

Grantee Guidebook
9134 Report-Form and Narrative
October 2010

Guidebook for High Growth and Community-Based Grantees

The purpose of this guidebook is to support High Growth and Community-based grantees in completing their ETA-9134 form and narrative reports for Quarterly Performance Reports. The main goal is ensuring data meets the requirements specified in the Reporting Forms & Instructions, the Supplement to the Quarterly Reporting Forms & Instructions for High Growth and Community-Based Job Training Grantees, and the High-Growth and Community Based Job Training FAQs, which are available at <http://doleta.gov/Performance/reporting/>

Recommended Support Documents

- Quality Assurance Guidebook: Guidebook for High Growth and Community-Based Grantees
- General Reporting Forms and Instructions (*online*)
- Updated Supplement/Glossary (v.1.09)
- ETA-9134 Form (*online*)
- FAQ #6 and FAQ #7 (*online*)

* Please note several of the documents listed above are available electronically at:
<http://doleta.gov/Performance/reporting/>

I. 9134 Report-Form

The information provided on pages 1-5 includes key questions to think about when completing your 9134 Report-Form. This will help determine whether or not each field is reported accurately. Also provided are examples and definitions to further demonstrate how data should be reported.

B. Customer Summary Information

This section will support grantees in better understanding who is considered a participant. It is important to note that individuals must first be determined eligible before they can be considered a participant. It is up to the grantee to make this determination.

Who **is** considered a participant?

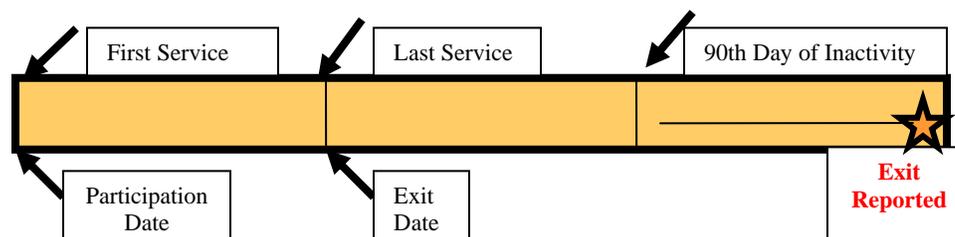
- Any eligible individual who receives services through a High Growth or Community-Based Job Training Grant that are funded **with grant funds or both grant funds and leveraged resources are considered participants.**
- Individuals who are younger than 18 years of age when they receive their first grant-funded service are considered participants.

Who **is not** considered a participant?

- Individuals, including those who are younger than 18 years of age who receive services through the grant that are only funded with leveraged resources are not considered to be participants.

Question: Are B.1. (Total Exiters) and C.2. (Number Completed Education/Job Training Activities) the same? **If so, there's likely an error in reporting.**

- If B.1 and C.2 are the same, the grantee is reporting that every exiter successfully completed education and job training activities. While possible, this is very unlikely due to attrition and the difficulty of bringing an entire cohort through training successfully.
- If B.1 and C.2 are the same, you may need to ensure clarify of the difference between “exit” and “completion.”
- Exit is reported for all participants that exit, successful or not. Completers are defined as participants who successfully completed an education/job training activity. The Supplement to the Quarterly Reporting Forms & Instructions for High Growth and Community-Based Job Training Grantees describes the difference between “exit” and “completion” in more detail.
- B.1 (Total Exiters) is defined as the total number of participants who exited during the previous reporting period. B.1 for the quarter ending September 30, for example, will report all exiters from the quarter ending June 30. B.1 is always delayed one quarter due to the method of calculating exiters. Exit occurs when a participant has not received any services funded by the program for 90 consecutive calendar days, has no gap in service, and is not scheduled for future services. (*see timeline below*)



Question: Are B.2 (Total Participants) and B.3 (New Participants) the same? **If so, there's likely an error in reporting.**

- In the grantee's initial report, B.2 and B.3 should be the same. In all subsequent reports, B.2 and B.3 will most likely be different. B.2 and B.3 are the same if the grantee only served New Participants during the reporting period.
- If B.2 and B.3 are the same and this is not the grantee's initial report, ensure individuals received their **first** grant-funded service for this quarter. That is B.3. (New Participants).
- B.2. (Total Participants Served*) is the **total number of participants** who received a grant-funded service during the reporting period. This includes all new participants and all other participants who participated in grant-funded training services during the quarter.

(Total participants Served)

=

(New participants) + (Participants continuing on from previous quarters)

Question: Is the sum of B.3a. (Male) and B.3b. (Female) much smaller than B.3. (New Participants)?

- If so, the grantee likely needs to improve its data collection procedure.
- Participants can opt not to disclose their gender, but most individuals will provide this information if asked.
- Therefore, if the sum of B.3a. and B.3b. is slightly smaller than B.3., this information is acceptable. A large difference, however, may indicate problems with collecting this information.
- The sum of B.3a. and B.3b will never be higher than B.3.

C. Customer Services and Activities

Question: Are participants reported in C.1 (Number Began Education/Job Training Activities) as this category is defined in the OMB approved reporting instructions and in the ETA guidance that follows? The reporting instructions can be found at <http://doleta.gov/Performance/reporting/>. Please refer to the Supplement Guide page 3 for more information.

- C.1 (Number Began Education/Job Training Activities) should be equal to or less than B.3 (New Participants Served) because B.3 (New Participants) INCLUDES the sum of C.1 (Education /Job Training Activities) + other grant funded services, such as non-education services such as counseling, assessment, and or case management.

Reminder: Grantees should not include individuals who only participate in grant-funded career awareness or exploration activities in this field. Please refer to the Supplement Guide page 3, Section C. Customer Services and Activities for more information.

Question: Are participants reported in C.2 (Number Completed Education/Job Training Activities), as this category is defined in the OMB approved reporting instructions and in ETA guidance that follows? The reporting instructions can be found at <http://doleta.gov/Performance/reporting/>. Please refer to the Supplement Guide page 3 for more information.

- If the numbers reported in C.2 and B.1 Total Exiter are the same, the grantee is reporting that every exiter successfully completed education and job training activities. While possible, this is unlikely due to attrition and the difficulty of bringing an entire cohort through training successfully. This is also unlikely because of the necessary 90-day lag time in reporting exiter information
- An individual participant may only be reported as completing education/job training activities in one reporting quarter.
- Some grantees' training is comprised of a series of courses or activities, and the intent of their education/training activities is for individuals to complete the entire series of courses or activities. In this case, successful completion should be defined as completing the entire series of courses or activities.

Question: For C.2a – C.2c, are grantees only reporting outcomes for participants who have completed education/training activities and are listed in C.2?

- An individual participant may only be reported once in section C.2 (Number Completed Education/Job Training Activities), but can also be reported in the following categories: C.2a, C.2b, and C.2c. C.2a, C.2b, and C.2c are all subsets of C.2 Number Completed Education/Job Training Activities.
- Individuals can only be reported in C.2b in the quarter in which they have completed Education/Job Training Activities. Even if individuals obtain employment in future quarters, **they cannot** be reported in this measure.
 - C.2c (Number Entered Training-Related Employment) is a subset of C.2b (Number Entered Employment. Participants reported in C.2c must also be reported in C.2b in the same reporting quarter.

Question: Is the sum of C.2c. (1) through (20) (NAICS Sector codes) different than C.2c. (Number Entered-Training Related Employment)?

- If so, there is an error in some part of C.2c. The sum of C.2c. (1) through (20) should equal C.2c. All completers who enter training-related employment must be reported in one of the NAICS Sectors. Completers should be reported in only one NAICS code, even if they entered training-related employment in multiple industries—i.e. if a completer enters training-related employment in

both the Utilities and Construction industries, they will still be identified under only one code.

- Completers who enter non-training related employment should not be included in the NAICS data elements.
- Completers who enter training-related employment should only be counted in one NAICS field.

Additional Key Point

Grantees should refer to FAQ #7: Common Reporting Errors for additional guidance on the ETA-9134 Form

II. Quarterly Narrative Report

The bullets in this section note information that should be included in quarterly narrative reports.

D.1 A. *Summary of Grant Activities*

- This section serves as an executive summary for the quarterly grant activities and should include all capacity building and training activities supported by the grant for the current quarter, highlighting key activities. According to the OMB Reporting Instructions, this section should be one page or less in length.

D.1 B. *Status Update on Leveraged Resources*

- Grantees should ensure federal and non-federal leveraged resources for the current quarter are reported in the online reporting system. These figures should be explained in detail in this section of the narrative.
- Grantees should report the cumulative amount of leveraged resources provided by the grantee and partners along with expenditures for the quarter. Some grantees have reported this information in paragraph form. While this is an acceptable format, some of this information was missing. Therefore, grantees may want to consider organizing this information in chart form (included below is an example of reporting leveraged resources in the Quarterly Narrative Report, utilizing the table format).
- If grantees do not expend any leveraged resources during the quarter, it should be noted in this section of the Narrative report.
- If the grant does not have leveraged resources, the grantee should note this by stating “This grant does not include any leveraged resources.” Otherwise, grantees should be keeping track of and reporting leveraged resources contributions in keeping with their obligation as detailed in their statement of work.
- **Helpful Note:** Leveraged resources must also be reported by grant recipients on the Financial Status Report /ETA-9130 Form. Depending on the specific contributions provided by each grantee and variation in the instructions for reporting leveraged resources, leveraged resources reported in the quarterly progress report may not match leveraged resources reported on the ETA-9130 Form.

Example of Reporting Leveraged Resources in the 9134 Report-Narrative

Include one or two sentences summarizing Federal and non-Federal resources.

- List organizations involved with grant activities and their respective contributions.
- Example: The cumulative amount of leveraged resources is \$127,000 (\$95,000 Federal and \$32,000 non-federal). The breakdown is as follows:

Federal

Contributor	Cumulative amount	What Was provided	How these funds were used during the Quarter ending September 30, 2008 <i>Note: This column should be updated each quarter.</i>
Jane Doe Workforce Development Council	\$95,000	In-kind such as staff time, Individual Training Accounts (ITAs), space contribution, etc.	Training activities, youth outreach / Manufacturing camp (transportation, supplies, instruction, and staff costs), tuition and training costs and related staff/overhead costs for Whatcom County residents for manufacturing occupation training.

Non-Federal

Contributor	Cumulative Amount	What was provided	How these funds were used during the Quarter ending September 30, 2008 <i>Note: This column should be updated each quarter.</i>
Center of Excellence	\$32,300	In-kind such as staff time, ITAs, space contribution, etc.	Center of Excellence (Process Technology) funds support industry relationships, building capacity and implementing best practices at other community & technical colleges throughout the state. Funds include the PTEC conference, High School seminar, Girls Get Technical camp.

D.1 D. Timeline for Grant Activities and Deliverables

- This section should include all major program activities (both capacity building and training) for the entire life of the grant.
- Grantees should update the timeline of activities for each quarter.
- Ideally, grantees should have some type of chart (see below) that contains the following information (though each of these elements is not required):
 - Activities (broken out by each quarter throughout the life of the grant)

- Type of Activity (capacity building or training)
- Progress to date
- Projected date for completion
- Actual completion date

Example: Organizing Grant Activities by Year and by Quarter

Estimated Time Frame	Deliverable Or Activity	Type Of Activity	Progress To Date	Date Projected For Completion	Actual Date Completed
Year 1: 1st Quarter (April 1 – June 30, 2008)					
	Secure Project Director	Capacity Building	Hired Jane Doe, Project Director on May 15, 2008	June 30, 2008	June 30, 2008
	Develop recruitment, outreach and marketing plan	Capacity Building	Gathered ideas and lessons learned shared from fellow grantees on a July 31, 2008 Peer Networking Group call. Also reviewed existing outreach and recruitment products developed by High Growth and Community-Based Healthcare grantees on Workforce3One.	August 30, 2008	
Year 1: 2nd Quarter (July 1 – September 30, 2008)					
	Identify courses for distance learning	Training	Met with IT team at the college, as well as instructors and curriculum designers on 8/15/2008 to begin to identify courses best suited for distance learning. Next steps include finalizing the list, developing a distance learning online schedule and tutorials for each course.	September 30, 2008	
	Implement recruitment, outreach and marketing plan	Capacity Building	Shared draft outreach and recruitment plan with Peer Networking Group for feedback on August 15. Finalized plan and obtained approval from College leadership on 9/20/2008.	August 30, 2008	September 30, 2008
Year 1: 3rd Quarter (October 1 – December 31, 2008)					
	Continue to identify courses for distance learning	Training	Finalized course schedule Continue to finalize tutorials for each online course	December 31, 2008	

	Continue training for faculty and staff on distance strategies	Capacity Building	Ongoing	December 31, 2008	
Year 1: 4th Quarter (January 1, 2009 – March 31, 2009)					
	Continue training for faculty and staff on distance strategies	Training		March 31, 2009	
	Continue to enroll targeted students into pipeline for advanced manufacturing careers	Training		March 31, 2009	

Continued: D.1 D. Timeline for Grant Activities and Deliverables

- Grantees should also provide a timeline on the progress of their products.
- A Product Reference Guide is available on the online reporting system which outlines all of the grantees and the products that each grantee has agreed to develop. This guide will be available through the online reporting system at the beginning of each quarter. The Guide is organized by region and grantee name (grantees can scroll through and locate their organization). This document will serve as a useful reference when grantees provide updates on the status of their grant deliverables (see example below).

Example

Product (What is it?)	Product Name & Description (What is the product designed to do?)	Anticipated Delivery Date	Percentage of Completion	Status/Notes & Concerns
Outreach Materials	Title: Development Healthcare Career Pathway Strategic Partnership Brochure Description: This product reaches out to potential partners in seeking sustainable solutions to meet healthcare workforce demands.	December 2008	95%	The brochure is complete. Final steps include sign-off from College leadership. Need to insert DOL ETA Disclaimer language.

D.1 F. Key Issues and Technical Assistance (TA) Needs

- Is the grantee identifying issues and TA Needs in their reports, as appropriate?
 - Examples of key issues include those aspects of your grant where you may have encountered the following: 1) issues related to recruitment of students, faculty and or staff; 2) staff turnover; 3) industry demands (i.e. employer is requesting more flexibility in content delivery through short seminars rather than quarter-long classes); 4) capacity (i.e. classes are full and individuals are wait-listed); 5) Other issues.
 - Example of TA needs include: 1) guidance/support in working with a strategic partner to address an issue impacting the success of the grant (i.e. partner can no longer contribute leveraged resources); 2) connecting to other grantees (i.e. to learn more about how they are utilizing a certain type of technology; to learn more about a particular product); 3) Access to information (i.e. product descriptions); 4) Other TA needs.

D.1I. Additional Information

- This section will also allow grantees to report any grant-specific outcomes not captured in other sections of the quarterly performance and/or narrative report, including, but not limited to, any specific outcomes included in the statement of work. For example, previous grantees have reported “number of participants who received a promotion as a result of training” and “average wage increase of participants.”
- In this section, additional reporting requirements are required for CBJT Round 5 Grantees (SGA/DFA PY-09-07). CBJTG Round 5 grantees should also report on the following outcomes, as it aligns with their Statements of Work: (1) for participants who complete education/training activities and receive a degree, certificate, or other credential, the type(s) of degree, certificate, or other credential received; (2) total number of participants who complete education/training activities who are placed into unsubsidized employment and retain an employed status in both the 1st and 2nd quarters following initial placement; and (3) supportive services provided, including a description of the type(s) of services offered, how they were delivered, and how they contributed to a participants’ ability to fully participate in grant-funded activities.