

U.S. DEPARTMENT OF LABOR
EMPLOYMENT AND TRAINING ADMINISTRATION

GRANT / AGREEMENT
NOTIFICATION OF
AWARD/OBLIGATION

Under the authority of the *Workforce Investment Act*, this grant or agreement is entered into between the above named *Grantor Agency* and the following named *Awardee*, for a project entitled - *Maui Community College- Remote Rural Hawaii Job Training and Education Opportunities*.

Name & Address of Awardee:
UNIVERSITY OF HAWAII - MAUI COMMUNITY COLLEGE
2530 Dole Street
Honolulu, HAWAII 96822

Agreement #: EA-18820-09-60-A-15
CFDA #: 17.261
Accounting Code: Mod Amount:
A300-LKB9-4123-5PR03-000 \$3,257,087.00
EIN: 996000354
DUNS #: 965088057

The Period of Performance shall be from **May 01, 2009 thru April 30, 2011**.
Total Government's Financial Obligation is **\$3,257,087.00** (unless other wise amended).
Payments will be made under the Payments Management System, and can be automatically drawn down by the awardee on an as needed basis covering a forty-eight (48) hour period.
In performing its responsibilities under this grant agreement, the awardee hereby certifies and assures that it will fully comply with the following regulations and cost principles, including any subsequent amendments:

Uniform Administrative Requirements:

29 CFR Part 97, for State/Local Governments and Indian Tribes; OR
29 CFR Part 95, for Institutions of Higher Education, Hospitals and other Non-Profit Organizations and Commercial Organizations.

Cost Principles:

OMB Circular A-87, for State/Local Governments and Indian Tribes;
OMB Circular A-21, for Institutions of Higher Education; OR
OMB Circular A-122, for Non-Profit Organizations.
48 CFR Part 31.

Other Requirements (As Applicable):

29 CFR Part 96 and 99, Single Audit Act
29 CFR Part 93, Lobbying Certification
29 CFR Part 37, Nondiscrimination and Equal Opportunity Requirements
29 CFR Part 98, Debarment and Suspension; Drug Free Workplace
20 CFR Part 652 et al., Workforce Investment Act
Wagner-Peyser Act
Grant Award Document, Parts I through IV, and attachments.

90-day indirect

The awardee's signature below certifies full compliance with all terms and conditions as well as the above stated grant regulations and certifications, and that this document has not been altered.

Signature of Approving Official - **AWARDEE**

Signature of Approving Official - **DOL / ETA**

DATE OF ACCEPTANCE

DATE OF EXECUTION

AUTHORIZED SIGNATURE FOR AWARDEE

SIGNATURE OF GRANT OFFICER

(TYPED NAME AND TITLE)

B. JAI JOHNSON
(TYPED NAME AND TITLE)

B. Jai Johnson

U.S. Department of Labor

Employment and Training Administration
200 Constitution Avenue, N.W.
Washington, D.C. 20210



MAY 13 2009

In Reply Refer to:
EA-18820-09-60
Base

Ms. Barbara Hundtoft
Contracts Specialist, UH Office
Of Research Services
University of Hawaii
2530 Dole Street Sakaaki Hall, D-200
Honolulu, Hawaii 96822

415820-09-60
09 MAY 14 7:25:4

Dear Ms. Hundtoft:

The U.S. Department of Labor (DOL) is pleased to transmit herewith copies of the proposed grant or agreement between your organization and the Employment and Training Administration (ETA) under the Workforce Investment Act (WIA). The enclosed documents do not constitute a legal award until they have been executed by a duly-appointed U.S. Department of Labor Grant Officer. Therefore, no disclosure should be made of this proposed award to any outside source.

Please read the enclosed documents carefully. Also, if you wish to take exception to any part of the award, please do not alter the documents, as this will create considerable delay. We recommend that all exceptions be explained in your letter returning the signed documents. Also, be sure to provide the information requested in Part III - Assurances and Certifications. Four (4) copies of the award documents are enclosed. Please have an authorized officer of your organization ink-sign and return three (3) copies (original plus 2) of the proposed award via overnight mail to arrive at the below address within ten days.

U.S. Department of Labor/ETA/OFAM
Division of Federal Assistance
Attn: Ms. Jeannette Flowers
200 Constitution Avenue, NW, Rm. N-4673
Washington, D.C. 20210

When this proposed award is fully executed we will return a completed copy for your files. Any questions regarding the enclosed documents should be directed to the above referenced Grants Management Specialist at (202) 693-3322, and refer to your specific grant or agreement number as assigned.

Sincerely,

B. Jai Johnson

Grant Officer

Enclosures

CHECKLIST FOR GRANTEES

- 1) IRS Status Form *(if applicable)*
- 2) 501(c)3 Status *(if applicable)*
- 3) Articles of Incorporation *(if applicable)*
- 4) Indirect Cost Rate Agreement *(You submitted paperwork reflecting indirect cost covering 2008. We need an updated copy of your indirect cost rate agreement before you can charge indirect on a 90 day temporary rate. Please do not charge any indirect cost to this grant; if you charge cost, they will be disallowed.)*
- 5) Cost Allocation Plan
- 6) DUNS Number - needed, if applicable

Please return the above checked item(s), if applicable, with the signed grant copies or send under separate cover to:

B. Jai Johnson

Grant Officer

U.S. Department of Labor/ETA

200 Constitution Ave., N.W., Room N-4673

Washington, D.C. 20210

202-693-3296

Johnson.bjai@dol.gov

Thank you.

From: Origin ID: TSGA (202) 693-3322
Jeanette Flowers
USDOLETA
200 Constitution Avenue N.W
Washington, DC 20210



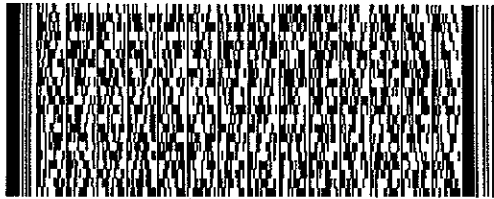
Ship Date: 13MAY09
Act/Wgt: 1.0 LB
CAD: 1034612/INET9011
Account#: S *****

Delivery Address Bar Code



SHIP TO: (808) 984-3389 BILL SENDER
Barbara Hundtoft
University of Hawaii
2530 Dole Street
Sakamaki Hall D-200
Honolulu, HI 96822

Ref #
Invoice #
PO #
Dept #

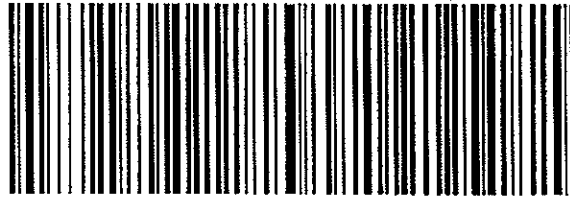


TRK# 7966 0428 3032
0201

THU - 14MAY PM
PRIORITY OVERNIGHT

XH HIKA

96822
HI-US
HNL



After printing this label:

1. Use the 'Print' button on this page to print your label to your laser or inkjet printer.
2. Fold the printed page along the horizontal line.
3. Place label in shipping pouch and affix it to your shipment so that the barcode portion of the label can be read and scanned.

Warning: Use only the printed original label for shipping. Using a photocopy of this label for shipping purposes is fraudulent and could result in additional billing charges, along with the cancellation of your FedEx account number.

Use of this system constitutes your agreement to the service conditions in the current FedEx Service Guide, available on fedex.com. FedEx will not be responsible for any claim in excess of \$100 per package, whether the result of loss, damage, delay, non-delivery, misdelivery, or misinformation, unless you declare a higher value, pay an additional charge, document your actual loss and file a timely claim. Limitations found in the current FedEx Service Guide apply. Your right to recover from FedEx for any loss, including intrinsic value of the package, loss of sales, income interest, profit, attorney's fees, costs, and other forms of damage whether direct, incidental, consequential, or special is limited to the greater of \$100 or the authorized declared value. Recovery cannot exceed actual documented loss. Maximum for items of extraordinary value is \$500, e.g. jewelry, precious metals, negotiable instruments and other items listed in our Service Guide. Written claims must be filed within strict time limits, see current FedEx Service Guide.

What Workforce Investment Act Title I Functions and Activities Constitute the Costs of Administration Subject to Administrative Cost Limit?

Costs of administration are that allocable portion of necessary and reasonable allowable costs of...

- State and local *Workforce Investment Boards*
 - *Direct recipients* including:
 - State grant recipients
 - Local grant recipients
 - One-stop operators
 - Local grant subrecipient - 117(d)(3)(b)(i)(II)
 - Local fiscal agents - 117(d)(3)(b)(i)(II)
- ...associated with the major functions.

These costs:

- Are not related to the direct provision of workforce investment services, including services to participants and employers
- Can be personnel
- Can be non-personnel
- Can be direct
- Can be indirect

ADMINISTRATIVE COSTS

■ General administrative functions and coordination of functions:

- accounting
- audit resolution
- audits
- budgeting
- financial and cash management
- general legal services functions
- incident report resolution
- information system development (see ■)
- investigation resolution
- payroll functions
- personnel management
- procurement
- property management
- purchasing
- review resolution
- development of systems and procedures for administrative functions

■ Oversight and monitoring related to WIA Administrative functions

■ Costs of goods and services required for administrative functions of the program, including goods and services such as:

- office supplies
- postage
- rental and maintenance of office space
- rental or purchase of equipment
- utilities

■ Travel costs incurred for official business in carrying out administrative activities or the overall management of the WIA system

■ Costs of information systems related to administrative functions. For example:

- personnel
- procurement
- purchasing
- property management
- accounting and payroll systems, including the purchase, systems development and operating costs of such systems.

■ Awards to subrecipients or vendors that are solely for the performance of administrative functions.

PART II

BUDGET INFORMATION

BUDGET INFORMATION - Non-Construction Programs

		SECTION A: BUDGET SUMMARY				New or Revised Budget	
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		Federal		Total (g)	
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)		
1. Cong. Earmark 2008	17-261	\$	\$	\$ 3,257,087.00	\$	\$ 3,257,087.00	
2.						0.00	
3.						0.00	
4.						0.00	
5. Totals		\$ 0.00	\$ 0.00	\$ 3,257,087.00	\$ 0.00	\$ 3,257,087.00	
SECTION B: BUDGET CATEGORIES							
6. Object Class Categories		(1)	(2)	(3)	(4)	(5)	Total (6)
a. Personnel		\$ 1,073,277.00	\$	\$	\$	\$	\$ 1,073,277.00
b. Fringe Benefits		326,068.00					326,068.00
c. Travel		26,973.00					26,973.00
d. Equipment		532,845.00					532,845.00
e. Supplies		238,346.00					238,346.00
f. Contractual		19,000.00					19,000.00
g. Construction							0.00
h. Other		571,653.00					571,653.00
i. Total Direct Charges (sum of 6a-6h)		2,788,162.00	0.00	0.00	0.00	0.00	2,788,162.00
j. Indirect Charges		468,925.00					468,925.00
k. TOTALS (sum of 6i and 6j)		\$ 3,257,087.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 3,257,087.00
7. Program Income							
		\$	\$	\$	\$	\$	\$ 0.00

Standard Form 424A (Rev. 7-97)
Prescribed by OMB Circular A-102

Authorized for Local Reproduction

SF-424 Budget Information – Non-Construction Programs (page 2)

SECTION C - NON-FEDERAL RESOURCES		SECTION D - FORECASTED CASH NEEDS				SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT			
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS					
				Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	
8.		\$	\$						
9.									
10.									
11.									
12. TOTAL (sum of lines 8-11)		\$	\$						
SECTION D - FORECASTED CASH NEEDS									
13. Federal		\$	\$						
14. Non-Federal									
15. TOTAL (sum of lines 13 and 14)		\$	\$						
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT									
(a) Grant Program					(b) First	(c) Second	(d) Third	(e) Fourth	
16.		\$	\$						
17.									
18.									
19.									
20. TOTAL (sum of lines 16-19)		\$	\$						
SECTION F - OTHER BUDGET INFORMATION									
21. Direct Charges:									
22. Indirect Charges:									
23. Remarks:									

STATEWIDE PROJECTS

	Oversight - Project Management	Distance Learning	Sustainable Sciences BA Degree	Applied Engineering Technology BA Degree	Shipyard Project	Total Projects	Total - Inc Management
1. Personnel	253,953	0	55,001	12,000	0	67,001	320,954
2. Fringe Benefits	76,115	0	21,759	282	0	22,041	98,156
3. Travel	10,100	0	0	0	0	0	10,100
4. Equipment No Indirect Costs	0	387,000	0	50,000	0	437,000	437,000
5. Supplies	7,080	21,910	2,498	12,138	0	36,546	43,626
6. Contractual IDC on 1st \$25,000 of any contract	0	0	0	0	0	0	0
7. Other	3,500	0	0	16,498	250,000	266,498	269,998
8. Total Direct Costs Lines 1 - 7	350,748	408,910	79,258	90,918	250,000	829,086	1,179,834
9. Indirect Costs Negotiated Rate = 27.1%	95,053	5,938	21,479	11,090	0	38,507	133,560
10. Training Costs / Stipends No Indirect Costs	0	0	0	0	0	0	0
Total Funds Requested Lines 8 - 10	445,801	414,848	100,737	102,008	250,000	867,593	1,313,394

Budget 1

Oahu Personnel
Worksheet

Total Salary Charge to Grant	Admin %	Program %	Fringe Rate	Admin Fringe	Admin Charge	Program Fringe	Program Charge	Total Fringe Personnel	Total Personnel
0	0%	100%	29.97%	0	0	0	0	0	0
0	0%	100%	29.97%	0	0	0	0	0	0
0	0%	100%	29.97%	0	0	0	0	0	0
0	0%	100%	29.97%	0	0	0	0	0	0
Subtotal MGMT									
0	0%	100%	29.97%	0	0	0	0	0	0
0	0%	100%	29.97%	0	0	0	0	0	0
Subtotal RCUH									

Oahu Island Administrative Costs

Personnel	0
Fringe	0
Travel	0
Equipment	0
Supplies	0
Other	0
Total	0

OAHU Island Projects

	Medical Assistant	Nursing Aide	Total
1. Personnel	0	0	0
2. Fringe Benefits	0	0	0
3. Travel	0	0	0
4. Equipment No Indirect Costs	0	0	0
5. Supplies	0	0	0
6. Contractual IDC on 1st \$25,000 of any contract	0	0	0
7. Other	150,000	100,000	250,000
8. Total Direct Costs Lines 1 - 7	150,000	100,000	250,000
9. Indirect Costs Negotiated Rate = 27.1%	0	0	0
10. Training Costs / Stipends No Indirect Costs	0	0	0
Total Funds Requested Lines 8 - 10	150,000	100,000	250,000

Molokai Personnel
Worksheet

	Total Salary Charge to Grant	Admin %	Program %	Fringe Rate	Admin Fringe	Admin Salary	Program Fringe	Program Charge	Total Fringe	Total Personnel
Malia Akutagawa	42,672	10%	90%	29.97%	1,279	4,267	11,510	38,405	12,789	42,672
Program Support	30,548	0%	100%	29.97%	0	0	9,156	30,548	9,156	30,548
Subtotal MGMT	73,220				1,279	4,267	20,666	68,953	21,945	73,220
ITAC Instructor	4,055	0%	100%	10.00%	0	0	406	4,055	406	4,055
ITAC Instructor	4,055	0%	100%	10.00%	0	0	406	4,055	406	4,055
ITAC Instructor	4,055	0%	100%	10.00%	0	0	406	4,055	406	4,055
ITAC Instructor	4,055	0%	100%	10.00%	0	0	406	4,055	406	4,055
ITAC Instructor	4,055	0%	100%	10.00%	0	0	406	4,055	406	4,055
Subtotal	20,275				0	0	2,030	20,275	2,030	20,275
Total	93,495				1,279	4,267	22,696	89,228	23,975	93,495

Molokai Island Administrative Costs

Personnel	4,267
Fringe	1,279
Travel	0
Equipment	0
Supplies (7.4%)	370
Other (7.4%)	216
Total	6,132

Administrative Cost Summary

Double Check - Not for calculation of charges

	Direct	IDC Admin	Total
State Management	63,617	46,291	109,908
State Projects	0	18,753	18,753
Hawaii	12,642	45,100	57,742
Kauai	10,489	36,283	46,772
Lanai	7,427	19,249	26,676
Maui	6,544	39,682	46,226
Molokai	6,132	23,009	29,141
Oahu	0	0	0
Total	106,851	228,367	335,218

Indirect Cost Charged - Total	468,925
Minus Program Portion - 51.3%	-240,558
Total IDC Admin - 48.7%	228,367
Project Admin	106,851
Total Administrative Costs	335,218
Percentage of Grant	10.3%

UH Reviewed Indirect Cost Split:

Total Rate	27.1
Program	13.9
Admin	13.2
Percent Program	51.3
Percent Admin	48.7

Administrative Costs: (Based on our request for a 15% administrative cost limit)

Overall administrative costs for this grant shall not exceed 15% of the total award allocation or \$488,563. The administrative services charged to this grant will include those personnel and non-personnel costs not directly associated with services to participants, e.g., overall management costs, budgeting, procurement, and personnel costs. These costs will be tracked (via coded timesheets and invoices) and contained to within the Federal 15% administrative cost limitation. As the bulk of the Management's activities will directly benefit participants of the Remote Rural Hawaii Job Training and Educational Opportunities grant, we do not anticipate exceeding the administrative cap.

PART III

ASSURANCES / CERTIFICATIONS

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 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 (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

<p>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Completed on submission to Grants.gov</p>	<p>* TITLE</p> <p><input type="text"/></p>
<p>* APPLICANT ORGANIZATION</p> <p><input type="text"/></p>	<p>* DATE SUBMITTED</p> <p>Completed on submission to Grants.gov</p>

Lobbying Certification (29 CFR Part 93)

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal Action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number, grant announcement number, the contract, grant, or loan award number, the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10.
 - (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.
 - (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (Item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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 (0348-0046), Washington, D.C. 20503.

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(see reverse for public burden disclosure)

<p>1. Type of Federal Action:</p> <p>a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p>a. bid/offer/application b. initial award c. post-award</p>	<p>3. Report Type:</p> <p>a. initial filing b. material change For Material Change Only: year _____ quarter _____ date of last report _____</p>
<p>4. Name and Address of Reporting Entity: ___ Prime ___ Subawardee Tier _____, if known:</p> <p style="text-align: center;">Congressional District, if known:</p>	<p>5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:</p> <p style="text-align: center;">Congressional District, if known:</p>	
<p>6. Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p style="text-align: center;">CFDA Number, if applicable: .</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known: \$</p>	
<p>10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI):</p> <p style="text-align: center;">(Attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>	<p>b. Individual's Performing Services (including address if different from No. 10a) (last name, first name, MI):</p> <p style="text-align: center;">(Attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>	
<p>11. Amount of Payment (check all that apply):</p> <p>___ actual ___ planned \$</p> <p>12. Form of Payment (check all that apply):</p> <p>___ a. cash ___ b. in-kind; specify: nature _____ value _____</p>	<p>13. Type of Payment (check all that apply):</p> <p>___ a. retainer ___ b. one-time fee ___ c. commission ___ d. contingent fee ___ e. deferred ___ f. other, specify: _____</p>	
<p>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in item 11:</p> <p style="text-align: center;">(attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>		
<p>15. Continuation Sheet(s) SF-LLL-A attached: ___ YES ___ NO</p>		
<p>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>		<p>Signature _____ Print Name: _____ Title: _____ Telephone Number: _____ Date: _____</p>

DISCLOSURE OF LOBBYING ACTIVITIES
(Continuation Sheet)

Reporting Entity:

Page ____ Page

PART IV

SPECIAL CLAUSES AND CONDITIONS

Should there be any inconsistency between these Clauses /
Conditions and the Awardee's proposal, these Clauses /
Conditions shall govern.

PART IV - SPECIAL CLAUSES

Clause #1:- BUDGET LINE ITEM FLEXIBILITY

- < Flexibility is allowed within the grant budget (*except wages, salaries and fringe benefits*), provided no *single line item* is increased or decreased by more than **20%**. Changes in excess of 20% and any changes in wages, salaries and fringe benefits, and indirect cost rates **MUST receive** prior written approval from the Grant Officer.
- < Any changes in mix or match within the wages and salaries line **does not** require a grant modification. However, these changes must be reviewed by your assigned DOL Federal Project Officer (FPO) prior to implementing these changes. Failure to obtain such prior written approval may result in cost disallowance.

Clause #2: - INDIRECT COST RATE AND COST ALLOCATION PLAN

This clause is applicable to all awardees receiving funds from multiple sources. Organizations receiving funds from only one source do not need an approved indirect cost rate (ICR) or cost allocation plan (CAP).

Mark the appropriate clause for your organization and fill in the blanks, as appropriate:

A. A current approved CAP or ICR agreement dated May 5, 2009 has been provided and approved by Department of Health and Human Services (Federal Cognizant agency - *Copy Attached*).

Regarding only the ICR agreement, please provide the following:

- a) Indirect Rate approved 27.1 %
- b) Type of Indirect Cost Rate (Provisional/Fixed) Provisional
- c) Allocation Base Please see the Indirect Cost Rate Agreement in the Official Grant File.
- d) Current period applicable to rate FY2007-FY2009

B. No CAP or ICR agreement has been approved by a Federal Agency.

Note:

Regarding "B", a Temporary Billing Rate of _____ % or amount of \$ _____ has been approved for the first **90 days** of the grant period. This rate is based on the fact that your organization has not established an ICR agreement or approved CAP.

Within this 90-day period, you **must** submit an acceptable indirect cost proposal or CAP to your Federal cognizant agency¹ to obtain a provisional indirect rate or a CAP approval. **Failure on your part to submit an indirect cost proposal within this 90 day period means that you shall not receive further reimbursement for your billing rate.**

If DOL is your Federal cognizant agency, proposals shall be sent to the appropriate office in the DOL's Division of Cost Determination (see detailed list attached).

¹ Providing preponderance of Federal funds to the organization.

Ceiling Indirect Rates or Ceiling Amounts (applicable to A or B above):

An Indirect Cost ceiling either in the amount of \$ 468,925, or a rate of _____% based on Please see the Indirect Cost Rate Agreement in the Official Grant File, as the indirect cost allocation base², has been applied under this agreement based on the grantee's budget or written documentation received.

The total amount of DOL's financial obligation under this award **will not be** increased to reimburse awardee organizations for higher negotiated indirect cost rates than those rates or amounts identified in this clause.

Note:

A ceiling rate or dollar amount does not exclude your organization from the responsibility of submitting an indirect cost rate for approval.

² For example: direct salaries, direct salaries and fringes, total direct costs, etc.

**DIVISION OF COST DETERMINATION, USDOL
LISTING OF ADDRESSES AND TELEPHONES**

As of November 3, 2004

A. NATIONAL OFFICE

Address:	200 Constitution Ave., N.W., Room S-1513-A Washington, D.C. 20210	
Main office number:	(202) 693-4100	
Fax:	(202) 693-4099	
Chief:	Victor M. Lopez e-mail address: lopez.victor@dol.gov (202) 693-4106	<u>States Covered</u>
Cost Negotiators:	Casimer Carros e-mail address: carros.casimer@dol.gov (202) 693-4107	Washington, DC area
	Melanie Inguillo e-mail address: inguillo.melanie@dol.gov (202) 693-4104	Washington, DC area
	Damon Tomchick e-mail address: tomchick.damon@dol.gov (202) 693-4105	Washington, DC area

B. LISTING OF REGIONAL COST NEGOTIATORS

<i>Region</i>	<i>Address</i>	<i>States Covered</i>
I, II, & III	Cost Negotiator: Stephen Cosminski e-mail address: cosminski.stephen@dol.gov P.O. Box 509 Perkasie, PA 18944 Tel: (215) 257-8712 Fax: (215) 257-8994	Connecticut, Maine, Massachusetts, New Hampshire, Vermont, Rhode Island, New York, New Jersey, Pennsylvania, Puerto Rico, Delaware, Maryland, Virginia, West Virginia, Virgin Islands
IV	Cost Negotiator: Philip Zahnd e-mail address: zahnd.phil@dol.gov 111 Zahnd Way Florence, Alabama 35634	Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee

Tel: (256) 272-0075
Fax: (256) 272-0085

V & VII

Cost Negotiator: Ronald Goolsby
e-mail address: goolsby.Ronald@dol.gov

230 South Dearborn Street
10th Floor
Chicago, Illinois 60604-1505

Tel: (312) 886-5247
Fax: (312) 353-0127

Illinois, Indiana, Iowa, Kansas, Michigan,
Minnesota, Missouri, North Dakota, South
Dakota, Nebraska, Ohio, and Wisconsin

VI

Cost Negotiator: Carol McKone
e-mail address: mckone.carol@dol.gov

P.O. Box 821067
Ft. Worth, Texas 76182

Tel: (817) 281-1503
Fax: (817) 281-1530

Arkansas, Louisiana, Kentucky, Oklahoma
Texas, Colorado, Nevada, Arizona,
Wyoming & New Mexico

VIII & X

Cost Negotiator: Arthur Campbell
e-mail address: campbell.arthur@dol.gov

P.O. Box 3433
Renton, WA 98056

Tel: (425) 271-3848
Fax: (425) 271-5295

Alaska, Idaho, Oregon, Washington,
Montana, Utah, California, & Hawaii

PART IV - SPECIAL CONDITIONS

1. **Federal Project Officer:** The DOL/ETA Federal Project Officer (FPO) for this grant/agreement is:

THOU NY

U.S. Department of Labor/ETA

907TH Street, Suite 17-300

San Francisco, CA 94103

415)625-7953

e-mail: ny.thou@dol.gov

The FPO is not authorized to change any of the terms or conditions of the grant/agreement. Such changes, if any, will be accomplished by the Grant Officer by the use of a properly executed grant/agreement modification.

2. **Equipment:** Awardees must receive *prior approval* from the DOL/ETA *Grant Officer* for the purchase and/or lease of any equipment with a *per unit acquisition cost of \$5,000 or more, and a useful life of more than one year*. This includes the purchases of ADP equipment. The grant award *does not* give approval for equipment even if it is specified in a grantee's statement of work unless specifically approved in the grant award execution letter by the Grant Officer. If not, awardee must submit a detailed description list to the FPO for review within 30 days of the grant/agreement award date. Failure to do so will necessitate the need for approval of equipment purchase on an individual basis.
3. **Program Income:** The awardee is authorized to utilize the addition method if any *Program Income* is generated throughout the duration of this grant/ agreement. The awardee is allowed to deduct costs incidental to generating Program Income to arrive at a net Program Income [29 CFR Part 95.24©]; or [29 CFR Part 97.25©(g)(2)].
4. **Pre-Award:** The awardee hereby agrees that any allowable costs incurred by the awardee pursuant to this grant/agreement, prior to the obligation of funds by the Department are *incurred at the awardee's own risk*.

5. **Reports:**

(A) Pursuant to Training and Employment Notice (TEN) 12-07, Implementation of New OMB Approved Form ETA 9130, U.S. DOL ETA FINANCIAL REPORT, dated October 1, 2007, all ETA grantees are required to report quarterly financial data on the ETA 9130, beginning with the quarter ending September 30, 2007. (From the September 30, 2007 reporting quarter and forward, previously required financial reporting forms, including the Standard Form 269, are no longer accepted by ETA.) The ETA on-line reporting system has been modified to accommodate the ETA 9130 required data elements, which include a new Federal cash section. Expenditures are required to be reported on an accrual basis, cumulative from the beginning of the life of a grant, through the end of each reporting period. Upon receipt of an ETA award, grantees will receive instructions for accessing both the on-line financial reporting system and the HHS Payment Management System. Copies of the ETA 9130 and detailed reporting instructions are available at www.doleta.gov/grants. The ETA Basic reporting format is applicable for the WIA Incentive grants.

Grantees are no longer required to submit the SF-272, Federal Cash Transaction Report, and SF-272 (a) Federal Cash Transaction Report, Continuation Sheet, provided the grantee files the SF- 272 (e) electronic report in accordance with the HHS Payment Management System requirements. Grantees are required to submit a brief narrative quarterly and final report to the designated Federal Project Officer (FPO) and the Grant Officer (GO) on grant activities funded under this agreement. All reports become due no later than 45 days after the end of each reporting quarter. Reporting quarter end dates are June 30, September 30, December 31, and March 31.

(B) QUARTERLY PROGRESS REPORTS

The awardee shall submit two copies of the QUARTERLY progress reports to the FPO identified in Item #1 above not later than 30 days after the end of the calendar quarters; and FINAL progress reports not later than 90 days after all funds have been expended, or the period of grant funds availability has expired.

(C) The Final Reports must be submitted not later than 90 days

after the grant expires. **(DO NOT MAIL REPORTS DIRECTLY TO THE GRANT OFFICER).**

6. **Consults:** *Consultant fees* paid under this grant/agreement shall be limited to \$585 per day without additional DOL Grant Officer approval.
7. **Rebates:** The awardee agrees to advise the Grant Officer, in writing, of any *forthcoming* income resulting from lease/rental rebates or other rebates, interest, credits or any other monies or financial benefits to be received directly or indirectly as a result of or generated by these award dollars. Appropriate action must be taken to ensure that the Government is reimbursed proportionally from such income.
8. **Publicity:** No funds provided under this grant shall be used for publicity or propaganda purposes, for the preparation, distribution or use of any kit, pamphlet, booklet, publication, radio, television or film presentation designed to support or defeat legislation pending before the Congress, except in presentation to the Congress itself. Nor shall grant funds be used to pay the salary or expenses of any grant or agreement awardee or agent acting for such awardee, related to any activity designed to influence legislation or appropriations pending before the Congress.
9. **Public Announcements:** When issuing statements, press releases, requests for proposals, bid solicitation, and other documents describing project or programs funded in whole or in part with Federal money, *all awardees* receiving Federal funds, shall clearly state (1) the percentage of the total cost of the program or project which will be financed with Federal money, and (2) the dollar amount of Federal funds for the project or program.
10. **Executive Order 12928:** In compliance with Executive Order 12928, the Grantee is strongly encouraged to provide subcontracting/subgranting opportunities to Historically Black Colleges and Universities (HBCUs) and other Minority Institutions (MIs) such as Hispanic Serving Institutions and Tribal Colleges and Universities; and to Small Businesses Owned and Controlled by Socially and Economically Disadvantaged Individuals (SDBs).

11. **Procurement:** Except as specifically provided, DOL/ETA acceptance of a proposal and an award of federal funds to sponsor any program(s) ***does not*** provide a waiver of any grant requirements and/or procedures. For example, the OMB circulars require an entity's procurement procedures must require that ***all procurement transactions*** shall be conducted, as practical, to provide open and free competition. If a proposal identifies a specific entity to provide the services, the DOL/ETA's award ***does not*** provide the justification or basis to sole-source the procurement, i.e., avoids competition.

12. **Veteran's Priority Provisions:** This program, funded by the U.S. Department of Labor is subject to the provisions of the "Jobs for Veterans Act" (JVA), Public Law 107-288 (38 USC 4215). The JVA provides priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services. Please note that to obtain priority service: a veteran must meet the program's eligibility requirements. Training and Employment Guidance Letter (TEGL) No. 5-03 (September 16, 2003) provided general guidance on the scope of the veterans priority statute and its effect on current employment and training programs. In addition to the TEGL, a series of questions and answers related to priority of service is posted at <http://www.doleta.gov/programs/VETs> for fifteen (15) programs administered by the Employment and Training Administration (ETA). The Planning Guidance and Instructions for Submission of Two Years of the Strategic Five-Year State Plan for Title I of the Workforce Investment Act of 1998 and the Wagner-Peyser Act, issued at 70 FR 19206 (April 12, 2005), required states to describe the policies and strategies in place to ensure, pursuant to the Jobs for Veterans Act that priority of service is provided to veterans (and certain spouses) who otherwise meet the eligibility requirements for all employment and training programs funded by the U.S. Department of Labor and administered by ETA. In addition, the states were required to provide assurances that they will comply with the Veterans' Priority Provisions established by the Jobs for Veterans Act (38 USC 4215). If the grantee is a state, then the state is bound by their approved state plans.

13. **Audits:** Will cause to be performed the required financial and

compliance audits in accordance with the Single Audit Act of 1984.

14. **Salary and Bonus Limitations:** In compliance with Public Law 109-234, none of the funds appropriated in Public Law 109-149 or prior Acts under the heading 'Employment and Training' that are available for expenditure on or after June 15, 2006, shall be used by a recipient or subrecipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II, except as provided for under section 101 of Public Law 109-149. This limitation shall not apply to vendors providing goods and services as defined in OMB Circular A-133. Where States are recipients of such funds, States may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from subrecipients of such funds, taking into account factors including the relative cost-of-living in the State, the compensation levels for comparable State or local government employees, and the size of the organizations that administer Federal programs involved including Employment and Training Administration programs. See Training and Employment Guidance Letter number 5-06 for further clarification.

15. **Intellectual Property Rights:** The Federal Government reserves a paid-up, nonexclusive and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use for federal purposes: i) the copyright in all products developed under the grant, including a subgrant or contract under the grant or subgrant; and ii) any rights of copyright to which the grantee, subgrantee or a contractor purchases ownership under an award (including but not limited to curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. Federal funds may not be used to pay any royalty or licensing fee associated with such copyrighted material, although they may be used to pay costs for obtaining a copy which are limited to the developer/seller costs of copying and shipping. If revenues are generated through selling products developed with grant funds, including intellectual property, these revenues are program income. Program income is added to the grant and must be expended for allowable grant activities.

If applicable, the following needs to be on all products developed in whole or in part with grant funds:

This workforce solution was funded by a grant awarded by the U.S. Department of Labor's Employment and Training Administration. The solution was created by the grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This solution is copyrighted by the institution that created it. Internal use by an organization and/or personal use by an individual for non-commercial purposes are permissible. All other uses require the prior authorization of the copyright owner."

16. **Evaluation, Data, and Implementation:** The grantee agrees to cooperate with the U.S. Department of Labor (USDOL) in the conduct of a third-party evaluation, including providing to USDOL or its authorized contractor appropriate data and access to program operating personnel and participants in a timely manner.

Signing this award agreement or the expenditure of grant funds certifies that your organization has read the above special clauses and conditions and is in compliance.

ATTACHMENTS

***#1 - QUARTERLY FINANCIAL
STATUS
REPORT (ETA-9130)***

(To be used by Grantees previously reporting on the SF-269 - unmodified)

U.S. DOL ETA FINANCIAL REPORT

(Follow instructions on the back)

1. Federal Agency and Organizational Element Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by DOL			OMB Approval No 1205-0461 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 <input type="checkbox"/> Yes <input type="checkbox"/> No	7. Basis of Accounting <input type="checkbox"/> Accrual	
8. Project/Grant Period From: (Month, Day, Year)		To: (Month, Day, Year)	9. Reporting Period End Date (Month, Day, Year)		
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. Recipient share of unliquidated obligations					
m. Total recipient obligations (sum of lines k and l)					
Remaining recipient share to be provided (line i minus m)					
Program Income:					
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)					
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. 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 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)		

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.

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

(Basic Instructions for ETA – 9130)

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
Cover Information		
	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.
Note: Recipients are not required to change their accounting systems to		

FFR Number	Reporting Item	Instructions
		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, From: (Month, Day, Year)	Indicate the period established in the grant award document during which DOL/ETA sponsorship begins and ends. 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: (Month, Day, Year)	See the instructions immediately above for "Project/Grant Period, From: (Month, Day, Year)".
9	Reporting Period End 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	Transactions Enter cumulative amounts for each line item as of the reporting period end date. Use Line 11, Remarks, to provide any information deemed necessary to support/explain the numbers provided on the FR.	
Federal Cash		
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 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.
Federal Expenditures and Unobligated Balance:		
10d	Total Federal Funds Authorized	Enter the total amount of DOL/ETA grant funds authorized as of the reporting period end date.
10e	Federal Share of 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, whether or not a cash payment has occurred. Accrued expenditures are

FFR Number	Reporting Item	Instructions
		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.
	Unobligated Balance of Federal funds (Line 10d minus Line 10h)	Enter the amount of Line 10d minus Line 10h.
Recipient Share:		
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 of the reporting period end date. Enter the portion of unliquidated

FFR Number	Reporting Item	Instructions
		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. <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. 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.
Program Income:		
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.
I. Additional Expenditure Data Required		
11a	Other Federal funds expended	Enter other Federal funds expended for the same purpose for which subject grant was awarded.
12	Remarks	Enter any explanations deemed necessary or information required by DOL ETA.
13a-b	Certification	The authorized official certifies by entering PIN.
13c	Telephone (Area Code, Number and Extension)	Enter the telephone number (including area code and extension) of certifying individual..
13d	Email Address	Enter the email address of the certifying individual.
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.