

## U.S. DOL ETA FINANCIAL REPORT

(Follow attached instructions)

|   |         |  |   |  |  |
|---|---------|--|---|--|--|
| 1. Federal Agency and Organizational Element to Which Report is Submitted   |         | 2. Federal Grant or Other Identifying Number Assigned by DOL |   |  | OMB Approval<br>No 1205-0461<br><br>Expires 11/30/2009 |
| 3. Recipient Organization (Name and complete address including Zip code)  |         |  |   |  |  |
| 4a. DUNS Number   | 4b. EIN | 5. Recipient Account Number or Identifying Number            | 6. Final Report<br><input type="checkbox"/> Yes <input type="checkbox"/> No | 7. Basis of Accounting<br><input type="checkbox"/> Accrual |  |
| 8. Project/Grant Period<br>From: (Month, Day, Year)   |         | To: (Month, Day, Year)                                       |   | 9. Reporting Period End Date<br>(Month, Day, Year)         |  |
| <b>10. Transactions</b>   |         |  |   | Cumulative   |  |
| <b>Federal Cash :</b>   |         |  |   |  |  |
| a. Cash Receipts  |         |  |   |  |  |
| b. Cash Disbursements   |         |  |   |  |  |
| c. Cash on Hand (line a minus b)  |         |  |   |  |  |
| <b>Federal Expenditures and Unobligated Balance:</b>  |         |  |   |  |  |
| 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)  |         |  |   |  |  |
| <b>Recipient Share:</b>   |         |  |   |  |  |
| j. Total recipient share required   |         |  |   |  |  |
| k. Recipient share of expenditures  |         |  |   |  |  |
| l. Recipient share of unliquidated obligations  |         |  |   |  |  |
| m. Total recipient obligations (sum of lines k and l)   |         |  |   |  |  |
| n. Remaining recipient share to be provided (line j minus m)  |         |  |   |  |  |
| <b>Program Income:</b>  |         |  |   |  |  |
| o. Total Federal program income earned  |         |  |   |  |  |
| p. Program income expended in accordance with the addition method   |         |  |   |  |  |
| q. Unexpended program income (line o minus line p)  |         |  |   |  |  |
| <b>11. Additional Expenditure Data Required</b>   |         |  |   |  |  |
| a. Other Federal funds expended   |         |  |   |  |  |
| b. Real property proceeds expended  |         |  |   |  |  |
| 12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:  |         |  |   |  |  |
| <b>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.</b> |         |  |   |  |  |
| 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 (Month, Day, Year)                                 |  |  |
| 14. Agency use only:  |         |  |   |  |  |

Prescribed by OMB A-102 and A-110

Public reporting burden for this collection of information is estimated to average 30 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. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (1205-0NEW), Washington, DC 20503.

# EMPLOYMENT SERVICE AND UNEMPLOYMENT INSURANCE PROGRAMS

## U.S. DOL ETA Financial Status Report Instructions

### Report Submission

- 1) Recipients will be required by U.S. DOL/ETA to submit the Financial Report (FR) electronically through on-line reporting.
- 2) Recipients will be provided passwords/PINs to facilitate reporting.

### Reporting Requirements

- 1) The submission of the FR will be on a quarterly basis. A final FR shall be required at the completion of the award agreement. For quarterly reports, the following calendar quarter reporting period end dates shall be used: 3/31, 6/30, 9/30, and 12/31. For the final FR, the reporting period end date shall be the end date of the project/grant period.
- 2) Quarterly reports shall be submitted no later than 45 days after the end of each specified reporting period. Final reports shall be submitted no later than 90 days after the project/grant period end date.

Note: U.S. DOL ETA requires both cash management and financial status information for all reports.

### Line Item Instructions for the U.S. DOL ETA Financial Report

| FFR Number               | Reporting Item   | Instructions  |
|--------------------------|--|---|
| <b>Cover Information</b> |  |   |
| 1                        | Federal Agency and Organizational Element to Which Report is Submitted | Enter "U.S. Department of Labor Employment & Training Administration."  |
| 2                        | Federal Grant or Other Identifying Number Assigned by Federal Agency   | Enter the grant number assigned to the award by DOL/ETA.  |
| 3                        | Recipient Organization   | Name and complete address including zip code.   |
| 4a                       | DUNS Number  | Enter the recipient organization's Data Universal Numbering System (DUNS) number or Central Contract Registry extended DUNS number.   |
| 4b                       | EIN  | Enter the recipient organization's Employer Identification Number (EIN).  |
| 5                        | Recipient Account Number or Identifying Number                         | Enter the account number or any other identifying number assigned by the recipient to the award. This number is strictly for the recipient's use only and is not required by the DOL/ETA.   |
| 6                        | Final Report (Yes/No)  | Mark appropriate box. Check "yes" only if this is the final report for the project/grant period specified in Box 8.   |
| 7                        | Basis of Accounting (Accrual)  | Mark box indicating recipient uses an accrual basis reporting system for recording transactions related to this award. DOL/ETA regulations require that recipients report expenditures and program income on an accrual basis. For accrual basis reporting, accrued expenditures are recorded when a requirement to pay is established. |

| <b>FFR Number</b>                                    | <b>Reporting Item</b>   | <b>Instructions</b>  |
|--|---|--|
|  |   | Note: Recipients are not required to change their accounting systems to accommodate DOL/ETA requirements that differ from their underlying accounting practices. Instead, recipients must furnish the requested information based on available documentation and best estimates.   |
| 8  | Project/Grant Period,<br>From: (Month, Day, Year)   | Indicate the period established in the grant award document during which DOL/ETA sponsorship begins and ends.<br><br>Note: DOL/ETA requires financial reports to be cumulative by fiscal year of appropriation. This requirement will necessitate submittal of separate financial reports for each source of funds available for expenditure under a DOL/ETA grant.  |
|  | Project/Grant Period ,To:<br>(Month, Day, Year)   | See the instructions immediately above for “Project/Grant Period, From: (Month, Day, Year)”.   |
| 9  | Reporting Period End<br>Date: (Month, Day, Year)  | Enter the ending date of the reporting period. For DOL/ETA required quarterly financial reports, the following calendar quarter reporting period end dates shall be used: 3/31, 6/30, 9/30, and 12/31. For the final FR, the reporting period end date shall be the end date of the project/grant period.  |
| 10   | <b>Transactions</b><br>Enter cumulative amounts for each line item as of the reporting period end date.<br>Use Line 11, Remarks, to provide any information deemed necessary to support/explain the numbers provided on the FR. |  |
| <b>Federal Cash</b>                                  |   |  |
| 10a  | Cash Receipts   | Enter the cumulative amount of actual cash received from the DOL/ETA grant as of the reporting period end date. Cash receipts are reflected in the total amount of grant funds drawn down from the Payment Management System. (PMS)  |
| 10b  | Cash Disbursements  | Enter the cumulative amount of DOL/ETA grant fund disbursements (e.g., cash, checks) as of the reporting period end date. Disbursements are the sum of actual cash disbursements for direct charges for goods and services, the amount of indirect expenses charged to the award, and the amount of cash advances and payments made to subrecipients and subcontractors.   |
| 10c  | Cash On Hand (Line 10a<br>minus Line 10b)   | Enter the amount of Line 10a minus Line 10b. This amount should represent immediate cash needs. If any drawdown was made prematurely or there are other reasons for any excess cash on hand, provide an explanation on Line 11, Remarks.   |
| <b>Federal Expenditures and Unobligated Balance:</b> |   |  |
| 10d  | Total Federal Funds<br>Authorized   | Enter the total amount of DOL/ETA grant funds authorized as of the reporting period end date.  |
| 10e  | Federal Share of<br>Expenditures  | Enter the cumulative amount of accrued expenditures from DOL/ETA grant funds. Accrued expenditures are the sum of actual cash disbursements for direct charges for goods and services; the amount of indirect expenses charged to the award; and the amount of cash advances and payments made to subrecipients and subcontractors MINUS any rebates, refunds, or other credits. Accrued expenditures also include the total costs of all goods and property received or services performed, |

| FFR Number              | Reporting Item   | Instructions   |
|-------------------------|--|--|
|                         |  | whether or not a cash payment has occurred. Accrued expenditures are recorded in the reporting quarter in which they occur, regardless of when the related cash receipts and disbursements take place.   |
| 10f                     | Total Administrative Expenditures                              | Enter the cumulative amount of accrued expenditures for administrative activities. Administrative activities are necessary and reasonable costs (direct and indirect) which are not related to the direct provision of services to participants, but to overall general administrative functions. Consult your program/grant regulations for specific definitions and limitations on administrative costs. (This is a portion of the amount reported on Line 10e.)   |
| 10g                     | Federal Share of Unliquidated Obligations                      | <p>Unliquidated obligations reflect any obligation that has not been reported as an accrued expenditure or for which a cash disbursement has not yet occurred as of the reporting period end date. Enter the DOL/ETA grant funds portion of unliquidated obligations which includes direct and indirect expenditures incurred but not yet paid or charged to the award, including amounts due to subrecipients and subcontractors. On the final report, this line should be zero.</p> <p><i>Do not include any amount in Line 10g that has been reported in Line 10e or Line 10f. Do not include any amount in Line 10g for a future commitment of funds (e.g., long-term contract) for which an obligation/accrual has not been incurred.</i></p> |
| 10h                     | Total Federal Share (Sum of Lines 10e and 10g)                 | Enter the sum of Lines 10e and 10g.  |
| 10i                     | Unobligated Balance of Federal funds (Line 10d minus Line 10h) | Enter the amount of Line 10d minus Line 10h.   |
| <b>Recipient Share:</b> |  |  |
| 10j                     | Total Recipient Share Required                                 | If your DOL/ETA program/grant includes a required matching amount of funds, enter the total required match amount for the project/grant period. The required recipient share to be provided includes all matching funds provided by recipients and third-party providers to meet the level required by the DOL/ETA. This amount should not include any match funds in excess of the amount required by DOL/ETA (e.g., cost overruns for which the recipient incurs additional expenses and, therefore, contributes a greater level match than the level required by DOL/ETA). If your program/grant does not have a required match, enter zero.  |
| 10k                     | Recipient Share of Expenditures                                | Recipient share refers to any non-DOL/ETA funds, including any required matching funds, expended for the purposes or activities of the project or program. Enter the total amount of actual disbursements or accrued expenditures (less any rebates, refunds, or other credits) including payments to subrecipients and subcontractors from non-DOL/ETA funds only. This amount may include the value of allowable in-kind match contributions and any non-DOL/ETA sources of program income.  |
| 10l                     | Recipient Share of Unliquidated Obligations                    | Unliquidated obligations reflect any obligations that has not been reported as an accrued expenditure or for which a disbursement has not occurred as  |

| FFR Number   | Reporting Item  | Instructions   |
|--|---|--|
|  |   | of the reporting period end date. Enter the portion of unliquidated obligations which includes direct and indirect expenses incurred but not yet paid, including amounts due to subrecipients and subcontractors from non-DOL/ETA funds only.<br><i>Do not include any amount in Line 10l that has been reported in Line 10k. Do not include any amount in Line 10l for a future commitment of funds (e.g., long-term contract) for which an obligation/accrual has not been incurred.</i> |
| 10m  | Total Recipient Share (sum of Lines 10k and 10l)                    | Enter the sum of Lines 10k and 10l.<br>Note: Recipient share may exceed the required match amount as stated in Line 10j.   |
| 10n  | Remaining Recipient Share to be Provided (Line 10j minus Line 10m)  | Enter the amount of Line 10j minus Line 10m. If recipient share in Line 10m is greater than the required match amount in Line 10j, enter zero.   |
| <b>Program Income:</b>                             |   |  |
| 10o  | Total Federal Program Income Earned                                 | Enter the total amount of program income earned by the recipient directly generated as a result of allowable and supported activities of the DOL/ETA program/grant. If no program income is earned during the project/grant period, enter zero for this line item and section.   |
| 10p  | Program Income Expended in Accordance With the Addition Alternative | Enter the total amount of program income that is expended to further or continue any allowable project or program activities of the DOL/ETA grant.   |
| 10q  | Unexpended Program Income (Line 10o minus Line 10p)                 | Enter the amount of Line 10o minus Line 10p. This is the amount of program income that has been earned but not expended, as of the reporting period end date.  |
| <b>Additional Expenditure Data Required</b>        |   |  |
| 11a  | Other Federal Funds Expended  | Enter other Federal funds expended for the same purpose for which subject grant was awarded.   |
| 11b  | Real Property Proceeds Expended                                     | Enter expenditures resulting from the sale of real property purchased with ETA (ES or UI) funds.   |
| <b>Remarks, Certification, and Agency Use Only</b> |   |  |
| 12   | Remarks   | Enter any explanations deemed necessary or information required by DOL/ETA.  |
| 13a  | Typed or Printed Name and Title Of Authorized Certifying Official   | Enter the name and title of the authorized certifying official.  |
| 13b  | Signature of Authorized Certifying Official                         | The authorized certifying official must sign here.   |
| 13c  | Telephone (Area Code, Number and Extension)                         | Enter the telephone number (including area code and extension) of individual listed in Line 12a.   |
| 13d  | Email Address   | Enter the email address of the individual listed in Line 12a.  |
| 13e  | Date Report Submitted (Month, Day, Year)                            | Enter the date the FR is submitted to DOL/ETA in the format of month, day, year.   |
| 14   | Agency Use Only   | This section is reserved for DOL/ETA use.  |