

Financial Status Report/Request for Funds

Employment and Training Administration

OMB Approval No. 1205-0275
Expiration Date: 12/31/99

1. State: _____

5. Type of Report:

2. Program: _____

A. Regular Quarterly Report

3. Fiscal Year Funding: _____

B. Supplemental Request

4. Report Period Ending: _____

C. Final Report

D. Special Report

6. **FINANCIAL DATA:**

	Admin	Job Search/ Relocation	Training	Program Total (2+3)	Grand Total (1+4)
	(1)	(2)	(3)	(4)	(5)
A. Cumulative Expenditures	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
B. Cumulative Obligations	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
C. Federal Funds Received to Date	\$ _____	_____	_____	\$ _____	\$ _____
D. Unobligated Balance	\$ _____	_____	_____	\$ _____	\$ _____
E. Commitments	_____	\$ _____	\$ _____	\$ _____	\$ _____
F. Uncommitted Balance	\$ _____	_____	_____	\$ _____	\$ _____
G. NOA Requested.....	_____	\$ _____	\$ _____	\$ _____	\$ _____

7. **JUSTIFICATION FOR NOA:**

CERTIFICATION: I certify that to the best of my knowledge and belief that the information provided herein is accurate and complete, and that reported obligations are reflected in agency records.

Signature: _____

Title: _____

Date: _____

Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. Public reporting burden for this collection of information is estimated to average 2 hours 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 the Comptroller, Room C-5307, Washington, D.C. 20210 (Paperwork Reduction Project 1205-0275).

INSTRUCTIONS FOR COMPLETING FORM ETA 9023

Public reporting burden for this collection of information is estimated to average 2 hours 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 Comptroller, Room C-5307, 200 Constitution Avenue, N.W., Washington, D.C. 20210 (Paperwork Reduction Project 1205-0275).

General Instructions

A separate 9023 must be completed for each funding source (TAA and NAFTA-TAA), and for each fiscal year a State received program funds. The maximum number of 9023s a State would have to complete at the end of any given quarter would be six, assuming the State received funds under both the TAA and NAFTA-TAA programs for each active fiscal year (currently FY '96, '97 and '98). Once a fiscal years funds are expended, a final report is due to the Office of the Comptroller within 90 days of expenditure. No further reporting on those funds is required.

Both TAA and NAFTA-TAA funds have a three-year life, the fiscal year they were allocated to the State, plus the two subsequent fiscal years. For example, funds received in FY '98 are available for obligation until the end of FY '00 (September 30, 2000) and must be expended by the end of the next quarter (December 31, 2000). Any FY '98 funds not obligated by September 30, 2000 and expended by December 31, 2000, lapse back to the Treasury. States should not request NOA if they have prior year funds available for obligation.

Specific Instructions

1. **State** - Self-explanatory.
2. **Program** - Indicate whether the financial status report is for TAA or NAFTA-TAA funds.
3. **Fiscal Year Funding** - Enter the fiscal year the funds were allocated to the State.
4. **Report Period Ending** - Reflects the ending date of the month being reported. If this is a regular quarterly report, the date should be 12/31/XX, 3/31/XX, 6/30/XX or 9/30/XX.
5. **Type of Report** - Check the appropriate box.
 - A. **Regular Quarterly Report** - All States receiving TAA or NAFTA-TAA funds are required to submit regular quarterly reports to their Regional office within 30 days after the end of each quarter.
 - B. **Supplemental Request** - Check this box if the State is requesting additional funds. States should request additional funds when they estimate that available funds are insufficient to meet their known TAA and NAFTA-TAA needs.
 - C. **Final Report** - Check when submitting a final report for a fiscal years funds. A final report is due 90 days after all funds from a given fiscal year have been expended or the life of the funds expire, whichever comes first.

- D. **Special Report** - Whenever a determination is made that TAA and/or NAFTA-TAA funds may be exhausted nationally before the end of the year, States may be required to submit a “Special Report” reflecting the most current financial status of its TAA and NAFTA-TAA funds.

6. **Financial Data** - This section reflects financial data for TAA (or NAFTA-TAA) administration, job search and relocation allowances, and training as follows.

- A. **Cumulative Expenditures** - Reflects cumulative accrued expenditures for each of the categories from the start of the fiscal year. Accrued expenditures represent the sum of cash disbursements made for goods and services received plus the value of goods and services received but not yet paid.
- B. **Cumulative Obligations** - Represents the sum of accrued expenditures (Line A) plus the value of goods and services which have been ordered (purchase orders, contracts), but not received - also commonly referred to as undelivered orders or resources on order.
- C. **Federal Funds Received to Date** - Enter the amount of Federally-obligated authority received by the State as of the end of the reporting period. Obligations can not exceed the amount of funds received by the State.
- D. **Unobligated Balance** - Is equal to Federal Funds Received to Date minus Cumulative Obligations (Line C - Line B = Line D).
- E. **Commitments** - This line is used to reflect the amount of job search and relocation allowances and approved training for specific workers which has not been formally obligated through purchase orders, contracts, or other valid obligating documents. This information is used by ETA in determining the status of fund availability in States when reviewing requests for additional funds, or when reviewing balances in States in order to determine whether funds will be recaptured for reallocation to other States, if the need to do so arises. **The amounts shown as commitments are to reflect actual, not estimated, amounts committed by the State for specific training, job search and relocation allowances.**
- F. **Uncommitted Balance** - Is equal to the States Unobligated Balance minus its Commitments (Line D - Line E = Line F).
- G. **NOA Requested** - Is used only when the State is submitting a supplemental request for additional new obligational authority (NOA) to meet projected funding needs for the quarter. Additional NOA should not be requested until all prior year funds are obligated.

7. **Justification for NOA** - This section is used only when additional NOA is being requested. The justification should include: (1) the number of workers expected to apply and be approved for training, job search and relocation allowances; (2) a brief discussion of the conditions which gave rise to the request; (3) a list of the active certifications (case number, company name and company location) and the number of people from each certification requesting training and/or job search or relocation allowances; (4) an analysis of how many of these certifications are dual-certified (both TAA & NAFTA-TAA certified), to show thought was given to what mix of funds would be best suited to serve the affected clients; and (5) an indication of the level of activity expected beyond the period for which this request is made. Additional sheets may be attached for the justification, if necessary.