

WIOA FUNDAMENTALS Module 3:
GRANT OPERATIONS and IMPLEMENTATION



Presented by

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Grant Operations Definition

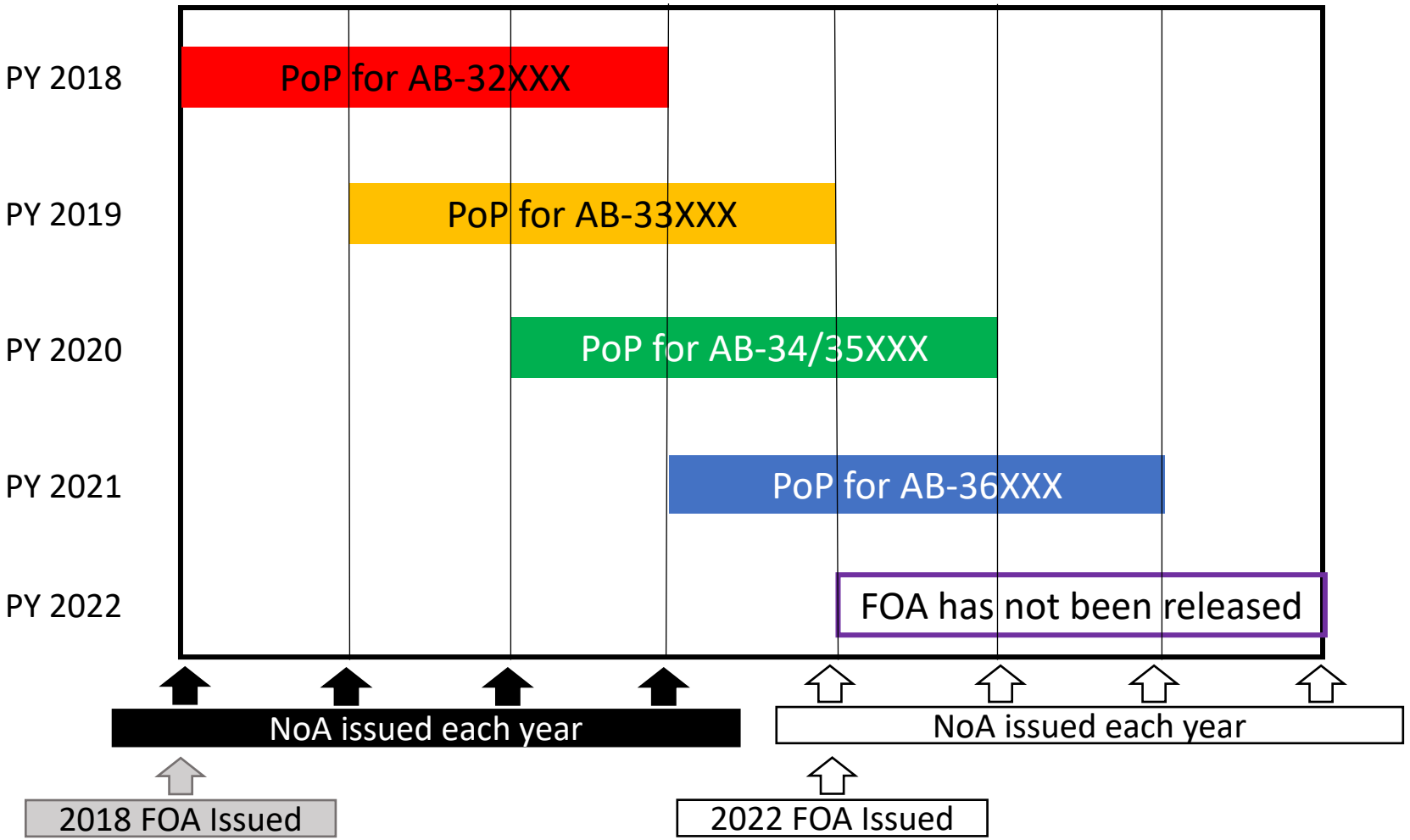
Grant Operations addresses how the grant recipient operates and conducts activities that are necessary for the project but are not related to direct delivery of services. In addition, this activity ensures compliance with the applicable statutory, regulatory, and Uniform Guidance requirements common to all ETA grants.

Grant Award Terminology and Acronyms

- Funding Opportunity Announcement (FOA)
- Training and Employment Guidance Letter (TEGL)
- Notice of Award (NOA)
- Period of Performance (PoP)
- Grant Closeout
- Payment Management System (PMS)
- Program Year (PY)
- Fiscal Year (FY)
- Financial and Program Reporting System
- Grantee Performance Management System (GPMS)

Grant Award Life

ETA Program Year is July 1 – June 30



Funding Opportunity Announcement (FOA)

Funding Opportunity Announcement – FOAs are issued to inform interested tribes and tribal organizations/consortiums, Native Hawaiian and Alaska Native entities of an opportunity to apply for a federal grant under WIOA Sec. 166.

- For WIOA, Sec. 166, an FOA is issued every four(4) years – the last FOA was issued in 2018
- The next FOA will be issued in spring 2022
- Application requirements for grant activities include, Statement of Work (SOW), Grantee Identification Info (SF-424), Project Budget (SF-424A and Budget Narrative)
- Applicants will need to create an account on grants.gov in order to apply for WIOA Sec. 166 funding. Including an updated SAM account.

Notice of Award (NOA)

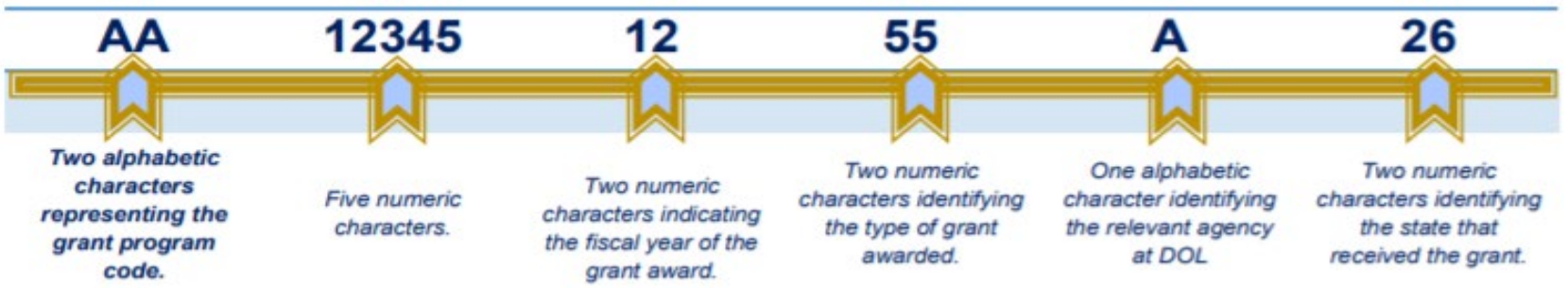
Notice of Award – After you have been informed you are receiving a grant from DOL, each program will receive a NOA. It contains basic information about the parameters of your grant:

- Identifying information of the grant recipient (e.g., Federal Employer Identification Number (EIN), Data Universal Numbering System [DUNS] number);
- ETA identifying information, Federal Award Identification Number (FAIN);
- Period of Performance
- Award Amount
- Pertinent regulations and cost principles your grant is subject to and to which your organization must comply; and
- The Grant Officer assigned to your grant

Identifying Grant Number

Federal Award Identification Number (FAIN)

- Each grant award is identified by the unique identifier, or FAIN. FAINs are a series of 14 alphabetic and numeric characters of a Grant Agreement.
- All Section 166 grant numbers begin with “AB”



Ex. AB-32424-18-60-A-4 corresponds to a grant for Program Year 2018

Period of Performance

Period of Performance (PoP), also know as the “grant life”, is the length of time a grantee is allotted to expend all funding within a sub-account.

For all Sec. 166 grantees, the PoP for an award is three years.

- Example: Pueblo of Acoma was awarded, an amount of $10,000 on July 1, 2021 (PY2021). They will need to report that all funding is expended and drawn down from the Payment Management System (PMS) by June 30, 2024.

If all funding is not expended and drawn down by the end of the PoP, Grantees:

- Can request a no cost extension 30 days prior to the end of PoP); or
- Must return funding to U.S. Treasure Department.

Grant Closeout

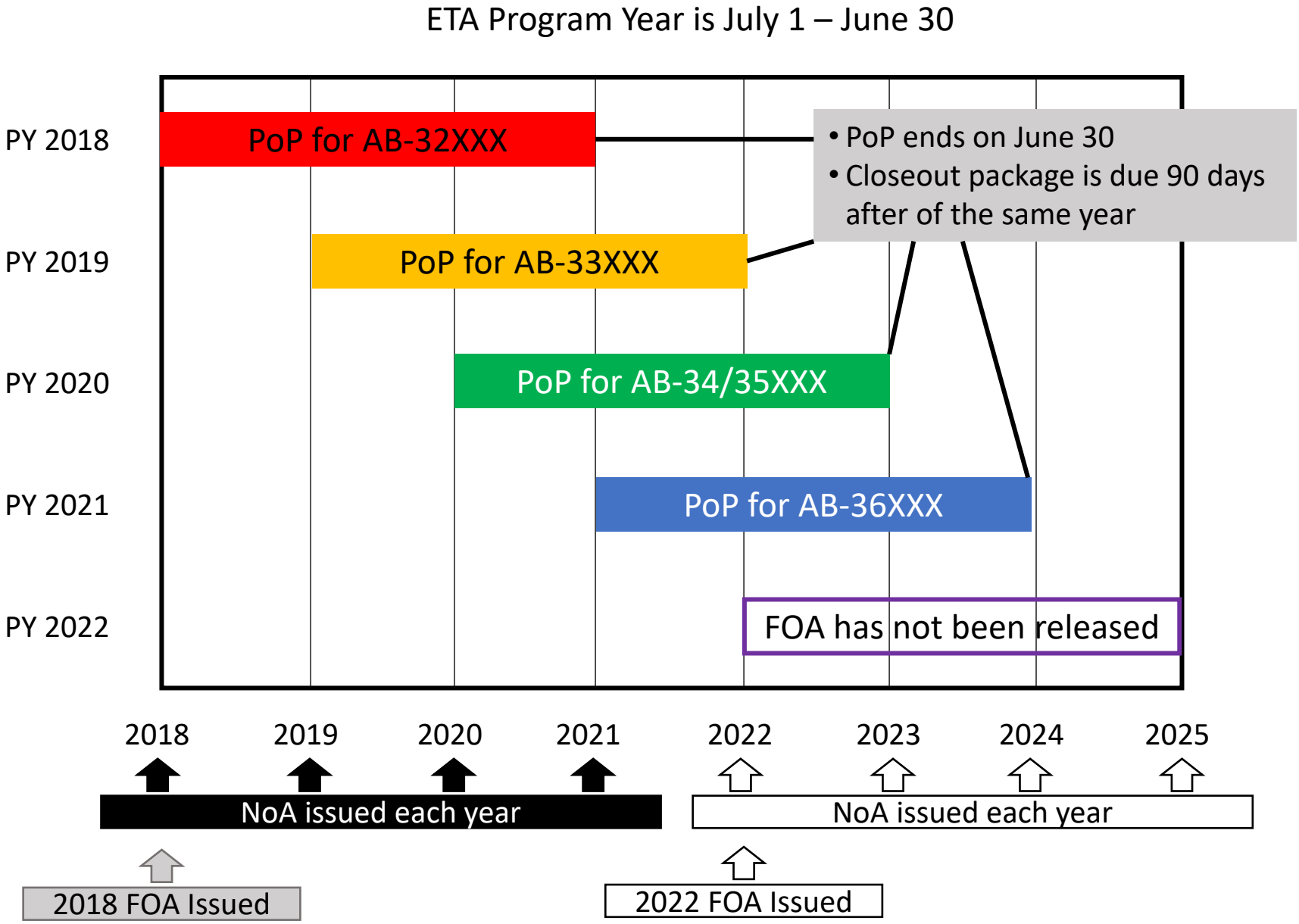
Closeout – After the PoP has ended, grantees are required to submit a grant closeout package with the grant closeout office.

The Grant closeout package is due 90 days after the end of the PoP.

- PoP ends on June 30th, grant close out package is due on September 30th, unless grantee has requested a PoP extension

The closeout package includes:

- **Final and Closeout Expenditure Report**
- **Grantee's Release**
- **Governmental Property Close-out Inventory Certification**
- Indirect Cost Rates, if applicable
- Government Inventory List, if applicable
- No Cost Extension Modification, if applicable


ETA Program Year is July 1 – June 30
PY 2018
PY 2019
PY 2020
PY 2021
PY 2022
PoP for AB-32XXX
PoP for AB-33XXX
PoP for AB-34/35XXX
PoP for AB-36XXX
FOA has not been released
• PoP ends on June 30
• Closeout package is due 90 days after of the same year
2018
2019
2020
2021
2022
2023
2024
2025
NoA issued each year
NoA issued each year
2018 FOA Issued
2022 FOA Issued

Program Year v. Fiscal Year

Sec. 166 Program Year runs from July 1 to June 30

Quarters

- Q1: July 1 – September 30
- Q2: October – December 31
- Q3: January 1 – March 31
- Q4: April 1 – June 30

Federal Government's Fiscal Year runs from Oct. 1 to Sept. 30

Quarters

- Q1: October 1 – December 31
- Q2: January 1 – March 31
- Q3: April 1 – June 30
- Q4: July 1 – September 30

Reporting Periods

Sec. 166 Grantees submit both program and financial reports on a quarterly basis as follows:

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

Grantees will submit youth program reports using Youth Bear Tracks. These reports are due on a semi-annual basis:

Period	Report Deadlines
April 1 – September 30	December 31
October 1 – March 31	June 30

Performance Measures and Reporting Timelines

Grantee Reports	Grantee System	Report Period	Next Report Due	DOL System Used to Submit Report
Financial Reports (9130)	Grantee Reporting System	Quarterly Reporting 45 days after quarter's end	11/15/21	https://www.etareports.doleta.gov/
Adult Program Reports (9173)	Grantee Performance Management System (GPMS)	Quarterly Reporting 45 days after quarter's end	11/15/21	https://dol.appiancloud.com/suite/
Youth Program Reports (9085)	Bear Tracks Youth	Semi-Annual Reporting, 90 days after the end of the period	12/30/21	https://www.etareports.doleta.gov/

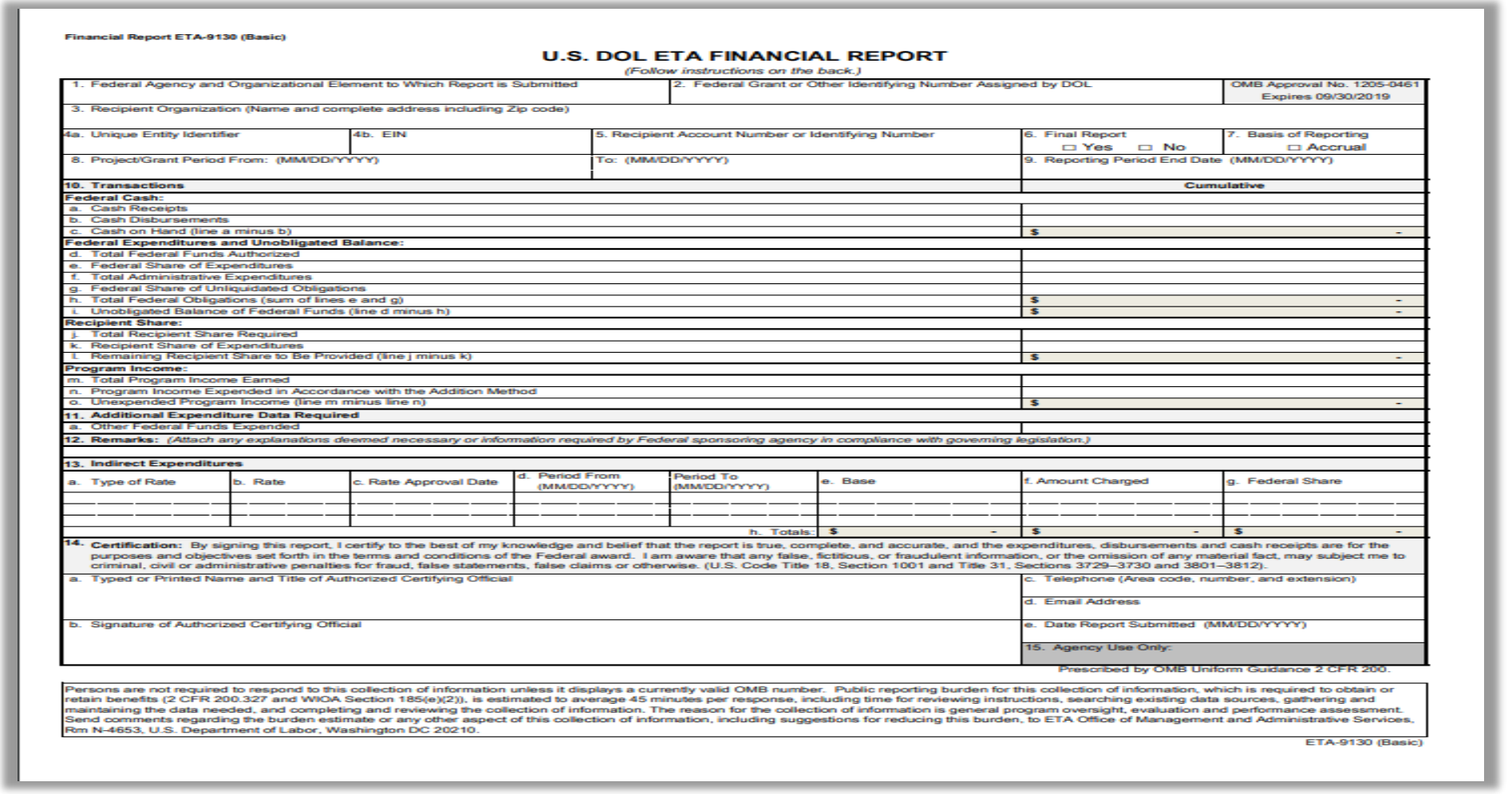
Grantee Performance Management System (GPMS)

What does it do?

- Transitions reporting program from WIA to WIOA
- Replaces the old Adult Bear Tracks System
- Multiple user access
- Web-based system
- Youth GPMS will be implemented at a later date



9130 Financial Reports



Financial Report ETA-9130 (Basic)

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 (Basic)

Grant Modifications and Changes

What are some reasons a grantee may ask to change their grant?

- Response to Condition(s) of Award
- Statement of Work (SOW)
- Budget Realignment
- Purchase of Equipment
- Administrative (i.e. authorized representative, point of contact, address, organization/Institution Name
- Indirect Cost Rate Agreement/
- Period of Performance Extension

Grant Modifications and Changes Cont.

What needs to be submitted for a grant modification?

- A cover letter on grantee letterhead addressed to the Grant Officer and signed by the authorized representative
- Written description and justification of proposed request
- Any documentation to support the request
  - Procurement bids
  - Adjusted Budget
  - Email and communication

Note: The modification can take between 30 ad 60 days to complete. Requested changes cannot begin until final approval from the Grant Officer is provided.

Training and Employment Guidance Letter (TEGL)

Training and Employment Guidance Letter – They are the Department of Labor's [Department] means to providing policy directives, information, and guidance to the Native American, Alaskan and Native Hawaiian grantee community.

- TEGLs are issued to inform grantees of upcoming changes in DOL policy and/or processes.
- TEGLs are also issued to inform grantees of program year allocations and application submissions details
  - Program Year allotment TEGLs are issued around Spring of each year

DINAP Advisories

https://www.dol.gov/agencies/eta/dinap/advisories

Grant Terms and Conditions

Terms and Conditions – Each grantee's award agreement includes Terms and Conditions that your organization agreed to follow when applying for the grant. These terms vary depending on your grant type, and may include the following:

- Indirect Cost Rate and Cost Allocation Plan
- Administrative Costs
- Audits
- Equipment Purchase
- Procurement
- Reports
- Program Requirements
- Salary and Bonus Limitations

Grantee Handbook

Handbook –

- A bird’e eye view of ETA’s primary purpose in administering discretionary and/or competitively-awarded employment and training grants; and
- Definitions of the specific roles and responsibilities carried out by each organizational arm of ETA’s grant management team

Grantee Resources

Resource	Location
Federal Project Officer	DINAP Staff Directory: https://www.dol.gov/agencies/eta/dinap/contact
Grant Terms and Conditions	Attached to grant Notice of Award (NOA)
Grantee Handbook	https://www.dol.gov/sites/dolgov/files/ETA/dinap/pdfs/Grantee-Handbook.pdf
ETA-DINAP Website	https://www.dol.gov/agencies/eta/dinap
Workforce GPS	https://ina.workforcegps.org/

Contact Information

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