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High Growth and Community-Based Job Training Grants:

General Quarterly Reporting Forms & Instructions

Prepared By
Employment and Training Administration
United States Department of Labor

This reporting requirement is approved under the Paperwork Reduction Act of 1995, OMB Control No. 1205-0465, expiring 05/31/2011. Persons are not required to respond to this collection of information unless it displays a currently valid OMB number. Public reporting burden for this collection of information is estimated to average 28 hours per quarterly report per grantee, including time for reviewing instructions, searching existing data sources, gathering and reviewing the collection of information. Respondent's obligation to reply is required to obtain or retain benefits (PL 106-303 Sec 414(c)). The reason for the collection of information is general program oversight, evaluation and performance assessment. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden, to the U. S. Department of Labor, Employment and Training Administration, 200 Constitution Avenue, NW, Room S-5206, Washington, D.C. 20210 .

I. GENERAL INSTRUCTIONS

The High Growth Job Training Initiative (HGJTI) and Community-Based Job Training Grants (CBJTG) grantees are required to submit quarterly reports to the United States Department of Labor's Employment and Training Administration (USDOL/ETA) in order to comply with the reporting and record keeping requirements of the grant. Each grantee must submit a Quarterly Performance Report containing aggregate performance data on current program participants and an electronic data file of records on all participants who exit from the program. Forms and instructions for completing these two (2) quarterly reports can be found under Section II below. Should changes in definitions resulting from new legislation or related regulations occur, appropriate revisions will be issued to reflect these changes.

II. REPORT FORMS AND INSTRUCTIONS

- A. *Quarterly Performance Report* - The format for grantees to complete the Quarterly Performance Report can be found under **Appendix A**. This report provides cumulative data on program participants (new and carried-over participants), including important demographic characteristics, as well as the levels of participation in industry and/or occupational skills education and job training activities. The information is used to determine the levels of participation in the program for the most recent quarter and cumulative totals for the entire grant period.
- B. *Standardized Individual Records (program exiters only)* - Grantees are required to prepare and submit an electronic file of individual records on all participants who exit from the program during the reporting quarter. These individual records follow a comma-delimited format and contain the minimal amount of information needed in order for ETA to collect employment-related outcomes data using wage records.

It is important to note that these records are comprised of personally identifiable client information (i.e., Social Security Numbers), which will be matched by the USDOL/ETA, on behalf of the grantees, with employment data available from state Unemployment Insurance (UI) and other administrative wage records (e.g., Federal and Military employment). This matching procedure is necessary in order for USDOL/ETA to collect consistent and reliable outcome information for each grantee by calculating a set of common performance measures that includes entry into employment, employment retention, and six-month average earnings.

The following is a list of the required data elements that must be submitted by the grantee on each participant who exits or completes services from the program during the reporting quarter:

<u>Data Element Name</u> <u>Length</u>	<u>Data Format</u>	<u>Field</u>
1. Social Security Number	Numeric	9
2. Employment Status at Participation	Numeric	1
3. Date of Exit	Date (yyyymmdd)	8
4. Reason for Exit	Numeric	2

Numeric codes for these data files are listed in Appendix A.

III. DUE DATES

All quarterly reports and records under Section II are due to ETA no later than 45 days after the end of each reporting quarter. The table below shows the expected due dates for each reporting quarter.

Reporting Quarters	Due Dates
January 1st - March 31st	May 15th
April 1st - June 30th	August 14th
July 1ST - September 30th	November 14th
October 1st - December 31st	February 14th

Should the due date of the report fall on a Saturday, Sunday, or holiday, the report is due the business day before.

IV. SUBMISSION PROCEDURES

Information contained on the High Growth and Community-Based Job Training Grant Quarterly Performance Reports and Standardized Individual Records must be submitted directly to ETA’s Enterprise Business Support System (EBSS) (formerly called the Enterprise Information Management System (EIMS)) via technical instructions issued through the USDOL/ETA national office or the ETA performance website (www.doleta.gov/performance). When two consecutive reporting quarters (e.g. 6/30 and 9/30) are both **certified and submitted by the grantee**, then the prior quarter’s report is locked from any modifications (i.e. 6/30 report will be locked).

Instructions for Completing the High Growth and Community-Based Job Training Grant Quarterly Performance Report

Section A. Grantee Identifying Information

- A.1 **Grantee Name** – Enter the grantee name as it appears on the appropriate Notice of Obligation (NOO) or equivalent official document from the U.S. Department of Labor.
- A.2 **Grant Number** – Enter the grant number as it appears on the appropriate NOO or equivalent official document from the U.S. Department of Labor.
- A.3 **Program/Project Name** – Enter the name of the High Growth or Community-Based Job Training Grant program or project.
- A.4 **Grantee Address** – Enter the mailing address as it appears on the appropriate NOO or equivalent official document from the U.S. Department of Labor.
- A.5 **Report Quarter End Date** – Enter the last month, day, and year (*mm/dd/yyyy*) of the quarter on which the report is being prepared. For example, if the report is being prepared for the quarter ending September 30th, 2007, the Report Quarter End Date format should be represented as 09/30/2007.
- A.6 **Report Due Date** – Enter the month, day, and year (*mm/dd/yyyy*) on which the report is due to the Department. For example, if the report is being prepared for the quarter ending 06/30/2011, the Report Due Date format should be represented as 08/14/2011.

Section B. Participant Summary Information

Except for the total participant counts in **Row 2** of this section, grantees are only required to submit information for the “Current Quarter” under Column B. **No data entry** is necessary for Column A, the “Previous Quarter,” or Column C, the “Cumulative Grant-to-Date.” The on-line EBSS module for the High Growth and Community-Based Job Training Grants will automatically display performance information submitted from the previous quarter under Column A, and then aggregate performance information under Column C for the entire grant period. For all data collection items contained within this section, the data format is *Integer* with a maximum field length of *6-digits*. Demographic characteristics of new participants contained in this section should be based on information collected from the individual at the time of participation in the program.

- B.1 **Total Exiters** – Enter the total number of participants who exit from the program during the reporting period. Exit from the program occurs when a participant has not received any services funded by the program for 90 consecutive calendar days and has no gap in service and is not scheduled for future services. The date of exit is applied retroactively to the last day on which the individual received a service funded by the program.



EMPLOYMENT AND TRAINING ADMINISTRATION

Important Note: The number entered in **Row B.1** should equal the total number of Standardized Individual Records submitted by the grantee for the quarter.



- B.2 Total Participants Served** – Enter the total number of individuals who received a service or, if it is an ongoing activity, are continuing to receive a service funded by the program during the reporting period. A participant is any individual who is determined eligible to participate in the program and receives a service funded by the program. Participant counts do not include individuals who only receive a determination of eligibility to participate in the program.
- B.3 New Participants Served** – Enter the total number of individuals who, following a determination of eligibility, began receiving a first service funded by the program during the reporting period.
- B.3a.i Male** – Enter the total number of new participants whose gender is male.
- B.3a.ii Female** – Enter the total number of new participants whose gender is female.
- B.3b Hispanic/Latino** – Enter the total number of new participants who self-identify their ethnicity as Hispanic/Latino. The term Hispanic/Latino includes persons of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race.
- B.3c.i American Indian or Alaska Native** – Enter the total number of new participants who self-identify their race as American Indian or Alaska Native. The racial category American Indian or Alaska Native includes persons having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.
- B.3c.ii Asian** – Enter the total number of new participants who self-identify their race as Asian. The racial category Asian includes persons having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., Bangladesh, Bhutan, India, Nepal, Pakistan, Sri Lanka, and Sikkim). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.
- B.3c.iii Black or African American** – Enter the total number of new participants who self-identify their race as Black or African American. The racial category Black or African American includes persons having origins in any of the black racial groups of Africa.
- B.3c.iv Native Hawaiian or Other Pacific Islander** - Enter the total number of new participants who self-identify their race as Native Hawaiian or Other Pacific Islander. The racial category Hawaiian Native or Other Pacific Islander includes persons having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- B.3c.v White** - Enter the total number of new participants who self-identify their race as White. The racial category White includes persons having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- B.3c.vi More Than One Race** - Enter the total number of new participants who self-identify more than one of the racial categories outlined in **Rows B.3c.i** through **B.3c.v** above.
- B.3c.vii Hispanic/Latino and More Than One Race** - Enter the total number of new participants who self-identified Hispanic/Latino (**B.3b**) and more than one of the racial categories outlined in **Rows B.3c.i** through **B.3c.v** above.
- B.3d Eligible Veterans** - Enter the total number of new participants who meet one of the following conditions to be eligible for veteran status for the purpose of performance reporting:

- 1) A person who served at least one day in the active military, naval, or air service, and who was discharged or released under conditions other than dishonorable, as specified in 38 U.S.C. 101(2). Active service includes full-time Federal service in the National Guard or a Reserve component. This definition of "active service" does not include full-time duty performed strictly for training purposes (i.e., that which often is referred to as "weekend" or "annual" training), nor does it include full-time active duty performed by National Guard personnel who are mobilized by State rather than Federal authorities (State mobilizations usually occur in response to events such as natural disasters).
- 2) Is a person who is (a) the spouse of any veteran who died of a service-connected disability, (b) the spouse of any member of the Armed Forces serving on active duty, who at the time of application for the priority, is listed in one or more of the following categories and has been so listed for a total of more than 90 days: (i) missing in action; (ii) captured in the line of duty by a hostile force; or (iii) forcibly detained or interned in the line of duty by a foreign government or power; or (c) the spouse of any veteran who has a total disability resulting from a service-connected disability, as evaluated by the Department of Veterans Affairs; or (d) the spouse of a veteran who died while a disability so evaluated was in existence.

A spouse whose eligibility is derived from a living veteran or service member (i.e., categories b. or c. above) would lose his or her eligibility if the veteran or service member were to lose the status that is the basis for the eligibility (e.g. if a veteran with a total service-connected disability were to receive a revised disability rating at a lower level). Similarly, for a spouse whose eligibility is derived from a living veteran or service member, that eligibility would be lost upon divorce from the veteran or service member.

- B.3e Persons with a Disability** - Enter the total number of new participants, where known, or who self-identify that they have any "disability," as defined in Section 3(2)(a) of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102). Under that definition, a "disability" is a physical or mental impairment that substantially limits one or more of the person's major life activities. (For definitions and examples of "physical or mental impairment" and "major life activities," see paragraphs (1) and (2) of the definition of the term "disability" in 29 CFR 37.4, the definition section of the WIA non-discrimination regulations.)

Section C. Participant Services and Activities

Grantees are only required to submit information for the "Current Quarter" under Column B. **No data entry** is necessary for Column A, the "Previous Quarter," or Column C, the "Cumulative Grant-to-Date." The on-line EBSS module for the High Growth and Community-Based Job Training Grants will automatically display performance information submitted from the previous quarter under Column A, and then aggregate performance information under Column C for the entire grant period. For all data collection items contained within this section, the data format is *Integer* with a maximum field length of 6-digits.

- C.1 Number Began Receiving Education/Job Training Activities** - Enter the total number of participants who began receiving industry and/or occupational skills

education and job training activities during the reporting period. This definition does not include those participants who only receive career awareness or career exploration activities.

C.2 Number Completed Education/Job Training Activities – Enter the total number of participants who completed one or more industry and/or occupational skills education and job training activities during the reporting period.

C.2a Number Received a Credential – Of the total number of participants who completed industry and/or occupational skills education and job training activities, enter the total number of individuals who received a degree or certificate. If an individual received more than one credential during the course of the education/job training activity, grantees should only report the most recent credential in the aggregate total.

C.2a (1)

(5) Type of Credential Received – For the total number of participants who completed industry and/or occupational skills education and job training activities and are reported in C.2a as received a credential, identify the type of credential received as (1) Certificate; (2) Associate’s Degree; (3) Bachelor’s Degree; (4) Other Degree; or (5) Other Credential. If an individual received more than one credential during the course of the education/job training activity, grantees should only report the most recent credential type in the aggregate total. **Guidance for this specific data element applies to grants awarded under the CBJTG Round 5 SGA: SGA/DFA PY-09-07. Only grants awarded under this specific SGA are required to report on this data element.**

C.2b Total Credentials Received – For the total number of participants who completed industry and/or occupational skills education and job training activities and are reported in C.2a as received a credential, enter the total number of credentials received. Total credentials received are reported for participants who successfully complete education/job training activities and are reported in C.2a as receiving a credential, and captures any credentials received during the reporting quarter including the first or any subsequent credentials received. **Guidance for this specific data element applies to grants awarded under the CBJTG Round 5 SGA: SGA/DFA PY-09-07. Only grants awarded under this specific SGA are required to report on this data element.**

C.2c Number Entered Employment – Of the total number of participants who completed industry and/or occupational skills education and job training activities, enter the total number of individuals who entered unsubsidized employment. (Note: A participant counted in C.2c may be counted again in C.2c.i.)

C.2c.i Number Entered Training-Related Employment – Of the total number of participants who completed industry and/or occupational skills education and job training activities, enter the total number of individuals who entered unsubsidized employment that is related to the skill training received. (Note, C.2ci is a sub-field of C.2c Number Entered Employment and participants must be reported in C.2c in the same reporting quarter to be counted in this reporting item.)

C.2ci (1) NAICS Industry Code – Of the total number of participants reported in C.2ci as placed in

- (20) training related employment, apportion that number according to the industry sector in which they obtained employment (as identified by the 20 North American Industrial Classification System (NAICS) 2-digit sector codes listed). The sum of rows C.2c.i (1) through C.2c.i (20) should equal the total number reported in item C.2c.i. There does not need to be an entry in each row. For example, if all of the participants for the reporting quarter obtained training-related employment in Health Care, they should all be reported in Row C.2c.i (16) NAICS 62 - Health Care and Social Assistance. For assistance on identifying appropriate NAICS sectors codes for an employer, refer to the listing and keyword search function at the Census Bureau Web site: <http://www.census.gov/epcd/naics02/naicod02.htm>

C.2c.ii Employment Retention - Of the total number of participants who entered unsubsidized employment, enter the total number of individuals who retained unsubsidized employment in the first and second quarters following initial placement. (Note, C.2c.ii is a sub-field of C.2c Number Entered Employment and participants must have been previously reported in C.2c to be reported in this item. **Guidance for this specific data element applies to grants awarded under the CBJTG Round 5 SGA: SGA/DFA PY-09-07. Only grants awarded under this specific SGA are required to report on this data element.**

Section D. Report Certification/Additional Comments

D.1 **Report Comments/Narrative** – Grantees must include additional information not captured as part of the report format in a separate document. Please attach a discussion of the following items:

- A. **Summary of Grant Activities** - This section serves as an executive summary for the quarterly grant activities. In one page or less, please provide a short summary of all capacity-building and training activities supported by the grant for the current quarter, highlighting key activities. This update may include additional information about training activities and outcomes to supplement the data submitted on the performance report.
- B. **Status Update on Leveraged Resources** - Report the cumulative amount of leveraged resources provided by the grantee and partners along with expenditures each quarter. Leveraged resources are those resources the grantee and its partners may be providing to support the implementation of Community-Based or High Growth Job Training grants. Leveraged resources may take the form of cash or in-kind donations. Please note the distinction between leveraged resources and required match resources: both must be reported on the Financial Status Report (ETA-9130) quarterly. Match does not include the use of federal funds while leveraged resources include a broader definition that may include federal funds. Leveraged resources should also be reported in greater detail in the narrative section. Please use this section of the narrative to provide an update on the status of all leveraged resources. The update may include: (1) the organizations that contributed the resources; and (2) the ways in which the resources were used during the current quarter.

ETA will ensure that the design of the narrative reporting upload function on EBSS will allow grantees to submit the following data:

- a. Cumulative amount of leveraged resources

- b. Type of leveraged resources contributed to the project.
- C. **Status Update on Strategic Partnership Activities** - Report the critical aspects of the grant partnership activities during the reporting period. The purpose of this section is to describe how the partnership is working together to adopt a solutions-based approach to implement the project and to communicate the dynamic growth and development of the strategic partnership. This section is not intended to be a list of every partner meeting or communication.

Completing this section of the report allows grantees to reflect critically on their partnerships and contributes to broader discussions amongst grantees on partnership development and management. This section may: (1) Discuss how partners have been engaged during the current phase of the project; (2) Outline specific roles and contributions of each partner during this quarter; (3) Identify any challenges encountered/resolved in the development and management of the partnership; and (4) Report new partners that may have been brought into the project.

- D. **Timeline for Grant Activities and Deliverables** - Provide a timeline of the progress of grant activities, key deliverables for this quarter and future quarters, and products available this quarter and in future quarters for broad dissemination to the workforce system. This includes identifying products and deliverables available for broad distribution via the Workforce3One web site and other communication vehicles. Utilize the timeline in the grant's statement of work to identify all major program activities, both capacity building and training, for the entire life of the grant. The timeline will paint a picture of project flow that includes start and end dates, schedule of activities, and projected outcomes. In order to reap the most benefit from the timeline, it is important that it be updated each quarter noting the actual date of completion as each activity is accomplished. Items to incorporate in the timeline include: project goals, benchmarks, milestones, special events, important deadlines and deliverables.
- E. **Capacity Building Activities** - This section collects additional information that details the status of capacity building activities occurring under the grant, highlights those that have been completed, and assesses how well the capacity building strategies of the program are meeting the training needs of the targeted high-growth, high demand industry or industries through impact measures. High Growth and Community-Based grants employ a variety of strategies and many of them have an associated deliverable that is developed using grant funds. These strategies include (a) developing and disseminating career awareness information; (b) developing adequate numbers of qualified instructors, such as through train-the-trainer and professional development activities; (c) identifying occupational competencies and developing competency-based curricula; (d) developing applied learning and clinical experiences, such as internships or the use of simulations; and (e) developing innovative learning models and environments and ways of structuring the education process, such as distance learning and blended-learning models.

In this section, grantees should include a detailed discussion of the activities and products associated with the strategies above, including: (1) the status of all capacity building activities occurring under the grant during the quarter, including percentage completed this quarter, if appropriate; (2) how the activity is linked to the specific training supported under the grant; (3) the growth in capacity building activities over time; (4) how well the program is meeting local industry demand for workforce training; (5) any current or potential issues or challenges that may affect the timely completion of those activities, along with solutions rendered; and (6) a discussion of the progress in addressing issues, challenges or concerns identified in previous quarterly reports.

When discussing the extent of participation in the capacity building activities, grantees should focus on verifiable measures of participation. For example, grantees engaging in various train-the-trainer activities, such as providing industry externship opportunities to high school teachers, should report such verifiable measures as the number of instructors who received the training as well as the known number of students who subsequently received instruction from these newly-trained teachers. Grantees implementing career awareness activities should report on the number of people who participated in these activities. This could include the number of individuals attending a recruitment seminar, the number of user sessions on a web site, or the number of students who were provided career awareness materials at an industry-related career awareness program.

ETA will ensure that the design of the narrative reporting upload function on EBSS will allow grantees to submit the following data:

1. The number of instructors who participated in grant-funded capacity building activities;
2. The number of students subsequently trained by those instructors; and
3. The number of other people participating and/or benefiting from capacity building activities.

Grantees will be asked to report data from the current quarter on the above elements in into ETA's EBSS. EBSS will automatically calculate a cumulative total for these entries.

- F. **Key Issues and Technical Assistance Needs** - Summarize any significant issues or problems encountered this quarter and resolution of previous issues and challenges identified in previous quarters. Describe any actions taken or plans for addressing issues, any questions you have for USDOL, and any need for assistance from USDOL, technical assistance providers, or others.
- G. **Best Practices and Lessons Learned** - Please describe in detail promising approaches, innovative processes, **lessons learned, and grant-level and**

participant-level success stories in this section each quarter, as appropriate. This section is intended to provide additional, more in-depth information than the summary section about promising approaches, new processes, and/or lessons learned. Additionally, if appropriate, please highlight one or two “success stories” from the grant per quarter, with the participant’s express permission.

- H. ***Additional Information (optional)*** - Provide any other information considered to be important.

- D.2 **Name of Grantee Certifying Official/Title** - Enter the name and title of the grantee official that is certifying submission of the report to the Department.

- D.3 **Telephone Number** - Enter the *area code (999)* and *telephone number (999-9999)* of the authorized official.

- D.4 **Email Address** - Enter the email address of the authorized official.



**Appendix A -
Data Elements and Numeric Codes for Standardized Individual
Records**

- 1) Social Security Number - Provide in nine-digit numerical format without dashes.
2) Employment Status at Participation - Provide the appropriate one-digit code as described below:

Code	Definition
1	Employed. Participant is a person who either (a) did any work at all as a paid employee, (b) did any work at all in his or her own business, profession, or farm, (c) worked as an unpaid worker in an enterprise operated by a member of the family, or (d) is one who was not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time-off, and whether or not seeking another job.
2	Unemployment Anticipated. Participant is a person who, although employed, either (a) has received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close, or (b) is a transitioning service member.
3	Not Employed. Participant does not meet any one of the conditions described above.

- 3) Date of Exit - Provide in yyymmdd format.
4) Reason for Exit - Provide the appropriate two-digit code as described below:

Code	Definition
01	Institutionalized. Participant is residing in an institution or facility providing 24-hour support such as a prison or hospital and is expected to remain in that institution for at least 90 days.
02	Health/Medical. Participant is receiving medical treatment that precludes entry into unsubsidized employment or continued participation in the program. Does not include temporary conditions expected to last for less than 90 days.
03	Deceased. Participant was found to be deceased or no longer living.
04	Family Care. Participant is providing care for a family member with a health/medical condition that precludes entry into unsubsidized employment or continued participation in the program. Does not include temporary conditions expected to last for less than 90 days.
05	Member of Active Reserve Force. Participant is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days.
06	Relocated to Mandated Program. Participant is in the foster care system or any other mandated program and has moved from the area as part of such a program or system (exclusion for youth participants only).
98	Retirement. Participant retired from employment.
99	Not a Valid SSN. Participant either disclosed an invalid social security number (SSN) or chose not to disclose a SSN.
00	Other Reason. Participant exited for a reason other than one of the



conditions described above.

