WtW Formula Grant Cumulative Quarterly Financial Status Report

U.S. Department of Labor
Employment and Training Administration

a. Name of State and Address		OMB No. 1205-0385	Expires: 06/30/99
b. Quarter end date	Column I	Column 2	Column 3
	Qtrly ___ Final ___	Qtrly ___ Final ___	Qtrly ___ Final ___
ection I. GRANT TOTAL	Grant #	Grant #	Grant #
Items:	FY 1998	FY 1999	FY 2000 (Bonus)
1. Federal Allotment (NOO)			
2. Non-Federal Match Expenditures			
3. Non-Fed In-Kind Match Exp. (50% Maximum)			
4. Federal Expenditures			
5. Federal Administrative Expenditures (15 % Max)			
6. Federal Technology Computerization Expenditures			
7. Federal Expenditures for:			
a. REQUIRED BENEFICIARIES (70% Minimum)			
b. OTHER ELIGIBLES (30% Maximum)			
8. Federal Unliquidated Obligations			
9. Federal Unobligated Funds			
Section II. Federal Special Projects (15% & Special Rule Distribution)			
10. Set aside (15%) Maximum			
11. Federal Special Rule Distribution (SDA formula ◄$100,000)			
12. Federal Expenditures			
13. Federal Administrative Expenditures			
14. Federal Technology Computerization Expenditures			
Section III. Pass Through Funds (85% less Special Rule Distribution)			
15. Allocation of Federal WtW			
16. Federal Expenditures			
17. Federal Administrative Expenditures			
18. Federal Technology Computerization Expenditures			
Section IV. Federal Expenditures by Activity			
19. Community Services			
20. Work Experience			
21. Job Creation Employment Wage Subsidies			
a. Public			
b. Private			
22. On-the-Job Training			
23. Job Readiness Services			
a. Vouchers			
b. Contracts			
24. Job Placement Services			
a. Vouchers			
b. Contracts			
25. Post-Employment Services			
a. Vouchers			
b. Contracts			
26. Job Retention Services and Support Services			
27. Individual Development Accounts			
28. Intake, Assessments, Eligibility Det. & Case Mgt.			
29. Total			
Section V. Federal Program Income			
30. State			
a. Earned			
b. Expended			
Section VI. Federal Participant Summary			
31. State			
a. Total Participants Served			
(1) Required Beneficiaries (70% of $MINIMUM)			
(2) Other Eligibles (30% of $MAXIMUM)			
b. Total Participants Terminated			
(1) Required Beneficiaries (70% of $MINIMUM)			
(2) Other Eligibles (30% of $MAXIMUM)			
32. Placed in Unsubsidized Employment			
a. Greater than or equal to 30 Hours Per Week			
b. Less than 30 Hours Per Week			
33. Employed in Unsubsidized Employment When Entering WtW			
a. Greater than or equal to 30 Hours Per Week			
b. Less than 30 Hours Per Week			
34. Placed in Subsidized Employment			
a. Greater than or equal to 30 Hours Per Week			
b. Less than 30 Hours Per Week			
35. Retained 6 months (two quarters) in Unsubsidized Employment			
36. Earnings gained in 6 months (two quarters) following Placement in Unsubsidized Employment			
a. Sum of Earnings of those Retained in 2nd Subsequent Qtr. (2nd Qtr. following Base Qtr.)			
b. Sum of Earnings of Same Group in Base Qtr.			
Section VII. Remarks			
Section VIII. Signatory Information			
rint/Type Name and Title		Date Signed	Telephone Number
gnature of Authorized Certifying Official			

Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. Respondents obligation to reply to these requirements are required to obtain or retain benefits (Social Security Act, Title IV, Sections 411(a)(3) and 403(a)(5). Public reporting burden for this collection of information is estimated to average 40 minutes-2 hrs. per response, including the 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 this burden estimate, or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Welare-to-Work, Room N-4716, Washington, D.C. 20210 (Paperwork Reduction Project 1205-0385).

REVISED
2-10-99

INSTRUCTIONS FOR REPORTING WELFARE TO WORK FORMULA GRANTS FINANCIAL DATA

GENERAL INSTRUCTIONS: The Welfare to Work (WtW) Formula Grant Cumulative Quarterly Financial Status Report provides the required data elements for the formula grant recipients to report expenditures and program income on an accrual basis. Participant summary data is also required to be reported.

The format is structured so that only one report will be required for each reporting period. For Fiscal Year (FY) 1998, only Column I will contain entries. For subsequent fiscal years, Columns II and III will contain entries, as applicable. Data reported should be cumulative by year of appropriation.

Electronic transmittal of the data requested on the attached hard copy prototype format is now available for all WtW formula grantees who have Internet accessibility and who have provided E-mail addresses to ETA. On-Line reporting instructions have been provided to the grantees with the issuance of Passwords and Personal Identification Numbers.

The first required report on the revised format should include data from inception of the grant through March 31, 1999. This data will be due to ETA no later than May 15, 1999. Subsequently, the required data is to be transmitted to Regional Offices quarterly, no later than 45 days after the end of each reporting quarter, and 90 days after the expiration of fund availability, or 90 days after all grant funds have been expended, whichever comes first. (Specifically, data for the quarter ending December 31 is due February 14, data for the quarter ending March 31 is due May 15, data for the quarter ending June 30 data is due August 15, and data for the quarter ending September 30 is due November 14.)

DETAILED INSTRUCTIONS:

ITEM a. Enter the name and address of the grant recipient.

ITEM b. Enter the end date of the quarter reported.

COLUMN I. Place an "X" by either Quarterly or Final to indicate whether data entered in Column I is cumulative through quarter identified in item b. above, or final data for the Fiscal Year 1998 award. Enter the FY 1998 Grant #. All data entered in Column I should correspond to the FY 1998 funds and Grant # identified. Adjustments to amounts entered in Column I of a previous report should be reflected in current reporting quarter, with a footnote and an explanation in Section VII., Remarks.

COLUMN II. Place an "X" by either Quarterly or Final to indicate whether data entered in Column II is cumulative through quarter identified in item b. above, or final data for the FY 1999 award. Enter the FY 1999 Grant #. All data entered in Column II should correspond to the FY 1999 funds and Grant # identified. Adjustments to amounts entered in Column II of a previous report should be reflected in current reporting quarter, with a footnote and an explanation in Section VII., Remarks.

COLUMN III. Place an "X" by either Quarterly or Final to indicate whether data entered in Column III is cumulative through quarter identified in Item b. above, or final data for the FY 2000 award. Enter the FY 2000 (bonus year) Grant #. All data entered in Column III should correspond to the FY 2000 funds and Grant # identified. Adjustments to amounts entered in Column III of a previous report should be reflected in current reporting quarter, with a footnote and an explanation in Section VII., Remarks.

SECTION I. GRANT TOTAL

ITEM 1. Federal Allotment (NOO)

The amount of the Federal WtW formula grant award will ultimately be provided by the Department of Labor on the electronic format. In the interim, States should enter the grant award amount when submitting quarterly data.

ITEM 2. Non-Federal Match Expenditures

Enter the cumulative total amount of non-federal match expenditures, including both cash and in-kind. (Entry includes the amount reported at Item 3).

ITEM 3. Non-Federal In-Kind Match Expenditures (50% Maximum)

Enter that portion of the amount entered at Item 2 which is in-kind match from third parties (entities that receive no WtW

funds). This entry should not exceed 50% of total match expenditures reported at the end of the grant.

ITEM 4. Federal Expenditures

Enter the State cumulative aggregate Federal WtW accrued expenditures for the FY of funds reported, through the end of the quarter being reported. This entry should equal the sum of Items 7.a. and 7.b., and also the sum of Items 12 and 16.

ITEM 5. Federal Administrative Expenditures (15% Maximum)

Enter the State cumulative aggregate administrative expenditures included in Item 4. (Be sure to **exclude** Federal Technology Computerization expenditures reported at Item 6.)

NOTE: At the end of the three-year life of a fiscal year of funds, or when all of a fiscal year of funds have been expended, this entry should not exceed 15 percent of the total grant award amount.

ITEM 6. Federal Technology/Computerization Expenditures

Enter the State cumulative aggregate expenditures for information technology (computer hardware or software) needed for tracking or monitoring under a WtW grant. This amount is included in Item 4. (Do not include this amount in Item 5.)

ITEM 7. Federal Expenditures for:

a. REQUIRED BENEFICIARIES

Enter the State cumulative aggregate Federal accrued expenditures for required beneficiaries. Section 403(a)(5)(C)(ii) requires that: An entity that operates a project with funds provided under this paragraph shall expend at least 70 percent of all funds provided to the project for the benefit of recipients of assistance under the program funded under this part of the State in which the entity is located, or for the benefit of noncustodial parents of minors whose custodial parent is such a recipient, who meet the requirements of subclauses (I) and (II).

b. OTHER ELIGIBLES

Enter the State cumulative aggregate Federal accrued expenditures for individuals with characteristics associated

with long-term welfare dependence. Section 403(a)(5)(C)(iii) requires that: An entity that operates a project with funds provided under this paragraph may expend not more than 30 percent of all funds provided to the project for programs that provide assistance in a form described in clause (i)- (I) and (II).

Note: The sum of Items 7.a. and 7.b. should equal Item 4.

ITEM 8. Federal Unliquidated Obligations

Enter the State cumulative aggregate Federal WtW funds that have been obligated (contracts and purchase orders) but for which services or goods have not been received. States have 90 days after the fund availability period has expired to liquidate obligations made during the period of fund availability. This amount should be zero on the final report submitted for each grant. (Obligations incurred minus accrued expenditures (Item 4) should equal unliquidated obligations.)

ITEM 9. Federal Unobligated Funds

Enter that portion of the State cumulative aggregate Federal WtW allotment that has neither been expended nor obligated. (Federal Allotment, Item 1, minus Federal Expenditures, Item 4, minus Unliquidated Obligations, Item 8, should equal Federal Unobligated Funds.)

SECTION II FEDERAL SPECIAL PROJECTS (15% MAXIMUM SET ASIDE PLUS SPECIAL RULE DISTRIBUTION)

ITEM 10. Set Aside (15% Maximum)

Enter the State Set Aside (a maximum of 15% of States WtW allotment for the fiscal year.) The 15 percent Set Aside may be expended for such items as special projects, State administration, capacity building and incentive awards.

NOTE: Item 10 should equal no more than 15 percent of Item 1.

ITEM 11. Federal Special Rule Distribution (SDA formula <$100,000)

Enter that portion of the State Federal WtW allotment attributable to the State's service delivery areas (SDAs) whose formula allocation was calculated to be less than the $100,000 threshold. (This amount is then added to the 15% Set Aside and may be used for same purposes.)

ITEM 12. Federal Expenditures

Enter the State cumulative aggregate expenditures from the 15% Set Aside funds identified at Item 10, plus the expenditures from the Special Rule Distribution funds identified at Item 11.

ITEM 13. Federal Administrative Expenditures

Enter the cumulative aggregate administrative expenditures included in Item #12. Do **not** include technology/computerization expenditures, which are reported at Item 14.

ITEM 14. Federal Technology/Computerization Expenditures

Enter the cumulative aggregate expenditures for information technology (computer hardware or software) needed for tracking or monitoring under a WtW grant. This amount is included in Item 12. Do **not** include these expenditures in Item 13.

SECTION III. PASS THROUGH FUNDS (85% LESS SPECIAL RULE DISTRIBUTION)

ITEM 15. Allocation of Federal WtW Funds to Local Areas

Enter the Federal 85% minimum WtW funds distributed by the State among the service delivery areas within the State pursuant to Section 403(a)(5)(A)(vi). This excludes the amount of the State's allotment attributable to SDAs whose formula allocation was calculated to be less than the $100,000 threshold (amount reported at Item 11).

ITEM 16. Federal Expenditures

Enter the State cumulative aggregate Federal expenditures attributable to the Pass Through Funds.

ITEM 17. Federal Administrative Expenditures

Enter the State cumulative aggregate administrative expenditures included in Item #16. Do **not** include technology/computerization expenditures which are reported at Item 18.

ITEM 18. Federal Technology/Computerization Expenditures

Enter the State cumulative aggregate expenditures for information technology (computer hardware or software) needed for tracking or

monitoring under a WtW grant. This amount is included in Item 16. Do **not** include these expenditures in Item 17.

SECTION IV. FEDERAL EXPENDITURES BY ACTIVITY

Enter the amount of accrued expenditures for each of the activities at Items 19 through 28. (Include expenditures from both the Section II., Special Projects, and Section III., Pass Through Funds.) The amounts reported at Items 19 through 27 should only include the **actual** pure costs of these activities.

Any allocable amounts for administration, intake and eligibility determination, case management, etc., should **not** be included in the amounts reported at Items 19 through 27. Allocable administration costs should be reported as appropriate at Items 13. and 17. Intake, assessment, eligibility determination, etc., should be reported at Item 28.

There should be no entries on the lines provided for Items 21, 23, 24 and 25. Entries should only be made on the a. and b. lines provided for each of these items.

NOTE: The expenditures for Job Readiness, Job Placement, and Post-Employment Services that are not provided through the use of vouchers or contracts, but are provided as part of a comprehensive community service, work experience, or on-the-job training program, are to be included in the amounts reported at Items 19, 20 and 22.

When vouchers or contracts are used for placement in unsubsidized jobs, only include **expended** portion of vouchers or contracts. Do **not** include the ½ holdback for 6-month placement in the workforce until the expenditure has been incurred.

ITEM 19. Community Service
ITEM 20. Work Experience
ITEM 21. Job Creation Employment Wage Subsidies
- **a. Public**
- **b. Private**

ITEM 22. On-the-Job Training
ITEM 23. Job Readiness Services
- **a. Vouchers**
- **b. Contracts**

ITEM 24. Job Placement Services
- **a. Vouchers**
- **b. Contracts**

ITEM 25. Post-Employment Services

a. Vouchers

b. Contracts

ITEM 26. Job Retention Services and Support Services

ITEM 27. Individual Development Accounts

ITEM 28. Intake, Assessment, Eligibility Determination & Case Management

ITEM 29. Total

Enter the total State accrued expenditures by activity, which is the sum of Items 19 through 28.

SECTION V. PROGRAM INCOME

ITEM 30. State (There should be no entry on this line.)

a. Earned

Enter the State cumulative aggregate Federal WtW program income earned in carrying out the objectives of the grant, less any costs incident to the generation of the program income. These funds are additional to the Federal allotment amount, Item 1.

b. Expended

Enter that portion of earned program income reported at Item 30.a., which has been expended to further the WtW program objectives. (These cumulative aggregate accrued expenditures are separate from any other expenditures reported.)

SECTION VI. PARTICIPANT SUMMARY

NOTE: There should be no entry on the lines for Items 31. and 36.

ITEM 31. State

a. Total Participants Served

Enter the State cumulative aggregate number of WtW clients served under this grant for the fiscal year. If a client ceases to be served under the program and then returns for additional services, the client is to be counted again. (Item 31 a. should be the sum of Items 31.a.(1) and 31.a.(2).)

NOTE: An individual is classified as a "participant served" when any one or more of the services identified at Items 19 through 27 are received by the individual. Also included as services which constitute "participant served" status are "in-depth" assessment, development of individualized service strategy, and case management services. Intake, initial assessment, and eligibility determination do NOT constitute "participant served" status for an individual. (Grantees are encouraged to "enroll" individuals into the WtW Program, as soon as they are determined eligible, so that when an appropriate service/activity becomes available, the individual does not have to be re-assessed for eligibility. Enrollment into the program does NOT, however, constitute "participant served" status until the individual is actually served, as defined in this paragraph.)

(1) Enter the number of participants served who met the "Required Beneficiaries" criteria as defined at Section 403(a)(5)(C)(ii). This is the cumulative number of participants served by the expenditures reported at Item 7.a.

(2) Enter the number of participants served who met the criteria for "Targeting of Individuals with Characteristics Associated with Long-Term Welfare Dependence" as defined at Section 403(a)(5)(C)(iii). This is the cumulative number of total participants served by the expenditures reported at Item 7.b.

b. Total Participants Terminated

Enter the State cumulative aggregate number of WtW clients terminated under this grant for the fiscal year. If a client returns to receive additional services under this grant, the client is to be counted again when terminated. (Item 31.b should be the sum of Items 31.b.(1) and 31.b.(2).)

(1) Enter the number of participants terminated under the grant who met the "Required Beneficiaries" criteria as defined at Section 403(a)(5)(C)(ii). This is the cumulative number of participants terminated under the grant who had been served by the expenditures reported at Item 7.a.

(2) Enter the number of participants terminated under

the grant who met the criteria for "Targeting of Individuals with Characteristics Associated with Long-Term Welfare Dependence" as defined at Section 403(a)(5)(C)(iii). This is the cumulative number of total participants terminated under the grant who had been served by the expenditures reported at Item 7.b.

ITEM 32. Placed in Unsubsidized Employment

Enter the sum of Items 32.a. and 32.b.

NOTE: Include all participants who are placed in unsubsidized jobs for the first time, i.e., Social Security Number is linked with the job placement, while receiving WtW services. (This placement cannot be reported by the grantee again unless the person is terminated from the WtW program and comes back after not receiving WtW services for at least 90 days.) Exclude participants who are placed in any job for which the employer receives a wage subsidy. Also exclude participants who are placed in on-the-job training until after the OJT is completed and the participant is retained in an unsubsidized job.

a. Greater Than or Equal to 30 Hours Per week
Enter the State cumulative aggregate number of WtW participants who entered unsubsidized employment of 30 or more hours per week.

b. Less Than 30 Hours Per Week
Enter the State cumulative aggregate number of WtW participants who entered unsubsidized employment of less that 30 hours per week.

ITEM 33. Employed in Unsubsidized Employment When Entering WtW

Enter the sum of Items 33.a. and 33.b.

NOTE: Include those WtW participants who were already employed in an unsubsidized job when becoming a "participant served" by the WtW program. Please refer to the definition of "participant served" at Item 31. in this Section VI of the reporting instructions. Individuals should not be counted in this entry until they meet the "participant served" status.

a. Greater Than or Equal to 30 Hours per Week
Enter the State cumulative aggregate number of WtW

participants who are employed in unsubsidized employment of 30 or more hours per week when becoming a participant served by the WtW program.

b. Less Than 30 Hours per Week
Enter the State cumulative aggregate number of WtW participants who are employed in unsubsidized employment of less than 30 hours per week when becoming a participant served by the WtW program.

ITEM 34. Placed in Subsidized Employment

NOTE: Include all participants who are placed in subsidized jobs for which the wage subsidy is less than 100% of the participant's total income and for which the subsidized job placement is not workfare, i.e. the total amount paid to the individual exceeds the amount of the subsidy.

Enter the sum of Items 34.a. and 34.b.

a. Greater Than or Equal to 30 Hours per Week
Enter the State cumulative aggregate number of WtW participants who entered subsidized employment of 30 or more hours per week.

b. Less Than 30 Hours per Week
Enter the State cumulative aggregate number of WtW participants who entered subsidized employment of less than 30 hours per week.

Note the following for entries at Items 32., 33. and 34: For cases where an individual reported at Items 32. and 34. is upgraded from a "less than 30 hours per week" job to a "greater than or equal to 30 hours per week" job, reduce the count reported at Items 32.b. or 34.b., as appropriate, and increase the count reported at Items 32.a. or 34.a., as appropriate, in the quarter during which the upgrade occurs. For cases where an individual reported at Item 33. is upgraded from a "less than 30 hours per week" job to a "greater than or equal to 30 hours per week" job, reduce the count reported at 33.b. and increase the count reported at 32.a. in the quarter during which the upgrade occurs.

ITEM 35. Retained 6 Months (two quarters) in Unsubsidized Employment

NOTE: Retention is defined as when an eligible individual is placed in unsubsidized employment and remains in the workforce for 6 months with earnings in the two consecutive quarters following placement. For those individuals reported at Item 33. (employed in unsubsidized employment when entering the WtW program), the base quarter from which retention is measured is the quarter in which WtW services were first provided, and thus the quarter in which an individual was first counted in the Item 33. entry.

Due to the anticipated one quarter lag in the availability of UI Wage Record Data, the report for period ending June 30, 1999 will provide retention and earnings gained data for participants who were reported as placed on the report for the quarter ending September 30, 1998. Thus, the June 30, 1999 report will be the first quarter for which Retention (Item 35) and Earnings Gained (Item 36) data are to be reported.

Entities not using UI Wage Record data should utilize this one quarter lag period for collecting retention and earnings gained information. Thus, these entities should also report the data for Items 35 and 36 on the report for the third quarter after the base quarter in which participants were placed in unsubsidized employment.

Enter the cumulative number of participants who were placed in unsubsidized employment in the base quarter (Item 32), plus the cumulative number of participants who were employed in unsubsidized employment when first receiving WtW services (Item 33.), who remained in the workforce in the second subsequent quarter after the base quarter.

NOTE: Entry on line 35 divided by the sum of the entries at Items 32. and 33. (multiplied by 100) equals the percent of participants entering unsubsidized employment who remained in the workforce in the second subsequent quarter after the base quarter.

ITEM 36. Earnings Gained in 6 Months (two quarters) Following Placement in Unsubsidized Employment

a. Enter the sum of earnings of those individuals who remained in the workforce in the second subsequent quarter (those participants identified at Item 35.).

b. Enter the sum of the earnings of the same group (those participants identified at Item 35) in the base

quarter.

NOTE: The sum of earnings of those individuals who remained in the workforce in the second subsequent quarter (Item 36 a.) minus the sum of the earnings of the same group in the base quarter (Item 36.b.), divided by the sum of the earnings of the same group in the base quarter (Item 36.b.), multiplied by 100, equals the percent "Earnings Gain" in 6 months (second subsequent quarter) following placement in unsubsidized employment.

SECTION VII. REMARKS

Provide any explanations deemed necessary to support or describe entries provided above. Explanation of adjustments made to entries for a previous quarter should be provided in this section. (Electronic data entry instructions provide an "up-front" option to modify data submitted for a previous reporting quarter.)

SECTION VIII. SIGNATORY INFORMATION

With the provision of electronic formats via the Internet, the Department has provided Passwords for data input and Personal Identification Numbers (PINs) for data certification. The individual who was identified as the certifying official for each grantee should be responsible for the PIN entry, which then signifies that the data reported is valid. The date of data certification will automatically appear when the PIN is entered.