



# United States Department of Labor

WIA Performance & Reporting 101: Common Measures,  
TEGL 17-05, Reporting Requirements



DOL ETA OPDR DSPP

# Agenda

- Introduction and Background
- Participation, Exit and Related Terminology
- Basic Measurement Rules/Concepts
- Calculating Outcomes on *Adult, DW and Youth*  
Common Measures



# Establishing Common Measures

- Effort led by Office of Management and Budget (OMB) as part of President's Management Agenda
  - Linking performance to budget
  - Supporting effective programs
  - Comparing similar programs across agencies
  - [www.whitehouse.gov/omb/budintegration](http://www.whitehouse.gov/omb/budintegration)

Includes six federal Departments

- Labor; Education; Health and Human Services; Veterans' Affairs; Interior; HUD

## USDOL/ETA Policy

- Common measures became effective for WIA, W-P and VETS on 7/1/05, and for Trade on 10/1/05
- **Final policy** located in TEGL 17-05, dated 2/17/06, TEGL 17-05 Change 1 dated 8/13/07, TEGL 17-05 Change 2 (Literacy/Numeracy)
  - Rescinds previous policy guidance  
TEGL 28-04, TEGL 7-99, TEGL 6-00 & 6-00 Change 1
  - Applies to DOL-funded programs *only*

## Common Measures Waiver

- ETA has granted a waiver allowing states to implement and report only the common measures instead of the 17 statutory measures.
- As of January 25, 2011 42 states have this waiver.
- Those without the waiver are required to report on the statutorily required 17 measures.

# Performance Accountability

- **Accountable for specific Common Measures**

- Entered Employment Rate (WIA, W-P, VETS, Trade)
- Employment Retention Rate (WIA, W-P, VETS, Trade)
- Average Earnings (WIA, W-P, VETS, Trade)

- **Accountable for specific WIA statutory measures**

- Adult and DW Employment & Credential
- OY Entered Employment, Retention, Earnings, Credential
- YY Retention, Skill Attainment, Diploma Attainment
- Customer Satisfaction (Participants and Employers)

## Common Measures: Benefits

- ✓ Focus on the **core purposes** of the workforce system; employment for adults and skill attainment for youth
- ✓ Break down **barriers to integration** resulting from different definitions, data and reports for each workforce program
- ✓ Resolve questions raised by GAO and other oversight agencies regarding **consistency and reliability of data**
- ✓ **Reduce confusion** among customers and stakeholders who want to know about results

# *Participation, Exit and Related Terminology*

# “Participant”

- An individual determined eligible to participate in the program who receives a service funded by the program in either a physical location (e.g., One-Stop Center) or remotely through electronic technologies

Three components:

1. Determined eligible to participate in the program
2. Receives a funded service
3. In either a physical location or through electronic technologies

# Clarification of *Participant*

Looking at the pieces (which impact programs differently!)

1. ***Individual determined eligible to participate***

- Depends on program/funding; doesn't apply in the case of W-P, which is based on universal access

2. ***Receives a service***

- Not all services trigger participation; it's important to understand the distinction between those that *do* and those that *don't*

3. ***In a physical location or remotely***

- Adding remote access to the definition is a fundamental change in policy
- Many substantial services are remotely accessed; this needs to be captured

## “Exiter”

- A participant who hasn't received a program or partner-funded service for 90 consecutive days and no future services are scheduled
  - Three components
    1. Hasn't received a service
    2. For 90 consecutive days
    3. No future services scheduled
- Often referred to as a “soft exit approach”

# Clarification of *Exiter*

Looking at the pieces (which impact programs differently!)

1. ***The participant hasn't received a service***
  - Could be program- or partner-funded depending on policies/procedures (e.g., tracking)
2. ***For 90 consecutive calendar days***
  - A gap in service can stop the 90-day clock if based on specific/allowable circumstances
3. ***No future services scheduled***
  - Some services can extend the exit date
  - Does not include any follow-up services or circumstances where the participant voluntarily withdraws or drops out of the program

# Gaps in Service

- Final common measures policy uses “gap in service” as opposed to the former “planned gap”
- Three allowable circumstances, where the condition exists for at least 90 days
  1. Delay before beginning of training
  2. Health/medical condition of participant/family member
  3. Temporary move from the area that prevents participation
- Gaps in service should be  $\leq 180$  days (from date of last service), although a subsequent gap could be initiated as necessary
- All gaps must be documented and are subject to audit

## Extending the Exit Date

- Services provided by partner programs can extend the point of exit
  - More services potentially means higher outcomes
  - Requires ability to *track* participants until they exit all services (program and partner)
- **This actually highlights the essence of One-Stop, which is integrated services**
  - No one program or entity can do it all. Only by leveraging limited resources of multiple partners and players can we meet the comprehensive needs of system customers

## Other Terms Related to *Exit*

- **Exit Date:** Last date of funded service (program or partner-funded)
  - Once a participant completes all services and 90 days has passed, the exit date is applied retroactively to the last date of service (**Move to speaker notes**)
- **Exit Quarter:** Calendar quarter containing the exit date
- **Exit Cohort:** Group of individuals who exit during the same calendar quarter

## Further Clarification of DATES

- **Participation and Exit Dates are *always* dates of service**
  - Participation Date reflects first funded service
  - Exit Date reflects last funded service
- **Translation of “no more hard exit”**
  - *Not* intended to take responsibility away from case managers; for WIA, case managers do *not have* to wait 90 days, for instance, to begin providing follow-up services
  - However, federal policy states that an *exit* cannot be officially recorded until that 90 days has elapsed
  - One suggestion: It’s possible to have a “case closure” code for case managers

## *When To Exit*

- *Participants should be exited when the service plan or service strategy is complete*
  - The service plan is a “living document,” with additions and changes possible
  - Co-enrollment in different funding streams, additional partner services and a valid gap in service can extend the exit date
- **Participants should *not* be exited after a specific program intervention if additional services are needed**

# Participation and Exit: *A Systems Perspective*



*If a participant is served by multiple programs, it is possible to record the earliest date of service as the date of participation*

*In an integrated service delivery system, a participant is exited when all program services are complete, enabling all individual programs to “share” in the final outcomes*

# *Basic Measurement Rules/Concepts*

# Overview

- Only participants are included in performance calculations
- Calculations are based on exiters\*
- Specific conditions exclude participants from calculations
- Quarters are critical for understanding the measures
- Specific data sources must demonstrate the outcomes

\*The one exception is Youth Literacy/Numeracy

## Only Participants Included in Performance Calculations

- From a measurement perspective, an individual doesn't exist until they're considered a participant
  - It's critical for state and local staff to have the same understanding regarding services that trigger participation, which may be remotely accessed
- Once a participant *exits*, they are subject to the measures, with exception of Literacy/Numeracy
  - Translation: 5 of the 6 measures are "exit-based"
  - Exit policies and procedures are critical

## Excluding Individuals From Performance Calculations

- **Two basic circumstances in which participants are excluded**
  - Statutory Exclusion applying to WIA (adults receiving only self-service and informational activities are not included in performance calculations)
  - One of six conditions exists either at exit or during the subsequent 3-quarter measurement period
- Note: The term “global exclusions” no longer part of common measures policy

## Exclusions (cont'd)

### • Allowable Exclusions

- Institutionalized
- Health/Medical or Family Care
- Deceased
- Reservists called to active duty (includes National Guard)
- Relocated to a residential or non-residential program (applies to youth only)
- Invalid or missing SSN

## Summary of Data Sources

Common Measure	Data Source (s)
Adult Entered Employment Rate	Wage records and supplemental data sources
Adult Employment Retention Rate	Wage records and supplemental data sources
Adult Earnings Change or Average Earnings	Wage records only (except for grantees without current wage record access)
Youth Placement in Employment or Education	Wage records and supplemental data for placement in employment or military; administrative records for placement in education or training
Youth Attainment of Degree or Certificate	Administrative records
Literacy/Numeracy Gains	Assessment instrument

# *Calculating Outcomes on ADULT Common Measures*

## ENTERED EMPLOYMENT RATE

• **Definition:** For those not employed at participation, the percentage employed in the 1<sup>st</sup> quarter after exit

• **Calculation:**

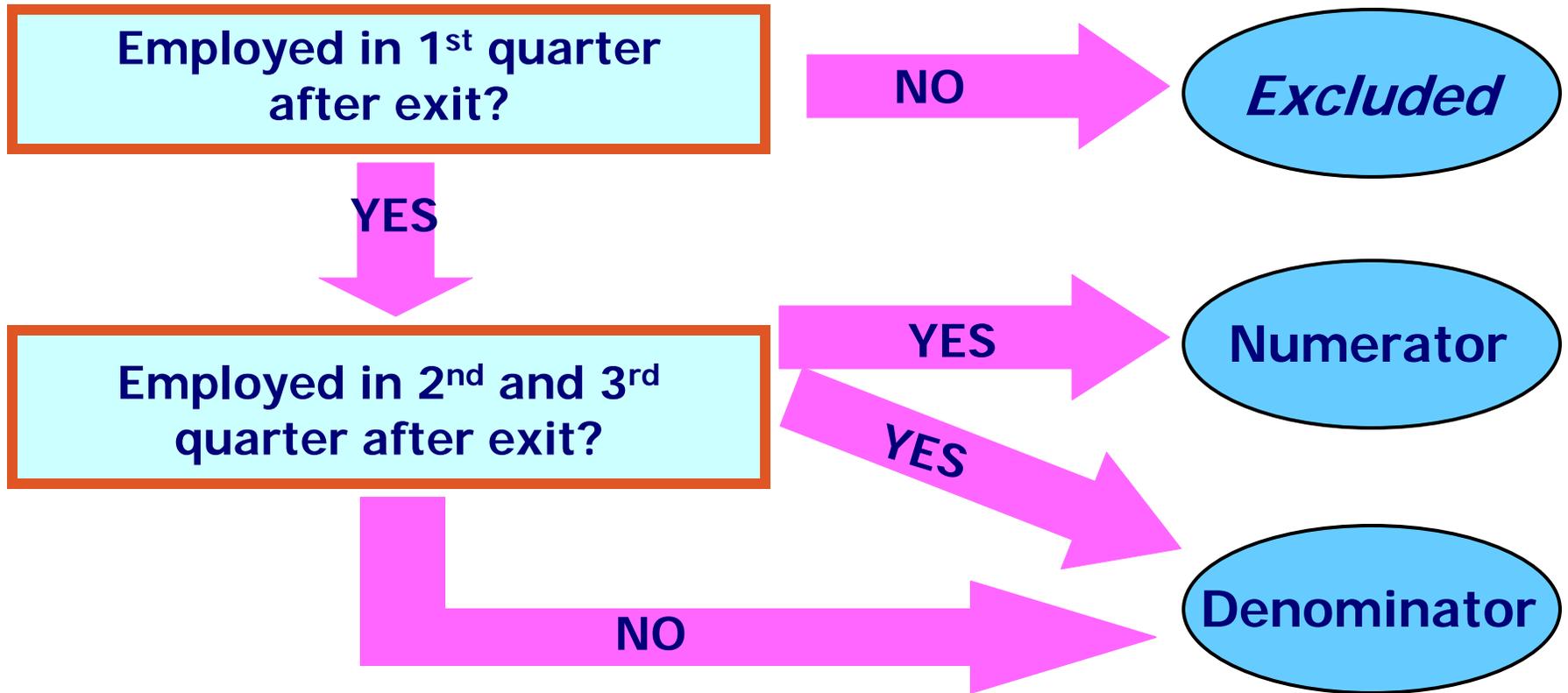
*Of those not employed at participation...*

Number employed in the 1<sup>st</sup> quarter  
after exit

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Number who exit during the quarter

# ENTERED EMPLOYMENT RATE



## Highlights of Adult EER

- ✓ Excludes adults employed at participation
- ✓ Employment at participation is based on information collected from the individual – *not* wage records
- ✓ Those who received a notice of termination or the employer has filed a WARN or similar notice are considered *not employed* and are included in calculations
- ✓ Transitioning Service Members (expected to retire within 24 months or separate within 12 months) are considered *not employed* and are included in calculations

# EMPLOYMENT RETENTION RATE

**Definition:** For those employed in the 1<sup>st</sup> quarter after exit, the percentage employed in the 2<sup>nd</sup> and 3<sup>rd</sup> quarter after exit

## **Calculation:**

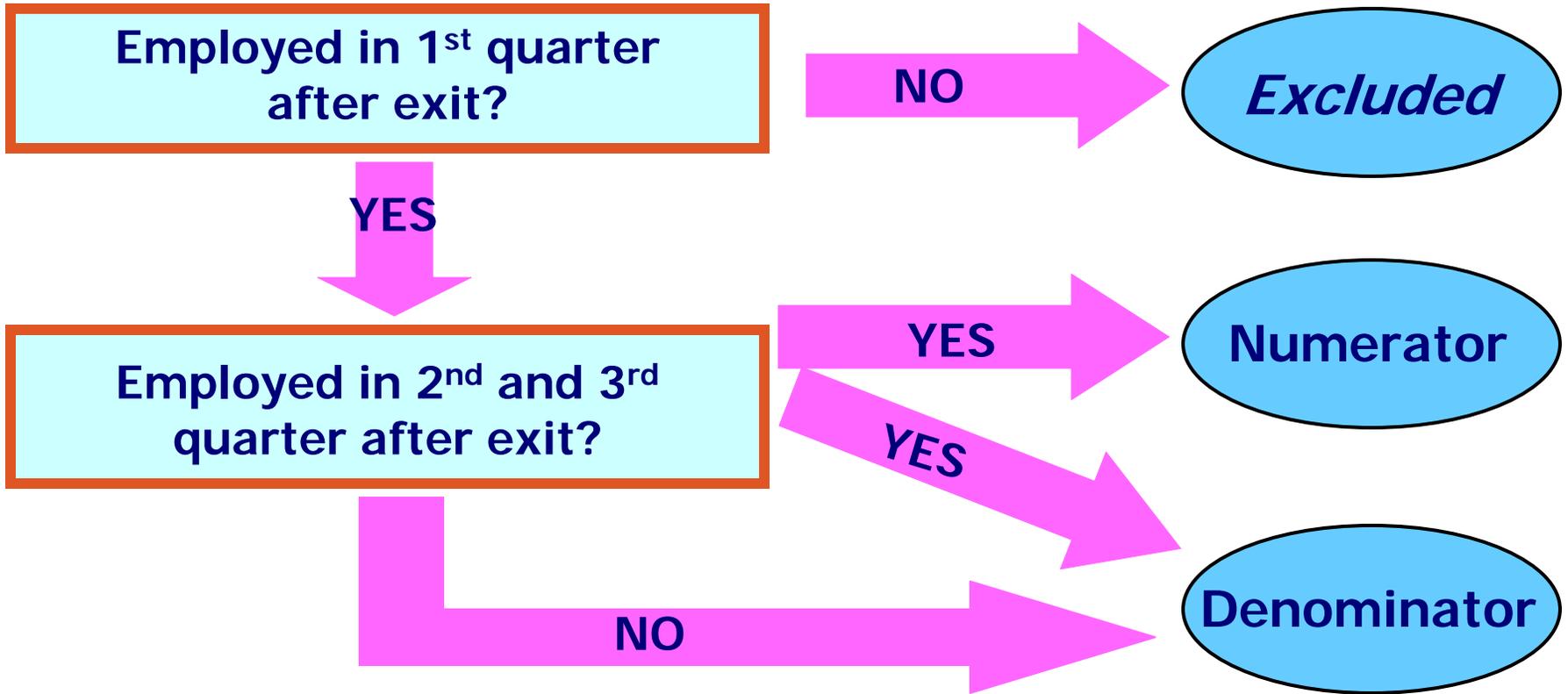
*Of those employed in the 1st quarter after exit...*

Number employed in the 2nd and 3rd quarter after exit

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Number who exit during the quarter

# EMPLOYMENT RETENTION RATE



## Highlights of Adult ERR

- ✓ Includes all those employed in the 1<sup>st</sup> quarter after exit regardless of employment status at participation (this is the measurement cohort)
- ✓ Positive outcome requires employment in *two* post-exit quarters (which does not have to be with same employer)

## AVERAGE EARNINGS

**Definition:** For those employed in the 1<sup>st</sup>, 2<sup>nd</sup> *and* 3<sup>rd</sup> quarter after exit, average six month earnings in the 2<sup>nd</sup> *and* 3<sup>rd</sup> quarter after exit

### **Calculation:**

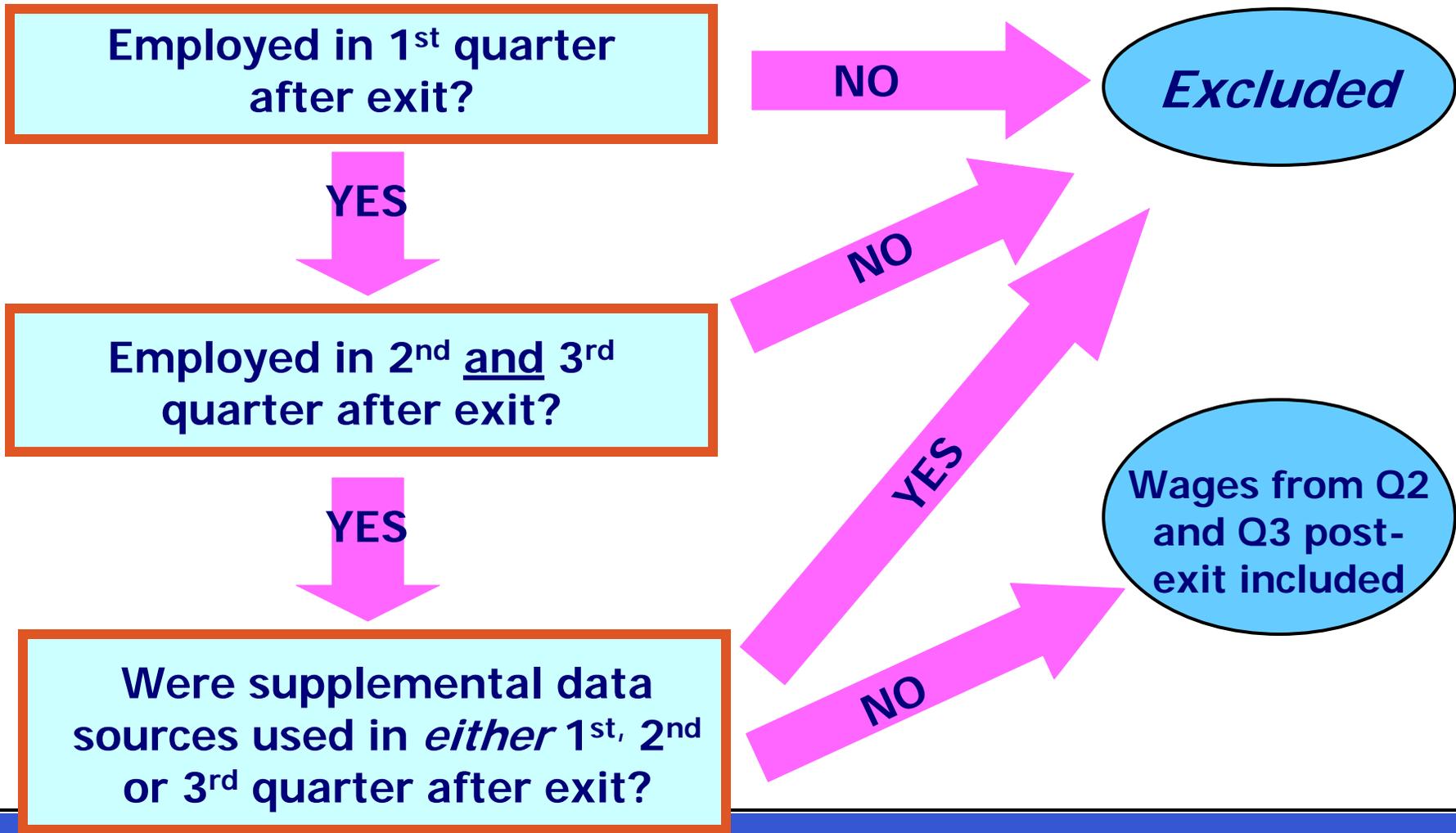
*Of those employed in the 1st, 2nd and 3rd quarters after exit...*

Earnings from the 2nd and 3rd quarter after exit

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Number who exit during the quarter

# AVERAGE EARNINGS



# Highlights of Adult Average Earnings

- ✓ Includes those employed in 1<sup>st</sup>, 2<sup>nd</sup> *and* 3<sup>rd</sup> quarter after exit, although only wages from the 2<sup>nd</sup> and 3<sup>rd</sup> quarters are utilized in the calculations
- ✓ Only allowable data source is wage records; no supplemental data\*
- ✓ Those whose employment was determined based on supplemental data *are excluded* from the earnings measure

\*Some DOL-funded programs permit the use of supplemental data *as an interim means* of reporting

# *Calculating Youth Measures*

*Clarifying Accountability  
Youth WIA 7 & CM 3*

## Implemented in PY 2006

- WIA Statutory Measures

- OLDER YOUTH (19-21)

- Entered Employment

- Retention

- Credential Rate

- Earnings Change

- YOUNGER YOUTH (14-18)

- Skill Attainment Rate

- Diploma Attainment Rate

- Retention Rate

- Youth Common Measures (14-21)

- Placement In Employment, Education, Training

- Attainment of a Degree/Certificate

- Literacy/Numeracy Gains

# Accountability

- Most grantees are held accountable for *performance outcomes* on the seven WIA youth performance measures)

- In the absence of a reauthorized WIA, the statutory measures must be used for accountability purposes

- All grantees are required to *report* on the three youth common measures – Placement in Employment/Education, Degree Attainment and Literacy/Numeracy

- Data collected through revised reports (i.e., WIASRD, Quarterly Report, and Annual Report)

## Current vs. Common Measures *In General*

- States should continue to ensure success with current measures, while transitioning to a focus on common measures
- Major difference between the two sets of measures is the lack of ISY exclusion for placement and certificate common measures
- States should focus on serving ISY who will need program services until graduation/GED attainment
  - Consistent with new youth vision to serve the neediest youth

# Youth Common Measures

1. Placement in Employment, Education or Training
2. Attainment of a Degree/Certificate
3. Literacy/Numeracy Gains

NOTE: The measures apply to youth 14-21; no more older/younger distinction!

## PLACEMENT IN EMPLOYMENT OR EDUCATION

- **Definition:** Of those not in post-secondary education, employment, or the military at participation, the percentage in employment, the military or enrolled in post-secondary education and/or advanced training/occupational skills training in the 1<sup>st</sup> quarter after exit

## PLACEMENT IN EMPLOYMENT OR EDUCATION

### • Calculation:

*Of those not employed, in the military, or in post-secondary education at participation...*

Number of youth employed, in the military or enrolled in post-secondary education and/or advanced training or occupational skills training in the 1st quarter after exit

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Number of exiters

## Highlights of Youth Placement in Employment or Education

- ✓ Excludes youth in employment, the military or post-secondary education at participation
- ✓ Employment, military and education status at participation is based on information collected from the individual
- ✓ Employment and military status in the 1<sup>st</sup> quarter after exit is based on wage records (supplemental data allowed)
- ✓ Education status in the 1<sup>st</sup> quarter after exit is based on administrative records
- ✓ Youth in secondary school at exit are *included*, consistent with ETA's vision to ensure youth successfully complete their secondary education

# Defining Specific Terms

- **Post-Secondary Education** – a program at an accredited degree-granting institution leading to an academic degree. Programs offered by degree-granting institutions that do *not* lead to an academic degree (such as certificate programs) do not count as a placement in post-secondary education but may count as a placement in “advanced training/occupational skills training”

## Defining Specific Terms (cont'd)

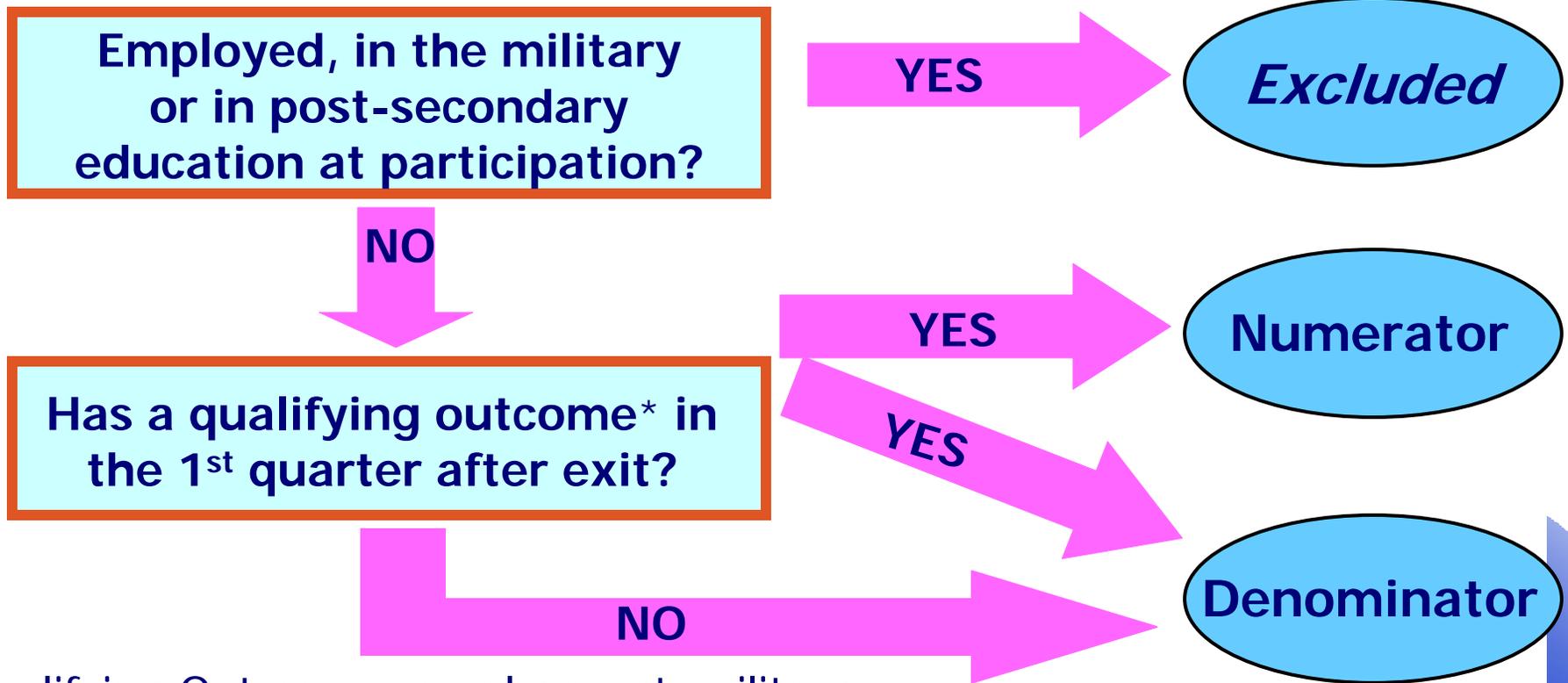
### • **Advanced Training/Occupational Skills Training**

- An organized program of study that provides specific vocational skills leading to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate or advanced levels. Such training should:

1. be outcome-oriented and focused on a long-term goal as specified in the ISS,
2. coincide with exit rather than short-term training
3. result in attainment of a certificate

**Much tighter definition!**

# PLACEMENT IN EMPLOYMENT OR EDUCATION



Qualifying Outcomes: employment, military, enrolled in post-secondary education, advanced training, or occupational skills training

## ATTAINMENT OF DEGREE OR CERTIFICATE

- **Definition:** Of those enrolled in education at or during participation, the percentage who attained a diploma, GED or certificate by the end of the 3<sup>rd</sup> quarter after exit

## ATTAINMENT OF DEGREE OR CERTIFICATE

- **Calculation:**

*Of those enrolled in education at participation or any time during the program...*

Number of youth who attained a diploma, GED or certificate by the end of the 3rd quarter after exit

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Number of exiters

## Highlights of Youth Attainment of Degree or Certificate

- ✓ Youth in secondary school at exit are included, which is consistent with ETA's vision to ensure youth successfully complete their secondary education
- ✓ Diplomas, GEDs or certificates can be obtained during participation or at any point by the end of the 3<sup>rd</sup> quarter after exit
- ✓ Work readiness certificates will not be accepted for this measure

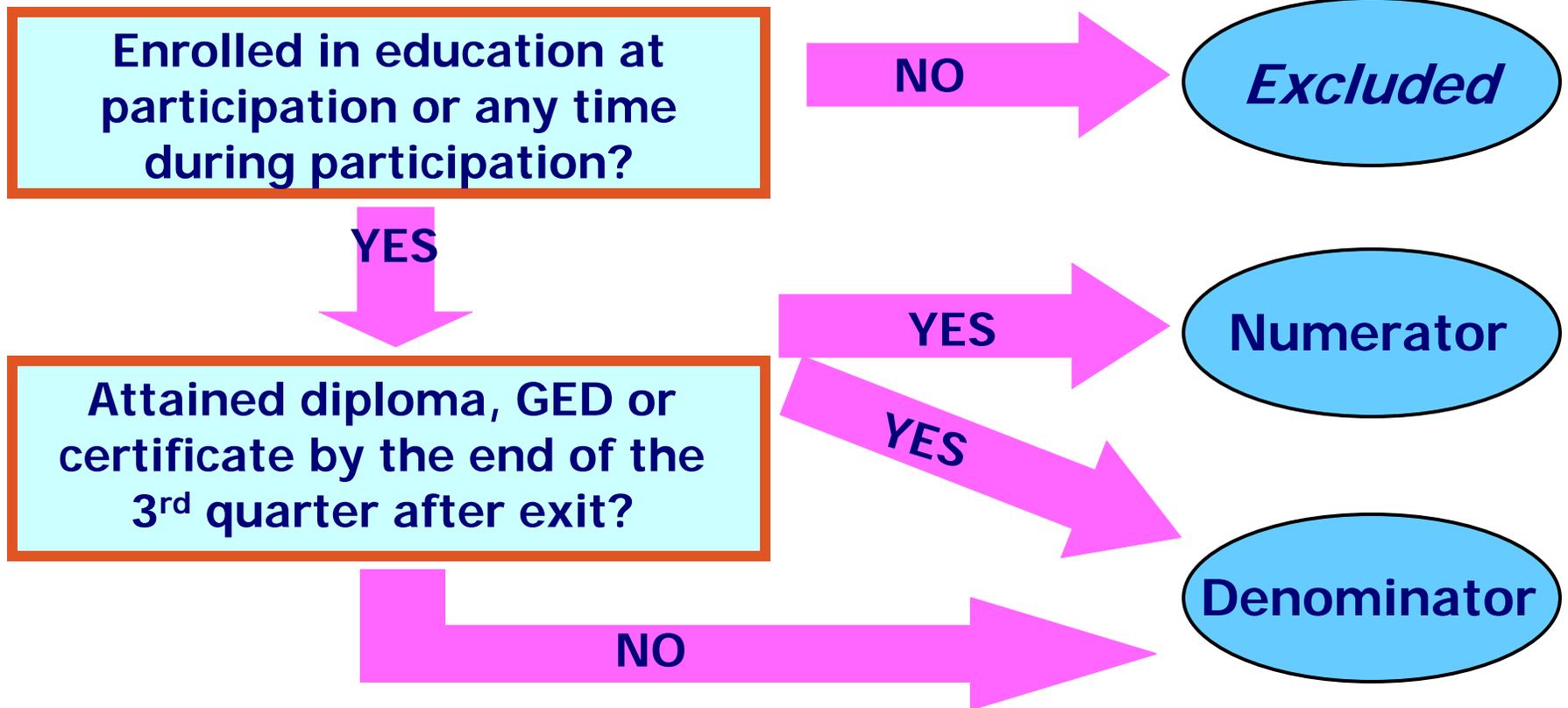
## Defining Specific Terms

- **Education** – participation in secondary or post-secondary school, adult education programs, or any other organized program of study leading to a degree or certificate
- **Diploma** – any credential accepted by the State educational agency as equivalent to a HS diploma; also includes post-secondary degrees
- **Certificate** – awarded in recognition of an individual's attainment of technical or occupational skills by *specified* institutions such as the State educational agency or institution of higher education
  - Does *not* include work readiness certificates or certificates awarded by local Boards

## Certificates: Approved Awarding Institutions

- A state educational agency, or a state agency responsible for administering vocational and technical education within a state
- Institution of higher education (including community colleges)
- A professional, industry, or employer organization or a product manufacturer or developer
- A registered apprenticeship program
- A public regulatory agency (e.g., FAA aviation mechanic certification)
- A program approved by DVA (Veterans' Affairs) to offer education and training to veterans and other eligible persons under the Montgomery GI Bill
- Office of Job Corps
- Institutions of higher education which are formally controlled, or formally sanctioned or chartered by the governing body of an Indian tribe(s)

# ATTAINMENT OF DEGREE OR CERTIFICATE



## LITERACY/NUMERACY GAINS

- **Definition:** Of those out-of-school youth who are basic skills deficient, the percentage who increase one or more educational functioning levels within one year of participation

## LITERACY/NUMERACY GAINS

### • Calculation:

*Of those out-of-school youth who are basic skills deficient...*

Number of youth participants who increase one or more educational functioning levels

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Number of youth  
who completed a  
year of participation  
(based on date of 1<sup>st</sup>  
youth service)

+

Number of youth  
who exit before  
completing a year  
of participation

## Highlights of Literacy/Numeracy Gains

- ✓ Only common measure that is not exit-based
- ✓ Excludes in-school youth and out-of-school youth who are not basic skills deficient
- ✓ Includes individuals with learning disabilities
- ✓ A positive outcome means the youth must advance one or more Adult Basic Education (ABE) or English as a Second Language (ESL) functioning levels
- ✓ Gains can occur in literacy *or* numeracy (programs can pre-test at different levels in each category)
- ✓ Educational levels are consistent with Department of Education's National Reporting System (NRS)

# Remember this Website!

[www.doleta.gov/performance](http://www.doleta.gov/performance)



*... your One-Stop portal for  
program performance and  
reporting across programs*