OMB Control Number 1205-0489

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Trade Adjustment Assistance Community College and Career Training Grants:

Annual and Quarterly Program Reporting Forms & Instructions

Rounds 2/3/4

Prepared By
Employment and Training Administration
United States Department of Labor

I. GENERAL INSTRUCTIONS

The Trade Adjustment Assistance Community College and Career Training (TACT) grantees are required to submit quarterly and annual program 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 Progress Report (QPR) containing updates on the progress and implementation measures specified in each grant. Each grantee must also submit an Annual Performance Report (APR) that reflects the longer-term outcomes of program participants. Both the Quarterly and Annual Reports include narrative information. The instructions and performance reporting forms for completing these two types of 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 Narrative Progress Report* –The quarterly progress report provides narrative updates on the capacity building taking place, and a self-assessment of the grantee's progress each quarter. The instructions for grantees to complete the QNPR can be found under **Appendix A**. The format for the QNPR can be found in **Attachment A**.

For consortia, the lead institution is responsible for gathering all information and data from participating consortium members and reporting in aggregate each quarter.

B. *Annual Performance Report* – In addition to providing a fourth Quarterly Narrative Progress Report each year, grantees will complete the APR form, which provides information on participants in the programs funded by the grant, as well as minimal narrative. The instructions for grantees to complete the Annual Performance Report can be found under **Appendix B**. The format for the annual performance outcomes reports can be found in Attachment B.1.

For consortia, the lead institution is responsible for gathering all information and data from participating consortium members and reporting in aggregate each year.

The last Quarterly Narrative Progress and Annual Performance Reports will serve as the grant's Final Performance and Outcomes Report. Together, these reports will provide both quarterly and cumulative information on the grant's activities. The last Quarterly Narrative Progress Report will summarize project activities, employment outcomes and other deliverables, and related results of the project, and will thoroughly document the approaches used by the grantee, as well as a summary of that quarter's activities. The Final Performance Report will provide only annual data on the final year of the grant.

III. DUE DATES

A. All <u>Quarterly</u> reports under Section II are due to ETA <u>no later than 45 days</u> after the end of each reporting quarter. The table below shows the expected due dates for each reporting quarter.

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

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

B. All Annual reports are due to ETA no later than 45 days after the end of each reporting year, which will be October – September. The due date for each annual report will be November 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 in the TAACCCT Quarterly and Annual reports must be submitted directly to ETA via technical instructions issued through the USDOL/ETA national office and available via the ETA performance website (https://www.etareports.doleta.gov/CFDOCS/grantee_prod/reporting/index.cfm). Grantees will certify the data submission and then an ETA Federal Project Officer will review it. Once an ETA Federal Project officer has accepted a report, it is locked from grantee modifications unless specifically requested through the FPO.

Appendix A

Instructions for Completing the Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grant Quarterly Narrative Progress Report

General Grant Information
Grantee Name:
Project Name:
Grant Number:
Report Quarter Ending:
Date of Submission:
Program Contact Information:

A. Summary of Grant Activities

This section is an executive summary of grant activities for the quarter, and should serve as the annual summary each fourth quarter. In one page or less, please provide a short summary of all activities supported by the grant for the current quarter, highlighting key activities in line with the grant Statement of Work. This section is not intended to be a list of every meeting or communication.

B. Status Update on Leveraged Resources

Leveraged resources must be reported quarterly on the Financial Status Report (ETA-9130). In addition, please use this section of the narrative to report leveraged resources used to support grant activities. Leveraged resources include both Federal and non-Federal funds, and may take the form of cash or in-kind contributions. Examples of in-kind contributions include personnel services provided by volunteers or non-grantee staff, donated equipment, supplies, or space. This section may include an update on: (1) the organizations that contributed the resources; and (2) the ways in which the resources were used during the current quarter. Also, respond to the yes or no question in this section as follows:

- During this quarter, did you receive any additional leveraged resources beyond what is listed in your statement of work?

C. Status Update on Employer(s) Involvement

This section should be used to: (1) discuss how the required employer(s) has been involved during the current phase of the project; (2) outline specific roles and contributions of the employer(s) during this quarter; (3) identify any challenges encountered/resolved in the development and management of the employer involvement; and (4) discuss new employers and commitments that may have been added to support the project. The grantees must also respond to four yes or no questions in this section as follows:

- Have you had any consultation or advisory meetings with business or employer partners during this quarter?
- Were there any direct hires of program of study completers by employer partners during this quarter?
- Were internships or other work-based learning opportunities posted during this quarter?
- Did you acquire any additional employer partners during this quarter?

D. Timeline for Grant Activities and Deliverables

Use this section to provide a timeline of the progress of grant activities, key deliverables for this quarter, and if applicable, deliverables available this quarter for broad dissemination. Use the timeline in the grant's statement of work to identify all major program activities 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. Respond to two questions in this section as follows:

- How many programs are you planning to offer? This number should align with your statement of work.
- As of this quarter, how many programs have you launched to date?

F. Key Issues and Technical Assistance Needs

Summarize any significant issues or problems encountered during the quarter and resolution of previous issues and challenges identified in previous quarters. Describe any actions taken or plans for addressing issues, any question you have for DOL, and any need for assistance from DOL or others. If grantees have nothing to report, that should be specified.

G. Best Practices, Promising New Strategies and Success Stories

Describe promising approaches, innovative processes, and grant-level and/or participant level success stories. Examples may include developing and implementing an outreach plan, developing new or enhancing existing curriculum, and creating new career assistance tools and resources. Throughout the implementation of the program, grantees may discover new strategies that emerge as a result of data-driven continuous improvement. The new strategies may or may not have significant levels of evidence at this point in the program; however, they should still be described here. As progress is made with a new and promising strategy, or as data/evidence is gathered to support it, grantees should document the progress and data/evidence each quarter. Grantees may also describe any lessons learned and how those lessons learned will be implemented.

H. Additional Outcome Information

This section allows grantees to report any grant-specific outcomes not captured in other sections of the quarterly narrative progress report, including, but not limited to, any specific outcomes included in the statement of work. For every fourth quarterly report, this update may include additional information about activities and outcomes to supplement data submitted on the Annual Performance Report form.

I. Name of Grantee Certifying Official
The name of the grantee official who is certifying submission of the report to the Department.

J. Telephone Number
The area code (###) and telephone number (###-####) of the authorized official.

K. Email Address
The email address of the authorized official.

Attachment A- Word file

Appendix B

Instructions for Completing the Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grant Annual Performance Report

It is the expectation and design of the TAACCCT program that the first year of funding will primarily be used by grantees to build capacity based on the priority(ies) identified in their proposal. As such, ETA recognizes that annual data submitted in the Annual Performance Report Table 1 is likely to reflect minimal, if any, participant data for Year 1. However, given the Federal investment in these grants, grantees must report information participants enrolled during all four years.

- Table 1 (Attachment B.1) contains a count of all participants in all programs for that year only, as well as narrative information on yearly progress. Table 1 will reflect the data on the annual number of participants enrolled and outcomes achieved as reportable in each of the years the grant is active. The form and instructions for completing Table 1 can be found below and in **Attachment B.1**.

Demographic and outcome data reported should be based on individual-level participant data maintained by each individual grantee and each member of a grantee consortium, if applicable. Data will be reported on participants at the aggregate level, not the individual level. For consortia, the lead institution is responsible for gathering all relevant information and reporting it in aggregate for consortium members in the Annual Performance Report.

Tracking Individual Enrollee/Participant Outcomes

In order to track and report participant employment outcomes, and per the Statement of Work (via the Solicitation for Grant Applications), applicants may use administrative data to track employment, retention, and earnings outcomes. In order to conduct matches to student records with administrative wage data, the individual level data should include personally identifiable participant information (i.e., Social Security Numbers) as well as other data elements such as employment status, date of withdrawal, and reason for withdrawal, which can be matched with employment data available from state Unemployment Insurance and other administrative wage records. The individual-level data will not be provided to DOL through the quarterly or annual reports, but it may be provided to an independent evaluator to assess the impact of grantee programs. Grantees must ensure the confidentiality of personally identifiable information.

The Data Collector should ensure that when he or she is collecting this information from students that they are informed of why they are being asked to provide their Social Security numbers, in accordance with the Privacy Act statement below.

PRIVACY ACT

In accordance with the Privacy Act of 1974 (Public Law No. 93-579, 5 U.S.C. 552a), you are hereby notified that the Department of Labor is authorized to collect information to implement the Trade Adjustment Assistance Community College and Career Training Program under 19 USC 2372 – 2372a. The principal purpose for collecting this information is to administer the program, including tracking and evaluating participant progress. Providing this information, including a social security number (SSN) is voluntary; failure to disclose a SSN will not result in the denial of any right, benefit or privilege to which the participant is entitled. The information that is collected on this form will be retained in the program files of the grantee and may be released to other Department officials in the performance of their official duties.

(Note: The following is the citation from the Solicitation for Grant Applications (SGA) regarding administrative records: "Applicants must describe their existing or planned approach to tracking and reporting employment, retention, and earnings outcomes using administrative records. This may include working with the State Directory of New Hires, the State Labor Market Information units (that house the Local Employment Dynamic survey data), the State Workforce Agency that is responsible for tracking and reporting outcomes on TAA for Workers program participants using the Trade Act Participant Report (http://workforcesecurity.doleta.gov/dmstree/tegl/tegl2k/tegl_11-00a3.pdf) http://www.doleta.gov/Performance/pfdocs/12050392_TAPR_Revision_Track_Changes_Draft_TEGL_Change_112909.pdf), or other federally-supported administrative record data. This may also include working with the State Workforce Agency to access employment data available in unemployment wage records. For example, if the applicant does not have an existing relationship with its State's agency responsible for collecting wage record information to verify employment, it should describe the process that it will use to obtain employment outcome information, which may include establishing data sharing agreement(s) to access administrative records containing this information.)

Attachment B.1: Annual Performance Report – Table 1

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 Notice of Obligation (NOO) or equivalent official document from the U.S. Department of Labor.

A.3 **Program/Project Name** – Enter the name of the TACT 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 Year End Date** – Enter the year (*yyyy*) for which the report is being prepared.

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 year ending 09/30/2012, the Report Due Date format should be represented as 11/14/2012.

Section B. Participant Outcomes (ALL GRANT PARTICIPANTS)

Grantees are required to submit information for Rows B.1-B.10 only through the end of the year in which the data is being reported for participants enrolled in programs funded by the Trade Adjustment Assistance Community College and Career Training Grant. Grantees should report information on participants in Year 1 if it is available. For each additional year (Years 2, 3 and 4), information should be provided annually for the time period since the last report was completed, and *not cumulative to* date.

For all data collection items contained within this section, the data format is *Integer* with a maximum field length of *6-digits*. Information should be provided as follows:

B.1 **Unique Participants Enrolled** – Enter the total number of individuals who entered any of the grant-funded programs of study offered to date (including certificate or degree programs or other training activities). Participants should only be included once in the year they first enroll, even if they enroll in multiple programs or are still enrolled in subsequent years. A program of study is broadly defined as an educational program in which a degree or certificate is earned.

B.2 **Total Number of Participants Who Have Completed a Grant-Funded Program of Study** – Enter the total number of unique participants (B.1) who completed any grant-funded program to date. Completion is defined as having earned all of the credit hours (formal award units) needed for the award of a degree or certificate in that program of study. Participants should only be included once, even if they complete multiple programs of study.

B.2a **Total Number of Grant-Funded Program of Study Completers Who Are Incumbent Workers**– Enter the total number of incumbent workers (those employed at enrollment) who complete any grant-funded program to date. Completion is defined as having earned all of the credit hours (formal award units) needed for the award of a degree or certificate in that program of study. Participants should only be included once, even if they complete multiple programs.

B.3 **Total Number of Participants Still Retained in Their Program of Study (or Other Grant-Funded Programs)** – Of the total number of unique participants enrolled (B.1) who have not completed their programs, enter the total number of enrollees who were still enrolled either in their original program of study or a different grant-funded program of study at the end of the reporting year. (Note: A participant counted in B.2 should not be counted again in B.3).

B.4 **Total Number of Participants Retained in Other Education Program(s)** – Of the total number of unique participants enrolled, enter the total number of enrollees who dropped out of a grant-funded program of study, but have enrolled in another education program not funded by the grant. (Note: A participant counted in B.2 or B.3 should not be counted in B.4).

B.5 **Total Number of Grant-Funded Credit Hours Completed** – Enter the total number of grant-funded credit hours that have been completed by all participants during the reporting year regardless of the year in which the participants enrolled. This number should be reported for all enrollees, even if the participant is no longer enrolled in the grant-funded program of study or did not complete the program of study.

B.5a **Total Number of Participants Completing Credit Hours** – Enter the total number of participants that have completed any number of grant-funded credit hours during the reporting year.

B.6 **Total Number of Earned Certificates/Degrees** – Enter the total number of degrees or certificates earned during the reporting year by participants in grant-funded programs. This number should be reported for all enrollees, including multiple certificates and degrees earned by the same participant.

B.6a **Total Number of Participants Earning Certificates (less than one year)** – Enter the total number of participants who earned certificates designed to be completed in one year or less. A participant can be counted only once in this field, even if multiple certificates were earned by that participant.

B.6b **Total Number of Participants Earning Certificates (more than one year)** – Enter the total number of participants who earned certificates designed to be completed in more than one year. A participant can be counted only once in this field, even if multiple certificates were earned by that participant.

B.6c **Total Number of Participants Earning Degrees** – Enter the total number of participants who earned degrees. A participant can be counted only once in this field, even if multiple degrees were earned by that participant.

B.7 **Total Number of Participants Enrolled in Further Education After Program of Study Completion and Exit**– Of the number of participants who completed at least one grant-funded program (B.2), enter the total number of participants who entered another program of study after exiting the institution. Exit is defined as being no longer enrolled at the college in any program of study and can include formal withdrawal, expulsion, graduation, and other reasons. (Note: A participant counted in B.7 cannot be counted again in B.8).

B.8 **Total Number of Participants Employed After Program of Study Completion and Exit** – Of the participants in the reporting year who were not incumbent workers and who completed at least one grant-funded program of study (B.2), enter the total number of participants who entered unsubsidized employment after completion and were still employed in the first quarter after the quarter in which the student exits the college. Incumbent workers are defined as participants employed at enrollment. Exit is defined as being no longer enrolled at the college in any program of study and can include formal withdrawal, expulsion, graduation, and other reasons. (Note: A participant counted in B.7 cannot be counted in B.8; a participant counted in B.8 may be counted again in B.9).

B.9 **Total Number of Participants Retained in Employment After Program of Study Completion and Exit** – Of the non-incumbent participants who were employed in the first quarter after the quarter in which the student exits the college (B.8), enter the total number of participants who were employed in the second and third quarters after exit, regardless of whether they entered employment in this reporting year or the previous reporting year. . Incumbent workers are defined as participants employed at enrollment. Exit is defined as being no longer enrolled at the college in any program of study and can include formal withdrawal, expulsion, graduation, and other reasons. (Note: A participant counted in B.9 must have been counted in B.8).

B.10 **Total Number of Participants Employed at Enrollment Who Received a Wage Increase Post-Enrollment** – Of incumbent workers who enter a grant-funded program, enter the number who received an increase in their wages at any time after becoming enrolled. Report the first wage increase only and report the wage increase in the reporting year in which it occurred. Incumbent workers are defined as participants employed at enrollment.

Section C. Participant Summary Information (ALL GRANT PARTICIPANTS)

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 and reported for new participants through the end of the reporting year. Grantees should submit all of the information below for the participants enrolled and funded by the Trade Adjustment Assistance Community College and Career Training Grant. For all data collection items contained within this section, the data format is *Integer* with a maximum field length of *6-digits*.

C.1a **Male** – Enter the total number of new participants who self-identify their gender as male.

C.1b **Female** – Enter the total number of new participants who self-identify their gender as female.

C.2a **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.

C.2b **American Indian or Alaskan Native** – Enter the total number of new participants who self-identify their race as American Indian or Alaskan 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.

C.2c **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.

C.2d **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.

C.2e **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.

C.2f **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.

C.2g **More Than One Race** - Enter the total number of new participants who self-identify more than one of the racial categories outlined in ***Rows C.2b*** through ***C.2f*** above.

C.3a **Full-time Status** - Enter the total number of new participants who are enrolled in college courses on a full-time basis. Full-time basis is defined as enrollment into 12 or more credit hours in the Fall or Spring semester and 6 or more credit hours in the Summer.

C.3b **Part-time Status** - Enter the total number of new participants who are enrolled in college courses on a part-time basis. Part-time basis is defined as enrollment into less than 12 credit hours in the Fall or Spring semester and less than 6 credit hours in the Summer.

C.4a **Incumbent Workers** - Enter the total number of new participants who are already employed at the time of enrollment.

C.5 **Eligible Veterans** - Enter the total number of new participants who meet one of the following conditions as a veteran:

1. Is a person who served at least one day in the active military, naval, or air service, and who was discharged or released therefrom under conditions other than dishonorable, as specified in 38 U.S.C. 101(2).
2. Is a person who is (a) the spouse of any person 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 assistance under this part, is listed, pursuant to 38 U.S.C 101 and the regulations issued thereunder, by the Secretary concerned, in one or more of the following categories and has been so listed for 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 person who has a total disability, permanent in nature resulting from a service-connected disability or the spouse of a veteran who died while a disability so evaluated was in existence.

C.6 **Participant Age (Mean)** - Enter the mean age in years of the new participants. Mean age is defined as the sum of the ages of all of new participants/enrollees divided by the number of new participants/enrollees.

C.7 **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.)

C.8 **Pell-Grant Eligible** – Enter the number of participants who are eligible to receive federal Pell Grant assistance.

C.9 **TAA Eligible** – Enter the number of participants who are eligible to receive Trade Adjustment Assistance (TAA) benefits.

C.10 **Other Demographic Measures** – This optional field allows grantees to enter and report on additional characteristics as needed or desired.

Section D. Achievements and Successes

This field will be used by grantees to provide a brief narrative description of their most innovative achievement or greatest success story from the previous year.

Section F. Services and Outcomes for TAA Eligible Individuals

This field will be used by grantees to provide a description of how the program(s) have served TAA eligible individuals. Specifically, grantees should address: 1) the number of TAA Eligible individuals who participated in TAACCCT funded programs; 2) how many TAA Eligible individuals enrolled and obtained credentials, certificates or degrees; 3) how many TAA Eligible Individuals enrolled and did not attain credentials, certificates or degrees; and 4) the average duration (provided in weeks) and whether the duration of education and training was longer or shorter for these individuals than for other non-TAA eligible participants. Grantees can use observations or participant records to compile and summarize this information

Section G. Report Certification/Additional Comments

G.1 **Report Comments/Narrative** – Grantees should provide any additional information on annual outcomes in this section.

G.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.

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

G.4 **Email Address** – Enter the email address of the authorized official.

Attachment B.1 – Excel File