maintenance*						
Rehabilitation Technology*						
Personal Attendant Services*						
Technical Assistance Services						
Reader Services*						
Interpreter Services*						
Other Services						

** Indicates RSA-911 Service Categories that do not require an individualized plan for employment (IPE).*

Calculation Table 4: VR Service Provision

Total Number of Individuals Who Received VR Services	Amended Joint Performance Specs: Item 12 Count of UNIQUE individuals where Element 7 Application Date is not blank and Element 353 Date of Exit within the report period or Element 353 Date of Exit is null
Training Service	Number/Percent
	Calculation: To determine the number of participants who received each of the specified services, sum the number of individuals (those with Data Element 7 that is not blank) where services provided is greater than 0. To determine the percentage receiving the specified service, divide the number of participants who received the specified service in the PY by the total number of participants served and multiply by 100.
Career Services	Number/Percent
	To determine the percentage receiving the specified service, divide the number of participants who received the specified service in the PY by the total number of participants served and multiply by 100.etermine the percentage receiving the specified service, divide the number of participants who received the specified service in the PY by the total number of participants served and multiply by 100.
Other Services	Number/Percent
	To determine the percentage receiving the specified service, divide the number of participants who received the specified service in the PY by the total number of participants served and multiply by 100.

Table 5— [AGENCY] Measurable Skill Gains and Credentials

Type of Measurable Skill Gains Earned	PY 2019 Number	PY 2020 Number	PY 2021 Number
Educational Functioning Level			
Secondary Diploma			
Postsecondary Transcript/Report Card			
Training Milestone			
Skills Progression			
Total			
Participants Who Earned Measurable Skill Gains	PY 2019 Number/Percent	PY 2020 Number/Percent	PY 2021 Number/Percent
Number of Participants Who Earned Measurable Skill Gains			
Percent of Participants Eligible to Earn Measurable Skill Gains	%	%	%
Type of Credentials Earned	PY 2019 Number	PY 2020 Number	PY 2021 Number
Secondary			
Postsecondary			
Total			
Participants Who Earned Credentials	PY 2019 Number/Percent	PY 2020 Number/Percent	PY 2021 Number/Percent
Number of Participants Who Earned Credentials			
Percent of Participants Eligible to Earn Credentials	%	%	%

Calculation Table 5: Measurable Skill Gains and Credentials

Measurable Skill Gains	Calculation
Educational Functioning Level	RSA-911: The number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of the PY and a Date of Most Recent Measurable Skill Gain: Educational Functioning Level (EFL) within the PY
Secondary Diploma	RSA-911: The number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of the PY and a Date of Most Recent Measurable Skill Gain: Secondary within the PY
Postsecondary Transcript/Report Card	RSA-911: The number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of the PY and a Date of Most Recent Measurable Skill Gain: Postsecondary Transcript/Report Card within the PY
Training Milestone	RSA-911: The number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of the PY 2017 and a Date of Most Recent Measurable Skill Gain: Training Milestone within the PY
Skills Progression	RSA-911: The number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of the PY and a Date of Most Recent Measurable Skill Gain: Skills Progression within the PY
Number of Participants Who Earned Measurable Skill Gains	RSA-911: The number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of the PY , and a Date of Most Recent Measurable Skill Gain: Educational Functioning Level(EFL) within the PY or a Date of Most Recent Measurable Skill Gain: Secondary within the PY or a Date of Most Recent Measurable Skill Gain: Postsecondary Transcript/Report Card within the PY or a Date of Most Recent Measurable Skill Gain: Training Milestone within the PY or a Date of Most Recent Measurable Skill Gain: Skills Progression within the PY
Percent of Participants Eligible to Earn Measurable Skill Gains	RSA-911: The number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of the PY divided by number of participants in PY, multiply by 100

Credentials	Calculation
Secondary	RSA-911: Number of participants within the exit cohort that were in a secondary education program and who obtained a secondary school diploma or its recognized equivalent during the program or within one year after exit AND who were also employed OR enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit.
Postsecondary	Number of participants within the exit cohort that were in a postsecondary education or training program and earned a postsecondary credential during program participation or within one year of exit. The date on which a participant earns a credential occurs during program participation OR within one year of exit. Count the numbers that have at least one postsecondary degree earned, if an individual earned more than one type, only one postsecondary credential applies.
Number of Participants Who Earned Credentials	Number of participants who exited that were either in a postsecondary education or training program and who obtained a recognized postsecondary credential during the program or within one year after exit; or were in a secondary education program and who obtained a secondary school diploma or its recognized equivalent during the program or within one year after exit AND who were also employed or enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit. Participants who achieve multiple credentials are included based on the highest credential attained for that period of participation.
Percent of Participants Eligible to Earn Credentials	RSA-911: The number of participants within the appropriate exit cohort who were either in a postsecondary education or training program during program participation; or were in a secondary education program without a secondary school diploma or its recognized equivalent divided by the total number of participants within the exit cohort.

Table 6— [AGENCY] Competitive Integrated Employment and Supported Employment Outcomes

Participants Who Exited in Competitive Integrated Employment or Supported Employment		PY 2019	PY 2020	PY 2021		
Number of Participants Who Exited in Competitive Integrated Employment or Supported Employment						
Median Hourly Earnings at Exit						
Median Hours Worked per Week at Exit						
Public Support at Exit	PY 2019 Number of Participants	PY 2019 Percent	PY 2020 Number of Participants	PY 2020 Percent	PY 2021 Number of Participants	PY 2021 Percent
Social Security Disability Insurance at Exit						
Supplemental Security Income for the Aged, Blind, or Disabled at Exit						
Temporary Assistance for Needy Families at Exit						
General Assistance (State or local government) at Exit			N/A	N/A	N/A	N/A
Veterans' Disability Benefits at Exit			N/A	N/A	N/A	N/A
Workers' Compensation at Exit			N/A	N/A	N/A	N/A
Other Public Support at Exit						
Medical Insurance Coverage at Exit	PY 2019 Number of Participants	PY 2019 Percent	PY 2020 Number of Participants	PY 2020 Percent	PY 2021 Number of Participants	PY 2021 Percent
Medicaid at Exit						
Medicare at Exit						
State or Federal Affordable Care Act Exchange at Exit						
Public Insurance from Other Sources at Exit						
Private Insurance Through Employer at Exit						
Not Yet Eligible for Private Insurance Through Employer at Exit						
Private Insurance Through Other Means at Exit						

Calculation Table 6: Competitive Integrated Employment and Supported Employment Outcomes

Participants Who Exited in Competitive Integrated Employment or Supported Employment	Calculation	
Number of Participants Who Exited in Competitive Integrated Employment or Supported Employment	RSA-911: Total participants with Data Element 354 Type of Exit = 6	
Median Hourly Earnings at Exit	RSA-911: Data Element 359 Hourly Wage values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median hourly earnings value, so there is the same quantity of numbers above the median number as there is below the median number where Data Element 353 Date of Exit falls within the Program Year, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6	
Median Hours Worked per Week at Exit	RSA-911: Data Element 360 Hours Worked in a Week at Exit values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median hourly earnings value, so there is the same quantity of numbers above the median number as there is below the median number where Data Element 353 Date of Exit falls within the Program Year, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6	
Public Support at Exit	Number	Percent
Social Security Disability Insurance at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 361 Social Security Disability Insurance (SSDI) at Exit is greater than zero (or, in PY 2020 Data Element 396 = 1)	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 361 Social Security Disability Insurance (SSDI) at Exit is greater than zero divided by number of participants with Data Element 354 Type of Exit = 6 (or, in PY 2020 Data Element 396 = 1) multiplied by 100
Supplemental Security Income for the Aged, Blind, or Disabled at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 362 Supplemental Security Income (SSI) for the Aged, Blind, or Disabled at Exit is greater than zero (or, in PY 2020 Data Element 396 = 2)	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 362 Supplemental Security Income (SSI) for the Aged, Blind, or Disabled at Exit is greater than zero divided by number of participants with Data Element 354 Type of Exit = 6 (or, in PY 2020 Data Element 396 = 2) multiplied by 100
Temporary Assistance for Needy Families at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 363 Temporary Assistance for Needy Families (TANF) at Exit is greater than zero (or, in PY 2020 Data Element 396 = 3)	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 363 Temporary Assistance for Needy Families (TANF) at Exit is greater than zero divided by number of participants with Data Element 354 Type of Exit = 6 (or, in PY 2020 Data Element 396 = 3) multiplied by 100
General Assistance (State or local government) at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 364 General Assistance (State or local government) at Exit is greater than zero	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 364 General Assistance (State or local government) at Exit is greater than zero divided by number of participants with Data Element 354 Type of Exit = 6 multiplied by 100

Public Support at Exit	Number	Percent
Veterans' Disability Benefits at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 365 Veterans' Disability Benefits at Exit is greater than zero	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 365 Veterans' Disability Benefits at Exit is greater than zero divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100
Workers' Compensation at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 366 Workers' Compensation at Exit is greater than zero	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 366 Workers' Compensation at Exit is greater than zero divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100
Other Public Support at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 367 Other Public Support at Exit is greater than zero (or, in PY 2020 Data Element 396 = 4)	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 367 Other Public Support at Exit is greater than zero divided by number of participants with Data Element 354 Type of Exit = 6 (or, in PY 2020 Data Element 396 = 4) multiplied by 100
Medical Insurance Coverage at Exit	Number	Percent
Medicaid at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 369 Medicaid at Exit = 1 (or, in PY 2020 Data Element 397 includes a code of '1')	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 369 Medicaid at Exit = 1 divided by number of participants with Data Element 354 Type of Exit = 6 (or, in PY 2020 Data Element 397 includes a code of '1') multiplied by 100
Medicare at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 370 Medicare at Exit = 1 (or, in PY 2020 Data Element 397 includes a code of '2')	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 370 Medicare at Exit = 1 divided by number of participants with Data Element 354 Type of Exit = 6 (or, in PY 2020 Data Element 397 includes a code of '2') multiplied by 100
State or Federal Affordable Care Act Exchange at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 371 State or Federal Affordable Care Act Exchange at Exit = 1 (or, in PY 2020 Data Element 397 includes a code of '3')	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 371 State or Federal Affordable Care Act Exchange at Exit = 1 divided by number of participants with Data Element 354 Type of Exit = 6 (or, in PY 2020 Data Element 397 includes a code of '3') multiplied by 100
Public Insurance from Other Sources at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 372 Public Insurance from Other Sources at Exit = 1 (or, in PY 2020 Data Element 397 includes a code of '4')	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 372 State or Federal Affordable Care Act Exchange at Exit = 1 divided by number of participants with Data Element 354 Type of Exit = 6 (or, in PY 2020 Data Element 397 includes a code of '4') multiplied by 100
Private Insurance Through Employer at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 373 Private Insurance Through Employer at Exit = 1 (or, in PY 2020 Data Element 397 includes a code of '5')	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 373 Private Insurance Through Employer at Exit = 1 divided by number of participants with Data Element 354 Type of Exit = 6 (or, in PY 2020 Data Element 397 includes a code of '5') multiplied by 100

Medical Insurance Coverage at Exit	Number	Percent
Not Yet Eligible for Private Insurance Through Employer at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 374 Not Yet Eligible for Private Insurance Through Employer at Exit = 1 (or, in PY 2020 Data Element 397 includes a code of '6')	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 374 Not Yet Eligible for Private Insurance Through Employer at Exit = 1 divided by number of participants with Data Element 354 Type of Exit = 6 (or, in PY 2020 Data Element 397 includes a code of '6') multiplied by 100
Private Insurance Through Other Means at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 375 Private Insurance Through Other Means at Exit = 1 (or, in PY 2020 Data Element 397 includes a code of '7')	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 375 Private Insurance Through Other Means at Exit = 1 divided by number of participants with Data Element 354 Type of Exit = 6 (or, in PY 2020 Data Element 397 includes a code of '7') multiplied by 100

Table 7— [AGENCY] Students with Disabilities

Students with Disabilities	PY 2019 Number/ Percentage of Students	PY 2020 Number/ Percentage of Students	PY 2021 Number/ Percentage of Students
Total Students with Disabilities Reported			
Students with Disabilities Reported with 504 Accommodation			
Students with Disabilities Reported with the Individualized Education Program (IEP)			
Students with Disabilities Reported without 504 Accommodation or IEP			
Total Students with Disabilities Who Received a Pre-Employment Transition Service			
Potentially Eligible Students with Disabilities Who Received a Pre-Employment Transition Service			
Students with Disabilities, Who Applied for VR Services, and Received a Pre-Employment Transition Service			
Percentage of Students with Disabilities Reported Who Received a Pre-Employment Transition Service			

Calculation Table 7: Students with Disabilities

Students with Disabilities	Number/Percentage of Students
Total Students with Disabilities Reported	RSA-911: Total cases where Data Element 22 Student with a Disability = 1 and 2 and 3
Students with Disabilities Reported with 504 Accommodation	RSA-911: Total cases where Data Element 22 Student with a Disability = 1
Students with Disabilities Reported with IEP	RSA-911: Total cases where Data Element 22 Student with a Disability = 2
Students with Disabilities Reported without 504 Accommodation or IEP	RSA-911: Total cases where Data Element 22 Student with a Disability = 3
Total Students with Disabilities Who Received a Pre-Employment Transition Service	RSA-911: Total cases where Data Element 97 Job Exploration Counseling Provided by VR Agency Staff (in-house), Data Element 98 Job Exploration Counseling Provided Through VR Agency Purchase, Data Element 103 Work Based Learning Experiences Provided by VR Agency Staff (in-house), Data Element 104 Work Based Learning Experiences Provided Through VR Agency Purchase, Data Element 109 Counseling on Enrollment Opportunities Provided by VR Agency Staff (in-house), Data Element 110 Counseling on Enrollment Opportunities Provided Through VR Agency Purchase, Data Element 115 Workplace Readiness Training Provided by VR Agency Staff (in-house), Data Element 116 Workplace Readiness Training Provided Through VR Agency Purchase, Data Element 121 Instruction in Self Advocacy Provided by VR Agency Staff (in-house), Data Element 122 Instruction in Self Advocacy Provided Through VR Agency Purchase = 1 and Data Element 22 Student with a Disability = 1,2, or 3

Students with Disabilities	Number/Percentage of Students
Potentially Eligible Students with Disabilities Who Received a Pre-Employment Transition Service	RSA-911: Total cases where Data Element 97 Job Exploration Counseling Provided by VR Agency Staff (in-house), Data Element 98 Job Exploration Counseling Provided Through VR Agency Purchase, Data Element 103 Work Based Learning Experiences Provided by VR Agency Staff (in-house), Data Element 104 Work Based Learning Experiences Provided Through VR Agency Purchase, Data Element 109 Counseling on Enrollment Opportunities Provided by VR Agency Staff (in-house), Data Element 110 Counseling on Enrollment Opportunities Provided Through VR Agency Purchase, Data Element 115 Workplace Readiness Training Provided by VR Agency Staff (in-house), Data Element 116 Workplace Readiness Training Provided Through VR Agency Purchase, Data Element 121 Instruction in Self Advocacy Provided by VR Agency Staff (in-house), Data Element 122 Instruction in Self Advocacy Provided Through VR Agency Purchase = 1 and Data Element 22 Student with a Disability = 1,2, or 3 and Data Element 7 is blank
Students with Disabilities, Who Applied for VR Services, and Received a Pre-Employment Transition Service	RSA-911: Data Element 97 Job Exploration Counseling Provided by VR Agency Staff (in-house),Data Element 98 Job Exploration Counseling Provided Through VR Agency Purchase, Data Element 103 Work Based Learning Experiences Provided by VR Agency Staff (in-house), Data Element 104 Work Based Learning Experiences Provided Through VR Agency Purchase, Data Element 109 Counseling on Enrollment Opportunities Provided by VR Agency Staff (in-house), Data Element 110 Counseling on Enrollment Opportunities Provided Through VR Agency Purchase, Data Element 115 Workplace Readiness Training Provided by VR Agency Staff (in-house), Data Element 116 Workplace Readiness Training Provided Through VR Agency Purchase, Data Element 121 Instruction in Self Advocacy Provided by VR Agency Staff (in-house), Data Element 122 Instruction in Self Advocacy Provided Through VR Agency Purchase = 1 and Data Element 22 Student with a Disability = 1,2, or 3 and Data Element 7 IS NOT NULL
Percentage of Students with Disabilities Reported Who Received a Pre-Employment Transition Service	RSA-911: Total cases where Data Element 97 Job Exploration Counseling Provided by VR Agency Staff (in-house),Data Element 98 Job Exploration Counseling Provided Through VR Agency Purchase, Data Element 103 Work Based Learning Experiences Provided by VR Agency Staff (in-house), Data Element 104 Work Based Learning Experiences Provided Through VR Agency Purchase, Data Element 109 Counseling on Enrollment Opportunities Provided by VR Agency Staff (in-house), Data Element 110 Counseling on Enrollment Opportunities Provided Through VR Agency Purchase, Data Element 115 Workplace Readiness Training Provided by VR Agency Staff (in-house), Data Element 116 Workplace Readiness Training Provided Through VR Agency Purchase, Data Element 121 Instruction in Self Advocacy Provided by VR Agency Staff (in-house), Data Element 122 Instruction in Self Advocacy Provided Through VR Agency Purchase = 1 and Data Element 22 Student with a Disability = 1,2, or 3 divided by Total cases where Data Element 22 Student with a Disability = 1,2, or 3

Table 8—[AGENCY] Pre-Employment Transition Service Provision

Pre-Employment Transition Services	PY 2019 Number Provided	PY 2019 Percent of Total	PY 2020 Number Provided	PY 2020 Percent of Total	PY 2021 Number Provided	PY 2021 Percent of Total
Total Pre-Employment Transition Services Provided		-		-		-
Job Exploration Counseling						
Work-Based Learning Experiences						
Counseling on Enrollment Opportunities						
Workplace Readiness Training						
Instruction in Self-Advocacy						

Calculation Table 8: Pre-Employment Transition Service Provision

Pre-Employment Transition Services	Number of Pre-Employment Transition Services Provided
Total Pre-Employment Transition Services Provided	RSA-911: Count of rows where Data Element 97 Job Exploration Counseling Provided by VR Agency Staff (in-house) = 1 + Count of rows where Data Element 98 Job Exploration Counseling Provided Through VR Agency Purchase = 1 + Count of rows where Data Element 103 Work Based Learning Experiences Provided by VR Agency Staff (in-house) = 1 + Count of rows where Data Element 104 Work Based Learning Experiences Provided Through VR Agency Purchase = 1 + Count of rows where Data Element 109 Counseling on Enrollment Opportunities Provided by VR Agency Staff (in-house) = 1 + Count of rows where Data Element 110 Counseling on Enrollment Opportunities Provided Through VR Agency Purchase = 1 + Count of rows where Data Element 115 Workplace Readiness Training Provided by VR Agency Staff (in-house) = 1 + Count of rows Data Element 116 Workplace Readiness Training Provided Through VR Agency Purchase = 1 + Count of rows where Data Element 121 Instruction in Self Advocacy Provided by VR Agency Staff (in-house) = 1 + Count of rows Data Element 122 Instruction in Self Advocacy Provided Through VR Agency Purchase = 1
Job Exploration Counseling	Count of rows where Data Element 97 Job Exploration Counseling Provided by VR Agency Staff (in-house) = 1 + Count of rows where Data Element 98 Job Exploration Counseling Provided Through VR Agency Purchase = 1
Work Based Learning Experiences	Count of rows where Data Element 103 Work Based Learning Experiences Provided by VR Agency Staff (in-house) = 1 + Count of rows where Data Element 104 Work Based Learning Experiences Provided Through VR Agency Purchase = 1
Counseling on Enrollment Opportunities	RSA-911: Count of rows where Data Element 109 Counseling on Enrollment Opportunities Provided by VR Agency Staff (in-house) = 1 or Count of rows where Data Element 110 Counseling on Enrollment Opportunities Provided Through VR Agency Purchase = 1
Workplace Readiness Training	Count of rows where Data Element 115 Workplace Readiness Training Provided by VR Agency Staff (in-house) = 1 or Count of rows Data Element 116 Workplace Readiness Training Provided Through VR Agency Purchase = 1
Instruction in Self Advocacy	Count of rows where Data Element 121 Instruction in Self Advocacy Provided by VR Agency Staff (in-house) = 1 or Count of rows Data Element 122 Instruction in Self Advocacy Provided Through VR Agency = 1

APPENDIX D

Vocational Rehabilitation Services and Supported Employment Programs Fiscal Tables

Table 3.1—[AGENCY] VR Federal Resources and Expenditures by Federal Fiscal Year

Table 3.2—[AGENCY] VR Non-Federal Share by Federal Fiscal Year

Table 3.3—[AGENCY] VR Maintenance of Effort by Federal Fiscal Year

Table 3.4—[AGENCY] Pre-Employment Transition Services by Federal Fiscal Year

Table 3.5—[AGENCY] Program Income

Table 3.1—[AGENCY] VR Federal Resources and Expenditures by Federal Fiscal Year

Federal Resources and Expenditures	2020	2021	2022	2023
FAIN				
Formula Award Amount				
MOE Penalty Assessed				
Funds Relinquished - Reallotment				
Funds Received – Reallotment				
Adjustments				
Net Award Amount				
Net Award Funds Unused**				
Match Net Award Funds Unused***				
Award Funds Expended				
Percent of Net Award Expended				
Percent of Formula Award Expended				
Carryover Met				
Grant Award Closed				

* Indicates the award is currently in an open status; therefore, data is either not currently available or not final.

**If award is closed, represents amount of funds deobligated at closeout. If award is not closed, represents balance in G5.

***Negative number indicates funds expended that were not matched.

Calculation Table 3.1: VR Federal Resources and Expenditures by Federal Fiscal Year

Federal Resources and Expenditures	Data Resource(s)
FAIN	Federal Award Identification Number (FAIN) Source: Grant Award Notification (GAN), Box 2, Award Information, PR/Award Number
Formula Award Amount	The award amount calculated by RSA using the statutory formula. This is the Cumulative Amount listed in Box 7, Authorized Funding, of the GAN that transmits the award amount authorized by Congress. Source: GAN, Box 7, Authorized Funding, Cumulative Amount
MOE Penalty Assessed	Source/Formula: GAN, Box 10, Terms and Conditions, MOE penalty letter issued to agency.
Funds Relinquished - Reallotment	Source: RSA-692
Funds Received - Reallotment	Source: RSA-692
Adjustments	Amount of miscellaneous adjustments to award (e.g., transfers from one State VR agency to another, grant transfer agreements, etc.). Source: GAN Supplements
Net Award Amount	Federal award amount after accounting for any changes/adjustments (e.g., MOE penalties, relinquishment, reallotment and transfers). Source: GAN, Box 7, Authorized Funding, Cumulative Amount, Last GAN Supplement
Net Award Funds Unused**	If award is not in Closed status, represents balance of unexpended funds in G5. If award is in Closed status, represents amount of funds deobligated at closeout. Source: G5 Disbursement Report
Matched Net Award Funds Unused***	Matched award funds that were unused by grantee. Negative number indicates funds expended that were not matched. Formula: [(Lessor of (Net Award Amount) or (Federal Funds Matched - Agency)) less the (Award Fuds Expended)]

Award Funds Expended	Source/Formula: G5 - If award is not in Closed status [(Net Award Amount) less the (Balance of Funds per G5 at End of Period of Performance)]. If award is in Closed status, [(Net Award Amount) less the (Unused Funds Deobligated at Closeout)]
Percent of Net Award Expended	Formula: [(Award Funds Expended) divided by (Net Award Amount)]
Percent of Formula Award Expended	Formula: [(Award Funds Expended) divided by (Formula Award Amount)]
Carryover Met	If “Yes”, award met criteria to carryover unobligated Federal funds for an additional FFY. If “No”, award did not meet criteria to carryover unobligated Federal funds for an additional FFY. Source: G5, RSA-17 4th Quarter Report
Grant Award Closed	If “Yes”, award is Closed in G5. If “No”, award is not in a Closed status in G5. Source: G5

Table 3.2—[AGENCY] VR Non-Federal Share by Federal Fiscal Year

Non-Federal Share (Match)	2020	2021	2022	2023
Matching Requirement Met - Agency				
Non-Federal Share - Agency (4th Qtr.)				
Non-Federal Share - Agency (Final)				
Federal Funds Required to be Matched - Agency				
Federal Funds Matched - Agency				
Required Non-Federal Share - Agency				
Federal Funds Match Difference – Agency				
Percent of Federal Funds Matched - Net Agency				
Percent of Federal Funds Matched - Formula Agency				
Federal Funds Matched - State				
Federal Funds Required to be Matched – State				
Required Non-Federal Share – State				
Federal Funds Match Difference - State				

* Indicates the award is currently in an open status; therefore, data is either not currently available or not final.

Calculation Table 3.2: VR Non-Federal Share by Federal Fiscal Year

Non-Federal Share (Match)	Data Source(s)
Matching Requirement Met - Agency	If “Yes”, agency met the non-Federal share requirement for the FFY. If “No”, agency did not meet the non-Federal share requirement for the FFY. Source: RSA-17 data
Non-Federal Share - Agency (4th Qtr.)	Source/Formula: RSA-17 4th quarter report [(28. Total Non-Federal Share of Allowable Expenditures (1st - 4th Qtr.)) plus (29. Non-Federal Share of Allowable Unliquidated Obligations (1st - 4th Qtr.))]
Non-Federal Share - Agency (Final)	Source/Formula: RSA-17 Final report. If 4th quarter report is Final, [(28. Total Non-Federal Share of Allowable Expenditures (1st - 4th Qtr.)) plus (29. Non-Federal Share of Allowable Unliquidated Obligations (1st - 4th Qtr.))]. If 6th - 8th quarter report is Final, [(28. Total Non-Federal Share of Allowable Expenditures (6th - 8th Qtr.)) plus (29. Non-Federal Share of Allowable Unliquidated Obligations (6th - 8th Qtr.))]

Federal Funds Required to be Matched - Agency	Formula: [((Non-Federal Share – Agency 4th Qtr. or Final), whichever is less, divided by .213) multiplied by .787]
Federal Funds Matched - Agency	Formula: [(Non-Federal Share – Agency 4th Qtr. or Final, whichever is less, divided by .787) multiplied by .213]
Required Non-Federal Share - Agency	Formula: [((Federal Funds Required to be Matched – Agency) divided by .787) multiplied by .213]
Federal Funds Match Difference - Agency	Formula: [(Federal Funds Matched - Agency) less (Required Non-Federal Share – Agency)]
Percent of Federal Funds Matched - Net Agency	Formula: [(Federal Funds Matched – Agency) divided by (Net Award Amount)]
Percent of Federal Funds Matched - Formula Agency	Formula: [(Federal Funds Matched – State) divided by the net formula award amount for the State from RSA-17(s)]
Federal Funds Matched - State	Formula: Calculate and sum the Federal Funds Matched – Agency (above) for the Blind and General VR agencies. For Combined agencies this data element is the same as Federal Funds Matched – Agency (above).
Federal Funds Required to be Matched - State	Formula: Calculate and sum the Federal Funds Required to be Matched – Agency (above) for the Blind and General agencies. For Combined agencies this data element is the same as Federal Funds Required to be Matched – Agency (above).
Required Non-Federal Share - State	Formula: [((Federal Funds Required to be Matched – State) divided by .787) multiplied by .213]
Federal Funds Match Difference - State	Formula: [(Federal Funds Matched - State) less (Required Non-Federal Share – State)]

Table 3.3—[AGENCY] VR Maintenance of Effort by Federal Fiscal Year

Maintenance of Effort (MOE)	2020	2021	2022	2023
MOE Requirement Met - Agency				
Non-Federal Share - Agency				
Construction Expenditures - Agency (4th Qtr.)				
Construction Expenditures - Agency (Final)				
MOE Base – Agency				
MOE Amount – Agency				
MOE Difference – Agency				
MOE Amount – State				
MOE Difference - State				

* Indicates the award is currently in an open status; therefore, data is either not currently available or not final.

Calculation Table 3.3: VR Maintenance of Effort by Federal Fiscal Year

NOTE: Table under development. See Financial Management Specialist for details.

Table 3.4—[AGENCY] Pre-Employment Transition Services by Federal Fiscal Year

Pre-Employment Transition Services (Pre-ETS)	2020	2021	2022	2023
Pre-ETS Requirement Met - Agency				
Pre-ETS Requirement Met – State				
Percent of Matched Federal Funds Expended on Pre-ETS – Agency				
Percent of Matched VR Funds Spend on Pre-ETS – State				
Final Pre-ETS Expenditures – Agency				
Reserve Calculation Base – Agency				
Federal Funds Required to be Reserved for Pre-ETS – Agency				
Pre-ETS Difference				
Final Federal Pre-ETS Expenditures – State				
Reserve Calculation Base – State				
Federal Funds Required to be Reserved for Pre-ETS – State				
Percent of Federal Funds Expended on Pre-ETS – State				
Matched VR Pre-ETS Funds Used for Other Purposes - State				

* Indicates the award is currently in an open status; therefore, data is either not currently available or not final.

Calculation Table 3.4: Pre-Employment Transition Services by Federal Fiscal Year

NOTE: Table under development. See Financial Management Specialist for details.

Table 3.5—[AGENCY] Program Income

Program Income	2020	2021	2022	2023
Program Income Received (4th Qtr)				
Total Program Income Expended (4th Qtr)				
Program Income Received (Final)				
Total Program Income Received Expended (Final)				
Federal Program Income (VR SSA Payments Only) Transferred to the State Independent Living Services (SILS) Program:				
Federal Program Income (VR SSA Payments Only) Transferred to the Independent Living Services for Older Individuals who are Blind (OIB) Program				
Federal Program Income (VR SSA Payments Only) Transferred to the Client Assistance Program (CAP)				
Federal Program Income (VR SSA Payments Only) Transferred to the State Supported Employment Services (SE) Program				
Program Income Transferred				
Program Income Used for VR Program				

* Indicates the award is currently in an open status; therefore, data is either not currently available or not final.

Calculation Table 3.5: Program Income

NOTE: Table under development. See Financial Management Specialist for details.