



FEB 14 2017

VETERANS' PROGRAM LETTER NO. 02-17

TO: ALL RECIPIENTS OF COMPETITIVE AND STAND DOWN GRANTS
ALL VETERANS' EMPLOYMENT AND TRAINING SERVICE STAFF
ALL EMPLOYMENT AND TRAINING ADMINISTRATION REGIONAL
ADMINISTRATORS (INFO)

FROM: SAM SHELLENBERGER 

SUBJECT: Quarterly Reporting Guidance for Competitive Grant Recipients and Non-Competitive Stand Down Grant Recipients

I. Purpose: To provide updated guidance on submission of quarterly fiscal and performance reports for all Veterans' Employment and Training Service (VETS) staff and for VETS' competitive and non-competitive grant recipients. Competitive grants awarded by DOL include the Homeless Veterans' Reintegration Program (HVRP) grants (38 U.S.C. 2021), the Homeless Female Veterans and Veterans with Families Program (HFVWF) grants (38 U.S.C. 2021A), and the Incarcerated Veterans Transition Program (IVTP) grants (38 U.S.C. 2023). Stand Down grants are the only non-competitive grants awarded by VETS.

II. References:

- Title 38 United States Code, Sections 2021 and 2023 (38 U.S.C. [§§ 2021 and 2023](#));
- [Title 2, Code of Federal Regulations \(2 CFR\) 200](#), Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards¹; and
- [2 CFR 2900, Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards](#)

III. Rescissions: This Veterans' Program Letter (VPL) supersedes [VPL 09-14](#), Competitive Grants Quarterly Reporting Guidance, dated September 26, 2014, and VPL 02-14, Reopening Closed Quarters or Unlocking Planned Goals in the VETS' Employment and Training Operations and Activity Report (VOPAR), dated March 24, 2014.

IV. Background: VETS' grantees are required to submit fiscal and performance reports on a quarterly basis to comply with grant reporting requirements. These reports facilitate the legislatively mandated grant oversight responsibilities of VETS' Directors for Veterans' Employment and Training who serve as the Grant Officer's Technical Representative (GOTR).

¹ Generally, the Uniform Administrative Requirements apply to awards made after 12/26/14. For awards made before 12/26/14, please reference A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local, and Indian Tribal Government and A-122, Cost Principles for Non-Profits Organizations.

VETS monitors reports submitted by each grantee to ensure funds are expended in accordance with cost principles established for federal awards and determines whether performance is within the planned goals. In order to meet the reporting requirements, grantees are required to have access to the Department of Labor's Grantee Reporting System (GRS), for submission of the Standard Form (SF) 425, Federal Financial Report (FFR). The new 700 series of performance reporting forms referenced in this guidance below will be submitted via email to the GOTR.

VETS received approval from the Office of Management and Budget (OMB) for a new 700 series of performance reporting forms (OMB Control Number 1293-0014 with an expiration date of September 30, 2019). A separate performance report submission is required for each grant awarded.

Please note the new 700 series of performance reporting forms reflect a change to calculating performance on the placement rate indicators. The denominator for the calculation was changed to exiters to facilitate a change to allow grantees receiving option year awards to carry over participants from one program year (PY) to the next PY without having to exit and reenroll these individuals. The change is consistent with Workforce Innovation and Opportunity Act (WIOA) reporting guidance. The change to allowing carry over participants will be included in the PY 2017 grant award terms and conditions. The following forms will be used:

- The Competitive Grants Planned Goals Chart (VETS-700) is a Microsoft Excel worksheet tool for grantees to summarize quarterly output and outcomes goals for services provided to participants, performance goals for outcome measures, and quarterly expenditure goals. The actual performance of grantees for each indicator is compared to the indicator's goal on a quarterly basis by VETS staff to assess grant progress. This information is submitted one time by each grantee. The VETS-700 report is to be completed and submitted at the start of the grant period of performance for VETS record-keeping and grants management purposes and may be changed through the grant modification process, if appropriate and approved by VETS. The VETS-700 form and the VETS-701 form (including supporting tabs) are located in the same workbook.
- The Technical Performance Report (TPR) (VETS-701) is a Microsoft Excel tool that was developed by VETS to assist grantees to streamline and manage their reporting process and to help in providing the required quarterly aggregate data that is submitted into the automated performance accountability and reporting system. Grantees should refer to the Technical Assistance Guide for Competitive Grants Technical Performance Report, Program Year 2016, for detailed instructions on collecting and reporting participant data. The VETS-701 report is prepared and submitted quarterly by each grantee. The TPR contains the following worksheets in the order in which they appear in the workbook:
 - *Planned Goals Tab (VETS-700)* – is the Competitive Grants Planned Goals Chart form discussed earlier.
 - *Tech Perf Report Tab (VETS-701)* – summarizes actual participation, expenditures and outcome information and compares actual performance to

planned performance for the reporting period. Please note the denominator for the calculating the placement rate has changed from enrollments to exits.

- *Participant Info Tab (VETS-701B)* – provides 1,000 rows for entering demographic and other information related to the grantee’s program participants.
 - *Demographics Summary Tab (VETS-701A)* – summarizes the demographic information entered on the Participants Tab.
 - *Reporting Tabs (VETS-701B through VETS-701F)* – summarizes information entered on the Participants tab (VETS-701B) and the Exit Quarter tabs (VETS-701C through VETS-701F). The grantee also directly enters Assessments, Training Activities and Expenditures on this tab.
- The Competitive Grants Technical Performance Narrative (TPN) report (VETS-702) is a Microsoft Word document for grantees to use to describe actual quarterly performance summarized in the VETS-701 report when compared to the planned goals taken from the VETS-700 report. The information is used by VETS staff to track and assess the performance of each grant. The grantees provide narrative explanations of significant performance deviations in addition to describing grant activities and planned actions.

Additionally, the following form will be used by all VETS Stand Down grant recipients:

- The Stand Down After Action Report (SDAAR) (VETS-703) is a Microsoft Word document that summarizes the outreach and supportive services made available and accessed by homeless veterans participating in each grant-funded Stand Down event. Stand Downs are one to three-day events providing supplies and services to homeless veterans, such as food, shelter, clothing, health screenings and U.S. Department of Veterans Affairs (VA) Social Security benefits counseling. Homeless veterans can also receive referrals to other assistance such as health care, housing solutions, employment, substance use treatment and mental health counseling. The information is used by VETS staff to track and assess the performance of each Stand Down grant. The VETS-703 report is completed by each grantee at the conclusion of the Stand Down event and submitted to VETS quarterly. Please note the FFRs for Stand Down grant awards are to be submitted quarterly as described later in this guidance.

These forms as well as a technical assistance guide will be posted for download by grantees from VETS HVRP website. Go to <http://www.dol.gov/vets/programs/hvrp/> to access these forms.

V. Grant Administration: The GOTR will recommend approval or disapproval to the Regional Administrator for Veterans’ Employment and Training (RAVET) for the following:

- Technical changes not involving a change in the scope, cost, or conditions;
- Quarterly Technical Performance and Financial Status Reports;
- Corrective Action Plans; and
- Certain budget line item deviations requested by the grantee up to the limit specified in the Special Grant Provisions.

VI. Reporting Requirements: The grantee must submit certified electronic quarterly FFRs via GRS and performance reports via email to the GOTR for the grant.

- A. Complete and accurate fiscal and performance reports are due no later than the last business day of the month after the end of each quarterly reporting period. Business days are the days between and including Monday to Friday and do not include public holidays and weekends.
- July 1 through September 30 reports due no later than October 30th;
 - October 1 through December 31 reports due no later than January 30th;
 - January 1 through March 31 reports due no later than April 30th; and
 - April 1 through June 30 reports due no later than July 30th.

Closeout reports are due within 90 days after the end date for the grant period of performance.

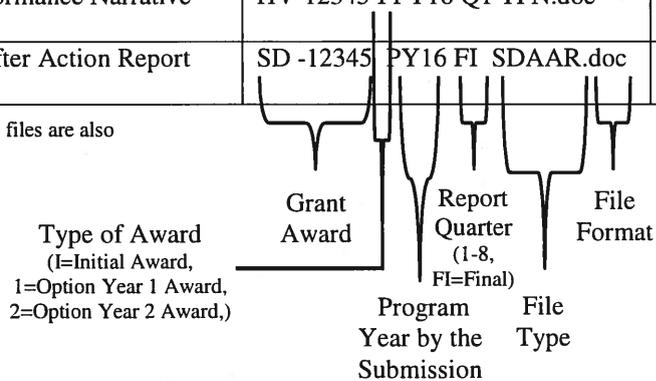
- B. All pages of the reporting documents submitted by grantees must include the appropriate grant number for each separate grant awarded.
- C. Between scheduled reporting dates, grantees will immediately inform the GOTR of significant developments affecting their ability to timely submit any required quarterly report. GOTRs provide grantees the technical assistance necessary to address issues.

VII. Report Content and Submission: All components of the competitive grant quarterly reports are submitted electronically, via an email attachment, directly to the GOTR. All documents submitted to the GOTR must be saved following a standard naming convention illustrated in the table below. Only one document for each of the types of reports listed in this section, below, will be accepted for any given PY quarter during each performance period. Any corrected document uploaded will replace the previously uploaded document.

The following chart provides the nomenclature for each report filed:

File Type	File Name	Format
VETS-701 Technical Performance Report (TPR)	HV-12345 I PY16 Q1 TPR.xlsb	MS-Excel Binary
VETS-702 Technical Performance Narrative (TPN)	HV-12345 I PY16 Q1 TPN.doc	MS-Word*
VETS-703 Stand Down After Action Report (SDAAR)	SD -12345 PY16 FI SDAAR.doc	MS-Word*

*Portable Document Format (PDF) files are also acceptable.



The TPR and TPN for a specific grant award must be submitted for each of the four participation quarters in the grant period of performance and for each of the four follow-up tracking quarters where collection is required by a subsequent award that immediately follows (e.g., an “option year” award). Grantees receiving these subsequent awards are required to submit separate TPRs and TPNs for the initial award and for each immediate subsequent award until all follow-up tracking quarters are reported.

A. **Financial Reports:** A SF 425 is required to be submitted each quarter through grant closeout in accordance with due dates listed in Section VI, above.

1. Quarterly FFR: The FFR can be saved in the GRS, but will not be submitted for acceptance by the GOTR until it is certified by the grantee. All financial information must be submitted electronically in the GRS each program year quarter at: http://www.eta-reports.doleta.gov/cfdocs/grantee_prod/reporting.
2. A separate quarterly FFR must be submitted for each year’s grants (when two or more option year grants operate concurrently) and identify appropriate financial information for each separate grant year reported following a given PY quarter.
3. A Closeout FFR certifying all expenditures must be submitted no later than 90 days after the submission of each certified FFR that is marked final.

B. **Quarterly Performance and Expenditure Data:** The TPR, TPN, and the SDAAR performance reports are to be submitted electronically via email to the GOTR. Please specify the following in the subject line of the email message: **COMPETITIVE GRANTS QUARTERLY REPORTS** and select “Request a Delivery Receipt” to track and document the progress of the email and its attachments. The subject line of the email message should include the grant number (HV-XXXXX). Please refer to the Technical Assistance Guide For Competitive Grants Reporting for instructions on completing the performance reports.

Any grantee that has not submitted an FFR, TPR, TPN, or SDAAR for each active grant operating in a given PY quarter by the respective due dates specified in Section VI will be considered to be non-compliant with the quarterly reporting requirement and subject to corrective actions.

VIII. Review, Analysis, and Recommendation: Prior to submitting quarterly reports the grantee will review and analyze all reports and related documents to ensure that they are complete and accurate. It also is highly recommended that grantees provide GOTRs with a copy of the FFR and all reporting documents for review PRIOR to submission for a quality check.

IX. Actions Required:

A. The first submission of the reports using the new forms discussed in this guidance is due February 24, 2017.

B. Grantees will submit all electronic reports in accordance with the due dates, file format, and file naming conventions described above.

C. GOTRs will review the submitted electronic reports to ensure each report is complete, reasonable, and free of errors. GOTRs will work with grantees to ensure acceptable reports are submitted each quarter.

D. GOTRs will upload accepted TPR, TPN, and SDAAR electronic reports to the agency's SharePoint site. Data from the individual TPRs will be consolidated at the national level.

E. GOTRs will follow-up with grantees submitting corrective action strategies detailed in the TPNs to ensure the strategies are acceptable and to monitor progress.

X. Inquiries: Grantees should refer questions to the appropriate GOTR. GOTRs should refer questions or issues that cannot be resolved to the Regional Administrators.

XI. Expiration Date: Until superseded or rescinded.