U. S. Department of Labor Employment and Training Administration Washington, D.C. 20210	CLASSIFICATION WtW Reporting
	CORRESPONDENCE SYMBOL TMG
	DATE June 24, 1998

TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 11-97

TO : ALL STATE WELFARE-TO-WORK CONTACTS
ALL STATE JTPA LIAISONS

FROM : DAVID HENSON
Director
Office of Regional Management

SUBJECT : Welfare-to-Work Reporting

1. Purpose. To transmit the Welfare-to-Work (WtW) financial reporting format and corresponding instructions for formula WtW grants and to advise States of the procedures to follow in submitting the required data.

2. References. Welfare-to-Work (WtW) Grants Interim Final Rule, 20 CFR 645 (62 Federal Register 61588 (November 18, 1997)) and NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION (OMB NO. 1205-0385), dated April 2, 1998, approving Form Nos. ETA-9068 and ETA-9068-1, in accordance with the Paperwork Reduction Act of 1995.

3. Background. The above referenced documents together with the attached reporting forms and instructions constitute the approved financial reporting requirements for WtW formula and competitive grants. These reporting requirements were approved through September 30, 1998 under OMB emergency approval procedures. OMB approval of WtW reporting requirements for the life of the WtW program will occur before September 30, 1998 under the normal OMB approval process. In order to expedite the reporting process and ease the reporting burden on grantees, ETA is working to provide all WtW grantees with the capability for electronic entry of the data requested on the attached prototype format.

4. Reporting Process. The fields containing the required data elements for assessing the effectiveness of the WtW Program will be provided to the States via the Internet. Each State will be issued an Account/Password which must be keyed into the system to access the menu driven software containing the State's WtW Formula Grant Reporting Format. Specific instructions on the issuance of an Account/Password will be sent directly to the State contact.

For each data element, there will be a prompt which will trigger an explanation of the data that is to be entered for that specific element. (The explanation will correspond to the item explanations

RESCISSIONS	EXPIRATION DATE Continuing

contained in the attached instructions.) After the data has been entered into the system, it must be reviewed for completeness and accuracy. A designated individual (to be identified per instructions in this TEGL) must then enter a PIN number which will be assigned to the State by ETA. This will certify that the data accurately represents the expenditures and/or participants served for each of the required data elements for the reporting period identified. This will also trigger Regional Office accessibility to the data.

After the PIN number has been entered, the data will be in a "holding mode" until the Regional Office has reviewed and released the data to the National Office. When the data is not submitted to the Regional Office by the designated due dates specified in the attached instructions, or the data submitted is incomplete or inaccurate, the Regional Office will contact the State and follow-up as necessary to correct the deficiency.

The system will not allow the Regional Office to modify the data entered by the State. Thus, if changes need to be made, per discussions between the State and the Regional Office or if the State initiates a change to previously submitted data, the State will need to modify the original submittal and certify to the accuracy of the modification by entering the assigned PIN number. (When logging into the WtW Reporting System, the State will be provided with an option to enter new quarterly data or to modify data from a previous quarter.)

The State is requested to designate at least two individuals who will be involved in WtW reporting. One individual should be the person who will certify that the data is complete and accurate. The other individual should be "hands-on" with data input and knowledgeable of the required data elements. ETA staff will contact the designated individual(s) to provide specific instructions concerning the establishment of an Account/Password and issuance of PIN Numbers will be provided.

States are advised to use the most current version of a JAVA enabled browser. Therefore, to the extent that present software is being enhanced, the latest commercially available browser should be utilized.

5. Regional Office and National Office Support. The National Office and the Regional Offices will provide the necessary support to the States to ensure a smooth implementation of the WtW Reporting System. It is expected that reporting via direct electronic data entry will enable a more timely submittal of complete and accurate data.

The National Office will provide technical assistance to the States as needed to ensure that the technical aspects of electronic data entry are accommodated. The attached reporting instructions and the menu-driven prompts at the time of data entry should facilitate an understanding of what is requested for each data element. However, technical assistance and training, if needed, will be provided.

6. Action Required. States should provide the names, organizational units, titles, E-mail addresses, FAX numbers and telephone numbers of the two individuals responsible for WtW reporting to the appropriate Regional Office by June 30, 1998.

7. Inquiries. Questions of a technical nature, related to the electronic entry of WtW data, should be directed to Bob Horstman in OMIS by E-Mail at rhorstman@doleta.gov, or by telephone on 202-219-5651, extension 118. All other questions on WtW reporting or on this TEGL should be directed to either Ed Donahue or Isabel Danley by E-Mail at edonahue@doleta.govand idanley@doleta.gov, or by telephone on 202-219-5731, extensions 126 and 115, respectively, or to the Regional Office.

8. Attachments.

A. WtW Formula Grant Cumulative Quarterly Financial Status Report (ETA-9068)
B. Instructions for Reporting Welfare to Work Formula Grants Financial Data

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: 09/30/98
b. Quarter end date	Column 1	Column 2	Column 3
	Qtrly ___ Final ___	Qtrly ___ Final ___	Qtrly ___ Final ___
Section 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			
27. Supportive Services			
28. Individual Development Accounts			
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. Public			
b. Private			
33. Retained 6 months in Unsubsidized Employment			
a. Public			
b. Private			
Section VII. Remarks			
Section VIII. Signatory Information			
Print/Type Name and Title			
Signature of Authorized Certifying Official		Date Signed	Telephone Number

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).

INSTRUCTIONS FOR REPORTING WELFARE TO WORK FORMULA GRANTS FINANCIAL DATA

<u>**GENERAL INSTRUCTIONS:**</u> The Welfare to Work (WtW) Formula Grant Cumulative Financial Status Report (CFG-FSR) 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 anticipated for all WtW formula grants. States will be provided with detailed instructions for transmittal of this data via the Internet. (Although the prototype format contains three columns as described in the preceding paragraph, Internet reporting will actually reveal two fields at the time of data entry: 1) current quarter cumulative data, and 2) previous quarter cumulative data. All fiscal years of data will, however, be accessible.)

The first required report should include data from inception of the grant through June 30, 1998. This data will be due in the Regional Offices no later than August 15, 1998. 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 Federal WtW allotment will be provided by the Department of Labor and will be adjusted by the Department as changes are made to the initial allotment. (The format for reporting data, which will be provided to grant recipients via the Internet, will automatically provide this line item.)

ITEM 2. Non-Federal Match Expenditures

Enter the cumulative total amount of actual non-federal match expenditures (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.

ITEM 4. Federal Expenditures

Enter the State cumulative aggregate Federal WtW accrued expenditures for the FY 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, this entry should not exceed 15 percent of the Federal allotment. The Federal allotment (Item 1) is subject to adjustment based on the State's compliance with matching requirements at the end of the three-year period. (Items 2 & 3).

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 noncustodian 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 targeting of 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 7a and 7b 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 they make during the period of fund availability. On the final WtW-CFG-FSR for the grant, this amount should be zero.

ITEM 9. Federal Unobligated Funds

Enter that portion of the State cumulative aggregate Federal WtW allotment that has not been expended or obligated.

NOTE: Item 9 should equal the amount entered at Item 1 less the amounts entered at Items 4 and 8.

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.)

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.

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 28 should only include the **actual** 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 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 were 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
ITEM 27. Supportive Services
ITEM 28. Individual Development Accounts

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, 32 and 33.

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).)

(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

a. Public

Enter the State cumulative aggregate number of WtW clients placed in public unsubsidized employment.

b. Private

Enter the State cumulative aggregate number of WtW clients placed in private unsubsidized employment.

ITEM 33. Retained 6 months 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.

a. Public

Enter the State cumulative aggregate number of WtW clients retained for 6 months in public unsubsidized employment.

b. Private

Enter the State cumulative aggregate number of WtW clients retained for 6 months in private unsubsidized employment.

SECTION VII. REMARKS

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

SECTION VIII. SIGNATORY INFORMATION

Provide the signature, title, date of signature, and telephone number of authorized individual certifying to the validity of the data provided in this report. (With the provision of electronic formats via the Internet, the Department will provide passwords for data input and personal identification numbers (PINs) for data certification.)