



U.S. Department of Labor
Employment and Training Administration
Region 2 - Philadelphia

Discretionary Grantee Conference

Performance Reporting

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Objective

- To provide an overview of ETA reporting requirements for WIA and Discretionary Grants.
- To provide steps that ensure quality data:
 - Data collection
 - Data processing
 - Reporting results
 - Expected outcomes

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REQUIREMENTS



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Federal Policy and Guidance Directives Requiring Grantees to Focus on Performance Outcomes

- GPRA/WIA Requirements
- Congress Sponsors
- President's Management Agenda
- 29 CFR; Parts 95 & 97

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Data Collection Requirements

- **29 CFR Part 37 requires grantees to collect Equal Opportunity information for all applicants, registrant, participant, terminee, applicant for employment & employee**
- Race/ethnicity, sex, age and where known, disability status
 - An individual has the right to refuse to provide any part or all of the above information
- Jobs for Veterans Act P.L. 107-228 requires grantees to give priority to veterans that meet eligibility requirements for the grant
 - Grantees will need to track the number of veterans and veterans' spouses served (See <http://www.doleta.gov/programs/VETS> for more information)

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What Data to Collect?

Source Documentation can include the following:

- **Social Security Card**
- **Driver's License/ID Card**
- **Hospital Records**
- **Intake/Eligibility Forms**
- **Attendance Sheets**
- **Sign-In Sheets**
- **School Records**
- **Activity Forms**
- **Assessment Results**
- **Pay stubs**
- **Progress Reports**
- **Surveys**
- **Self-Attestation Forms**
- **Copy of Diploma**
- **Training Certificates**
- **Interviews**
- **Public Agency Records**
- **Student ID**

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Data Collection— Is That It?

- While you are required to track information to report on the common measures, other management information continues to be necessary
 - Collect information relevant to the day-to-day operations of your project (e.g., information about enrollments and counts on various service dimensions)
 - May collect information to help case managers, job developers, managers, etc. make programmatic decisions

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Requirements in 29 CFR Parts 95.51 and 97.40

- Comparison of actual accomplishments with goals and objectives (i.e. performance measures) for the project.
- Reasons why established goals were not met and corrective action being taken
- Other pertinent information, including technical assistance needs, best practices or any promising approaches

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Type of Outcome Measure By Grant Purpose

Provide Training	Training Completion Rate	Placement in Employment Rate	Average Earnings	Retention in Employment Rate	Customer Satisfaction Rate
Increase Skills	Skill Attainment Rate	Attainment of Degree or Certificate Rate	Earnings Change Rate	Customer Satisfaction Rate	
Research-Oriented or Product Development	Qualitative Information	Research Findings	Products or Curriculum Developed	Results Disseminated	Customer Satisfaction Rate

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Quarterly Progress Reporting

- Quarterly progress and financial report (ETA 9130) due 45 days after the end of the quarter
- Final evaluation report due 90 days after the end of the grant period of performance
- Submissions should follow instructions issued by the Philadelphia Regional Office.



In God we trust. All
others must use data.
~W.E. Deming



Data Processing

It is the grantees responsibility to ensure that systems are in place to track participants characteristics, services and outcomes.



Data Collection

The Method of Collection is Important

- When information is obtained, or data is measured, the method, or process used to gather information, greatly affects the results.
- Your system should have a process by which data is collected which includes who has responsibility for data entry, compilation and processing?

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Data Processing—Introduction

- Process used to input data and information into a MIS, find and correct errors in the data, and compile and aggregate the information into a user-friendly format
- Grantees must address these fundamental questions:
 - Who has responsibility for data entry, compilation and processing?
 - How should they validate the data and ensure its integrity?
 - What management information system will be used to maintain the data?

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Data Processing— Who Has Responsibility?

- The grantee is responsible for ensuring that a system is in place to track participant characteristics, services and outcomes
 - It is highly recommended that grantees maintain access to data processing and reporting at all times
 - You need to know what is going on with your grant!
- The grantee may contract out for services, but should provide input on how the data is maintained and gathered

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Data Processing—

Who Has Responsibility?

- All staff, including sub-recipients staff, need to clearly understand their role in creating, collecting, maintaining, and reporting program data
 - Understand interrelationship of staff member duties
 - Understand consequences of missing deadlines, not sharing information, etc.
 - Reduce errors by training staff and making sure they meet specified qualifications

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Data Processing— Is the Data Reliable?

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

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Data Processing—Is the Data Reliable?

- Data errors can occur at any point in record keeping. To help maintain data quality, consider the following:
 - Assign ranges of possible values to each data element
 - A person's age could range from 16-100, anything outside the range would be flagged by the system
 - Check consistency across data elements
 - Same identification number but different race or sex
 - Look for missing data
 - Conduct periodic reviews of information keyed into MIS compared with original sources (i.e., sample of case files and MIS cases)
 - Remember data must be auditable—must be able to track back to original source

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Data Processing—What System Should We Use?

- How sophisticated or elaborate does the grantee's MIS need to be?
 - It varies, but high-performing organizations have an MIS that produces information/reports to assist staff in addressing issues and improving performance
 - Examples include MS Access, MS Excel, or a proprietary system such as Client Tracking System
 - Contract with local workforce investment areas to process and aggregate data
- What must grantee MIS be able to do?
 - At a minimum, capture all required data elements, perform any necessary calculations and report information to the grantee and its partners
 - In some cases, ETA may provide the required data collection instruments and a system for collecting and reporting the information

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Data Processing—What System Should We Use?

- Key principles of an effective MIS:
 - Enter information only once
 - Enter information in a timely manner
 - Enter information at the most cost-effective level of the organization (e.g., line staff versus technical staff)
 - Information available on demand
 - Access available to all levels in the organization, as needed

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Expected Results aka Benchmarking

- Expected results will assist in providing a snapshot of the performance of your program and helps you understand where you are in relation to your system goal. This information was established within your SOW.
- The expected results can be used in an effort to make changes in order to meet the specific goals of the organization/program.
 - Here if not meeting expectations, organizations can develop plans on how to make improvements or adapt specific best practices.

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Is the Information Reliable?

- Ensure data elements are well defined and understood by project staff—this includes contractors
 - Train all staff on definitions and processing requirements
 - Note that original source of information more reliable than secondary information
- Ensure duplication of effort does not occur in the collection of data
 - Costly
 - Lack of Consistency

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$$\textit{Quality} = \frac{\text{Results of Work Efforts}}{\text{Total Costs}}$$



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Validating the Data: Ensuring Data Reliability

- This is a check on the method of data collection used to obtain data.
- Inputs, Process and Outputs
 - Reviewing process by which the data is collected
 - Checking data for human error
 - Measuring and testing to predict typical results
 - anomalies tend to be variations outside the control limits of a process. This can hinder and/or skew data results. All steps should be taken to assure that this does not happen.

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Reports and Information— Is the Information Reliable?

- Employ mechanism(s) to ensure reports generated and outcomes reported are calculated correctly
- Useful to have a data entry/MIS handbook
 - Reference tool for system users that details data collection protocols, definitions of terms, coding assignments, acceptable data sources, operational rules for data entry, available edit checks and report operations

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Reports and Information

- Ability of grantee to use data processing and processing techniques to develop reports
- Need for an information system that can give you reports that tell a story about your grant
 - What other data help tell your story?
 - What about customer satisfaction data?
 - Don't collect data simply to 'feed the Federal data machine,' but to inform program design and management

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Performance Reports



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QUARTERLY PROGRAM NARRATIVE REPORT (Sample)

According to the terms and conditions of the grant, each grant recipient is required to submit a quarterly progress report. This suggested format will assist you in providing the report information described in the Uniform Administrative Requirements at 29 CFR 95.51 or 29 CFR 97.40.

Section I: Grantee and Program Identifying Information

Report Quarter Ending Date:

1a. Grantee Name:	1c. Grant Number:
1b. Project Name:	
1d. Name and Phone Number of Person Submitting Report:	
1e. Grant Period of Performance:	

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Section III: Performance Measures Update

In order to reflect a comparison of goals to accomplishments, grantees can use the pertinent columns of Section 3 Performance Measures in their approved grant proposal. Grantees should include information on enrollments in this section of the quarterly report.

PERFORMANCE MEASURE <i>Performance Measure name only, do not include measurement parameters</i>	EXPECTED LEVEL OF PERFORMANCE <i>What's in your grant proposal?</i>		CURRENT REPORT QUARTER <i>What did you do this quarter?</i>	CUMULATIVE TOTAL <i>What are your project totals to date?</i>	
	A	B	C	D	E
	<i>Numeric Target</i>	<i>Target Percentage</i>	<i>Actual Numeric Level</i>	<i>Actual Numeric Level</i>	<i>Percent of Expected Level (D/A)</i>

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Section II: Work Schedule Status and Accomplishments

This section of the report should provide an update on the status of each identified components/tasks from your grant proposal Work Schedule

PROJECT COMPONENT	TASK	YEAR 1				YEAR 2				STATUS
		1	2	3	4	1	2	3	4	



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Section IV: Variance from Plan

Provide a brief narrative explanation for each of the elements identified below.

- 1) If performance has varied from plan, state the reasons for the variance and corrective action taken or planned to address the variance. Please note that some actions such as significant changes to the statement of work, staffing or budget line items, may require a modification to the grant.
- 2) Describe any technical assistance the grantee may require to address performance issues identified below.

Section V: Other Information (*Optional*)

Provide a brief narrative explanation for each of the elements identified below.

- 1) Describe any promising approaches or processes and any success stories, articles, awards, public announcements, or other news about the project for the current quarter. If available, please attach with your report.
- 2) Any additional comments.

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Reports and Information —Table of Reporting Periods

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WIA Reports and Information—Table of Reporting Periods

<u>Quarter</u>	<u>Period Covered</u>	<u>Due to FPO</u>
1	Jan 1- Mar 31	May 15
2	Apr 1-Jun 30	August 14
3	Jul 1- Sep 30	November 14
4	Oct 1-Dec 31	February 14

Please Note: The Financial/Progress reports are due no later than 45 days after the end of each calendar year quarter. Should the due date of the report fall on a Saturday or Sunday, the report is due on Friday.

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Securing the Data

- Please, Please, Please: Secure all identifying data that you may use as a result of your data collection. Identity Theft is a huge crime and we must ensure the safety of our participants and that information.



Continuous Improvement

- Management plan whereby processes are constantly evaluated and improved to ensure their efficiency, effectiveness and flexibility is key to ensuring that data and services are worthwhile.

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Thank You

Questions???

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