WIOA FINANCIAL REPORTING ETA FORM 9130 (L)

2021 National Indian and Native American Employment and Training

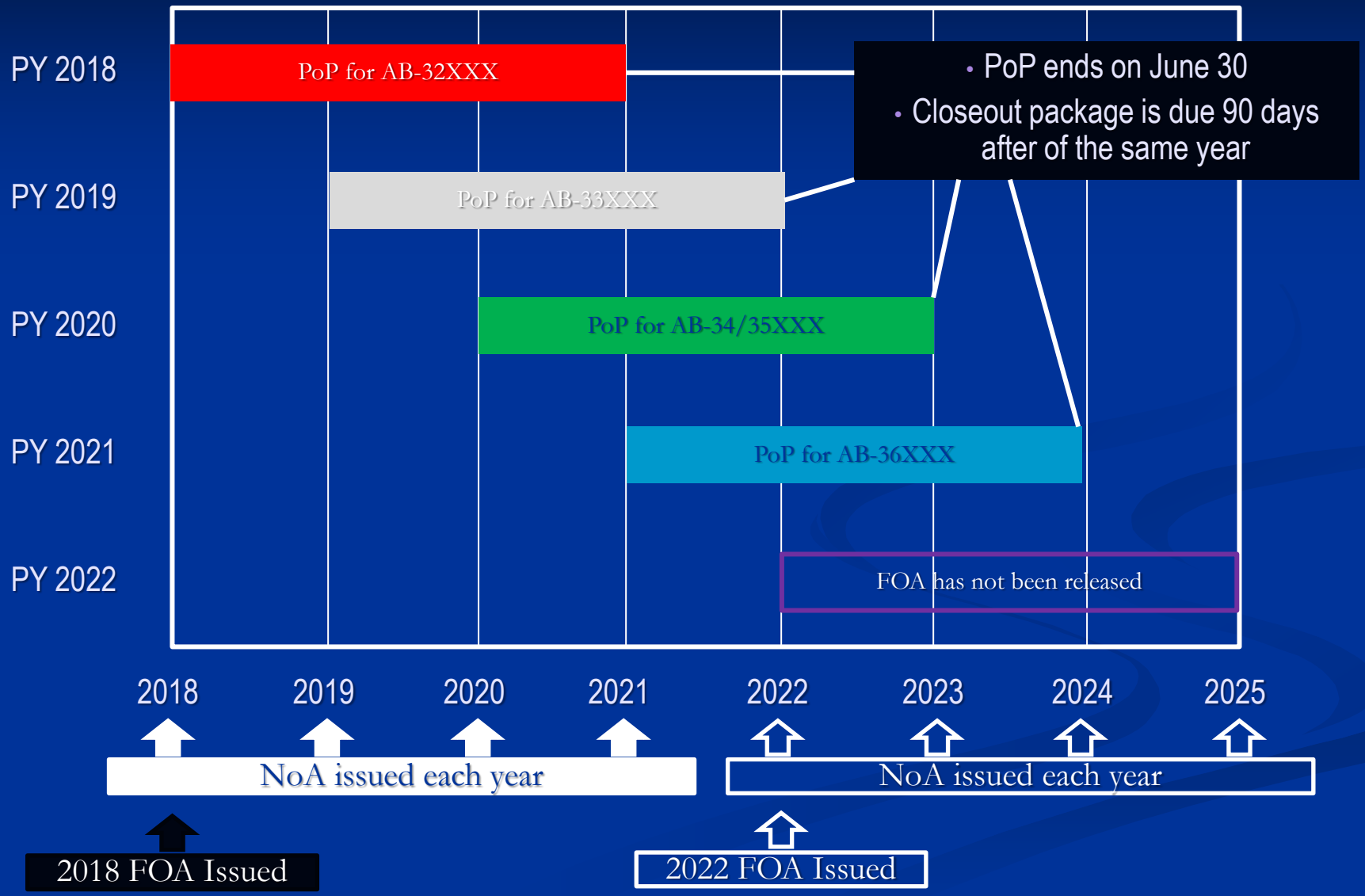
Warwick, RI

On-Line Financial Reporting

Reporting deadlines and grant structure award structure.

This workshop will review procedures for submitting the DOL - WIOA Quarterly Financial Status Report ETA-Form 9130.

ETA Program Year is July 1 – June 30



Identifying Grant Number

- Federal Award Identification Number (FAIN)
  - Each grant award is identified by the unique identifier, or FAIN
  - All WIOA Section 166 grant numbers begin with "AB"
  - Ex. AB-32494-18-60-A-4

Grant Award Sub-Accounts

Grant Number: AB-32494-18-60-A-4

- If you receive Supplemental Youth Services (SYS) program you will have two subaccounts for each grant no.
- AB-32494-18-60-A-4
  - AB32494**W10** (Corresponds to youth funding)
  - AB32494**W30** (Corresponds to adult funding)
- The last three characters will help identify each subaccount as either adult or youth

Financial Reporting Periods

- Sec. 166 Grantees are required to submit both program and financial reports on a quarterly basis. Below are quarter end dates and the report dates:

Quarter	Report Deadlines
July 1-September 30	November 15th
October 1-December 31	February 15th
January 1 – March 31	May 15th
April 1 – June 30	August 15th

DOL Grantee Reporting System

Financial report form ETA-9130 is submitted using the on-line Grantee Reporting System at:

www.etareports.doleta.gov

- Grantees are able to login on any computer with internet access
- Line by line report instructions can be found after accessing the report

The Reporting System

As part of the security requirements the system will require grantees to change their password every 90 days.

Grantees accounts will be disabled after 180 days of inactivity. To prevent this login at least once prior to the 180 day time period.

Should your account be disabled you will need to contact the EBSS help desk: ebss.help@dol.gov to re-enable your account and contact your FPO



Forgot Password / PIN -- EBSS Grantee Level Users

EBSS Grantee Level users will now be able to click on the 'Forgot Password and/or PIN' link when they have forgotten their password and/or pin. When completing the 'Forgot Password and/or PIN' function users will complete the following steps:



Forgot Password/PIN

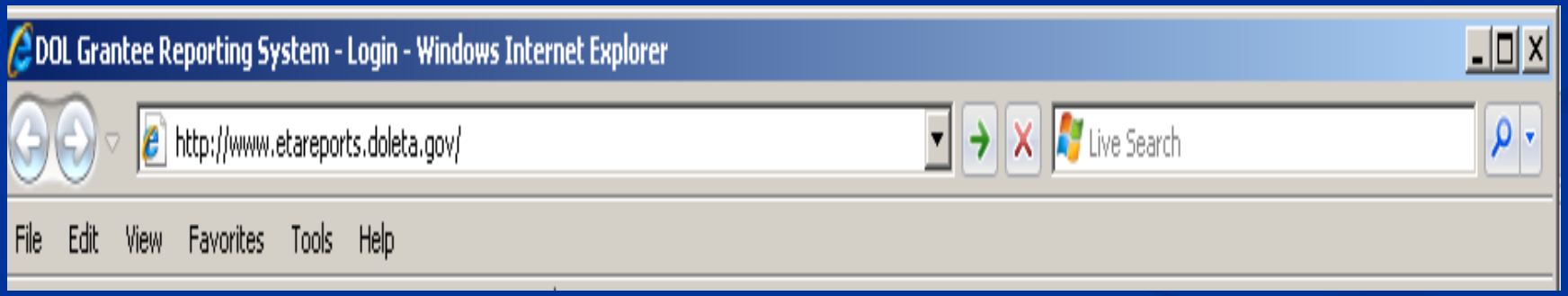
1. Users will need BOTH their user name and associated email address to reset their password and PIN (If the user does not know the user name AND the email address associated with the account, contact the EBSS Help Desks: ebss.help@dol.gov). Then click on the 'Forgot Password and/or PIN' button.

2. The system will then display a confirmation screen. Users will need to check their email for a message from the EBSS system. The message may take a short while to receive, as indicated on the confirmation screen.

3. The Forgot Password email will provide instructions/access to reset your password.

Accessing the Grantee Reporting System Website

Enter www.etareports.doleta.gov in the Internet browser window to access the Grantee Reporting System log-in page.

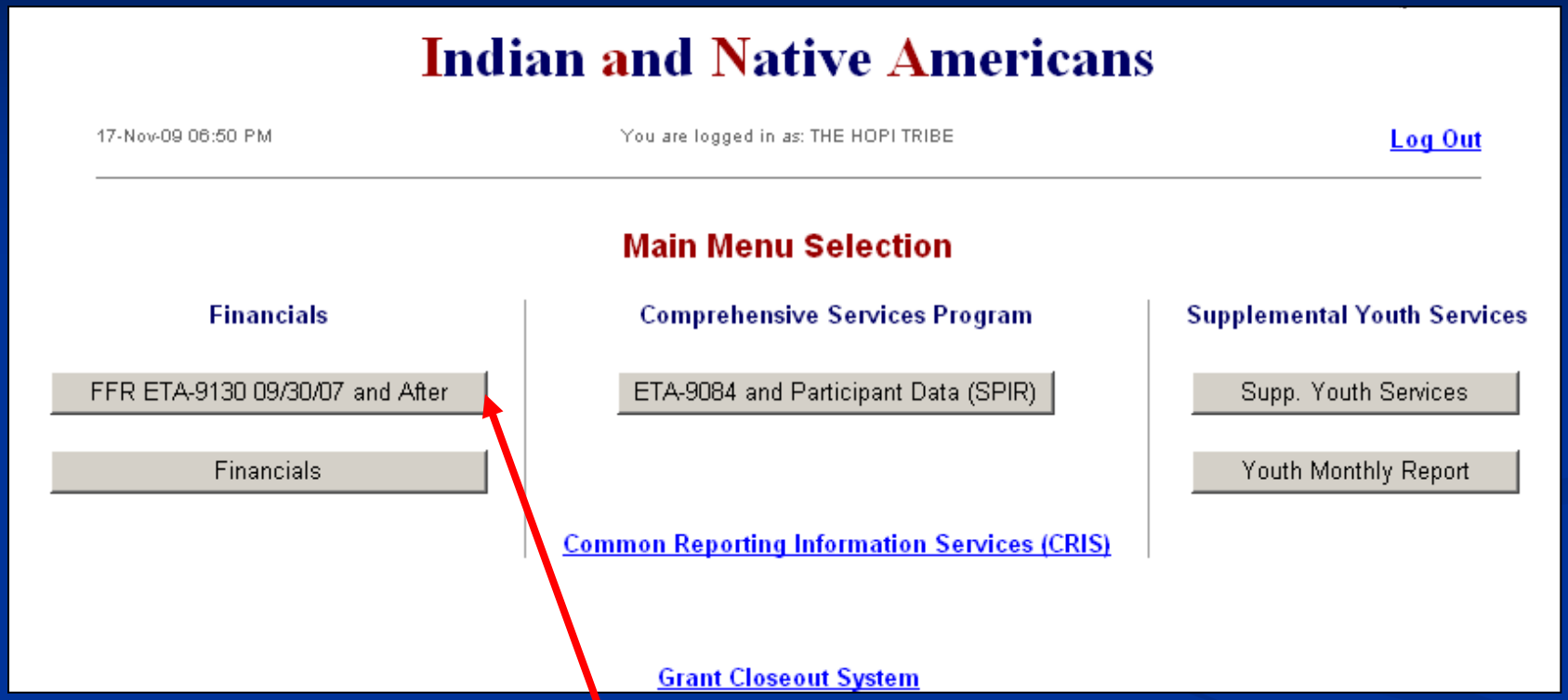


Bookmark this website!

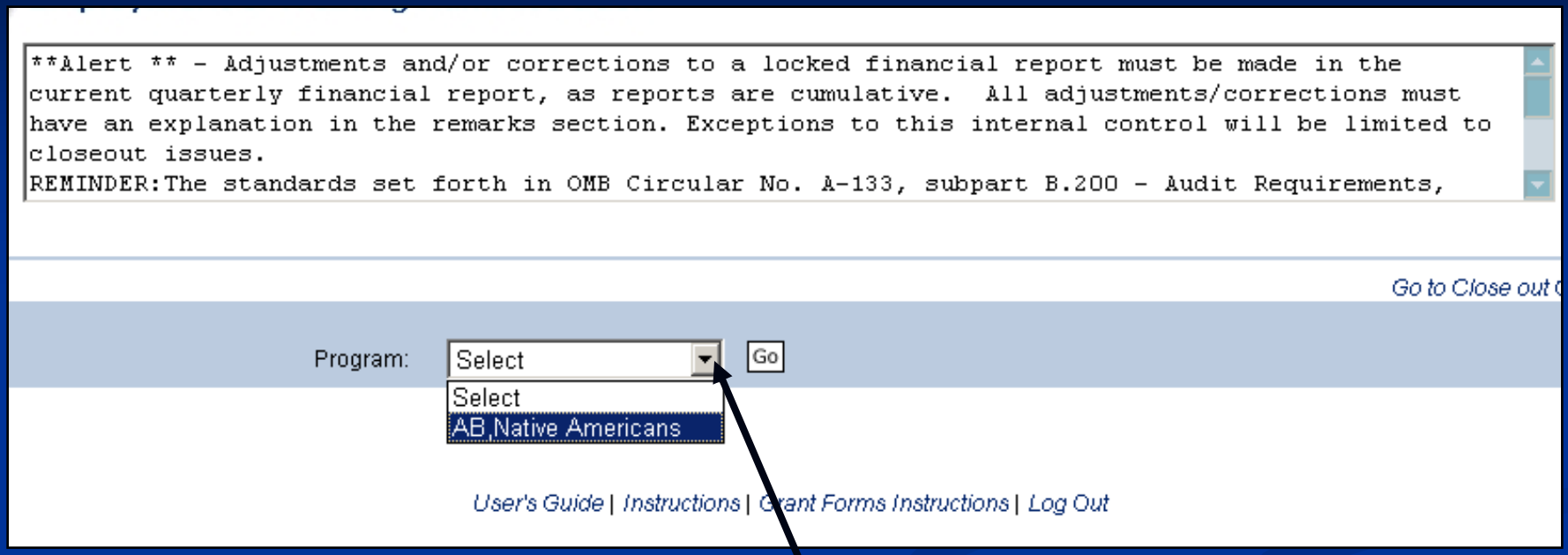


Enter the user name and password to log-in to the report system.

Main Menu Selection



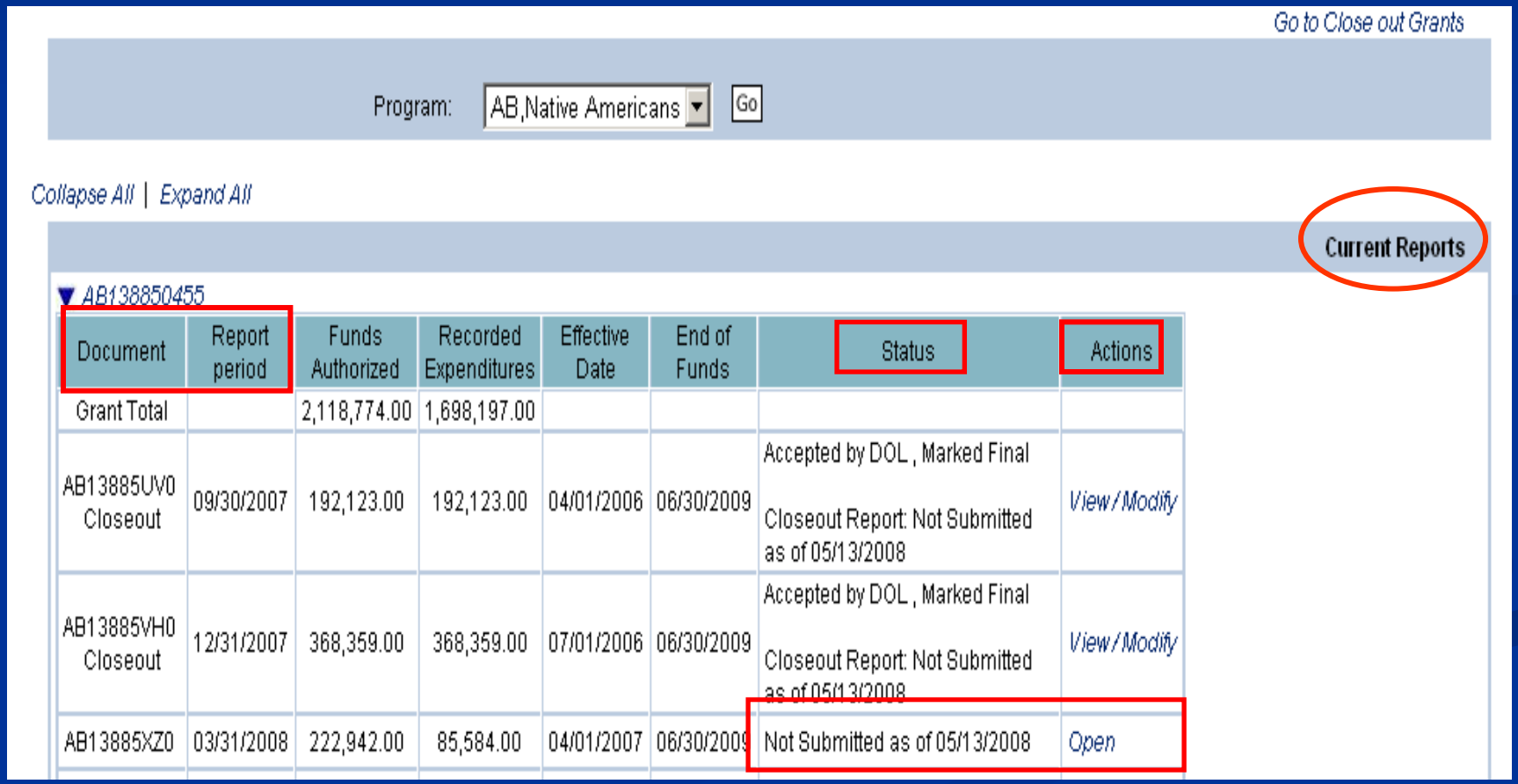
Select the button for the type of report to be submitted. For financial reports click the "FFR ETA" button.



Click the down arrow and select “AB,Native Americans”

Current Reports Menu

The menu comprises current and archived reports in tables grouped by grant number. To locate the report to be submitted, review the document, report period, status and action columns; “open” reports have not yet been submitted.



Go to Close out Grants

Program: AB,Native Americans Go

Collapse All | Expand All

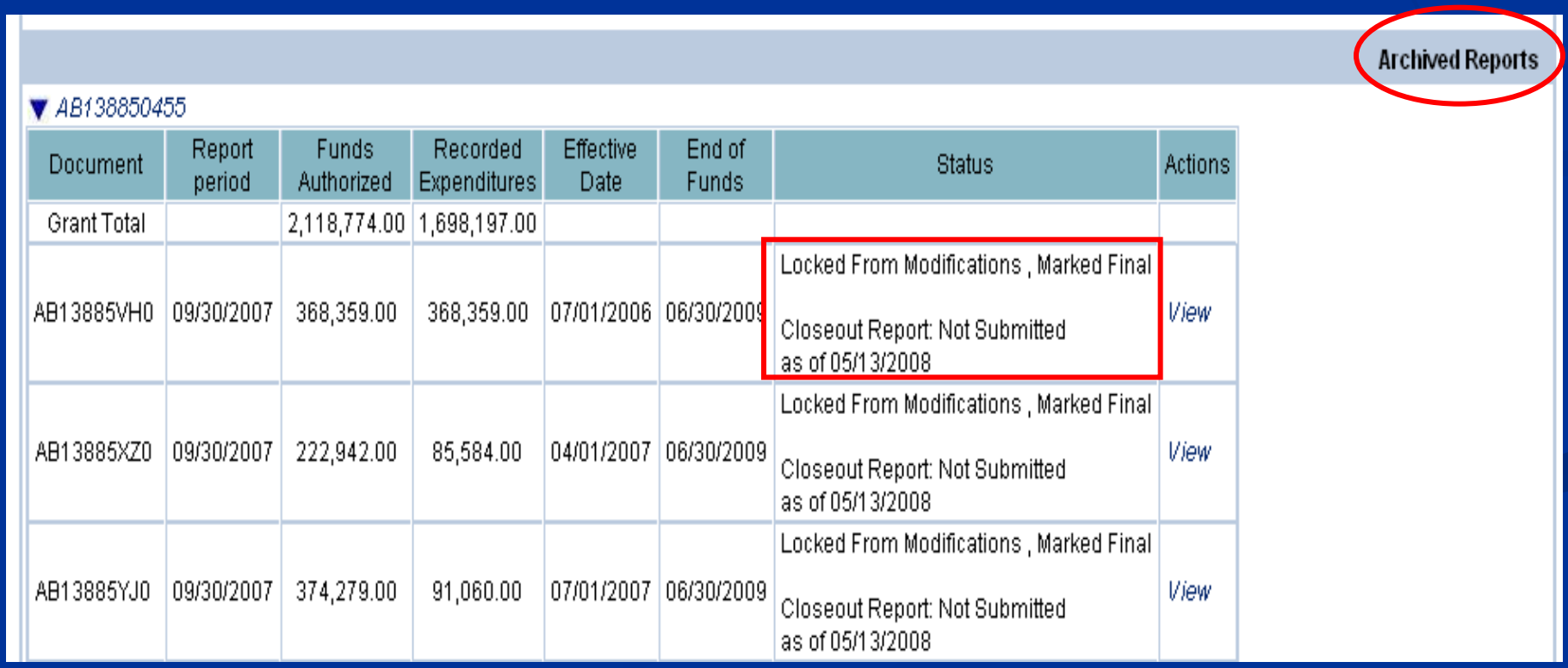
Current Reports

AB138850455

Document	Report period	Funds Authorized	Recorded Expenditures	Effective Date	End of Funds	Status	Actions
Grant Total		2,118,774.00	1,698,197.00				
AB13885UV0 Closeout	09/30/2007	192,123.00	192,123.00	04/01/2006	06/30/2009	Accepted by DOL , Marked Final Closeout Report: Not Submitted as of 05/13/2008	View/Modify
AB13885VH0 Closeout	12/31/2007	368,359.00	368,359.00	07/01/2006	06/30/2009	Accepted by DOL , Marked Final Closeout Report: Not Submitted as of 05/13/2008	View/Modify
AB13885XZ0	03/31/2008	222,942.00	85,584.00	04/01/2007	06/30/2009	Not Submitted as of 05/13/2008	Open

Archived Reports Menu

Once the next quarters' report is accepted the prior quarter report is archived. The status column provides information about archived reports.



Document	Report period	Funds Authorized	Recorded Expenditures	Effective Date	End of Funds	Status	Actions
Grant Total		2,118,774.00	1,698,197.00				
AB13885VH0	09/30/2007	368,359.00	368,359.00	07/01/2006	06/30/2009	Locked From Modifications , Marked Final Closeout Report: Not Submitted as of 05/13/2008	View
AB13885XZ0	09/30/2007	222,942.00	85,584.00	04/01/2007	06/30/2009	Locked From Modifications , Marked Final Closeout Report: Not Submitted as of 05/13/2008	View
AB13885YJ0	09/30/2007	374,279.00	91,060.00	07/01/2007	06/30/2009	Locked From Modifications , Marked Final Closeout Report: Not Submitted as of 05/13/2008	View

U.S. DOL ETA FINANCIAL REPORT

(Follow instructions on the back.)

1. Federal Agency and Organizational Element to Which Report is Submitted	2. Federal Grant or Other Identifying Number Assigned by DOL	OMB Approval No. 1205-0461 Expires 09/30/2019
3. Recipient Organization (Name and complete address including Zip code)		

4a. Unique Entity Identifier	4b. EIN	5. Recipient Account Number or Identifying Number	6. Final Report ☐ Yes ☐ No	7. Basis of Reporting ☐ Accrual
8. Project/Grant Period From: (MM/DD/YYYY)		To: (MM/DD/YYYY)	9. Reporting Period End Date (MM/DD/YYYY)	

10. Transactions	Cumulative
Federal Cash:	
a. Cash Receipts	
b. Cash Disbursements	
c. Cash on Hand (line a minus b)	$ -
Federal Expenditures and Unobligated Balance:	
d. Total Federal Funds Authorized	
e. Federal Share of Expenditures	
f. Total Administrative Expenditures	
g. Federal Share of Unliquidated Obligations	
h. Total Federal Obligations (sum of lines e and g)	$ -
i. Unobligated Balance of Federal Funds (line d minus h)	$ -
Recipient Share:	
j. Total Recipient Share Required	
k. Recipient Share of Expenditures	
l. Remaining Recipient Share to Be Provided (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 minus line n)	$ -
11. Additional Expenditure Data Required	
a. Other Federal Funds Expended	
12. Remarks: *(Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation.)*	

13. Indirect Expenditures

a. Type of Rate	b. Rate	c. Rate Approval Date	d. Period From (MM/DD/YYYY)	Period To (MM/DD/YYYY)	e. Base	f. Amount Charged	g. Federal Share
				h. Totals:	$ -	$ -	$ -

14. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, 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 criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729–3730 and 3801–3812).

a. Typed or Printed Name and Title of Authorized Certifying Official	c. Telephone (Area code, number, and extension)
	d. Email Address
b. Signature of Authorized Certifying Official	e. Date Report Submitted (MM/DD/YYYY)
	15. Agency Use Only:

Prescribed by OMB Uniform Guidance 2 CFR 200.

Persons are not required to respond to this collection of information unless it displays a currently valid OMB number. Public reporting burden for this collection of information, which is required to obtain or retain benefits (2 CFR 200.327 and WIOA Section 185(e)(2)), is estimated to average 45 minutes per response, including time for reviewing instructions, 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. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to ETA Office of Management and Administrative Services, Rm N-4653, U.S. Department of Labor, Washington DC 20210.

ETA 9130 Financial Report Form

The report form is made up of different sections in which cost and revenue data is entered.

Instructions for each line are found on pages following the form, but can also be accessed by clicking each report's line title, e.g.:

10.b. Cash Disbursements

10.g. Federal Share of Unliquidated Obligations

11.b. Employment Services Expenditures

ETA 9130 Report Header

Review boxes 2 (document no.) and 9 (report period) to confirm the correct report was selected for completion.



U.S. DOL ETA FINANCIAL REPORT

Print Report

The report for 12/31/2012 is DOL Accepted as of 01/30/2013 (accepted by gsuetopka)

1. Federal Agency and Organizational Element to Which Report is Submitted	2. Federal Grant or Other Identifying Number Assigned By DOL	OMB Approval No 1205-0461
DOL / ETA	AB216041155A4 / AB21604JT0	Expires 11/30/2012

3. Recipient Organization (Name and complete address including ZIP code)

GILA RIVER INDIAN COMMUNITY
P.O. BOX 97 SKILL CENTER ROAD
Sacaton , AZ 85147

4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number	6. Final Report	7. Basis of Accounting
074449323	860107023	7103.9.27.12/21.0000	○ Yes ◉ No	☑ Accrual

8. Project/Grant Period	9. Reporting Period End Date
From: 04/01/2011 | To: 06/30/2013	12/31/2012

Section 10 - Transactions

The columns “Previous Period” and “This Period” are pre-programmed. No data entry or changes can be made to these columns.

10. Transactions:	Previous Period	This Period	Cumulative
Federal Cash: (DOL records reflect quarter end cumulative drawdowns of $ 268,711.85)			
a. Cash Receipts	268,711.85	0.00	268,711.85
b. Cash Disbursements	268,711.85	0.00	268,711.85
c. Cash on Hand (line a minus b)	0.00	0.00	0.00
Federal Expenditures and Unobligated Balance:			
d. Total Federal funds authorized			499,865.00
e. Federal share of expenditures	336,487.11	127,547.07	464,034.18
f. Total administrative expenditures	19,886.01	21,799.51	41,685.52
g. Federal share of unliquidated obligations			3,276.48

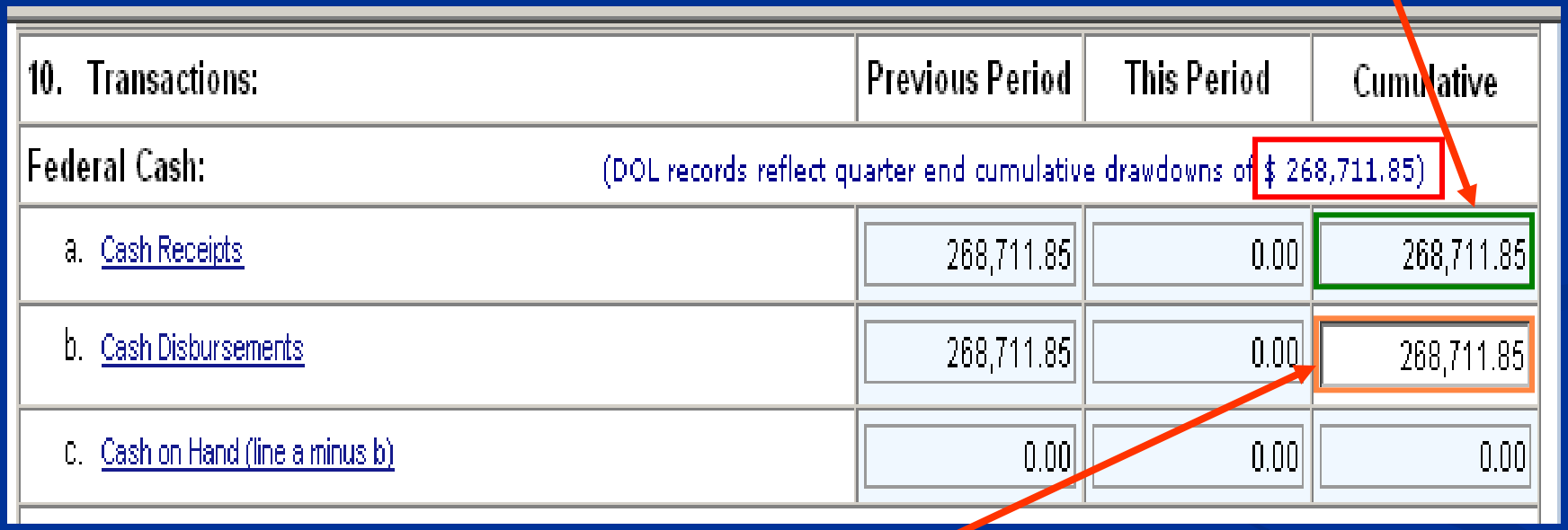
Section 10 – Transactions

Cumulative cost/revenue data is entered to the nearest penny in white cells of the **Cumulative** column. All blue cells are pre-filled or formula cells and cannot be changed.

10. Transactions:	Previous Period	This Period	Cumulative
Federal Cash:	(DOL records reflect quarter end cumulative drawdowns of $ 268,711.85)		
a. Cash Receipts	268,711.85	0.00	268,711.85
b. Cash Disbursements	268,711.85	0.00	268,711.85
c. Cash on Hand (line a minus b)	0.00	0.00	0.00
Federal Expenditures and Unobligated Balance:			
d. Total Federal funds authorized			499,865.00
e. Federal share of expenditures	336,487.11	127,547.07	464,034.18
f. Total administrative expenditures	19,886.01	21,799.51	41,685.52
g. Federal share of unliquidated obligations			3,276.48
h. Total Federal obligations (sum of lines e and g)			467,310.66
i. Unobligated balance of Federal funds (line d minus h)			32,554.34

Lines 10 a. b. and c.—Federal Cash

The report system pre-fills line 10.a with Federal cash received from the HHS-Payment Management System



10. Transactions:	Previous Period	This Period	Cumulative
Federal Cash: (DOL records reflect quarter end cumulative drawdowns of $ 268,711.85)			
a. Cash Receipts	268,711.85	0.00	268,711.85
b. Cash Disbursements	268,711.85	0.00	268,711.85
c. Cash on Hand (line a minus b)	0.00	0.00	0.00

On line 10.b. enter Federal cash disbursed as of the end of the quarter. This amount cannot be greater than Federal cash received on line 10.a.

Federal Expenditures/Unobligated Balance

On line 10.e. enter total expenditures, including accruals. Funds obligated for goods and services not received, or paid by quarter end are entered on line 10.g. Unliquidated obligations.
The Unobligated balance, or remaining funds is system calculated on line 10.i.

Federal Expenditures and Unobligated Balance:			
d. Total Federal funds authorized			499,865.00
e. Federal share of expenditures	336,487.11	127,547.07	464,034.18
f. Total administrative expenditures	19,886.01	21,799.51	41,685.52
g. Federal share of unliquidated obligations			3,276.48
h. Total Federal obligations (sum of lines e and g)			467,310.66
i. Unobligated balance of Federal funds (line d minus h)			32,554.34

Line 10.e. must equal the sum of lines 10.f, + 11.b., c., and d.

Lines 10.k., 10.l.--Recipient Share

Non-WIOA and Non-federal funds expended for allowable WIOA costs are reported on line 10. k. and l. These **"Stand-in"** costs are referenced in Section 185(f) of the WIOA Law and 20 CFR Section 667.300(c)(2) of the WIOA regulations and recorded in grantee financial records. (as a substitute for disallowed costs in audit. Grantee must propose them in the resolution period)

Recipient Share:			
j. Total recipient share required	0.00	0.00	0.00
k. Recipient share of expenditures	0.00	0.00	0.00
l. Recipient share of unliquidated obligations	0.00	0.00	0.00
m. Total recipient obligations (sum of lines k and l)	0.00	0.00	0.00
n. Remaining recipient share to be provided (line j minus m)	0.00	0.00	0.00

Lines 10.o., 10.p., 10.q.--Program Income

Report all income earned on WIOA federal funds (e.g. income earned after expenses of a WIOA sponsored event (employer outreach). Earned income must first be expended on allowable program services and activities before drawing down additional federal funds.

Program income:			
o. Total Federal program income earned	0.00	0.00	0.00
p. Program income expended in accordance with the addition method	0.00	0.00	0.00
q. Unexpended program income (line o minus line p)	0.00	0.00	0.00

11. Additional Expenditure Data - 11.a. Other Federal Funds

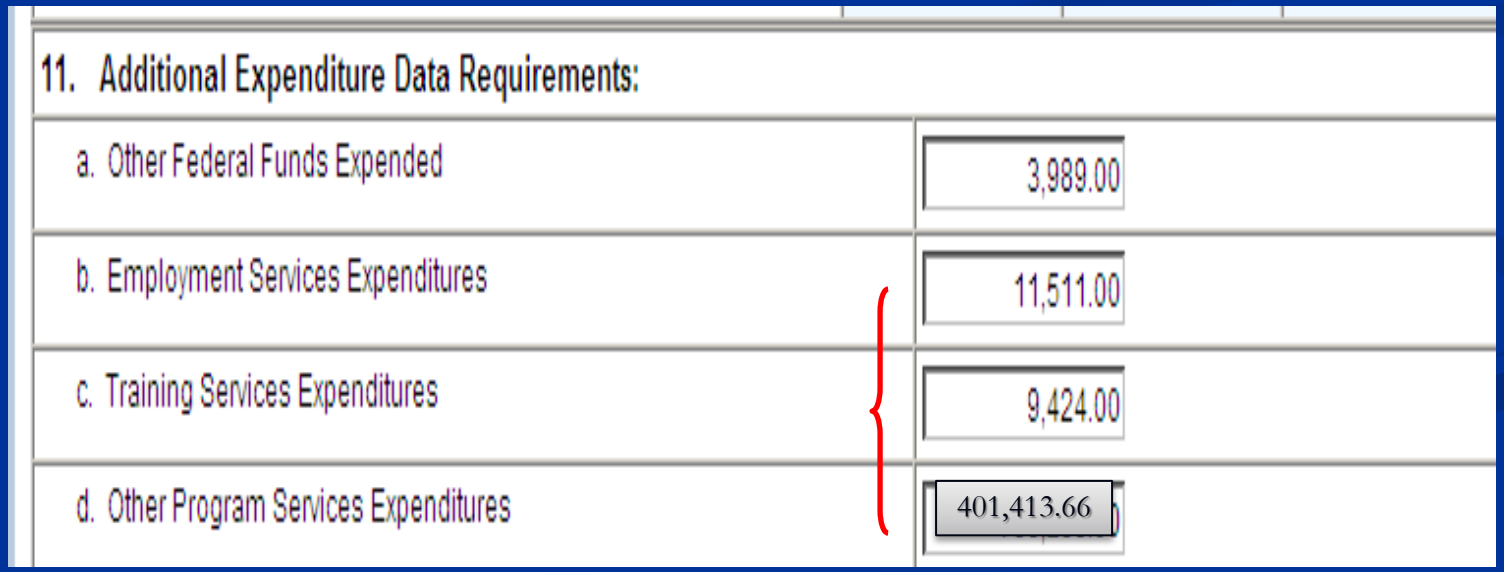
All Federal funds (i.e., Pell, BIA, etc.) leveraged for the benefit of participants are reported on line 11.a.

11. Additional Expenditure Data Requirements:	
a. Other Federal Funds Expended	3,989.00
b. Employment Services Expenditures	11,511.00
c. Training Services Expenditures	9,424.00
d. Other Program Services Expenditures	401,413.66

Lines 11.b.,11.c.,11.d.--Additional Expenditure Data

Participant related expenditures for employment, training or other program services are entered on cost category lines 11. b., c., or d.

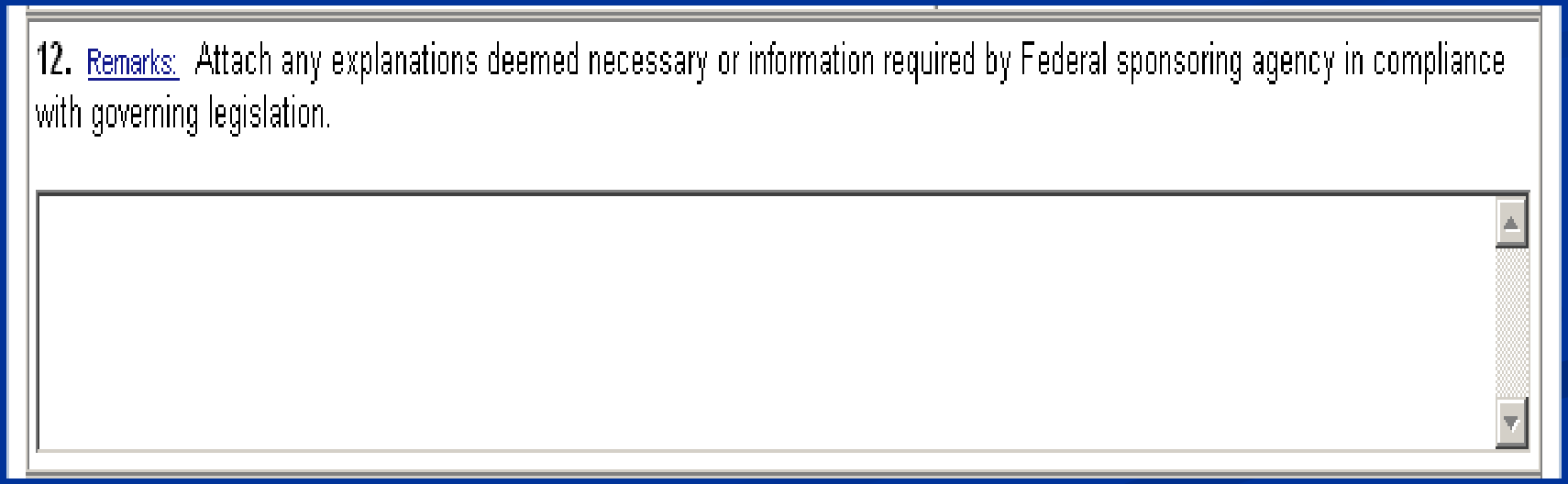
The sum of lines 11. b., c., d. plus 10.f (Admin) must equal the amount reported on line 10.e. Total Expenditures.



11. Additional Expenditure Data Requirements:	
a. Other Federal Funds Expended	3,989.00
b. Employment Services Expenditures	11,511.00
c. Training Services Expenditures	9,424.00
d. Other Program Services Expenditures	401,413.66

Section 12 -- Remarks

Use box "12. – Remarks" to clarify or explain report content. For example, if cash-on-hand is reported, state the reason why it occurred, the date the cash was liquidated and steps taken to avoid a recurrence.



Section 14 -- Certification

This box attests the report is complete, and accurate to the best knowledge of the representatives authorized to certify the report for the grantee.

13. Certification: I certify to the best of my knowledge and belief that this report is correct and complete and that all expenditures and unliquidated obligations are for the purposes set forth in the award documents.	
a. Typed or Printed Name and Title Lana Chanda	c. Telephone(Area code, number and extension) 480-963-0902
	d. Email address: Lana.chanda@gric.nsn.us
b. Signature of Authorized Certifying Official Lana Chanda	e. Date Report Submitted 05/02/02008

Saving a Report

The report must first be saved upon completion and each time changes are made to report data before certifying the report.



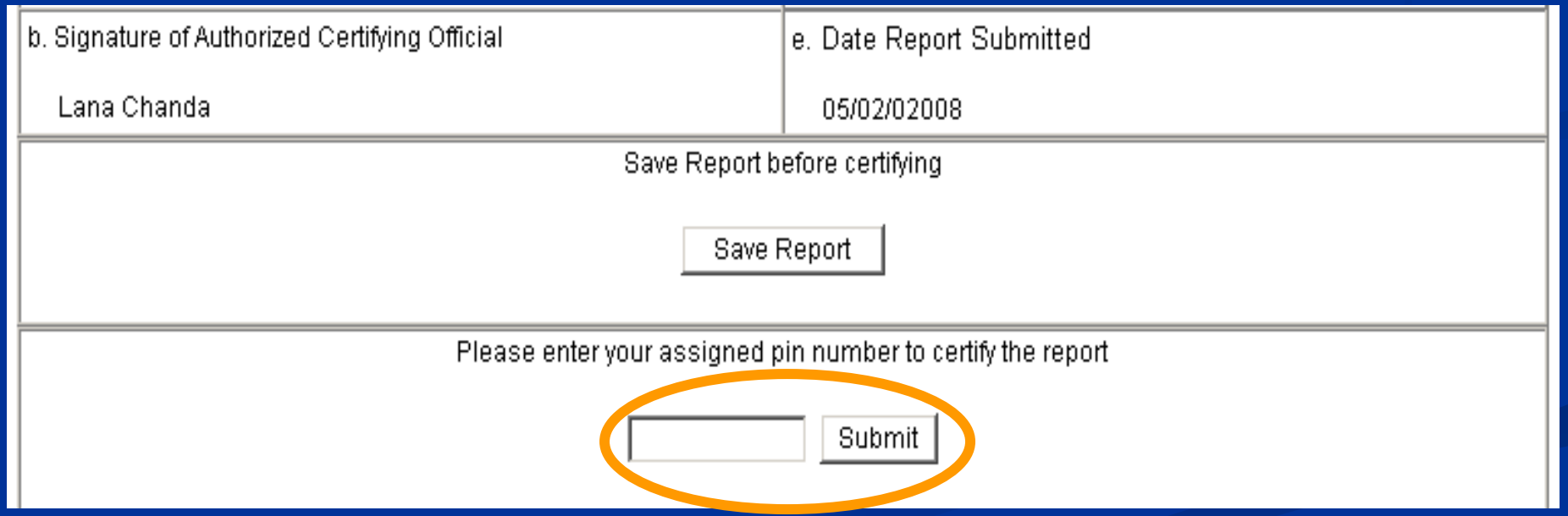
Report Saved Notice

After hitting the Save button, the system will issue a notice the report is saved and awaiting grantee certification.



Report Submission

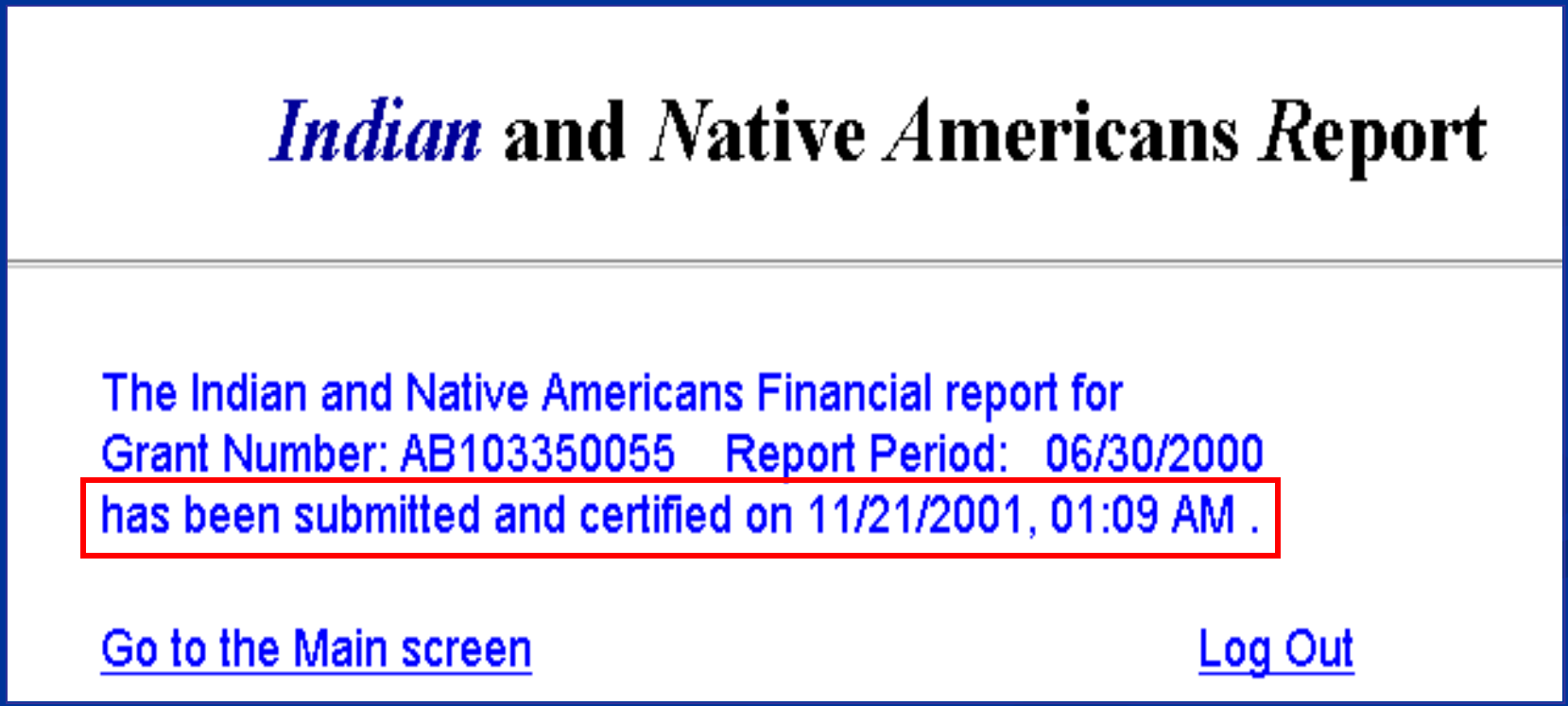
To certify the report, reopen the saved report and enter the 5 digit numeric PIN, then hit the Submit button.



Successfully Submitted Report

When a report has been successfully submitted the following message will be issued.

Print this message and file it with the report.



FINAL Financial Report

A Final Financial Report is submitted once all federal funds have been received and disbursed, and the report states a 0.00 balance on line 10.i. (Unliquidated Balance of Federal Funds)

- Be sure to check YES in Box 6/Final Report
- After certifying a Final report, re-enter the report and click the link "Closeout" that will appear in Box 6
- On the next screen that appears, enter the PIN to certify the report. This action notifies the Closeout unit the fund source is closed and no further reports will be submitted.

a. Cash Receipts	468,824.30	21,341.70	490,166.00
b. Cash Disbursements	468,824.30	21,341.70	490,166.00
c. Cash on Hand (line a minus b)	0.00	0.00	0.00
Federal Expenditures and Unobligated Balance:			
d. Total Federal funds authorized			490,166.00
e. Federal share of expenditures	475,799.26	14,366.74	490,166.00
f. Total administrative expenditures	61,112.79	12,412.21	73,525.00
g. Federal share of unliquidated obligations			0.00
h. Total Federal obligations (sum of lines e and g)			490,166.00
i. Unobligated balance of Federal funds (line d minus h)			0.00

Knowledge Check – Scenario #1

Grantee Submitted the 9130 Report: Look at the report, what needs to be changed in order for the report for be acceptable.

Line 12. Remarks - There is $5000.00 on Line 10c (Cash on Hand). Program will need to place a remark under Line 12. Remarks to explain why there is Cash on Hand.

- Ex. Program overdrew funds from PMS, will need to return funding to HHS.
- Ex. Program draw down was higher as payroll will hit later in the week.

Knowledge Check – Scenario #2

Grantee Submitted the 9130 Report: Look at the report, what needs to be changed in order for the report for be acceptable.

Line 10e. Federal Share of Expenditures - Line 10f and 11a-d does not sum to line 10e. Total should be $10,450.00

Remember: Line 10e = 10f + 11a +11b + 11c + 11d

Bonus: What other action should the grantee take to stay in good standing?

Draw down $10,450.00 to keep drawdowns and Expenditures relatively close

Knowledge Check – Scenario #3

Grantee Submitted the 9130 Report: Look at the report, what needs to be changed in order for the report for be acceptable.

Line 10b. Cash Disbursements – Program will need to complete line 10b. Cash Disbursement. When you complete line 10b., line 10c. Cash on Hand will automatically be calculated. There should be little to no Cash on Hand. If the program does have Cash on Hand, explain in Remarks.

Bonus: Box 6 Final Report – Mark Box 6. Final Report as “Yes”

Knowledge Check – Scenario #3

Grantee Submitted the 9130 Report: Look at the report, what needs to be changed in order for the report for be acceptable.

Line 10e. Federal Share of Expenditures – Line 10e cannot be greater than line 10d Total Federal Funds Authorized.

Box 6 Final Report – Needs to be checked, “Yes”.

Additional funding needs to be place on recent sub-account 9130 report for AB36…E50

Knowledge Check – Scenario #3

Grantee Submitted the 9130 Report: Look at the reports, what needs to be changed in order for the report for be acceptable.

Line 10c. Training Services Expenditures are not being reported on an accrual basis. The expenditures for the previous quarter should be included on Line 10c and Line 11c, 11d.

Technical Assistance

For questions or technical assistance contact your program's assigned DOL-DINAP Federal Project Officer.

Carl Duncan	202-693-3384	Duncan.carl.l@dol.gov
Chelsea Fish	202-693-3736	fish.Chelsea.e@dol.gov
Maria Mendoza	202-693-3695	mendoza.maria.c@dol.gov
Jennifer Whitmore	415-625-7970	whitmore.jennifer@dol.gov
Duane Hall	972-850-4637	hall.duane@dol.gov
Guy Suetopka	415-625-7988	suetopka.guy@dol.gov