



<b>EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210</b>	<b>CLASSIFICATION</b> Performance
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**ADVISORY:** TRAINING AND EMPLOYMENT GUIDANCE LETTER WIOA NO. 14-18  
OPERATING GUIDANCE for the WORKFORCE INNOVATION AND OPPORTUNITY ACT (referred to as WIOA)

**TO:** STATE AND LOCAL STAKEHOLDERS IN THE WORKFORCE  
INNOVATION AND OPPORTUNITY ACT  
STATE WORKFORCE AGENCIES  
STATE WORKFORCE ADMINISTRATORS  
STATE WORKFORCE LIAISONS  
H-1B JOB TRAINING PROGRAM GRANTEES  
INDIAN AND NATIVE AMERICAN (INA) PROGRAM GRANTEES  
JOB CORPS CONTRACTORS  
JOBS FOR VETERANS STATE GRANTS (JVSG) GRANTEES  
OFFICE OF UNEMPLOYMENT INSURANCE (OUI)  
STATE MONITOR ADVOCATES  
NATIONAL FARMWORKER JOBS PROGRAM GRANTEES  
NATIONAL DISLOCATED WORKER GRANTEES  
REGISTERED APPRENTICESHIP (RA) PROGRAMS  
REENTRY EMPLOYMENT OPPORTUNITIES (REO) GRANTEES  
SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP) GRANTEES  
TRADE ADJUSTMENT ASSISTANCE (TAA) LEADS  
YOUTHBUILD GRANTEES

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**SUBJECT:** Aligning Performance Accountability Reporting, Definitions, and Policies Across Workforce Employment and Training Programs Administered by the U.S. Department of Labor (DOL)

- Purpose.** This Training and Employment Guidance Letter (TEGL) aligns and streamlines performance indicators and requirements across 15 DOL Employment and Training Administration (ETA) programs to the Workforce Innovation and Opportunity Act (WIOA)

<b>RESCISSIONS</b> TEGL 14-00; TEGL 14-00, Change 1; TEGL 01-02; TEGL 01-02, Change 2; TEGL 08-02; TEGL 14-03; TEGL 14-03, Change 1; TEGL 17-05; TEGL 17-05, Change 2; TEGL 01-09; TEGL 01-09, Change 1; TEGL 01-09, Change 2; TEGL 06-09; TEGL 06-09, Change 1; TEGL 06-09, Change 2; TEGL 17-09; TEGL 07-12; TEGL 32-12; TEGL 4-13; TEGL 25-13; TEGL 30-14	<b>EXPIRATION DATE</b> Continuing
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performance indicators, while also rescinding and eliminating outdated performance guidance for these programs in addition to clarifying existing ETA performance accountability policies that changed due to WIOA.

2. **References.** See Appendix VII.

3. **Background.** This guidance provides sub-regulatory guidance on reporting performance accountability, including the requirements set forth in the WIOA, related to the implementation and operation of the performance accountability systems under WIOA section 116 and the implementing regulations in 20 CFR parts 677, 684, 685, 686, and 688.

WIOA section 116 establishes performance accountability indicators and performance reporting requirements to assess the effectiveness of States, local areas, program grantees, and Job Corps contractors in achieving positive outcomes for individuals served by the workforce development system. WIOA provides an historic opportunity to align performance-related definitions across the employment and training programs administered by DOL and by U.S. Department of Education (ED), align performance indicators, integrate reporting, and ensure comparable data collection and reporting across programs, while also implementing program-specific requirements related to data collection and reporting.

Initial sub-regulatory guidance for the six core WIOA programs (referred to in this guidance as “core programs”) was developed jointly by DOL and ED, and can be found in TEGL 10-16, Change 1, *Performance Accountability Guidance for Workforce Innovation and Opportunity Act (WIOA) Title I, Title II, Title III and Title IV Core Programs* ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3255](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255)), published on August 23, 2017. These six core programs are the Adult, Dislocated Worker, and Youth programs, authorized under WIOA title I and administered by DOL; the Adult Education and Family Literacy Act (AEFLA) program, authorized under WIOA title II and administered by ED; the Employment Service (ES) program authorized under the Wagner-Peyser Act, as amended by WIOA title III and administered by DOL;<sup>1</sup> and the Vocational Rehabilitation (VR) program authorized under title I of the Rehabilitation Act of 1973, as amended by WIOA title IV and administered by ED.<sup>2</sup>

This issuance provides additional DOL-specific guidance on performance accountability for DOL programs that are not included in the core programs, referred to in this guidance as “non-core programs,” as well as additional DOL-specific guidance on the DOL-administered core programs, which can be found in the attachments of this guidance. Those non-core programs include programs authorized by WIOA, as well as programs authorized by other Federal legislation. Collectively, the non-core programs include:

- Indian and Native American (INA) Program, under WIOA section 166;
- Job Corps, under WIOA sections 141-162;
- National Farmworker Jobs Program (NFJP), under WIOA section 167;

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<sup>1</sup> Although this program is authorized under the Wagner-Peyser Act, it was amended by title III of WIOA and is a “core program” of WIOA, as defined at WIOA section 3(12). Throughout this guidance, it is referred to as the “title III Employment Service.”

<sup>2</sup> Although this program is authorized under title I of the Rehabilitation Act of 1973, it was amended by title IV of WIOA and is a “core program” of WIOA, as defined at WIOA section 3(12). Throughout this guidance, it is referred to as the “title IV VR program.”

- YouthBuild, under WIOA section 171;
- Reentry Employment Opportunities (REO), authorized under WIOA section 169<sup>3</sup>;
- National Dislocated Worker Grants (DWG), under WIOA section 170;
- H-1B Job Training Programs (grants awarded July 1, 2016, and later), authorized under section 414(c) of the American Competitiveness and Workforce Improvement Act of 1998 (29 U.S.C. § 3224a);
- Senior Community Service Employment Program (SCSEP), authorized under title V of the Older Americans Act of 1965 (42 U.S.C. 3056 *et seq.*);
- Trade Adjustment Assistance (TAA), authorized under chapter 2 of title II of the Trade Act of 1974 (19 U.S.C. 2271 *et seq.*); and
- Jobs for Veterans State Grants (JVSG), authorized under 38 U.S.C. chapter 41.

In addition this guidance also describes performance accountability for the reporting requirements for the Monitor Advocate System, which is not technically a program but a system that protects the standard of services provided to migrant and seasonal farmworkers (MSFWs) under the title III Employment Service program.

WIOA, signed into law on July 22, 2014, is designed to help job seekers access employment, education, training, and support services to succeed in the labor market and to match employers with the skilled workers they need to compete in the global economy. WIOA supersedes titles I and II of the Workforce Investment Act of 1998 (WIA) and amends the Wagner-Peyser Act and the Rehabilitation Act of 1973.

This guidance is based on the statutory requirements and the implementing final regulations of WIOA and the authorizing program legislations listed above.

The Department announced an implementation schedule for an integrated performance reporting system for certain DOL core and non-core programs—consistent with this opportunity for alignment, streamlining, and integration—in Training and Employment Notice (TEN) 8-16, *Implementation of an Integrated Performance Reporting System for Multiple Employment and Training Administration (ETA) and Veterans' Employment and Training Service (VETS) Administered Programs*, published on Aug. 24, 2016 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5317](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5317)). Under the implementation schedule, reporting requirements for core programs became effective July 1, 2016. The implementation date for non-core programs varied and programs should refer to program-specific attachments for their program's implementation date.

**Programs Included:**

WIOA section 116(b) establishes performance indicators and reporting requirements for the WIOA core programs: the title I Adult, Dislocated Worker, and Youth programs; title II AEFLA program; title III Employment Service program; and title IV VR program. Under WIOA, these indicators also apply to the NFJP program (WIOA section 167(c)(3)), the INA programs (WIOA section 166(h)), YouthBuild (WIOA section 171(c)(3)(B)(xii)), and Job

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<sup>3</sup> Section 212 of the Second Chance Act was repealed by section 504(a) of the First Step Act, P.L. 115-391 (December 21, 2018). While the Reentry Employment Opportunities program used to be authorized under both Section 212 of the Second Chance Act and section 169 of WIOA, the program now is authorized under only section 169 of WIOA. The terms of the grants awarded prior to December 21, 2018, are unaffected by this change.

Corps (WIOA section 159(c)). The Department is aligning the performance accountability requirements for the DWG program by adopting the performance indicators of the title I Dislocated Worker program, as described in WIOA section 116.

The recent reauthorization of the TAA program through the Trade Adjustment Assistance Reauthorization Act (TAARA) of 2015, title IV of the Trade Preferences Extension Act of 2015 (Pub. L. No. 114-27), aligns many of the same performance accountability indicators for the TAA program by specifying many of the same performance indicators as specified for WIOA core programs (19 U.S.C. 2311(j)(2)(A)(i)). Therefore, the TAA program is aligned with the requirements and definitions in this guidance, as well.

Under 29 USC 3224a(7), for the H-1B Job Training Grants, DOL is required under statute to “require grantees to report on the employment outcomes obtained by workers receiving training under this subsection using indicators of performance that are consistent with other indicators used for employment and training programs administered by the Secretary [of Labor].” Therefore, the H-1B Job Training Grants program is aligned with the requirements and definitions in this guidance, as well, for grants with a start date of July 1, 2016, and later.

While REO does not have a legislative requirement for aligned reporting, DOL is adopting the WIOA performance indicators for this program, and aligning REO with WIOA data element definitions and reporting templates for grants with a start date of July 1, 2017, or later.

38 U.S.C. 4102A(f) requires DOL to establish performance indicators for the JVSG program that are “consistent with State performance accountability measures applicable under section 116(b)” of WIOA. Therefore, the WIOA section 116(b) indicators and reporting requirements apply to the JVSG program.

In addition, grantees in the Homeless Veterans Reintegration Programs (HVRP), administered by the VETS, must co-enroll all homeless veterans program participants into the Employment Service program, a JVSG program, or another WIOA title I program, as stated in TEGL 4-16 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7820](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7820)) and Veterans’ Program Letter (VPL) 03-16, (<https://www.dol.gov/vets/VPLS/VPLDirectory.html>), *Enrollment of Homeless Veterans Program Participants into a Workforce Innovation and Opportunity Act (WIOA) Workforce Program at an American Job Center (AJC)* published on July 15, 2016. Therefore, performance information related to employment and education or training outcomes will be reported through the integrated performance reporting system.

SCSEP was reauthorized on April 19, 2016, through the Older Americans Act Reauthorization Act of 2016 (Pub. L. No. 114-144), which in great part aligns the SCSEP indicators of performance with those of WIOA. DOL published an Interim Final Rule (IFR) implementing the new SCSEP performance indicators with an effective date of January 2, 2018, and has added SCSEP performance data elements to the DOL-only Participant Individual Record Layout (PIRL). On July 30, 2018, the Department issued a Final Rule adopting the IFR as final without change. SCSEP performance information under the new measures are required to be reported beginning July 1, 2018.

Furthermore, the DOL Office of Apprenticeship and the Office of Unemployment Insurance have partnered in the development of this guidance to highlight where the requirements of this guidance overlap with those programs' separate performance reporting and accountability requirements.

Therefore, as described in this guidance, non-core programs are aligning with the performance accountability indicators and performance reporting requirements established under WIOA section 116(b); the extent of this alignment, for each non-core program, is described in program-specific guidance at Attachments 1 through 11. In addition, this guidance provides additional performance accountability indicators and performance reporting requirements for the Monitor Advocate System, regarding the effectiveness and equity of the title III Employment Service in serving migrant and seasonal farmworkers (MSFWs).

### **Organization of This Guidance**

This TEGL is intended to align the guidance relating to the definitions and requirements listed below and in the appendices of this TEGL, while allowing individual non-core programs to provide program-specific information on their distinct and unique requirements in the 11 program-specific attachments to this TEGL.

Through this guidance, DOL elaborates on the performance accountability requirements in WIOA section 116 and part 677 of the Joint WIOA Final Rule, as well as parts 684, 685, 686, and 688 of the WIOA Final Rule, and the performance reporting requirements in the WIOA DOL-only PIRL (ETA-9172), approved by the Office of Management and Budget (OMB) on June 30, 2016.<sup>4</sup> Specifically, this guidance addresses the:

- Methodology for calculating the six primary indicators of performance;
- Definitions of reportable individual, participant, and exit;
- Definitions of common exit, self-service and information-only services or activities, and period of participation;
- Requirements related to: (1) Workforce Integrated Performance System (WIPS) Reporting, (2) State Annual Report Narratives, (3) Eligible Training Provider Performance Reporting, (4) Pay-for-Performance Reporting, (5) Quarterly Narrative Reports for Non-Core Programs, (6) Use of Social Security Numbers for Performance Reporting, and (7) Supplemental Wage Information; and
- Unique performance requirements for each non-core program.

It should be noted that the performance guidance for each non-core program may differ due to the unique statutory limitations and policies of each program. Attachments 1 through 11 of this TEGL provide specific information and requirements for each program and highlight areas where each differs from the shared DOL performance guidance described in the body of this TEGL and its appendices.

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<sup>4</sup>The DOL-only PIRL has been approved under OMB Control Number 1205-0521 (ETA Workforce Innovation and Opportunity Act Performance Accountability, Information, and Reporting System, current expiration date June 30, 2021), available at [https://doleta.gov/performance/reporting/eta\\_default.cfm](https://doleta.gov/performance/reporting/eta_default.cfm). The PIRL provides a standard layout of the data elements, definitions, and reporting instructions used to describe the characteristics, activities, and outcomes of participants of DOL administered workforce employment and training programs.

Where applicable, this document refers to data elements in the DOL-only PIRL. Note that the guidance in TEGL 10-16, Change 1 refers to data elements in the WIOA Joint PIRL,<sup>5</sup> all of which are included as a part of the DOL-only PIRL. The elements from the WIOA Joint PIRL are highlighted blue in the DOL-only PIRL for ease of identification.

#### **4. List of Appendices and Attachments.<sup>6</sup>**

- **Appendix I:** Primary Indicators of Performance
- **Appendix II:** Definitions of Terms Related to the Performance Accountability System
- **Appendix III:** Participant Level Services Charts
  - **Table A:** Indian and Native American Programs
  - **Table B:** National Dislocated Worker Grants
  - **Table C:** National Farmworker Jobs Program
  - **Table D:** Trade Adjustment Assistance
- **Appendix IV:** PIRL Elements Used in the Calculation of Each Primary Indicator of Performance
- **Appendix V:** Periods of Performance Reporting Cohorts
- **Appendix VI:** Supplemental Wage Information for Non-Core Programs
- **Appendix VII:** References
- **Attachment 1:** H-1B Grants
- **Attachment 2:** Indian and Native American Programs
- **Attachment 3:** Job Corps
- **Attachment 4:** Jobs for Veterans State Grants
- **Attachment 5:** Monitor Advocate
- **Attachment 6:** National Dislocated Worker Grants
- **Attachment 7:** National Farmworker Jobs Program
- **Attachment 8:** Reentry Employment Opportunities
- **Attachment 9:** Senior Community Service Employment Program
- **Attachment 10:** Trade Adjustment Assistance
- **Attachment 11:** YouthBuild

#### **5. Definitions of Terms Related To the Performance Accountability System.**

This guidance provides definitions of the following terms. See **Appendix II** for complete definitions.

- Common Exit
- Customized Training
- Employment
- Incumbent Worker
- Non-Core Programs
- Participant Individual Record Layout
- Period of Participation

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<sup>5</sup>The WIOA Joint PIRL has been approved under OMB Control Number 1205-0526 (Workforce Innovation and Opportunity Act Common Performance Reporting, expiration date March 31, 2021).

<sup>6</sup>Note that in this guidance “Appendices” provide information for all programs while “Attachments” provide program specific information.

- Secondary School Diploma
- Unsubsidized Employment

6. **Primary Indicators of Performance.** Appendix I provides the description, methodology, and operational parameters for each of the six primary indicators of performance. Appendix I is aligned with the guidance presented in TEGL 10-16, Change 1, but revised as necessary to provide guidance applicable to the DOL-administered non-core programs, as TEGL 10-16, Change 1, was issued jointly by DOL and ED to provide guidance for the six WIOA core programs. Unless otherwise stated, all of the core and non-core programs listed will be using these indicators as defined in Appendix I. Each of the non-core programs has some unique differences as it relates to this and subsequent sections of this guidance, which can be found in the corresponding programmatic guidance found in **Attachments 1 through 11**.

7. **Categories of Enrollment: Reportable Individual, Participant & Date of Program Exit.** The definitions of the categories of enrollment—reportable individual and participant—in this section of the guidance apply to the core programs. However, given the degree to which the definitions converge for these enrollment categories for non-core programs and core programs, it is useful for non-core programs to understand these definitions, even where they do not directly apply to a non-core program. For programs that recognize the category of reportable individual, there are two points to understand in reading these definitions: (1) all participants are reportable individuals, but some reportable individuals do not become participants (*i.e.*, they remain reportable individuals only), and (2) an individual can be a participant in multiple programs, a reportable individual in multiple programs, or be a participant in one program while still being considered just a reportable individual in a different program. Non-core programs included in this guidance should refer to the appropriate attachment for program-specific definitions and guidance for the following categories of enrollment.

**Reportable Individual:** The category of reportable individual allows DOL to identify the individuals who engaged with the workforce development system on an initial level. By definition this includes two categories: (1) those individuals who also meet the requirements to become participants in a given program and (2) those who do not meet the requirements to become a participant. For the purposes of performance reporting, the second category is what this guidance refers to as “reportable individuals.” This category of enrollment applies to the core programs and to certain non-core programs; program-specific guidance specifies the application and, as applicable, definition of this category to each non-core program.

DOL will use this category to track the number of individuals who take part in self-services, receive information-only services or activities, or do not complete the program requirements for eligibility or for participation. For DOL-administered core programs, as set forth in 20 CFR 677.150(b), a reportable individual is an individual who has taken action that demonstrates an intent to use program services and who meets specific reporting criteria of the program, including:

- 1) Individuals who provide identifying information;
- 2) Individuals who only use the self-service system; or
- 3) Individuals who only receive information-only services or activities.

For the DOL-administered core and non-core programs, the Department will not negotiate levels of performance or impose sanctions based on the outcomes of reportable individuals, because only participants are included in the performance indicators. However, the Department requires inclusion of certain information about reportable individuals in the State quarterly performance reports and associated WIOA performance reporting instruments or program-specific performance reporting instruments, which allows the system to accurately represent the number of individuals served by the system.

**Participant:** Although the definition of participant is consistent across the core programs, there are some slight differences to account for programmatic requirements. Specifically for the WIOA title I Adult, title I Dislocated Worker, and title III Employment Service programs, a participant is a reportable individual who has received services other than the services described in 20 CFR 677.150(a)(3) after satisfying all applicable programmatic requirements for the provision of services, such as an eligibility determination.

As set forth in more detail in 20 C.F.R. 677.150(a)(3), the following individuals are not participants:

- Individuals who only use the self-service system; or
- Individuals who receive information-only services or activities, which provide readily available information that does not require an assessment by a staff member of the individual's skills, education, or career objectives.

For the title I Youth program, a participant is a reportable individual who has satisfied all applicable program requirements for the provision of services, including eligibility determination, an objective assessment, and development of an individual service strategy, and received one or more of the 14 WIOA Youth program elements identified in WIOA section 129(c)(2) and 20 C.F.R. 677.150(a)(2).

For the non-core programs, the definition of participant is specified in program-specific guidance. In general, however, for the non-core programs, a participant is an individual who has received grant-funded services after satisfying all applicable programmatic requirements for the provision of services, such as eligibility determination.

As a general matter, participants' outcomes on the applicable primary indicators of performance may be relevant:

- For negotiating levels of performance;
- For the calculation and imposition of sanctions (as applicable); and
- To decisions related to contract awards and renewal and to the award of competitive grants.

For the DOL-administered core programs, the Department will negotiate levels of performance and calculate sanctions (as applicable) based on the outcomes of program participants upon exit (for the exit-based indicators) or during participation in a program. The DOL-administered non-core programs, grantees, and Job Corps contractors should refer to guidance in individual program attachments or other programmatic guidance, regulations, and statutes to determine if grantees for their program or Job Corps contractors are required



to negotiate levels of performance as this may not apply to all programs. Furthermore, past performance may be a consideration in decisions to award or renew a grant or contract to an applicant to programs administered by ETA or by VETS.

**Programmatic Criteria for Becoming a Participant in Each Program:** Due to the variability in programmatic criteria to receive services, the particular services that trigger inclusion as a participant vary across the core and non-core programs. Below are the criteria for the core WIOA programs, as is also detailed in TEGL 10-16, Change 1. Variations in alignment with these definitions across the non-core programs are further described in each program's attachment. Furthermore, Appendix III provides participation-level services charts for the INA, DWG, NFJP, and TAA programs, as participant status in those non-core programs is based in part on the type of services received.

- **Title I Adult and Dislocated Worker** – Receipt of any training services or individualized career services makes a reportable individual a participant. For basic career services, a reportable individual becomes a participant when he or she receives a service that is neither self-service nor information-only. See the chart in **TEGL 10-16, Change 1, Attachment 7, Table A** ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3255](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255)), which lists types of services received, identifies those services as basic career services, individualized career services, or training services, and states whether each type of service triggers inclusion in participation for the title I Adult and Dislocated Worker programs and for the title III Employment Service program.
- **Title I Youth** – When a reportable individual has satisfied all applicable program requirements for the provision of services, including eligibility determination, an objective assessment, development of an individual service strategy, and received at least one of the 14 WIOA Youth program elements identified in WIOA section 129(c)(2), then he or she is considered a participant. See the chart in **TEGL 10-16, Change 1, Attachment 7, Table B** (see link above).
- **Title III Employment Service** – When a reportable individual receives an individualized career service he or she is considered a participant. For basic career services, a reportable individual becomes a participant when he or she receives a service that is neither self-service nor information-only. See the chart in **TEGL 10-16, Change 1, Attachment 7, Table A** (see link above).

**Exit:** Exit from a program, as set forth in 20 CFR 677.150(c), generally occurs when the participant has not received services for a specified period of time and has no additional services scheduled.

For the title I and title III core programs, the date of exit from the program is the last date of service. Specifically:

- The date of exit cannot be determined until 90 days have elapsed since the participant last received services; furthermore, there must be no plans to provide the participant with future services. At that point, the date of exit is applied retroactively to the last date of service.

- When determining whether 90 days have elapsed since the participant last received services, grantees must not include the receipt by the participant of any self-service, information-only services or activities, or follow-up services, as these services do not delay, postpone, or affect the date of exit. Because the date of exit is retroactive to the last date of service, follow-up services may begin immediately following the anticipated last date of service if it is expected that the participant will not receive any future services other than follow-up services.<sup>7</sup> Provision of follow-up services does not extend the date of exit.
- PIRL data element 901 (Date of Program Exit) is used to collect and report the date of exit. For exit-based performance measures, the quarter<sup>8</sup> for collecting follow-up data is determined by the quarter in which the date of exit occurs. For example, if the date of exit is between January 1 and March 31, the first quarter after exit would be April 1 through June 30.

Follow-up services do not trigger the exit date to change or delay exit, as they may occur after exit in title I Adult and Dislocated Worker programs (see TEGL 19-16 [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3851](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3851)) and can only occur after exit in the title I Youth program (see TEGL 21-16 [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7159](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7159)), (See program-specific guidance for non-core programs.) States should count each exit of a participant during the same program year as the end date of a separate period of participation if a participant has more than one exit in a program year.

For the non-core programs, the definition of exit is stated in program-specific guidance. In general, exit occurs on the last day of service, and the exit date is determined when the participant has not received services (other than self-service, information-only services or activities, or follow-up services) for 90 days, and no additional services are scheduled.

Furthermore, when future services are scheduled more than 90 days after the most recent date of service, such as might happen when there is a delay before the beginning of training, grantees and Job Corps contractors should make sure that these participants are not automatically exited from their Management Information System (MIS) when 90 days have elapsed. Grantees and Job Corps contractors must document that these future services have been scheduled when necessary in those rare instances where future services are needed to take place more than 90 days out. Program specific guidance for scheduling future services can be found in the individual program attachments.

Under limited circumstances, some participants who exit programs are excluded from the performance calculations for the primary indicators of performance. The table below

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<sup>7</sup> WIOA title I core programs should note the following clarification on follow up services from TEGL 10-16, Change 1: "Follow-up services in the title I Adult and Dislocated Worker programs may begin immediately following placement into unsubsidized employment if it is expected that the participant will not receive any future services other than follow-up services. For the title I Youth program, follow-up services may begin immediately following the last date of service if it is expected that the participant will not receive any future services other than follow-up services."

<sup>8</sup> In this guidance, the term "quarter" refers to one of the four set 3-month periods each year: January 1 – March 31, April 1 – June 30, July 1 – September 30, and October 1 – December 31.

describes these exclusions in greater detail and clarifies to which programs' participants they are applicable. These categories of exclusion, where a participant is exited but not reported in performance calculations for the primary indicators of performance, include instances where a participant is exited from a program because of medical treatment that lasts longer than 90 days and that precludes entry into unsubsidized employment or continued participation in the program.

<b>Exclusions from Performance Indicators – PIRL Element 923</b>		
*Note that unless explicitly stated in program guidance, these are not applicable should one of these conditions occur after a participant's Date of Program Exit (PIRL 901)		
<b>Code Value</b>	<b>Applicable Programs</b>	<b>Explanation</b>
<b>01</b> (Institutionalized)	ALL	The participant exits the program because he or she has become incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support, such as a hospital or treatment center, during the course of receiving services as a participant.
<b>02</b> (Health/Medical)	ALL	The participant exits the program because of medical treatment and that treatment is expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program.
<b>03</b> (Deceased)	ALL	The participant is deceased.
<b>04</b> (Reserve Forces called to Active Duty)	ALL	The participant exits the program because the 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.
<b>05</b> (Foster Care)	WIOA title I Youth; YouthBuild; REO Youth	The participant is in the foster care system, as defined in 45 CFR 1355.20(a), and exits the program because the participant has moved from the local workforce area as part of such a program or system.
<b>06</b> (Ineligible)	WIOA title IV Voc. Rehab; SCSEP; Job Corps	The participant who was determined to be eligible for program services and is later determined not to have met the program's eligibility criteria. This exclusion applies only to the VR program, Job Corps, and SCSEP in which participant eligibility is routinely revisited during the participation period. For all other programs, eligibility is determined at the time an individual becomes a participant and such eligibility is not revisited during the individual's participation in the program.

<p style="text-align: center;"><b>07</b> (Criminal Offender)</p>	<p style="text-align: center;">WIOA title II AEFLA – sec. 225 participants only</p>	<p style="text-align: center;">See Attachment 2 of TEGL 10-16, Change 1</p>
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**Period of Reportable Individual Activity:** A period of reportable individual activity refers to the period of time that begins either (a) when a person first takes part in a qualifying reportable individual activity or (b) 91 days after the date of exit of a preceding period of participation. A period of reportable individual activity ends when either (a) no services have been received for more than 90 days or (b) 90 days prior to the start of a subsequent period of participation.<sup>9</sup> A new period of reportable individual activity must be recorded when more than 90 consecutive days have elapsed since that reportable individual last engaged with the program via self-service or an information-only service or activity. This “end of the period of reportable individual activity” is needed in order to prevent reportable individuals who have stopped receiving services from staying in the system indefinitely.

In cases where a person has a period of reportable individual activity lasting more than 90 days, prior to becoming a participant, two records must be reported. The first record represents the period of reportable individual activity and must end 91 days before the date of program entry for the subsequent period of participation. The second record represents the period of participation and will include any reportable individual services or activities occurring within 90 days prior to the date of program entry.

In cases where a person has a period of reportable individual activity lasting fewer than 90 days, prior to becoming a participant, only one record must be reported. The record represents a period of participation and will include any reportable individual services or activities occurring within 90 days prior to the date of program entry.

The same logic applies to periods of reportable individual activity occurring after a period of participation. Any reportable individual activities occurring within 90 days after the date of program exit will be reported as part of the period of participation. Reportable individual activities occurring more than 90 days after the date of program exit will not be included in the record for the period of participation. A second record representing a period of reportable individual activity beginning more than 90 days after the date of program exit must be reported.

**Common Exit:** DOL encourages states to use a “common exit” for DOL-administered programs and envisions full implementation of a common exit across the DOL-administered core programs within each State. While DOL encourages states that implement common exit policies to include DOL-administered non-core programs within the scope of each state’s common exit policy, DOL recognizes the challenges this potentially poses. The decision of whether to implement a common exit policy, or to include DOL-administered non-core

<sup>9</sup> Note that for reportable individuals, grantees or Job Corps contractors should not be reporting either Date of Program Entry (PIRL #900) or Date of Program Exit (PIRL #901). References to “Date of Exit” and “Exit” in this section are meant to highlight how long a reportable individual is expected to continue to be reported in the files that grantees or Job Corps contractors submit to the Department.

programs within that policy, is ultimately left to each state, subject to the following requirements and exceptions. The WIOA final rule allows for States to establish common exit policies that include any of the DOL-administered non-core programs (as defined in Appendix II) except for the H-1B Job Training Programs, which are not included in the list of required one-stop partners in WIOA section 121(b)(1)(B).

A “common exit” occurs when a participant, enrolled in multiple partner programs, has not received services from *any* DOL-administered program to which the common exit policy applies for at least 90 days and has no future services planned. States that retain or develop a common exit policy must require that a participant is only exited when all the criteria for exit are met for the WIOA titles I and III core programs to which the common exit policy applies, as well as the exit criteria for any additional DOL-administered required partner programs to which the State’s common exit policy applies and in which the participant is enrolled.

Any State that chooses to adopt or retain a common exit policy may include some or all of the following core programs in the common exit policy:

- WIOA title I Adult program;
- WIOA title I Dislocated Worker program;
- WIOA title I Youth program; and
- WIOA title III Employment Service program.

Additionally, DOL encourages the inclusion in the common exit policy of the additional required partner programs listed in WIOA section 121(b)(1)(B) that are under the authority of DOL (i.e., the non-core programs). DOL notes, for instance, that in the past, a number of States implemented co-enrollment policies for TAA and additionally included TAA in the State’s common exit policy. In addition, JVSG program grantees are encouraged to utilize a common exit with core programs and also to co-enroll participants in the title III Employment Service program for more efficient service delivery and compliance with reporting requirements.

Common exit policies can be very beneficial for partner programs, as well as the participants being served. By implementing common exit policies, programs are able to more efficiently and effectively integrate service delivery and performance reporting, which can improve the program resources available, the quality of services provided through a common period of participation, and performance outcomes as a result. These improvements can come from greater ability to track, coordinate, and report services and outcomes, as well as from the ability of states to create common exit policies across programs that allow for coordination of a participant’s services before their outcomes are tracked. For example, when a wage match is conducted by one program, those outcomes would be the same for each of the programs in which an individual participates under a common exit policy; therefore, the outcomes would only need to be obtained once rather than each program tracking that information separately. This may enable grantees or Job Corps contractors access to data that they otherwise would not be able to access.

As a procedural matter, states are required to identify the programs for which they have adopted a common exit in their WIOA State Plans, beginning with the plans submitted for

PY 2016. Additionally, states must identify in the Program Performance Report Template (ETA-9173) the programs that share a common exit with the program being reported.

It should be noted that the Monitor Advocate System does not have a co-enrollment requirement, because the Monitor Advocate System is a system that uses performance data within the title III Employment Service and does not operate as a completely separate program. It evaluates minimum and equity service levels for MSFW participants compared to all participants that are enrolled in the title III Employment Service. This comparative evaluation of service provision and outcomes within a State is, therefore, not impacted by whether or not the State adopts common exit, because any decision to adopt common exit will affect all ES participants alike, MSFW or not.

8. **Self-Service and Information-Only Activities.** Non-core programs included in this guidance should refer to the appropriate attachment for the applicability of self-service and information-only activities, as these categories do not apply to the services offered by all non-core programs.

Workforce development system programs offer many services to the public, both virtually and in person, that are general in nature. These are commonly known as self-services or information-only services or activities. These services do not constitute participation in a program. Therefore, individuals who receive only self-services or information-only services or activities are considered reportable individuals, not participants. Note that the “reportable individual” category is used for some, but not all, of the non-core programs. Core programs that do not use the reportable individual category track only participants.

As described in 20 CFR 677.150(a)(3)(ii)(A), self-service occurs when individuals independently access any workforce development system program’s information and activities in either a physical location, such as an American Job Center resource room or partner agency, or remotely via the use of electronic technologies. However, it is important to note that self-service does not uniformly apply to all virtually-accessed services. For example, virtually-accessed services that provide a level of support beyond independent job or information seeking on the part of an individual would not be considered self-service and would therefore be a participant-level service.

Information-only services or activities are those that provide readily available information that does not require an assessment by a staff member of the individual’s skills, education, or career objectives.

9. **Period of Participation.** Non-core programs included in this guidance should refer to the appropriate attachment for the applicable period of performance definition, as it may differ by program.

For the core programs, for all indicators, except Measurable Skill Gains, a period of participation refers to the period of time beginning when an individual becomes a participant and ending on the participant’s date of exit from the program. States must count each participant’s exit during the same program year as a separate period of participation for purposes of calculating levels of performance. For all indicators, except the Measurable Skill Gains indicator, a new period of participation is counted each time a participant re-enters and **exits** the program—even if both exits occur during the same program year. For the

Measurable Skill Gains indicator, a new period of participation is counted each time a participant *enrolls*—even if both enrollments occur within the same program year. It is not necessary to wait until the participant exits the program in order to count a measurable skill gain because the Measurable Skill Gains indicator is not an exit-based indicator. The skill gain may be counted as soon as it is earned at any point during the participation period of the program year in which it was earned. **TEGL 10-16, Change 1, Attachment 6** ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3255](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255)) illustrates the counting of periods of participation and its relation to each performance indicator.

A person with more than one period of participation in a program year is counted separately for each period of participation in both the numerator and denominator of each applicable performance indicator; therefore, the person is counted multiple times—once for each period of participation. Specific examples of counting periods of participation are included in TEGL 10-16, Change 1, Attachment 6 (see link above).

State levels of performance on all primary indicators under WIOA are calculated as a percentage (except Median Earnings, for which the calculation produces a dollar amount) of the number of outcomes achieved for each reporting period (whether quarterly or annually, or as applicable) by the number of periods of participation during the same reporting period.

**Reporting Unique Participants:** Non-core programs included in this guidance should refer to the appropriate attachment for the requirements for reporting unique participants, as it may differ by program. For the core programs and certain non-core programs, DOL has determined it necessary to calculate the unduplicated count of participants served each program year, by each program reporting performance under the DOL-only PIRL. As a result, it is likely that many States and programs will need to modify their data systems and processes to be able to track each period of participation (i.e., a duplicate count) while also retaining the ability to calculate an unduplicated count of individual participants across multiple periods of participation in any given program year.

To meet this requirement states and grantees of designated non-core programs and Job Corps contractors must:

1. Develop systems to track multiple periods of participation within a program year;
2. Calculate an unduplicated count of individuals who are served as participants across multiple periods of participation in any given program year; and
3. For core programs only, establish a unique identification number that will be retained by the same individual across multiple programs.

Note that DOL does not accept Social Security Numbers (SSNs) as a unique identifier for participants in the DOL-administered core programs. For the non-core programs, DOL will not accept a SSN as a form of unique identifier, unless specifically noted in that program's specific attachment to this guidance and required under the individual program; however, many non-core programs do, in fact, require grantees or Job Corps contractors to collect SSNs on a voluntary basis for performance reporting purposes.

**10. Workforce Integrated Performance System (WIPS) and How to Report.** WIPS is the vehicle through which DOL grantees, as directed in program-specific guidance, must submit individual records based on the PIRL. This Web-based reporting system is accessed using

the following link <https://dol.appiancloud.com/suite/>. Access requires a username and password and, unless otherwise stated in program specific attachments, must be requested by email to [WIOA.feedback@dol.gov](mailto:WIOA.feedback@dol.gov). Detailed information regarding the site and its use are available on the WIPS User Resource Library Information Page found here: <https://doleta.gov/performance/wips/>. The system can receive comma delimited files with a .csv extension in multiple layouts. These layouts include (1) the full PIRL layout, which includes all PIRL data elements and can be used by any program or combination of programs; (2) the State Integrated Reporting Schema (SIRS), which is used by WIOA Adult, WIOA Dislocated Worker, WIOA Youth, DWG, JVSG, and TAA; or (3) program specific layouts that include only data elements required by the specific program, which are used by the programs not included in SIRS. The acceptable layouts (schemas) are found on the WIPS User Resource Library Information Page. Files uploaded in an acceptable format undergo various data edit checks that ensure valid values and logical integrity. Files that violate edit checks will be rejected by the system; users will be notified of specific edit check violations and must first correct the errors and then resubmit the data. Once a file has been successfully submitted, the quarterly performance report (QPR) (ETA-9173) can be generated. At this point, users must review the report and certify it, if they find the results to be accurate, to complete the process of submitting their quarterly performance reports. After a report is certified, the individual records used to populate the report will be stored in DOL's data warehouse. Please direct all requests for WIPS technical assistance to [WIOA.Feedback@dol.gov](mailto:WIOA.Feedback@dol.gov).

**Discontinued Reporting Systems:** With the introduction of WIPS, many of the existing reporting systems (including Enterprise Business Support System (EBSS)/Enterprise Data Reporting and Validation System (EDRVS) and Labor Exchange Reporting System (LERS) used by DOL will be replaced and discontinued, along with the reports that were submitted through those systems; DOL's intent is to discontinue the WIA and Labor Exchange reporting systems, including all 9002 reports and VETS 200 reports. See individual program attachments for the status of program specific reporting systems or reports.

- 11. State Annual Report Narratives.** Non-core programs should refer to the attached program-specific guidance for the applicability of the State Annual Report Narratives, as only specified non-core programs are required to submit a State Annual Report Narrative.

In addition to performance accountability data, DOL requires states to submit separately an Annual Statewide Performance Report Narrative for the WIOA title I and title III Employment Service core programs, which must be limited to no more than 25 pages, and is due on December 1 of each year for the previous program year. Other required partner programs are required to participate in the development of the report narrative, as appropriate. The specific items to be described by states in the Annual Statewide Performance Report Narrative can be found in TEGL 05-18 *Workforce Innovation and Opportunity Act (WIOA) Annual Statewide Performance Report Narrative*, published on November 7, 2018 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?docn=3118](https://wdr.doleta.gov/directives/corr_doc.cfm?docn=3118)).

In their Annual Statewide Performance Report Narratives, states must address all of the items requested through TEGL 05-18; however, states will not be limited to the requested items and may want to include additional information about their programs. Thus, states have flexibility in the contents of the Annual Statewide Performance Report Narrative, as long as



they address the requested items and stay within the 25-page limit established for the narrative requirement.

12. **Eligible Training Provider (ETP) Performance Reporting.** WIOA requires States to report on the performance of ETPs for the WIOA Adult, WIOA Dislocated Worker, and WIOA Youth (Out-of-School Youth only) programs. These reports will be submitted to ETA through WIPS annually and will include aggregated data about individuals receiving training from those providers, including non-WIOA participants. The full list of required elements and definitions can be found in the ETA-9171 report. The Department has published detailed guidance on ETP Performance Reporting Requirements in TEGL 03-18 *Eligible Training Provider (ETP) Reporting Guidance under the Workforce Innovation and Opportunity Act (WIOA)*, published August 31, 2018 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?docn=3527](https://wdr.doleta.gov/directives/corr_doc.cfm?docn=3527)).

Non-core programs are not required to submit an ETP performance report.

13. **Pay-for-Performance Reporting.** The following guidance applies only to the title I Adult, Dislocated Worker, and Youth core programs. WIOA allows local workforce boards to use up to 10 percent of their WIOA Adult, WIOA Dislocated Worker, and WIOA Youth funds to implement innovative, “Pay-for-Performance” strategies. States are required to submit an annual narrative report describing the different pay-for-performance strategies being used within their states using ETA- 9174. Additionally, state and local staff must ensure that participants receiving services funded by a pay-for-performance strategy are coded as a “1” in the data element PIRL # 930 “Pay-for-Performance” and that the Pay-for-Performance provider identification (ID) number is reported in the data element PIRL #107 “Special Project ID – 3.”

For non-core programs, unless otherwise specified in program-specific or grant-specific guidance, the provisions regarding pay-for-performance reporting do not apply.

14. **Quarterly Narrative Reports for Discretionary Programs.** Some non-core programs require quarterly narrative reports to be submitted in addition to the required PIRL-formatted performance data submissions. Non-core programs included in this guidance should refer to the appropriate attachment for the applicability of these requirements.

15. **Use of Social Security Numbers and Direct Wage Match for Performance Reporting.** The requirements regarding the collection and use of SSNs for the purpose of performance reporting vary across the programs included in this guidance, with substantial differences between the core and non-core programs. In general, for those programs that are directed to collect SSNs, SSNs are collected for the purpose of reporting on primary indicators of performance for employment status in the second and fourth quarters after exit, on the primary indicator of performance for median earnings in the second quarter after exit, and on post-exit employment status for participants who attain secondary school diplomas or their recognized equivalent for the primary indicator of performance for credential attainment. SSNs may also be collected for the purpose of reporting on the approach to measuring one of the three effectiveness in serving employers indicators—the one that calculates retention with the same employer in the second and fourth quarters after exit. Matching a participant’s SSN against quarterly wage record information is, where a wage match is available, the most efficient method for determining employment status and earnings for a program participant.

**Reporting by States:** In general, the core programs collect participants' SSNs in order to obtain quarterly wage record information on those participants, but states do not report core program participants' SSNs to DOL. DOL interprets WIOA section 116(i)(2) as requiring states to use state and out-of-state quarterly Unemployment Insurance (UI) wage records, consistent with state law, to measure their progress on satisfying state and local performance accountability indicators for the core programs. States must submit the records of individual participants in core programs to the Department using a unique personal identifier other than a SSN. TEGL 26-16, *Guidance on the use of Supplemental Wage Information to implement the Performance Accountability Requirements under the Workforce Innovation and Opportunity Act* published on June 1, 2017, ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5002](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5002)) provides additional guidance regarding the availability of SSNs and UI wage records for collecting employment information for core programs.

In addition, in the non-core programs listed below, for which grantees are states, the state grantees are directed to collect participants' SSNs in order to obtain quarterly wage record information on those participants. For these non-core programs, which are listed below, states will request but not report the participants' SSNs to DOL. Rather, states will be able to use quarterly wage records, consistent with state law, to report on participants' exit-based performance indicators (which all have an employment-related component) in these programs. States will submit exit-based outcomes for these participants in these grant programs to DOL using a unique personal identifier rather than a SSN.

These non-core programs, for which this guidance directs states to request the participants' SSNs and submit quarterly wage record information (but not the participants SSNs) on those participants to DOL, are:

- Jobs for Veterans State Grants;
- National Dislocated Worker Grants (for grantees that are states or local workforce development boards (WDBs) reporting through states); and
- Trade Adjustment Assistance.

**Reporting by Non-State Entities:** This guidance directs grantees of certain non-core programs and Job Corps contractors to request participants' SSNs and to report those SSNs to DOL through the DOL-only PIRL. For these specified non-core programs, DOL will, through an agreement with states that allows access to quarterly unemployment insurance (UI) wage records, obtain aggregate quarterly employment and earnings results for program participants and provide those aggregate results to the relevant grantee or contractors.

The non-core programs, for which this guidance directs grantees and Job Corps contractors to request participants' SSNs and to report those SSNs to DOL, are:

- H-1B Job Training Programs (awarded July 1, 2016, and later);
- Indian and Native American (INA) Program;
- Job Corps;

- National Dislocated Worker Grants (for grantees that are not States, such as entities under WIOA section 166 and Indian tribal governments<sup>10</sup>);
- National Farmworker Jobs Program;
- Reentry Employment Opportunities;
- Senior Community Service Employment Program; and
- YouthBuild.

**Reporting by Both State and Non-State Entities:** While grantees in the core and non-core programs specified above and Job Corps contractors are required to request participants' SSNs, participants cannot be denied services if they choose to not disclose their SSN. Furthermore, when requesting a participant's SSN, the participant must be informed, in writing, of the following as applicable to the particular program:

- (1) **Authority:** The statute, regulation, Executive Order, or other authority under which the SSN is solicited. In general, the authority for collecting participants' SSNs is found in WIOA and the regulations implementing WIOA.
- (2) **Purpose:** The information will be used to collect quarterly wage data for the purposes of assessing the overall performance outcomes of a grantee or Job Corps contractor and of the program.
- (3) **Opportunity and/or right to decline to provide SSNs:** SSN disclosure must be voluntarily provided by the individual.
- (4) **Consequences of refusing or failing to disclose one's SSN:** Grantees and Job Corps contractors cannot deny the participant access to services if the SSN is not provided. In such instances, the participant will be identified by an alternate unique identifier.

DOL will ensure appropriate security within the data collection system to protect SSNs and any other personally identifiable information (PII) collected and transmitted to DOL. Grantees and Job Corps contractors also must follow appropriate practices in collecting, storing, handling, and transmitting PII. For further guidance, reference TEGL No. 39-11, *Guidance on the Handling and Protection of Personally Identifiable Information* ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7872](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7872)).

**16. Supplemental Wage Information.** While the most efficient method for determining both employment status and earnings for program participants is to obtain quarterly wage records for those participants, such wage records will not be available in all circumstances. For circumstances where wage records are not available, supplemental wage information may be used to provide information needed to calculate the applicable primary indicators of performance.

For the core programs, the guidance on the use of supplemental wage information can be found in TEGL 26-16 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5002](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5002)). For non-core programs, the guidance on supplemental wage information can be found in Appendix VI of this guidance and aligns closely with the guidance in TEGL 26-16. Programs should also refer to individual program attachments for programmatic differences.

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<sup>10</sup> While the Department is unable at this time to facilitate wage matches on behalf of these grantees, the Department anticipates that these entities will be included in future agreements concerning UI wage record matching.

Supplemental information collection is important where participants' SSNs were not collected, because quarterly UI wage matching utilizes the SSN to match against employer records. Where an SSN is not provided, the grantee must gather supplemental information to obtain employment and earnings status for outcome reporting purposes.

Supplemental information can be collected to record credential attainment and the occupation of employment participants were placed in for reporting purposes, as well as earnings and employment status post-exit.

Supplemental information should be well-documented to verify its accuracy and subject to records retention policies.

**17. Reporting of Individuals Served with Statewide Funds.** This section applies to only the WIOA title I core programs (Adult, Dislocated Worker, and Youth).

Performance outcome data of individual participants who receive direct services with funding from statewide reserve funds must be reported by the State under the title I Adult, Dislocated Worker (including WIOA participants who receive Rapid Response), and Youth program(s) and must be reported following the same guidelines that apply to participants served with local formula funding. For the WIOA title I core programs, States must ensure that these participants are coded in the appropriate funding stream data element(s) in the PIRL (e.g., 903, 904, or 905) and must be assigned code "2" if they are served only using statewide reserve funds or code "3" if they are served using statewide funds in combination with local formula funds. This means the performance outcomes of these individuals will be included for performance accountability purposes.

**18. Performance Reporting and Apprenticeship.** DOL has consistently supported the integration of apprenticeship<sup>11</sup> programs into the public workforce system. Apprenticeship is both a contributor to—and collaborator in—the continuing development of a skilled workforce that is responsive to business needs and our evolving economy, (see TEGl 02-07, *Leveraging Registered Apprenticeship as a Workforce Development Strategy for the Workforce Investment System* [[https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2491](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2491)]). Apprenticeship is an important component of education and training services (see TEN 44-11, *Encouraging Enhanced Partnerships and Collaboration between the Workforce Investment System and Registered Apprenticeship Programs* [[https://wdr.doleta.gov/directives/corr\\_doc.cfm?docn=4843](https://wdr.doleta.gov/directives/corr_doc.cfm?docn=4843)]).

As the states, other grantees, and Job Corps contractors adopt apprenticeship programs as part of their sector strategies and career pathways approaches, complete and accurate reporting of the workforce system's investments in these programs is vital. Within the workforce system, data on program participants and program outcomes is reported through the DOL-only PIRL, which includes the enrollment of core and non-core program participants in apprenticeship programs.

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<sup>11</sup> The definition of "apprenticeship" in both WIOA and the WIOA final rule refers to "Registered Apprenticeship"; however, in this guidance references to apprenticeship include both Registered Apprenticeship and apprenticeships that are not registered.

Note that the information collected in the DOL-only PIRL regarding enrollment of core and non-core program participants in Registered Apprenticeship (RA) programs, is separate and apart from the Office of Apprenticeship's current reporting requirements. The Office of Apprenticeship requires RA program sponsors to report on program participants using the program's case management system, either the Registered Apprenticeship Partners Information Data System (RAPIDS) or an appropriate State Apprenticeship Agency (SAA) case management system. The information collection in the DOL-only PIRL regarding apprentices, serves two main purposes within the workforce system: (1) to record which core or non-core program participants are also apprentices, and (2) to record training, credentials, work experiences, employment, and other services received via an apprenticeship program for program reporting within the workforce system, for both programmatic as well as performance reporting purposes.

Pursuant to Executive Order 13801 "Expanding Apprenticeships in America" (issued June 15, 2017, <https://www.whitehouse.gov/presidential-actions/3245/>), DOL is working to implement the recommendations of the Task Force on Apprenticeship Expansion. On May 10, 2018, the Task Force released a report with recommendations (<https://www.dol.gov/apprenticeship/docs/task-force-apprenticeship-expansion-report.pdf>), which include recommendations relating to the Registered Apprenticeship program's interaction with WIOA. These recommendations (#24 and #25 in the report) are addressed by the guidance in this section. As it pertains to reporting on various types of apprenticeship models, the training type options in the PIRL are sufficient to report the different components of apprenticeship programs (see "Type of Training Services" discussion below). Further guidance, as well as requisite changes to the DOL-only PIRL, will be provided should it be determined that the Task Force's recommendations require additional changes to the PIRL reporting.

**Apprenticeship and Pre-Apprenticeship in the PIRL:** The DOL-only PIRL directly supports a collaborative relationship between workforce development and apprenticeship, by including data elements reflecting enrollment of a core or non-core program participant in apprenticeship. In particular, PIRL #931 indicates whether a core or non-core program participant either entered into an apprenticeship program during program participation or was a registered apprentice at the time of program entry.

In addition to PIRL #931, there are a number of other PIRL data elements that are particularly important for the complete and accurate reporting of apprenticeship and pre-apprenticeship participation; some of these data elements are identified below, although this is not an exhaustive list.

- Three PIRL data elements focus on *Type of Training Services* being provided to a participant (i.e., PIRL #1303, #1310, and #1315). In each case, "Registered Apprenticeship" is an option among the coding values (code value "09"), as is On-the-Job Training (OJT) (code value "01"), and Skill Upgrading (code value "02"). The instructions make clear that if OJT or Skill Upgrading is being provided to an individual as part of a Registered Apprenticeship program, the code value "09" for Registered Apprenticeship must be used. This emphasizes both the importance of apprenticeship and the fact that OJT and Skill Upgrading may be components of an apprenticeship program.

- For the PIRL data elements focused on employment status post-exit (i.e., PIRL #1600, #1602, #1604, and #1606), the reporting instructions similarly clarify that if the unsubsidized employment is through a Registered Apprenticeship, the code value “02” for Registered Apprenticeship should be used.
- Three PIRL data elements focus on the *Type of Recognized Credential* (i.e., PIRL #1800, #1802, and #1804). Although “Registered Apprenticeship Completion Certificate” is not a specific coding value/option, the RA Completion Certificate is considered a recognized post-secondary credential under WIOA sec. 3(52). Therefore, if an individual receives a Registered Apprenticeship Completion Certificate, the code value “06” for Occupational Certificate should be used.
- One PIRL data element focuses on the *Type of Work Experience* (PIRL #1205) provided to program participants. Pre-apprenticeship programs (code value “03”) are included among the types of work experiences that can be provided as a service to adults and dislocated workers, as well as youth. If code values “02” (Employment opportunities, including internships, not limited to summer months) or “05” (On-the-Job Training [WIOA Youth]) would normally be applicable but the participant is receiving them as a part of a pre-apprenticeship program, then code value “03” for pre-apprenticeship is to be used.
- The PIRL data element for *Received Pre-Vocational Services* (PIRL #1210) records the date that the participant received short-term pre-vocational services (at any time during an individual’s period of participation). An adult pre-apprenticeship program may include the kind of pre-vocational services listed; if so, the date on which such pre-vocational services were received in the context of an adult pre-apprenticeship program should be recorded. (Note: This PIRL data element is not used for title I Youth.)

### **Apprenticeship and WIOA Primary Indicators of Performance:**

#### *Employment Rates and Median Earnings*

Whether or not they are a participant in a core/non-core program, DOL will facilitate a wage match between data from RAPIDS and UI wage records for participants that exit DOL’s Registered Apprenticeship program (both cancellers and completers) for certain employment-related performance indicators. The three employment-related performance indicators for which the Department will facilitate a wage match are:

- Employment Rate – Second Quarter After Exit;
- Employment Rate – Fourth Quarter After Exit; and
- Median Earnings – Second Quarter After Exit.

The Department will calculate these outcomes using PII including each participant’s SSN.

#### *Differences between the Calculation of the WIOA Primary Indicator of Performance for Credential Attainment and the Operational Parameters for the Office of Apprenticeship Credential Attainment Measure*

The core and non-core programs identified in this guidance and the Registered Apprenticeship program all require the reporting of participants’ credential attainment and recognize certificate of completion of an apprenticeship as a credential; in particular, under

WIOA section 3(52), the definition of recognized postsecondary credential specifically includes a certificate of completion of an apprenticeship.

However, the Registered Apprenticeship program and the core and non-core programs identified in this guidance vary slightly in their methodologies for calculating the attainment of credentials. The Office of Apprenticeship calculates certificate of completion attainment within one year of *expected completion*. The WIOA Credential Attainment primary indicator used in the WIOA core and non-core programs calculates certificate of completion attainment during participation or within one year of *exit* from a core or non-core program. Detailed specifications and methodologies for the calculation of these indicators can be found in the applicable program guidance. For the core and non-core programs identified throughout this guidance, refer to Appendix I of this guidance and its program-specific attachments, as well as TEGL 10-16, Change 1. RA programs should refer to the Office of Apprenticeship's Bulletin 2015-10, "Calculation of Registered Apprenticeship Completion Rates," for RA programs.

For the Registered Apprenticeship program, the "Registered Apprenticeship Program Completion Rate" is calculated as the percentage of an apprenticeship cohort who receive a certificate of completion of Registered Apprenticeship within one (1) year of the expected completion date, out of the total number of registered apprentices in the cohort who exited the program minus the total number of registered apprentices in the cohort who cancelled their apprenticeship program during the probationary period. (For state apprenticeship programs reported via RAPIDS, this is tracked and reported directly through participant level data collected in RAPIDS.) These operational parameters are consistent with the Office of Apprenticeship's Bulletin 2015-10 ("Calculation of Registered Apprenticeship Completion Rates").

#### *Recording Measurable Skill Gains for Participants Co-Enrolled in Apprenticeship Programs*

This measure of interim progress enables programs to identify a participant's achievement of training milestones during a program year, which is particularly consequential for longer term programs, such as apprenticeships, that may span several program years. These milestones marking Measurable Skill Gains include, as noted in 20 CFR 677.155(a)(1)(v)(D), completion of one year of an apprenticeship program, as well as similar milestones. Other measurable skill gains achieved by a participant in an apprenticeship, could include the following:

- Completion of a front-loaded related technical instruction (RTI) component of an apprenticeship;
- Completion of a semester of related instruction; or
- A scheduled wage increase commensurate with an increase in skill levels gained during an apprenticeship.

For these latter three types of milestones (*i.e.*, completion of front-loaded RTI, completion of a semester of related instruction, or receipt of a scheduled wage increase), they must be attested to by an employer or verified by a training provider to be counted as a Measurable Skill Gain in the WIOA primary indicator of performance. DOL anticipates that such attestation or verification will be most likely in situations where an individual is

simultaneously a participant in Apprenticeship and an additional DOL-administered WIOA core or non-core program.

### **19. Performance Reporting and Unemployment Insurance.**

The Department is in the process of developing a “Facilitate Re-employment” performance metric and methodology that will report on what percent of UI participants are re-employed by the second quarter after program exit. This reporting will be required for WIOA core program or non-core program participants who received or were receiving UI and were subject to the requirement to search for work. The data elements needed to report on this metric are already built in to existing PIRL requirements, and a few of these elements are listed below as a reference only. DOL will issue additional guidance, including the full methodology and established targets, once the measure has been fully developed. States are currently required to report data toward the “Facilitate Re-employment” performance metric for the UI program and must continue to report on this metric.

**Applicable PIRL Data Elements for Calculation of a “Facilitate Re-Employment” Performance Metric:** The Department anticipates using the following PIRL data elements to calculate the Re-Employment Rate:

- **PIRL # 401** – This data element, “UC Eligible Status,” records whether an individual, who is a participant in a core or non-core program, is monetarily eligible for benefit payments under one or more State or Federal unemployment compensation (UC) program(s), as well as whether the individual has exhausted all UC benefit rights for which he or she was determined monetarily eligible. This element further differentiates into categories based on whether the individual, as a UC claimant, was referred to the workforce system by the Reemployment Services Eligibility Assessment (RESEA) and/or Worker Profiling and Reemployment Services (WPRS) programs. Please note that if the individual is not eligible for benefits on the date of entry into the core or non-core program, this data element should be left blank as it does not apply to the individual.
  - **401(5)** – Within PIRL data element number 401, there is also a fifth subcategory where a grantee can flag a participant as exempt from its work search requirement if the state workforce agency has determined exemption pursuant to state law or policy. An example where this may occur would be the participant returning to work in the near future or starting new employment in the immediate future. This category, which is code value “05” in the PIRL element number 401, requires program staff to make the determination on exemption based on State law and policy and cannot be self-attested by the participant.
- **PIRL # 1602** – This data element, “Employed in 2nd Quarter After Exit Quarter (WIOA),” records whether a core or non-core program participant was in unsubsidized employment, in a Registered Apprenticeship, in the military, or not employed, in the second quarter after the quarter of exit.
- **PIRL # 1609** - This data element, “Recalled by Layoff Employer,” is a required data element for participants in the TAA program. When the Department calculates a “Facilitate Re-employment” performance metric, it will include both those participants who were recorded as eligible for “UC Eligible Status” in PIRL #401, as well as those participants who were recorded as “Employed in 2nd Quarter After Exit



Quarter (WIOA)” in PIRL #1602 but exclude any participant who was recorded as recalled by the employer where the qualifying separation took place in PIRL #1609.

It is important to remember that the following data elements are particularly important for ensuring accurate reporting on UI eligible participants:

- #100 – Unique Individual Identifier
- #101 – State Code of Residence
- #300 – Veteran Status
- #401 – UI Eligible Status

20. **Action Requested.** States, grantees, and Job Corps contractors are requested to distribute this information to the appropriate staff.

21. **Inquiries.** Questions concerning this guidance should be directed to the appropriate regional office.

## Appendix I Primary Indicators of Performance

*The language below is aligned with the guidance in Training and Employment Guidance Letter (TEGL) 10-16, Change 1, developed by the Department of Labor (DOL) and the Department of Education (ED) (collectively referred to in this guidance as “the Departments”), which provides joint performance guidance on the performance provisions in the Workforce Innovation and Opportunity Act (WIOA) for the six WIOA core programs: the title I Adult, Dislocated Worker, and Youth programs, administered by DOL; the title II Adult Education and Family Literacy Act (AEFLA) program, administered by ED; the Employment Service (ES) program authorized under the Wagner-Peyser Act, as amended by WIOA title III,<sup>1</sup> administered by DOL; and the Vocational Rehabilitation (VR) program authorized under title I of the Rehabilitation Act of 1973, as amended by WIOA title IV,<sup>2</sup> administered by ED. This appendix provides guidance for the DOL-administered core programs as well as for the DOL-administered non-core programs.*

*This appendix will serve as a point of reference for the individual DOL programs in their programmatic attachments in this guidance. The attachments provide guidance on when and how to implement these indicators for each program.*

### **WIOA Primary Indicators of Performance.**

Under WIOA section 116(b)(2)(A) and 20 CFR 677.155, there are six primary indicators of performance. For the first two indicators, there is a modified indicator for the title I Youth program, which is provided below:

- A. **Employment Rate – 2nd Quarter After Exit:** The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program.

**Youth Education or Employment Rate – 2nd Quarter After Exit:** The percentage of participants in education or training activities, or in unsubsidized employment, during the second quarter after exit.

- B. **Employment Rate – 4th Quarter After Exit:** The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program.

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<sup>1</sup> Although this program is authorized under the Wagner-Peyser Act, it was amended by title III of WIOA and is a “core program” of WIOA, as defined at WIOA section 3(12). Throughout this appendix, it is referred to as the “title III Employment Service.”

<sup>2</sup> Although this program is authorized under title I of the Rehabilitation Act of 1973, it was amended by title IV of WIOA and is a “core program” of WIOA, as defined at WIOA section 3(12). Throughout this appendix, it is referred to as the “title IV VR program.”

Youth Education or Employment Rate – 4th Quarter After Exit: The percentage of participants in education or training activities, or in unsubsidized employment, during the fourth quarter after exit.

- C. Median Earnings – 2nd Quarter After Exit: The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.
- D. Credential Attainment: The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.
- E. Measurable Skill Gains (MSG): The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. Depending on the type of education or training program, documented progress is defined as one of the following:
- a) Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary education level;
  - b) Documented attainment of a secondary school diploma or its recognized equivalent;
  - c) Secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is meeting the state unit's academic standards<sup>3</sup>;
  - d) Satisfactory or better progress report, towards established milestones, such as completion of OJT or completion of one year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training; or

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<sup>3</sup> Within each state there is an administrative unit that provides authorization to postsecondary institutions within the state. States differ in the requirements to which they hold postsecondary institutions responsible for satisfactory progress. Progress for WIOA purposes must comply with any applicable state standards. Likewise, every state has a state educational agency that establishes education standards for secondary education within the state, which would apply for purposes of determining if a participant is meeting the state's academic standards.

- e) Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks such as knowledge-based exams.

F. Effectiveness in Serving Employers: WIOA section 116(b)(2)(A)(i)(VI) requires the Departments to establish a primary indicator of performance for effectiveness in serving employers. This primary indicator of performance applies to many, but not all, DOL non-core programs. As described further below, particular DOL non-core programs will track effectiveness in serving employers using an approach that measures participants' retention of employment with the same employer in the 2nd and 4th quarter after exit. For the six core WIOA programs, the Departments are piloting three approaches to measuring this indicator. Descriptions of these approaches, and the pilot for the core programs, can be found in TEGL 10-16, Change 1.

The methodologies of calculating most of the primary indicators of performance are written as equations (see TEGL 10-16, Change 1, Attachment 10 [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3255](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255)), clearly identifying what cohorts are in the numerator and what cohorts are in the denominator. In cases where conditions that apply to both, the condition is represented in italics at the beginning of the discussion about the indicator.

These primary indicators of performance apply to all six core programs, excepting indicators for credential attainment and for measurable skill gains for the title III Employment Service program. For the non-core programs, the program-specific guidance in Attachments 1 through 11 describes the extent to which these primary indicators of performance apply to each non-core program, as well as any program-specific variation in their definition, methodology, or calculation.

For the employment-related performance indicators<sup>4</sup>, status in unsubsidized employment and quarterly earnings may be determined by direct Unemployment Insurance (UI) wage match, federal employment records, military employment records, or supplemental wage information. Participants who are in the military or in a Registered Apprenticeship are also considered as employed, and their quarterly earnings are calculated, for the purpose of these indicators. Supplemental wage information may be used to report these indicators only in those circumstances where quarterly wage records are not available or may not apply (e.g., for participants who are self-employed, or for participants who decline to provide a social

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<sup>4</sup> These indicators are: employment rate in the second and fourth quarters after exit, median earnings in the second quarter after exit, the employment-related portion of the credential attainment indicator, and effectiveness in serving employers as measured by retention with the same employer.

security number (SSN), as well as for grantees or Job Corps contractors that do not collect SSNs).<sup>5</sup> States may document supplemental information in case files and their Management Information Systems (MIS), submitting this information to the Departments by using the data reporting instruments (e.g., Participant Individual Record Layout (PIRL) and Statewide and Local Performance Report Template and Specifications). The Departments have provided specific protocols on the use of supplemental wage information in TEGL 26-16 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5002](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5002)) and in section 17 of this guidance.

As detailed in TEGL 10-16, Change 1, Attachment 2, Table A and TEGL 10-16, Change 1, Attachment 2, Table B (see link to TEGL 10-16, Change 1 above), under very limited circumstances, some participants who exit programs are excluded from the performance calculations for the six indicators. These categories of exclusions apply to participants who exit for any of the reasons described in TEGL 10-16, Change 1, Attachment 2, Table A (for programs using title I Adult performance indicators) and TEGL 10-16, Change 1, Attachment 2, Table B (for programs using title I Youth performance indicators) (see link to TEGL 10-16, Change 1 above).

Furthermore, participants who have exited a program but for whom information is not yet available, are not included in performance calculations until such data become subsequently available. For the employment-related indicators (e.g. employment rate in the second and fourth quarters after exit, median earnings in the second quarters after exit, credential attainment<sup>6</sup>, and effectiveness in serving employers—retention with the same employer), if employment status is recorded as “Information not yet available,” or if total earnings are recorded as “999999.99” (data were not yet available), the participant record will be excluded from the performance calculations. The Departments anticipate that data for the employment indicators will generally be available at the time of reporting, as there is a two-quarter lag built into the reporting times for the employment- and wage-based indicators to allow time for reporting participant exit and direct UI wage record match. The two-quarter lag is also sufficient for obtaining supplemental wage information.

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<sup>5</sup> The Department notes that as announced on July 28, 2017 via TEN 3-17, Informing the States about Reassessment of the Federal Employment Data Exchange System (FEDES), the operation of the Federal Employment Data Exchange System (FEDES) was temporarily suspended in January 2018. FEDES was a pilot program that had supported reporting based on Federal civilian and military employment records, including records maintained by the Office of Personnel Management and the Department of Defense. Until and unless a similar data sharing agreement is implemented for federal employment information, supplemental wage records is currently the only method of documenting employment status and wages after December 31, 2017, for individuals employed by the Federal government as a civilian (e.g., civil service, U.S. Postal Service, and civilians employed by the Department of Defense) or as a member of the military.

<sup>6</sup> Employment status is only relevant for the credential attainment indicator when the credential attained is a secondary school diploma, which requires that the participant be employed or education/training in order to count as a positive outcome.

The methodology for calculating the primary indicators of performance for the core programs and for the non-core programs (unless otherwise specified in program-specific guidance), and the operational parameters determining the population assessed for each primary indicator, are described below.

**A. Employment Rate – 2nd Quarter After Exit**

Employment Rate – 2nd Quarter After Exit is the percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program.

**Methodology:**

*Calculation includes all program participants, except those participating in the title I Youth program or participating in non-core programs employing the youth indicators (which will be discussed separately below):*

The number of participants who exited during the reporting period who are found to be employed, either through direct UI wage record match, Federal or military employment records, or supplemental wage information, in the second quarter after the exit quarter DIVIDED by the number of participants who exited during the reporting period. This is described in TEGL 10-16, Change 1, Attachment 10, Figure 1 (see link to TEGL 10-16, Change 1 above).

**Operational Parameters:**

For the DOL core programs, when calculating levels of performance for this indicator, states must include all participants exiting the program for the WIOA title I Adult, title I Dislocated Worker, and title III Employment Service programs. However, states must not include (in either the numerator or denominator) those participants who exit during the reporting period for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table A or TEGL 10-16, Change 1, Attachment 2, Table C (PIRL 923) regarding exclusions (see link to TEGL 10-16 above).

For non-core programs for which the adult indicators apply, grantees and Job Corps contractors must include all participants exiting the program when calculating levels of performance for this indicator. Note that grantees and Job Corps contractors must not include (in either the numerator or denominator) those participants who exit during the reporting period for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table A (PIRL 923) regarding exclusions, unless specified otherwise in program-specific guidance.

#### **A-1. Youth Education and Employment Rate – 2nd Quarter After Exit**

Youth Education and Employment Rate – 2nd Quarter After Exit is the percentage of youth program participants (or participants in non-core programs using the youth indicators) who are in education or training activities, or in unsubsidized employment, during the second quarter after exit from the program.

##### **Methodology:**

*Calculation includes all youth program participants:*

The number of youth program participants who exited during the reporting period who are found to be employed, either through direct UI wage record match, Federal or military employment records, or supplemental wage information, OR found to be enrolled in secondary education, postsecondary education, or occupational skills training (including advanced training) in the second quarter after the exit quarter DIVIDED by the number of youth program participants who exited the program during the reporting period. This is described in TEGL 10-16, Change 1, Attachment 10, Figure 2.

##### **Operational Parameters:**

For the title I youth core program, calculations for determining levels of performance for this indicator include all participants who exit the program except those that exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table B (PIRL 923). Title I Youth who are in the AmeriCorps program or Job Corps program in the second quarter after exit are counted as a success in the training portion of the indicator.

For non-core programs in which the youth indicator applies, calculations for determining levels of performance for this indicator include all participants who exit the non-core youth program except those that exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table B (PIRL 923), unless specified otherwise in program-specific guidance. Furthermore, youth who are in the AmeriCorps program or Job Corps program in the second quarter after exit are counted as a success in the training portion of the indicator.

#### **B. Employment Rate – 4th Quarter After Exit**

Employment Rate – Fourth Quarter After Exit is the percentage of program participants who are in unsubsidized employment during the fourth quarter after exit from the program.

**Methodology:**

*Calculation includes all program participants, except those participating in the title I Youth program or participating in non-core programs employing the youth indicators (which will be discussed separately below):*

The number of participants who exited during the reporting period who are found to be employed, either through direct UI wage record match, Federal or military employment records, or supplemental wage information, in the fourth quarter after the exit quarter DIVIDED by the number of participants who exited during the reporting period. This is described in TEGL 10-16, Change 1, Attachment 10, Figure 3.

**Operational Parameters:**

For core programs, calculation of levels of performance for this indicator includes all participants who exit from the WIOA title I Adult, title I Dislocated Worker, and title III Employment Service. Note that states must not include (in either the numerator or denominator) those who exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table A or TEGL 10-16, Change 1, Attachment 2, Table C (PIRL 923) regarding exclusions (see link to TEGL 10-16, Change 1 above).

For non-core programs, grantees and Job Corps contractors must include all participants exiting the program when calculating levels of performance for this indicator. Note that grantees and Job Corps contractors must not include (in either the numerator or denominator) those participants who exit during the reporting period for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table A (PIRL 923) regarding exclusions, unless specified otherwise in program-specific guidance.

**B - 1. Youth Education and Employment Rate – 4th Quarter After Exit**

Youth Education and Employment Rate – Fourth Quarter After Exit is the percentage of youth program participants (or participants in non-core programs using the youth indicators) who are in education or training activities, or in unsubsidized employment, during the fourth quarter after exit from the program.

**Methodology:**

*Calculation includes all youth program participants who exit from the program:*

The number of youth program participants who exited the program during the reporting period who are found to be employed, either through direct UI wage record match, Federal or military employment records, or supplemental wage information,



OR found to be enrolled in secondary education, postsecondary education, or occupational skills training (including advanced training) in the fourth quarter after the exit quarter DIVIDED by the number of youth program participants who exited the program during the reporting period. This is described in TEGL 10-16, Change 1, Attachment 10, Figure 4.

**Operational Parameters:**

For the WIOA title I youth core program, calculation of levels of performance for this indicator includes all participants who exit from the program, except those who exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table B (PIRL 923). Title I Youth who are in the AmeriCorps program or Job Corps program in the fourth quarter after exit are counted as a success in the training portion of the indicator.

For non-core programs in which the youth indicator applies, calculations for determining levels of performance for this indicator include all participants who exit the non-core youth program except those that exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table B or TEGL 10-16, Change 1, Attachment 2, Table C (PIRL 923), unless specified otherwise in program-specific guidance. Furthermore, youth who are in the AmeriCorps program or Job Corps program in the fourth quarter after exit are counted as a success in the training portion of the indicator.

**C. Median Earnings – 2nd Quarter After Exit**

Median Earnings – 2nd Quarter After Exit is the median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program, as established through direct UI wage record match, Federal or military employment records, or supplemental wage information.

**Methodology:**

*To calculate the median earnings for all participants employed in the second quarter after exit from any of the core programs or non-core programs (unless specified otherwise in program-specific guidance):*

Total quarterly earnings, for all participants employed in the second quarter after exit, are collected by either direct wage record match or supplemental wage information. The collected quarterly wage information values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median earnings value, where there is the same quantity of numbers above the median number as there is below the median number. This is described in TEGL 10-16, Change 1, Attachment 10, Figure 5.

The Wage Conversion Chart (TEGL 10-16, Change 1, Attachment 3, see link to TEGL 10-16, Change 1 above) is used to convert supplemental wage information values that do not represent the total amount a participant earned in the second quarter after exit. When using the Wage Conversion Chart it is important to distinguish between wages and earnings. Wage refers to a ratio of a specified amount of earnings over a specified period of time (e.g. \$15/hour). The Wage Conversion Chart should be used only when the wage rate—and not the earnings information—is available. This Wage Conversion Chart applies to both the core and non-core programs unless otherwise specified.

**Operational Parameters:**

The following participants and any associated earnings figures are excluded from the calculation for median earnings:

1. Participants who have exited and are not employed in the second quarter after exit (PIRL 1602 – Employed in 2nd Quarter After Exit Quarter – with code value 0)
2. Participants who have exited a program and for whom information is not yet available:
  - PIRL 1602 – Employed in 2nd Quarter After Exit Quarter – with code 09 (Information not yet available); or
  - PIRL 1603 – Type of Employment Match 2nd Quarter After Exit Quarter – with code value 5 (Information not yet available); or
  - PIRL 1704 – Wages 2nd Quarter After Exit Quarter – with code value 999999.99 or blank.

There is a two quarter lag built into the reporting times for the wage and employment-based indicators to allow time for reporting participant exit and direct wage record match. After two quarters, if the information is still not available, wages will be converted to \$0 permanently. Wages reported as \$0 will indicate that the participant was not employed in the second quarter after exit, thereby counting as a negative outcome in the Employment Rate 2nd Quarter After Exit indicator and excluding that participant from the Median Earnings 2nd Quarter After Exit indicator.

3. Participants who have exited from a program and who have \$0 income.
4. Participants who have exited a program and are in subsidized employment.
5. Participants who have exited for any of the reasons listed in Attachment 2, Table A, Attachment 2, Table B, or Attachment 2, Table C to TEGL 10-16, Change 1.

#### **D. Credential Attainment**

Credential Attainment is the percentage of those participants enrolled in an education or training program (excluding those in OJT and customized training) who attained a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program.

A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.

This indicator does not apply to the title III Employment Service program.

#### **Methodology:**

*Calculation includes all participants who exited from a program and were in either a postsecondary education or training program (other than OJT and customized training) OR in a secondary education program at or above the 9<sup>th</sup> grade level without a secondary school diploma or its equivalent:*

The number of participants who exited during the reporting period who obtained a recognized postsecondary credential during the program or within one year after exit OR those who were in a secondary education program and obtained a secondary school diploma or its recognized equivalent during the program or within one year after exit and were also employed, or in an education or training program leading to a recognized postsecondary credential within one year after exit DIVIDED by the number of participants enrolled in an education or training program (excluding those in OJT and customized training) who exited during the reporting period. This is described in TEGL 10-16, Change 1, Attachment 10, Figure 6.

#### **Operational parameters:**

This indicator measures attainment of two types of credentials: a recognized postsecondary credential, or a secondary school diploma or its recognized equivalent.

**Definition of a Recognized Postsecondary Credential:** A recognized postsecondary credential is defined as a credential consisting of an industry-recognized certificate or certification, a certificate of completion of an apprenticeship, a license recognized by the

state involved or federal government, or an associate or baccalaureate degree. A recognized postsecondary credential is awarded in recognition of an individual's attainment of measurable technical or industry/occupational skills necessary to obtain employment or advance within an industry/occupation. These technical or industry/occupational skills generally are based on standards developed or endorsed by employers or industry associations. Neither certificates awarded by workforce development boards (WDBs) nor work readiness certificates are included in this definition because neither of them document measurable technical or industry/occupational skills necessary to gain employment or advance within an occupation. Likewise, to be counted as recognized postsecondary credentials, certificates must recognize technical or industry/occupational skills for the specific industry/occupation rather than general skills related to safety, hygiene, etc., even if such general skills certificates are broadly required to qualify for entry-level employment or advancement in employment.

A variety of different public and private entities issue recognized postsecondary credentials. Below is a list of the types of organizations and institutions that award recognized postsecondary credentials (not all credentials by these entities meet the definition of recognized postsecondary credential).

- A state educational agency or a state agency responsible for administering vocational and technical education within a state;
- An institution of higher education described in Section 102 of the Higher Education Act (20 USC 1002) that is qualified to participate in the student financial assistance programs authorized by title IV of that Act. This includes community colleges, proprietary schools, and all other institutions of higher education that are eligible to participate in federal student financial aid programs;
- An institution of higher education that is formally controlled, or has been formally sanctioned or chartered, by the governing body of an Indian tribe or tribes.
- A professional, industry, or employer organization (e.g., National Institute for Automotive Service Excellence certification, National Institute for Metalworking Skills, Inc., Machining Level I credential) or product manufacturer or developer (e.g., recognized Microsoft Information Technology certificates, such as Microsoft Certified IT Professional (MCITP), Certified Novell Engineer, a Sun Certified Java Programmer, etc.) using a valid and reliable assessment of an individual's knowledge, skills and abilities;

- Employment and Training Administration's (ETA) Office of Apprenticeship or a State Apprenticeship Agency;
- A public regulatory agency, which awards a credential upon an individual's fulfillment of educational, work experience, or skill requirements that are legally necessary for an individual to use an occupational or professional title or to practice an occupation or profession (e.g., Federal Aviation Administration aviation mechanic license, or a state-licensed asbestos inspector);
- A program that has been approved by the Department of Veterans Affairs to offer education benefits to veterans and other eligible persons; or
- Job Corps, which issues certificates for completing career training programs that are based on industry skills standards and certification requirements.

**Definition of a Secondary School Diploma:** For purposes of the credential attainment performance indicator, a secondary school diploma (or alternate diploma) (commonly referred to as high school diploma) is one that is recognized by a state and that is included for accountability purposes under the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act (ESSA). A secondary school equivalency certification signifies that a student has completed the requirements for a high school education. The types of recognized equivalents, for those not covered under ESEA, that would satisfy this performance indicator are those recognized by a state.

Examples of secondary school diplomas, alternate diplomas, and recognized equivalents recognized by individual states include:

- obtaining certification of attaining passing scores on a state-recognized high school equivalency test;
- earning a secondary school diploma or state-recognized equivalent through a credit bearing secondary education program sanctioned by state law, code, or regulation;
- obtaining certification of passing a state recognized competency-based assessment; or
- completion of a specified number of college credits.

**Types of Acceptable Credentials:** The following are acceptable types of credentials that count toward the credential attainment indicator:

- Secondary School diploma or recognized equivalent;
- Associate's degree
- Bachelor's degree
- Occupational licensure
- Occupational certificate, including Registered Apprenticeship and Career and Technical Education educational certificates
- Occupational certification
- Other recognized certificates of industry/occupational skills completion sufficient to qualify for entry-level or advancement in employment.

**Note:** WIOA section 3(52) defines a recognized postsecondary credential as a credential consisting of an industry-recognized certificate or certification, a certificate of completion of an apprenticeship, a license recognized by the state involved or Federal Government, or an associate or baccalaureate degree. Graduate degrees are not included in the definition of a recognized postsecondary credential. Therefore, graduate degrees do not count towards credential attainment.

It should be noted that the Credential Resource Guide published as TEGL 15-10, Attachment 2 was designed for use under WIA.<sup>7</sup> There are six Educational Credentials/Awards listed in that attachment that must no longer be applied toward credential attainment (with the exception of TAA). These six credentials/awards are:

1. Post-baccalaureate certificate;
2. Post-master's certificate;
3. First-professional certificate (post-degree);
4. Master's degree;
5. First-professional degree; and
6. Doctor's degree.

**Who is included in the Calculation of the Credential Attainment Indicator:**

Participants who exit and are in a postsecondary education or training program, or who are in a secondary education program (at or above the 9<sup>th</sup> grade level) without a secondary school diploma or equivalent, are included in the credential attainment indicator, subject to the "Special Rule" below. However, participants enrolled in work-

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<sup>7</sup> At the time of publishing of this guidance, TEGL 15-10 is still considered to be active guidance but in areas where the guidance conflicts with WIOA guidance (such as those areas described in this section) grantees should defer to more recently published guidance and WIOA statute and final rules.

based OJT or customized training are excluded from this indicator because such training does not typically lead to a credential.

**Special Rule Relating to Secondary School Diplomas and Recognized Equivalents in the Calculation of the Credential Attainment Measure:**

Participants who obtain a secondary school diploma or its recognized equivalent must also meet an additional condition before they are counted as a successful outcome and included in the numerator of the credential attainment indicator. These participants must be employed, or enrolled in an education or training program leading to a recognized postsecondary credential within one year following exit.

For each core program administered by DOL, a description of who is considered to be enrolled in an “education or training program”, and thus included in the credential attainment indicator, follows:

- **Title I Adult:** All Adult program participants who received training that was not OJT or Customized Training are included in the credential attainment indicator.
- **Title I Dislocated Worker:** All Dislocated Worker program participants who received training that was not OJT or Customized Training are included in the credential indicator.
- **Title I Youth:** All in-school Youth (ISY) are included in the credential attainment indicator since they are attending secondary or postsecondary school. Only out-of-school Youth (OSY) who participate in one of the following are included in the credential attainment indicator:
  - the program element occupational skills training
  - secondary education during participation in the title I Youth program
  - postsecondary education during participation in the title I Youth program
  - Title II-funded adult education during participation in the title I Youth program
  - YouthBuild during participation in the title I Youth program; and
  - Job Corps during participation in the title I Youth program.

For each non-core program, unless otherwise specified in program guidance, all program participants who received education or training that was not OJT or Customized Training are included in the credential attainment indicator.

**Exclusions from the Measure:**

Participants who exited an education or training program and who were enrolled in OJT only or Customized Training only are excluded from the indicator:

Also, participants who exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table A, Attachment 2, Table B, or Attachment 2, Table C are excluded from the credential attainment indicator.

**E. Measurable Skill Gains**

The Measurable Skill Gains indicator is the percentage of participants who, during a program year, are in education or training programs that lead to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. This indicator does not apply to the title III Employment Service program.

The measurable skill gains indicator is used to measure interim progress of participants who are enrolled in education or training services for a specified reporting period. It is not an exit-based measure. Instead, it is intended to capture important progressions through educational or skill pathways that offer different services based on program purposes and participant needs. It can also help fulfill the vision for a workforce system that serves a diverse set of individuals with a range of services tailored to individual needs and goals. Depending upon the type of education or training program in which a participant is enrolled, documented progress is defined as one of the following:

1. Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary education level;
2. Documented attainment of a secondary school diploma or its recognized equivalent;
3. Secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is meeting the state unit's academic standards;
4. Satisfactory or better progress report, towards established milestones, such as completion of OJT or completion of one year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training; or



5. Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks, such as knowledge-based exams.

**Examples:**

- A participant is enrolled in a four-year registered apprenticeship program: the measurable skill gains indicator tracks the skills the participant gains throughout the reporting period in each program year, not just at the end of the four-year training program.
- Low-skilled adult participants of an adult education program: the measurable skill gains indicator provides an opportunity to track and report multiple types of gains in reading, writing, mathematics, and English proficiency for each participant once per program year per period of participation (while more than one of each type can be earned, when reporting the grantee must only report the most recent of each type of gain).

**Documenting Progress for Types of Measurable Skill Gains**

1. **Documented achievement of at least one educational functioning level (EFL) of a participant who is receiving instruction below the postsecondary level – Programs may measure educational functioning level gain in one of three ways:**
  - (a) states may compare the participant’s initial educational functioning level, as measured by a pre-test, with the participant’s educational functioning level, as measured by a post-test;<sup>8</sup>
  - (b) states that offer adult high school programs that lead to a secondary school diploma or its recognized equivalent may measure and report educational gain through the awarding of credits or Carnegie units; or
  - (c) states may report an educational functioning level gain for participants who exit a program below the postsecondary level and enroll in postsecondary education and training during the program year. A program below the postsecondary level applies to participants enrolled in a basic education program.

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<sup>8</sup> The approved pre- and post-tests must be based on the list of tests the Secretary of Education determines to be suitable for use in the National Reporting System for Adult Education. The list of approved assessments is published annually in the Federal Register. See Tests Determined To Be Suitable for Use in the National Reporting System for Adult Education; Department of Education, 81 FR 89920 (December 13, 2016). <https://www.federalregister.gov/documents/2016/12/13/2016-29899/tests-determined-to-be-suitable-for-use-in-the-national-reporting-system-for-adult-education>.

- 2. Documented attainment of a secondary school diploma<sup>9</sup> or its recognized equivalent** – Programs may document attainment of a secondary school diploma or its recognized equivalent if the participant obtains certification of attaining passing scores on all parts of a state-recognized high school equivalency test, or the participant obtains a diploma or state-recognized equivalent documenting satisfactory completion of secondary studies or an alternative diploma,<sup>10</sup> including a high school or adult secondary school diploma.
- 3. Secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is meeting the State unit’s academic standards** – For secondary education, this gain may be documented through receipt of a secondary transcript<sup>11</sup> or report card for one semester showing that the participant is achieving the state unit’s policies for academic standards. For postsecondary education, this gain must demonstrate a sufficient number of credit hours—which is at least 12 hours per semester (or equivalent<sup>12</sup>) or, for part-time students, a total of at least 12 hours over the course of two completed semesters (or equivalent) during a 12 month period—that shows a participant is achieving the state unit’s academic standards (or the equivalent for other than credit hour programs). For example, if a postsecondary student completed 6 hours in the spring semester and 6 more hours in the fall semester and those semesters crossed two program years, they would not count as a skill gain in the first program year but they would count as a skill gain in the second program year.
- 4. Satisfactory or better progress report, towards established milestones, such as completion of OJT or completion of one year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training** – Documentation for this gain may vary, as grantees should identify appropriate methodologies based upon the nature of services being provided. The gain may be documented by a satisfactory or better progress report from an employer or training provider. Progress reports may include training reports on milestones completed as the individual masters the required job skills, or steps to complete an OJT or apprenticeship program. Documented increases in pay resulting from newly

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<sup>9</sup> Secondary school diploma refers to a regular high school diploma, as defined in the Every Student Succeeds Act. *Every Student Succeeds Act*, Pub. L. 114-95, Sec. 8002(43). December 2015.

<sup>10</sup> Alternative diploma must meet the requirements under the *Every Student Succeeds Act*.

<sup>11</sup> Secondary transcript is specific to youth attending high school.

<sup>12</sup> For gain type three, the Departments recommend that States and local areas develop policies suitable for the applicable academic system in use by the secondary or postsecondary institution in which the participant is enrolled including, but not limited to, semesters, trimesters, quarters, and clock hours for the calculation of credit hours (or their equivalent) when documenting progress towards Measurable Skill Gains.

acquired skills or increased performance also can be used to demonstrate successful progress.

**Note:** In the description of this type of Measurable Skill Gains, “completion of one year of an apprenticeship” is just one example of a timeframe that may be established for achieving a satisfactory or better progress report toward a specific milestone, and the ‘one year’ timeframe should not be construed as a required timeframe or the only way that a participant in an apprenticeship can achieve a Measurable Skill Gain.

- 5. Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks, such as knowledge-based exams** – Documentation for this gain may include passage of a component exam in a Registered Apprenticeship program, employer-required knowledge-based exam, satisfactory attainment of an element on an industry or occupational competency-based assessment, or other completion test necessary to obtain a credential.

**Methodology:**

*Calculation includes all participants enrolled in an education or training program that leads to a recognized postsecondary credential or employment:*

The number of program participants during the reporting period who are in an education or training program that leads to a recognized postsecondary credential or employment and are achieving measurable skill gains based on attainment of at least one type of gain DIVIDED by the number of program participants during the reporting period who are in an education or training program that leads to a recognized postsecondary credential or employment.

Participants who, during any point in the program year, are in an education or training program that leads to a recognized postsecondary credential or employment are included in the **denominator**. This includes participants who continue to receive services as well as those who have participated during the reporting period and have exited the program. Data for the denominator in this calculation is drawn from *PIRL 1811: Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential or Employment*.

The **numerator** is the number of program participants defined above who achieved at least one type of gain. A participant may have achieved more than one type of gain in a reporting period and all skill gains attained are encouraged to be collected and recorded for participants; however, only the most last skill gain recorded per participant during a period of participation in a reporting period may be used to

calculate success on the measurable skill gains indicator for that reporting period. These calculations are described in TEGL 10-16, Change 1, Attachment 10, Figure 7.

**Operational Parameters:**

All participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment are counted in the calculation of this indicator. Participants who exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table A and TEGL 10-16, Change 1, Attachment 2, Table B are excluded from the measurable skill gains indicator. For the title I Adult and Dislocated Worker program and the title I Youth program, a description of who is considered to be enrolled in an “education or training program”, and thus included in the measurable skill gains indicator, is provided below:

- **Title I Adult and Dislocated Worker** – All participants who are in a title I Adult- or Dislocated Worker-funded training program are included in the measurable skill gains indicator (which includes funding a training program for a secondary school program equivalent). This includes all participants in work-based training.
- **Title I Youth** – All (In-School Youth) ISY are included in the measurable skill gains indicator since they are attending secondary or postsecondary school. Only (Out-of-School Youth) OSY who are in one of the following are included in the indicator:
  - the program element occupational skills training
  - secondary education during participation in the title I Youth program
  - postsecondary education during participation in the title I Youth program
  - Title II-funded adult education during participation in the title I Youth program
  - the YouthBuild program during participation in the title I Youth program
  - Job Corps during participation in the title I Youth program

For each non-core program all program participants who received education or training are included in the measurable skill gains indicator unless otherwise specified in program guidance. Unlike Credential Attainment, this includes all participants in OJT and customized training.

**Additional Operational Parameters:**

- Participants are only included in the denominator one time per reporting period (i.e., program year), regardless of how many skill gains they achieve in a given program year unless the individual has more than one period of participation in a given

program year. Likewise, participants are only included in the numerator one time per reporting period (i.e., program year), regardless of how many skill gains they achieve in a given program year unless the individual has more than one period of participation in a given program year (See Section 9 of this TEGL for discussion on periods of participation.);

- A participant who exits the program and re-enrolls in the program during the same program year and is in an education or training program will be in the indicator two times for that particular program year, as explained in the discussion of periods of participation in Section 9 of this guidance;
- The measurable skill gains indicator is different from the other indicators because it is not exit-based, meaning that a participant can achieve one or more measurable skill gains while still participating in a program; and
- Programs must not delay enrollment or services to participants until a new program year even if programs believe there is insufficient time for the participant to make any type of measurable skill gain by the end of that program year.

For performance accountability purposes, the measurable skill gains indicator calculates the number of participants who attain at least one type of gain during each period of participation within a given program year. Since this indicator is not exit-based, each unique program entry date (not exit date) triggers inclusion in the calculation.

Participants will achieve a successful outcome in the indicator as long as they attain one type of gain applicable to the core program or non-core program in which the participant is enrolled. See the example below for how this would apply in a typical scenario.

#### Example

Chris enters an American Job Center and becomes a participant on October 2, 2016 (PY16). He exits the program on February 10, 2017. During this time, Chris achieves two types of gain under the measurable skill gain indicator.

He re-enters the program as a participant on June 11, 2017 (PY16). By the end of the program year (June 30, 2017), he is still in his second participation period. During this time, Chris obtains an additional type of gain under the measurable skill gain indicator.

In this example, Chris has two periods of participation, for which he falls into the denominator of the measure twice, and two positive outcomes on the measurable skill gains indicator. Although two types of gain were achieved in the first period of participation, only one of the two types of gains counts toward the indicator in the first participation period. During the second period of participation, another type of gain was achieved before the end of the program year, which counts as another positive outcome towards the measurable skill gains indicator.

This information is collected for all core programs (except the title III Employment

Service program), as part of the Measurable Skill Gains Report Template. If a participant achieves more than one type of measurable skill gain in a reporting period, the most recent gain of each skill gain type must be recorded on the Measurable Skill Gains Report Template (MSG template is part the of WIOA core program Annual Performance Report, and is not applicable to non-core programs).

**Operational Parameters – DOL-administered Core and Non-Core Programs:**

For the title I Adult, Dislocated Worker, and Youth core programs, achievement may be measured by any of the five types of measurable skill gains. There are no specific measurable skill gain types required for specific participants in each of these three title I core programs, except that for participants in the title I youth program, the type of skill gain must be based on the youth’s individual service strategy. The measurable skill gains indicator does not apply to the title III Employment Service program.

For the non-core programs achievement may be measured by any of the five types of measurable skill gains unless otherwise specified in program guidance.

**F. Effectiveness in Serving Employers**

WIOA section 116(b)(2)(A)(i)(VI) requires the Departments to establish a primary indicator of performance for effectiveness in serving employers. For the six core WIOA programs, the Departments are piloting three approaches to measuring this indicator. Descriptions of these approaches, and the pilot for the core programs, can be found in TEGL 10-16, Change 1.

Starting in PY 2018 (or the point at which wage matching data becomes available for this indicator), and throughout the employer measure pilot, the following DOL non-core programs will begin tracking “Effectiveness in Serving Employers” using the approach that measures retention with the same employer in the 2nd and 4th quarter after exit:

- H-1B Job Training Programs
- Indian and Native American Programs (INAP)
- Job Corps
- Jobs for Veterans State Grants (JVSG)
- National Dislocated Worker Grants (DWG)
- National Farmworker Jobs Program (NFJP)
- Re-entry Employment Opportunities (REO)
- YouthBuild

This approach to the “Effectiveness in Serving Employers” indicator is based on what is reported in PIRL element #1618, which will be a part of the wage record matching that DOL

will conduct on behalf of those programs that do not conduct their own wage matching as specified in program specific guidance. Grantees and Job Corps contractors may report on this retention measure using supplemental wage information in addition to the wage match data, as provided in program-specific guidance on supplemental wage information. Grantees and Job Corps contractors may also choose to track additional measures of effectiveness in serving employers that they determine in addition to tracking and reporting on this approach. Those grantees and Job Corps contractors that do choose to track additional measures relating to this indicator are encouraged to report these approaches and their outcomes to DOL, as DOL continues to evaluate different approaches to this indicator.

***Retention with the same employer – This approach captures the percentage of participants who exit and are employed with the same employer in the second and fourth quarters after exit.*** Grantees and Job Corps contractors must use wage records or supplemental wage information, as directed in program-specific guidance, to identify whether a participant’s employer wage record indicates a match of the same establishment identifier (such as a Federal Employer Identification Number (FEIN) or State tax id) in the second and fourth quarters.

**a. How to Calculate Retention with the Same Employer**

*Percentage of participants with wage records who exit and were employed by the same employer in the second and fourth quarters after exit.*

**Methodology:**

The number of participants with wage records who exit during the reporting period and were employed by the same employer during the second quarter after exit and the fourth quarter after exit DIVIDED by the number of participants with wage records who exit and were employed during the second quarter after exit.

For this measure, Grantees and Job Corps contractors must report on data element 1618 (Retention with the Same Employer in the 2nd Quarter and the 4th Quarter) in the PIRL. This data element is calculated based on information included in the wage record matches for participants in their fourth quarter after exit. This means that the only participants who are included in this approach are those for whom a wage record match is available. In order to count as a “yes” for this measure, the participant must have the same establishment identifier (such as an employer FEIN or State tax id) in both the second and fourth quarters after exit. This creates the numerator for this measure. The denominator for this measure is calculated based on those participants with wage records who were employed in the second quarter after exit.

The other two Effectiveness in Serving Employers measures – employer penetration rate and repeat business customer rate – will be piloted initially by programs under Titles I and III along with retention with the same employer in the second and fourth quarters after exit. Formula grantees will choose two of the three to report on until a permanent measure has been implemented. The Department’s evaluation of the piloted approaches will be reviewed upon its completion to make a determination about how the Department will measure effectiveness in serving employers in the future.



## Appendix II

### Definitions of Terms Related to the Performance Accountability System

*Non-core programs included in this guidance should refer to the appropriate attachment for the applicability of these definitions, as some programs have definitions that are specific to that program.*

- **Common Exit** – Occurs when a participant, enrolled in multiple partner programs (as defined by WIOA section 121 (b)), has not received services from *any* DOL-administered program, in which the participant is enrolled and to which the common exit policy applies for at least 90 days, and no future services are planned.
  - **(Common Exit) Date of Program Exit** -- for a participant who is enrolled in multiple partner programs and exits under a common exit policy as described above, the date of program exit is recorded as the last date that the participant received a service (other than self-services, information only services or activities, or follow-up services) from any of the partner programs that are a part of the common exit policy.
  
- **Customized Training** – Defined as training that:
  - is designed to meet the specific requirements of an employer (including a group of employers);
  - is conducted with a commitment by the employer to employ an individual upon successful completion of the training; and
  - for which the employer pays---(i) a significant portion of the cost of training, as determined by the local board involved, taking into account the size of the employer and such other factors as the local board determines to be appropriate, which may include the number of employees participating in training, wage and benefit levels of those employees (at present and anticipated upon completion of the training), relation of the training to the competitiveness of a participant, and other employer-provided training and advancement opportunities; and (ii) in the case of customized training involving an employer located in multiple local areas in the State, a significant portion of the cost of the training, as determined by the Governor of the State, taking into account the size of the employer and such other factors as the Governor determines to be appropriate.
  
- **Employment** – For the purpose of this guidance, and unless otherwise specified in program-specific guidance, employment refers to a period in which an individual is working in a paid, unsubsidized job or, working 15 hours or more a week in an unpaid job on a farm or business

operated by a family member or participant.<sup>1</sup> For clarity, the Department notes that employment includes, but is not limited to, employment in the military, in a Registered Apprenticeship, and/or self-employment.

- **Incumbent Worker** – To qualify as an incumbent worker, the individual worker needs to be employed in a situation that meets the Fair Labor Standards Act requirements for an employer-employee relationship, and have an established employment history with the employer for six months or more. The exception to this is in the event that the incumbent worker training is being provided to a cohort of employees, not every employee in the cohort must have an established employment history with the employer for 6 months or more as long as a majority of those employees being trained do meet the employment history requirement. An incumbent worker does not have to meet the eligibility requirements for career and training services for Adults and Dislocated Workers under WIOA, unless they also are enrolled as a participant in the WIOA Adult or Dislocated Worker program.
  
- **Non-core Programs** – For the purposes of this guidance, “non-core programs” refers to the following workforce employment and training programs authorized under WIOA or other federal legislation:
  - Indian and Native American (INA) Program, under WIOA section 166;
  - Job Corps, under WIOA sections 141-162;
  - National Farmworker Jobs Program (NFJP), under WIOA section 167;
  - YouthBuild, under WIOA section 171;
  - Reentry Employment Opportunities (REO), authorized under WIOA section 169;
  - National Dislocated Worker Grants (DWG), under WIOA section 170;
  - H-1B Job Training Programs (grants awarded July 1, 2016 and later), authorized under section 414(c) of the American Competitiveness and Workforce Improvement Act of 1998 (29 U.S.C. § 3224a)
  - Senior Community Service Employment Program (SCSEP), authorized under title V of the Older Americans Act of 1965 (42 U.S.C. 3056 *et seq.*);
  - Trade Adjustment Assistance (TAA), authorized under chapter 2 of title II of the Trade Act of 1974 (19 U.S.C. 2271 *et seq.*);
  - Jobs for Veterans State Grants (JVSG), authorized under 38 U.S.C. chapter 41; and
  - Monitor Advocate System<sup>2</sup>, under WIOA title III Employment Service. (authorized by the Wagner-Peyser Act)

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<sup>1</sup> TEGL 10-16 contains a definition of employment applicable to all six core programs, which contains additional provisions specific to the title IV VR program (authorized by the Rehabilitation Act of 1973).

<sup>2</sup> Note that this guidance includes the Monitor Advocate System in the definition of “non-core programs”, although it is not technically a program but a subset of analysis of services to migrant and seasonal farmworkers (MSFWs) under the title III Employment Service program.

- **Participant Individual Record Layout (PIRL)** – The data layout that provides a standardized set of data elements, definitions, and reporting instructions that will be used to describe and report the characteristics, activities, and outcomes of WIOA participants.
- **Period of Participation** – For all indicators (except Measurable Skill Gains) a period of participation refers to the period of time beginning when an individual becomes a participant and ending on the participant’s date of exit from the program.
- **Secondary School Diploma** – For purposes of the credential attainment performance indicator, a secondary school diploma (commonly referred to as high school diploma) or alternate diploma is one that is recognized by a state and that is included for accountability purposes under the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act (ESSA). A secondary school equivalency certification signifies that a student has completed the requirements for a high school education and is recognized by the state.
- **Unsubsidized Employment** – Employment in the private sector or public sector for which the employer does not receive a subsidy from public funds to offset all or a part of the wages and costs of employing an individual.

**Appendix III – Table A**  
**Participation Level Services Chart**  
**WIOA Title I, Subtitle D, Section 166 - Indian and Native American Programs**

<b>Service Type</b>	<b>Does this service trigger inclusion in participation?</b>	<b>Category of Service</b>	<b>Applicable PIRL Data Element Number(s)</b>
Eligibility Determination	No	Basic Career Service	1007
Outreach, Intake, Orientation	No	Basic Career Service	1007
Initial assessment of skill level & other service needs	Yes	Basic Career Service	1001, 1003, 1004
Job search assistance (Self-directed)	No	Basic Career Service	1002
Job search assistance (Staff-assisted)	Yes	Basic Career Service	1001, 1003, 1004
Job placement assistance (includes "Referred to Employment") (Staff-assisted)	Yes	Basic Career Service	1001, 1003, 1004
Career Counseling (includes "Staff-assisted career guidance")	Yes	Basic Career Service	1001, 1003, 1004
Providing info on in-demand sectors, occupations, or nontraditional employment	No	Basic Career Service	1002
Provision of referrals and associated coordination of activities with other programs and services	No	Basic Career Service	1002
Provision of workforce and labor market employment statistics information	No	Basic Career Service	1002
Provision of info on job vacancies	No	Basic Career Service	1002
Provision of info on job skills necessary to fill vacancies	No	Basic Career Service	1002

<b>Service Type</b>	<b>Does this service trigger inclusion in participation?</b>	<b>Category of Service</b>	<b>Applicable PIRL Data Element Number(s)</b>
Provision of info on local demand occupations, with earnings, skill requirements, and opportunities for advancement for those jobs	No	Basic Career Service	1002
Referral to supportive services and assistance; such as, child care, medical or health assistance, SNAP, and TANF	No	Basic Career Service	1002
Provision of information and assistance filing for UI	No	Basic Career Service	1007
Assistance establishing eligibility for financial aid	No	Basic Career Service	1007
Comprehensive and specialized assessments	Yes	Individualized Career Service	1200, 1201
Development of IEP	Yes	Individualized Career Service	1200, 1201, 1202
Group Counseling	Yes	Individualized Career Service	1200, 1201
Individual Counseling	Yes	Individualized Career Service	1200, 1201
Career Planning	Yes	Individualized Career Service	1200, 1201
Short-term prevocational services	Yes	Individualized Career Service	1200, 1201, 1210
Internships and work experiences	Yes	Individualized Career Service	1200, 1201, 1203, 1205
Workforce preparation activities	Yes	Individualized Career Service	1200, 1201
Financial literacy services	Yes	Individualized Career Service	1200, 1201, 1206

<b>Service Type</b>	<b>Does this service trigger inclusion in participation?</b>	<b>Category of Service</b>	<b>Applicable PIRL Data Element Number(s)</b>
Job readiness training*	Yes	Individualized Career Service	1200, 1201
Tutoring, Study Skills Training, Dropout Prevention	Yes	Individualized Career Service	1200, 1201
Occupational skills training	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
On-the-job training	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Customized training conducted with a commitment to hire by an employer or group of employers	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Programs that combine workplace training with related instruction	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318

Service Type	Does this service trigger inclusion in participation?	Category of Service	Applicable PIRL Data Element Number(s)
Training programs operated by the private sector	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Skills upgrading and retraining	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Entrepreneurial training	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
GED Preparation or Returned to Secondary School	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Adult basic education	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318

Service Type	Does this service trigger inclusion in participation?	Category of Service	Applicable PIRL Data Element Number(s)
English language training	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Literacy training	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Customized training	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Post-secondary education	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Registered Apprenticeship Program	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318

\*Note: For reporting purposes under WIOA, Job Readiness Training is categorized as an individualized career services.



**Appendix III – Table B  
Participation Level Services Chart  
National Dislocated Worker Grants**

<b>Service Type (WIOA sections 134(c) and 170(d))</b>	<b>Does this service trigger inclusion in participation?</b>	<b>Category of Service</b>	<b>Applicable PIRL Data Element Number(s)</b>
Eligibility Determination	No	Basic Career Service	1000, 1002, 1007
Outreach, Intake, Orientation	No	Basic Career Service	1000, 1002, 1007
Initial assessment of skill level & other service needs	Yes	Basic Career Service	1003, 1004, 1102
Job search assistance (Self-directed)	No	Basic Career Service	1000, 1002, 1101
Job search assistance (Staff-assisted)	Yes	Basic Career Service	1003, 1004, 1104
Placement assistance (includes "Referred to Employment") (Staff-assisted)	Yes	Basic Career Service	1003, 1004, 1105, 1106, 1107, 1108, 1109, 1110, 1111
Career Counseling (includes "Staff-assisted career guidance")	Yes	Basic Career Service	1003, 1004, 1102
Providing info on in-demand sectors, occupations, or nontraditional employment	No	Basic Career Service	1000, 1002, 1103
Provision of referrals and associated coordination of activities with other programs and services	Yes	Basic Career Service	1003, 1004, 1113, 1115
Provision of workforce and labor market employment statistics information	No	Basic Career Service	1000, 1002, 1103
Provision of info on job vacancies	No	Basic Career Service	1000, 1002, 1103
Provision of info on job skills necessary to fill vacancies	No	Basic Career Service	1000, 1002, 1103

<b>Service Type (WIOA sections 134(c) and 170(d))</b>	<b>Does this service trigger inclusion in participation?</b>	<b>Category of Service</b>	<b>Applicable PIRL Data Element Number(s)</b>
Provision of info on local demand occupations, with earnings, skill requirements, and opportunities for advancement for those jobs	No	Basic Career Service	1000, 1002, 1103
Provision of performance and program cost info for providers of education and training	No	Basic Career Service	1000, 1002, 1100
Provision of info on local performance	No	Basic Career Service	1000, 1002, 1100
Provision of info on availability of supportive services or assistance	No	Basic Career Service	1000, 1002, 1100
Referral to supportive services	Yes	Basic Career Service	1003, 1004, 1113, 1115
Provision of information and meaningful assistance filing for UI	Yes	Basic Career Service	1003, 1004, 1112
Assistance establishing eligibility for financial aid	Yes	Basic Career Service	1003, 1004, 1116
Comprehensive and specialized assessments	Yes	Individualized Career Service	1004, 1200, 1201
Development of IEP	Yes	Individualized Career Service	1004, 1200, 1201, 1202
Group Counseling	Yes	Individualized Career Service	1004, 1200, 1201
Individual Counseling	Yes	Individualized Career Service	1004, 1200, 1201
Career Planning	Yes	Individualized Career Service	1004, 1200, 1201
Short-term prevocational services	Yes	Individualized Career Service	1004, 1200, 1201, 1210
Internships and work experiences (including transitional jobs)	Yes	Individualized Career Service	1004, 1200, 1201, 1203, 1205, 1211
Workforce preparation activities	Yes	Individualized Career Service	1004, 1200, 1201

<b>Service Type (WIOA sections 134(c) and 170(d))</b>	<b>Does this service trigger inclusion in participation?</b>	<b>Category of Service</b>	<b>Applicable PIRL Data Element Number(s)</b>
Financial literacy services	Yes	Individualized Career Service	1004, 1200, 1201, 1206
Out-of-area job search assistance and relocation assistance	Yes	Individualized Career Service	1004, 1200, 1201
English-language acquisition and integrated education and training programs	Yes	Individualized Career Service	1004, 1200, 1201, 1207
Training services under WIOA section 134(c)(3)(D) with exception of section 134(c)(3)(D)(iii) (incumbent worker training)	Yes	Training	1300, 1301, 1302, 1303, 1304, 1305, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318, 1319
Received Disaster Relief Employment on projects as defined in WIOA section 170(d)(1)(A) (Disaster Recovery DWG only)	Yes	Disaster Relief Employment	2004
Safety orientation, safety training, equipment training (for Disaster Relief Employment under Disaster Recovery DWG only)	Yes	Disaster Relief Employment	2004
Supportive Services authorized in WIOA section 134(d)(2) and defined in 20 CFR 680.900	No	Supportive Services	1409

\*Note: Receipt of any of the three types of services (Basic, Individualized, or Training) makes an individual a “Reportable Individual” while it only takes the receipt of one service that triggers

participation to be considered a participant. However, in Quarterly Performance Reports only those Reportable Individuals that are not participants are displayed in the Reportable Individual counts.

\*\* The DWG Participation Level Services Chart aligns with WIOA Title I Dislocated Worker program definitions.

**Appendix III – Table C  
Participation Level Services Chart  
National Farmworker Jobs Program -  
Career Services and Training Grants**

<b>Benefit or Service Type (WIOA section 167)</b>	<b>Does this benefit/service trigger inclusion in participation?</b>	<b>Category of Benefit/Service (i.e. Basic, Individualized, Training)</b>	<b>Applicable PIRL Data Element Number(s)</b>
Eligibility Determination <sup>1</sup> See 20 CFR 685.110 at <a href="#">WIOA Final Rule</a> .	No	Basic Career Service <sup>2</sup>	1007
Outreach, Intake, Orientation	No	Basic Career Service	1007
Initial assessment of skill level & other service needs	No	Basic Career Service	1007
Job search assistance (Self-directed)	No	Basic Career Service	1000 AND 1002
Job search assistance (Staff-assisted)	Yes	Basic Career Service	1004
Placement assistance (includes “Referred to Employment”) (Staff-assisted)	Yes	Basic Career Service	1004 AND 1116
Career Assessment (includes “Staff-assisted career guidance”)	Yes	Basic Career Service	1004 AND 1116
Providing info on in-demand sectors, occupations, or nontraditional employment	No	Basic Career Service	1007

<sup>1</sup> For NFJP program eligibility information, see TEGL 18-16. Note, the Participant Individual Record Layout (PIRL) data element 808 Eligible Migrant and Seasonal Farmworker Status (WIOA sec. 167) is only to be used for participants, who are enrolled or co-enrolled in NFJP. For Employment Service performance reporting purposes, Wagner-Peyser partners should use PIRL data element 413 for Migrant and Seasonal Farmworker Designation as defined in 20 CFR 651.10.

<sup>2</sup> For detailed information about Basic Career Services and Individualized Career Services, see TEGL 10-16, Change 1, Attachment 7 –Participation Level Services Chart Table A (Adult) and Table B (Youth).

<b>Benefit or Service Type (WIOA section 167)</b>	<b>Does this benefit/service trigger inclusion in participation?</b>	<b>Category of Benefit/Service (i.e. Basic, Individualized, Training)</b>	<b>Applicable PIRL Data Element Number(s)</b>
Provision of referrals and associated coordination of activities with other programs and services	No	Basic Career Service	1007
Provision of workforce and labor market employment statistics information	No	Basic Career Service	1007
Provision of info on job vacancies	No	Basic Career Service	1007
Provision of info on job skills necessary to fill vacancies	No	Basic Career Service	1007
Provision of info on local demand occupations, with earnings, skill requirements, and opportunities for advancement for those jobs	No	Basic Career Service	1007
Provision of performance and program cost info for providers of education and training	No	Basic Career Service	1007
Provision of info on local performance	No	Basic Career Service	1007
Provision of info on availability of supportive services or assistance	No	Basic Career Service	1007
Referral to supportive services	No	Basic Career Service	1007
Provision of information and meaningful assistance filing for UI	No	Basic Career Service	1007
Assistance establishing eligibility for financial aid	No	Basic Career Service	1007

<b>Benefit or Service Type (WIOA section 167)</b>	<b>Does this benefit/service trigger inclusion in participation?</b>	<b>Category of Benefit/Service (i.e. Basic, Individualized, Training)</b>	<b>Applicable PIRL Data Element Number(s)</b>
<p>Related Assistance Services (includes short-term forms of direct assistance, including emergency assistance services, designed to assist eligible MSFWs retain or stabilize their agricultural employment) See 20 CFR 685.110, 685.380 and 685.400 at WIOA Final Rule.</p>	<p>No, when not involving career assessment</p>	<p>Basic Career Service</p>	<p>1007 AND (2209, 2210, 2211, 2212, 2213, 2214, AND/OR 2216)</p>
<p>Supportive Services (includes services to enable participation in career services and training)</p>	<p>Yes*</p>	<p>Basic Career Service</p>	<p>N/A</p>
<p>Career Assessment (includes career planning (i.e., comprehensive and specialized assessments and Individual Employment Plan))</p>	<p>Yes</p>	<p>Individualized Career Service</p>	<p>1004 AND 1200</p>
<p>Career Services See 20 CFR 685.340 at WIOA Final Rule.</p>	<p>Yes</p>	<p>Individualized Career Service</p>	<p>1004 AND (1201, 1205, 1210, AND/OR 1211)</p>
<p>Group Counseling</p>	<p>Yes</p>	<p>Individualized Career Service</p>	<p>1004 AND (1200 AND 1201)</p>
<p>Individual Counseling</p>	<p>Yes</p>	<p>Individualized Career Service</p>	<p>1004 AND (1200 AND 1201)</p>
<p>Short-term prevocational services</p>	<p>Yes</p>	<p>Individualized Career Service</p>	<p>1004 AND 1210</p>
<p>Internships and work experiences (includes transitional jobs)</p>	<p>Yes</p>	<p>Individualized Career Service</p>	<p>1004 AND 1205</p>

<b>Benefit or Service Type (WIOA section 167)</b>	<b>Does this benefit/service trigger inclusion in participation?</b>	<b>Category of Benefit/Service (i.e. Basic, Individualized, Training)</b>	<b>Applicable PIRL Data Element Number(s)</b>
Workforce preparation activities	Yes	Individualized Career Service	1004 AND (1200 AND 1201)
Financial literacy services	Yes	Individualized Career Service	1004 AND (1200 AND 1201)
Out-of-area job search assistance and relocation assistance	Yes	Individualized Career Service	1004 AND (1200 AND 1201)
Youth Services See 20 CFR 685.370 at WIOA Final Rule.	Yes	Individualized Career Service	1004 AND (1401 AND/OR 1406)
Related Assistance (Staff Assisted) Services	Yes	Individualized Career Service	1004 AND 2215
Training Services (includes on the job training and occupational skills training) See 20 CFR 685.350 at WIOA Final Rule.	Yes	Training	1300 AND Training #1 (1302, 1303, 1306, 1307 and 1308); Training#2 (1309, 1310, 1311, 1312, and 1313); Training #3 (1314, 1315, 1316, 1317, and 1318); AND (1319, 1320, or 1332)
Basic Skills Training (includes English language acquisition and integrated education and training programs (non OJT))	Yes	Training	2221
Follow-up Services	No	Follow up Service	N/A

\*Note: Supportive services can only be provided to individuals that are already participants, so the provision of supportive services is not technically a participation trigger because all recipients will all be participants already.



**Appendix III – Table D  
Participation Level Services Chart  
Trade Adjustment Assistance (TAA)**

<b>Benefit or Service Type</b>	<b>Does this benefit/ service trigger inclusion in participation?</b>	<b>Category of Benefit/ Service (i.e. Basic, Individualized, Training)</b>	<b>Applicable PIRL Data Element Number(s)</b>
Basic Trade Readjustment Allowance	Yes	Individualized	1511
Additional Trade Readjustment Allowance	Yes	Individualized	1516
Remedial/Prerequisite Trade Readjustment Allowance	Yes	Individualized	1521
Employment and Case Management Services under Section 235 of the Trade Act	Yes	Individualized	902
Job Search Allowance	Yes	Individualized	1507
Relocation Allowance	Yes	Individualized	1510
Alternative Trade Adjustment Assistance/Reemployment Trade Adjustment Assistance	Yes	Individualized	1534
Individualized Career Service*	No	Individualized	1200
TAA Benefit or Service**	Yes	Individualized	925
Waiver From Training Requirement	Yes	Individualized	1323
TAA-Approved Training	Yes	Individualized	1325
Individual Employment Plan (if applicable to TAA Benefit or Service)	Yes	Individualized	1202
TAA Application	No	Individualized	924
TAA Eligibility Determination	No	Individualized	927

\* Any TAA Benefit or Service triggers the population Date of First Individualized Career Service if it has not already been populated under another co-enrolled program provided. However, not all Individualized Career Services are related to the Trade Program.

\*\* Date of First TAA Benefit or Service (PIRL 925) should be on or before the first date of any specific TAA benefit or service.

**Appendix IV –  
PIRL Elements Used in the Calculation of Each Primary Indicator of Performance**

The table on pages 2-3 of this appendix lists the PIRL data elements needed to calculate each of the primary indicators of performance. For details of how each of these elements is used in the calculations, users should refer to the specifications in the “Amended WIOA Joint ICR WIOA Statewide and Local Perf Rep Template and Specs” published in the “Workforce Innovation and Opportunity Act (WIOA) Common Performance Reporting Information Collection Request” (<https://doleta.gov/performance/reporting/>).

Although every program is required to report on these elements in order to ensure consistent calculation of these indicators, some programs may encounter elements that are always reported as “0,” as they are impermissible for programmatic purposes (see program specific attachments for details). Programs that are dependent upon DOL-provided case management systems facing delays in reporting these indicators during the transition to WIOA must still collect the data and retain a record of the data for these indicators, though they may be unable to report on the indicators until a later date (these programs will provide additional guidance or technical assistance on meeting this requirement).

**(Table begins on next page)**

Indicator	PIRL Elements Used in Calculation of Indicator	
	PIRL Element Number	Element Name
Credential Attainment	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1303	TYPE OF TRAINING #1
	1310	TYPE OF TRAINING #2
	1315	TYPE OF TRAINING #3
	1332	PARTICIPATED IN POSTSECONDARY EDUCATION DURING PROGRAM PARTICIPATION
	1401	ENROLLED IN SECONDARY EDUCATION PROGRAM
	1406	DATE ENROLLED IN POST-EXIT EDUCATION OR TRAINING PROGRAM LEADING TO A RECOGNIZED POSTSECONDARY CREDENTIAL
	1600	EMPLOYED 1ST QUARTER AFTER EXIT QUARTER
	1602	EMPLOYED 2ND QUARTER AFTER EXIT QUARTER
	1604	EMPLOYED 3RD QUARTER AFTER EXIT QUARTER
	1606	EMPLOYED 4TH QUARTER AFTER EXIT QUARTER
	1800	TYPE OF RECOGNIZED CREDENTIAL #1
	1802	TYPE OF RECOGNIZED CREDENTIAL #2
	1804	TYPE OF RECOGNIZED CREDENTIAL #3
	1801	DATE ATTAINED RECOGNIZED CREDENTIAL #1
	1803	DATE ATTAINED RECOGNIZED CREDENTIAL #2
	1805	DATE ATTAINED RECOGNIZED CREDENTIAL #3

Indicator	PIRL Elements Used in Calculation of Indicator	
	PIRL Element Number	Element Name
Measurable Skill Gains	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1800	TYPE OF RECOGNIZED CREDENTIAL #1
	1802	TYPE OF RECOGNIZED CREDENTIAL #2
	1804	TYPE OF RECOGNIZED CREDENTIAL #3
	1801	DATE ATTAINED RECOGNIZED CREDENTIAL
	1803	DATE ATTAINED RECOGNIZED CREDENTIAL #2
	1805	DATE ATTAINED RECOGNIZED CREDENTIAL #3
	1806	DATE OF MOST RECENT MEASUREABLE SKILL GAINS: EDUCATIONAL FUNCTIONING LEVEL (EFL)
	1808	DATE OF MOST RECENT MEASURABLE SKILL GAINS: SECONDARY TRANSCRIPT/REPORT CARD
	1807	DATE OF MOST RECENT MEASURABLE SKILL GAINS: POSTSECONDARY TRANSCRIPT/REPORT CARD
	1809	DATE OF MOST RECENT MEASURABLE SKILL GAINS: TRAINING MILESTONE
	1810	DATE OF MOST RECENT MEASURABLE SKILL GAINS: SKILLS PROGRESSION
1811	DATE ENROLLED IN DURING PROGRAM PARTICIPATION IN AN EDUCATION OR TRAINING PROGRAM LEADING TO A RECOGNIZED POSTSECONDARY CREDENTIAL OR EMPLOYMENT (WIOA)	
1813	DATE COMPLETED, DURING PROGRAM PARTICIPATION, AN EDUCATION OR TRAINING PROGRAM LEADING TO A RECOGNIZED POSTSECONDARY CREDENTIAL OR EMPLOYMENT (WIOA)	
Indicator	PIRL Elements Used in Calculation of Indicator	
	PIRL Element Number	Element Name
Median Earnings	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1704	WAGES 2ND QUARTER AFTER EXIT

Indicator	PIRL Elements Used in Calculation of Indicator	
	PIRL Element Number	Element Name
Employment Rate 2nd Quarter After Exit	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1602	EMPLOYED 2ND QUARTER AFTER EXIT QUARTER
Employment Rate 4th Quarter After Exit	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1606	EMPLOYED 4TH QUARTER AFTER EXIT QUARTER
Youth Education or Employment Rate 2nd Quarter After Exit	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1602	EMPLOYED 2ND QUARTER AFTER EXIT QUARTER
	1900	YOUTH 2ND QUARTER PLACEMENT (TITLE I)
Youth Education or Employment Rate 4th Quarter After Exit	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1606	EMPLOYED 4TH QUARTER AFTER EXIT QUARTER
	1901	YOUTH 4TH QUARTER PLACEMENT (TITLE I)

**Appendix V – Periods of Performance Reporting Cohorts**

*Each color (blue, green, red) represents the program year the different cohorts of individuals are reported, and each shade of those colors represents the quarter those cohorts are reported. For example, for programs with Annual Reports, all four different blue shades represent the cohorts reported in the PY 2017 Annual Report, while the dark blue shaded boxes are the cohorts in Quarterly Report for the April-June 2018 reporting period. All of the boxes with the same color/shade represent cohorts that are reported in the reporting period with the corresponding color/shade (see example on page 2).*

WIOA Performance Indicators	PY 2017 WIOA Annual Report ETA-9169 Due October 2018				PY 2018 WIOA Annual Report ETA-9169 Due October 2019				PY 2019 WIOA Annual Report ETA-9169 Due October 2020				Annual Report periods
	Jul - Sep 2017	Oct - Dec 2017	Jan - Mar 2018	Apr - Jun 2018	Jul - Sep 2018	Oct - Dec 2018	Jan - Mar 2019	Apr - Jun 2019	Jul - Sep 2019	Oct - Dec 2019	Jan - Mar 2020	Apr - Jun 2020	Quarterly report periods
<i>Based on individuals served in the same Quarter/Program Year of the Report</i>													
Participant Characteristics													
Veterans' Priority of Service													
Number of Reportable Individuals													
Measurable Skill Gains													
<i>Based on individuals exiting in Quarters/PY prior to reporting period, lagged to account for data availability and outcome timeframes</i>													
Exiter Characteristics													
Employment Rate 2nd Quarter After Exit													The outcomes for these exiters' reported in PY 20 reports
Median Earnings 2nd Quarter After Exit													
Employment Rate 4th Quarter After Exit													The outcomes for these exiters' reported in PY 20 reports
Credential Attainment Rate													
Effectiveness In Serving Employers: Retention With The Same Employer													The outcomes for these exiters' reported in PY 21 reports

\*Data availability based on data collection beginning July 1, 2017. Programs with delayed implementation of WIOA measures will have delayed availability

\*\*Note: Not all programs are required to submit annual reports or report on all of the indicators in this chart. See program attachments for more details.

For example, the quarterly report for July – September 2019 will include:

- **Participants From July – September 2019 Quarter →**
  - Participant Characteristics,
  - Veterans' Priority of Service,
  - Reportable Individuals,
  - Measureable Skill Gains, and
- **Exiters from April – September 2019 Quarter →**
  - Exiter Characteristics
- **Exiters from July – September 2018 Quarter →**
  - Employment Rate 2<sup>nd</sup> Quarter After Exit and
  - Median Earnings 2<sup>nd</sup> Quarter After Exit
- **Exiters from January – March 2018 Quarter →**
  - Employment Rate 4<sup>th</sup> Quarter After Exit,
  - Credential Rate, and
  - Effectiveness in Serving Employers: Retention With the Same Employer<sup>1</sup>

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<sup>1</sup> Effectiveness in Serving Employers is only officially reported annually, but since the data for "Retention with the Same Employer" is reported quarterly through the PIRL, the indicator can be calculated for different periods of reporting as well.

## **Appendix VI – Supplemental Wage Information for Non-Core Programs**

*The language below is aligned with the guidance in Training and Employment Guidance Letter (TEGL) 26-16, which provides joint supplemental wage information guidance developed by the Department of Labor (DOL or Department) and the Department of Education (ED) to provide guidance on using supplemental wage information for reporting performance under the Workforce Innovation and Opportunity Act (WIOA) for the six WIOA core programs: the title I Adult, Dislocated Worker, and Youth programs, administered by DOL; the title II Adult Education and Family Literacy Act (AEFLA) program, administered by ED; the Employment Service program authorized under the Wagner-Peyser Act, as amended by WIOA title III and administered by DOL;<sup>1</sup> and the Vocational Rehabilitation (VR) program authorized under title I of the Rehabilitation Act of 1973, as amended by WIOA title IV and administered by ED.<sup>2</sup> This appendix provides guidance for the DOL-administered non-core programs.*

*Individual programs should refer to individual program attachments for additional details on the use and applicability of supplemental wage information for performance reporting.*

### **Background**

This appendix provides clarification to grantees on the use of supplemental wage information (described in detail in the section below entitled “Supplemental Wage Information Methods and Procedures”) when reliance on such information is necessary for verifying and reporting on the employment-related performance indicators listed below:

- employment rate during the second quarter after exit from the program;
- employment rate during the fourth quarter after exit from the program; and
- median earnings during the second quarter after exit from the program.<sup>3</sup>

This guidance also applies to the employment-related portion of the credential attainment indicator.<sup>4</sup>

While the most efficient method for determining both employment status and earnings for program participants is to obtain quarterly wage records for those participants, such wage

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<sup>1</sup> Although this program is authorized under the Wagner-Peyser Act, it was amended by title III of WIOA and is a “core program” of WIOA, as defined at WIOA section 3(12). Throughout this guidance, it is referred to as the “title III Employment Service.”

<sup>2</sup> Although this program is authorized under title I of the Rehabilitation Act of 1973, it was amended by title IV of WIOA and is a “core program” of WIOA, as defined at WIOA section 3(12). Throughout this guidance, it is referred to as the “title IV VR program.”

<sup>3</sup> Further details on the methodology and operational parameters for each of the employment-related indicators may be found in Appendix I of this guidance.

<sup>4</sup> As noted in Appendix I, a participant who obtains a secondary school diploma or its recognized equivalent must meet an additional condition before they are counted as a successful outcome and included in the numerator of the credential attainment indicator. The participant is included in the calculation “only if the participant is also employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.” Therefore, for the credential attainment indicator, Grantees may elect to use supplemental wage information to collect information on employment within one year after exit.



records will not be available in all circumstances. For example, wage record matches will not be available for participants who decline to provide a Social Security Number (SSN),<sup>5</sup> nor for participants who are self-employed. In addition, during the interim transition period wherein DOL reaches the necessary agreements to conduct wage queries on behalf those programs whose grantees are unable do so for themselves, the Department will lack the ability to obtain quarterly wage records for those programs not covered under existing agreements.<sup>6</sup> Finally, the Department will not be able to conduct quarterly wage record queries for programs that do not have the authority to allow for SSNs to be reported to the Department, or for programs that are not included in the Department's agreements. In instances such as these, supplemental wage information is necessary for verifying and reporting on the employment-related performance indicators.

### **Circumstances for Collecting Employment-Related Data Using Supplemental Methods for Performance Reporting Purposes**

For purposes of the employment-related performance indicators, a participant's status in unsubsidized employment and quarterly earnings may be determined by a variety of data sources. To the extent it is consistent with state law, direct Unemployment Insurance (UI) wage match, obtained through appropriate agreement,<sup>7</sup> via either state UI data or via out-of-state wage record data exchange, will be the primary data source for verifying participant outcomes for calculating levels of performance for the employment-related indicators and will be used when available. UI wage records include private sector and certain government employer wage reports, such as:

- state government employment records;
- local government employment records;
- judicial employment records; and
- public school employment records.

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<sup>5</sup> Program eligibility to participate in a program under WIOA is not contingent upon the individual providing an SSN. See 81 Fed. Reg. at 55838. More broadly, since the performance indicators require reporting on all participants, grantees are encouraged to develop a method for quantifying the performance outcomes of participants who do not provide SSNs or for whom wage records are not available in order to include them in the calculation of levels of performance for the program.

<sup>6</sup> The Department notes that as announced on July 28, 2017 via TEN 3-17, *Informing the States about Reassessment of the Federal Employment Data Exchange System (FEDES)*, the operation of the Federal Employment Data Exchange System (FEDES) was suspended as of January 2018. FEDES was a pilot program that had supported reporting based on Federal civilian and military employment records, including records maintained by the Office of Personnel Management and the Department of Defense. Until and unless a similar data sharing agreement is implemented for federal employment information, supplemental wage records will be the only method of documenting employment status and wages after December 31, 2017 for individuals employed by the Federal government as a civilian (e.g., civil service, and civilians employed by the Department of Defense) or as a member of the military.

<sup>7</sup> The Wage Record Interchange System is used to exchange UI wage record information for performance reporting purposes between States that are party to the data sharing agreement. ETA and the Kansas Department of Commerce have a Memorandum of Understanding that enables grantees of specified non-core programs to access aggregate wage record information through the Wage Record Interchange System (WRIS) and FEDES in order to calculate the levels of performance for the employment-related indicators for those non-core programs. This current arrangement between ETA and Kansas is the Common Reporting Information System (CRIS).

While most forms of employment in a state's workforce system will be reported via employer tax filings in the UI wage records system as noted above, certain types of employers and employees are excluded from coverage under federal and state UI laws. For program participants engaged in these types of employment, and for participants for whom the grantee does not have an SSN on record, grantees may use supplemental wage information and wage data from other reliable sources to collect employment-related data necessary for calculating levels of performance.

Individuals for whom a quarterly wage record match would not be available through the state UI data system include, but are not limited to:

- federal employees;
- military employees; or
- individuals who are self-employed.

Sources of supplemental wage information (i.e., sources of wage information other than direct UI wage match) include the following:

Employment records from such federal and state sources as:

- State New Hires Registry (<https://www.acf.hhs.gov/css/resource/state-new-hire-reporting-websites>) under the National Directory of New Hires (NDNH) (<https://www.acf.hhs.gov/css/resource/national-directory-of-new-hires-state-directory-of-new-hires-prwora>) requirements;
- State Department of Revenue or Taxation; or
- Railroad Retirement System.

Tax documents, payroll records, and employer records such as:

- copies of quarterly tax payment forms to the Internal Revenue Service, such as a Form 941 (Employer's Quarterly Tax Return);
- Standard Form 50 (SF-50) Notification of Personnel Action, for civilian employees of the Federal government, or PS Form 50 (PS-50) Notification of Personnel Action, for employees of the United States Postal Service;
- verification of military service, as available from the Defense Manpower Data Center (<https://www.dmdc.osd.mil/appj/dwp/index.jsp>), or a Leave and Earning Statement;
- leave and Earnings statement from the Defense Finance and Accounting Service, for civilian employees of the Department of Defense;
- copies of pay stubs; or
- signed letter or other information from employer on company letterhead attesting to an individual's employment status and earnings.

Other supplemental wage records:

- follow-up survey (signed self-attestation from program participants);
- documentation of income earned from commission in sales or other similar positions;
- detailed case notes verified by employer and signed by the counselor, if appropriate to the program;
- automated database systems or data matching with other partners with whom data sharing agreements exist;

- One-Stop operating systems' administrative records that may be shared amongst the partner programs, such as current records of eligibility for programs with income-based eligibility (e.g., TANF or SNAP); or
- self-employment financial statements signed and attested to by program participants.<sup>8</sup>

Unless otherwise stated in the program specific attachments, all grantees are permitted to collect supplemental wage information for the purpose of reporting on the employment-related performance indicators. Please see program-specific guidance to determine whether a grantee has discretion to collect supplemental wage information (i.e., collection is voluntary) or not (i.e., collection is mandatory, or collection is not permitted).

However, for the Department to consider supplemental wage information as sufficient to verify and report on the employment-related performance indicators, certain conditions apply. It is important for grantees to consider the following when deciding to voluntarily collect supplemental information for purposes of calculating levels of performance for the employment-related indicators:

- Grantees are required to report a participant's status in unsubsidized employment during the second quarter and fourth quarter after exit. In addition, a participant's quarterly earnings may only be reported for calculation of median earnings during the second quarter after exit, upon direct wage record match or collection of supplemental wage information. While median earnings are not reported for the fourth quarter after exit, either a direct wage record match or supplemental wage information is required to determine a participant's employment status in the fourth quarter after exit.
- Within each quarter after exit wage period, if a direct wage match is being used to determine either employment status or wages for the period, then the same direct wage match record must be used for both wages and employment status. Likewise, if supplemental wage information is being used to determine either employment status or wages within the same reporting period, then the same supplemental wage information must be used for both wages and employment status. There is no requirement for the same direct wage record match or supplemental wage information be used across multiple reporting periods.
- When calculating levels of performance, grantees that elect not to use supplemental wage information are expected to include participants who do not have the necessary data to complete a wage record match in the denominator. In so doing, those individuals would be counted as negatives (0 in the numerator) when calculating levels of performance for the employment-related indicators (participants will be excluded from the median earnings indicator calculation if the employment rate second quarter after exit is a negative (0)).
- For grantees that elect to use supplemental wage information, grantees must ensure that a participant's quarterly earnings used for reporting the median earnings indicator (second quarter after exit) only reflect those wages that are actually paid to the

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<sup>8</sup> Earnings (or net profit) can be calculated by subtracting total expenses from gross receipts. Not all self-employed individuals receive a salary, but the funds that represent income over expenses that are available to be invested back into the business are considered earnings.

participant during the quarter, and not wages that are earned in that quarter but actually paid to the employee in another quarter.

### **Supplemental Wage Information Methods and Procedures**

For grantees that determine the need to collect supplemental wage information for the employment-related indicators, acceptable forms of supplemental wage information, relevant to the core program, include, but are not limited to, the sources of supplemental wage information identified above. Please see program-specific guidance for directions on any categories of supplemental wage information that are either specifically required or specifically prohibited under the terms of a particular program.

The Department recommends the following procedures:

- **Time Period for Collecting Supplemental Wage Information**

As described above, for purposes of calculating levels of performance for the employment rate indicators, grantees must collect data on participants' employment status during the second and fourth quarters after the participant exits the program<sup>9</sup> and, for purposes of calculating levels of performance for the median earnings indicator, grantees must collect data on participants' wages during the second quarter after exit from the program. Following up to collect supplemental wage information may be conducted by the grantee, local programs, or a third-party contractor. The timing for collecting supplemental wage information may vary based on whether the grantee knows or expects that UI wage data will not be available for a participant following the exit from a program.

Because the information received from UI wage data is aggregate, rather than participant level, grantees other than state agencies meeting UI confidentiality requirements are not able to determine whether an individual is included in the wage data records they receive. Therefore, it is recommended that grantees gather any supplemental wage information as soon as possible for individuals that may not be included in UI wage records. Grantees may also collect supplemental information on credentials earned up to twelve months post-exit and on the occupational code of the exiter's employment at any time during follow up or during the period after exit.

UI wage data for the employment rate and the median earnings indicators during the second quarter after exit will not become available until the latter part of the third quarter after exit, and UI wage data for the employment rate and median earnings during the fourth quarter after exit (which is also used for credential attainment when counting a secondary school diploma or its recognized equivalent) will not become available until the latter part of the fifth quarter after exit. When the grantee knows or anticipates that UI wage data will not be available for individuals (such as those participants who did not provide an SSN, or for participants whose employment is not covered by UI wage data, such as those who received entrepreneurial or self-employment training), grantees do not need to wait two quarters after the close of the second and fourth full quarters after exit to

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<sup>9</sup> For the purpose of the employment portion of the credential rate indicator, grantees must collect data on participants' employment status each quarter after exit within one year after the participant exits the program. (See Table 1: Timeline for Commencing Data Collection for Employment-Related Performance Indicators).

formally document that UI wage data is not available and begin collection of supplemental wage information.

For grantees that the Department will be conducting UI wage matching on their behalf, the Department will ensure non-duplication of individuals through reporting of supplemental wage information and UI wage records, by ensuring that individuals with SSNs will have their supplemental wage data be included in the performance indicator calculations such that there will not be duplication of earnings for unique individuals.

The optimal time to collect supplemental wage information is as soon as possible following the close of the second and fourth full quarters after exit. In general, the Department recommends the grantees remind participants before program exit that either their employers or they themselves may be contacted to obtain confirmation of employment status, earnings, occupational coding of employment, any credential attained post-exit, and to explain the expected timeframe for those follow-up contacts. While this reminder is applicable to all participants, it is especially important for those participants for whom UI wage data will not be available.

**Table 1**, below, summarizes the times at when data match or supplemental wage data are to be collected.

<b>Table 1: Timeline for Commencing Data Collection for Employment-Related Performance Indicators</b>		
<b>Performance Indicator</b>	<b>UI Wage Data Becomes Available</b>	<b>Collection of Supplemental Wage Information May Begin<sup>a</sup></b>
<b>Employment Rate – 2<sup>nd</sup> Quarter after Exit (including Title I Youth)</b>	During 3 <sup>rd</sup> or 4 <sup>th</sup> quarter after exit	Beginning 3 <sup>rd</sup> quarter after exit
<b>Employment Rate – 4<sup>th</sup> Quarter after Exit (including Title I Youth)</b>	During 5 <sup>th</sup> or 6 <sup>th</sup> quarter after exit (1 <sup>st</sup> or 2 <sup>nd</sup> quarter, next program year)	Beginning 5 <sup>th</sup> quarter after exit
<b>Median Earnings – 2<sup>nd</sup> Quarter after Exit</b>	During 3 <sup>rd</sup> or 4 <sup>th</sup> quarter after exit	Beginning 3 <sup>rd</sup> quarter after exit
<b>Credential Attainment – within 1 Year after Exit</b>	During 2 <sup>nd</sup> or 3 <sup>rd</sup> quarter after exit	Beginning 2 <sup>nd</sup> quarter after exit

<sup>a</sup> For individuals for whom the grantee knows or anticipates UI wage data will not be available (such as those participants for whom there is no SSN available, or for participants receiving entrepreneurial or self-employment training), Grantees should begin collecting supplemental wage information as close to the reference period as possible.

Participants who provide a SSN and have exited a program, but for whom information is not yet available, are not included in performance calculations until such data subsequently become available. The Department expects that UI employer tax record data for these indicators will generally be available at the time of reporting, since the Department has built in a two-quarter lag (as described below) into the reporting periods. This allows time for all data to be made available for reporting participant exit and direct UI wage record match, as well as for obtaining supplemental wage information if a direct

UI wage record match, or Federal or military employment record.<sup>10</sup> In order to ensure data are available and reported consistently for all participants, UI data should be reported four quarters after exit for second quarter wage and employment information, and six quarters after exit for fourth quarter information. This allows for a one-quarter lag in the reporting of UI wages by employers and an additional one-quarter lag for reporting by the core programs.

**Example:** If a participant exited the program between July 1, 2016 and September 30, 2016 (first quarter of program year (PY) 2016), the participant is not included in the Employment Rate – Second Quarter After Exit until the quarterly report for the quarter ending September 30, 2017 (first quarter of PY 2017) and the annual report for PY 2017 for the period ending June 30, 2018.

To ensure data are collected to satisfy required reporting timelines, particularly for those programs reporting on a quarterly basis, grantees may decide to conduct supplemental wage information follow-up more frequently than quarterly, as more frequent follow-up may be more convenient or cost efficient. For example, the program could conduct continuous, ongoing, or monthly follow-up. Therefore, the Department recommends that programs ensure the time lag to contact participants after they exit the program be as short as possible. The longer a program waits to contact participants after they exit the program, the greater likelihood of a lower response rate which could result in less valid data or an inability to secure supplemental data.

The timeframes when employment-related information must be reported are shown in **Table 2** below:

<b>Table 2: Deadlines for Timely Collection of Data for Employment-Related Performance Indicators</b>				
<b>Exit Quarter</b>	<b>Report Employment Rate – 2<sup>nd</sup> Quarter (including Title I Youth) by End of:</b>	<b>Report Employment Rate – 4<sup>th</sup> Quarter (including Title I Youth) by End of:</b>	<b>Report Median Earnings by End of:</b>	<b>Report Credential Attainment (Employment) – within 1 Year after Exit by End of:</b>
First Quarter (Q1) <i>(July 1 – September 30)</i>	Q1, Next Program Year (four quarters later)	Q3, Next Program Year (six quarters later)	Q1, Next Program Year (four quarters later)	Q3, Next Program Year (six quarters later)
Second Quarter	Q2,	Q4,	Q2,	Q4,

<sup>10</sup> After the two-quarter lag concludes, if the information is still not available, wages will be converted to \$0 permanently and employment status will be reported as not employed. Wages reported as \$0 will indicate that the participant was unemployed in the second quarter after exit, counting as a negative outcome for purposes of calculating levels of performance for the Employment Rate 2<sup>nd</sup> Quarter after Exit indicator and excluding that participant from the calculations of levels of performance for the Median Earnings 2<sup>nd</sup> Quarter after Exit indicator. Likewise, if neither a wage record match nor supplemental wage information is available following a two-quarter lag after the end of the fourth quarter following program exit, the participant will be reported as unemployed in the fourth quarter after exit.

Exit Quarter	Report Employment Rate – 2 <sup>nd</sup> Quarter (including Title I Youth) by End of:	Report Employment Rate – 4 <sup>th</sup> Quarter (including Title I Youth) by End of:	Report Median Earnings by End of:	Report Credential Attainment (Employment) – within 1 Year after Exit by End of:
(Q2) (October 1 – December 31)	Next Program Year (four quarters later)	Next Program Year (six quarters later)	Next Program Year (four quarters later)	Next Program Year (six quarters later)
Third Quarter (Q3) (January 1 – March 31)	Q3, Next Program Year (four quarters later)	Q1, Second Program Year After Exit (six quarters later)	Q3, Next Program Year (four quarters later)	Q1, Second Program Year After Exit (six quarters later)
Fourth Quarter (Q4) (April 1 – June 30)	Q4, Next Program Year (four quarters later)	Q2, Second Program Year After Exit (six quarters later)	Q4, Next Program Year (four quarters later)	Q2, Second Program Year After Exit (six quarters later)

▪ **Method for Identifying Participants Needing Follow-Up for Wage Information Collection Purposes**

In order to effectively identify individuals for whom the agency will need to follow-up to collect supplemental wage information, the grantee's case management database needs to be capable of identifying participants who should be followed using supplemental methods. Programs must also determine the appropriate information to collect from participants to assist in follow-up, such as: (1) participants' SSN (if available) and contact information; and (2) supplemental wage information related to all of the employment-related performance indicators, the credential measure and the occupational code of placement. This information needs to be retrievable quarterly or according to the time when grantees determine supplemental wage information follow-up is to be administered.

If a program uses supplemental wage information follow-up to retrieve data on any of the employment-related performance indicators, this data must be used to report on all of the employment-related indicators, or missing and incomplete data points will be counted as a negative when calculating levels of performance for the indicator(s).

▪ **Staff Training on Supplemental Wage Information Follow-Up Methods**

When conducting supplemental wage information follow-up, the Department recommends that staff follow a uniform set of written policies and procedures to collect and document data in a valid and reliable manner. Therefore, staff conducting the supplemental wage information follow-up should be trained in the implementation of the follow-up procedures, including what to say to former participants or their employers to encourage their cooperation, ways to encourage voluntary and truthful disclosure, how to document the information received, and how to respond to questions related to the supplemental wage information follow-up process. Staff should be thoroughly familiar with all procedures before beginning the process.

The Department recognizes that programs and grantees may consider supplemental wage information to be a very difficult aspect of data collection, particularly since it is sometimes difficult to follow up in a way that produces valid and reliable results (e.g., conducting follow-up surveys or other forms of self-attestation). The process includes determining which individuals should be included in the supplemental wage information follow-up, locating the individual, employer, or case manager, securing their cooperation, and conducting the follow-up procedure. Maintaining contact with, or finding these former participants and getting them to cooperate in the supplemental wage information follow-up process is critical to its success since the response rate largely determines the statistical validity of the information. Locating such individuals can be difficult, given the transient nature of some core program participants. The procedures described below will assist grantees in collecting valid supplemental wage information in a timely manner.

To help improve the follow-up process, it is very important that participants know how they may be contacted later and asked about their employment outcomes. Therefore, programs should inform participants at program entry about the supplemental wage information follow-up process and collect extensive contact information about them, such as addresses and phone numbers of relatives or others who may know the participants' whereabouts over time, and employment information, if applicable. In addition, participants should be encouraged to provide new addresses and phone numbers when they move, and programs should implement procedures to update this information periodically while the participant remains enrolled in the program. These procedures can greatly assist in locating former participants months later when the supplemental wage information may need to be collected.

<b>Summary of Supplemental Wage Information Follow-Up Guidelines</b>
1. Develop a method for identifying participants to contact for follow-up. <i>Have staff follow a uniform set of written policies and procedures to collect and document data in a valid and reliable manner</i>
2. Conduct the follow-up as close to the reference period as possible.
3. Ensure that the grantee has a uniform way to conduct the follow-up.
4. Train staff to conduct the follow-up.
5. Identify local resources available to conduct the follow-up.
6. Implement procedures to improve the quantity and quality of participant responses. <i>Best practice tip: Inform participants at program entry about the supplemental wage information follow-up process and collect extensive contact information about them, such as addresses and phone numbers of relatives or others who may know the participants' whereabouts over time, and employment information, if applicable.</i>
7. Ensure that the grantee has a database and procedures for supplemental wage information reporting and documentation.



## Appendix VII References

- Workforce Innovation and Opportunity Act (WIOA), Pub. L. 113-128
- Wagner-Peyser Act, as amended (29 U.S.C. 49 et seq.)
- Section 414(c) of the American Competitiveness and Workforce Improvement Act of 1998 (Div. C, Title IV of Pub. L. 105-277) (as amended), 29 U.S.C. 3224a
- Trade Act of 1974, as amended, 19 U.S.C. 2271 *et seq.*, including specifically but without limitation, amendments enacted in the Trade Adjustment Assistance Reauthorization Act of 2015 (Title IV of Pub. L. 114-27)
- Title 38, United States Code, chapter 41 (Jobs for Veterans State Grants)
- Elementary and Secondary Education Act, as amended by the Every Student Succeeds Act, 20 U.S.C 6301, et seq.
- WIOA Joint Rule for United and Combined State Plans, Performance Accountability, and the One-Stop System Joint Provisions, 81 Fed. Reg. 55791 (Aug. 19, 2016)
- Workforce Investment and Opportunity Act Final Rule, 81 Fed. Reg. 56071 (Aug. 19, 2016)
- OMB Control Number 1205-0526, WIOA Participant Individual Record Layout
- OMB Control Number 1205-0521, WIOA DOL-only Participant Individual Record Layout
- TEGL No. 02-07, *Leveraging Registered Apprenticeship as a Workforce Development Strategy for the Workforce Investment System*, dated July 12, 2007
- TEGL No. 39-11, *Guidance on the Handling and Protection of Personally Identifiable Information (PII)*, dated June 28, 2012
- TEGL No. 19-14, *Vision for the Workforce System and Initial Implementation of the Workforce Innovation and Opportunity Act*, dated February 19, 2015

- *TEGL No. 22-15, Program Year (PY) 2015/Fiscal Year (FY) 2016 and PY 2014/FY 2015 Data Validation and Performance Reporting Requirements and Associated Timelines*, dated May 12, 2016
- *TEGL No. 10-16, Change 1, Performance Accountability Guidance for Workforce Innovation and Opportunity Act (WIOA) Title I, Title II, Title III and Title IV Core Programs*, dated August 23, 2017
- *TEGL No. 18-16, Program Eligibility and Enrollment Guidance for the National Farmworker Jobs Program*, dated Jan. 19, 2017
- *TEGL No. 20-16, Designation of Significant Migrant and Seasonal Farm Worker (MSFW) States, Significant MSFW One-stop Centers, and Significant Multilingual MSFW One-stop Centers*, dated March 1, 2017
- *TEGL No. 4-16, Enrollment of Homeless Veterans Program Participants into a Workforce Innovation and Opportunity Act (WIOA) Workforce Program at an American Job Center (AJC)*, dated August 4, 2016
- *VPL No. 3-16, Enrollment of Homeless Veterans Program Participants into a Workforce Innovation and Opportunity Act (WIOA) Workforce Program at an American Job Center (AJC)*, dated July 15, 2016
- *TEGL No. 19-16, Guidance on Services provided through the Adult and Dislocated Worker Programs under the Workforce Innovation and Opportunity Act (WIOA) and the Wagner-Peyser Act Employment Service (ES), as amended by title III of WIOA, and for Implementation of the WIOA Final Rules*, dated March 1, 2017
- *TEGL No. 21-16, Third Workforce Innovation and Opportunity Act (WIOA) Title I Youth Formula Program Guidance*, dated March 2, 2017
- *TEGL No. 26-16, Guidance on the use of Supplemental Wage Information to implement the Performance Accountability Requirements under the Workforce Innovation and Opportunity Act*, dated June 1, 2017
- *TEGL No. 15-10, Attachment 2, Increasing Credential, Degree, and Certificate Attainment by Participants of the Public Workforce System: Credential Resource Guide*, dated December 15, 2010
- *TEGL No. 7-16, Data Matching to Facilitate WIOA Performance Reporting*, dated August 23, 2016

- *TEGL 03-18, Eligible Training Provider (ETP) Reporting Guidance under the Workforce Innovation and Opportunity Act (WIOA)*, dated August 31, 2018
- *TEGL 05-18, Workforce Innovation and Opportunity Act (WIOA) Annual Statewide Performance Report Narrative*, dated November 7, 2018
- *TEN No. 44-11, Encouraging Enhanced Partnerships and Collaboration between the Workforce Investment System and Registered Apprenticeship Programs*, dated May 10, 2012
- *TEN No. 08-16, Implementation of an Integrated Performance Reporting System for Multiple Employment and Training Administration (ETA) and Veterans' Employment and Training Service (VETS) Administered Programs*, dated August 24, 2016
- <http://www.doleta.gov/wioa>
- <http://www.doleta.gov/performance>

## **Attachment 1: H-1B Grants**

### **I. Introduction**

This attachment describes the program specific details of the performance accountability system for H-1B job training program grants (H-1B grants). The Department of Labor (“the Department” or “DOL”) has made a concerted effort to align the performance accountability systems of its various workforce programs. In particular, the H-1B grants program is statutorily required to report on the employment outcomes attained by workers receiving training under these grants by using indicators of performance that are consistent with other indicators used for employment and training programs. 29 U.S.C. §3224a(7). This attachment therefore describes the alignment of the H-1B program’s performance accountability measures with the Workforce Innovation and Opportunity Act (WIOA) indicators, and highlights areas where the H-1B grants program differs from the shared DOL performance guidance described in the main body and appendices of this TEGL. Note that references in this attachment to section numbers of this guidance refer readers to the main body of this Training and Employment Guidance Letter (TEGL).

This attachment provides H-1B performance reporting guidance unique to H-1B grants with periods of performance start dates of July 1, 2016 and later.

As part of the DOL Employment and Training Administration’s (ETA) quarterly reporting process, H-1B grants with start dates of July 1, 2016 and later are required to report in accordance with WIOA performance reporting requirements, consistent with this guidance. Although H-1B grants are authorized under the American Competitiveness and Workforce Improvement Act (ACWIA) and not WIOA, all H-1B grants with a start date of July 1, 2016 and later will report in alignment with WIOA performance reporting requirements as described in this guidance. ETA, will also provide additional supplemental guidance that H-1B grantees must follow, including the *H-1B Grants Performance Reporting Handbook & Workforce Integrated Performance System (WIPS) Reporting Guidance, Joint Quarterly Narrative Report Template (ETA-9179)*, Frequently Asked Questions, and other technical assistance resources. These resources can be found on the H-1B performance resources page on WorkforceGPS (<https://performancereporting.workforcegps.org/resources/2017/08/08/11/32/H-1B-Performance-Reporting-Resources>).

Current H-1B grants that fall under this guidance are H-1B TechHire Partnership Grants (FOA-ETA-16-01), H-1B Strengthening Working Families Initiative (SWFI) (FOA-ETA-16-05), and H-1B America’s Promise Job Driven Grants (FOA-ETA-16-12). This guidance also applies to all future H-1B grants awarded after the release of this TEGL.

H-1B grant performance outcome measures will be established using the data collected through the WIOA DOL-only Participant Individual Record Layout (DOL-only PIRL) schema for H-1B, the Amended ETA-9172 DOL Participant Individual Record Layout (PIRL) for H-1B Grants ([https://h1bskillstraining.workforcegps.org/resources/2017/06/06/14/32/Amended\\_ETA-9172\\_DOL\\_PIRL\\_for\\_H-1B\\_Grants](https://h1bskillstraining.workforcegps.org/resources/2017/06/06/14/32/Amended_ETA-9172_DOL_PIRL_for_H-1B_Grants)), for two unique types of performance measures: 1) the

WIOA primary indicators of performance; and 2) H-1B grant specific “real-time” outcome measures.

All H-1B grantees are required, as outlined in their grant’s Funding Opportunity Announcement (FOA) and grant award, to report participant level data, for all individuals served using grant funds, in alignment with the WIOA indicators, which are further identified in the DOL-only PIRL. This data is required as part of submitting quarterly progress reports to DOL in order to comply with the reporting and record keeping requirements of the grant. Grantees are required to submit four quarterly progress reports each calendar year. Each grantee must submit a quarterly progress report containing updates on the implementation and progress specified in their grant Statement of Work (SOW). This progress report contains both a Quarterly Performance Report (QPR) form and Quarterly Narrative Report (QNR). The QPR provides aggregated performance data used to determine the levels of participation and program accomplishments for the most recent quarter and cumulative to date. An H-1B program-specific QPR form will be generated from WIPS once participant data is uploaded, validated, and edit checks are complete.

## **II. Differences from Shared Guidance**

### **1. Primary Indicators of Performance**

H-1B grants report on two types of performance outcome measures: 1) the WIOA primary indicators of performance; and 2) and H-1B specific “real-time” outcome measures. H-1B grantees will use the DOL-only WIOA PIRL data elements (DE), definitions and code values identified specifically for H-1B grants to collect and report on both types of performance outcome measures.

Grantees will use the DEs specified for H-1B grants to collect and report participant level information such as: demographics (including Social Security Numbers (SSNs) and date of birth (DOB)) program start and end dates (including valid training activities and supportive services) and program completion outcomes such as credential attainment and employment placement outcomes. The PIRL DEs grantees collect and report are indicated in the DOL-only PIRL.

Unless otherwise specified in a particular H-1B grant FOA or grant award, grantees will apply the definitions of terms as stated in this guidance. Please refer to the *H-1B Grants Performance Reporting Handbook & Workforce Integrated Performance System (WIPS) Reporting Guidance* ([https://h1bskillstraining.workforcegops.org/resources/2017/07/07/12/48/H-1B\\_Grants\\_Performance\\_Reporting\\_Handbook\\_-\\_WIPS\\_Reporting\\_Guidance](https://h1bskillstraining.workforcegops.org/resources/2017/07/07/12/48/H-1B_Grants_Performance_Reporting_Handbook_-_WIPS_Reporting_Guidance)) for additional performance related guidance.

### **WIOA Primary Indicators of Performance**

In compliance with 29 USC § 3224(a)(7), the Department requires H-1B grants with a start date of July 1, 2016 and later to align with and report on the six WIOA primary indicators of performance, as set forth in WIOA section 116(b)(2). Appendix I to this guidance further describes these indicators, methodologies, and operational parameters.

It is important to note that H-1B grantees are not required to provide outcome targets for these indicators of performance in their grant SOW. The information collected on these measures is

used by the Department to assess performance across numerous programs administered by the Department.

The following WIOA primary indicators of performance are applicable to H-1B grants as described in this guidance:

- A. Employment Rate – 2nd Quarter After Exit: The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program.

The H-1B grants program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there. Additional guidance about reporting against this measure is provided in section 11 of this attachment.

- B. Employment Rate – 4th Quarter After Exit: The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program.

The H-1B grants program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there. Additional guidance about reporting against this measure is provided in section 11 of this attachment.

- C. Median Earnings – 2nd Quarter After Exit: The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.

The H-1B grants program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there. Additional guidance about reporting against this measure is provided in section 11 of this attachment.

- D. Effectiveness in Serving Employers (Retention with the Same Employer 2nd and 4th Quarter After Exit): The percentage of program participants who exit and are employed with the same employer in the second and fourth quarters after exit.

The H-1B grants program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there. Additional guidance about reporting against this measure is provided in section 11 of this attachment.

- E. Credential Attainment: The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential during participation in the program or within one year after exit from the program.

The H-1B grants program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described therein. Note that secondary education training is prohibited in H-1B-funded grants; therefore, the

provision regarding participants who attain secondary school diplomas or their recognized equivalent does not apply to the H-1B grants program.

PIRL data elements that are used to report the credential attainment outcomes for the WIOA primary indicators of performance are also used to report real-time credential attainment outcomes for H-1B grants. As credential attainment is a WIOA primary indicator of performance, H-1B grantees report directly on outcomes related to this indicator through the participant-level data file submitted in WIPS using the PIRL data elements indicated in Appendix IV of this TEGL. In addition, H-1B grantees report on real-time credential attainment outcomes after training completion in WIPS in the quarter they were attained (see section III below).

Reporting credential attainment outcomes for inclusion in both the WIOA primary indicators of performance and also the real-time measures help to determine the success of ETA's training programs and inform technical assistant efforts.

- F. **Measurable Skill Gains:** The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment.

The H-1B grants program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there. For additional details, including types of documented progress, see Appendix I.

H-1B program grantees report directly on outcomes related to this indicator through the participant-level data file submitted in WIPS in accordance with the PIRL data elements indicated in Appendix IV of this TEGL.

## **2. Categories of Enrollment: Reportable Individual, Participant & Date of Program Exit**

### **A. Reportable Individual**

This category does not apply to the H-1B grants program.

### **B. Participant**

The H-1B program defines a participant as an individual who receives an H-1B grant-funded service beyond a determination of eligibility.

Please see *Table A – Participation Level Services and Training Activities Chart for H-1B Grants* below that provides a list of H-1B training types and applicable PIRL data element number(s), and the associated PIRL data element code values.

Note that each FOA for an H-1B grant identifies and defines types of eligible participants for that grant.

### **C. Exit**

The H-1B program adopts the definition of exit as stated in section 7 of this guidance.

Note that although the definition of exit in section 7 references that “follow up services” do not change or delay exit, H-1B grant programs cannot use grant funds to provide follow up services to participants after they have exited the program.

**D. Common Exit for DOL–Administered Programs Only**

This does not apply to the H-1B grant programs. As the H-1B grant programs are not among the required partner programs listed in WIOA section 121(b)(1)(B), States may not include them in a common exit policy.

**3. Self-Service and Information-Only Services and Activities**

This does not apply to H-1B Grants.

**4. Period of Participation**

The H-1B grant program adopts the definition of period of participation as stated in section 9 of this guidance.

**Reporting Unique Participants**

The H-1B grant program does not require a count of unique participants as described in section 9 of this guidance. H-1B program only requires that grantees report on each individual’s period of participation. The H-1B grant program anticipates that the majority of participants will each have only one period of participation. In certain instances, a participant who has exited the program may return to receive additional services (*e.g.*, additional educational and job training activities). In such instances, an individual might have multiple periods of participation during the grant period of performance.

Consistent with section 9 of this guidance, the H-1B grant program therefore directs grantees to:

1. Establish a unique identification number (PIRL 100) that will be retained by the same individual across multiple periods of participation during the life of the grant.
2. H-1B grants are not expected to report on the total number of unique participants to the Department; however, the Department may calculate this number based on participant-level data in the WIPS system, which generates quarterly aggregate reports. If the Department determines a need for a unique participant count, the Department will calculate that number on behalf of grantees using participant SSNs provided by grantees.

**5. Workforce Integrated Performance System (WIPS) and How to Functionally Report**

Reporting H-1B Participant-level Data Through WIPS

The WIPS was made available to H-1B grants in February 2018. Grantees submitted a comprehensive data file of all participants served to date, starting from the beginning of the grant’s period of performance through the latest reporting quarter.

The WIPS system will aggregate performance data quarterly in an H-1B program specific QPR Form.



For specific details on WIPS reporting requirements, grantees should review *H-1B Grants Performance Reporting Handbook & Workforce Integrated Performance System (WIPS) Reporting Guidance* for grants whose period of performance began July 1, 2016 and later. The handbook is a supplemental document to this TEGL and provides detailed information on performance outcome measures and performance tracking and reporting of the DOL-only PIRL through WIPS. It also provides instruction on how QNRs will be submitted.

**6. State Annual Report Narratives**

This does not apply to H-1B Grants.

**7. Eligible Training Provider (ETP) Performance Reporting**

This does not apply to H-1B Grants.

**8. Pay-for-Performance Reporting**

While certain H-1B grantees, such as H-1B TechHire grantees, were encouraged to use pay for performance strategies to lower the costs of training, there is no requirement for grantees to report these strategies using PIRL data elements. In particular, grantees should **not** report use of such strategies using the PIRL data element #930 "Pay for Performance," as that data element is exclusive to title I Adult and title I Dislocated Worker core programs. This PIRL data element is not identified for H-1B grants for the purposes of data collection and reporting to DOL. Instead, grantees incorporating a pay for performance strategy should report this in their QNRs, including any successes that the grantee may experience from using this strategy.

**9. Quarterly Narrative Reports for Discretionary Programs**

H-1B grantees are required to use the *Joint Quarterly Narrative Report Template* (ETA-9179) for quarterly performance narrative reporting. This form was approved for use by the Office of Management and Budget under OMB control no. 1205-0448. H-1B grantees utilize the WIPS to submit and certify QNRs. Additional instructions for completing the QNR in WIPS are included in the *H-1B Grants Performance Reporting Handbook & Workforce Integrated Performance System (WIPS) Reporting Guidance* and other technical assistance resources.

**10. Use of Social Security Numbers and Direct Wage Match for Performance Reporting**

In accordance with section 15 of this guidance, H-1B grantees are directed to request participants' SSNs and that information must be reported to the Department through PIRL 2700 in the PIRL. However, while H-1B grantees are required to request participants' SSNs, participants cannot be denied services if they choose to not disclose an SSN. Grantees should also ensure that when they are collecting this information from participants, they

inform the participants of the reason for requesting SSNs, in accordance with the American Competitiveness and Workforce Improvement Act.<sup>1</sup>

**Wage Records for Employment-Based Primary Indicators of Performance (A-D)**

For the exit-based WIOA primary indicators of performance (each of which has an employment-related component), the Department acknowledges that H-1B program grantees may not have access to wage records in order to track and report exit-based outcomes on employment rates, median earnings and the effectiveness in serving employer measure. Therefore, DOLETA matches wage records on behalf of grantees in order to capture these specific exit-based outcomes for participants that have successfully exited the H-1B program for the following indicators only:

- A. Employment Rate – 2nd Quarter After Exit;
- B. Employment Rate – 4th Quarter After Exit;
- C. Median Earnings – 2nd Quarter After Exit; and
- D. Effectiveness in Serving Employers – Retention with Same Employer 2nd and 4th Quarter After Exit.

The Department calculates these specific exit-based outcomes on behalf of grantees using SSNs provided for each H-1B participant as part of the information included in each grantee's WIPS quarterly participant-level data file submission. It is important to note that while H-1B program grantees are required to collect SSNs, participants cannot be denied services if they choose to not disclose their SSN.

To calculate these exit-based primary indicators of performance, H-1B grants are required to track and report the following PIRL DOL-only DEs:

- PIRL 900: Date of Program Entry;
  - PIRL 901: Date of Program Exit;
  - PIRL 923: Other Reasons for Exit\*; and
- \*Individuals that are exited for the reasons noted in PIRL 923 will not be calculated in the WIOA primary performance indicators.*

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<sup>1</sup> The American Competitiveness and Workforce Improvement Act of 1998, title IV, section 414(c), as amended by the Consolidated Appropriations Act of 2005, division J, title IV, subtitle B, section 428 and WIOA section 512(a), directs the Secretary to require grantees to report on the employment outcomes obtained by workers receiving training under this subsection using indicators of performance that are consistent with other indicators used for employment and training programs administered by the Secretary, such as entry into employment, retention in employment, and increases in earnings. The principal purpose for collecting this information is to administer the program, including tracking and evaluating participant progress. For individuals seeking or receiving services under an H-1B grant, 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 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.

- PIRL 2700: Social Security Number.

### **11. Supplemental Wage Information**

As the reporting timelines for the exit-based WIOA primary indicators of performance generally fall after the conclusion of the grant's period of performance, the Department calculates these measures on behalf of grantees using SSNs provided for each H-1B participant as part of the information included in each grantee's WIPS quarterly participant-level data file submission. Therefore, H-1B grantees are not authorized to collect supplemental data for the purposes of reporting the following measures:

- A. Employment Rate – 2nd Quarter After Exit;
- B. Employment Rate – 4th Quarter After Exit;
- C. Median Earnings – 2nd Quarter After Exit; and
- D. Effectiveness in Serving Employers – Retention with the Same Employer 2nd and 4th Quarter After Exit.

Grantees may use supplemental data to track and report real-time employment outcomes, which are separate from and in addition to the exit-based WIOA primary indicators of performance employment outcomes. Therefore, H-1B program grantees are directed to follow section 17 of this guidance, regarding the voluntary collection of supplemental wage information, when reliance on such information is necessary for verifying and reporting on real-time employment-related performance measures alone.

### **III. Unique Features of H-1B Grants**

#### **H-1B Grants Performance Outcomes: “Real-Time” Performance Measures**

In addition to the WIOA primary indicators of performance, grantees are required to track and report “real-time” employment and training outcome measures for program participants in the reporting quarter in which the outcome occurred. Grantees provide outcome targets for these performance indicators in their SOWs, and the targets set for these measures are used to evaluate program outcomes during the period of performance. Real-time data helps grantees benchmark their progress against their target outcomes and is indicative of success for the most recent reporting quarter.

H-1B grants “real-time” performance measures include:

1. total participants served;
2. total participants enrolled in education/training activities;
3. total participants completing education/training activities;
4. total participants who complete education/training activities and receive a degree, or other type of credential;
  - a. It is important to note that this credential measure is separate from and in addition to the WIOA primary indicators of performance “Credential Attainment.”
5. total number of unemployed and underemployed participants who complete education/training activities and obtain employment; and
  - a. It is important to note that this entered employment measure is separate from and in addition to the WIOA primary indicators of performance “Employment Rate.”

6. Total number of incumbent worker participants who complete training activities and that advance into a new position.

For complete guidance on reporting real-time performance measures, please refer to *H-1B Grants Performance Reporting Handbook & Workforce Integrated Performance System (WIPS) Reporting Guidance* ([https://h1bskillstraining.workforcegps.org/resources/2017/07/07/12/48/H-1B\\_Grants\\_Performance\\_Reporting\\_Handbook\\_-\\_WIPS\\_Reporting\\_Guidance](https://h1bskillstraining.workforcegps.org/resources/2017/07/07/12/48/H-1B_Grants_Performance_Reporting_Handbook_-_WIPS_Reporting_Guidance)).

### **Definitions of Terms Related To the Performance Accountability System (Appendix II)**

Appendix II of this guidance provides definitions of terms related to the performance accountability system. This section summarizes which of these terms are (1) applicable to H-1B grants; (2) are not applicable to H-1B grants; and (3) also provides the definition or citations to the definition for specific terms unique to H-1B grants.

#### **Terms That Apply to H-1B Grant Programs:**

The following terms, as defined in Appendix II of this guidance, are applicable to H-1B grants:

- Employment;
- Participant Individual Record Layout (PIRL);
- Secondary School Diploma; and
- Unsubsidized employment.

#### **Terms Unique to H-1B Grant Programs<sup>2</sup>:**

In addition to the differences in terms described in section II of this attachment, the following terms identified in the TEGL have different definitions for H-1B grants and are defined as follows:

- **Incumbent Worker** – H-1B grants have a unique definition of incumbent worker and incumbent worker training. H-1B grants should apply the definition of this term as indicated in their grant FOA.
- **Customized Training** – H-1B grants have a unique definition of customized training. For H-1B grants, it is defined as training that is designed to meet the special requirements of an employer (or group of employers); and is conducted with a commitment by the employer to employ, or in the case of incumbent workers, continue to employ, the individual on successful completion of the training.

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<sup>2</sup> **Note:** H-1B grants should review the applicable FOA, as well as the *H-1B Grants Performance Reporting Handbook & Workforce Integrated Performance System (WIPS) Reporting Guidance* ([https://h1bskillstraining.workforcegps.org/resources/2017/07/07/12/48/H-1B\\_Grants\\_Performance\\_Reporting\\_Handbook\\_-\\_WIPS\\_Reporting\\_Guidance](https://h1bskillstraining.workforcegps.org/resources/2017/07/07/12/48/H-1B_Grants_Performance_Reporting_Handbook_-_WIPS_Reporting_Guidance)) for the specific definitions of terms that apply to their specific H-1B grant funded program.

**Table A – Participation Level Services and Training Activities Chart for H-1B Grants**

**Definition of Participant: Any individual who receives an H-1B grant-funded service beyond a determination of eligibility is considered a participant.**

Service Type	Applicable PIRL Data Element Number (s) *Select appropriate data element as it applies	PIRL Data Element Code Values *Select appropriate code value as it applies	Notes
<b>Services</b>			
<b>Case Management Service</b>	<b>PIRL 2102:</b> Previous Quarter Received Case Management Service	1 = the participant received Case Management Services in the previous quarter. 0 = the participant did not receive Case Management Services in the previous quarter.	
	<b>PIRL 902:</b> Date of First Case Management and Employment Service	Record the date on which the participant begins receiving his/her first case management and employment service funded by a program following a determination of eligibility to participate in the program.	
<b>Assessment Services</b>	<b>PIRL 2104:</b> Previous Quarter Received Assessment Services	1 = the participant received Assessment Services in the previous quarter. 0 = the participant did not receive Assessment Services in the previous quarter.	
	<b>PIRL 2103:</b> Most Recent Date Received Assessment Services	Record the most recent date on which the participant received assessment services funded by the program.	
<b>Supportive Services</b>	<b>PIRL 2105:</b> Previous Quarter Received Supportive Services	1 = the participant received Supportive Services in the previous quarter. 0 = the participant did not receive Supportive Services in the previous quarter.	
	<b>PIRL 1409:</b> Most Recent Date Received	Use the appropriate code to indicate the primary type of	

	Supportive Services	training being provided to the participant. Leave blank if the participant did not enroll in training for Primary Type of Training Service for Training Activity #1.	
Specialized Services	<b>PIRL 2107:</b> Previous Quarter Received Specialized Services	1 = the participant received Specialized Services in the previous quarter. 0 = the participant did not receive Specialized Services in the previous quarter.	
	<b>PIRL 2106:</b> Most Recent Date Received Specialized Participant Services	Record the most recent date on which the participant received specialized participant services which include, but are not limited to, financial counseling, behavioral health counseling, mentoring, assistance with re-location, job coaching, networking, and job search assistance. Leave blank if the participant did not receive Specialized Participant Services.	
Paid Work Experience	<b>PIRL 2108:</b> Previous Quarter Participated in Work Experience	1 = the participant participated in Work Experience in the previous quarter. 0 = the participant did not participate in Work Experience in the previous quarter.	
	<b>PIRL 1205:</b> Type of Work Experience	1 = the participant participated in summer employment or an internship during the summer months (WIOA Youth). 2 = the participant participated in an internship or employment opportunity during the non-summer 3 = the participant participated in a pre-apprenticeship program. 4 = the participant participated in job shadowing. 5 = the participant participated in on-the-job training (WIOA Youth). 6 = the participant participated in a	H-1B grants will only have the option to select the following code values:  2 = the participant participated in an internship or employment opportunity during the non-summer 3 = the participant participated in a pre-apprenticeship program. 4 = the participant participated in job shadowing. 7 = the participant participated in another type of work experience not covered in 1 through 5.

		transitional job, as defined in WIOA section 134(d)(5). 7 = the participant participated in another type of work experience not covered in 1 through 5. 0 = the participant did not participate in a work experience. Leave blank if this data element does not apply to the participant.	0 = the participant did not participate in a work experience. OR blank
<b>Training Activities</b>	<b>Applicable PIRL Data Element Number (s)</b> *Select appropriate data element as it applies	<b>PIRL Data Element Code Values</b> *Select appropriate code value as it applies	<b>Notes</b>
<b>H-1B Training Activities</b>	<b>PIRL 1303, PIRL 1310, PIRL 1315: Type of Training Service #1, #2, #3 (WIOA)</b>	01 = On the Job Training (non-WIOA Youth). 02 = Skill Upgrading 03 = Entrepreneurial Training (non-WIOA Youth) 04 = ABE or ESL (contextualized or other) in conjunction with Training 05 = Customized Training 06 = Occupational Skills Training (non-WIOA Youth) 07 = ABE or ESL (contextualized or other) NOT in conjunction with training (funded by Trade Adjustment Assistance only) 08 = Prerequisite Training 09 = Registered Apprenticeship 10 = Youth Occupational Skills Training 11 = Other Non-Occupational-Skills Training 12 = Job Readiness Training in conjunction with other training 00 = No Training Service	H-1B grants will only have the option to select the following code values: 01 = On the Job Training (non-WIOA Youth). 02 = Skill Upgrading 05 = Customized Training 06 = Occupational Skills Training (non-WIOA Youth) 09 = Registered Apprenticeship 00= No Training Service

	<p><b>PIRL 2109, PIRL 2110 and PIRL 2111:</b> Primary, Secondary and Tertiary Type of Training Service for Training Activity #1</p> <p><b>PIRL 2112, PIRL 2113, PIRL 2114:</b> Primary, Secondary and Tertiary Type of Training Service for Training Activity #2</p> <p><b>PIRL 2115, PIRL 2116 and PIRL 2117:</b> Primary, Secondary and Tertiary Type of Training Service for Training Activity #3</p>	<p>1 = On-the-Job Training 2 = Classroom Occupational Training 3 = Contextualized Learning 4 = Distance Learning 5 = Customized Learning 6 = Incumbent Worker Training 7 = Other Occupational Skills Training 8 = Registered Apprenticeship 0 = No training</p>	<p>The WIOA Workforce Integrated Performance System, (WIPS) is designed to capture three planned training activities and up to three types of training services per individual served in the H-1B grant program. As a result, grantees can record up to nine training types within three training activities for each participant record in the WIPS reporting platform. In total, up to nine training types can be recorded within three Training Activity dates.</p>
<b>Incumbent Worker Training</b>	<b>PIRL 907:</b> Recipient of Incumbent Worker Training	4 = H-1B Grants	This data element is only reported for incumbent workers
<b>Registered Apprenticeship</b>	<b>PIRL 931:</b> Registered Apprenticeship Program	<p>1 = the participant entered into a Registered Apprenticeship program or if the participant was a registered apprentice at the time of program entry. 0 = the participant did not enter into a Registered Apprenticeship program 9 = grantee is unable to track enrollment in the program</p>	
<b>Secondary Education Training</b>	<b>PIRL 1401:</b> Enrolled in Secondary Education Program (WIOA)	0 = No	<b>Important note:</b> Secondary education training is prohibited in H-1B-funded grants. However, this element is required to generate a credential attainment rate in WIPS and therefore must always be coded as "0."



## **Attachment 2: Indian and Native American Programs**

### **I. Introduction**

This appendix describes the program-specific details of the performance accountability guidance for the Indian and Native American (INA) Program authorized under Workforce Innovation and Opportunity Act (WIOA) section 166. Please note that the Department of Labor (Department or DOL) has made a concerted effort to align the performance accountability guidance of its various workforce programs. In addition, WIOA section 166(h)(1)(A) states that the Secretary, in consultation with Native American Employment and Training Council (NAETC), shall develop a set of performance indicators and standards in addition to the primary indicators of performance described in WIOA section 116(b)(2)(A). This attachment describes the convergence of the INA program's performance accountability measures with the WIOA performance indicators, and also highlights areas where the INA program differs from the shared DOL performance guidance described in the main body and appendices of this Training and Employment Guidance Letter (TEGL). Note that references in this attachment to section numbers of this guidance refer readers to the main body of the TEGL.

### **II. Differences from Shared Guidance**

#### **1. Primary Indicators of Performance**

- A. **Employment Rate – 2nd Quarter After Exit**: The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program.

For Comprehensive Services Plan (CSP) participants, the INA program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

- A-1. **Youth Education and Employment Rate – 2nd Quarter After Exit**: The percentage of youth program participants (or participants in non-core programs using the youth indicators) in education or training activities, or in unsubsidized employment, during the second quarter after exit from the program.

For Supplemental Youth Services (SYS) participants, the INA program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

- B. **Employment Rate – 4th Quarter After Exit**: The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program.

For CSP participants, the INA program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

- B-1. Youth Education and Employment Rate – 4th Quarter After Exit:** The percentage of youth program participants (or participants in non-core programs using the youth indicators) in education or training activities, or in unsubsidized employment, during the fourth quarter after exit from the program.

For SYS participants, the INA program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

- C. Median Earnings – 2nd Quarter After Exit:** The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.

For both CSP and SYS participants, the INA program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

- D. Credential Attainment:** The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.

For both CSP and SYS participants, the INA program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there, including the description of who is considered to be “in education or training” for the WIOA title I Adult program.

- E. Measurable Skill Gains:** The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized

postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment.

For both CSP and SYS participants, the INA program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there, including the description of who is considered to be “in education or training” for the WIOA title I Adult program. For additional details, including the acceptable types of documented progress, see Appendix I.

- F. Effectiveness in Serving Employers: The percentage of program participants who exit and are employed with the same employer in the second and fourth quarters after exit.

For both CSP and SYS participants, the INA program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

2. **Categories of Enrollment: Reportable Individual, Participant, & Date of Program Exit**

**a. Reportable Individual**

The INA program applies the same definition of reportable individual in section 7 of this guidance. For the INA program this means a reportable individual is an individual who has taken action that demonstrates an intent to use program services and who meets specific reporting criteria of the program, including:

- 1) Individuals who provide identifying information;
- 2) Individuals who only use the self-service system; or
- 3) Individuals who only receive information-only services or activities.

**b. Participant**

The definition for participant for the INA program is similar to the definition described in section 7 of this guidance, differing only in its exclusion of section 7's definition for the title I Youth program because that definition includes the completion of an objective assessment and an individual service strategy. DOL does not require any individual in the INA SYS program to complete an objective assessment or an individual service strategy in order to become a participant. Participants in the INA program are defined as follows:

*For CSP: Individuals who meet the INA program eligibility criteria, and who have received at least one INA program service other than the services described in 20 CFR § 677.150(a)(3), after satisfying all applicable programmatic requirements for the provision of services.*

*For SYS: Individuals who meet the INA program eligibility criteria, and who have received at least 1 of the 14 WIOA Youth program elements in 20 CFR 684.310(f), or who have received an objective assessment or development of an individual service strategy.*

For assistance in determining whether an individual is a reportable individual or a participant, see the chart in Appendix III, Table A, which list the types of CSP services an INA participant may receive; identify those services as basic career services, individualized career services, or training (for CSP); and state whether each type of service triggers inclusion in participation for the INA program.

**c. Exit**

The INA program applies the definition of and criteria for exit provided in section 7 of this guidance. The date of exit from the program is the last date of any service listed above.

Specifically, section 7 provides that:

- The date of exit cannot be determined until 90 days have elapsed since the participant last received services and the participant has no future services planned. At that point the date of exit is applied retroactively to the last date of service.
- When determining whether 90 days have elapsed since the participant last received services, do not include receipt by the participant of any supportive services, as supportive services do not delay, postpone, or affect the date of exit. Because the date of exit is retroactive to the last date of service, follow-up services may begin immediately following the last date of service if it is expected that the participant will not receive any future services other than follow-up services. Provision of follow-up services does not extend the date of exit.
- PIRL data element 901 (Date of Program Exit) is used to collect and report the date of exit. For exit-based performance measures, the quarter for collecting follow-up data is determined by the quarter in which the date of exit occurs. For

example, if the date of exit is between January 1st and March 31st, the first quarter after exit would be April 1st through June 30th.

**d. Common Exit for DOL-Administered Programs Only**

As stated in section 7 of this guidance, while the Department encourages States to implement common exit policies that include DOL-administered non-core programs within the scope of the State's common exit policy, that is ultimately left to the State and INA grantee, subject to the requirements for common exit provided in section 7 of this guidance. INA programs should be aware that States may have a common exit policy; in such cases, DOL encourages States and INA grantees to discuss and determine whether or not a common exit policy makes sense for both the State and the INA program, and whether they can share data to track the last date of qualifying service. Even if a common exit policy might not be appropriate for an INA grantee, the Department encourages INA grantees to consider co-enrollment. Grantees should be aware that co-enrollment without common exit may result in multiple exit dates, based on the individual programs' service end dates.

**3. Self-Service and Information-Only Services and Activities**

The INA program adopts the definitions of self-service and information-only service and activities as stated in section 8 of this guidance.

**4. Period of Participation**

The INA program adopts the definition of period of participation as stated in section 9 of this guidance.

**Reporting Unique Participants**

The INA Program will be reporting unique participants as stated in section 9 of this guidance.

**5. Workforce Integrated Performance System (WIPS) and How to Functionally Report**

A case management reporting system is being developed to support the WIOA performance reporting requirements for the INA Program. INA grantees are currently using the existing case management reporting system known as Bear Tracks to provide outcomes on the three WIA common measures (Entered Employment, Employment Retention and Average Earnings).

While the Bear Tracks system does not generate outcomes for the WIOA performance indicators, it does generate an individual participant record file (known as the SPIR file) that is uploaded to ETA and can be used to report on all performance indicators for CSP participants except the measurable skill gains indicator. For the SYS program, an individual participant record is not currently available and therefore none of the WIOA indicators will be collected for the INA youth participants until a new case management system is developed to collect the data that will be reported into WIPS.

Accordingly, ETA will begin collecting baseline data for each CSP participant using the existing SPIR file generated by Bear Tracks for] only the following indicator: second quarter employment status, fourth quarter employment status, second quarter median earnings, and effectiveness in serving employers.

For reporting on the measurable skills indicator for CSP participants, ETA will provide a spreadsheet template and submission instructions for grantees to use until the transition to the new case management system is complete. For reporting on all indicators for SYS participants, ETA is using its transition authority under WIOA section 503(b) to delay the implementation of these indicators until the new case management system is fully implemented, as described in TEN 8-16

([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5317](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5317)).

Once the new case management system is developed, INA grantees will use that system to generate and submit the required WIOA Quarterly Performance Report information, subject to each grantee's grant agreement and any applicable waivers.

6. **State Annual Narrative Reports**

This does not apply to INA Programs.

7. **Eligible Training Provider (ETP) Performance Reporting**

This does not apply to INA Programs.

8. **Pay-for-Performance Reporting**

This does not apply to INA Programs.

9. **Quarterly Narrative Reports for Discretionary Programs**

This does not apply to INA Programs.

## **10. Use of Social Security Numbers for Performance Reporting**

In accordance with section 15 of this guidance, INA grantees are directed to request participants' social security numbers (SSNs) for participants in both the CSP and the SYS program. However, while INA grantees are required to request participants' SSNs, participants cannot be denied services if they choose to not disclose an SSN.

The Department will, as described in section 15 of this guidance, use state quarterly unemployment insurance (UI) wage records to obtain aggregate quarterly employment and earnings results for INA program participants, and provide those aggregate results to the relevant grantee. In particular, the Department will match wage records on behalf of grantees in order to capture exit-based performance outcomes (each of which have an employment component) for participants who have exited the program for following indicators only:

- A. Employment Rate – 2nd Quarter After Exit
- B. Employment Rate – 4th Quarter After Exit
- C. Median Earnings – 2nd Quarter After Exit
- D. Credential Attainment (Secondary School Diploma or Recognized Equivalent)
- F. Effectiveness in Serving Employers – Retention with the Same Employer

The Department will calculate these specific exit-based outcomes on behalf of grantees, using SSNs provided for each INA participant as part of the information included in each grantee's Workforce Integrated Performance System (WIPS) quarterly participant-level data file submission.

This facilitated matching of UI wage data has been the practice for the CSP program. The INA program will also now begin using SSNs for UI wage matching for the SYS program because the performance indicators for the SYS program under WIOA now include exit-based outcomes. The use of SSNs for the youth program will begin with the implementation of the case management and reporting system that is currently being developed for the INA program.

## **11. Supplemental Wage Information**

As described in section 16 and Appendix VI of this guidance, INA grantees may collect and document supplemental wage information to calculate the exit-based primary indicators of performance. Supplemental wage information is the only means for grantees to report exit-based outcomes for those participants who do not provide SSNs, and frequently the only means to report such outcomes for participants for whom wage record data is not predicted

to be available. Additional details regarding circumstances for collecting supplemental wage information, and methods and procedures for doing so, is provided in Appendix VI of this guidance.

### **III. Unique Features of the Indian and Native American Program**

**Additional Performance Indicators.** WIOA section 166(h) states that the Secretary, in consultation with the NAETC, shall develop a set of performance indicators and standards that is in addition to the primary indicators of performance described in WIOA section 116(b)(2)(A). Accordingly, ETA, on behalf of the Secretary, will be working with the NAETC to develop two additional measures (“Percent in Training” and “Employability Skills Enhancement”), which as of the issuance of this guidance have not been developed. Once these have been finalized ETA will provide additional information on these elements, including how they are calculated.

**INA Youth Indicators.** As the Department stated in the preamble of the WIOA Final Rule, it recognizes that there are significant challenges in implementing the youth performance indicators in WIOA section 116(b)(2)(A)(ii) for the INA youth program. While the Department cannot change statutory requirements such as performance indicators, consideration was given to how youth performance indicators can be implemented in a way that is realistic and feasible for INA program grantees while also maintaining the requirements in WIOA.



## **Attachment 3: Job Corps**

### **I. Introduction**

This attachment describes the program specific details of performance accountability for Job Corps. Please note that under the Workforce Innovation and Opportunity Act (WIOA), the Department of Labor (Department or DOL) is aligning performance accountability provisions of its various workforce programs. In particular, WIOA section 159(c) requires the Secretary to establish expected levels of performance for Job Corps centers, the Job Corps program, and Job Corps Career Transition Service (CTS) providers relating to each of the primary indicators of performance for eligible youth described in WIOA section 116(b)(2)(A)(ii), and to report on the performance of the centers, the program, and CTS providers in comparison to those expected levels of performance. This attachment describes the convergence of the Job Corps program's performance accountability measures with the WIOA measures, and also highlights areas where the Job Corps program differs from the shared DOL performance guidance described in the main body and appendices of this Training and Employment Guidance Letter (TEGL). Note that references in this attachment to section numbers of this guidance refer readers to the main body of the TEGL.

WIOA requires the Job Corps program to report on the primary indicators of performance, common to all WIOA programs, which provide key outcome information on how many students obtained employment or were placed in education or training, their median wages, whether they attained credentials, their measurable skill gains during training, and the effectiveness of the program in serving employers.

### **II. Differences from Shared Guidance**

In order to implement these primary indicators of performance, Job Corps revised its reporting periods for Program Year (PY) 2018 and subsequent years. Job Corps previously employed a program-specific definition of the time period constituting the second quarter after the exit date and the fourth quarter after the exit date. Beginning July 1, 2018, Job Corps adopted the definition employed by other DOL employment and training programs, which define the second quarter after exit as the second quarter after the exit quarter, and which define the fourth quarter after exit as the fourth quarter after the exit quarter. For example, if the participant's date of exit is between January 1<sup>st</sup> and March 31<sup>st</sup>, the second quarter after exit would be July 1<sup>st</sup> through September 30<sup>th</sup>. This definitional shift is necessary for full alignment with quarterly wage records, which record employment status and earnings in each of the four quarters of a calendar year. Furthermore, employing the same definition used by other WIOA core and non-core programs eases logistical difficulties that might otherwise prove an impediment to calculating common exit and outcomes between the Job Corps program and Job Corps participants enrolled in other WIOA programs.

In addition, beginning PY 2018, Job Corps will use quarterly wage records, as available, to report on the employment status and wages of Job Corps participants. This use of quarterly wage record data to assess participant outcomes is required under WIOA section 159(e). Currently, Job Corps uses a program-specific survey to collect responses regarding employment,

education and training status, and earnings (OMB No. 1205-0426, *Placement Verification and Follow-up of Job Corps Participants*). In PY 2018 and subsequent program years, Job Corps will retain its follow-up survey of exited participants as a supplemental information source, and use quarterly wage records as the primary source. In addition, with OMB approval, Job Corps will revise the reporting periods in the follow-up survey to account for the revised definition of second and fourth quarters after exit quarter.

## **1. Primary Indicators of Performance**

As required under WIOA section 159(c)(1) and 20 CFR 686.1010, the primary indicators of performance for eligible youth, as set forth in WIOA section 116(b)(2)(A)(ii), are the primary indicators of performance for the Job Corps centers and the Job Corps program. Likewise, as required under 159(c)(3) of WIOA and 20 CFR 686.1030, the primary indicators of performance for eligible youth, as set forth in WIOA section 116(b)(2)(A)(ii), are the primary indicators of performance for CTS providers. Appendix I to this guidance further identifies these indicators, and their methodology and operational parameters.

Under WIOA section 116(b)(2)(A)(ii), there are six primary indicators of performance, as further described in Appendix I and in TEGL 10-16, Change 1 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3255](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255)). Where the adult indicators and youth indicators differ, Job Corps will follow the WIOA title I Youth indicator. Job Corps will report all six performance measures as outlined below with the following program-specific clarifications:

- A. **Youth Employment or Education/Training Rate – 2nd Quarter After Exit**: The percentage of program participants who are in education or training activities, or in unsubsidized employment, during the second quarter after exit from the program.

Beginning with PY 2018, Job Corps will apply this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

- B. **Youth Employment or Education/Training Rate – 4th Quarter After Exit**: The percentage of program participants who are in education or training activities, or in unsubsidized employment, during the fourth quarter after exit from the program.

Beginning with PY 2018, Job Corps will apply this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

- C. **Median Earnings – 2nd Quarter After Exit**: The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.

Beginning with PY 2018, Job Corps will apply this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

- D. Credential Attainment Rate: The percentage of program participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant is also employed or enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.

Beginning with PY 2018, Job Corps applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there. Job Corps notes that all Job Corps participants who have exited in the reporting period and either (1) entered without an HSD/HSE and participated in an HSD/HSE program, or (2) entered with an HSD/HSE and participated in a CTT, AT, ACT program, are to be included in the denominator for this indicator.

Types of recognized postsecondary credentials are described in further detail in Appendix I. These types include certificates issued by Job Corps for completing career training programs that are based on industry skills standards and certification requirements. Therefore, a participant who attains such a credential from Job Corps upon completion of career technical training (CTT), career technical advanced training (AT), or an Advanced Career Training Program (ACT), or who attains a “primary” training-related industry recognized credential (IRC), is to be counted as successfully attaining a recognized postsecondary credential.

- E. Measurable Skill Gains Rate: The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains. Measurable skill gains are defined as documented academic, technical, occupational, or other forms of progress, and can include the following five types of skill gains:
- I. Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary education level;
  - II. Documented attainment of a secondary school diploma or its recognized equivalent;

- III. Secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is meeting the State unit's academic standards;<sup>1</sup>
- IV. Satisfactory or better progress report, towards established milestones, such as completion of OJT or completion of one year of an apprenticeship<sup>2</sup> program or similar milestones, from an employer or training provider who is providing training; or
- V. Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks such as knowledge-based exams.

Beginning with PY 2018, Job Corps applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there. Job Corps notes that all Job Corps participants (i.e., those who have exited in the reporting period and those who have not exited in the reporting period) are to be included in the denominator for this indicator as all Job Corps participants are enrolled in an education or training program.

Within the context of the Job Corps program, participants will often record a measurable skill gain as a result of the following marks of progress. First, as Job Corps administers the Test of Adult Basic Education (TABE) reading and math subtests for assessment purposes, a measurable skill gain is recorded if a participant obtained at least one educational functioning level (EFL) gain, as measured by comparing the participant's initial educational functioning level, on a pre-test, with the participant's educational functioning level, as measured by the last post-test that occurs in the reporting period. Second, a participant attaining a secondary school diploma (commonly referred to as a high school diploma) or its recognized equivalent (commonly referred to as a high school equivalency credential). Third, achieving established milestones or marks on a transcript or report card within a CTT program, an AT program, a post-secondary ACT program, or an approved industry foundations course, as well as earning at least 12 credits in a post-secondary ACT program. For example, a measurable skill gain may be recorded when a Job Corps participant in a CTT program demonstrates competency in the skills at the level indicated on the relevant e-TAR, or when a Job Corps participant in an ACT program receives a one-year certificate of completion.

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<sup>1</sup> Within each State there is an administrative unit that provides authorization to postsecondary institutions within the State. States differ in the requirements to which they hold postsecondary institutions responsible for satisfactory progress. Progress for WIOA purposes must comply with any applicable State standards. Likewise, every State has a State educational agency that establishes education standards for secondary education within the State, which would apply for purposes of determining if a participant is meeting the State's academic standards.

<sup>2</sup> The definition of "apprenticeship" in both WIOA and the WIOA final rule refers to "registered apprenticeship" and therefore in this guidance references to apprenticeship are to be interpreted as "registered apprenticeship" unless otherwise stated. The term "Registered Apprenticeship" will only be used to refer directly to the RA program or items with "Registered Apprenticeship" in the name.

- F. Effectiveness in Serving Employers: The percentage of program participants who exit and are employed with the same employer in the second and fourth quarters after exit.

Beginning with PY 2018 Job Corps applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

As background, the Department notes that measuring retention with the same employer is only one of several potential approaches to measuring a program’s effectiveness in serving employers. The Department is currently implementing the approach described above—retention with the same employer—for Job Corps as well as for other non-core programs. This approach is useful in determining whether the Job Corps centers, program, and CTS providers are serving employers effectively by improving the skills of their workforce and decreasing employee turnover.

Job Corps is also considering adding an alternate approach for this measure by gauging employer satisfaction through an employer survey. The feasibility of this alternate approach is still being evaluated.

### Calculating Primary Indicators

Table 1 below identifies the measure, denominator and numerator for each of the primary six indicators listed above as calculated for Job Corps. Note that the denominator for calculations of the primary indicators of performance is neither restricted to graduates (*i.e.*, the subpopulation of Job Corps participants who successfully complete the program) nor restricted to individuals who consent to participate in post-separation follow-up surveys. Rather, the primary indicators of performance measure the performance outcomes for, as appropriate, all Job Corps participants who exited during a reporting period, or the subset of those who exited during a reporting period and participated in either secondary or postsecondary education.

<b>TABLE 1. CALCULATIONS - PRIMARY INDICATORS OF PERFORMANCE FOR JOB CORPS</b>	
<b>Indicator</b>	<b>Calculation*</b>
<b>Youth Employment or Education/Training Rate (Quarter 2 After Exit)</b>	<p><b>Numerator</b></p> <p>Of all participants in the denominator: Job Corps participants who were employed, and/or in an education or training program in the second quarter after exit quarter</p> <hr/> <p><b>Denominator</b></p> <p>All Job Corps participants who exited during the reporting period.</p>
<b>Youth Employment or Education/Training</b>	<p><b>Numerator</b></p> <p>Of all participants in the denominator:</p>

<b>Rate (Quarter 4 After Exit)</b>	<p>Job Corps participants who were employed, and/or in an education or training program in the fourth quarter after exit quarter</p> <hr/> <p><b>Denominator</b></p> <p>All Job Corps participants who exited during the reporting period.</p>
<b>Median Earnings (Quarter 2 After Exit)</b>	<p><math>\{(n + 1) \div 2\}</math>th value, where n is the number of earnings for all participants who exited during the reporting period employed in unsubsidized employment in the 2nd quarter after exit quarter</p> <ol style="list-style-type: none"> <li>1. To calculate the median, wages must first be ranked (sorted in ascending order).</li> <li>2. The median earnings value is the wage in the middle of the rank order list.</li> <li>3. Median = the middle value of a set of ordered data.</li> </ol> <p><i>Note:</i> If the list rank order earnings contains an even number of values, sum the two middle values and divide by two. Whether there is an odd or even number of entries in the list of earnings values, there will be an equal number of records above and below the median value.</p>
<b>Credential Attainment Rate</b>	
<p><i>Attained Post-Secondary Credential</i></p>	<p><b>Numerator</b></p> <p>Of all participants in the denominator:  The date on which a participant attains a credential occurs during participation in, or within 1 year after Program Exit  <b>AND</b>  The type of credential attained is recognized as postsecondary credential (e.g., this includes, but is not limited to, Job Corps participants who completed a CTT program, an AT program, or an ACT program, or who obtained a primary training-related IRC)</p> <hr/> <p><b>Denominator</b></p> <p>Date of Program Exit is within the timeframe being reported  <b>AND</b>  At least one type of training service in which the Job Corps participant was enrolled is considered "Postsecondary" (e.g., this includes, but is not limited to, Job Corps participants who entered a CTT program, an AT program, or an ACT program)  <b>OR</b>  The Job Corps participant participated in postsecondary education</p>
<p><i>Attained Secondary Credential</i></p>	<p><b>Numerator</b></p> <p>Of all participants in the denominator:  The date on which a participant attains a credential occurs during participation in, or within 1 year after program exit  <b>AND</b>  The type of credential attained is recognized as a secondary school diploma or its recognized equivalent  <b>AND</b>  The participant enrolls in a post exit education or training program leading to</p>

	<p>a recognized postsecondary credential within 1 year after program exit  <b>OR</b>  The participant is employed within 1 year after program exit</p> <hr/> <p><b>Denominator</b></p> <p>Date of Program Exit is within the timeframe being reported  <b>AND</b>  The Job Corps participant lacked a secondary school diploma or its recognized equivalent at enrollment in Job Corps  <b>AND</b>  The Job Corps participant was in a secondary education program (at or above the 9th grade level) while in Job Corps</p>
<b>Measurable Skill Gains Rate</b>	<p><b>Numerator</b></p> <p>Of all participants in the denominator:  The unique count of the most recent date on which the participants achieved a Measurable Skill Gain during the reporting period</p> <hr/> <p><b>Denominator</b></p> <p>All Job Corps participants served (i.e., participants who did not exit Job Corps during the reporting period plus participants who did exit during the reporting period).</p>
<b>Effectiveness in Serving Employers</b>	<p><b>Numerator</b></p> <p>Of all participants in the denominator:  The number of Job Corps participants who were employed by the same employer during the second quarter after exit quarter and the fourth quarter after exit quarter</p> <hr/> <p><b>Denominator</b></p> <p>All Job Corps participants who were employed in unsubsidized employment in the second quarter after exit quarter</p>
<p>*The denominators of all six measures exclude participants who exit for any of the reasons listed in PIRL 923 for which Job Corps collects data, as seen in the table in section 7 of this guidance.</p>	

**2. Categories of Enrollment: Reportable Individual, Participant & Date of Program Exit**

**Reportable Individual:** An individual who has submitted a completed application to the Job Corps program.

**Participant:** An individual who meets the Job Corps eligibility criteria and has been accepted and enrolled into the program, and has demonstrated a commitment to the program by either completing the Career Preparation Program (CPP) or remaining enrolled in Job Corps for at least 60 calendar days. The term “Participant” includes both graduates and enrollees and former enrollees that have completed their career preparation

period. It also includes all enrollees and former enrollees who have remained in the program for at least 60 days.

**Program Exit:** The date of program exit is the date the participant was separated from the Job Corps center. While a subset of Job Corps participants receives follow up career transition services, this benefit occurs after program exit. Receipt of follow-up services does not extend exit.

**–Period of Reportable Individual Activity:** The end of the period of reportable individual activity for reportable individuals from the Job Corps program is determined as follows:

- the individual has not become a participant; and
- the individual has either (1) had 90 days elapse since being identified as a reportable individual and the individual has not enrolled in the Job Corps program or (2) enrolled in the Job Corps program as a reportable individual but exited (i.e., stopped receiving services) prior to demonstrating a commitment to the program by either completing CPP or remaining enrolled in Job Corps for at least 60 calendar days.

**Common Exit:** As stated in Section 7 of this guidance, while the Department encourages states that implement common exit policies to include DOL-administered non-core programs as additionally within the scope of the State’s common exit policy, the Department also recognizes that the decision of whether to retain or develop a common exit policy, as well as which, if any, DOL-administered non-core programs to include within the scope of the policy, is ultimately left to the states, subject to the requirements for common exit stated in section 7 of this guidance. Grantees should be aware that co-enrollment without common exit may result in multiple exit dates, based on the individual programs’ service end dates. States are permitted to include the Job Corps program within a common exit policy.

### **3. Definition of Terms for Job Corps**

**Reporting Period:** Job Corps will report results based on calendar quarters (i.e., January 1 - March 31, April 1 - June 30, July 1 - September 30, and October 1 - December 31).

**Participants Exited:** All Job Corps participants who met the definition of Job Corps participant, and subsequently exited

**Participants Served:** All Job Corps participants who exited in the reporting period, **plus** all participants who did not exit during the reporting period.

**Quarter 2 after Exit Quarter:** The second quarter after the exit quarter is the second complete calendar quarter after the exit quarter for a cohort of participants that exit in the reporting period. As a result, the time from exit to the start of the second calendar quarter after exit period varies for each participant that exits in the reporting period; there are more days from exit to the second calendar quarter for those who separate earlier in the reporting period versus those that separate near the end of the reporting period. This



definition will be utilized by Job Corps (and with OMB approval of the revisions necessary to the post-separation survey to support the change in timeframe) for data collected July 1, 2018 onward and aligns from the definition used by other programs.

**Quarter 4 after Exit Quarter (and within One Year after Exit):** The fourth quarter after exit is the fourth complete calendar quarter after the exit quarter for a cohort of participants that exit in the reporting period. As a result, the time from exit to the start of the fourth calendar quarter after exit period varies for each participant that exits in the reporting period; there are more days from exit to the fourth calendar quarter for those who separate earlier in the reporting period versus those that separate near the end of the reporting period. This definition will be utilized by Job Corps (and with OMB approval of the revisions necessary to the post-separation survey to support the change in timeframe) for data collected July 1, 2018 onward and aligns from the definition used by other programs. Additionally, in alignment with other programs, Job Corps will define employed “within one year after exit” as the complete calendar year after the exit calendar quarter while entry into post-secondary education “within one year after exit” will be defined as the 365-day period immediately following the participant’s date of exit.

**Employed during Quarter 2 after Exit Quarter:** “Employment” is defined in Appendix II. A participant was employed during Quarter 2 after the exit quarter if that participant was in unsubsidized employment during the second complete calendar quarter immediately following the participant exit calendar quarter.

**Employed during Quarter 4 after Exit Quarter:** “Employment” is defined in Appendix II. A participant was employed during Quarter 4 after the exit quarter if that participant was in unsubsidized employment during the fourth complete calendar quarter immediately following the participant’s exit calendar quarter.

**Enrolled in an Education/Training Program during Quarter 2 after Exit Quarter and Quarter 4 after Exit Quarter:** Job Corps participants who are registered for an education or training program in the second quarter after exit and the fourth quarter after exit are to be counted as successfully enrolled in an education or training program for the “Youth Employment or Education/Training Rate (Quarter 2 After Exit)” and “Youth Employment or Education/Training Rate (Quarter 4 After Exit)” indicators. This includes, but is not limited to, programs that are:

- At the secondary level (*e.g.*, high school diploma or high school equivalency program);
- At the post-secondary level (*e.g.*, college, university or career technical training
- Other technical, vocational, or occupational skills training;
- Apprenticeship programs;
- National service programs (*e.g.*, AmeriCorps, including such AmeriCorps programs as VISTA, National Civilian Community Corps, and other state and national programs); and
- Online courses or other programs that lead to an industry-recognized certificate or credential.

This does not include programs that are avocational or adult basic education programs below the 9<sup>th</sup> grade level.

#### 4. **Other Operational Parameters**

**Participants in a Postsecondary Education/Training Program:** A Participant in a postsecondary education or training program while in Job Corps will be considered to be those who enrolled with a secondary school diploma or its equivalent and who, while in Job Corps, entered:

- (1) a CTT program;
- (2) an AT program; or
- (3) an Advanced Career Training Program (ACT).

**Quarterly Earnings in the Second Quarter:** Quarterly earnings for each participant who has entered an unsubsidized job is calculated as the sum of gross (before taxes) dollars earned on all jobs worked during the second quarter after exit quarter, where earnings may include wages, overtime pay, bonuses, commissions, and tips.

**Readmitted Students:** Exited participants may return to active status once they re-enroll in Job Corps. When exited participants are readmitted, the follow-up period is reset to the new date of exit.<sup>3</sup>

#### 5. **Self-Service and Information-Only Activities**

This does not apply to the Job Corps program.

#### 6. **Period of Participation**

For Job Corps, period of participation is defined as follows:

For all indicators, except measurable skill gains, a period of participation refers to the period of time beginning with the date an individual, who subsequently becomes a Job Corps participant, enrolls in the Job Corps program, and ending on the participant's date of exit from the Job Corps program. Each participant's exit during the same program year is counted as a separate period of participation for purposes of calculating levels of performance. For all indicators, except the measurable skill gains indicator, a new period of participation is counted each time a participant re-enters and exits the Job Corps program—even if both exits occur during the same program year. For the Measurable Skill Gains indicator, a new period of participation is counted each time a participant enrolls—even if both enrollments occur within the same program year. It is not necessary to wait until the participant exits the Job Corps program in order to count a

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<sup>3</sup>Note that for reporting purposes, a readmitted student will be reported as a separate participant record as it is a separate period of participation.

measurable skill gain because the measurable skill gains indicator is not an exit-based indicator. The skill gain may be counted as soon as it is earned at any point during the participation period of the program year in which it was earned.

### **Reporting Unique Participants**

Job Corps does not require a count of unique participants be calculated in reports as described in section 9 of this guidance. Instead, Job Corps only requires that contractors report on each participant's period of participation. For a unique participant count, the Department will be able to calculate that count on behalf of contractors using participant Social Security Numbers (SSNs). Job Corps anticipates that the majority of participants will each have only one period of participation; however, in certain instances, a participant who has exited the program may return to receive additional services (*e.g.*, additional job training activities). In such instances, an individual might have multiple periods of participation, and multiple exit dates.

## **7. Workforce Integrated Performance System (WIPS) and How to Functionally Report**

Job Corps contractors will not directly report via the Workforce Integrated Performance System (WIPS). Rather, Job Corps contractors will continue to provide data on reportable individuals and participants to the Job Corps Data Center (JCDC). The JCDC will be responsible for compiling and transmitting raw data in the PIRL format to WIPS for verification and incorporation into the WIPS data warehouse. WIPS will generate the ETA-9173 Quarterly Program Performance Report, which will generate performance outcomes for the six primary indicators of performance; JCDC will continue to generate quarterly performance reports for all other Job Corps required metrics on behalf of Job Corps contractors.

## **8. State Annual Report Narratives**

This does not apply to the Job Corps program.

## **9. Eligible Training Provider (ETP) Performance Reporting**

This does not apply to the Job Corps program.

## **10. Pay-for-Performance Reporting**

This does not apply to the Job Corps program.

## **11. Quarterly Narrative Reports for Discretionary Programs**

This does not apply to the Job Corps program.

## **12. Use of Social Security Numbers for Performance Reporting**

In accordance with Section 15 of this guidance, Job Corps center operators and Outreach and Admission (OA)/CTS providers are directed to request participants' SSNs for performance reporting purposes. However, while Job Corps center operators and CTS providers are required to request participants' SSNs, participants cannot be denied services if they choose to not disclose an SSN.

The Department will, as described in Section 15 of this guidance, facilitate the acquisition of aggregate quarterly employment and earnings results for Job Corps participants, and provide those aggregate results to the relevant contractors. In particular, the Department will match wage records on behalf of Job Corps center operators and Job Corps CTS providers in order to capture exit-based outcomes (each of which has an employment-related component) for participants who have exited the program for following indicators only:

- A. Employment Rate – 2nd Quarter After Exit
- B. Employment Rate – 4th Quarter After Exit
- C. Median Earnings – 2nd Quarter After Exit
- D. Credential Attainment (Secondary School Diploma or Recognized Equivalent)
- F. Effectiveness in Serving Employers – Retention with the Same Employer

The Department will calculate these specific exit-based outcomes on behalf of contractors, using SSNs provided for Job Corps participants as part of the information included in the Workforce Integrated Performance System (WIPS) quarterly participant-level data file submission compiled by JCDC on behalf of the Job Corps contractors.

## **13. Supplemental Wage Information**

As described in Section 16 and Appendix VI of this guidance, supplemental wage information may be collected and used to calculate the exit-based primary indicators of performance. Supplemental wage information is the only means to report exit-based outcomes for those participants who do not provide SSNs, and frequently the only means to report such outcomes for participants for whom wage record data is not predicted to be available. Additional details regarding circumstances for collecting supplemental wage information, and methods and procedures for doing so, are provided in Appendix VI of this guidance.

In particular, Job Corps collects supplemental wage information, and additional information regarding status of education and training, via its program-specific post-separation follow-up survey (OMB No. 1205-0426) (described further below) and ETA 678 Form (Job Corps Placement and Assistance Record, OMB No. 1205-0035). Job Corps uses information collected via these methods to assist in its reporting on the primary indicators of performance for eligible youth, as set forth in WIOA section 116(b)(2)(A)(ii), and also to report on the following additional performance information required under WIOA section 159(d)(1):

- the number of graduates who entered the Armed Forces;
- the number of graduates who entered apprenticeship programs;
- the number of graduates who received a regular secondary school diploma;
- the number of graduates who received a state recognized equivalent of a secondary school diploma;
- the number of graduates who entered unsubsidized employment related to the career and technical education and training received through the Job Corps program;
- the number of graduates who entered unsubsidized employment not related to the education and training received;
- the percentage and number of graduates who enter postsecondary education; and
- the average wage of graduates who enter unsubsidized employment—
  - i. on the first day of such employment; and
  - ii. on the day six (6) months after such first day.

The post-separation survey data supplements information obtained via quarterly wage records for reporting on all the exit-based primary indicators of performance (*i.e.*, all except the measurable skill gains indicator). Job Corps is also exploring the use of other third-party employment, education and earnings verification data to further supplement the post-separation survey data.

### **III. Unique Features of Job Corps**

#### **1. Data Tracking and Sources**

Job Corps tracks information on all participants from the point of program admission through program exit, including their enrollment, progress and completion of academic and career technical training programs, and attainment of any skills and certificates/credentials. For a subset of participants, Job Corps also provides and tracks follow up career transition services and placements in jobs or academic/training programs. This information is captured in real-time and stored in a comprehensive Management Information System (MIS).

Job Corps has historically used a post-separation survey administered to participants immediately following the second and fourth quarters after exit to capture participants' employment and education status during Quarter 2 and Quarter 4 after exit (OMB No. 1205-0426). The survey captures information on participant employment, education, earnings, and employer retention to report on the employment related indicators, and on the effectiveness in serving employers indicator. Additionally, information captured through the survey contributes to reporting on the Credential Attainment Rate indicator by capturing employment or enrollment in a postsecondary education/training program within one year after exit, and attainment of a postsecondary credential. Job Corps will both continue to use the post-separation survey data as well as aggregated performance results based on quarterly unemployment insurance wage records to report on the primary indicators of performance. Job Corps may potentially employ other sources of employment data as well for performance reporting purposes.

Participants who have exited a program, but for whom UI wage record information is not available, are not included in performance calculations until such data subsequently become available. The Department expects that survey data for these indicators will generally be available, since there is a two-quarter lag built into the reporting periods to allow time for reporting. Once the performance reports are due, participants for whom no information becomes available – *i.e.*, no positive information was obtained via UI wage records, and no information was obtained via the post-separation survey or other forms of supplemental wage information – are reported as negative outcomes.

Specifically, if a participant does not complete the Quarter 2 or Quarter 4 post-separation survey by the reporting deadlines, the participant record will initially be counted as negatives (0 in the numerator) for the relevant quarter, when calculating levels of performance for the employment-related indicators and the credential attainment indicator (for status in employment and training for those participants that obtain a secondary school diploma or its equivalent) (participants will be excluded from the median earnings indicator if the employment rate in the second quarter after exit is negative (0), and will be excluded from the effectiveness in serving employers indicator if the employment rate in the second quarter after exit is negative (0)). However, if positive information is obtained for such a participant via either UI wage records or via other supplemental wage information, the participant will be reported as a success for the indicator in question, notwithstanding the participant's failure to complete the post-separation survey by the reporting deadline.

**2. Reporting Template**

Job Corps will report all six primary indicators of performance, along with other demographic information, using the ETA-9173 Program Performance Report for each reporting quarter.

## Attachment 4: Jobs for Veterans State Grants

### **I. Introduction**

This attachment describes the program-specific details of the performance accountability guidance for the Jobs for Veterans State Grants (JVSG) program. Please note that the Department of Labor (Department, or DOL) has made a concerted effort to align the performance accountability guidance of its various workforce programs. In particular, the Veterans' Employment and Training Service (VETS) is statutorily required to establish and implement a comprehensive performance accountability system to measure the performance of employment service delivery systems, including the Disabled Veterans' Outreach Program (DVOP) specialists and Local Veterans' Employment Representatives (LVERs) providing employment, and placement services. This performance accountability system must be consistent with state performance accountability measures applicable under Workforce Innovation and Opportunity Act (WIOA) section 116(b) at 38 U.S.C. § 4102A(f). This attachment describes the convergence of JVSG's performance accountability measures with the WIOA measures since July 1, 2016, and highlights areas where JVSG differs from the shared DOL performance guidance described in the main body and appendices of this Training and Employment Guidance Letter (TEGL). Note that references in this attachment to section numbers of this guidance refer to the body of the TEGL.

### **II. Differences from Shared Guidance**

#### **1. Primary Indicators of Performance.**

- A. Employment Rate – 2nd Quarter After Exit:** The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program.

*The JVSG program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.*

- B. Employment Rate – 4th Quarter After Exit:** The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program.

*The JVSG program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.*

- C. Median Earnings – 2nd Quarter After Exit:** The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.

*The JVSG program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.*

- D. Credential Attainment:** The JVSG program does not report on this indicator.

- E. Measurable Skill Gains:** The JVSG program does not report on this indicator.

- F. Effectiveness in Serving Employers: The percentage of program participants who exit and are employed with the same employer in the second and fourth quarters after exit.

*The JVSG program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.*

2. **Categories of Enrollment: Reportable Individual, Participant & Date of Program Exit**

- A. **Reportable Individual**: This category does not apply to the JVSG program.
- B. **Participant**: The JVSG program defines a participant as an individual who has received a JVSG-funded service in WIOA from a Disabled Veteran Outreach Program (DVOP) specialist, after satisfying all applicable programmatic requirements for the provision of services, such as an eligibility determination. It is still required for DVOP specialists to provide individualized career services when available.
- C. **Exit**: Consistent with section 7 of this guidance, the date of exit from the program is the last date of service. Specifically:
- The date of exit cannot be determined until 90 days have elapsed since the participant last received services; furthermore, there must be no future planned services scheduled to provide the participant with future services. At that point the date of exit is applied retroactively to the last date of service.
  - For determining whether 90 days have elapsed since the participant last received services, receipt by the participant of any self-service, information-only services or activities, or follow-up services, regardless of the providing program, do not delay, postpone, or affect the date of exit. Because the date of exit is retroactive to the last date of service, follow-up services may begin immediately following the last date of service if it is expected that the participant will not receive any future services other than follow-up services. Provision of follow-up services does not extend the date of exit.<sup>1</sup>
  - PIRL data element 901 (Date of Program Exit) is used to collect and report the date of exit. For exit-based performance measures, the quarter for collecting follow-up data is determined by the quarter in which the date of exit occurs. For example, if the date of exit is between January 1st and March 31st, the first quarter after exit would be April 1st through June 30th.

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<sup>1</sup> Note that JVSG does not provide follow up services. This provision is still applicable in the scenario where a participant in a State that has a common exit policy that includes the JVSG program is co-enrolled in a program that does provide follow up services.



**D. Common Exit:** As stated in section 7 of this guidance, while the Department encourages states that implement common exit policies to include DOL-administered non-core programs as within the scope of the state's common exit policy, the Department also recognizes that the decision of whether to retain or develop a common exit policy, and the scope of the such policy, is ultimately left to the states, subject to the requirements for common exit stated in section 7 of this guidance. Grantees should be aware that co-enrollment without common exit may result in multiple exit dates, based on the service end dates individual programs. If the state's common exit policy includes JVSG, then a JVSG participant will not exit until the last date of service in all programs included in the common exit policy.

**E. Co-Enrollment:** Regardless of whether a state has adopted a common exit policy, the Department strongly encourages the co-enrollment of JVSG participants in the title III Wagner-Peyser Act Employment Service (ES) program<sup>2</sup> to ensure more efficient service delivery compliance with reporting requirements.<sup>3</sup> States may elect to co-enroll all JVSG participants in the title III ES program. Under WIOA, the required data elements for reporting outcomes for JVSG participants are the same as for participants in the title III ES program. The data submission requirements for JVSG participants are found in the DOL-only Participant Individual Record Layout (PIRL), which is shared by other various DOL workforce programs, including the core programs under title I and title III of WIOA.

### **3. Self-Service and Information-Only Services and Activities**

This does not apply to the JVSG program.

### **4. Period of Participation**

The JVSG program is aligned with the title III ES program. The JVSG program adopts the definition of period of participation as stated in section 9 of this guidance.

### **Reporting Unique Participants**

The Department has determined it necessary to calculate the unique number of participants being served each program year, by the JVSG program.

To meet this requirement, JVSG grantees must:

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<sup>2</sup> Although this program is authorized under the Wagner-Peyser Act, it was amended by title III of WIOA and is a "core program" of WIOA, as defined at WIOA section 3(12). Throughout this guidance, it is referred to as the "title III Employment Service."

<sup>3</sup> The Department acknowledges that this statement is inconsistent with Attachment II to TEGL 16-16, *One-Stop Operations Guidance for the American Job Center Network*, which described co-enrollment and common exit between the JVSG program and the title III ES program as a requirement. Attachment II to TEGL 16-16 will be revised to describe co-enrollment between JVSG and the title III ES program as a strongly encouraged practice, but not as a requirement.

1. develop systems to track multiple periods of participation within a program year;
2. calculate a unique count of individual participants across multiple periods of participation in any given program year; and
3. either (a) establish a unique identification number that will be retained by the same individual across the DOL-administered title I and title III core programs, or (b) submit data for JVSG participants under the full PIRL, such that the record submitted would show an individual's participation the JVSG program as well as all DOL-administered core programs.

The Department notes that the requirement to either submit a unique identification number, or to report under the full PIRL is integral to its analysis of whether veterans and eligible spouses are receiving priority of service for receipt of employment, training, and placement services. See TEGL 10-09, *Implementing Priority of Service for Veterans and Eligible Spouses in all Qualified Job Training Programs Funded in whole or in part by the U.S. Department of Labor (DOL)*

([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2816](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816)); TEN 15-10, *Protocol for Implementing Priority of Service for Veterans and Eligible Spouses in all Qualified Job Training Programs Funded in whole or in part by the U.S. Department of Labor (DOL)* ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2954](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2954)).

#### **5. Workforce Integrated Performance System (WIPS) and How to Functionally Report**

States, as JVSG program grantees, report using WIPS to submit individual records, based on the PIRL, for JVSG program participants.

In addition to the guidance provided in section 10 of this TEGL, States must comply with the following guidance specific to JVSG. States must either submit all JVSG-funded participant records into the Workforce Integrated Performance System using one of the WIPS schemas allowable for JVSG, which can be found on ETA's WIPS resource page (<https://doleta.gov/performance/wips/>). (Note that JVSG participant records are no longer submitted as a subset of participant records for title III ES.) After the data file is submitted and all errors have been corrected, a report specific to participant services provided by JVSG-funded staff will be generated. This report will be automatically formatted for uniformity with the other DOL-administered programs that use the PIRL (OMB 1205-0521, form number ETA-9173). Grantees are required to submit JVSG individual record data files each calendar year, on a quarterly basis.

#### **6. State Annual Report Narratives**

This does not apply to the JVSG program.

However, the quarterly reporting requirements for JVSG grantees include the submission of quarterly narrative reports (Manager's Report on Services to Veterans and Technical Performance Narrative (TPN), as described in Veterans Program Letter (VPL) 01-15, *Jobs for Veterans State Grants Recurring Report Requirements*. Given these existing

reporting requirements, DOL does not require JVSG grantees to additionally submit a separate annual narrative report.

**7. Eligible Training Provider (ETP) Performance Reporting**

This does not apply to the JVSG program.

**8. Pay-for-Performance Reporting**

This does not apply to the JVSG program.

**9. Quarterly Narrative Reports for Discretionary Programs**

This does not apply to the JVSG program.

As stated above, the quarterly reporting requirements for JVSG grantees includes the submission of quarterly narrative reports (Manager's Report on Services to Veterans and Technical Performance Narrative (TPN), as described in VPL 01-15).

**10. Use of Social Security Numbers and Direct Wage Match for Performance Reporting**

In accordance with section 15 of this guidance, JVSG program grantees are directed to request participants' SSNs, and to report corresponding wages for the quarter required to the Department through the DOL-only PIRL. While states, as JVSG program grantees, are required to request participants' SSNs, participants cannot be denied services if they choose to not disclose an SSN.

**11. Supplemental Wage Information**

As described in section 16 and Appendix VI of this guidance, JVSG program grantees may collect and document supplemental wage information to calculate the employment-related primary indicators of performance. Supplemental wage information is the only means for grantees to report exit-based outcomes (each of which has an employment-related component) for those participants who do not provide SSNs, and frequently the only means to report such outcomes for participants for whom wage record data is not predicted to be available. Additional details regarding circumstances for collecting supplemental wage information, and methods and procedures for doing so, are provided in Appendix VI of this guidance.

**III. Unique Features of JVSG**

**JVSG Policies under WIOA.**

Under the Workforce Investment Act (WIA), DVOP specialists were directed to provide higher rates of intensive services to eligible veterans. VPL 03-14, *Jobs for Veterans' State Grants (JVSG) Program Reforms and Roles and Responsibilities of American Job Center (AJC) Staff Serving Veterans*

(<https://www.dol.gov/vets/VPLS/VPLDirectory.html>); TEGL 19-13, *Jobs for Veterans' State Grants (JVSG) Program Reforms and Roles and Responsibilities of American Job Center (AJC) Staff Serving Veterans*

([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7239](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7239)). This requirement continues under WIOA, although the terminology of the services delivered is slightly altered. Instead of “core” and “intensive” services used under WIA, WIOA uses the terms “basic career services,” and “individualized career services.” It is these individualized career services that DVOP specialists are to provide as appropriate. For more information on these service types, please refer to the body of the accompanying guidance, as well as TEGL 10-16, Change 1, Attachment 7. Additional guidance is being developed covering responsibilities for DVOP specialists and LVERs.

### **Performance Management and Target Setting.**

WIOA section 116(b)(3) requires that states negotiate performance goals on the primary indicators of performance for the WIOA core programs with DOL and the Department of Education, and that a statistical adjustment model be employed in this negotiation process. See TEGL 26-15, *Negotiating Performance Goals for the Workforce Innovation and Opportunity Act (WIOA) Title I Programs and the Wagner-Peyser Employment Service as amended by Title III, for Program Year (PY) 2016 and PY 2017* ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=9363](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=9363)).

The Department also requires states, as JVSG program grantees, to negotiate performance targets for the following primary indicators of performance with VETS:

- Employment in the 2nd Quarter After Exit,
- Employment in the 4th Quarter After Exit, and
- Median Earnings in the 2nd Quarter After.

More specific guidance on this topic will be forthcoming, and will include how to use the statistical adjustment model to help negotiate performance goals, timeline for negotiations in PY 2019, and threshold to be considered “passing” an indicator. VETS may also develop program-specific performance targets for JVSG-funded staff.

### **Uniform National Threshold Entered Employment Rate (UNTEER).**

In accordance with statutory requirements, the Department has established a uniform national threshold entered employment rate (UNTEER) achieved for veterans and eligible persons served by the state employment service delivery systems. 38 U.S.C. § 4102A(c)(3)(B). The regulations implementing the UNTEER requirements are applicable to all State agencies that are recipients of Wagner–Peyser State Grants, and/or Jobs for Veterans State Grants. 20 CFR 1001.160-1001.167. For additional information regarding the UNTEER, see VPL 03-15, *Applying the Uniform National Threshold Entered Employment (UNTEER) to States' Program Year (PY) Veterans' Entered Employment Rates (VEERS) to Determine Compliance and Identify Need for Remedial Action* (<https://www.dol.gov/vets/VPLS/VPLDirectory.html>) and the corresponding TEGL 2-13 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?docn=7064](https://wdr.doleta.gov/directives/corr_doc.cfm?docn=7064)). Participant-level data reported through WIPS will serve as the basis for this calculation. The latest UNTEER calculations can be found at <https://www.dol.gov/vets/grants/state/jvsg.htm>.

## **Attachment 5: Monitor Advocate System**

### **I. Introduction**

This appendix describes the program specific details of the performance accountability guidance for the Monitor Advocate System. States have a responsibility under the Wagner-Peyser Act regulations to provide employment services, benefits, and protections to migrant and seasonal farmworkers (MSFWs) on a basis that is qualitatively equivalent and quantitatively proportionate to services provided to non-MSFWs. The Monitor Advocate System is the method by which the Department, by monitoring established service level indicators, ensures the equitable provision of employment services (career services) to these two populations (MSFWs and non-MSFWs) of participants in the Workforce Innovation and Opportunity Act (WIOA) title III Wagner Peyser Act Employment Service (ES) program.<sup>1</sup> In particular, ETA both tracks the career services provided to MSFWs in comparison to those provided to non-MSFWs in the title III ES program, and also compares the outcomes for MSFWs receiving services through the title III ES program to the outcomes for non-MSFWs receiving services through the title III ES program. The Department, in Training and Employment Guidance Letter (TEGL) 20-16, *Designation of Significant Migrant and Seasonal Farm Worker (MSFW) States, Significant MSFW One-stop Centers, and Significant Multilingual MSFW One-stop Centers* ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=4160](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4160)), aligned certain service level indicators with the primary indicators of performance under WIOA section 116 by adopting outcomes on particular WIOA indicators as a proxy for certain minimum service level indicators. These two indicators are explained in greater detail in Section III below.

### **II. Differences from Shared Guidance**

#### **1. Primary Indicators of Performance**

- A. **Employment Rate – 2nd Quarter After Exit**: The percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program.

This primary indicator of performance under WIOA section 116(b)(2)(A) applies to the title III Employment Service program. The Monitor Advocate System will be using outcomes on “Employment Rate –2<sup>nd</sup> Quarter After Exit,” as defined in Appendix I, as a proxy to calculate the minimum service level indicator of individuals placed in a job. The Monitor Advocate System will also be using outcomes on “Employment Rate –2<sup>nd</sup> Quarter After Exit” as a data point necessary for calculating the proxy for the minimum service level indicator of individuals placed long term in non-agricultural jobs.

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<sup>1</sup> Although this program is authorized under the Wagner-Peyser Act, it was amended by title III of WIOA and is a “core program” of WIOA, as defined at WIOA section 3(12). Throughout this guidance, it is referred to as the “title III Employment Service.”

- B. Employment Rate – 4th Quarter After Exit: The percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program.

This primary indicator of performance under WIOA section 116(b)(2)(A) applies to the title III Employment Service program. The Monitor Advocate System will be using outcomes on “Employment Rate –4th Quarter After Exit,” as defined in Appendix I, as a data point necessary for calculating the proxy for the minimum service level indicator of individuals placed long term in non-agricultural jobs.

- C. Median Earnings – 2nd Quarter After Exit: The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.

This primary indicator of performance under WIOA section 116(b)(2)(A) applies to the title III Employment Service program. The Monitor Advocate System will be using outcomes on “Median Earnings –2nd Quarter After Exit,” as defined in Appendix I, as a proxy to calculate the minimum service level indicator of median earnings of individuals in unsubsidized employment.

- D. Credential Attainment

This indicator does not apply to the title III Employment Service program, or to the Monitor Advocate System.

- E. Measurable Skill Gains

This indicator does not apply to the title III Employment Service program, or to the Monitor Advocate System.

- F. Effectiveness in Serving Employers Measure for Non-Core Programs

This indicator applies generally to the title III Employment Service program, but does not apply specifically to the Monitor Advocate System. However, as a proxy for a minimum service level measure, MSFW retention with the same employer in the 2<sup>nd</sup> and 4<sup>th</sup> quarters will be applied.

## **2. Categories of Enrollment: Reportable Individual, Participant & Date of Program Exit**

- A. **Reportable Individual**

The definition of reportable individual at 20 CFR 677.150(b), which is explained in TEGL 10-16, Change 1

([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3255](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255)), and restated in this guidance, applies to all individuals, whether MSFW or non-MSFW, in the title III Employment Service program. However, the service level indicators employed by the Monitor Advocate System do not apply to reportable individuals.

**B. Participant**

The definition of participant at 20 CFR 677.150(a), which is explained in TEGL 10-16, Change 1, and restated in this guidance, applies to all individuals, whether MSFW, as defined at 20 CFR 651.10, or non-MSFW, in the title III Employment Service program.

**C. Exit**

The definition of exit at 20 CFR 677.150(c), which is explained in TEGL 10-16, Change 1, and restated in this guidance, applies to all participants, whether MSFW or non-MSFW, in the title III Employment Service program.<sup>2</sup>

**D. Common Exit for DOL–Administered Programs Only**

As stated in 20 CFR 677.150(c)(3)(i), and further explained in TEGL 10-16, Change 1, as well as in this guidance, a State may adopt a common exit policy for DOL-administered programs, including the DOL-administered core programs. Therefore, in any State that has adopted a common exit policy that includes the title III Employment Service program, the policy applies to participants, both MSFW and non-MSFWs, in the title III Employment Service program.

**3. Self-Service and Information–Only Activities**

The definitions of self-service and information-only activities, as stated in TEGL 10-16, Change 1, and restated in this guidance apply to all participants, both MSFW and non-MSFW, in the title III Employment Service program.

**4. Period of Participation**

The definition of period of participation, as stated in TEGL 10-16, Change 1, and restated in this guidance, applies to participants, whether MSFW or non-MSFW, in the title III Employment Service program.

**Reporting Unique Participants**

The title III Employment Service program tracks a count of unique participants; consequently, the Monitor Advocate System will also track a count of unique participants. The title III Employment Service program reports on the PIRL using participant records, which are aggregated in WIPS to count the number of unique participants reported.

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<sup>2</sup> Note that the Wagner-Peyser Act Employment Service does not provide follow up services. The provision regarding follow up services not extending exit is still applicable in the scenario where a participant in a State that has a common exit policy that includes the title III ES program is co-enrolled in a program that does provide follow up services.

**5. Workforce Integrated Performance System (WIPS) and How to Functionally Report**

The Monitor Advocate System will track the minimum service level indicators and equity ratio indicators using the data in the title III Employment Service WIPS submissions as described in this TEGL at Section III, in tables 1 and 2. Other aggregate data will be reported through the ETA Form 5148 into the Labor Exchange Agricultural Reporting System (LEARS). ETA is in the process of updating the ETA-5148 at this time and anticipates providing additional guidance on submitting that form in LEARS when those updates are complete.

**6. State Annual Report Narratives**

The Monitor Advocate System requires that states submit an annual narrative report through the LEARS on services provided to MSFWs, as described at 20 CFR 653.108(s).

**7. Eligible Training Provider (ETP) Performance Reporting**

This section does not apply to the Monitor Advocate System.

**8. Pay-for-Performance Reporting**

This section does not apply to the Monitor Advocate System.

**9. Quarterly Narrative Reports for Discretionary Programs**

The Monitor Advocate System requires the State Monitor Advocates to submit a quarterly narrative report through the LEARS.

**10. Use of Social Security Numbers for Performance Reporting**

Under 20 CFR 677.175, states are authorized to use social security numbers (SSNs) from participants in the title III ES program as is necessary for performance reporting through quarterly wage record information. However, program services cannot be withheld if an individual is unwilling or unable to disclose a SSN, and program eligibility is not contingent on the provision of a SSN for any of the core programs, including the title III Employment Service program. The Department reiterates that SSNs may not be used as a form of unique identifier for participants in the title III Employment Service program, and may not be submitted to the Department via individual records in the DOL-only PIRL for participants in the title III Employment Service program.

**11. Supplemental Wage Information**

The Monitor Advocate System performance data will be reported as a subset of the title III Employment Service program data, and therefore will follow the guidance described in Section 16 of this guidance.



### III. Unique Features of the Monitor Advocate System

The guidance ETA provided in TEGL 20-16 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=4160](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4160)) for the minimum service level indicators and equity ratio indicators is as follows:

#### Minimum Service Level Indicators:

The Department has established the following compliance levels for the minimum service level indicators, as set forth in Table 1. In order to provide for comparison of services provided for MSFW participants with services provided for ES participants who are not MSFWs, the minimum service indicator for number of individuals placed in a job shall be measured by the proxy of the employment rate in the second and fourth quarters after exit, the minimum service indicator for the number of placements according to wage rate shall be measured by the proxy of median wage in the second quarter, and the minimum service indicator for the number of placement retentions in non-agricultural jobs according to duration shall be measured by the proxy of retention with the same non-agricultural employer in the second and the fourth quarter. State Workforce Agencies (SWAs) in all MSFW Significant States are required to meet at least four out of the seven minimum service level indicators listed below, in Table 1. Non-significant states are encouraged to meet these same indicators to ensure MSFWs are being provided equitable services.

<b>Table 1: Minimum Service Level Indicators</b>		
<b>Minimum Service Level Indicators</b>	<b>Performance Outcome for Measuring the Indicator</b>	<b>Compliance Levels</b>
Individuals placed in a job	The percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program (as defined in "Employed—2 <sup>nd</sup> Quarter After Exit").  Applicable PIRL data element: 1602	Parity with the actual results for the W-P program in each state.
Median earnings of individuals in unsubsidized employment	The median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program (as defined in "Median Earnings—2 <sup>nd</sup> Quarter After Exit").  Applicable PIRL data element: 1704	Parity with the actual results for the W-P program in each state.

<b>Table 1: Minimum Service Level Indicators</b>		
<b>Minimum Service Level Indicators</b>	<b>Performance Outcome for Measuring the Indicator</b>	<b>Compliance Levels</b>
Individuals placed long term in non-agricultural jobs	<p>The percentage of program participants who retain unsubsidized employment with the same employer in a non-agricultural job in the second and fourth quarter after program exit (as defined in "Employment Rate—4<sup>th</sup> Quarter After Exit").</p> <p>Applicable PIRL data element: 1618 along with 1615 and/or 1617</p> <p><i>Note:</i> This is only measured with respect to individuals for whom a non-agricultural occupational code is recorded.</p>	Parity with the actual results for the W-P program in each state.
Reviews of Significant MSFW one-stop centers	Reviews of significant MSFW one-stop centers	100%
Field checks conducted when 10 or more job orders have been placed through the Agricultural Recruitment System	Field checks conducted when 10 or more job orders have been placed through the Agricultural Recruitment System	25%
Field checks conducted when 9 or fewer job orders have been placed through the Agricultural Recruitment System	Field checks conducted when 9 or fewer job orders have been placed through the Agricultural Recruitment System	100%
Outreach contacts per week	Outreach contacts	40 contacts per week
Processing of complaints	Timely processing of ES complaints	100%

**Equity Ratio Indicators:**

All SWAs must provide MSFWs the full range of services of the workforce development system on a basis which is qualitatively equivalent and quantitatively proportionate to services provided to non-MSFWs. In order for states to be in compliance with these requirements, all states are required to meet the equity indicators that address provision of ES services, including individuals referred to a job, receiving job development, and referred to supportive services or career development. The data collection and performance

accountability measures that apply to all SWAs are set forth in 20 C.F.R. 653.109(a)-(g). Pursuant to 20 C.F.R. 653.109(g), the Department has established equity indicators, applicable to all SWAs that measure the outcomes of providing ES services. These equity indicators are listed in Table 2 below.

Table 2: Equity Ratio Indicators	
Indicator Name	PIRL element number
1. Most Recent Date Received Basic Career Services (Staff-Assisted)	1002
2. Most Recent Date Received Staff-Assisted Career Guidance Services	1102
3. Most Recent Date Received Staff-Assisted Job Search Activities	1104
4. Most Recent Date Referred to Employment	1105
5. Most Recent Date Received Unemployment Insurance (UI) Claim Assistance	1112
6. Most Recent Date Referred to Federal Training	1106
7. Most Recent Date Referred to Other Federal /State Assistance	1113
8. Most Recent Date Received Individualized Career Service	1201

**To determine if states are in compliance with the equity service level indicators, ETA will track the services provided to MSFWs versus non-MSFWs through the ETA-established reporting of WIOA career services provided to all participants and as reported in the ES program on the PIRL in WIPS.**

To meet the equity performance standards, the percentage of services provided to MSFWs must be equal to or greater than the percentage of services offered to non-MSFWs. For example, if 100 non-MSFWs and 50 MSFWs registered for services in the local ES office and 50 of the non-MSFW participants receive basic career services, the local office must provide basic career services to at least 25 of the MSFWs (50%) in order for that office to meet this equity ratio indicator.

## **Attachment 6: National Dislocated Worker Grants**

### **I. Introduction**

This attachment describes the program specific details of the performance accountability guidance for National Dislocated Worker Grants (DWG). Please note that the Department of Labor (Department, or DOL) has made a concerted effort to align the performance accountability guidance of its various workforce programs. DWG program grantees are required to report in accordance the performance reporting requirements established under Workforce Innovation and Opportunity Act (WIOA) section 116. This attachment describes the DWG program's performance accountability measures in alignment with the WIOA measures, and also highlights areas where the DWG program differs from the shared DOL performance guidance described in the main body and appendices of this guidance letter. Note that references in this attachment to section numbers refer readers to the main body of the Training and Employment Guidance Letter (TEGL).

DWG performance outcomes are established using data collected through the WIOA DOL Participant Individual Record Layout (PIRL). All grantees are required to collect participant level data identified in the DOL-only PIRL. This guidance will also highlight some of the specific PIRL data elements required for DWG.

### **II. Differences from Shared Guidance**

The performance reporting requirements for DWG grantees are closely aligned with the performance reporting requirements for DOL-administered WIOA core programs, including the WIOA title I Dislocated Worker program. This section describes that alignment and provides instructions specific to the DWG program.

#### **1. Primary Indicators of Performance**

WIOA Section 116(b)(2)(A) establishes six primary indicators of performance. These performance indicators apply to DWG grantees as described below.

- A. **Employment Rate – 2nd Quarter After Exit**: The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program.

The DWG program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

- B. **Employment Rate – 4th Quarter After Exit**: The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program.

The DWG program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

- C. **Median Earnings – 2nd Quarter After Exit**: The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.

The DWG program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

- D. **Credential Attainment**: The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program.

A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.

In alignment with the WIOA title I Adult and Dislocated Worker programs, DWG participants who receive OJT or customized training are not included in the credential attainment indicator for performance accountability purposes, but must be included in the calculation of the other performance indicators.

The DWG program applies the indicator at 20 CFR 677.155(a)(1)(iv) as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

- E. **Measurable Skill Gains**: The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment.

The DWG program applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described there.

- F. **Effectiveness in Serving Employers**: The DWG program will utilize “retention with the same employer in the 2nd and 4th quarter after exit” to measure Effectiveness in Serving Employers. The DWG program applies this indicator as it is described in Appendix I to this guidance.

## **2. Categories of Enrollment: Reportable Individual, Participant & Date of Program Exit**

- A. **Reportable Individual**: The DWG program defines “reportable individual” in alignment with the WIOA title I Adult and Dislocated Worker programs definition. A DWG program reportable individual has taken action that demonstrates an intent to use program services and who meets specific reporting criteria of the program, including:

- 1) individuals who provide identifying information;
- 2) individuals who only use the self-service system; or
- 3) individuals who only receive information-only services or activities that does not require an assessment by a staff member of the individual's skills, education, or career objectives.

Note that DWG reportable individuals may participate an intake process or receive an eligibility determination.

Reportable individuals do not count towards performance measure outcomes for the DWG program because only participants are included in the performance indicators. However, the Department requires inclusion of certain information about reportable individuals. DWG grantees must report reportable individuals consistent with Section 7 of this TEGL.

- B. Participant:** The DWG program defines “participant” in alignment with to the WIOA title I Adult and Dislocated Worker programs definition. Participants are counted toward the performance measure outcomes.

The DWG program is consistent with the definition of Participant as stated in Section 7 of this TEGL. A DWG program participant is a reportable individual who:

- 1) has received an employment or training service or disaster relief employment, funded in whole or in part with DWG funds, as authorized by WIOA section 170(b) and described in 20 CFR § 687.180(a) (for Employment Recovery DWGs) or 20 CFR § 687.180(b) (for Disaster Recovery DWGs); and
- 2) has satisfied all applicable programmatic requirements for the provision of services, including an eligibility determination.

For assistance in determining whether an individual is a reportable individual or a participant, see the chart in Appendix III, Table B, which lists types of services a DWG participant may receive. This table also identifies those services as basic career services, individualized career services, training, or Disaster Relief Employment, and states whether each type of service triggers inclusion in participation for the DWG program.

Specific criteria for both Employment Recovery and Disaster Recovery DWGs, as defined in CFR 687.100, include the following:

- For Employment Recovery DWGs, receipt of training services, individualized career services, and basic career services that are neither self-service nor information-only triggers inclusion as a participant.
- For Disaster Recovery DWGs, the services above or receipt of Disaster Relief Employment triggers inclusion as a participant.

The DWG program requires performance reporting on all participants in Disaster Relief Employment. For Disaster Recovery DWG grantees, ETA will measure outcomes based on participants who either (i) participated in career or training services or (ii) obtained Disaster Relief Employment in addition to participating in career or training services.

Participants that only receive Disaster Relief Employment will not be calculated in the grantee's six primary performance indicators, unless they also participate in allowable career or training services. Such participants are not calculated because the nature of the services they received cannot be measured appropriately by the six primary indicators of performance.

- C. Date of Program Exit Program-Specific Criteria for DWG:** The DWG program defines Date of Program Exit in alignment with WIOA title I Adult and Dislocated Worker programs. The DWG program is consistent with the definition of period of participation as stated in Section 7 of this guidance. DWG grantees must align their exit policies with the state's common exit policies.

The DWG program defines Date of Program Exit as:

- For DWG grantees included within a state's Common Exit policy, the date of exit is determined after 90 days of no services have elapsed; either through the DWG or DOL-administered WIOA core or partner program, and no future, planned services are scheduled. The date of program exit is applied retroactively to the last date of service.
- DWG grantees not included within a state's Common exit policy may determine date of exit as after 90 days of no services have elapsed through the DWG, and no future planned services are scheduled. The date of program exit is applied retroactively to the last date of service.

Because the date of exit is retroactive to the last date of service, follow-up services may begin immediately following placement into unsubsidized employment if it is expected that the participant will not receive any future services other than follow-up services. Provision of follow-up services does not extend the date of exit. For exit-based performance measures, the quarter for collecting follow-up data is determined by the quarter in which the date of exit occurs. For example, if the date of exit is between January 1st and March 31st, the first quarter after exit would be April 1st through June 30th.

Note the following PIRL data elements related to DWG program exit:

- **Date of Program Entry (900):** Grantees must enter the date in which the individual became a participant for any program service, in alignment with state co-enrollment and common exit strategies.
- **Date of Program Exit (901):** Grantees must enter the date of exit, in alignment with the state's common exit strategy, as discussed in section D below.

The DWG program applies the criteria for tracking reportable individual activity consistent with WIOA title I Adult and Dislocated Worker programs found in Section 7 of this TEGL. As described in Section 7, the end of the period of reportable individual activity for reportable individuals from a DWG is determined as follows:

- The individual does not become a DWG participant; and
- The individual is served under the DWG program through receipt of services that do not result in the individual becoming a participant; and
- The individual has had 90 days elapse since the most recent receipt of self-service, information-only services or activities, or reportable individual-level services under the DWG program (including, but not limited to, the service or activity resulting in the individual being identified as a reportable individual) with no future services scheduled.

After the 90-day period, a new reportable individual record should be created if the same individual returns. For reportable individuals, no data should be entered for Date of Program Entry or Date of Program Exit. These data elements pertain only to participant-level services.

**D. Common Exit:** As stated in Section 7 of this guidance, while the Department encourages states that implement common exit policies to include DOL-administered non-core programs as additionally within the scope of the state’s common exit policy, the Department also recognizes that the decision of whether to retain or develop a common exit policy is ultimately left to the states, as well as which (if any) DOL-administered non-core programs to include within the scope of the policy. This is subject to the requirements for common exit stated in section 7 of this TEGL. Grantees should be aware that co-enrollment without common exit may result in multiple exit dates, based on the individual programs’ service end dates. If the state includes the DWG program in its common exit policy, then DWG participants will not exit until the last date of service in all programs included in the policy.

### **3. Self-Service and Information-Only Services and Activities**

The DWG program is aligned with WIOA title I Adult and Dislocated Worker programs. Consistent with Section 8 of this TEGL, individuals who receive only self-services or information-only services or activities are considered reportable individuals, not participants, in the DWG program. The DWG program adopts the definition of self-service and information-only services and activities as stated in Section 8 of this TEGL.

### **4. Period of Participation**

The DWG program defines Period of Participation in alignment with WIOA title I Adult and DW programs. The DWG program is consistent with the definition of period of participation as stated in section 9 of this guidance.

**Reporting Unique Participants:** The DWG program will be reporting a count of unique participants in alignment with WIOA title I Adult and DW programs, as described in Section 9 of this guidance.



## **5. Workforce Integrated Performance System (WIPS) and How to Functionally Report**

DWG program grantees should follow the instructions from Section 10 of this TEGL for the Workforce Integrated Performance System (WIPS). WIPS is the vehicle through which DWG grantees must submit individual records based on the PIRL. The Web-based reporting system is accessed using the following link <https://dol.appiancloud.com/suite/>. Access requires a username and password and, unless otherwise stated in program specific attachments, must be requested by email to [WIOA.Feedback@DOL.gov](mailto:WIOA.Feedback@DOL.gov). Detailed information regarding the site and its use are available on the WIPS Resource Page found here: <https://doleta.gov/performance/wips/>.

The PIRL contains over 400 data elements, but not every element is required for each individual program. A number of critical DWG-specific PIRL data elements are described below, in Part III of this attachment, "Unique Features of DWG".

## **6. State Annual Report Narratives**

The Department issued TEGL 5-18 "WIOA Annual Statewide Performance Report Narrative" for WIOA title I and title III core programs. Information on DWGs awarded to states must be included in the Annual Report Narrative in accordance with the guidance.

## **7. Eligible Training Provider (ETP) Performance Reporting**

DWG grantees are not responsible to report on ETPs. DWGs funds used for Individual Training Accounts (ITA) must follow the same requirements to utilize ETPs as the title I Adult and Dislocated Worker programs, as described in 20 CFR 680.300.

## **8. Pay-for-Performance Reporting**

Pay-for-Performance reporting requirements do not apply to the DWG program at this time.

## **9. Quarterly Narrative Reports for Discretionary Programs**

DWG grantees are required to use the *Joint Quarterly Narrative Report Template* (ETA-9179) for quarterly performance narrative reporting. This form was approved for use by the Office of Management and Budget under OMB control no. 1205-0448. DWG grantees submit the Quarterly Narrative Report (QNR) using the WIPS reporting system described above in section 5 of this attachment. In order to utilize the new QNR reporting feature within the WIPS system, each grantee must contact the WIPS Helpdesk at [WIOA.Feedback@dol.gov](mailto:WIOA.Feedback@dol.gov) and request QNR reporting permissions for the applicable DWG.

## **10. Use of Social Security Numbers and Direct Wage Match for Performance Reporting**

In accordance with section 15 of this TEGL, DWG grantees must request participants' Social Security numbers (SSNs). However, participants cannot be denied services if they choose to not disclose an SSN.

The requirements related to the use of SSNs for performance reporting differ depending on the DWG grantee's type of entity. A list of the types of entities eligible to receive Employment Recovery DWGs and Disaster Recovery DWGs, may be found at 20 CFR 687.120.

Below is a chart that explains how each kind of entity that receives a DWG is required to use SSNs and how to obtain the information needed to report on the exit-based performance indicators.

The exit based performance indicators are as follows. Each of these indicators requires information about a participant's employment status to carry out the reporting.

1. Employment Rate – 2nd Quarter After Exit;
2. Employment Rate – 4th Quarter After Exit;
3. Median Earnings – 2nd Quarter After Exit;
4. Credential Attainment (to confirm employment status when the credential is Secondary School Diploma or Recognized Equivalent only); and
5. Effectiveness in Serving Employers – 2nd and 4th Quarter Retention with the Same Employer.

<b>Type of Grantee</b>	<b>How to Obtain Information Needed to Report on Exit-Based Performance Indicators</b>
State or Consortium of States	<p>Grantees that are states or a consortium of states are required to request participants' SSNs, but these entities must not report SSNs to the Department.</p> <p>State grantees are able, consistent with state law, to access quarterly wage records to capture exit-based performance indicators (which all have an employment-related component) for participants that have exited the program. Therefore, state DWG grantees must follow the same requirements with respect to the collection and use of SSNs that apply to the title I core programs when reporting on DWGs performance.</p>
Local Workforce Development Board (WDB) or Consortium of WDBs	<p>Grantees that are local workforce development boards (WDBs) or a consortium of local WDBs are required to request participants' SSNs, but these entities must not report SSNs to the Department.</p> <p>The chief elected official of a Local Area may enter into a data-sharing agreement that meets the requirements of 20 CFR 603.10 with the State's Unemployment Insurance (UI) Agency to obtain the individual-level wage and employment information about participants' earnings in the State needed to report on the exit-based indicators.</p> <p>Some State agencies responsible for WIOA performance reporting (referred to as the State WIOA Performance Agency) may be willing to assist the Local Areas in obtaining the information needed to report on the exit-based indicators. Some WIOA Performance Agencies may have a 20 CFR 603.10 compliant agreement that permits the WIOA Performance Agency to obtain UI wage records from the State agency that maintains those records (State UI Agency) to assist the Local Area DWG grantees in carrying out their</p>

	<p>performance reporting. If the State WIOA Performance Agency has such an agreement, then it may use these UI wage records to help Local Area DWG grantees report on wage and employment outcomes. However, unless the WIOA Performance Agency's data sharing agreement with the UI Agency permits it, the State WIOA Performance Agency may not share this individual-level information with the Local Area.</p> <p>If one of these options will not work for the Local WDB or consortium of WDBs, they must use supplemental wage information, as described in Section 12 below, to report on exit-based performance indicators.</p> <p>While the Department is unable at this time to facilitate wage record matches on behalf of these grantees, the Department anticipates that these entities will be included in future agreements concerning UI wage record matching. Once an agreement concerning UI wage record matching is in place, the Department will provide aggregate information based on wage match records on behalf of grantees in order to capture exit-based employment outcomes for the performance indicators listed in the previous section. The Department will calculate exit-based performance indicators on behalf of these grantees using the information included in each grantee's WIPS quarterly participant-level data file submission.</p> <p>Note that the grantee is responsible for tracking and reporting supplemental data, particularly for the Measurable Skill Gains and Credential Attainment (other than employment component of the Secondary School Diploma or Recognized Equivalent) performance indicators.</p>
<p>Outlying Areas</p>	<p>Grantees that are outlying areas:</p> <p>(a) <u>With DOL approved UI systems</u> are required to request participants' SSNs, but these entities must not report SSNs to the Department.</p> <p>These grantees may enter into a 20 CFR 603.10 agreement with their state UI agency and receive wage records to report on exit-based performance indicators (which all have an employment-related component) for participants that have exited the program.</p> <p>These grantees may also use supplemental information as explained in section 12 below to report on the exit-based indicators.</p> <p>(b) <u>That do not have a DOL approved UI system</u> may request participants' SSNs. Currently, these entities must obtain the information needed to report on the exit-based indicators through supplemental information as described in section 12 below.</p> <p>While the Department is unable at this time to facilitate wage record matches on behalf of these grantees, the Department anticipates that these entities will be included in future agreements concerning UI</p>

	<p>wage record matching. Until such agreements are established, these grantees may only use supplemental wage information to capture exit-based employment outcomes for the performance indicators. Once an agreement concerning UI wage record matching is in place, the Department will provide aggregate information based on wage match records on behalf of these grantees in order to capture exit-based employment outcomes for performance reporting.</p> <p>The Department will calculate exit-based performance indicators on behalf of these grantees using the information included in each grantee's WIPS quarterly participant-level data file submission.</p> <p>Note that the grantee is responsible for tracking and reporting supplemental data, particularly for the Measurable Skill Gains and Credential Attainment (other than employment component of the Secondary School Diploma or Recognized Equivalent) performance indicators.</p>
<p>Entities described in WIOA section 166(c) and Indian tribal governments</p>	<p>Grantees that are entities described in WIOA section 166(c) and Indian tribal governments as defined under 42 U.S.C. 5122(6) must request participants' SSNs and report them to the Department. Currently, these grantees may only use supplemental wage information to capture exit-based employment outcomes for the performance indicators.</p> <p>While the Department is unable at this time to facilitate wage record matches on behalf of these grantees, the Department anticipates that these entities will be included in future agreements concerning UI wage record matching. Until such agreements are established, these grantees may only use supplemental wage information to capture exit-based employment outcomes for the performance indicators. Once an agreement concerning UI wage record matching is in place, the Department will provide aggregate information based on wage match records on behalf of grantees in order to capture exit-based employment outcomes for the performance indicators listed in the previous section in addition to the supplemental information reported by the grantees.</p> <p>The Department will calculate exit-based performance indicators on behalf of these grantees using the information included in each grantee's WIPS quarterly participant-level data file submission.</p> <p>Note that the grantee is responsible for tracking and reporting supplemental data, particularly for the Measurable Skill Gains and Credential Attainment (other than employment component of the Secondary School Diploma or Recognized Equivalent) performance indicators.</p>
<p>Other eligible entities</p>	<p>For Employment Recovery DWGs, a Governor of an affected state or outlying area or the Secretary of Labor may determine that other entities not named in 20 CFR 687.120(a)(1-3) are eligible for these grants. These entities currently must use supplemental wage information, as described below, to</p>

	<p>report on exit-based performance indicators.</p> <p>While the Department is unable at this time to facilitate wage record matches on behalf of these grantees, the Department anticipates that these entities will be included in future agreements concerning UI wage record matching. Once an agreement concerning UI wage record matching is in place, the Department will provide aggregate information based on wage match records on behalf of grantees in order to capture exit-based employment outcomes for the performance indicators listed in the previous section</p> <p>The Department will calculate exit-based performance indicators on behalf of these grantees using the information included in each grantee's WIPS quarterly participant-level data file submission.</p> <p>Note that the grantee is responsible for tracking and reporting supplemental data, particularly for the Measurable Skill Gains and Credential Attainment (other than employment component of the Secondary School Diploma or Recognized Equivalent) performance indicators.</p>
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## **12. Supplemental Wage Information**

As described in Section 16 and Appendix VI of this TEGL, DWG grantees may collect and document supplemental wage information to calculate the exit-based primary indicators of performance. Supplemental wage information is the only means for grantees to report exit-based performance indicators for those participants who do not provide SSNs. Additional details regarding circumstances for collecting supplemental wage information, and methods and procedures for doing so, is provided in Appendix VI of this TEGL.

### **III. Unique Features of DWG**

#### **1. Performance Goals**

For grantees that are states or outlying areas, state performance goals for the title I Dislocated Worker program serve as a basis for each DWG's performance goals. ETA negotiates with states to determine acceptable performance targets for the title I Dislocated Worker program, including use of statistical regression model adjusted targets (<https://doleta.gov/performance/guidance/negotiating.cfm>).

For other non-state grantee, the following applies:

- Grantees that are a local WDB utilize goals that the local WDB negotiated with the state for the title I Dislocated Worker program.
- Grantees that are entities described in WIOA section 166(c) Native American Program should use goals established for that program as a basis for DWG performance targets. Goals approved in the DWG application serve as final performance targets.

- For all other eligible entities that are grantees, goals approved in the DWG application serve as final performance targets.

For all grantees, the goals described in this section will be used for DWGs unless applicants request additional considerations in setting performance targets for an individual grant.

## 2. PIRL Reporting

Grantees must submit an individual record file quarterly on all participants and exiters. All relevant data elements on the individual record layout must be completed. Those data elements relevant to the DWG program are indicated in the DOL-only PIRL by an “R” in the DWG column. While many of these elements are also required for other programs, the PIRL contains data elements that are specifically for individuals participating in a DWG.

Below is an explanation of certain PIRL data elements for DWG program participants.

- A. DWG Grant Number (2003):** In order to ensure that each DWG participant is appropriately recorded and tracked to a DWG project, the DWG grant number must be captured in PIRL data element 2003. Examples of DWG grant numbers are:

EM-25852-1460-A-9  
DW-25852-1460-A-34

The full grant number may contain 13 or 14 alpha-numeric characters. The required entry for PIRL data element 2003 is the **first seven** alphanumeric digits of the grant number (without dashes).

Grant numbers are included in grant award materials, and found at this website by selecting the appropriate DWG project: <https://www.doleta.gov/DWGs/Grant-Awards/>.

**Example 1:**

<b>Data Element No.</b>	<b>Data Element Name</b>	<b>Code Value</b>
2003	DWG Grant Number	EM25852

- B. Special Project ID (105, 106, 107):** Grantees must report accurately for an individual participant that may have participated in more than one DWG project.
- In this unique circumstance, the grant number for the first DWG project is recorded in data element 2003, DWG Grant Number, as described in the previous section. The required entry for PIRL data element 2003 is the **first seven** alphanumeric digits of the DWG grant number.

- The grant number for the second DWG project is recorded in data element 105, Special Project ID-1. The required entry for PIRL data element 105 is the **first seven** alphanumeric digits of the DWG grant number.

Note that PIRL data element 105 is only used to report a DWG grant number in the unique circumstance that an individual participates in more than one DWG project. Data element 105 may only be used for DWG when there is already a grant number entered in PIRL data element 2003.

In cases of supplemental funding awards to continue an existing DWG project, data element 105 should not be used.

**Example 2:**

<b>Data Element No.</b>	<b>Data Element Name</b>	<b>Code Value</b>
105	Special Project ID – 1	EM28097

Special Project ID 106 may be used if participation in a third DWG needs to be recorded for an individual, and Special Project ID 107 to record participation in a fourth DWG for that individual.

- C. Received Services through a Disaster Recovery Dislocated Worker Grant (2004):** Grantees must record what services are provided through a Disaster Recovery DWG in PIRL data element 2004 “Received Services Through a Disaster Recovery Dislocated Worker Grant.” Different code values must be entered depending on if an individual received one of three service options:

- 1) **Disaster Relief Employment Only.** Enter Code Value 1 if the if the participant received disaster relief employment only under a Disaster Recovery DWG, and received no other services.
- 2) **Disaster Relief Employment and Employment and Training Services.** Enter Code Value 2 if the participant received Disaster Relief Employment and received Employment and Training Services. More information on allowable services is found in 20 CFR 687.180.
- 3) **Employment and Training Services Only.** Enter Code Value 3 if a participant in a Disaster Recovery DWG received Employment and Training services only, and did not receive disaster relief employment under a Disaster Recovery DWG.

If the individual is not a participant in a Disaster Recovery DWG, and is in another type of DWG such as Employment Recovery DWG, enter Code Value 0.

- D. National Dislocated Worker Grant (932):** Grantees must complete data element 932 to track participants (code value 1) and reportable individuals (code value 2) in the DWG program.

- E. Date of First DWG Service (933):** Grantees must enter the date on which the DWG participant began receiving the first service funded by the DWG program. This data element captures the start of DWG-funded services.
- F. Date of Completion of DWG Services (2001):** Grantees must complete PIRL data element 2001. This data element captures completion of the DWG-funded services, and is important to ensure there is a way to measure how effective the DWG funds are.
- G. Employed at Completion of DWG Services (2002):** Grantees must complete PIRL data element 2002. This data element captures employment status at completion of the DWG-funded services, and is important to ensure there is a way to measure how effective the DWG funds are. In order to verify employment for this data element, DWG grantees may follow the supplemental data policies found in Appendix VI.
- H. Rapid Response (908):** DWG grantees complete data element 908 to indicate if the DWG participant also received rapid response services.
- I. Adult (903), Dislocated Worker (904):** In cases where a DWG participant is co-enrolled in the Adult or Dislocated Worker programs, DWG grantees must include such participants in the applicable program of co-enrollment (in addition to element PIRL data 932).
- J. Incumbent Worker Training (907):** Incumbent Worker Training (IWT), PIRL element number 907 is generally not allowable for DWG, but may be made available for certain specified funding opportunities and is therefore marked as “R”. Grantees must respond “no” to PIRL data element 907 unless IWT is allowable for a specific funding opportunity.
- K. TAA Petition Number (915):** In cases where a DWG participant is co-enrolled in the TAA program, DWG grantees must record the TAA petition number of the certification which applies to the participants group (in addition to PIRL data element 932).

### **3. Termination of ETA-9104 Report**

The requirements described in this attachment replace the previous performance reporting required prior to implementation of WIOA. The legacy “e-system” reporting on the ETA 9104 form ends after Program Year 2018.



## **Attachment 7: National Farmworker Jobs Program**

### **I. Introduction**

This attachment describes the program specific details of the performance accountability guidance for the National Farmworker Jobs Program (NFJP). Please note that under the Workforce Innovation and Opportunity Act (WIOA), the Department of Labor (Department, or DOL) has made a concerted effort to align the performance accountability guidance of its various workforce programs. In particular, WIOA section 167(c)(3) requires NFJP grantees providing career services and training to use the primary indicators of performance described in WIOA section 116(b)(2)(A) for the purposes of both reporting and reaching agreement on adjusted levels of performance. This attachment describes the convergence of the NFJP's performance accountability measures with the WIOA measures, and highlights areas where NFJP career services and training measures and NFJP housing measures differ from the shared DOL performance guidance described in the main body and appendices of this Training and Employment Guidance Letter (TEGL). Note that references in this attachment to section numbers of this guidance refers to the body of the TEGL.

As set forth in WIOA regulations, different indicators of performance apply to NFJP grantees providing career services and training, outlined under 20 CFR 685.400(a)-(b). For grantees providing career services and training services, the Department will use the six primary indicators of performance, described in Section II.1 below. For grantees providing housing services, the Department will use other indicators of performance, which are specific to NFJP housing grantees, as described in Section III below.

### **II. Differences from Shared Guidance – Career Services and Training Grantees**

#### **1. Primary Indicators of Performance**

WIOA section 116(b)(2)(A) establishes six primary indicators of performance, which are further described in Appendix I and in TEGL 10-16, Change 1. The NFJP Career Services and Training grantees (*i.e.*, NFJP grantees providing career services and training services) will report on those six performance indicators, with program-specific clarifications set forth below.

Note that the two employment rate indicators (employment status in the second and fourth quarters after exit) differ between adults and youth, consistent with WIOA section 116(b)(2)(A).

The WIOA Adult indicators apply only to NFJP participants enrolled as eligible seasonal farmworker adults, eligible migrant farmworker adults, or dependent adults of an eligible Migrant and Seasonal Farmworker (MSFW).

Unlike the WIOA Youth program, NFJP does not distinguish between in-school and out-of-school youth for participation and reporting purposes. The WIOA Youth indicators apply only to NFJP participants enrolled as eligible MSFW youth or dependent youth of an eligible MSFW. NFJP youth participants include individuals aged 14-24 who are either an eligible MSFW youth who is individually eligible or a dependent youth of an eligible MSFW. As stated in TEGL 18-16, *Program Eligibility and Enrollment Guidance for the National*

*Farmworker Jobs Program* ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3435](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3435)), grantees may enroll eligible migrant and seasonal farmworker (MSFW) participants aged 18-24 as either a MSFW adult or a MSFW youth, but not in both categories. Eligible MSFW youth aged 14-17 may only be enrolled as a MSFW youth. Grantees that do have a youth component as described in 20 CFR 685.370, must report on these MSFW youth according to Youth performance indicators.

- A. **Employment Rate – 2nd Quarter After Exit**: The percentage of participants in unsubsidized employment during the second quarter after exit.

For adult participants, NFJP applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described therein.

- A-1. **Youth Education and Employment Rate – 2nd Quarter After Exit**: The percentage of participants in education or training activities, or in unsubsidized employment during the second quarter after exit.

For youth participants, NFJP applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described therein.

- B. **Employment Rate – 4th Quarter After Exit**: The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program.

For adult participants, NFJP applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described therein.

- B-1. **Youth Education and Employment Rate – 4th Quarter After Exit**: The percentage of participants in education or training activities, or in unsubsidized employment during the fourth quarter after exit.

For youth participants, NFJP applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described therein.

- C. **Median Earnings – 2nd Quarter After Exit**: The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.

NFJP applies this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described therein.

- D. **Credential Attainment**: The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.

Training activities must encourage the attainment of recognized postsecondary credentials as defined in WIOA section 3(52) as well as 20 CFR 685.350 and 685.370 when appropriate for an eligible MSFW. A recognized postsecondary credential is an industry-recognized certificate or certification, a certificate of completion of an apprenticeship, a license recognized by the state involved or federal government, or an associate or baccalaureate degree. See WIOA sections 167(d) and 134(c)(3)(d) for a full list of training activities.

Eligible MSFWs are not required to receive career services prior to receiving training services. However, training services must be directly linked to an in-demand industry sector or occupation in the service area, or in another geographical area to which an eligible MSFW receiving such services is willing to relocate. NFJP grantees may determine that a sector or occupation is in-demand by the location of the grantee operating the NFJP program. This may be at the state, regional, or local service area level.

All adult and youth program participants who received education or training that was not OJT or Customized Training are included in the credential attainment indicator for NFJP.

NFJP participants who enroll in a secondary school at or above the 9<sup>th</sup> grade, or enroll in a post-secondary school, will be counted in this measure. See TEGL 10-16, Change 1, *Performance Accountability Guidance for Workforce Innovation and Opportunity Act (WIOA) Title I, Title II, Title III, and Title IV Core Programs* ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3255](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255)) for additional information on the methodology.

- E. **Measurable Skill Gains:** The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment.

NFJP participants meeting the definition for being in education or training in the credential attainment section above, as well as participants in OJT and customized training, are included in this measure.

- F. **Effectiveness in Serving Employers:** The percentage of program participants who exit and are employed with the same employer in the second and fourth quarters after exit.

NFJP applies this indicator as described in Appendix I to this guidance, with the operating parameters and methodology described therein.

## 2. **Categories of Enrollment: Participant and Date of Program Exit –**

- A. **Reportable Individual:** NFJP applies a program-specific definition of reportable individual, and does not follow the definition applied to the core programs.

As stated in TEGL 18-16 (see link above), an individual who receives only related assistance services that (1) does not require significant involvement of grantee staff time; and (2) does not require a career assessment by grantee staff of an individual's skills, education, or career

objectives (including all emergency assistance services) will be considered a “reportable individual” for NFJP. Such individuals are not included in performance calculations as program participants. For example, the Department does not consider pesticide and worker safety training (neither of which require significant involvement of grantee staff time, nor career assessments) to be the type of related assistance that requires the individual to be included in the performance calculations. In this case, the individual would be counted as a reportable individual.

Emergency assistance, a form of short-term related assistance, may be provided to eligible MSFWs and their dependents as defined in 20 CFR 685.110 to address these farmworker’s immediate needs. Emergency assistance may include, but is not limited to, the provision of necessary items such as clothing, food, and transportation vouchers. When an individual receives emergency assistance only (and no other NFJP services), an applicant’s self-certification is accepted as sufficient documentation of eligibility. Any individual receiving only emergency services is counted as a reportable individual.

**B. Participant:** NFJP applies a program-specific definition of participant, and does not follow the definition applied to the core programs.<sup>1</sup>

As stated in TEGL 18-16, an NFJP participant, an individual must complete the following requirements: eligibility determination, career assessment, and receipt of at least one of the five program elements (e.g. career services, training services, housing services, youth services, and/or certain related assistance services). These individuals will be considered program participants and included in performance calculations. Note for the purposes of determining eligibility, grantees do not need to demonstrate that an individual is either chronically unemployed or underemployed.

Individuals who are enrolled in certain related assistance activities that require significant involvement of grantee staff are also considered participants. Specifically, “certain related assistance” activities that trigger inclusion in participation are those that require an eligibility determination and a career assessment, and are directly related to education, training, career, and/or employment outcomes. These activities may include, but are not limited to:

- School dropout prevention and recovery activities;
- Self-employment and related business or micro-enterprise development or education; and
- Occupational career and technical education.

For assistance in determining whether an individual is a reportable individual or a participant, see the chart in Appendix III, Table C, which lists types of services an NFJP participant may receive. This table also identifies those services as basic career services, individualized career services, or training; and states whether each type of service triggers inclusion in participation for the NFJP program.

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<sup>1</sup> Note the Participant Individual Record Layout (PIRL) data element 808 Eligible Migrant and Seasonal Farmworker Status (WIOA section 167) is only to be used for participants, who are enrolled or co-enrolled in NFJP. For Employment Service performance reporting purposes, Wagner-Peyser partners should use PIRL data element 413 for Migrant and Seasonal Farmworker Designation as defined in 20 CFR 651.10.

C. **Exit:** The NFJP program applies the definition and criteria of exit stated in Section 7 of this guidance. The date of exit from the program is the last date of any service listed above. Specifically:

- The date of exit cannot be determined until 90 days have elapsed since the participant last received any services. Furthermore, there must be no future, planned services scheduled. At that point the date of exit is applied retroactively to the last date of service.
- In determining whether 90 days have elapsed since the participant last received services, do not include receipt by the participant of any supportive services as these services do not delay, postpone, or affect the date of exit. Because the date of exit is retroactive to the last date of service, follow-up services may begin immediately following the last date of service if it is expected that the participant will not receive any future services other than follow-up services. Provision of follow-up services does not extend the date of exit.<sup>2</sup>
- PIRL data element 901 (Date of Program Exit) is used to collect and report the date of exit. For exit-based performance measures, the quarter for collecting follow-up data is determined by the quarter in which the date of exit occurs. For example, if the date of exit is between January 1st and March 31st, the first quarter after exit would be April 1st through June 30th.

**Period of Reportable Individual Activity:** The NFJP program applies the concept of a period of reportable individual activity consistent with WIOA title I Adult and Dislocated Worker programs found in Section 7 of this guidance, using **Appendix III, Table C** as a reference for determining reportable individual or participant level services.

A period of reportable individual activity refers to the period of time that begins either (a) when a person first takes part in a qualifying reportable individual activity or (b) 91 days after the date of exit of a preceding period of participation. A period of reportable individual activity ends when either (a) no services have been received for more than 90 days or (b) 90 days prior to the start of a subsequent period of participation.

A new period of reportable individual activity should be recorded when more than 90 consecutive days have elapsed since that reportable individual last engaged with the program via self-service or an information-only service or activity. This “end of the period of reportable individual activity” is needed in order to prevent reportable individuals who have stopped receiving services from staying in the system indefinitely.

In cases where a person has a period of reportable individual activity lasting more than 90 days, prior to becoming a participant, two records must be reported. The first record represents the period of reportable individual activity and must end 91 days before the date of program entry for the subsequent period of participation. The second record represents the period of participation and will include any reportable individual services or activities occurring within 90 days prior to the date of program entry.

In cases where a person has a period of reportable individual activity lasting fewer than 90 days, prior to becoming a participant, only one record must be reported. The record

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<sup>2</sup> Note that for NFJP grants, follow up services may begin after a participant is placed in employment rather than after exit. This does not change the fact that follow up services do not extend the date of exit.

represents a period of participation and will include any reportable individual services or activities occurring within 90 days prior to the date of program entry.

The same logic applies to periods of reportable individual activity occurring after a period of participation. Any reportable individual activities occurring within 90 days after the date of program exit will be reported as part of the period of participation. Reportable individual activities occurring more than 90 days after the date of program exit will not be included in the record for the period of participation. A second record representing a period of reportable individual activity beginning more than 90 days after the date of program exit must be reported.

- D. Common Exit:** As stated in Section 7 of this guidance, while the Department encourages states that implement common exit policies to include DOL-administered non-core programs as within the scope of the state's common exit policy, the Department also recognizes that the decision of whether to retain or develop a common exit policy is ultimately left to the States, as well as which (if any) DOL-administered non-core programs to include within the scope of the policy. This is subject to the requirements for common exit stated in Section 7 of this guidance. Grantees should be aware that co-enrollment without common exit may result in multiple exit dates, based on the individual programs' service end dates. If the state has a common exit policy that includes NFJP, then an NFJP participant will not exit until the last date of service in any of the programs included in the common exit policy.

### **3. Self-Service and Information-Only Activities**

This section does not apply to NFJP.

### **4. Period of Participation and Reporting Unique Participants**

The NFJP program adopts the definition of period of participation as stated in Section 9 of this guidance.

#### **Reporting Unique Participants**

The NFJP grant program does not require a count of unique participants as described in Section 9 of this guidance. Instead, the NFJP program only required that grantees report on each period of participation. However, should the need arise to calculate a unique count of participants the PIRL records submitted in WIPS can be aggregated into counts of unique participants, using unique individual identifiers assigned by grantees to each participant and reported on the PIRL.

### **5. Workforce Integrated Performance System (WIPS) and How to Functionally Report**

See Training and Employment Notice (TEN) 8-16 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5317](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5317)). All NFJP Career Services and Training grants awarded with a start date of July 1, 2016 or later will use the new data elements in the Participant Individual Record Layout (PIRL) that are specified in the approved reporting requirements. In accordance with the statute, NFJP began implementing the new WIOA measures as of July 1, 2016 for grantees providing career services and training. In the future, Housing grantees (see Section III) will also utilize the PIRL submitted in WIPS.

Each grantee is required to upload a comma separated values (.csv) file with its required data elements as defined in the DOL-only PIRL into WIPS within 45 days of the end of the quarter.

Although not all PIRL data elements are part of outcome calculations, and thus not listed in Appendix IV, NFJP grantees must ensure they capture all elements listed under the NFJP PIRL schema (<https://doleta.gov/performance/wips/>).

**6. State Annual Report Narratives**

This section does not apply to NFJP.

**7. Eligible Training Provider (ETP) Performance Reporting**

This section does not apply to NFJP.

**8. Pay-for-Performance Reporting**

This section does not apply to NFJP.

**9. Quarterly Narrative Reports for Discretionary Programs**

All NFJP grantees are required to use the “*Joint Quarterly Narrative Report Template*” (ETA-9179) for quarterly performance narrative reporting. This form was approved for use by the Office of Management and Budget (OMB) under OMB control no. 1205-0448. Additional instructions for completing this form and submitting it to the Department are included in separate guidance.

**10. Use of Social Security Numbers and Direct Wage Match for Performance Reporting**

In accordance with Section 15 of this guidance, NFJP grantees are directed to request participants’ Social Security numbers (SSNs). Though NFJP grantees are required to request participants’ SSNs, participants cannot be denied services if they choose to not disclose their SSN.

For NFJP Career Services and Training grantees, the Department, as described in Section 15 of this guidance, will facilitate the acquisition of aggregate quarterly employment and earnings results for NFJP participants, and provide those aggregate results to the relevant grantee. The Department will match quarterly UI wage records on behalf of grantees in order to capture exit-based outcomes (each of which has an employment related component) for participants who have exited the program for following indicators only:

- A. Employment Rate – 2nd Quarter After Exit;
- B. Employment Rate – 4th Quarter After Exit;
- C. Median Earnings – 2nd Quarter After Exit;
- D. Credential Attainment; and

E. Effectiveness in Serving Employers – 2<sup>nd</sup> and 4<sup>th</sup> Quarter After Exit Retention with the Same Employer.

The Department will calculate these specific employment-based outcomes on behalf of grantees.

**11. Supplemental Wage Information**

As described in Section 16 and Appendix VI of this guidance, NFJP grantees may collect and document supplemental wage information to calculate the exit-based primary indicators of performance. Supplemental wage information is the only means for grantees to report exit-based outcomes for those participants who do not provide SSNs, and frequently the only means to report such outcomes for participants for whom wage record data is predicted to be unavailable. Additional details regarding circumstances for collecting supplemental wage information, are provided in Appendix VI of this guidance.

**III. Unique Features of NFJP**

**Primary Indicators of Performance – Housing Grantees.**

For NFJP, Housing grantees that provide permanent housing services will report on four (4) indicators of performance, while Housing grantees that provide temporary housing services will report on two (2) indicators of performance, as specified in 20 CFR 685.400. Housing assistance is defined in 20 CFR 685.110, while types of housing services, including qualifying permanent and temporary housing services and assistance, are described in 20 CFR 685.360(c). Permanent housing developed with NFJP funds must be promoted and made widely available to eligible MSFWs, but occupancy is not restricted to eligible MSFWs. Temporary housing services must only be provided to eligible MSFWs as defined in 20 CFR 685.360.

For the purpose of reporting housing assistance indicators, “family” is defined in 20 CFR 685.110 as the eligible MSFW(s) and all the individuals identified under the definition of “dependent” who are living together in one physical residence.

The following are the indicators of performance for NFJP Housing grantees.

**Permanent Housing:**

**1. Total number of eligible Migrant and Seasonal Farmworkers (MSFWs) served:**

The total number of eligible MSFWs that benefit from the permanent housing activities provided within the program year.

**2. Total number of eligible MSFW families served:**

The total number of eligible MSFW families that benefit from the permanent housing activities provided within the program year.



**3. Total number of individuals served:**

The total number of individuals that benefit from the permanent housing activities provided within the program year.

**4. Total number of families served:**

The total number of families that benefit from the permanent housing activities provided within the program year.

**Temporary Housing:**

**5. Total number of eligible MSFWs served:**

The total number of eligible MSFWs that benefit from the temporary housing activities provided within the program year.

**6. Total number of eligible MSFW families served:**

The total number of eligible MSFW families that benefit from the temporary housing activities provided within the program year.

## **Attachment 8: Reentry Employment Opportunities**

### **I. Introduction**

This attachment describes the program specific details of the performance accountability guidance for Reentry Employment Opportunities (REO) grantees. Please note that the Department of Labor (Department, or DOL) has made a concerted effort to align the performance accountability guidance of its various workforce programs. The Department is requiring REO grants with a start date of July 1, 2017 and later to align with Workforce Innovation and Opportunity Act (WIOA) and to track and report on the six WIOA primary indicators of performance, as set forth in WIOA section 116(b)(2) and as further specified below. This attachment therefore describes the convergence of the REO program's performance accountability measures with the WIOA measures, and also highlights areas where REO differs from the shared DOL performance guidance described in the main body and appendices of this Training and Employment Guidance Letter (TEGL). Note that references in this attachment to section numbers of this guidance refer readers to the main body of the TEGL.

This attachment provides performance reporting guidance unique to REO grants with periods of performance start dates of July 1, 2017 and later.

### **II. Differences from Shared Guidance**

#### **1. Primary Indicators of Performance.**

REO grant performance outcome measures will be established using the data collected through the WIOA DOL-only Participant Individual Record Layout (DOL-only PIRL) for the six WIOA primary indicators of performance. All REO grantees are required, as outlined in their grant's Funding Opportunity Announcement and grant award, to report participant level data for all individuals served using grant funds, in alignment with the WIOA indicators. Appendix I to this guidance defines these indicators, as well as their methodology and operational parameters.

##### **A. Employment Rate – 2<sup>nd</sup> Quarter After Exit:**

**REO-Adult programs** (programs falling into the REO-Adult category are identified as such in each governing FOA) will follow the WIOA title I Adult indicator: The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program.

##### **A-1. Youth Education and Employment Rate – 2<sup>nd</sup> Quarter After Exit:**

**REO-Youth programs** (programs falling into the REO-Youth category are identified as such in each governing FOA) will follow the WIOA title I Youth indicator: The percentage of participants in education or training activities or in unsubsidized employment during the second quarter after exit.

**REO-Adult and REO-Youth programs** apply these indicators as they are described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

**B. Employment Rate – 4th Quarter After Exit:**

**REO-Adult programs** will follow the WIOA title I Adult indicator: The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program.

**B-1. Youth Education and Employment Rate – 4th Quarter After Exit:**

**REO-Youth programs** will follow the WIOA Title I Youth indicator: The percentage of participants in education or training activities or in unsubsidized employment during the fourth quarter after exit.

**REO-Adult and REO-Youth programs** apply these indicators as they are described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

**C. Median Earnings – 2nd Quarter After Exit:** The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.

**Both REO-Adult and REO-Youth programs** apply this indicator as it is described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

**D. Credential Attainment:** The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.

**Both REO-Adult and REO-Youth programs** apply this indicator as it is described in Appendix I to this TEGL, aligning with the WIOA Adult and Youth programs respectively, with the operating parameters and methodology described therein.<sup>1</sup>

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<sup>1</sup> ETA may consider additional related indicators in evaluating grantee performance, which will be defined in the FOA, but these are this definition of credential attainment will be the one used in the QPR that grantees will certify in their WIPS submissions.

- E. **Measurable Skill Gains:** The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment.

**Both REO-Adult and REO-Youth programs** apply this indicator as it is described in Appendix I to this TEGL, aligning to the WIOA Adult and Youth programs respectively, with the operating parameters and methodology described therein.

- F. **Effectiveness in Serving Employers:** The percentage of program participants who exit and are employed with the same employer in the second and fourth quarters after exit.

**Both REO-Adult and REO-Youth programs** apply this indicator as it is described in Appendix I to this guidance, with the operating parameters and methodology described therein.

## **2. Categories of Enrollment: Participant and Date of Program Exit**

- A. **Reportable Individual:** This does not apply to REO programs.

- B. **Participant:** Satisfaction of all applicable program requirements for the provision of services, including eligibility determination and entering into a core service, is what makes an individual a participant in REO programs. REO defines what qualifies as a core services through technical assistance to grantees.

- C. **Exit:** The date of exit from the program is the last date of a core service. A core service is any service other than a supportive service. Supportive services do not prevent exit. Specifically:

- The date of exit cannot be determined until 90 days have elapsed since the participant last received any core services; furthermore, there must be no future planned service scheduled to provide the participant with future core services. At that point, the date of exit is applied retroactively to the last date of a core service.
- For determining whether 90 days have elapsed since the participant last received core services, receipt by the participant of any supportive services or follow-up services, do not delay, postpone, or affect the date of exit. Because the date of exit is retroactive to the last date of a core service, follow-up services may begin immediately following the last date of a core service if it is expected that the participant will not receive any future core services. Provision of follow-up services does not extend the date of exit.
- PIRL data element 901 (Date of Program Exit) is used to collect and report the date of exit. For exit-based performance measures, the quarter for collecting follow-up data is determined by the quarter in which the date of exit occurs. For example, if the date of

exit is between January 1st and March 31st, the first quarter after exit would be April 1st through June 30th.

In addition to the above requirements, the following applies to **both REO-Adult and REO-Youth Programs** – Exited participants may return to active status to receive additional core services. When exited participants are reactivated, the follow-up period will be reset to the new date of exit. Any follow-up data, including post-exit outcomes, is deleted and must be re-collected appropriate to the new date of exit, when it occurs. Additionally, when exited participants are reactivated, they do not start a new period of participation; instead, their periods of participation are extended.

- D. Common Exit:** As stated in Section 7 of this TEG, while the Department encourages states that implement common exit policies to also include DOL-administered non-core programs within the scope of the state's common exit policy, the Department also recognizes that the decision of whether to retain or develop a common exit policy is ultimately left to the States, as well as which (if any) DOL-administered non-core programs to include within the scope of the policy. This is subject to the requirements for common exit stated in Section 7 of this TEG. Grantees should be aware that co-enrollment without common exit may result in multiple exit dates, based on the unique exit dates within each program for co-enrolled participants. If a state has a common exit policy that includes REO, then a REO participant will not exit until the last date of service of any program included in the common exit policy.

**3. Self-Service and Information-Only Activities**

This does not apply to REO programs.

**4. Period of Participation**

**REO-Adult programs and REO-Youth programs** adopt the definition “period of participation” as stated in Section 9 of this TEG except for in the circumstance described above in which an exited participant returns to the same program and has his/her exit removed (see section 2.C. of this attachment).

**Reporting Unique Participants**

REO reports participant counts by enrollment. Therefore, while the count by grantee will be mostly unique, there may be cases where a participant enrolls twice during the period of performance. Please note, REO-Youth participants in exit status who return to active status by extending their periods of participation (as described above in section 2.C. of this attachment) do not qualify as new enrollments.

**5. Workforce Integrated Performance System (WIPS) and How to Functionally Report**

REO grants with a start date of July 1, 2017, and later will report through WIPS. To do so, grantees will record participant data in a DOL-provided web-based case management system currently under development. In the interim, until this case management system is available,

grantees are still required to collect all of the applicable PIRL data elements on the REO PIRL schema. Grantees will collect the applicable data in a PIRL-based Access database tool that would allow for the capturing of applicable primary indicators of performance and allow grantees to become familiar with the collection of the WIOA required elements and indicators. Grantees that have already begun reporting through either the Prisoner Reentry Initiative or Youth Offender case management systems will continue reporting through the appropriate system until the completion of that grant. REO grants with a start date of July 1, 2017, will report through the PIRL-Based Access database tool until the case management system, currently under development, is available.

**6. State Annual Narrative Reports**

This does not apply to REO programs.

**7. Eligible Training Provider (ETP) Performance Reporting**

This does not apply to REO programs.

**8. Pay-for-Performance Reporting**

This does not apply to REO programs.

**9. Quarterly Narrative Reports for Discretionary Programs**

REO grantees are required to use the *Joint Quarterly Narrative Report Template* (ETA-9179) for quarterly performance narrative reporting. This form was approved for use by the Office of Management and Budget (OMB) under OMB control no. 1205-0448. Additional instructions for completing this form and submitting it to the Department will be included in separate guidance.

**10. Use of Social Security Numbers and Direct Wage Match for Performance Reporting**

In accordance with Section 15 of this TEGL, REO grantees are directed to request participants' Social Security numbers (SSNs). While REO grantees are required to request participant SSNs, participants cannot be denied services if they choose to not disclose an SSN.

As described in Section 15 of this TEGL, the Department will facilitate the acquisition of aggregate quarterly employment and earnings results for REO program participants, and provide those aggregate results to the relevant grantee. In particular, the Department will match UI quarterly wage records on behalf of grantees in order to capture exit-based outcomes (each of which has an employment-related component) for participants who have exited the program for following indicators only:

- A. Employment Rate – 2nd Quarter After Exit;
- B. Employment Rate – 4th Quarter After Exit;

- C. Median Earnings – 2nd Quarter After Exit;
- D. Credential Attainment (Secondary School Diploma or Recognized Equivalent); and
- E. Effectiveness in Serving Employers – 2<sup>nd</sup> and 4<sup>th</sup> Quarter After Exit Retention with the Same Employer.

The Department will calculate these specific exit-based outcomes on behalf of grantees, using SSNs provided for each REO participant as part of the information included in each grantee's WIPS quarterly participant-level data file submission.

However, wage records do not reflect the employment outcomes for all participants who have exited a REO program and successfully obtained employment. Wage record data is limited to information reported quarterly by those employers that are required to report employees' earnings to the state employment security agency that manages the state's unemployment compensation program. Employment outcomes for an individual who is self-employed or who works as an independent contractor are not found in the wage records. For such individuals, or for those that do not provide an SSN, supplemental wage information, as described below, is the only means for reporting on exit-based participant outcomes.

Furthermore, as a result of a two-quarter lag in the availability of wage record data, grantees receive aggregate results on their participants' outcomes, grantees are not able to analyze the aggregate report to determine which participants are individuals for whom wage record data was available and which are not. Instead, it is prudent for grantees to collect supplemental wage information for exited participants, especially those for whom wage records are unlikely to be available, as the Department will be able to integrate supplemental wage information regarding a participant on the PIRL-based Access data elements with the wage record information to obtain aggregate employment and earnings outcomes in WIPS on quarterly performance reports.

## **11. Supplemental Wage Information**

As described in Section 16 and Appendix VI of this TEGL, REO grantees may collect and use supplemental wage information to calculate the exit-based primary indicators of performance. Supplemental wage information is the only means for grantees to report exit-based outcomes for those participants who do not provide SSNs, and frequently the only means to report such outcomes for participants for whom wage record data is not predicted to be available. Additional details regarding circumstances for collecting supplemental wage information, and methods and procedures for doing so, is provided in Appendix VI of this TEGL.

The collection and use of supplemental wage information is subject to the following limitation: a REO grantee's ability to report on these indicators via supplemental wage information is limited by the follow-up period in the FOA for its grants. The FOAs for many REO grants limit the follow-up period to nine (9) months (or fewer) after exit for each participant. Grantees with such limitations on the follow-up period will not be able to report employment outcomes for the fourth quarter after exit via supplemental wage information, as the time period for reporting would fall outside of the follow-up period defined in the grant

period of performance. Grant resources may not be expended for collecting supplemental wage information or other performance information after the follow-up period has concluded. ETA will be able to determine whether it would have been possible for an REO grantee to have collected supplemental wage information on a given participant based on the date of program exit. Grantees should also refer to their FOAs to determine if they have nine-month limitations for the follow-up period, which will determine whether they are able to report this measure through supplemental wage information.

Likewise, the credential attainment indicator reflects credentials earned during participation or up to one year following exit from the program. A grantee with a follow-up period limited to nine (9) months (or fewer) would not be able to report on any credentials earned following the conclusion of the grantee's follow-up period (e.g., if a participant exits a program in January, and the follow-up period defined in the period of performance for the particular grant concludes in September of that year, the grantee would be unable to record any credentials earned by that participant in October, November, or December).

### **III. Unique Features of REO**

Below is a table that provides additional useful information for REO grantees about how different REO services are to be reported through the DOL-only PIRL. It includes information about the PIRL data element numbers, associated codes, and clarification on whether the receipt of such services delays the date of exit or not.

<b>Service Type</b>	<b>Applicable PIRL Data Element Number (s)</b>	<b>PIRL Data Element Code Value(s)</b>	<b>Does this service prevent exit?</b>
<b>Education Services</b>	1332: Participated in Postsecondary Education During Program Participation	1 = Yes, Participated in Postsecondary Education 0 = No, Did Not Participate in Postsecondary Education	Yes
	1402: Most Recent Date Received Educational Achievement Services	YYYYMMDD	Yes
	1403: Most Recent Date Received Alternative Secondary School Services		
	1405: Most Recent Date Received Work Experience Opportunities		
	1407: Most Recent Date Received Education Offered Concurrently with Workforce Preparation		
	1415: Most Recent Date Youth Received Postsecondary transition and preparatory activities		
<b>Training Services</b>	1300: Received Training	1 = Yes 0 = No	Yes



Service Type	Applicable PIRL Data Element Number (s)	PIRL Data Element Code Value(s)	Does this service prevent exit?
	1306: Occupational Skills Training Code #1	00000000	Yes
	1311: Occupational Skills Training Code #2		
	1316: Occupational Skills Training Code #3		
	1307: Training Completed #1	1 = Yes 0 = No	Yes
	1312: Training Completed #2		
	1317: Training Completed #3		
	1302: Date Entered Training #1	YYYYMMDD	Yes
	1309: Date Entered Training #2		
	1314: Date Entered Training #3		
	1308: Date Completed, or Withdrew from, Training #1	YYYYMMDD	Yes
	1313: Date Completed, or Withdrew from, Training #2		
	1318: Date Completed, or Withdrew from, Training #3		
	1303: Type of Training Service #1	01 = On the Job Training 02 = Skill Upgrading 03 = Entrepreneurial Training (non-WIOA Youth) 04 = ABE or ESL (contextualized or other) in conjunction with Training (non-TAA funded) 05 = Customized Training 06 = Other Occupational Skills Training 07 = Remedial Training (ABE/ESL – TAA only) 08 = Prerequisite Training 09 = Registered Apprenticeship 10 = Youth Occupational Skills Training 11 = Other Non-Occupational-Skills Training 00 = No Training Service	Yes
1310: Type of Training Service #2			
1315: Type of Training Service #3			
<b>Workforce Preparation Activities</b>	1004: Date of Most Recent Career Service (WIOA)	YYYYMMDD	Yes
	1102: Most Recent Date Received Staff-Assisted Career Guidance Services		

Service Type	Applicable PIRL Data Element Number (s)	PIRL Data Element Code Value(s)	Does this service prevent exit?
	1103: Most Recent Date Received Workforce Information Services 1104: Most Recent Date Received Staff Assisted Job Search Activities 1105: Most Recent Date Referred to Employment 1116: Most Recent Date Received Staff-Assisted Basic Career Services (Other) 1200: Date of First Individualized Career Service 1201: Most Recent Date Received Individualized Career Service 1210: Received Pre-Vocational Activities 1408: Most Recent Date Received Leadership Development Opportunities		
<b>Community Involvement Activities</b>	1408: Most Recent Date Received Leadership Development Opportunities	YYYYMMDD	Yes
<b>Mentoring Activities</b>	1410: Most Recent Date received Adult Mentoring Services	YYYYMMDD	Yes
<b>Health Services</b>	1411: Most Recent Date Received Comprehensive Guidance/Counseling Services	YYYYMMDD	Yes
<b>Supportive Services</b>	1409: Most Recent Date Received Supportive Services	YYYYMMDD	No
	1500: Received Needs-Related Payments	1 = Yes 0 = No	

## **Attachment 9: Senior Community Service Employment Program**

Beginning in Program Year (PY) 2018, Senior Community Service Employment Program (SCSEP) grantees must follow the performance requirements from the Interim Final Rule (IFR) published on December 1, 2017 revises the measures at 20 CFR 641.700

(<https://www.gpo.gov/fdsys/pkg/FR-2017-12-01/pdf/2017-25834.pdf>), implementing the new performance requirements specified by the Older Americans Act Reauthorization Act of 2016 ("OAA"). On July 30, 2018, the Department issued a Final Rule adopting the IFR as final without change. The Department added SCSEP performance data elements to the DOL-only Participant Individual Record Layout (PIRL) and grantees began reporting on the new performance measures in the first quarter of PY 2018, which began July 1, 2018.

The Department plans to update this SCSEP attachment to provide additional guidance on the new SCSEP regulations in subsequent updates.

For reference, the new performance measures, as specified in the SCSEP Final Rule and section 513 of the OAA (42 U.S.C. 3056k, as amended by P.L. 114-144) are as follows:

- (a) hours (in the aggregate) of community service employment;
- (b) the percentage of project participants who are in unsubsidized employment during the second quarter after exit from the project;
- (c) the percentage of project participants who are in unsubsidized employment during the fourth quarter after exit from the project;
- (d) the median earnings of project participants who are in unsubsidized employment during the second quarter after exit from the project;
- (e) indicators of effectiveness in serving employers, host agencies, and project participants; and
- (f) the number of eligible individuals served, including the number of participating individuals described in subsection (a)(3)(B)(ii) or (b)(2) of section 518.

## Attachment 10: Trade Adjustment Assistance

### **I. Introduction**

This attachment describes the program specific details of performance accountability guidance for Trade Adjustment Assistance (TAA). Please note that the Department of Labor (Department, or DOL) has made a concerted effort to align the performance accountability provisions of its various workforce programs. In particular, the TAA program is statutorily required to report on the indicators of performance identified in 19 U.S.C. § 2311(j)(2)(A)(i). These are unsubsidized employment during the second and fourth quarters after exit, the median earnings in the second quarter after exit, the attainment of certain credentials, and the achievement of measurable skill gains.

These statutory indicators for TAA are defined in nearly identical terms to the primary indicators of performance under Workforce Innovation and Opportunity Act (WIOA) section 116(b)(2)(A). This attachment therefore describes the convergence of the TAA program's performance accountability measures with the WIOA measures, and highlights areas where TAA differs from the shared DOL performance guidance described in the main body and appendices of this Training and Employment Guidance Letter (TEGL).

### **II. Differences from Shared Guidance**

Under section 239(j) of the Trade Adjustment Assistance Reauthorization Act of 2015 (TAARA 2015), there are five primary indicators of performance for TAA participants. Together, these indicators align with five of the WIOA primary indicators of performance (TAA does not have an indicator that is analogous to the WIOA effectiveness in serving employers indicator). TAA grantees will report on the five performance indicators as outlined below, with the following program-specific criteria:

#### **1. Primary Indicators of Performance.**

- A. Employment Rate – 2nd Quarter After Exit:** The percentage and number of participants who are in unsubsidized employment during the second quarter after exit from the program.

The TAA program applies this indicator as it is described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

- B. Employment Rate – 4th Quarter After Exit:** The percentage and number of participants who are in unsubsidized employment during the fourth quarter after exit from the program.

The TAA program applies this indicator as it is described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

- C. Median Earnings – 2nd Quarter After Exit: The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.

The TAA program applies this indicator as it is described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

- D. Credential Attainment: The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.

The TAA program applies this indicator as it is described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

- E. Measurable Skill Gains: The percentage of program participants who, during the period, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment.

The TAA program applies this indicator as it is described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

- F. Effectiveness in Serving Employers: The TAA program does not report on this indicator.

## 2. Categories of Enrollment: Reportable Individual, Participant & Date of Program Exit

- A. Reportable Individual: This category does not apply to the TAA program.
- B. Participant: Consistent with Section 7 of this TEGL, the TAA program defines a participant as an individual who has received benefits or services funded by the TAA program, after satisfying all applicable programmatic requirements for the provision of services, such as an eligibility determination. Grantees are required to document the TAA benefit or service that a participant received with a value in Date of First TAA Benefit or Service (Data Element (DE) 925). Grantees should note that Trade Readjustment Allowances (TRA), Alternative Trade Adjustment Assistance (ATAA), and Reemployment Trade Adjustment Assistance (RTAA) are TAA-funded services that trigger participation.

For assistance in determining whether an individual is a participant, see the chart in Appendix III, Table D, which lists types of services a TAA participant may receive; identifies those services as basic career services, individualized career services, or training; and states whether each type of service triggers inclusion in participation for the TAA program.

C. **Exit:** Consistent with Section 7 of this guidance, the date of exit from the program is the last date of service. Specifically:

- The date of exit cannot be determined until 90 days have elapsed since the participant last received services; furthermore, there must be no future service scheduled. The date of exit is applied retroactively to the last date of service.
- If a participant receives self-service, information-only services or activities, or follow-up services from a non-TAA funded program, this does not delay the date of exit from the TAA program. While the TAA program does not provide follow-up services, a TAA participant may receive follow-up services if the participant is co-enrolled in another program that provides follow-up services. Therefore, for determining whether 90 days have elapsed since the participant last received services, receipt by the participant of any self-service, information-only services or activities, or follow-up services, will not delay, postpone, or affect the date of exit from the TAA program. Because the date of exit is retroactive to the last date of service, follow-up services may begin immediately following the last date of service if it is expected that the participant will not receive any future services other than follow-up services. Provision of follow-up services does not extend the date of exit.
- PIRL data element 901 (Date of Program Exit) is used to collect and report the date of exit. For exit-based performance measures, the quarter for collecting follow-up data is determined by the quarter in which the date of exit occurs. For example, if the date of exit is between January 1st and March 31st, the first quarter after exit would be April 1st through June 30th.

For TAA, the provision of TAA-funded benefits and services (in addition to TAA-approved training which may not be TAA funded) extends participant exit, whether or not the participant is employed. This includes TRA, as well A/RTAA (the latter of which is only available to those re-employed).

D. **Common Exit:** As stated in Section 7 of this TEGL, while the Department encourages states that implement common exit policies to include DOL-administered non-core programs as additionally within the scope of the state's common exit policy, the Department also recognizes that the decision of whether to retain or develop a common exit policy is ultimately left to the States, as well as which (if any) DOL-administered non-core programs to include within the scope of the policy. This is subject to the requirements for common exit stated in Section 7 of this TEGL. The

Department encourages states to implement policies that require common exit of TAA participant enrolled in WIOA core programs and the National Dislocated Worker Grant programs, in which case, a TAA participant would not exit until the last date of service from any of the programs that are included in the common exit policy.

**3. Self-Service and Information-Only Activities**

This does not apply to the TAA program.

**4. Period of Participation**

The TAA program adopts the definition of period of participation as stated in Section 9 of this TEGL.

**5. Workforce Integrated Performance System (WIPS) and How to Functionally Report**

TAA participants will be reported through WIPS starting with Q1 of FY 2018, which covers the period from October 1, 2017 - December 31, 2017. See TEN 8-16 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5317](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5317)).

**6. State Annual Report Narratives**

This does not apply to TAA programs.

**7. Eligible Training Provider (ETP) Performance Reporting**

This does not apply to TAA programs.

**8. Pay-for-Performance Reporting**

This does not apply to TAA programs.

**9. Quarterly Narrative Reports**

TAA requires a narrative report on a quarterly basis to be submitted to provide information on “Efforts to Improve Outcomes” as stipulated in Section 239(j) of TAARA 2015. This submission requirement, which is approved for collection under OMB No. 1205-0392, is designed to address program improvements performed on behalf of all TAA participants, and not on an individual basis. Efforts described may include those related to improving or increasing outreach, program information provided to workers, case management services, selection of training programs, co-enrollment, follow-up services, or any other efforts the state has made during the reporting quarter to improve outcomes. The narrative should describe the effort and why it is expected to result in improved outcomes.

ETA has incorporated this narrative requirement as part of the certification process for TAA reporting in WIPS, where TAA grantees are expected to include their narrative language in the “Additional Comments” field of their Quarterly Performance Report (QPR).

**10. Use of Social Security Numbers and Direct Wage Match for Performance Reporting**

In accordance with Section 15 of this guidance, States, as TAA Program grantees, are directed to request participants’ Social Security numbers (SSNs), and to report corresponding wages for the quarter required to the Department through the DOL-only PIRL. While states,

as TAA Program grantees, are required to request participant SSNs, participants cannot be denied training and employment and case management services, training, or job search and relocation allowances via the TAA Program due solely to choosing to not disclose an SSN.

Note: Nothing in this guidance modifies or rescinds any requirements for individuals receiving benefits under the Trade Act of 1974, as amended, to provide their SSNs as a condition of receiving unemployment compensation; income support such as the Trade Readjustment Allowance, the Reemployment Trade Adjustment Assistance, or Alternative Trade Adjustment Assistance wage supplements; or tax credits such as the Health Coverage Tax Credit.

#### **11. Supplemental Wage Information**

As described in Section 16 and Appendix VI of this TEGL, TAA grantees may collect and use supplemental wage information to calculate the exit-based primary indicators of performance (each of which has an employment-related component). Supplemental wage information is the only means for grantees to report exit-based outcomes for those participants who do not provide SSNs, and frequently the only means to report such outcomes for participants for whom wage record data is not predicted to be available. Additional details regarding circumstances for collecting supplemental wage information, and methods and procedures for doing so, are provided in Appendix VI of this TEGL.

### **III. Unique Features of TAA**

#### **Clarification of Definitions:**

The term “incumbent worker” as used in TEGL 10-16, Change 1 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3255](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255)), is distinct from “adversely affected incumbent workers” under the TAA program as defined in section 247(18) of the TAARA 2015.

The definition of “adversely affected incumbent workers,” for purposes of the TAA program is provided in 19 U.S.C. 2319(18) as follows:

The term “adversely affected incumbent worker” means a worker who-

- (A) is a member of a group of workers who have been certified as eligible to apply for adjustment assistance under subchapter A of title II of the Trade Act of 1974, as amended by TAARA 2015;
- (B) has not been totally or partially separated from adversely affected employment; and
- (C) the Secretary determines, on an individual basis, is threatened with total or partial separation.



## **Attachment 11: YouthBuild**

### **I. Introduction**

This appendix describes the program specific details of the performance accountability guidance for YouthBuild, as described in 20 CFR 688.400. Please note that the Department of Labor (Department or DOL) has made a concerted effort to align the performance accountability guidance of its various workforce programs. In particular, Workforce Innovation and Opportunity Act (WIOA) section 171(f) of the requires the Secretary to annually establish expected levels of performance for YouthBuild programs relating to each of the primary indicators of performance for eligible youth activities described in WIOA section 116(b)(2)(A)(ii). This attachment describes the convergence of YouthBuild's performance accountability measures with the WIOA measures, and highlights areas where YouthBuild differs from the shared DOL performance guidance described in the main body and appendices of this Training and Employment Guidance Letter (TEGL). Note that references in this attachment to section numbers of this guidance refer readers to the main body of the TEGL.

### **II. Differences from Shared Guidance**

#### **1. Primary Indicators of Performance.**

Under WIOA section 116(b)(2)(A), there are six primary indicators of performance, as described in Appendix I and in TEGL 10-16, Change 1 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3255](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255)). Where the adult indicators and youth indicators differ, YouthBuild will follow the WIOA title I Youth indicator. YouthBuild grantees will report all six performance measures as outlined with the following program-specific clarifications:

- A. **Youth Education and Employment Rate – 2nd Quarter After Exit**: The percentage of participants in education or training activities or in unsubsidized employment during the second quarter after exit.

YouthBuild applies this indicator as it is described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

- B. **Youth Education and Employment Rate – 4th Quarter After Exit**: The percentage of participants in education or training activities, or in unsubsidized employment during the fourth quarter after exit.

YouthBuild applies this indicator as it is described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

- C. **Median Earnings – 2nd Quarter After Exit**: The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.

YouthBuild applies this indicator as it is described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

- D. Credential Attainment:** The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.

As YouthBuild is a program in which all participants must receive both education and training, this means that all enrolled participants will automatically be counted in the denominator for this indicator. Otherwise, YouthBuild applies this indicator as it is described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

- E. Measurable Skill Gains:** The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment.

As YouthBuild is a program in which all participants must receive both education and training, this means that all enrolled participants will automatically be counted in the denominator for this indicator. Otherwise, YouthBuild applies this indicator as it is described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

- F. Effectiveness in Serving Employers:** The percentage of program participants who exit and are employed with the same employer in the second and fourth quarters after exit.

YouthBuild applies this indicator as it is described in Appendix I to this TEGL, with the operating parameters and methodology described therein.

**2. Categories of Enrollment: Reportable Individual, Participant and Date of Program Exit.**

- A. Reportable Individual:** This does not apply to YouthBuild programs.
- B. Participant:** An individual who has received at least one core YouthBuild service after satisfying all applicable programmatic requirements for the provision of services, such as eligibility determination.

- C. Exit:** The date of exit from the program is the last date of a core service. A core service is any qualifying, participant-level service besides a supportive service, which will not prevent exit, or a follow-up service, which occurs after exit. Specifically:
- The date of exit cannot be determined until 90 days have elapsed since the participant last received any core service; furthermore, there must be no planned future service entered in the case management system to provide the participant with future core services. At that point, the date of exit is applied retroactively to the last date of service.
  - For determining whether 90 days have elapsed since the participant last received core services, grantees shall not include receipt by the participant of any supportive services or follow-up services, as these services do not delay, postpone, or affect the date of exit. Because the date of exit is retroactive to the last date of service, follow-up services may begin immediately following the last date of service if it is expected that the participant will not receive any future services other than follow-up services. Provision of follow-up services does not extend the date of exit.
  - PIRL data element 901 (Date of Program Exit) is used to collect and report the date of exit. For exit-based performance measures, the quarter for collecting follow-up data is determined by the quarter in which the date of exit occurs. For example, if the date of exit is between January 1st and March 31st, the first quarter after the exit quarter would be April 1st through June 30th. WIOA allows for up to twelve months of follow-up services for YouthBuild participants which means that if a youth is exited in the middle of a quarter, they may only be reportable through the middle of the fourth reporting quarter (which begins at the start of the next quarter after the quarter in which exit occurs). Grantees are required to track the time participants are provided follow-up to ensure adherence to the law.

Exited participants may return to active status to receive additional core services. The case management system will have the ability to track multiple periods of participation or active services in order to ensure no participant is served for more than the legislatively mandated two years.

In alignment with WIOA, YouthBuild will no longer categorize exit as 'soft exit' or 'hard exit'. All YouthBuild participants exit in accordance with the definition of exit stated above. However, YouthBuild participants who exit for any of the reasons described in TEGL 10-16, Change 1, Attachment 2, Table B ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3255](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255)) are excluded from the performance calculations for the primary indicators of performance. At this point, this change is anticipated to take effect once a new case management reporting system is created and YouthBuild programs transition to full reporting on the six WIOA performance indicators for youth.

- D. Common Exit:** As stated in Section 7 of this TEGL, while the Department encourages states that implement common exit policies to include DOL-administered non-core

programs as additionally within the scope of the state's common exit policy, the Department also recognizes that the decision of whether to retain or develop a common exit policy, as well as which, if any, DOL-administered non-core programs to include within the scope of the policy, is ultimately left to the states, subject to the requirements for common exit stated in Section 7 of this TEGL. Grantees should be aware that co-enrollment without common exit may result in multiple exit dates, based on the individual programs' service end dates.

States are permitted to include YouthBuild programs within a common exit policy. Due to the longer-term nature of the YouthBuild program, combined with the separate and discretionary reporting process and statutory requirement that YouthBuild participants cannot be served for more than two years, common exit may be difficult to implement for including YouthBuild programs.

### **3. Self-Service and Information-Only Activities.**

This does not apply to YouthBuild programs.

### **4. Period of Participation and Reporting Unique Participants**

The YouthBuild program adopts the definition of period of participation as stated in Section 9 of this guidance.

#### **Reporting Unique Participants**

The YouthBuild program does not require a count of unique participants as described in Section 9 of this TEGL. Instead, the YouthBuild program only requires that grantees report on each participant's period of participation. When YouthBuild begins reporting on the Participant Individual Record Layout (PIRL) in WIPS, it will require a unique participant count, so the Department will be able to calculate that count on behalf of grantees using participant SSNs. The YouthBuild program anticipates that the majority of participants will each have only one period of participation; however, in certain instances, a participant who has exited the program may return to receive additional services (*e.g.*, additional educational and job training activities). In such instances, an individual might have multiple periods of participation, and multiple exit dates, during the grant period of performance.

### **5. WIPS and How to Functionally Report**

YouthBuild will report using the Workforce Integrated Performance System (WIPS) on the PIRL schema for YouthBuild once the functionality has been built into the case management system provided to YouthBuild grantees by the Department. A case management reporting system is being developed to support the WIOA performance reporting requirements for YouthBuild. Currently, YouthBuild programs are using the existing YouthBuild case management reporting system to provide WIOA performance outcomes for three of the six WIOA performance indicators (second quarter placement, fourth quarter placement, and credential attainment) through a WIOA supplemental report that will be attached with the standard Quarterly Performance Report (ETA-9136, OMB No: 1205-0464). Once the new

case management system is developed, YouthBuild grantees will use that system to generate and submit the required WIOA ETA 9173 Quarterly Performance Report information. This system will be accessed separately from WIPS, but reports generated will be submitted into and available for viewing through the WIPS platform.

**6. State Annual Report Narratives**

This does not apply to YouthBuild programs.

**7. Eligible Training Provider (ETP) Performance Reporting**

This does not apply to YouthBuild programs.

**8. Pay-for-Performance Reporting**

This does not apply to YouthBuild programs.

**9. Quarterly Narrative Reports for Discretionary Programs**

Youthbuild grantees are required to use the *Joint Quarterly Narrative Report Template* (ETA-9179) for quarterly performance narrative reporting. This form was approved for use by the Office of Management and Budget under OMB control no. 1205-0448. Additional instructions for completing this form and submitting it to the Department will be included in separate guidance.

**10. Use of Social Security Numbers and Direct Wage Match for Performance Reporting**

In accordance with Section 15 of this TEG, YouthBuild grantees are directed to request participants' Social Security numbers (SSNs) for UI wage record matching by the Department. However, while YouthBuild grantees are required to request participants' SSNs, participants cannot be denied services if they choose to not disclose an SSN.

The Department will facilitate the acquisition of aggregate quarterly employment and earnings results for YouthBuild program participants as described in Section 15 of this TEG, and provide those aggregate results to the relevant grantee. In particular, the Department will match wage records on behalf of grantees in order to capture exit-based outcomes (each of which has an employment-related component) for participants who have exited the program for the following indicators:

- A. Employment Rate – 2nd Quarter After Exit;
- B. Employment Rate – 4th Quarter After Exit;
- C. Median Earnings – 2nd Quarter After Exit;
- D. Credential Attainment (Secondary School Diploma or Recognized Equivalent); and
- F. Effectiveness in Serving Employers – Retention with the Same Employer in the 2<sup>nd</sup> and 4<sup>th</sup> Quarter.

The Department will calculate these specific exit-based outcomes on behalf of grantees, using SSNs provided for each YouthBuild participant as part of the information included in each grantee's WIOA case management system and reported through the WIPS quarterly participant-level data file submission.

### 11. Supplemental Wage Information

As described in Section 16 and Appendix VI of this TEGL, YouthBuild grantees may collect and use supplemental wage information to calculate the exit-based primary indicators of performance. Supplemental wage information is the only means for grantees to report exit-based outcomes for those participants who do not provide SSNs, and frequently the only means to report such outcomes for participants for whom wage record data is not predicted to be available. Additional details regarding circumstances for collecting supplemental wage information, and methods and procedures for doing so, is provided in Appendix VI of this TEGL.

### III. Unique Features of YouthBuild

Below is a table that provides additional useful information for YouthBuild grantees about how different YouthBuild services are to be reported through the DOL-only PIRL. It includes information about the PIRL data element numbers, associated codes, and clarification on whether the receipt of such services delays the date of exit or not.

Service Type	Applicable PIRL Data Element Number (s)	PIRL Data Element Code Value(s)	Does this service prevent exit?
Training Services	1300: Received Training	1 = Yes 0 = No	Yes
	1302: Date Entered Training #1	YYYYMMDD	Yes
	1309: Date Entered Training #2		
	1314: Date Entered Training #3		
	1303: Type of Training Service #1	01 = On the Job Training 02 = Skill Upgrading 03 = Entrepreneurial Training (non-WIOA Youth) 04 = ABE or ESL (contextualized or other) in conjunction with Training (non-TAA funded) 05 = Customized Training 06 = Other Occupational Skills Training 07 = Remedial Training (ABE/ESL –	Yes
1310: Type of Training Service #2			

Service Type	Applicable PIRL Data Element Number (s)	PIRL Data Element Code Value(s)	Does this service prevent exit?
	1315: Type of Training Service #3	TAA only) 08 = Prerequisite Training 09 = Registered Apprenticeship 10 = Youth Occupational Skills Training 11 = Other Non-Occupational-Skills Training 00 = No Training Service	
	1413: Most Recent Date Youth Received Entrepreneurial Skills Training	YYYYMMDD	Yes
	1306: Occupational Skills Training Code #1	00000000	Yes
	1311: Occupational Skills Training Code #2		
	1316: Occupational Skills Training Code #3		
	1307: Training Completed #1	1 = Yes 0 = No	Yes
	1312: Training Completed #2		
	1317: Training Completed #3		
	1319: Established Individual Training Account (ITA)		
	1308: Date Completed, or Withdrew from, Training #1	YYYYMMDD	Yes
	1313: Date Completed, or Withdrew from, Training #2		
	1318: Date Completed, or Withdrew from, Training #3		
Education Services	1332: Participated in Postsecondary Education During Program Participation	1 = Yes, Participated in Postsecondary Education 0 = No, Did Not Participate in Postsecondary Education	Yes
	1402: Most Recent Date Received Educational Achievement Services	YYYYMMDD	Yes
	1403: Most Recent Date Received Alternative Secondary School Services		
	1406: Date Enrolled in Post Exit Education or Training Program Leading to a Recognized Postsecondary Credential (WIOA)		
	1407: Most Recent Date Received		

<b>Service Type</b>	<b>Applicable PIRL Data Element Number (s)</b>	<b>PIRL Data Element Code Value(s)</b>	<b>Does this service prevent exit?</b>
	Education Offered Concurrently with Workforce Preparation		
	1415: Most Recent Date Youth Received Postsecondary Transition and Preparatory Activities		
	1320: Pell Grant Recipient	1 = Yes 0 = No	No
<b>Youth Workforce Services</b>	1405: Most Recent Date Received Work Experience Opportunities	YYYYMMDD	Yes
	1414: Most Recent Date Youth Received Services that Provide Labor Market Information and Employment Information		
<b>Youth Development Services</b>	1408: Most Recent Date Received Leadership Development Opportunities	YYYYMMDD	No
	1410: Most Recent Date Received Adult Mentoring Services		
	1411: Most Recent Date Received Comprehensive Guidance/ Counseling Services		
<b>Supportive Services</b>	1409: Most Recent Date Received Supportive Services	YYYYMMDD	No
	1500: Received Needs-Related Payments	1 = Yes 0 = No	No
<b>Follow-Up Services</b>	1412: Most Recent Date Received Youth Follow-up Services	YYYYMMDD	No