

Program Performance Reporting

Discretionary Grants Training Forum

Atlanta Marriott Buckhead Hotel
and Conference Center

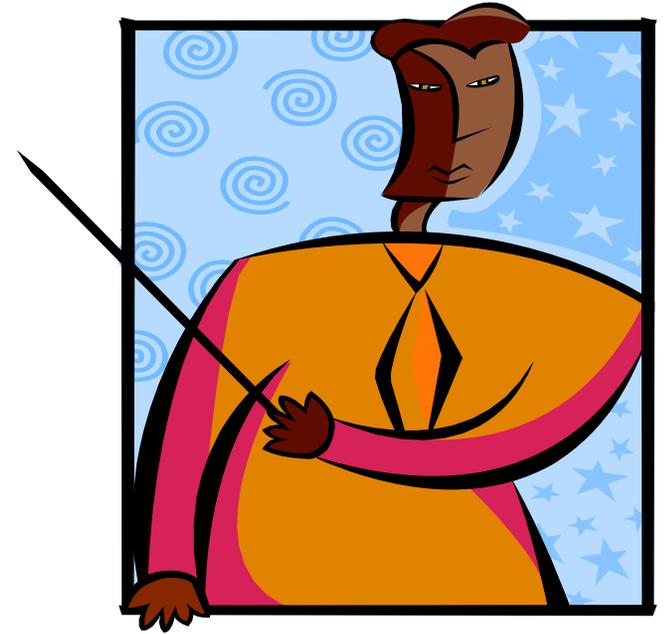
April 26-29, 2011



UNITED STATES DEPARTMENT OF LABOR
Employment and Training Administration
Region 3 – Atlanta

Overview

- Accountability in general
- Data collection
- Data processing
- Reports and information
- Common performance measures



Establishing A Foundation

“Accountability” or Account-Giving

DOL Accountability

- *To the Congress and American taxpayers*
- How was the money spent?
 - Who was served?
 - What were the types of services?
 - What were the outcomes?
- Did the programs operate as intended?
- Was the return worth the investment?

Grantee Accountability

- *To DOL*
- Did the grantee comply with the requirements in the Grant Agreement?
- How was the money spent?
- Did the programs attain desired results?
- What factors accounted for success or failure?

Future Funding





Complete And Accurate Reporting

- **All** grantees are responsible for two types of reporting
 - Program, project or programmatic
 - Fiscal or financial
- Our focus today is on program reporting
 - Who did you serve?
 - What services or products did they get?
 - What were the results?
- **All** data elements are defined in guidance issued by DOL





Data Quality

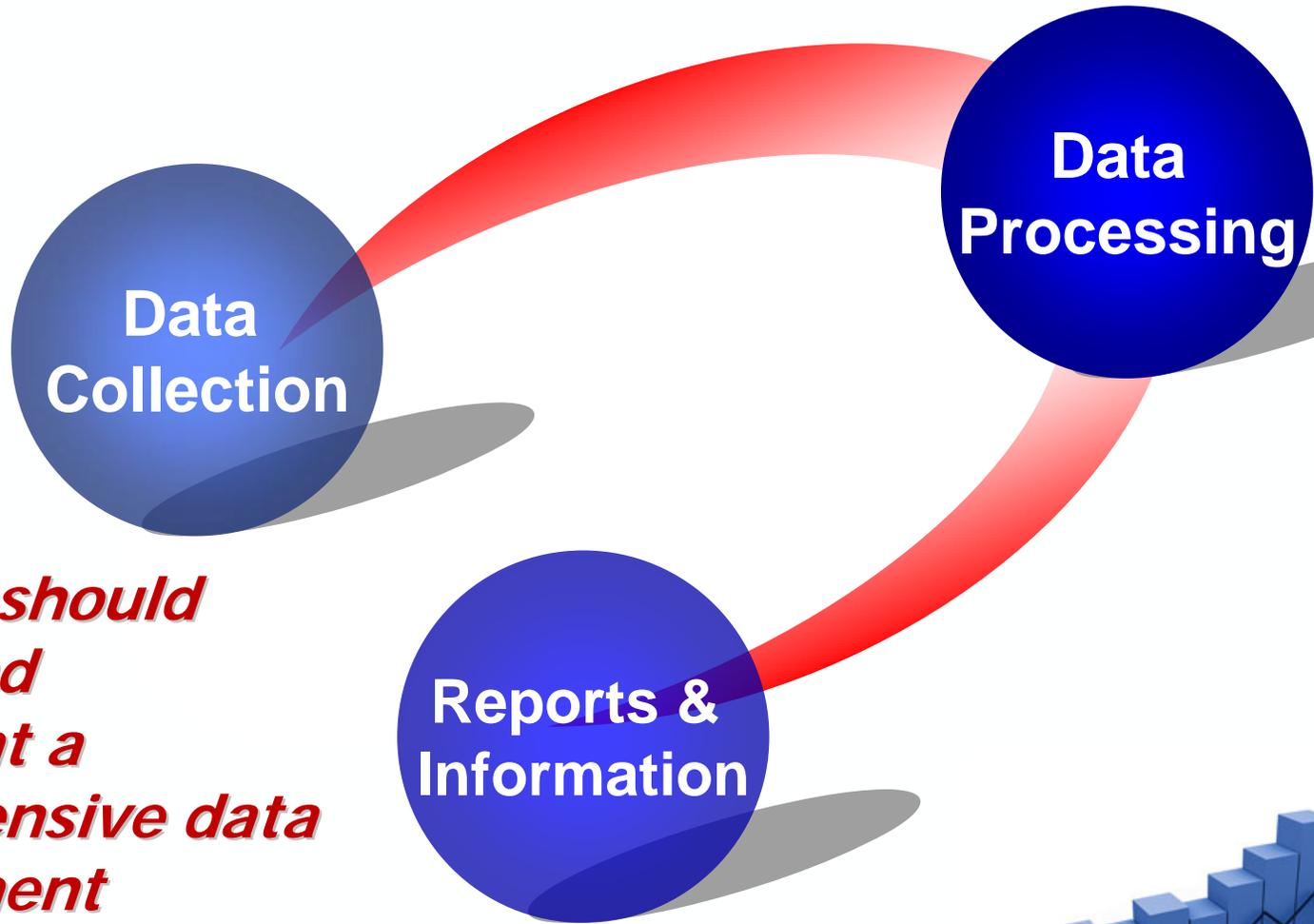
“All data should come with a label – WARNING: These data were compiled by busy people with other priorities.” - *ESP Solutions Group*

- Take steps to avoid “garbage in, garbage out” in reporting
 - The grant recipient’s data collection, management and reporting system must leave an audit trail
 - Use system edits, range checks and logic checks
 - Ensure data are collected and recorded according to set instructions
 - Ensure required computations are completed correctly
- A data management strategy is the key to reporting accurate data





Overview Of Program Reporting



Grantees should design and implement a comprehensive data management strategy



Federal Requirements



Data Collection & Reporting Requirements

Grant Agreement

**29 CFR
Parts
95 & 97**

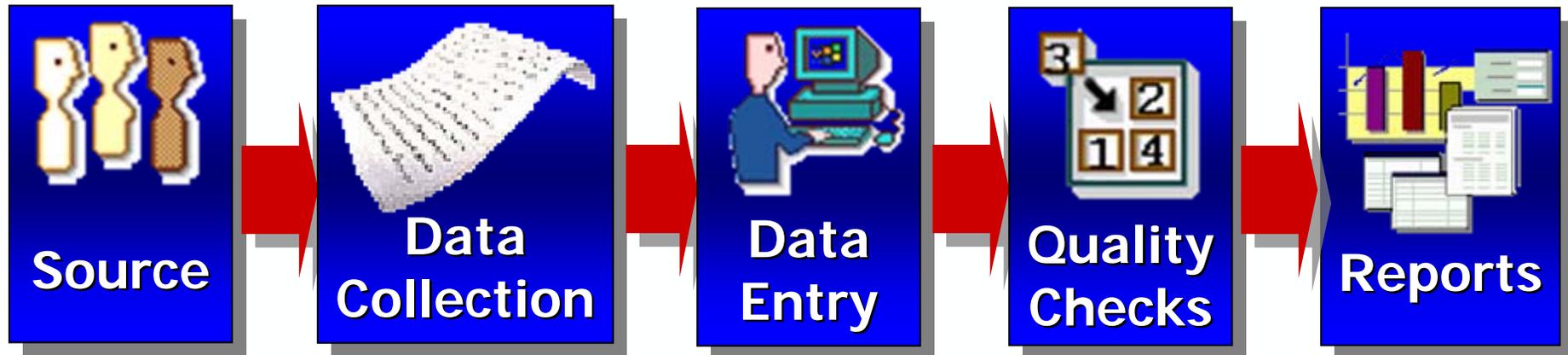
**Public
Law
107-288**

**29 CFR
Part 37**

**Approved
Reporting
Instructions**



Data Collection Process



- You need *processes* to gather, manage and utilize the data you collect
 - ✓ Participant file and documentation requirements
 - ✓ Procedures for collecting, entering and reporting data and associated “business rules”
 - ✓ Procedures for entering data into an automated database
 - ✓ Procedures for correcting data
 - ✓ Establish data quality standards





Data Collection

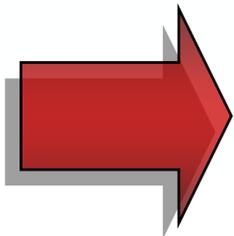
- A process used to gather and track information for the management of the grant or project
- To develop a data collection and tracking mechanism, you must address four fundamental questions:
 - What information needs to be collected and in what format?
 - When does the information need to be collected?
 - Where does the grantee obtain the information?
 - How does the grantee know the information is accurate or valid?





What Information Should You Collect?

- Refer to the reporting requirements for the grant
 - Specifies the data to collect and sources
 - Details when, how, and where to collect the data for reports
 - Provides instructions on computing outcomes
- Collecting information to optimize performance
 - Involve staff in the process of assigning data collection responsibilities
 - Create and produce summary reports on activities to better manage grant functions



Remember: You're collecting data (e.g., counts, characteristics) on who you're serving, what they're getting and with what results



Participant Characteristics



- Collect information about individual participants upon entrance into the program
 - Social Security Number (for wage record matches)
 - Employment status at participation
 - Participant contact and emergency contact information (e.g., name, address, telephone)
 - Information to assess eligibility as appropriate
 - Demographic and EEO information (e.g., age, sex, ethnicity, race, disability status, veterans' characteristics and status)



Participant Characteristics

- Additional information grantees may consider
 - Education information (e.g., highest school grade completed)
 - Employment status at enrollment and past/current employment information
 - Information about supportive service needs and additional reportable characteristics (e.g., offender, runaway, low income, single parent, etc.)



[In addition to what's required, you want to collect data that's important to you or that paints a more complete picture of your grant/project]



Who Counts As A Participant?

- Does it mean what we think it means?
- This term is *specifically* defined in federal policy
 - *A participant is an individual 1) determined eligible to participate in the program and 2) who received a service funded by the program after being determined eligible*
 - *The definition does not include, for instance, those who receive only eligibility determination*



Participant Services



- Collect information about the services provided to individual participants
 - Participation or service enrollment dates
 - Service completion dates
 - Types of services in which the participant is enrolled
 - Training provider information



Participant Outcomes



- Collect information to support performance accountability
 - Common measures (applies to all DOL-funded programs)
 - Grant-specific participant training outcomes
 - Other information to tell the story of your grant's accomplishments
- This *includes* performance-related metrics but these may not paint the whole picture





Common Measures

- Policy located in Training and Employment Guidance Letter No. 17-05, dated 2/17/06
- Two groups of measures:
 - Adult measures (also applied to dislocated worker programs)
 - Entered Employment Rate
 - Employment Retention Rate
 - Average Six-Month Earnings
 - Youth measures
 - Placement in Employment or Education Rate
 - Attainment of a Degree or Certificate Rate
 - Literacy and Numeracy Gains



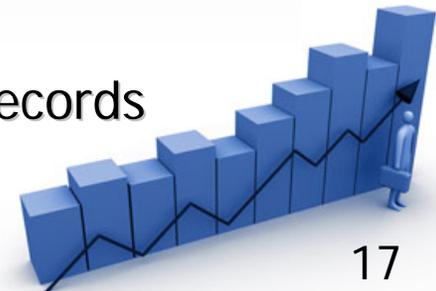
Source Documentation



- Social Security Card
- Driver's license/ID card
- Hospital records
- Intake/eligibility forms
- Attendance sheets
- Sign-in sheets
- School records
- Activity forms
- Assessment results

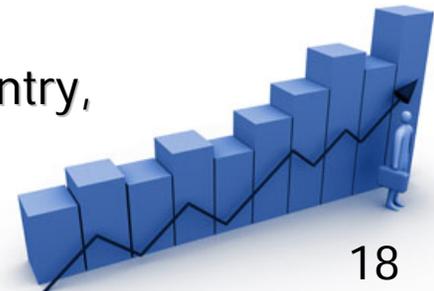


- Pay stubs
- Progress reports
- Surveys
- Self-attestation forms
- Copy of diploma
- Training certificates
- Interviews
- Public agency records
- Student ID



Data Processing

- Means by which grantees input data into an information management system, find and correct errors in the data, and compile and aggregate the data into a user-friendly format
- Grantees must address the following:
 - What kind of information management system will be used to maintain/process the data?
 - Who has responsibility for data entry, compilation and processing?
 - What protocols are in place (e.g., timeliness of entry, process flow, making corrections, etc.)?
 - How to ensure the data are accurate?



What System Should We Use?

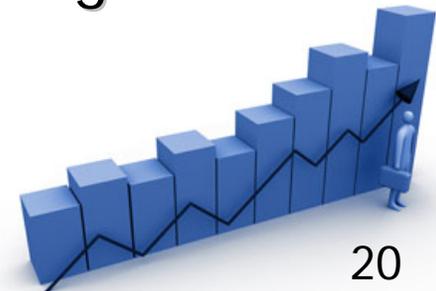
- How sophisticated does the information management system need to be?
 - Ideally you should have an information management system that maintains client data and produces reports to assist staff in addressing issues and improving performance
 - Examples include MS Access, MS Excel, or a proprietary system such as Client Tracking System, Explore Options-Take Action, ETO Cloud, Primeworks, or SamSoft WIA Intake software
 - It's also possible to contract with local workforce investment areas to process the data
- What must a grantee's information management system be able to *do*?
 - At a minimum, capture all required data elements, perform any necessary calculations and report information to the grantee and stakeholders





Who Has Responsibility?

- Grantees are responsible for ensuring a system is in place to track participant characteristics, services and outcomes
- You may contract out for services, but grantee should (at a minimum) provide input on how the data are maintained and processed
 - Highly recommended that grantees maintain access to data processing and reporting at all times
 - You need to know what is going on with your grant... and you're accountable!





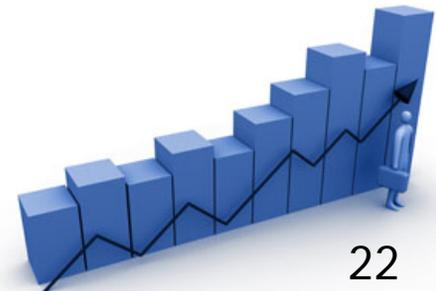
What Protocols Are In Place?

- It is highly recommended that grantees have policies and procedures in place to support data collection and data processing
 - Policy can be supported by written procedures (e.g., “MIS Handbook” or “Data Entry/Processing Procedures for Staff”)
 - Ongoing staff training and capacity building critical
 - All staff, including sub-recipient staff, need to **clearly** understand their roles in reporting



Are The Data Accurate?

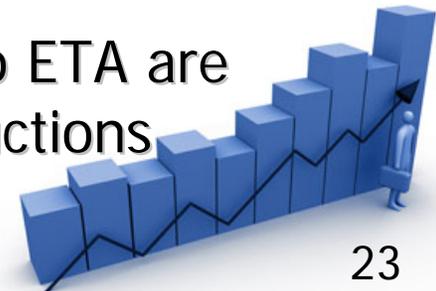
- Data needs to be accurate, complete and consistent
- Factors affecting data quality:
 - Lack of data collection and data processing policies and procedures
 - Inaccurate and incomplete data
 - Insufficient staff training
 - Differences in definitions
 - Insufficient system controls





Reporting

- Means by which data are organized and compiled in a useful manner for management purposes
- Two types of reports:
 1. Internal reports for the management of the grant
 - Management must be able to easily interpret internal reports for use in decision-making
 - Internal reports are typically process-oriented
 2. External reports to ETA and other stakeholders
 - Include required quarterly reports
 - Grantee program performance reports to ETA are based on OMB approved reporting instructions



External Reports To ETA

- Before transmitting your quarterly report:
 - Verify that counts and outcomes are computed and reported correctly
 - Example: Summing number of males and females and arriving at a total that doesn't equal the number of participants
 - Research any extreme numbers (outliers)
 - Example: Calculating an outcome that exceeds 100%



About Reports

- At the heart of complete and accurate reporting is a sound data collection strategy and an effective information management system that produces useful, credible reports
- Errors made in collecting data will later translate into erroneous results being reported





For More Information...

More detailed information on **Program Reporting and Record Keeping Information** for grantees can be found at:

<http://www.doleta.gov/Performance/reporting/>

