

Alabama Workforce Investment System

**Alabama Department of Economic and Community Affairs
Workforce Development Division
401 Adams Avenue
Post Office Box 5690
Montgomery, Alabama 36103-5690**

10/13/2000

GOVERNOR'S WORKFORCE DEVELOPMENT DIRECTIVE NO. PY2000-01, Change 2

SUBJECT: Training and Employment Guidance Letters (TEGLs)


1. Purpose. This transmits the following TEGLs:

<u>Number</u>	<u>Date</u>	<u>Subject</u>
5-00	9-18-00	Guidance on Integrating Services Under the Trade Readjustment Act Program-the Trade Adjustment Assistance (TAA) Program and the North American Free Trade Agreement-Transitional Adjustment Assistance (NAFTA-TAA) Program (Including the Secondary Worker program)-with the Workforce Investment Act (WIA)
6-00	9-21-00	Guidance on Obtaining Customer Satisfaction Results for Participants and Employers Receiving Services Under Title I of the Workforce Investment Act (WIA)

2. Background. These TEGLs relate to the integration of services under TAA/NAFTA-TAA and WIA and the Customer/Employer Satisfaction Surveys

3. Information. Please read and adhere to the attached TEGLs.

4. Contact. Any questions regarding these TEGLs should be addressed to Ray Clenney, Workforce Development Division, at (334) 242-5300.



Steve Walkley, Division Director
Workforce Development Division

U. S. Department of Labor Employment and Training Administration Washington, D.C. 20210	CLASSIFICATION TAA
	CORRESPONDENCE SYMBOL OAS
	DATE September 18, 2000

TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 5-00

TO : ALL STATE WORKFORCE LIAISONS
 ALL STATE EMPLOYMENT SECURITY AGENCIES
 ALL STATE WORKER ADJUSTMENT LIAISONS
 ALL ONE-STOP CAREER CENTER SYSTEM LEADS

FROM : LENITA JACOBS-SIMMONS 
 Deputy Assistant Secretary

SUBJECT : Guidance on Integrating Services Under the Trade Act Programs--the Trade Adjustment Assistance (TAA) Program and the North American Free Trade Agreement-Transitional Adjustment Assistance (NAFTA-TAA) Program (Including the Secondary Worker program)--with the Workforce Investment Act (WIA)

1. Purpose. To transmit guidance promoting the seamless integration and coordination of services provided under the Trade Act programs -- TAA program and the NAFTA-TAA program (including the Secondary Worker program) -- with the provisions of WIA of 1998.

2. References. Trade Act of 1974 (Pub. L. 93-618), as amended; 20 CFR Part 617; Trade Act of 1974 Section 239; WIA (Pub. L. 105-220); WIA Section 321; Statement of Administrative Action; Training and Employment Information Notice (TEIN) 1-00; 20 CFR Parts 661 and 662; Planning Guidance and Instructions for Submission of the Strategic Five-Year Plan for Title I of WIA and the Wagner-Peyser (W-P) Act, 64 Fed. Reg. 9402 (1999); WIA: Final Unified Planning Guidance (Developed by the Departments of Labor, Education, Health and Human Services, Agriculture, and Housing and Urban Development), 65 Fed. Reg. 2462 (2000); and 5 CFR 900.603.

3. Background. TEIN 1-00 stated that a Trade Act Taskforce had been established to review, analyze and make recommendations for improving services provided to trade-affected workers under the Trade Act programs. This communication transmits the vision of the Taskforce regarding the integration of services provided under the Trade Act programs into the One-Stop service delivery system.

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4. Integration of the Trade Act Programs with the Workforce Investment Act. As a required partner in the One-Stop service delivery system under WIA, the Trade Act programs are required to be accessible through One-Stop centers. Section 321 of WIA amends Section 239 of the Trade Act of 1974 by adding a new subsection (g) which indicates that “in order to promote the coordination of workforce investment activities in each State with activities carried out under this chapter, any agreement entered into under this section shall provide that the State shall submit to the Secretary, in such form as the Secretary may require, the description and information described in paragraphs (8) [procedures to assure coordination of and avoid duplication of workforce investment activities and One-Stop partner program activities] and (14) [strategy for assisting local areas in development and implementation of fully operational one-stop delivery systems] of section 112(b) of the Workforce Investment Act of 1998.” The challenge, thus, is to coordinate the delivery of the Trade Act programs’ benefits and services with other WIA programs and partners to improve services and enhance outcomes for all customers.

Attachment A contains an initial discussion of this vision of integration. Attachment A also discusses the forthcoming additional guidance that will be provided on this issue (which will be more comprehensive and detailed) as well as the methodology that will be used to develop and disseminate these future guidance pieces.

Attachment B is a matrix that delineates which funding sources may be used to provide various Trade Act programs’ benefits and services. The matrix is provided to help State and local officials begin thinking about how these services can be integrated with similar services in their One-Stop centers.

Attachment C demonstrates how the Quality Rapid Response Principles may be adapted for the Trade Act programs.

5. Action. State and local officials are urged to consider this information while designing and developing their workforce investment systems and to encourage the seamless integration and coordination of the Trade Act programs and their services in the One-Stop delivery system created by WIA.

6. Inquiries. Questions should be directed to the appropriate ETA Regional Office.

7. Attachments.

A. Integration of the Trade Act Programs with the Workforce Investment Act.

B. Funding Source Matrix for the Trade Act Programs’ Benefits and Services Activities

C. Quality Rapid Response Principles Adapted for the Trade Act Programs

INTEGRATION OF THE TRADE ACT PROGRAMS WITH THE WORKFORCE INVESTMENT ACT

WIA represents the first major reform of the nation's employment and training system in over fifteen years. The enactment of WIA provides an opportunity for significant improvements in the workforce development system that is resulting in a comprehensive, integrated One-Stop service delivery system unifying the delivery of numerous employment and training programs into a single, customer-friendly system.

In response to the implementation of WIA, along with an overall desire to improve the operation and outcomes of the Trade Act programs, the Office of Adult Services, Division of Trade Adjustment Assistance, established a Trade Act Taskforce. The Taskforce is composed of Federal, State, and local representatives from across the country who are responsible for the Trade Act Programs, as well as other One-Stop partner programs. It is charged with reviewing, analyzing, and making recommendations to the Employment and Training Administration (ETA) for improving services provided to trade-affected workers under all of the Trade Act programs (TAA and NAFTA-TAA, including the Secondary Worker program).

ETA places a high priority on providing guidance to the system on how the Trade Act programs should be effectively integrated into the One-Stop service delivery system under WIA. The Taskforce decided that the most effective way to provide this information was to begin furnishing materials that State and local officials and practitioners should consider while developing their workforce investment systems. More comprehensive and detailed guidance addressing specific integration issues will be provided in the near future.

Vision: Integrating the Trade Act Programs into One-Stops

The implementation of WIA provides an ideal opportunity to strengthen the linkages between the Trade Act programs, the adult and dislocated worker programs funded under WIA, and the employment services authorized by the W-P Act. Congress made significant changes to the W-P Act regarding the delivery of labor exchange services through the One-Stop service delivery system. Congress also emphasized integration of the Trade Act programs by amending the Trade Act to include a provision (WIA Section 321) on coordination with the WIA programs and other partner programs, as well as mandating that Trade Act programs be partners in the One-Stop service delivery system.

All too often, the Trade Act and JTPA-Title III/WIA-Title I dislocated worker programs have been viewed as distinct, unrelated programs when they are, in fact, very similar. Trade-affected workers are--by definition--dislocated workers. Complete integration of the services that all dislocated workers receive is an essential element of the seamless service delivery system that is envisioned under WIA. A review of best practices has shown that this

integration improves services, maximizes the efficient allocation of available resources, and enhances outcomes for all customers.

Most of the reemployment services that are provided to trade-affected workers under the Trade Act programs also fall within the WIA sequence of services (core, intensive, and training). These services, available to all eligible dislocated workers, include assessment, counseling, development of an employability plan or individual service strategy, and case management. These services should be the same for both Trade Act programs' participants and other dislocated workers being served through WIA and the W-P Act programs. The Trade Act programs provide resources that trade-affected workers may access to receive training and/or job search and relocation allowances, in addition to reemployment services provided by WIA and W-P Act programs, to expedite their return to suitable employment. Attachment B identifies these services as core, intensive, and training, and also identifies the funding sources that may be used to pay for the provision of these services.

WIA also requires that adults and dislocated workers--including those affected by trade--are to receive services through a One-Stop service delivery system, and that all individuals must have universal access to informational and core services. Since trade-affected workers meet the WIA definition of dislocated workers, these individuals may be receiving services through the WIA Title I dislocated worker program or other partner programs prior to their certification of eligibility to apply for benefits and services under the Trade Act programs.

Sharing information and educating One-Stop partners about the advantages of fully integrating the Trade Act programs and their services and resources into the State and local One-Stop system will enhance the partnerships envisioned in WIA. The Trade Act programs can contribute valuable training resources, as well as subsistence resources (per diem, travel payments, trade readjustment allowances (TRA)), that will enhance the provision of services to all One-Stop customers by freeing up WIA and other partner program resources for other participants. Having Trade Act programs work more closely with One-Stop partners will improve the efficiency and effectiveness of all One-Stop partner programs.

Extensive integration of all partner programs in the One-Stop center is desirable, and staff located in the One-Stop center should, first and foremost, consider themselves employees of the One-Stop, consistent with Federal laws. Certain program benefits and services of some One-Stop partner programs, including some elements of the Trade Act programs, are, among other Federal and State requirements, required to be conducted by staff hired under State merit-based personnel standards. States and local areas are encouraged to allow flexibility in the service delivery system for the Trade Act programs in the One-Stop, while also ensuring that the programs' merit staffing requirements are met. One-Stop operators have the option to determine what funding sources they will use to conduct Trade Act program benefits and services activities. However, it is important to highlight that some of the Trade Act program benefits and services funded under the Trade Act, Title III of the Social Security Act (which funds the administration of Unemployment Insurance (UI) programs), and the W-P Act must be provided by State merit-staffed employees.

Next Steps

Over the next several months, ETA will develop and disseminate additional guidance that will assist State and local staff in fully integrating the Trade Act programs into the One-Stop system. ETA intends to share: best practices for designing effective service models for Trade Act program participants; guidance for developing agreements (Memoranda of Understanding) with Local Boards and One-Stop partners; guidance on training and capacity building for the One-Stop system; ideas for improving communication among Federal, State, and local partners; ways of assessing program effectiveness; and guidance on using other resources effectively--including WIA National Emergency Grants--to supplement the limited resources available under the Trade Act programs.

Methodology

In developing such guidance, the Taskforce will focus on several key principles that will guide its work, including:

- recognizing that early intervention is critical to a dislocated worker's successful adjustment;
- allowing as much flexibility as possible for State and local areas to build a workforce investment system that meets the needs of their clients;
- promoting a seamless one-stop service delivery system that is customer friendly;
- eliminating duplication of assessments and other services amongst One-Stop partners; and
- advocating a no-wrong door approach--the worker receives the services required to return to work, no matter where the individual enters the system.

In addition to these principles, the ten quality principles developed by the National Rapid Response Workgroup (now the Dislocated Worker/Rapid Response Workgroup) have a direct relationship to the Trade Act programs and will be considered and incorporated--when appropriate--into guidance and policy recommendations developed by the Taskforce. Attachment B contains a discussion of the ten quality rapid response principles and their relationship to the Trade Act programs.

The Taskforce will also develop a communication strategy for disseminating guidance and policies to State and local areas through technical assistance, training opportunities, conferences, and USDOL directives. State and local areas are strongly encouraged to use these products as they develop strategies for effectively integrating the Trade Act programs and their clients into the One-Stop service delivery system.

Funding Source Matrix for the Trade Act Programs' Benefits and Services Activities

			Appropriate Funding Sources to Cover Benefits and Services Activities for Trade-Affected Workers ¹						
	Benefits and Services Activities	Comments	TAA Admin	TAA Program	UI/TRA Admin ₂	TRA Benefits	W-P	WIA Title I	Other
C O R E	Notification of Certification	Individual letter to affected workers			X				
	Outreach (newspaper notices)	Legal notice/public notice			X				
	Initial Intake	Initial visit and/or registration with the One-Stop (O-S)					X	X	
	Individual Eligibility Determination for TAA/NAFTA-TAA and Appeals	Decision on eligibility for Trade Act program benefits and services other than training			X		X		
	Determination of Eligibility for UI/TRA and Appeals	Monetary decision on eligibility for UI and TRA			X				
	Assessment	All activities to determine customer need					X	X	
	Career Counseling						X	X	
	Job Development/Placement						X	X	
	Employment Registration	Registration for labor exchange					X	X	

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			Appropriate Funding Sources to Cover Benefits and Services Activities for Trade-Affected Workers ¹						
	Benefits and Services Activities	Comments	TAA Admin	TAA Program	UI/TRA Admin ₂	TRA Benefits	W-P	WIA Title I	Other
	Staff Assisted Job Search	Job search workshop, job finding clubs					X	X	
	Employment Statistics Information	Local labor market information					X	X	
I N T E N S I V E	Testing	Any test deemed acceptable by partners of the O-S, i.e., any suitable aptitude, interest, or academic test					X	X	
	Development of Reemployment Plan	Any individual service strategy adopted by the O-S	X				X	X	
	TAA Job Search Allowance Application	Taking the application for a job search allowance	X				X	X	
	TAA Job Search Allowance Determination and Appeals	The actual approval/denial of the job search application	X				X		
	TAA Job Search Allowances			X				X	
	Relocation Allowance Application	Taking the application for a relocation allowance	X				X	X	
	Relocation Allowance Determination and Appeals	The actual approval/denial of the relocation application	X				X		
	Relocation Allowances			X				X	
	Case Management ³		X				X	X	
Recommendation on Training Waiver Actions		X				X	X		

			Appropriate Funding Sources to Cover Benefits and Services Activities for Trade-Affected Workers ¹						
	Benefits and Services Activities	Comments	TAA Admin	TAA Program	UI/TRA Admin ₂	TRA Benefits	W-P	WIA Title I	Other
	Issuing, Approving, Reviewing and Revoking Training Waivers		X				X		
T R A D E A C T I N G	Development of Training Plans/Contracts	Including application for transportation and subsistence	X				X	X	
	Training Program (including Transportation and Subsistence)			X				X	
	Approval/Denial of Training Program and Appeals		X				X		
	Transportation to Training Determination and Appeals		X				X		
	Subsistence while in Training Determination and Appeals		X				X		
	Trade Readjustment Allowances	Income Support while in Training				X			
	Overall Administration of Training and Allowances		X		X				

Disclaimer: This matrix provides a quick overview of the activities related to providing the Trade Act programs' benefits and services and may not be all inclusive. It also denotes which fund sources may be used to provide these benefits and services. One-Stop operators have the option to

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determine what funding source they will use to conduct such activities. **Note:** All benefits and services activities funded by UI, TAA, TRA, and W-P Act must be merit staffed to the extent required by 5 CFR 900.603 and 20 CFR 652.215.

¹ Some of these fund sources may not be available in your State or local area. Conversely, other funding sources not specified here may be available, so an “other” column is provided to allow for the listing of any other sources that may be available in your particular State or local area.

² UI administration is also known as base and contingency funds provided to the States from the State Unemployment Insurance and Employment Security Operations (SUIESO) account.

³ Case Management - under the TAA program case management has usually meant “follow-up.” Best practices have shown that active case management, such as the client-centered approach defined in the WIA, provides improved outcomes for program participants.

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QUALITY RAPID RESPONSE PROGRAM PRINCIPLES ADAPTED FOR THE TRADE ACT PROGRAMS

One of the early products of the National Rapid Response Workgroup was a set of 10 quality principles that have a direct linkage and application to the Trade Act programs (Trade Adjustment Assistance and NAFTA-Transitional Adjustment Assistance, including Secondary Workers).

SOONER VERSUS LATER

Linking Rapid Response with the Trade Act programs has proven successful in delivering timely benefits and services to trade-affected workers. Rapid Response teams gather a variety of information from the employer, including the cause of the layoff. In those instances where increased imports from any country or a shift in production to Canada or Mexico appear to be the cause of the layoff, employers and workers are encouraged and assisted by Rapid Response staff in filing a TAA and/or NAFTA-TAA petition(s). Filing the petition(s) at this point improves the possibility that the petitions may be approved by the time of the layoff and provides another source of reemployment assistance that will be available to the workers when the layoff occurs.

Rapid Response teams should ideally include a Trade Act representative or ensure that Rapid Response staff are thoroughly familiar with the Trade Act programs and the petitioning process.

Rapid Response teams should also gather information from the employer regarding their suppliers and assemblers of products. This would assist in the early identification and certification of these firms and their workers as secondarily-affected.

AVERSION BETTER THAN LAYOFF

The establishment of an early-warning system in the State will improve opportunities for averting layoffs. Early warning can be achieved through increased collaboration and information exchange among agencies and organizations involved in community, economic and workforce development. Sharing information about companies experiencing difficulties may lead to opportunities to save jobs through retraining or skill upgrading.

CUSTOMER CHOICE

A major objective of the Workforce Investment Act and the one-stop service delivery system is to increase the choices available to customers. Utilizing the local/State list of approved Workforce Investment Act training providers should expand the retraining options available to trade-affected workers and bring consistency to the process of referring customers to quality training providers. Utilizing training vendors on the approved list should also improve the Trade Act programs' performance outcomes and customer satisfaction.

LEVERAGE RESOURCES

Early intervention and a timely certification of TAA and/or NAFTA-TAA petitions provide an additional resource to One-Stop operators to design individual service strategies for trade-affected workers that may include job search and relocation allowance, training, and income support in addition to the mix of core and

intensive services provided to all dislocated workers in a One-Stop center. Through cooperative arrangements with One-Stop partners, as well as with company and union officials, community-based organizations, and agencies with Federal, State, and local funding, a more effective and efficient use of available resources is possible.

SEAMLESS DELIVERY

Fully integrating the Trade Act programs into the One-Stop service delivery system ensures that trade-affected workers have access to the same comprehensive services as all dislocated workers. Providing services to trade-affected workers through One-Stop outreach, intake, and assessment processes should ensure a seamless delivery of services where the various programs are invisible to the customer and opportunities for increased performance outcomes are maximized.

ON-SITE BETTER THAN OFF-SITE

The establishment of on-site centers where dislocated workers can easily access a full range of services can increase participation and improve outcomes. On-site centers provide more and earlier opportunities for workers, including trade-affected workers, to access both pre- and post-layoff services.

ACTIVE PROMOTION

Active promotion means having a strategy for making employers, workers and others aware that reemployment assistance and services are available through the One-Stop service delivery system. A comprehensive approach that includes the Trade Act programs is necessary to ensure that employers, workers, and others (organized labor, community groups, etc.) involved in dislocation events are aware and take full advantage of the wide range of reemployment services and assistance available to all dislocated workers. Active promotion and marketing of One-Stop services and activities, including the Trade Act programs, will enhance the opportunities for positive outcomes in all areas.

SUCCESS IS MEASURABLE

Measurable goals established at the Federal level, as well as by State and local Workforce Investment Boards, will provide valuable feedback to program staff. Fully integrating the Trade Act programs into the One-Stop system will provide an opportunity to receive valuable input from all customers that can be used to implement continuous improvement activities. Increasing customer service and satisfaction of trade-affected workers should be a primary goal of the One-Stop service delivery system.

CONSISTENT AND ACCURATE INFORMATION

The provision of uniform and factual information about the Trade Act programs' services and activities to employers, workers, and others is necessary to enhance performance outcomes and continuous improvement efforts. This can be achieved by providing training to Rapid Response teams, local Workforce Investment Board members, and providers, and by incorporating complete, easily understood, and user-friendly information about the Trade Act programs into Rapid Response presentations.

PARTNERSHIPS

Enhancing partnerships is a key element of the Workforce Investment Act and critical to the success of the One-Stop service delivery system. Increased collaboration, cooperation, and coordination with all partners within the One-Stop service delivery system will improve outcomes throughout the system.

<p style="text-align: center;">U. S. Department of Labor Employment and Training Administration Washington, D.C. 20210</p>	CLASSIFICATION WIA/Performance Accountability
	CORRESPONDENCE SYMBOL OWS
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TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 6-00

TO: ALL STATE WORKFORCE LIAISONS
ALL STATE EMPLOYMENT SECURITY AGENCIES
ALL STATE WORKER ADJUSTMENT LIAISONS
ALL ONE-STOP CAREER CENTER SYSTEM LEADS



FROM: LENITA JACOBS-SIMMONS
Deputy Assistant Secretary

SUBJECT: Guidance on Obtaining Customer Satisfaction Results for
Participants and Employers Receiving Services Under Title
I of the Workforce Investment Act (WIA)

1. Purpose. This guidance letter outlines: 1) the parameters States are to use in conducting State level customer satisfaction surveys, 2) the formula weights to be used in computing performance for the State American Customer Satisfaction Index (ACSI) scores for participants and employers, and 3) the parameters States are to use in capturing customer satisfaction outcomes at the local level for local performance accountability purposes.

2. References. The Workforce Investment Act of 1998, section 136; 20 CFR part 666; Training and Employment Guidance Letter (TEGL) No. 7-99, March 3, 2000; Federal Register issuance on proposed reporting requirements, 65 Federal Register, pages 17537 through 17540 (Apr. 3, 2000).

3. Background. Section 136 of WIA specifies core indicators of performance and their application to workforce investment activities in adult, dislocated worker, and youth programs. Four core measures apply separately to the adult, dislocated worker and older youth participants, three measures apply to younger youth, and two measures of customer satisfaction apply across the three funding streams.

On March 3, 2000, the Department issued in TEGL 7-99 policies on core and customer satisfaction performance measures under Title I of WIA. The Department also published in the April 3, 2000, Federal Register a request for comments on proposed reporting requirements on WIA participation and outcomes. Both issuances outlined the core

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customer satisfaction questions, survey approach, and scoring methodology for States to use in deriving statewide customer satisfaction outcomes. Since the release of the issuances, the Department has received several inquiries about conducting and reporting the outcomes of customer satisfaction surveys for the State measures as well as requirements for assessing local Workforce Investment Board (WIB) performance. This guidance letter summarizes the parameters States are to use in conducting customer satisfaction surveys at the State level, specifies the weights States are to use in calculating performance, and outlines the parameters States are to use in conducting surveys and reporting results for local WIBs.

The parameters outlined in this guidance letter represent minimal requirements for States to follow to ensure the survey results are representative of the populations surveyed. States have maximum flexibility in the design and implementation of customer satisfaction measurement approaches that will capture outcomes for local WIBs. Each State is responsible for ensuring compliance with the guidance outlined in this issuance when designing and implementing these approaches.

Formal instructions for reporting customer satisfaction outcomes to the Department will be released as part of the overall WIA performance accountability reporting system.

4. Populations for the Surveys. Each State is responsible for obtaining customer satisfaction outcomes for registered participants who exit the program and for employers who received substantial services through One-Stop operations. The universe of participants and the universe of employers for the State level customer satisfaction surveys and for the customer satisfaction surveys used to assess local WIB program performance are described below.

- A. **Participant Universe.** WIA Title I-B participants who are exiters as defined in the core measures detailed in TEGL 7-99, who are either Adults, Dislocated Workers, Youth 19-21, or Youth 14-18 will be surveyed. All individuals from all funding streams in an exit cohort are eligible for the survey.
- B. **Employer Universe.** Those employers eligible to be surveyed include those who have received service where the service has been completed or, if it is an ongoing service, when a full segment of service has been provided (e.g., after listing an open job order, the employer has received some referrals or if no service, 30 days have elapsed after the initial request). All employers who have received a substantial service involving personal contact with One-Stop staff are eligible to be chosen for

inclusion in the survey, excluding those employers who request a brochure or standard mailing, ask a question that is answered with little expenditure of staff time, or use electronic self-services. Examples of services include staff facilitated job orders, customized job training, customized labor market information requests, and on-the-job training activities.

In some instances, an employer may receive multiple services and have multiple contacts listed for the employer. In this situation, the employer contact receiving the greatest amount of service should be surveyed about the employer's satisfaction. An employer should only be surveyed once during the course of the program year.

States should build the capacity to track WIA Title I services received by employers into their information and reporting systems policies. This information should include accurate contact data needed to initiate the survey.

5. Parameters for Conducting Surveys to Obtain State Level

Results. As stated in TEGL 7-99, the Department has secured rights to use the ACSI to capture and report statewide customer satisfaction results for each State. Each State is responsible for sampling, administering the surveys, and reporting results to the Department. States may enter into contracts with vendors to provide the actual sampling and interviewing services.

The ACSI was developed by the National Quality Research Center at the University of Michigan Business School. ACSI is co-sponsored by the American Society for Quality, Claes Fornell International (CFI) Group, and the University of Michigan Business School. The index was developed to provide useful information on quality to complement present measures of the U.S. economy.

To ensure ACSI results for individuals are collected in a consistent and uniform manner, procedures used by States to obtain participant and employer customer satisfaction information must satisfy the following criteria:

- A. As stated in TEGL 7-99, participant and employer customer satisfaction responses must be collected by telephone interviews. In-person interviews and mail questionnaires may be used only in situations where the individual does not have a telephone or where the person has a hearing impairment. Accommodations should be made to administer surveys and collect results from individuals who are not proficient in English.

- B. Participants should be contacted as soon as possible after the date of exit and no later than 60 days after the date

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of an exit. For registered individuals who exit the program due to non-participation in services for 90 days, these individuals should be contacted no later than 60 days after the 90 days have elapsed since the last date of service.

Employers should be contacted as soon as possible after the completion of the service and no later than 60 days after the completion of the service. For employers who listed a job order where no referrals were made, contact should occur 30 to 60 days after a job order was listed.

- C. Interview questions must include the core questions outlined by the Department in TEGE 7-99 for participants and employers. The core questions are reprinted in item J in this section. Responses to these questions will be used by the State to calculate the ASCI, a proprietary product secured under contract by the Department to measure satisfaction at the State level. Respondents should be told that responding to the survey is voluntary and that the information they provide will be kept confidential. States may include other questions in the participant and employer surveys.
- D. States must complete a minimum of 500 participant surveys and 500 employer surveys during the program year to accurately assess performance on the ACSI.
- E. States must randomly sample both participants and employers to obtain the desired number of completed surveys. States with less than 1,000 individuals eligible for a survey during the year must attempt to reach each potential participant or employer respondent.
- F. The response rates for both participant and employer surveys must be a minimum of 50 percent.

The response rate is calculated as the number of respondents with complete customer satisfaction information divided by the total number selected for the sample. A survey is considered complete when valid answers are provided by respondents for each of the core questions outlined by the Department.

- G. Attempts should be made to contact all exiters and employers in the samples.
- H. The sampling methodology used to select potential respondents for the surveys must ensure the consistent random selection of a sample of individuals or employers

eligible for the surveys. With this in mind, no eligible participant or employer may be arbitrarily excluded from a sample.

It is very important that all records for eligible participants and employers be entered in a timely fashion into the databases. The information in these databases will be used to develop lists of participants and employers who received services that are the subject of the surveys. Both participant and employer samples must be drawn on at least a monthly basis. Also, procedures used to draw a sample must conform to accepted statistical practices, such as using a table of random numbers.

- I. Every precaution should be taken to prevent a response bias.
- J. States must use the minimum core customer satisfaction questions specified by the Department to collect and report satisfaction outcomes. These mandatory items should be located at the beginning of the questionnaire. States may include other questions about the service experience.

The introductory statements and questions are listed below for both participants and employers. Please note the introductory statements are examples that can be modified to meet the needs of the State and use the names of program services that are recognizable by respondents.

Participant Questions

[Introductory Statement]

My name is _____ with XXXXX and I am conducting a survey for the XXXX XXXXX. I would like to speak to Ms./Mr._____.

Are you the Ms./Mr. _____ who was looking for a job a few months ago?

I would like to ask you some questions about your recent experience looking for a job. Our purpose is to learn from you how to improve programs and services offered to people in XXX. The survey should take about XX minutes to complete. First I am going to read a list of services you may have received. Indicate as I read them those you recall receiving during the period in which you were seeking employment and/or training at the XX center.

- A thorough assessment of your needs
- Assistance about finding a job

- Assistance to develop an individual employment plan
- Assistance to decide about the best training to take
- Assistance from someone to support you during your job search or training
- Did you receive any training?
- Occupational training
- Training to give you general skills for the workplace
- Training in English or math

Did you get any other help or services that I have not mentioned? (specify)

[Questions]

- 1) Utilizing a scale of 1 to 10 where "1" means "Very Dissatisfied" and "10" means "Very Satisfied" what is your overall satisfaction with the services provided from _____?

Very Dissatisfied									Very Satisfied	DK ¹	REF ²
1	2	3	4	5	6	7	8	9	10	11	12

- 2) Considering all of the expectations you may have had about the services, to what extent have the services met your expectations? "1" now means "Falls Short of Your Expectations" and "10" means "Exceeds Your Expectations."

Falls Short of Expectations									Exceeds Expectations	DK	REF
1	2	3	4	5	6	7	8	9	10	11	12

- 3) Now think of the ideal program for people in your circumstances. How well do you think the services you received compare with the ideal set of services? "1" now means "Not very close to the Ideal" and "10" means "Very Close to the Ideal."

Not Close To Ideal									Very Close To Ideal	DK	REF
1	2	3	4	5	6	7	8	9	10	11	12

¹ DK = Don't Know

² REF = Refused to Answer

Employer Questions

[Introductory Statement]

My name is _____ with XXXXX and I am conducting a survey for the XXXX XXXXX. I would like to speak to Ms./Mr._____.

Are you the Ms./Mr. _____ who (describe the service).

I would like to ask you some questions about your recent experience with _____. Our purpose is to learn from you how to improve programs and services offered to employers. The survey should take about XX minutes to complete.

[Questions]

- 1) Utilizing a scale of 1 to 10 where "1" means "Very Dissatisfied" and "10" means "Very Satisfied" what is your overall satisfaction with the service(s) provided from _____?

Very Dissatisfied					Very Satisfied					DK	REF
1	2	3	4	5	6	7	8	9	10	11	12

- 2) Considering all of the expectations you may have had about the services, to what extent have the service(s) met your expectations? "1" now means "Falls Short of Your Expectations" and "10" means "Exceeds Your Expectations."

Falls Short of Expectations					Exceeds Expectations					DK	REF
1	2	3	4	5	6	7	8	9	10	11	12

- 3) Now think of the ideal service(s) for people in your circumstances. How well do you think the service(s) you received compare with the ideal service(s)? "1" now means "Not Very Close to Ideal" and "10" now means "Very Close to the Ideal."

Not Close To Ideal					Very Close To Ideal					DK	REF
1	2	3	4	5	6	7	8	9	10	11	12

K. Calculating the ACSI.

The ACSI scores reported for a State represent the weighted sum of the three ACSI question values which are transformed into 0 to 100 scale value. The weights are applied to each of the three questions to account for differences in the characteristics of the State's customer groups.

For example, assume the mean values of three ACSI questions for Michigan are:

1. Overall Satisfaction = 8.3
2. Met Expectations = 7.9
3. Compared to Ideal = 7.0

Then, these mean values from raw data must first be transformed to the value on a 0 to 100 scale. This is done by subtracting 1 from these mean values, dividing the results by 9 which is the value of range of a 1 to 10 raw data scale, and multiplying the whole by 100:

1. Overall Satisfaction = $(8.3 - 1)/9 \times 100 = 81.1$
2. Met Expectations = $(7.9 - 1)/9 \times 100 = 76.7$
3. Compared to Ideal = $(7.0 - 1)/9 \times 100 = 66.7$

The ACSI score of Michigan is calculated as the weighted averages of these values. Assuming the weights for Michigan are 0.3804, 0.3247 and 0.2949 for questions 1, 2 and 3, respectively, the ACSI score for Michigan would be calculated as follows:

$$(0.3804 \times 81.1) + (0.3247 \times 76.7) + (0.2949 \times 66.7) = \mathbf{75.4}$$

Weights were calculated by a statistical algorithm to minimize measurement error or random survey noise that exists in all survey data. State-specific weights were calculated using the relative distribution of ACSI respondent data for non-regulatory Federal agencies previously collected and analyzed by CFI and the University of Michigan.

Specific weighting factors have been developed for each State for PY 2000 and are included in Attachment 1. New weighting factors will be published annually. Please refer to Attachment 1 for a listing of the weights to be used by each State in computing and reporting performance on the ACSI for employers and participants.

6. Parameters for Assessing Local WIB Program Performance on the

Customer Satisfaction Measures. Section 136(c) of the WIA requires the core performance measures and indicators of customer satisfaction be applied to local WIBs within each State. As discussed above, we require the use of the ACSI methodology to measure satisfaction with services at the State level to satisfy the need to have a consistent and uniform approach for assessing and comparing State performance. States have two options for capturing customer satisfaction results for local WIBs:

- A. States may use the ACSI questions and approach to measure satisfaction at the local level if individual license agreements are purchased from CFI by the State and the ACSI questions and measurement approach are uniformly administered throughout the State. States using the ACSI methodology to measure local WIB performance are not required to conduct separate statewide customer satisfaction surveys to obtain State level results as long as:
 - C the surveys are administered by telephone,
 - C respondents are contacted within the window of opportunity outlined in item B of section 5,
 - C at least 500 surveys are completed statewide for each group -- participants and employers,
 - C the surveys comply with the guidelines spelled out in this section, and
 - C the local WIB results can be weighted to account for sampling differences, if appropriate, and aggregated to obtain state level outcomes.

States following this guidance may aggregate local outcomes to obtain State level outcomes on the customer satisfaction measures. These aggregated results should be reported on the quarterly and annual reports.

- B. States may also develop their own customer satisfaction measurement instruments and methodology to be used by all local WIBs. States may use existing customer satisfaction instruments and methodologies as long as they follow the parameters discussed later in this section.

In either case, the approaches used by States to capture customer satisfaction information for local WIBs within each State must be applied uniformly and consistently to all WIBs in a State. The procedures for measuring and reporting customer satisfaction results for two or more local WIBs within a State should conform to the parameters described in this section. Single WIB States should use the parameters outlined in section 5 for conducting customer satisfaction surveys.

Purchasing Licenses from the University of Michigan Business School

States wishing to use the ACSI core questions, scoring and the interpretation of results for their local WIBs must purchase a separate license for each WIB at an annual fee of \$1,000 per WIB. States interested in purchasing one or more licenses from the University of Michigan Business School should contact Ms. Sally Petersen, CFI Group Director of Marketing, at (734) 930-9090 or e-mail her at SPETERSEN@MAIL.CFIGROUP.COM.

Purchasing the license(s) permits the State to designate the local WIB outcomes as ACSI results and calculate the results using weights from the University of Michigan Business School. States will also receive guidelines for using the ACSI.

Please note the three core questions used to compute the ACSI are in the public domain and may be used without paying an additional license fee. However, the ACSI name, weights, formula and comparisons with other ACSI customers are proprietary and, therefore, are not in the public domain. ACSI is a recognized standard in measuring satisfaction and the data collected using the three questions cannot be referred to as "ACSI" data or even be considered comparable to the ACSI without a license from the University of Michigan Business School.

Parameters for Collecting Customer Satisfaction Information to Measure Local WIB Performance

As mentioned earlier, States may purchase and use the ACSI methodology to measure local WIB performance or they may develop their own customer satisfaction measurement instruments and methodology to be used by all WIBs. To ensure customer satisfaction results for individuals are collected in a consistent and uniform manner throughout the State, procedures used to obtain participant and employer customer satisfaction information on local WIBs should satisfy the following criteria:

A. Procedures should:

- Measure customer satisfaction of employers and participants with services received from the local workforce investment program under Title I-B (Sec. 136(b)(2)(B)),
- Ensure the satisfaction of employers and participants with services can be reported in an objective, quantifiable and measurable way (Sec. 136(b)(3)(i)(I)),
- Be consistently applied among all local WIBs,

C Be collected in a uniform and equitable manner for each WIB throughout the State,

- C Conform with widely accepted methodological and statistical criteria for measuring customer satisfaction.
- B. The customer satisfaction data collected should be of public use quality. Sufficient safeguards should be used to ensure the integrity of the data.
- C. The core question(s) and survey approach (e.g., in-person, telephone or mail) used by States to collect customer satisfaction information at the local level must be uniformly applied throughout the State. A core question is one that requires a valid response to calculate customer satisfaction.

If the State uses the ACSI approach for each local WIB and wants to use these results to derive State level outcomes, the customer satisfaction information for each WIB must be collected by telephone interviews to be consistent with the guidelines detailed in section 5, Parameters for Conducting Surveys to Obtain State Level Results. In-person interviews and mail questionnaires may be used only in situations where the individual does not have a telephone. The ACSI core questions outlined in item J of section 5 must also be used in the surveys.

- D. Participants and employers should be contacted and respond as soon as possible after the receipt of the service(s).

If the State is using the ACSI approach to gather results for each local WIB and wants to use these results to derive State level outcomes, the following timeframes should be observed to be consistent with the provisions outlined in section 5:

- C Participants should be contacted as soon as possible after the date of exit and no later than 60 days after the date of an exit. For registered persons who exit the program due to non-participation in services for 90 days, these individuals should be contacted no later than 60 days after the 90 days have elapsed since the last date of service.
- C Employers should be contacted as soon as possible after the completion of the service and no later than 60 days after the completion of the service. For employers who listed a job order where no referrals were made, contact should occur 30 to 60 days after a job order was listed.
- E. Both of the questionnaires for participants and employers must include one or more core questions used to determine overall satisfaction with services. Respondents should be

told that responding to the survey is voluntary and that the information they provide will be kept confidential. States and WIBs may include other questions in the participant and employer surveys. However, the core question(s) on overall satisfaction should be asked first on the questionnaire to avoid unintentionally biasing results that may arise from the ordering of questions.

- F. Guidelines for constructing the core question(s) are:
- C Expect only moderate knowledge, understanding and recall of services.
 - C Write questions and response options that are clear and unambiguous.
 - C Provide for varying degrees of satisfaction and dissatisfaction in the response options.
 - C The questions should be worded in a neutral way to avoid leading the respondent.
 - C With one or more questions, ask respondents to rate their overall satisfaction with services.
 - C Before asking the respondent to rate his or her satisfaction with services, confirm early in the interview that the respondent is a customer.
- G. Attempts should be made to contact all exiters and employers selected in the sample, if applicable. Sampling is not required to obtain results for local WIBs.
- H. If sampling is used, all samples must be randomly selected from the sampling frame. The sampling frame is a list of individuals eligible for the survey for whom contact information is available.
- All samples should meet the minimum sample size requirements specified in item J (minimum sample sizes for surveys of exiters or employers). The sampling percentage should be constant over time to avoid under-representing or over-representing time intervals.
- I. Programs may randomly sample both participants and employers to obtain the desired number of completed surveys. The sampling method must conform to widely accepted statistical approaches.

The response rate is calculated as the number of respondents with complete customer satisfaction information divided by the total number who were actually reached by phone who were eligible for the survey. A survey is considered complete when a valid answer is provided by a respondent for each core question.

- J. The minimum number of completed interviews for various sampling frame sizes for the two surveys (participants and employers) are outlined below. For a survey to project results confidently to the total population being studied, the responding sample selected must be large enough for each local WIB to reach the desired number of completed interviews. States are responsible for determining the sample sizes or sampling rates needed to reach the minimum number of respondents.

Required Number Completed Interviews

<u>Size of Sampling Frame</u>	<u>Completed Interviews</u>
Over 10,000	500
5,001 - 10,000	370
3,001 - 5,000	356
2,001 - 3,000	340
1,501 - 2,000	321
1,251 - 1,500	305
1,001 - 1,250	293
901 - 1,000	277
801 - 900	268
701 - 800	259
601 - 700	247
501 - 600	233
451 - 500	216
401 - 450	206
351 - 400	195
326 - 350	182
301 - 325	175
276 - 300	168
251 - 275	160
226 - 250	151
201 - 225	141
176 - 200	131
151 - 175	119
126 - 150	107
101 - 125	93
91 - 100	79
81 - 90	72
71 - 80	65
61 - 70	58
56 - 60	52
51 - 55	47
45 - 50	42
Under 45	All in Sampling Frame

- K. Every precaution should be taken to prevent a response bias.

7. Aggregating Local WIB ACSI Results to Obtain Statewide

Results. As mentioned earlier in this issuance, States using the ACSI methodology to measure local WIB performance are not required to conduct separate customer satisfaction surveys to obtain State level results described in section 5, Parameters for Conducting Surveys to Obtain State Level Results. In situations where a single sampling rate is used throughout the State, the local WIB ACSI results on a customer satisfaction measure may simply be aggregated to obtain State level results.

In situations where different sampling rates exist for the WIBs in a State, each WIB's ACSI score must be weighted before aggregating the outcomes to obtain results that are representative of the State overall. The information needed to compute these weighted scores are the sample frames for each WIB in the State and each WIB's ACSI score.

To illustrate how these weights are derived, consider the following example.

<u>Name</u>	<u>Participant</u>		<u>Employer</u>	
	<u>Sampling Frame</u>	<u>ACSI</u>	<u>Sampling Frame</u>	<u>ACSI</u>
WIB 1	1,824	67.2	597	65.2
WIB 2	1,025	78.1	533	80.0
WIB 3	1,151	68.6	487	67.0
State A	4,000	/////	1,617	/////

The weighted score would be calculated for each WIB by multiplying the ACSI score by the number in the WIB sample frame. These weighted WIB scores would then be totaled and divided by the sum of the sampling frame sizes for all WIBs in the State to obtain a State ACSI score.

Using the figures provided in the example, the ACSI scores for the State are calculated in the following manner.

	<u>Participant</u>	<u>Employer</u>
WIB 1	(67.2*1,824)=122,572.8	(65.2*597)=38924.4
WIB 2	(78.1*1,025)= 80,052.5	(80.0*533)=42640.0
WIB 3	(68.6*1,151)= 78,958.6	(67.0*487)=32629.0
Total	= 281,583.9	Total = 114,193.4

State A ACSI score for participants...

$$(281,583.9/4,000)= 70.4$$

State A ACSI score for employers...

$$(114,193.4/1,617)= 70.6$$

8. **Action**. States should distribute this guidance letter to all officials within the State who need such information to implement the performance accountability policies under the WIA.

9. **Inquiries**. Questions concerning this issuance should be directed to your appropriate Regional Office.

10. **Attachment**. ACSI Formula Weights

ACSI Formula Weights

State Name	Overall Satisfaction (Question 1)	Met Expectations (Question 2)	Compared to Ideal (Question 3)
AL	0.4002	0.3258	0.2741
AK	0.3920	0.3204	0.2876
AZ	0.3763	0.3224	0.3013
AR	0.3939	0.3220	0.2841
CA	0.3920	0.3223	0.2857
CO	0.3970	0.3219	0.2811
CT	0.3894	0.3240	0.2866
DE	0.4065	0.2984	0.2951
DC	0.3967	0.3248	0.2785
FL	0.3940	0.3179	0.2881
GA	0.3944	0.3173	0.2883
HI	0.3920	0.3204	0.2876
ID	0.3691	0.3357	0.2952
IL	0.3824	0.3250	0.2925
IN	0.3897	0.3249	0.2854
IA	0.4125	0.3099	0.2777
KS	0.3929	0.3187	0.2884
KY	0.3896	0.3195	0.2909
LA	0.3976	0.3280	0.2744
ME	0.4175	0.2980	0.2845
MD	0.4023	0.3183	0.2794
MA	0.4029	0.3119	0.2853
MI	0.3804	0.3247	0.2949
MN	0.3880	0.3190	0.2931
MS	0.4223	0.3102	0.2675
MO	0.3937	0.3146	0.2917
MT	0.4127	0.3115	0.2758
NE	0.3827	0.3209	0.2964
NV	0.3925	0.3162	0.2913
NH	0.3800	0.3221	0.2979
NJ	0.3875	0.3280	0.2845
NM	0.3937	0.3241	0.2822
NY	0.3902	0.3261	0.2837
NC	0.4023	0.3178	0.2800
ND	0.3977	0.3103	0.2920
OH	0.3885	0.3190	0.2925
OK	0.3926	0.3164	0.2909
OR	0.3924	0.3208	0.2868
PA	0.3936	0.3188	0.2875

State Name	Overall Satisfaction (Question 1)	Met Expectations (Question 2)	Compared to Ideal (Question 3)
PR	0.3920	0.3204	0.2876
RI	0.3913	0.3210	0.2878
SC	0.3937	0.3243	0.2820
SD	0.3893	0.3258	0.2850
TN	0.4000	0.3158	0.2842
TX	0.3985	0.3184	0.2831
UT	0.3813	0.3212	0.2975
VT	0.3964	0.3107	0.2929
VA	0.3877	0.3215	0.2908
VI	0.3920	0.3204	0.2876
WA	0.3902	0.3207	0.2891
WV	0.4092	0.3283	0.2625
WI	0.3868	0.3131	0.3000
WY	0.3706	0.3404	0.2890