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Introduction

This **Credentialing Technical Assistance Guide** was prepared to help local workforce development agencies identify ways to access or create tools that would provide a valid means to substantiate skill and knowledge gains over a period of time and to measure skill development efforts. Tracking of skill and knowledge gain is required to meet performance measure mandates outlined in the Workforce Investment Act. The Workforce Investment Act, in effect nationwide July 1, 2000, governs workforce development programs.

This Guide is intended to be useful to any community-based organization, non-profit agency, public agency, or private business that has a need or desire to document skill and knowledge gains of an individual or group of individuals. This Guide will be of particular value and interest to agencies engaged in delivering programs and services funded by the United States Department of Labor for the purpose of fulfilling the requirements outlined in the Workforce Investment Act of 1998 enacted by Congress. An overview of the Workforce Investment Act of 1998 is included in Appendix A of this Credentialing Technical Assistance Guide starting on page 56.

Under the Workforce Investment Act of 1998, States must set goals for what constitutes a successful outcome for individuals who participate in programs funded by the Act. The goals arrived at are called performance measures. States must negotiate an appropriate level of performance with the United States Department of Labor. Actual performance for each program year will then be compared to the performance levels negotiated by the State to determine whether States are eligible for incentives or subject to sanctions. The United States Department of Labor outlined the process for negotiating the performance measures in *Training and Employment Guidance Letter 8-99* dated March 3, 2000. A copy of the Guidance Letter is included in Appendix C of this Credentialing Technical Assistance Guide starting on page 110.

The Workforce Investment Act of 1998 establishes 17 indicators of performance that workforce development agencies must meet related to adult, dislocated worker, and youth programs. States are required to propose expected levels of performance for each of the 17 indicators of performance. Appendix C provides a complete listing of the 17 indicators of performance and the details related to complying with the requirements starting on page 110 of this Guide.

Four of the seventeen performance measures relate to credentialing. This Credentialing Technical Assistance Guide will help local workforce development areas address the four credentialing measures. The four performance measures local workforce development areas must meet specifically related to credentialing are:

- Adult Employment and Credential Rate;
- Dislocated Worker Employment and Credential Rate;
- Older Youth Credential Rate; and,
- Younger Youth Skill Attainment Rate.

After a State completes the negotiation process with the United States Department of Labor, the State proceeds with negotiations on the same indicators of performance with each local workforce area. The workforce investment areas are designated by the Governor in each State for the purpose of administering the Workforce Investment Act program.

The burden of meeting the indicators of performance are on the local areas within each State. This Credentialing Technical Assistance Guide will help local areas meet and exceed the negotiated levels of performance for credentialing.

The spirit of the Workforce Investment Act language related to credentialing is one of encouraging a valid process for upgrading and developing skills that lead to better jobs and enhanced wages. The credential must be tracked and documented.

Understanding diverse methods of credentialing will permit your workforce development system to be responsive to the special needs of the business community and the individuals you serve. The better you understand different kinds of credentialing systems, the more you will insure that the training and education provided in your area is meaningful with valid and credible outcomes.

CHAPTER 1

CREDENTIALING OVERVIEW

What Is Credentialing?

A credential is evidence that some one has acquired certain knowledge and/or mastered certain skills. It is often viewed as proof of an individual's competency to perform certain tasks or a job.

For the purpose of Workforce Investment Act performance measures, United States Department of Labor Training and Employment Guidance Letter No. 7-99 provides us with a definition of "credential" as it relates to the adult and dislocated worker employment and credential performance measure. Credential is defined as a nationally recognized degree or certificate or State/locally recognized credential. Credentials include but are not limited to a high school diploma, GED or other recognized equivalents, post-secondary degrees/certificates, recognized skill standards, and licensure of industry-recognized certificates.

USDOL goes on to instruct States that all State Education Agency recognized credentials should be included in measures for adults and dislocated workers. Additionally, USDOL states that local workforce investment boards should encourage certificates recognizing successful completion of training services that are designed to equip individuals to enter or re-enter employment, retain employment, or advance to better employment. For adults and dislocated workers, who must be enrolled in WIA or non-WIA training in order to be included in this measure, training services are defined as:

- Occupational skills training, including training for non-traditional employment;

- On-the-job training;

- Programs that combine workplace training with related instruction, which may include cooperative education programs operated by the private sector;

- Skill upgrading and retraining;

- Entrepreneurial training;

- Job readiness training;

- Adult education and literacy activities in combination with other training; and,

- Customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of training.

Calculation of this rate is as follows:

> Number of adults who were employed in the first quarter after exit and received a credential by the end of the third quarter after exit (including those who receive a credential while still in the program) ÷
>
> Number of adults who exit during the quarter.

The youth credential performance measure applies to youth ages 19 through 21. This measure addresses attainment of a recognized credential related to achievement of educational skills (such as a secondary school diploma or its equivalent) or occupational skills for youth participants who enter post-secondary education, advanced training or unsubsidized employment. Advanced training is defined as an occupational skills employment/training program, not funded under Title I of the WIA, which does not duplicate training received under Title I; it includes only training outside of the one stop, WIA and partner system (i.e., training following exit).

Calculation of this rate is as follows:

> Number of older youth who were in employment, post-secondary education or advanced training in the first quarter after exit (including those who received a credential while in the program) ÷
>
> Number of older youth who exit during the quarter.

While the youth skill attainment rate measure, which is applicable to younger youth ages 14 to 18 years, does not specifically require attainment of credentials, information in this guide pertains to this measure as well. The measure addresses attainment of basic skills goals and, as appropriate, work readiness or occupational goals. This measure applies to all in-school youth and any out-of-school youth assessed to be in need of such skills.

Calculation of this rate is as follows:

> The total number of attained basic skills goals, plus the number of attained work readiness skills goals, plus the number of attained occupation skills goals ÷
>
> The total number of basic skills goals, plus the number of work readiness skills goals, plus the number of occupational skills goals.

The follow pages are lists of the final negotiated goals for the four credential related measures for each local workforce investment area for program years 2001 and 2002. As a result of its negotiation with U.S. Department of Labor (USDOL), Illinois was required to set substantially higher goals for these measures than it had originally intended. The primary reason that USDOL gave for insisting on these higher goals was the increased flexibility provided in the definition of these measures permitting local workforce investment boards (LWIB) to establish their own locally recognized credential systems. Due to these higher goals, most LWIB will need to develop and implement some type of local credentialing system in order to be assured of meeting their goals for these measures. Performance may be viewed at www.Ilworkforce.org/wiareport/index.htm.

WIA Performance Measure Goals
PY 2001

LWA	YSAR	YCAR	ACAR	DCAR
1	58.0%	36.5%	49.0%	50.9%
2	66.7%	38.5%	48.6%	46.4%
3	66.2%	37.1%	47.6%	40.2%
4	67.7%	39.5%	49.3%	47.8%
5	64.7%	40.1%	49.9%	57.5%
6	64.2%	50.0%	61.4%	64.8%
7	67.0%	38.0%	48.0%	47.1%
8	70.0%	52.9%	52.6%	52.6%
9	69.2%	34.8%	46.0%	41.8%
10	69.1%	36.9%	48.7%	46.1%
11	68.8%	38.5%	49.6%	48.3%
12	70.7%	47.4%	49.8%	44.5%
13	63.1%	38.4%	49.5%	49.4%
14	68.3%	40.0%	48.7%	48.6%
15	66.7%	38.2%	49.3%	48.6%
16	71.8%	38.5%	54.3%	42.3%
17	76.4%	53.3%	54.2%	54.3%
18	64.7%	39.5%	53.1%	58.3%
19	61.8%	37.5%	48.6%	45.1%
20	65.6%	52.3%	50.9%	63.9%
21	70.9%	41.7%	50.0%	58.5%
22	66.0%	38.1%	49.7%	46.9%
23	67.1%	40.0%	48.8%	49.3%
24	70.0%	39.0%	51.7%	48.8%
25	65.1%	36.6%	64.3%	63.2%
26	60.9%	67.5%	66.7%	62.0%
State	66.6%	40.0%	50.0%	50.0%

WIA Performance Measure Goals
PY 2002

LWA	YSAR	YCAR	ACAR	DCAR
1	59.6%	47.6%	54.0%	54.3%
2	66.7%	48.3%	54.0%	52.9%
3	67.5%	47.8%	53.1%	50.1%
4	69.2%	48.3%	56.4%	53.7%
5	66.8%	49.2%	54.6%	59.0%
6	65.0%	56.3%	62.9%	67.6%
7	68.1%	48.2%	53.4%	53.0%
8	72.0%	55.3%	55.0%	55.0%
9	70.2%	46.8%	52.1%	50.4%
10	70.1%	47.7%	53.8%	52.4%
11	70.6%	48.5%	54.8%	53.6%
12	71.0%	52.6%	54.9%	51.7%
13	65.2%	48.3%	54.4%	54.0%
14	68.5%	49.3%	53.9%	54.0%
15	67.6%	48.5%	54.4%	54.0%
16	73.1%	48.7%	55.0%	50.8%
17	78.5%	58.3%	55.6%	54.9%
18	66.7%	48.8%	54.9%	60.0%
19	63.3%	48.8%	54.9%	52.1%
20	66.7%	55.4%	54.8%	64.7%
21	71.4%	49.4%	54.7%	59.6%
22	67.0%	48.8%	54.6%	53.1%
23	68.9%	49.1%	54.0%	53.8%
24	71.1%	48.7%	54.8%	53.9%
25	66.9%	47.8%	65.9%	64.3%
26	61.6%	70.0%	67.7%	63.5%
State	67.4%	50.0%	55.0%	55.0%

Types of Credentials

This Credentialing Technical Assistance Guide will explore existing credentialing systems and homegrown credentialing systems that will help workforce development agencies meet performance measure requirements.

Existing credentialing systems refer to certificates, degrees, licenses, and endorsements that are already in place and can be tapped in to. Existing credentialing systems in Illinois are described in Appendix F of this Guide beginning on page 146. Homegrown credentialing systems refer to methods created to fill specific needs.

Existing credentialing systems include:

A. <u>Educational Institutions.</u>

Characterized by attendance in a series of classroom learning experiences that are packaged to create a certification or degree program for specific occupations or professions.

Examples of educational institution credentials:

- Associate Degree.
- Management Certificate.
- Computer Science Degree.
- Teaching Certificate.
- Waste Water Management Degree.
- Automotive Technology Degree.
- High School Diploma.
- GED or equivalent.

B. Associations.

Associations typically represent a targeted population of individuals focused in a particular area of professional interest. Associations serve as advocates and networking units for the profession they represent.

Examples of association credential systems:
- Certified in Volunteer Administration (sponsored by the Association of Volunteer Administration).
- Child Development Associate (sponsored by The Council for Early Childhood Professional Recognition).
- Certified Workforce Development Professional (National Association of Workforce Development Professionals).

A case study detailing the Volunteer Administration Certification can be found in Appendix E of this Guide starting on page 139.

C. Professional Accreditation.

Established qualification standards an individual must achieve in order to be considered a certified member of a particular professional group. This group includes licenses and certifications.

Examples of professionals with established accreditation standards include:
- Counselors.
- Certified Public Accountants.

D. Licenses.

Credential awarded by a state government or its authorized agent that permits individuals to practice a profession or use a title in association with their work.

Examples of licenses:

- Medical Doctors.
- Dental Hygienists.
- Beauticians.
- Real Estate Brokers.

E. Work-Based Learning

Structured work experience that focuses on the demand side of workforce development, the business community. Workers learn on the job based on a set of skills standards and competencies established for specific occupations. Some work-based learning systems require a combination of classroom and on-the-job. The classroom portion may be provided on-site or at another location such as an educational institution or at another business.

Examples of work-based learning credential systems:

- Corporate universities.
- Apprenticeships.
- Industry consortiums.

The area of work-based learning provides local areas with the greatest opportunity to develop home grown, employer driven credential programs. There are a number of resources (e.g. Illinois Skill Standards, existing DACUMs, and SCANs) which can be used to assist employers in establishing skills standards for specific occupations. These skills standards can then serve as a frame work for the development of targeted programs and development of employees to specific levels of competency. Such a homegrown system can be done independently or in partnership with an educational institution.

Appendix D of this Guide starting on page 135 provides a detailed case study of a credentialing partnership between an Illinois educational institution and a private employer.

On page 138 of Appendix D is an outline of considerations a local workforce development agency needs to make in order to facilitate a partnership with an educational institution in creating customized credentialing.

Appendix F of this Guide, starting on page 146, provides resources that will help you access and use existing credentialing systems.

Included in Appendix F:

- Listing of Illinois Associations (including Unions).
- Listing of Professional Accreditation.
- Listing of Illinois Business and Education Partners.
- Listing of Illinois Education to Careers Local Partnerships.
- Information about Illinois Career and Technical Education Challenge Task Force.
- Information on Occupational Specific Standards.
- Information on Secretary's Commission on Achieving Necessary Skills (SCANS).
- Information on the National Skills Standards Board.
- Information on Illinois Occupational Skills Standards (sample provided in Appendix F on page 178 of this Guide).

- Information on ACT's Work Keys.
- Information on DACUM Task Analysis Process.
- Listing of over 400 DACUM Task Analysis Charts already developed that can be purchased and used.
- Listing of Corporate Universities operational in or near Illinois.

Local workforce development areas should review all of these resources carefully to discover existing credentialing opportunities that will forge partnerships and not reinvent work already completed.

ESTABLISHING CREDENTIALING SYSTEMS

Considerations

To obtain a credential a person must typically fulfill pre-established requirements or satisfy a set of standards that have been set for a specific skill or knowledge area. There are some factors to consider related to accessing an existing credential or developing a homegrown credential.

The key factors to consider are:

1. Driver:
    a. What is the purpose?
    b. Who will benefit and how?
    c. Who is the target audience?

2. Requirements:
    a. What must an individual do to become certified?

3. Standards:
    a. What are the assessment criteria and how were they derived?

4. Assessment Methods:
    a. What method will be used to determine whether candidates have met the standards?

5. Governance:
    a. Who will provide policy, oversight and stewardship?

6. Administrative Responsibility:

a. Who will conduct the reporting, keep records, insure confidentiality, and prevent misuse of results?

Basic Process – A Checklist for Getting Started

1. Identify the specific reason a credential is needed.

   - ❑ List the purpose of the certification.

   Example: Child-care workers at ABCs Center need to have consistent standards in order to lower insurance premiums and to provide excellent service.

2. Identify who will benefit from the credential and how.

   - ❑ List who will benefit and how each will benefit.

   Example: The business will benefit with increased revenues, uniform staff expertise, and a greater margin of revenue with reduced insurance premiums. The child will benefit with higher level of consistency across child-care workers. The parents will benefit with greater peace of mind and confidence in the business.

3. Who is eligible to participate?

   - ❑ List the target audience.

   Example: Individuals currently working as child-care workers at ABCs Center and individuals wanting to work as a child-care worker at ABCs Center.

4. What are the requirements?

   - ❑ List what an individual must do to become certified. Include: prerequisites, training, testing, supervision, demonstration, experience, work samples, and fees.

   - ❑ List any requirements for re-certification that need to be considered.

Example: 12 semester hours of early childhood development classroom training and 80 hours of supervised on-the-job training in an early childhood development position.

5. What are the standards?

    - ❑ List what will be the assessment criteria and how they were derived.

    Example: Standards were set through a job task analysis of existing professionals who are proficient in the field. Standards include: the ability to get along with others, work with, and relate to others; the ability to engage in learning activities with children under the age of 5 using interactive toys; the ability to write reports in a clear and concise format.

6. What assessment methods will you use?

    - ❑ List what methods will be used to determine whether an individual has met the standards.

    Example: Individuals will be tested related to classroom training and must achieve at least a "C" to be considered passing. In addition, individuals will be observed while engaged in on-the-job training. The supervisor who is observing will document skills and knowledge. The individual under review must have the observer's signature at the completion of the training recommending approval of the credential.

7. Who will govern?

    - ❑ List who will provide policy, oversight, and stewardship to the credentialing process.

Example: A sub-committee of the ABCs Center Board of Directors will serve as the governing body for the child-care worker certification.

8. Who will have administrative responsibility?

   - ❑ List who will conduct the reporting, keep records, insure confidentiality, and prevent misuse of results.

   Example: The Human Resource Department of ABCs Center will be responsible for the administrative functions.

Starting on page 27 of this Guide, are key factors related to designing your credentialing system based on the previous outline: requirements, standards, assessment methods, governance, and administrative responsibility.

CHAPTER 3

KEY FACTORS

Requirements

The workforce development credentialing entity will need to decide what will be required of the individuals participating to gain the credential.

First, an individual needs to be deemed “eligible”. Eligible can start with an initial assessment that confirms the individual has the capability and desire to engage in a credentialing program.

Next, the workforce development credentialing entity needs to decide the most appropriate requirement mechanisms. Some of the more common ones are:

- Prerequisites.
- Testing.
- Training.
- Supervision.
- Demonstration.

Prerequisites requires an individual have taken specific classes, had a defined number of years of experience, or had a specified degree in a related field.

Testing requires an individual complete a pre-test to establish knowledge and skills prior to certification and/or complete a post-test to document knowledge and skills after training period.

Supervision requires individual have defined measurable outcomes that are observed by a supervisor who attests to successful attainment of knowledge and skills.

Demonstration provides for individuals to show what they have learned through their on-the-job training performance. The individual proves they can perform a task or series of tasks to a standard under regular working conditions.

One or any combination of the requirements above could be used in establishing a credential.

When making a decision on which requirements to mandate, a workforce development credentialing entity should consider whether they want knowledge-based, skill-based, or performance-based criteria. Often credentialing involves all three levels.

- Knowledge-based refers to the individual knowing terms, rules, principles, concepts, policies, procedures.
- Skill-based refers to the individual being able to apply the terms, rules, principles, concepts, policies, and procedures under controlled conditions such as in a simulation.
- Performance-based refers to the individual being able to apply the terms, rules, principles, concepts, policies, and procedures under real working conditions.

Standards

The workforce development credentialing entity must establish what the assessment criteria will be and how it will be derived. A typical way to establish the assessment criteria is job task analysis. Job task analysis is a review of the functions performed that identifies the duties and tasks, skills and knowledge, traits and attitudes, and tools and equipment needed to be proficient in the function. The result of the job task analysis is a competencies chart that outlines needed skill and knowledge for a specific occupation or cluster of occupations.

Another way to establish assessment criteria is simply to ask the business wanting a credentialing system what skills and knowledge they require for the individual to become proficient in a particular function or series of functions.

The job task analysis is recommended because it provides for a consistent set of standards that can be used over and over again to fill positions.

A common job task analysis process used by Community Colleges and for workforce development agencies to design curriculum for private employers is the DACUM method. DACUM is an acronym that stands for **D**eveloping **A** **C**urricul**um**. This method is described in detail in Appendix F of this Guide starting on page 187. Also included in Appendix F is a listing of over 400 occupations where the DACUM task analysis process has already been conducted. These charts may be purchased for a minimal fee by logging onto **www.dacum.org** or by contacting Dr. Robert Norton at Ohio State University 1-800-848-4815, extension 2-8481.

The DACUM process simply brings eight to ten people together who have successfully performed a specific function or series of functions for two or more years and facilitates a process to capture their expert opinion on duties and tasks, skills and knowledge, traits and attitudes, tools and equipment needed to be proficient in the area under review. If a DACUM has been completed on the occupation under review, you may want to simply validate established competencies through a “modified” DACUM process.

Assessment Methods

Assessment methods fall in to two primary categories:

1) Observation.
2) Testing.

Classroom training is primarily measured through the grading of tests with some consideration given to attendance, attitude, and work habits. On-the-job training is often measured through observation by a supervisor or mentor/coach who actually sees the individual demonstrate knowledge and skill in pre-established areas.

A workforce development system should set an assessment method for each phase of the credentialing process. Be consistent to insure credibility and confidence in the system.

Governance

The governance of the credentialing system has four major responsibilities:

1. To review and approve the purpose, requirements, standards, and assessment methods prior to the start.
2. To make ongoing policy decisions related to the credentialing system.
3. To review and rule on any disputes.
4. To assess and analyze the effectiveness of the credentialing system.

In most instances the governance is performed by a committee of a board and/or representatives of a business or institution. In the case of a workforce investment area, governance might be performed by a committee of the workforce investment board utilizing key executive staff to conduct oversight and maintenance related to credentialing.

Administrative Responsibility

Administrative responsibility entails reporting, keeping records, insuring confidentiality, and preventing the misuse of the results. A unit within the business or institution is usually in charge of the administrative responsibilities.

This unit will issue the formal announcement of credential attainment and will keep records and tickler systems to insure appropriate follow-up on any re-certification requirements.

The administrative responsibility includes keeping original assessment standards and documentation of assessment methods that have determined an individual has met the standards.

The local workforce investment board will be responsible for appointing a staff person or committee member to oversee the credentialing administrative responsibilities.

Chapters 4 through 9 of this Guide provide detail for each of the above checklist items and key factors as they relate to each type of credential.

CHAPTER 4

EDUCATIONAL INSTITUTIONS

Customer Profiles

Educational institutions target both traditional and non-traditional students. Traditional students are those individuals who are progressing from high school to college in succession. Non-traditional students are typically adult learners who have returned to college or vocational school after having been in the workforce for a period of time.

Dislocated workers and adults who attend school typically fall into the non-traditional group of learners.

Requirements

Requirements for admission into degree/credentialing programs vary from institution to institution. It is important to contact any specific educational institution you are interested in working with to find out exactly what is required.

Workforce investment areas should keep on file the requirements for each local educational institution as well as any that may be near by or known to be frequent selections in programs related to area growth occupation opportunities.

For traditional enrollment in to a University academic program applicants complete an application for admission. Requirements into a specific program may include prerequisites, appropriate grade level, grade point average, transcripts, test scores, minimum study hours, specific courses, and an assessment.

Community Colleges typically enroll students in a program of study and have many of the same requirements as a University when students are seeking a specific degree or certificate program. However, general admission to the Community College is usually open to anyone from the region wanting to enroll. Applicants complete a basic assessment battery consisting of math, reading and English. The assessments drive whether a student will be required to participate in specific courses to enroll in a chosen field of study.

Individuals who enroll in University or Community College Adult Continuing Education programs apply to participate. Participation in continuing education programs usually is based on individual evaluation of the student's ability to succeed.

Standards

Educational institutions establish learning objectives and competencies for each program of study including certification systems. A variety of methods are used to establish learning objectives and competencies including a scan of the occupational specific needs, job task analysis, and research of business needs and expectations.

Assessment Methods

Successful completion of a program of study usually is based on test scores throughout the training, a final exam score, and participatory activity scores (such as reports and presentations). If the course of study includes on-the-job training or specific occupational simulation, demonstrated ability of skill and knowledge will play a factor.

Governance

A Board of Trustees who is in charge of policy, oversight, and stewardship governs educational Institutions. In addition, most institutions answer to a State Board of Education or State Governing Board. Day to day governance is typically given to the President of the institution.

Administrative Responsibility

Educational institutions have staff who have responsibility for maintaining the support systems necessary to record, track, and follow-up on individuals participating in programs.

CHAPTER 5

ASSOCIATIONS

Customer Profiles

Individuals participating in a certificate program or credential sponsored by an association are characterized as a group of people who have a common thread in terms of interest, career, craft, or cause.

Requirements

Associations typically require membership in the association to participate in a certificate program or credential. Beyond that, requirements vary from association to association but may include factors such as completion of a comprehensive application, school records, and recommendations.

Standards

Standards for association certification programs and credentials are usually established by a team of association members who have researched a defined set of competencies to enhance or develop skills and knowledge of participating members in a specific area.

Assessment Methods

Individuals who receive a certification or credential through an association may be evaluated by hours of study, test scores, application, references, and demonstrated competencies.

Governance

A board of directors elected by the membership usually governs association certificate and credential programs. Association boards appoint a committee to oversee the certification/ credential system.

Administrative Responsibility

The executive director of the association oversees daily administration of the certification/credential program.

A listing of association and union affiliated training related to credentialing can be found in this Guide in Appendix F starting on page 146.

CHAPTER 6

PROFESSIONAL ACCREDITATION

Customer Profiles

Individuals participating in a professional accreditation program are characterized as interested in or belonging to the specific profession associated with the accreditation.

Requirements

Professional accreditation usually requires affiliation to the specific profession and a comprehensive application process. Other requirements might include: entry level of skill and knowledge, work experience, references, and educational attainment.

Standards

Standards are set through research of industry-accepted competencies either in the form of task analysis or specific occupational observation, study with related business professionals, or business-related experts.

Assessment Methods

Professional accreditation sometimes is available through an association as described earlier in this Guide. Often, professional accreditation is done by independent entities that exist for the sole purpose of accrediting people in specific professions.

Assessment varies from profession to profession and with the type of entity sponsoring the accreditation. Frequent methods to assess whether an individual has met the standards include: hours of study, test scores, application, references, work experience, and demonstrated competencies.

Governance

Governance of a professional accreditation involves a panel of profession-related experts who are often known as exemplary in the field.

Administrative Responsibility

A staff overseen by a director is responsible for the day-to-day administration of a professional accreditation.

CHAPTER 7

HOMEGROWN IN COOPERATION WITH BUSINESS

Workforce Development Needs and Expectations

The traditional approach to achieving a credential presumes there is a prescribed body of knowledge relevant to the person, position, or activity being certified.

In a changing or evolving profession this is not necessarily the case. Often, the skills and knowledge needed to be proficient in a position or function has not been defined or formal academic programs do not exist related to the specific needs.

Workforce development service providers and businesses responsible for training individuals in a specific position or function must have a method outlined that can help them measure skill and knowledge attainment. In the absence of an existing credential, local agencies and businesses need to create systems to measure skill and knowledge attainment.

The substantial effort needed to develop a credentialing program suggests that businesses may wish to take advantage of what has already been accomplished, rather than constructing such statements and processes from scratch. In the area of workplace-related performance standards, for instance, considerable work has already been done through efforts such as:

- Secretary's Commission on Achieving Necessary Skills (SCANS) – for more information see Appendix F of this Guide, page 170.

- National Skills Standards Board – for more information see Appendix F of this Guide, page 175.
- Illinois Occupational Skill Standards – for more information see Appendix F of this Guide, page 178.
- ACT's "Work-Keys" Project – for more information see Appendix F of this Guide, page 185.
- DACUM Research Chart Bank of The Ohio State University's Center on Education and Training for Employment – for more information see Appendix F of this Guide, page 187.

Through this work, a common language of transferable workplace skills is evolving which is already widely accepted by employers and educational institutions. While remaining responsive to its own needs, businesses can build on this common language and attempt to further it, rather than attempting to construct yet another set of skill statements and skill identification processes. Workforce development systems should access these existing resources to the extent possible.

Training does not have to be WIA training to count. It is important local areas set up an inclusive tracking system to insure capturing all training data. Do include on-the-job training and customized training in your pool to track.

Customer Profiles

Individuals who will need to access a homegrown credentialing system might include:

- An individual wanting employment with a business in an occupation for which no short-term occupation specific training exists.
- An individual working for a business that requires specific skill and knowledge attainment to sustain employment.

- An individual working for a business that requires specific skills and knowledge attainment to achieve promotional opportunities.
- An individual working for a business that requires specific skills and knowledge attainment to achieve a higher rate of compensation.

Requirements

The individual must demonstrate the aptitude, interest and ability needed to succeed in a particular occupation.

Standards

Uniform standards enable organizations to hire and train workers that have consistent work practices. Common job descriptions are not enough to ensure employees have the same level of competency to perform the duties and tasks they are responsible for.

Most businesses have "core competencies" that every single person in the organization or in a particular division need. Core competencies are those skills that are needed regardless of the specific position or occupation a person is in. When identifying standards these core competencies need to be identified. Core competencies include skills such as communication, customer service, leadership, managing teams, problem identification, problem solving, critical thinking, and decision-making.

In addition, occupation specific competencies must be identified. This can be done through researching industry specific data and through conducting a job task analysis.

A universally accepted job task analysis system is the DACUM method (Developing A CUrriculuM). The DACUM method is used by many educational institutions to establish course objectives and competencies.

The workforce development system has used this method across the country to establish general training guidelines for participants in on-the-job training and customized training programs. The National Association of Workforce Development Professionals (NAWDP) used this method to establish the framework for a certification to become a Certified Workforce Development Professional. The United States Department of Labor used the DACUM method to establish a core competencies chart for skills and knowledge needed to run a one-stop.

The DACUM process is a facilitated session that brings together eight to ten individuals who have successfully done the job under review for two or more years. The panel of practitioners identifies the duties and tasks, skills and knowledge, traits and attitudes, and tools and equipment needed to be proficient in the job under review. The method is based on a premise of whom better to define the competencies associated with a job than people who know how to do the job. A more detailed description of DACUM is included in Appendix F of this Guide along with a listing of nearly 400 existing occupational task analysis charts available for a minimal fee.

Local workforce investment boards should authorize and fund the establishment of competency charts for growth occupation areas when other means to credential or certify are not accessible or reasonable.

Assessment Methods

Methods to assess whether an individual has met the standards include: hours of study, test scores, work experience, supervisor attests, performance evaluations, and demonstrated competencies.

Governance

It is important for a homegrown system to have credibility and validity. For the purposes of individuals enrolled in Workforce Investment Act programs, the certification/credential system should be governed by a committee appointed by the local workforce investment board. The committee does not necessarily include only board members, but may also include industry experts from the community in the growth occupation areas. The governance function should include a check for consistency and valid documented measurement of the outcomes.

The State will not require advanced review and approval of homegrown systems, but will monitor such systems that are developed to ensure that they comply with the Act and Final Rule. Local boards that have questions about the allowability of a homegrown credentialing system or some aspect of the system may consult with the State.

Administrative Responsibility

Oversight of the system may be done by an administrative entity within a local workforce investment board area or by the one-stop operator. The initiating case manager should keep records and provide proof of achievement as defined by local policy.

"How To" Establish A Business Focused Credential

1. A business requests individuals be trained in a specific occupation or job function.

2. The occupation or job function is considered a growth occupation on the State/Workforce Investment Board OES code growth rate chart.

3. Individuals are determined eligible and appropriate to be placed with businesses to participate in a training activity.

4. The WIA organization meets with the businesses to determine the exact job and skill sets the business is looking for.

5. The WIA organization researches whether there are existing skills competencies identified for the job. (Check universities, community colleges, vocational schools, professional accreditations, business network organizations, and pre-established task analysis charts).

6. If no skills competencies have been identified for the job by existing resources or the existing resources are not accessible, affordable, or reasonable, the organization should work with the businesses to create skills competencies and standards for the occupation or job function.

7. The organization meets with the businesses to conduct a task analysis of the occupation or job function to identify the skills/knowledge, tools/equipment, traits/attitudes, and duties/tasks that are necessary to perform the work. (Note: this process will be more valid and credible if the organization conducts the task analysis by a proven method and with a certified facilitator.)

8. The businesses, the workers, and the organization review the findings and commit to specific training that will be conducted to meet the standards.

9. The Certification Plan is submitted to a sub-committee of the local workforce investment board (or other designated governing entity) for approval as a credential program along with how the worker will be assessed to establish the credential.

10. The individuals are trained.

11. The businesses attest that workers have met standards as prescribed.

12. Individuals receive certificates signed by WIA organization and businesses acknowledging the credential.

Existing Employer Training Programs

It is important for each local workforce investment board to gather information on what business-sponsored training exists in their community. This should be done in a proactive fashion before any specific request for training has been made.

It is a two-step process:

1. Survey for general information.

2. Interview for specific information.

The survey is to get a sense of which businesses have internal training programs or tap into union or association training programs. This should be basic in nature to increase the likelihood for completion. The survey can be mailed to all businesses or can be provided to the Chamber of Commerce or other business entities that help to gather the data.

Once you have a response conduct an interview, preferably face-to-face, to gather detail related to the depth and extent of the training and the competencies included.

Following is a sample survey that would be appropriate:

Company:	
Contact Person:	Phone:

Fax: Email:

Address:

Please list any internal training programs you provide to your employees to develop or enhance their skills and knowledge.

Please list any union or association affiliated training programs you have employees participate in.

8

HOMEGROWN IN COOPERATION WITH A STATE ASSOCIATION

Workforce Development Needs and Expectations

Uniform standards or a centralized clearinghouse for standards can add to the credibility and validity of a credentialing program. Many labor markets across a State have similar occupations and like core competency needs for adults, dislocated workers, and youth that participate in Workforce Investment Act funded training activities.

A state association credentialing system can provide uniformity to process, requirements, standards, and assessment methods.

The role of the state association can be two-fold: 1) to provide credential criteria that has been approved by the State to local workforce investment board areas for use; and/or 2) to serve as a clearinghouse that provides the governance and administrative functions involved in designing, implementing, and tracking a statewide credentialing system.

Customer Profiles

Member agencies of the state association are the customers of a state association credentialing system.

The member agencies submit requests for approved standards from the association when the state association is serving as a keeper of criteria that has been approved.

In the event the state association is handling the entire credentialing process from beginning to end, the appropriate entity in each local workforce investment area negotiates a contract or memorandum of understanding related to the extent of the service and the corresponding cost.

Requirements

The same requirements that apply to homegrown business credentialing systems can be used in regard to a state association serving as a clearinghouse or providing more intensive credentialing assistance to local areas.

Standards

The state association should meet with local area representatives and establish what core competencies and growth occupations will likely need standards on file in the course of the coming year. To the extent possible, planning ahead and investigating existing credentials and establishing acceptable credentialing systems on those that don't exist will give the state association a hand up on helping local areas respond quickly to individuals needing enrolled in training activities.

Occupations and core competencies that are not expected to be in demand for training participants can be delayed until such time they are actually needed.

Assessment Methods

Methods to assess whether an individual has met the standards include: hours of study, test scores, work experience, simulations, supervisor attests, performance evaluations, and demonstrated competencies.

Governance

Governance of a state association credential should be provided by members of the executive committee or a committee designated for this specific purpose.

Administrative Responsibility

The scope ranges from a clearinghouse role to that of an immersed team of workforce development professionals engaged in oversight, record keeping, and tracking. The specific role of the state association in regard to administrative responsibilities should be negotiated with the appropriate entity in each local workforce investment area.

"How To" Establish A State Association Focused Credential

1. State association leadership meets with member organizations to discuss roles and responsibilities.

2. State association gathers information on growth occupations.

3. State association gathers information on core competencies.
4. State association researches existing credentials in the growth occupations and core competencies.
5. When no credential system is found, or an existing system is not reasonable, accessible, or affordable, state association establishes standards based on task analysis either industry specific or crosscutting in the case of core competencies.
6. State association gets credentials endorsed by a statewide, recognized authority (e.g. State Chamber of Commerce, Illinois Manufacturing Association, etc.).
7. Local representative requests a specific credential for an occupational specific training activity or a core competencies training activity.
8. State association provides information to local workforce investment area for a fee.
9. State association may track the assessment and measurement outcomes for local areas based on a negotiated cost.

9

HOMEGROWN IN COOPERATION WITH OTHER ORGANIZATIONS

Workforce Development Needs and Expectations

Training in relationship to workforce development is not always conducted in a business environment or at an educational institution. Many organizations are responsible for training activities that prepare future or existing workers to meet the challenges of a job or occupation. Such training may or may not be occupational specific.

In the case of occupational specific training, the organization should follow the directions outlined in Chapter 7 of this Guide.

For training that is not occupational specific, a method must outline what learning will take place and how the skill and knowledge attainment will be measured. These types of credentials are rarely found in existing systems and thus must be created. In workforce development programs these types of credentials can be as important as occupational specific credentials in that they help instill transferable skills and knowledge to help the participant deal with future job changes with greater ease. This is essential in a working environment that points to each of us having several career moves within in the span of our working years.

Customer Profiles

Individuals who will need credentialing systems from activities at organizations other than businesses and educational institutions might include:

- Individuals who are lacking work experience.
- Individuals who are unable to demonstrate job-keeping behaviors.
- Individuals who do not have core job skills to retain employment.

Requirements

The individual must demonstrate a willingness to participate and the aptitude and ability needed to complete the activity.

Standards

Many of the competencies that will be required for the training are core in nature. That is, they are skills and knowledge needed regardless of any specific position or occupation. The standards can be set through a similar process to that of occupational specific criteria. The DACUM process described in this Guide can be used to identify the standards. In the case of core competencies a panel of subject matter experts in cross cutting occupations that require the same basic core can be formed to identify the standards associated with the training objectives.

Local workforce investment boards should authorize and fund the establishment of competency records for basic core standards in areas identified as essential. These might include: communication, customer service, leadership, life skills, job readiness, job search, change agent skills, team building, managing teams, problem identification, problem solving, critical thinking, and decision-making.

Assessment Methods

Methods to assess whether an individual has met the standards include: hours of study, test scores, simulations, and demonstrated competencies.

Governance

It is important for a homegrown system to have credibility and validity. For the purpose of individuals enrolled in Workforce Investment Act programs, the certification/credential system should be governed by a committee appointed by the local workforce investment board. The committee does not necessarily include only board members, but may also include industry experts from the community in occupations that require similar competencies. The governance function should include a check for consistency and valid documented measurement of the outcomes.

In terms of establishing a credential for participation in an organization's program, the local workforce investment board should require an application for approval at the start of a funding year. The standards set should apply to all attendees in the approved activities.

Administrative Responsibility

Oversight of the system may be done by an administrative entity within a local workforce investment area. The initiating case manager should keep records and provide proof of achievement as defined by local policy.

"How To" Establish A Non-Occupational Credential

1. An organization establishes standards that will be required for participation in training activities.

2. The Certification Plan is submitted to a sub-committee of the local workforce investment board for approval as a credential program along with how participants will be assessed to establish the credential.

3. An individual is determined to be appropriate for enrollment in an activity provided by an organization through established criteria (e.g., pre-test or pre-assessment).

4. The organization's case manager meets with the individual to review the requirements of the training activity.

5. The individual commits to the standards outlined and the methods of measurement.

6. The individual is trained.

7. The case manager and/or trainer attest that the individual has met standards as prescribed with evidence of test scores, demonstrated competencies, and assessment.

8. Individual receives certificate signed by organization and the chair of the local workforce investment board.

APPENDIX

A

OVERVIEW OF WIA

Workforce Investment Act of 1998 Summary

U.S. Department of Labor
Employment and Training Administration
September 1998

Following is an overview of the Workforce Investment Act (Public Law 105-220), which was signed into law August 7, 1998. It was produced by the U.S. Department of Labor to highlight the major features of the new legislation and to give State and local elected officials, program designers and operators, and the public quick information about the structure, funding, and target population groups to be served. It is not intended to provide a detailed summary of the Act, nor is it intended to convey a legal opinion or interpretation of the legislation. Material contained in this publication is in the public domain and may be reproduced, fully or partially, without permission of the Federal Government.

U.S. Department of Labor

Alexis M. Herman, Secretary

Employment and Training Administration

Ray Bramucci, Assistant Secretary

Office of Policy and Research

G. F. Fiala, Administrator

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Empowering the Nation’s Jobseekers

The **Workforce Investment Act of 1998** provides the framework for a unique national workforce preparation and employment system designed to meet both the needs of the nation’s businesses *and* the needs of job seekers and those who want to further their careers. Title I of the legislation is based on the following elements:

- Training and employment programs must be designed and managed at the local level where the needs of businesses and individuals are best understood.

- Customers must be able to conveniently access the employment, education, training, and information services they need at a single location in their neighborhoods.

- Customers should have choices in deciding the training program that best fits their needs and the organizations that will provide that service. They should have control over their own career development.

- Customers have a right to information about how well training providers succeed in preparing people for jobs. Training providers will provide information on their success rates.

- Businesses will provide information, leadership, and play an active role in ensuring that the system prepares people for current and future jobs.

The Act builds on the most successful elements of previous Federal legislation. Just as important, its key components are based on local and State input and extensive research and evaluation studies of successful training and employment innovations over the past decade.

The new law makes changes to the current funding streams, target populations, system of delivery, accountability, long-term planning, labor market information system, and governance structure.

Title I authorizes the new Workforce Investment System. State workforce investment boards will be established and States will develop five-year strategic plans. Governors will designate local "workforce investment areas" and oversee local workforce investment boards. New youth councils will be set up as a subgroup of the local board to guide the development and operation of programs for youth. Customers will benefit from a "One-Stop" delivery system, with career centers in their neighborhoods where they can access core employment services and be referred directly to job training, education, or other services.

Title I requires that standards for success be established for organizations that provide training services and outlines a system for determining their initial eligibility to receive funds. It establishes the funding mechanism for States and local areas, specifies participant eligibility criteria, and authorizes a broad array of services for youth, adults, and dislocated workers. It also authorizes certain statewide activities and a system of *accountability* to ensure that customer needs are met.

Also authorized are a number of *national* programs the Job Corps; Native American programs; Migrant and Seasonal Farmworker programs; Veterans' Workforce Investment programs; Youth Opportunity grants for high-poverty areas; technical assistance efforts to States and local areas; demonstration, pilot, and other special national projects; program evaluations; and National Emergency grants.

Title II reauthorizes Adult Education and Literacy programs for Fiscal Years 1999-2003.

Title III amends the Wagner-Peyser Act to require that Employment Service/Job Service activities become part of the "One-Stop" system and establishes a national employment statistics initiative. It requires linkages between the Act's programs and Trade Adjustment Assistance and North American Free Trade Agreement Transitional Adjustment Assistance programs. It establishes a temporary "Twenty-First Century Workforce Commission" to study issues relating to the information technology workforce in the United States.

Title IV reauthorizes Rehabilitation Act programs through Fiscal Year 2003 and links these programs to State and local workforce development systems.

Title V contains general provisions that include authority for State unified plans relating to several workforce development programs, incentive grants for States exceeding negotiated performance levels under the Workforce Investment Act, Adult Education Act, and Perkins Vocational Education Act, and transition provisions.

A Customer-Focused System

The most important aspect of the Act is its focus on meeting the needs of businesses for skilled workers *and* the training, education, and employment needs of individuals. Key components of the Act will enable customers to easily access the information and services they need through the "One-Stop" system; empower adults to obtain the training they find most appropriate through Individual Training Accounts, and ensure that all State and local programs meet customer expectations.

"One-Stop" Approach

The new system will be based on the "One-Stop" concept where information about and access to a wide array of job training, education, and employment services is available for customers at a single neighborhood location. Customers will be able to easily:

- Receive a preliminary assessment of their skill levels, aptitudes, abilities, and support service needs.

- Obtain information on a full array of employment-related services, including information about local education and training service providers.

- Receive help filing claims for unemployment insurance and evaluating eligibility for job training and education programs or student financial aid.

- Obtain job search and placement assistance, and receive career counseling.

- Have access to up-to-date labor market information which identifies job vacancies, skills necessary for in-demand jobs, and provides information about local, regional and national employment trends.

Through the "One-Stop," employers will have a single point of contact to provide information about current and future skills needed by their workers and to list job openings. They will benefit from a single system for finding job-ready skilled workers who meet their needs.

To date, over 95 percent of the States are building these Centers, and over 800 Centers are operating across the country. Each local area will establish a "One-Stop" delivery system through which core services are provided and through which access is provided to other employment and training services funded under the Act and other Federal programs. There will be at least one

Center in each local area, which may be supplemented by networks of affiliated sites. The operators of "One-Stop" Centers are to be selected by the local workforce investment boards through a competitive process or designation of a consortia that includes at least three of the Federal programs providing services at the "One-Stop."

Empowerment Through Training Accounts

Provisions of the Act promote individual responsibility and personal decision-making through the use of "Individual Training Accounts" which allow adult customers to "purchase" the training they determine best for them. This market-driven system will enable customers to get the skills and credentials they need to succeed in their local labor markets.

Good customer choice requires quality information. The "One-Stop" system will provide customers with a list of eligible training providers and information about how well those providers perform. Payment for services will be arranged through the Individual Training Accounts. Only in exceptional cases may training be provided through a contract for services between the "One-Stop" Center and organizations providing the training.

Accountability

As individuals become empowered to choose the services they require, States, local areas, and providers of those services will become more accountable for meeting those needs.

For adults and "dislocated" workers (such as those who lose their jobs because of permanent layoffs or plant closings), measures for the rates of entry into unsubsidized employment, job retention, post-placement earnings, and acquired education and skill standards for those who obtain employment will be established. Measures for older youth (19-21) will also include the attainment of a high school diploma (or its equivalent) for those who enter postsecondary education or advanced training as well as for those who get jobs. Measures for younger youth (14-18) will include rates of basic skills and work readiness or occupational skills attainment, attainment of high school diplomas (or the equivalent), and placement and retention in postsecondary education, advanced occupational training, apprenticeships, the military or employment. These measures apply to both statewide and local performance.

Measures will also be established relating to customer satisfaction of *both* participants *and* employers.

The Act also requires that training providers must meet certain requirements in order to receive adult or dislocated worker funds. There are separate requirements for initial eligibility and for subsequently maintaining eligibility to receive funds. Training providers will be held accountable for completion rates, the percentage of participants who obtain unsubsidized jobs, and for their wages at placement. Training providers must also provide information about the cost of their programs.

This information will be available to clients at "One-Stop" Centers.

Eligibility and Service Requirements

The Act specifies three funding streams to the States and local areas: adults, dislocated workers, and youth.

Adults and Dislocated Workers

Most services for adults and dislocated workers will be provided through the "One-Stop" system and most customers will use their individual training accounts to determine which training program and training providers fit their needs.

The Act authorizes "core" services (which will be available to all adults *with no eligibility requirements*), and "intensive" services for unemployed individuals who are not able to find jobs through core services alone. In some cases the intensive services will also be available to employed workers who need more help to find or keep a job.

While the services for adults and dislocated workers may be the same, there is a separate funding stream for dislocated workers.

Core services will include job search and placement assistance (including career counseling); labor market information (which identifies job vacancies; skills needed for in-demand jobs; and local, regional and national employment trends); initial assessment of skills and needs; information about available services; and some follow-up services to help customers keep their jobs once they are placed.

Intensive services will include more comprehensive assessments, development of individual employment plans, group and individual counseling, case management, and short-term pre-vocational services.

In cases where qualified customers receive intensive services, and are still not able to find jobs, they may receive training services which are *directly linked to job opportunities in their local area*. These services may include occupational skills training, on-the-job training, entrepreneurial training, skill upgrading, job readiness training, and adult education and literacy activities in conjunction with other training.

If adult funds are limited in an area, recipients of public assistance and low-income clients will be given priority for services. The Act also authorizes the provision of supportive services (e.g., transportation) to assist participants receiving the other services and the provision of temporary income support to enable participants to remain in training.

Youth

Eligible youth will be low-income, ages 14 through 21 (although up to five percent who are not low-income may receive services if they face certain barriers to school completion or employment). Young customers also must face one or more of the following challenges to successful workforce entry: (1) school dropout; (2) basic literacy skills deficiency; (3) homeless, runaway, or foster child; (4) pregnant or a parent; (5) an offender; or (6) need help completing an educational program or securing and holding a job. At least 30 percent of local youth funds must help those who are not in school.

Youth will be prepared for postsecondary educational opportunities or employment. Programs will link academic and occupational learning. Service providers will have strong ties to employers. Programs must also include tutoring, study skills training and instruction leading to completion of secondary school (including dropout prevention); alternative school services; mentoring by appropriate adults; paid and unpaid work experience (such as internships and job shadowing); occupational skills training; leadership development; and appropriate supportive services. Youth participants will also receive guidance and counseling, and follow-up services for at least one year, as appropriate.

Programs must provide *summer employment opportunities* linked to academic and occupational learning. (In contrast to the current legislation, a separate appropriation is not authorized for a "summer" program.) The mix of year-round and summer activities is left to local discretion.

B

TRAINING AND EMPLOYMENT GUIDANCE LETTER 7-99

U. S. Department of Labor Employment and Training Administration Washington, D.C. 20210	**CLASSIFICATION** **WIA/Performance**
	CORRESPONDENCE SYMBOL **OWS**
	DATE **March 3, 2000**

TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 7-99

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

FROM : Lenita Jacobs-Simmons Deputy Assistant Secretary

SUBJECT: Core and Customer Satisfaction Performance Measures for the Workforce Investment System

1. Purpose. To provide technical guidance for States to implement the core and customer satisfaction performance measures and calculate performance levels required under the Workforce Investment Act (WIA).

2. References. Workforce Investment Act of 1998 (Pub. L. 105-220), Section 136, Workforce Investment Act, Interim Final Rule, 20 CFR Part 666, published at 64 Federal Register 18662 (April 15, 1999).

3. Background. Section 136 of the WIA specifies core indicators of performance for workforce investment activities in adult, dislocated worker, and youth programs. Fifteen core measures apply to the adult, dislocated worker and youth programs, and two measures of customer satisfaction apply across these three funding streams for a total of 17 required measures. The measures specified in the Act are as follows:

Adult Program

1. Entry into unsubsidized employment;
2. Retention in unsubsidized employment six months after entry into the employment;

3. Earnings received in unsubsidized employment six months after entry into the employment; and

4. Attainment of a recognized credential relating to achievement of educational skills, which may include attainment of a secondary school diploma or its recognized equivalent, or occupational skills, by participants who enter unsubsidized employment.

Dislocated Worker Program

5. Entry into unsubsidized employment;
6. Retention in unsubsidized employment six months after entry into the employment;

7. Earnings received in unsubsidized employment six months after entry into the employment relative to earnings of job of dislocation; and

8. Attainment of a recognized credential relating to achievement of educational skills, which may include attainment of a secondary school diploma or its recognized equivalent, or occupational skills, by participants who enter unsubsidized employment.

Youth Program

Older Youth (aged 19-21)

9. Entry into unsubsidized employment;

10. Retention in unsubsidized employment six months after entry into the employment;

11. Earnings received in unsubsidized employment six months after entry into the employment; and

12. Attainment of a recognized credential relating to achievement of educational skills, which may include attainment of a secondary school diploma or its recognized equivalent, or occupational skills, by participants who enter unsubsidized employment or who enter postsecondary education, advanced training or unsubsidized employment.

Younger Youth (aged 14-18)

13. Attainment of basic skills and, as appropriate, work readiness or occupational skills;

14. Attainment of secondary school diplomas and their recognized equivalents; and

15. Placement and retention in postsecondary education, advanced training, military service, employment, or qualified apprenticeships.

Across Funding Streams

16. Customer satisfaction for participants; and

17. Customer satisfaction for employers.

The core performance measures are the key measures of success in achieving the legislative goals of WIA. The measures are used to: set agreed upon performance goals on a State and local level; ensure comparability of state performance results to maintain objectivity in measuring results for incentive and sanction determinations; and provide information for system wide reporting and evaluation for program improvement. States and localities may also need other measures for ongoing oversight, program management, and continuous improvement purposes. It should be noted that some measures will be used by other related programs. For example, the Trade Adjustment Assistance and NAFTA - Transitional Assistance programs (mandatory partners of WIA) will use dislocated worker measures discussed herein.

Section 136 of the Act also calls for the use of quarterly Unemployment Insurance (UI) wage records to measure performance. There is a significant time delay in availability of the UI wage record for use as a data source. To address the time-lags associated with the UI wage records, States will be required to go back in time, prior to WIA implementation, to both simulate WIA performance levels for developing baseline data for negotiations and calculating performance measures for WIA implementation. For most of the core measures, the performance levels reported will also lag behind. This means that outcomes for most participants will not be reported during the same year that individuals participate in services.

This guidance includes the following sections:

- a discussion of the performance and accountability framework which identifies key concepts that apply across all of the measures.
- the core measures that apply to the adult, dislocated worker, and youth funding streams. This includes a discussion of operational definitions of the measures and data sources and methods to collect data on outcomes.
- the customer satisfaction measures that apply across funding streams to participants and employers. It presents a detailed description of the methodology for implementing the customer satisfaction measures.
- the attachments, which include: A) WIA Core and Customer Satisfaction Measures-at-a-Glance, B) Definitions of Key Terms, and C)Guidance for Calculating WIA Core Measures.

4. Performance and Accountability Framework.

A. Applying the WIA Core Measures Across Partner Programs. A major emphasis of the legislation is improving coordination between the workforce investment system and adult education, literacy, and vocational rehabilitation programs that were re-authorized in the bill and vocational education programs addressed in separate legislation. Incentive grants will be awarded based on exceeding State adjusted levels of performance for WIA Titles I and II (Adult Education and Literacy) and the Carl D. Perkins Vocational and Applied Technology Education Act. The Department is working with the U.S. Department of Education to develop a coordinated performance accountability framework across labor, adult education, vocational education and vocational rehabilitation programs. Initially, these efforts are focusing on the common components of the core measures. These efforts will also include developing common terms and additional measures which States and localities may choose to draw upon.

To encourage integration of services and recognize shared contributions toward outcomes, the Department 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). The non-WIA-funded partner programs that are included in the performance measurement system must be party to local Memorandums of Understanding (MOU). Each partner program must have the capacity to track registered WIA participants until the individual exits (the definition of exit is in Section 4.D) all WIA and non-WIA-funded partner services. 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.

B. Applying Measures to Funding Streams and Population Groups. The WIA core measures, other than the customer satisfaction measures, are applied separately to the three funding streams: adult, dislocated workers, and youth. The youth funding stream is further divided into two categories: older youth (aged 19-21) and younger youth (aged 14-18). This means that 15 of the measures are divided among the four different populations groups. The two customer satisfaction measures are applied across all population groups. Since the outcomes vary across the four population groups, the Department maintains that it is important to measure performance separately for each group. The following rules apply to determine how to count participants in the funding streams:

- If a participant is served by a specific funding stream, he/she will be counted in that funding stream's set of measures (e.g., a participant served by adult funds will be in the adult measures).

- If a participant is served by more than one funding stream, he/she will be counted in more than one set of measures (e.g., a participant served by youth funds and adult funds will be counted in the youth measures and adult measures).

- Since there are two sets of measures within the youth funding stream, the following rule applies for those served by the youth funding stream: a youth must be included only in the set of youth measures that applies based on the person's age at registration (i.e., youth between the ages of 14 and 18 at registration will be included in the younger youth measures and youth between the ages of 19-21 at registration will be included in the older youth measures) regardless of how old the participant is at exit (this is a different rule for counting youth in the measures than the rule for counting youth used in PY 1999 by the early implementing States).

- All exit-based measures (which includes all the core measures except the younger youth skill attainment rate and the employer customer satisfaction measure) will be effective when the participant has exited all WIA Title I and partner services (definition of exit is provided in Section D). In the case of a youth participant who becomes an adult participant, the individual will be counted in both the youth measures and adult measures. Neither set of exit-based measures will be applied until that participant has exited the adult program services (as well as all other WIA Title I or partner services). This is because exit-based measures assess a participant's outcome following their full range of services, even when those services are from different program areas.

C. Point of Registration for Counting Customers in Measures. For accountability purposes, WIA established core measures of performance for customers who receive workforce investment activities beyond self-service and informational services. The WIA Interim Final Rule (Section 666.140) stated that the point of registration determines who is counted in the measures and who is excluded from the measures. All youth who receive WIA Title I services will be registered for services and counted in the measures.

For performance measurement of the adult and dislocated worker programs, WIA distinguishes self-service and informational activities as separate from the other activities within the WIA service categories (core, intensive, and training). However, there are informational activities within the core services category described in the Act. There are two main factors to consider when determining which core services require adults and dislocated workers to be registered and counted in the measures:

1. Level of staff involvement with the customer. When there is significant staff involvement in terms of resources or time**,** individuals receiving the staff-intensive core services are required to be registered for the adult and dislocated worker programs (all youth customers are required to register).

2. Purpose of the service. The Act specifically excludes those individuals who participate in self-service activities only (such as browsing the Internet). For staff-assisted activities, the purpose of the service should be examined to determine if registration is required for the service. Services 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 situations should be considered informational in nature. Staff-assisted services that are designed to impart job seeking and/or occupational skills should require registration.

For example, individuals receiving the following categories of core services should be registered.

- Staff assisted job search and placement assistance, including career counseling

- Staff assisted job referrals (such as testing and background checks)

- Staff assisted job development (working with employer and job-seeker)

- Staff assisted workshops and job clubs

Using these criteria, Table 1 presents the WIA core, intensive, and training services that require registration on a Federal level and the core informational/self-service activities that do not require registration. This table includes the required WIA services specified in the Act for all of the categories and identifies some finer distinctions for service categories such as job search and placement assistance. Required services specified in the Act are represented in Table 1 in italics.

It is important to keep in mind that an individual must receive a WIA funded staff-assisted core, intensive, or training service to trigger registration and include the person in the core measures. For example, in a One-Stop environment, if an individual received only Wagner Peyser funded core services or TANF funded case management, and did not receive any WIA funded staff-assisted core, intensive, or training service, that individual would not be registered for WIA and counted in the core measures. However, as long an individual has received WIA funded staff-assisted core, intensive, or training and goes on to receive non-WIA funded partner services, that person would be registered for WIA and counted in the core measures.

Table 1: Proposed Registration for WIA Services

Core Services - Self-Service Informational (no registration required)	**WIA Core Services (registration required)**	**WIA Intensive Services (registration required)**	**WIA Training Services (registration required)**
Determination of eligibility to receive assistance under Title IB	Staff assisted job search & placement assistance, including career counseling	Comprehensive & specialized assessment, such as diagnostic testing & interviewing	Occupational skills training
Outreach, intake (which may include WPRS referrals) & orientation to the One-Stop center	Follow-up services, including counseling regarding the workplace [(1)]	Full development of individual employment plan	On the job training
Initial assessment of skill levels, aptitudes, abilities & need for supportive services	Staff assisted job referrals (such as testing & background checks)	Group counseling	Workplace training & cooperative education programs
Employment statistics information including job vacancy listings, job skill requirements for job listings, & info. on demand occupations	Staff assisted job development (working with employer & jobseeker)	Individual counseling & career planning	Private sector training programs

Performance info. on eligible training providers	Staff assisted workshops and job clubs	Case management	Skill upgrading & retraining
Performance info. on the local One-Stop delivery system		Short-term pre-vocational services	Entrepreneurial training
Information on supportive services and referral to supportive services		Follow-up services, including counseling for registrants (those previously receiving intensive/training services)after entering employment	Job readiness training
Information regarding filing for Unemployment compensation			Adult education and literacy activities in combination with training
Assistance in establishing eligibility for welfare-to-work activities and for other training and education programs			Customized training
Resource room usage			
Internet browsing (job, information and training searches)			
Internet accounts (Career Kit, Personnel Kit)			
Initial development of employment plan			
Talent referrals (informational, e.g., talent scouts, labor exchange referrals of resumes without further screening)			
Workshops and job clubs			

D. Point of Exit for Counting Outcomes. For all of the core measures (except the younger youth skill attainment rate and employer customer satisfaction measure), comparability across States is only possible if a single point in time is used to begin measurement. The term "exit" is being used to determine when to count an individual in a specified reporting period. 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 during a quarter:

1. a participant 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 participant 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).

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 with a reason for such a 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 services for 90 days, except follow-up services 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).

The exit date is the last date of WIA funded or partner service received (except follow-up services). For a soft exit, the exit date cannot be determined until 90 days has 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 participant exits WIA and receives additional WIA services after exiting, that participant is treated as a new participant for purposes of the core measures and will be included in the appropriate measures. The definition of exit applies to all of the core measures except the younger youth skill attainment and employer customer satisfaction measures.

E. Time Period to be Used for Measurement. As far as time periods for measurement are concerned, there are two groups of measures. The first group of measures is related to employment as the primary outcome or as a partial outcome and require the use of the UI wage records as a data source. These measures are: the adult, dislocated worker and older youth entered employment, retention, earnings, and credential measures and the younger youth retention rate. The second group of measures are not employment based and are not tied to the UI wage records. These measures are: the younger youth skill attainment rate and diploma or equivalency rate, and the two customer satisfaction measures.

A major consideration for the first group of employment-related measures is the time lag associated with using the UI wage records as a data source. For the most part, there is a time delay of at least two quarters after the quarter in which a person exits services and the time when all the UI wage record data for the quarter after exit are available for record matching. For measures that occur at six months after exit, such as the employment retention and earnings measures, the delay will be at least one year after the exit quarter. A detailed chart of the timing of activities and the measurement time frame is included in Attachment C, Exhibit II.1.

To address the time-lags in the use of the UI wage records, States will need to go back in time, prior to WIA implementation to calculate performance measures for actual PY 2000 WIA implementation. This will only need to be done for the group of employment-related measures that use the UI wage records. Since there is no need to go back in time for the second group of measures, these non-employment related measures will use the actual program year time period, beginning on July 1, 2000. The two time periods for measurement in PY 2000 are as follows:

1. The first time period is for all measures that utilize the UI wage record and will involve going back in time three quarters to account for the time-lag. These measures include the adult, dislocated worker, and older youth entered employment, retention, earnings, and credential measures and the younger youth retention rate. For PY 2000, all States will use the last three quarters of PY '99 and the first quarter of PY 2000 for all the measures listed above.

2. The second time period is for the four measures that are not based on the UI wage records: the younger youth skill attainment rate, the younger youth diploma or equivalency rate, and the two customer satisfaction measures. For PY 2000, these four measures will be "real time" measures in which States will use the four quarters in PY 2000 for purposes of calculating performance.

This approach of having two time periods, with one going back three quarters prior and the first quarter of the current program year and the second for the group of "real-time" measures being for the actual program year, will continue for future years of WIA implementation.

F. Participants to be Excluded from the Measures. Participants who exit from the program under the following conditions should be excluded from the measures:

- For JTPA participant data, exclude those who received objective assessment only and participants in Title II 8 % funded programs.

- Participants who exit from services because they are incarcerated, institutionalized, deceased or have a health/medical condition that prevent them from participating in services, should be excluded from the measures.

- For JTPA participant data, exclude dislocated workers served exclusively with National Reserve Account (NRA) funds. For WIA participant data, exclude dislocated workers served exclusively with National Emergency Grants.

Additional exclusions may apply to certain measures. These exclusions are identified in the specific definitions of applicable measures in Section 5.H.

G. Operational Definitions of the Core Performance Measures. All of the definitions of the measures are written as an equation, clearly identifying who is in the numerator and who is in the denominator. In cases where there are conditions that apply to both the numerator and denominator, the condition is represented in italics at the beginning of the measure. For example: The adult entered employment rate is defined as:

Of those who are not employed at registration: the number of adults who have entered employment by the end of the first quarter after exit divided by the number of adults who exit during the quarter.

The condition "of those not employed at registration" applies to both the numerator and denominator as follows: the number of adults who are not employed at registration and enter employment by the end of the first quarter after exit divided by the number of adults who are not employed at registration and exit during the quarter. In addition, the phrase "who exit during the quarter" is used frequently in the denominators of the measures. This phrase refers to the exit quarter.

Operational parameters and definitions of key terms are also provided to further clarify details needed to implement the measures. Since many of the measures are identical or similar across funding categories, every attempt has been made to define the measures as consistently as possible. This means that identical or similar measures use the same time periods and consistent operational parameters to the extent possible. A two page summary of the measures in a calculation format is provided in Attachment A. Definitions of all the key terms identified in this document are included in Attachment B. Detailed guidelines for calculating the measures are provided in Attachment C.

5. Core Performance Measures that Apply to the Adult, Dislocated Worker, and Youth Funding Streams

H. Adult Measures

Measure 1: Adult Entered Employment Rate

Of those who are not employed at registration:

Number of adults who have entered employment by the end of the first quarter after exit divided by the number of adults who exit during the quarter.

Operational Parameters:

- Individuals who are employed at registration are excluded from this measure (i.e. programs will not be held accountable for these individuals under this measure).
- Employment at registration is based on information collected from the registrant, not on UI wage records.

Rationale:

While the Department recognizes concerns that have been raised about excluding incumbent and underemployed workers from this measure, the intent of the legislation clearly focuses on entering employment. It becomes very difficult to include individuals who are employed at registration without further complicating the measure and making it subject to misinterpretation. Individuals who are employed at registration can demonstrate positive outcomes in the retention, earnings gain/replacement and combination employment and credential measure.

Definitions:

Employed at Registration - An individual employed at registration is one who, during the 7 consecutive days prior to registration, did any work at all as a paid employee, in his or her own business, profession or farm, worked 15 hours or more as an unpaid worker in an enterprise operated by a member of the family, or is one who was 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.

Not Employed at Registration - An individual who does not meet the definition of employed at registration.

Employed in Quarter After Exit Quarter - The individual is considered employed if UI wage records for the quarter after exit show earnings greater than zero. UI Wage records will be the primary data source for tracking employment in the quarter after exit. When supplemental data 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.

Measure 2: Adult Employment Retention Rate at Six Months

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

Number of adults who are employed in the third quarter after exit divided by the number of adults who exit during the quarter

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 (i.e., programs will not be held accountable for these individuals under this measure).

- Employment in the first and third quarters following exit does not have to be with the same employer.

Rationale:

While the proposed measure does not necessarily indicate continuous employment for six months, it does meet the intent of the Act by showing that the person is employed six months after entering employment. This measure requires verifying employment in the quarter after exit rather than relying on employment status at registration to be in aligned with the U.S. Department of Education, Vocational Rehabilitation services measure of employment retention.

Measure 3: Adult Average Earnings Change in Six Months

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

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

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, the UI wage records will be the only data source for these measure. Therefore, individuals whose employment in either the first or third quarter after exit was determined from supplementary sources and not from the UI wage records are excluded from the measure (i.e., programs will not be held accountable for these individuals under 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.

Rationale:

This measure is designed as a pre- and post-program look at earnings change. Since the legislation specifies earnings at six months after employment, a six month period was selected for the pre-program comparison. The 2nd and 3rd quarters prior to registration were selected as the pre-program reference period because trends have shown that many program participants experience intermittent or stop-gap employment immediately prior to participating in employment and training programs.

Measure 4: Adult Employment and Credential Rate

Of adults who received training services:

Number of adults who were employed in the first quarter after exit and received a credential by the end of the third quarter after exit divided by the number of adults who exited services during the quarter.

Operational Parameters:

- The numerator of this measure includes those who were employed in the first quarter after exit regardless of whether they were employed at registration.
- Credentials can be obtained while a person is still participating in services and up to three quarters following exit.

Definitions:

Training Services - include WIA-funded and non-WIA funded partner training services. These services include: occupational skills training, including training for nontraditional employment; on-the-job training; programs that combine workplace training with related instruction, which may include cooperative education programs; training programs operated by the private sector; skill upgrading and retraining; entrepreneurial training; job readiness training; adult education and literacy activities in combination with other training; and customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training.

Credential - nationally recognized degree or certificate or State/locally recognized credential. Credentials include, but are not limited to, a high school diploma, GED or other recognized equivalents, post-secondary degrees/certificates, recognized skill standards, and licensure 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.

Rationale:

This measure is limited to individuals who are in training because that is the only set of services that lead to attainment of a credential. To promote program integration and partner collaboration, this measure does recognize joint participation in WIA services and non-WIA funded training programs. While there will be variation in the ability of local providers or state agencies to track participants who are enrolled in non-WIA funded training services, it is considered a significant and necessary step toward building an integrated workforce funded programs will be able to get credit for non-WIA funded training in addition to WIA funded training.

This measure includes all individuals who received training regardless of whether they had jobs at registration. It recognizes not only individuals who enter employment, but also incumbent workers, students and welfare-to-work participants, who have jobs or are placed in jobs, but continue receiving training services to attain more skills and better jobs. A time frame of three quarters after exit to obtain a credential is proposed to allow time for individuals to take tests, which may occur after training is completed and may only be offered once a year.

I. Dislocated Worker Measures[(2)]

Measure 5: Dislocated Worker Entered Employment Rate

Number of dislocated workers who have entered employment by the end of the first quarter after exit divided by the number of dislocated workers who exit during the quarter

Operational Parameters:

- •All dislocated workers are included because dislocated workers are either not employed or scheduled to lose their primary job for which eligibility for the dislocated worker program was based.

Rationale:

This measure uses the same measurement quarters as the adult entered employment rate. The only distinction is that all dislocated workers are counted in this measure regardless of their employment status at registration.

Measure 6: Dislocated Worker Employment Retention Rate at Six Months

Of those who are employed in the first quarter after exit:Number of dislocated workers who are employed in the third quarter after exit divided by the number of dislocated workers who exit during the quarter.

Operational Parameters:

- •Employment in the first and third 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 (i.e.,

programs will not be held accountable for these individuals under this measure).

Rationale:

This measure has the same rationale as the adult employment retention rate.

Measure 7: Dislocated Worker Earnings Replacement Rate in Six Months

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

Total post-program earnings (earnings in quarter 2 + quarter 3 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 or third quarter after exit was determined from supplementary sources and not from the UI wage records are excluded from the measure (i.e., programs will not be held accountable for these individuals under this 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 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 is 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. The Department will continue to research the feasibility of calculating this measure on an individual basis using wage record data.

Definitions:

Date of dislocation - The last day of employment at the dislocation job. If there is no date of dislocation, date of registration will be used instead.

Rationale:

As opposed to the adult earnings measure that calculates post-program earnings increases as compared to pre-program earnings, the earnings replacement rate, which computes the percentage of pre-program earnings being earned post-program, is being used for dislocated workers. This is because it may be difficult to find dislocated workers (with formerly high paying jobs) a new job with equivalent or better wages; therefore measuring earnings increases would result in negative numbers and would be not be representative of a dislocated worker's true success. Because a major goal of the dislocated worker program is to ameliorate earnings loss as well as to replace or increase earnings, a better measure of the dislocated worker program's effectiveness is percentage of earnings of the new job in relation to the job of dislocation. It was further determined that the quarter prior to dislocation often includes severance pay or may reflect reduced hours. This is why quarters 2 and 3 prior to dislocation were chosen.

Measure 8: Dislocated Worker Employment and Credential Rate

Of dislocated workers who received training services:

Number of dislocated workers who were employed in the first quarter after exit and received a credential by the end of the third quarter after exit divided by the number of dislocated workers who exited services during the quarter

Operational Parameters:

- The numerator of this measure includes those who were employed in the first quarter after exit regardless of whether they were employed at registration.
- Credentials can be obtained while a person is still participating in services.
- See adult employment and credential measure definitions for training services and credentials.

Rationale:

The rationale for this measure is the same as for the adult employment and credential measure.

J. Older Youth (Age 19-21) Measures

Measure 9: Older Youth Entered Employment Rate

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

Number of older youth who have entered employment by the end of the first quarter after exit divided by the number of older youth who exit during the quarter

Operational Parameters:

- Individuals who are employed at registration are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).
- Employment at registration is based on information collected from the registrant, not on UI wage records.
- Individuals in both employment and post-secondary education or advanced training in the first quarter after exit will be included in the denominator. Individuals who are not employed, but are in only post-secondary education or advanced training in the first quarter after exit are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).

Definitions:

Post-Secondary Education - a program at an accredited degree-granting institution that leads to an academic degree (e.g., AA, AS, BA, BS). Does not include programs offered by degree-granting institutions that do not lead to an academic degree.

Advanced Training - an occupational skills employment/training program, not funded under Title I of the WIA, which does not duplicate training received under Title I. Includes only training outside of the One-Stop, WIA and partner, system (i.e., training following exit).

Rationale:

The exclusion of those individuals who move on to post-secondary education or advanced training and not employment avoids the disincentive of penalizing a program for placing an older youth in post-secondary education or advanced training. It better aligns the older youth measures with the younger youth measures which reward programs for moving youth into post-secondary education or advanced training. Those individuals who are excluded from this measure due to entry into post-secondary education or advanced training will be measured in the older youth credential rate.

Measure 10: Older Youth Employment Retention Rate at Six 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 third quarter after exit divided by the number of older youth who exit during the quarter.

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 (i.e., programs will not be held accountable for these individuals under this measure).
- •Employment in the first and third quarters following exit does not have to be with the same employer.

Rationale:

As in the entered employment rate, it would be unfair to penalize a participant who was employed in the quarter after exit, but left employment to start post-secondary education in the third quarter after exit. Therefore, those not employed in the third quarter after exit who are in post-secondary education or advanced training in that third quarter following exit are excluded from the measure.

Measure 11: Older Youth Average Earnings Change in Six 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 2 + quarter 3 after exit) minus pre-program earnings (earnings in quarter 2 + quarter 3 prior to registration) divided by the number of older youth who exit during the quarter.

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 or third quarter after exit was determined from supplementary sources and not from UI wage records are excluded from this measure (i.e., programs will not be held accountable for these individuals under 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.

Rationale:

See rationale for adult earnings change.

Measure 12: Older Youth Credential Rate

Number of older youth who are in employment, post-secondary education, or advanced training in the first quarter after exit and received a credential by the end of the third quarter after exit divided by the number of older youth who exit during the quarter

Operational Parameters:

•As opposed to the adult and dislocated worker measures where a credential must be coupled with employment, for older youth, a credential can be coupled with employment, entry into post-secondary education, or entry into advanced training.

•As opposed to the adult and dislocated worker measures where only those who received training services are included in the measure, all older youth exiters will be included in this measure.

•Credentials can be obtained while a person is still participating in services.

This denominator is different from the adult and dislocated worker credential measure in that those two measures are a subset of participants enrolled in training, while this measure includes all older youth. The reason is that there is not a specific activity of "training" in the youth program as there is in the adult and dislocated worker programs through individual training accounts. Therefore, it is not possible to limit the measure to those enrolled in training.

K. Younger Youth (Age 14-18) Measures

Measure 13: Younger Youth Skill Attainment Rate

Of all in-school youth and any out-of-school youth assessed to be in need of basic skills, work readiness skills, and/or occupational skills:

Total number of basic skills goals attained by younger youth plus number of work readiness skills goals attained by younger youth plus number of occupational skills goals attained by younger youth divided by the total number of basic skills goals plus the number of work readiness skills plus the number of occupational skills goals set.

Operational Parameters:

•The measure should create an appropriate intermediate-type measure for youth who require more services, such as academic and soft skills development, prior to attaining a diploma or equivalency, employment, and post secondary education.
•If a participant is deficient in basic literacy skills, the individual must set, at a minimum, one basic skills goal (the participant may also set work readiness and/or occupational skills goals, if appropriate).
•WIA participants counted in this measure will be all in-school; and any out-of-school youth assessed to be in need of basic skills, work readiness skills, and/or occupational skills.
•All youth measured in this rate must have a minimum of one skill goal set per year and may have a maximum of three goals per year.
•The target date for accomplishing each skill goal must be set for no later than one year.
•The skill goal or the target date set can only be extended if the participant has a gap in service where they are placed in a hold status in which the participant is not receiving services but plans to return to the program. When they enter a hold status, the one year clock for the goal target date stops. The clock begins again once the participant is no longer in a hold status.
•Goals will fall into the category of basic skills, work readiness skills, or occupational skills. Participants may have any combination of the three types of skill goals (three skill goals in the same category, two skill goals in one category and one skill goal in another, or one skill goal in each category, etc.).
•Success of skill attainment goals will be recorded in the quarter of goal achievement, while failure will be recorded in the quarter one year from the time the goal was set if not attained by such time.

Definitions:

Basic literacy skills deficient - the individual computes or solves problems, reads, writes, or speaks English at or below the 8th grade level or 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. In addition, States and locals have the option of establishing their own definition, which must include the above language. In cases where States and/or locals establish such a definition, that definition will be used for basic literacy skills determination.

Basic skills goal - measurable increase in basic education skills including reading comprehension, math computation, writing, speaking, listening, problem solving, reasoning, and the capacity to use these skills.

Occupational skills goal - 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 goal - 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 behaviors 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.

Rationale:

There is concern about the potential lack of comparability among States and local areas on this measure. At the same time, local flexibility is important because of the individual service strategy philosophy. With these competing forces, it is important to set some guidelines to ensure comparability, while not being so proscriptive as to prevent participants from setting appropriate goals. Therefore, a maximum of three goals per person in each year is allowable in order to prevent the setting of multiple minimum-level skills goals, while still encouraging participants to set goals in any one of the skill categories.

Measure 14. Younger Youth Diploma or Equivalent Attainment

Of those who register without a diploma or equivalent:

Number of younger youth who attained secondary school diploma or equivalent by the end of the first quarter after exit divided by the number of younger youth who exit during the quarter (except those still in secondary school at exit)

Operational Parameters:

- If a younger youth exits WIA while still enrolled in secondary education, the individual is excluded from the measure (i.e., programs will not be held accountable for these individuals under this measure).
- All younger youth (except those still in secondary school at exit and those who have already attained their diploma or equivalent prior to registration) will be assessed in this measure in the quarter after exit.

Definitions:

High School Diploma Equivalent - a GED or high school equivalency diploma recognized by the State.

Rationale:

Those participants who exit WIA while still enrolled in secondary education are excluded from the measure. This exclusion is because some participants may decide to leave the program before finishing high school. It would be impossible for those participants to have attained a diploma or equivalent at the time of exit if they are still enrolled in high school. This measure is intended to motivate program staff to continue services to participants until they attain a diploma or its equivalent.

Measure 15. Younger Youth Retention Rate

Number of younger youth found in one of the following categories in the third quarter following exit:

-- post secondary education
-- advanced training
-- employment
-- military service
-- qualified apprenticeships

divided by the number of younger youth who exit during the quarter (except those still in secondary school at exit).

Operational Parameters:

- If the participant is in one of the placement activities listed above during the third quarter following exit, the individual is counted as successfully retained (the participant does not have to remain in the same activity for the entire retention period, as long as the participant is found in one of the activities during the third quarter).
- If the participant exits WIA and does not enter into any of placement activities by the time retention is measured, the participant is counted in the denominator of the measure and it is reflected as a negative outcome.
- If a younger youth exits WIA while still enrolled in secondary education, the individual is excluded from the measure (i.e., programs will not be held accountable for these individuals under this measure).

Definitions:

Qualified apprenticeship - a program approved and recorded by the ETA/Bureau of Apprenticeship and Training (BAT) or by a recognized State Apprenticeship Agency (State Apprenticeship Council). Approval is by certified registration or other appropriate written credential.

Military service - reporting for active duty.

Rationale:

This measure assesses retention in the third quarter following exit from the program. This measurement time period is consistent with the adult and dislocated worker retention period, which also measure retention in the third quarter following exit. The WIA stipulated one measure for younger youth placement and retention. Because of the increasing emphasis on post-program measures, retention was chosen as the focus of this measure. To be consistent with the diploma/equivalency attainment rate and because it would be unfair to penalize those participants who exit while still in secondary school, the denominator of this measure does not include those who exit while still in secondary school.

L. How Summer Youth Activities fit into Performance

The Measures. Unlike the performance measurement system under the Job Training Partnership Act (JTPA) where participants in the separately funded summer youth program were not included in measuring JTPA youth outcomes, all WIA youth will be measured as part of a comprehensive youth program assessed by the core performance measures for youth. The majority of youth who have participated in the summer program in the past have been between the ages of 14-17. These participants would fall under the three younger youth measures; the skill attainment rate, the diploma/equivalency measure and the retention rate.

An in-school youth who exits and returns to secondary school following participation in summer employment opportunities would not be included in the younger youth diploma or equivalency rate or the younger youth retention rate. Such a participant would only be included in the skill attainment rate. Within the skill attainment rate, if the participant is basic literacy skills deficient, the individual must have a basic skills goal. If the participant is not basic literacy skills deficient, a work readiness skills goal would be appropriate for a youth in a summer employment opportunity. Therefore, it is in the best interest of the local board to serve an in-school youth who is basic skills deficient all year long and not only in the summer employment opportunities component.

Out-of-school youth would be included in all three younger youth measures because they would not be returning to secondary school following summer employment opportunities. Therefore, it is in the best interest of participants and of the local board to serve out-of-school youth all year long and not only in summer employment opportunities.

All older youth are included in the four older youth measures: entered employment, retention, earnings change and credential attainment, with exceptions in certain circumstances. All four of these measures are outcome measures assessed following exit. Older youth who participate in the summer portion of the youth program and exit will be held to the same rules as any other older youth who exits the program. Therefore, it is in the interest of local areas to serve older youth who participate in summer employment opportunities in year-round services if the youth do not have a credential and/or job placement.

Youth who transition from JTPA to WIA during the summer. All JTPA youth who transition into WIA on July 1 will be included in the WIA youth performance measures. The following section applies to those in-school youth who were enrolled in JTPA and transition into WIA. Service providers may assess youth enrolled in JTPA Title II-B in the spring of 2000 as if they were WIA participants, in anticipation of them becoming WIA participants on July 1, 2000. This means determining basic skills needs and setting skill attainment goals for these youth. Alternatively, youth competencies established under JTPA may be converted into skill attainment goals so that they will count toward the skill attainment rate. Reassessment should only take place if the youth never received a basic skill level determination.

Examples of how to convert youth competencies into skill attainment goals include the following: basic education skills under youth competencies would be the equivalent of a basic skills goal under the skill attainment measure, pre-employment skills and work maturity skills under youth competencies would be the equivalent of a work readiness skills goal under the skill attainment measure, and job-specific skills under youth competencies would be the equivalent of an occupational skills goal under the skill attainment measure.

M. Data Sources and Methods to Collect Data on Adult, Dislocated Worker, and Youth Measures. This section describes data sources and methods to collect data for all of the measures except the two customer satisfaction measures (see Section 6. for description of customer satisfaction methodology and data sources). Since there are common outcomes across most of the adult, dislocated worker and youth measures, the data sources are described by outcome (i.e.,, employment, credential, etc.). Table 2 is presented to help easily reference the measures by the outcome category and data sources.

Table 2: Measures by Outcome Category and Data Sources

Measure	Outcome Category	Data Source(s)
Adult Entered Employment Rate	Employment	UI wage records and supplemental data sources
Adult Employment Retention Rate	Employment	UI wage records and supplemental data sources
Adult Earnings Change	Employment	UI wage records only
Adult Employment and Credential Rate	Employment and Credential Attainment	UI wage records, supplemental data sources and credential data sources
Dislocated Worker Entered Employment Rate	Employment	UI wage records and supplemental data sources
Dislocated Worker	Employment	UI wage records and supplemental

Employment Retention Rate		data sources
Dislocated Worker Earnings Replacement Rate	Employment	UI wage records only
Dislocated Worker Employment and Credential	Employment and Credential Attainment	UI wage records, supplemental data sources, credential data sources
Older Youth Entered Employment Rate	Employment and Placement in Postsecondary Education or Advanced Training	UI wage records, supplemental data sources, and postsecondary education or advanced training data sources
Older Youth Employment Retention Rate	Employment and Placement in Postsecondary Education or Advanced Training	UI wage records, supplemental data sources, postsecondary education or advanced training data sources
Older Youth Earnings Change	Employment and Placement in Postsecondary Education or Advanced Training	UI wage records and placement in postsecondary education/advanced training data sources
Older Youth Credential Rate	Employment, Credential Attainment, and Placement in Postsecondary Education or Advanced Training	UI wage records, supplemental data sources, credential data sources and postsecondary education or advanced training data sources
Younger Youth Skill Attainment	Skill Attainment	Skill attainment data sources
Younger Youth H.S. Diploma or Equivalent	Credential Attainment	Credential data sources
Younger Youth Retention Rate	Younger Youth Retention	All identified in the younger youth retention discussion

1. Employment

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.

Further guidance on the use of UI wage records is provided in Attachment C.

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. 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 with written documentation for 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.

All data and methods to supplement wage record data must be documented and are subject to audit. Computer records from automated record matching are considered a valid written record. A telephone response from the participant must be accompanied by a written document such as W2 form, pay stub, 1099 form, or other written documentation. Telephone verification of employment with employers is acceptable, but must also be documented. For self-employed individuals, telephone verification with major clients/contracting entities is also acceptable, but must be documented. Supplemental data must be recorded within 30 days after the individual was found missing in the wage record.

2. Credential Attainment

States and localities will have flexibility in methods used to collect data on credentials for the adult, dislocated worker, older youth credential rate, and younger youth diploma/equivalent attainment rate. Examples include:

1) Case management, follow-up services, and surveys of participant to determine that the participant has received a credential and written documentation of that credential; or

2) Record sharing agreements and/or automated record matching with administrative/other databases to determine and document that the participant has received a credential. These databases may include:

- State Board of Education;
- State Board Governing Community Colleges;
- State Board Governing Universities;
- State Licensing Boards for Private Schools;
- State Education Associations, Integrated Postsecondary Education Reporting Unit;
- Higher Education Planning Unit;
- State Department of Professional or Occupational Regulation (possibly other units such as health care administration or specific boards like the "Board of Nursing");
- Employers;
- Training Institutions/Providers; and
- Adult Basic Education Providers (GED/Equivalent testing agencies)

Most States will likely utilize case management, follow-up services, and surveys of participants with written documentation of credentials. Some States already have record sharing and/or automated matching systems in place that they will be able to use to track credentials.

All data and methods to determine achievement of credentials must be documented and are subject to audit. Computer records from automated record matching are considered a valid written record. A telephone response from the participant must be accompanied by written document such as a certificate, degree, or other written documentation. Telephone verification with the certification institution/entity that a person has attained the credential is also acceptable, but must also be documented.

3. Placement in Post-Secondary Education or Advanced Training

The older youth credential rate and the younger youth retention rate have multiple potential outcomes. In both cases, one of the potential outcomes is placement in post-secondary education or advanced training. The younger youth retention rate also has other possible outcomes. Therefore, the data sources and methods for data collection are described later in this section under "Younger Youth Retention." In addition to the older youth credential rate, the other three older youth employment-related measures also allow for individuals to be excluded from those measures if the youth is found in post-secondary education or advanced training outside of the WIA funded and partner system. The following data sources can be used to determine whether youth are placed in post-secondary education or advanced training.

1) Case management, follow-up services, and surveys of the participant to determine if the youth has been placed in post-secondary education or advanced training and written documentation of that placement; or

2) Record sharing agreements and/or automated record matching with administrative/other databases to determine and document that the participant has been placed in post-secondary education or advanced training. These databases may include:

- 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

Most States will likely utilize case management, follow-up services, and surveys of participants with written documentation. Some States already have record sharing and/or automated matching systems in place that they will be able to use to track outcomes. All data and methods must be documented and are subject to audit. Computer records from automated record matching are considered a valid written record. A telephone response from the participant must be accompanied by written documentation. Telephone verification with the appropriate institution/entity is also valid, but must be documented.

4. Skill Attainment

To measure skill attainment for the younger youth skill attainment measure, local programs must assess youth at intake to determine whether they are in need of basic skills, work readiness skills, and/or occupational skills. This assessment will include a review of basic skills, occupational skills, prior work experience, employability, interests, aptitudes and supporting service needs. From this assessment, skill attainment goals will be established (see operational parameters under Section I, skill attainment measure). To determine whether youth meet the skill attainment goals will require a pre-assessment and post-assessment of skill level. The use of a standardized assessment procedure such as a standardized test or a performance-based assessment with a standardized scoring method is encouraged. These tests may include:

- Test of Adult Basic Education (TABE);
- DOL Workplace Literacy Test (DOL-WLT);
- Adult Measure of Educational Skills (AMES);
- Adult Basic Learning Examination (ABLE);
- Adult Literacy Test (ALT), Simon & Schuster;
- Armed Forces Qualifying Test (AFQT);
- Basic Occupational Literacy Test (BOLT);
- California Achievement Test (CAT);
- Career Ability Placement Survey (CAPS);
- Comprehensive Adult Student Assessment System (CASAS);
- General Aptitude Test Battery (GATB);
- Iowa Test of Basic Skills (ITBS);
- Metropolitan Achievement Test (MAT);
- Reading Job Corps Screening Test (RJCST); or
- Wide Range Achievement Test (WRAT)

In cases where a standardized test or a performance-based assessment is not available (such as for work-readiness skills), assessment techniques must be objective, unbiased and conform to widely accepted, clearly defined criteria, be field tested for utility, consistency, and accuracy, and provide for the training/preparation of all raters/scorers. Information on achievement of skill attainment goals should be derived from case management or follow-up services. All data and methods to determine achievement of skill attainment goals must be documented and are subject to audit.

5. Younger Youth Retention

Since the younger youth retention rate has five possible positive outcomes, multiple data sources are needed to track participants. The data sources to determine whether a youth has been placed in employment or military service are addressed in the previous discussion on data sources for employment. The data sources to determine whether a youth has been placed in post-secondary education or advanced training are addressed in the previous discussion on placement in post-secondary education or advanced training. To determine whether a youth has been placed in a qualified apprenticeship, the following methods can be used:

1) Case management, follow-up services, and surveys of the participant and written documentation; or

2) Record sharing agreements and/or automated record matching with the U.S. Department of Labor, Bureau of Apprenticeship and Training or recognized State Apprenticeship Agency .

Most States will likely utilize case management, follow-up services, and surveys of participants with written documentation. Some States already have record sharing and/or automated matching systems in place that they will be able to use to track outcomes. All data and methods to determine achievement of one of the five outcomes must be documented and are subject to audit. Computer records from automated record matching are considered a valid written record. A telephone response from the participant must be accompanied by written documentation. Telephone verification with the appropriate institution/entity is valid, but must also be documented.

6. 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 over 150 Fortune 500 companies, and in many European countries. Twenty-nine agencies of the Federal government are using 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 its software is owned by Claes Fornell International (CFI) Group, 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. States that want to use the ACSI for measuring customer satisfaction for each local area will have to establish an independent contract with the University of Michigan. States may also contract with CFI Group for additional assistance in measuring, analyzing, and understanding ACSI data.

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, Youth 19-21, or Youth 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. Five hundred completed participant surveys must be obtained each year for calculation of the indicator. A completed participant survey is defined as a survey in which all three questions regarding overall satisfaction have been answered. For small States (those with less than 1000 exiters in a year), the entire population must be surveyed. The response rate from the sample with valid contact information must be a minimum of 50 percent. 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.

3. How (methodology)?

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

4. When to Conduct Surveys?

The surveys should be conducted on a rolling basis within the time frame for participants and employers 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 Questions?

A survey conducted by telephone in which the following questions are asked at the beginning of the interview[(3)]:

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

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

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

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

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

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

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

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

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

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

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

Measure 17: Employer 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 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).[6] Examples of 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 time[(7)] 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 in each quarter. Five hundred completed participant surveys must be obtained each year for calculation of the indicator. A completed employer survey is defined as a survey in which all three questions regarding overall satisfaction have been answered. For small States (those with less than 1000 employers who received a substantial service in a year) the entire population must be surveyed. The response rate from the sample with valid contact information must be a minimum of 50 percent. 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.

3. How (methodology)?

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

4. When to Conduct Surveys?

The surveys should be conducted on a rolling basis within the time frame indicated. 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?

A survey will be conducted by telephone in which the following questions are asked at the beginning of the telephone interview (the first question is a sample and can be modified to suit the needs of individual states):

A survey conducted by telephone in which the following questions are asked at the beginning of the interview[(8)]:

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

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

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

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

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

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

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

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

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

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 who have valid contact information who are contacted and respond to the questions on the survey.

Valid contact information. Information that leads the interviewer or surveyor to the location where the contact individual is located whether or not the individual responds and answers the questions.

D. The Calculation

The calculation for the American Customer Satisfaction Indicator (ACSI) is accomplished by calculating the weighted average of the raw scores for each of the customer satisfaction questions given by each respondent. The weighted average score is then transformed to an index reported on a 0-100 scale. The aggregate index score is simply the weighted average of each case's index score.

Notes: CFI Group will provide the actual weights given for (W1), (W2), and (W3) below. In calculating respondent level index scores, round to two decimal points.

When calculating the average index score, round to the nearest whole number. For any case, the general formula for calculating the index score is given as:

Index Score = {[(Q1)(W1) + (Q2)(W2) + (Q3)(W3)] -1} x 11.111

where:
Q1 = raw score on question #1
Q2 = raw score on question #2
Q3 = raw score for question #3
W1 = weight for question #1
W2 = weight for question #2
W3 = weight for question #3

Example:

If the respondent answers were 5, 8, and 9 respectively for each of the three customer satisfaction questions, and the weights for each of the three questions were .4, .2, and .4* respectively the calculation for the respondent's index score would be as follows:

{[(5)(.4) + (8)(.2) + (9)(.4)] - 1} x 11.111 =

{[7.2] - 1} x 11.111 = 68.89

If two more respondents whose on the three questions were 6, 10, and 6 and 9, 6, and 7 respectively, using the same weights listed above, those two respondent's index scores would be:

64.44 and 73.33. To calculate the aggregate index score, simply average the individual respondent's index scores and round to the nearest whole number as follows:

68.89 + 64.44 + 73.33 /3 = 69

* These weights are examples only, CFI group will provide the actual weights.

7. Action Required. States shall distribute this Guidance Letter to all officials within the State who need such information to implement WIA core and customer satisfaction measures.

8. Inquiries. Questions concerning this issuance may be directed to your appropriate Regional Office.

9. Attachments.
A) WIA Core and Customer Satisfaction Measures-at-a-Glance
B) Definitions of Key Terms
C)Guidance for Calculating WIA Core Measures

RESCISSIONS	EXPIRATION DATE Continuing

DISTRIBUTION

Attachment A - WIA Core Measures-at-a-Glance

Adult Measures

1. Entered Employment Rate

Of those who are not employed at registration:
<u># of adults who have entered employment by the end of the 1st quarter (Qtr.) after exit</u>
# of adults who exit during the quarter

2. Employment Retention Rate

Of those who are employed in 1st Qtr. after exit:
<u># of adults who are employed in 3rd Qtr. after exit</u>
# of adults who exit during the quarter

3. Earnings Change in Six Months

Of those who are employed in 1st Qtr. after exit:
<u>[Total Post-Program Earnings (earnings in Qtr 2 + Qtr 3 after exit)] - [Pre-Program Earnings (earnings in Qtrs 2 + 3 prior to registration)]</u>
# of adults who exit during the quarter

4. Employment and Credential Rate

Of those who received training services:
<u># of adults who were employed in the 1st Qtr. after exit and received a credential by the end of 3rd quarter after exit</u>
# of adults who exited services during the quarter

Dislocated Worker Measures

5. Entered Employment Rate
<u># of dislocated workers (DW) who have entered employment by the end if the 1st Qtr. after exit</u>
# of dislocated workers who exit during the quarter

6. Employment Retention Rate

Of those who are employed in the 1st Qtr. after exit:
<u># of DW who are employed in 3rd Qtr. after exit</u>
# of DW who exit during the quarter

7. Earnings Replacement Rate
Of those who are employed in the 1st Qtr. after exit:
<u>Total Post-Program Earnings (earnings in Qtr 2 + Qtr 3 after exit)</u>
Pre-Dislocation Earnings (earnings in Qtrs 2 +3 prior to dislocation)

8. Employment and Credential Rate

Of those who received training services:
<u># of DW who were employed in the 1st quarter after exit and received a</u>

credential by the end of 3rd quarter after exit
# of DW who exit during the Qtr.

Older Youth (19-21 years old) Measures

9. Entered Employment Rate

Of those who are not employed at registration and who are not enrolled in post-secondary education or advanced training in the 1st Qtr. after exit:
# of older youth (OY) who have entered employment by the end of the 1st Qtr. after exit
# of OY who exit during the quarter

10. Employment Retention Rate

Of those who are not employed at registration and who are not enrolled in post-secondary education or advanced training in the 3rd Qtr. after exit:
# of OY who are employed in 3rd Qtr. after exit
# of OY who exit during the quarter

11. Earnings Change in Six Months

Of those who are employed in 1st Qtr. after exit who are not enrolled in post-secondary education or advanced training in the 3rd Qtr. after exit:
[Total Post-Program Earnings (earnings in Qtr 2 + Qtr 3 after exit)] - [Pre-Program Earnings (earnings in Qtrs 2 + 3 prior to registration)]
# of OY who exit during the quarter

12. Credential Rate
# of OY who were in employment, post-secondary education, or advanced training in the first Qtr. after exit and received a credential by the end of 3rd Qtr. after exit
# of OY who exit during the quarter

Younger Youth (14-18 years old) Measures

13. Skill Attainment Rate

Of all in-school youth and any out-of-school youth assessed to be in need of basic skills, work readiness skills, and/or occupational skills:

Total # of attained basic skills + # of attained WR skills + # of attained Occ. skills
Total # of basic skills goals + # of WR skills goals + # of Occ. skills goals

14. Diploma or Equivalent Attainment Rate

Of those who register without a diploma or equivalent:
# of younger youth (YY) who attained a secondary school diploma or equivalent by the end of the 1st Qtr. after exit
# of YY who exit during the Qtr. (except those still in secondary school at exit)

15. Retention Rate

# of younger youth found in one of the following in the 3rd Qtr. after exit:
-- post secondary education
-- advanced training
-- employment
-- military service
-- qualified apprenticeships
# of YY who exited during the Qtr. (except those still in secondary school at exit)

Across Funding Streams

16. Participant Customer Satisfaction

The weighted average of participant ratings on each of the 3 questions regarding overall satisfaction reported on a 0-100 scale.

17. Employer Customer Satisfaction

The weighted average of employer ratings on each of the 3 questions regarding overall satisfaction reported on a 0-100 scale.

Attachment B - Definitions of Key Terms

Advanced Training - an occupational skills employment/training program, not funded under Title I of the WIA, which does not duplicate training received under Title I. Includes only training outside of the one-stop, WIA and partner, system (i.e., training following exit).

Basic literacy skills deficient - the individual computes or solves problems, reads, writes, or speaks English at or below the 8th grade level or 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. In addition, States and locals have the option of establishing their own definition, which must include the above language. In cases where States and/or locals establish such a definition, that definition will be used for basic literacy skills determination.

Basic Skills Goal - measurable increase in basic education skills include reading comprehension, math computation, writing, speaking, listening, problem solving, reasoning, and the capacity to use these skills.

Credential - nationally recognized degree or certificate or State/locally recognized credential. Credentials include, but are not limited to a high school diploma, GED or other recognized equivalents, post-secondary degrees/certificates, recognized skill standards, and licensure 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.

Date of Dislocation - The last day of employment at the dislocation job. If there is no date of dislocation, date of registration will be used instead.

Employed at Registration - An employed individual is one who, during the 7 consecutive days prior to registration, did any work at all as a paid employee, in his or her own business, profession or farm, worked 15 hours or more as an unpaid worker in an enterprise operated by a member of the family, or is one who was 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.

Employed in Quarter After Exit Quarter - The individual is considered employed if UI wage records for the quarter after exit show earnings greater than zero. UI Wage records will be the primary data source for tracking employment in the quarter after exit. When supplemental data 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.

Exit - Determined as follows:

1. a participant 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 participant who does not receive any WIA Title I funded or non-WIA funded partner service for 90 days and is not scheduled for future services except follow-up services (soft exit).

Exit Date - the last date on which WIA Title I funded or partner services were received by the individual excluding follow-up services.

Exit Quarter - quarter in which the last date of service (except follow-up services) takes place.

High School Diploma Equivalent - a GED or high school equivalency diploma recognized by the State.

Military service - reporting for active duty.

Not Employed At Registration. An individual who does not meet the definition of employed at registration.

Occupational Skills Goal - 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.

Planned Gap in Service - no participant activity of greater than 90 days due to a delay before the beginning of training or a health/medical condition that prevents an individual from participating in services.

Post-Secondary Education - a program at an accredited degree-granting institution that leads to an academic degree (e.g. AA, AS, BA, BS). Does not include programs offered by degree-granting institutions that do not lead to an academic degree.

Qualified Apprenticeship - a program approved and recorded by the ETA/Bureau of Apprenticeship and Training (BAT) or by a recognized State Apprenticeship Agency (i.e., State Apprenticeship Council). Approval is by certified registration or other appropriate written credential.

Response Rate - The percentage of people who have valid contact information who are contacted and respond to the questions on the survey.

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

Training Services - Include WIA funded and non-WIA funded partner training services. These services include: occupational skills training, including training for nontraditional employment; on-the-job training; programs that combine workplace training with related instruction, which may include cooperative education programs; training programs operated by the private sector; skill upgrading and retraining; entrepreneurial training; job readiness training; adult education and literacy activities in combination with other training; and customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training.

Valid Contact Information - Information that leads the interviewer or surveyor to the location where the contact individual is located whether or not the individual responds and answers the questions.

Work Readiness Skills Goal - 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 behaviors 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.

FOOTNOTES

1. The individual would already be registered to be receiving follow-up services.
2. It is planned that outcomes for participants in the Trade Adjustment Assistance and NAFTA Transitional Adjustment Assistance programs will be measured using the same measures described in Measures 5,6 and 7 of this section.
3. 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.
4. DK = Don't Know
5. REF = Refused to Answer
6. This standard is similar to the participant standard that distinguishes core services (information/self-service) from those services that warrant registration.
7. 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.
8. 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.

Attachment C - Guidance for Calculating WIA Core Measures

TRAINING AND EMPLOYMENT GUIDANCE LETTER 8-99

U. S. Department of Labor Employment and Training Administration Washington, D.C. 20210	CLASSIFICATION WIA/Performance
	CORRESPONDENCE SYMBOL OWS
	DATE March 3, 2000

TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 8-99

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

FROM: LENITA JACOBS-SIMMONS
Deputy Assistant Secretary

SUBJECT: Negotiating Performance Goals; and Incentives and Sanctions Process under
Title I of the Workforce Investment Act (WIA).

1. Purpose. To inform States of ETA's implementation guidelines for the Negotiation and Goal Setting Process as well as for the Incentive and Sanction Process.

2. References. Workforce Investment Act of 1998 (Pub. L. 105-220), Section 136, Workforce Investment Act, Interim Final Rule, 20 CFR Part 666, published at 64 Federal Register 18662 (April 15, 1999).

3. **Background.** Under the Workforce Investment Act of 1998, States submitting a State Plan under Title I, subtitle B must propose expected levels of performance for each of the 17 indicators of performance consisting of the adult, dislocated worker and youth programs respectively and the two customer satisfaction indicators. While States may develop additional performance measures for State use, such measures will not be negotiated with the Department or included in the incentives and sanctions process.

In order to ensure an optimal return on the investment of the activities authorized, the Secretary and Governor must reach agreement in the State plan on the levels of performance for each of the first three program years. The requirements of the Government Performance and Results Act (GPRA) will also be a factor in negotiating the expected levels of performance. A critical component of annual reports to Congress will be representations of the extent to which States

have met these negotiated performance levels. This process begins with each State negotiating performance levels with their Regional Office for all measures in each program area (adults, dislocated workers, and youth) and for customer satisfaction and contains a commitment that incentives and sanctions provided for under the law will be based on meeting those negotiated performance levels. This directive provides the requirements for that process, from negotiation between States and ETA's Regional Offices to subsequent review of levels achieved to determine appropriate incentives and sanctions.

4. **Reaching Agreement on State Performance Levels.** With the statutory inclusion of performance negotiations in WIA comes an expectation that States will use this provision in a pro-active manner to support their efforts for continuous improvement and customer satisfaction. Therefore, ETA has developed requirements that provide a uniform framework for negotiations and give States flexibility in pursuing continuous improvement for each program area. In order to obtain negotiated levels of performance for all 17 measures that demonstrate this commitment, the following negotiation process will be utilized. Please note that early implementing States will be negotiating performance levels for their 2nd and 3rd years of performance. Early implementing States should conform such negotiations to the guidance in this directive.

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[1]In the Interim Final Rule, 20 CFR part 666, the outcome of the reaching agreement on State expected levels of performance was termed "adjusted levels of performance." In this document and in the Final Rule, the outcome of reaching agreement of State expected levels of performance will be termed "negotiated performance level." Actual performance for each program year

will then be compared to these negotiated performance levels to determine whether States are eligible for incentives or subject to sanctions.

A. Process For Reaching Agreement on State Performance Levels

The DOL process for reaching agreement with States on performance levels will include these steps:

1) States will develop baseline data following the instructions within this directive.

2) States will analyze the baseline data and then offer expected State levels of performance, submitted as part of their State Plan, for each of the 17 indicators for each of the first three program years. States are encouraged to share this advance data and work with their Regional Office throughout this process.

3) The information will go to the ETA Regional Office serving the State to review and the Regional Office will negotiate with the State to obtain mutually agreed upon expected levels of performance.

4) The Regional Office will submit the negotiated performance levels[(1)] to the National Office for ETA for inclusion in the State Plan approval process.

5) Prior to the fourth program year, States will submit their expected performance levels for the fourth and fifth years of their program following this guidance in the form of plan modifications.

6) ETA will also follow this guidance in the review, negotiation, and submission of the performance levels for program years four and five, although adjustments in the process may occur based upon experience.

B. Baselines

To the extent available, baselines for each of the 17 measures will be developed by each State and will be a key factor used to determine the level of performance that is negotiated with ETA. Summary definitions of the measures are presented in Attachment A.

Baselines are intended to give an indication of the past outcomes of a performance measure. For performance negotiations to be data-driven and reality based, the development of baselines is a critical aspect of the negotiation process. Because WIA authorizes new programs, there is not a perfect match of baseline data available to predict program performance under WIA. Instead, baselines must be based on data from preexisting programs. This situation will change in the coming years once WIA data is accumulated.

Initially, developing baselines using JTPA data is more appropriate for some of the core performance measures than for others. Baselines can be developed for the entered employment, employment retention, and earnings gain measures based on wage records because the wage record data, although not used under JTPA, can be accessed retrospectively by most States.

To assist States in the development of baseline data and expected performance levels, ETA has developed parameters to be used by all States in their baseline calculations. The Department anticipates that States will submit expected levels of performance that are above the baseline figures computed for the State. The parameters are outlined in Attachment B. The matrix in Attachment B will give States general instructions for each measure and will provide for comparable data nationwide. However, for specific operational definitions and calculation instructions on the core performance measures and the customer satisfaction measures, States should reference the TEGL 7-99, "Core and Customer Satisfaction Measures For the Workforce Investment System."

C. State Expected Levels of Performance

States will submit expected State levels of performance as part of the State Plan. States should be prepared to provide support for their expected performance levels by providing information on how baseline performance levels were developed as well as by providing other information States believe may affect performance. States will include in their plan:

- Baseline performance data and expected levels of performance for each of the 17 measures.
- The extent to which the expected levels of performance will result in the State attaining a high level of customer satisfaction.
- How the expected levels of performance compare with projected national averages (see Attachment B for projected national averages), taking into account how factors such as economic conditions, the characteristics of participants when the participants entered the program, and the services to be provided contributed to the development of the expected performance levels?
- The extent to which such expected levels of performance promote continuous improvement and ensure optimal return on investment of Federal funds.

In addition, the methodology for developing the baseline data and expected levels of performance should be included when possible. This should include a description of data sources, calculations, factors (see below for further discussion on factors), and values of factors used for expected levels of performance. For example, if a factor such as unemployment rate is used, the level of unemployment should also be included.

ETA has developed projected national average performance levels for each performance measure, which should be utilized in developing State expected levels of performance. The national average for each performance measure is included in the matrix in Attachment B. While most of these national averages are based on the experiences of a limited number of early implementation States, ETA has determined these levels to be representative of estimated performance under WIA.

Performance levels may vary, up or down, based on environmental factors beyond the control of the State. Examples of possible factors to consider in negotiating expected levels of performance are listed below. This list of factors is not intended to be prescriptive or exhaustive, but to suggest the kinds of information that might be considered in the negotiation process.

Differences in Economic Conditions

- Unemployment rate
- Rate of job creation/loss
- New business start-ups

Characteristics of Participants

- Indicator of welfare dependency
- Indicator of educational level
- Indicator of poor work history
- Indicator of basic skills deficiency
- Indicator of disability
- Indicator of age
- Creation of "hardest-to-serve" index

Services to be Provided

- % WIA Title I to be spent on each category of service (core, intensive, training)
- Extent of follow-up services planned
- Extent of experimental/pilot programs
- Extent of non-Title I training money available

Other Factors That May Be Considered

- Community factors, like availability of transportation and daycare
- Policy-objective factors, like:
- evidence of application of Malcolm Baldrige criteria
- pursuit of new or enhanced partnerships
- piloting of new programs

D. Negotiation of Expected Levels of Performance

The Regional Office will review the information contained in the State plan and will compare the expected performance levels with the national averages, baseline information from other States, and the negotiated levels of performance established for other States, taking into account factors including differences in economic conditions, the characteristics of participants when the participants entered the program, and the services to be provided as discussed above. [It is understood that comparative information on negotiated levels may not be fully available during the negotiation process].

A discussion of the appropriateness of each performance level, and the adequacy of any information States offer to substantiate each performance level, will be the core of the negotiation process. The Regional Office will analyze the quality of the data presented by States, including the relevance of the data, the source of the data, the time period from which the data was drawn, and if the data is part of a trend or anomalous. When the Regional Office finalizes its analysis and determines that the State could increase their expected performance levels to support State continuous improvement and customer satisfaction strategies, they will negotiate with the State to obtain mutually agreed upon expected levels of performance.

E. Revisions

WIA allows for the renegotiation of performance levels if circumstances arise that result in a significant change in the factors used to develop the original performance levels. Since States have limited baseline data to project performance levels for PY 2000, 2001 and 2002, it is anticipated that States may want to renegotiate performance for PY 2001 and 2002 as more baseline data becomes available. DOL will collaborate with the system to develop methods for making such revisions. Such criteria could include significant changes in economic conditions, changes in service mix, or changes in client characteristics.

5. Incentives and Sanctions Policies.

Under 20 CFR 666.200, a State is eligible to apply for an incentive grant if its performance for the immediately preceding year exceeds:

- The State's negotiated levels of performance for the following areas: adult measures, dislocated worker measures, youth measures, and customer satisfaction measures for WIA Title I;
- The negotiated levels of performance included in plans submitted to the Department of Education for Title II Adult Education and Literacy programs; and
- The negotiated levels of performance under Title I of the Carl D. Perkins Vocational and Technical Education Act.

This guidance addresses the initial requirements for a State to be eligible for the WIA Title I incentives grant awards. Additional guidance will be provided at a future date about the relationship between the Department of Labor and Department of Education in the incentive process, as well as a detailed description of the incentive award application process.

A. Evaluating Performance for Incentives and Sanctions

The extent to which each State exceeds, meets, or falls below its negotiated performance levels will be examined. For each core performance measure, the percentage by which each State met its negotiated performance level will be calculated (e.g., if a State had an 80% negotiated performance level for the adult entered employment rate and the State's actual performance was 80%, they would have achieved 100% of their negotiated performance level and receive a score of 100% on that measure. If the State's actual performance was only 40%, the would have achieved only 50% of their negotiated target level and receive a score of 50% on that measure).

This analysis will be clustered by program area (adults, dislocated workers, and youth - both older and younger youth measures) and for customer satisfaction, so that each of the four groups will receive an aggregate performance score calculated from their scores for each measure in each program area and in the customer satisfaction group. The exact aggregation approach to be used will be determined as actual performance information becomes available and will likely include simple or weighted averaging. The resulting score will be the cumulative program area score for each of the four areas.

To be eligible to apply for an incentive grant, a State must meet two criteria. A State must achieve at least a 100% cumulative program area score for each of the program areas and for the customer satisfaction group. In addition, a State may not have any of their 17 measures fall below 80% of their negotiated performance levels in order to be eligible to apply for an incentive grant.

It is understood that as part of a continuous improvement strategy, States may wish to emphasize improvement on a particular measure (e.g., entered employment) which may have a slightly adverse effect on other measures in the same program area. To allow for these strategies, and to avoid consideration of sanctions for only missing their negotiated goal by a few percentage points, States will not trigger the sanctions process as long as they have achieved 80% of their negotiated performance levels for each measure.

Example 1 shows the four performance measures for the adult area, and the extent to which a state exceeded or fell below the negotiated performance levels on each of those measures. Note that the State did not achieve two of the targets. However, since the performance on each of the measures was above the 80% threshold, the State is within the acceptable performance range. This allows States the flexibility to target certain measures within a program area for improvement, without concern for minor decreases in other measures within the program area.

The following two examples shows how the cumulative program scores would be used to determine a State's eligibility for an incentive award. In each example, the bars for each program area represent the cumulative program score.

To encourage States to strive to achieve the negotiated level of performance, rather than just to meet the lower acceptable level (80%) allowed, incentive grants will only be available for a State that achieves a cumulative score in each area (adults/youth/dislocated worker/customer satisfaction) that is 100% or greater and where a State does not fall below 80% of the negotiated level on any single measure. Example 2 shows the 100% incentive threshold and cumulative program scores for each program area. A State has a cumulative program score of 115% of the negotiated target for the adult program, 110% for the dislocated workers, 100% for the youth program, and an 110% cumulative score for the two customer satisfaction measures (and did not fall below 80% of negotiated target on any of the measures). The State would be eligible for an incentive award.

In Example 3: A State has cumulative program scores of 100% or higher of negotiated target performance levels in all program areas but less than 100% cumulative score on customer satisfaction. The State would not be eligible for an incentive award.

Cumulative scores will NOT be averaged across areas; a State cannot make up a deficit in one area by exceeding performance in another.

B. Qualifying for Incentive Grants.

In order to promote equity and uniformity, only the Federally required core and customer satisfaction measures will be considered.

C. Amount of the Incentive Award.

Awards will range from $750,000 to $3,000,000 with a proportionate reduction in the minimum and maximum when total available funds are insufficient.

D. Incentive Application Process.

The final approach to distributing incentive awards is still under development, but may include the following process steps:

- Performance reports from each State will be submitted by a date specified by the Secretary.
- The Department of Labor will partner with the Department of Education to review the performance of each State and determine which States are eligible for an incentive award.
- For those States that are determined eligible, the following criteria may be used to determine the amount each State is eligible to receive:
    - The extent to which goals were exceeded;
    - The extent of improvements from previous year; and

    - The relationship of actual performance levels to actual performance levels in other states

- These adjusted award amounts will be published and applications for awards will be solicited.

E. Failing to Meet the Negotiated Levels.

Negotiated levels will be established for each of the 17 performance measures. The lowest acceptable level (lower limit) will be calculated as 80% of the established State negotiated level. States must attain 80% of the target performance level on each measure for performance to be determined acceptable. If a State falls below this threshold of 80% on any of the performance measures, the State may be subject to sanction. Although WIA and this guidance provide some specific requirements for sanctions, the Department will review possible sanctions on a case by case basis. Example 4: A State has exceeded its negotiated target performance on adult entered employment by performing 110%, on employment retention by 105%, on earnings change by 100%, but only achieved 75% of the negotiated performance target for credential attainment. The State may be subject to sanction.

Example 5: A State did not achieve 100% of the negotiated performance targets on any of the adult measures. However, the State did achieve at least 80% of the negotiated performance target on each of these measures.

The state would not be subject to sanction.

F. Unacceptable Performance in Year One

The first year a State experiences unacceptable performance, ETA will make technical assistance available. This technical assistance will be provided upon request. One approach to this technical assistance may be helping the State to develop a performance improvement plan with the following components:

- Statement regarding which performance indicators will be improved through implementation of plan;
- Analysis of performance problem, including a description of problem solving techniques used to determine the most likely causes of the problem and a description of the most likely causes;
- Identification of possible actions to improve performance, and a descriptions of what actions the State will take to improve; and
- A timetable for implementing the selected solutions.

G. Unacceptable Performance in Two Consecutive Years.

If performance is unacceptable for two consecutive years on the same performance indicator, monetary sanctions may be imposed.

H. Amount of Monetary Sanctions.

Sanctions will be determined on a case by case basis, and may range from 1% up to a maximum 5% reduction.

I. Sanctions for Failure to Submit Annual Performance Progress Reports.

Under 20 CFR 667.300(e), States that are more than 45 days late may be sanctioned up to 1% plus up to an additional 1% for each additional 45 day period of lateness up to a total reduction of 5%.

6. <u>Action</u>. States are to provide these requirements to the appropriate State staff and use this guidance to:

a) develop baseline data and expected performance levels PY2000, PY2001 and PY2002 and submit this information in the State's WIA State Plan.

b) negotiate performance levels to be used in the State Plan approval process.

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

8. Attachments. Attachment A: WIA Core and Customer Satisfaction Measures-at-a-Glance;
Attachment B: Common Approach for Establishing Negotiated Levels of Performance;
Attachment C: Summary of Important Terms.

RESCISSIONS	EXPIRATION DATE Continuing

DISTRIBUTION

Attachment A - WIA Core Measures-at-a-Glance

Adult Measures

1. Entered Employment Rate

Of those who are not employed at registration:
# of adults who have entered employment by the end of the 1st quarter (Qtr.) after exit
# of adults who exit during the quarter

2. Employment Retention Rate

Of those who are employed in 1st Qtr. after exit:
# of adults who are employed in 3rd Qtr. after exit
# of adults who exit during the quarter

3. Earnings Change in Six Months

Of those who are employed in 1st Qtr. after exit:
[Total Post-Program Earnings (earnings in Qtr 2 + Qtr 3 after exit)] - [Pre-Program Earnings (earnings in Qtrs 2 + 3 prior to registration)]
# of adults who exit during the quarter

4. Employment and Credential Rate

Of those who received training services:
# of adults who were employed in the 1st Qtr. after exit and received a credential by the end of 3rd quarter after exit
# of adults who exited services during the quarter

Dislocated Worker Measures

5. Entered Employment Rate
# of dislocated workers (DW) who have entered employment by the end if the 1st Qtr. after exit
# of dislocated workers who exit during the quarter

6. Employment Retention Rate

Of those who are employed in the 1st Qtr. after exit:
# of DW who are employed in 3rd Qtr. after exit
# of DW who exit during the quarter

7. Earnings Replacement Rate
Of those who are employed in the 1st Qtr. after exit:
Total Post-Program Earnings (earnings in Qtr 2 + Qtr 3 after exit)
Pre-Dislocation Earnings (earnings in Qtrs 2 +3 prior to dislocation)

8. Employment and Credential Rate

Of those who received training services:
# of DW who were employed in the 1st quarter after exit and received a credential by the end of 3rd quarter after exit
# of DW who exit during the Qtr.

Older Youth (19-21 years old) Measures

9. Entered Employment Rate

Of those who are not employed at registration and who are not enrolled in post-secondary education or advanced training in the 1st Qtr. after exit:
# of older youth (OY) who have entered employment by the end of the 1st Qtr. after exit
# of OY who exit during the quarter

10. Employment Retention Rate

Of those who are not employed at registration and who are not enrolled in post-secondary education or advanced training in the 3rd Qtr. after exit:
# of OY who are employed in 3rd Qtr. after exit
# of OY who exit during the quarter

11. Earnings Change in Six Months

Of those who are employed in 1st Qtr. after exit who are not enrolled in post-secondary education or advanced training in the 3rd Qtr. after exit:
[Total Post-Program Earnings (earnings in Qtr 2 + Qtr 3 after exit)] - [Pre-Program Earnings (earnings in Qtrs 2 + 3 prior to registration)]
# of OY who exit during the quarter

12. Credential Rate
# of OY who were in employment, post-secondary education, or advanced training in the first Qtr. after exit and received a credential by the end of 3rd Qtr. after exit
# of OY who exit during the quarter

Younger Youth (14-18 years old) Measures

13. Skill Attainment Rate

Of all in-school youth and any out-of-school youth assessed to be in need of basic skills, work readiness skills, and/or occupational skills:

Total # of attained basic skills + # of attained WR skills + # of attained Occ. skills
Total # of basic skills goals + # of WR skills goals + # of Occ. skills goals

14. Diploma or Equivalent Attainment Rate

Of those who register without a diploma or equivalent:
# of younger youth (YY) who attained a secondary school diploma or equivalent by the end of the 1st Qtr. after exit
# of YY who exit during the Qtr. (except those still in secondary school at exit)

15. Retention Rate

# of younger youth found in one of the following in the 3rd Qtr. after exit:
-- post secondary education
-- advanced training
-- employment
-- military service
-- qualified apprenticeships
# of YY who exited during the Qtr. (except those still in secondary school at exit)

Across Funding Streams

16. Participant Customer Satisfaction

The weighted average of participant ratings on each of the 3 questions regarding overall satisfaction reported on a 0-100 scale.

17. Employer Customer Satisfaction

The weighted average of employer ratings on each of the 3 questions regarding overall satisfaction reported on a 0-100 scale.

Attachment B

Common Approach for Establishing Negotiated Levels of Performance

1. General Instructions

States are requested to calculate State averages of past outcomes on the performance indicators where possible. These averages are to be calculated according to the following specifications:

- Source data:
- -JTPA data for individuals who terminated from JTPA between October 1, 1997 to September 30, 1998. This time period was chosen so that all states would have access to the necessary wage record data. Use of a common time period assures consistency among States.
- -Adult measures should be based on terminees from Title II-A.
- -Dislocated worker measures should be based on terminees from Title III, including substate and Governor's Reserve programs.
- -Older youth measures should be based on terminees from Title II-C who were age 19 or older on the date of application.
- -Younger youth measures should be based on terminees from Title II-C who were under age 19 on the date of application.
- -Wage records data will be required for most measures. Wage record data should be acquired for:
    - The second and third quarters before application for adults and older youth
    - The second and third quarters before the date of dislocation for dislocated workers. NOTE: if the dislocation date is not available, use the application date instead; and
    - The first, second, and third quarters after termination for adults, dislocated workers and older youth.
- Exclusions:
    - Individuals who received only objective assessment should be excluded from all calculations.
    - Individuals terminated with other termination codes for health/medical or institutionalized should be excluded from all calculations. This includes individuals whose other-termination

code is institutionalized or health/medical (codes 1 or 2 in SPIR Item 39, Other terminations).

- Dislocated workers served exclusively with National Reserve Funds should be excluded from all calculations
- Entered employment measures for adults and older youth exclude individuals employed at application to JTPA. This data should be based on information collected from the participant and normally included in the JTPA data system in the field "labor force status." It should not be based on wage records.

- Inclusions
  - Individuals served by 5%-incentive funded programs are to be included even though they were exempt from JTPA performance standards.

Detailed specifications for calculating measures are to be found in TEGL 7-99, Core and Customer Satisfaction Measures for the Workforce Investment System.

2. Matrix showing how projected averages are derived

The column labeled 'Projected Average' presents projected average values for WIA performance indicators based on available data.

The column labeled 'Explanation ...' describes how the projected averages were calculated.

The column labeled 'How to ...' describes how to calculate a comparable past value for the State based on JTPA data or indicates other data that might be useful for the negotiation process.

Indicators of Performance	Projected Average	Explanation of the method used for determining the average:

Adults	Entered employment	71%	• Based on wage records for 7 States. upward by 1 percentage point differences between the States.
	Retention	78%	• Based on wage records for 7 States. downward by 0.5 percentage differences between the States.
Earnings change	$3,700	• Based on wage records for 7 States.	• Based on individuals employed earnings in the wage records) after termination. • Calculated as the average of [total the second and third q termination minus total earn and third quarters befo • See TEGL 7-99, Core and Customer Performance Measures Investment System, for to calculate performance on t
Credential	60%	• Assumes that the definition of credential will be somewhat flexible and that about 80% of those employed in the quarter after exit will obtain a credential.	• Cannot be calculated from JTPA data. • States should provide information on they plan to define credentials and extent to which training programs expected to lead to credentials. • See TEGL 7-99, Core and Customer Performance Measures for the Wo System, for instructions on h performance on the measure.

Dislocated Workers	Entered employment	77%	• Based on wage records for 7 States. • Adjusted upward by 3 percentage account for differences States and all States.
	Retention	85%	• Based on wage records for 7 States. • Adjusted downward by 1 percentage account for differences States and all States.
Earnings replacement	92%	• Based on wage records for 5 States. Two of the 7 available States had extremely high replacement rates and were excluded from the average.	Based on individuals employed (positive wage records) in the quarter after termination. • A. Calculate the sum (over all dislocated workers) of total earnings in second and third quarters after • B. Calculate the sum of total earnings and third quarters before application. • The measure is A divided by B. • See TEGL 7-99, Core and Customer Performance Measures for Investment System, for instruc calculate performance on

Credential	60%	• Assumes that the definition of credential will be somewhat flexible and that about 80% of those employed in the quarter after exit will obtain a credential.	Cannot be calculated from JTPA data. States should provide information on how plan to define credentials and on the which training programs are expected credentials. See TEGL 7-99, Core and Customer Performance Measures for the Wo System, for instructions on how performance on the measure.
Older Youth 19 - 21	Entered employment	63%	• Based on wage records for 7 States. downward by 3 percentage for differences between States.
	Retention	77%	• Based on wage records for 7 States
Earnings change	$3,150	• Based on wage records for 7 States	Based on individuals employed (positive earnings in the wage records) in the quarter termination. Exclude individuals who entered non-Title-II and do not have earnings in wage third quarter after termination. Calculated as the average of [total earnings the second and third quarters after termination earnings in the second and third c application]. See TEGL 7-99, Core and Customer Performance Measures for the Wo System, for instructions on how

			performance on the measure.
Credential	50%	• Assumes that the definition of credential will be somewhat flexible and that about 70% of those employed in the quarter after exit will obtain a credential. • Values are lower than for adults and dislocated workers because the employment rate is lower.	Cannot be calculated from JTPA data. States should provide information on how they plan to define credentials and on the to which training programs are to credentials. • See TEGL 7-99, Core and Customer Performance Measures Investment System, how to calculate performance
Young	Goal Attainment	72%	• Calculated based on PY 97 SPIR data c youth employment competencies. It is t competencies (up to 3 per youth) divide types of training received (up to 3 per y equal to competencies attained). The va PY 98 (66%).

e r Youth 18 or less	Diploma attainment	55%	• Based on separate estimates for school youth and for dropouts. • For in-school youth a rate of 75% is This is the percentage of youth income families (bottom 20% of family incomes) nationwide who complete high school, which was from the Current Population October 1996. • For dropouts JTPA data on completion major level of education was used, 21% for dropouts but 17 or older at exit. • These two numbers were combined JTPA data on the split school youth and dropouts.
Retention	54%	• The percentage of youth 18 and under at entry and 17 and older at exit who entered employment or non-Title-II training (advanced training or postsecondary education) derived from PY 97 SPIR data.	A rough approximation can be calculated JTPA data: • Include all youth under age 19 at and age 17 or over at te • Measure as the percentage who enter employment or enter non-Title-II • See TEGL 7-99, Core and Customer Performance Measures Workforce Investment System, instructions on how to calculate performance on the measure.

Customer Satisfaction	Participants	68%	• Based on an analysis of data from: ○ Enterprise members (76%) ○ A comparison group of Enterprise members (74%). ○ Early data from early States (6 that State leve lower than the SDA/SSA-level enterprise results. ○ Lower results than the Enterprise surveys are when youth are sample.
Employers	66%	• Early data from early implementation States suggest that employer results are likely to be 1 to 4 percentage points lower than for participants.	• Results of similar customer satisfaction conducted by the State. • See TEGL 7-99, Core and Customer Performance Measures Investment System, instructions on how to calculate on the measure.

- Beyond the State average, States may provide additional rationale (such as unique economic conditions, program designs or participant characteristics) along with valid data supporting the State's position of increasing or decreasing their level of performance.

The specifications outlined in the matrix are based on the following correspondence between WIA and JTPA data items:

WIA Item	**Closest Corresponding JTPA Item**
Registration date	Application date
Adult	Served by Title II-A
Dislocated worker	Served by Title III
Younger youth	Age at application is under 19 and served by Title II-C
Older youth	Age at application is 19 or older and

	served by Title II-C
Employed at registration	Labor force status at application = 'employed'
Entered advanced training or entered postsecondary education	Entered non-Title-II training.

Attachment C

Summary of Important Terms

Performance Measures:

The 17 performance indicators required by the Workforce Investment Act of 1998, section 136; Interim Final Rule, 20 CFR part 666, published at 64 Federal Register 18862 (April 15, 1999) to be used for determining return on investment and to be used in the incentives and sanctions process.

Program Area:

A cluster of measures used in the evaluation of performance for incentive purposes. There are four program areas: Adults, Dislocated Workers, Youth (both older and younger youth), and customer satisfaction (even though it is not technically a "program").

Expected Performance Level:

The target performance level a State offers as the first step in the negotiation process.

Negotiated Performance Level:

The numeric performance target agreed to by the State and the region for each of the 17 core performance indicators.

Negotiation Factor:

Any information which may affect a State's expected performance on any of the core performance measures that can be used in the negotiation process. The relevance, validity, and source of this information will be assessed during the negotiation process.

Cumulative Program Area Score:

The aggregate amount by which States exceed or fall below the negotiated performance levels in a particular program area.

Incentive Threshold:

To be eligible for incentives, a State must achieve at least 80% of the target performance levels on each performance measure, and have cumulative program scores greater than 100% in each program area.

Sanction Threshold:

States must achieve at least 80% of the target performance level on each of the 17 core indicators to avoid sanctions. To be subject to monetary sanctions, a State's performance must fall below 80% of the target performance level on the same measure two consecutive years.

1.In the Interim Final Rule, 20 CFR part 666, the outcome of the reaching agreement on State expected levels of performance was termed "adjusted levels of performance." In this document and in the Final Rule, the outcome of reaching agreement of State expected levels of performance will be termed "negotiated performance level."

CASE STUDY: Educational Institution/ Employer Partnership Credential

John Deere Ag-Tech Program at Lake Land College

The Partnership

Lake Land College in Mattoon, Illinois has a Business and Industry Division that works in tandem with business to create or enhance skills and knowledge related to work functions.

John Deere Company and Lake Land College have a unique partnership to establish credentials for individuals who are sponsored by John Deere Dealers.

The partnership is fourfold:

- Lake Land College.
- John Deere Company.
- John Deere Dealers.
- Students.

The role of each partner provides for a meaningful outcome that compliments each party.

Lake Land College Role:

+ Maintains a current curriculum approved by John Deere.
+ Provides a teacher/coordinator and instructors.
+ The teacher/coordinator acts as a liaison between Lake Land College and John Deere Representatives.

+ Provides equipment and tools.
+ Promotes, advertises, and recruits qualified students.
+ Tests, interviews, and screens students.
+ Assists Dealers with student selection.
+ Maintains students' records.
+ Provides academic, financial aid, and counseling services and advisement.
+ Visits students during supervised occupational work experiences to assure attainment of work experience competencies.
+ Furnishes program information to Dealers, students, and the general public when requested.
+ Provides an Associate of Applied Science Degree – John Deere Ag-Tech.

John Deere Company Role:

+ Provides training for the teacher/coordinator and instructors on John Deere Ag Equipment.
+ Furnishes Lake Land College with John Deere materials for training including service manuals, computer service references, and technical publications.
+ Furnishes Lake Land College with John Deere equipment for training including agricultural equipment components, essential tools, and complete ag equipment machinery.
+ Participates in student selection process.
+ Participates in teacher/coordinator selection process.
+ Monitors the John Deere Program at Lake Land College to assure success.

John Deere Dealership Role:

+ Contacts the John Deere Branch Office to indicate interest in sponsoring a student.
+ Interviews and selects a student to sponsor.
+ Appoints an in-dealership coordinator or supervisor to work with Lake Land College teacher/coordinator in planning and monitoring the supervised occupational work experience.
+ Pays trainee's wages, commensurate with experience, during periods of supervised occupational work experiences.

+ Provides the sponsored student with uniforms at both school and work.
+ May assist with tuition, fees, books, and tools.

Student Role:

+ Provides high school and post-secondary transcripts or equivalent.
+ Applies and completes admission requirements for admission to John Deere Ag Tech Program at Lake Land College.
+ Obtains John Deere Dealership sponsor.
+ Maintains Lake Land and John Deere academic standards and adheres to academic policies.
+ Wears John Deere uniforms and safety equipment in Lake Land College labs and during supervised occupational work experiences at the dealerships.
+ Participates in all learning activities and learning experiences at the scheduled times.
+ Provides the dealership with responsible and productive employment.
+ Pays for program costs not provided by dealer or other sources – tuition, fees, books, and tools.

The Degree outcomes are prescribed by the John Deere Company as to what students need at the end. The completion includes On-the-Job Training and Internship opportunities.

John Deere Company helps John Deere Dealers with training needs. Lake Land College generates credit hours. John Deere Dealers get trained employees. Individuals improve their opportunities for job retention and promotional considerations.

This partnership was tailored to meet the needs of John Deere Company and John Deere Dealers. Similar customized approaches to credentialing can be successfully implemented.

Establishing Customized Credentialing

The process for achieving a tailored credentialing program may entail approval by a Community College Board. Typically a business plan is done that answers:

+ Number of students.
+ Facility that will be used.
+ Funding package.
+ Process for establishing learning objectives or course/program competencies.

If the proposed program is under 7 semester hours, Board approval is not required. The parties involved may determine criteria on how to evaluate success such as pre and post testing and/or grade at completion. In the event this process is used, the President of the Community College notifies the Community College Board.

A program that is 8 to 29 semester hours requires an established certificate that the Community College Board certifies.

A program that is 30 or more semester hours requires a formal process with approval from the State governing body.

CASE STUDY: Association Credential

Association for Volunteer Administration

Professional Credentialing Program

Introduction

The "Certified in Volunteer Administration" (CVA) credential is offered by the Association for Volunteer Administration (AVA) for practitioners in volunteer resources management.

Unlike many "certificate" or certification programs being offered by colleges and universities, the AVA professional credentialing program is performance based. It is not intended to teach individuals how to manage volunteers effectively. Rather, it is designed to measure an individual's "knowledge-in-use" – the application of knowledge and skills by those with real-life experience in this role. This includes the measurement of a candidate's ability to structure tasks, produce ideas and solve problems.

The AVA Professional Credentialing Program:

- Is voluntary
- Is performance-based
- Is grounded in core competencies and standards developed by peers
- Defines volunteer administration as a profession

- Provides a vehicle for periodic updating of best practices
- Is open to individuals from any type of organization, with either salaried or non-salaried experience

Core Competencies

Individuals pursuing the CVA credential are expected to demonstrate successfully their knowledge and ability to apply skills required for competent volunteer management, based on their actual performance in the role. Five core competencies have been identified that serve as a foundation for this profession:

- **Commitment to the Profession** (includes ethical practice, professional responsibility and leadership)
- **Planning and Conceptual Design** (includes knowledge of organizations and the planning process)
- **Resource Development and Management** (includes volunteer program management, risk management, volunteer performance, staff/volunteer relationships, financial resources)
- **Accountability** (includes monitoring and evaluation, analysis and reporting)
- **Perspective and Responsiveness** (includes cultural competence, global volunteerism, managing change and strategic relationships)

The Credentialing Process

A two-part measurement methodology has been designed to demonstrate a candidate's knowledge and application of the core competencies.

- Portfolio Review

  Philosophy Statement – 500 words (a personal reflection on beliefs and values)

  Management Narrative – 1,500 words (a description of activities and experience focused on one of the core competencies)

  Both pieces are written based on the candidate's personal experience within the field – observations, actions, insights, lessons learned – rather than on information from textbooks or classes. The Philosophy Statement and Management Narrative must be submitted at the same time and are then subject to a peer review process.

- Multiple Choice Examination

  The test is made up of 80 questions documented to primary references. It is a two-hour proctored examination, given twice a year. It will be administered at various locations near the candidates and at the AVA annual conference. Multiple choice questions are based on case studies directly linked to primary references (books, articles, etc.).

The Value of the CVA Credential

Benefits for the individual practitioner:

- Clarifies and articulates personal values, beliefs and professional ethics
- Identifies areas of skill or knowledge you would like to strengthen
- Assesses personal expertise against standards of performance
- Enhances self-esteem through peer recognition
- Increases confidence in problem-solving skills
- Increases personal and professional credibility
- Demonstrates the transferability or your knowledge, skills and abilities
- Reinforces your commitment to professional excellence
- May enhance your employability and your position in the organization

Benefits to organizations, agencies and employers:

- Demonstrates a commitment to excellence in the management of volunteer resources
- Improves credibility and community image
- Increases organization's understanding of volunteer resources management
- Assesses employee’s application of core competencies
- Identifies and documents leadership potential
- Assists with decisions regarding how volunteers are managed within the organization

Frequently Asked Questions

How is the process weighted?
CVA candidates must pass both the portfolio and the examination in order to earn the CVA credential. Each section (portfolio and test) equals 50 percent of the final score.

What if I fail the test portion and need to retake the examination?
You may take the exam again. There will be a $50 re-sit fee, available for one year following the initial examination.

Will recertification be required for CVAs?
Recertification will be required every 3 years in order to maintain the CVA credential. Individuals will be required to earn Professional Development Units (PDUs) for activity that demonstrates they are continuing to learn and develop as a professional.

Is this credential linked to a college or university?
The AVA credential is not education based at this time. However, work is underway to strengthen the relationship with existing courses in volunteer administration in order to encourage high quality and consistency based on the core competencies for the profession. Individuals will be able to use course-work to earn recertification PDU's.

What if I've already started the CVA process under the old system?
If you purchased the former AVA certification manual prior to January 1, 1997 but did not begin the process, you must now begin the new process from the start and pay the full fee.
If you purchased the former CVA manual after January 1, 1997, and have not sent in your application, you are encouraged to earn your CVA under the new process. If you register in 2001, you will receive a $30 credit toward the registration fee. If

you purchased the former CVA manual after January 1, 1997, and have had your application accepted, you may earn your CVA credential by taking the exam. If you register in 2001, you will receive a $130 credit toward the registration fee. No materials based on the former CVA process will be accepted after September 1, 2001.

Eligibility

Individuals wishing to become credentialed by AVA must meet these requirements in order to register as a candidate:

- Minimum of the equivalent of three years of full-time experience related to volunteer resources management. This experience can be a combination of several part-time positions, and can include both salaried and non-salaried roles.
- Minimum of 50 percent of current position related to volunteer resources management
- Two letters of professional recommendation from supervisors or colleagues, verifying the candidate's activity in the field and his/her appropriateness as a candidate for this credential.

Fees

AVA Members: $150.00 US
Non-Members: $300.00 US

Schedule for 2001

- Pilot Study: in progress February - July 2001

- Next Exam to be given at AVA conference in Toronto: October 3, 2001

How To Begin the AVA Credentialing Process

1. Request the CVA Candidate Handbook by contacting the AVA office by phone, fax or e-mail. There is no charge for this handbook. **(*Will be available after August 1, 2001.)**

2. Complete the registration forms in the handbook and return them to the AVA office with fee payment.

3. CVA candidates can start the process with either the portfolio or the multiple-choice examination. Both the portfolio and the exam must be completed within two years of registering for the program (typical completion time is 6 months).

RESOURCES: EXISTING CREDENTIAL SYSTEMS

Associations (includes Unions)

- Paraprofessionals in the Education Workforce.
  - Sponsored by the National Education Association.
  - www.nea.org/esp/resource/parawork.htm

- Unions.
  - Fraternal Order of Police Labor Council
    www.fop.org

  - Graphic Artists Guild
    Chicago Chapter: www.gag.org/chicago/index.html
    Chicago Chapter President Email:
    judy@iconografix.com
    National Site: www.gag.org
    National Address:
    90 John St., Suite 403
    New York, NY 10038-3202
    Phone: 800-500-2672
    Fax: 212-791-0333

  - Labor Beat
    37 S. Ashland Blvd, #W
    Chicago, IL 60607
    Phone: 312-226-3330
    Fax: 773-561-0908
    www.wwa.com/~bgfolder/ib/home.htm

- Plumbers Local 93
  100 Lebaron
  Waukegan, IL 60085
  Phone: 847-244-9830
  www.plumbers/u93.org

- United Steelworkers of America, Local 787
  Lake and McHenry County IL
  901 E. Grove St.
  Bloomington, IL 61701
  Phone: 309-829-3212
  http://uswa787.tripod.com

- Service Employees International Union, Local 73
  www.seiu73.org

  Main Office
  1165 North Clark Street, Suite 500
  Chicago, IL 60610
  312-787-5868

  Springfield Office
  528 S. 5th Avenue, Suite 206
  Springfield, IL 62701
  217-522-9183

  Champaign/Urbana Office
  1606 Willow View Road, Suite 2A
  Urbana, IL 61802
  217-328-7509

  Elgin Office
  585 Tollgate Road
  Elgin, IL 60123
  847-742-2825

- Northeastern Illinois Federation of Labor, AFL-CIO Central Labor Council
  www.angelfire.com/il/northeastillaflcio
  President: David Barger, Email Mr. Barger at: northeastillaflcio@angelfire.com

- National Council of Field Labor Locals
  www.ncfll.org

- Heat & Frost Insulators, Local 17
  www.local17insulators.com

- American Postal Workers Union, Local 5007
  PO Box 751
  Kankakee, IL 60901
  http://members.aol.com/local5007/index.html

- Transport Workers Union of America, Local 512
  404 East Devon Ave.
  Elk Grove Village, IL 60007
  847-956-6996
  http://local512.twuatd.org

Professional Accreditation

- Alcoholism and Substance Abuse Counselor Credential.
    - www.oasas.state.ny.us/pio/regs.htm
- New York State Counselor Credential.
    - www.oasas.state.ny.us/pio/process.htm
- Additional professional accreditation information can be found by doing a search on the Internet in the related field of interest.

Business & Education Partnerships

- High Technology Council of Maryland
  - Certificate Program and Modular Credentialing addresses specific skill sets needed for the information technology industry.
  - Training Institute created by a consortium of higher educational institutions enabling high tech employees to move freely among a number of institutions offering particular expertise to meet their training needs.
  - www.mdhitech.org.
- John Deere Company and Lake Land College
  - Case Study included in this Guide at Appendix D starting on page 135.

Illinois Education to Careers Local Partnerships

(As of October 27, 2000)

Education-to-Careers (***etc***) is Illinois' commitment to improve the quality and relevance of education for every student, and thereby raise the quality and reliability of tomorrow's workforce. This is **Next Generation Education**: driven by world-class academic standards, connected to real-world marketplace needs.

To achieve successful economic development and global competitiveness in Illinois, we must create an effective skilled workforce. Preparing such a workforce will require a 21st century educational system connected to real-world marketplace needs and driven by world-class academic standards.

The statewide website is www.educationtocareers.org.

1 Career Preparation Network Advisory Council/Partnership Council
www.cpnetc.org
Thomas Hysell, Director
Career Preparation Network Advisory Council/Partnership Council
3600 West 203rd Street
Olympia Fields, IL 60461
708/679-5716 (phone)   708/679-5632 (fax)
trhysell@yahoo.com

2 Central Illinois Education-to-Careers Partnership
www.icc.cc.il.us/pdi
Kent Negley, ETC Coordinator
Central Illinois Education-to-Careers Partnership
Illinois Central College--Peoria Campus, Leon Perley Building
115 S.W. Adams Street
East Peoria, IL 61635-0001
800/452-8851 (phone)   309/673-9650 (fax)
knegley@icc.cc.il.us

3 Des Plaines Valley Regional Education-to-Careers Partnership
www.triton.cc.il.community/etc
Mary Ann Olson, Executive Director
Des Plaines Valley Regional Education-to-Careers Partnership
Triton College
2000 Fifth Avenue
River Grove, IL 60171
708/456-0300 (phone) 708/583-3121 (fax)
molson@triton.cc.il.us

4 DuPage Area Education-to-Careers System
www.dupage-etc.org
Barney Eiserloh, ETC Coordinator
DuPage Area Education-to-Careers System
301 South Swift Road
Addison, IL 60101-1499
630/691-7508 (phone) 630/691-7592 (fax)
barneye@daoes.tec.il.us

5 East Central Illinois Education-to-Careers Partnership (Danville)
www.edu2car.org
Don Smoot, ETC Coordinator
East Central Illinois ETC Partnership
Danville Area Community College
2000 East Main
Danville, IL 61832
217/443-8582 (phone) 217/443-8596 (fax)
dsmoot@dacc.cc.il.us

6 East Central Illinois Workforce Development Commission (Parkland)
www.skilledworkforce.com
Becky Densmore-Stoll, ETC Coordinator
East Central Illinois Workforce Development Commission (Parkland)
100 West Sangamon, Suite 102
Rantoul, IL 61866
217/893-0657 (phone) 217/893-3325 (fax)
densmore@rantoulchamber.com

7 Metro East Education-to-Careers Regional Partnership
ETC Coordinator (Vacant)
Metro East Education-to-Careers Regional Partnership
East St. Louis Community College Center
610 James R. Thompson Blvd.
East St. Louis, IL 62201
618/874-8700 618/874-8733 (fax)
ed2careers@eslccc.com

8 Elgin Area Education-to-Careers Partnership
www.eaetcp.org
Gayle Richardson, ETC Executive Director
Elgin Area Education-to-Careers Partnership
Elgin Community College
1700 Spartan Drive, Bldg. BCC210
Elgin, IL 60123-7193
847/214-7584 847/214-7815 (fax)
grichardson@mail.elgin.cc.il.us

9 Heartland Regional Partnership
Pam Westerdahl, ETC Coordinator
Heartland Regional Partnership
Heartland Community College
1226 Towanda Avenue
Bloomington, IL 61701
309/827-0500 (phone) 309/829-6289 (fax)
pamelaw@hcc.cc.il.us

10 Southeast Workforce Development System
Kathy Vespa
Southeast Workforce Development System
Illinois Eastern Community Colleges
233 East Chestnut Street
Olney, IL 62450
618/393-2982 (phone) 618/392-4816 (fax)
vespak@iecc.cc.il.us

11 Illinois Quad City Chamber of Commerce STW Partnership
www/riroe.k12.il.us/riroe/ilstw/index.html
Susan Zelnio, Regional STW Coordinator
Illinois Quad City Chamber of Commerce STW Partnership
Illinois Quad City Chamber of Commerce
622 19th Street
Moline, IL 61265
309/757-5416 (phone) 309/757-5435 (fax)
taijisgood@hotmail.com

12 Illinois Valley Education-to-Careers Partnership
www.lvcc.edu/etc
Alexa Doll, ETC Program Coordinator
Illinois Valley Education-to-Careers Partnership
Illinois Valley Area Chamber of Commerce and Economic Development
300 Bucklin Street, P.O. Box 446
LaSalle, IL 61301
815/224-9148 (phone) 815/223-4827 (fax)
doll@ivcc.edu

13 Iroquois-Kankakee Education-to-Careers & Workforce Development Partnership
www.pathfinder.ikan.k12.il.us
Janice Miller, ETC Coordinator
Iroquois-Kankakee Education-to-Careers & Workforce Development Partnership
P.O. Box 671
Kankakee, Illinois 60901
815/929-2380 (phone)
jmiller2@keynet.net

14 Education-to-Careers Partnership for the Joliet Jr College Region

Lewis Kemble, ETC Executive Director
Education-to-Careers Partnership for the Joliet Junior College Region
250 North Chicago Street
Joliet, IL 60432
815/740-3089 (phone)   815/740-5237 (fax)
etcjjc@aol.com

15 Kaskaskia Area Partnership
www.k-a-p.org
Cheryl Boehne, Coordinator
Kaskaskia Area Partnership
951 Fairfax Street
Carlyle, IL 62231
618/594-3316 (phone)   618/594-3318 (fax)
cboehne@clinton.k12.il.us

16 Kishwaukee Education-to-Careers Partnership
Kathy Watkins, ETC Coordinator
Kishwaukee Education-to-Careers Partnership
Kishwaukee Education Consortium
901 South 4th Street
DeKalb, Illinois 60115
815/754-2400 (phone)   815/754-2402 (fax)
kec@tbcnet.com

17 Lake County Education-to-Careers Partnership
http://www.lakecountyetc.org
Barbara Oilschlager, Executive Director
Lake County Education-to-Careers Partnership
Lake County Area Vocational System
19525 West Washington Street
Grayslake, IL 60030
847/223-6681 (phone)   847/223-7363 (fax)
boilschl@aol.com

18 Lewis & Clark Area Partnership
www.lc.cc.il.us/users/lccc_etc/etc.htm
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Career and Technical Education Challenge Task Force

May 20, 2000

The Career and Technical Education Challenge Task Force is a state wide committee charged with creating a blueprint for Career and Technical Education in the future including supporting high educational achievement for all CTE students and preparing students for the high-skill, high performance workplace of the 21st Century.

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Occupational Specific Standards

- Developed through a partnership comprised of: The Machined Products Association, Northern Illinois University, National Institute for Metalworking Skills, and the United States Department of Labor.
  - Contact Dr. Charles (Pete) Trott at Northern Illinois University in DeKalb, Illinois.
  - Screw Machining.
    - Machining Skills – Levels I, II, III.
    - Metalforming Skills – Stamping Level II, III.
    - Metalforming Skills – Roll Forming Level II.
    - Metalforming Skills – Spinning – Level II.
    - Machine Building Skills – Level II, III.
    - Press Brake Skills – Level II, III.

- DACUM Charts that are available and can be purchased that have competency information local areas can validate for homegrown systems. A list of existing DACUM charts are provided in this Guide in Appendix F starting on page 189 or you can check on www.dacum.com.

Secretary's Commission on Achieving Necessary Skills (SCANS)

The United States Department of Labor and the United States Department of Education released a joint Research and Evaluation Report in August 2000. Following is the report's executive summary.

Workplace Essential Skills:
Resources Related to the SCANS Competencies and Foundation Skills

Executive Summary

The report, *Workplace Essential Skills: Resources Related to the SCANS Competencies and Foundation Skills,* was developed by ACT, Inc., under the direction of the U.S. Department of Labor, Employment and Training Administration, and the U.S. Department of Education, National Center for Education Statistics. The purpose of this project has been to document the skills and behaviors that have been identified as essential for a workforce facing the challenges of global competition in an environment of rapidly changing markets.

Defining the project

Foundation. The workplace competencies and foundation skills defined in *Skills and Tasks for Jobs: A SCANS Report for America 2000*, provide the foundation of this report. Commissioned by the U.S. Department of Labor, SCANS convened in 1990 to identify the skills that American workers needed for job success in a global market, and to create a plan of action to make sure those skills are developed by all citizens. The competencies and foundation skills that resulted from the SCANS study were intended to set the agenda for what students are taught in the nation's schools and how workers are trained and retrained for the high-skill, high-wage jobs of the future. Considering SCANS' roots in the Department of Labor and its prominence in the workforce development field, it was logical to base this study of workplace essential skills on the foundation provided by the SCANS study.

Overview. While the SCANS competencies and foundation skills identify what skills are important and needed, and the SCANS study offers an agenda for teaching and training American workers in the use of these essential skills, there are now numerous other systems for identifying, defining, measuring, and analyzing essential workplace skills. These have grown both rapidly and in many directions, creating the need for a comprehensive overview of products and services related to workplace skills. This report provides that overview. It can, therefore, serve as a resource for organizations and researchers as they proceed to build on the essential skills defined here. It can also serve as an historical reference of the efforts made to date, and how they relate to one another.

Standard language. When comparing the workplace basic skills defined by SCANS, and skill frameworks developed by a variety of national and international organizations, ACT found a great degree of commonality in the skill definitions. As a result, in addition to its usefulness as an overview, this report standardizes the language used for the discussion of workplace basic skills. In this capacity it will serve as a general reference for human resources personnel, trainers, educators, curriculum developers, and researchers who are interested in workplace basic skills training. It can function as a guide for these professionals and others who wish to rely on a taxonomy of skills development when planning courses or other training exercises, or who would like guidance in relating assessments to the skills being taught.

Standard reference points. This research also expanded the general applicability of the skill definitions by developing a behaviorally-anchored scale for each skill. The hierarchical scales operationalize the skill definitions by providing behavioral examples of the skill performance within a skill area. For instance, for the foundation skill, Reading, Level 1 is defined as "Reads simple material such as basic instructions, directories, product labels, menus, phone messages, and signs to be informed or to learn. Level 5 Reading is defined as "Synthesizes specialized or highly technical documents in order to solve problems or perform analysis or evaluation." For workers, employers, trainers, educators, and program administrators considering work-related activities, these scales can serve as a standardized point of reference for activities such as:

- Identifying the skills and skill levels required for employment
- Approximating the skill levels of current or future workers
- Identifying the skill development that will help match workers to job requirements
- Describing individual skills as part of a job transition process
- Identifying valid assessments for measuring workplace readiness
- Using a hierarchical taxonomy of skills for facilitating the development of individual training plans, and for preparing and developing employment training programs

Workplace Essential Skills: Resources Related to the SCANS Competencies and Foundation Skills was also commissioned to go beyond the identification and classification of the skill definitions to address the following questions:

- What skills are being defined?
- What are the levels of performance for each SCANS skill area defined?
- What features do the SCANS and Occupational Information Network (O*NET) frameworks have in common?
- What assessment tools are available to measure the SCANS skill areas?
- How are exemplary programs providing training for these skills?

Because the report addresses these questions, it also serves as a comprehensive reference for workforce development initiatives.

Using the report

The report uses the SCANS organizational framework that distinguishes between workplace competencies and foundation skills. The workplace competency areas are: managing resources, accessing and storing information, interpersonal situations, understanding systems, and using technology. The foundation skills--basic skills, thinking skills, and personal qualities—are necessary for proficient performance in each of the five competency areas. There is a separate section of the report for each SCANS competency area and the foundation skills required for successful performance within it. Each of these sections includes the following elements:

The original SCANS definition. Each skill section leads with the original SCANS definition as it was published in 1991.

Panel comments. A panel of technical experts including business, government, and education professionals was convened to review the information that was gathered during the literature review. Their comments are presented here.

A summary of the literature review. More than fifty domestic and international sources that reported on sets of essential skills were included in the literature review. Direct comparisons between the skills were made by grouping them according to the SCANS framework.

A list of sources. Summaries of how a given skill or skill area was defined by a source are included under this heading. The list is an excellent resource for future researchers who may work to organize and define workplace skills.

The SCANS scales. Based on the literature and panel comments, hierarchical behavioral scales for each skill area were developed. The scales can be used for identifying tasks performed by workers in a given job, and when job descriptions and/or training curriculums are in development.

*SCANS–O*NET Crosswalks.* The Occupational Information Network (O*NET) is replacing the *Dictionary of Occupational Titles.* The content model of O*NET is designed to provide a systematic way to collect and analyze occupational information in order to accurately describe the activities, context, characteristic, and requirements of each occupation in the United States. The SCANS to O*NET Crosswalks permit understanding of the O*NET skill definitions and scales as they compare to the SCANS skill definitions and scales, and vice versa. The crosswalks are not intended to replace SCANS or imply equivalence, but to direct users to definitions of similar skill areas.

*SCANS–O*NET scale anchors and how they relate to each other.* Each O*NET skill area contains three scale anchors: High, Medium, and Low. Where a match exists at the definition level, the SCANS scale level definitions were matched to the O*NET scale anchors. However, Level 5 on the SCANS scales does not always correspond to the "High" O*NET scale anchor, and Level 1 on the SCANS scales is not always equal to the "Low" O*NET scale anchor.

*Other O*NET links.* The O*NET categories describe potentially different aspects of workplace skills that are relevant to the SCANS skill areas. Therefore, other possible O*NET links are provided under this heading.

Assessments. Tests in Print, the *Mental Measurements Yearbooks,* and the *ERICA/AE Test Locator* were consulted and a list of assessments was compiled. The assessments listed were designed for youth and/or adult populations, were suitable for nationwide administration, and appeared to be relevant to the SCANS competencies and foundation skills. Major assessment publishers were asked to provide test descriptions and technical information. No attempt to critique the assessments listed in this report was made by ACT or the Department of Labor, so further information should be obtained from the publisher before deciding to use specific assessments.

There are five appendices, as follows:

Appendix A contains a list of sources, with a brief summary of each source. For this list, ACT concentrated on literature that was mainly produced in the last decade. This list is an excellent resource for future researchers who may work to organize and define workplace skills.

Appendix B contains a table showing the complete set of Crosswalks developed for the report, the SCANS to O*NET framework crosswalk, the SCANS to O*NET scale crosswalk, and the O*NET to SCANS crosswalk. The crosswalks provide an alignment of the SCANS and O*NET frameworks and are developed as a resource for those who have adopted SCANS or similar frameworks and need guidance to transition to the new O*NET framework.

Appendix C contains the full list of published assessments that are currently available for use in measuring workplace-related skills. The assessments are listed in alphabetical order. Information presented in the listing includes a description of the assessment; its publisher, and its availability; potential links to SCANS skills; the purposes it might be used for; and technical information.

Appendix D provides case studies that exemplify effective strategies for teaching workplace essential skills. The case study report documents instructional practices that have been effective for helping learners develop and improve essential workplace skills. The case studies present exemplar programs that may serve as models for those working to develop, administer and improve workforce development initiatives.

Appendix E is a list of the technical experts and youth training program professionals who were members of the Workplace Essential Skills Panel.

Through the synthesis of workplace essential skill definitions, skill level descriptions, assessments associated with them, and case studies this report offers a "roadmap" for education and training providers who are incorporating workplace readiness skills into their vocational and technical education or adult education programs. State agencies and local providers of vocational and technical education, adult education, and programs developed under WIA will also find these frameworks and assessments useful to their local program development and improvement goals.

This Executive Summary and the full report can be found on:

http://wdr.doleta.gov/opr/fulltext/00-wes_es.pdf

National Skill Standards Board

The National Skill Standards Board (NSSB) is a coalition of leaders from business, labor, employee, education, and community and civil rights organizations created in 1994 to build a voluntary national system of skill standards, assessment and certification systems to enhance the ability of the United States workforce to compete effectively in a global economy. These skills are being identified by industry in full partnership with labor, civil rights and community-based organizations. The standards will be based on high performance work and will be portable across industry sectors.

The NSSB has categorized the workforce into 15 industry sectors, which, under the guidance of the NSSB, are assembling skill standards, assessment and certification for their respective industries. The sectors are:

- Agriculture, Forestry, and Fishing
- Business and Administrative Services
- Construction
- Education and Training
- Finance and Insurance
- Health and Human Services
- Manufacturing, Installation and Repair
- Mining
- Public Administration, Legal and Protective Services
- Restaurants, Lodging, Hospitality and Tourism, and Amusement and Recreation
- Retail Trade, Wholesale Trade, Real Estate and Personal Services
- Scientific and Technical Services
- Telecommunications, Computers, Arts and Entertainment, and Information
- Transportation
- Utilities and Environmental and Waste Management

Skill standards development is nearing completion in two important sectors - manufacturing and the retail/wholesale industries. The Manufacturing Skill Standards Council (MSSC) and the Sales & Service Voluntary Partnership, Inc. (S&SVP), plan to complete initial standards development in their respective industries this year. On October 1, 1999, the education and training convening group was recognized as the Education and Training Voluntary Partnership (E&TVP), which plans to release skill standards in 2001. In January of this year, the Utility Industry Group (UIG) was created to begin the development of skill standards in the utility industry. Finally on May 16, 2000, the NSSB recognized the Hospitality and Tourism Industry Coalition as the organization's fourth Voluntary Partnership. Coalition building efforts continue for the finance and insurance, business and administrative services, and telecommunications industry sectors.

To keep up with NSSB's progress, you can check out their website which contains an extensive collection of skills-related information. The site also hosts an electronic version of the NSSB Clearinghouse, which houses nearly 1,600 skills-related documents; a categorized system of nearly 200 links to domestic and international skills certification and apprenticeship programs; and detailed information on all of their industry coalitions. You can also visit the websites of their partners in the national skill standards system via links on their homepage.

One of those partners is America's Learning eXchange (ALX), a component of America's Career Kit (a U.S. Department of Labor project) which includes an on-line resource containing a large database of education and training programs, courses, and training providers. Users can also access information about licensing, accreditation and certification through a user-friendly interface, which allows them to match skills with certification and training programs.

The NSSB has collaborated with ALX to become one of ALX's *Strategic Partners*. Through this partnership, the NSSB and ALX will share information about the technical knowledge and skills required to meet industry skill standards, thus enabling greater public access to information on certifications and skill standards. As part of its website, ALX provides information on certification programs and the educational courses that are relevant to each certification. The NSSB complements this information by providing a certification programs directory plus in-depth reports on selected certification programs, which include detailed information on the programs and the requirements for certification.

For more information on the National Skill Standards Board,

- Call: (202) 254-8628 or toll-free at (877) THE-NSSB (843-6772)
- E-mail: information@ nssb.org
- Visit: www.nssb.org and www.alx.org
- Write: National Skill Standards Board
  1441 L Street NW Suite 9000
  Washington, DC 20005-3512

Illinois Occupational Skills Standards

The Illinois Occupational Skill Standards and Credentialing Council (IOSSCC) endorses occupational skill standards and credentialing systems for occupations that (a) require basic workplace skills and technical training, (b) provide a large number of jobs with either moderate or high earnings, and (c) provide career advancement opportunities to related occupations with moderate or high earnings. The nine-member Council was established by the Occupational Skill Standards Act (PA 87-1210). The council, representing business, industry and labor and working with the Illinois State Board of Education in partnership with the Illinois Community College Board, Illinois Board of Higher Education, Illinois Department of Employment Security and Illinois Department of Commerce and Community Affairs, has created a common vision for workforce development in Illinois.

It is the vision of the IOSSCC to develop a statewide system of industry-defined and recognized skill standards and credentials for all major skilled occupations providing strong employment and earnings opportunities in Illinois. The Council developed 14 industry subcouncils (representing all major industries in Illinois) to review, approve and promote occupational skill standards and credentialing systems. In cooperation with organizations such as the Illinois Chamber of Commerce, the Illinois AFL-CIO, the Illinois Manufacturers' Association and others, the Council established the first five subcouncils in 1995—Agriculture and Natural Resources, Manufacturing, Health and Social Services, Hospitality, and Business and Administrative/Information Services. The remaining subcouncils include Applied Science and Engineering Services; Legal and Protective Services; Transportation, Distribution and Logistics; Educational Services; Financial Services; Marketing and Retail Trade; Communications; Construction; and Energy and Utilities. Standards Development Committees, composed of business, labor and education representatives, are experts in the related occupational cluster and work with the product developer to

- develop or validate occupational skill standards,
- identify related academic skills,
- develop or review assessment or credentialing approaches, and

- recommend endorsement of the standards and credentialing system to the industry subcouncil.

Any occupational skills standards and credentialing system seeking IOSSCC endorsement must:

- represent an occupation or occupational cluster which meets the criteria for IOSSCC endorsement;
- address both content and performance standards for critical work functions and activities for an occupation or occupational area;
- ensure formal validation and endorsement by a representative group of employers and workers within an industry;
- provide for review, modification and revalidation by an industry group a minimum of once every five years;
- award credentials based on assessment approaches that are supported and endorsed by the industry and consistent with nationally recognized guidelines for validity and reliability;
- provide widespread access and information to the general public in Illinois;
- include marketing and promotion by the industry in cooperation with the partner state agencies.

The definitions and endorsement criteria are designed to promote the integration of existing and future industry-recognized standards, as well as the integration of the Illinois academic and occupational skill standards. Because all skill standards must address the critical work functions and activities for an occupation or industry/occupational area, the Council further defined three major components:

- Conditions of Performance: The information, tools, equipment and other resources provided to a person for a work performance.

- Statement of Work: A description of the work to be performed by a person.
- Performance Criteria: The criteria used to determine the required level of performance.

These criteria could include product characteristics (e.g., accuracy levels, appearance), process or procedural requirements (e.g., safety, standard professional procedures) and time and resource requirements. The IOSSCC also requires performance criteria to be further specified by detailed individual performance elements and assessment criteria. The IOSSCC is currently working with the Illinois State Board of Education and other state agencies to integrate the occupational standards with the Illinois learning standards which describe what students should know and be able to do as a result of their education. The Council is also working to integrate workplace skills—problem solving, critical thinking, teamwork, etc.—with both the learning and occupational skill standards.

Currently developed and endorsed products are as follows:

- Administration Support Cluster.
- Architectural Drafting Cluster (CAD).
- Automotive Technician Cluster.
- Chemical Process Operator.
- Clinical Lab Science Biotechnology Cluster.
- Court Reporter/Captioner Cluster.
- Finishing and Distribution Cluster.
- Foodservice Cluster.
- Floristry Cluster.
- Greenhouse / Nursery Cluster.
- Imaging/Pre-Press Cluster.
- Information Processing Cluster.
- Landscape Technician Cluster.
- Legal Office Cluster.
- Lodging Cluster.

- Machining Skills Cluster.
- Mechanical Drafting Cluster.
- Medical Office Cluster.
- Metal Stamping Skills Cluster.
- Nursing Cluster.
- Physical Therapist Assistant Cluster.
- Press Operations Cluster.
- Retail Garden Center Cluster.
- Row Crop Cluster.
- Surgical Technologist Cluster.
- Trucking Cluster, Entry Level.

The following products are endorsed, and will be available soon:

- Housekeeping Management.
- Livestock Production Swine.

The following products are in development:

- Accounting Service.
- Agricultural Machine Technician.
- Agriculture Sales/Marketing.
- Dental Hygienist.
- HVAC.
- In Store Retail.
- Information Technology Operator.
- Information Technology - Build Design.
- Insurance.
- Livestock Production Beef.
- Occupational Therapy Assistant.
- Plastics.

The following products are in the beginning development stage:

- Agriculture Lab & Field Research Cluster.
- Collision Repair.
- Banking.
- Meeting Planner.
- Dental Assistant.
- Information Technology Build/Design.
- Retail Operations.
- Travel And Recreation.
- Welding.

The Illinois Occupational Skills Standard project is a partnership of state agencies responsible for serving the development of Illinois citizens in various ways. The project is administered and funded by the lead agency, Illinois State Board of Education. Other partner agencies are Illinois Board of Higher Education, Illinois Community College Board and Illinois Department of Employment Security. The project is managed through the Department of Workforce Education and Development, Southern Illinois University, Carbondale.

Contact persons for the project are as follows:

Illinois State Board of Education Liaisons
217.782.2826 FAX 217.785.9210
Project management SIUC Jacquelyn King 618.453.1904, FAX 618.453.1909 e-mail jking@siu.edu or Springfield project office 217.557.6493, FAX 217.557.5201, e-mail bwelker@siumed.edu
More general information can be found here

For more information about Illinois Occupational Skill Standards,

- Call: Illinois State Board of Education Liaisons at (217) 782-2826 or Project management/SUIC (Jacquelyn King) at (618) 453-1904

- E-mail: jking@siu.edu or bwelker@siumed.edu
- Visit: www.standards.siu.edu

On the next page is a sample format. A complete sample of an actual skills cluster for “Lodging” can be found on http://www.standards.siu.edu/pdf/hospitality/Lodging.pdf.

Sample format:

SUMMARY OF WORK TO BE PERFORMED, SUMMARY IS BRIEF AND BEGINS WITH AN ACTION VERB	**PERFORMANCE AREA**
SKILL STANDARD	
CONDITIONS OF PERFORMANCE	

A comprehensive listing of the information, tools, equipment and other resources provided to the person(s) performing the work.

WORK TO BE PERFORMED

An overview of the work to be performed in demonstrating the performance skill standard. This overview should address the major components of the performance. The detailed elements or steps of the performance are listed under "Performance Elements."

PERFORMANCE CRITERIA

The assessment criteria used to evaluate whether the performance meets the standard. Performance criteria specify product/outcome characteristics (e.g., accuracy levels, appearance, results, etc.) and process or procedure requirements (e.g., safety requirements, time requirements, etc.).

PERFORMANCE ELEMENTS

Description of the major elements or steps of the overall performance and any special assessment criteria associated with each element.

Listing of required testing, certification and/or licensing.
Product and process used to evaluate the performance of the standard.

PRODUCT

Description of the product resulting from the performance of the skill standard.

PROCESS

Listing of steps from the Performance Elements which must be performed or the required order or performance for meeting the standard.

ACT's Work Keys

ACT, Inc. is an independent, not-for-profit organization that provides a wide array of assessment, research, information and program management services in the areas of education planning, career planning, and workforce development. ACT's

Work Keys system is a process for profiling job skills that can be useful in a credentialing effort. Work Keys is designed to help businesses address a variety of human resource issues through the following features:

- Working with an organization's experienced employees, ACT-authorized job profilers use a proven methodology to evaluate the key skills and levels of competency required for specific jobs in the organization.

- Next, ACT's standardized Work Keys skill assessments are administered to job applicants and/or employees to pinpoint their current skill levels in up to eight critical areas.

- The business then compares the skill levels demonstrated by each test taker to the minimum skill level required for the profiled jobs, enabling the organization to evaluate an applicant's qualifications or determine the training needs of current employees.

Work Keys assessments measure eight foundational workplace skills:

- Applied Mathematics.
- Applied Technology.
- Listening.
- Locating Information.
- Observation.
- Reading for Information.
- Teamwork.
- Writing.

Each skill is measured by a distinct skill scale. Scales for each of the assessments have been developed with the help of educators and business people. The scales encompass a range of skills, from the lowest level for which employers are willing to test, up to the point at which specialized training is needed.

Work Keys is used for white-collar professional jobs as well as on the shop floor. More than 5,000 unique job titles, ranging from accountant to automotive technician and from welder to webmaster have been profiled.

For more information about Work Keys,

- Call: 1-800/WORKKEY (967-5539)
- E-mail: workkeys@act.org
- Visit: www.act.org
- Write: ACT
  Attn: Work Keys
  2201 North Dodge Street
  P.O. Box 168
  Iowa City, IA 52243-0168

DACUM

DACUM Research Chart Bank of The Ohio State University's Center on Education and Training for Employment

DACUM (an abbreviation for "Developing A Curriculum") is:

- an occupational analysis performed by expert workers in the occupation.
- an occupational skill profile which can be used for instructional program planning, curriculum development, training materials development, organizational restructuring, employee recruitment, training needs assessment, meeting ISO9000 standards, career counseling, job descriptions, competency test development and other purposes.

The DACUM is founded on the following principles:

- expert workers are better able than anyone else to describe their occupation.
- an occupation can be described effectively in terms of the tasks successful workers perform.
- successful task performance is directly related to the knowledge, skills, tools and attitudes that workers must possess to perform the tasks correctly.

The DACUM process for occupational analysis involves expert workers - the local men and women with reputations for being "the best" at their jobs. These workers describe what they do and how they do it. Their descriptions are in the language of the occupation. And when the process is completed, you've got a complete DACUM chart - a graphic profile of the tasks required in an occupation developed by expert workers in the occupation. A DACUM chart can then be used as a basis for curriculum development/revision, meeting ISO 9000 and TQM standards, training needs assessment, competency test development, trainee achievement records, fostering linkages with education, as well as the foundation for a credentialing process.

A large collection of DACUM research charts covering a wide range of occupations has been collected and catalogued. A listing of the over 350 available DACUM charts is presented on the following pages. These charts have all been developed either by staff of the Center on Education and Training for Employment (CETE) at The Ohio State University or by persons they have trained.

Individual charts can be purchased from CETE. This service is offered to assist curriculum developers and others who wish to develop either competency-based education or performance-based training program, but for whatever reason, cannot immediately conduct a local DACUM workshop of their own. High quality DACUM charts imported from elsewhere can provide valuable start-up information and/or serve as a basis for conducting a modified DACUM workshop. However, it is highly recommended that any chart purchased from CETE or elsewhere be locally validated via a task verification process or appropriate advisory committee review. And CETE notes that while offering DACUM charts for sale at a minimal fee, it in no way wishes to discourage schools, community colleges, technical institutes, government agencies, and businesses and industries from conducting their own up-to-date locally relevant job or occupational analysis.

For more information about DACUM,

- Dr. Robert E. Norton at (800) 848-4815 Ext. 2-8481
- Visit: www.dacum.com
- Write: DACUM Research Chart Bank
  Attn: Robert E. Norton
  Center on Education and Training for Employment
  The Ohio State University
  1900 Kenny Road
  Columbus, OH 43210-1090

Available DACUM Charts

Account Clerk, 1999
Account Clerk III, 1997
Accounting Assistant, 1994
Administrative Assistant, 1993
Administrative Asst., Educational, 1992
Adult Basic Education Director, 1996
Adult Vocational Administrator, 1995
Adult Vocational Evaluator, 1996
Agricultural Productionist, 1994
Agriculture Sales/Manager, 1994
Airconditioning & Refrigeration Mechanic/Technician (Philippines), 1997
Airconditioning Technician, 1999
Airconditioning/Refrigeration Technician, 1999
Aircraft Maintenance Tech., 1993
Alternative Fuel Technician, 1994
Appliance Service Technician, 1998
Application Software Developer (Philippines), 1997
Aquaculture Technician, 1998
Assessment, 1996
Audio Production Technician, 1998
Audio-Visual Production Technician, 1997
Auto Mechanic, 1994
Auto Parts Salesperson, 1999

Auto Service Receptionist, 1999
Automotive Mechanic, Levels 2, 3, & 4, 1996
Automotive Parts Specialist, 1993
Automotive Service Manager, 1994
Aviation Maintenance Technician, 1993
Avionics Technician, 1995
Bachelor of Technology Graduate, 1994
Beauty Salon Supervisor, 1999
Benefits Coordinator, 1996
Biogas Constructor (Philippines), 1997
Biogas Technician (Philippines), 1997
Biomedical Equipment Technician, 1998
Brick Mason, 1998
Building Maintenance, 1991
Business & Human Resource Administrator, 1996
CAD/CAM Technician, 1993
CADD Operator, 1994
Car Electrician, 1998
Car Mechanic, 1998
Career Pathway Specialist, 1997
Career Planning Specialist, 1997
Career Planning System, 1998
Career Related Teacher, 1995
Career Technical Facilitator, 2000
Case Management, 1996
Case Managers, 1998
Chamber of Commerce, Executive Director, 1992
Childhood Education, Early, 1992
Childhood Professional, Early, 1994
Chinese Educational Leader: Principal, Vice Principal, Associate Principal, 1997
Civil Service Testing Function, 1997
College Counselor, 1999
College Instructor, 1999
Commercial Artist, 1995
Commercial Refrigeration Mechanic (Philippines), 1997
Community Leader, 1994
Computer Applications Programmer, 1995

Computer Engineering Technician, 1995
Computer Graphic Artist (Philippines), 1997
Computer Help Desk Specialist, 1998
Computer Information Systems-Operations, 1992
Computer/Network Systems Administrator, 1994
Computer Repair Technician, 1998
Computer Sales & Technical Support Personnel, 1992
Computer Science Cluster, 1998
Computer Support Specialist, 2000
Computer Technology, 1993
Computer User Support Specialist, 1998
Construction Equipment, Mechanic, 1993
Construction Supervisors, 1993
Control Systems Technician, 1997
Convention Services/Special Events Coordinator, 1995
Cook, Institutional, 1994
Correctional Program Specialist, 1997
Correctional Records Management Supervisor, 1999
Correctional Supervisor, 1996
Correction Officer (2), 1998
Corrections Officer, 1993
Corrections Regional Principal, 2000
County Clerk-3, 1996
County Extension Agent, 1999
Course Administrator, 1995
Course Developer, 1995
Court Reporter, 1993
Critical Care Nurse, 1998
Crop Production Sales, 1994
Crop Production Specialist, 1994
Cultural Resource Specialist, 1994
Curriculum Developer-Malaysia, 1995
Custodial Maintenance Worker, 1992
Custodial Services, 1992
Custodial Worker, 2000
Customer-Care Representative (AT&T), 1996
Customer Service Assistant, 2000
Customer Service Rep., 1991, 1992, 1995, 1999, 2000

Customer Service Rep.- Capital One, 2000
Customer Service Rep., Commercial Bank, 1996
Customer Service Supervisor (1&2), 1999
Customer Support, 1999
DACUM Facilitator, 1996
Data Networking Specialist, 1999
Deli-Bakery (Kroger Head), 1997
Dental Assistant, 1993
Department Chair, 1997
Department Chair (Technical College), 2000
Department Directors (hospital), 1997
Department Secretary (hospital), 1997
Designer/Drafter, 1998
Die Setter, 2000
Diesel Equipment Technician, 1996
Diesel Mechanic (Philippines), 1997
Diesel Technician, 1997
Digital Media Designer, 1998
Displaced Homemaker Coordinator, 1995
Document Processing Specialist, 1994
Drafter, 1995
Drug-General Merchandise Clerk (Kroger), 1995
Duty Officer, 1996
Educational Support Person, 1999
Electrical Maintenance Technician, 1993
Electrician, 1997
Electrician Apprentice, 1997
Electro/Mechanical Repair Person, 1992
Electronic Systems Technician, 1993
Eligibility Specialist, 1998
Emergency Medical Technician, 1992
Emergency Medical Technician/Firefighter, 1996
Employee Development Admin., 1998
Employee Development Specialist, 1994
Employer Services, 1996
Employment Consultant, 1997
Employment Service Interview/Representative, 1995
Employment Service Manpower Representative, 1996

Engineering Technician, 1993
Engineering Technician Cluster, 1998
Entrepreneur, 1994
Environmental Coordinator, 1994
Environmental Health & Safety Science, 1995
Environmental Health & Safety Tech., 1993
Environmental Sciences Cluster, 1998
Environmental Services Employees/Managers Program, 1997
Environmental Specialist, 1997
Environmental Specialist Position-ES1&ES2, 1999
Environmental Technologist, 1995
Environmental Technology, 1995
Equal Employment Opportunity Administrator, 1997
Equal Employment Opportunity Managers, 1992
Facilitator, 2000
Farm Coordinator, 1998
Farmer (Nicaragua), 1999
Fashion and Clothing Associate, 1994
Financial Manager, 1995
Firefighter, 1993
First Line Supervisor, 1999
Fluid Power, 1997
Food Processing Specialist, 1994
Food Processing Technician (Philippines), 1997
Food Service Attendant (Waiter/Waitress), (Philippines), 1997
Food Service Coordinator, 1996
Food Stamp Employment & Training Specialist, 1998
Forestry Technician, 1993
General Building Mechanic *including Electrical
Systems,Mechanical Systems, &
General Maintenance, 1993
General Clerk (Grocery), 1995
Graphic Administrator, 1995
Graphic Arts, 1995
Graphic Illustrator, 1996
Graphics-Digital Pre-Press Technician, 1995
Guidance Counselor (Secondary School), 1996
HVAC Residential/Light Commercial Technician, 1999

HVAC/R Technician, 1997
Health Information Technician, 1994
Heating, Ventilation, & Air Conditioning Technician, 1995
Hemodialysis Technician, 1994, 1999
Highway Maintenance Superintendent II, 1996
Home Health Aide (Certified), 1994
Home Medical Equipment Service Technician, 1998
Home Plumber (Nicaragua), 1999
Horticultural Power Equipment Technician, 1994
Hospitality Management, 1992
Hospitality & Lodging Associate, 1995
Human Resource Administrator, 1997
Human Resources Specialist, 1999
Human Services Technician, 1995
Industrial Electrical Technician, 1998
Industrial Maintenance Mechanic, 1992
Industrial Maintenance Technician, 1993, 1998, 1999
Industrial Safety Specialist, 1993
Information Developer, 1996
Information Systems Support Services, 1993
Information Technology Professional, 2000
Instructor, IMANPY (Navy), 1995
Instructor, Junior ROTC, 1996
Instrumentation and Control Technician, 1993
Instrumentation/Electrical Technician, 1998
Instrumentation Technician, 2 from 1998
Insurance Complaint Analyst, Levels 1,2,3,4, 1996
Intake, 1996
Interior Design & Decorating Associate, 1994
International Business Facilitator, 1997
Internet Professional, 1998
Internship Coordinator, 1999
Job Profiler, 1997
Journeyman Heavy Equip. Technician, 1992
Journeyman Machinist, 1993
Journeyman Welder, 1998
Juvenile Correctional Officer, 1998
Juvenile Program Manager, 1998

Labor Relations Officer, 1996
Larvae Breeder (Nicaragua), 1999
Laundry Worker, 1999
Legal Assistant, 1992
Legal Notice Specialist, 1997
Line Attendant (1&2), 1999
Machine Operator, 1999
Machinist, 1993, 1998
Maintenance Repair Worker, 1998
Management Control Oversight Specialist, 2000
Management/Program Assistant, 1997
Management Representative, ISO 9000, 1994
Manager, 1994
Manufacturing Advisors, 2000
Manufacturing Assistant/Associate, 1998
Manufacturing Engineer, 2000
Manufacturing Maintenance Journey Person/Technician, 2000
Marine Diesel Equipment Technician, 1999
Marketing Monitoring Specialist, 1999
Mason, 1993
Materials Science Technician, 1995
Mayor (Ohio, small & mid-size towns), 1992
Meat Cutter (Retail Market), 1998
Mechanical Assembler, 1994
Mechanical Design Technician, 1992
Medical Assistant, 1996
Medical Coder, 2000
Medical Imaging Technician, 1998
Medical Lab Technologist, 1999
Medical Transcriptionist, 1997
Micro-Support Specialist, 1994
Microcomputer Technologist, 1994
Millwright, 1993
Millwright/Pipefitter, 1997
Mold Supervisor, 1996
Multi-Media Specialist, 1995
Multi-Media Technician, 1995
Multimedia Developer, 1995

Multi-Skilled Builder, 1999
Network Security Technician, 2000
Network Specialist, 1999
Nurse, Licensed Practical, 1995, 1997
Nurse, Practical, 1997
Nurse, Registered, 1995
Occupational Nursing, 1999
Occupational Safety & Health Technician, 1997
Occupational Safety Professional (Director, Manager, Specialist, Technician, Coordinator), 1998
Office Administrator, 2000
Office Assistant, 1994
Office Associate/Secretary, 1997
Office Manager, Local, 1994
Office Professionals, 1998
Office Secretary (Philippines), 1997
Office Technologies, 1995
Office Technology, 1995
Office Worker (I.T. Skills), 1994
Ophthalmic Technician, 1992
Organizational Effectiveness Consultant, 1999
Orientation, 1996
P/M Set-Up Technician, 2000
Packaging Management Specialist, 1991
Packaging Specialist, 1998
Paramedic, 1994
Parole Officer, 1996; Parole Officer (Level 1, 2, & 3), 1999
Parole Program Specialist, 1999
Parole Services Coordinator, 1999
Parts Representative, 1995
Patient Care Associate, 1996
Penal Workshop Specialist, 2000
Personal Banker, 1996
Personnel Clerk/Assistant, 1997
Personnel Specialist, 1996
Pest Management Agents, 1992
Pharmacy Technician, 1994
Pipefitter, 1998

Planning & Program Administrator, 1998
Plant Engineering Technician, 1998
Plastics Engineering Technician, 1992
Plastics Technician, 1998, 1999
Plumber, 1995
Plumber and Pipefitter, 1994
Police, Chief of, 1992
Police Officer, 1993
Pool & Spa Installation & Service Tech. Apprenticeship, 1992
Pre-Press Technician, 1992
Print Media Specialist, 2000
Production Control Analyst, 2000
Professional Agricultural Engineer (Philippines), 1997
Program Assistant, 1996
Program Director/Associate Program Director, 1995
Program Manager, 2000
Programmer, 1993
Project Engineer, 1998
Project Managers, 1994
Qualified Worker for the Maintenance and Renovation of Rivers and Canals (Nicaragua), 1999
Radiation Protection Technician, 1997
Radio/TV Broadcasting Personnel, 1992
Real Estate Agent, 1995
Real Estate Appraiser, 1999
Recreation & Leisure Services Professional, 1995
Recruiter, 1997
Recruiting Officer, Senior ROTC, 1996
Regional Social Worker, 1998
Regulatory Engineer, 1999
Respiratory Care (Sub-Acute), 1996
Respiratory Therapist, 1994
Restaurant & Food Service Asst. Mgr./Supervisor, 1995
Retail Management, 1997
Rice Reaper Operator (Philippines), 1997
Safety and Health Manager, 1999
Safety Compliance Professional, 2000
Safety Technician, 1994, 1998, 1999

School Principals, 1996
School to Apprenticeship Coordinator, 1997
Screen Print Lead Person, 1999
Secretary, 1994, 1995
Secretary, Administrative, 1996
Secretary, Divisional, 1994
Secretary, Executive, 1994
Secretary, Executive/Administrative Assistant, 1993
Secretary, Executive Educational, 1993
Security, Assistant Supervisor, 1993
Security Investigator, 1993
Security Officer, 1993
Senior Customer Service Representative, 1999
Sheet-Fed Offset Press Operator (Philippines), 1997
Shift Process Control Engineer, 1999
Shipfitter, 1998
Shrimp Breeder, 1999
Sign Language Interpreter, 1995
Skilled Tradespersons, 1998
Small Business Development Center Director, 1996
Small Engine Mechanic(Philippines), 1997
Software Development Engineer, 1997
Software Technical Support Technician, NEBS, 1994
Sous Chef, 1999
Staff Administrator, 1996
Student Services & Academic Programs Staff (OSU), 1997
Supervisor, 1998
Supervisor Secretary/WPS Secretary 1, 2000
Supplemental Support Staff, 1994
Supply Technician, 1997
Survey Engineer, 1995
System Manager, (Computer Programming Software), 1992
Task Manager, 1995
Teacher, 1992
Teacher, Lead, 1994
Teachers Integrating Computerized Multimedia Into Their
Curriculum Classrooms, 1995
Technical College Instructor, 2000

Technical Training Instructor, 1995
Technical Vocational Instructor, 1993
Telecom Lineman (Philippines), 1997
Teleconferencing Systems Technician, 1998
Test Engineer, 1995
TIMS Systems Administrator (Lucent Tech.), 1997
Ticketing Officer (Philippines), 1997
Tool Programmer, (CNC), 1993
Tour Coordinator (Philippines), 1997
Tour Guide (Philippines), 1997
Traditional Fisherman of the Pacific Coast (Nicaragua), 1999
Trainer/Instructor (Philippines), 1997
Training, 908 (Navy), 1994
Training Coordinator, 1996
Training Instructor, 1993
Training Instructor (Navy), 1994
Training Officer, 1994, 1998, 1999
Transition Coordinator, 1995
Transportation Eng. Prog. Supervisor: Location & Design, 1995
Transportation Engineer, Senior: Location & Design, 1995
Transportation Engineer: Roadway Design, 1995
Transportation Engineer - Hydraulics: Location & Design, 1995
Travel Agent, 1994
Travel & Tourism, 1998
Travel/Lodging Specialist, 1996
TRX Support Technician, 1995
Turf Specialist, 1994
Unemployment Claims Examiner 2, 1995
Unemployment Contributions Examiner 1,1995
Unit Manager/Supervisor (First Line), 1993
Utility Specialist II, 1999
Visit Leader (Navy Code 3200), 1995
Vocational Administrator, Adult, 1995
Vocational Education Master of Science Graduate, 1998
Vocational School-to-Work Coordinator, 1997
Vocational Sex Equity Liaison, 1995
Vocational Instructor (Malaysia), 1995
Vocational Teacher in China, 1993

Vocational-Technical Teacher Educator in Turkiye, 1994
Weapon System Support Manager, 2000
Webmaster, 1999
Welding Supervisor, 1992
Wellness and Recreation, 1999

Corporate Universities

- Many States offer tax credits for corporations to set up a Corporate University for workers gaining State recognized credentials.

- Corporate Universities:
    - Arthur Anderson Center for Professional Development
        - Arthur Anderson & Co, 1405 North Fifth Avenue, St. Charles, Illinois 60174-1264
    - The Busch Learning Center
        - Anheuser-Busch, Inc., 701 Market, St. Louis, Missouri 63101
    - Fordstar
        - Ford Motor Company, 330 Towne Center Drive, Dearborn, Michigan 48126
    - General Motors University
        - General Motors Corporation, General Motors Building, Detroit, Michigan 48202
    - Hamburger University
        - McDonald's Corporation, Ronald Lane, Oak Brook, Illinois 60521
    - Harley-Davidson University
        - Harley-Davidson, Inc., 3700 W. Juneau Avenue, Milwaukee, Wisconsin 53208
    - Iams University
        - The Iams Company, 7250 Poe Avenue, Dayton, Ohio 45414
    - McDonnell Douglas Learning Center
        - McDonnell Douglas Corporation, P.O. Box 516, St. Louis, Missouri 63166
    - Megatech Academy
        - Megatech Engineering, Inc., 1950 Concept Drive, Warren, Michigan 48091
    - Mercantile Stores University
        - Mercantile Stores Company, Inc., 9450 Steward Road, Fairfield, Ohio 45014-2230
    - Motorola University
        - Motorola, Inc., 1303 East Algonquin Road, Schaumburg, Illinois 60196-1097
    - Quality Academy
        - Northern States Power Company, 414 Nicollet Mall, Minneapolis, Minnesota 55401
    - Sears University

    - Sears Roebuck & Company, 3333 Beverly Road, Hoffman Estates, Illinois 60179
- Target Stores University
    - Target Stores (Division of Dayton Hudson Stores), 33 South 6th Street, Minneapolis, Minnesota 55402
- UCH Academy
    - University of Chicago Hospitals, 5841 S. Maryland Avenue, Chicago, Illinois 60637
- Whirlpool Brandywine Performance Center
    - Whirlpool Corporation, 78300 C.R. 378, Covert, Michigan 49043