

**U.S. DEPARTMENT OF EDUCATION
Office of Indian Education (OIE)**

**Indian Education Formula Grant Program
Annual Performance Report (APR)
SY2017-2018**

Frequently Asked Questions (FAQs)

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1.0 Support and Resources

1.1 Who can I contact when I need technical assistance on the Annual Performance Report (APR)?

Formula Grant EASIE applicants can contact the ED*Facts* Partner Support Center (PSC) for technical assistance.

Telephone: 1-877-457-3336 (1-877-HLP-EDEN)
Fax: 1-888-329-3336 (1-888-FAX-EDEN)
E-mail: eden_OIE@ed.gov
Federal Relay Service: 1-800-877-0996 (Voice/TTY) / federalrelay@sprint.com

Hours of operation are between 8:00 a.m.-6:00 p.m. ET, Monday through Friday, excluding federal holidays.

1.2 How can I contact the OIE?

The following is the contact information for OIE:

Website: <http://www2.ed.gov/programs/indianformula/contacts.html>.
Telephone: 1-202-260-3774
Fax: 1-202-205-0606
Email: Indian.education@ed.gov

1.3 What is the website for the APR?

Formula Grant EASIE is located in the ED*Facts* Submission System (ESS) website at <https://eden.ed.gov/Survey>.

1.4 What website can assist grantees with completing the APR?

The Community of Practice website was created to provide year-round, end-user support for all parts of the Indian Education Formula Grant Electronic Application System for Indian Education (EASIE). It includes informational pages for EASIE Part I, II, and APR (Part III), including blank application, supporting documentation, webinars and instructional videos. A calendar with upcoming due dates, an announcement section to keep users up-to-date on current issues and many other resources are also available. It is located at the following link: <https://easie.grads360.org/#program/easie-apr>.

1.5 What information is located in the Getting Started Document?

The Getting Started document provides technical information on how to navigate the computer processes of the online application. A copy can be downloaded from the following link: <https://easie.grads360.org/#program/easie-part-i>

1.6 What APR resources are located on the Getting Started Screen by clicking the button?

To find documents that will assist you through the APR process, click the Getting Started button on the first screen of the online portal. The Getting Started link will direct you to the area that holds the documents that provide assistance to users. The documents available for download are: APR Sample Document, Prior Annual Performance Reports, APR Frequently Asked Questions (FAQs), Getting Started Guide, and Late Liquidation Information.

1.7 What is the supported and recommended browser for the APR?

Internet Explorer version 11 in Windows is the only supported and recommended browser for ED*Facts* Portal applications. The use of other unsupported web browsers to complete EASIE will cause unexpected results. If you are using any other browsers to access EASIE, please switch to Internet Explorer 11 in Windows only, to ensure no potential errors are introduced and your application is processed correctly.

1.8 May I submit a paper APR?

A paper APR document may be requested through the process outlined in the Federal Register Notice published 2/1/2018. <https://www.federalregister.gov/documents/2018/02/01/2018-02023/application-for-new-awards-indian-education-formula-grants-to-local-educational-agencies>.

1.9 How do users access the APR?

The APR is located within the Formula Grant EASIE Part III link located on the left side of the screen. Formula Grant EASIE can be found within the U.S. Department of Education's (The Department) ED*Facts* portal. The URL is <http://eden.ed.gov/Survey>. A current system ID and password are required for each user and are obtained by registering through the PSC. Current users of the ED*Facts* Submission System (ESS) website will receive a new system ID and password prior to the APR being open to users.

1.10 How will users be notified that the APR is available to enter performance information?

Only current users of the ESS website will receive two system generated emails before the APR opens: one including the username and one including the password. Both credentials are required to access the ESS website. Ensure that you have an active ESS account with the designation as a general, managing or certifying user and an active email address. If you are unsure if you are a current user of the ESS website or did not receive an email, but received a School Year (SY) 2017-2018 grant, PR Award # S060A17XXXX, contact PSC.

PSC will also send another ED*Facts* broadcast notifying grantees when the system opens. You can login and begin entering APR data at that time.

2.0 Annual Performance Report (APR): General Information

2.1 What is the Annual Performance Report (APR)?

The APR is an annual report that provides performance data on the status of the funded project that corresponds to the scope and objectives established in the approved application and any approved amendments. Under EDGAR § 75.118, the report must provide the most current performance and financial information.

2.2 What is the purpose of the APR?

Submitting the APR satisfies the grantee's obligation under the federal-wide Uniform Administrative Requirements (2 CFR §§ 200.328) and the Department's administrative regulations (34 CFR § 75.720) to provide the most current financial and performance information at the end of the grant period, as well as, include information on program outcomes related to the Government Performance and Results Act (GPRA). One of the federal reporting requirements is to provide a comparison of actual accomplishments to the established objectives, explain reasons why goals were not met, if applicable, and to provide an explanation of unexpended program funds.

2.3 What is GPRA?

Under the GPRA, Federal departments and agencies must clearly describe the goals and objectives of programs, identify resources and actions needed to accomplish goals and objectives, develop a means of measuring progress made, and regularly report on achievement. One important source of program information on successes and lessons learned is the project evaluation conducted under individual grants.

2.4 What are the GPRA measures for the Indian Education Formula Grants to LEAs program?

The Department has developed the following GPRA performance measures for evaluation the overall effectiveness of the Indian Education Formula Grant to LEAs program: (1) the percentage of AI/AN students in grades four and eight who score at or above the basic level in reading on the National Assessment of Educational Progress (NAEP); (2) the percentage of AI/AN students in grades four and eight who score at or above the basic level in mathematics on the NAEP; (3) the percentage of AI/AN students in grades three through eight meeting State achievement standards by scoring at or above the proficient level in reading and mathematics on State assessments; (4) the difference between the percentage of AI/AN students in grades three through eight at or above the proficient level in reading and mathematics on State assessments and the percentage of all students scoring at those levels; (5) the percentage of AI/AN students who graduate from high school as measured by the four-year adjusted cohort graduation rate; and (6) the percentage of funds used by grantees prior to award close-out.

2.5 When will the APR be available to users?

The APR will be available to users from September 24, 2018, to October 25, 2018. The APR will close to users at 8:00 p.m. ET on October 25, 2018.

2.6 What grant year will be reported in the APR?

The APR is for the grant that ended on June 30th of the current year with a PR award # S060A17XXXX. The grant performance period will be for School Year (SY) 2017-2018 or July 1, 2017, through June 30, 2018. Note: The APR for SY 2017-2018 falls under Title VI of the Elementary and Secondary Education Act, as amended.

2.7 What happens if a grantee fails to submit an APR?

All grantees must submit a performance report, including financial information, within 90 days after the close of the grant year. If a grantee fails to submit an APR, the Department of Education (the Department), in accordance with 2 CFR §200.207, has the authority to impose specific conditions on a grantee that has a history of failure to comply with general or specific terms and conditions, to help ensure that the grantee is successful in executing its responsibilities under the grant.

2.8 What is the Paperwork Burden Statement for the APR?

The valid OMB control number for the Indian Education Formula Grant Annual Performance Report (APR) is 1810-0726. The time required to complete this information collection is estimated to average 11 hours per response for annual performance reports, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

3.0 Section 1.1 Applicant Information

3.1 What information is needed for the cover sheet?

On the Section 1.1 Applicant Information screen, the user must identify the project director's name and title, telephone number, fax number and email address and the authorized representative of the applicant agency, their title, telephone number, fax number and email address for the completed performance period. The other information on the screen that is pre-populated (entity name, mailing address, PR award number, DUNS number, NCES number and applicant type) should also be verified for correctness. If grantees identify any incorrect information with the pre-populated data, the grantee should contact PSC to update information that is incorrect. For contact information see question #1.1.

3.2 What is meant by the project director?

The project director is the designated point of contact for managing resources, administrative matters, and overseeing finances to ensure that the project progresses on time, in compliance, and on budget. The project director has the responsibility to oversee, monitor and manage the project and has comprehensive knowledge of the program. Note that the authorized representative is not necessarily the project director.

3.3 What if we do not have a designated project director? Do we leave this information blank?

No. The project director should always be the designated point of contact for the entity. The authorized representative (see question 3.4) could also be designated as the project director, so he/she receives notifications from the OIE throughout the grant year.

3.4 If the district had a change in key personnel from SY 2017-18, do we need to submit anything to the OIE?

Yes. At any point during the grant period grantees must complete an administrative action memo to make changes to key personnel identified in the G5 system, which is the Department's grant management system. An example of the action memo format is located in **Appendix B** of this document and can be emailed to the Partner Support Center (eden_OIE@ed.gov). PSC will also update the entity's information in their ESS database.

3.5 What is meant by authorized representative?

The authorized representative is the official, within the organization, with the legal authority to give assurances, make commitments, enter into contracts, and execute such documents on behalf of the organization as may be required by OIE. It is often the superintendent of the LEA; for tribes it could be a tribal official designated or authorized to bind the tribe, e.g. the head of the Tribal Educational Agency. The signature of the authorized representative certifies that commitments made on grant applications will be honored and ensures that the applicant organization agrees to conform to OIE's regulations, guidelines, and policies. Note that the authorized representative is not necessarily the project director.

3.6 How do we fill out the contact information if we are a consortium?

The lead applicant designates the authorized representative and the project director serves as the only point of contact for the consortium.

3.7 May an entity that has a contract with the LEA be the authorized representative for this program and certify the APR?

No. Only an individual who has the authority to legally bind the LEA can submit required documents to the Department, including the APR.

3.8 Who is authorized to certify the APR?

The applicant's authorized representative, who must be legally authorized by the applicant to certify the application, must certify EASIE Part I and Part II, and the APR (EASIE Part III). Only users with the role type "managing user" or "certifying official user" in the EASIE system can certify an application or APR. The certification process ensures that the information provided to The Department is true, reliable, and valid. A grantee that provides a false statement in the application is subject to penalties under the False Claims Act, 18 U.S.C. 1001.

4.0 Section 1.2 Grant Objective Participation Data

4.1 What information is shown in Section 1.2 Grantee Objective Participation Data?

- Certified Indian student count from EASIE Part I (pre-populated)
- Objective(s) from SY 2017-2018 EASIE Part II (pre-populated)

- Activity and service(s) from SY 2017-2018 EASIE Part II (pre-populated)
- Target population (response required)
- Total served during the Reporting Period (response required)
- Comment box for listing activities and services (response required)

4.2 What information is completed in this section of the APR?

In Section 1.2, your Indian Education Formula Grant approved project objectives, as well as the activities/services and grade levels associated with each objective(s) are pre-populated from your EASIE Part II application. Users will enter program-specific information on target population(s) per project objective, total number of participants in each category served per project objective served during the reporting period, and an explanation of the activities/services provided during SY 2017-18.

4.3 What is meant by target population?

The target population(s) is the population in each category who have been served by each individual project objective(s) and activity/service. The target population choices are as follows: Indian students, parent(s) of Indian students, teachers of Indian students, other (administrators), no target population (curriculum development), or N/A activity not implemented. If an activity does not have a target population, select “No target population served.” If an activity was not implemented, select “N/A: activity not implemented.” If “N/A: activity not implemented” is selected, please include information in the comment section describing when this will be implemented. Activities/services may serve single or multiple populations.

4.4 How is the number of persons served calculated?

Enter the total number of persons in each category who received services during the reporting period by each activity and service by objective. Note: Only count each participant once by each activity and service by objective, even if that person attended multiple activities or services for that service/activity. The total number of Indian students for each service/activity should not exceed the total number of Indian students identified in Part I of the EASIE application. If the activity does not have a target population, leave all columns blank. If an activity was not implemented, leave all columns blank.

In the example below, there is one objective (Increase school readiness) with two activities and services: (culturally-responsive early childhood programs and activities and parent involvement). The total number of the Part I Indian student count was 145. The objective identified was for pre-K and elementary students. The number served cannot exceed the number of total Indian students (145), nor can it exceed the total number of Indian students identified in Pre-K and Elementary grade levels.

Example:

Section 1.2 Grant Objective Participation Data
Part I Indian student count: 145
Objective: Increase School Readiness

Grades: Pre-K, Elementary

Activity/Service	Target Population	Total Served during the Reporting Period
Culturally-responsive early childhood programs and activities	✓ Indian students	Students: 18 Parents: 0 Teachers: 0 Other/Administrators: 0

Activity/Service	Target Population	Total Served during the Reporting Period
Parent involvement	✓ Parents	Students: 0 Parents: 40 Teachers: 0 Other/Administrators: 0

4.5 How do I report data in Section 1.2 Grant Objective Participation Data for a Title I schoolwide program?

For Title I schoolwide programs, you will not complete the target population section, or the total population served by the objective(s); however, you will provide an explanation of the target population, total served and additional information about your Title I schoolwide program in the comment box located at the bottom of the screen. In addition, also include how the use of funds in the schoolwide program produced benefits to Indian students that would not be achieved if the funds were not used in the schoolwide program.

4.6 How do I report data as a consortium lead?

It will be necessary to sum the numbers served by activity/service for each individual LEA of the consortium. Consortium grantees thus will enter one summed target population and summed total served for each activity/service. Note: Only count each participant once, even if that person attended multiple activities or services for that objective(s). The total number of Indian students for each activity/service should not exceed the combined total number of Indian students identified in Part I of the EASIE application.

4.7 What if you want to change your program objectives for the next grant year?

Objectives are established during Part II of the EASIE application. If you have a single-year application, you will be able to change your objectives during the next year's Part II application. If you have a multi-year application, you will need to change the application from multi-year to single-year or begin a new multi-year application during Part I of the next year's application. Then you will be able to change your objectives during Part II.

4.8 What information should be included in the Section 1.2 Grant Objective Participation Data comment box?

In the Section 1.2 Grant Objective Participation Data comment box, grantees must explain the specific types of activities and services that were implemented during the performance period, as well as, the frequency of activities including how the activities and services address the unique cultural, language and educational needs of Indian students. It should also explain why an objective was not implemented, if that is the case. The comment section is mandatory and a required field. Character limit is 2,000 characters.

For example: "Under the objective Parent Involvement, a Family Literacy Night was developed. The Project Director led the event using culturally relevant books from our tribe and the book's author had a book signing after the event. The Family Literacy Night was held quarterly for K-6 students, parents and teachers."

5.0 Section 1.3 Project Performance Data

5.1 What information is shown in Section 1.3: Project Performance Data?

- Objective (pre-populated)
- Data Source (pre-populated)
- Objective Results (response required)

- Explanation (response required)

5.2 What information is reported in this section?

Section 1.3: Project Performance Data is pre-populated from your EASIE Part II application. This includes your Indian Education Formula Grant project objectives, as well as the data sources associated with each objective(s) from Part II of the EASIE application. You will indicate whether your entity met each objective(s) according to the data source during the current reporting period and provide an explanation on how the objective(s) was/was not met.

5.3 How does an entity determine if objective(s) were met?

For each project objective(s) included in your approved grant application, you will identify if you have met the performance measure according to the data source that were identified in EASIE Part II (yes or no). You will also explain how your data on your performance measures demonstrate that you have met each project objective(s) in the comment box. If an objective was not met, the grantee must explain in the comment box why it was not met. You should also explain whether the project is making progress towards meeting the objective(s) and provide steps for improvement.

5.4 What should users keep in mind while entering data?

The Project Performance Data page times out after 20 minutes. Users can SAVE progress and come back to the page after selecting “Yes” or “No” on all radio buttons—the system will not allow saving until all buttons are selected. It is recommended that users type explanations and SAVE them on a separate document (i.e. Word or Notepad) and then paste sections into the APR to avoid losing work.

An explanation is required for every activity/service—You will not be able to mark the section **Finished** until this is complete. When drafting an explanation, please note that there is a 500-character limit per response.

6.0 Section 1.4 Assessment and Graduation

6.1 What information is located in Section 1.4: Assessment and Graduation?

- Mathematics State Assessment Data (pre-populated)
- Reading State Assessment Data (pre-populated)
 - Summary of State Assessment Data (pre-populated)
- Graduation Data (pre-populated)

6.2 What information must be provided under State assessments?

State assessment data must be provided for both mathematics and reading.

- Total number of Indian students assessed in grade levels 3-8.
- Number of Indian students who were proficient or above in grade levels 3-8.
- Total number of all students (Indian and non-Indian) assessed in grade levels 3-8.
- Number of all students (Indian and non-Indian) who were proficient or above in grade levels 3-8.

In some cases, the mathematics and reading state assessment data is pre-populated from information provided by *EDFacts* from your state. However, if your state did not provide the information to *EDFacts*, some of the following required information may not be pre-populated and thus must be provided, for reading and mathematics in grade levels 3-8.

State assessment data must be entered for reading and mathematics in grade levels that your state assesses, even for grade levels where there are no Indian students and for grade levels that your project did not address.

6.3 How do you complete the assessment section if there is no pre-populated data?

- Select edit table.
- Provide a comment in the comment box.
- Select state assessment (mathematics will be the default selection) from the drop-down menu.
- Enter the total number of Indian students with mathematics assessment scores.
- Enter the number of Indian students who were proficient or above.
- Select continue.
- Enter the total number of all students (Indian and non-Indian) with assessment scores.
- Enter the number of all students (Indian and non-Indian) who were proficient or above.
- Select continue (this will route you back to the main assessment screen).
- Select to change the state assessment (mathematics will be the default).
- Select the dropdown selection of Reading.
- Enter reading assessment scores for both Indian Students and then All Students.
- **If your project serves multiple LEAs, then you will need to complete assessment information for each individual LEA that your project serves.**

6.4 Can the pre-populated assessment information be edited?

Yes. You can modify the pre-populated assessment data by checking the box edit table. Please note: pre-fill data cannot be regenerated once deleted from your application. When the mathematics or reading state assessment data is edited, a comment box will appear. This provides an opportunity to offer additional information about the data. Programs should describe what data was entered. (*e.g.*, state reading assessment from SY 2017. Data in chart was not current). The comment section is mandatory if the assessment information is left blank. Character limit is 1,000 characters.

6.5 Which School Year data should be reported when entering Assessment and Graduation data?

When submitting your assessment and graduation rates, you should enter data for the most recent year that data would normally be available at the time you are completing the APR. The assessment and graduation rates should be from SY 2017-2018, unless unavailable. If that is the case, use the data that is available from SY 2016-17. Please review assessment and graduation report in prior annual performance reports when reporting all data to ensure an accurate year-to-year comparison. Please note: Assessment and Graduation data is populated by ED*Facts* and generated by your state's SY 2016-17 submitted data if available. See question #6.7 for more information.

6.6 When I report results for Indian students, should I be reporting specifically on Indian students served by our Title VI project?

No. For the assessment section of the APR (state assessments and graduation data), you should report on all students who are identified as American Indian or Alaska Native for state assessment data reporting purposes. This will likely include some students who do not have ED 506 forms and whom your project does not serve.

6.7 How does the pre-population of data from ED*Facts* work with the APR?

ED*Facts* is the U.S. Department of Education's centralized data collection for elementary and secondary education data.

- State Education Agencies (SEAs) submit data on their LEAs and schools to ED*Facts*.
- The system pulls available State assessment data from ED*Facts* to pre-populate fields if the SEA provided data. The only fields in this section that will pre-populate with available data are State assessment and graduation data.
- The grantee retains the full right and responsibility to verify and to insert correct values where necessary for all required data.

6.8 My APR has no pre-population data. Why not?

If your APR has no pre-populated data that would indicate that your State or the BIE did not submit assessment or graduation data through ED*Facts* for your entity. If this is the case, users will have to enter their Assessment and/or Graduation data manually. Please refer to question #6.5 for how to submit State assessment data.

6.9 What information is located in the Summary of State Assessment data?

The chart, Summary of State Assessments, provides a summary of the number of Indian students and all students who scored at or above proficient in reading and mathematics on state assessments. The Summary of State Assessment data provides data that is ideal for programs to share with the parent committee members, local tribes, and the community at large, as required by section 6114 of the ESEA.

6.10 What information is reported in the Graduation rate data table?

The APR must include graduation rate data for all Indian students and all students for this project, if your project selected grade 12 in Part II under Grade Levels Offered. Graduation rate data is only required element if your project serves grade 12. Enter the value as a percentage to a whole number (*e.g.*, 57%). If your application listed multiple LEAs and those LEAs offers Grade Level 12, then you will need to complete graduation information for each individual LEA that your project serves.

Graduation rate for all students is the percentage of students who graduated from high school with a regular diploma. The calculation of the percentage rate is defined in the accountability section of the Title I State plan. Use the definition that the LEA uses for reporting under ESEA.

In some cases, the graduation rate data is pre-populated from information provided by your state's SY 2016-17 ED*Facts* graduation data submission. However, if your state did not provide the information to ED*Facts*, the information may not be pre-populated and thus must be provided manually.

6.11 How do you complete the graduation rate data section if there is no pre-populated data?

- Select edit table.
- Provide a comment in the comment box.
- Enter the graduation rate for Indian students.
- Enter the graduation rate for all students (Indian and non-Indian).
- **If your project serves multiple LEAs, then you will need to complete graduation rate information for each individual LEA that your project serves.**

6.12 Can the pre-populated graduation rate data be edited?

Yes. You can modify the pre-populated graduation data by checking the box edit table. Please note: pre-filled data cannot be regenerated once deleted from your application.

7.0 Section 1.5 Budget Data**7.1 What information is located in Section 1.5, Budget Data?**

- Expenditure Report
 - Comments required if 11% or more of funds remain unallocated.
- Technical assistance questions.

7.2 Explanation of the Expenditure Report

The expenditure report is taken directly from G5.

Amount Obligated: The amount awarded on July 1, 2017.

Amount Expended: The amount remaining in G5.

Funds Remaining: = (Amount Obligated - Funds Expended)

Percentage Remaining: (Amount Obligated - Funds Expended)/100

7.3 What is G5, the Department's Grants Management System?

The G5 grants management system provides grantees the ability to view/download their Grant Award Notification (GAN), as well as, draw down history for the appropriate grant period for the Indian Education Formula grants to LEAs. All users requiring access to G5 must register with the U.S. Department of Education to obtain individual user IDs and passwords for their role within G5, such as project director, authorized representative and payee.

7.4 What information must be completed in the Budget Data section?

The budget information for amount obligated, and amount expended are pre-populated from G5 System prior to the system being open to users. The funds remaining and percentage remaining are auto-calculated. In the comment box, you must provide an explanation of why you have not drawn down at least 90% of the grant funds from the G5 System to pay for budget expenditure amounts. Also describe any significant changes to your budget resulting from modification of project activities.

Note: If the program's expenditure records do not match the amount in G5, contact PSC for further instructions.

7.5 Why would there be a difference in amount spent and what is visible on the screen?

Even if grantees spend funds, it is up to designated project personnel (payee role in G5) to draw down funds from G5. The performance period for SY 2017-2018 was from July 1, 2017, to June 30, 2018. The liquidation period is from July 1, 2018, to September 30, 2018. All funds expended during the grant performance period must be claimed before September 30, 2018. If the amount on the screen is incorrect, contact your district's business office to verify the expenditure report. Contact OIE with any questions on this screen or select **yes** to the question "Request technical assistance" found at the bottom of the screen.

7.6 Who can drawdown funds in G5 and how does a user get access?

All users requiring access to G5 must register with the U.S. Department of Education to obtain individual user IDs and passwords for their role within G5, such as project director, authorized representative and payee.

In addition, individuals with the role of payee (those with the authority to draw down grant funds) must submit signed and properly validated paperwork for that role in G5. To request access as a payee, please contact the G5 system via e-mail or by calling the G5 HELP DESK.

G5 HELP DESK Toll-Free: 1-888-336-8930

Email: edcaps.user@ed.gov

7.7 What if a program drew down funds after the APR opened?

Budget Information from G5 was pre-filled from a G5 report generated on September 17, 2018, before the APR opened to users. The EASIE system will also be refreshed with current G5 data prior to the final day grantees can draw down Title VI funds (September 30th). If more than 10% remains, please write a statement in the comment section of this part of the APR to reflect when you made the drawdown, and how much is remaining at the time.

7.8 Question: Key grant personnel has changed from SY 2017-18.

Select yes, if key personnel (project director or authorized representative) has changed from the previous grant year. All contact information in G5 needs to be updated for each year a grant is awarded. OIE requires an administrative action memo to make the changes to update key personnel in G5, the Department of Education grant awarding/management system. An example of the format for an administrative memo is located in **Appendix B** of this document and can be emailed to the Partner Support Center (eden_OIE@ed.gov). PSC will also need to create a user account for access to the ED*Facts* portal and archive accounts for users no longer needing access to the entity's information.

7.9 Question: Grant funds were expended during grant performance period and were not claimed, so a Phase I Late Liquidation is requested. Information about Phase I Late Liquidation reimbursement for district expenditures is needed.

Select yes, if information is needed about the late liquidation process.

7.10 What is a Phase I Late Liquidation?

Generally, grantees are expected to liquidate obligations within 90 days. However, the Department recognizes that, in unusual circumstances, liquidations may need to occur more than 90 days after the close of the grant period. See Appendix C for more information.

Before the Department approves a late liquidation or related accounting adjustments, the grantee must submit an attestation signed by a high-ranking authorized official as to the accuracy of the information and a budget detail of expenditures. See sample under Appendix D.

7.11 Technical Question: Request technical assistance.

Select yes, if you need technical assistance. All of these requests are followed-up after the APR closes. Please contact PSC if the questions need clarification prior to the APR closing.

7.12 Technical Question: Requests that the Department of Education close out the FY 201X Indian Education Formula Grant with the balance noted above in section 1.5 Budget Data.

By selecting yes, the authorized representative acknowledges that all of the required work of the project has been completed by the grantee and any remaining funds were not obligated during the performance window, and therefore will be returned to Treasury. By selecting no, OIE will follow up with your program directly to get a closeout notice signed by the authorized representative.

7.13 What is the closeout process for the grant?

Closeout is a process by which OIE determines that all applicable administrative actions and all required work of the project have been completed by the grantee. OIE needs an attestation from an authorized grant official acknowledging that any remaining program funds were not obligated during the performance period and therefore those remaining un-obligated funds shall be de-obligated.

7.14 When will our program be required to sign a closeout notice?

If your program selected “No” and your remaining balance has an amount over \$1000, OIE will reach out to the project director after the APR closes. If there is a late liquidation request or a project extension, OIE will follow up with your project director after the APR closes.

8.0 Section 1.6 Certification

8.1 How do I submit the application?

The submission of your application to the Department is accomplished by certifying the application. This is the last step on the section menu located on the main screen. After checking the two attestation statements (see below), the managing user or the certifying official user will select the, “I certify”, button. The screen will advance, and at the top of the next page you will see statement of certification and the time the APR was certified. You should print and save a copy of the completed APR at this time. **If an authorized official of the applicant entity does not complete the certification step, your APR is not submitted to the Department.**

8.2 What are the attestation statements?

On the certification page, the attestation statements ensure that the information submitted to the U.S. Department of Education is complete and correct. It is the responsibility of the authorized representative to ensure the information submitted is valid, complete and correct. The certifying official user or the managing user acknowledges the following:

- To the best of my knowledge and belief, as the authorized representative of this entity, all data in this performance report are true and correct. I understand that any false statement provided herein that I have made is subject to penalties under The False Claims Act, 18 U.S.C. 1001.
- The report fully discloses all known weaknesses concerning the accuracy, reliability and completeness of the data.

8.3 When will the certification screen appear?

After all sections of the APR are in the **finished status**, the certifying screen will appear for the Managing User or the Certifying User only. The process of certifying is the final step to submit your APR to the OIE.

8.4 Can I still update answers in a section that is identified as “Finished”?

Yes, as long as the closing date of the APR has not passed and the APR is not officially certified, changes can be made. Keep in mind that the system does not allow an application to be certified (submitted) unless all sections are marked as *Finished*.

8.5 How can I verify that my APR is complete?

You should download or print a PDF version of the pre-certified application to verify the answers. The Managing User or Certifying User, who will take the final step of certifying the APR, should ensure that the information provided is true, complete and correct.

8.6 When can I print a copy of the APR?

You can download or print a PDF version of your APR any time during the open period of the APR, both before and after certification. When the APR closes, you will no longer have access to the system. Applicants can contact PSC or OIE for a copy of the certified application.

8.7 Can I create a new version of the APR?

No, users are unable to create a new version of the APR. Do not certify the application until you have reviewed all sections and it is complete.

9.0 APR: OIE's Review

9.1 Will OIE review the APR?

OIE will review all certified APRs and will upload the APR PDFs to each electronic grant file.

Appendix A: Program Letter

Dear Colleague,

It is time to prepare the Indian Education Formula Grant's Annual Performance Report (APR) that corresponds to School Year (SY) 2017-18 that was open from July 1, 2017 to June 30, 2018. This report is required for all grantees. The APR opens on September 24, 2018, and closes to users at 8:00 p.m. ET on October 25, 2018. The APR should provide a comparison of actual accomplishments to the established objectives, explain reasons why goals were not met, if applicable, and to provide an explanation of unexpended program funds,, as well as give the OIE data to use for Government Performance Results Act (GPRA) measures and Leading Indicators. The APR is submitted electronically through the *EDFacts* Submission System at this link: <https://eden.ed.gov/Survey>. The APR will be located under the EASIE Part III link.

Please use this document as a guide to assist you in completing information on your grant. The *Getting Started* and *APR FAQs* documents contain in-depth information on how you will report data in the APR. You may find these documents on the Communities of Practice Website under the tab EASIE APR Resources: <https://easie.grads360.org> and on the Getting Started Section of the ESS website: <https://eden.ed.gov/Survey>.

APR Sections

The APR consists of a cover sheet and four sections. You will enter program-specific information on participation, performance, assessment and budget. Some information may be pre-populated from the EASIE application or information provided by *EDFacts* for assessment and graduation data. You can edit the assessment or graduation information provided by *EDFacts*.

Section 1.1 Applicant Information

All of the information on this screen will be prepopulated from the EASIE application, except for the Project Director and Authorized Representative. You will need to complete the information on the Project Director and the Authorized Representative. The Authorized Representative certifies the APR, and must be authorized to legally bind the entity. It is often the superintendent of the LEA; for tribes it could be a tribal official designated or authorized to bind the tribe, e.g. the head of the Tribal Educational Agency.

Section 1.2 Grant Objective Participation Data

Your Indian Education Formula Grant project objectives, as well as the activities/services and grade levels associated with each objective, have been pre-populated from items in your EASIE application. You will provide program-specific information on your target population(s), total number of students served during the reporting period, and an explanation of the activities/services provided during SY 2017-18. The mandatory comment box provides you an opportunity to offer detailed information about specific project activities and services.

Section 1.3 Project Performance Data

This table provides information about your project objectives and data sources from the EASIE application. Indicate whether you met each objective(s) during the current reporting period. Provide an explanation on how the objective(s) was/was not met and provide steps for improvement, if applicable.

Section 1.4 Assessment and Graduation**Mathematics and Reading State Assessment Data**

The mathematics and reading state assessment tables provide the total number and percentage of all students and Indian students in grades 3-8 assessed in mathematics and reading who scored at or above proficient on state assessments. The state assessment data is pre-populated from information provided by *EDFacts*, if your SEA submitted data to *EDFacts*. You can edit or add assessment data by checking the **Edit Table** button. Provide an explanation when editing *EDFacts* assessment data.

Summary of State Assessment Data

The chart, Summary of State Assessments, provides a calculated summary of reading and mathematics on state assessments for Indian and all students.

Graduation Data

In the graduation data table, provide graduation data for all Indian students and all students for this project, if your project offers 12th grade. Enter the value as a percentage to one decimal place (*e.g.*, 57.4%). The graduation data, if it was provided to *EDFacts*, is pre-populated from information provided by *EDFacts*; however, graduation data can be edited by grantees by checking the **Edit Table** button.

Section 1.5 Budget Data

The budget data table provides information on project expenditures as recorded in G5, the Department of Education's grant awarding/management system. The budget information for amount obligated, amount expended, funds remaining and percentage remaining is auto-calculated from G5. If the funds remaining exceed 10% of the total, you must provide an explanation. If the expenditure records do not match the amount in G5, contact PSC for further instruction.

Technical Assistance

Select “**Yes**” or “**No**” for each question to indicate whether you wish to receive Technical Assistance from OIE.

To transmit your APR, either the managing user or certifying official user must complete the certification screen by clicking the “**I Certify**” button. The APR is transmitted electronically to the Department of Education.

Registration

A current system ID and password are required for each user and are obtained by registering through the PSC. Current users of the ED Facts Submission System (ESS) website will receive a new system ID and password prior to the APR being open to users. If you do not receive the information, please contact the ED Facts PSC.

Partner Support Center

If you encounter technical problems when accessing the website or using the web application, please contact our PSC:

Telephone:	1-877-457-3336 (1-877-HLP-EDEN)
Fax:	1-888-329-3336 (1-888-FAX-EDEN)
E-mail:	eden_OIE@ed.gov
Federal Relay Service:	1-800-877-0996 (Voice/TTY) / federalrelay@sprint.com

For any questions about the annual performance report, please contact OIE program staff at (202) 260-3774.

Sincerely,

/s/

Tara Ramsey

Appendix B: OIE's Administrative Action Memo

PURPOSE

An administrative action memo must be submitted to the ED*Facts* Partner Support Center (PSC) when there are changes in program information, i.e. key personnel to include: Project Director/Coordinator or Authorized Representative. When entities submit this memo, it ensures that the correct personnel information is updated in the G5 and ED*Facts* systems.

Entities can create an Administrative Action Memo by following the below template. Please submit the completed memo on official letterhead, including the authorized representative signature authorizing the change, to EDEN_OIE@ed.gov.

WHAT IS G5, THE DEPARTMENT'S GRANTS MANAGEMENT SYSTEM?

The G5 grants management system provides grantees the ability to view/download their Grant Award Notification (GAN), as well as, draw down history for the appropriate grant period for the Indian Education Formula grants to LEAs. All users requiring access to G5 must register with the U.S. Department of Education to obtain individual user IDs and passwords for their role within G5, such as project director, authorized representative and payee. Users are not allowed to share passwords or login account information with anyone or access G5 using the credentials of others.

ROLES IN G5.GOV

Payee Role

Individuals with the role of payee (those with the authority to draw down grant funds) must submit signed and properly validated paperwork for that role in G5. To request access as a payee, please contact the G5 system via e-mail or by calling the G5 Help Desk at 1-888-336-8930 or Email: edcaps.user@ed.gov.

Project Director

The Title VI project director is the designated point of contact for managing resources, administrative matters and overseeing finances to ensure that the project progresses on time, in compliance and on budget. The project director has the responsibility to oversee, monitor and manage the project and also has comprehensive knowledge of the program.

Authorized Representative

The authorized representative is the official within the organization with the legal authority to give assurances, make commitments, enter into contracts, and execute such documents on behalf of the organization as may be required by the Office of Indian Education (OIE). It is often the superintendent of the LEA; for tribes it could be a tribal official designated or authorized to bind the tribe, e.g. the head of the Tribal Educational Agency. The signature of the authorized representative certifies that commitments made on grant applications will be honored and ensures that the applicant organization agrees to conform to OIE's regulations, guidelines, and policies.

TEMPLATE

Date:

To:

From:

Title:

Subject: Administrative Action to Change Key Personnel In G5.gov and/or ED Facts Submission System (ESS) account

[Name of Entity] requests a change in key personnel due to **[explanation]**.

PR Award #:

Entity name:

Address:

DUNS #

Name of Project Director:

Email address:

Phone:

Fax:

Does the Project Director/Coordinator also require an ED Facts Submission System (ESS) account to complete the EASIE Title VI application or Annual Performance Report (APR)? (**Yes/No**)

If **Yes**, please provide the user's **Title** and **User Role** below.

Title: [please choose ONE of the following]

- *Project Coordinator*
- *Project Director*
- *Assistant Principal*
- *Principal*
- *Secretary*
- *Business Manager*
- *Assistant Superintendent*

- *Superintendent*

User Role: [please choose ONE of the following]

- *General User* – Has access to make updates and save, but does not have access to Certify
- *Certify User*- Has access to make updates, save, and Certify
- *Certify Official* – Does not have access to make updates and save, and can only Certify

Name of Authorized Representative:

Email address:

Phone:

Fax:

Does the authorizing representative require an *EDFacts* Submission System (ESS) account to complete the EASIE Title VI application or APR? (**Yes/No**)

If **Yes**, please provide the user's **Title** and **User Role** below.

Title: [please choose ONE of the following]

- *Project Coordinator*
- *Project Director*
- *Assistant Principal*
- *Principal*
- *Secretary*
- *Business Manager*
- *Assistant Superintendent*
- *Superintendent*

User Role: [please choose ONE of the following]

- *General User* – Has access to make updates and save, but does not have access to Certify
- *Certify User*- Has access to make updates and save, and to Certify
- *Certify Official* – Does not have access to make updates and save, and can only Certify

Please contact **[name]** at **[phone number/email address]** if you have any questions.

Sincerely,

[Signature]

[Title]

Appendix C: Late Liquidation Information

The Department will consider requests for late liquidation only where there are extenuating circumstances that were outside the control of the LEA, BIE Grant & Contract schools, and Tribes applying in lieu of LEA(s). Example of an extenuating circumstance could be a natural disaster that prevents normal and timely business transactions. These are considered on a case-by-case basis. A late liquidation request should be the rare exception and not the rule for managing the grant award funds under Title VI or any U.S. Department of Education grant.

All grantees are required to practice good stewardship of federal funds awarded under each grant. This includes managing funds responsibly; establishing and maintaining internal financial controls, including timely drawdown of funds from the G5 system to pay for grant related expenses.

As per the Education Department General Administrative Regulations (EDGAR) regulations and 2 CFR 200 (the Uniform Guidance), the Department expects OIE formula grantees to manage the grant funds according to the following principles:

- Funds must be obligated within the 12 months grant period allowable under Title VI Indian Education Formula Grant program. (Open Status in G-5)
- All financial drawdowns must be completed within 90 days after the end of the budget period (i.e., no later than September 30 of each year) unless an extension has been approved. (Liquidation Status in G-5). Cost extensions and carryover funds are unallowable in the Title VI Indian Education Formula Grant program.
- Accounts will be closed to grantee access after the 90-day liquidation period has expired. (Suspension Status in G-5).
- OIE will only consider late liquidation requests in extenuating circumstances which must be documented and attested to by the CFO and Superintendent of each LEA.
- In all circumstances, including late liquidations, Federal funds may be used only for obligations that were incurred during the grant period and only for allowable costs under the relevant program.
- With respect to any late liquidation request, the grantee has the burden of demonstrating the timeliness of the obligations and the permissibility of the costs.

Required Attestation/Audit: Before the Department approves a late liquidation or related accounting adjustments, the grantee must submit an attestation signed by a high-ranking, authorized official (such as, superintendent or designee) as to the accuracy of the information and representations that form the basis for the request.

The authorized official submitting the request must be the LEA's Chief School Officer or the LEA's Chief Financial Officer. In appropriate circumstances, the Department may require an audit by an independent auditor or other review of the late liquidations and/or accounting adjustments as a condition of approval of the grantee's request.

Appendix D: Late Liquidation Memo Sample

Entities can create a late liquidation memo following this sample format. Submit on letterhead with a signature. Email late liquidation request to indian.education@ed.gov.

Date:

To:

From:

Name:

Title:

Entity Name:

PR#

DUNS #:

Subject: Late Liquidation Request from LEA

I am requesting your consideration for a late liquidation of funds \$XXXXXX from award S060A1XXXXX.

Background/Justification

[Describe why a late liquidation is needed.]

Request

[Named LEA] is requesting a late liquidation from award S060A1XXXXX totaling \$XXXXXX.
(Provide explanation).

An expense report is included as an attachment as documentation of expenditures. We have established accounting measures in place to ensure that all grant funds will be drawn down in a timely manner in the future.

Thank you in advance for your consideration of this manner.

Contact:

Name

Title

Address

Email:

Phone Number

Attachments: (List)

Appendix E: APR Checklist

Did you investigate all of the Getting Started documents?

Did you view the webinar on the APR?

Did you insert complete information for both the Project Director and Authorized Representative of the Applicant Agency?

Did you provide the target population and total served for each activity/service?

Does each target population have a total?

Did you include a summary of project activities and services in the comment section of the Participation Data section?

Did you identify if an objective was met and give an explanation?

If an objective was not met, did you describe the steps for improvement?

Do you have assessment data for both mathematics and reading?

Did you complete tables for graduation data (if applicable)?

Did you verify the budget table with your business manager?

Is your justification for 10% or more funds remaining in the budget comment section valid?

Have you read the technical assistance questions carefully?

Have you reviewed the APR to ensure no required information was missed?

Did your certifying official user review the APR before certifying it?

Did you print and save a copy of the final APR?