ETA-9130 FINANCIAL REPORT



Overview of Revised WIOA Financial Reports and Instructions

Office of Grants Management







EMPLOYMENT AND TRAINING ADMINISTRATION UNITED STATES DEPARTMENT OF LABOR

08/10/2016

Where Are You?

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Innovation & Opportunity Network Implementing WIOA



EMPLOYMENT AND TRAINING ADMINISTRATION UNITED STATES DEPARTMENT OF LABOR

Navigate to Success

Today's Presenters

Debbie Galloway Fiscal Policy Manager Office of Grants Management

Chanel Castaneda Grants Management Specialist Office of Grants Management



3

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Today's Objectives

Discussion of updates to the Workforce Innovation and Opportunity Act (WIOA) ETA-9130 Financial Reports and Instructions (hereafter referred to as ETA-9130 or 9130).

Approval Date: Expiration Date: OMB Control #: April 13, 2016 April 30, 2019 1205-0461

All documents are available at:

https://www.doleta.gov/grants/financial_reporting.cfm







Background

ETA awards approximately \$8 billion in formula and discretionary grants each year to an average of 1,000 recipients.

Financial reports for each of these grants must be submitted quarterly on the financial report form ETA-9130.

There is a Basic ETA-9130 report for discretionary grants and thirteen (13) program-specific variations.







Reasons for Change

Financial reporting requirements for Federal programs prescribed by the Office of Management and Budget (OMB) have changed with the implementation of the Uniform Guidance at 2 CFR Part 200 which went into effect on December 26, 2014, consolidating eight previously applicable Circulars.

DOL's exceptions to the Uniform Guidance are at 2 CFR Part 2900.









Reasons for Change

With the passage of the Workforce Innovation and Opportunity Act (WIOA), there are numerous new statutory requirements, including new and/or revised limitations and baselines that require the addition of new and modification of existing reporting line items on ETA-9130 Financial Reports.







7



Reasons for Change

Other reporting line items have been added and removed in an effort to streamline Federal financial reporting and make the ETA-9130 more closely resemble the SF-425 (OMB 0348-0061), which is the standard financial reporting form for Federal grant recipients.





8



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Today's discussion will **only** address **changes** to the WIOA-specific ETA-9130s.

It will <u>not</u> cover every section of each 9130 report and its instructions.

The new forms discussed today will become available in the e-Grants reporting system for the quarter ending **September 30**, **2016**.

For copies of the 14 new forms and the instructions, please go to: <u>https://www.doleta.gov/grants/financial_reporting.cfm</u>

For additional information, you may also refer to TEGL 02-16, Revised ETA-9130 Financial Report, Instructions, and Additional Guidance.









ETA-9130 Report Names



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HELLO my name is

- 1. ETA-9130 Basic
- 2. ETA-9130 (A) Statewide Youth
- 3. ETA-9130 (B) Local Youth
- 4. ETA-9130 (C) Statewide Adult
- 5. ETA-9130 (D) Local Adult
- 6. ETA-9130 (E) Statewide Dislocated Workers
- 7. ETA-9130 (F) Local Dislocated Workers
- 8. ETA-9130 (G) National Dislocated Worker Grants NEW
- 9. ETA-9130 (H) Statewide Rapid Response
- 10. ETA-9130 (I) Employment Services & Unemployment Insurance
- 11. ETA-9130 (J) National Farmworker Jobs Program
- 12. ETA-9130 (K) Senior Community Service Employment Program
- 13. ETA-9130 (L) Indian and Native American Program

14. ETA-9130 (M) – Trade Adjustment Assistance Program







Across The Board Changes

Affects ALL ETA-9130s, including the Basic Form





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12

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Unique Entity Identifier 0 0 1 5 5 6 2 2 3 7 7 8 1 1 2 6 6 7 3 3 4 8 8 9 0 0 2 7 6 6 7 3 3 4 8 8 9

- Line item number 4a was renamed Unique Entity Identifier, as prescribed by 2 CFR 200.210.
- This field is currently known as the Data Universal Numbering System (DUNS) number or Central Contract Registry extended DUNS number.
- The number is pre-filled automatically by the reporting system and will remain the same until such time a Unique Entity Identifier is determined.







Basis of Reporting

Line item number 7 was renamed Basis of Reporting.

- DOL's exception to the Uniform Guidance at 2 CFR 2900.14 allows ETA to require that its grant recipients report expenditures on an accrual basis.
- If operating on a cash basis, the recipient will not be required to convert its accounting system, but must develop and report such accrual information through best estimates based on an analysis of the documentation on hand.





14



Expenditures

Instructions have been updated to reflect the Uniform Guidance definition of Expenditures at 2 CFR 200.34 (c).

For reports prepared on an accrual basis, expenditures are the sum of:

Constant In a second second

- (1) Cash disbursements for direct charges for goods and services;
- (2) The amount of indirect expense incurred;

(3) The value of third-party in-kind contributions applied (reported in recipient share section); and

- (4) The net increase or decrease in the amounts owed by the non-Federal entity for:
 - (i) Goods and other property received;
 - (ii) Services performed by employees, contractors, subrecipients, and other payees; and
 - (iii) Programs for which no current services or performance are required such as annuities, insurance claims, or other benefit payments.







Recipient Share

Non-federal resources such as match and certain leveraged resources.

Instructions have been updated to reflect DOL's exception to the Uniform Guidance definition of Cost Sharing or Matching at 2 CFR 2900.8.



In addition to the guidance set forth in 2 CFR 200.306(b), for Federal awards from the Department of Labor, the non-Federal entity accounts for funds used for cost sharing or match within their accounting systems as the funds are expended.



16





Program Income

Instructions have been updated to reflect additional guidance provided in the Uniform Guidance at 2 CFR 200.305 (b)(5).



Use of resources before requesting cash advance payments. To the extent available, the non-Federal entity must disburse funds available from program income (including repayments to a revolving fund), rebates, refunds, contract settlements, audit recoveries, and interest earned on such funds before requesting additional cash payments.

20 CFR 683.200 (c)(6)-(8)







Removed Line Items

ETA attempts to streamline Federal financial reporting by bringing ETA-9130 requirements as close as possible to the already existing SF- 425 report.

The following lines have been removed:

- 10I Recipient Share of Unliquidated Obligations
- 10m Total Recipient Obligations



18





Indirect Expenditures

13. Indirect Expenditures											
a. Type of Rate	b. Rate	c. Rate Approval Date		Period To (MM/DD/YYYY)	e. Base	f. Amount Charged	g. Federal Share				
	1	1		\$-	\$-	\$-					

The following new Indirect Expenditure reporting line items have been added:

- Type of Rate
- Rate
- Rate Approval Date
- Period From To

- Base
- Amount Charged
- Federal Share
- Totals







There is <u>NO</u> section on Indirect Cost on the <u>local</u> 9130s.

- X WIOA Local Youth
- X WIOA Local Adult
- X WIOA Local Dislocated Workers



- Indirect costs are only to be reported by the non-federal entity receiving direct awards from DOL and using an indirect cost rate.
- Recipients using a Statewide Cost Allocation Plan (SWCAP) and/or subrecipients will not report indirect expenditures.







Indirect costs are only reported on the Final 9130 report.

- Multiple values may be entered in each Indirect Expenditure reporting line item (13a-h) for instances in which more than one rate applies to the applicable grant period of performance.
- While some administrative costs may be indirect costs, the two must not be generally equated.







Type of Rate

 Provisional, Predetermined, Final, Fixed, Fixed with Carry-Forward, De Minimis, or other

Rate

- Percentage applied to Base
- Rate Approval Date
 - Date on which the indirect cost rate was approved

Period From – To

- Two separate fields:
 - \diamond Date on which the indirect cost rate became effective
 - Last date (ending date) on which the indirect cost rate was (or is going to be) effective











Base

- Amount of the distribution base against which the rate(s) was applied
- E.g., Modified Total Direct Costs (MTDC)

Amount Charged

- This is a manual calculation; the system will not calculate this for recipients
- Multiply the Rate (%) times the Base (\$)

Federal Share

• Federal Share of the amount charged

Totals

- This is a manual calculation; the system will not calculate this for recipients
- Add up the individual values for Base, Amount Charged, and Federal Share respectively











24



Certification Statement

2 CFR 200.415 revises the certification statement.

The authorized official certifies accuracy of reported data by entering their individually assigned PIN.





25





Any Questions?

Enter your questions in the Chat window (lower left of screen)





26

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Changes to WIOA Reports



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Local Reports

ETA-9130 (B) – Local Youth ETA-9130 (D) – Local Adult ETA-9130 (F) – Local Dislocated Workers



28







WIOA Sec. 129 (c)(4)

A new reporting line item for Work Experience Expenditures was added to the Local Youth 9130.



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Pay-for-Performance

A new Pay-for-Performance Contract Expenditures reporting line item was added to the Local Youth, Local Adult, and Local Dislocated Worker 9130s.

WIOA Sec. 129 (c)(1)(D) WIOA Sec. 134 (d)(1)(A)(iii)





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Pay-for-Performance

WIOA Sec. 189 (g)(2)(D) stipulates that funds for pay-forperformance contract strategies remain available until expended.

A new Federal Share of Unliquidated Obligations for Pay-for-Performance Contracts reporting line item was added to the Local Youth, Local Adult, and Local Dislocated Worker 9130s.





31





Transitional Jobs



A new Transitional Jobs Expenditures reporting line item was added to the Local Adult, Local Dislocated Worker, and National Dislocated Worker Grants 9130s.

WIOA Sec. 134 (d)(5)



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Incumbent Worker Training



A new Incumbent Worker Training Expenditures reporting line item was added to the Local Adult and Local Dislocated Workers ETA 9130s.

WIOA Sec. 134 (d)(4)(A)(i)



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Workforce Innovation and Opportunity Act - Local Adult											
U.S. DOL ETA FINANCIAL REPORT											
(Follow instructions on the back.)											
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				Expires 12/31/2015							
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				🗆 Yes 🗆 No	Accrual						
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e. Federal Share of Expenditures											
f. Total Administrative Expenditures											
g. Federal Share of Unliquidated Obligations											
h. Total Federal Obligations (sum of lines e a				\$							
i. Unobligated Balance of Federal Funds (lin				\$							
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j. Total Recipient Share Required											
k. Recipient Share of Expenditures											
I. Remaining Recipient Share to Be Provided	l (line j minus k)			\$							
Program Income:											
m. Total Program Income Earned											
n. Program Income Expended in Accordance with the Addition Method											
o. Unexpended Program Income (line m minu	s										
11. Additional Obligation and Expenditure	Data Required										
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b. Real Property Proceeds Expended											
c. Expenditure of Adult Funds on the Disloca											
d. Federal Share of Unliquidated Obligations	for Pay-for-Performance Contract	s									
e. Pay-for-Performance Contract Expenditure	95										
f. Transitional Jobs Expenditures											
g. Incumbent Worker Training Expenditures											
12. Remarks: (Attach any explanations deem	ned necessary or information requ	ired by Federal sp	oonsoring agency in compliance with governing l	egislation.)							
13. Certification: By signing this report. I cer	tify to the best of my knowledge a	nd belief that the r	report is true, complete, and accurate, and the ex	xpenditures, disbursements and	cash receipts are for the						
purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to											
			(U.S. Code Title 18, Section 1001 and Title 31, S	· · · · ·							
a. Typed or Printed Name and Title of Author	c. Telephone (Area code, n										
		,									
	d. Email Address										
b. Signature of Authorized Certifying Official	e. Date Report Submitted (MM/DD/YYYY)									
	14. Agency Use Only:										
				Prescribed by OMB Unif	orm Guidance 2 CFR 200.						
Persons are not required to respond to this co	mection or mormation unless it dis	spiays a currenuy	valid Olivia humber. Public reporting burden for t	ms collection or mormation, wr	IICIT IS required to obtain of						
retain benefits (2 CFR 200.327 and WIOA Sec	tion 185(e)(2)), is estimated to av	erage 45 minutes	per response, including time for reviewing instru	ctions, searching existing data	sources, gathering and						
maintaining the data needed, and completing and reviewing the collection of information. The reason for the collection of information is general program oversight, evaluation and performance assessment.											

Rem N-4653, U.S. Department of Labor, Washington DC 20210.

Statewide Reports

ETA-9130 (A) – Statewide Youth ETA-9130 (C) – Statewide Adult ETA-9130 (E) – Statewide Dislocated Workers ETA-9130 (G) – National Dislocated Worker Grants ETA-9130 (H) – Statewide Rapid Response



35





In-School Youth

- A new In-School Youth Funds Expended on Direct Services reporting line item was added to the Statewide Youth 9130.
- In-school youth expenditures must be collected in order to determine the total percentage of out-of-school youth funds expended.





36




Out-of-School Youth

A new reporting line item for Out-of-School Youth Funds Expended on Direct Services was added to the Statewide Youth 9130.

WIOA Sec. 129 (a)(4)(A)





37

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Out-of-School Youth ...continued

Out-of-School Youth Funds Expended on Direct Services

Expenditure Rate Calculation: **OSY** ÷ (**ISY** + **OSY**)

- Out-of-School Youth expenditures divided by In-School Youth expenditures plus Out-of-School Youth expenditures
- This expenditure rate calculation is <u>only</u> applicable to the <u>Statewide</u> Youth fund stream.
- The local OSY Expenditures calculation is outlined in the Local Youth ETA-9130 instructions.



38





workforce innovation and Opportunity Act - St	atewide routh					
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a. Typed or Printed Name and Title of Authors	onzed Centrying Official				c. Telephone (Area code, d. Email Address	number, and extension)
b. Signature of Authorized Certifying Officia	ı				e. Date Report Submitted	(MM/DD/YYYY)
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Statewide Adult and Dislocated Workers

No new line items!



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40

Implementing WIOA

National Dislocated Worker Grants

Due to the programmatic requirements in WIOA, a separate report has been created for National Dislocated Worker Grants (NDWG).

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41





National Dislocated Worker Grants ...continued

The new National Dislocated Worker Grants 9130 includes a Training Expenditures reporting line item.

This line item should consider all costs for training, including but not limited to tuition, books, tools, etc., as applicable.

All forms of training must be accounted for, including but not limited to occupational skills training, GED/HiSET/TASC training, and on-the-job training.

WIOA Sec. 116 (d)(2)(D)



42





Rapid Response

A new Rapid Response Funds Expended on Other Statewide Activities reporting line item was added to the Statewide Rapid Response 9130.



WIOA Sec. 134 (a)(2)(A)(ii)





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EMPLOYMENT AND TRAINING ADMINISTRATION



U.S.	DOL	ETA	FINA	NCIAL	REPORT

Workforce Innovation and Opportunity Act - Statewide Rapid Response

Rm N-4653, U.S. Department of Labor, Washington DC 20210.

(Follow ins	tructions	on the	hack)	

	(Follow instructions on the back.)						
1. Federal Agency and	Organizational Elemen	t to Which Report is Sub	mitted	2. Federal Grant or (Other Identifying Number Assig	aned by DOL	OMB Approval No. 1205-0461
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						🗆 Yes 🗆 No	Accrual
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		c. Rate Approval Date			e. Base	f. Amount Charged	g. Federal Share
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New Line Items In Summary

9130 Report	Indirect Cost Expenditures	Out-of-School Youth Funds Expended on Direct Services	In-School Youth Funds Expended on Direct Services	Work Experience Expenditures	Federal Share of Unliquidated Obligations for Pay-for- Performance Contracts	Pay-for-Performance Contract Expenditures	Incumbent Worker Training Expenditures	Transitional Jobs Expenditures	Rapid Response Funds Expended on Other Statewide Programs	Supportive Services Expenditures	Training Expenditures
Basic	Х										
Local Youth				X	X	X					
Local Adult					X	X	X	X			
Local Dislocated Worker					X	X	X	X			
Statewide Youth	X	X	X								
Statewide Adult	X										
Statewide Dislocated Worker	X										
National Dislocated Worker Grants	X										X
Statewide Rapid Response	X								X		
Employment Services & Unemployment Insurance	Х										
National Farmworker Jobs Program	Х									Х	
Senior Community Service Employment Program	Х										
Indian and Native American Program	Х										
Trade Adjustment Assistance Program	Х										Х

Any Questions?

Enter your questions in the Chat window (lower left of screen)





46

Innovation & Opportunity Network Implementing WIOA







All pre-existing and new reporting line items must be reported cumulatively.





47

Innovation & Opportunity Network Implementing WIOA





Transition Activities

Expenditures for activities to facilitate the transition from WIA to WIOA must be reported in section 12 (Remarks) of the ETA-9130.

TEGL 12-14 – Allowable Uses and Funding Limits of Workforce Investment Act (WIA) Program Year 2014 funds for WIOA Transitional Activities



48









Innovation & Opportunity Network Implementing WIOA





ETA-9130

A request for a password and PIN must be submitted via e-mail to <u>ETApassword.pin@dol.gov</u>.

Passwords and PINs are sent to the primary contact person via e-mail. Technical assistance with the online reporting system should be directed to the Grantee Reporting System baladed to an experiment of the system.

2

helpdesk at appsupport.egrants@dol.gov.

Financial Reporting Resources

ETA-9130 Financial Report forms and instructions may be found at: <u>http://www.doleta.gov/grants/financial_reporting.cfm.</u>

The LTA-9150 Financial Reporting System may be accessed at. https://www.etareports.doleta.gov.

The Financial Reporting Access Request Document is available at: <u>http://www.doleta.gov/grants/financial_reporting.cfm</u>.

Quarter End Date	Financial Report Due Date	ETA-9130 Financial Reports are due no
March 31	May 15	later than 45 calendar days after the
June 30	August 14	end of each quarter, unless otherwise
September 30	November 14	specified in reporting instructions.
December 31	February 14	

The quarter in which financial reporting begins is based on the effective date listed on the Notice of Award (NOA), and is independent of the date on which the NOA is signed by the Grant Officer. Examples of due dates for an initial ETA-9130 Financial Reports are:

NOA Effective Date	NOA Date Signed	Initial Reporting Quarter End Date	Initial Report Due Date
7/1/15	7/1/15	9/30/15	11/14/15
10/1/15	12/28/15	12/31/15	2/14/16
8/1/16	9/28/16	9/30/16	11/14/16

At the end of a grant, two reports must be submitted:

The **Final** 9130 report must be submitted no later than **45 calendar days** after the reporting period in which the grant period of performance (POP) expires or all funds are expended, whichever comes first. The Final 9130 report must be indicated by selecting 'Yes' in the reporting line item 6, Final Report.

The **Closeout** 9130 report must be submitted no later than **90 calendar days** after the expiration of the grant period of performance. The Closeout 9130 Report must be completed in addition to the Final 9130 report. It becomes accessible online *after* submission of the Final 9130 report at which time a link to the closeout system will also appear. The closeout package can be accessed via the following URL: https://www.etareports.doleta.gov/CFDOCS/grantee_prod/reporting/index.cfm.

Examples of due dates for Final and Closeout ETA-9130 Financial Reports are:

Grant POP	All Funds Expended or POP Expired	Final Reporting Quarter End Date	Final Report Due Date	Closeout Report Due Date
7/1/15 – 6/30/18	6/30/18	6/30/18	8/14/18	9/28/18
10/1/15 – 9/30/18	9/30/18	9/30/18	11/14/18	12/29/18
8/1/16 – 7/31/17	1/6/17	3/31/17	5/15/17	10/29/17

For more information regarding grant closeout, please visit <u>http://www.doleta.gov/grants/grant_closeout.cfm</u>.

Any Questions?

Enter your questions in the Chat window (lower left of screen)





51

Innovation & Opportunity Network Implementing WIOA





THANK YOU



52

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