

SECTION 3 - JTPA AGREEMENT CLOSEOUT

The SDAs must prepare a JTPA closeout package no later than October 31, 2000. Included in the package should be the following documents for each program:

- Final Closeout Transmittal Sheet (Exhibit D)
- Financial Reconciliation Worksheet (Exhibit E)
- Awardee's Release (Exhibit F)
- Assignment of Refunds, Rebates and Credits (Exhibit G)
- Property Inventory Certification (Exhibit H)
- Tax Certification (Exhibit I)
- Request of Transfer of Funds to WIA (Exhibit J)

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Exhibit D
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NEW YORK STATE DEPARTMENT OF LABOR

**Service Delivery Area Transmittal
Program Closeout Documents**

**Final Closeout
JTPA Titles II, III & IV**

TO:
NYS Department of Labor
Workforce Development & Training
Division of Employment Services
Attn: Office of Contract Review
And Expenditure Control
State Campus, Building #12, Room 425
Albany, New York 12240

FROM:
Name:
Telephone #:
SDA's Name & Address:

As required in SDA Technical Advisory # _____ dated _____, I have taken action related to the closeout of the subject JTPA Subgrants and am enclosing the required documents as follows:

Section I Check each Program operated by your SDA that is covered by this closeout. Include both Program Years 1998 and 1999.

Title IIA 77%	_____	Title III Formula/Needs	_____
Title IIC 82%	_____	Title III WA-DISC	_____
Title II 8% SED	_____	Title III WA-DISC '3-31'	_____
Title II 5% Older Worker	_____	Title III Nat'l Res	_____
Title IIB	_____	Title III DDP	_____
Title II 5% Incentive	_____	Title IV DCA	_____
Title II 5% TA	_____	TAT Funds	_____

Certification

I certify that the information contained on this and the accompanying pages, as well as my final reports per the on-line reporting system, are true and complete to the best of my knowledge. I further understand that this is a final closeout and that no additional costs may be charged against these JTPA Grants.

(Name)

(Title)

(Signature)

(Date)

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FINANCIAL RECONCILIATION WORKSHEET - JTPA

Instructions: Complete one Final Reconciliation Worksheet for **each** funding source included in this closeout package.

“Cash Received” – Enter total amount of funds received.

“Reportable Expenditures” – Determine the total expended funds by cost category. Add the total cost categories and enter the sum in the “Total” column.

“Cash on Hand” – Subtract Reportable Expenditures from Cash received. If cash received is greater than Reportable Expenditures, the balance of cash must be returned when submitting this report.

“Program Income” – Enter total funds received from program income.

“Program Income Expenditures” – Enter total program income expenditures by cost category. Enter the sum of Program Income Expenditures in the “Total” column.

“Balance of Program Income” – Subtract the Program Income Expenditures from the Program Income Received. If Program Income Received is greater than Program Income Expenditures, the balance must be identified and transferred by Funding Streams into WIA.

“Matching Funds” – Enter the total funds expended as matching costs.

“Eligible Stand-In Costs” – Enter total funds expended, by cost category, for expenditures which could be used as Stand-in costs. These costs must be eligible expenditures for the funding stream and cost category identified. Add the cost categories and enter the sum in the “Total” column.

“Obligational Authority” – Enter total available obligational authority on your current NOA.

“Unused Obligational Authority” – Subtract the total Reportable Expenditures from the total Obligational Authority. This represents the balance of unexpended funds, which will be transferred by funding source into WIA.

JTPA FINANCIAL RECONCILIATION WORKSHEET

PROGRAM YEAR _____

Title _____

<u>JTPA</u>	<u>AMOUNT</u>
1. Cash Received	
2. Reportable Expenditures	
3. Cash on Hand (Line 2 less Line 3) ¹	
4. Program Income	
5. Program Income Expenditures	
6. Balance of Program Income (Line 4 less Line 5)	
7. Matching Funds	
8. Eligible Stand-in Costs	
9. Obligational Authority	
10. Unused Obligational Authority. (Line 9 less line 2)	

¹ This amount must be returned to NYSDOL along with this closeout package.

AWARDEE'S RELEASE - JTPA PROGRAM

Pursuant to the terms of the Agreement, and in consideration of the expended and accrued sum of \$ _____, of which \$ _____ is the amount paid and \$ _____ is the amount to be paid under the said agreement hereinafter called the awardees or to its assignees, if any, the awardees upon payment of the said _____ sum by _____ hereinafter called the awarding entity does release and discharge the awarding entity its officer, agents, and employees, of and from all liabilities, obligations, claims and demands whatsoever under or arising from the said agreement except:

1. Unpaid bills in state amounts, or in estimated amounts where the exact amounts are not available, by the awardee, as follows:

Invoice Date (If Known)	Vendor	Invoice Or PO #	Funding Source	Cost Category	Amount	Expected Date of Payment

2. Claims after closeout for costs which result from liabilities under the JTPA program will not be paid after 31 December 2000, including unemployment insurance costs and workers' compensation claims.

This release has been executed this _____ day of _____, 2000.

 Signature of Authorized Official

Name: _____

Title: _____

JTPA - ASSIGNMENT OF REFUNDS, REBATES, AND CREDITS

Instructions:

Total Allotment

Amount expended under terms of the grant agreement.

Execution Date

The date on which the form is being signed.

Authorized Signature

Must be the individual who entered into the agreement on behalf of the awardee.

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ASSIGNMENT OF REFUNDS, REBATES, AND CREDITS – JTPA PROGRAM

Subrecipient's Name: _____

Street Address: _____

City, State, Zip: _____

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Pursuant to the terms of JTPA Titles II and III grants for Program Year _____ and for the total allotment of _____ and in consideration of the reimbursement of costs and payment of fee, as provided in the said grant(s) and any assignment thereunder, the _____ (hereby called by the sub-grantee), does hereby:

- 1) Assign, transfer, set over, and release to the State of New York (hereinafter called the State) all right, title and interest to all refunds, rebates, credits or other amounts (including any interest thereon) arising out of the performance of the said grant, together with all rights of action accrued or which may hereafter accrue thereunder.
- 2) Agree to take whatever action may be necessary to effect prompt collection of all such refunds, rebates, credits or other amounts (including interest thereon) due or which may become due, and to forward promptly to the New York State Department of Labor, Workforce Development and Training, Office of Contract Review and Expenditure Control, Building #12, Room 425, State Campus, Albany, New York 12240 checks (made payable to the New York State Department of Labor) for any proceeds so collected.
- 3) Agree to cooperate fully with the State as to any claim or suit in connection with such refunds, rebates, credits or other amounts due (including any interest thereon) to execute any protest, pleading, application, power of attorney or other papers in connection therewith and to permit the state to represent it at any hearing, trial or other proceeding arising out of such claim or suit.

This assignment has been executed this _____ day of _____.

(Type Name and Title)

(Signature)

CERTIFICATE

(Applicable to non-political organizations)

I, _____, **certify that I am the** _____
(Official Title)
of the corporation (PIC) named as Sub-Grantee in the foregoing assignment, that
_____ who signed said assignment on behalf of the Sub-Grantee
was then _____ of said corporation, that said assignment was
duly signed on behalf _____ of said corporation
(Official Title)
by authority of its governing body, and is within the scope of its corporate powers.

(Signature)

FINAL PROPERTY INVENTORY CERTIFICATION
(JTPA Acquired Property Only)

From:
Name: _____

Date: _____

Telephone: _____

SDA's Name & Address:

A. Agreement Without Property

_____ I hereby certify that no grantee property was furnished or acquired by the terms and conditions of this agreement.

B. Agreement With Property

_____ I hereby certify that the attached inventory listing is complete, and that it correctly describes all items of materials and equipment furnished or purchased under the terms and conditions of this award.

C. A New Agreement Has Been Approved

_____ The property on the attached inventory listing will be retained/transferred to the Local Workforce Investment Board to be used in the One-Stop in accordance with the performance of the Workforce Investment Act.

D. A New Agreement Has Not Been Approved

_____ The attached inventory listing of materials and equipment furnished or purchased under the terms and conditions of this award, will be returned within ninety (90) days of the release date of this agreement.

(Signature)

(Official Title)

TAX CERTIFICATION – JTPA PROGRAM

In the performance of JTPA Title II and III Grants, I certify that I have complied with the requirements of the law and the State Administration, State of New York, regarding the obtaining of employer identification/account numbers, collection, payment, deposit, and reporting of Federal, State and local taxes and the provision of W-2 forms to employees/enrollees who are not now my employees. For present employees/enrollees, formerly employed under this grant agreement, W-2 forms will be furnished as specified in Circular E, Employers' Tax Guide.

Name of Grantee: _____

Address: _____

Employer's State Identification Number: _____

TRANSFER OF AVAILABLE JTPA FUNDS TO WIA

Available funds from JTPA which are not spent for closeout activities must be transferred to WIA Program. These funds must be identified by Funding Source and Program Year. The following worksheet has been provided to identify the transferred funding. Once the closeout process has been completed, new NOA's will be issued transferring the funds to WIA.

Program Year 1998

Title IIA 77%

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

Title IIA 5% OW

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

IIA 5% Incentive (Adult)

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

IIC 8% (Adult)

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

Transfer to WIA – Admin & Adult		_____
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IIC 82% Youth

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

IIB Summer Youth

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

IIC 8% (Youth)

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

IIA 5% Incentive (Youth)

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____
Transfer to WIA – Admin & Youth		_____

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III EDWAA T-F

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

III WA-DISC

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

III WA-DISC '3-31'

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____
Transfer to WIA – Admin & Dislocated Worker		_____

Program Year 1999

Title IIA 77%

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

Title IIA 5% OW

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

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IIA 5% Incentive (Adult)

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

IIC 8% (Adult)

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____
Transfer to WIA – Admin & Adult		_____

IIC 82% Youth

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

IIB Summer Youth

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

IIC 8% (Youth)

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

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IIA 5% Incentive (Youth)

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____
Transfer to WIA – Admin & Youth		_____

III EDWAA T-F

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

III WA-DISC

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____

III WA-DISC ‘3-31’

Available Funds	_____	
Total Expenditures	_____	
Funds Available for Transfer		_____
Transfer to WIA – Admin & Dislocated Worker		_____