

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**

4/6/2001

GOVERNOR'S WORKFORCE DEVELOPMENT DIRECTIVE NO. PY2000-01, Change 5

SUBJECT: Training and Employment Guidance Letter (TEGL)

1. **Purpose.** This transmits the following TEGLs:

<u>Number</u>	<u>Date</u>	<u>Subject</u>
16-00	3/19/01	Availability of Funds to Support Planning Projects that Enhance Youth Connections and Access to the One-Stop System
15-00	3/08/01	Guidance and Instructions for Requesting an Extension and Related Revisions to Welfare-to-Work Formula and Competitive Grants and Welfare-to-Work Formula State Plans
14-00	3/05/01	Workforce Investment Act (WIA) Performance Reporting System
13-00	3/09/01	Consultation Paper of Labor Exchange Performance Measurement System

2. **Background.** TEGLs No. 13-00 and 14-00 provide guidance regarding WIA reporting requirements. TEGL No. 15-00 discusses requirements relative to the State Welfare-to-Work program, and TEGL No. 16-00 pertains to WIA – sponsored youth program activities.

3. **Information.** This guidance is provided to local areas for information and, as appropriate, action purposes.

4. **Contact.** Please direct any questions to Ray Clenney at (334) 242-1421.



Steve Walkley, Division Director
Workforce Development Division

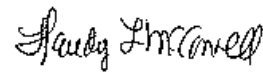
Attachment

U. S. Department of Labor Employment and Training Administration Washington, D.C. 20210	CLASSIFICATION Youth
	CORRESPONDENCE SYMBOL OYS
	DATE March 19, 2001

TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 16-00

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

FROM: for
 LENITA JACOBS-SIMMONS
 Deputy Assistant Secretary



SUBJECT: Availability of Funds to Support Planning
 Projects that Enhance Youth Connections and
 Access to the One-Stop System

1. Purpose. To provide guidance to local areas on how to apply for funds to support planning projects for Local Workforce Investment Boards and Youth Councils to enhance youth connections and access to the One-Stop delivery system.

2. References. Title I of the Workforce Investment Act of 1998.

3. Background. The Workforce Investment Act (WIA) of 1998 calls for a substantial reform of the nation's job training programs and a major change in the way services are delivered. For youth programs, the WIA places new emphasis on serving youth within comprehensive State and local workforce investment systems. The WIA also requires that all customers, including youth, be able to access information and services through a One-Stop delivery system. The One-Stop system is viewed as the vehicle for bringing together numerous training, education and employment programs into a single, customer friendly system. The underlying notion of "One-Stop" is the integration of programs, services and governance structures.

Prior to the WIA, the Department of Labor (the Department) fostered the development of One-Stop systems by providing planning and implementation funding to States. While the design and implementation of the One-Stop systems were largely left to States and local areas, the Department identified four key themes of this

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One-Stop initiative: universal access to services, improved coordination of services, greater customer choice, and outcomes based accountability. Most of the One-Stop Centers established through this effort focused on adult customers. A study done by Social Policy Research Associates in 1999 examined self-service systems at eight One-Stop Career Centers. This study analyzed services for youth customers in the centers and found a wide variation in the level and type of youth services available.

The WIA takes a more uniform, comprehensive approach to One-Stop systems. The WIA requires all local areas to establish at least one comprehensive One-Stop center, specifies a wide range of required partners, and specifies the types of services that must be available. Youth programs funded under Title I, Chapter 4 of the WIA are required partners in One-Stop systems. As provided in Section 662.230 of the WIA Rules and Regulations, as a One-Stop partner, the WIA youth program is required to: a) make applicable core services available to participants; b) use a portion of its funds to create and maintain the One-Stop delivery system and provide core services; c) enter into a memorandum of understanding with the Local Workforce Investment Board (Local Board) relating to the operation of the One-Stop System; d) participate in the operation of the One-Stop system; and e) provide representation on the Local Board. The WIA also specifies a wide range of goals and requires comprehensive services to meet the multiple needs of youth. Local Boards and Youth Councils need to bring together training providers, schools, community organizations and other partners to strategically align and leverage resources to provide the ten program elements required under the WIA.

These changes under the WIA make it imperative that youth programs develop and enhance linkages with One-Stop systems. Many of the One-Stop systems developed prior to the WIA did not reach out to youth, pursue youth program partnerships, or provide youth services because the required core partners primarily focused on adult customers. However, with the requirements under the WIA, One-Stop systems will now be looking for ways to better incorporate youth programs, develop a broader array of youth services, and reach out to a wider range of youth program partners than was typical in the past.

4. Enhancing Youth Connections to One-Stop Systems. There are a number of ways in which local areas can enhance connections to youth and access to One-Stop systems. These include the following:

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- a. Supporting Youth Through Organizational Design. One promising approach is co-locating youth program staff at the One-Stop center or designating staff to coordinate outreach and services for youth at One-Stop centers. Even when staff are not co-located, cross-training of youth program and One-Stop staff can be extremely helpful. At a minimum, youth program staff should participate in tours of One-Stop centers and One-Stop staff should visit youth programs.
- b. Marketing and Outreach Efforts to Recruit Youth. There are many strategies to encourage youth to use the One-Stop system. These include: establishing linkages with schools and community-based youth serving organizations; conducting outreach efforts targeting out-of-school youth; conducting special tours of the One-Stop centers for youth; and establishing linkages with School-to-Work systems.
- c. Customizing One-Stop Center Facilities and Self-Service Resources for Youth. Some One-Stop centers maintain information related to youth activities and services, have separate resource rooms and/or have resources customized for youth customers. In addition, there are ways to help make facilities more "youth-friendly" and inviting for youth. Some local areas have established separate satellite centers targeted for youth or innovative satellite centers at places where youth spend time such as secondary schools, libraries, parks and recreational facilities, shopping centers, or one of the Youth Opportunity centers funded by the Department in 36 localities across the country.
- d. Linking to Existing One-Stop Services. In order to provide the ten required youth program elements under the WIA, local areas may benefit from some of the activities and services that are already available through other funding sources at One-Stop centers. For example, some One-Stops provide vocational and GED training. In terms of supportive services, One-Stops may have referral databases for childcare providers or services such as family planning.

5. Innovative Youth One-Stop Connections Project. The Department is committed to providing Local Boards and Youth Councils with technical assistance that helps them build effective youth development systems within their communities. The One-Stop delivery system is an important component of providing the comprehensive array of services that youth need to successfully transition to careers and lifelong learning. The Department will provide planning grants to Local Boards to encourage local areas to develop innovative strategies to enhance youth connections and

access to One-Stop systems. The objectives for this project are to increase the emphasis on serving youth through the One-Stop system and to strengthen the role of Local Boards and Youth Councils in developing policies and strategies for providing quality youth services within their local areas. The project will also contribute to the Department's goal of sustaining School-to-Work systems by encouraging the One-Stop system to collaborate with School-to-Work partnerships to carry out some of the key intermediary functions and career awareness activities that are necessary to connect young people with the world of work.

The Local Boards and Youth Councils must use these planning grants to develop a strategic plan and conduct activities that support youth connections and linkages to One-Stop systems. These strategic plans will be a management and implementation tool with specific action steps for enhancing One-Stop connections for youth. They should address the following areas: marketing and outreach strategies to recruit youth to use One-Stop systems; referral and communication systems to link youth programs to One-Stop centers; strategies and technology to enhance One-Stop connections with schools and other satellite locations; operations and staffing to support youth; enhancing One-Stop center facilities and self-help services to tailor them to youth; and creating employer and provider linkages among local youth-serving agencies and other agencies with the One-Stop system. In communities with Job Corps centers, these plans should also address strategies for linking Job Corps to the One-Stop system. Planning grant funds can be used to convene strategic planning sessions, hire facilitators, conduct resource mapping, and support other activities necessary to develop and implement effective strategies for enhancing youth connections to One-Stop systems.

At the conclusion of the project, the Department will provide a forum for grantees to meet and exchange lessons learned and promising practices for enhancing youth connections to One-Stop systems. This forum will likely be held in conjunction with a national Employment and Training Administration conference, so applicants should allocate some funds in their budgets for travel, lodging and other expenses to participate in this two day meeting. The Department also intends to compile strategies from the grantee strategic plans into a technical assistance guidebook that will be widely disseminated to all of the WIA formula-funded grantees.

6. Eligible Applicants. Eligibility for a planning grant is limited to a Local Board that can demonstrate 1) that it has been designated by the State as a Local Workforce Investment Board (a letter from the Governor or the Governor's designee will be sufficient to establish eligibility) and 2) that the Youth Council

will develop the strategic plan for submission to the Local Board for adoption. In areas where the Youth Council is not well established, the Local Board should be able to describe how they will work with the Youth Council on this project.

7. Grant Awards. The Department expects to award between 12-15 grants of up to \$20,000 each. Grant awards will be made for a period of one-year to support these activities. A strategic plan for enhancing youth connections and access to the One-Stop system must be provided to the Department by the end of the grant period.

8. Criteria for Award. It is the intent of the Department to award at least one grant in each of the Regions and to select areas that reflect the diversity of local communities across the country. The Regional Offices will review applications and make award recommendations to the Grant Officer. The final selection will be based on quality, geographic location, and what is in the best interest of the government. Proposals will be rated based on answers to the questions presented in Attachment A. Technical guidance and the weighting factor for each question is also provided in Attachment A.

9. Application Process. The proposal must be limited to 15 double-spaced pages and must be organized as follows:

- Form SF 424 - Application for Federal Assistance
- Budget Information Form - the budget shall include on a separate page a detailed breakout of each proposed budget line item
- One page Executive Summary
- Narrative proposal that is organized and in response to each of the criteria for award.

An original and three copies of the proposal must be submitted to the ETA Regional Administrator no later than April 25, 2001. Applications that are postmarked after that date will not be considered.

10. Inquiries. Questions on this TEGL should be directed to your Regional Office.

11. Attachment. Three Major Criteria for Planning Grant Award

Attachment A

Three Major Criteria for Planning Grant Award

What is the capacity of the Youth Council to implement this project or how will the local board work with the Youth Council on this project ?

20 Points

Central to implementing this new vision for serving youth is the establishment of the local Youth Council, an integral part of the local board. Youth Council members are called upon to (1) serve as advocates for youth in the local area; (2) ensure the provision and coordination of workforce investment activities available to youth in a local area; and (3) address the overall delivery and coordination of services from across all local, State and funding streams.

- Describe the composition of your Youth Council and how it brings together individuals from a range of local programs and policy areas who can affect the success of young people in the labor market and beyond.
- What are your Youth Council’s vision, goals and objectives and long-term plan?
- Describe your Youth Council’s staffing?
- Are there additional responsibilities designated to the Youth Council that go beyond the legally required responsibilities of the Youth Council?
- If the Youth Council does not have the capacity to implement this project, the Local Board should describe how it will work with the Youth Council on this project.

What is the existing One-Stop system in the community and the need to enhance youth connections and access to this system?

30 Points

The One-Stop service delivery system envisioned in the Act will effectively connect the broad range of workforce services available in a local area.

- Describe the existing One-Stop system in your community.
- Identify One-Stop centers, satellite centers and electronic connections.
- Describe existing One-Stop connections to youth such as: employer and provider linkages among local youth-serving agencies and other agencies; how service strategies between youth program operators and other One-Stop partners are shared; and outreach efforts such as establishing linkages with schools and community-based youth-serving organizations.
- Identify efforts underway or planned to enhance connections to youth.
- Identify the challenges your community faces in linking and enhancing youth services through the One-Stop system.

What strategic planning and other activities will be conducted with the grant?

50 Points

- Provide a description of strategic planning and other activities that are being proposed to support enhancements and innovations that link youth and youth activities to the One-Stop system?

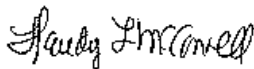
[The discussion of strategic planning activities should address the following areas: (1) marketing and outreach strategies to recruit youth to use One-Stop systems; (2) referral and communication systems to link youth programs to One-Stop centers; (3) operations and staffing to support youth; (4) enhancing One-Stop center facilities and self-help services to tailor them to youth; and (5) creating employer and provider linkages among local youth-serving agencies and other agencies within the One-Stop system. In communities with Job Corps centers, these planning activities should also address strategies for linking Job Corps with the One-Stop system.]

- Describe the organizational and management structure for the project that includes key staff members.
- Provide a timeline that indicates when specific tasks will be initiated and completed.

U. S. Department of Labor Employment and Training Administration Washington, D.C. 20210	CLASSIFICATION WtW
	CORRESPONDENCE SYMBOL OAS
	DATE March 8, 2001

TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 15-00

TO : STATE WELFARE-TO-WORK CONTACTS
STATE WORKFORCE LIAISONS

for
FROM: LENITA JACOBS-SIMMONS 
Deputy Assistant Secretary

SUBJECT: Guidance and Instructions for Requesting an Extension and Related Revisions to Welfare-to-Work Formula and Competitive Grants and Welfare-to-Work Formula State Plans

1. **Purpose.** To provide guidance to Welfare-to-Work (WtW) Formula and Competitive grantees on the provision of the Department of Labor Appropriations Act, 2001, which allows for a voluntary extension of up to five years from the date of award for all WtW grants. It also provides guidance on several other related issues.

2. **Authorities and References.**

- a. Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (Pub. L. 104-193); Balanced Budget Act of 1997 (Pub. L. 105-33) amending Title IV-A of the Social Security Act.
- b. Welfare-to-Work and Child Support Amendments of 1999 (1999 Amendments) (introduced as Title VIII of H.R. 3424 and enacted as part of the Consolidated Appropriations Act for FY 2000 (Pub. L. 106-113)).
- c. Department of Labor Appropriations Act, 2001 (Pub. L. 106-554).
- d. WtW Regulations, 20 CFR Part 645, Final/Interim Final Rule published at 66 Fed. Reg. 2690 (January 11, 2001), effective date April 13, 2001.

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- e. WtW Planning Guidance and Instructions for Submission of Annual State Plans, Fiscal Year 1999 WtW Formula Grants (Training and Employment Guidance Letter (TEGL) 3-98), published July 30, 1998.
- f. WtW Competitive Grants; Notice of Availability of Funds; Solicitation for Grant Applications, 62 Fed. Reg. 67902 (December 30, 1997); 63 Fed. Reg. 18445 (April 15, 1998); and 64 Fed. Reg. 4009 (January 26, 1999).
- g. Use of America's Workforce Network (AWN) Logo (Training and Employment Information Notice No. 7-00), published October 26, 2000.
- h. WtW/Workforce Investment Act (WIA) Questions and Answers, Question #6 (concerns the revision of WtW State Plan to reflect a change in geographic configuration -- see <http://wtw.doleta.gov/q&a/wiaquestions.asp>).

3. **Background.** The WtW Program, authorized by Congress under the Balanced Budget Act of 1997, facilitates the placement of hard-to-employ welfare recipients and certain noncustodial parents into transitional employment opportunities which will lead to lasting unsubsidized employment and self-sufficiency. The 1999 Amendments removed the requirement that long-term Temporary Assistance for Needy Families (TANF) recipients meet additional barriers to employment in order to be eligible for WtW, and provided for other changes to the WtW Program.

The Department of Labor Appropriations Act, 2001, signed into law on December 21, 2000 as part of the Consolidated Appropriations Act of 2001, includes, along with the Department of Labor's Fiscal Year (FY) 2001 appropriations, the authority to extend the period in which funds can be spent in the WtW grants program. Under this authority, all WtW grantees, both competitive and formula, are eligible to extend the period of performance of their grants up to five years from the date of grant award.

As amended, section 403(a)(5)(C)(viii) now reads as follows:

DEADLINE FOR EXPENDITURE -- Any entity to which funds are provided under this paragraph shall remit to the Secretary of Labor any part of the funds that are not expended within 5 years after the date the funds are so provided.

The guidance in this TEGL is intended to provide instructions on how to implement this amendment. States choosing to extend their grant period will also have up to two more years to meet their matching fund commitments. This guidance has two main sections:

- ! Grant and State Plan modification instructions applicable to WtW Formula Grantees (FY 98 and FY 99), including the new modification language regarding AWN; and

! Grant Modification instructions applicable to WtW Competitive Grantees (all rounds of competition).

4. **Information for WtW Formula Grantees**. The following is an overview of information about modifications of WtW formula grants. Please refer to Attachment I (Grant and State Plan Modification Instructions for WtW Formula Grantees).

FY 98 and/or FY 99 WtW formula grantees may submit a grant and State Plan modification request for an extension of the expiration date (as a result of the Department of Labor Appropriations Act, 2001) and must submit a modification to the State Plan to reflect any geographic changes in local areas (as a result of the designation of local areas under WIA) and/or revision of definitions as follows:

- a. **Extension of the Grant Period**. A State's WtW Formula Grant can be modified to extend the expiration date for up to 24 months if the State wishes to have additional time to complete its grant activities. Formula grants were originally awarded for a period of three years. The provision in the Department of Labor Appropriations Act, 2001, would allow an additional two years, not to exceed five years from date of award. States may elect to extend one FY's grant or both. A letter requesting such modification(s) must be submitted to the Grant Officer. The duration of the extension requested should reflect an analysis of grant performance to date as well as the availability of existing funds to operate the grant during the requested extended period. The request for an extension of the grant period must incorporate a new grant termination date. Any extension of the grant period would also allow for additional time for the expenditure and reconciliation of the State WtW formula grantee's match requirements.
- b. **Change in Geographic Configuration of Local Areas**. Whether or not a State chooses to request an extension, the State must request a modification of its State Plan if, due to the implementation of WIA, the geographic configurations of local areas and WtW formula allocations are different than the geographic configuration of service delivery areas (SDAs) and WtW formula allocations provided by the State in the approved FY 98 and/or FY 99 WtW plan. The modification must identify the affected Local Workforce Investment Areas and the adjusted amount of WtW funds allocated to those areas.
- c. **Revision of State Plan Performance and Expenditure Goals**. Revised performance goals are needed for the Department of Labor to assess WtW Program performance as required by the Government Performance and Results Act (GPRA). Therefore, when submitting a request for a grant modification to extend the period of performance, a State grantee must also provide revised performance goals as part of a separate State Plan modification. This will include cumulative quarterly planned enrollments and expenditures as well as final expected outcomes for: (a) placements into unsubsidized jobs; (b) percentage of participants retained for six months in unsubsidized jobs; and (c) percentage of wage gains. These goals must reflect performance to date as well as the extended operational period.

d. **Revision of Definitions**. The 1999 Amendments introduced revised eligibility criteria to make the WtW Program more flexible in serving the targeted population. Congress did not define a number of new terms that are now contained in the WtW eligibility criteria for long-term welfare recipients and certain noncustodial parents. The Employment and Training Administration (ETA) has followed the position that operating entities establish their own definitions to the greatest extent possible in the implementation of WtW and now in the implementation of the 1999 Amendments. Whether or not a State chooses to request an extension, or whether or not the geographic configuration of its local areas has changed, if a WtW grantee has developed or revised definitions as a result of the enactment of the 1999 Amendments, such information must be submitted in a modification of the State Plan.

e. **Use of AWN's Logo**. The Department of Labor is working with partners and stakeholders in the workforce development system to create America's Workforce Network (AWN). AWN is the brand name for the nationwide network that provides information and services to help employers find qualified workers and to help people manage their careers. The AWN brand name establishes a national identity that connects the workforce services available throughout the nation. The AWN brand name supports the establishment and awareness of State and local identity and does not require changes to State or local brands or logos. The Network demonstrates to employers that there is a workforce development system that can meet their needs and informs the general public about available AWN services through the One-Stop system.

WtW formula grants will be modified separately to confirm that the grantee agrees to use the brand name and logo on all public materials such as statements, press releases, brochures, advertisements, reports, products, web pages and other documents describing projects or programs funded in whole or in part with ETA federal funding.

Many grantees in the workforce development system have already incorporated the use of the brand name and logo in their grant materials. Language which will be incorporated in WtW formula grants as a separate modification action can be found in Attachment II of this TEGL. Additional information about the AWN brand name logo can be found in Training and Employment Information Notice No. 7-00, which was issued October 26, 2000, or online at <http://www.usworkforce.org>

Complete instructions for the submission of an extension request and the updated information required to amend the current formula State Plans are included as Attachment I (Grant and State Plan Modification Instructions for WtW Formula Grantees).

5. **Information for WtW Competitive Grantees**. Any WtW Competitive Grantee may submit a modification request for a no-cost extension (as a result of the Department of Labor Appropriations Act, 2001) as follows:

a. **Extension of the Period of Performance** . A WtW competitive grantee may request a no-cost extension of up to five years (60 months) after the grant's award date if the grantee needs additional time to complete its grant activities. The extension request should include an analysis of grant performance to date, and a description of how the additional time will benefit the delivery of services to WtW participants. The request should also document the availability of administrative funds to operate the grant during the requested extension period. Note that the 15% cap on administrative expenditures is not affected by the extension and remains applicable for WtW grants.

b. **Revision of Performance and Expenditure Goals** . Revised performance goals are needed for the Department of Labor to assess WtW Program performance as required by GPRA. When submitting a request for a grant modification to extend the period of performance, a grantee must also provide revised performance and expenditure goals. At a minimum, the grantee must provide projected quarterly cumulative enrollment and expenditure targets, as well as final expected outcomes for placements in unsubsidized employment, retention rate at six months and increase in earnings. The quarterly goals must reflect performance to date as well as for the period covered by the requested extension. If the projected performance goals are not based on past performance, justification for the new projections should be provided.

c. **Revision of Definitions** . Many WtW competitive grantees applied for funding "in conjunction with" a Private Industry Council (now Local Board) or political subdivision. In implementing the WtW Program, Local Boards in cooperation with the States arrived at definitions of terms to which WtW competitive grants were subject, for example: "characteristics of long-term welfare dependence." As a result of the 1999 Amendments, most Local Boards will have developed or revised some of their definitions which are necessary for determining eligibility, such as "having difficulty making child support payments." WtW competitive grantees that applied for funding with a Local Board are advised to coordinate their eligibility and other procedures with the appropriate Local Boards to ensure that they are in compliance with WtW requirements.

The instructions for extensions of the period of performance of WtW Competitive Grants may be found in Attachment III (Grant Modification Instructions for WtW Competitive Grantees).

6. **Action**. Requests for extensions and related revisions to WtW formula and competitive grants and WtW State Plans must be submitted in accordance with the attached instructions.

7. **Inquiries**. Inquiries on this TEGL and the attachment(s) should be directed to your Grant Officer Technical Representative.

8. **Attachments**.

I -- Grant and State Plan Modification Instructions for WtW Formula Grantees

II -- Information About the America's Workforce Network Logo

III -- Grant Modification Instructions for WtW Competitive Grantees

**GRANT AND STATE PLAN MODIFICATION INSTRUCTIONS
FOR
WELFARE-TO-WORK FORMULA GRANTEEES**

Instructions for Modification of State Formula Grants to Extend the Grant Period and Instructions for Modification of the State Plan Narrative. Part I includes instructions on the information necessary for the Grant Officer to extend the period of performance of FY 98 and FY 99 State formula grants for up to a total of five years from the date of grant award, as allowed by the Department of Labor Appropriations Act, 2001. Part II of the instructions is for modifying the narrative portion of the State Plan to reflect the extended period of performance and for other revisions and additions necessitated by the implementation of the WtW and Child Support Amendments of 1999 (The 1999 Amendments), the implementation of the Workforce Investment Act (WIA), and the requirements of the Government Performance and Results Act (GPRA).

I. MODIFICATION TO GRANT TO EXTEND THE GRANT PERIOD.

A. Explanation.

The Department of Labor Appropriations Act, 2001, provides authority for all FY 98 and FY 99 WtW formula grants to extend their grant period by up to two years from the current date of expiration to a potential maximum period of performance of five years from the date of grant award. Such an extension of the grant period also allows for additional time for the expenditure and reconciliation of the State WtW grantee's match requirement. States may request a grant modification to extend the FY 98 grant, the FY 99 grant, or both. Some of the FY 98 grants will reach the end of their original period of performance starting in February, 2001. These grants were awarded on a staggered basis so the expiration dates will vary between February and September, 2001. The FY 99 grants will reach their expiration dates at varying times during FY 2002 (October 1, 2001, to September 30, 2002). Priority attention should be given to the FY 98 grants which are due to expire shortly and have large balances of unexpended funds. An extension of the period of performance would provide the needed operating time to serve participants with the remaining grant funds.

B. Information Required for a Grant Extension: Letter of Request to Grant Officer.

A request for a grant extension may be made at any time. However, the request must be submitted no later than sixty (60) days before the current expiration date of the grant. [Please note: For those States which have already submitted requests for grant extensions under the "Advance Instructions for FY 1998 and FY 1999 Formula Grants" made available through your Grant Officer Technical Representative (GOTR), in many cases the State must still modify its State Plan as directed below. The State Plan modification request must be submitted within sixty (60) days of the date of this TEGL.]

To request an extension of its FY 98 or FY 99 WtW grant (or both), a State must submit a grant modification request letter addressed to the Grant Officer (E. Fred Tello). An original signature copy and one copy of the request for a grant extension modification and/or a State Plan modification should be mailed to the following address:

Office of Welfare-to-Work
U.S. Department of Labor - ETA
200 Constitution Avenue NW
Room: N-4666
Washington, DC 20210
Attention: Formula Grant Extension Modification

A copy of the request should be mailed concurrently to your GOTR. The letter must be signed by an authorized signatory official for the State's WtW grant and must include the following information for *each* grant for which an extension of the grant period is being proposed:

1. Current Grant Recipient Agency Name and Address (if different from State letterhead);
2. Department of Labor Grant Number indicated in current grant document(s);
3. Current Grant Expiration Date; and
4. Requested Grant Expiration Date (*Note: The request may not exceed two-years from the current expiration date of the grant*).

II. MODIFICATION OF STATE FORMULA PLAN NARRATIVE

A. Revision of Performance Goals.

Planning Guidance Requirement:

"List the performance goals and outcomes the State intends to achieve in serving the eligible participants in the WtW Program including: (a) placement in unsubsidized jobs; (b) duration of such placement; and (c) increase in earnings. The performance goals and outcomes should be expressed in measurable, quantifiable terms to the greatest extent possible." [TEGL 3-98, Section I.A.4, Program Design]

In our original Planning Guidance, cited above, we asked WtW formula grantees to submit certain measurable program goals and outcomes. Some States responded by providing the requested data in their State Plans, while other States indicated that they were waiting for additional guidance from the Secretary of Labor before submitting that specific data. Such guidance was intended to address the criteria for performance bonuses in FY 2000. Because the Department of Labor Appropriations Act, 2001, eliminated the funds available for performance bonuses, no bonus guidance will be issued. However, WtW program outcomes are needed to demonstrate the success of the program in serving eligible individual participants. Therefore, this information remains pertinent and relevant for ETA to assess WtW program performance as required by

GPRA, as well as for the Department of Health and Human Services (HHS) evaluation of the WtW Program. The GPRA goal for FY 2001 for the WtW Program is:

“Of those Welfare-to-Work participants placed in unsubsidized employment, 66% will remain in the workforce for six months with a 6% average earnings increase by the second consecutive quarter following the placement quarter.”

Enrollment Goals

In conjunction with a request to extend the period of performance of the grant, we are requiring that States submit goals for the projected number of participants to be served in the remaining performance period of the grant, including the extended time requested. This is necessitated by prudent management of the grant program. We recognize that States may already be tracking such goals.

Revised Plan Requirement for Performance Goals

As part of a request for an extension of its WtW grant, any State which has not already done so must submit performance outcomes which, at a minimum, reflect the information requested in the planning guidance: (a) placement in unsubsidized jobs; (b) duration of such placement; and (c) increase in earnings (expressed as a percentage). This information must include the State’s expected outcomes for the end of the extended grant period, as well as identification of performance to date.

Please submit a revised estimate of cumulative quarterly plan of participants to be served for each future quarter of the grant starting with the quarter at the time of application for an extension of the grant period. This should include all quarters of the requested extended grant period. Note: States may submit a chart with combined enrollment and expenditure goals for each quarter.

B. Revision of Cumulative Quarterly Expenditure Goals .

Planning Guidance Requirement

“The State should submit an estimate of expenditures of WtW formula grant funds for each quarter of each fiscal year covered by the plan by percentage or dollar amount.” [TEGL 3-98, Section IV, Funding]

In the original planning guidance, cited above, we requested that States submit an estimate of expenditures of WtW formula grant funds for each quarter of each fiscal year. This is an opportunity for grantees to revise current expenditure plans as well as submit new quarterly plans for an extended grant period. States should take into account the level of expenditures to date and the length of time needed to carry out the grant.

Revised Plan Requirement for Cumulative Quarterly Expenditure Goals

Please submit a revised estimate of *cumulative* expenditures for each future quarter of the grant starting with the quarter at the time of application for an extension of the grant period. This must include all quarters of the requested extended grant period. For example: Your State submits an application for an extension of its FY 1998 grant in July, 2001, for a period of two years. Your submittal must include a quarterly *cumulative* expenditure plan for the quarter beginning July 1, 2001, and each subsequent quarter through the last quarter of the requested extended period of performance. Your State must submit this revised *cumulative* expenditure plan using dollar amounts only. Note: States may submit a chart with combined enrollment and expenditure goals for each quarter.

C. Change in Geographic Configuration of Local Areas Due to the Implementation of WIA.

Planning Guidance Requirement:

“Within State Distribution of Funds: Describe the formula factors, including the weights assigned to each factor, used by the State to allocate not less than 85 percent of the amount of grant funds among the Private Industry Councils (PICs) in the State as well as the timeline for the allocation to PICs. Provide a listing of the allocations the State will make to each substate area.” (emphasis added) [TEGL 3-98, Section I.B, Within State Distribution of Funds]

WtW funds were distributed to PICs in accordance with the WtW law and regulations in effect at the time of grant award. The subsequent enactment of WIA called for the development of Local Workforce Investment Areas and local workforce boards, which replaced the Service Delivery Areas (SDAs) and PICs under the Job Training Partnership Act (JTPA). If the geographic configurations of local areas changed under WIA implementation, the State entity that administers the WtW grant must ensure that funds are appropriately redistributed among Local Workforce Investment Areas. Based on the elements in the State’s distribution formula outlined in the WtW formula plan, the State must determine what, if any, adjustments to local area allocations are necessary. Adjustments, to the extent needed, should be made only out of funds that are unexpended or unobligated at the local level.

Revised Plan Requirement for Change in Geographic Configuration

If the geographic configuration of local areas designated under WIA and WtW formula allocations for local areas are different than those provided by the State in the approved FY 98 and/or FY 99 WtW formula plan, then the State should submit a revision to this section of the plan. The revision should identify the newly designated local workforce investment areas and the adjusted amount of WtW funds allocated to those areas.

D. Revision of Definitions.

Planning Guidance Requirement:

“...Specify any additional characteristics associated with, or predictive of, long term welfare dependence which have been identified by the State, in consultation with the operating entity, which will be used in determining eligibility under the thirty percent provision.” [TEGL 3-98, Section I.A.6, Program Design]

The 1999 Amendments introduced revised eligibility criteria to make the WtW program more flexible in serving the targeted population. Congress did not define a number of new terms that are now contained in the WtW eligibility criteria for long-term welfare recipients and certain noncustodial parents. ETA has followed the position that operating entities establish their own definitions to the greatest extent possible in the implementation of WtW and now in the implementation of the 1999 Amendments. In some cases in defining terms, such as “unemployed,” ETA has adapted existing definitions in order to be consistent with WIA where possible. The WtW Final Rule and Interim Final Rule, issued on January 11, 2001, adds a new section 645.125 on the governance of the WtW Program by State and local operating entities to emphasize this flexibility.

Revised Plan Requirement for Definitions

ETA therefore requests that States submit, as part of this modification package, the definitions agreed upon for the following terms:

- 1. “Underemployed” (as defined by the State in consultation with Local Boards and WtW competitive grantees); and**
- 2. “Having difficulty paying child support obligations” (as defined by the State in consultation with Local Boards, WtW competitive grantees and the State Child Support Enforcement (IV-D) agency).**

States may also submit any other definitions that may have been added or revised subsequent to the approval of their current State Plan.

INFORMATION ABOUT THE AMERICA'S WORKFORCE NETWORK LOGO

America's Workforce Network is the brand name for the nationwide network of workforce development organizations that provide information and services to help employers find skilled workers and people manage their careers. State WtW grantees will receive under separate cover a grant modification document, for signature, to incorporate the following:

“The official name for the nationwide system for providing employment and training through the Workforce Investment Act partnerships and various other federally-sponsored programs is “America's Workforce NetworkSM.” (or AWNTM). To achieve the goals of this grant, it is important that the public has a quick and easy method of identifying that the projects or programs participated are part of America's Workforce Network. To provide this information to the public, the Grantee agrees to place the America's Workforce Network logo, in accordance with the U.S. Department of Labor's guidelines for such use, on all public materials such as statements, press releases, brochures, advertisements, reports, products, web pages, and other documents describing projects or programs funded in whole or in part with Federal funding.

When the America's Workforce Network logo is used, the Grantee may accompany it with the following statement: “[Program Grantee Agency Name] is a Proud Member of America's Workforce NetworkSM.”

The Grantee shall not use the America's Workforce Network logo in any manner that would imply that the Department of Labor endorses a commercial product, service, or activity or that material of a nonofficial nature represents the U.S. Department of Labor.

The Grantee shall include Grant/Contract Language included in these guidelines in its subgrants to local workforce investment areas and may require that other subgrantees or contractors use the America's Workforce Network brand identification.”

Included in the package to be sent under separate cover will be a Style Guide which will provide additional guidance to grantees on the use of the America's Workforce Network name, logo and accompanying slogan.

**GRANT MODIFICATION INSTRUCTIONS
FOR
WELFARE-TO-WORK COMPETITIVE GRANTEES**

Instructions for Modification of WtW Competitive Grants to Extend the Period of Performance. *Part I includes instructions on the information necessary for the Grant Officer to extend the period of performance of WtW Competitive grants for up to five years as allowed by the Department of Labor Appropriations Act, 2001. Part II of the instructions is for other revisions and additions to the grant scope of work as necessitated by the implementation of the WtW and Child Support Amendments of 1999 (the 1999 Amendments), the implementation of the Workforce Investment Act (WIA), and the requirements of the Government Performance and Results Act (GPRA).*

I. MODIFICATION TO GRANT TO EXTEND THE PERIOD OF PERFORMANCE

A. Explanation.

The Department of Labor Appropriations Act, 2001, provides authority for all WtW competitive grants to extend their period of performance for up to five years from the date of award. Some Round One WtW competitive grants will reach the end of their original period of performance in June, 2001.

B. Information Required for a No-Cost Extension: Letter of Request to Grant Officer .

To request a modification to extend the period of performance of a WtW competitive grant, a grantee must submit a grant modification request letter to the Grant Officer (Jim Stockton). The letter must be signed by an authorized signatory official for the WtW grant, and must be submitted through the grant's Grant Officer Technical Representative (GOTR) for review. The letter must include the following information:

1. Current Grant Recipient Agency Name and Address (if different from letterhead);
2. Department of Labor Grant Number indicated in current grant document(s);
3. Current Grant Expiration Date;
4. Requested Grant Expiration Date (***Note: The request may not exceed five years from the date of award of the grant;***);
5. An analysis of the grant performance to-date with a description of how the additional time requested will benefit the delivery of services to WtW participants; and
6. A revised grant budget reflecting the availability of administrative funds to operate the grant during the requested extended grant period.

An original signature copy of the letter must be sent to the GOTR for the grant for their review and approval. The GOTR will then forward the request to the Grant Officer for execution.

II. UPDATE OF GRANT SCOPE OF WORK

A. Revision of Performance and Expenditure Goals.

In the Round One WtW Competitive Grant SGA (Federal Register Vol. 62, No. 249, December 30, 1997), applicants were asked to provide “a completed quarterly implementation schedule showing the number of participants, enrollments in allowable activities, placements in unsubsidized employment and terminations” as well as a “Quarterly expenditure plan which identifies the planned cumulative expenditure of grant funds by Fiscal Year quarter for the planned period of performance of the project. Expenditures must be identified by grant activity.” Recommended formats were provided as part of the SGA.

In the Round Two and Three SGAs (published in the Federal Register on April 26, 1998, and January 26, 1999, respectively), applicants were asked to provide “an implementation schedule showing the number of participants, enrollments in allowable activities, placements in unsubsidized employment and terminations over the life of the grant.”

Before approving a request for an extension of a WtW competitive grant operational period, the Grant Officer will require an estimate of enrollments and expenditures of WtW competitive grant funds for each quarter of the grant through the requested extended grant period, starting from the date of award. Grantees must take into account past performance, the level of expenditures to date and the length of time needed to complete grant activities in developing their quarterly enrollment and expenditure plans. This information is relevant for ETA to assess WtW Program performance as required by GPRA as well as for the Department of Health and Human Services (HHS) evaluation of the WtW Program. The GPRA goal for FY 2001 for the WtW Program is:

“Of those Welfare-to-Work participants placed in unsubsidized employment, 66% will remain in the workforce for six months with a 6% average earnings increase by the second consecutive quarter following the placement quarter.”

Revised Requirement for Performance and Expenditure Goals

Please submit a revised estimate of *cumulative* expenditures and enrollments for each quarter of the grant starting with the date of award through the requested extension period. Note: Grantees may submit a chart with combined enrollment and expenditure goals for each quarter.

In addition, grantees must submit revised projected outcomes for (1) number of participants placed in unsubsidized jobs; (2) percentage of participants retained for six months in unsubsidized jobs; and (3) percentage of wage gains. These projected outcomes must reflect the grantee’s expected outcomes for the end of the extended period of performance, as well as identification of performance to date.

B. Revision of Definitions.

Grantees should be aware that State and Local Workforce Investment Boards may be developing programmatic definitions resulting from recent changes to the WtW program. The 1999 Amendments introduced revised eligibility criteria to make the WtW program more flexible in serving the targeted population. Congress did not define a number of new terms that are now contained in the WtW eligibility criteria for long-term welfare recipients and certain noncustodial parents. ETA has followed the position that operating entities establish their own definitions to the greatest extent possible in the implementation of WtW and now in the implementation of the 1999 Amendments. In some cases in defining terms, such as “unemployed”, ETA has adapted existing definitions in order to be consistent with WIA where possible. The WtW Final Rule and Interim Final Rule, issued on January 11, 2001, adds a new section 645.125 on the governance of the WtW program by State and local operating entities to emphasize this flexibility.

Please note that ETA is requesting that States submit the definitions agreed upon for the following terms:

1. “Underemployed” (as defined by the State in consultation with Local Boards and WtW competitive grantees); and
2. “Having difficulty paying child support obligations” (as defined by the State in consultation with Local Boards, WtW competitive grantees and the State Child Support Enforcement (IV-D) agency).

States have also been requested to submit any other definitions that may have been added or revised subsequent to the approval of their State Plan.

Competitive grantees should be aware that States and Local Boards should be informing competitive grantees of changes to these definitions, and that the definitions arrived at by the appropriate State and Local Boards will be binding for said competitive grantee.

U. S. Department of Labor Employment and Training Administration Washington, D.C. 20210	CLASSIFICATION WIA/Perf. Reporting System
	CORRESPONDENCE SYMBOL OWS
	DATE March 5, 2001

TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 14-00

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

FROM: for
 LENITA JACOBS-SIMMONS 
 Deputy Assistant Secretary

SUBJECT: Workforce Investment Act (WIA) Performance Reporting System

1. Purpose. To transmit guidance and instruction promoting the consistent integration and use of the web-based WIA Performance Reporting System.
2. References. Workforce Investment Act of 1998 (WIA), section 185(d)(2) and 188; 20 CFR Part 667.300(d), (e)(1)(2) of the WIA Final Rules (published at 65 FR 49429, Aug 11, 2000); Planning Guidance and Instructions for Submission of the Strategic Five-Year Plan for Title I of WIA and the Wagner-Peyser Act; WIA: Final Unified Planning Guidance; Training and Employment Information Notice (TEIN) No. 9-00, Submission to OMB of WIA Performance Reporting Packet; Notice of Office of Management and Budget (OMB) Action No. 1205-0420, dated March 1, 2001.
3. Background. Pursuant to 20 CFR 667.300, "All States and other direct grant recipients must report financial, participant, and performance data in accordance with instructions issued by DOL." Consequently, the Department has developed a reporting system, in consultation with WIA partners and stakeholders from around the country, for States to report participant and performance outcome data. The Employment and Training Administration (ETA) has been working to expedite the electronic reporting capability for States. Requirements are limited to those required by the Act, those required for compliance with Equal Opportunity (EO) requirements, and a few items necessary for oversight and management purposes. The Secretary is compelled to ensure that all elements of the information required for reports be defined and reported in a uniform manner. Hence, each State, Local Board, and recipient must maintain comparable management information systems to facilitate uniformity in reporting.

RESCISSIONS None	EXPIRATION DATE Continuing
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The Department engaged in an extensive consultation process in the development of the WIA Performance Reporting system. DOL National and Regional staff conducted technical assistance

efforts for States and Local Areas explaining the reporting system, discussing the comments received from the Federal Register Publication and answering questions concerning reporting. In September of 2000, DOL convened a meeting of thirty-five Federal, State and Local representatives to establish a partnership among the three levels of the system and to reach agreement on the major scope and policies for the reporting system. The outcomes of these agreements are reflected in the attached reporting instructions.

4. Reporting and Record Keeping Information. States are required to submit three different participant reports. They are:

1) The Workforce Investment Act Standardized Record Data (WIASRD). States are required to maintain this collection of individual records containing activity and outcome information for each participant. The WIASRD is the foundation for the quarterly and annual reports. These records are due by December 1st following the end of each program year.

2) The WIA Quarterly Performance Report. This cumulative report provides a summary of State performance of individuals served by WIA Title I-B, including individuals served by both Statewide and local funds. This report is due no later than 45 days after the end of each quarter.

3) The WIA Annual Performance Report. Annual performance reports will contain information on the progress of the State in exceeding negotiated levels of performance, including information on the levels of performance achieved by the State with respect to the core indicators of performance and the customer satisfaction indicators. This report is due by December 1st following the end of each program year.

With the design of one reporting system, all three participant reports can be input into a system with which State reporting personnel are already familiar. This is the same web-based system States are currently utilizing to input Welfare-to-Work, Wagner-Peyser, ETA 9002, and WIA financial data. The internal, technical processes for the quarterly reports have been completed and the system is ready for States to input their data. The Department is currently preparing the calculations and edit checks for the WIASRD and the annual report. In the coming months, these will be available for States to utilize in the preparation of their reports.

5. Significant Changes. On March 1, ETA received OMB approval for the entire reporting packet. We have posted this reporting packet with all changes to our web site at www.usworkforce.org. Please note the approved reporting packet contains changes in response to comments forwarded to OMB by States. These changes increase the methodological rigor of the customer satisfaction surveys; prohibit the use of the Social Security Number in the individual record; revise the procedures for selecting a sample of individual records to be sent to ETA; and remove the proposed requirement for States to track and report expenditures separately for core, intensive and training services in their annual reports. The changes also instruct States that promises of confidentiality cannot be made to participants unless authority exists in State law or protections are incorporated in contracts for data collection.

Changes are being made to all pertinent Training and Employment Guidance Letters (TEGLs) (6-00, 7-99 and 8-99) and will be widely distributed in the coming weeks.

6. Data Submission. State reporting personnel and those at the State level who are responsible for certifying the reports have already been issued a PIN/Password from ETA for reporting WIA Performance Reports. If your State has not completed this process, please contact your Regional Office as soon as possible in order to allow for timely reporting.

This guidance letter transmits instructions for State offices to use in implementing this system. A detailed set of instructions are attached for all three reports (attachment B-1), with step-by-step instructions provided for the quarterly report. The web-based system for reporting is now open. The due date for the 2nd quarter WIA Quarterly Summary Report is March 16, 2001. Thereafter, all quarterly reports will be due in accordance with dates prescribed in the WIA Quarterly Performance Reporting packet (Attachment B). Further instructions for the electronic reporting of individual records and the annual report will be sent when they are available.

With the implementation of this electronic reporting system, States have sole control over data entry. Once data is certified by the States, Regional Administrators will be responsible for ensuring that data submitted by the State is correct and timely.

7. Action Required. States are required to immediately implement this system. This TEGL and all referenced attachments should be sent to all Local areas responsible for administering the WIA programs, as well as those personnel responsible for participant reporting, and relevant workforce development partners.

8. Inquiries. Questions concerning this TEGL should be directed to your appropriate Regional Office.

9. Attachments.

- A. Justification for WIA Standardized Record Data (WIASRD)
- B. Sampling Guidelines for WIASRD
- C. Use of Wage Records and Supplemental Data Sources
- D. Customer Satisfaction
- E. Workforce Investment Act Standardized Record Data (WIASRD)
- F. Instructions and Form for the WIA Quarterly Summary Report (ETA 9090)
- F-1. WIA Performance Quarterly Reporting Instructions - A Step-by-Step Guide to the On-Line Reporting System
- G. Instructions and Form for the WIA Title IB Annual Report (ETA 9091)

**Attachment A
Justification for WIA Standardized Record (WIASRD) Items**

Data Element	Purpose							Required Items by Group						Citation	
	Maint. of Standard Record	EO	Annual Report	Core Indicator of Perform.	Eligibility Determination	General Oversight & Eval.	Additional Data for Setting Levels	Adult		Dislocated Worker		Youth			
								C	I T	C	I T	14- 18	19- 21		
SECTION I - INDIVIDUAL INFORMATION															
101	Individual identifier	!		!		!		•	•	•	•	•	•	§185(d)(1)(E)	
102	Date of birth	!	!	!	!	!	!	•	•	•	•	•	•	§136(d)(2)(F) and §185(d)(1)(A)	
103	Gender	!	!			!	!	•	•	•	•	•	•	§185(d)(1)(A)	
104	Individual with a disability	!	!	!	!	!	!	•	•	•	•	•	•	§136(d)(2)(F)and §185(d)(1)(E) Coordination with Voc. Rehab./Wagner-Peyser	
105	Ethnicity Hispanic or Latino	!	!			!	!	•	•	•	•	•	•	§185(d)(1)(A)	
106	Race	American Indian or Alaska Native	!	!			!	!	•	•	•	•	•	•	§185(d)(1)(A)
107		Asian	!	!			!	!	•	•	•	•	•	•	§185(d)(1)(A)
108		Black of African American	!	!			!	!	•	•	•	•	•	•	§185(d)(1)(A)
109		Hawaiian Native or other Pacific Islander	!	!			!	!	•	•	•	•	•	•	§185(d)(1)(A)
110		White	!	!			!	!	•	•	•	•	•	•	§185(d)(1)(A)
111	Veteran status			!		!	!	•	•	•	•	•	•	§136(d)(2)(F)	
112	Campaign veteran					!		•	•	•	•	•	•	Coordination with Veterans Programs and Wagner-Peyser	
113	Disabled veteran					!		•	•	•	•	•	•		
114	Recently separated veteran					!		•	•	•	•	•	•		
115	Employment status at registration			!	!	!	!	•	•	•	•	•	•	§136(d)	
116	Limited English language proficiency					!	!	•		•	•	•	•	High level of interest by Congress, et. al	
117	Single parent					!	!	•		•	•	•	•	High level of interest by education, Congress, et. al	
118	Unemployment Compensation programs					!		•		•	•	•	•	High level of interest by Congress, et. al. Coordination with UI program	
119	Low Income	!				!	!	•				•	•	High level of interest by Congress, et. al	

Attachment A
Justification for WIA Standardized Record (WIASRD) Items

Data Element	Purpose							Required Items by Group					Citation		
	Maint. of Standard Record	EO	Annual Report	Core Indicator of Perform.	Eligibility Determination	General Oversight & Eval.	Additional Data for Setting Levels	Adult		Dislocated Worker		Youth			
								C	I T	C	I T	14- 18		19- 21	
120	Temporary Assistance to Needy Families (TANF)			!	!	!	!		•			•	•	§136(d)(2)(F)	
121	General Assistance (GA) (State/local government), Refugee Cash Assistance (RCA), Supplemental Security Income (SSI-SSA Title XVI)			!	!	!	!		•			•	•	§136(d)(2)(F) High level of interest from funding sources	
122	Pell Grant recipient						!		•		•	•	•	General oversight. One criterion of who may receive training is those who are unable to obtain grants assistance from other sources, including Pell Grants (see WIA section 134(d)(4)(B), section 663.310(d) and coordination requirements section 663.320.	
123	Highest school grade completed	!		!	!	!	!		•		•	•	•	§136(d)(2)(F) Used in calculation of Youth Diploma Measure	
	Additional Individual Information Needed for Dislocated Workers and Displaced Homemakers														
124	Displaced homemaker			!		!	!				•	•		§136(d)(2)(F)	
125	Date of actual qualifying dislocation			!	!	!	!				•	•		§136(f)(2) Used in calculation of Earnings Replacement	
	Additional Individual Information Needed for Youth														
126	Homeless Individual and/or runaway youth					!	!	!					•	•	Targeted group § 129(c)(5)
127	Offender					!	!	!					•	•	Targeted group § 129(c)(5)
128	Pregnant or parenting youth					!	!	!					•	•	Targeted group § 129(c)(5)

**Attachment A
Justification for WIA Standardized Record (WIASRD) Items**

Data Element	Purpose						Required Items by Group						Citation		
	Maint. of Standard Record	EO	Annual Report	Core Indicator of Perform.	Eligibility Determination	General Oversight & Eval.	Additional Data for Setting Levels	Adult		Dislocated Worker		Youth			
								C	I T	C	I T	14- 18		19- 21	
314	Adult Education	!					!								
315	Job Crops	!					!								
316	Migrant and Seasonal Farmworker Programs	!					!								
317	Native American Programs	!					!								
318	Veterans' Programs	!					!								
319	Trade Adjustment Act (TAA)	!					!								
320	NAFTA-TAA	!					!								
321	Vocational Education	!					!								
322	Vocational Rehabilitation	!					!								
323	Wagner-Peyser	!					!								
324	Welfare-to-Work Participant	!					!								
325	Employment and Training programs carried out under the Community Services Block Grant Act	!					!								
326	Employment and Training programs carried out under the Dept. of Housing and Urban Development	!					!								
327	Title V activities	!					!								
328	Food Stamps Employment and Training	!					!								
329	Other non-WIA programs	!					!								
330	Supportive services (except needs-related payments) received	!		!			!	•	•	•	•	•	•	•	•
331	Needs-related payments (Adults/Dislocated Workers in training services) or Stipends (Youth in training)	!		!			!	•		•	•	•	•	•	•
332	Date of first intensive service	!		!			!	•		•					§136(d)(1) and §185(d)(1)(B)
333	Date of first training service	!		!	!		!	•		•					§136(d)(1) and §185(d)(1)(B)

If these optional items are used, the information may be used to extend the exit date and/or to include outcomes obtained by partner programs

Needed for general oversight. May be used in preparing cost of activities information (section 136(d)(2)(C) and section 185(d)(1)(B)).

Attachment A
Justification for WIA Standardized Record (WIASRD) Items

Data Element		Purpose						Required Items by Group						Citation	
		Maint. of Standard Record	EO	Annual Report	Core Indicator of Perform.	Eligibility Determination	General Oversight & Eval.	Additional Data for Setting Levels	Adult		Dislocated Worker		Youth		
									C	I T	C	I T	14- 18		19- 21
601	Employed in quarter after exit quarter	!		!	!		!		•	•	•	•		•	§136(d)(2)(A) and §185(d)(1) (C) Entered Employment, Earnings Change, Earnings Replacement and Retention
602	Source of supplemental data			!	!		!		•	•	•	•		•	§136(d)(2)(A) and §185(d)(1) (C) Entered Employment and Earnings Change
	EMPLOYMENT INFORMATION														
603	Occupational code (if available)	!		!			!		•	•	•	•		•	§136(d)(2) and §185(d)(1)(C)
604	Occupational code type	!		!			!		•	•	•	•		•	§136(d)(2) and §185(d)(1)(C)
605	Entered training-related employment			!			!			•		•		•	§136(d)(2)(A)
606	Method used to determine training-related employment						!			•		•		•	§136(d)(2)(A)
607	Entered non-traditional employment			!			!		•	•	•	•		•	§185(d)(2)(C)
608	Employed in third quarter after exit quarter	!		!	!		!		•	•	•	•		•	§136(d)(1) and §185(d)(1)(C) - Retention
609	Source of supplemental data			!	!		!		•	•	•	•		•	§136(d)(2)(A) and §185(d)(1)(C) Retention and Earnings Change
610	Employed in fifth quarter after exit quarter	!		!			!		•	•	•	•		•	§136(d)(2)(D) and §185(d)(1)(C)
611	Source of supplemental data			!			!		•	•	•	•		•	12 Mo. Retention and 12 Mo. Earnings Change

**Attachment A
Justification for WIA Standardized Record (WIASRD) Items**

Data Element		Purpose							Required Items by Group						Citation
		Maint. of Standard Record	EO	Annual Report	Core Indicator of Perform.	Eligibility Determination	General Oversight & Eval.	Additional Data for Setting Levels	Adult		Dislocated Worker		Youth		
									C	I T	C	I T	14- 18	19- 21	
612	Third quarter prior to registration	!		!	!		!		•	•	•	•		•	§136(f)(2) Earnings Change
613	Third quarter prior to dislocation	!		!	!		!				•	•			§136(f)(2) Earnings Replacement
614	Second quarter prior to registration	!		!	!		!		•	•	•	•		•	§136(f)(2) Earnings Change
615	Second quarter prior to dislocation	!		!	!		!				•	•			§136(f)(2) Earnings Replacement
616	First quarter following the exit quarter	!		!	!		!		•	•	•	•		•	§136(f)(2) Entered Employment
617	Second quarter following the exit quarter	!		!	!		!		•	•	•	•		•	§136(f)(2) Earnings Change/ Replacement
18	Third quarter following the exit quarter	!		!	!		!		•	•	•	•		•	§136(f)(2) Retention and Earnings Change/ Replacement
619	Fourth quarter following the exit quarter	!		!			!		•	•	•	•		•	§136(f)(2) 12 Mo. Earnings
620	Fifth quarter following the exit quarter	!		!			!		•	•	•	•		•	§136(f)(2) 12 Mo. Earnings and 12 Mo. Retention
621	Type of recognized educational/occupational certificate/credential/diploma/degree attained	!		!	!		!		•	•	•	•		•	§136(d)(1) and §185(d)(1)(C) Credential
622	Other reasons for exit	!		!	!		!		•	•	•	•	•	•	§136(d)(1) and §185(d)(1)(C)
623	In postsecondary education or advanced training in quarter after exit	!		!	!		!							•	§136(d)(1) and §185(d)(1)(C) Older Youth Credential, Older Youth Entered Employment, and Older Youth Earnings Change
624	In postsecondary education or advanced training in third quarter after exit	!		!	!		!							•	§136(d)(1) and §185(d)(1)(C) Older Youth Retention and Earnings change

Total earnings from wage records for the:

Data Element	Purpose						Required Items by Group				Citation		
	Maint. of Standard Record	EO	Annual Report	Core Indicator of Perform.	Eligibility Determination	General Oversight & Eval.	Adult		Dislocated Worker			Youth	
							C	I T	C	I T		14- 18	19- 21
SECTION IIIB - OUTCOMES FOR YOUNGER YOUTH (Aged 14-18 at registration)													
625	Goal #1 type	!		!	!	!						•	§136(d)(1) and §185(d)(1)(C) Youth Goal Attainment
626	Date goal #1 was set	!		!	!	!						•	
627	Attainment of goal #1	!		!	!	!						•	
628	Date attained goal #1	!		!	!	!						•	
629	Goal #2 type	!		!	!	!						•	
630	Date goal #2 was set	!		!	!	!						•	
631	Attainment of goal #2	!		!	!	!						•	
632	Date attained goal #2	!		!	!	!						•	
633	Goal #3 type	!		!	!	!						•	
634	Date goal #3 was set	!		!	!	!						•	
635	Attainment of goal #3	!		!	!	!						•	
636	Date attained goal #3	!		!	!	!						•	
637-672	Information on additional youth goals	!		!	!	!						•	
673	Attained Secondary School Diploma	!		!	!	!						•	
674	Date of high school diploma or GED attainment	!		!	!	!						•	§136(b)(2)(A)(I)
675	Youth placement information	!				!						•	§136(d)(1) and §185(d)(1)(C) Youth Retention
676	Youth retention information	!		!	!	!						•	

Attachment B Sampling Guidelines for the Individual Record (WIASRD)

States may send DOL samples of records instead of all records. Samples must adhere to the following guidelines:

- The universe (or sampling frame) from which the samples are to be drawn consists of all exiters in the last three complete program years. Submissions should not include individuals who terminated from JTPA. Thus, for most States, the submission due December 1, 2001 will include only Program Year (PY) 2000 exiters. For early implementation States, it will include only PY 2000 and PY 1999 exiters.
- Samples are to be selected randomly using generally accepted statistical sampling methods.
- The minimum sampling rate is the *larger* of:
 - 33%.
 - The rate needed to achieve a sample of 2,500 in the funding stream (adult, dislocated worker and youth) with the *smallest* number of exiters during the program year. This sampling rate equals 2,500 divided by the number of exiters from that funding stream during the program year.
- The same sampling rate must be used to select the entire sample for each program year (i.e., the sampling rate must be applied to all funding streams).
- If any funding stream has fewer than 2,500 exiters in a program year, sampling is not allowed.
- A different sampling rate may be used for each program year included in the sample. However, States having the option of applying the largest of the minimum sampling rates calculated for the three program years in the submission to all three program years.
- The samples for each of the two earliest program years in a submission may be either a new sample selected for the submission or the same sample selected for the submission made the previous year.

NOTE: Although States may submit samples of records, the data items included in the record must be collected and maintained for all individuals.

For many States, the effort involved in programming the selection of the sample will outweigh the benefits of sampling. Therefore, States are encouraged to consider whether they will achieve a net benefit from sampling before deciding to sample. States are not required to sample and may decide to routinely submit all records to DOL.

Worksheet for Determining Minimum Sampling Rates

The following worksheet may be used to determine the required sampling rate for each program year included in the submission:

	A Number of Exiters During Program Year	B Smallest Value in Column A	C 2,500 divided by Column B	D Minimum Sampling Rate (Largest Value in Column C)
Overall minimum			33%	
Adults				
Dislocated Workers				
Youth				

A sample of a completed worksheet follows for a State with 8,000 adult exiters, 7,000 dislocated worker exiters, and 4000 youth in a program year.

	A Number of Exiters During Program Year	B Smallest Value in Column A	C 2,500 divided by Column B	D Minimum Sampling Rate (Largest Value in Column C)
Overall minimum			33%	63%
Adults	8,000	4,000		
Dislocated Workers	7,000		63%	
Youth	4,000			

For this State and program year, the funding stream with the fewest number of exiters is youth, with 4,000 exiters. Thus, 4000 is entered in Column B. The value entered in Column C is 2,500 divided by 4,000, which is 63%. Because this value is greater than 33%, the minimum sampling rate is 63% for all funding streams. This value of 63% is entered in Column D.

Attachment C Use of Wage Records and Supplemental Data Sources

(This information is based on TEGL 7-99, the Core and Customer Satisfaction Measures document but also contains some refinements to the original document.)

Unemployment Insurance Wage Records

To the extent it is consistent with State law, the Unemployment Insurance (UI) wage records will be the primary data source for tracking entered employment, employment retention, earnings change/replacement, the employment portion of the credential rate for adults, dislocated workers, and older youth and the employment portion of the younger youth retention rate. In addition to UI wage records within a State, the Wage Record Interchange System (in the pilot stages at this time) and other State Employment Security Offices (to track UI wage records across States) are considered acceptable wage record sources. If individuals are not found in the UI wage record sources, States may use supplemental data sources for the entered employment, retention, credential and younger youth retention measures. However, the only data source that can be used for the earnings change/replacement measures is the UI wage records.

Supplemental Data Sources

While the majority of employment in a State's workforce is "covered" and will be in the UI wage records, certain types of employers and employees are excluded by Federal unemployment law standards or are not covered under a State's UI law. "Uncovered" employment typically includes Federal employment, postal service, military, railroad, out-of-state employment, self employment, some agricultural employment, and some employment where earnings are primarily based on commission. States have flexibility in methods used to obtain information on participants in "uncovered" employment. Examples include:

- 1) Case management, follow-up services, and surveys of participant to determine that the participant is employed and written documentation of that employment; or
- 2) Record sharing and/or automated record matching with other employment and administrative databases to determine and document employment consistent with applicable privacy laws. These databases may include:
 - Office of Personnel Management (Federal Career Service);
 - United States Postal Service;
 - Railroad Retirement System;
 - U.S. Department of Defense;
 - State Department of Revenue or Tax (State income tax for self-reported occupations); and
 - Government Employment Records (State government, local government, judicial employment, public school employment, etc.);

Most States will likely utilize case management, follow-up services, and surveys of participants to capture supplemental data. Some States already have record sharing and/or automated matching systems in place that they will be able to use to track "uncovered" employment. For States that do not have these systems in place, developing these relationships with State and Local agencies is encouraged. However, record sharing of Federal databases can best be coordinated on a national level rather than having each individual State contact these agencies. It is also possible for States to establish record sharing/matching agreements with agencies such as the State Corrections Department to determine whether individuals are incarcerated and should be excluded from the measures. Even though record sharing is an efficient and reliable data source, many of these agencies may only provide data annually so that it would not be available for quarterly reporting.

Computer records from automated UI wage record matching are considered valid written records and may be used in calculating performance on the earnings measures. Also, please note that supplemental data must be recorded within 30 days after the individual was found missing in the wage record.

Attachment D Customer Satisfaction

(This information is refined from TEGL 6-00 regarding
the Customer Satisfaction Performance Measures)

Customer Satisfaction Measures

A. Overview of Measurement Approach. To meet the customer satisfaction measurement requirements of WIA, the Department will use customer satisfaction surveys. The survey approach that will be utilized allows State and local flexibility and, at the same time, captures common customer satisfaction information that can be aggregated and compared at a State and national level. This will be done through the use of a small set of required questions that will form a customer satisfaction index. The Department will use the American Customer Satisfaction Index (ACSI), which is created by combining scores from three specific questions that address different dimensions of customers' experience. For WIA application, there will be one score for each of the two customer groups: participants and employers.

The ACSI is the most widely used index currently in practice. It is used extensively in the business community, including at over 150 Fortune 500 companies, and in many European countries. Twenty-nine agencies of the Federal government have used the ACSI. In addition, it has been used twice in the past four years to assess customer satisfaction for ETA's Quality Initiative, the Enterprise. The ACSI will allow the workforce investment system to not only look at performance within the system, but also be able to gain perspective on the workforce system's performance by benchmarking against organizations and industries outside of the system. The ACSI also has a history of being useful in tracking change in customer satisfaction over time, making it an ideal way to gauge States' progress "toward continuously improving in performance."

Since the ACSI trademark is proprietary property of the University of Michigan and the Claes Fornell International Group (CFI), the Department has established a license agreement with the University of Michigan that will allow States the use of the ACSI for a Statewide sample of participants and employers.

It is worthwhile to note that States may use the ACSI questions and approach to measure satisfaction at the Local Board 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 Board performance are not required to conduct separate statewide customer satisfaction surveys to obtain State level results as long as:

- the surveys are administered by telephone,
- respondents are contacted within the window of opportunity outlined for participants and employers, at least 500 surveys are completed statewide for each group -- participants and employers,
- the surveys comply with the methodology spelled out in this guidance, and
- the Local Board results can be weighted to account for sampling differences, if appropriate, and aggregated to obtain state level outcomes.

Please refer to TEGL 6-00 for information on purchasing licenses to use the ACSI methodology to measure satisfaction at the local level. States following this guidance may aggregate local outcomes to obtain State level outcomes on the customer satisfaction measures. These aggregated results will be reported on the quarterly and annual reports.

B. Customer Satisfaction Measures

Measure 16: Participant Satisfaction

The weighted average of participant ratings on each of the three questions regarding overall satisfaction are reported on a 0-100 point scale. The score is a weighted average, not a percentage.

1. Who Will Be Surveyed?

WIA Title I-B participants who are exiters as defined in the core measures, who are either Adults, Dislocated Workers, Older Youth (ages 19-21), or Younger Youth (ages 14-18) will be surveyed. All individuals from all funding streams in an exit cohort are eligible to be chosen for inclusion in the random sample.

2. How Many (number obtained)?

Except in small States, a sample will be taken from these exiter groups in each quarter. At least 500 completed interviews are required for the participant survey for calculation of the indicator. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews. The sampling percentage should be constant over time to avoid under-representing or over-representing time intervals. A completed participant survey is defined as a survey in which all three questions about overall satisfaction have been answered. The standard of 500 from a sample of the whole population of customers provides accuracy such that there is only a 5 in 100 chance that the results would vary by more than ± 5 points from the score obtained from surveying the whole population.

For the first year of data collection only, there is a minimum response rate of 50% for determining the usefulness of the data for performance measurement purposes. Response levels below 50% during the first year will invalidate the results for performance measurement purposes as significant bias in the results is likely. For the following years of data collection, States are expected to achieve a 70% response rate.

3. How (methodology)?

The responses are obtained using a uniform telephone methodology. The rationale for only using telephone surveys includes: the comparability of the indicator for assessing performance levels is most reliably obtained with a telephone survey; telephone surveys are easily and reliably administered; and defining procedures for mailed surveys is more difficult than defining procedures for telephone surveys. Estimates of the cost of telephone surveys nationwide run an average of \$15 per completed survey. Since it is being proposed that States complete 500 participant and 500 employer surveys, the cost would be an estimated total of about \$15,000 per State per year.

As with other data collected on the receipt of services by participants, the responses to the customer satisfaction surveys must be held confidential as required by applicable State law. Before promising respondents confidentiality of results, States must ensure that they have legal authority for that promise. Such authority can be found in State privacy laws, for example.

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

- A. Participant customer satisfaction responses must be collected by way of telephone interviews. In-person interviews and mail questionnaires may be used only in situations where the individual does not have a telephone.
- B. 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 or 60 days after the 90 days have elapsed since the last service date.

- C. States must complete a minimum of 500 participant surveys during the program year to accurately assess performance on the ACSI.
- D. States must randomly sample participants to obtain the desired number of completed surveys. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews.
- E. With the exception of the first year of data collection, the response rates for participant surveys must be a minimum of 70 percent. For the first year of data collection only, there is a minimum response rate of 50% for determining the usefulness of the data for performance measurement purposes.

The response rate is calculated as the number of respondents with *complete* customer satisfaction information divided by the total number in the sampling frame. A survey is considered *complete* where valid answers are provided by respondents for each of the core questions outlined by DOL.

- F. Attempts must be made to contact all exiters in the samples to avoid introducing bias.
- G. The sampling methodology used to select potential respondents for the surveys must ensure the consistent random selection of a sample of individuals eligible for the surveys. With this in mind, no individual in the participant group eligible for the survey may be arbitrarily excluded from a sample.

It is very important that all records for eligible participants be entered in a timely fashion into the databases. The information in these databases will be used to develop lists of participants who received services that are the subject of the surveys. Participant 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.

- H. Every precaution must be taken to prevent a response bias.
- I. The *core question(s)* and survey approach used by States to collect customer satisfaction information must be uniformly applied throughout the State.
- J. States must use the minimum core customer satisfaction questions specified by the Department in collecting and reporting satisfaction outcomes. These mandatory items should be located at the beginning of the questionnaire. States may include other questions about the service experience.
- K. Respondents must be told that responding to the survey is voluntary and that the information they provide will be kept confidential. However, States must not make any assurances regarding confidentiality without ensuring that they have the legal authority to make such assurances.
- L. States must create a process for creating an up-to-date customer list, capturing information on each customer's address and telephone number.

- M. Local program staff must inform the customer during the registration process about the importance of satisfying customers and the possibility of being contacted for information on his or her experience with the services. Customers must be told the survey is voluntary and that responses are considered confidential. However, States must not make any assurances regarding confidentiality without ensuring that they have the legal authority to make such assurances.
- N. The interview should be limited to 15 minutes or less. Shorter questionnaires produce better response rates when compared to longer questionnaires.
- O. A minimum of five follow-up attempts is required, involving various times of the day before closing the record.
- P. Local programs should collect alternate contact information from a person known by the customer who would know the whereabouts of the customer in the event the customer cannot be reached at the address and telephone number recorded for the customer.
- Q. A letter in advance of the survey should be sent out informing the customer that he or she can expect to receive a telephone call about his or her satisfaction with the services. States should place a phone number on the letter, suggesting that customers call if they need help or call if their home phone numbers changed.

4. When to Conduct Surveys?

The surveys should be conducted on a rolling basis within the time frame for participants indicated below. To obtain sufficient numbers, smaller States will need to survey on an ongoing basis. Participants should be contacted within 60 days of the exit date or the date that an exit date has been determined. This means either 60 days after the date of an exit interview or 60 days after the 90 days have elapsed since the last service date.

5. What are the Core Questions?

The following introductory statement and core ACSI questions are to be read to the respondent at the beginning of the interview². The introductory script sets the context for the interview by focusing the interview on the service experience, date(s) of service, and the firm(s) or organization(s) delivering the service(s). In addition to contact information, the survey administrators will need to know the service(s) provided to each customer, the date(s) of service, and the firm(s) providing the service(s) in order to complete the interviews. The service(s) should be worded in terms recognizable to the customer.

[Introductory Script]

My name is (interviewer) with (firm or agency) and I am conducting a survey for the (program name). I would like to speak to Ms./Mr. (name of participant).

Are you the Ms./Mr. (name of participant) who received a (name of service(s)) from the _____ on

² Note: The first question can be modified to suit the individual needs of the State and the names for program services recognizable for their population. The lead-in question provided is a model to be used as guidance.

(date or date range)? [IF THE RESPONDENT CONFIRMS PARTICIPATION, PROCEED WITH THE INTERVIEW. IF NO, END THE INTERVIEW AND THANK THE RESPONDENT FOR HIS OR HER TIME.]

I would like to ask you some questions about your recent experience with the services provided to you. Our purpose is to learn from you how to improve programs and services offered to people. The survey was approved by the Office of Management and Budget to collect information on your experience with services we provide to individuals. The questionnaire is voluntary and should take no longer than 15 minutes to complete. Please know the answers you provide to my questions will be kept confidential. Do you have any questions for me before we start the interview? [IF NO, CONTINUE. IF YES, PROBE TO UNDERSTAND THE QUESTIONS, PROVIDE ANSWERS AND RESTATE THE IMPORTANCE OF THE RESPONDENT'S PARTICIPATION IN THE INTERVIEW.]

[The Questions]

First, I want you to rate your overall experience with the services. I will read to you three statements and ask you to rate your experience.

- 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 ³	REF ⁴
1	2	3	4	5	6	7	8	9	10	11	12

- 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

- 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
-----------------------	--	--	--	--	--	--	--	--	------------------------	----	-----

³ DK = Don't Know

⁴ REF = Refused to Answer

1 2 3 4 5 6 7 8 9 10 11 12

Measure 17: Customer Satisfaction

The weighted average of employer ratings on each of the three questions regarding overall satisfaction are reported on a 0-100 point scale. The score is a weighted average, not a percentage.

1. Who Will Be Surveyed?

Those eligible for surveying include employers who have received a substantial 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 random sample (this excludes those employers who request a brochure or standard mailing, those who ask a question that is answered with little expenditure of staff time, or those who use electronic self-services).⁵ Examples of substantial services include staff facilitated job orders, customized job training, customized labor market information requests, and on-the-job training activities.

When an employer has received multiple services, priority should be given to the service that required the greatest expenditure of funds or staff time⁶ and the survey conducted regarding their satisfaction with that service.

2. How Many (number obtained)?

Except in small States, a sample will be taken from these employers. At least 500 completed interviews are required for the employer survey for calculation of the indicator. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews. The sampling percentage should be constant over time to avoid under-representing or over-representing time intervals. A completed employer survey is defined as a survey in which all three questions regarding overall satisfaction have been answered. The standard of 500 from a sample of the whole population of customers provides accuracy such that there is only a 5 in 100 chance that the results would vary by more than ± 5 points from the score obtained from surveying the whole population.

For the first year of data collection only, there is a minimum response rate of 50% for determining the usefulness of the data for performance measurement purposes. Response levels below 50% during the first year will invalidate the results for performance measurement purposes as significant bias in the results is likely. For the following years of data collection, States are expected to achieve a 70% response rate.

3. How (methodology)?

The responses are obtained using a uniform telephone methodology. The rationale for only using telephone

⁵ This standard is similar to the participant standard that distinguishes core services (information/self-service) from those services that warrant registration.

⁶ Where an employer has received multiple services in a given time period, and there is separate contact information for each service, the contact information for the priority service should be used for surveying.

surveys include: the comparability of the indicator for assessing performance levels is most reliably obtained with a telephone survey; telephone surveys are easily and reliably administered; and defining procedures for mailed surveys is more difficult than defining procedures for telephone surveys. Estimates of the cost of telephone surveys nationwide run an average of \$15 per completed survey. Since it is being proposed that States complete 500 participant and 500 employer surveys, the cost would be an estimated total of about \$15,000 per State per year.

As with other data collected on the receipt of services by employers, the responses to the customer satisfaction surveys must be held confidential as required by applicable State law. Before promising respondents confidentiality of results, States must ensure that they have legal authority for that promise. Such authority can be found in State privacy laws, for example.

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

- A. Employer customer satisfaction responses must be collected by way of telephone interviews. In-person interviews and mail questionnaires may be used only in situations where the individual does not have a telephone.
- B. Employer customers 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 the job order was listed.
- C. States must complete a minimum of 500 employer surveys during the program year to accurately assess performance on the ACSI.
- D. States must randomly sample employers to obtain the desired number of completed surveys. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews.
- E. With the exception of the first year of data collection, the response rates for employer surveys must be a minimum of 70 percent. For the first year of data collection only, there is a minimum response rate of 50% for determining the usefulness of the data for performance measurement purposes.

The response rate is calculated as the number of respondents with *complete* customer satisfaction information divided by the total number in the sampling frame. A survey is considered *complete* where valid answers are provided by respondents for each of the core questions outlined by DOL.

- F. Attempts must be made to contact all eligible employers in the samples to avoid introducing bias.
- G. 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 individual in the employer group eligible for the survey may be arbitrarily excluded from a sample.

It is very important that all records for eligible employers be entered in a timely fashion into the databases. The information in these databases will be used to develop lists of employers who received services that are the subject of the surveys. 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.

- H. Every precaution must be taken to prevent a response bias.
- I. The *core question(s)* and survey approach used by States to collect customer satisfaction information must be uniformly applied throughout the State.
- J. States must use the minimum core customer satisfaction questions specified by the Department in collecting and reporting satisfaction outcomes. These mandatory items should be located at the beginning of the questionnaire. States may include other questions about the service experience.
- K. Respondents must be told that responding to the survey is voluntary and that the information they provide will be kept confidential. However, States must not make any assurances regarding confidentiality without ensuring that they have the legal authority to make such assurances.
- L. States must create a process for creating an up-to-date customer list, capturing information on each customer's address and telephone number.
- M. Local program staff must inform the customer during the service application process about the importance of satisfying customers and the possibility of being contacted for information on his or her experience with the services. Customers must be told the survey is voluntary and that responses are considered confidential.
- N. The interview should be limited to 15 minutes or less. Shorter questionnaires produce better response rates when compared to longer questionnaires.
- O. A minimum of five follow-up attempts is required, involving various times of the day before closing the record.
- P. Local programs should collect alternate contact information from a person known by the customer who would know the whereabouts of the customer in the event the customer cannot be reached at the address and telephone number recorded for the customer.
- Q. A letter in advance of the survey should be sent out informing the customer that he or she can expect to receive a telephone call about his or her satisfaction with the services. States should place a phone number on the letter, suggesting that customers call if they need help or call if their phone numbers changed.

4. When to Conduct Surveys?

The surveys should be conducted on a rolling basis within the time frame indicated below. To obtain sufficient numbers, smaller States will need to survey on an ongoing basis. Employers should be contacted within 60 days of the completion of the service or 30-60 days after a job order has been listed where no referrals have been made.

5. What are the Questions?

The following introductory statement and core ACSI questions are to be read to the respondent at the beginning of

the interview⁷. The introductory script sets the context for the interview by focusing the interview on the service experience, date(s) of service, and the firm(s) or organization(s) delivering the service(s). In addition to contact information, the survey administrators will need to know the service(s) provided to each customer, the date(s) of service, and the firm(s) providing the service(s) in order to complete the interviews. The service(s) should be worded in terms recognizable to the customer.

[Introductory Script]

My name is (interviewer) with (firm or agency) and I am conducting a survey for the (program name). I would like to speak to Ms./Mr. (name of employer contact).

Are you the Ms./Mr. (name of contact) who received a (name of service(s)) from the _____ on (date or date range)? [IF THE RESPONDENT CONFIRMS PARTICIPATION, PROCEED WITH THE INTERVIEW. IF NO, END THE INTERVIEW AND THANK THE RESPONDENT FOR HIS OR HER TIME.]

I would like to ask you some questions about your recent experience with the services provided to your business. Our purpose is to learn from you how to improve programs and services offered to area businesses. The survey was approved by the Office of Management and Budget to collect information on your experience with services we provide to employers. The questionnaire is voluntary and should take no longer than 15 minutes to complete.

Please know the answers you provide to my questions will be kept confidential. Do you have any questions for me before we start the interview? [IF NO, CONTINUE. IF YES, PROBE TO UNDERSTAND THE QUESTIONS, PROVIDE ANSWERS AND RESTATE THE IMPORTANCE OF THE RESPONDENT'S PARTICIPATION IN THE INTERVIEW.]

[The Questions]

First, I want you to rate your overall experience with the services. I will read to you three statements and ask you to rate your experience.

- 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 ⁸	REF ⁹
1	2	3	4	5	6	7	8	9	10	11	12

⁷ Note: The first question can be modified to suit the individual needs of the State and the names for program services recognizable for their population. The lead-in question provided is a model to be used as guidance.

⁸ DK = Don't Know

⁹ REF = Refused to Answer

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			DKREF
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

C. Definition of Terms

Sample. A group of cases selected from a population by a random process where everyone has an equal probability of being selected.

Response rate. The percentage of people in the sampling frame who are contacted and respond to the core questions on the survey.

D. The Calculation

The ACSI scores reported for a State represent the weighted sum of the three ACSI questions' 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 a state 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 is calculated as the weighted averages of these values. Assuming the weights for the example state are 0.3804, 0.3247 and 0.2949 for questions 1, 2 and 3, respectively, the ACSI score for the state 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. New weighting factors will be published annually.

Attachment E

Workforce Investment Act Title I-B Standardized Record Data (WIASRD)

A Brief Explanation	
Why	<p>Information about an individual and their WIA title I-B experiences is used to:</p> <ul style="list-style-type: none"> î Share program results with consumers, taxpayers, Congress and others with an interest in the program; î Compare results among WIA title I-B service providers, States and with other federally funded programs; and î Evaluate and continuously improve services. <p>This information is required by WIA. It is confidential and protected by all applicable privacy rules.</p>
Wh	<p>A record is developed for dislocated workers and adults served by the program except for individuals receiving only self-service or informational activities. An individual record is required for each individual served using youth funds.</p>
What	<p>Only necessary information is required. Every effort has been made to streamline and simplify the content and format. An individual's record only expands if additional resources are used to provide more costly services. A few items specifically for dislocated workers and youth are included for those records. Governors, State Boards and Local Boards may wish to add additional items to assist in the management of local or statewide initiatives or programs.</p> <p>Credit for services and outcomes provided by WIA title I-B services are reported. Services and outcomes obtained through program partners during the participation and performance outcome periods may be reported.</p>
When	<p>A record containing cumulative data must be submitted annually for individuals who exited during the program year and for individuals with additional outcome information who exited in previous program years. States are encouraged to submit records for all such exiters and previous exiters. However, States have the option of submitting a sample of records according to the sampling guidelines in Appendix A. Although the data are submitted annually, individual records will need to be updated more frequently as the data will be used to prepare quarterly reports in addition to the Annual Report.</p>

How	<p>The record is divided into three main sections:</p> <ul style="list-style-type: none"> î Individual Information (100 series); î Activities and Services (300 series); and î Outcomes (or results) (600 series). <p>At this time, unused numbers in the 200, 400, 500, 700, 800 and 900 series aren't reserved and States and local areas may use these numbers for their own purposes. Later on, ETA offices may use these item numbers if additional reporting items are added. Each section begins with items needed for all participants at the top of the section, followed by information for individuals receiving additional services (such as intensive and training services). Finally, any items needed just for dislocated workers or youth appear at the end of each section.</p> <p>An applicability guide to show which items are required by groups described in WIA accompanies each item. Please see short notes on grouping codes on the following page. A definition of the item and frequently asked questions appear on the same line. Programmers will also find a field size/type marker in the item box.</p> <p>Technical instructions for preparing and submitting the record are contained in Appendix A.</p>
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Note Regarding Required Items by Groups	
• = Data item required for the column group.	
Data collection requirements for adults and dislocated workers are based on the type of services received:	C = Core services other than informational or self-service, only.
	I = Intensive Services
	T = Training Services
Data collection requirements for youth are based on age at registration:	14 to 18
	19 to 21

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#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 -	19 -	
						18	21	

SECTION 1 - INDIVIDUAL INFORMATION								
101	<i>Individual identifier</i> XXXXXXXX	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<p>The State will develop a process for assigning an identification number to each person. This identification number may be an encrypted Social Security number or another identification number developed by the State. This identification number for a person should be the same for every period of participation and in every local area and statewide program in the State.</p> <p>The ID number may include both numeric and alphabetic characters.</p>
102	<i>Date of birth</i> YYYYMMDD	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
103	<i>Gender</i> 1 = Male 2 = Female	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
104	<i>Individual with a disability</i> 1 = Yes 2 = Yes and disability results in a substantial impediment to employment 3 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<p>An individual with a disability means an individual with any disability as defined in section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102).</p> <p>Record 1 for any individual who has a physical or mental impairment which substantially limits one or more of such person's major life activities, or has a record of such an impairment, or is regarded as having such an impairment.</p> <p>Record 2 if the individual has a physical or mental impairment which for such individual constitutes or results in a substantial impediment to employment.</p>
105	<i>Ethnicity Hispanic or Latino</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<p>A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race.</p> <p>NOTE: Ethnicity information (Hispanic, other) is collected separately from race information. Individuals who indicate that they are Hispanic or Latino should also have the opportunity to select one or more racial categories.</p> <p>NOTE: Information on ethnicity should be collected before information on race.</p> <p><i>What if an individual refuses to select an ethnicity category?</i> Missing data will be accepted as long as data are missing for only a small proportion of participants.</p>

	Race Separate items for each of the following categories							<p><i>What if an individual is multi-racial?</i></p> <p>When self-reported information is used, individuals shall be offered the option of selecting one or more racial designations. Recommended forms for the instruction accompanying the multiple response question are “mark one or more” and “Select one or more.”</p> <p><i>What if an individual refuses to select a racial category?</i></p> <p>Missing data will be accepted as long as data are missing for only a small proportion of participants.</p>
106	<i>American Indian or Alaska Native</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	A person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.
107	<i>Asian</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.
108	<i>Black or African American</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	A person having origins in any of the black racial groups of Africa.
109	<i>Hawaiian Native or other Pacific Islander</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
110	<i>White</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	A person having origins in any of the of the original peoples of Europe, the Middle East, or North Africa.
111	<i>Veteran status</i> 1 = Yes # 180 days 2 = Yes > 180 days 3 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<ul style="list-style-type: none"> Record 1 if the individual is a person who served in the active U.S. military, naval, or air service for a period less than or equal to 180 days, and who was discharged or released from such service under conditions other than dishonorable. Record 2 if the individual met the conditions described above for more than 180 days.

112	<p><i>Campaign veteran</i> 1 = Yes 2 = Yes, Vietnam-era veteran 3 = No</p>	•	•	•	•		•	<p>Record 1 if the individual is a veteran who served on active duty in the U.S. armed forces during a war or in a campaign or expedition for which a campaign badge or expeditionary medal has been authorized as identified and listed by the Office of Personnel Management (OPM). Please see Appendix B for the current list as of 01/07/2000. For campaigns occurring after this date, updated information may be obtained on the OPM web site: http://www.opm.gov/veterans/html/vgmedal2.htm.</p> <p>Record 2 if the individual served in the active U.S. military, naval, or air service, and who was discharged or released from such service under conditions other than dishonorable during the Vietnam-era (the period beginning on February 28, 1961 and ending on May 7, 1975, in the case of a veteran who served in the Republic of Vietnam during that period, and the period beginning on August 5, 1964 and ending on May 7, 1975, in all other cases).</p> <p>Note: If both codes 1 and 2 apply, record 2 for Vietnam-Era Veteran.</p>
113	<p><i>Disabled veteran</i> 1 = Yes 2 = Yes, special disabled 3 = No</p>	•	•	•	•		•	<p>Record 1 if the individual is a veteran who is entitled to compensation regardless of rate (include those rated at 0%) for a disability under laws administered by the Department of Veterans' Affairs (DVA), or who was discharged or released from active duty because of a service-connected disability.</p> <p>Record 2 if the individual is rated at 30% or more by the DVA, or at 10 or 20 percent for a serious employment disability.</p>
114	<p><i>Recently separated veteran</i> 1 = Yes 2 = No</p>	•	•	•	•		•	<p>A veteran who applied for participation under WIA title I within 12 months after discharge or release from active U.S. military, naval, or air service.</p>
115	<p><i>Employment status at registration</i> 1 = Employed 2 = Not employed</p>	•	•	•	•	•	•	<p>Employed. An employed individual is currently working as a paid employee or who works in his or her own businesses or profession or on his or her own farm, or works 15 hours or more per week as an unpaid worker on a farm or in an enterprise operated by a member of the family, or is one who is not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time-off, and whether or not seeking another job.</p> <p>Not employed. An individual who does not meet the definition of employed or who, although employed, has received notice of termination of employment.</p> <p>NOTE: This item is used to calculate some of the core indicators of performance for adults and older youth.</p> <p>NOTE: This information is to be collected from the registrant at registration, not from wage records.</p>
116	<p><i>Limited English language proficiency</i></p>		•		•	•	•	<p>An individual who has limited ability in speaking, reading, writing or</p>

	1 = Yes 2 = No							understanding the English language and (a) whose native language is a language other than English or (b) who lives in a family or community environment where a language other than English is the dominant language.
117	<i>Single parent</i> 1 = Yes 2 = No		•		•	•	•	A single, separated, divorced or widowed individual who has primary responsibility for one or more dependent children under age 18.

118	<i>Unemployment compensation programs (U.C.)</i> 1 = Eligible claimant referred by WPRS 2 = Eligible claimant not referred by WPRS 3 = Exhaustee 4 = Neither claimant nor exhaustee		O		O	O	O	Authorized under State unemployment compensation laws (in accordance with applicable Federal law). Record 1 if the individual is an eligible U.C. claimant referred by the Worker Profiling and Reemployment Services (WPRS) system. Record 2 if the individual is an eligible U.C. claimant but was not referred by WPRS. Record 3 if the individual exhausted their U.C. benefits. Record 4 if the individual was neither an U.C. claimant nor an exhaustee. An eligible U.C. claimant is an individual who has been determined to be monetarily eligible for benefit payments under one or more State or Federal unemployment compensation programs and whose benefit year or compensation, by reason of an extended duration period, has not ended and who has not exhausted his/her benefit rights.
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119	<p><i>Low income</i> 1 = Yes 2 = No</p>		○			○	○	<p>A registrant in one or more of the following categories (WIA section 101(25)):</p> <ul style="list-style-type: none"> (A) receives, or is a member of a family which receives, cash payments under a Federal, State or local income-based public assistance program; (B) received an income, or is a member of a family that received a total family income, for the six-month period prior to registration for the program involved (exclusive of unemployment compensation, child support payments, payments described in subparagraph (A) and old-age and survivors insurance benefits received under section 202 of the Social Security Act (42 U.S.C. 402)) that, in relation to family size does not exceed the higher of: <ul style="list-style-type: none"> (I) the poverty line, for an equivalent period; or (II) 70 percent of the lower living standard income level, for an equivalent period; (C) is a member of a household that receives (or has been determined within the 6-month period prior to registration for the program involved to be eligible to receive) Food Stamps under the Food Stamp Act of 1977(7 U.S.C. 2011 et seq.); (D) qualifies as a homeless individual, as defined in subsections (a) and (c) of section 103 of the Stewart B. McKinney Homeless Assistance Act (42 U.S.C. 11302); or (E) is a foster child on behalf of whom State or local government payments are made. <p><i>May an individual with a disability whose family does not meet income eligibility criteria under the Act be eligible for priority as a low income adult?</i></p> <p>Yes. Even if the family of an individual with a disability does not meet the income eligibility criteria, the individual with a disability is to be considered a low-income individual if the individual's own income:</p> <ul style="list-style-type: none"> (1) Meets the income criteria established in WIA section 101(25)(A) or (B); but is a member of a family whose income does not meet those requirements. [WIA sec. 101(25)(F).]
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	Public assistance recipient: Separate items for each of the following two categories						Record 1 for Yes if the participant is listed on the grant and/or is receiving assistance under any of the following programs at any time during participation. While this information may be updated during participation, such updating is not required. Self-reported information will be acceptable for reporting. Do not include foster child payments. NOTE: Record 1 for Yes for every public assistance program from which the individual is receiving assistance.	
120	<i>Temporary Assistance to Needy Families (TANF)</i> 1 = Yes 2 = No		<input type="radio"/>			<input type="radio"/>	<input type="radio"/>	Also include participants who were referred by the TANF agency, participated in the TANF assessment program as a requirement prior to opening a TANF grant, and who received support services from the TANF agency.
121	<i>General Assistance (GA) (State/local government), Refugee Cash Assistance (RCA), Supplemental Security Income (SSI-SSA title XVI)</i> 1 = Yes 2 = No		<input type="radio"/>			<input type="radio"/>	<input type="radio"/>	Record 1 for Yes if the participant receives cash assistance from one or more of these sources.
122	<i>Pell Grant recipient</i> 1 = Yes 2 = No		<input type="radio"/>		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	The individual is or has been notified s/he will be receiving a Pell Grant. NOTE: This item may be updated at any time while the individual is receiving WIA services (except follow-up services). Record yes if the individual received a Pell grant at any time during WIA participation. NOTE: Section 663.310 of the WIA Final Rule (title 65 FR 49404 - 49405, August 11, 2000) describes which adults and dislocated workers may receive WIA-funded services. Those who are unable to obtain grants assistance from other sources, including Pell grants are discussed in paragraph (d) of section 663.310. Section 663.320 of the same document lists the requirements for coordination of WIA funds with Pell Grants. NOTE: The receipt of a Pell grant may not disqualify a participant from eligibility for WIA-funded training, if the Pell Grant recipient chooses to use the grant for experiences other than tuition.

123	<p><i>Highest school grade completed</i></p> <p>00 = No school grade completed</p> <p>01-11 = Number of elementary/ secondary school grades completed</p> <p>12 = High school graduate</p> <p>88 = Attained certificate of equivalency for a high school degree (e.g., GED)</p> <p>13-15 = Number of school years completed.</p> <p>16 = Bachelor's degree or equivalent</p> <p>17 = Education beyond the Bachelor's degree</p>		•		•	○	•	<p>Codes 13 to 15 include college, or full-time technical or vocational school. Codes 13 to 15 should not be used for individuals who are not high school graduates unless they attained a college degree.</p> <p><i>How should individuals who completed 12th grade but did not receive a diploma or equivalent be coded?</i></p> <p>These individuals should be coded "11" to indicate that they did not receive a diploma or equivalent.</p> <p><i>How should Certificates of Completion or Individual Education Program (IEP) Diplomas be reported?</i></p> <p>Participants with a disability who successfully completed an Individual Education Program (IEP) for youth with disabilities are to be coded as "12".</p>
	<p>Additional Individual Information Needed For Dislocated Workers and Displaced Homemakers</p>							<p>Items 124 and 125 are to be completed for dislocated workers and displaced homemakers only.</p>
124	<p><i>Displaced homemaker</i></p> <p>1 = Yes</p> <p>2 = No</p>			•	•			<p>An individual who has been providing unpaid services to family members in the home and who-</p> <p>(1) has been dependent on the income of another family member but is no longer supported by that income; and</p> <p>(2) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.</p>

125	<i>Date of actual qualifying dislocation</i> YYYYMMDD						<p>The last day of employment at the dislocation job. If there is no dislocation job (e.g., displaced homemakers), leave blank.</p> <p><i>How should dislocated workers who are still employed at registration be reported?</i></p> <p>Leave blank until qualifying dislocation takes place and then record the actual dislocation date.</p> <p>NOTE: When determining preprogram quarters for performance measurement, the registration date will be used instead of the dislocation date when the dislocation date is missing or occurs after the registration date.</p>
	Additional Individual Information Needed For Youth						Items 126 to 131 are for individuals served by the youth program.
126	<i>Homeless individual and/or a runaway youth</i> 1 = Yes 2 = No						<p>An individual who lacks a fixed, regular, adequate night time residence; and any individual who has a primary night time residence that is a publicly or privately operated shelter for temporary accommodation; an institution providing temporary residence for individuals intended to be institutionalized; or a public or private place not designated for or ordinarily used as a regular sleeping accommodation for human beings. Also includes a runaway youth.</p> <p>NOTE: Does not include a person imprisoned or detained under an Act of Congress or State law.</p>
127	<i>Offender</i> 1 = Yes 2 = No						<p>An individual:</p> <ol style="list-style-type: none"> (1) who is or has been subject to any stage of the criminal justice process, for whom services under WIA may be beneficial; or (2) who requires assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction.
128	<i>Pregnant or parenting youth</i> 1 = Yes 2 = No						<p>An individual who is under 22 years of age and who is pregnant, or a youth (male or female) who is providing custodial care for one or more dependents under age 18.</p>
129	<i>Youth who needs additional assistance</i> 1 = Yes 2 = No						<p>A youth, aged 14-21, who requires additional assistance to complete an educational program, or to secure and hold employment as defined by State or local policy. If the State Board defines a policy, the policy must be included in the State Plan.</p>

130	<p><i>Education status at time of registration</i></p> <p>1 = Student, H.S. or less 2 = Student, attending post-H.S. 3 = Not attending school; H.S. dropout 4 = Not attending school; H.S. graduate</p>					•	•	<p>1. The individual has not received a secondary school diploma or its recognized equivalent and is attending any school (including elementary, intermediate, junior high school, secondary or postsecondary, or alternative school or program whether full or part-time), or is between school terms and intends to return to school.</p> <p>2. The individual has received a secondary school diploma or its recognized equivalent and is attending a postsecondary school or program (whether full or part-time), or is between school terms and intends to return to school.</p> <p>3. The individual is no longer attending any school and has not received a secondary school diploma or its recognized equivalent.</p> <p>4. The individual is not attending any school and has either graduated from high school or holds a GED.</p>
131	<p><i>Basic literacy skills deficiency (as defined in §664.205)</i></p> <p>1 = Yes 2 = No</p>					•	•	<p>The individual meets the State or local level definition of basic literacy skills deficient. This definition may establish such criteria as are needed to address State or local concerns, and must include a determination that an individual:</p> <p>(1) Computes or solves problems, reads, writes, or speaks English at or below the 8th grade level on a generally accepted standardized test or a comparable score on a criterion-referenced test; or</p> <p>(2) Is unable to compute or solve problems, read, write, or speak English at a level necessary to function on the job, in the individual's family or in society.</p> <p>In cases where the State Board establishes State policy on this criterion, the policy must be included in the State plan. (WIA sections 101(13)(C)(i), 101(19) and section 112(b)(18)(A))</p> <p>Note: Grade level scores below 9.0 (e.g., 8.9) should be considered as at or below the 8th grade level.</p>

SECTION II - ACTIVITY AND SERVICES INFORMATION								Items 302, 303, and 333 are used to calculate performance on WIA core indicators.
301	<i>ETA-assigned Local Board/Statewide code 00000</i>	O	O	O	O	O	O	<p>Example for State with FIPS code 36 (New York): For federal funds sent to States for use at the local area: Adults - 36005, 36010, 36015, etc. Youth - 36005, 36010, 36015, etc. Dislocated Workers - 36005, 36010, 36015, etc.</p> <p>For federal funds sent to States for statewide (15%) activities: Statewide activities (Youth, displaced homemakers, incumbent workers, other) - 36903 Rapid Response (including additional assistance) - 36902 National Emergency Grant - 36901</p> <p>NOTE: If the individual was served by the local area and also by other non-local funds (e.g., statewide funds or a national emergency grant), record the code for the Local Board and not one of the special codes specified above.</p> <p>NOTE: If the individual was jointly served by two or more local areas, record the code for the local area in which the individual resides. This instruction is not intended to determine how the state measures performance for these local areas.</p> <p><i>Will ETA use the same codes for WIA as were used for JTPA?</i></p> <p>A Local Board code will be the same as the JTPA SDA code if there is no change in the geographic area.</p>

302	Date of WIA title I-B registration YYYYMMDD	○	○	○	○	○	○	<p><i>When must the individual be registered?</i> Registration is the process for collecting information to support a determination of eligibility. This information may be collected through methods that include electronic data transfer, personal interview, or an individual's application. Adults and dislocated workers who receive services funded under title I other than self-service or informational activities must be registered and determined eligible. (20 CFR 663.105(a) and (b), 65 FR49403, August 11, 2000)</p> <p>All youth participants must be registered. Thus, youth must be registered when they start to receive any youth services. (20CFR 664.215, 65 FR 49412, August 11, 2000)</p> <p><i>What date should be recorded as the registration date?</i> The registration date should be the date of the first WIA title I-B service (other than informational or self-service activities for adults and dislocated workers).</p> <p><i>Which adult and dislocated worker core services are informational or self-service and, thus, do not require registration?</i> Self-service and informational activities are those core services that are made available and accessible to the general public, that are designed to inform and educate individuals about the labor market and their employment strengths, weaknesses, and the range of services appropriate to their situation, and that do not require significant staff involvement with the individual.</p> <p><i>What are examples of core services that would require registration?</i> Core services requiring registration include:</p> <ul style="list-style-type: none"> S Staff-assisted job search and placement assistance, including career counseling; S Staff-assisted job referrals (such as testing and background checks); S Staff-assisted job development (working with employer and job-seeker); and S Staff-assisted workshops and job clubs. <p>See Appendix C for additional guidance in categorizing services.</p>
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303	<p><i>Date of WIA exit</i> YYYYMMDD</p>	•	•	•	•	•	•	<p>The last date on which WIA title I or partner services, excluding follow-up services, were received by the individual. There are two ways to determine exit:</p> <ol style="list-style-type: none"> 1. a participant who has a date of case closure, completion or known exit from WIA-funded or non-WIA funded partner services within the quarter (hard exit); or 2. a participant who does not receive any WIA-funded or non-WIA funded partner services for 90 days and is not scheduled for future services except follow-up services (soft exit). <p>Participants who have a planned gap in service of greater than 90 days should not be considered as exited if the gap in service is due to a delay before the beginning of training or a health/medical condition that prevents an individual from participating in services. Service providers should document any gap in service that occurs and indicate the reason for the gap in service. Participants who exit from services because they are incarcerated, deceased or have a health/medical condition that prevents the individual from participating in services, should be excluded from the measures. Once a participant has not received any WIA-funded or partner-funded services, except follow-up services, for 90 days, and there is no planned gap in service or the planned gap in service is for reasons other than those specified above, that participant has exited WIA for the purposes of measurement in 15 of the 17 core measures (the younger youth skill attainment rate and employer customer satisfaction measures are not based on exit).</p> <p><i>How should gaps in service be documented?</i> State and local programs should document any gap over 90 days and indicate the reason for the gap in service.</p> <p><i>May an individual be exited when WIA title I-B services are over, but partner services continue?</i> Receipt of partner services called for in the WIA service plan can extend the exit date, which triggers measurement of outcomes. However, the person should exit from WIA when the services in the WIA service plan are finished, even if other partner services continue. Thus, a 'hard' exit may be recorded whenever the service plan is finished.</p>
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WIA title I-B Participation								
								Items 304-313 are used to identify individuals served by one or more of the WIA title I-B funds.
304	<i>Adult (Local)</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>					Services to adults provided by funds allocated to local areas under WIA section 133(b)(2)(A)
305	<i>Dislocated Worker (Local)</i> 1 = Yes 2 = No			<input type="radio"/>	<input type="radio"/>			Services to dislocated workers provided by funds allocated to local areas under WIA section 133(b)(2)(B)
306	<i>Youth (Local)</i> 1 = Yes 2 = No					<input type="radio"/>	<input type="radio"/>	Services to youth provided by funds allocated to local areas under WIA section 128(b).
307	<i>Youth [Statewide (15%) Activities]</i> 1 = Yes 2 = No					<input type="radio"/>	<input type="radio"/>	WIA section 134(a) NOTE: This item need not be recorded as 'yes' if the individual is served by a local area with statewide funds passed down from the state to the local area.
308	<i>Displaced Homemaker [Statewide (15%) Activities]</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>				<input type="radio"/>	WIA section 134(a)(3)((A)(vi)(I) NOTE: This item need not be recorded as 'yes' if the individual is served by a local area with statewide funds passed down from the state to the local area.
309	<i>Incumbent Worker [Statewide (15%) Activities]</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	WIA section 134(a)(3)((A)(iv)(I) NOTE: This item need not be recorded as 'yes' if the individual is served by a local area with statewide funds passed down from the state to the local area. NOTE: Individuals served only with these funds should not be reported.
310	<i>Other [Statewide (15%) Activities]</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Record yes if activities (i.e., adult or dislocated worker activities) funded with State 15% reserve funds are provided to individuals eligible for WIA title I-B services, except for youth activities, displaced homemaker activities and incumbent worker activities. (WIA section 134(a)(3)(A)(viii)) NOTE: This item need not be recorded as 'yes' if the individual is served by a local area with statewide funds passed down from the state to the local area.
311	<i>Rapid Response</i> 1 = Yes			<input type="radio"/>	<input type="radio"/>			An individual who participated in rapid response activities authorized at WIA section 134(a)(2)(A)(i). These activities could occur prior to or subsequent to registration.
312	<i>Rapid Response - Additional Assistance</i> 1 = Yes 2 = No			<input type="radio"/>	<input type="radio"/>			An individual who participated in a program funded by the State under WIA section 134(a)(2)(A)(ii). Note: This item need not be recorded as 'yes' if the individual is served by a local area with funds passed down from the State to the local area.

313a	<p><i>National Emergency Grant</i> 0000 = Project I.D. Number (see special instructions for recording individuals served by more than one National Emergency Grants and/or National Reserve Account Grants)</p>			O	O		<p>WIA title I-D, section173</p> <p>Record the four digits of the original Project I.D. Number assigned to the National Emergency Grant. (For example, an Utah projects may be numbered UT-02, so the WIASRD entry would be UT02.) Leave blank if none of the individual's services were participated in services provided by a National Emergency Grant.</p> <p><i>What if additional Project I.D. Numbers are assigned to the same project?</i> Continue to use the project's original Project I.D. Number.</p>
313b	<p><i>Second National Emergency Grant</i> 0000 = Project I.D. Number</p>						<p><i>What if an individual is coenrolled in two or more National Emergency Grants?</i> Record the Project I.D. Number for the first grant in which the individual participated in Item 312a. Then record the Project I.D. Number for the second grant in which the individual participated in Item 312b. Then record the Project I.D. Number for the third grant in which the individual participated in Item 312c. If the individual participated in more than three grants, record only the first three grants. Only one WIASRD record should submitted.</p> <p><i>What if an individual participated in one or more JTPA National Reserve Account (NRA) Grant?</i> Record the 4-digit Grant Number which is made up of the last four digits of the original Notice of Obligation (NOO) Number assigned to the project (e.g., if the NOO number is 41-95-02, the WIASRD entry is 9502). If additional NOO Numbers are assigned to the same project due to increasing the funds for the project, participants should continue to be enrolled in the project's original NOO number. Only one WIASRD record should be submitted.</p>
313 c	<p><i>Third National Emergency Grant</i> 0000 = Project I.D. Number</p>						<p><i>What if an individual participated in both NRA and NEG grants?</i> Record up to three NRA and NEG numbers using the conventions described above. Only one WIASRD record should be submitted.</p>

	WIA Partner Program Participation							<p>The WIASRD is designed to provide States and local areas the opportunity to track and report on services that WIA title I-B participants receive from partner programs. While tracking and reporting services is optional, it can be advantageous because receipt of tracked partner services can be used to avoid 'soft' exits under WIA title I-B.</p> <p>For example, an individual might be registered for WIA title I-B and receive some services and go on to receive adult literacy services from WIA title II. If WIA title II services are not tracked, the exit date occurs when WIA title I-B services are finished. If WIA title II services are tracked and reported, then (1) the individual is defined as an exiter from WIA title I-B if there are neither WIA title I-B nor WIA title II services for 90 days and (2) the exit date is the last date on which either WIA title I-B services or WIA title II services were received.</p> <p><i>What partner services may be tracked and reported?</i> Record only those programs that fund activities coordinated with the individual's WIA title I-B activities, possibly through a formal coenrollment, by inclusion in the individual's WIA service plan or through follow-up services. Do not report partner services that the individual obtains on his/her own or that are not coordinated with the individual's WIA title I-B activities.</p> <p><i>Can all partner services be used to extend the exit date?</i> The only partner services that can extend the exit date are those services that would extend the exit date if they were funded by WIA title I-B. These include services that would qualify under WIA as core services (other than informational or self-service), intensive services, training services, or youth activities (except for follow-up services). They also include similar employment and training activities, such as Adult Literacy Training. They do not include services that provide income support (e.g., Food Stamps, TANF grants, Unemployment Compensation). Services should be recorded cumulatively. A yes should be recorded for each source of service. Partner services received before WIA registration may be reported if known. Do not report sources that funded only core services classified as informational or self-service. NOTE: When partner services are tracked and reported, receipt of partner services can be counted just like WIA services when determining the exit date.</p>
314	<i>Adult Education</i> 1 = Yes						WIA title II Leave blank if the answer is 'no' or the answer is not known.	
315	<i>Job Corps</i> 1 = Yes						WIA title I-C Leave blank if the answer is 'no' or the answer is not known.	
316	<i>Migrant & Seasonal Farmworker Programs</i> 1 = Yes						WIA title I-D, section 167 Leave blank if the answer is 'no' or the answer is not known.	
317	<i>Native American Programs</i> 1 = Yes						WIA title I-D, section 166 Leave blank if the answer is 'no' or the answer is not known.	
318	<i>Veterans' Programs</i>						1. Services provided by DVOP/LVER (WIA section 121(b)(1)(B)(ix))	

	1 = Yes, labor exchange 2 = Yes, VWIP							2. Provided training services under WIA section 168 Leave blank if the answer is 'no' or the answer is not known.
319	<i>Trade Adjustment Act (TAA)</i> 1 = Yes							Services funded by the Trade Adjustment Act (WIA section 121(b)(1)(B)(viii)) Leave blank if the answer is 'no' or the answer is not known.
320	<i>NAFTA-TAA</i> 1 = Yes							Services funded by NAFTA-TAA (WIA section 121(b)(1)(B)(viii)) Leave blank if the answer is 'no' or the answer is not known.
321	<i>Vocational Education</i> 1 = Yes							Services funded by Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2471) (WIA section 121(b)(1)(B)(vii)) Leave blank if the answer is 'no' or the answer is not known.
322	<i>Vocational Rehabilitation</i> 1 = Yes							Programs authorized under parts A and B of title I of the Rehabilitation Act of 1973 (29 USC 720 et seq.), WIA title IV, and section 121(b)(1)(B)(iv) Leave blank if the answer is 'no' or the answer is not known.
323	<i>Wagner-Peyser Act</i> 1 = Yes							Services funded under the Wagner-Peyser Act (29 USC 49 et seq.) WIA section 121 (b)(1)(B)(ii) Leave blank if the answer is 'no' or the answer is not known.
324	<i>Welfare-to-Work Participant</i> 1 = Yes							As described in 20 CFR Part 645 (WIA section 121(b)(1)(B)(v)) Leave blank if the answer is 'no' or the answer is not known.
325	<i>Employment and Training programs carried out under The Community Services Block Grant Act</i> 1 = Yes							42 U.S.C. 9001 et seq. (WIA section 121(b)(1)(x)) Leave blank if the answer is 'no' or the answer is not known.
326	<i>Employment and Training programs carried out by The Dept. of Housing and Urban Development</i> 1 = Yes							Any employment and training services funded by the Department of Housing and Urban Development (WIA section 121(b)(1)(B)(xi)) Leave blank if the answer is 'no' or the answer is not known.
327	<i>Title V activities</i> 1 = Yes							Title V of the Older Americans Act of 1965 (42 U.S.C. 3056 et seq.) (WIA section 121 (b)(1)(B)(vi)) Leave blank if the answer is 'no' or the answer is not known.
328	<i>Employment and training services related to Food Stamps</i> 1 = Yes							Record 'yes' if the individual receives employment and training services from the Food Stamps program or was referred by the Food Stamps program to WIA for employment and training services. (WIA section 121(b)(2)(B)(iii)) Leave blank if the answer is 'no' or the answer is not known. NOTE: This item is not intended to record receipt of Food Stamps.
329	<i>Other non-WIA programs</i> 1 = Yes							Any non-WIA program not listed above that provided the individual with services authorized under WIA. Record only those programs that fund activities coordinated with the individual's WIA title I activities, possibly through a formal coenrollment, by inclusion in the individual's WIA service plan, or through follow-up services. Leave blank if the answer is 'no' or the answer is not known.
330	<i>Supportive services (except needs-related payments) received</i> 1 = Yes 2 = No	•	•	•	•	•	•	This item only applies to individuals who received WIA title I-B-funded supportive services. (WIA sections 101(46) and 134(e)(2)) For adults and dislocated workers, supportive services include services such as

							<p>transportation, child care, dependent care, and housing that are necessary to enable an individual to participate in activities authorized under WIA title I, consistent with the provisions of WIA title I. Needs-related payments, although categorized by the Act as supportive services, should not be reported in this item because they are reported separately.</p> <p>Supportive services for youth, as defined in WIA section 101(46), may include linkages to community services; assistance with transportation; assistance with child care and dependent care; assistance with housing; referrals to medical services; and assistance with uniforms or other appropriate work attire and work-related tools, including such items as eye glasses and protective eye gear. (20CFR 664.440, 65 FR 49413, August 11, 2000)</p>	
331	<i>Needs-related payments (Adults/Dislocated Workers in training services) or stipends (Youth in training)</i> 1 = Yes 2 = No		•		•	•	•	<p>This item only applies to individuals who received WIA title I-B-funded needs related payments.</p>

	Items for Adults and Dislocated Workers Receiving Intensive and Training Services						All appropriate WIA title I-B services should be recorded below. When receipt of partner services is recorded above, the appropriate activity below should also be checked. Partner services received before WIA registration may be recorded if known. Thus, the dates of the first intensive and training service may be before the registration date.
332	<i>Date of first intensive service</i> YYYYMMDD		•		•		The date the individual began receiving intensive services. Leave blank if the individual did not receive intensive services.
333	<i>Date of first training service</i> YYYYMMDD		•		•		The date the individual began receiving training services. Leave blank if the individual did not receive training services.
334	<i>Established Individual Training Account (ITA)</i> 1 = Yes 2 = No		•		•		Record yes if any of the individual's services were purchased utilizing an Individual Training Account established for adults or dislocated workers and funded by WIA title I.
335	<i>Adult education, basic skills and/or literacy activities</i> 1 = Yes 2 = No		•		•		Record yes if the individual received adult education, basic skills and/or literacy skills. NOTE: WIA section 134(d)(4)(D)(vii) stipulates that adult education and literacy activities be provided in combination with other training services, except that customized training is not a qualifying training activity to receive these services.
336	<i>On-the-job training</i> 1 = Yes 2 = No		•		•		Training by an employer that is provided to a paid participant while engaged in productive work in a job that: (A) provides knowledge or skills essential to the full and adequate performance of the job; (B) provides reimbursement to the employer of up to 50 percent of the wage rate of the participant, for the extraordinary costs of providing the training and additional supervision related to the training; and (C) is limited to the period of time required for a participant to become proficient in the occupation for which the training is being provided. In determining the appropriate length of the contract, consideration should be given to the skill requirements of the occupation, the academic and occupational skill level of the participant, prior work experience, and the participant's individual employment plan. (WIA sections 101(31), 20 CFR 663.700(a) and (c), 65 FR49409, August 11, 2000)

337	Occupational skills training or skills upgrading/retraining, and/or workplace training 1 = Yes 2 = No		•		•			Include the receipt of the following types of services in this category: S Occupational skills training, including training for nontraditional employment; S Programs that combine workplace training with related instruction, which may include cooperative education programs; S Training programs operated by the private sector; S Skill upgrading and retraining; S Entrepreneurial training; S Job readiness training; and S Customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training.
	Items for Adults, Dislocated Workers, and Youth							
338	Occupational skills training code 000000000		•		•		•	The 6 digit Standard Occupational Classification (SOC) code, 8 digit O*Net 3.0 Code, 9-digit DOT code, the 5-digit OES code, or the 5 or 6-digit O*NET code that best describes the training occupation for adults and dislocated workers who received on-the-job training or occupational skills training and youth who received employment services related to a specific occupation. If the participant received classroom occupational skills training, any of these or the 6-digit CIP code that best describes the training should be recorded. If training was provided for more than one occupation, record the code for the last significant occupational training. Note: Occupation codes should be recorded without including hyphens or periods. The occupation code should be reported for individuals receiving occupational skills training, on-the-job training, or youth employment services, if appropriate. If no specific occupational skills training was received, record 999999999.
339	Occupational skills training code type 1 = 6 digit SOC code 2 = 8 digit O*Net 3.0 Code 3 = 6-digit CIP code(classroom training only) 4 = 9-digit DOT code 5 = 5-digit OES code 6 = 5 or 6-digit O*Net98 code 0 = None		•		•		•	The type of code used to report item 338. NOTE: The use of SOC, O*NET 3.0, or CIP codes is encouraged as the DOT and OES code systems will be phased out.
	Youth Services							
340	Educational achievement services 1 = Yes 2 = No						•	Educational achievement services include, but are not limited to: S Tutoring, study skills training, and instruction leading to secondary school completion, including dropout prevention strategies; and S Alternative secondary school offerings.
341	Employment services 1 = Yes 2 = No						•	Preparation for and success in employment services include, but are not limited to: S Paid and unpaid work experiences, including internships, and job

								shadowing; and S Occupational skill training.
342	<i>Received summer youth employment opportunities</i> 1 = Yes 2 = No						•	• Record yes for youth who received summer employment opportunities.
343	<i>Additional support for youth services</i> 1 = Yes 2 = No						•	• Supports for youth services include, but are not limited to: S Adult mentoring for a duration of at least twelve (12) months, that may occur both during and after program participation; S Comprehensive guidance and counseling, including drug and alcohol abuse counseling, as well as referrals to counseling, as appropriate to the needs of the individual youth.
344	<i>Leadership development opportunities</i> 1 = Yes 2 = No						•	• Leadership development opportunities are opportunities that encourage responsibility, employability, and other positive social behaviors such as: (a) Exposure to postsecondary educational opportunities; (b) Community and service learning projects; (c) Peer-centered activities, including peer mentoring and tutoring; (d) Organizational and team work training, including team leadership training; (e) Training in decision-making, including determining priorities; and (f) Citizenship training, including life skills training such as parenting, work behavior training, and budgeting of resources.

345	<p><i>Received follow-up services</i></p> <p>1 = Yes received 12 months of follow up services</p> <p>2 = No, did not receive 12 months of follow up services</p>					•	•	<p>Follow-up services for youth may include: the leadership development and supportive service activities listed in sections 664.420 and 664.440; regular contact with a youth participant's employer, including assistance in addressing work-related problems that arise; assistance in securing better paying jobs, career development and further education; work-related peer support groups; adult mentoring; and tracking the progress of youth in employment after training. (WIA section 129(c)(2)(I), 20 CFR 664.450(a) 65 FR 49414 August 11, 2000)</p> <p>NOTE: Leave this item blank if the youth has not exited or has exited and is still receiving follow-up services, but has not yet received 12 months of follow-up services.</p> <p>NOTE: If a youth reenrolls in WIA within 12 months of exit, record 1 for 'yes' if follow-up services were provided throughout the period from exit to reenrollment.</p>
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SECTION IIIA - PROGRAM OUTCOMES FOR ADULTS (18 and over), DISLOCATED WORKERS AND OLDER YOUTH (19-21)							
	Outcomes are keyed to the <i>exit quarter</i> (not a reporting item).						These outcomes are for all persons receiving adult services (who are individuals 18 and over), dislocated workers and for older youth (19-21 at registration) receiving youth services.
							Definition: The Exit Quarter is the quarter in which the exit date (Item 303) takes place. This exit date is the last date of WIA funded or partner funded services received (except follow-up services).
601	<p><i>Employed in quarter after exit quarter</i></p> <p>1 = Yes 2 = No 3 = Individual has exited but employment information is not yet available</p>	•	•	•	•	•	<p>The individual should be considered as employed if wage records for the quarter after exit show earnings greater than zero. Wage records will be the primary data source for tracking employment in the quarter after exit.</p> <p>If individuals are not found in the wage records, States may use supplemental data sources.</p> <p>Code 3 may be used if the State has not yet matched with wage records for the appropriate quarter or the 30-day period to collect supplemental data has not expired.</p> <p>See Item 602 for a description of acceptable supplemental data sources.</p> <p>When supplemental sources are used, individuals should be counted as employed if, in the calendar quarter after exit, they did any work at all as paid employees (i.e., received at least some earnings), worked in their own business, profession, or worked on their own farm.</p>

602	<p><i>Source of supplemental data</i></p> <p>1= Case management, follow-up services, surveys of participants, and/or verification with the employer.</p> <p>2= Record sharing and/or automated record matching with administrative records</p>	•	•	•	•		<p>Leave this item blank if wage records were used to report Item 601.</p> <p>While the majority of employment in a State's workforce will be "covered" in the UI wage records, certain types of employers and employees are excluded by Federal standards or are not covered under a State's UI law. "Uncovered" employment typically includes Federal employment, postal service, military, railroad, self employment, some agricultural employment, and employment where earnings are primarily based on commission. States have flexibility in choosing the methods used to obtain information on participants in "uncovered" employment. Examples include:</p> <p>1) Case management, follow-up services, and surveys of participants to determine that the participant are employed; or</p> <p>2) Record sharing and/or automated record matching with other employment and administrative databases to determine employment. These databases include, but are not limited to:</p> <ul style="list-style-type: none"> • Office of Personnel Management (Federal Career Service); • United States Postal Service; • Railroad Retirement System; • State Department of Revenue or Tax (State income tax for self-reported occupations); • U.S. Department of Defense; and • Government Employment Records (State government, local government, judicial employment, public school employment, etc.). <p>Note: Data from these sources that provides information on quarterly earnings should be considered as wage record information, not as supplemental data.</p>
	Employment Information						<p>The information in Items 603 to 607 should be recorded if the individual is reported as employed in the quarter after exit (Item 601). This information can be based on any job held after exit. It is not necessarily the same job recorded in Item 601.</p> <p>This information can be based on information derived from case management, follow-up services or other sources. It is not necessary to wait until information on Item 601 (employed in quarter after exit) is available before collecting this information.</p>

603	Occupational code (if available) 000000000	•	•	•	•	•	<p>The occupational code that best describes the individual's employment. Occupation can be recorded using 6-digit Standard Occupational Classification (SOC) codes, 8 digit O*Net 3.0 codes, 9-digit DOT codes, 5-digit OES codes or 5- or 6-digit O*Net98 codes.</p> <p>The occupation code should be reported if an occupation code was obtained for the job.</p> <p>Note: Occupation codes should be recorded without including hyphens or periods.</p>
604	Occupational code type 1 = 6 digit SOC code 2 = 8 digit O*Net 3.0 Code 4 = 9-digit DOT code 5 = 5-digit OES code 6 = 5 or 6-digit O*Net98 code	•	•	•	•	•	<p>The type of occupation code used for Item 603.</p> <p>NOTE: The use of SOC or O*NET 3.0 codes is encouraged as the DOT and OES code systems will be phased out.</p>
605	Entered training-related employment 1 = Yes 2 = No 8 = Training did not impart job-specific skills 9 = Relationship of employment to training cannot be determined	•	•	•	•	•	<p>Training-related employment is employment in which the individual uses a substantial portion of the skills taught in the training received by the individual. Leave blank if the individual did not receive training services.</p> <p>Code 8 may be used for training that did not impart job-specific skills, such as job readiness training.</p>
606	Method used to determine training-related employment 1 = Comparison of the occupation codes between the training activity and the job 2 = Comparison of the industry of employment with the occupation of training using an appropriate crosswalk 3 = Other appropriate method	•	•	•	•	•	<p>Training-related employment may be determined by any appropriate method or methods selected by the State, including comparison of the occupation of employment with the occupation of training, comparison of the industry of employment with the occupation of training using valid crosswalks, by a comparison of the job's activities with the skills taught in the training program, or other method.</p> <p>Leave blank if the individual did not receive training services.</p>
607	Entered non-traditional employment 1 = Yes 2 = No	•	•	•	•	•	<p>Employment in an occupation or field of work for which individuals of the participant's gender comprise less than 25% of the individuals employed in such occupation or field of work (WIA section 101(26)).</p> <p>Nontraditional employment can be based on either local or national data. Appendix D provides national information that, at the State's option, can be used to determine nontraditional employment from the occupation code.</p> <p><i>Can males enter nontraditional employment?</i></p> <p>Both males and females can be in nontraditional employment.</p>

608	<p><i>Employed in third quarter after exit quarter</i> 1 = Yes 2 = No 3 = Individual has exited but employment information is not yet available</p>	•	•	•	•		•	<p>Wage records will be the primary data source for tracking employment in the third quarter after exit. If individuals are not found in the wage records, States may use supplemental data sources.</p> <p>Code 3 may be used if the State has not yet matched with wage records for the appropriate quarter or the 30-day period to collect supplemental data has not expired.</p> <p>See Item 602 for a description of acceptable supplemental data sources.</p> <p>When supplemental sources are used, individuals should be counted as employed if, in the third calendar quarter after exit, they did any work at all as paid employees (i.e., received at least some earnings), worked in their own business, profession, or worked on their own farm.</p>
609	<p><i>Source of supplemental data</i> 1= Case Management, follow-up services, surveys of participants and/or verification with the employer. 2= Record sharing and/or automated record matching with administrative records</p>	•	•	•	•		•	<p>Leave this item blank if wage records were used to report Item 608. See Item 602 for definitions</p>
610	<p><i>Employed in fifth quarter after exit quarter</i> 1 = Yes 2 = No 3 = Individual has exited but employment information is not yet available</p>	•	•	•	•		•	<p>Wage records will be the primary data source for tracking employment in the fifth quarter after exit. If individuals are not found in the wage records, States may use supplemental data sources.</p> <p>See Item 602 for a description of acceptable supplemental data sources. When supplemental sources are used, individuals should be counted as employed if, in the fifth calendar quarter after exit, they did any work at all as paid employees (i.e., received at least some earnings), worked in their own business, profession, or worked on their own farm.</p>
611	<p><i>Source of supplemental data</i> 1= Case Management, follow-up services, surveys of participants and/or verification with the employer. 2= Record sharing and/or automated record matching with administrative records</p>	•	•	•	•		•	<p>Leave this item blank if wage records were used to report Item 610. See Item 602 for information regarding the use of supplemental data.</p>

	Total earnings from wage records for the:						<p>The total earnings in the quarter as determined from wage records. Wage record information can be obtained from the State, other States, other entities maintaining wage record systems, or from Wage Record Interchange System (WRIS). Earnings from all employers of the individual should be summed.</p> <p><i>What if the individual appears in several different wage record systems (e.g., systems in two different States)?</i></p> <p>Earnings from these different sources of wage records should be summed for each quarter.</p> <p>NOTE: The State is required to access these data from its own wage record system; accessing data from other wage record systems is optional, but recommended.</p> <p>NOTE: States should not wait until exit to obtain preprogram data because preprogram earnings data may not be easily available at exit for individuals with long periods of participation. Instead, States should obtain preprogram data as soon after registration as the data become available and reasonably complete.</p>
612	<i>Third quarter prior to registration</i> 00000.00	•	•	•	•	•	<p>Total earnings in the third quarter before registration for adults, older youth, and dislocated workers without a dislocation date before the registration date. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00. Leave this item blank if it does not apply.</p>
613	<i>Third quarter prior to dislocation</i> 00000.00			•	•		<p>Earnings in the third quarter before dislocation for dislocated workers. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00. Leave this item blank if it does not apply.</p> <p>Record Item 612 for dislocated workers without a dislocation date before the registration date. Note: Item 612 must also be recorded for dislocated workers served with both dislocated worker and adult funds.</p>
614	<i>Second quarter prior to registration</i> 00000.00	•	•	•	•	•	<p>Total earnings in the second quarter before registration for adults, older youth, and dislocated workers without a dislocation date before the registration date. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00. Leave this item blank if it does not apply.</p>

615	<i>Second quarter prior to dislocation</i> 00000.00			•	•			<p>Earnings in the second quarter before dislocation for dislocated workers. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00. Leave this item blank if it does not apply.</p> <p>Record Item 614 for dislocated workers without a dislocation date before the registration date.</p> <p>NOTE: Item 614 must also be recorded for dislocated workers served with both dislocated worker and adult funds.</p>
616	<i>First quarter following the exit quarter</i> 00000.00	•	•	•	•		•	Total earnings from wage records for the quarter. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00.
617	<i>Second quarter following the exit quarter</i> 00000.00	•	•	•	•		•	Total earnings from wage records for the quarter. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00.
618	<i>Third quarter following the exit quarter</i> 00000.00	•	•	•	•		•	Total earnings from wage records for the quarter. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00.
619	<i>Fourth quarter following the exit quarter</i> 00000.00	•	•	•	•		•	Total earnings from wage records for the quarter. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00.
620	<i>Fifth quarter following the exit quarter</i> 00000.00	•	•	•	•		•	Total earnings from wage records for the quarter. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00.

621	<p><i>Type of recognized educational/ occupational certificate/credential/ diploma/degree attained</i></p> <p>1 = High school Diploma/ Equivalency/GED 2 = AA or AS Diploma/Degree 3 = BA or BS Diploma/Degree 4 = Occupational Skills License 5 = Occupational Skills Certificate or Credential 6 = Other 8 = No credential received, individual received training. 9 = N/A, individual did not receive training</p>	•	•	•	•	•	•	<p>A credential is defined as any nationally recognized degree or certificate or a State/locally recognized credential. Credentials will include, but are not limited to a high school diploma, GED or other recognized equivalents, postsecondary degrees, recognized skills standards, licensure, apprenticeship or industry recognized certificates. States should include all State Education Agency recognized credentials. In addition, States should work with local Workforce Investment Boards to encourage certificates to recognize successful completion of the training services listed above that are designed to equip individuals to enter or re-enter employment, retain employment, or advance into better employment.</p> <p>Credential must be obtained either during participation or by the end of the third quarter after exit from services (other than follow-up services).</p> <p><i>How should the credential information be obtained?</i></p> <p>States and localities have flexibility in choosing the methods used to collect data on credential. Examples of methods include: 1) case management, follow-up services, and surveys of a participant to determine that the individual received a credential or 2) record sharing and/or automated record matching with administrative/other databases to determine that the participant has received a credential.</p>
622	<p><i>Other reasons for exit</i></p> <p>1 = Institutionalized 2 = Health/medical 3 = Deceased</p>	•	•	•	•	•	•	<p>Institutionalized: The participant is residing in an institution or facility providing 24-hour support such as a prison or hospital and is expected to remain in that institution for at least 90 days.</p> <p>Health/medical: The participant is receiving medical treatment that precludes entry into unsubsidized employment or continued participation in WIA. Does not include temporary conditions expected to last for less than 90 days.</p> <p>Note: States may define and use additional codes for this item.</p>

623	<p><i>In postsecondary education or advanced training in quarter after exit</i></p> <p>1 = In advanced training 2 = In postsecondary education 3 = Not in further training/education</p>							<ul style="list-style-type: none"> • The individual was enrolled in advanced training or post-secondary education in the first quarter after exit including: <ul style="list-style-type: none"> S Advanced training is an occupational skills employment/training program, not funded under WIA title I, which does not duplicate training received under WIA title I. Training that leads to an academic degree (e.g., AA, AS, BA, BS) should be categorized as post-secondary education and not reported as advanced training. Advanced training may be provided by a One-Stop partner following the exit of the registrant from WIA. Advanced training does not include training funded partially or wholly with WIA funds. An example of advanced training is a community college program that does not lead to an advanced degree. S Post-secondary education is a program at an accredited degree-granting institution that leads to an academic degree (e.g., AA, AS, BA, BS). Do not include programs offered by degree-granting institutions that do not lead to an academic degree as post-secondary education. <p>The following methodologies can be used to determine whether youth are in postsecondary education or advanced training:</p> <ol style="list-style-type: none"> 1) Case management, follow-up services, and surveys of the participant to determine if the youth is in postsecondary education or advanced training; or 2) Record sharing agreements and/or automated record matching with administrative/other databases to determine that the participant has been placed in postsecondary education or advanced training. These databases include, but are not limited to: <ul style="list-style-type: none"> - State Board Governing Community Colleges; - State Board Governing Universities; - State Education Associations; - Integrated Postsecondary Education Reporting Unit; - Higher Education Planning Unit; and - Training Institutions/Providers. <p>Most States will likely utilize case management, follow-up services, and surveys of participants. Some States already have record sharing and/or automated matching systems in place that they will be able to use to track outcomes.</p>
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624	<i>In postsecondary education or advanced training in the third quarter after exit.</i> 1 = In advanced training 2 = In postsecondary education 3 = Did not enter further training						•	<p>The individual was enrolled in advanced training or post-secondary education in the third quarter after exit including:</p> <p>S Advanced training is an occupational skills employment/training program, not funded under WIA title I, which does not duplicate training received under WIA title I. Training that leads to an academic degree (e.g., AA, AS, BA, BS) should be categorized as post-secondary education and not reported as advanced training. Advanced training may be provided by a One-Stop partner following the exit of the registrant from WIA. Advanced training does not include training funded partially or wholly with WIA funds. An example of advanced training is a community college program that does not lead to an advanced degree.</p> <p>S Post-secondary education is a program at an accredited degree-granting institution that leads to an academic degree (e.g., AA, AS, BA, BS). Do not include programs offered by degree-granting institutions that do not lead to an academic degree as post-secondary education.</p> <p>See Item 623 for acceptable data sources.</p>
SECTION III B - OUTCOMES FOR YOUNGER YOUTH (Aged 14-18 at registration)								
	Skill Attainment							<p>One goal minimum per year is required for all in-school youth and any appropriately assessed out-of-school youth who need to attain basic skills, work readiness skills, or occupational skills. A maximum of three goals per year may be set for purposes of the youth skill attainment measure. Goals should be set at the point of assessment. Additional goals may be set after assessment when called for by the youth's service strategy or when initial goals are attained - unless the three goal maximum for the year would be exceeded. See Appendix E regarding youth skill attainment goals. Also see Training and Employment Guidance Letter 7-99.</p>
625	<i>Goal #1 type</i> 1 = Basic Skills 2 = Occupational Skills 3 = Work Readiness Skills						•	<p>Setting one basic skills goal is required if the youth is basic literacy skills deficient.</p>
626	<i>Date goal #1 was set</i> YYYYMMDD						•	<p>The date goal was set is the date a goal was identified for the youth, except that the date of the first goal set must be recorded as the registration date.</p>

627	<p><i>Attainment of goal #1</i> 1 = Attained 2 = Set, but not attained 3 = Set, but attainment pending</p>					•	<p>Goal attained. Attainment of a goal is to be based on individual assessments using widely accepted and recognized measurement/assessment techniques.</p> <p>Goal set, but not attained. Goals not attained include goals whose anniversary date has passed without attainment of the goal. The anniversary date of a goal is the date one year after the date the goal was set.</p> <p>Goal set, but attainment pending. Includes goals that have not been attained, but have anniversary dates that have not been reached. This category also includes goals that have been postponed because of gaps in service where the participant was placed in a hold status during which services were not received, but the participant planned to return to the program.</p>
628	<p><i>Date attained goal #1</i> YYYYMMDD</p>					•	<p>This date should normally be on or before the one-year anniversary of the date the goal is set. However, it may be later if the participant had a gap in service where he/she was placed in a hold status during which services were not received, but the participant planned to return to the program.</p>
629	<p><i>Goal #2 type</i> 1 = Basic Skills 2 = Occupational Skills 3 = Work Readiness Skills</p>					•	<p>See Item 625</p>
630	<p><i>Date goal #2 was set</i> YYYYMMDD</p>					•	<p>Leave blank if goal #2 not set. See Item 626 for other definitions.</p>
631	<p><i>Attainment of goal #2</i> 1 = Attained 2 = Set, but not attained 3 = Set, but attainment pending</p>					•	<p>Leave blank if goal #2 not set. See Item 627 for other definitions.</p>
632	<p><i>Date attained goal #2</i> YYYYMMDD</p>					•	<p>Leave blank if goal #2 not set. See Item 628 for other definitions.</p>

633	<i>Goal #3 type</i> 1 = Basic Skills 2 = Occupational Skills 3 = Work Readiness Skills					•		Leave blank if goal #3 not set. See Item 625 for other definitions.
634	<i>Date goal #3 was set</i> YYYYMMDD					•		Leave blank if goal #3 not set. See Item 626 for other definitions.
635	<i>Attainment of goal #3</i> 1 = Attained 2 = Set, but not attained 3 = Set, but attainment pending					•		Leave blank if goal #3 not set. See Item 627 for other definitions.
636	<i>Date attained goal #3</i> YYYYMMDD					•		Leave blank if goal #3 not set. See Item 628 for other definitions.
637 to 672	<i>Information on additional youth goals</i>					•		Space will be provided in the record layout so that information on additional goals can be reported as needed to fully reflect goals set and attained by each youth. All goals set in the program year and the preceding program year should be reported. States may report all goals set during the youth's period of participation.
673	<i>Attained Secondary School Diploma</i> 1 = Attained a secondary school (high school) diploma 2 = Attained a GED or high school equivalency diploma 3 = Attending secondary school at exit 4 = Did not attain diploma or equivalent					•		1. The youth attained a secondary (high school) diploma recognized by the State during enrollment or by the end of the first quarter after exit. Also include successful completion of an Individual Education Program (IEP) for youth with disabilities. 2. The youth attained a GED or high school equivalency diploma recognized by the State during enrollment by the end of the first quarter after exit. 3. The youth exited WIA services but was still attending secondary school at exit.
674	<i>Date of high school diploma or GED attainment</i> YYYYMMDD					•		The date of attainment should be the date on the diploma or equivalency certificate, if available. Otherwise, the date may be estimated.

675	<p><i>Youth placement information</i></p> <p>1 = Entered postsecondary education 2 = Entered advanced training 3 = Entered military service 4 = Entered a qualified apprenticeship 5 = Entered unsubsidized employment 6 = Did not enter 1-5 above</p>						•	<p>Record which of the following activities the youth entered within 1 quarter of exit. Entry into these activities may be determined through information obtained from the participant during case management and follow-up services, administrative records (including wage records, where appropriate), surveys of participants, and other similar methods. If the youth qualifies for several of these placement outcomes, record the primary outcome. For example, if the youth enters full time postsecondary education and has a part time job, record 1. Postsecondary education and advanced training are defined in Item 623.</p> <p>1 Should be recorded only if the youth started to attend classes. 2 Should be recorded only if the youth started to attend classes. 3 Should be recorded only if the youth entered military service (i.e., reported for active duty). 4 Should be recorded only if the individual entered a qualified apprenticeship program, i.e., a program approved and recorded by the ETA/Bureau of Apprenticeship and Training or by a recognized State Apprenticeship Agency. Approval is by certified registration or other appropriate written credential. 5 Should be recorded only if the youth entered full- or part-time unsubsidized employment.</p> <p>Unsubsidized employment is any employment, including self-employment, not financed by either funds provided under the Act or by direct wage subsidies provided by any type of public funds. See Item 601 for the definition of employment.</p> <p>Also include entry into the Peace Corps, VISTA and other National Service programs funded by the Federal Corporation for National and Community Service under the National and Community Service Trust Act of 1993 (Examples are activities in the AmeriCorps and the National Civilian Community Corps programs). Do not include entry into the Armed Forces or entry into a qualified apprenticeship program.</p>
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676	<p><i>Youth retention information (For all youth except those still attending secondary school at exit). Was the youth active in the third quarter following the exit quarter in any of the following activities:</i></p> <p>1= In postsecondary education 2= In advanced training 3= In military service 4= In a qualified apprenticeship 5= In unsubsidized employment 6= Was not in 1-5 above</p>					•	<p>Record the primary activity that the youth was in at any time during the third quarter after exit.</p> <p>See Item 623 for definitions and acceptable data sources for codes 1 (postsecondary education) and 2 (advanced training).</p> <p>See Items 601 and 602 for definitions and acceptable data sources for codes 3 (employment) and 5 (military service).</p> <p>For code 4, a qualified apprenticeship program is a program approved and recorded by the ETA/Bureau of Apprenticeship and Training or by a recognized State Apprenticeship Agency. Approval is by certified registration or other appropriate written credential. To determine whether a youth has been placed in a qualified apprenticeship, the following methods can be used:</p> <p>1) Case management, follow-up services, and surveys of the participant; or 2) Record sharing agreements and/or automated record matching with the U.S. Department of Labor, Bureau of Apprenticeship and Training database to determine that the participant has been placed in a qualified apprenticeship.</p> <p>Most States will likely utilize case management, follow-up services, and surveys of participants. Some States already have record sharing and/or automated matching systems in place that they will be able to use to track outcomes.</p>
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Appendix A (For The WIA Standardized Record Data (WIASRD))

General Instructions

Due Date

For each program year beginning with Program Year 2000, final data must be submitted by December 1. These final data should correspond to the data used for the annual report.

Program Year Ending Dates	Final Record Due Dates
June 30, 2001	December 1, 2001
June 30, 2002	December 1, 2002
June 30, 2003	December 1, 2003
June 30, 2004	December 1, 2004

These records must be complete and accurate.

Universe

Records (or a sample of records) should be submitted for:

- S All adults and dislocated workers who received core services (other than self-service or informational), intensive services or training services and have exited from WIA.
- S Records for adults and dislocated workers must be submitted annually beginning with the exit year and ending with the year when the information in Section IIIA (Program Outcomes for Adults, Dislocated Workers and Older Youth) is complete. Normally the last item to become available will be Item 620 (Total earnings from wage records in the fifth quarter following the exit quarter.) This information will typically become available in the eighth quarter after exit. Thus, an individual's data will be reported for the exit year and for two post-exit years.
- S All youth who received youth activities and have exited from WIA. Once a youth record is submitted, updated records must be provided in each subsequent year until all relevant outcome information is complete.
- S Records for youth under age 19 at registration must be submitted annually beginning with the exit year and ending with the year when the information in both Item 345 (received follow-up services) and Section IIIB (Outcomes for youth 14-18) is complete. Normally the last information to become available will be Item 676, which relates to outcomes in the third quarter after exit. This information should normally be available to be included in the record for the sixth quarter after exit. Thus, data for an individual youth aged 14 to 18 at registration will be submitted for the exit year and for two post-exit years.
- S Records for youth age 19 or over at registration must be submitted annually beginning with the exit year and ending with the year when the information in WIASRD Section IIIA (Program Outcomes for Adults, Dislocated Workers and Older Youth) is complete.

Normally, the last item to become available will be Item 620 (Total earnings from wage records in the fifth quarter following the exit quarter.) This information will typically become available in the eighth quarter after exit. Thus, an older youth's data will be submitted for the the exit year and for two post-exit years.

Included in the universe are all of the above individuals served with local funds and all individuals served with National Emergency Grants. Records are also included in the universe when a State uses 15% funds for activities that involve the enrollment of individuals eligible for title I-B services, (i.e., adult, dislocated workers, or youth activities), at the State or local level. If the statewide activities are not supporting services for eligible adults, dislocated workers or youth, records should **not** be submitted. Examples of such exceptions include activities where:

- S The State is conducting a Statewide activity that does not involve direct services (e.g., research or evaluation),
- S The activity is structured to provide services that are highly specialized, such as in a pilot or demonstration activity for which the State establishes separate, or its own specific goals not typically addressed in the adult, dislocated worker or youth activities, (e.g., the activities support incumbent worker training authorized under WIA section 134(a)(3)(A)(iv)(I), or a project for chemically dependent TANF recipients).

Note that if an individual is served jointly by multiple WIA title I-B funding sources/programs (e.g., youth and adult funds), **only one record should be submitted**. However, all sections relevant to each funding source/program must be completed. If the individual is served independently by multiple funding sources or local areas, separate records may be submitted.

Each annual record is to provide cumulative information on the registrant's characteristics, services, and outcomes. Thus, services information should include all services received by the participant during participation. Outcome information should be included in the record when it becomes available and continue to be transmitted in subsequent years. Information can, however, be updated or corrected in subsequent years. Self-reported information is acceptable for reporting purposes.

Sampling Guidelines

States may send DOL samples of records instead of all records. Samples must adhere to the following guidelines:

- The universe (or sampling frame) from which the samples are to be drawn consists of all exiters in the last three complete program years. Submissions should not include individuals who terminated from JTPA. Thus, for most States, the submission due December 1, 2001 will include only PY 2000 exiters. For early implementation States, it will include only PY 2000 and PY 1999 exiters.
- Samples are to be selected randomly using generally accepted statistical sampling methods.
- The minimum sampling rate is the *larger* of:
 - 33%.
 - The rate needed to achieve a sample of 2,500 in the funding stream (adult, dislocated worker, youth) with the *smallest* number of exiters during the program year. This sampling rate equals 2,500 divided by the number of exiters from that funding stream during the program year.

- The same sampling rate must be used to select the entire sample for each program year (i.e., the sampling rate must be applied to all funding streams).
- If any funding stream has fewer than 2,500 exiters in a program year, sampling is not allowed.
- A different sampling rate may be used for each program year included in the sample. However, States having the option of applying the largest of the minimum sampling rates calculated for the three program years in the submission to all three program years.
- The samples for each of the two earliest program years in a submission may be either a new sample selected for the submission or the same sample selected for the submission made the previous year.

NOTE: Although States may submit samples of records, the data items included in the record must be collected and maintained for all individuals.

For many States, the effort involved in programming the selection of the sample will outweigh the benefits of sampling. Therefore, States are encouraged to consider whether they will achieve a net benefit from sampling before deciding to sample. States are not required to sample and may decide to routinely submit all records to DOL.

Worksheet for Determining Minimum Sampling Rates

The following worksheet may be used to determine the required sampling rate for each program year included in the submission:

	A Number of Exiters During Program Year	B Smallest Value in Column A	C 2,500 divided by Column B	D Minimum Sampling Rate (Largest Value in Column C)
Overall minimum			33%	
Adults				
Dislocated Workers				
Youth				

A sample of a completed worksheet follows for a State with 8,000 adult exiters, 7,000 dislocated worker exiters, 4000 older youth exiters and 5,000 younger youth exiters in a program year.

	A Number of Exiters During Program Year	B Smallest Value in Column A	C 2,500 divided by Column B	D Minimum Sampling Rate (Largest Value in Column C)
Overall minimum			33%	63%
Adults	8,000	4,000	63%	
Dislocated Workers	7,000			
Youth	4,000			

For this State and program year, the funding stream with the fewest number of exiters is youth, with 4,000 exiters. Thus, 4000 is entered in Column B. The value entered in Column C is 2,500 divided by 4,000, which is 63%. Because this value is greater than 33%, the minimum sampling rate is 63% for all funding streams. This value of 63% is entered in Column D.

Relationship between Annual Report and Individual Records

Please note that data provided on the individual WIA Standardized Records will not be used for purposes of performance incentives and sanctions, which will be based on aggregate data submitted by States in the Annual Report. However, we do expect the information received on the annual report to be consistent with and based on the individual record submission.

Data Items and Definitions

The data items in this system and their associated definitions are designed to provide uniform information about program registration, activities and their outcomes. Although efforts have been made to make definitions consistent with those used for other purposes (e.g., other program partners), they do not in any way, reduce the Governor’s authority to establish certain definitions that affect program eligibility.

Beginning on the effective date of this reporting system, Items 102 through 110 and Item 301 are to be collected and retained for all adult and dislocated worker registrants receiving services beyond informational/self-services and all youth applicants (eligible and ineligible) under the WIA title I program. This requirement is in accordance with 29 CFR Part 37, “Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998.” Section 37.37(b)(1) of title 20 CFR mandates that: “Each recipient must collect such data and maintain such records, in accordance with procedures described by the Director [Director of Civil Rights], as the Director finds necessary to determine whether the recipient has complied or is complying with the nondiscrimination and equal opportunity provisions of WIA or this part. The system and format in which the records and data are kept must be designed to allow the governor and CRC [Civil Rights Center, Department of Labor] to conduct statistical or other quantifiable data analyses to verify the recipient’s compliance with section 188 of WIA and this part.” Section 37.37(b)(2) of title 20 CFR provides that: “Such records must include, but are not limited to, records on applicants, registrants, eligible applicants/registrants, participants, terminees, employees, and applicants for employment. Each recipient must record the race/ethnicity, sex, age, and where known, disability status, of every applicant, registrant, eligible applicant/registrant, participant, terminee [exiter], applicant for employment and employee.” Finally, section 37.37(d) of title 20 CFR states that: “Where designation of individuals by race or ethnicity is

required, the guidelines of the Office of Management and Budget must be used.”

Data recorded on socioeconomic characteristics of registrants (Data Items 101 to 118, 123 and 124) must be based on information collected and/or confirmed at time of registration unless otherwise indicated.

As shown in the data definitions, the required data items depend on the funding source (adult, dislocated worker, youth), on a youths' age at registration, and on the services received by adults and dislocated workers. Required items are marked with a • in the relevant column: adults receiving core services (other than informational or self-service) only, adults receiving intensive or training services, dislocated workers receiving core services (other than informational or self-service) only, dislocated workers receiving intensive or training services, youth age 14 to 18 at registration, and youth age 19 to 21 at registration.

All items are optional for adults and dislocated workers receiving only core services that are classified by the State, within federal guidelines, as informational or self-service. No records are to be submitted for these individuals.

Adult items should be recorded for individuals (18 and over) served by adult program funds. Dislocated worker items should be recorded for individuals served by dislocated worker funds. Youth items should be recorded for individuals served by youth program funds. If a person is served by multiple programs, record all relevant items.

When individuals are served with statewide funds the items to be reported should be based on the characteristics of the individual and the services provided. For individuals aged under 19 at registration, items required for younger youth should be reported. For individuals aged 19 to 21 at registration who receive youth services, the items required for older youth should be reported. For individuals who are dislocated workers, the dislocated worker items are to be reported. For all other individuals age 18 or older at registration who receive adult services, the items required for adults are to be reported.

Appendix B (For The Standardized Record Data (WIASRD))

Campaign or Expedition Veteran

Please specify either campaign veteran or Vietnam-era Veteran for veterans of the US armed forces participating in the wars, campaigns or expeditions listed on this chart during the time frames noted below:

<p>Armed Forces Expeditionary Medal (AFEM)</p> <p>Berlin - Aug. 14, 1961 to Jun. 1, 1963 Bosnia (Operations Joint Endeavor, Joint Guard, and Joint Forge) - Nov. 20, 1995 to Dec. 20, 1996; Dec. 20, 1996 to present; June 21, 1998 to present Cambodia - Mar. 29, 1973 to Aug. 15, 1973 Cambodia Evacuation - Apr. 11 - 13, 1975 Congo - Jul. 14, 1960 to Sept. 1, 1962 & Nov. 23 - 27, 1964 Cuba - Oct. 24, 1962 to Jun. 1, 1963 Dominican Republic - Apr. 28, 1965 to Sept. 21, 1966 El Salvador - Jan. 1, 1981 to Feb. 1, 1992 Grenada - Oct. 23, 1983 to Nov. 21, 1983 Haiti - Sept. 16, 1994 to Mar. 31, 1995 Iraq - Jan. 1, 1997 to present Korea - Oct. 1, 1966 to Jun. 30, 1974 Laos - Apr. 19, 1961 to Oct. 7, 1962 Lebanon - Jul. 1, 1958 to Nov. 1, 1958 and Jun. 1, 1983 - Dec. 1, 1987 Mayaguez Operation - May 15, 1975 Operations in the Libyan Area - Apr. 12 - 17, 1986 Panama - Dec. 20, 1989 to Jan. 31, 1990 Persian Gulf Operation - Jul. 24, 1987 to Aug. 1, 1990 Persian Gulf Operation - Dec. 1, 1995 to present Persian Gulf Operation - Dec. 1, 1995 to Feb. 1, 1997 Persian Gulf Operation - Nov. 11, 1998 to Dec. 22, 1998 Persian Gulf Operation - Dec. 16, 1998 to Dec. 22, 1998 Persian Gulf Intercept Operation - Dec. 1, 1995 to present Quemoy and Matsu Islands - Aug. 23, 1958 to Jun. 1, 1963 Somalia - Dec. 5, 1992 to Mar. 31, 1995 Taiwan Straits - Aug. 23, 1958 to Jan. 1, 1959 Thailand - May 16, 1962 to Aug. 10, 1962 Vietnam Evacuation (Operation Frequent Wind) - Apr. 29, 1975 to Apr. 30, 1975 Vietnam (including Thailand) - Jul. 1, 1958 to Jul. 3, 1965</p>	<p>Navy Expeditionary Medals & Marine Corps Medals</p> <p>Cuba - Jan. 3, 1961 to Oct. 23, 1962 Indian Ocean/Iran - Nov. 21, 1979, to Oct. 20, 1981 Iranian/Yemen/Indian Ocean - Dec. 8, 1978 to Jun. 6, 1979 Lebanon - Aug. 20, 1982 to May 31, 1983 Liberia - Aug. 5, 1990 to Feb. 21, 1991 Libyan Area - Jan. 20, 1986 to Jun. 27, 1986 Panama - Apr. 1, 1980 to Dec. 19, 1986 and Feb. 1, 1990 to Jun. 13, 1990 Persian Gulf - Feb. 1, 1987 to Jul. 23, 1987 Rwanda - Apr. 7 - 18, 1994 Thailand - May 16 - Aug. 10, 1962</p>
<p>Other Campaign & Service Medals</p> <p>Army Occupation of Austria - May 9, 1945 to Jul. 27, 1955 Army Occupation of Berlin - May 9, 1945 to Oct. 2, 1990 Army Occupation of Germany (exclusive of Berlin) - May 9, 1945 to May 5, 1955 Army Occupation of Japan - Sept. 3, 1945 to Apr. 27, 1952 Chinese Service Medal (Extended) - Sept. 2, 1945 to Apr. 1, 1957 Korean Service - Jun. 27, 1950 to Jul. 27, 1954 Navy Occupation of Austria - May 8, 1945 to Oct. 25, 1955 Navy Occupation of Trieste - May 8, 1945 to Oct. 25, 1954 Southwest Asia Service Medal (SWASM) (Operations Desert Shield and Desert Storm) - Aug. 2, 1990 to Nov. 30, 1995 Units of the Sixth Fleet (Navy) - May 9, 1945 to Oct. 25, 1955 Vietnam Service Medal (VSM) - Jul. 4, 1965 to Mar. 28, 1973</p>	

This document was prepared 11/27/00. For the most current information, please check the OPM web site at <http://www.opm.gov/veterans/html/vgmedal2.htm>.

Appendix C (For The Standardized Record Data (WIASRD))

Reporting Services

All WIA title I funded services should be reported except for self-service and informational activities, which are those core services that are made available and accessible to the general public, that are designed to inform and educate individuals about the labor market and their employment strengths, weaknesses, and the range of services appropriate to their situation, and that do not require significant staff involvement with the individual in terms of resources or time. (Individuals receiving only these services need not be registered.)

To encourage integration of services and recognize shared contributions toward outcomes, we will use the following strategy for tracking and reporting across WIA title I funded (WIA-funded programs) and other workforce investment partners. Once an individual has registered for WIA-funded services, programs can claim credit for outcomes on core measures attained by participants who receive non-WIA funded services (such as those offered by One-Stop and school-to-work partner programs). Some methods for tracking participants across programs include: specifying the non-WIA funded services in the individuals' service plans, coordinating services across WIA and non- WIA funded services, and providing follow-up services to individuals.

Thus, the WIASRD is designed to allow States and local areas to track and report on services that WIA title I-B participants receive from partner programs. While tracking and reporting those services is optional, it can be advantageous because partner services that are tracked and reported can be counted just like WIA services when determining the exit date. Thus, tracking and reporting partner services can help avoid 'soft' exits under WIA. For example, an individual might be registered into WIA and receive some services and go on to receive adult literacy services from WIA title II. If WIA title II services are not tracked, the exit date occurs when WIA title I-B services are finished. If WIA title II services are tracked and reported, then (1) the individual is defined as an exiter from WIA title I-B if there are neither WIA title I-B nor title II services for 90 days and (2) the exit date is the last date on which either WIA title I-B services or WIA title II services were received.

Some questions and answers regarding this optional tracking of partner services include:

What partner services may be tracked and reported?

Report only those programs that fund activities coordinated with the individual's WIA title I-B activities, possibly through a formal coenrollment, by inclusion in the individual's WIA service plan or through follow-up services. Do not report partner services that the individual obtains on his/her own or that are not coordinated with the individual's WIA title I-B activities.

Can all partner services be used to extend the exit date?

The only partner services that can extend the exit date are those services that would extend the exit date if they were funded by WIA title I-B. These include services that would qualify under WIA as core services (other than informational or self-service), intensive services, training services, or youth activities (except for follow-up services). They also include similar employment and training activities, such as Adult Literacy Training. They do not include services that provide income support (e.g., Food Stamps, TANF grants, Unemployment Compensation).

May an individual be exited when WIA title I-B services are over, but partner services continue?

Receipt of partner services called for in the WIA service plan can extend the exit date, which triggers measurement of outcomes. However, the person should exit from WIA when the services in the WIA service plan are finished, even if other partner services continue. Thus, a 'hard' exit may be recorded whenever the service plan is finished.

Core, Intensive and Training Services for Adults and Dislocated Workers

Individuals who receive only self-service and informational activities are not to be included in the individual record submission. Self-service and informational activities are those core services that are made available and accessible to the general public, that are designed to inform and educate individuals about the labor market and their employment strengths, weaknesses, and the range of services appropriate to their situation, and that do not require significant staff involvement with the individual in terms of resources or time.

Core services which should be included for reporting purposes (and for which individuals must be registered) include:

- Staff assisted job search and placement assistance, including career counseling;
- Follow-up services, including counseling regarding the workplace;
- Staff assisted job referrals (such as testing and background checks);
- Staff assisted job development (working with employer and jobseeker); and
- Staff assisted workshops and job clubs.

Intensive services (WIA section 134(d)(3)(C), 20 CFR 663.200, 65 FR 49404, August 11, 2000) may include:

- Comprehensive and specialized assessments of skill levels and service needs including:
 - diagnostic testing and use of other assessment tools; and
 - in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals;
- Development of an individual employment plan, to identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to achieve the employment goals;
- Group counseling;
- Individual counseling and career planning;
- Case management for participants seeking training services;
- Short-term prevocational services, including development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct, to prepare individuals for unsubsidized employment or training;
- Out-of-area job search assistance;
- Relocation assistance;
- Internships; and
- Work experience.

Please note: The Final Rule at 20 CFR 663.200, 65 FR 49404, August 11, 2000 provides that intensive services beyond those listed in the Act may also be provided.

Training services (WIA section 134(d)(4)(D) include:

- Occupational skills training
- On-the-job training
- Workplace training and cooperative education programs
- Private sector training programs
- Skill upgrading and retraining
- Entrepreneurial training
- Job readiness training
- Adult education and literacy training activities in combination with other training (except customized training)
- Customized training

This list is not all-inclusive and additional training services may be provided (20CFR 663, 65 FR 49404 August 11, 2000).

Appendix D (For The Standardized Record Data (WIASRD))
Information that May Be Used for Determining Non-Traditional Employment

Nontraditional Occupations for Women and Men

Standard Occupational Classification		Nontraditional for:	
Code	Occupation Title	Women	Men
11-0000	Management Occupations		
11-9110	Medical and Health Services Managers		T
13-0000	Business and Financial Operations Occupations		
15-0000	Computer and Mathematical Occupations		
17-0000	Architecture and Engineering Occupations	T	
19-0000	Life, Physical, and Social Science Occupations		
19-2042	Geoscientists, Except Hydrologists, and Geographers	T	
21-0000	Community and Social Services Occupations		
21-2010	Clergy	T	
23-0000	Legal Occupations		
23-2000	Legal Support Workers		T
25-0000	Education, Training, and Library Occupations		
25-2010	Primary and Kindergarten Teachers		T
25-2020	Elementary and Middle School Teachers		T
25-2040	Special Education Teachers		T
25-4000	Librarians, Curators, and Archivists		T
25-9040	Teacher Assistants		T

Standard Occupational Classification		Nontraditional for:	
Code	Occupation Title	Women	Men
27-0000	Arts, Design, Entertainment, Sports, and Media Occupations		
27-3010	Announcers	T	
29-0000	Healthcare Practitioners and Technical Occupations		
29-1010	Chiropractors	T	
29-1020	Dentists	T	
29-1030	Dieticians and Nutritionists		T
29-1040	Optometrists	T	
29-1060	Physicians and Surgeons	T	
29-1080	Podiatrists	T	
29-1110	Registered Nurses		T
29-1120	Therapists (except 29-1123 Physical Therapists, 29-1126 Respiratory Therapists)		T
29-2000	Health Technologists and Technicians		T
31-0000	Healthcare Support Occupations		T
33-0000	Protective Service Occupations	T	
35-0000	Food Preparation and Serving Related Occupations		
25-3030	Waiters and Waitresses		T

Standard Occupational Classification		Nontraditional for:	
Code	Occupation Title	Women	Men
37-0000	Building and Grounds Cleaning and Maintenance Occupations		
37-2012	Maids and Housekeeping Cleaners		T
37-2020	Pest Control Workers	T	
37-3000	Grounds Maintenance Workers	T	
39-0000	Personal Care and Service Occupations		
39-2000	Animal Care and Service Workers		T
39-5011	Barbers	T	
39-5012	Hairdressers, Hairstylists, and Cosmetologists		T
39-6011	Baggage Porters and Bellhops	T	
39-6030	Transportation Attendants		T
39-9000	Other Personal Care and Service Workers (except 39-9030 Recreation and Fitness Workers)		T
41-0000	Sales and Related Occupations		
41-2010	Cashiers		T
41-2022	Parts Salespersons	T	
43-0000	Office and Administrative Support Occupations		
43-2000	Communications Equipment Operators		T
43-3000	Financial Clerks		T
43-4000	Information and Record Clerks		T
43-5020	Couriers and Messengers	T	
43-6000	Secretaries and Administrative Assistants		T

Standard Occupational Classification		Nontraditional for:	
Code	Occupation Title	Women	Men
43-9000	Other Office and Administrative Support Workers (except 43-9010 Computer Operators)		T
45-0000	Farming, Fishing, and Forestry Occupations (except 45-2040 Graders and Sorters, Agricultural Products)	T	
47-0000	Construction and Extraction Occupations	T	
49-0000	Installation, Maintenance, and Repair Occupations	T	
51-0000	Production Occupations		
51-1000	Supervisors, Production Workers	T	
51-3020	Butchers and Other Meat, Poultry, and Fish Processing Workers	T	
51-3090	Miscellaneous Food Processing Workers		T
51-4000	Metal Workers and Plastic Workers	T	
51-5000	Printing Workers	T	
51-6020	Pressers, Textile, Garment and Related Materials		T
51-6030	Sewing Machine Operators		T
51-6050	Tailors, Dressmakers, and Sewers		T
51-6093	Upholsterers	T	
51-7000	Woodworkers	T	
51-8000	Plant and System Operators	T	
51-9010	Chemical Equipment Operators and Tenders	T	
51-9020	Crushing, Grinding, Polishing, Mixing, Blending Workers	T	
51-9040	Extruding, Forming, Pressing, and Compacting Machine Setters, Operators, and Tenders	T	
51-9050	Furnace, Kiln, Oven, Drier, and Kettle Operators and Tenders	T	
51-9120	Painting Workers	T	

Standard Occupational Classification		Nontraditional for:	
Code	Occupation Title	Women	Men
51-9190	Miscellaneous Production Workers	T	
53-0000	Transportation and Material Moving Occupations (except 53-2020 Bus Drivers)	T	

NOTE: This table indicates which occupations can be treated as nontraditional employment for purposes of WIA reporting. The table is organized according to the Standard Occupational Classification (1998 version). All major groups (with codes ending with '0000') are shown, regardless of whether or not they contain nontraditional occupations. Nontraditional occupations are those occupations in which persons of a given gender hold less than 25% of employment. Classification of occupations as nontraditional is based on 1999 national data contained in the Bureau of Labor Statistics publication, *Employment and Earnings*, January 2000, Table 11. Employed persons by detailed occupation, sex, race, and Hispanic origin.

Nontraditional employment for women is denoted by a T in the column titled 'Women'; these are occupations in which over 75% of the jobs are held by men. Nontraditional employment for men is denoted by a T in the column titled 'Men'. The chart lists the broadest occupation groupings that can be considered nontraditional. Occupations with codes ending with '0000', '000', '00', or '0' are usually groups of more detailed codes. When such occupation groups are identified as nontraditional, all occupations within the group can be considered as nontraditional. These included occupations have the same beginning digits as the group, but other digits replace the trailing zeros. For example, 47-0000 Construction and Extraction Occupations is identified as nontraditional for women. Thus, all occupation codes beginning with 47- may be considered as nontraditional for women.

This table is intended to be used as a general guide for determining nontraditional employment. However, because of limitations in the underlying data, this table should not be considered definitive. First, the data were not sufficiently detailed to identify traditional and nontraditional occupations at the most detailed levels of occupational coding. Thus, some detailed occupations within groupings not shown as nontraditional may in fact be nontraditional. Alternatively, within groupings shown as nontraditional some detailed occupations might not in fact qualify as nontraditional. Second, the source data were based on a different occupational classification (the Census recode of the 1980 SOC). As a result, some uncertainty was introduced in the conversion between the occupational classifications. Finally, WIA provides the flexibility to determine nontraditional employment using either national or local data. Thus, local areas may also identify different occupations as nontraditional based on employment data from their state or local labor market.

Appendix E (For The Standardized Record Data (WIASRD))

Types of Youth Skill Goals

Basic skills goals

Basic education skills include reading comprehension, math computation, writing, speaking, listening, problem solving, reasoning, and the capacity to use these skills.

Occupational skills goals

Primary occupational skills encompass the proficiency to perform actual tasks and technical functions required by certain occupational fields at entry, intermediate or advanced levels. Secondary occupational skills entail familiarity with and use of set-up procedures, safety measures, work-related terminology, record keeping and paperwork formats, tools, equipment and materials, and breakdown and clean-up routines.

Work readiness skills goals

Work readiness skills include world of work awareness, labor market knowledge, occupational information, values clarification and personal understanding, career planning and decision making, and job search techniques (resumes, interviews, applications, and follow-up letters). They also encompass survival/daily living skills such as using the phone, telling time, shopping, renting an apartment, opening a bank account, and using public transportation. They also include positive work habits, attitudes, and behavior such as punctuality, regular attendance, presenting a neat appearance, getting along and working well with others, exhibiting good conduct, following instructions and completing tasks, accepting constructive criticism from supervisors and co-workers, showing initiative and reliability, and assuming the responsibilities involved in maintaining a job. This category also entails developing motivation and adaptability, obtaining effective coping and problem-solving skills, and acquiring an improved self image.

Attachment F (ETA 9090)

Instructions and Form for Submission of the WIA Quarterly Summary Report

General Instructions

Each State must submit a Quarterly Summary Report to provide DOL with the most recent performance information. This report must be submitted according to the following guidelines:

- **Due date.** The report is due 45 days after the end of the report quarter. The first report will be the report for the 2nd quarter of Program Year (PY) 2000 (for the quarter ended December 31). Due dates for PY 2000 are:

- Second Quarter (quarter ended 12/31/2000)	March 16, 2001
- Third Quarter (quarter ended 3/31/2001)	May 15, 2001
- Fourth Quarter (quarter ended 6/30/2001)	August 14, 2001

The first quarter report for PY 2001 will be due November 14, 2001.

- **Scope.** The report will contain State aggregate data for individuals served by WIA title I-B, including individuals served by both statewide and local funds. Individuals served with statewide funds should only be included in the quarterly report when they count towards the performance outcomes. (Please note, the Federal Register Notice of April 3, 200 indicated that National Emergency Grants should be included in the quarterly report. Since this is not correct and is not in accordance with Training and Employment Guidance Letter (TEGL) 7-99 (available on-line at www.usworkforce.org/resources/accountability.htm), please do not include National Emergency Grants in the quarterly report.)

If the activities funded with State 15% reserve funds involve the enrollment of individuals eligible for WIA title I-B services, (i.e., adult, dislocated workers, or youth activities), at the State or local level, the outcomes are included in the performance measurements and must be included in the quarterly report. If the activities are not supporting services for eligible adults, dislocated workers or youth, the outcomes are not included in the report. Examples of such exceptions include activities where:

- S the State is conducting a statewide activity that does not involve direct services (e.g., research or evaluation); or
- S the activity is structured to provide services that are highly

specialized, such as in a pilot or demonstration activity for which the State establishes separate, or its own specific, goals not typically addressed in the adult, dislocated worker or youth activities (e.g., the activities support incumbent worker training authorized under Section 134(a)(3)(A)(iv)(I), or activities for chemically dependent TANF recipients).

- **Time period.** To allow for the data collection delay inherent in the WIA performance indicators, the Quarterly Summary Report collects cumulative information for each performance indicator for the most recent periods for which the indicator is available.

For each performance indicator, the State reports the actual cumulative performance (both numerator and denominator) for the most recent data available. Performance indicators are cumulated over two different time periods:

1. Performance indicators that do not use wage records are cumulated over a Program Year (July 1 to June 30). Measures which are not employment-based and not tied to wage records include the younger youth skill attainment rate and diploma or equivalent rate and the two customer satisfaction measures.
2. Performance indicators that use wage records are cumulated during the first quarter of a program year and the last three quarters of the previous program year. Measures that relate to employment as the primary outcome or as a partial outcome and that require the use of the UI wage records as a data source include the adult, dislocated worker and older youth entered employment, retention, earnings, and credential measures and the younger youth retention rate.

Because of the variable lags in the availability of performance information, different performance measures will be cumulated for different numbers of quarters. Table A shows for each report item, the period over which it is to be cumulated and the number of quarters expected to be available for each report (by report quarter).

Because some states may be able to report more quarters than shown in the table, the report form contains a column in which the number of quarters reported is to be indicated.

- **Submission.** States must submit the report in an electronic format. We will provide specific instructions for the submission at a later date.
- **Data collection format.** In addition to the value of each performance indicator, the State must report both the numerator and denominator for each performance

indicator. This detail is needed so that the information can be aggregated over States to provide national estimates. States will also report the number of quarters included in the cumulative value reported for each indicator.

Table A
Number of Quarters Included in the Cumulative Values in Quarterly Report
By Outcome and Report Quarter

Reporting Items	Period Over Which to Cumulate	Report Quarter (Due Date)			
		July-Sep. (11/14)	Oct.-Dec. (2/14)	Jan-Mar. (5/15)	Apr.-Jun. (8/14)
Total New Registrants	Program Year (Jul. - Jun.)	1	2	3	4
Total Exiters	Program Year (Jul. - Jun.)	4	1	2	3
Employer Customer Satisfaction	Program Year (Jul. - Jun.)	4	1	2	3
Participant Customer Satisfaction	Program Year (Jul. - Jun.)	4	1	2	3
Youth Diploma or Equivalent Rate	Program Year (Jul. - Jun.)	4	1	2	3
Skill Attainment Rate	Program Year (Jul. - Jun.)	1	2	3	4
Entered Employment Rate	Oct.-Sep.	1	2	3	4
Credential and Employment (Adults/Dislocated Workers) or Credential Rates (Older Youth)	Oct.-Sep.	1	2	3	4
Six Months - Retention Rate	Oct.-Sep.	3	4	1	2
Six Months -Earnings Change or Earnings Replacement	Oct.-Sep.	3	4	1	2

Note: Some state may be able to access complete wage records more quickly than assumed in this table. These states should report as many quarters as are available for the measures to be cumulated over the October 1 to September 30 period.

Reporting of Performance Indicators

Summary definitions of the core performance indicators for youth, adults and dislocated workers and the customer satisfaction indicators are presented in TEGL 7-99 Attachment A. General definitions are presented in Attachment B of the same TEGL. Detailed calculation instructions are presented in Attachment C of TEGL 7-99. Additional information on the customer satisfaction indicators is presented in TEGL 6-00.

Updates

There is no need to update a quarterly report after its submission. Because cumulative data are being reported, updates will automatically be included in the next quarterly report. Final performance data for each program year should be included in the annual report.

DETAILED DEFINITIONS AND INSTRUCTIONS

Adults. Individuals age 18 and over who received services (other than self-service and informational activities) funded with adult program funds.

Dislocated Workers. Individuals who meet the WIA definition of dislocated worker and who received services (other than self-service and informational activities) funded with dislocated worker program funds.

Younger Youth (14-18). Individuals under age 19 at registration who received youth activities funded by youth program funds.

Older Youth (19-21). Individuals age 19 to 21 at registration who received youth activities funded by youth program funds.

Report Identifying Information

Quarter/PY. Indicate the number of the quarter (1, 2, 3 or 4) and the program year for which the report is being submitted.

State. Indicate the name of the State or jurisdiction.

Items to Be Cumulated Over a Program Year

The first program year to be reported on the quarterly report will be PY 2000 (July 1, 2000 to June 30, 2001).

Total New Registrants. The total number of new WIA registrants who received WIA-funded services in the program year. For adults and dislocated workers, individuals who receive core services (other than informational and self-service activities), intensive services or training services must be registered. All youth who receive youth activities must be registered.

For PY 2000 only, instead of new registrants, the sum of new registrants and carry-in from JTPA should be reported. This sum equals total participants. States that implemented WIA, fully or partially, before July 1, 2000 should report total participants in the PY 2000 reports.

Total Exiters. The total number of WIA registrants who exited WIA during a program year. Note that information on all exiters in a quarter is not available until 90 days after the end of the quarter because some exiters may not be identified for up to 90 days after the exit date.) Thus, total exiters for the four quarters of PY 2000 will be reported in the 1st quarter PY 2001 report.

Exiters. Each individual becomes part of an exit cohort, a group who are determined to be “exiters” within a particular quarter and are looked at together for measurement purposes. There are two ways to determine exit:

1. a registrant who has a date of case closure, completion or known exit from WIA-funded or non-WIA funded partner service within the quarter (hard exit); or
2. a registrant who does not receive any WIA-funded or non-WIA funded partner service for 90 days and is not scheduled for future services except follow-up services (soft exit).

Registrants who have a planned gap in service of greater than 90 days should not be considered as exited if the gap in service is due to a delay before the beginning of training or a health/medical condition that prevents an individual from participating in services. Service providers should document any gap in service that occurs and provide reason for such a gap in service. Registrants who exit from services because they are incarcerated, deceased or have a health/medical condition that prevents the individual from participating in services, should be excluded from the measures. Once a registrant has not received any WIA-funded or partner services, except follow-up services, for 90 days, and there is no planned gap in service, then that participant has exited WIA for the purposes of measurement in 15 of the 17 core measures (the younger youth skill attainment rate and employer customer satisfaction measures are not based on exit).

The exit date will be the last date of WIA-funded or partner-funded service received (except follow-up services). For a soft exit, the date of exit cannot be determined

until 90 days have elapsed from the last date of service. At that point, the exit date recorded is the last date of service. The exit quarter (referred to throughout the definitions of the measures) is the quarter in which the last date of service (except follow-up services) takes place. If a registrant exits WIA and receives future WIA services after exiting, that registrant is treated as a new registrant for purposes of the core measures and will be included in the appropriate measures.

Customer Satisfaction. Customer satisfaction must be reported for a program year. The following items are to be reported, separately for employers and participants:

Number of Completed Surveys. The number of surveys with answers to each of the three required questions.

Number Eligible for the Customer Satisfaction Survey. The number of participants/employers in the group (sample frame) from which the customer sample was drawn. For participants, this is the number of exiters. For employers, it is the number of employers whose service ended. This information is needed to aggregate customer satisfaction over States.

Customer Satisfaction Index.

For **participant customer satisfaction**, the index is reported for individuals who exited in a program year.

For **employer customer satisfaction**, the index is reported for employers whose service ended in a program year.

Younger Youth Skill Attainment Rate. Reported for youth goals that were attained during a program year and youth goals that were not attained and had one-year anniversary dates in the program year.

Younger Youth Diploma or Equivalent Attainment Rate. Reported for youth who exited in a program year.

Items to Be Cumulated Over the First Quarter of a Program Year and the Last Three Quarters of the Previous Program Year.

The following items are to be measured for individuals who exited during the first quarter of a program year and the last three quarters of the previous program year. The first exit

group to be reported will be individuals who exited WIA or terminated from JTPA from October 1, 1999 to September 30, 2000. This period will be used for PY 2000 WIA performance calculations even though it contains up to three JTPA quarters.

Entered Employment Rate. Reported for adults, dislocated workers and older youth who exited in the first quarter of a program year and the last three quarters of the previous program year.

Employment And Credential Rate (Adults/Dislocated Workers), Credential Rate (Older Youth). Reported for individuals who exited in the first quarter of a program year and the last three quarters of the previous program year.

Six Months Employment Retention Rate/Younger Youth Retention Rate (postsecondary education/advanced training, or placement and retention in military service, employment or qualified apprenticeships). Reported for adults, dislocated workers, older youth and younger youth who exited in the first quarter of a program year and the last three quarters of the previous program year. This information should not be included in the report for the 2nd quarter of PY 2000 if information is not available for individuals who exited between October 1, 1999 and September 30, 2000.

Six Months - Earnings Change (Adults/Older Youth), Earnings Replacement (Dislocated Workers). Reported for adults, dislocated workers, and older youth who exited in the first quarter of a program year and the last three quarters of the previous program year. This information should not be included in the report for the 2nd quarter of PY 2000 if information is not available for individuals who exited between October 1, 1999 and September 30, 2000.

Quarter ____ PY ____
 State _____

Quarterly Report Form (ETA 9090)

Time Period to Cumulate	Performance Items (Cell content format)	Program Group	Number of Quarters Reported	Value	
Program Year (July 1 to June 30)	Total New Registrants (xxxxx)	Adults			
		Dislocated Workers			
		Younger Youth (14-18)			
		Older Youth (19-21)			
	Total Exiters (xxxxx)	Adults			
		Dislocated Workers			
		Younger Youth (14-18)			
		Older Youth (19-21)			
	# of Completed Surveys for Customer Satisfaction (xxxxx)	Employers			
		Participants			
	# of Employers/Exiters Eligible for the Customer Satisfaction Survey (xxxxx)	Employers			
		Participants			
	Customer Satisfaction (xx.x) §136(d)(1)	For Employers			
		For Participants			
	Youth Diploma or Equivalent Rate (xx.x%) §136(d)(1)	Younger Youth (14-18)			Numerator
					Denominator
Skill Attainment Rate (xxx.x) §136(d)(1)	Younger Youth (14-18)				

Time Period to Cumulate	Performance Items (Cell content format)	Program Group	Number of Quarters Reported	Value	Numerator
					Denominator
October 1 to September 30	Entered Employment Rate (xx.x%) §136(d)(1)	Adults			
		Dislocated Workers			
		Older Youth (19-21)			
	Credential and Employment (Adults/Dislocated Workers) or Credential Rates (Older Youth) (xx.x%) §136(d)(1)	Adults			
		Dislocated Workers			
		Older Youth (19-21)			
	Six Months - Retention Rate (xx.x%) §136(d)(1)	Adults			
		Dislocated Workers			
		Older Youth (19-21)			
		Younger Youth (14-18)			
	Six Months -Earnings Change or Earnings Replacement (\$xxxx) §136(d)(1)	Adults			
		Dislocated Workers			
		Older Youth (19-21)			

Instructions for Accessing WIA Quarterly Performance Report

The WIA Quarterly Performance Report can be found at the following URL:

www.etareports.doleta.gov To access the quarterly report, you need to enter your assigned Password. If you have not received your Password and PIN, contact your Regional Office Representative immediately and provide them the Primary and Secondary contact information. The Primary Contact person is the person who has signatory authority over the report, while the Secondary Contact person is more knowledgeable about the data. The information required on the contact persons include, Name, Address, Phone, Fax, and most importantly, E-Mail Address.

The Password and PIN will be e-mailed to the Primary Contact person. Note there is only 1 Primary and 1 Secondary contact. It is the discretion of the Primary Contact to share their Password and PIN.

The WIA Quarterly Performance Report has been designed very similarly to that of the WIA Financial Reporting.

Go to URL: <http://www.etareports.doleta.gov>

1. Enter your assigned password (make sure it is all lowercase).
2. Select Report Date (i.e. Quarter Ending Date)
3. (Note: A more detailed and updated version of the instructions will be available on this screen, but for now, here is a general overview of submitting and certifying your report).

Entering Data

1. When you select the Report Date, in the Drop Down menu you will see the quarter ending date and the current status of that quarter's report. The Status of the report can be one of the following:

Not Submitted Indicates that data has not been submitted for the quarter.

State Certified Indicates that the Certifying Official has applied the PIN to the report AND

Region Accepted Indicates that the ETA Regional Office has reviewed and "Accepted" the State Certified report. Once the report has been accepted, the date is attached to the report.

2. Select the quarter you want to report on. **Note: You cannot skip reporting quarters. Reports have to be entered in chronological order.** Once the report form is displayed, enter the data in the appropriate columns, as positive whole numbers. No commas, parentheses, decimals, etc.... Just straight numbers.
3. Instructions for each of the line items are hyper-linked. Just click on the line item and it will take you to the corresponding instructions. Press the Back button on your browser to return to

entering data.

4. Edit checks are built into the form. Some edit checks will automatically do calculations and no data entry would be required for those fields, while other line items will have descriptive error messages pop up if the amount exceeds or drops below the threshold.

Saving the Report

1. Once the data and remarks have been entered, print the report first to obtain a hard copy. Use the print function of your browser.
2. If you find your printout cutting off some of the form after it prints make the following adjustments to the browser:

Netscape:

From the Menu Bar in Netscape, Select View, then Select Decrease Font

Internet Explorer:

From the Menu Bar in Internet Explorer, Select View, Select Text Size, then Choose Smaller

3. Press the SUBMIT button to save the data. You DO NOT need to enter a PIN to save the data.
4. The report WILL NOT be saved unless ALL errors are corrected.
5. Upon successful submission of data, you should see the confirmation page. The confirmation page will let you know if your report was submitted successfully. The date and time is stamped onto the confirmation page. If you do not receive the confirmation page, please go back and re-enter your data. There could have been a communications error.
6. Once you receive the confirmation page, you will see a link to take you back to the Select Quarter Date Screen. Note, the status of the form will change since data has been added.

Certifying the Report

1. Make sure the report has been saved and that the numbers reported are accurate to the best of your knowledge.
2. Enter your assigned PIN and press the SUBMIT Button.
3. Upon successful submission of your PIN, you should see another confirmation page. The confirmation page will let you know if your report was Certified successfully. The date and

time is stamped onto the confirmation page. If you do not receive the confirmation page, please go back and re-enter your PIN. There could have been a communications error.

4. When you receive the confirmation page, you will see a link to take you back to the Select Quarter Date Screen. Note, the status of the form will change since data has been added.
5. Once the report is State Certified, the ETA Regional Office will then be able to review and “Accept” the report. The ETA Regional Office has READ ONLY access to the report. All modifications must be made by the State.
6. Modifications can be made to the report, just access the report as before. Then make the appropriate modifications. Each time the report is modified, it must also be re-Certified.

Attachment G

Workforce Investment Act Title I-B Annual Report (ETA 9091)

GENERAL INSTRUCTIONS

Each State that receives an allotment under WIA section 127 (youth activities) or section 132 (adult and dislocated worker activities) of the Workforce Investment Act of 1998 must prepare and submit an Annual Report to the Secretary in accordance with WIA sections 136(d)(1) and 185(d).

The Department of Labor, in consultation with States and other partners, has developed a strategy for the Annual Report that is designed to meet these requirements but that also provides States the flexibility to “showcase” their unique programs, strategies and accomplishments. The Annual Report will emulate the Private Sector’s “Report to Stockholders.” Just as a Report to Stockholders presents a company portrait painted in a particular style of the corporate culture, States are encouraged to design their Annual Reports to stakeholders in a manner that makes extensive use of graphics and other communication devices so that the report represents their qualities in the most advantageous manner to all stakeholders, including Congress, Governors, State legislators, workforce investment boards and the public. For example, States may want to include “success stories” that focus attention on successful programming for participants, employers and communities. Messages from the Governor, or information about State Workforce Investment Board members, market analysis, strategies for improvement, effects on major industries may also be included. While this portion of the Annual Report is optional, DOL is optimistic that States new to this type of publication will soon discover the benefits that States now creating these kinds of documents have come to appreciate.

Additionally, as a Report to Stockholders contains information mandated by the Securities and Exchange Commission, the WIA Annual Report will have some required information that will appear in the format prescribed in attachment V. This will satisfy WIA section 185(c)(2) which requires the Secretary to facilitate this uniform reporting, and will allow the Secretary to disseminate a State-by-State comparison of the information as required in WIA section 136(d)(3)(B). Another reason that this essential information is displayed in a clear and unambiguous way, is that the core and customer satisfaction indicators will be used when determining incentive grants under WIA section 503 and sanctions under WIA section 136(g). States may place these tables anywhere in their publication, but they must be confined to one section of the report rather than scattered throughout the report.

Due Date. The report is due December 1 following each program year. For example, the report for Program Year (PY) 2000 will be due December 1, 2001. States will probably want to begin planning their Annual Reports, writing “Success Stories,” contracting for

publication, etc., before outcome data becomes available in order to meet the deadline for submission. 20 CFR 667.300(e)(1) of the WIA Final Rule (65 FR 49429, August 11, 2000) states that: "A State failing to submit any of these annual performance progress reports within 45 days of the due date may have its grant (for that program or all title I, subpart B programs) for the succeeding year reduced by as much as five percent, as provided by WIA section 136(g)(1)(B)."

Scope. The report will cover services provided under Title I-B of WIA using local funds and statewide funds. Details about services provided using National Emergency Grant funds should not be included since this information will be included in other report(s). States may also include information about partner programs and how WIA and partner programs are collaborating to provide workforce development services. Statewide activities to be included in the Annual Report are those statewide activities that are included in the performance measures.

- Statewide activities: If the activities funded with State 15% reserve funds involve the enrollment of individuals eligible for Title I-B services, (e.g., adult, dislocated workers, or youth activities), at the State or local level, the outcomes are included in the performance measurements. If the activities are not supporting services for eligible adults, dislocated workers or youth, the outcomes are not included in the negotiated performance measures. Examples of such exceptions include activities where:

- the State is conducting a Statewide activity that does not involve direct services (e.g., research or evaluation),

- the activity is structured to provide services that are highly specialized, such as a pilot or demonstration activity for which the State establishes separate, or its own specific, goals not typically addressed in the adult, dislocated worker or youth activities (e.g., the activities support incumbent worker training authorized under section 134(a)(3)(A)(iv)(I), or activities for chemically dependent TANF recipients).

Time Period. The Annual Report reflects performance outcome information that becomes available by the time the Annual Report for the program year is due. The introduction to each table explains the applicable time periods. States may include information on performance indicators from previous years to show trends over time as this information becomes available.

Annual Report Tied to Individual Records. The performance information provided in the Annual Report is based on the data from the individual records provided to the Secretary.

Submission. The Department of Labor's Employment and Training Administration (ETA)

will provide Congress with a copy of the Annual Report submitted by each State and publish each State's report on an Internet web site. States must provide ETA with:

- One original and two copies of the report, one to forward to Congress and one each for ETA's national and regional office; and
- A computerized copy of the report in a format usable for inclusion on ETA's web site. Acceptable formats include WordPerfect, Microsoft Word, Acrobat, and other commonly used formats.
- The electronic format of this report may have a slightly different appearance than the attached report form. We will provide specific instructions for the electronic submission of the report at a later date.

SPECIFIC INSTRUCTIONS

Optional Portion. Since States are not required to include any information other than that in the attached format, we are not issuing any formal guidance on the optional portion of the report. However, we anticipate providing some examples of "best practices" and working with our State Partners to develop technical assistance for those who want it.

Required Portion. The required portion of the Annual Report must be submitted according to the following guidelines:

Indicate your State's name and the date the report was submitted electronically to the Department of Labor or its designated contractor.

On the electronic version of the report, include the name and title of the authorized official of the governor responsible for certifying that the data submitted is complete and accurate.

I. Narrative Section.

A. A discussion of the cost of workforce investment activities relative to the effect of the activities on the performance of the participants as required in WIA section 136(d)(2)(C).

In addressing this item, States may want to include information from their strategic plans about the mix of services (activities) selected and the outcomes expected from these activities and then discuss the actual outcomes for their major customer segments. States may indicate actual federal outlays for selected activities, if the information is available.

States must explain how the allocation of resources for adults, dislocated workers,

and youth activities affected the outcomes. For adults and dislocated workers the activities that States may wish to address are core, intensive and training services. For youth, States should include information about front-end costs (e.g., intake, assessment and case management) and aggregated direct service costs for the ten youth program elements described in WIA section 129(c)(2).

B. A description of State evaluations of workforce investment activities (if any) is required by WIA section 136(d)(1), including:

- The questions the evaluation will/did address;
- A description of the evaluation's methodology; and
- Information about the timing of feedback and deliverables.

The required State evaluations of workforce investment activities are described in WIA section 136(e) and include evaluation studies of workforce investment activities conducted under WIA title I-B to establish, implement and use methods for continuous improvement in the efficiency and effectiveness of the statewide workforce investment system in improving employability for job seekers and competitiveness for employers.

II. Table Section Instructions.

Table A - Workforce Investment Act Customer Satisfaction Results. Enter the following information separately for program participants and employers. Additional information about Customer Satisfaction Indicators is available in TEGL 6-00. This information is based on exiters from the program year:

Negotiated Performance Level. The level of performance negotiated between the State and DOL.

Actual Performance Level. The actual performance levels on the American Customer Satisfaction Index.

Number of Customers Surveyed. The number of surveys with answers to each of the three required questions. (The number of surveys to be administered is addressed in TEGL 7-99.)

Number Eligible for the Customer Satisfaction Survey. The number of participants/employers in the group (sample frame) from which the customer sample was drawn. This information is needed to aggregate customer satisfaction across all States.

Aggregating Local Board ACSI Results to Obtain Statewide Results . States

using the ACSI methodology to measure Local Board performance are not required to conduct separate customer satisfaction surveys to obtain State level results. In situations where a single sampling rate is used throughout the State, the Local Board 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 Local Boards in a State, each Local Board's ACSI score will need to 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 Local Board in the State and each Local Board's ACSI score.

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

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

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

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

	Participant	Employer
Local Board 1	$(67.2 * 1,824) = 122,572.8$	$(65.2 * 597) = 38,924.4$
Local Board 2	$(78.1 * 1,025) = 80,052.5$	$(80.0 * 533) = 42,640.0$
Local Board 3	$(68.6 * 1,151) = 78,958.6$	$(67.0 * 487) = 32,629.0$
Total	$= 281,583.9$	$= 114,193.4$

State A ACSI score for participants: $(281,583.9 / 4,000) = 70.4$

State A ACSI score for employers: $(114,193.4/1,617)=70.6$

Tables B through K. Use the following definitions to complete Tables B through K. Information for the special population tables is in accordance with the requirements of WIA section 136(d)(2)(F). The comparison of individuals who received Training Services and Individuals who received only core and intensive services is required by section 136(d)(2)(E) of the Act.

Negotiated Performance Level. The level of performance negotiated between the State and DOL.

Actual Performance Level. The actual performance levels on the core indicators of performance for the groups of individuals specified on the table. Include the numerator and denominator for the actual performance levels achieved in the space indicated.

Summary definitions of the four core performance indicators for youth, adults and dislocated workers, entered employment, credential and/or credential and employment, six months retention and six months earning change or earning replacement as well as the youth skill attainment indicator are presented in TEGL 7-99 Attachment A. General definitions are presented in Attachment B of the same TEGL. Detailed calculation instructions are presented in Attachment C of TEGL 7-99.

Information about the Entered Employment Rate, the Employment Retention Rate (six months), the Earnings Change In Six Months (adults), the Earnings Replacement In Six Months (dislocated workers) and the Employment and Credential Rate will be based on exiters from the first quarter of the program year and the last three quarters of the previous program year.

Information about the participant customer satisfaction measure, the Younger Youth Diploma rate and the Youth Skill Attainment Measure will be based on exiters from the program year. The employer customer satisfaction measure is based on employers served during the program year.

Adults. Individuals who received services (other than self-service and informational activities) funded with adult program funds.

Dislocated Workers. Individuals who meet the definition of a dislocated worker in WIA section 101(9) who received services (other than self-service and informational activities) funded with dislocated worker program funds.

Displaced Homemaker. An individual who has been providing unpaid services to

family members in the home (WIA section 101(10) and -

- (1) has been dependent on the income of another family member but is no longer supported by that income; and
- (2) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment; or

For the purposes of carrying out innovative Statewide activities noted in WIA section 134, the following individuals may also be counted as displaced homemakers WIA section 134(a)(3)(A)(vi)(I): individuals who are receiving public assistance and are within 2 years of exhausting lifetime eligibility under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.).

Individuals Who Received Training Services. Individuals who received services for adults and dislocated workers described in WIA section 134(d)(4)(D).

Individuals With Disabilities. Individuals with any disability as defined in section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102).

Older Individuals. Individuals aged 55 years or older at the time of registration.

Older Youth (19-21). Individuals age 19 to 21 at registration who received youth activities funded by youth program funds.

Out-of-school Youth. An eligible youth, at the time of registration, who is a school dropout or who has received a secondary school diploma or its equivalent but is basic skills deficient, unemployed, or underemployed.

Public Assistance Recipients. Individuals who receive Federal, State, or local government cash payments for which eligibility is determined by a needs or income test (WIA section 101(37)). The receipt of public assistance status may occur at any time the individual is receiving services including at time of registration or during participation. Receipt of foster child payments should not be counted as public assistance.

In Table C, Public Assistance Recipients are only those individuals who received Intensive or Training Services.

Veterans. Individuals who served in the active U.S. military, naval, or air service and who were discharged or released from such service under conditions other than dishonorable.

Younger Youth (14-18). Individuals under age 19 at registration who received

youth activities funded by youth program funds.

Table L - Other Reported Information. The requirements for this table are prescribed in the Workforce Investment Act, including the requirements that States provide the following information:

- Section 136(d)(2)(B) for wages at entry into employment for participants in workforce investment activities who entered employment, including the rate of wage replacement for such participants who are dislocated workers;
- Section 136(d)(2)(D) for retention and earnings received in employment 12 months after entry into the employment;
- Section 136(d)(2)(E) for individuals who received training services compared with the performance of participants in workforce investment activities who received only services other than training services (excluding participants who received only self-service and informational activities); and
- Section 185(d)(1)(C) for information regarding programs and activities carried out under this title pertaining to placement for participants in nontraditional employment.

Please use the following information to complete Table L:

Placements of Participants in Nontraditional Employment. Nontraditional employment is employment in an occupation or field of work for which individuals of the participant's gender comprise less than 25% of the individuals employed in such occupation or field of work (WIA section 101(26)). This determination may be made using either state or national data. Appendix D in the WIASRD provides national information that, at the State's option, can be used to determine nontraditional employment from the occupation code. Both males and females can be in nontraditional employment. This information can be based on any job held after exit and only applies to adults, dislocated workers and older youth who entered employment in the quarter after exit.

Training-Related Employment. Training-related employment is employment in which the individual uses a substantial portion of the skills taught in the training received by the individual. This information is about individuals who exited during the first quarter of the program year and the last three quarters of the previous program year. This information can be based on **any** job held after exit and only applies to adults, dislocated workers and older youth who entered employment in the quarter after exit.

Wages at Entry Into Employment. This information is reported for individuals who

exited in the first quarter of the program year and the last three quarters of the previous program year.

-Of those adults or older youth who are employed in the first quarter after exit: Total earnings in the first quarter after exit divided by the number of exiters.

-Of those dislocated workers who are employed in the first quarter after exit: Total earnings in the first quarter after exit divided by the number of exiters.

Operational Parameters:

- To ensure comparability of this measure on a national level, the UI wage records will be the only data source used for this measure. Therefore, individuals whose employment was determined from supplementary sources are excluded from the measure.

- Individuals who are not found to be employed in the first quarter after exit are excluded from this measure.

Adults and older youth who are employed at registration are excluded from this measure.

Older Youth in both employment and post-secondary education or advanced training in the first quarter after exit are included in the denominator. Older Youth who are not employed, but who are in post-secondary education or advanced training in the first quarter after exit are excluded from this measure.

Twelve Months Employment Retention Rate and Twelve Months Earnings Change (Adults and Older Youth) or Twelve Months Earnings Replacement (Dislocated Workers). This information is reported for individuals who exited in the first quarter of the previous program year and the last three quarters of the second previous program year. This “look in the rearview mirror” is due to the length in the period of measurement and the availability of the wage record data. (**Special instructions for the Annual Report submitted for PY 2000 only** : Since there will be no information available for the 12 month measures, the measures need not be reported.)

Adult Employment Retention Rate at Twelve Months

Of those who are employed in the first quarter after exit:

Number of adults who are employed in the fifth quarter after exit divided by the number of adults who exited

Operational Parameters:

- This measure includes only those who are employed in the first quarter following exit (regardless of their employment status at registration).
- Individuals who are not found to be employed in the first quarter after exit are excluded from this measure.
- Employment in the first and fifth quarters following exit does not have to be with the same employer.

Adult Average Earnings Change in Twelve Months

Of those who are employed in the first quarter after exit:

Total post-program earnings (earnings in quarter 4 + quarter 5 after exit) minus pre-program earnings (earnings in quarter 2 + quarter 3 prior to registration) divided by the number of adults who exited.

Operational Parameters:

- This measure includes the same population as the adult employment retention measure, those who are employed in the first quarter following exit (regardless of their employment status at registration).
- To ensure comparability of this measure on a national level, UI wage records will be the only data source for this measure. Therefore, individuals whose employment in either the first, third, or fifth quarter after exit was determined from supplementary sources and not from the UI wage records are excluded from the measure.
- Individuals who are not found to be employed in the first quarter after exit are excluded from this measure.
- States should exclude from this measure any individuals whose entry (registration) date is so far back in time that accessing quarters 2 and 3 of pre-registration wage data is unfeasible or unreasonable. However, participants excluded from this measure for this reason should still be included in any other applicable measures. For example, the person should still be counted in the retention measure.
- If supplementary sources are the data source for a participant's employment in the 2nd and/or 3rd quarter prior to registration, that participant is excluded from this measure.

Dislocated Worker Employment Retention Rate at Twelve Months

Of those who are employed in the first quarter after exit:

Number of dislocated workers who are employed in the fifth quarter after exit divided by the number of dislocated workers who exited.

Operational Parameters:

- Employment in the first and fifth quarters following exit does not have to be with the same employer.
- Individuals who are not found to be employed in the first quarter after exit are excluded from this measure.

Dislocated Worker Earnings Replacement Rate in Twelve Months

Of those who are employed in the first quarter after exit:

Total post-program earnings (earnings in quarter 4 + quarter 5 after exit) divided by the pre-dislocation earnings (earnings in quarters 2 + quarter 3 prior to dislocation)

Operational Parameters:

- To ensure comparability of this measure on a national level, the UI wage records will be the only data source for this measure. Individuals whose employment in either the first, third, or fifth quarter after exit was determined from supplementary sources and not from the UI wage records are excluded from the measure.
- This measure includes the same population as the retention measure, those who are employed in the first quarter following exit.
- Individuals who are not found to be employed in the first quarter after exit are excluded from this measure.
- If there is no date of dislocation or if the date of dislocation is after registration, use the 2nd and 3rd quarters prior to registration. If a State is not systematically collecting the date of dislocation and uses the 2nd and 3rd quarters prior to the registration date, it should be noted that the registration date may not closely simulate the results from the 2nd and 3rd quarters prior to the dislocation quarter.
- States should exclude from the earnings replacement calculations any individuals whose entry (registration) date is so far back in time that accessing quarters 2 and 3 pre-dislocation/pre-registration wage data are unfeasible or unreasonable. However, participants excluded from this measure for this reason should still be included in any other applicable measures. For example, these participants should still be counted in the retention measure.
- The calculation for this indicator will be done on an aggregate basis. We will

continue to research the feasibility of calculating this measure on an individual basis using wage record data.

Older Youth Employment Retention Rate at Twelve Months

Of those who are employed in the first quarter after exit and who are not enrolled in post-secondary education or advanced training in the third quarter after exit:

Number of older youth who are employed in fifth quarter after exit divided by the number of older youth who exited.

Operational Parameters:

- This measure includes all individuals who are employed in the first quarter following exit, except those individuals who are employed in the first quarter and not employed in the third quarter following exit, but are in post-secondary education or advanced training third quarter following exit. These individuals are excluded from this measure.
- Employment in the first and fifth quarters following exit does not have to be with the same employer.

Older Youth Average Earnings Change in Twelve Months

Of those who are employed in the first quarter after exit and who are not enrolled in post-secondary education or advanced training in the third quarter after exit:

Total post-program earnings (earnings in quarter 4 + quarter 5 after exit) minus pre-program earnings (earnings in quarter 2 + quarter 3 prior to registration) divided by the number of older youth who exited.

Operational Parameters:

- This measure includes the same population as the older youth employment retention measure (regardless of their employment status at registration).
- To ensure comparability of this measure on a national level, the UI wage records will be the only data source for this measure. Therefore, individuals whose employment in either the first, third, or fifth quarter after exit was determined from supplementary sources and not from UI wage records are excluded from this measure.
- Individuals who are not found to be employed in the first quarter after exit are excluded from this measure.
- States should exclude from this measure any individuals whose entry

(registration) date is so far back in time that accessing quarters 2 and 3 of pre-registration wage data is unfeasible or unreasonable. However, participants excluded from this measure for this reason should still be included in any other applicable measures. For example, the person should still be counted in the retention measure.

- If supplementary sources are the data source for a participant's employment in the 2nd and/or 3rd quarter prior to registration, that participant is excluded from this measure.

Table M - Participation Levels. Use the following information to complete Table M:

Total Participants. The total number of individuals served by WIA Title I-B funds during the program year. This should include individuals who received services with adult, dislocated worker, youth and 15% funds. This should not include individuals who only participated in National Emergency Grant services or only participated in self-service or informational activities.

Total Exiters. The total number of WIA registrants who exited WIA in the program year. (Exiters may not be identified for up to 90 days after the exit date.)

Each individual becomes part of an exit cohort, a group which is determined to be the “exiters” within a particular quarter and are looked at together for measurement purposes. There are two ways to determine exit:

1. a registrant who has a date of case closure, completion or known exit from WIA-funded or non-WIA funded partner service within the quarter (hard exit); or
2. a registrant who does not receive any WIA-funded or non-WIA funded partner service for 90 days and is not scheduled for future services except follow-up services (soft exit).

Registrants who have a planned gap in service of greater than 90 days should not be considered to have exited if the gap in service is due to a delay before the beginning of training or a health/medical condition that prevents an individual from participating in services. Service providers should document any gap in service that occurs and provide a reason for such a gap in service. Registrants who exit from services because they are incarcerated, deceased or have a health/medical condition that prevents the individual from participating in services, should be excluded from the measures. Once a registrant has not received any WIA-funded or partner services, except follow-up services, for 90 days, and there is no planned gap in service, then that participant has exited WIA for the purposes of measurement in 15 of the 17 core measures (the younger youth skill attainment rate and employer customer

satisfaction measures are not based on exit).

The exit date will be the last date of WIA-funded or partner service received (except follow-up services). For a soft exit, the date of exit cannot be determined until 90 days have elapsed from the last date of service. At that point, the exit date recorded is the last date of service. The exit quarter (referred to throughout the definitions of the measures) is the quarter in which the last date of service (except follow-up services) takes place. If a registrant exits WIA and receives future WIA services after exiting, that registrant is treated as a new registrant for purposes of the core measures and will be included in the appropriate measures.

Table N - Cost of Activities Information. This data is required cumulatively on an accrual basis by program year.

Total Federal Spending for Local Adult, Local Dislocated Worker, and Local Youth Funding Stream Activities. Enter the total accrued expenditures (federal outlays) which are the sum of actual cash disbursements for direct charges for goods and services, plus:

- net increase or decrease in amounts owed by the recipient for goods and other property received; for services performed by employees, contractors, subgrantees, and other payees and other amounts becoming owed for which no current services or performance is required.

These entries should be strictly program costs which are reported on the WIA Financial Status Report (FSR) (ETA 9076 D, E and F) (do not include administrative costs). This data should loosely match the data submitted on the June 30 FSR. Minor variances could occur based on the required due dates of August 15 for WIA FSR data and December 1 for the Annual Report.

Total Federal Spending for Rapid Response Activities. Of the up to 25% Dislocated Worker funds that a State may reserve for Statewide Rapid Response activities, enter total accrued expenditures for the program year. The entry should closely match the entry on the June 30 WIA FSR (ETA 9076-B) with variances that may occur due to the difference in report due dates.

Total Federal Spending for Statewide Required Activities. In the Federal Spending Column include only the sum of total federal outlays used for statewide required activities (up to 15%). This also includes all federal costs (program and administrative) used for operating the fiscal and management accountability system).

WIA section 134(a)(2)(B) describes the Statewide 15% Required Activities that are included in this item as follows: A State shall use funds reserved as described in

sections 128(a) and 133(a)(1) (regardless of whether the funds were allotted to the State under section 127(b)(1) or paragraph (1) or (2) of section 132(b)) to carry out other statewide employment and training activities, which shall include--

- (i) disseminating the State list of eligible provider's training services, including eligible providers of nontraditional training services, information identifying eligible providers of on-the-job training and customized training, and performance information and program cost information, as described in subsections (e) and (h) of section 122;
- (ii) conducting evaluations, under section 136(e), of activities authorized in this section, in coordination with the activities carried out under section 172;
- (iii) providing incentive grants to local areas for regional cooperation among local boards (including local boards for a designated region as described in section 116(c)), for local coordination of activities carried out under this Act, and for exemplary performance by local areas on the local performance measures;
- (iv) providing technical assistance to local areas that fail to meet local performance measures;
- (v) assisting in the establishment and operation of one-stop delivery systems described in subsection (c); and
- (vi) operating a fiscal and management accountability information system under section 136(f).

Statewide Allowable Activities Program Activity Description. In the Program Activity Description Column, States **may** individually describe the activities for which the State used any of the total federal programmatic outlay for the up to 15% allowable activities (e.g., funds passed through to local programs for use with Summer Employment opportunities). States **must** individually describe all of the activities for which 10 percent or more of these funds were spent. A "miscellaneous" description line must also be included for all activities that States are not required to identify individually (because the outlay for the activity accounted for less than 10 percent of these funds) or chose not to identify individually. Do not include administrative outlays in this response.

Statewide (up to 15%) Allowable Activities (WIA section 134(a)(3)) are described as follows:

(A) In general.--A State may use funds reserved as described in sections 128(a) and 133(a)(1) (regardless of whether the funds were allotted to the State under section 127(b)(1) or paragraph (1) or (2) of section 132(b)) to carry out additional statewide employment and training activities, which may include--

- (i) subject to subparagraph (B), administration by the State of the activities authorized under this section;
- (ii) provision of capacity building and technical assistance to local areas, one-stop

operators, one-stop partners, and eligible providers, including the development and training of staff and the development of exemplary program activities;

- (iii) conduct of research and demonstrations;
- (iv)(I) implementation of innovative incumbent worker training programs, which may include the establishment and implementation of an employer loan program to assist in skills upgrading; and
- (iv)(II) the establishment and implementation of programs targeted to empowerment zones and enterprise communities;
- (v) support for the identification of eligible providers of training services as required under section 122;
- (vi)(I) implementation of innovative programs for displaced homemakers, which for purposes of this subclause may include an individual who is receiving public assistance and is within 2 years of exhausting lifetime eligibility under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.); and
- (vi)(II) implementation of programs to increase the number of individuals training for and placed in nontraditional employment; and
- (vii) carrying out other activities authorized in this section that the State determines to be necessary to assist local areas in carrying out activities described in subsection (d) or (e) through the statewide workforce investment system.

Total Federal Spending by Statewide Activities (15%) Allowable Activities. In the Federal Spending Column include the sum of total federal programmatic outlays used for activities. States may report any of these costs and should report costs which equaled 10 percent or greater of the total federal outlay for the up to 15% Statewide or Statewide allowable activities. Miscellaneous outlays must also be included for all activities that States are not required to identify individually (because the outlay for the activity accounted for less than 10 percent of these funds) or chose not to identify individually. Exclude administrative outlays in this response.

Total of All Federal Spending Listed Above. Enter the sum of the Total Federal Outlays for Adult, Dislocated Worker, and Youth Funding Stream Activities, Rapid Response Activities, Statewide Required Activities (up to 15%), plus Statewide Allowable Activities included in Table N. (Please note: Since this response is the sum of the amounts listed on each of the lines in the Total Federal Spending column, it should not exceed the sum of the other lines.)

Table O - Local Performance. Use the following definitions as well as the definitions contained earlier in the instructions to complete this table for each local area in the State:

Local Area Name. List the name of the local area on the blank provided.

ETA Assigned #. Insert the five-digit ETA-assigned code for the local workforce investment area.

Other State Indicators of Performance. Provide a short description of the indicators of any other state indicators of performance (WIA section 136(d)(1)). Insert N/A if there were not any other state indicators of performance. Insert the negotiated level of performance and the actual performance level achieved on the other State Indicators of Performance.

Overall Status of Local Performance. Put an X in the box indicating whether the negotiated performance levels resulted in the local level meeting, exceeding or not meeting the negotiated levels of performance for the Core Indicators of Performance, the two customer satisfaction measures and other State indicators of performance, if any.

**WIA Title IB
Annual Report Form (ETA 9091)**

I. Narrative Section

- A. A discussion of the cost of workforce investment activities relative to the effect of the activities on the performance of participants.

- B. A description of State evaluations of workforce investment activities, including:
 - The questions the evaluation will/did address;
 - A description of the evaluation's methodology; and
 - Information about the timing of feedback and deliverables.

II. Table Section

Table A - Workforce Investment Act Customer Satisfaction Results

Customer Satisfaction	Negotiated Performance Level	Actual Performance Level - American Customer Satisfaction Index	Number of Customers Surveyed	Number of Customers Eligible for The Survey
Program Participants				
Employers				

Table B - Adult Program Results At-A-Glance

	Negotiated Performance Level	Actual Performance Level	
Entered Employment Rate			Numerator
			Denominator
Employment Retention Rate			Numerator
			Denominator
Earnings Change in Six Months			Numerator
			Denominator
Employment And Credential Rate			Numerator
			Denominator

Table C - Outcomes for Adult Special Populations

Reported Information	Public Assistance Recipients Receiving Intensive or Training Services		Veterans		Individuals With Disabilities		Older Individuals	
Entered Employment Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Employment Retention Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Earnings Change in Six Months		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Employment And Credential Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN

Table D - Other Outcome Information for the Adult Program

Reported Information	Individuals Who Received Training Services		Individuals Who Received Only Core and Intensive Services	
Entered Employment Rate		NUM		NUM
		DEN		DEN
Employment Retention Rate		NUM		NUM
		DEN		DEN
Earnings Change in Six Months		NUM		NUM
		DEN		DEN
Employment And Credential Rate		NUM		NUM
		DEN		DEN

Table E - Dislocated Worker Program Results At-A-Glance

	Negotiated Performance Level	Actual Performance Level	
Entered Employment Rate			Numerator
			Denominator
Employment Retention Rate			Numerator
			Denominator
Earnings Replacement in Six Months			Numerator
			Denominator
Employment And Credential Rate			Numerator
			Denominator

Table F - Outcomes for Dislocated Worker Special Populations

Reported Information	Veterans		Individuals With Disabilities		Older Individuals		Displaced Homemakers	
		NUM		NUM		NUM		NUM
Entered Employment Rate		DEN		DEN		DEN		DEN
Employment Retention Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Earnings Replacement Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Employment And Credential Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN

Table G - Other Outcome Information for the Dislocated Worker Program

Reported Information	Individuals Who Received Training Services		Individuals Who Received Only Core and Intensive Services	
		NUM		NUM
Entered Employment Rate		DEN		DEN
Employment Retention Rate		NUM		NUM
		DEN		DEN
Earnings Replacement Rate		NUM		NUM
		DEN		DEN
Employment And Credential Rate		NUM		NUM
		DEN		DEN

Table H - Older Youth Results At-A-Glance

	Negotiated Performance Level	Actual Performance Level	
Entered Employment Rate			Numerator
			Denominator
Employment Retention Rate			Numerator
			Denominator
Earnings Change in Six Months			Numerator
			Denominator
Credential Rate			Numerator
			Denominator

Table I - Outcomes for Older Youth Special Populations

Reported Information	Public Assistance Recipients		Veterans		Individuals With Disabilities		Out-of-School Youth	
		NUM		NUM		NUM		NUM
Entered Employment Rate		DEN		DEN		DEN		DEN
		NUM		NUM		NUM		NUM
Employment Retention Rate		DEN		DEN		DEN		DEN
		NUM		NUM		NUM		NUM
Earnings Change in Six Months		DEN		DEN		DEN		DEN
		NUM		NUM		NUM		NUM
Credential Rate		DEN		DEN		DEN		DEN
		NUM		NUM		NUM		NUM

Table J - Younger Youth Results At-A-Glance

	Negotiated Performance Level	Actual Performance Level	
Skill Attainment Rate			Numerator
			Denominator
Diploma or Equivalent Attainment Rate			Numerator
			Denominator
Retention Rate			Numerator
			Denominator

Table K - Outcomes for Younger Youth Special Populations

Reported Information	Public Assistance Recipients		Individuals With Disabilities		Out-of-School Youth	
Skill Attainment Rate		NUM		NUM		NUM
		DEN		DEN		DEN
Diploma or Equivalent Attainment Rate		NUM		NUM		NUM
		DEN		DEN		DEN
Retention Rate		NUM		NUM		NUM
		DEN		DEN		DEN

Table L - Other Reported Information

	12 Month Employment Retention Rate		12 Mo. Earnings Change (Adults and Older Youth) or 12 Mo. Earnings Replacement (Dislocated Workers)		Placements for Participants in Nontraditional Employment		Wages At Entry Into Employment For Those Individuals Who Entered Unsubsidized Employment		Entry Into Unsubsidized Employment Related to the Training Received of Those Who Completed Training Services	
Adults		NUM		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN		DEN
Dislocated Workers		NUM		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN		DEN
Older Youth		NUM		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN		DEN

Table M - Participation Levels

	Total Participants Served	Total Exiters
Adults		
Dislocated Workers		
Older Youth		
Younger Youth		

Table N - Cost of Program Activities

Program Activity		Total Federal Spending
Local Adults		
Local Dislocated Workers		
Local Youth		
Rapid Response (up to 25%) §134 (a) (2) (A)		
Statewide Required Activities (Up to 15%) §134 (a) (2) (B)		
Statewide Allowable Activities §134 (a) (3)	Program Activity Description	
Total of All Federal Spending Listed Above		

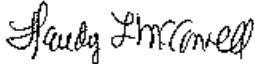
Table O - Local Performance (Include This Chart for Each Local Area In The State)

Local Area Name <hr/>	Total Participants Served	Adults	
		Dislocated Workers	
		Older Youth	
		Younger Youth	
ETA Assigned # <hr/>	Total Exiters	Adults	
		Dislocated Workers	
		Older Youth	
		Younger Youth	
		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants		
	Employers		
Entered Employment Rate	Adults		
	Dislocated Workers		
	Older Youth		
Retention Rate	Adults		
	Dislocated Workers		
	Older Youth		
	Younger Youth		
Earnings Change/Earnings Replacement in Six Months	Adults		
	Dislocated Workers		
	Older Youth		
Credential/Diploma Rate	Adults		
	Dislocated Workers		
	Older Youth		
	Younger Youth		
Skill Attainment Rate	Younger Youth		
Description of Other State Indicators of Performance (WIA §136 (d)(1) (Insert additional rows if there are more than two "Other State Indicators of Performance"))			
Overall Status of Local Performance		Not Met	Met
		Exceeded	

U. S. Department of Labor Employment and Training Administration Washington, D.C. 20210	CLASSIFICATION Labor Exchange Performance Measurement System
	CORRESPONDENCE SYMBOL OWS
	DATE March 9, 2001

TRAINING AND EMPLOYMENT INFORMATION NOTICE NO. 13-00

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

FROM : for
LENITA JACOBS-SIMMONS 
Deputy Assistant Secretary

SUBJECT : Consultation Paper on Labor Exchange Performance
Measurement System

1. Purpose. To notify all appropriate workforce development system agencies of the labor exchange performance measurement system that the Employment and Training Administration (ETA), U.S. Department of Labor (DOL) proposes to implement for the public labor exchange during program year (PY) 2001. This system will consist of three components: (1) a set of labor exchange performance measures, (2) reporting requirements for labor exchange services and performance outcomes, and (3) procedures for establishing performance goals that State agencies and ETA can use in assuring the delivery of high quality labor exchange services. This notice conveys ETA's current position on the framework for the labor exchange performance measurement system in order to facilitate planning for implementation beginning July 1, 2001.

2. Background. Under sections 3(a), 3(c)(2), 7(b), 10(c), 13(a), and 15(e)(2)(I) of the Wagner-Peyser Act (29 U.S.C. 49), ETA initiated the development of a performance measurement system for the public labor exchange in early 2000. ETA formed workgroup in collaboration with the Interstate Conference of Employment Security Agencies (ICESA) – now the National Association of State Workforce Agencies (NASWA) – consisting of representatives from fifteen State agencies, ICESA, the Veterans' Employment and Training Service (VETS), and the ETA Regional and National Offices. The workgroup met three times during 2000 to develop recommendations for a labor exchange performance measurement system.

Based on recommendations the workgroup developed during its first two meetings, ETA published a set of five labor exchange performance measures in the *Federal Register* at 65 FR 49708-14, (August 14, 2000). These measures were: employer customer

RESCISSIONS	EXPIRATION DATE Continuing
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satisfaction; job seeker customer satisfaction; employment rate; entered employment rate; and employment retention rate at six months. ETA also published a framework for establishing expected levels of performance for each of these measures.

During its third meeting, the workgroup reviewed and analyzed all comments received on the *Federal Register* notice. The review and analysis led to the proposed final set of performance measures presented in this document. The workgroup also provided substantial input that will lead to revised ETA 9002 Reports as well as a revised ETA Handbook No. 406 . Finally, the workgroup recommended that the procedures for establishing expected levels of performance be revised, based on the comments received.

3. Description. Based on consideration of the comments received on the proposed labor exchange performance measurement system published in the *Federal Register* on August 14, 2000, and the recommendations of the labor exchange performance measurement system workgroup, ETA proposes to establish a labor exchange performance measurement system for implementation beginning July 1, 2001. This TEIN conveys the major concepts of the new performance measurement system and provides an overview of the proposed final performance measures.

The labor exchange performance measurement system will apply to public labor exchange services provided as part of the One-Stop delivery systems of the States. This includes labor exchange services provided to job seekers and employers under the Wagner-Peyser Act, and to veterans by Disabled Veterans' Outreach Program (DVOP) and Local Veterans' Employment Representative (LVER) staff under VETS programs, as specified in Title 38, U.S.C. Other publicly-funded labor exchange services may be included in the labor exchange performance measurement system at the discretion of individual States.

The labor exchange performance measurement system will apply to job seekers who are *registered applicants* with the public labor exchange and to employers who receive substantial service involving personal contact with One-Stop staff. Registered applicants will be defined as all job-seeking customers who complete registration with the labor exchange. Required elements of registration will include: name, contact information, Social Security Number, demographic information, employment status, and date of registration. Applicants may be registered upon contacting the labor exchange through the One-Stop delivery system or as required by State law or policy; however, applicants receiving staff-assisted services funded under the Wagner-Peyser Act must be registered. Job seekers who seek self-services or facilitated self-help services also may be registered. A job-seeking customer will be counted as a registered applicant only once during a registration year, defined as the calendar quarter during which registration occurs (registration quarter) and the subsequent three quarters. Registered applicants who receive services during the fourth quarter after the registration quarter should be re-registered. Such applicants would then begin a new registration year.

a) Labor Exchange Performance Measures

Four labor exchange performance measures are proposed for the public labor exchange:

- Job Seeker Entered Employment Rate
- Job Seeker Employment Retention Rate at Six Months
- Job Seeker Customer Satisfaction
- Employer Customer Satisfaction

1) Job Seeker Entered Employment Rate (JSEER):

$$\text{JSEER} = \frac{\text{\# Entered Employment with a New Employer}}{\text{\# Registered Applicants} - \text{\# Employed or Re-employed with Same Employer}}$$

Elements of the measure are defined below:

Entered Employment with a New Employer: The number of registered applicants who, in the first or second quarter following the registration quarter, earned wages from a new or different employer than that from which the registered applicant earned wages in the quarter prior to registration.

Registered Applicants: All job-seeking customers who registered or re-registered with the labor exchange during any of the previous four calendar quarters.

Employed or Re-employed with Same Employer: Those applicants whose wages earned in the first and second quarter following registration were exclusively with the same employer from which wages were earned in the quarter prior to registration.

ETA is proposing to establish this measure for the labor exchange in response to comments received on the employment rate and entered employment rate measures initially proposed in the August 14, 2000 *Federal Register* Notice. The newly-defined Job Seeker Entered Employment Rate combines concepts from the two measures initially proposed, and accounts for the successful employment outcomes of both incumbent workers and individuals who were unemployed at the time of registration who enter new employment after registering with the labor exchange.

According to this measure, a successful employment outcome will be recorded for a job seeker who enters employment with a new employer, whether or not the job seeker was employed at the time of registration. This will be determined by comparing the employer identification numbers (EIN) of registered applicant's employers prior to and following registration based on information contained in the unemployment insurance (UI) wage record database, the State Directory of New Hires (SDNH) database, or other available records. An unsuccessful outcome will be recorded for a job seeker who does not enter employment with a new employer during the reporting period. Job

seekers who remain employed exclusively with the same employer during the measurement period will be excluded from measurement.

2) *Job Seeker Employment Retention Rate at Six Months (JSERR):*

$$\text{JSERR} = \frac{\text{\# Retained Employment Two Quarters after Entered Employment with a New Employer (age 19 and over)}}{\text{\# Entered Employment with a New Employer (age 19 and over)}}$$

Elements of the measure are defined below:

Retained Employment Two Quarters after Entered Employment with a New Employer (age 19 and over): The number of registered applicants age 19 and older at the time of registration who earned wages in the second quarter following the quarter in which they *Entered Employment with a New Employer*.

Entered Employment with New Employer (age 19 and over): The number of registered applicants age 19 and older at the time of registration who, in the first or second quarter following the registration quarter, earned wages from a new or different employer than that from which the registered applicant earned wages in the quarter prior to registration.

ETA is proposing to establish this measure for the labor exchange based on comments received on the employment retention rate at six months measure initially proposed in the August 14, 2000 *Federal Register* notice. The retention measure proposed earlier has been modified to make the measurement cohort for employment retention consistent with the job seekers for whom a successful outcome was recorded in the job seeker entered employment rate measure. Further, job seekers who are under age 19 at the time of registration are now excluded from the measure. Job seekers under age 19 are excluded from the measure because there is a high likelihood of their being students and not seeking to work year round.

According to this measure, a successful employment retention outcome is recorded for job seekers, age 19 and over, who were determined to have entered employment according to the job seeker entered employment rate measure, and who were found through wage record matching to be employed in the second quarter following the quarter in which they first were determined to have entered employment. A successful outcome for retention is recorded for employment identified through wage record matching with any employer.

3) *Job Seeker Customer Satisfaction*

ETA is proposing to establish a job seeker customer satisfaction measure for the public labor exchange that mirrors the Workforce Investment Act of 1998 (WIA) participant customer satisfaction survey and uses the American Customer Satisfaction Index

(ACSI) methodology. State agencies will be able to exercise discretion in how they administer the survey, so long as the ACSI methodology is followed. Possibilities might range from surveying a population of registered applicants in a distinct survey to coordinating the job seeker customer satisfaction survey with the WIA participant customer satisfaction survey or any customer satisfaction survey that might be administered by VETS or another One-Stop partner program. In all cases, sufficient sample sizes must be maintained to provide statistically valid results (technical requirements for sample sizes, response rates, and confidence intervals will be published in a future notice). ETA supports the concept of common measurement techniques for services provided as part of the One-Stop delivery system and intends to provide States with the broadest opportunity to coordinate surveys of One-Stop customers' satisfaction.

4) Employer Customer Satisfaction

The public labor exchange will adopt the results of the ACSI survey administered under WIA to measure employer satisfaction with One-Stop services as an indicator of employers' satisfaction with labor exchange services. Accordingly, States are encouraged to conduct one survey of employers to measure their satisfaction with One-Stop employer services to meet both the WIA and the public labor exchange employer customer satisfaction measurement requirements.

ETA proposes to adopt the WIA employer customer satisfaction measure for the labor exchange because the employer population from which the sample is drawn for the WIA survey consists of employers who received a substantial service involving personal contact with One-Stop staff – to include labor exchange services. Using a common measure to obtain information on employer customer satisfaction for both WIA and the labor exchange supports the integration of the labor exchange into the One-Stop delivery system. It also emphasizes the importance of providing high quality services to employers, a focus of the One-Stop delivery system. This measure is limited in scope to the population of employers who receive services involving personal contact with One-Stop staff.

b) Reporting

State agencies will report data on labor exchange services provided to job seekers, and on job openings employers list with the labor exchange, based on information contained in administrative records. State agencies are required to collect and maintain information to support labor exchange program reporting under OMB No. 1205-0001, Work Application/Job Order Recordkeeping for job seekers registered with the labor exchange and for employers placing job orders. ETA is revising the elements of services and outcomes required to be reported by category of job seeker to better reflect the services provided by the modern labor exchange, and to meet current Federal data collection requirements. ETA also is revising the elements required to be reported about job openings employers list with the labor exchange to be consistent with the Occupational Information Network – Standard Occupational Classification (O*NET–SOC) system and the North American Industry Classification System (NAICS). State agencies will need to transition to using the new classification systems for identifying job openings during PY 2001.

ETA also proposes to require State agencies to report employment outcomes of job seekers, including veterans, as well as the job seeker and employer customer satisfaction scores. Because employment outcome information is dependent on wage record data, it will not be available at the same time as information on the number of job seekers who are registered applicants or who receive labor exchange services. Therefore, outcome information for job seekers and veterans will be collected on separate reports from information on services. The chart below describes the information that will be collected on each of the proposed ETA 9002 reports. Detailed instructions and reporting specifications for labor exchange services to job seekers, performance outcomes, and job openings listed with the labor exchange will be published by ETA in a future notice in the *Federal Register*.

Report Page	Description
ETA 9002 A	Services to Job Seekers
ETA 9002 B	Services to Veterans
ETA 9002 C	Performance Outcomes - Job Seekers
ETA 9002 D	Performance Outcomes - Veterans
ETA 9002 E	Job Openings Received by Occupation (O*NET–SOC) and Industry (NAICS)

The employment outcomes of job-seeking applicants registered with the labor exchange will be derived by matching the Social Security Numbers of registered applicants with employment information contained in State databases, including the UI wage record database, the SDNH database, or any other records the State agency may have access to that reliably indicate entry into employment. ETA anticipates that State agencies will have the option of using the wage record interchange system (WRIS) to obtain UI wage record information from other States as this system is implemented.

Concurrent with ETA's proposed modifications to the ETA 9002 reports, VETS will propose a revised VETS 200 report and instructions that will be consistent with ETA's reports. ETA and VETS are coordinating their respective performance measurement systems to assure that labor exchange services, including services to veterans by DVOPs and LVERs, are measured and reported in a consistent manner.

ETA plans to implement a rolling four-quarter reporting period for the labor exchange performance measurement system. For the job seeker and veterans reports, cohorts of registered applicants will be identified according to their quarter of registration. Reports will include the most current data available for each reporting element for applicants registering in any of four consecutive quarters. States will submit information

on the Services to Job Seekers (ETA 9002 A) and Services to Veterans (ETA 9002 B) reports forty-five days following the completion of each calendar quarter. The reports will include information on the number of new and renewed registered applicants and the services provided to them during the four quarter reporting period. Data on performance outcomes, to be reported on the Performance Outcomes: Job Seekers (ETA 9002 C) and Performance Outcomes: Veterans (ETA 9002 D) reports, often will not be available until several quarters after a job seeker has registered with the labor exchange. States will report information on the ETA 9002 C and D reports forty-five days following the completion of the quarter in which outcome data become available for four consecutive cohorts of registered applicants. As outcome data will become available for different performance measures at different times, the cohorts of registered applicants for which data are being reported will be identified on the reports next to each performance measure. (Note: during transition to the new reporting system, it may be necessary to report less than four consecutive quarters of data until the system is fully implemented).

This system of reporting will provide program managers with the most current information available for program management, while also allowing for performance outcome information to be paired with information on services for purposes of evaluation, once complete information on a particular cohort becomes available. The rolling four quarter reporting period will provide program managers and other users of labor exchange information with the most current data available for a one-year period of time, during any quarter of the year. This system of reporting also will diminish the impact of seasonal variations in the reports on services or outcomes by always including each of the four calendar quarters in any particular reporting period. Once complete information for the four cohorts registering during a particular program year becomes available, final program year reports may then be assembled. This information will then be used to assess a State's success in meeting its performance goals.

c) Performance Goals

Performance goals for each of the four labor exchange performance measures will be incorporated into State Strategic Five-Year Plans for Title I of the Workforce Investment Act of 1998 and the Wagner-Peyser Act or State Five-Year Unified Plans, as is currently done for WIA–Title I performance goals, through a modification to the plan. Based on comments received from the August 14, 2000 *Federal Register* notice, ETA is exploring the possibility of developing an econometric model that would account for State and regional economic conditions and the socioeconomic characteristics of applicants to use in facilitating the process of adjusting State levels of performance on the job seeker entered employment rate and job seeker employment retention rate at six months measures. Details of the goal-setting procedure and possible econometric model will be published in a future notice.

As employment outcome information derived from UI wage records or the SDNH database for the job seeker entered employment rate and job seeker employment

retention rate at six months measures will not become available for four to six quarters after implementation of the new system, ETA is proposing to use the PY 2001 transition year to develop baseline data. The baseline would be constructed by applying the labor exchange performance measures to job seekers who registered with the labor exchange during PY 2000. This baseline would then be considered in the establishment of performance goals for future program years.

4. Implementation. Following the dissemination of this TEIN, ETA will be publishing the proposed final labor exchange performance measures as a notice in the *Federal Register*. Also, ETA will be publishing the proposed ETA 9002/VETS 200 Reports and the proposed ETA Handbook No. 406 in the *Federal Register* for comment. Details on the transition to, and implementation of, the new system, including the use of NAICS and O*NET – SOC codes, will be published in a separate notice.

ETA intends to provide State agencies with technical assistance and training on a variety of areas associated with implementation of the new labor exchange performance measurement system.

5. Action Required. State agencies are requested to distribute copies of this TEIN to all relevant workforce development partners including Employment Service directors and Information Technology directors.

6. Inquiries. Questions and comments concerning this TEIN should be directed to the appropriate Regional Office.