

Performance Reporting System FAQ #4

For Community-Based Job Training and High Growth Job Training Initiative Grants

August 20, 2008

Important Updates:

1) If grantees have a change in the program or fiscal staff administering their grant, please provide updated contact information to your Federal Project Officer (FPO) and the Business Relations Group as soon as the change occurs. This will avoid interruption in the communication and dissemination of important grant information and materials.

- **High Growth Grantees** should submit changes in contact information to their FPO and the Business Relations Group at: businessrelations@dol.gov
- **Community Based Grantees** should submit changes in contact information to their FPO and the Business Relations Group at: communitybased.grant@dol.gov

2) Changes to the grantee's certifying official (i.e., grant signatory) must be done through a formal modification process. Please call or email your Federal Project Officer, and he or she will provide further instruction. Typically, grantees are asked to send a letter on official letterhead stating their request, providing justification for the change, and including the contact information for the new certifying official.

3) The Performance at Work (PAW) software is optional and will be free of charge to grantees. If grantees already have a system in place for collecting and tracking participant data, they are welcome to continue using that system. ETA is still in the process of finalizing the software. **We anticipate beta testing to begin at the end of August and have compiled a list of grantees interested in serving as beta testers.** We continue work towards completion of PAW by mid-September. ETA will provide further training via Webinar for all grantees wishing to use this optional software.

New Questions and Answers:

In our ongoing effort to support grantees, the following series of questions and answers is intended to address grantee questions pertaining to the new standard reporting form and instructions that were officially approved by the Office of Management and Budget on May 14, 2008. In addition, the Employment and Training Administration (ETA) also answers questions similar to those included below within the on-line reporting system that grantees will use to submit their reports. This document should be viewed as a supplement to other technical assistance materials that have been and will be disseminated to Community-Based Job Training (CBJT) and High Growth Job Training Initiative (HGJTI) grantees.

- 1) **Question:** Will the reporting system time out even if there is activity ongoing or only after a certain time without activity?

Answer: The online reporting system will "time out" after 4 hours of inactivity. For the purposes of this question, "activity" is defined as saving a page, not just typing.

- 2) **Question:** What form should be in a participant file if they don't provide SS card? This was mentioned at the end of "Tips" session during the July 14 training.

Answer: If a participant opts not to provide a Social Security Number, a record that he/she was asked to provide this information should be included in the participant's file. For example, including a copy of the intake form that includes a SSN field, even though it was not filled out by the participant, would be sufficient. Additionally, in the *Reason for Exit* field in the Standardized Individual Record, the grantee would enter "99" (Missing or Invalid SSN). It is

also important to note that grantees do not have to require/request a Social Security Card from participants or project applicants; having individuals complete intake forms requesting this information is sufficient.

- 3) **Question:** We have an Allied Health program with youths and adults as capacity building. They are not a direct pipeline into the primary program of cardio vascular technology aa/aas degrees. I understand that common measures are not required for youth, what about the adults?

Answer: All individuals who receive a determination of eligibility and who are 18 or older when they first receive a grant-funded service beyond a career awareness or career exploration activity are considered participants. The Adult Common Measures must be reported for all these participants. If the individuals attending the Allied Health program meet these criteria, they are considered participants and must be included in the Adult Common Measures. If individuals are under 18 and are determined to be participants in the Allied Health program, they are not included in the Adult Common Measures, but they must be reported in other applicable sections of the ETA-9134.

- 4) **Question:** Do we follow that same directive (cumulative as "current") in our figures for the Narrative section (Sec. D. 1), point B. Status Update on Leveraged Resources? If yes, does the reporting then just line up with the 9130? Or do we need to also do some adjustment with inputting the 9130?

Answer: Regarding the first part of the inquiry, yes, the quarterly progress report for the quarter ending June 30, 2008 should be cumulative to date and, as such, the leveraged resources reported by the grantee would be cumulative. Regarding the second part of the inquiry, the 9130 is the quarterly financial reporting form, and the amount reported by a grantee each quarter is aggregated. These two reports are not automatically synchronized; updating one will not automatically result in an update of the other. Grantees need to report leveraged resources separately in each form and should follow the reporting instructions associated with each.

- 5) **Question:** How do I count participants who receive more than one certification and or degree?

Answer: A participant may only be counted once in each data element on the 9134, Sections A through C. This means a participant may only be counted once in C.2 (Number Completed Education/Job Training Activities), C.2a (Number Received a Degree or Certificate), C.2b (Number Entered Employment) and C.2c (Number Entered Training-Related Employment, and the NAICS code). **However, if a participant receives more than one degree, that information can be tracked and reported in the "Additional Information" section of the narrative report (Section D.11).**

- 6) **Question:** Could ETA provide some additional information on how common measures are calculated once we provide Social Security Numbers (SSNs)?

Answer: As further described in Question #3 in FAQ #3 released on August 6, 2008, if grantees are able to provide ETA with SSNs and the three other required data elements for an exiter—employment status at participation, date of exit, and reason for exit—ETA is able to calculate the Adult Common Measures for that exiter on behalf of the grantee. If grantees can provide these four data elements for all grant exiters, ETA will be able to calculate the grant's Adult Common Measures. Due to the manner in which the Adult Common Measures are computed and ETA's process for collecting data elements from grantees and then reporting Common Measures outcomes back to them, there will be a lag from the time that a participant enters employment and when the grantees receive Common Measures information back from ETA. ETA is currently working to determine the most effective, timely

way to get outcome information back to the grantees and will share that with grantees as soon as possible.

- 7) **Question:** We are still struggling with how to answer Question 2a in Section C (Customer Services and Activities). We are concerned about individuals who have completed 1 of 2 courses in the Certificate Programs. They will receive a certificate if they successfully complete one course so I would think that we should count them in Question 2a if they completed within the quarter. The problem lies if they go on to take the second course in the certificate program. If they complete the second course and receive the certificate for the 2 course program, we would be counting them a second time. Is that acceptable? If not, what's your take on how to answer the question since our outcome measures include people who have completed 1 and 2 courses?

Answer: As noted in the *Reporting Supplement and Glossary*, "completion" refers to the successful completion of education/job training activities. What constitutes "successful completion" - such as a certain grade or passing a pass/fail program - is determined by each grantee. Some grantees' education/training activities are comprised of a series of courses or activities, and the intent of their education/training activities is for individuals to complete the entire series of courses or activities. In this case, "successful completion" should be defined as finishing the entire series of courses or activities.

For example, some CBJT grantees offer Associates degree programs. In this example, grantees should only report that an individual has completed training when the individual has finished all of the courses and/or activities in the Associate Degree program and are considered "successful completers" as defined by the grantee. In a second example, some grantees have training programs that focus on the acquisition of multiple certifications, and participants successfully complete the program when they receive all the certifications on which the training focuses. In this second example, grantees should only report that an individual has completed training when the individual has finished all of the courses and/or activities for each of the certifications and are considered "successful completers" as defined by the grantee.

This situation described in this question seems to be similar to this second example; participants should be reported as completing Education and/or Job Training Activities after "successfully completing" both courses of the 2 course program. To respond to the questioner's concern about double counting a participant, each participant may only be counted in each data element once. If a participant receives more than one degree, that information could be captured in the "Additional Information" section of the narrative report.

- 8) **Question:** In the case of an audit, what documentation is required to verify capacity building numbers?

Answer: Grantees must be able to provide evidence that the numbers reported in the capacity building section are accurate. For example, a sign-in sheet for a career awareness session would be sufficient. Full demographic information for each person affected by the capacity building activities is not required.

- 9) **Question:** What is the intent of total participants served? Do our capacity building activities include participants? For example, in our quarterly report for the period ending March 31, 2008, we reported 227 awareness sessions for 10,646 people and short-term workshop training for 853 business workers. We were advised before the ETA-9134 was introduced that these individuals did not count as participants, and we therefore did not gather a complete set of "participant" data for these workers. How should we handle these individuals now? If the activity falls under a capacity building activity, is the individual now classified as a participant?

Answer: The intent of the "Total Participants" data element is to record every participant who received a grant-funded service during the reporting period. In FAQ #2, ETA noted that career awareness and career exploration activities are not sufficient to trigger participation in the grant.

In this example, it appears the 10,646 people who attended an awareness session did not receive any other grant-funded services and would therefore NOT be considered participants. Because they are not participants, they are not reported in sections A, B, or C of the ETA-9134, nor are they included in the Adult Common Measures calculation. Instead, they are solely reported on the Capacity Building tab of the online reporting system as "Other people who participated in grant-funded capacity building activities". Likewise, if the "short-term workshops" are for career awareness or career exploration and individuals participated in these workshops but in no other grant-funded services, then the 853 business workers would be reported on only the Capacity Building tab as well.

Given that some of the data elements on the 9134 were not previously required, ETA recognizes that grantees might not have complete data for every participant that has been served by their grant. If grantees have not collected some of the newly required data elements, ETA does not require grantees to go back and collect this information for the initial report (although that is certainly an option). That said, it seems that the individuals described in this question never became participants (because they only received career awareness activities), and therefore should only be reported on the Capacity Building tab.

10) Question: Should we only report data on participants if we have gender, ethnicity/race, veteran status, and disability status? Or, do we need to have all four items on an individual to include them in our reporting? Where do we report capacity information if we don't have demographic data from our previous activities? For example, where would I report 227 awareness sessions for 10,646 people (from the last QPR) or the 853 short-term workshop attendees from 103 technical workshops (also from the last QPR)?

Answer: In terms of "should we only report data on participants if we have gender, ethnicity/race, veteran status and disability status..." as per the paragraphs above, the answer is no. Grantees are required to report services and related outcomes for all participants, whether or not demographic and equal employment opportunity information has been collected. In terms of "do we need to have all four items on an individual to include them in our reporting" -- again, the answer is no. Grantees are required to report services and related outcomes for all participants regardless of whether all, some or none of the information in Section B of the ETA 9134 has been captured.

Regarding the question, "Where do we report capacity information if we don't have demographic data from our previous activities," if individuals only participated in capacity building activities (for instance, more than 10,000 people attended an awareness session and received no other services through the grant), then demographic information is not captured and not reported. These individuals should be solely reported on the "Capacity Building" tab of the online reporting system.

Regarding the question as to where to report 853 short-term workshop attendees from 103 technical workshops, it depends on the workshop. If this represents a grant-funded service beyond career awareness or career exploration (i.e., if these workshops meet the definition of training as per the "Reporting Supplement and Glossary"), then the attendees are considered participants and must be tracked and reported as any other participant, which includes providing demographic and equal employment opportunity information. If the workshop is entirely composed of career awareness or career exploration activities, the individuals would be solely reported on the "Capacity Building" tab of the online reporting system.

11) Question: Should we count students who only take a Vocational ESL class in our Participant count? The VESL class is not specifically listed in 'Projected Outcomes', although the creation of that course is one of many supporting activities of the grant.

Answer: Yes, the Vocational ESL students should be counted as "participants." All individuals who receive a determination of eligibility and a grant-funded service, even if the service is not specifically listed in the projected outcomes or statement of work, should be counted as participants. Because the Vocational ESL class was created with grant funds, all of the students who attend that class are receiving a grant-funded service.

12) Question: Can ETA provide more information on what it means by the "completion" of education/job training activities?

Answer: As noted in the *Reporting Supplement and Glossary*, "completion" refers to the successful completion of education/job training activities. What constitutes "successful completion" - such as a certain grade or passing a pass/fail program - is determined by each grantee. Some grantees' education/training activities are comprised of a series of courses or activities, and the intent of their education/training activities is for individuals to complete the entire series of courses or activities. In this case, "successful completion" should be defined as finishing the entire series of courses or activities.

For example, some CBJT grantees offer Associates degree programs. In this example, grantees should only report that an individual has completed training when the individual has finished all of the courses and/or activities in the Associate Degree program and are considered "successful completers" as defined by the grantee. In a second example, some grantees have training programs that focus on the acquisition of multiple certifications, and participants successfully complete the program when they receive all the certifications on which the training focuses. In this second example, grantees should only report that an individual has completed training when the individual has finished all of the courses and/or activities for each of the certifications and are considered "successful completers" as defined by the grantee.