**Attachment**

# ETA Management Information and Longitudinal Evaluation System (EMILE):

Data Preparation and Reporting Handbook

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Performance and Results Office
Employment and Training Administration

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# PREFACE

This **ETA Management Information and Longitudinal Evaluation System (EMILE): Data Preparation and Reporting Handbook** contains general reporting and record keeping instructions for use by all states and grantees administering ETA programs. The primary purposes of this Handbook are to:

1. Establish a standardized set of data elements, definitions, and specifications that can be used to describe the characteristics, activities, and outcomes of job seekers and employers served by ETA programs;

2. Facilitate the collection and reporting of accurate, consistent, comparable, and complete information on job seekers and employers that responds to the management information needs at the local, state, and federal levels; and

3. Reflect activities and outcomes for all ETA financially assisted programs in the workforce system, and allow for appropriate comparison between programs and grantees.

## Contents of the Handbook

This Handbook contains both general reporting and record keeping instructions for use by states and grantees administering ETA programs, and specific data forms and record layouts to support the consistent collection, maintenance, and reporting of customer information to the Department.

I. Purposes of the Handbook: Describes the purpose and how the grantees should use the Handbook.

II. General Reporting Guidance: Provides additional instructions concerning the ETA programs covered by the Handbook, due dates for the submission of individual records and a quarterly summary report, and common submission procedures for use by all grantees. In anticipation of future updates, a brief description of the process for making changes to the Handbook has been included.

III. Introduction to the Standardized Individual Record Layouts: Contains general information to assist grantees in understanding how to read the individual record layouts. An applicability guide is also displayed to help users understand how to associate each data element with one or more ETA programs or for groups of participants within a program area.

IV. Employer Standardized Individual Record: Contains a brief introduction to the record layout and includes a complete list of data elements (with definitions) considered important to the management of the programs and the provision of services to employer customers. Coding values, where appropriate, field size/data type markers, and an applicability guide to each ETA program are also included to place each data element in its proper context. This section also contains specific information on how grantees are expected to collect and report certain data elements or groups of elements contained on the record layout.

V. Job Seeker Standardized Individual Record: Contains a brief introduction to the record layout and includes a complete list of data elements (with definitions) considered important to the management of the programs and the provision of services to job seekers. Coding values, where appropriate, field size/data type markers, and an applicability guide to each ETA program are also included to place each data element in its proper context. This section also contains specific information on how grantees are expected to collect and report certain data elements or groups of elements on the record layout.

VI. Workforce Investment Quarterly Summary Report: Provides general information to assist grantees in reporting quarterly performance information as well as a uniform data report format and set of related instructions.

VII. Appendices: Contains additional information and specifications that are designed to assist grantees in collecting, maintaining and reporting performance information in accordance with the approved data formats and record layouts contained within the Handbook.

# I. PURPOSES OF THE HANDBOOK

## I.1 BACKGROUND

In 2001, the President announced a Management Agenda to improve the management and performance of the Federal government. Budget and performance integration, one of the five government-wide goals, emphasizes program effectiveness. As part of the President's budget and performance integration initiative, the Office of Management and Budget (OMB) and other Federal agencies developed performance measures to be applied to certain Federally-financially assisted programs with similar strategic goals. OMB Director's Memorandum M-02-06 and subsequent documents from OMB specify common indicators of performance for thirty (30) job training and employment programs.

In implementing the OMB common performance measures, the Employment and Training Administration (ETA) is using its statutory and regulatory authority to redesign and strengthen its various program performance reporting systems into a single comprehensive system that will be used to respond more quickly and effectively to the management information needs of Congress, the Administration and the general public. States and other grantees administering ETA financial assistance are currently required to produce separate performance reports by using different forms, definitions, instructions, and submission procedures. In some instances, there is confusion regarding the time periods used for calculating program performance, what data are to be reported, and how the data are prepared for submission on a timely basis. In addition, external oversight agencies, including the U.S. Department of Labor's (USDOL) Inspector General and the General Accounting Office (GAO), have questioned the validity and comparability of financial and programmatic data reported by ETA. These inconsistencies limit ETA's ability to make the most effective use of grantee data for reporting on the progress of programs to the Administration and Congress, and impose administrative burdens on grantees that seek to coordinate service delivery and performance measurement in a local One-Stop environment.

The **ETA Management Information and Longitudinal Evaluation System (EMILE): Data Preparation and Reporting Handbook**, hereafter referred to as the Handbook, was developed to provide effective guidance to grantees concerning the consistent collection, maintenance, and reporting of employer and job seeker information to the USDOL. This comprehensive reporting structure features a single quarterly report format and establishes a common language that will standardize data collection for program participants and employer customers, based on a core set of information for all program customers.

Accurate and comprehensive management information on employers and job seekers, served by ETA programs, is needed to make appropriate, cost-effective, and timely decisions about investments in workforce development activities. This Handbook is useful to One-Stop career centers, public and private workforce agencies, service providers, and state program administrators engaged in policy development and program planning, as well as evaluation researchers involved in the collection and analysis of former employers and job seekers served by the One-Stop delivery system. This Handbook will be useful to elected officials at all levels of governance and members of the public interested in the management and accountability of workforce programs.

## I.2 PURPOSES

The primary purposes of this Handbook are to:

1. Establish a standardized set of data elements, definitions, and specifications that can be used to describe the characteristics, activities, and outcomes of job seekers and employers served by ETA programs;

2. Facilitate the collection and reporting of accurate, consistent, comparable, and complete information on job seekers and employers that supports management information needs at the local, state, and federal levels, as well as the needs of selected stakeholders; and

3. Support the documentation of activities and outcomes for all ETA financially assisted programs in the workforce system, and allow for appropriate comparisons between programs and grantees.

The use of a standard set of data elements, definitions and specifications at all levels of the workforce system helps improve the quality of workforce services by reconciling conflicting administrative requirements and procedures and facilitating meaningful evaluation, realistic planning, and effective management of workforce development programs. The reporting and record keeping requirements contained within this Handbook will reduce duplicate record keeping by allowing a grantee administering multiple workforce programs to utilize a single set of data specifications and formats to report on a job seeker's and employer's interaction with the one-stop system.

When job seeker and employer data are collected, maintained and reported consistently and accurately at a basic level (e.g., grantee field office or One-Stop career center), data can be aggregated from each program and reported to higher levels with greater confidence that the data are comparable from customer to customer, from program to program, and from year to year. When job seekers or employers move from one level of service to another within a program or from one workforce investment area or state to another, information can be passed on with confidence that the receiving entity will understand what is meant and can analyze the information in a timely manner to deliver appropriate services to customers.

Standardized data collection also makes performance information more useful for supporting DOL budget development activities and Congressional consideration, especially with regard to the impact of different levels of financial assistance on program services and outcomes. A common language can be used to describe changes and improvements in programs over time, to identify effective strategies for meeting the needs of employers and job seekers, and to record significant program accomplishments.

Finally, information about employers or job seekers should reflect their experiences as participants in ETA programs and allow for appropriate comparison of results between programs and grantees within a single program. The use of a standard set of data elements, definitions and specifications at all levels of the workforce system helps improve the quality of performance information that is received by the Department, and resolves questions raised by the Inspector General and other oversight agencies regarding the consistency and reliability of ETA data.

## II. GENERAL REPORTING GUIDANCE

Grantees are required to maintain standardized individual records containing characteristics, activities and outcomes information for job seeker and employer customers. This Handbook was not designed, however, to be used in lieu of a case management system. Because each State and grantee has its own data system, the instructions in this Handbook are general in nature. Database-specific issues must be addressed by each State and grantee.

Data reported in the Workforce Investment Quarterly Summary Report (Section VI 6 of this Handbook) must be comprised of information provided by each State and grantee from their individual records; through matching client information with the employment outcome information obtained from Unemployment Insurance (UI) and other administrative wage records, or from other supplemental data sources. Therefore, ETA requires that information received from grantees on quarterly or subsequent annual progress reports be consistent with, and based upon, individual record submissions. These individual records must be complete and accurate.

### II.1 ETA PROGRAMS COVERED BY THE HANDBOOK

Grantees administering financial assistance under the following DOL programs must utilize the report formats, individual record specifications, instructions and submission procedures documented in this Handbook, as well as the Appendices, to certify performance results on a quarterly basis:

- Employment Service Program
- Veterans Employment and Training Service Programs
- Workforce Investment Act Title IB Programs
- National Emergency Grants
- H-1B Technical Skills Training Grants
- Trade Adjustment Assistance Program
- National Farm Worker Jobs Program
- Indian and Native American Employment and Training Program
- Responsible Reintegration of Youthful Offenders Grants
- Senior Community Service Employment Program

Periodic updates to this Handbook, as well as the Appendices, will be issued to all grantees as additional ETA formula or discretionary grant programs are included in the reporting and record keeping requirements contained herein.

For WIA Title I-B programs, participants served by statewide and local formula funds will be included on the individual records and Workforce Investment Quarterly Summary Report documented in this Handbook. If state or local activities are supported with statewide reserve funds and involve the enrollment of individuals to receive services financially assisted by a program, an individual record must be created and maintained and the outcomes must be included in the appropriate performance measurements contained in the quarterly report. Conversely, if state or local activities do not involve the enrollment of individuals to receive services (e.g., conducting evaluation research), performance information is not included in the individual records or quarterly reports.

## II.2 DUE DATES

Electronic files with individual records for job seekers and employers, and a Workforce Investment Quarterly Summary Reports, are due to ETA within 45 calendar days after the end of a report quarter. The table below shows the expected due dates for individual record and quarterly report submissions for each reporting quarter.

| Report Quarter | Due Dates |
|---|---|
| January – March | May 15th |
| April – June | August 14th |
| July – September | November 14th |
| October – December | February 14th |

## II.3 SUBMISSION PROCEDURES

Information contained on the individual records for job seekers and employers and the Workforce Investment Quarterly Summary Report must be submitted directly to ETA's Office of Technology (OT).

<u>Submission of Individual Records for Employer Customers</u>:

States are required to submit a single consolidated record for each employer when benefits or services are provided from one or more of the following programs:

- Employment Service Program
- Veterans Employment and Training Service Programs
- Workforce Investment Act Title IB Programs *(including Rapid Response)*

Individual record submissions must include all characteristics and available service information for employers who received a service or benefit during the report quarter. Aggregate performance information submitted on the Workforce Investment Quarterly Summary Report related to employers must be based on the individual record submissions.

Each employer record will be variable in length and must be submitted in comma-delimited ASCII text format. This means that each data element will be separated from the other data elements by a comma. There is no need to surround each data element with double quotes. The first few data items for a hypothetical employer record would look like the following:

123456789,20040102,23,21201,513321,,2,1,1,2,,0, (etc.)

Note that there are a couple of fields in the example record that do not have any data. There are neither double quotes nor blank spaces inserted between the commas. That is how grantees are to report data items that are missing, blank, or unknown at the time of submission. Where instructed, grantees are provided the option of inserting a "0" if the data item is missing or not known (as shown above at the end of the example record). The last data item on each employer record will be a comma that surrounds the last reported element.

Submission of Individual Records for Job Seeker Customers:

States and all other grantees under each ETA program identified under Section II.1 are required to submit individual records that support aggregate performance data certified by the grantee on the Workforce Investment Quarterly Summary Report. ETA recognizes that individuals may participate in and receive services from more than one program. In these cases, it is more efficient to report the information in one consolidated record that covers services received and outcomes achieved from all the programs.

Therefore, states must submit consolidated records for individuals receiving services under multiple ETA programs. At a minimum, states are instructed to submit a single consolidated record for each job seeker where the individual receives benefits or services from one or more of the following programs:

- Employment Service Program
- Veterans Employment and Training Service Programs
- Workforce Investment Act Title IB Programs *(including Rapid Response)*
- National Emergency Grant
- Trade Adjustment Assistance Program

Grantees of ETA National Programs or other discretionary grant programs and states may collaborate to use the job seeker record layout to report additional characteristics, activities and outcomes associated with the individual's participation in the following programs:

- National Farm Worker Jobs Program
- Indian and Native American Employment and Training Program
- Senior Community Service and Employment Program
- H-1B Technical Skills Training Grants
- Responsible Reintegration of Youthful Offenders Grants

Grantees of ETA National Programs or other discretionary grant programs that do not submit consolidated reports in collaboration with states are instructed to submit individual records separately to the Department. Individual record submissions must include all characteristics and service information and available outcome information for job seekers who are program participants and exiters. Aggregate performance information submitted on the Workforce Investment Quarterly Summary Report must be based on these individual record submissions.

Each job seeker record will be fixed in length and must be submitted in comma-delimited ASCII text format. This means that each data element will be separated from the other data elements by a comma. There is no need to surround each data element with double quotes. The first few data items for a hypothetical job seeker record would look like the following:

123ABC789,20040202,74,00000,19710520,1,2,2,,,1,,,,, (etc.)

Note that there are several fields in the example record that do not have any data; there are neither double quotes nor blank spaces inserted between the commas. That is how grantees are to report data items that are missing, blank, or unknown at the time of submission. Where instructed, grantees are provided the option of inserting a "0" if the data item is missing or not known (as shown above at the end of the example record). The last data item on each employer record will be a comma that surrounds the last reported element.

Technical instructions detailing the submission processes that grantees will use to electronically upload their individual records and quarterly reports to ETA-OT will be issued at a later date using formal technical guidance documents.

## II.4 REVISIONS TO THE HANDBOOK

This Handbook was developed to facilitate collection and submission of all performance and reporting requirements for ETA programs. When changes in data elements or definitions occur based on new legislation, policy directives and/or related regulations, revisions to this Handbook will be issued to all States and grantees. Handbook revisions will be distributed using Handbook Transmittals issued from the National Office. Dates of issuance will be displayed at the bottom of each revised page.

# III. INTRODUCTION TO THE STANDARDIZED INDIVIDUAL RECORD LAYOUTS

Individual record layouts for employers and job seekers are designed to capture information on characteristics, activities and outcomes that are necessary for program management and to provide program administrators, policymakers and other stakeholders with a complete picture of the performance and results of the One-Stop system. Every effort has been made to streamline and simplify the content, definitions and formats of the data items.

The individual record layouts contained in this Handbook enable grantees to report on services provided to employers and job seekers by WIA financially assisted and non-WIA financially assisted programs. An individual's record expands as additional resources are used to provide more costly services. These services and subsequent outcomes provided by any WIA financially assisted or non-WIA financially assisted programs can be reported through this standardized record layout.

## III.1 HOW TO READ THE INDIVIDUAL RECORD LAYOUTS

The individual record layouts presented in Sections IV and V, and listed in the Appendices, are divided into two main customer groups: employers and job seekers. Data elements contained within each individual record layout are separated into section headings and categories that represent logical groupings. For each data element there is a definition or reporting instruction, coding values, where appropriate, data type/field size, and an applicability guide to document which ETA program(s) require the data element. The applicability guide also documents data element requirements for groups of job seekers within a program. Coding values and the applicability guide are essential components that place each data element in its proper context.

Within the individual record layouts for job seekers and employers, the following generic information is displayed. Figure 1 provides a graphical representation of this generic information. Specific information about the data element fields is provided in Sections IV and V and in the Appendices.

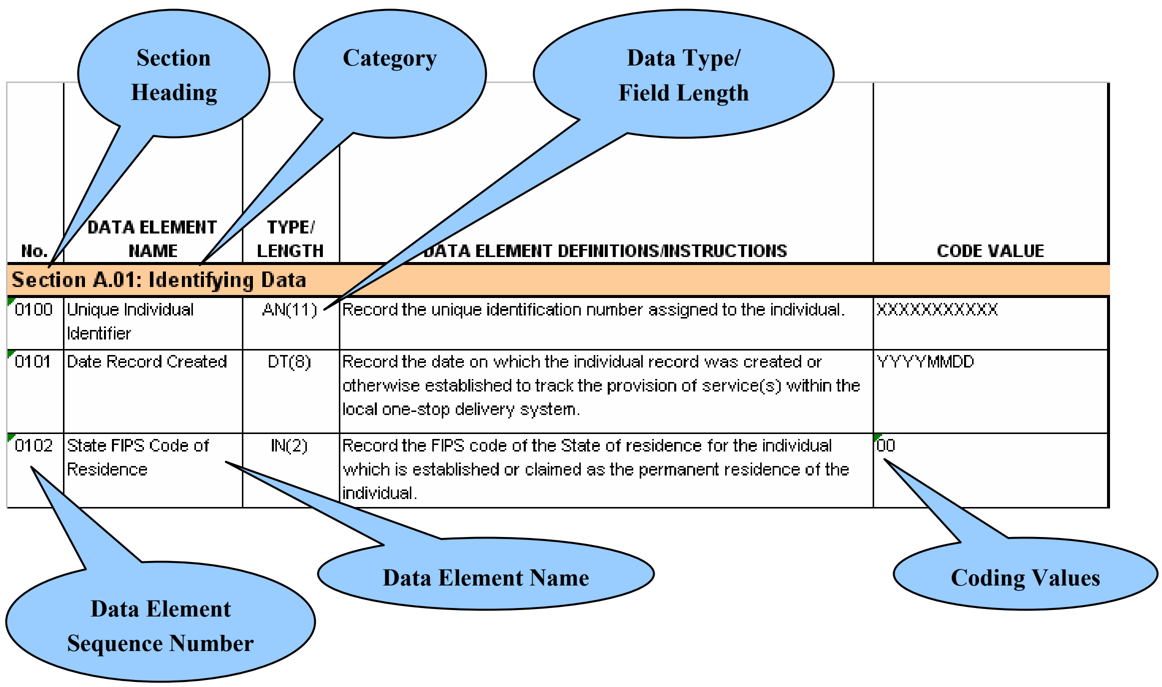
**Section** – *The **Section** field is included in both the Employer's record and the Job seeker's record*. A Section title is typed in bold letters, and has an attached, alphabetic designation (e.g., **Section A**). A section represents a major grouping of one or more categories of data. The following four sections have been identified:

***Section A*** = ***Individual Information***
***Section B*** = ***One-Stop Participation Information***
***Section C*** = ***One-Stop Services & Related Assistance Activities***
***Section D*** = ***Outcomes Information***

Under the Section title, each section has one or more categories containing data elements. The data elements are displayed so that the Section begins with the data elements needed for all individuals, followed by information for individuals receiving additional services from two or more ETA programs. Finally, those data elements needed for just one particular program or group of participants within a program appear at the end of each section.

**Category** - *The* ***Category*** *field is included in both the Employer's record and the Job Seeker's record.* Within each section, data elements are divided into Categories. The category name is typed in bold, upper and lower case letters. Each category has a sequence number (e.g., "01") and describes a group of related data elements. For example, the category under **Section *A.01: Identifying Data*** in the job seeker record layout includes the data elements "*0100: Unique Individual Identifier*," "*0101: Date Record Created*," "*0102: State or Foreign Country FIPS Code of Residence*," and "*0103: Zip Code of Residence*." Categories have been assigned to provide a method of organizing groups of related, or similar, data elements.

**Figure 1**




**Data Element** - *The* ***Data Element*** *field is included in both the Employer's record and the Job Seeker's record.* The **Data Elements** are units of data that can be measured and/or uniquely defined. In the SIR record layouts in the Appendices, data elements are located in the second column and are typed using upper and lower case letters. Examples of data elements are *"Gender," "Ethnicity Hispanic/Latino,"* and *"Date of Birth."* Each data element has a unique, sequential "data element number", 4 digits long, that is located in the first column of each record layout. The data elements have been assigned these numbers for identification purposes.

The data elements included in the individual record layout represent primary source information collected directly from customers. Computations may also be required to derive the contents for some data elements. For example, data element number 1023 in the job seeker individual record, *"Wages 1$^{st}$ Quarter After Exit Quarter",* contains a number that is the sum of total earnings an individual receives during the relevant quarter. The computations required are that the individual's total earnings figure is accumulated over time and is computed by merging at least two data source files external to the local case management system, such as wage records from the state's Unemployment Insurance (UI) database and the national Wage Record Interchange System (WRIS) that facilitates the exchange of out-of-state UI wage records. In some instances, data elements may be defined at higher information levels, such as those available under element #0409 *"Most Recent Date Received Job Search Activities*." This type of element requires the grantee to organize or map more granular services collected in the local case management system to the higher-level service category.

**Data Type/Field Length -** *The* ***Type/Length*** *field is included in both the Employer's record and the Job Seeker's record.* For each data element there is a Data Type/Field Length (listed in the third column). The data element types that are available include:

- **Alpha-Numeric (AN)** – This is a data element for which letters and numbers can be used in any combination. Generally, this data type is used when no standard code list exists, or where descriptive information is desired.

- **Integer Numeric (IN)** – This is a data element that must be a numeric value. The values entered into these data elements can include an *implied* decimal (i.e., the decimal is not shown in the data field but it is assumed). The implied decimal also includes an assumption about the number of places to the right of the decimal.

- **Decimal (DE)** – This data element type is a special numeric type. The decimal must be included in the value that appears.

- **Date (DT)** – This data element type is specifically defined as a date. The format that must be used is provided in the definition specified in the data element.

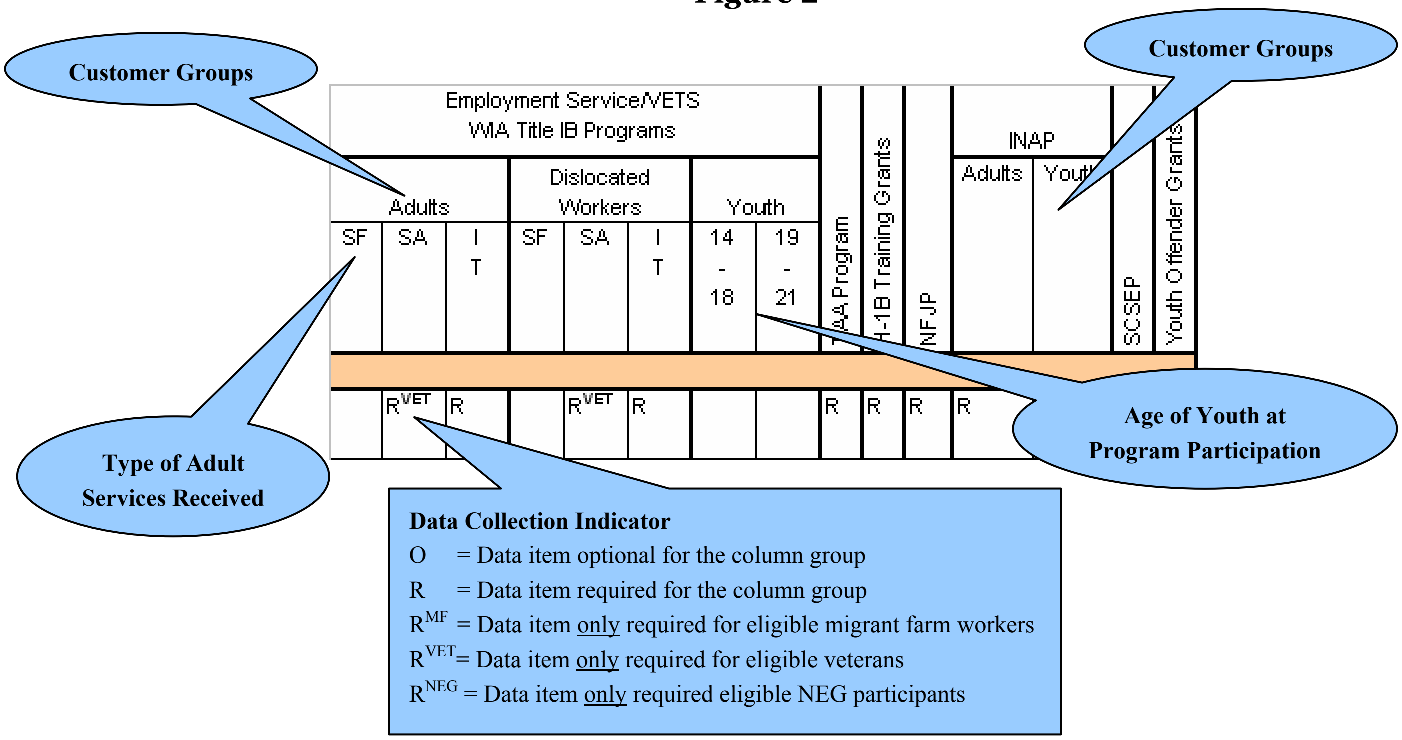
The maximum field length is included in the individual record layouts. For numeric data elements that contain a decimal, the number of places to the right of the decimal is included in the field length. Thus, data element *"0509: Total Amount Paid – TRA Basic"* has a field length of 7.2, indicating that there should be a total of seven (7) numbers with five numbers to the left of the decimal and two numbers to the right of the decimal. If the amount included in this data element is rounded to the nearest dollar, then the final two numbers will be zeroes.

**Coding Values -** *The* ***Coding Values*** *field is included in both the Employer's record and the Job Seeker's record.* Where appropriate, Coding Values are typed in italicized, lower-case letters with the first letter capitalized and are provided for each data element. Coding values provide options or responses for the data element. For the most part, values have assigned code numbers and are listed in a logical sequence. For example, the data element *"Gender"* has the following two code values: 1 = Male and 2 = Female. Although the coding values listed are mandatory, grantees have flexibility on several data elements to include additional coding values to meet their program management needs.

**Applicability Guide -** *The **Applicability Guide** fields are included in both the Employer's record and the Job Seeker's record. However, the layouts are not the same.*

The **Applicability Guide** associates each data element with one or more ETA programs or for groups of participants within a program area and puts each data element in its proper context. Figure 2 provides a graphical illustration of the applicability guide for the job seeker record layout.

**Figure 2**




Adult customers include those who receive services financially assisted under the Wagner-Peyser Act, Disabled Veterans Outreach, Local Veterans Employment Representative, and WIA Adult programs. Data elements applied to dislocated worker customers include those who receive services financially assisted under the WIA Dislocated Worker program, including rapid response activities, and the National Emergency Grant program. Youth customers are classified according to two age groups: 14-18 and 19-21. In other programs such as the Trade Adjustment Assistance or Senior Community Service Employment Program, there are no customer group distinctions and the relevant data elements are applied to all participants who receive services financially assisted under the program.

Below the program or customer group level, many data elements are applied based on the level of service received by the program participants. For instance, data elements are applied differently for adult customers according to whether the participant received **Self-Help or Facilitated Self-Help Services (SF)**, **Staff Assisted Core Services (SA)**, **Intensive (I)**, or **Training Services (T)**. Data requirements increase according to the type of customer or intensity of service received by the participant. In other words, the individual record layout only expands as the program staff finds out more information about the customer (e.g., individual is a migrant and seasonal farm worker), or customer receives additional and more costly services in order to achieve performance outcomes.

# IV. EMPLOYER STANDARDIZED INDIVIDUAL RECORD

## IV.1 INTRODUCTION

The success of local One-Stop systems will not only depend on whether they can help job seekers prepare to enter high-quality jobs with career potential, but also whether they can assist employers in finding qualified workers. Employers are increasingly turning to One-Stop centers for a wide range of services including help in recruiting, screening, accessing state or local business assistance services, and training new and incumbent workers. Employer services are now an integral service component of many local One-Stop centers; a component that continues to grow and expand. This expansion is the result of Congressional intent in WIA, the current Administration's priorities to focus the workforce system on becoming more demand-driven, and a growing understanding in the practice of workforce development that providing services to employers will, in the long run, provide good career opportunities for job seekers and improve the local or regional economy.

With this in mind, the reporting and record keeping items contained within this section are intended to provide a more complete picture of the total impact of the One-Stop system operating in the local economy. This standardized individual record layout provides grantees with the opportunity to better inform the Administration, Congress and other stakeholders about the numbers of employers being served as well as the type and frequency of services being delivered to this important customer group. The following instructions are intended to aid states and other grantees in collecting, storing and reporting information about employers who receive services financially assisted by ETA programs. Through the development of a standardized employer record, ETA intends to establish consistent data collection and report submission procedures to ensure that grantees report the most current and accurate information on a quarterly basis.

## IV.2 EMPLOYER RECORD LAYOUT SPECIFICATIONS

Record Layout Specifications: Variable length record layout. See **Appendix A** for details regarding data elements, definitions, and coding values.

## IV.3 IMPORTANT REPORTING AND RECORD RETENTION ISSUES

### IV.3.1 Federal Employer Identification Numbers (FEINs)

A well designed reporting and record keeping system must contain unique individual identification numbers. Data elements contained within ***Section A.01: Identifying Data*** will be used to uniquely identify each employer record that is submitted to the Department. Field ***#0100: Employer FEIN*** contains a nine-digit Federal Employer Identification Number that is assigned to sole proprietorships, corporations, partnerships, and other entities for Federal tax filing and reporting purposes. In combination with fields ***#0102*** and ***#0103***, the FEIN will be used to uniquely identify each employer record for every period in which the employer receives a service or benefit from the program. Grantees will be allowed to submit duplicate employer records where the local area is providing services to a branch or subsidiary unit of a large employer. Although the employer FEIN may be the same, data elements ***#0102 – State FIPS Code of Establishment*** and ***#0103 – Zip Code of Establishment*** allow grantees to report services and activities provided to local establishments of a large employer. In cases where a large employer may have two or more establishments located in the same zip code, grantees should submit a consolidated record of services and activities.

Although the Department can require grantees to ask employers for their FEIN as part of the provision of services, grantees must disclose the reason(s) for the request of the FEIN as well as the parties to whom disclosure may be made. FEIN disclosure must be voluntary and grantees cannot deny access to employer services if the FEIN is not provided. In such instances, an alternate employer identifier must be created and used to track services provided to the employer. The collection and retention of the employer FEIN is particularly important if individual data will be kept in a longitudinal database. The collection and maintenance of an accurate and consistent unique identifier will enable local case management files to be combined or cross-matched with a variety of administrative databases (e.g., UI database, ES-202 database, Tax Credit database) maintained by partner programs at the state level.

As specified in 20 CFR 651.10, an employer is defined as a person, firm, corporation or other association or organization (1) which currently has a location within the United States to which U.S. workers may be referred for employment, and which proposes to employ a worker at a place within the United States and (2) which has an employer relationship with respect to employees under this subpart as indicated by the fact that it hires, pays, fires, supervises and otherwise controls the work of such employees. An association of employers shall be considered an employer if it has all of the indicia of an employer set forth in this definition. Such an association, however, shall be considered as a joint employer with the employer member if either shares in exercising one or more of the definitional indicia.

As specified in 20 CFR 651.10, an establishment is defined as a public or private economic employing unit generally at a single physical location which produces and/or sells goods or services, for example, a mine, factory, store, farm, orchard or ranch. It is usually engaged in one, or predominantly one, type of commercial or governmental activity. Each branch or subsidiary unit of a large employer in a geographical area or community should be considered an individual establishment, except that all such units in the same physical location shall be considered a single establishment. A component of an establishment which may not be located in the same physical structure (such as the warehouse of a department store) should also be considered as part of the parent establishment. For the purpose of the "seasonal farmworker" definition, farm labor contractors and crew leaders are not considered establishments; it is the organization to which they supply the workers that are the establishments.

### IV.3.2 Program Financial Assistance and Services

As noted earlier, services to employer customers are becoming an integral service component of the nation's One-Stop delivery system. Many One-Stop programs that receive financial assistance from ETA use those resources to assist employers in finding skilled workers, training incumbent or employed workers, and connecting them to other state or local public investments designed to retain or expand the employer's operations. The data elements contained within ***Section B.01: One-Stop Participation Data*** and ***Section C.01: Employer Services*** are intended to give grantees the opportunity to report services they are providing to this important customer group. As designed, these sections of the record layout represent an integrated approach to reporting employer services. Program sources of financial assistance are not connected to any particular service category unless the employer receives all services financially assisted from a single program. In addition, grantees that have the capability of tracking self-services or services delivered electronically to employers (e.g., automated job matching systems, virtual One-Stop orientations) can use this record layout to report those activities.

At this time, ***Section B.01: One-Stop Participation Data*** identifies three ETA programs that will begin reporting employer services on a quarterly basis: Employment Service (Wagner-Peyser), Veterans Employment and Training (DVOP/LVER), and the Workforce Investment Act Title IB programs. It is important to note that this section of the record layout may be expanded by the Department at a later date to incorporate the contributions of other ETA programs in serving the employer customer. Data elements ***#0300 – 0302*** allow grantees to record whether the service or benefit provided to the employer is supported with financial assistance from any one or all three of these programs. Grantees are instructed to record a **1=Yes** in the appropriate field if the program financially supported, whether wholly or in part, the service or benefit that was provided to the employer. This instruction applies to services delivered by staff as well as those available through self-service electronic tools as long as the self-service transaction is recorded in the employer's service file. Data elements ***#0300 – 0302*** are updated for each quarter in which an employer receives services and an individual record is submitted to the Department. These fields <u>are</u> <u>not</u> reported cumulatively.

***Section C.01: Employer Services*** contains seven (7) fields that collect information on the types of services provided to employers. Because states and local areas have the flexibility to offer services to employers that are particular to their communities, the Department has identified a set of higher level service categories to be reported on a quarterly basis. For example, data element ***#0404: Most Recent Date Received Business Incentive & Retention Services*** contains a number of specific services including, but not limited to, information services on tax credits, business licensing and permitting, and UI claims/tax reporting. States and local areas will certainly offer many more services beyond those mentioned in the definition, and can take advantage of this opportunity to report those activities under this broad service category.

For each of the data elements contained within ***Section C.01***, it is also important to note that <u>only</u> the most recent date on which the service was provided will be reported on the record layout. For example, if an employer customer receives a job profiling assistance service on January $15^{th}$, 2004, and then receives an information service on ADA accommodation on January $30^{th}$, 2004, grantees will report the last or most recent service date (e.g., 20040130) in field ***#0406: Most Recent Date Received Support Services***. Each of the fields contained within this section will be updated on a quarterly basis whenever a more recent service or benefit is provided within that service category to the employer customer.

Figures 3.A and 3.B below provide a graphic representation of how the data elements contained within ***Section B.01*** and ***Section C.01*** would be collected and reported to the Department.

**Hypothetical Example**: Figure 3.A shows a sample service transaction history for ABC Consulting covering the first two quarters of 2004. The *Level* column indicates whether the service was delivered by staff (SA=Staff Assisted) or through self-service (SF=Self-Service or Facilitated Self-Help), and each service provided during the period is mapped to the *Service Category* column. The coding values in the *Service Category* column are similar to the fields in ***Section C.01*** of the record layout. In this particular example, the state in which ABC Consulting conducts business has unveiled a brand new self-service job matching system, where the employers can post jobs, review resumes, and contact/refer qualified candidates to their job vacancies without staff assistance. This new system is financially assisted by the state using Wagner-Peyser and statewide WIA assistance.

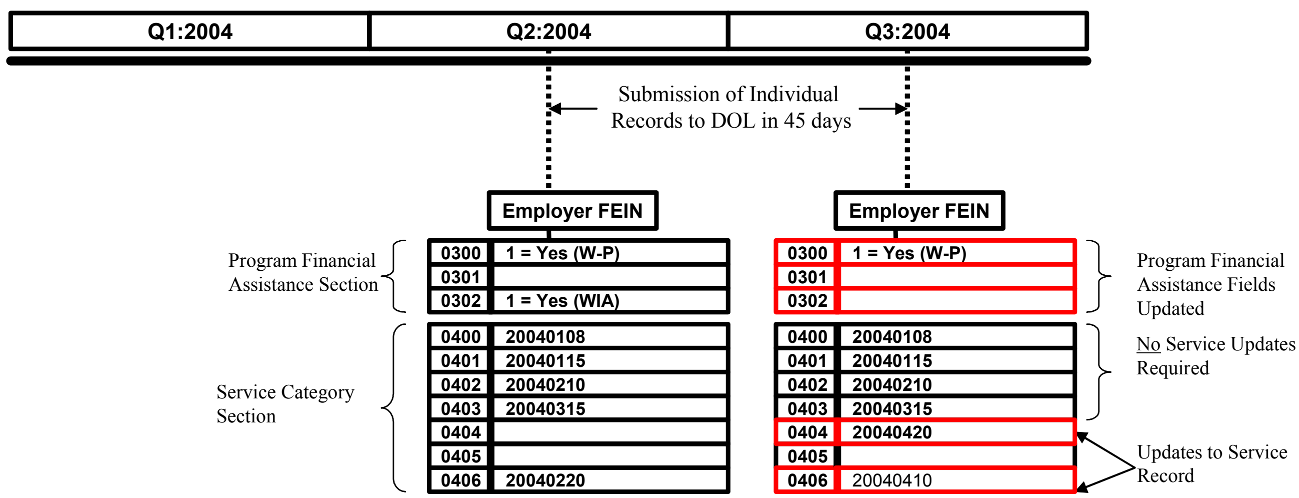
**Figure 3.A**
**ABC Consulting Service Transaction History**

| Q1:2004 | | | | | | |
|---|---|---|---|---|---|---|
| Level | Service Name | Service Category | Date Received | Staff/Financial Asst | | |
| | | | | WP | WIA | VETS |
| SA | Promotional Work-Site Visit | Support Service | 01/02/2004 | | ● | |
| SA | Employer Orientation | Orientation to One-Stop | 01/08/2004 | ● | | |
| SF | Posted Job Order | Job Listing Service | 01/15/2004 | ● | ● | |
| SF | Job Order Matching | Applicant Search Service | 01/16/2004 | ● | ● | |
| SF | Job Order Matching | Applicant Search Service | 01/20/2004 | ● | ● | |
| SA | Job Order Matching | Applicant Search Service | 02/10/2004 | ● | | |
| SF | Job Screening at One-Stop | Support Service | 02/20/2004 | ● | ● | |
| SA | Local Wage Survey Data | Labor Market Information | 03/15/2004 | | ● | |

| Q2:2004 | | | | | | |
|---|---|---|---|---|---|---|
| Level | Service Name | Category | Date Received | Staff/Financial Asst | | |
| | | | | WP | WIA | VETS |
| SA | Follow-up Work-Site Visit | Support Service | 04/10/2004 | ● | | |
| SA | Referral to Economic Dev | Business Retention Service | 04/12/2004 | ● | | |
| SA | Application for Grant Funds | Business Retention Service | 04/20/2004 | ● | | |

As shown above, ABC Consulting received a wide range of services in Q1:2004, including multiple applicant search services by contacting qualified candidates using the state's electronic job matching system and, ultimately, with staff assistance. In Q2:2004, ABC Consulting received a follow-up visit and two staff-assisted business retention services from an employment service staff person (i.e., financially assisted by Wagner-Peyser). Based on this sample service history, Figure 3.B below shows how the state would report program sources of financial assistance and service information on ABC Consulting's individual record.

**Figure 3.B**
**Reporting ABC Consulting Services**




At the end of Q1:2004, the state compiles all the service transactions and program sources of financial assistance in its individual record submission for ABC Consulting. As shown above, fields ***#0300*** and ***#0302*** are recorded as **1=Yes** because both program sources of financial assistance were used to provide services during the quarter. Field ***#0301*** will remain "blank" because financial assistance from the veteran program funds was not used during the quarter. Within ***Section C.01***, the most recent service dates are recorded in the appropriate fields. Even though three applicant search services were recorded for ABC Consulting during the quarter, only the most recent service date (20040210) is recorded in field ***#0402***. Similarly, the most recent date ABC Consulting received a support service (20040220) is recorded in field ***#0406***.

Because ABC Consulting continued to receive services during Q2:2004, the state will submit an updated individual record to the Department during the Q3:2004 period. The data element sequence numbers highlighted in "red" above indicate the fields that will be updated on ABC Consulting's record. The program financial assistance source fields reflect the fact that the company only received services financially assisted by the employment service during the report quarter, and the other two financial assistance source fields are now recorded as "blank." Within ***Section C.01***, the most recent service dates for fields ***#0404*** and ***#0406*** are now populated, and the dates of service in the other categories will remain the same as the previous submission. Since ABC Consulting's individual record has already been constructed, the state only needs to submit updates to the services received during Q2:2004.

### IV.3.3 Rapid Response Activities

Rapid response assistance begins with the employer at the dislocation site as soon as the state has received a WARN notice, a public announcement or other information that a mass dislocation or plant closure is scheduled to take place. Activities related to rapid response are authorized under WIA sections 134(a)(2)(A)(i) and (ii) and may be provided by the state or through the local workforce investment area. Data elements contained within ***Section C.02: Additional Rapid Response Activities*** reflect only a small subset of the wide array of services and assistance available to the employer customer during the course of a rapid response event. Core, intensive or training services provided to workers affected by the mass layoff event will be tracked separately using the job seeker individual record.

Data element ***#0408: Most Recent Date Received Rapid Response Services*** will be reported by grantees to reflect the most recent date on which a rapid response service or benefit is provided to the employer. If the employer receives <u>only</u> one rapid response service during the course of the entire layoff event, then field ***#0407: Date Began Receiving Rapid Response Services*** will be populated and field ***#0408*** can remain blank. However, if multiple services are received within the same quarter following the date of first service (i.e., ***#0407***), field ***#0408*** will reflect only the most recent date on which the rapid response activity occurred. Field ***#0408*** will be updated on a quarterly basis whenever a more recent rapid response service or benefit is provided to the employer customer.

Data element ***#0409: Rapid Response Event Number*** has been set aside on the individual record to connect state and/or local rapid response activities to a specific layoff event. It is important to note that ETA is in the process of seeking public comments on the implementation of an electronic Rapid Response Information Network reporting system to facilitate the reporting of rapid response activities. This proposed data element will be provided to the state or local area when the layoff event is data entered into the Rapid Response Information Network secure website. This system allows users to easily input information regarding layoffs in their area, and the database will be linked to the NEG application database and used to complete a request for financial assistance. By linking the employer record to this 10-digit unique number, the Department will have a clearer view of the national economic and layoff picture, which will aid in developing system training, resource allocation, and other system-development initiatives.

Data elements ***#0410: Establish Labor-Management Committee***, ***#0411: Received Emergency Assistance***, and ***#0412: Development of NEG Application*** are all listed as allowable rapid response activities under WIA and will be reported cumulatively by grantees to indicate whether the employer received any one or all of these services during the course of the layoff event. Figure 4 below provides a graphic representation of how the data elements contained in this section would be collected and reported to the Department.

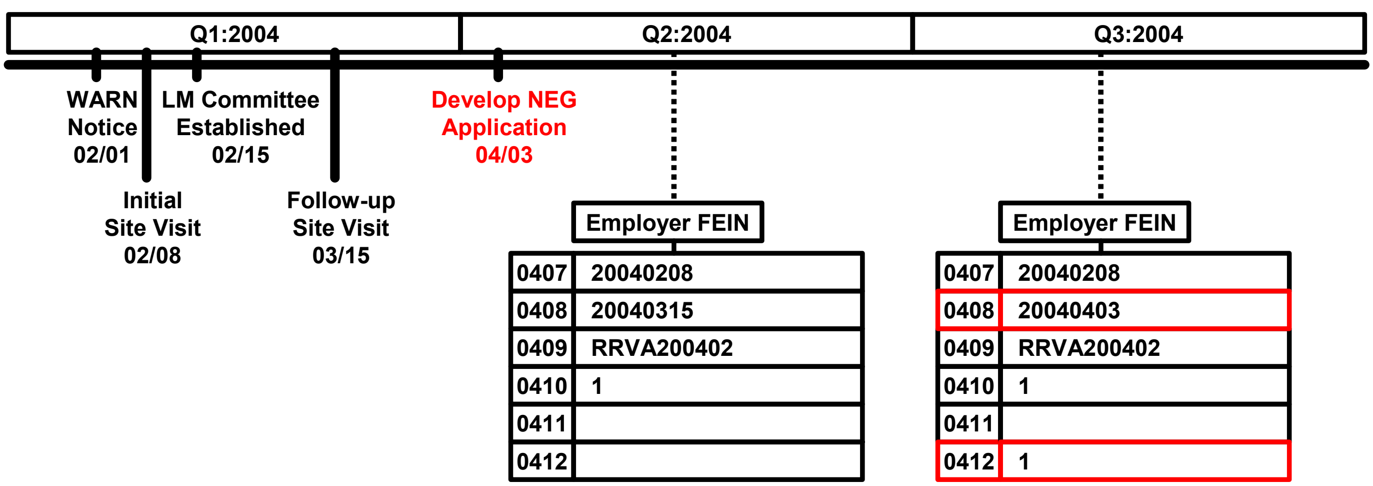
> **<u>Hypothetical Example</u>:** On February 1st (Q1:2004), the state receives a WARN notice that ABC Consulting will be closing one of its plants due to foreign competition. A rapid response team is dispatched on February 8th to the work-site to meet with the employer and representatives of the affected employees. Detailed information on the employer establishment and the layoff event are recorded, and the state calls the toll-free helpline to create the rapid response

event via the National Rapid Response Early Warning and Information Network System and receives a four-digit unique event number (e.g., RRVA200402). This event number is stored in the company's case management record and retained for reporting purposes.

On February 15th, the rapid response team assists the employer in establishing a labor-management committee to address the employment needs of the affected workers. Orientations are subsequently provided to the affected workers regarding the range of services available through the local One-Stop career centers, access to unemployment compensation benefits, and information about Trade Adjustment Assistance. Another follow-up visit to the employer's work-site occurs on March 15th.

At the end of the quarter, the state collects the employer characteristics associated with this establishment and includes the rapid response activities in its individual record submission. Figure 4 below provides an illustration of the data elements that would be reported by the state on this section of ABC Consulting's individual record in the Q2:2004 time period.

**Figure 4**
**Sample Collection of Rapid Response Activities**
**ABC Consulting**




On April 3rd (Q2:2004), the rapid response team works closely with the chief local elected official to develop and submit an application for a National Emergency Grant in response to the layoff event. The development of the NEG application is recorded as a service, but no other services or benefits (including emergency assistance or financial assistance for training) are provided to the employer thereafter. Having already constructed the initial employer record from the previous quarter, the state now compiles all relevant service information and updates this section of ABC Consulting's individual record to reflect the rapid response services delivered during Q2:2004. Figure 4 shows how the additional rapid response activities would be reported by the state on this section of the record layout in the Q3:2004 time period.

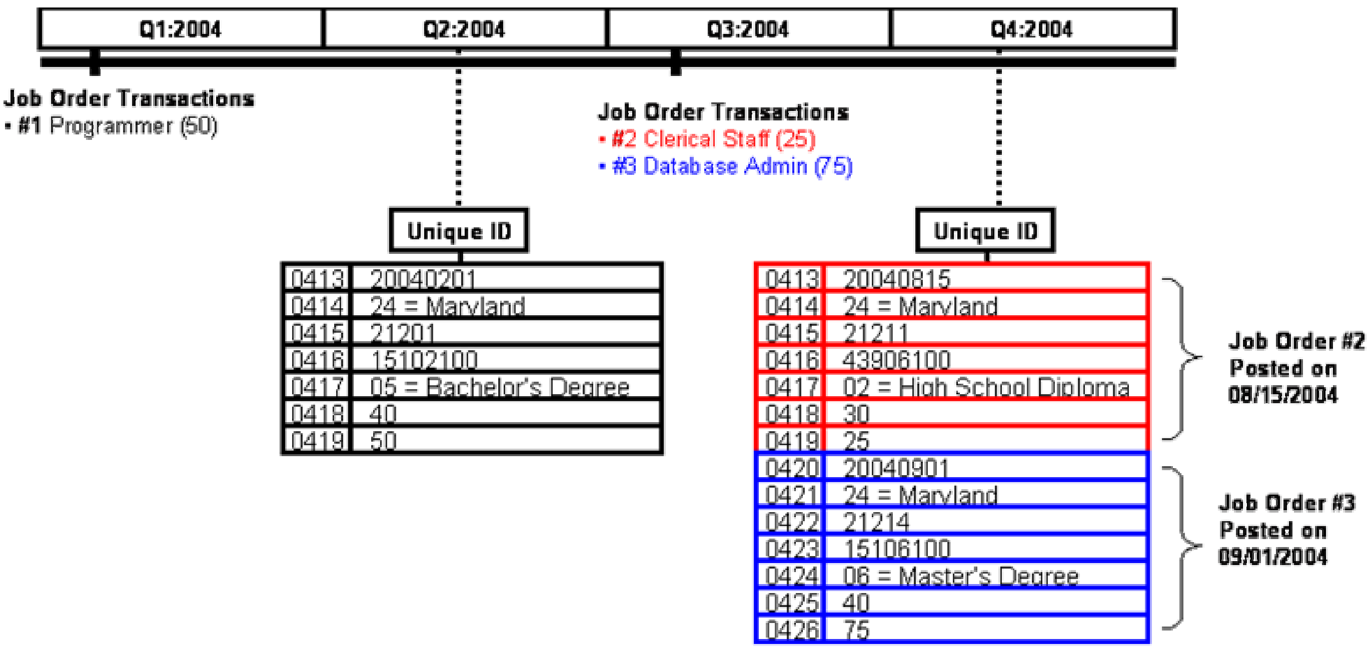
### IV.3.4 Job Order Transactions

State agencies are required to report information on job openings (defined as a job vacancy that the employer intends to fill) listed with the public labor exchange using data elements contained in ***Section C.03: Job Order Transactions***. For each unique employer record, the information collected under this section is organized by job order and reported to the Department according to the date on which the job order transaction was posted (***#0413 Job Order Posting Date***). Job orders posted through staff financially assisted under the Wagner-Peyser Act, WIA Title IB, and Veterans programs must be reported under this section. Job orders posted by employers using self-service electronic tools or through staff of other partner programs should be reported as well in accordance with State policy.

Data elements #0413-0419 represent a block of information that will repeat so that information on each job order transaction can be reported, as needed, to fully reflect the impact of the One-Stop delivery system in serving the employer customer. The format for reporting job order transactions is consistent with the Occupational Information Network – Standard Occupational Classification (O*NET-SOC) system, and includes the total number of job openings (data element #0419) associated with each job order transaction. All data contained within this section must be reported by the grantee when it becomes available. Grantees are not required to update job orders that were initially posted and reported on the record layout in one quarter and then modified (e.g., increased the number of job openings) in a subsequent quarter. Job orders and the number of openings associated with each transaction are reported a single time based on the posting date. Figure 5 below provides a graphic representation of how the data elements contained in this section would be collected and reported to the Department.

**Hypothetical Example:** ABC Consulting contacts the local One-Stop career center for assistance in hiring programmers to support the company's Applications Support Division. After working with the One-Stop staff, a job order for 50 computer programmers is posted on February 1st, 2004 (Q1:2004). At the end of the quarter, the state compiles all job order transactions and includes ABC Consulting's initial job posting for 50 computer programmers in its individual record submission. Figure 5 provides an illustration of the data elements that would be reported by the state on this section of ABC Consulting's individual record in the Q2:2004 time period. The data element sequence numbers in this section and a couple of explanatory notes (e.g., 24 = Maryland) have been included in Figure 5 for reference purposes only.

**Figure 5**
**Sample Collection of Job Order Transactions**
**ABC Consulting**




After successfully filling the job order for 50 computer programmers, ABC Consulting decides to utilize the state's self-service electronic job match system to post two additional job orders during the third quarter of 2004. ABC Consulting posts a job order for 25 clerical staff on August 15th and another job order for 75 database administrators on September 1st. The state will again compile all job order transactions following the end of the third quarter and report only the two job orders posted by ABC Consulting to its individual record. Please note that the two job orders were not appended to the previous submission. Figure 5 shows how the job orders for clerical staff and database administrators would be reported by the state on this section of ABC Consulting's individual record in the Q4:2004 time period.

# V. JOB SEEKER STANDARDIZED INDIVIDUAL RECORD

## V.1 INTRODUCTION

In developing this Job Seeker record layout, every effort has been made to establish common data definitions and formats with minimum burden to grantees. This standardized individual record layout provides grantees with the opportunity to better inform the Administration, Congress and other stakeholders about the numbers of job seekers being served, the type and frequency of services, and the employment and skill-related outcomes of former participants. The individual record layout establishes a core set of data that must be collected and maintained by grantees. In some areas, program-specific information on characteristics, activities and outcomes are included for individuals served by those programs. The following instructions are intended to aid states and other grantees in collecting, storing and reporting information about job seekers who receive services funded by ETA programs.

## V.2 JOB SEEKER RECORD LAYOUT SPECIFICATIONS

Record Layout Specifications: Fixed length record layout. See **Appendix B** for details regarding data elements, definitions, and coding values.

## V.3 IMPORTANT REPORTING AND RECORD RETENTION ISSUES

### V.3.1 Unique Individual Identifiers

A well designed reporting and record keeping system must contain unique individual identification numbers. Each individual identification number should be associated with only one job seeker, and be used in every period of participation and in every local area and statewide program. This is particularly important if individual data will be kept in a longitudinal database. The collection and maintenance of an accurate and consistent unique individual identifier will enable local case management files to be combined or cross-matched with a variety of administrative databases maintained by One-Stop partner programs.

Generally, this unique individual identification number involves a Social Security Number (SSN). The collection of an individual SSN is absolutely essential for grantees to track progress against federally required indicators of program performance. The need to transfer individual records from One-Stop career center(s) to local workforce investment area(s) to other partner program databases (e.g., UI Wage Record Database) has reinforced the need for a unique individual identifier at the state or grantee level. Although the Department can require states to ask job seekers for his/her SSN as part of the application process for program services, grantees must disclose the reason(s) for the request of the SSN as well as the parties to whom disclosure may be made. SSN disclosure must be voluntary and grantees cannot deny access to job seeker services if the SSN is not provided. In such instances, an alternate individual identifier is to be used.

It is also important to note that grantees are not required to report actual SSNs on the job seeker standardized individual record. The OMB terms of clearance prohibit the disclosure of SSNs and many state UI agencies will not allow wage record data to be reported in other Federal databases if the wage record data is identified by SSN. Therefore, the first field of each job seeker individual record must be an individual identifier, created by the grantee, to conceal the actual identity of the participant whose data are being reported. These unique individual identifiers must be created by the grantee in such a way that they identify the same individual in every period of participation and in every local area and statewide program.

### V.3.2 Equal Opportunity Information

Beginning on the effective date of this reporting system, data elements 0104 through 0114 under ***Section A.02: Equal Opportunity Information*** are to be collected and maintained for individuals who apply for benefits or services financially assisted by the program. This requirement is in accordance with 29 CFR Part 37, "Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998." For reference, sections 37.37(b)(1), (b)(2) and (d) of title 29 CFR mandate the following:

*(b)(1) Each recipient must collect such data and maintain such records, in accordance with procedures prescribed by the Director [*Director of the Civil Rights Center, Office of the Assistant Secretary for Administration and Management, DOL*], as the Director finds necessary to determine whether the recipient has complied or is complying with the nondiscrimination and equal opportunity provisions of WIA or this part. The system and format in which the records and data are kept must be designed to allow the Governor and CRC [Civil Rights Center, Department of Labor] to conduct statistical or other quantifiable data analyses to verify the recipient's compliance with section 188 of WIA and this part;*

*(b)(2) Such records must include, but are not limited to, records on applicants, registrants, eligible applicants/registrants, participants, terminees, employees, and applicants for employment. Each recipient must record the race/ethnicity, sex, age, and where known, disability status, of every applicant, registrant, eligible applicant/registrant, participant, terminee, applicant for employment, and employee;*

*(d) Where designation of individuals by race or ethnicity is required, the guidelines of the Office of Management and Budget must be used.*

Other sources of authority for this requirement include 29 CFR 31.5(b), in DOL's regulations implementing Title VI of the Civil Rights Act of 1964, and 29 CFR 32.44(b), in DOL's regulations implementing Section 504 of the Rehabilitation Act of 1973. The CRC Director has determined that collection of the equal opportunity information sought by this section of the reporting system is necessary in order to determine whether recipients have complied, or are complying, with the nondiscrimination and equal opportunity provisions of WIA and other applicable statutes.

Information contained within this section is self-reported by the individual and is voluntary. Individuals should be made aware of the reason for the request of such information as well as the parties to whom disclosure may be made. Information collected from the individual will be used to monitor compliance of recipients with the equal opportunity and nondiscrimination requirements enforced by the CRC. It will also be used to assist the grantee and the Department in evaluating and improving efforts to conduct outreach to diverse population groups, including racial and ethnic minorities and persons with disabilities.

Personally identifying information (i.e., equal opportunity information by SSN) will not be included in the tabulation or transfer of data to the Department. The Department will use the data supplied by the individual to determine how many applicants are from different groups and how many of these applicants are determined eligible to receive services financially assisted by the program in question. The Department will then assess compliance with nondiscrimination and equal opportunity requirements, as well as the effectiveness of specific outreach efforts and means of communication in light of this information. Individuals who are presented with the opportunity to self-report information contained within this section <u>and</u> choose to <u>not self-identify</u> should be coded as ***0114 Information Not Voluntarily Reported*** (1 = Yes).

Data element ***#0107 Ethnicity Hispanic/Latino*** must be collected separately from race information, and individuals who indicate that they are Hispanic or Latino should also have the opportunity to select one or more racial categories. Information on an individual's ethnicity <u>must</u> be collected before information on race. When completing race information, individuals <u>must</u> be offered the option of selecting one or more racial designations. Recommended forms for the instruction accompanying the race information should instruct the individual to read each racial designation carefully and then mark one or more races to indicate what the individual considers him/herself to be.

For the purposes of the requirements in this section of the reporting system, disability means, with respect to an individual, a physical or mental impairment that substantially limits one or more of the major life activities of such individual. 29 CFR 37.4 provides further clarification of the term "disability"; relevant portions of the definition have been included below for reference

*(1)(i) The phrase physical or mental impairment means—*

- *(A) Any physiological disorder or condition, cosmetic disfigurement, or anatomical loss affecting one or more of the following body systems: neurological, musculoskeletal, special sense organs, respiratory (including speech organs), cardiovascular, reproductive, digestive, genitourinary, hemic and lymphatic, skin, and endocrine;*
- *(B) Any mental or psychological disorder such as mental retardation, organic brain syndrome, emotional or mental illness, and specific learning disabilities.*

*(ii) The phrase physical or mental impairment includes, but is not limited to, such contagious and noncontagious diseases and conditions as orthopedic, visual, speech and hearing impairments, cerebral palsy, epilepsy, muscular dystrophy, multiple sclerosis, cancer, heart disease, diabetes, mental retardation, emotional illness, specific learning disabilities, HIV disease (whether symptomatic or asymptomatic), tuberculosis, drug addiction, and alcoholism. The phrase ``physical or mental impairment'' does not include homosexuality or bisexuality.*

*(2) The phrase major life activities means functions such as caring for one's self, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, and working.*

### V.3.3 Veteran Characteristics

Data elements contained within ***Section A.03: Veteran Characteristics*** are required to effectively implement the veterans' priority of service provisions under the Jobs for Veterans Act (PL 107-288). Section 2(a) of the Jobs for Veterans Act 38 U.S.C. 4215(a) creates a priority of service for veterans (and some spouses) "who otherwise meet the eligibility requirements for participation" in DOL training programs. The Secretary of Labor is required to develop an annual report to Congress regarding whether veterans are receiving priority of service, whether they are being fully served by impacted programs/grants and whether the representation of veterans in such programs is in proportion to the incidence of representation of veterans in the labor market.

To fulfill this requirement, all ETA programs will be required to collect data element ***#0115: Eligible Veteran Status*** information from individuals served by their programs or discretionary grants. The Department's priority of service provision applies to individuals coded under field ***#0115: Eligible Veteran Status*** as either ***(2=Yes, > 180 days)*** or ***(3=Yes, Other Eligible Persons)***. At a minimum, when there is a registration or program enrollment requirement associated with receipt of services under the program, collection of the individual's eligible veteran status will be necessary.

In conjunction with the Veterans' Employment and Training Service (VETS), ETA has normalized the various statutory definitions/characteristics of eligible veterans into a single set of data element specifications. Additional veteran-specific characteristics (e.g., ***#0116: Campaign Veteran***, ***#0117: Disabled Veteran***, ***#0119: Date of Military Separation***) are required for those individuals who indicate that they are eligible veterans. These data elements have unique notations (i.e., $\mathbf{R}^{\mathbf{VET}}$) to describe that the collection and reporting of this information is <u>only</u> required if the individual identifies him/herself as an eligible veteran. When combined with the collection of service information on the standardized individual record, these data elements allow for the computation of performance information related to the number of veterans served by service component and associating outcomes.

On July 11, 2003, Secretary of Labor Elaine Chao and Secretary of Defense Donald Rumsfeld signed the DOD-DOL Memorandum of Understanding (MOU). The overall goal of this partnership is to enhance recruitment and retention for the military services and to assist the transition and re-entry of military personnel into the 21st century workforce, as well as to ensure that opportunities for training, education, and employment are available to military spouses. In order to track the placement and retention of former program participants into the military services in a consistent and cost effective manner, data element **#0118: Transitioning Service Member** has been specified by VETS and will be applied to individuals receiving services under the Labor Exchange and WIA programs.

### V.3.4 Migrant and Seasonal Farm Worker Characteristics

The success of ETA programs will not only be measured by the degree to which businesses use our services to find qualified workers, but the extent to which these programs have worked to alleviate the high unemployment rates of individuals facing significant barriers to employment, particularly migrant and seasonal farm workers (MSFWs). MSFWs are an important segment of the nation's workforce. Farm workers are substantially represented among the unemployed and the poor, and have unique workforce development needs due to mobility and substantial barriers to full-time employment and self-sufficiency.

Each year, the National Farm Worker Jobs Program (NFJP), which is authorized by WIA Section 167, serves as the primary vehicle through which MSFWs receive job training to achieve employment in higher-skills, better paying jobs, and through related assistance services that allows them to continue their agricultural work while providing for their families. Employment Service programs, which are authorized under the Wagner-Peyser Act and administered through local One-Stop career centers, are required to ensure that the services (e.g., career guidance, testing, job development, and job referral) provided to MSFWs are *qualitatively and quantitatively proportionate* to the services provided to other job seekers. The Federal resources made available under the NFJP and Employment Service programs are designed to supplement the services and activities available to MSFWs under the WIA Title IB programs.

With this in mind, data elements contained within ***Section A.05: Migrant and Seasonal Farm worker Characteristics*** are intended to document the extent to which MSFWs are accessing workforce investment resources within the One-Stop Career Center system. Grantees of the Employment Service and WIA Title IB programs are instructed to collect data elements ***#0127: Primarily Employed in Farm work*** and ***#0128: Minimum Threshold of Farm work Performed*** on <u>all</u> individuals who are eligible to receive services funded under the program. These two data elements will assist the grantees in initially determining whether the individual is primarily employed in seasonal farm work.

Whenever an individual identifies him/herself as a seasonal farm worker, grantees are also required to collect and report the following data elements to the Department on the individual: ***#0129: Migrant Status***, ***#0130: Type of Qualifying Farm work***, ***#0131: Chronic Unemployment or Underemployment***, and ***#0132: Dependent of Eligible Farm worker***. These data elements have unique notations (i.e., $\mathbf{R}^{\mathbf{MF}}$) to describe that the collection and reporting of this information is <u>only</u> required if the individual identifies him/herself as a seasonal farm worker. For the NFJP Section 167 grantees, all data elements contained within this section will be collected and reported to the Department. By establishing a common set of data elements for MSFWs, the information collected and reported under this section will help facilitate greater collaboration and coordination among ETA programs, and provide greater visibility regarding the extent to which this important customer group is receiving employment and training services through the One-Stop Career Center system.

### V.3.5 One-Stop Participation Data

Data elements contained within ***Section B.01: One-Stop Participation Data*** are designed to provide grantees with the ability to track and report participation in DOL programs and certain other partner programs operating in a local one-stop environment. Training and Employment Guidance Letter (TEGL) 15-03 notes that participation occurs whenever an individual is determined eligible <u>and</u> receives any service funded by the program in a physical location (e.g., a One-Stop career center). The criteria that are used to determine whether an individual is eligible to participate will be based on the guidelines for that program. States and grantees may choose, but are not required, to consider as participants those individuals who receive services that are available through the Internet and are not accessed through a physical location (e.g., a One-Stop career center).

In accordance with TEGL 15-03, ***Section B.01*** of the record layout collects the date of the first service received after the individual is determined eligible to participate in the program (i.e., participation date). This section includes data elements that allow grantees to track and report the dates of participation for each DOL program. For example, programs authorized under WIA Title IB will track and report participation separately for the adult (***#0303***), dislocated worker (***#0307***), and youth (***#0314***) programs. For individuals who receive services funded under a National Emergency Grant, data elements ***#0308-0313*** will be used by grantees to track and report an individual's participation in up to three separate NEG projects. Data elements ***#0315-0317*** have also been set aside to separately track an individual's participation in programs that are funded through 15% statewide activities.

In still other cases, additional data elements are required beyond the individual's participation date to describe the type of program and/or geographic location in which the individual is receiving services. For example, grantees providing services to eligible trade impacted workers are required to report ***#0321: TAA Participation Date*** as well as ***#0320: TAA Application Date***, ***#0322: Program Type***, and ***#0323: Petition Number*** at the time of participation in the program. For the NFJP Section 167 grantees, data elements ***#0327: Field Office Identifier*** and ***#0328: ETA-Assigned Section 167 Grantee Code*** must be collected and reported in addition to the individual's participation date.

This section of the record layout is also designed to provide grantees with the opportunity to track and report on participation in certain other one-stop partner programs. Methods for tracking participants across programs can include specifying the partner program services in the participant's service plan or coordinating services across programs through a formal co-enrollment. While the reporting of data elements ***#0334-0342*** on the record layout is optional, grantees are strongly encouraged to populate these fields, when appropriate, because receipt of partner program services can be used to extend an individual's participation (***#0343: Participation Status***) in the program. TEGL 15-03 notes that an individual "exits" a program whenever a participant does not receive a service funded by the program or funded by a partner program for 90 consecutive days (i.e., soft exit).

Even though the date of participation (i.e., first service date) will remain constant, the participation status field is an important indicator and grantees are instructed to update data element ***#0343*** each quarter to reflect the participant's current status in the program. When an individual begins participating in a program, data element ***#0343*** will initially be coded to ***01=Active***. This means the individual is actively receiving services funded by the program, and can be used at a later point to indicate that the participant is actively receiving services from a partner program. If there is a legitimate planned gap in service that lasts greater than 90 days, grantees will use this data element to change the participant's status to ***02=Hold, Gap in Service*** to signify that the participant should not be soft exited. In accordance with TEGL 15-03, service providers and grantees must document any gap in service that occurs and indicate the reason for the gap in service. Once the planned gap in service is over and the individual continues receiving additional services, the participation status will revert back to ***01=Active***.

If an individual is participating in the WIA Adult program and then goes on to only receive adult literacy services funded from WIA Title II, grantees can use this record layout to extend the individual's participation in the WIA Adult program. In this example, if the WIA Title II services can be tracked by the grantee, data element ***#0336: Adult Education*** will be populated to reflect the date on which the individual began receiving services and the participation status field (***#0343***) would remain set to ***01=Active***. The participant will not exit until there are neither WIA Adult nor WIA Title II services for 90 consecutive days. However, if the WIA Title II services cannot be tracked by the grantee, the participant will exit when there are no WIA Adult services for 90 consecutive days.

When a participant does complete services and exit the program(s), grantees are instructed to (1) change the individual's participation status in ***#0343*** to ***03=Exit***, (2) record the date on which the last service funded by the program or a partner program is received by the participant in field ***#0344: Date of Exit***, and (3) record the reason for exit using the most appropriate code in field ***#0345: Reason for Exit***. As indicated in the instructions for data element ***#0345***, only coding values ***01=Institutionalized, 02=Health/Medical, 03=Deceased, 04=Family Care***, and ***05=Reservist Called to Active Duty*** may be used to exclude participants from the calculation of common measures. All other coding values can be used by the program for management purposes, and will allow the Department to calculate other program management indicators beyond the common measures that reflect unique conditions within each program.

### V.3.6 Reporting Service Information

Data elements contained within ***Section C*** of the record layout are intended to give grantees the opportunity to report services they are providing to job seeker customers. The Department has identified ten (10) major categories of services within this section. Although some of the major categories of services are program-specific (e.g., ***Section C.09: Services to Older Workers***), a few other categories require certain grantees to integrate the reporting of services across multiple ETA programs (e.g., ***Section C.02: Staff-Assisted Services***). In still other cases, the collection and reporting of service information is based upon the level or intensity of services received by the job seeker customer. For example, the data collection associated with a job seeker who only receives self-service or facilitated self-help services will be very minimal compared to a job seeker that participates in training activities. This means that a job seeker's record only expands as more intensive services are received by the customer.

For the WIA Title IB, Employment Service, VETS, and NEG programs, the collection and reporting of service data are organized according to the type of customer and level of service. The three broad customer groups include adults, dislocated workers, and youth. For adults and dislocated workers, grantees will collect and report services according to the following levels of service: self-service or facilitated self-help services (SF), staff-assisted services (SA), intensive and training services (IT). For youth customers, service data for each of the ten (10) program elements are reported according to the age of the individual at the time of participation in the program.

Grantees are instructed to use ***Section C.01*** and ***Section C.02*** to report self-services, facilitated self-help, and staff-assisted services received by adults and dislocated workers. Because states and local areas have the flexibility to offer services to adults and dislocated workers that are particular to their communities, the Department has identified a smaller number of service types to be reported on a quarterly basis. These service types include career guidance services, assessment services, job search activities, referral to employment, referral to supportive services, and other staff-assisted services. For example, data element ***#0409: Most Recent Date Received Job Search Activities*** contains a number of specific services including, but not limited to, resume preparation assistance, job search workshops, job finding clubs, provision of specific labor market information, and development of a job search plan. States and local areas will certainly offer many more services beyond those mentioned in the definition, and can take advantage of this opportunity to report those activities under this broad service types.

For each of the data elements contained within ***Section C.01*** and ***Section C.02***, it is also important to note that only the most recent date on which the service was received will be reported on the record layout. For example, if an adult customer receives a career guidance service on March 13th, 2004, from a WIA staff person, and receives a second career guidance service on March 22nd, 2004, from an ES staff person, grantees will report the last or most recent service date (e.g., 20040322) in field ***#0403: Most Recent Date Received Career Guidance Services***. Additionally, this section divides each of the service types into two distinct data elements that track whether the service was provided by a DVOP or LVER staff person, and grantees are instructed to report these services for only eligible veterans (e.g., as indicated by $\mathbf{R}^{\mathbf{VET}}$ on the record layout). All of the data elements contained within this section will be updated on a quarterly basis whenever a more recent service or benefit is provided within that service category to the participant customer. These data elements are not reported cumulatively.

Data elements contained within ***Section C.03*** reflect information on staff-assisted services provided to adult customers who are eligible veterans. This section collects additional veteran-specific services such as case management, referral and placement in Federal training, and referral and placement in Federal employment. Similar to the previous two sections, each service type is divided according to whether the service was provided by a DVOP, LVER, or other staff person funded by the Employment Service/WIA. Only the most recent date on which the service was provided will be reported on the record layout. For example, if a veteran customer receives a referral to Federal employment on April 7th, 2004, from a DVOP staff person; a second referral to Federal employment on April 15th, 2004, from a WIA staff person; and a third referral to Federal employment on April 20th, 2004, from an ES staff person, grantees will report the last or most recent service date in the appropriate field for the report quarter. In this case, grantees will record "20040420" in field ***#0432: Most Recent Date Referred to Federal Job***, and record "20040407" in field ***#0433: Most Recent Date Referred to Federal Job (DVOP)***. For field ***#0432***, it is important to reemphasize that this is an integrated approach to reporting services, and it does not matter whether the service is provided by a WIA funded or ES funded staff person. Each of the data elements contained within this section will be updated on a quarterly basis whenever a more recent service or benefit is provided within that service category to the veteran customer. These data elements are not reported cumulatively.

Grantees that provide intensive services to eligible adults and dislocated workers will collect and report such information using ***Section C.04: Intensive Services***. Grantees are instructed to populate data element ***#0441*** for each participant that receives an Individual Service Plan (ISP). Similar to the previous sections, data elements ***#0442-***

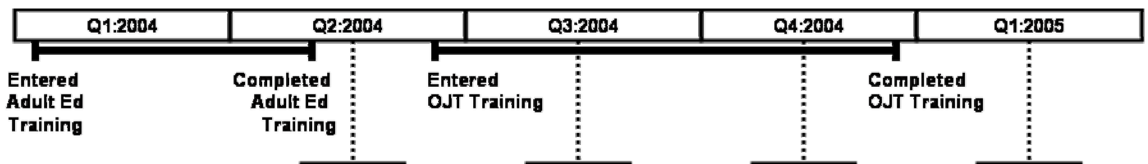
***0445*** will reflect <u>only</u> the most recent date on which the service was received by the participant. These data elements will be updated on a quarterly basis whenever a more recent service or benefit is provided within that service category to the participant customer. These data elements <u>are</u> <u>not</u> reported cumulatively.

The information contained within ***Section C.05: Training Services*** is collected and reported, where appropriate, for all participants who receive training services. Youth who receive occupational skills training will also be reported using this section. The reporting of this information <u>is</u> <u>cumulative</u> and space has been provided on the record layout for the collection of no more than five (5) separate occurrences of training for each individual. All data contained within these sections must be reported by the grantee when it becomes available.

Data elements ***#0446-0453*** under ***Section C.05*** represent a set of cumulative data that will repeat so that information on additional training can be reported for each participant. Consider the following example:

> **<u>Hypothetical Example</u>:** During Q1:2004, an adult participant begins receiving adult education and literacy activities on January 15th, 2004. As outlined in the participant's ISP, this basic skills training course is being offered in combination with on-the-job training (OJT) to prepare the individual for an entry-level position in the computer field. The participant is expected to begin OJT near the end of May, and both training activities are funded through an Individual Training Account (ITA). Figure 6 provides a graphical illustration of how this data would be collected and reported to the Department. At the end of the first quarter, the state will only report the ***#0446 Date Entered Training***, ***#0447 Type of Training***, ***#0448 Occupational Training Code***, ***#0449 Established ITA***, and ***#0450 Training Completed*** fields on the record layout for this adult participant.
>
> During Q2:2004, the adult participant successfully completes the basic skills training course, but the General Equivalency Degree (GED) test will not take place until June. Meanwhile, the participant begins OJT on May 30th, 2003, in order to fulfill the goals set forth in the ISP. At the end of the second quarter, the state will update information on the first sequence of training (i.e., completion of the basic skill training course), and then create a second sequence of training to reflect the participant's entry into OJT. This second sequence of training will be <u>appended</u> to the first sequence of training, and the data element numbers used to track the second sequence of training will be ***#0454*** to ***#0461***.
>
> As shown in Figure 6, field ***#0450 Training Completed*** is updated to reflect the individual's successful completion of the basic skills training course, and field ***#0451 Date Completed Training*** is now populated. Because the GED test will not take place until June, data elements ***#0452: Type of Degree or Certificate Received*** and ***#0453: Date Attained Degree or Certificate*** will remain "blank" until the participant attains a credential. A second sequence of training is now reported to the Department and that new information is appended to the first sequence of training using data elements ***#0454-0461***.

**Figure 6**
**Sample Collection of Information on Training Services**




| Unique ID | Unique ID | Unique ID | Unique ID | Unique ID |
|---|---|---|---|---|
| 0446 | 20040115 | 20040115 | 20040115 | 20040115 |
| 0447 | 05 = Adult Ed | 05 = Adult Ed | 05 = Adult Ed | 05 = Adult Ed |
| 0448 | 43901100 | 43901100 | 43901100 | 43901100 |
| 0449 | 1 = Yes | 1 = Yes | 1 = Yes | 1 = Yes |
| 0450 | 2 = Still in Trng | 1 = Completed | 1 = Completed | 1 = Completed |
| 0451 | | 20040415 | 20040415 | 20040415 |
| 0452 | | | 01 = GED | 01 = GED |
| 0453 | | | 20040710 | 20040710 |
| 0454 | | 20040530 | 20040115 | 20040115 |
| 0455 | | 01 = OJT | 01 = OJT | 01 = OJT |
| 0456 | | 43901100 | 43901100 | 43901100 |
| 0457 | | 1 = Yes | 1 = Yes | 1 = Yes |
| 0458 | | 2 = Still in Trng | 2 = Still in Trng | 1 = Completed |
| 0459 | | | | 20041104 |
| 0460 | | | | 11 = Occ. Cert |
| 0461 | | | | 20041117 |

Second Training Sequence - OJT

On July 10th, the participant officially attains a GED as a result of successfully passing the test in June. The participant continues to attend OJT through Q3:2004 and successfully completes training on November 4th, 2004 (Q4:2004). In this example, the participant attains an occupational skills certificate on November 17th after successfully passing an assessment test recognized by the computer industry. At the end of the third quarter, the state will update both sequences of training. First, the state will populate fields ***#0452*** and ***#0453*** on the record layout, because the individual has attained a GED. Second, the state will update field ***#0458*** to reflect the fact that the individual continues to participate in OJT.

As the fourth quarter ends, the state will update the second sequence of training to reflect the fact the individual has attained an occupational skills certificate. Data elements ***#0460***and ***#0461*** are now populated to reflect the fact that the participant received an occupational skills certificate on November 17th. If necessary, the record layout provides space for up to three (3) additional sequences of training for each individual.

Youth who receive services funded by WIA will report those activities under ***Section C.06: Additional Services for Youth***. Grantees are instructed to populate data element ***#0486*** for each youth participant that receives an Individual Service Strategy (ISS). Information contained within this section reflect nine (9) required program elements for the WIA youth program. As noted earlier, youth who receive occupational skills training are reported under ***Section C.05***. For each program element, grantees are instructed to report only the most recent date on which a service was received by the youth participant (i.e., data elements ***#0487-0495***). These data elements will be updated on a quarterly basis whenever a more recent service or benefit is provided within that service category to the participant customer. These data elements are not reported cumulatively.

The remaining portions of ***Section C*** include related assistance and other supportive services that are program-specific. For example, ***Section C.07*** includes assistance and other needs-related services for eligible adults, dislocated workers, and trade impacted workers. Related assistance services provided to migrant and seasonal farmworkers funded by the National Farmworker Jobs Program (NFJP) will be collected and reported under ***Section C.08***. This section includes eight (8) different types of related assistance services, and grantees are instructed to record a ***1=Yes*** in the appropriate field if the program funds, wholly or in part, a related assistance service. Grantees are instructed to use data elements ***#0518-0525*** to report related assistance services for each participant on a quarterly basis.

Services for older workers funded by the Senior Community Service and Employment Program (SCSEP) will be collected and reported under ***Section C.09***. This section provides two important pieces of management information on a quarterly basis. First, the record layout records the total number of hours in training as well as the type of training each participant receives during the quarter. Second, space is available on the record layout for the grantee to report up to three (3) instances of community service; an important service component of this program. Grantees are instructed to use data elements ***#0526-0533*** to report community service activities for each participant on a quarterly basis.

### V.3.7 Employment and Wage Record Data

Data elements contained within ***Section D.01: Employment and Job Retention Information*** and ***Section D.02: Wage Record Information*** provide grantees with the ability to collect and report employment and earnings information that will be used to calculate important indicators of program performance, including common measures for adults and the youth placement in employment or education measure. Information contained within these sections will document the labor market experience of individuals approximately one year before and one year after program participation.

***Section D.02*** contains a core set of data elements to document an individual's employment status for each of the four quarters following program participation. For each quarter after the exit quarter, grantees are instructed to record whether the individual was found to be employed, the method used in determining the individual's employment status, and, where appropriate, the date on which the individual was found to be employed. This section allows grantees to report employment information obtained through automated record matching systems (e.g., UI wage records, WRIS) and through supplemental case management follow-up or other survey techniques. For example, if a former program participant is found to be employed in the 1st quarter following the quarter of exit using case management follow-up, the grantee is required to collect and report that supplemental employment information using the following data elements: ***#1000: Employed in 1st Quarter After Exit Quarter***, ***#1001: Type of Employment Match 1st Quarter After Exit Quarter***, and ***#1002: Date Entered***

***Employment***. This means that grantees using supplemental data to report additional employment information are required to indicate the date on which the individual was found to be employed in the appropriate quarter. As indicated in TEGL 15-03, all supplemental data and methods must be documented and are subject to audit.

It is also important to note that grantees utilizing automated record matching systems are not required to indicate the date on which the individual was found to be employed. Instead, these grantees are instructed to populate the appropriate post-program data element contained within ***Section D.02*** when the wage record data for the applicable quarter becomes available. ***Section D.01*** includes additional management information that will be used to describe the quality and type of individual employment. For example, data element ***#1003: Self-Employed*** is included on the record layout to address the fact that many grantees offer entrepreneurial training to eligible participants who ultimately operate a business or profession as a sole proprietorship, partnership, or as an independent contractor or consultant, that is not covered by the nation's Unemployment Insurance (UI) system. This additional management information can be used to describe the total employment impact of the program to OMB beyond the common measures specifications.

Grantees are instructed to populate all eight (8) data elements contained within ***Section D.02*** as soon as the wage record data for that quarter become available. Because of the data collection delays inherent in UI wage records relatively complete wage records for any quarter will not available for up to another two quarters afterward. This means that grantees will have up to six and one-half months after each quarter to process wage matching requests, merge any matched wage data with case management files, and populate the appropriate fields in this section of the record layout before submitting the individual records to the Department. For example, if an individual becomes a participant in Q1:2004, the Department expects that relatively complete wage records would be available for the 4$^{th}$ (i.e., Q1:2003), 3$^{rd}$ (i.e., Q2:2003), and 2$^{nd}$ (i.e., Q3:2003) quarters prior to the quarter of participation. In other words, relatively complete wage record data for these pre-program quarters will be available so that data elements ***#1019, #1020,*** and ***#1021*** can be populated by grantees on the record layout and included with their individual record submission during the Q2:2004 time period (i.e., 45 days following Q1:2004). Because wage record information for the 1$^{st}$ quarter prior to the quarter of participation would not be available for another three and one-half months, grantees will enter "999999.99" into data element ***#1022*** until that quarter of earnings data become available. The remaining data elements within this section that capture post-program earnings information will also be coded as "999999.99" until such time that the wage record data become available. Once wage record data become available and the individual is not found to have any reported earnings, grantees are instructed to change the coding of the appropriate data element to "000000.00."

### V.3.8 Youth Literacy/Numeracy Assessment Data

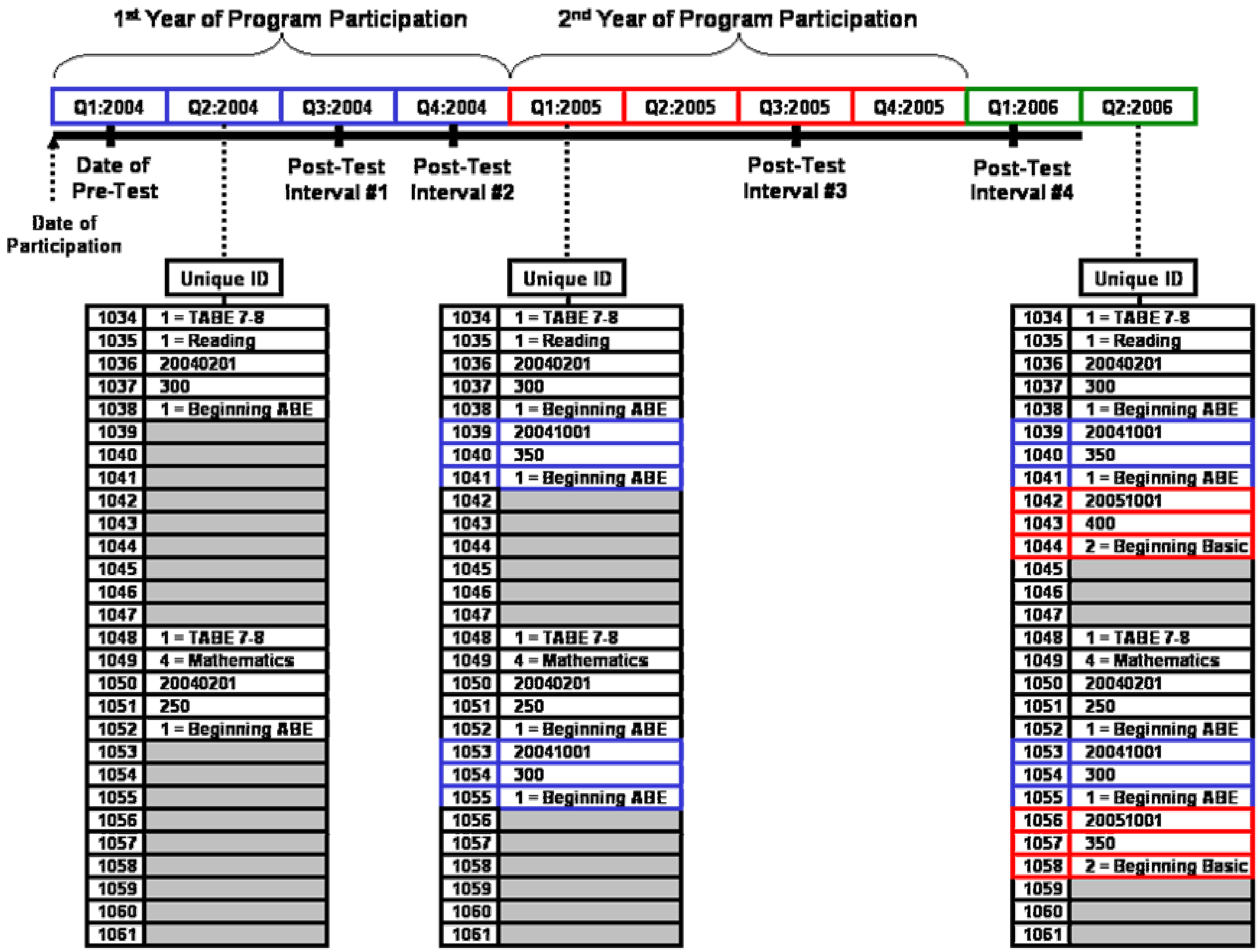
The collection and reporting of literacy or numeracy assessment data for youth will be cumulative and separated into two distinct sections: ***Section D.04: Adult Basic Education (ABE) Literacy/Numeracy Data*** and ***Section D.05: English-as-a-Second Language (ESL) Literacy/Numeracy Data***. The information contained within these sections is collected and reported, where appropriate, for all youth participants who are determined basic skills deficient using a common assessment tool administered at program entry and regular intervals thereafter. All data contained within these sections must be reported by the grantee when it becomes available.

The data elements contained within these two sections of the record layout are organized according to the *Type of Assessment Test* <u>and</u> *Functional Area* administered to the youth participant. Data elements #1034 and #1100 provide coding values for the type of ABE and ESL assessment tests that have been benchmarked to the educational functioning levels for the U.S. Department of Education's National Reporting System. To measure the increase in basic skills, grantees must use an assessment procedure comprised of a standardized test or a performance assessment with standardized scoring protocols. In addition to the ABE and ESL assessment tools that have been formally benchmarked, grantees are allowed to collect and report the use of alternative assessment tools. However, in accordance with TEGL 15-03, grantees must adhere to the following criteria when using an alternative assessment tool: (1) The same assessment tool must be administered to the participant for pre-testing and post-testing; (2) The assessment tool and its scores must crosswalk directly to the educational functioning levels so that educational gains can be reported in terms of increase in one or more ABE or ESL levels; and (3) The tests must be administered in a standardized manner throughout the jurisdiction (i.e.,, used consistently and reliably across programs and produce observable results). In addition, as indicated in the TEGL, all assessment tools must be administered to individuals with disabilities (as defined in 29 CFR 37.4) with reasonable accommodations, as appropriate.

Space has also been provided on the record layout for the collection of up to three (3) post-test scores within a functional area. Data elements #1034-1047 under ***Section D.04*** and data elements #1100-1113 under ***Section D.05*** represent a set of cumulative data that will repeat so that assessment information on additional functional areas can be reported, as needed, to fully reflect literacy or numeracy gains by the youth participant. Consider the following example:

> **<u>Hypothetical Example</u>:** During Q1:2004, a youth participant is assessed within 60 days of the date of program participation using the TABE 7-8 standardized assessment test to determine the individual's educational functioning levels in Reading and Math. Based on the results of the initial assessment test, the youth is determined to be basic skills deficient and is placed in the Beginning ABE Literacy educational functioning level for Reading and Math. Figure 7 provides a graphical illustration of how this data would be collected and reported to the Department. At the end of the first quarter, the state will report the ***Type of Assessment Test***, ***Functional Area***, ***Date Administered Pre-Test***, ***Test Score***, and ***Educational Functioning Level*** on the record layout for this youth participant. In this example, the youth was assessed in two functional areas and the record layout expands to provide for the tracking of outcomes for Reading (data elements #1034 – 1047) and Math (data elements #1048 – 1061) independently.

**Figure 7**
**Sample Collection of Literacy/Numeracy Assessment Data**




Before completion of the first year in the program, the youth participant is post-tested on two separate occasions using the TABE 7-8 for Reading and Math. In this situation, only the most recent assessment dates and test scores for Reading and Math (shown above in Q4:2004) will be reported on the record layout and used to determine whether the youth has increased at least one educational functioning level in either Reading or Math. The data elements highlighted in "blue" above show how the first post-test assessment information is appended to the individual record layout.

Although the youth made progress as demonstrated through increased test scores, the individual remains basic skills deficient in both functional areas and continues to receive basic skill remediation services into the second year.  Although included in the literacy/numeracy gains measure based on the first year of participation in the program, the youth participant will not be included again in the measure until a second full year in the program is completed.  At that time, the youth participant is post-tested a second time in both functional areas (shown above in Q1:2006), and the individual's post-test score from the second year will be recorded in the record layout and compared to the scores from the test that was administered at the latest point during the first year.   The data elements highlighted in "red" above show how the second post-test assessment information is appended to the individual record layout.

# VI. WORKFORCE INVESTMENT QUARTERLY SUMMARY REPORT

## VI.1 INTRODUCTION

Currently, states and other ETA grantees are required to produce separate program reports using different reporting instructions, data definitions, forms and submission procedures. In order to streamline our program reporting procedures, ETA has developed a consolidated quarterly summary report for use by ETA programs implementing common measures. This comprehensive performance report provides summary performance information on the most recent quarter as well as cumulative data on participants, exiters, and performance outcomes for ETA programs on an annual basis. The aggregate performance data contained in this report is used to determine the levels of service and program accomplishments for the most recent four-quarter period. This uniform report format will not only help facilitate consistent performance calculations and reporting by grantees, but eliminate duplicative reporting forms and requirements and simplify report submission procedures in general.

## VI.2 QUARTERLY REPORT FORMAT & SPECIFICATIONS

Grantees that administer funds under each program identified under Section II.1 must submit a Workforce Investment Quarterly Summary Report to provide ETA with the most recent four quarters of performance information. The format for this consolidated quarterly report can found under Appendix C.

This report has been designed in such a way that grantees who administer multiple formula or other discretionary grant programs can utilize a single report format to certify quarterly program accomplishments to ETA. Performance information that is common to all ETA programs serving adults and youth can be found at the top of the report. Program-specific sections containing additional performance information that is applicable to a smaller subset of programs can be found near the end of the report. The reporting matrix below indicates which sections are to be completed depending on which ETA program the grantee is administering.

| ETA Quarterly Summary Report Section | | Employment Service | VETS Programs | WIA Adult * | WIA Dislocated Worker | WIA Youth | National Emergency Grants | TAA Program | H-1B Training Grants | NFJP | INAP | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Section I | Grantee and Program Identifiying Information | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● |
| Section II | Program Participation Summary | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● |
| Section III | Adult Common Performance Measures | ● | ● | ● | ● | | ● | ● | ● | ● | ● | ● | |
| Section IV | Youth Common Performance Measures | | | | | ● | | | | | ● | | ● |
| Section V | Additional WIA Performance Measures (1998) | | | ● | ● | ● | | | | | | | |
| Section VI | Additional SCSEP Performance Measures | | | | | | | | | | | ● | |
| Section VII | Additional INAP Performance Measures | | | | | | | | | | ● | | |
| Section VIII | Additional H-1B Grant Performance Measures | | | | | | | | ● | | | | |
| Section IX | American Customer Satisfaction Index Scores | ● | ● | ● | | | | | | | | ● | |
| Section X | Employer Service Indicators | ● | ● | ● | | | | | | | | | |
| Section XI | Report Certification/Additional Comments | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● |

* = indicates that WIA ASCI scores included under Section IX and Employer Measures included under Section X are reported overall (adult, DW and youth) in the adult program section.

The aggregate performance data contained in this Workforce Investment Quarterly Summary Report are used to determine the levels of service and program accomplishments for the most recent four-quarter period. This *rolling four-quarter* data collection methodology provides ETA and the grantees with greater flexibility in discussing annual performance results according to any four-quarter reporting period (e.g., Calendar Year, Program Year, Federal Fiscal Year).

For each performance indicator there are two rows of information that will be completed on the quarterly report format. The ***Upper Row*** is the numerator for the measurement and the ***Lower Row*** is the denominator for the measurement. Within each row there are columns representing four quarters. The ***Current Qtr*** column, which is the column immediately to the right of the ***1st Qtr Prior*** column and outlined in a double line, represents the most recent quarter that data are available for the performance measures being reported. The remaining three columns to the left of the ***Current Qtr*** column represent historical performance information and are entitled ***Last Three Reporting Quarters***. Once this *rolling four-quarter* approach is completely implemented, the sum of the four quarters presented will be automatically totaled and displayed in the ***Cumulative Totals*** column located to the right of the ***Current Qtr*** column. Where appropriate, each performance measure will be calculated by dividing the ***Upper Row*** by the ***Lower Row*** with the result presented in the ***Percent*** column. Readers of the report will have one-year snapshots of performance and will be able to do side-by-side quarterly comparisons.

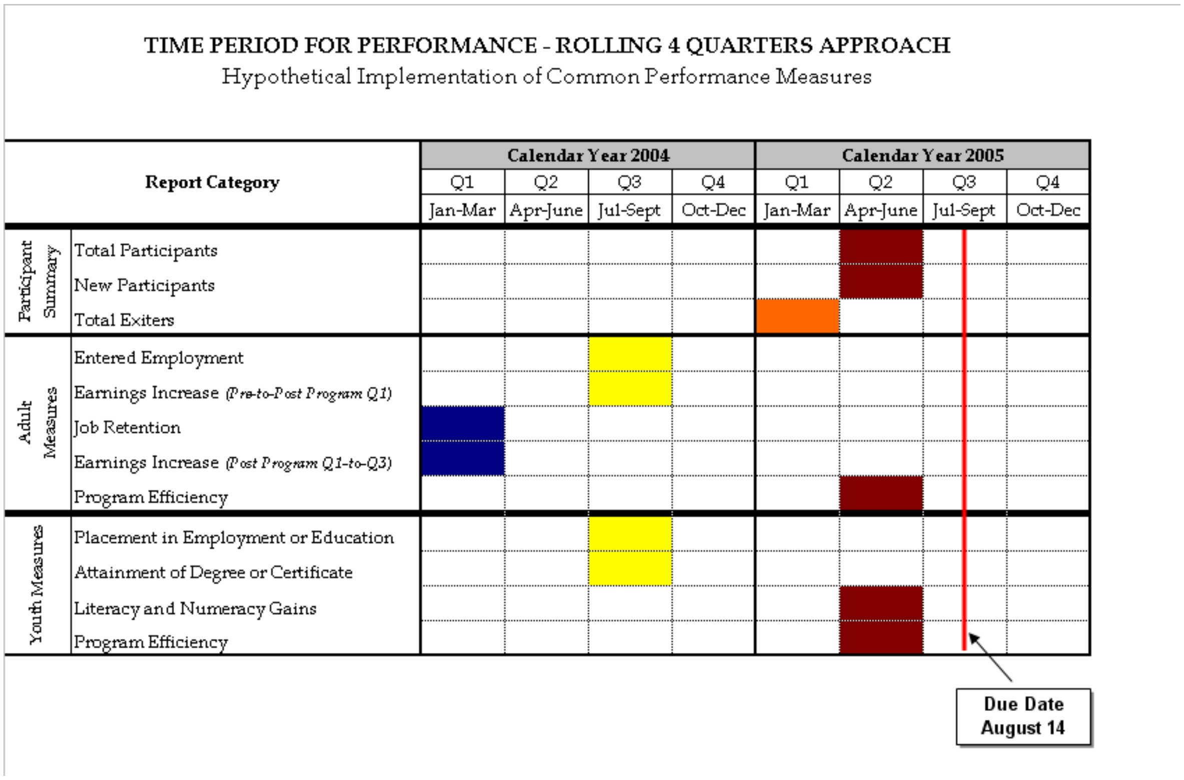
Grantees are required to report the most recent quarterly performance information that is available in the ***Current Qtr*** column. As the Quarterly Summary Report "rolls" forward, grantees will continue to populate the ***Current Qtr*** column and the historical quarterly data will shift to the left in each succeeding report. Grantees will **only** be permitted to update reported results for the ***1st Qtr Prior*** to accurately reflect changes and corrections made to previously reported results. Updates to the ***2nd Qtr Prior*** and ***3rd Qtr Prior*** columns will not be permitted at this time.

Reporting Time Periods:

The ***Report Quarter End Date*** represents the last day of the report quarter. For example, if the report is being prepared for submission on February 15th, 2005, the ***Report Quarter End Date*** is December 31st, 2004, and the report quarter is Oct – Dec 2004. This report quarter value (e.g., Oct – Dec 2004) will populate each cell on the report that contains the phrase ***Report Qtr***. Although the ***Report Qtr*** value will remain the same in each section of the report, the ***Report Period***, which is displayed at various points underneath the ***Report Qtr***, will be different for many of the program performance measures.

To allow for the data collection delays inherent in many of the performance measures, particularly those that utilize UI wage records, the Quarterly Summary Report collects information on each performance measure for the most recent ***Report Period***. This means that the participant cohorts will vary among the reporting items depending on when data become available.

The chart below provides a graphical illustration of the different ***Report Periods*** that would be used for participants, exiters, and the common measures for programs serving adults and youth. In this example, the ***Report Quarter End Date*** is August 14th, 2005, and the ***Report Qtr*** is April – June 2005.




Because the total count of participants is available without any delay, grantees will be able to report this performance information through the end of the ***Report Qtr***. That means the ***Report Period*** for the total count of participants will be the same as the ***Report Qtr***. Alternatively, measures that make use of wage records, such as the adult entered employment rate or youth placement in employment or education, will use exit cohorts from the July – Sept 2004 ***Report Period***. This situation exists because relatively complete wage records for any quarter are not available for up to another two quarters afterward.

In still other cases, grantees reporting progress against the adult job retention measure will depend on wage records in the third quarter after the exit quarter, which will not become available for another two quarters. Consequently, the exit cohort used by grantees to report this performance measure will be five quarters prior to the ***Report Qtr;*** or the Jan – Mar 2004 ***Report Period.*** In short, if a grantee utilizes the Workforce Investment Quarterly Summary Report to certify the most recent performance results for the adult and youth common measures in the April – June 2005 ***Report Qtr,*** the report would reflect performance information across four different ***Report Periods*** representing four different cohorts of individuals served by the program.

## VI.3 REPORTING INSTRUCTIONS

### VI.3.1 <u>Section I</u>: Grantee and Program Identifying Information

**Report Quarter End Date**: Please enter the last month, day, and year (MM/DD/YYYY) of the quarter on which the report is being prepared. For example, if the report is being prepared for the quarter ending December 31st, 2004, the Report Quarter End Date format should be represented as 12/31/2004.

1a. Enter grantee name or state or jurisdiction
1b. Enter grantee address
1c. Enter the name of the program for which the report is being prepared
1d. Enter the sub-project code

### VI.3.2 <u>Section II</u>: Program Participation Summary

The grantee is instructed to complete this section for the program identified in field ***1c*** under Section I above. For example, if the grantee is completing this report for the WIA Youth Program, this section will reflect levels of service (i.e., participants and exiters) for youth customers. National Emergency Grants or other discretionary grant programs are instructed to complete this section for the program <u>and</u> sub-project code identified in fields ***1c*** and ***1d***, respectively, under Section I above. The following table shows the ***Report Period*** that will be used for each field under this section in relation to the ***Report Qtr***.

| Item No. | Report Item Name | Report Period |
|---|---|---|
| 2a. | New Participants | Same quarter as the ***Report Qtr*** |
| 2b. - 2h. | Total Participants | Same quarter as the ***Report Qtr*** |
| 2i. | Total Exiters | *1st* complete quarter <u>prior</u> to the ***Report Qtr*** |

2a. <u>New Participants</u>
Enter the total number of individuals who were determined eligible to participate in the program and received their first service funded by the program during the ***Report Period***. Do not include carry-in participants from the previous quarter. Sum each of the four quarters and enter the total in the ***Cumulative Totals*** column.

2b. <u>Total Participants</u>
Enter the total number of individuals who were determined eligible to participate in the program and received any service funded by the program during the ***Report Period***. Include new participants described in field 2a as well as carry-in participants from the previous quarter who did not exit. Sum the total number of participants reported in quarter 1 (1Q) and new participants reported in quarters 2 (2Q), 3 (3Q), and the report quarter.

2c. Limited English Proficiency

Of the total number of participants reported in field 2b, enter the total number of individuals who were identified as having a limited ability in speaking, reading, writing or understanding the English language. This definition includes individuals whose native language is a language other than English, or those who live in a family or community environment where a language other than English is the dominant language.

2d. Persons with a Disability

Of the total number of participants reported in field 2b, enter the total number of individuals who indicated that they have any "disability," as defined in Section 3(2)(a) of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102).

2e. Older Workers *(age 55 and older)*

Of the total number of participants reported in field 2b, enter the total number of individuals who were 55 years of age or older.

2f. Migrant and Seasonal Farmworkers

Of the total number of participants reported in field 2b, enter the total number of individuals who were identified as migrant and seasonal farmworkers when they entered the program.

2g. Homeless Individuals

Of the total number of participants reported in field 2b, enter the total number of individuals who indicated they were homeless when they entered the program.

2h. Veterans

Of the total number of participants reported in field 2b, enter the total number of individuals who were eligible veterans when they entered the program.

2i. Total Exiters

Enter the total number of individuals who exited the program during the ***Report Period***. Sum each of the four quarters and enter the total in the ***Cumulative Totals*** column.

### VI.3.3 Section III: Adult Common Outcome Measures

The Adult Common Outcome Measures section is to be used by the programs reporting Adult Outcomes. The criteria that are used to determine whether an individual is an "adult" will be based on the guidelines for the program.

**Special Exception**: Performance outcomes for older youth (19-21) served under the Workforce Investment Act of 1998 will be reported under this section.

Although program efficiency is listed in TEGL 15-03 as a common measure for adults, grantees will not be required to report this measure on the quarterly report. ETA will have the requisite data to make the calculation on behalf of the grantees. The following table shows the ***Report Period*** that will be used for each field under this section in relation to the ***Report Qtr***.

| Item No. | Report Item Name | Report Period |
|---|---|---|
| 3a. | Entered Employment | *3rd* complete quarter prior to the ***Report Qtr*** |
| 3b. | Employment Retention | *5th* complete quarter prior to the ***Report Qtr*** |
| 3c. | Earnings Increase (Pre-to-Post Program Q1) | *3rd* complete quarter prior to the ***Report Qtr*** |
| 3d. | Earnings Increase (Post Program Q1-to-Q3) | *5th* complete quarter prior to the ***Report Qtr*** |

3a. Entered Employment

*Numerator (upper row):* Enter the total number of participants employed in the first quarter after the quarter of exit. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Of those who are not employed at the date of participation, enter the total number of participants who exited the program during the ***Report Period***. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

3b. Employment Retention

*Numerator (upper row):* Enter the total number of participants employed in *both* the second and third quarters after the quarter of exit. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Of those who are employed in the first quarter after the quarter of exit, enter the total number of participants who exited the program during the ***Report Period***. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

3c. Earnings Increase (Pre-to-Post Program Q1)

*Numerator (upper row):* Enter the total earnings of all participants in the first quarter after the quarter of exit minus their total earnings in the first quarter prior to the quarter of participation. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Of those who are employed in the first quarter after the quarter of exit, enter the total earnings of all participants in the first quarter prior to the quarter of participation. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

3d. Earnings Increase (Post Program Q1-to-Q3)

*Numerator (upper row):* Enter the total earnings of all participants in the third quarter after the quarter of exit minus their total earnings in the first quarter after the quarter of exit. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Of those who are employed in the first quarter after the quarter of exit, enter the total earnings of all participants in the first quarter after the quarter of exit. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

### VI.3.4 Section IV: Youth Common Outcome Measures

The Youth Common Outcome Measures section is to be used by the programs reporting Youth Outcomes. The criteria that are used to determine whether an individual is a "youth" will be based on the guidelines of the program.

Although program efficiency is listed in TEGL 15-03 as a common measure for youth, grantees will not be required to report this measure on the quarterly report. ETA will have the requisite data to make the calculation on behalf of grantees. The table below shows the ***Report Period*** that will be used for each field under this section in relation to the ***Report Quarter***.

| Item No. | Report Item Name | Report Period |
|---|---|---|
| 4a. | Employment/Education | *3rd* complete quarter prior to the ***Report Qtr*** |
| 4b. | Attain Degree/Certificate | *3rd* complete quarter prior to the ***Report Qtr*** |
| 4c. | Literacy/Numeracy Gains | *1st* complete quarter prior to the ***Report Qtr*** |

4a. Placement in Employment or Education

*Numerator (upper row):* Enter the total number of participants who are in employment or the military or enrolled in post-secondary education and/or advanced training/occupational skills training in the first quarter after the quarter of exit. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Of those who are not in post-secondary education, employment, or the military at the date of participation, enter the total number of participants who exited the program during the ***Report Period***. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

4b. Attainment of Degree or Certificate

*Numerator (upper row):* Enter the total number of participants who attained a diploma, GED or certificate by the end of the third quarter after the quarter of exit. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Of those enrolled in education at the time of participation or any time during participation in the program, enter the total number of participants who exited the program during the ***Report Period***. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

4c. Literacy and Numeracy Gains

*Numerator (upper row):* Enter the total number of participants who increase one or more educational functioning levels. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Of those who are basic skills deficient, enter the total number of participants who completed a year in the program (i.e., one year from the date of participation) plus the total number of participants who exited before completing a year in the program. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

### VI.3.5 Section V: 1998 WIA Performance Outcome Measures

Programs serving WIA participants are to report the following measures, in addition to the Common Outcome Measures, pursuant to the 1998 WIA legislation. Those measures that were consistent with the common measures are included in Section III above and, therefore, are not included in this section. Grantees should be aware that reauthorization of WIA is underway and required modifications to this section may be required.

The following table shows the ***Report Period*** that will be used for each field under this section in relation to the ***Report Qtr***.

| Item No. | Report Item Name | Report Period |
|---|---|---|
| 5a. | Adult/DW Employment and Credential | *3rd* complete quarter prior to the ***Report Qtr*** |
| 5b. | Older Youth Credential Rate | *3rd* complete quarter prior to the ***Report Qtr*** |
| 5c. | Younger Youth Skill Attainment | *1st* complete quarter prior to the ***Report Qtr*** |
| 5d. | Younger Youth Degree/Equivalent Attainment | *1st* complete quarter prior to the ***Report Qtr*** |
| 5e. | Younger Youth Retention | *5th* complete quarter prior to the ***Report Qtr*** |

5a. Adult/DW Employment and Credential Rate

*Numerator (upper row):* Enter the total number of participants who were employed the first quarter after the quarter of exit and received a credential by the end of the third quarter after the quarter of exit. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Of those who received training services, enter the total number of participants who exited the program during the ***Report Period***. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

5b. Older Youth (19-21) Credential Rate

*Numerator (upper row):* Enter the total number of older youth (ages 19-21) participants who are in employment, post-secondary education, or advanced training in the first quarter after the quarter of exit and received a credential by the end of the third quarter after the quarter of exit. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Enter the total number of older youth participants who exited the program during the ***Report Period***. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

5c. Younger Youth (14-18) Skill Attainment Rate

*Numerator (upper row):* Enter the total number of basic skills goals attained by younger youth participants plus the total number of work readiness goals attained by younger youth participants plus the total number of occupational skills goals attained by younger youth participants. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* 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, enter the total number of basic skills goals plus the number of work readiness skills goals plus the number of occupational skills goals set. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

5d. Younger Youth (14-18) Diploma or Equivalent Attainment

*Numerator (upper row):* Enter the total number of younger youth participants who attained a secondary school diploma or equivalent by the end of the first quarter after the quarter of exit. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Of those who register without a diploma or equivalent and are still in secondary school at exit, enter the total number of younger youth participants who exit the program during the ***Report Period***. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

5e. Younger Youth (14-18) Retention Rate

*Numerator (upper row):* Enter the total number of younger youth participants found in either post-secondary education, advanced training, employment, military service or qualified apprenticeships in the third quarter after the quarter of exit. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Except for those who are still in secondary school at exit, enter the total number of younger youth participants who exited the program during ***Report Period***. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

### VI.3.6 Section VI: Additional SCSEP Performance Measures

This section addresses persons receiving benefits under the Senior Community Service and Employment Program (SCSEP). The parameters to be reported under the SCSEP category are to be entered in accordance with the following guidance.

| Item No. | Report Item Name | Report Period |
|---|---|---|
| 6a. | Service Level | Same Quarter as the ***Report Qtr*** |
| 6b. | Service to Most in Need | Same Quarter as the ***Report Qtr*** |
| 6c. | Placement Rate | Same Quarter as the ***Report Qtr*** |
| 6d. | Job Retention Rate | Same Quarter as the ***Report Qtr*** |
| 6e. | Community Service | *Same Quarter as the* ***Report Qtr*** |

6a. Service Level

*Numerator (upper row):* Enter the total number of SCSEP participants. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Enter the total number of authorized Community Service positions. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

6b. Service to Most-in-Need

*Numerator (upper row):* Enter the total number of participants who are active on the last day of the reporting period or who exited during the reporting period, and who are over the age of 60 and have one or more of the following: an income at or below the poverty level; physical or mental disabilities, language barriers (LEP or literacy), cultural social or geographical isolation; poor employment history or prospects; or other social barriers. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* enter the total number of SCSEP participants. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

6c. Placement Rate

*Numerator (upper row):* Enter the number of SCSEP participants placed in unsubsidized employment (lasting at least 30 days). Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Enter the number of authorized Community Service positions for each of the indicated quarters. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

6d. Job Retention Rate

*Numerator (upper row):* Enter the number of participants placed into unsubsidized employment whose retention outcome became final within the reporting period, i.e., who are still employed six months after the date of placement. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Enter the number of SCSEP participants who were placed in unsubsidized employment. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

6e. Community Service Hours

*Numerator (upper row):* Enter the number of hours of community service performed during the report quarter. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Enter the community service goal. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

## VI.3.7 Section III: Additional INAP Performance Measures

Reporting of Performance Measures in this section consists of two parts: the individual Quarterly Measurement Period numbers and the rolled up 4-Quarter Totals. For each of the Measurement Period entries the raw numbers, or counts, are entered for each category. For the rolled-up 4-Quarter Cumulative Totals, the individual entries from each quarter are added together and entered in the same row in the Cumulative Totals column and then a Cumulative Total percentage number is calculated from the individual 4-Quarter Totals entries. Each set of entries is described in more detail below.

| Item No. | Report Item Name | Report Period |
|---|---|---|
| 7a. | Basic Skills/GED Attainment | *1st* complete quarter prior to the ***Report Qtr*** |
| 7b. | Youth Progress | Same Quarter as the ***Report Qtr*** |
| 7c. | Occupational & Skills Training Post Sec. Ed. | *1st* complete quarter prior to the ***Report Qtr*** |
| 7d. | Wage Growth for Job Placement | Same Quarter as the ***Report Qtr*** |
| 7e. | Welfare to Work | *2nd* complete quarter prior to the ***Report Qtr*** |
| 7f. | Job Placement for Long-Term Jobless | Same Quarter as the ***Report Qtr*** |
| 7g. | Job Retention Rate | Same Quarter as the ***Report Qtr*** |
| 7h. | Section 166 Satisfaction Survey | Same Quarter as the ***Report Qtr*** |
| 7i. | Job Creation Rate | *1st* complete quarter prior to the ***Report Qtr*** |

7a. Basic Skills/GED Attainment

Basic Skills/GED Attainment is a performance measure based on the sum of the number of participants who exited the program in a given quarter and who also participated in ABE Testing and Training, and/or GED Training. The numbers to be reported for each quarter in these rows of the Quarterly Report are as follows:

*Numerator (upper row):* Enter the number of participants who exited the program and: (1) increased their math or reading grade levels by 2 or more grade levels after attending ABE and GED training; or (2) achieved their GED after participating in ABE/GED training; or (3) after participating in ABE/GED training returned to school.

Enter the total of all three categories on the upper row. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Enter the number of participants who exit after participating in ABE Testing and Training or GED Training activities. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

7b. <u>Youth Progress</u>

*Numerator (upper row):* Enter the number of youth, 14-21 years old at the time of enrollment, who have shown progress and improved skills by attaining a credential in any two of the following six areas:

a. completed job readiness or VEP;
b. completed career assessment;
c. secured unsubsidized employment or enlisted in the military
d. participated in youth services that resulted in:
    1. returning to school;
    2. remaining in school; or
    3. enrolling in Job Corp
e. improved skills by advancing at least two grade levels in reading or math or attained a GED or high school diploma; or
f. completed occupational skills training

Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* For the report quarter, enter the number of youth who were age 14-21 when they entered the program and exited the program. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

7c. Occupational Skills Training and Post Secondary Education

*Numerator (upper row):* Enter the number of participants who exited the program and who attained a degree, certificate or apprenticeship after attending occupational skills classroom training or post-secondary education. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Enter the number of individuals who exit the program after having participated in occupational skills classroom training or post-secondary education. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

7d. Wage Growth for Job at Placement

*Numerator (upper row):* Enter the number of individuals who enter employment at a wage that is at least 10% more than the wage they were earning prior to participating in the program. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Enter the number of individuals employed prior to participating in the program and who entered employment after exit. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

7e. Welfare to Work

*Numerator (upper row):* Enter the number of participants receiving public assistance when they enrolled in the program who enter unsubsidized employment the quarter following exit. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Enter the number of participants exit the program who were receiving public assistance when they enrolled in the program. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

7f. Job Placement for Long-Term Jobless

*Numerator (upper row):* Enter the number of participants placed in unsubsidized employment who were unemployed 15 of the 26 weeks prior to enrollment in the program. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Enter the number of participants who exited the program that were unemployed 15 of the 26 weeks prior to enrollment. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

7g. Job Retention

*Numerator (upper row):* Enter the number of participants who entered employment and were employed 20 or more hours per week for 12 of the 13 weeks following exit after participating in occupational skills training or on-the-job training. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Enter the number of participants who entered employment after exiting the program and who had participated in occupational skills training or on- the-job training. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

7h. Section 166 Satisfaction Survey

*Computing Section 166 Customer Satisfaction Rates*

Please refer to Appendix D for guidance on capturing customer satisfaction results.

*Numerator (upper part of 1st row):* Enter the number of Section 166 satisfaction surveys received from exiters that rate services as satisfactory or very satisfactory.

*Denominator (lower part of 1st row):* Enter the number of exiters responding to the survey. Sum the figures for the last three quarters and the current quarter and enter the aggregated total eligible figure under the "number" heading in the "Cumulative Totals" section.

Calculate the satisfaction score for each quarter by dividing the numerator by the denominator. Compute the weighted satisfaction score for each quarter by multiplying each quarter's satisfaction score by the number eligible for the survey each quarter. Sum the weighted satisfaction scores for the quarters and enter this aggregate weighted satisfaction score figure under the "number" heading in the "Cumulative Totals" section.

Compute the satisfaction rate for the "Cumulative Totals" by dividing the aggregate weighted satisfaction score by the total eligible.

*Number Eligible for the Survey (2nd row):* Enter the number of participants eligible to be included in the survey. For the last three reporting quarters and the current quarter, sum the number eligible for the survey and enter this figure under the "number" heading in the "Cumulative Totals" section.

*Number of Respondents (3rd row):* Enter the number of participants in the sample who completed the survey.

*Number in the Sample (4th row):* Enter the number of participants included in the sample. If no sampling was used for the survey, the number in the sample equals the number eligible for the survey. For the last three reporting quarters and the current quarter, sum the number in the sample for the survey and enter this figure in the "Cumulative Totals" section.

Compute the "Cumulative Totals" survey response rate by dividing the cumulative number of respondents by the cumulative number in the sample for the surveys. Enter the result.

7i. <u>Job Creation</u>

*Numerator (upper row):* Enter the number of number of jobs created by Native-American businesses. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

*Denominator (lower row):* Enter the number of Section 166 exiters. Sum the denominators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

For the ***Cumulative Totals*** column, divide the cumulative upper row entry by the lower row entry underneath the ***Number*** column, and enter this value in the ***Percent*** column.

### VI.3.8 <u>Section VI</u>: Additional H-1B Training Grants Performance Measures

Reporting of Performance Measures in this section consists of two parts: the individual Quarterly Measurement Period numbers and the rolled up 4-Quarter Cumulative Totals. For each of the Measurement Period entries the raw numbers, or counts, are entered for each category. For the rolled-up 4-Quarter Cumulative Totals, the individual entries from each quarter are added together and entered in the same row in the Cumulative Totals column. Each set of entries is described in more detail below.

| Item No. | Report Item Name | Report Period |
|---|---|---|
| 8a. | Total Completions | Same Quarter as the ***Report Qtr*** |
| 8b. | No. Expected to Complete Trn by Project End | Same Quarter as the ***Report Qtr*** |
| 8c. | No. New Job Place. Obt. as Result of H-1B Trn | Same Quarter as the ***Report Qtr*** |
| 8d. | No. Promotions Rec'd as Result of H-1B Trn | Same Quarter as the ***Report Qtr*** |
| 8e. | No. of Wage Incr. Rec'd as Result of H-1B Trn. | Same Quarter as the ***Report Qtr*** |
| 8f. | Am't of Wage Incr. Rec'd by Part. Result of Trn. | Same Quarter as the ***Report Qtr*** |

8a. <u>Total Completions</u>

Enter the total number of participants who exit services and who successfully completed their H1-B financially assisted programs of study during the Report Quarter. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

8b. <u>Number Expected to Complete Training by End of Project</u>

For the Report Quarter enter the total number of participants expected to complete their program of study over the course of the whole project. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

8c. <u>Number of New Job Placements Obtained by Individuals as a Result of H-1B Training</u>

For the Report Quarter enter the total number of new job placements obtained by participants as a result of H-1B training. To obtain a job placement, an individual must have been unemployed when they entered into the project and gained employment in a field relating to the training being provided. A job placement includes both full and part-time employment. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

8d. <u>Number of Promotions Received by Individuals as a Result of H-1B Training</u>

For the Report Quarter enter the total number of individuals who received a promotion as a result of H-1B training. To obtain a promotion, an individual must have been employed when they entered training and received an upgrade in title and/or responsibilities from either the original employer or another employer in a related industry sector. A promotion may or may not include a wage increase. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

8e. <u>Number of Wage Increases Received by Individuals as a Result of H-1B Training</u>

For the Report Quarter enter the total number of participants who have received wage increases during the current reporting period due to H-1B training. Wage increases are based solely on a base hourly or salary increase due to H-1B training and not due to temporary additional hours of work or fringe/benefit increase. An increase in wages resulting from a permanent addition of hours (e.g., moving from part time employment to full time) due to H-1B training would count as a wage increase. Wage increases can only apply to previously employed individuals. A new hire is not a wage increase but instead counts as a placement and should be reported in number 6. Individuals can obtain wage increases due to H-1B training before completion of H-1B training. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

8f. <u>Amount of Wage Increases Received by Participants as a Result of H1-B Training</u>

For the Report Quarter enter the dollar amount of the sum of the wage increases for all of the participants reported in Line 8 during the current reporting period due to H-1B training. To determine the dollar amount of wage increases for a participant, subtract the total dollars earned in the quarter prior to entering training from the total dollars earned in the current quarter. Sum the numerators in each of the four quarters and enter the total in the ***Cumulative Totals*** column.

### VI.3.9 <u>Section IX</u>: American Customer Satisfaction Index Scores

The participant/job seeker and employer customer satisfaction scores are weighted averages of ratings on each of three questions regarding overall satisfaction, and are reported on a 0-100 point scale. ETA uses the American Customer Satisfaction Index (ACSI) methodology for deriving satisfaction scores. Each score is a weighted average, not a percentage.

For WIA adult, dislocated worker and youth programs, the customer satisfaction information for participants and employers should be entered for the program overall when entering the results for the WIA adult program. For complete instructions for the calculation of job seeker/participant, host agency (SCSEP only) and employer ACSI scores see Appendix D.

9a. <u>Participant and Job Seeker Customer Satisfaction Survey</u>

Using the guidance provided by ETA, conduct the participant surveys and calculate the weighted score for customer satisfaction.

*Overall ACSI Score for Period (1st row):* Enter the computed ACSI score for each quarter.

*Number Eligible for the Survey (2nd row):* Enter the number eligible to be included in the survey. For the last three reporting quarters and the current quarter, sum the number eligible for the survey and enter this figure in the "Cumulative Totals" section.

*Number of Completed Participant Surveys (3rd row):* Enter the number in the sample who completed the survey.

*Number in the Sample (4th row):* Enter the number of individuals included in the sample. If no sampling was used for the survey, the number in the sample equals the number eligible for the survey. For the last three reporting quarters and the current quarter, sum the number in the sample for the survey and enter this figure in the "Cumulative Totals" section.

For the "Cumulative Totals" section, calculate and enter the weighted ACSI score for participants. For each quarter, multiply the raw ACSI score by the number of participants eligible for the survey. Sum the resulting totals to derive the "4 Quarter" weighted ACSI for participants.

Compute the "Cumulative Totals" ACSI score for participants by dividing the cumulative weighted ACSI score by the cumulative number of participants eligible for the survey. Enter the result.

Compute the "Cumulative Totals" survey response rate by dividing the cumulative number of completed surveys by the cumulative number in the sample for the surveys. Enter the result.

9b. <u>Employer Customer Satisfaction Survey</u>

Using the guidance provided by ETA, conduct the employer surveys and calculate the weighted score for customer satisfaction.

*Overall ACSI Score for Period (1st row):* Enter the computed ACSI score for each quarter.

*Number Eligible for the Survey (2nd row):* Enter the number of employers eligible to be included in the survey. For the last three reporting quarters and the current quarter, sum the number eligible for the survey and enter this figure in the "Cumulative Totals" section.

*Number of Completed Employer Surveys (3rd row):* Enter the number of individuals in the sample who completed the survey.

*Number in the Sample (4th row):* Enter the number of employers included in the sample. If no sampling was used for the survey, the number in the sample equals the number eligible for the survey. For the last three reporting quarters and the current quarter, sum the number in the sample for the survey and enter this figure in the "Cumulative Totals" section.

For the "Cumulative Totals" section, calculate and enter the weighted ACSI score for employers. For each quarter, multiply the raw ACSI score by the number of employers eligible for the survey. Sum the resulting totals to derive the "4 Quarter" weighted ACSI for employers.

Compute the "Cumulative Totals" ACSI score for employers by dividing the cumulative weighted ACSI score by the cumulative number of employers eligible for the survey. Enter the result.

Compute the "Cumulative Totals" survey response rate by dividing the cumulative number of completed surveys by the cumulative number in the sample for the surveys. Enter the result.

9c. Host Agency Customer Satisfaction Survey (SCSEP program only)

Using the guidance provided by ETA, conduct the host agency surveys and calculate the weighted score for customer satisfaction.

*Overall ACSI Score for Period (1st row):* Enter the computed ACSI score for each quarter.

*Number Eligible for the Survey (2nd row):* Enter the number of host agencies eligible to be included in the survey. For the last three reporting quarters and the current quarter, sum the number eligible for the survey and enter this figure in the "Cumulative Totals" section.

*Number of Completed Host Agency Surveys (3rd row):* Enter the number of individuals in the sample who completed the survey.

*Number in the Sample (4th row):* Enter the number of host agecnies included in the sample. If no sampling was used for the survey, the number in the sample equals the number eligible for the survey. For the last three reporting quarters and the current quarter, sum the number in the sample for the survey and enter this figure in the "Cumulative Totals" section.

For the "Cumulative Totals" section, calculate and enter the weighted ACSI score for host agencies. For each quarter, multiply the raw ACSI score by the number of host agencies eligible for the survey. Sum the resulting totals to derive the "4 Quarter" weighted ACSI for employers.

Compute the "Cumulative Totals" ACSI score for host agencies by dividing the cumulative weighted ACSI score by the cumulative number of host agencies eligible for the survey. Enter the result.

Compute the "Cumulative Totals" survey response rate by dividing the cumulative number of completed surveys by the cumulative number in the sample for the surveys. Enter the result.

### VI.3.10 Section X: Employer Service Indicators

The Report Quarter dates for Section X report items are based on the completed calendar quarters including and prior to the "Report for Quarter Ending" in Section I.

| Item No. | Report Item Name | Report Period |
|---|---|---|
| 10a. | Total Employers Served | *1st* complete quarter prior to the ***Report Qtr*** |
| 10b. | Total Federal Contractors | *2nd* complete quarter prior to the ***Report Qtr*** |
| 10c. | Total Job Openings | *3rd* complete quarter prior to the ***Report Qtr*** |
| 10d. | Total FCJL Openings | *4th* complete quarter prior to the ***Report Qtr*** |

10a. Total Number of Employers Served

Enter the total number of uniquely identified employers (firms or establishments) who received a service during the report quarter. Sum each of the four quarters and enter the total in the ***Cumulative Totals*** column.

10b. Total Number of Job Openings Listed

Enter the total number of job openings received during the report quarter. Sum each of the four quarters and enter the total in the ***Cumulative Totals*** column.

10c. Number of Federal Contractors Served

Of the total number of employers served reported in field 10a during the report quarter, enter the total number of employers who are Federal Contractors. Sum each of the four quarters and enter the total in the ***Cumulative Totals*** column.

10d. Number of Federal Contractor Job Openings Listed

Enter the total number job openings received during the report quarter where the employers who are Federal Contractors. Sum each of the four quarters and enter the total in the ***Cumulative Totals*** column.

### VI.3.11 Section XI: Report Certification/Additional Comments

11a. DOL to enter the status of the Quarterly Report submission.
11b. DOL acceptance signature.
11c. DOL comments concerning receipt and acceptance of the Quarterly Report
11d. Grantee comments concerning the quarterly report submission.
11e. Grantee Certifying Official name, phone and email address typed or printed and the signature to the right.
11f. Enter the date the report was certified by the grantee.

## VII. APPENDICES

A. Standardized Individual Record—Employer Customer
B. Standardized Individual Record—Job Seeker Customer
C. Workforce Investment Quarterly Summary Report Format
D. Guidance on Capturing Customer Satisfaction Results

# APPENDIX A

# STANDARDIZED INDIVIDUAL RECORD
# EMPLOYER CUSTOMER

# APPENDIX A
## Employer Individual Record Specifications

| NO. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUES | Employment Service Program | Veterans Programs | WIA Title IB Programs |
|---|---|---|---|---|---|---|---|
| **Section A.01: Identifying Data** | | | | | | | |
| 0100 | Employer FEIN | AN 9 | Record the unique Federal Employer Identification Number (FEIN) assigned to the employer. A FEIN number is a nine-digit number assigned to sole proprietorships, corporations, partnerships and other entities for tax filing and reporting purposes. | XXXXXXXXX | R | R | R |
| 0101 | Date Record Created | DT 8 | Record the date on which the employer record was created. | YYYYMMDD | R | R | R |
| 0102 | State FIPS Code of Establishment | IN 2 | Record the FIPS code of the State in which the employer establishment is located. | 00 | R | R | R |
| 0103 | Zipcode of Establishment | IN 5 | Record the zipcode in which the employer establishment is located. | 00000 | R | R | R |
| **Section A.02: Employer Characteristics** | | | | | | | |
| 0104 | Type of Industry | IN 6 | Record the 6-digit industry code for the employer using the North American Industrial Classification System (NAICS). Otherwise, leave "blank" or record "000000" if a NAICS code is not known. | 000000 | R | R | R |
| 0105 | Type of Industry #2 | IN 6 | Record a second 6-digit industry code for the employer using the North American Industrial Classification System (NAICS). Otherwise, leave "blank" or record "000000" if a second NAICS code is not known. | 000000 | R | R | R |
| 0106 | High Growth Industry | IN 1 | Record 1 if the employer is conducting business in an industry that is considered high-growth according to the local WIB plan or state plan. Record 2 if the employer does not meet the condition described above. Otherwise, leave "blank" or record "0" if the high-growth industry designation is not known. | 1 = Yes<br>2 = No | R | R | R |
| 0107 | Employer Size | IN 1 | Use the appropriate code to record the approximate number of workers employed at the establishment. Otherwise, leave "blank" or record "0" if the size of the employed workforce at the establishment is not known. | 1 = Less than 20 employees<br>2 = 20-49 employees<br>3 = 50-99 employess<br>4 = 100-249 employess<br>5 = 250-499 employees<br>6 = 500-999 employess<br>7 = 1,000 or more employees | R | R | R |

# APPENDIX A
## Employer Individual Record Specifications

| NO. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUES | Employment Service Program | Veterans Programs | WIA Title IB Programs |
|---|---|---|---|---|---|---|---|
| 0108 | Federal Contractor | IN 1 | Record 1 if the employer qualifies as a Federal Contractor as defined under U.S.C. Title 38, Chapter 42, Section 4212. Record 2 if the employer does not meet the condition described above. Otherwise, leave "blank" or record "0" if Federal contractor status is not known. | 1 = Yes<br>2 = No | R | R | R |
| 0109 | Enterprise Community or Empowerment Zone Location | IN 1 | Record 1 if the employer establishment is located in a targeted area designated by the local, state or federal government (e.g. Empowerment, Enterprise Zone/Community, or Renewal Community) to receive special treatment and incentives in order to attract private investment and other economic activity. Record 2 if the employer establishment does not meet the condition described above. Otherwise, leave "blank" or record "0" if the enterprise community or empowerment zone location status is not known. | 1 = Yes<br>2 = No | R | R | R |
| **Section B.01: One-Stop Participation Data** | | | | | | | |
| 0300 | Employment Service Activities | IN 1 | Record 1 if the employer received benefits or services or otherwise participated in activities that were supported with Wagner-Peyser Act funds. Otherwise, leave "blank" or record a "0" if the employer did not receive benefits or services funded under the Wagner-Peyser Act. | 1 = Yes | R | | |
| 0301 | DVOP/LVER Activities | IN 1 | Record 1 if the employer received benefits or services or otherwise participated in activities that were supported with Disabled Veterans Outreach Program (DVOP) or Local Veterans Employment Representative (LVER) funds. Otherwise, leave "blank" or record a "0" if the employer did not receive benefits or services funded under either the DVOP or LVER program. | 1 = Yes | | R | |
| 0302 | WIA Title IB Activities | IN 1 | Record 1 if the employer received benefits or services or otherwise participated in activities that were supported with Workforce Investment Act Title IB funds (adult, dislocated worker, or youth). Otherwise, leave "blank" or record a "0" if the employer did not receive benefits or services funded under any one of the WIA Title IB programs. | 1 = Yes | | | R |

# APPENDIX A
## Employer Individual Record Specifications

| NO. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUES | Employment Service Program | Veterans Programs | WIA Title IB Programs |
|---|---|---|---|---|---|---|---|
| **Section C.01: Employer Services** | | | | | | | |
| 0400 | Most Recent Date Received Orientation to One-Stop Services | DT 8 | Record the most recent date on which the employer attended an orientation or workshop designed to inform and educate the employer about the local job market or the range of services available through the local one-stop delivery system. Otherwise, leave "blank" if the employer did not receive an orientation to one-stop services. | YYYYMMDD | R | R | R |
| 0401 | Most Recent Date Received Job Listing Service | DT 8 | Record the most recent date on which the employer received a job listing service. Job listing services include, but are not limited to, the posting of a job order containing one or more job openings which the employer intends to fill and other job development/promotional services. Federal contractor job listing services are included in this definition. Otherwise, leave "blank" if the employer did not receive a job listing service. | YYYYMMDD | R | R | R |
| 0402 | Most Recent Date Received Applicant Search Service | DT 8 | Record the most recent date on which the employer received an applicant search service. Applicant search services include, but are not limited to, customized job screening, applicant recruitment or searching without a specific job order, job fair or mass recruitment activity, and job order matching services that includes screening, matching, contact and referral of qualified applicants. Otherwise, leave "blank" if the employer did not receive an applicant search service. | YYYYMMDD | R | R | R |
| 0403 | Most Recent Date Received Labor Market Information Services | DT 8 | Record the most recent date on which the employer received specific information concerning the labor market or other economic data pertinent to the local or regional economy. Examples of such information may include, but are not limited to, occupational staffing or hiring patterns, wage information, labor supply and demand data, job market trends, and business climate survey information. Otherwise, leave "blank" if the employer did not receive a labor market information service. | YYYYMMDD | R | R | R |
| 0404 | Most Recent Date Received Business Incentive & Retention Services | DT 8 | Record the most recent date on which the employer received business incentive and retention services. Business incentive and retention services include, but are not limited to, the provision of tax credit information and services, business licensing and permit requirements, labor law compliance information, UI claims/tax reporting information, and other state or local economic development resources designed to retain or otherwise expand the employer's operations, its customer base, or its geographic operating area. Otherwise, leave "blank" if the employer did not receive a business incentive and/or retention service. | YYYYMMDD | R | R | R |

# APPENDIX A
## Employer Individual Record Specifications

| NO. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUES | Employment Service Program | Veterans Programs | WIA Title IB Programs |
|---|---|---|---|---|---|---|---|
| 0405 | Most Recent Date Received Training Services | DT 8 | Record the most recent date on which the employer received financial support for skills upgrade training, incumbent worker training, or other customized/industry-relevant training matched to the employer's business needs. Otherwise, leave "blank" if the employer did not receive financial support for training. | YYYYMMDD | R | R | R |
| 0406 | Most Recent Date Received Support Services | DT 8 | Record the most recent date on which the employer received a supportive service. Supportive services include, but are not limited to, promotional contacts or work-site visits, use of one-stop facilities for candidate assessment and interviewing, assistance with job profiling, prevailing wage surveys, ADA accommodation and other information services. Otherwise, leave "blank" if the employer did not receive a supportive service. | YYYYMMDD | R | R | R |

| NO. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUES | Employment Service Program | Veterans Programs | WIA Title IB Programs |
|---|---|---|---|---|---|---|---|
| **Section C.02: Additional Rapid Response Activities** | | | | | | | |
| 0407 | Date Began Receiving Rapid Response Services | DT 8 | Record the date on which the employer began receiving rapid response services. Otherwise, leave "blank" if the employer did not receive rapid response services. | YYYYMMDD | | | R |
| 0408 | Most Recent Date Received Rapid Response Services | DT 8 | Record the most recent date on which the employer received rapid response services. Otherwise, leave "blank" if the employer did not receive rapid response services. | YYYYMMDD | | | R |
| 0409 | Rapid Response Event Number (PLACEHOLDER) | AN 10 | 'This is a placeholder to record the 10-digit unique number of the Rapid Response event. This unique number is made available to the state or local area when a rapid response event is created through the Rapid Response Early Warning Network System. Otherwise, leave "blank" or record "0000" if a rapid response event was not created for the employer using the Rapid Response Early Warning Network System. | XXXXXXXXXX | | | R |
| 0410 | Establish Labor-Management Committee | IN 1 | Record 1 if the employer received guidance and/or financial assistance in establishing a labor-management committee or worker transition committee to oversee an implementation strategy to address the reemployment needs of the affected workers. The assistance to such a committee may include (a) the provision of training and technical assistance to members of the committee, (b) funding the operating costs of a committee to support the design and delivery of WIA-authorized services to affected workers, and (c) providing a list of potential candidates to serve as a neutral chairperson of the committee. Otherwise, leave "blank" or record a "0" if services related to the establishment of such a committee were not provided. | 1 = Yes | | | R |
| 0411 | Received Emergency Assistance | IN 1 | Record 1 if the employer received any emergency assistance adapted to the particular closing, layoff or disaster event. Otherwise, leave "blank" or record a "0" if emergency assistance services were not provided. | 1 = Yes | | | R |
| 0412 | Development of NEG Application | IN 1 | Record 1 if assistance was provided to the local board and chief elected official or another entity by or on behalf of the employer to develop and submit an application for a National Emergency Grant (NEG) under 20 CFR Part 671. Otherwise, leave "blank" or record a "0" if assistance was not provided to develop and submit an application for NEG funds. | 1 = Yes | | | R |

# APPENDIX A
## Employer Individual Record Specifications

| NO. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUES | Employment Service Program | Veterans Programs | WIA Title IB Programs |
|---|---|---|---|---|---|---|---|
| **Section C.03: Job Order Transactions** | | | | | | | |
| 0413 | Job Order Posting Date | DT 8 | Record the date on which the employer job order was posted. | YYYYMMDD | R | R | R |
| 0414 | State FIPS Code of Job Location | IN 2 | Record the FIPS code of the State in which the job is located. | 00 | R | R | R |
| 0415 | Zipcode of Job Location | IN 5 | Record the zipcode in which the job is located. | 00000 | R | R | R |
| 0416 | Occupational Code | IN 8 | 'Enter the 8 digit O*Net 4.0 (or later versions) code that best describes the occupation associated with the job order. | 00000000 | R | R | R |
| 0417 | Minimum Education/Degree Level | IN 2 | Use the appropriate code to record the minimum level of education or degree that is required for the job. Leave "blank" or record "00" if a minimum education/degree level is not specified by the employer on the job order. | 01 = General Equivalency Degree (GED)<br>02 = High School Diploma<br>03 = Vocational/Technical Degree<br>04 = Associate's Degree<br>05 = Bachelor's Degree<br>06 = Master's Degree<br>07 = Professional Degree<br>08 = Doctorate Degree<br>09 = Occupational Skills Licensure<br>10 = Other ccupational Skills Certificate or Credential | R | R | R |
| 0418 | Hours Per Week | IN 2 | Record the usual number of hours of work scheduled per week, including overtime, for this job. Leave "blank" or record "00" if hours per week is not specified by the employer on the job order. | 00 | R | R | R |
| 0419 | Number of Job Openings | IN 4 | Enter the total number of job openings associated with the job order posted by the employer. | 0000 | R | R | R |

For each unique employer record, the information collected under this section is organized by job order and reported to the Department according to the date on which the job order transaction was posted by, or on behalf of, the employer customer. Data elements #0413 to #0419 will repeat so that information on multiple job orders can be reported as needed to fully reflect the total number of transactions during the quarter. For example, if an employer post three job orders, data elements #0413-0419 will be used to report the first job order posted; data elements #0420-0426 will be used to report the second job order posted; and data elements #0427-0433 will be used to report the third job order posted. If the employer **did not** post any job order transactions during the quarter, information contained within this section will not be populated and the last data element to be reported on the record layout will be ***#0412: Development of NEG Application*** .

# APPENDIX B

# STANDARDIZED INDIVIDUAL RECORD
# JOB SEEKER CUSTOMER

# APPENDIX B:
# Job Seeker Individual Record Specifications

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs | | | | | | | | TAA Program | H-1B Training Grants | NFJP | INAP | | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | Adults | | | Dislocated Workers | | | Youth | | | | | Adults | Youth | | |
| | | | | | SF | SA | IT | SF | SA | IT | 14 - 18 | 19 - 21 | | | | | | | |
| **Section A.01: Identifying Data** | | | | | | | | | | | | | | | | | | | |
| 0100 | Unique Individual Identifier | AN 11 | Record the unique identification number assigned to the individual. | XXXXXXXXXXX | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 0101 | Date Record Created | DT 8 | Record the date on which the individual record was created. | YYYYMMDD | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 0102 | State or Foreign Country FIPS Code of Residence | AN 2 | Record the FIPS code of the State or Foreign Country of residence for the individual which is established or claimed as the permanent residence of the individual. Each foreign country code must be one of the two-letter FIPS codes assigned to foreign countries through the U.S. Department of Commerce FIPS Code Manual, National Institute of Standards and Technology, FIPS Pub 10-4 (April 1995) to derive this code. In addition, FIPS codes may be found on the Internet at http://www.itl.nist.gov/fipspubs/ | XX | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 0103 | Zip Code of Residence | IN 5 | Record the zipcode of residence for the individual which is established or claimed as the permanent residence of the individual. Record "00000" if the residence of the individual is located in a country other than the United States. | 00000 | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| **Section A.02: Equal Opportunity Information** | | | | | | | | | | | | | | | | | | | |
| 0104 | Date of Birth | DT 8 | Record the individual's date of birth. | YYYYMMDD | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 0105 | Gender | IN 1 | **Record 1** if the person indicates that he is male.<br>**Record 2** if the person indicate that she is female.<br>If the person does not self-identify gender, leave "blank" or record a "0". | 1 = Male<br>2 = Female | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 0106 | Individual with a Disability | IN 1 | **Record 1** if the individual indicates that he/she has any "disability," as defined in Section 3(2)(a) of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102). Under that definition, a "disability" is a physical or mental impairment that substantially limits one or more of the person's major life activities. (For definitions and examples of "physical or mental impairment" and "major life activities," see paragraphs (1) and (2) of the definition of the term "disability" in 29 CFR 37.4, the definition section of the WIA non-discrimination regulations.)<br>**Record 2** if the individual indicates that he/she does not have a disability that meets the definition.<br>If the individual does not wish to disclose his/her disability status, leave "blank" or record a "0". | 1 = Yes<br>2 = No | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 0107 | Ethnicity Hispanic / Latino | IN 1 | **Record 1** if the person indicates that he/she is a person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race.<br>**Record 2** if the individual indicates that he/she does not meet any of these conditions.<br>If the individual does not wish to respond, leave "blank" or record a "0". | 1 = Yes<br>2 = No | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |

## APPENDIX B:
## Job Seeker Individual Record Specifications

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults IT | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers IT | Youth 14-18 | Youth 19-21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0108 | American Indian or Alaska Native | IN 1 | **Record 1** if the individual indicates that he/she is a person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.<br>If the individual indicates that he/she does not meet these conditions, leave "blank" or record a "0". | 1 = Yes | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 0109 | Asian | IN 1 | **Record 1** if the individual indicates that he/she is a person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e.g.,, India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, Pakistan, the Phillippine Islands, Thailand, and Vietnam.<br>If the individual indicates that he/she does not meet these conditions, leave "blank" or record a "0". | 1 = Yes | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 0110 | Black or African American | IN 1 | **Record 1** if the individual indicates that he/she is a person having origins in any of the black racial groups of Africa.<br>If the individual indicates that he/she does not meet these conditions, leave "blank" or record a "0". | 1 = Yes | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 0111 | Hawaiian Native or other Pacific Islander | IN 1 | **Record 1** if the individual indicates that he/she is a person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.<br>If the individual indicates that he/she does not meet these conditions, leave "blank" or record a "0". | 1 = Yes | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 0112 | White | IN 1 | **Record 1** if the individual indicates that he/she is a person having origins in any of the of the original peoples of Europe, the Middle East, or North Africa.<br>If the individual indicates that he/she does not meet these conditions, leave "blank" or record a "0". | 1 = Yes | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 0113 | Other Race | IN 1 | **Record 1** if the individual indicates that he/she is a person who identifies him/herself as having origins in a racial category that was not previously listed.<br>If the individual indicates that he/she does not meet these conditions, leave "blank" or record a "0". | 1 = Yes | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 0114 | Information Not Voluntarily Reported | IN 1 | **Record 1** if the individual was provided equal opportunity information and voluntarily chose not to respond. If the individual chose to respond and provide equal opportunity information, leave this field "blank" or record a "0". | 1 = Yes | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults IT | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers IT | Youth 14-18 | Youth 19-21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Section A.03: Veteran Characteristics** | | | | | | | | | | | | | | | | | | | |
| 0115 | Eligible Veteran Status | IN 1 | **Record 1** if the individual is a person who served in the active U.S. military, naval, or air service for a period of less than or equal to 180 days, and who was discharged or released from such service under conditions other than dishonorable.<br>**Record 2** if the individual served on active duty for a period of more than 180 days and was discharged or released with other than a dishonorable discharge, or was discharged or released because of a service connected disability, or as a member of a reserve component under an order to active duty pursuant to section 167 (a), (d), or, (g), 673 (a) of Title 10, U.S.C., served on active duty during a period of war or in a campaign or expedition for which a campaign badge is authorized and was discharged or released from such duty with other than a dishonorable discharge.<br>**Record 3** if the individual is a person who is (a) the spouse of any person who died on active duty or of a service-connected disability, (b) the spouse of any member of the Armed Forces serving on active duty who at the time of application for assistance under this part, is listed, pursuant to 38 U.S.C 101 and the regulations issued thereunder, by the Secretary concerned, in one or more of the following categories and has been so listed for more than 90 days: (i) missing in action; (ii) captured in the line of duty by a hostile force; or (iii) forcibly detained or interned in the line of duty by a foreign government or power; or (c) the spouse of any person who has a total disability permanent in nature resulting from a service-connected disability or the spouse of a veteran who died while a disability so evaluated was in existence.<br>**Record 4** if the individual does not meet any one of the conditions described above. | 1 = Yes, <= 180 days<br>2 = Yes, > 180 days<br>3 = Yes, Other Eligible Person<br>4 = No | | R | R | | R | R | R | R | R | R | R | R | R | R | R |
| 0116 | Campaign Veteran | IN 1 | For eligible veterans who served for more than 180 days:<br>**Record 1** if the veteran served on active duty in the U.S. armed forces during a war or in a campaign or expedition for which a campaign badge or expeditionary medal has been authorized as identified and listed by the Office of Personnel Management (OPM). A current listing of the campaigns can be found at OPM's website http://www.opm.gov/veterans/html/vgmedal2.asp .<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | $R^{VET}$ | $R^{VET}$ | | $R^{VET}$ | $R^{VET}$ | $R^{VET}$ | $R^{VET}$ | | | | | | | |

# APPENDIX B:
# Job Seeker Individual Record Specifications

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults IT | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers IT | Youth 14-18 | Youth 19-21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0117 | Disabled Veteran | IN 1 | **Record 1** if the individual is a veteran who served in the active U.S. military, naval, or air service and who is entitled to compensation regardless of rating (including those rated at 0%); or who but for the receipt of military retirement pay would be entitled to compensation, under laws administered by the Department of Veterans Affairs (DVA); or was discharged or released from activity duty because of a service-connected disability.<br>**Record 2** if the veteran is entitled to compensation (or who, but for the receipt of military retirement pay would be entitled to compensation) under laws administered by the DVA for a disability, (i) rated at 30 percent or more or, (ii) rated at 10 or 20 percent in the case of a veteran who has been determined by DVA to have a serious employment handicap.<br>**Record 3** if the individual does not meet any one of the conditions described above. | 1 = Yes<br>2 = Yes, special disabled<br>3 = No | | $R^{VET}$ | $R^{VET}$ | | $R^{VET}$ | $R^{VET}$ | $R^{VET}$ | $R^{VET}$ | | | | | | | |
| 0118 | Transitioning Service Member | IN 1 | **Record 1** if the individual is a person who, at the time of participation in the program, is on active military duty status (including separation leave) and within 24 months of retirement or 12 months to separation from the U.S. military.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | $R^{VET}$ | $R^{VET}$ | | $R^{VET}$ | $R^{VET}$ | $R^{VET}$ | $R^{VET}$ | | | | | | | |
| 0119 | Date of Military Separation | DT 8 | Record the date on which the eligible veteran separated from active U.S. military service. | YYYYMMDD | | $R^{VET}$ | $R^{VET}$ | | $R^{VET}$ | $R^{VET}$ | $R^{VET}$ | $R^{VET}$ | | | | | | | |
| **Section A.04: Employment and Education Information** | | | | | | | | | | | | | | | | | | | |
| 0120 | Employment Status at Participation | IN 1 | **Record 1** if the participant is a person who, during the 7 consecutive days prior to the date of participation, either (a) did any work at all as a paid employee, (b) did any work at all in his or her own business, profession, or farm, (c) worked 15 hours or more as un unpaid worker in an enterprise operated by a member of the family, or (d) 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 rea-sons, whether or not paid by the employer for time-off, and whether or not seeking another job.<br>**Record 2** if the participant is a person who, although employed, either (a) has received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close, or (b) is currently on active military duty and has been provided with a firm date of separation from military service.<br>**Record 3** if the individual does not meet any one of the conditions described above. | 1 = Employed<br>2 = Employed, but Received Notice of Termination of Employment or Military Separation<br>3 = Not Employed | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0121 | UC Eligible Status | IN 1 | **Record 1** if the individual has filed a claim and has been determined monetarily eligible for benefit payments under one or more State or Federal Unemployment Compensation (UC) programs and whose benefit year or compensation, by reason of an extended duration period, has not ended and who has not exhausted his/her benefit rights.<br>**Record 2** if the individual has exhausted all UC benefit rights for which he/she has been determined monetarily eligible, including extended supplemental benefit rights.<br>**Record 3** if the individual was neither an UC Claimant nor an Exhaustee. | 1 = Claimant<br>2 = Exhaustee<br>3 = Neither Claimant nor Exhaustee | | R | R | | R | R | R | R | R | | R | | | | |
| 0122 | Worker Profiling Reemployment System (WPRS) Status | IN 1 | **Record 1** if the individual is a claimant who<br>(1) has been identified by the state as likely to exhaust regular unemployment compensation using a system of profiling all new claimants for regular compensation, and<br>(2) has been referred to reemployment services, such as job search assistance services, available under any State of Federal law.<br>**Record 2** if the individual does not meet the conditions described above. | 1 = Yes<br>2 = No | | R | R | | R | R | R | R | R | | | | | | |
| 0123 | Number of School Years Completed | IN 2 | Record the number of school years that the individual has completed. This field may be updated at any time during the course of the individual's participation in the program. Record "00" if no school grades have been completed. Otherwise, leave "blank" if the number of school years completed is not known. | 00 | | R | R | | R | R | R | R | R | R | R | R | R | R | R |
| 0124 | Highest Degree Achieved | IN 2 | Use the appropriate code to indicate the highest degree achieved by the individual. This field may be updated at any time during the course of the individual's participation in the program. Certificate of Attendance/Completion can be used for youth with disabilities and coded using "88." Record "00" if the individual did not achieve a degree at all. Otherwise, leave "blank" if the highest degree achieved is not known. | 01 = General Equivalency Degree (GED)<br>02 = High School Diploma<br>03 = Vocational/Technical Degree<br>04 = Associate's Degree<br>05 = Bachelor's Degree<br>06 = Master's Degree<br>07 = Professional Degree<br>08 = Doctorate Degree<br>88 = Certificate of Attendance/Completion | | R | R | | R | R | R | R | R | R | R | R | R | R | R |

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| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs | | | | | | | | TAA Program | H-1B Training Grants | NFJP | INAP | | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | Adults | | | Dislocated Workers | | | Youth | | | | | Adults | Youth | | |
| | | | | | SF | SA | IT | SF | SA | IT | 14 - 18 | 19 - 21 | | | | | | | |
| 0125 | School Status at Participation | IN 1 | **Record 1** if the individual has not received a secondary school diploma or its recognized equivalent and is attending any secondary school (including elementary, intermediate, junior high school, whether full or part-time), or is between school terms and intends to return to school.<br>**Record 2** if the individual has not received a secondary school diploma or its recognized equivalent and is attending an alternative school or program whether full or part-time.<br>**Record 3** if the individual has received a secondary school diploma or its recognized equivalent and is attending a post-secondary school or program (whether full or part-time), or is between school terms and intends to return to school.<br>**Record 4** if the individual is no longer attending any school and has not received a secondary school diploma or its recognized equivalent.<br>**Record 5** if the individual is not attending any school and has either graduated from high school or holds a GED. | 1 = In-school, H.S. or less<br>2 = In-school, Alternative School<br>3 = In-school, Post-H.S.<br>4 = Not attending school or H.S. Dropout<br>5 = Not attending school; H.S. graduate | | | | | | | R | R | | | R | | R | | R |
| 0126 | Individual Education Plan (IEP) | IN 1 | **Record 1** if the individual is a person with a disability who, at the time of participation in the program, is currently participating in or has successfully completed an Individual Education Plan (IEP). Record 2 if the individual does not meet the condition described above. Otherwise, leave "blank" or record a "0" if not known. | 1 = Yes<br>2 = No | | | | | | | R | R | | | | | | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Section A.05: Migrant and Seasonal Farmworker Characteristics** | | | | | | | | | | | | | | | | | | | |
| 0127 | Primarily Employed in Farmwork | IN 1 | **Record 1** if the individual is a person who, during the last 12-months, received at least 50 percent of his or her total earned income from qualifying farmwork.<br>**Record 2** if the individual is a person who, during the last 12 months, was employed at least 50 percent of his or her total work time in qualifying farmwork.<br>**Record 3** if the individual is a person who met both of the conditions described above.<br>**Record 4** if the individual does not meet any one of the conditions described above. | 1 = At least 50% income earned<br>2 = At least 50% work time<br>3 = Both 1 and 2<br>4 = No | | R | R | | R | R | R | R | | | R | | | | |
| 0128 | Minimum Threshold of Farm Work Performed | IN 1 | **Record 1** if the individual is a person who, during the last 12-months, worked at least an aggregate of 25 or more days or parts of days in qualifying farm work.<br>**Record 2** if the individual is a person who, during the last 12 months, earned at least $800 in qualifying farm work.<br>**Record 3** if the individual is a person who met both of the conditions described above.<br>**Record 4** if the individual does not meet any one of the conditions described above. | 1 = At least 25 days worked<br>2 = At least $800 earned<br>3 = Both 1 and 2<br>4 = No | | R | R | | R | R | R | R | | | R | | | | |
| 0129 | Migrant Status | IN 1 | **Record 1** if the individual is a person who had to travel to a job site that is far enough away from his or her permanent residence that they cannot return to their residence within the same day.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | $R^{MF}$ | $R^{MF}$ | | $R^{MF}$ | $R^{MF}$ | $R^{MF}$ | $R^{MF}$ | | | R | | | | |
| 0130 | Type of Qualifying Farmwork | IN 1 | **Record 1** if the individual was primarily employed in establishments of agricultural production and services described in the North American Industrial Classification System (NAICS) and approved for use in the National Farm Worker Jobs Program (NFJP).<br>**Record 2** if the individual performed work in food processing as classified in the NAICS definitions 3116, 311421, 311941, and 311411 for food processing establishments.<br>Otherwise, leave "blank" or record a "0" if the individual does not meet any one of the conditions described above. | 1 = Agricultural Production and Services<br>2 = Food Processing Establishments | | $R^{MF}$ | $R^{MF}$ | | $R^{MF}$ | $R^{MF}$ | $R^{MF}$ | $R^{MF}$ | | | R | | | | |
| 0131 | Chronic Unemployment or Underemployment | IN 1 | **Record 1** if the individual was employed in qualifying farm work and received a year-round salary with the same employer. **Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | $R^{MF}$ | $R^{MF}$ | | $R^{MF}$ | $R^{MF}$ | $R^{MF}$ | $R^{MF}$ | | | R | | | | |
| 0132 | Dependent of Eligible Farmworker | IN 1 | **Record 1** if the individual is a dependent of a farm worker. A dependent means an individual who (1) was claimed as a dependent on the qualifying farmworker's federal income tax return for the previous year, or (2) is the spouse of the qualifying farmworker, or (3) if not claimed as a dependent for federal income tax purposes, is able to establish a relationship to the farmworker and received over half of his/her total support from the eligible farmworker's family.<br>**Record 2** if the individual does not meet any one of the conditions described above. | 1 = Yes<br>2 = No | | $R^{MF}$ | $R^{MF}$ | | $R^{MF}$ | $R^{MF}$ | $R^{MF}$ | $R^{MF}$ | | | R | | | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0133 | Lacks Significant Work History | IN 1 | **Record 1** if the participant is an individual who had not worked for any non-agricultural employer for longer than three (3) consecutive months in the 24 months prior to intake.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | | | | | R | | | | |
| 0134 | Long-term Agricultural Employment | IN 1 | **Record 1** if an individual who has engaged in agricultural work as the primary source of income for a minimum of four (4) years prior to intake.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | | | | | R | | | | |
| 0135 | 12-Month Pre-Program Earnings | DE 8.2 | Record the total pre-program earnings of the participant during the 12 months eligibility determination period. Earnings include salaries or wages, and also include any bonuses, tips, gratuities, commissions or overtime pay earned. Record "000000.00" if there were no earnings during this period.<br>NOTE: Terminee can have "0" earnings only if he/she is a dependent of a farmworker. | 000000.00 | | | | | | | | | | | R | | | | |
| **Section A.06: Public Assistance Information** | | | | | | | | | | | | | | | | | | | |
| 0136 | Temporary Assistance to Needy Families (TANF) | IN 1 | **Record 1** if the individual is a person who, at the time of participation in the program, is listed on the welfare grant or has received cash assistance or other support services from the TANF agency.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | R | | | | R | R | | | R | R | R | R | |
| 0137 | Food Stamps (Food Stamp Act of 1977) | IN 1 | **Record 1** if the individual is a person who, at the time of participation in the program, is receiving or has received food stamp assistance under the Food Stamp Act of 1977.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | R | | | | R | R | | | R | R | R | R | |
| 0138 | Supplemental Security Income (SSI-SSA Title XVI) | IN 1 | **Record 1** if the individual is a person who, at the time of participation in the program, is receiving or has received SSI under Title XVI of the Social Security Act.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | R | | | | R | R | | | | R | R | R | |
| 0139 | Social Security Disability Insurance (SSDI) | IN 1 | **Record 1** if the individual is a person who, at the time of participation in the program, is receiving or has received SSDI benefit payments under Title XIX of the Social Security Act.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | R | | | | R | R | | | | R | R | R | |
| 0140 | Other Public Assistance Recipient | IN 1 | **Record 1** if the individual is a person who, at the time of participation in the program, is or has received cash assistance or other support services from one of the following sources: General Assistance (GA) (State/local government), Refugee Cash Assistance (RCA), Veterans Benefits, and Foster Child Payments.<br>**Record 2** if the individual does not meet the above criteria. | 1 = Yes<br>2 = No | | | R | | | | R | R | | | R | R | R | R | |
| 0141 | Pell Grant Recipient | IN 1 | **Record 1** if the individual is or has been notified s/he will be receiving a Pell Grant. This information may be updated at any time during participation in the program.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | R | | | R | R | R | R | | | | | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0142 | Commodities Program | IN 1 | **Record 1** if the individual is a person who, at the time of participation in the program, is receiving or has received food assistance through the USDA's Commodity Supplemental Food Program (CSFP).<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | R | R | | |
| 0143 | GA/TWEP Participant | IN 1 | **Record 1** if the individual is a person who, at the time of participation in the program, is participating in the Department of Interior's, Bureau of Indian Affairs, General Assistance or Tribal Work Experience Program (TWEP).<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | R | R | | |
| 0144 | Subsidized Housing | IN 1 | **Record 1** if the individual is a person who, at the time of participation in the program, is receiving or has received subsidized housing.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | | | R | |
| **Section A.07: Additional Reportable Characteristics** | | | | | | | | | | | | | | | | | | | |
| 0145 | Limited English Language Proficiency | IN 1 | **Record 1** if the individual is a person who has limited ability in speaking, reading, writing or understanding the English language and (a) whose native language is a language other than English, or (b) who lives in a family or community environment where a language other than English is the dominant language.<br>**Record 2** if the individual does not meet the conditions described above. | 1 = Yes<br>2 = No | | R | R | | R | R | R | R | R | | R | R | R | R | R |
| 0146 | Basic Literacy Skills Deficiency | IN 1 | **Record 1** if the participant is a person who 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 grantees have the option of establishing their own definition, which must include the above language. In cases where states or grantees establish such a definition, that definition will be used for basic literacy skills determination.<br>**Record 2** if the individual does not meet the conditions described above. | 1 = Yes<br>2 = No | | | R | | | R | R | R | R | | R | | R | R | R |
| 0147 | Court-Involved Individual | IN 1 | **Record 1** if the individual (adult or youth) is a person who, at the time of participation in the program, is or has been subject to any stage of the criminal justice process for committing a status offense or delinquent act.<br>**Record 2** if the individual (adult or youth) also requires assistance in overcoming barriers to employment resulting from a record of arrest or conviction for committing delinquent acts, such as crimes against persons, crimes against property, status offenses, or other crimes.<br>**Record 3** if the individual does not meet any one of the conditions described above. | 1 = Yes<br>2 = Yes, offender<br>3 = No | | R$^{VET}$ | R | | | | R | R | | | | R | R | | R |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | Adults | | | Dislocated Workers | | | Youth | | | | | Adults | Youth | | |
| | | | | | SF | SA | IT | SF | SA | IT | 14 - 18 | 19 - 21 | | | | | | | |
| 0148 | Homeless Individual | IN 1 | **Record 1** if the individual (adult or youth) is a person who lacks a fixed, regular, adequate night time residence. This definition includes any individual who has a primary night time residence that is a publicly or privately operated shelter for temporary accommodation; an institution providing temporary residence for individuals intended to be institutionalized; or a public or private place not designated for or ordinarily used as a regular sleeping accommodation for human beings. This definition does not include an individual imprisoned or detained under an Act of Congress or State law. An individual who may be sleeping in a temporary accommodation while away from home should not, as a result of that alone, be recorded as homeless.<br>**Record 2** if the individual does not meet the conditions described above. | 1 = Yes<br>2 = No | | R[VET] | R | | | | R | R | | | R | R | R | **R** | R |
| 0149 | Single Parent | IN 1 | **Record 1** if the individual is single, separated, divorced or a widowed individual who has primary responsibility for one or more dependent children under age 18.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | R | | | R | R | R | | | R | R | R | | |
| 0150 | Total Number of Individuals in Family | IN 2 | Enter the total number of individuals in the family, including the individual job seeker. | 00 | | | R | | | R | R | R | | | R | | | R | |
| 0151 | Displaced Homemaker | IN 1 | **Record 1** if the individual is a person who has been providing unpaid services to family members in the home and has been dependent on the income of another family member but is no longer supported by that income and is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.<br>**Record 2** if the individual does not meet the conditions described above. | 1 = Yes<br>2 = No | | | | | R | R | | | | | R | R | | R | |
| 0152 | Most Recent Date of Qualifying Separation or Dislocation | DT 8 | Record the most recent qualifying date of separation or dislocation from employment. If there is no dislocation job (e.g., displaced homemaker), leave blank. | YYYYMMDD | | | | | R | R | | | R | | | | | | |
| 0153 | Tenure with Employer at Separation | IN 2 | Record the total number of months that the individual was employed with the employer of record as of the individual's most recent qualifying date of separation. | 00 | | | | | R | R | | | R | | | | | | |
| 0154 | Low Income | IN 1 | **Record 1** if the individual is a person who receives, or is a members of a family which receives, cash payments under a federal, state or local income-based public assistance program, or (b) received an income, or is a member of a family that received a total family income, for the six-month period prior to registration that, in relation to family size does not exceed the higher of (i) the poverty line, for an equivalent period or (ii) 70 percent of the lower living standard income level, for an equivalent period, or (c) is a member of a household that receives Food Stamps under the Food Stamp Act of 1977, or (d) qualifies as a homeless individual, as defined in subsections (a) and (c) of section 103 of the Stewart B. McKinney Homeless Assistance Act, or (e) is a foster child on behalf of whom State or local government payments are made, (f) is a person with a disability who income meets the established criteria, but is a member of a family whose income does not meet the established criteria.<br>**Record 2** if the individual does not meet the criteria presented above. | 1 = Yes<br>2 = No | | | R | | | | R | R | | | | | | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0155 | Substance Abuse | IN 1 | **Record 1** if the participant is an individual with an alcohol and/or drug problem.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | R | R | | | R | | R | | R |
| 0156 | Lacks Transportation | IN 1 | **Record 1** if the participant is an individual who lacks access to adequate public and adequate/reasonable private transportation services, resulting in a barrier to receiving training or accepting employment.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | R | R | | | R | | | | R |

# APPENDIX B:
# Job Seeker Individual Record Specifications

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults I T | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers I T | Youth 14 - 18 | Youth 19 - 21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Section A.08: Additional Youth Characteristics** | | | | | | | | | | | | | | | | | | | |
| 0157 | Runaway Youth | IN 1 | **Record 1** if the individual is a person under 18 years of age who absents himself or herself from home or place of legal residence without the permission of his or her family.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | R | | | | | | | | R |
| 0158 | Pregnant or Parenting Youth | IN 1 | **Record 1** if the individual is a person who is either under 22 years of age and who is pregnant, or an individual (male or female) who is providing custodial care for one or more dependents under age 18.<br>**Record 2** if the individual does not meet the described above. | 1 = Yes<br>2 = No | | | | | | | R | R | | | | | R | | R |
| 0159 | Youth in Foster Care | IN 1 | **Record 1** if the individual is a person who, at the time of participation, is in foster care or has been in the foster care system.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | R | R | | | | | R | | R |
| 0160 | In Military Service at Participation | IN 1 | **Record 1** if the individual is a person who, at the time of participation in the program, is either (1) currently serving on active military duty and has NOT yet been provided with a firm date of separation from military service, or (2) a member of the National Guard or one of the Military Reserves AND currently is serving in a mobilized (i.e.,, active military duty) status. **Record 2** if the individual does not meet the conditions described above. | 1 = Yes<br>2 = No | | | | | | | R | R | | | | | R | | R |
| 0161 | Enrolled in Education | IN 1 | **Record 1** if the individual at any point during participation in the program is enrolled in secondary school, post-secondary school, adult education programs, or any other organized program of study that leads to a GED (General Educational Development High School Diploma equivalency test), diploma, or certificate.<br>**Record 2** if the individual is not enrolled in education. | 1 = Yes<br>2 = No | | | | | | | R | R | | | | | R | | R |
| 0162 | Youth Who Needs Additional Assistance | IN 1 | **Record 1** if the individual is a person who is between the ages of 14 and 21, and requires additional assistance to complete an educational program, or to secure and hold employment as defined by State or local policy. If the State Board defines a policy, the policy must be included in the State Plan.<br>**Record 2** if the individual does not meet the conditions described above. | 1 = Yes<br>2 = No | | | | | | | R | R | | | | | | | R |
| 0163 | Stable Housing Arrangements | IN 1 | **Record 1** if the individual is a person who, at the time of participation, is living in a stable household with a parent or relative. Living in a relative foster care home should not be reported here.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | | | | R |
| 0164 | Independent Living | IN 1 | **Record 1** if the individual is a person who, at the time of participation, has established permanent living arrangements, alone or with a spouse or friend.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | | | | R |

# APPENDIX B:
# Job Seeker Individual Record Specifications

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0165 | In Intensive Aftercare Program | IN 1 | **Record 1** if the individual is a person who, at the time of participation, is receiving treatment designed to reintegrate youth into the community, mandated and provided by, and under the supervision of the court, parole or probation system.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | | | | R |
| 0166 | Incarcerated Youth | IN 1 | **Record 1** if the individual is a person who, at the time of participation, is currently or has ever been incarcerated.<br>**Record 2** if the individual is a person who, at the time of participation, has never been incarcerated. | 1 = Yes<br>2 = No | | | | | | | | | | | | | | | R |
| **Section A.09: Additional Characteristics for Indian and Native Americans** | | | | | | | | | | | | | | | | | | | |
| 0167 | Tribe | IN 6 | Record the individual's tribal affiliation code. | 000000 | | | | | | | | | | | | R | R | | |
| 0168 | Long-term Unemployment | IN 1 | **Record 1** if the participant (1) is unemployed at the time of registration; (2) has been unemployed for any 15 or more of the 26 weeks immediately prior to enrollment; and (3) has made specific efforts to find a job throughout the period of unemployment.<br>**Record 2** if the individual does not meet the conditions described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | R | R | | |
| 0169 | Grantee Determined Barrier | IN 1 | **Record 1** if the participant has a barrier to employment as identified by the grantee.<br>**Record 2** if the individual does not have a grantee determined barrier to employment. | 1 = Yes<br>2 = No | | | | | | | | | | | | R | R | | |
| **Section A.10: Additional Characteristics for Older Workers** | | | | | | | | | | | | | | | | | | | |
| 0170 | Family Income - 100% Poverty Level | **IN 1** | **Record 1** if the individual's total family income is at or below 100% of the Federal poverty level.<br>**Record 2** if the individual does not meet the condition described above. | **1 = Yes**<br>**2 = No** | | | | | | | | | | | | | | **R** | |
| 0171 | 12-Month Family Income | IN 5 | Record the total income earned by the family during the twelve month period prior to participation in the program.<br>Enter 99999 for don't know. | 00000 | | | | | | | | | | | | | | R | |
| 0172 | Placed on Waiting List | IN 1 | **Record 1** if the individual is a person who was determined eligible to participate in the program, but there are no authorized positions available or suitable community service assignments.<br>**Record 2** if the individual does not meet the conditions described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | | | R | |

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# Job Seeker Individual Record Specifications

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | Adults | | | Dislocated Workers | | | Youth | | | | | Adults | Youth | | |
| | | | | | SF | SA | IT | SF | SA | IT | 14-18 | 19-21 | | | | | | | |
| 0173 | Cultural, Social or Geographic Isolation | IN 1 | **Record 1** if the individual's ability to perform normal daily tasks or capacity to live independently is hindered by cultural, social or geographic isolation, including isolation caused by racial or ethnic status.<br>**Record 2** if the individual does not meet the conditions described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | | | R | |
| 0174 | Other Social Barriers | IN 1 | **Record 1** if the individual's ability to perform normal daily tasks or capacity to live independently is hindered by other social barriers.<br>**Record 2** if the individual does not meet the conditions described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | | | R | |
| 0175 | Poor Employment Prospects | IN 1 | **Record 1** if the individual's employment prospects are poor. Poor employment prospects means the likelihood that an individual will not obtain employment without that assistance of SCSEP or any other workforce development program. Persons with poor employment prospects include, but are not limited to, those without a substantial employment history; basic skills, and/or English-language proficiency; displaced homemakers, school dropouts, persons with disabilities, including disabled veterans, homeless individuals, and individuals residing in socially or economically isolated rural or urban areas where employment opportunities are limited.<br>**Record 2** if the individual does not meet the conditions described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | | | R | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | Adults | | | Dislocated Workers | | | Youth | | | | | Adults | Youth | | |
| | | | | | SF | SA | I T | SF | SA | I T | 14 - 18 | 19 - 21 | | | | | | | |
| **Section B.01: One-Stop Participation Data** | | | | | | | | | | | | | | | | | | | |
| 0300 | Employment Service Participation Date | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in the program. Otherwise, leave "blank." | YYYYMMDD | R | R | | | | | | | | | | | | | |
| 0301 | DVOP/LVER Participation Date | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in the program. Otherwise, leave "blank." | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0302 | Program Source | IN 1 | **Record 1** if the individual was determined eligible to participate in the program by a staff person funded under the Disabled Veterans Outreach Program (DVOP).<br>**Record 2** if the individual was determined eligible to participate in the program by a staff person funded under the Local Veterans Employment Representative Program (LVER).<br>Otherwise, leave "blank" or record a "0" if not known. | 1 = DVOP<br>2 = LVER | | $R^{VET}$ | | | | | | | | | | | | | |
| 0303 | WIA Adult Participation Date | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in the program. Otherwise, leave "blank." | YYYYMMDD | R | R | R | | | | | | | | | | | | |
| 0304 | Rapid Response Participation Date | DT 8 | Record the date on which the individual first began receiving rapid response activies authorized at WIA section 134(a)(2)(A)(i).<br>Otherwise, leave "blank." | YYYYMMDD | | | | | R | R | | | | | | | | | |
| 0305 | Rapid Response (Additional Assistance) Participation Date | DT 8 | Record the date on which the individual first began participating in a program funded by the State under WIA section 134(a)(2)(A)(ii).<br>Otherwise, leave "blank." | YYYYMMDD | | | | | R | R | | | | | | | | | |
| 0306 | Rapid Response Event Number (PLACEHOLDER) | AN 10 | This is a placeholder to record the 10-digit unique number of the event through which rapid response services are being provided. This unique identification number is the same one provided to the state or local area through the Rapid Response Early Warning Network.<br>Otherwise, leave "blank" if the rapid response event number is not known. | XXXXXXXXXX | | | | | R | R | | | | | | | | | |
| 0307 | WIA Dislocated Worker Participation Date | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in the program. Otherwise, leave "blank." | YYYYMMDD | | | | R | R | R | | | | | | | | | |
| 0308 | National Emergency Grant (NEG) Participation Date | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in the NEG program. Otherwise, leave "blank." | YYYYMMDD | | | | | $R^{NEG}$ | $R^{NEG}$ | | | | | | | | | |
| 0309 | NEG Project ID | AN 4 | Per WIA title I-D, section 173, record the four characters of the original Project I.D. Number assigned to the National Emergency Grant. (For example, Utah projects may be numbered UT-02, so the WIASRD entry would be UT02.) Leave blank if none of the individual's services were funded by a National Emergency Grant. | XXXX | | | | | $R^{NEG}$ | $R^{NEG}$ | | | | | | | | | |
| 0310 | Second National Emergency Grant (NEG) Participation Date | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in a second NEG program. Otherwise, leave "blank." | YYYYMMDD | | | | | $R^{NEG}$ | $R^{NEG}$ | | | | | | | | | |

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults IT | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers IT | Youth 14-18 | Youth 19-21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0311 | Second NEG Project ID | AN 4 | WIA title I-D, section 173. Record the four characters of the second Project I.D. Number assigned to the National Emergency Grant. (For example, Utah projects may be numbered UT-02, so the WIASRD entry would be UT02.) Leave blank if none of the individual's services were funded by a National Emergency Grant. | XXXX | | | | | $R^{NEG}$ | $R^{NEG}$ | | | | | | | | | |
| 0312 | Third National Emergency Grant (NEG) Participation Date | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in a third NEG program. Otherwise, leave "blank." | YYYYMMDD | | | | | $R^{NEG}$ | $R^{NEG}$ | | | | | | | | | |
| 0313 | Third NEG Project ID | AN 4 | Record the four characters of the third NEG Project I.D. Number under which the participant received services. Otherwise, leave blank. | XXXX | | | | | $R^{NEG}$ | $R^{NEG}$ | | | | | | | | | |
| 0314 | WIA Youth Participation Date | DT 8 | Record the date on which the individual received the first service after being determined eligible to participate in the program. Otherwise, leave "blank." | YYYYMMDD | | | | | | | R | R | | | | | | | |
| 0315 | WIA Youth 15% Statewide Activities Participation Date | DT 8 | Record the date on which the individual received the first service after being determined eligible to participate in a program funded by the State under WIA section 134(a). Otherwise, leave "blank" if the individual did not participate or otherwise receive services funded by WIA Youth 15% statewide. | YYYYMMDD | | | | | | | R | R | | | | | | | |
| 0316 | Incumbent Worker 15% Statewide Activities Participation Date | DT 8 | Record the date on which the individual received the first service after being determined eligible to participate in a program funded by the State under WIA section 134(a)(3)(A)(iv)(I). Otherwise, leave "blank" if the individual did not participate or otherwise receive services funded by Incumbent Worker 15% statewide. | YYYYMMDD | | R | R | | R | R | | | | | | | | | |
| 0317 | Other 15% Statewide Activities Participation Date | DT 8 | Record the date on which the individual received the first service after being determined eligible to participate in a program funded by the State under WIA section 134(a)(3)(A)(viii) except youth activities and incumbent worker activities. Otherwise, leave "blank" if the individual did not participate in or otherwise receive services funded by other 15% statewide. | YYYYMMDD | | R | R | | R | R | | | | | | | | | |
| 0318 | ETA-Assigned WIA Title IB Code #1 | IN 5 | Record the 5-digit ETA assigned Local Board/Statewide code where the individual received services during the quarter. If the individual was served by the local area and also by other non-local funds (e.g. statewide funds or a national emergency grant), record the code for the Local Board. | 00000 | | R | R | | R | R | R | R | | | | | | | |
| 0319 | ETA-Assigned WIA Title IB Code #2 | IN 5 | Record the 5-digit ETA assigned Local Board/Statewide code where the individual received services during the quarter. If the individual was served by the local area and also by other non-local funds (e.g. statewide funds or a national emergency grant), record the code for the Local Board. If the individual received services in more than two local areas, record the code for the Local Board in which the individual resides. | 00000 | | R | R | | R | R | R | R | | | | | | | |
| 0320 | Trade Adjustment Assistance (TAA) Application Date | DT 8 | Record the date on which the individual first applied for Trade Act services/benefits under the applicable certification. Otherwise, leave "blank." | YYYYMMDD | | | | | | | | | R | | | | | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0321 | TAA Participation Date | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in the NAFTA or TAA program. Otherwise, leave "blank." | YYYYMMDD | | | | | | | | | R | | | | | | |
| 0322 | Program Type | IN 1 | **Record 1** if under the TAA program.<br>**Record 2** if under the NAFTA-TAA program.<br>**Record 3** if under both programs.<br>Otherwise, leave "blank" or record a "0" if not known. | 1 = TAA<br>2 = NAFTA-TAA<br>3 = Both TAA and NAFTA-TAA | | | | | | | | | R | | | | | | |
| 0323 | Petition Number | IN 8 | Record the petition number of the certification which applies to the individual's group. If there is more than one petition number (for example, certifications under both the TAA and NAFTA-TAA programs), record the petition number of the program from which the training is paid, unless a waiver was issued. Do NOT include any alphanumeric suffix; record the petition number ONLY. | 00000000 | | | | | | | | | R | | | | | | |
| 0324 | ATAA Program Participation Date | DT 8 | Record the date of the first payment or service after the individual was determined eligible to participate in the ATAA program. Otherwise, leave "blank." | YYYYMMDD | | | | | | | | | R | | | | | | |
| 0325 | H-1B Participation Date | DT 8 | Record the date of the first service received after the individual is determined eligible to participate in the program. Otherwise, leave "blank." | YYYYMMDD | | | | | | | | | | R | | | | | |
| 0326 | National Farmworker Jobs Program | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in the program. Otherwise, leave "blank." | YYYYMMDD | | | | | | | | | | | R | | | | |
| 0327 | Field Office Identifier | IN 5 | Record the FIPS Code of the State and the FIPS Code of the County where the field office is located. | 00000 | | | | | | | | | | | R | | | | |
| 0328 | ETA-Assigned Section 167 Grantee Code | IN 4 | Record the appropriate 4-digit ETA Assigned Identification code. | 0000 | | | | | | | | | | | R | | | | |
| 0329 | Indian and Native American Adult Program Participation Date | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in the program. Otherwise, leave "blank." | YYYYMMDD | | | | | | | | | | | | R | | | |
| 0330 | Indian and Native American Youth Program Participation Date | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in the program. Otherwise, leave "blank." | YYYYMMDD | | | | | | | | | | | | | R | | |
| 0331 | Title V Program Participation Date | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in the Title V program. Otherwise, leave "blank." | YYYYMMDD | | | | | | | | | | | | | | R | |
| 0332 | Program Type | IN 1 | **Record 1** if the individual participated in the SCSEP program only<br>**Record 2** if the individual participated in the SCSEP and 502(e) programs. | 1 = SCSEP<br>2 = SCSEP and 502(e) Program | | | | | | | | | | | | | | **R** | |
| 0333 | Youth Offender Grant Participation Date | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in the Responsible Reintegration of Youth Offenders program. Otherwise, leave "blank." | YYYYMMDD | | | | | | | | | | | | | | | R |
| 0334 | Job Corps | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in the program. Otherwise, leave "blank." | YYYYMMDD | | O | O | | O | O | O | O | O | O | O | | | | O |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0335 | Veterans' Workforce Investment Program | DT 8 | Record the date of the first service received after the individual was determined eligible to participate in the program. Otherwise, leave "blank." | YYYYMMDD | | O | O | | O | O | O | O | O | O | O | | | | O |
| 0336 | Adult Education | DT 8 | Record the date on which the individual began receiving services and/or benefits funded by a program authorized under WIA title II. Otherwise, leave "blank." | YYYYMMDD | | O | O | | O | O | O | O | O | O | O | | | O | O |
| 0337 | Vocational Education | DT 8 | Record the date on which the individual began receiving services and/or benefits funded by a program authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2471) (WIA section 121(b)(1)(B)(vii). Otherwise, leave "blank." | YYYYMMDD | | O | O | | O | O | O | O | O | O | O | | | | O |
| 0338 | Vocational Rehabilitation | DT 8 | Record the date on which the individual began receiving services and/or benefits from a program authorized under parts A and B of title I of the Rehabilitation Act of 1973 (29 USC 720 et seq.), WIA title IV, and section 121(b)(1)(B)(iv). Otherwise, leave "blank." | YYYYMMDD | | O | O | | O | O | O | O | O | O | O | | | | O |
| 0339 | Employment and Training programs Carried Out Under The Community Services Block Grant Act | DT 8 | Record the date on which the individual began receiving services and/or benefits from a program authorized under 42 U.S.C. 9001 et seq. Otherwise, leave "blank." | YYYYMMDD | | O | O | | O | O | O | O | O | O | O | | | | O |
| 0340 | YouthBuild (Dept. of Housing and Urban Development) | DT 8 | Record the date on which the individual began receiving services and/or benefits funded under the YouthBuild Program as authorized under the Housing and Community Development Act of 1992. Otherwise, leave "blank." | YYYYMMDD | | O | O | | O | O | O | O | O | O | O | | | | O |
| 0341 | Employment and Training Services Related to Food Stamps | DT 8 | Record the date on which the individual began receiving services and/or benefits funded under the employment and training component of the Food Stamp Program. Otherwise, leave "blank." | YYYYMMDD | | O | O | | O | O | O | O | O | O | O | | | | O |
| 0342 | Other Non-WIA Programs | DT 8 | Record the date on which the participant began receiving services and/or benefits from a non-WIA program not previously listed. Otherwise, leave "blank." | YYYYMMDD | | O | O | | O | O | O | O | O | O | O | | | O | O |
| 0343 | Participation Status | IN 2 | **Record 1** if the participant is actively receiving services funded by the program or funded by a partner program.<br>**Record 2** if the participant has a planned gap in service of greater than 90 days.<br>**Record 3** if the participant has not received a service funded by the program or funded by a partner program for 90 consecutive days | 01 Active<br>02 Hold, Gap in Service<br>03 Exit | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 0344 | Date of Exit | DT 8 | Record the date on which the last service funded by the program or a partner program is received by the participant. Exit occurs when a participant does not receive a service funded by the program or funded by a partner program for 90 consecutive calendar days. A service does not include program activities for which participation is not required, services and activities specifically provided as follow-up services, or regular contact with the participant or employer to only obtain information regarding his/her employment status or educational progress or need for additional services. | YYYYMMDD | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0345 | Reasons for Exit | IN 2 | In accordance with TEGL 15-03, <u>only</u> coding values 01 through 05 listed below may be used to exclude participants from the calculation of common measures. All other coding values can be used by the program for management purposes, and will allow the Department to calculate other program management indicators beyond the common measures.<br>**Record 1** if the participant is residing in an institution or facility providing 24-hour support such as a prison or hospital and is expected to remain in that institution for at least 90 days.<br>**Record 2** if the participant is receiving medical treatment that precludes entry into unsubsidized employment or continued participation in the program. Does not include temporary conditions expected to last for less than 90 days.<br>**Record 3** if the participant was found to be deceased or no longer living.<br>**Record 4** if the participant is providing care for a family member that precludes entry into unsubsidized employment or continued participation in the program. Does not include temporary conditions expected to last for less than 90 days.<br>**Record 5** if the participant is a reservist who is called to active duty for at least 90 days.<br>**Record 6** if the participant has moved from the area and cannot be located.<br>**Record 7** if the participant has transferred to another project or program.<br>**Record 8** if the participant chose to voluntarily leave the program (including retirement).<br>**Record 9** if the participant has not received a service funded by the program or funded by a partner program for 90 consecutive days (i.e., soft exit).<br>**Record 10** if the participant has exited for reasons other than those described above.<br>NOTE: Grantees are permitted to define additional codes beyond those listed here for program management purposes. | 01 Institutionalized<br>02 Health/Medical<br>03 Deceased<br>04 Family Care<br>05 Reservists Called to Active Duty<br>06 Moved from Area/Cannot Locate<br>07 Transferred to Another Program or Project<br>08 Voluntary Exit<br>09 Soft Exit<br>10 Other Reason for Exit | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |

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# Job Seeker Individual Record Specifications

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Section C.01: Self-Service and Facilitated Self-Help Services** | | | | | | | | | | | | | | | | | | | |
| 0400 | Most Recent Date Utilized Career Resource Room | DT 8 | Record the most recent date on which the individual utilized the career resource room within the physical location (e.g., One-Stop Career Center). Otherwise, leave "blank" if the individual did not utilize the career resource room. | YYYYMMDD | R | | | R | | | | | | | | | | | |
| 0401 | Most Recent Date Received Orientation to One-Stop Services | DT 8 | Record the most recent date on which the individual received an orientation designed to inform and educate the individual about the local job market and the range of services available through the local one-stop delivery system. Grantees have the option of reporting orientations to one-stop services that are either facilitated by a staff person or delivered using other electronic tools. Otherwise, leave "blank" if the individual did not receive an orientation to one-stop services. | YYYYMMDD | R | | | R | | | | | | | | | | | |
| 0402 | Most Recent Date Received Job Search Services | DT 8 | Record the most recent date on which the individual participated in job search activities facilitated by a staff person in a physical location (e.g., one-stop career center) or self-directed using other electronic tools. Otherwise, leave "blank" if the individual did not receive job search services. | YYYYMMDD | R | | | R | | | | | | | | | | | |
| **Section C.02: Staff-Assisted Services** | | | | | | | | | | | | | | | | | | | |
| 0403 | Most Recent Date Received Career Guidance Services | DT 8 | Record the most recent date on which the individual received career guidance services. Career guidance services include the provision of information, materials, suggestions, or advice which are intended to assist the job seeker in making occupation or career decisions. Otherwise, leave "blank" if the individual did not receive a career guidance service. | YYYYMMDD | | R | | | R | | | | | | | | | | |
| 0404 | Most Recent Date Received Career Guidance Services (DVOP) | DT 8 | Record the most recent date on which the individual received career guidance services by a DVOP funded staff person. Otherwise, leave "blank" if the individual did not receive a career guidance service. | YYYYMMDD | | R[VET] | | | | | | | | | | | | | |
| 0405 | Most Recent Date Received Career Guidance Services (LVER) | DT 8 | Record the most recent date on which the individual received career guidance services by a LVER funded staff person. Otherwise, leave "blank" if the individual did not receive a career guidance service. | YYYYMMDD | | R[VET] | | | | | | | | | | | | | |
| 0406 | Most Recent Date Received Assessment Services | DT 8 | Record the most recent date on which the individual received an assessment service that includes an assessment interview, testing, counseling, or employability planning. Otherwise, leave "blank" if the individual did not receive an assessment service. | YYYYMMDD | | R | | | R | | | | | | | | | | |
| 0407 | Most Recent Date Received Assessment Services (DVOP) | DT 8 | Record the most recent date on which the individual received an assessment service by a DVOP funded staff person. Otherwise, leave "blank" if the individual did not receive an assessment service. | YYYYMMDD | | R[VET] | | | | | | | | | | | | | |
| 0408 | Most Recent Date Received Assessment Services (LVER) | DT 8 | Record the most recent date on which the individual received an assessment service by a LVER funded staff person. Otherwise, leave "blank" if the individual did not receive an assessment service. | YYYYMMDD | | R[VET] | | | | | | | | | | | | | |

# APPENDIX B:
# Job Seeker Individual Record Specifications

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults IT | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers IT | Youth 14 - 18 | Youth 19 - 21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0409 | Most Recent Date Received Job Search Activities | DT 8 | Record the most recent date on which the individual received a staff-assisted job search activity. Job Search activites are designed to help the individual plan and carry out a successful job hunting strategy. These activities include resume preparation assistance, job search workshops, job finding clubs, provision of specific labor market information, and development of a job search plan. Otherwise, leave "blank" if the individual did not receive a job search activity. | YYYYMMDD | | R | | | R | | | | | | | | | | |
| 0410 | Most Recent Date Received Job Search Activities (DVOP) | DT 8 | Record the most recent date on which the individual received a staff-assisted job search activity by a DVOP funded staff person. Otherwise, leave "blank" if the individual did not receive a job search activity. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0411 | Most Recent Date Received Job Search Activities (LVER) | DT 8 | Record the most recent date on which the individual received a staff-assisted job search activity by a LVER funded staff person. Otherwise, leave "blank" if the individual did not receive a job search activity. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0412 | Most Recent Date Referred to Employment | DT 8 | Record the most recent date on which the individual was referred to employment. A referral to employment is (a) the act of bringing to the attention of an employer an individual or group of individuals who are available for a job, and (b) the record of such a referral. Otherwise, leave "blank" if the individual did not receive a referral to employment. | YYYYMMDD | | R | | | R | | | | | | | | | | |
| 0413 | Most Recent Date Referred to Employment (DVOP) | DT 8 | Record the most recent date on which the individual was referred to employment by a DVOP funded staff person. Otherwise, leave "blank" if the individual did not receive a referral to employment. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0414 | Most Recent Date Referred to Employment (LVER) | DT 8 | Record the most recent date on which the individual was referred to employment by a LVER funded staff person. Otherwise, leave "blank" if the individual did not receive a referral to employment. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0415 | Most Recent Date Referred to Support Services | DT 8 | Record the most recent date on which the individual was referred to supportive services designed to assist an individual to achieve physical, mental, social or economic well being and reduce or eliminate barriers to employment. These include, but are not limited to, health and medical services, child care, emergency financial services, relocation assistance, residential or housing support, nutritional and legal services. Otherwise leave "blank" if the individual did not receive a referral service. | YYYYMMDD | | R | | | R | | | | | | | | | | |
| 0416 | Most Recent Date Referred to Support Services (DVOP) | DT 8 | Record the most recent date on which the individual was referred to supportive services by a DVOP funded staff person. Otherwise leave "blank" if the individual did not receive a referral service. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0417 | Most Recent Date Referred to Support Services (LVER) | DT 8 | Record the most recent date on which the individual was referred to supportive services by a LVER funded staff person. Otherwise leave "blank" if the individual did not receive a referral service. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0418 | Most Recent Date Received Other Staff-Assisted Services | DT 8 | Record the most recent date on which the individual received other services requiring a significant expenditure of staff time. These additional services may include, but are not limited to, (a) reemployment services; (b) federal bonding program; (c) job development contacts; (d) referrals to educational services; and (e) tax credit eligibility determination. Otherwise, leave "blank" if the individual did not receive any other staff-assisted services. | YYYYMMDD | | R | | | R | | | | | | | | | | |

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults IT | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers IT | Youth 14-18 | Youth 19-21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0419 | Most Recent Date Received Other Staff-Assisted Services (DVOP) | DT 8 | Record the most recent date on which the individual received other services requiring a significant expenditure of DVOP funded staff time. Otherwise, leave "blank" if the individual did not receive any other staff-assisted services. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0420 | Most Recent Date Received Other Staff-Assisted Services (LVER) | DT 8 | Record the most recent date on which the individual received other services requiring a significant expenditure of LVER funded staff time. Otherwise, leave "blank" if the individual did not receive any other staff-assisted services. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0421 | Most Recent Job Development Contact | DT 8 | Record the most recent date on which the one-stop staff person contacts an employer for the purpose of creating a job order for the direct benefit of a job seeker who is an eligible migrant and seasonal farmworker. Otherwise, leave "blank" if a job development contact has not been made with an employer. | YYYYMMDD | | $R_{MF}$ | | | | | | | | | | | | | |
| 0422 | Interstate | IN 1 | **Record 1** if the individual is an interstate job seeker resulting from joint action of local Employment Service (ES) offices in different states in distributing job order information and referring and placing of qualified job seekers. This includes agricultural placement activity and should be reported by the job seeker holding state. Otherwise, leave "blank" or record "0" if not known or the individual is not an interstate job seeker. | 1 = Yes | | $R_{MF}$ | | | | | | | | | | | | | |
| **Section C.03: Additional Staff-Assisted Services for Veterans** | | | | | | | | | | | | | | | | | | | |
| 0423 | Most Recent Date Received Case Management Services | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual assigned a case manager received career guidance, referral to supportive services, job development contacts, referral to jobs, referral to training, or any combination of those services. Otherwise, leave "blank" if the individual who is veteran did not receive case management services. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0424 | Most Recent Date Received Case Management Services (DVOP) | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual assigned a DVOP case manager received career guidance, referral to supportive services, job development contacts, referral to jobs, referral to training, or any combination of those services. Otherwise, leave "blank" if the individual who is veteran did not receive case management services. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0425 | Most Recent Date Received Case Management Services (LVER) | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual assigned a LVER case manager received career guidance, referral to supportive services, job development contacts, referral to jobs, referral to training, or any combination of those services. Otherwise, leave "blank" if the individual who is veteran did not receive case management services. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0426 | Most Recent Date Referred to Federal Training | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was referred to any intensive service or training program supported by the Federal Government, such as WIA funded projects, TAA-NAFTA, and Job Corps. This does not include DVA-OJT. Otherwise, leave "blank" if the individual who is veteran did not receive a referral to Federal training. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0427 | Most Recent Date Referred to Federal Training (DVOP) | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was referred by a DVOP funded staff person to Federal training. Otherwise, leave "blank" if the individual who is a veteran did not receive a referral to Federal training. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0428 | Most Recent Date Referred to Federal Training (LVER) | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was referred by a LVER funded staff person to Federal training. Otherwise, leave "blank" if the individual who is a veteran did not receive a referral to Federal training. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0429 | Most Recent Date Placed in Federal Training | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was placed in any job training program supported by the Federal government. Otherwise, leave "blank" if the individual who is a veteran is not placed into Federal training. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0430 | Most Recent Date Placed in Federal Training (DVOP) | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was verified by a DVOP funded staff person to have entered any job training program supported by the Federal government. Otherwise, leave "blank" if the individual who is a veteran is not placed into Federal training. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0431 | Most Recent Date Placed in Federal Training (LVER) | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was verified by a LVER funded staff person to have entered any job training program supported by the Federal government. Otherwise, leave "blank" if the individual who is a veteran is not placed into Federal training. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0432 | Most Recent Date Referred to Federal Job | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was referred to a job opening filed with a placement office by a department or agency of the Federal government. Otherwise, leave "blank" if the individual who is a veteran was not referred to a Federal job. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0433 | Most Recent Date Referred to Federal Job (DVOP) | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was referred by a DVOP funded staff person to a job opening filed with a placement office by a department or agency of the Federal government. Otherwise, leave "blank" if the individual who is a veteran was not referred to a Federal job. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0434 | Most Recent Date Referred to Federal Job (LVER) | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was referred by a LVER funded staff person to a job opening filed with a placement office by a department or agency of the Federal government. Otherwise, leave "blank" if the individual who is a veteran was not referred to a Federal job. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0435 | Most Recent Date Referred to Federal Contractor Job Listing (FCJL) Job | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was referred to a job opening listed by an employer identified as a Federal contractor. Otherwise, leave "blank" if the individual was not referred to a FCJL job. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0436 | Most Recent Date Referred to FCJL Job (DVOP) | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was referred by a DVOP funded staff person to a job opening listed by an employer identified as a Federal contractor. Otherwise, leave "blank" if the individual was not referred to a FCJL job. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |
| 0437 | Most Recent Date Referred to FCJL Job (LVER) | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was referred by a LVER funded staff person to a job opening listed by an employer identified as a Federal contractor. Otherwise, leave "blank" if the individual was not referred to a FCJL job. | YYYYMMDD | | $R^{VET}$ | | | | | | | | | | | | | |

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults I T | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers I T | Youth 14 - 18 | Youth 19 - 21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0438 | Most Recent Date Placed in FCJL Job | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was placed into a FCJL job. Otherwise, leave "blank" if the individual was not placed into a FCJL job. | YYYYMMDD | | R$^{VET}$ | | | | | | | | | | | | | |
| 0439 | Most Recent Date Placed in FCJL Job (DVOP) | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was placed by a DVOP funded staff person into a FCJL job. Otherwise, leave "blank" if the individual was not placed into a FCJL job. | YYYYMMDD | | R$^{VET}$ | | | | | | | | | | | | | |
| 0440 | Most Recent Date Placed in FCJL Job (LVER) | DT 8 | For veterans and other eligible persons, record the most recent date on which the individual was placed by a LVER funded staff person into a FCJL job. Otherwise, leave "blank" if the individual was not placed into a FCJL job. | YYYYMMDD | | R$^{VET}$ | | | | | | | | | | | | | |
| **Section C.04: Intensive Services** | | | | | | | | | | | | | | | | | | | |
| 0441 | Date Individual Service Plan Created | DT 8 | Record the date on which the participant's Individual Service Plan (ISP) was created or otherwise established to identify the participant's employment goals, the appropriate achievement objectives, and the appropriate combination of services for the participant to achieve the employment goals. Otherwise, leave "blank" if a service plan was not created for the participant. | YYYYMMDD | | | R | | | R | | | | | | | | | |
| 0442 | Most Recent Date Received Comprehensive and Specialized Assessment | DT 8 | Record the most recent date on which the individual received comprehensive and specialized assessment services. Otherwise, leave "blank" if the individual did not receive comprehensive and specialized assessment. | YYYYMMDD | | | R | | | R | | | | | | | | | |
| 0443 | Most Recent Date Received Counseling and Career Planning Services | DT 8 | Record the most recent date on which the individual received counseling and career planning services. Otherwise, leave "blank" if the individual did not receive counseling and career planning services. | YYYYMMDD | | | R | | | R | | | | | | | | | |
| 0444 | Most Recent Date Participated in Adult Education, Basic Skills, and/or Literacy Activities | DT 8 | Record the most recent date on which the individual participated in adult education, basic skills, and/or literacy activities. Otherwise, leave "blank" if the individual did not receive adult education, basic skills, and/or literacy activities. | YYYYMMDD | | | R | | | R | | | | | | R | R | | |
| 0445 | Most Recent Date Participated in Work Experience (paid or unpaid) | DT 8 | Record the most recent date on which the individual participated in work experience whether paid or unpaid by the program. Otherwise, leave "blank" if the individual did not participate in work experience. | YYYYMMDD | | | R | | | R | | | | | | R | R | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Section C.05: Training Services** | | | | | | | | | | | | | | | | | | | |
| 0446 | Date Entered Training | DT 8 | Record the date on which the participant's training actually began. Otherwise, leave "blank." | YYYYMMDD | | | R | | | R | R | R | R | R | R | R | R | | R |
| 0447 | Type of Training | IN 2 | Use the appropriate code to indicate the type of approved training being provided to the individual. | 01 = On-the-Job Training<br>02 = Private Sector Programs<br>03 = Skill Upgrading & Retraining<br>04 = Entrepreneurial Training<br>05 = Adult Education & Literacy Activities in Combination with Training<br>06 = Customized Training<br>07 = Other Occupational Skills Training | | | R | | | R | R | R | R | R | R | R | R | | R |
| 0448 | Occupational Training Code | IN 8 | Enter the 8 digit O*Net 4.0 (or later versions) code that best describes the training occupation for which the participant received on-the-job training or occupational skills training. | 00000000 | | | R | | | R | R | R | R | R | R | R | R | | R |
| 0449 | Established ITA | IN 1 | **Record 1** if any of the individual's services were purchased utilizing an Individual Training Account established for adults or dislocated workers and funded by WIA title I.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | R | | | R | | | | | | | | | |
| 0450 | Training Completed | IN 1 | **Record 1** if the individual completed approved training.<br>**Record 2** if the individual is still participating in approved training.<br>**Record 3** if the individual did not complete training. | 1 = Yes, completed approved training course<br>2 = No, individual is still in training<br>3 = No, did not complete training | | | R | | | R | R | R | R | R | R | R | R | | R |
| 0451 | Date Completed Training | DT 8 | Record the date on which the participant completed training. | YYYYMMDD | | | R | | | R | R | R | R | R | R | R | R | | R |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0452 | Type of Degree or Certificate Received | IN 2 | Enter the appropriate code indicating any certificate awarded to the participant for the completion of training or education. | 01 = General Equivalency Degree (GED)<br>02 = High School Diploma<br>03 = Vocational/Technical Degree<br>04 = Associate's Degree<br>05 = Bachelor's Degree<br>06 = Master's Degree<br>07 = Professional Degree<br>08 = Doctorate Degree<br>09 = Occupational Skills Licensure<br>10 = Occupational Skills Certificate or Credential<br>11 = Other State-Recognized Educational or Occupational Skills Certificate<br>12 = No Credential Received | | | R | | | R | R | R | R | R | R | R | R | | R |
| 0453 | Date Attained Degree or Certificate | DT 8 | Record the date on which the individual attained a degree or certificate, if available.<br>Otherwise, the date may be estimated. | YYYYMMDD | | | R | | | R | R | R | R | R | R | R | R | | R |
| 0454 to 0485 | The collection of training information is cumulative and space has been provided for the collection of no more than five (5) separate training services for each individual. Data elements #0446 to #0453 represent a cumulative set of training-related information and will repeat for each training occurrence. For example, if the participant received 05 = Adult Education & Literacy Activities in Combination with Training and 06 = Customized Training during his/her course of participation in the one-stop system, data elements 0446-0453 will be used to track 05 = Adult Education & Literacy Activities in Combination with Training and then a second training sequence would be opened using data elements 0454-0461 to track 06 = Customized Training to track the second training service. | | | | | | R | | | R | R | R | R | R | R | R | R | | R |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Section C.06: Additional Services for Youth** | | | | | | | | | | | | | | | | | | | |
| 0486 | Date Individual Service Strategy (ISS) Created | DT 8 | Record the date on which the participant's Individual Service Strategy (ISS) was created or otherwise established to meet the requirements of WIA section 129(c)(1)(B), including identifying an age-appropriate career goal and consideration of the assessment results for the participant. Otherwise, leave "blank" if an ISS was not created for the participant. | YYYYMMDD | | | | | | | R | R | | | | | | | |
| 0487 | Most Recent Date Received Educational Achievement Services | DT 8 | Record the most recent date on which the individual received an educational achievement service. Educational achievement services include, but are not limited to, tutoring, study skills training, and instruction leading to secondary school completion, including dropout prevention strategies. Otherwise, leave "blank" if the individual did not receive educational achievement services. | YYYYMMDD | | | | | | | R | R | | | | | | | |
| 0488 | Most Recent Date Participated in Alternative School | DT 8 | Record the most recent date on which the individual participated in alternative school. Otherwise, leave "blank" if the individual did not participate in alternative school. | YYYYMMDD | | | | | | | R | R | | | | | | | |
| 0489 | Most Recent Date Received Summer Employment Opportunities | DT 8 | Record the most recent date on which the individual received summer employment opportunities directly linked to academic and occupational learning. Otherwise, leave "blank" if the individual did not receive summer employment opportunities. | YYYYMMDD | | | | | | | R | R | | | | | | | |
| 0490 | Most Recent Date Participated in Work Experience | DT 8 | Record the most recent date on which the individual participated in work experience, whether paid or unpaid, including internships and job shadowing. Otherwise, leave "blank" if the individual did not participate in work experience. | YYYYMMDD | | | | | | | R | R | | | | | | | |
| 0491 | Most Recent Date Received Leadership Development Opportunities | DT 8 | Record the most recent date on which the individual received leadership development opportunities. Leadership development opportunities include, but are not limited to, opportunities that encourage responsibility, employability, and other positive social behaviors such as (a) exposure to post-secondary educational opportunities; (b) community and service learning projects; (c) peer-centered activities, including peer mentoring and tutoring; (d) organizational and team work training, including team leadership training; (e) training in decision making, including determining priorities; and (f) citizenship training, including life skills training such as parenting, work behavior training, and budgeting of resources. Otherwise, leave "blank" if the individual did not receive leadership development opportunities. | YYYYMMDD | | | | | | | R | R | | | | | | | |
| 0492 | Most Recent Date Received Supportive Services | DT 8 | Record the most recent date on which the individual received a supportive service. Support services for youth include (a) linkages to community services; (b) assistance with transportation; (c) assistance with child care and dependent care; (d) assistance with housing; (e) referrals to medical services; and (f) assistance with uniforms or other appropriate work attire and work-related tools, including such items as eye glasses and protective eye gear. Otherwise, leave "blank" if the individual did not receive supportive services. | YYYYMMDD | | | | | | | R | R | | | | | | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0493 | Most Recent Date Received Adult Mentoring Services | DT 8 | Record the most recent date on which the individual received adult mentoring services. Adult mentoring services may last for a duration of at least twelve (12) months and may occur both during and after program participation. Otherwise, leave "blank" if the individual did not receive adult mentoring services. | YYYYMMDD | | | | | | | R | R | | | | | | | |
| 0494 | Most Recent Date Received Follow-up Services | DT 8 | Record the most recent date on which the individual received follow-up services after exiting the program. Follow-up services for youth include (a) regular contact with a youth participant's employer, including assistance in addressing work-related problems that arise; (b) assistance in securing better paying jobs, career development and further education; (c) work-related peer support groups; (d) adult mentoring; and (e) tracking the progress of youth in employment after training. All youth participants must receive some form of follow-up services for a minimum duration of 12 months. Leadership development opportunities, adult mentoring, and supportive services that are provided to the youth as follow-up services should not be recorded here. Otherwise, leave "blank" if the individual did not receive follow-up services. | YYYYMMDD | | | | | | | R | R | | | | | | | |
| 0495 | Most Recent Date Received Career Guidance/Counseling Services | DT 8 | Record the most recent date on which the individual received career guidance/counseling services. Otherwise, leave "blank" if the individual did not receive career guidance/counseling services. | YYYYMMDD | | | | | | | R | R | | | | | | | |

# APPENDIX B:
# Job Seeker Individual Record Specifications

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults IT | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers IT | Youth 14 - 18 | Youth 19 - 21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Section C.07: Related Assistance to Adults, Dislocated Workers, and Trade Impacted Workers** | | | | | | | | | | | | | | | | | | | |
| 0500 | Received Supportive Services (except needs-related payments) | IN 1 | **Record 1** if the individual received supportive services (WIA section 134(e)(2)) which include, but are not limited to, assistance with transporation, child care, dependent care, and housing that are necessary to enable the individual to participate in activities authorized under WIA title IB.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any supportive services. | 1 = Yes | | | R | | | R | | | | | | | | | |
| 0501 | Received Needs-Related Payments | IN 1 | **Record 1** if the individual received needs related payments (WIA section 134(e)(3)) for the purpose of enabling the individual to participate in approved training funded under WIA Title IB.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any needs-related payments. | 1 = Yes | | | R | | | R | | | | | | | | | |
| 0502 | Received ATAA Payments | IN 1 | **Record 1** if the participant received any ATAA payments.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any ATAA payments. | 1 = Yes | | | | | | | | | R | | | | | | |
| 0503 | Received Training Waiver | IN 1 | **Record 1** if the individual received a training waiver. Record 2 if the individual did not receive a training waiver. | 1 = Yes<br>2 = No | | | | | | | | | R | | | | | | |
| 0504 | Type of Training Waiver | IN 1 | Use the appropriate code to indicate the type of training waiver received by the individual. | 1 = Based on Recall<br>2 = Based on Marketable Skills<br>3 = Based on Retirement<br>4 = Based on Health<br>5 = Based on Enrollment Unavailable<br>6 = Based on Training not Available<br>7 = Not Applicable, Individual Did Not Participate in Training | | | | | | | | | R | | | | | | |
| 0505 | Travel While in Training | IN 1 | **Record 1** if participant received a travel allowance while in training.<br>**Record 2** if the participant did not receive a travel allowance while in training. | 1 = Yes, received travel allowance while in training<br>2 = No, did not receive travel allowance | | | | | | | | | R | | | | | | |
| 0506 | Subsistence While in Training | IN 1 | **Record 1** is participant receive a subsistence allowance while in training.<br>**Record 2** if participant did not receive a subsistence allowance. | 1 = Yes, received a subsistence allowance while in training<br>2 = No, did not receive a subsistence allowance | | | | | | | | | R | | | | | | |
| 0507 | Trade Readjustment Allowance (TRA) - Basic | IN 1 | **Record 1** if the participant received any basic TRA.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any basic TRA. | 1 = Yes | | | | | | | | | R | | | | | | |

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults I T | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers I T | Youth 14 - 18 | Youth 19 - 21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0508 | Total Weeks Paid - TRA Basic | IN 2 | Record the total number of weeks for which Basic TRA was paid to the individual. This field may be updated for each quarterly submission. | 00 | | | | | | | | | R | | | | | | |
| 0509 | Total Amount Paid - TRA Basic | DE 7.2 | Record the total dollar amount of Basic TRA paid to the individual. This field may be updated for each quarterly submission. | 00000.00 | | | | | | | | | R | | | | | | |
| 0510 | Trade Readjustment Allowance (TRA) - Additional | IN 1 | **Record 1** if the participant received any additional TRA.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any additional TRA. | 1 = Yes | | | | | | | | | R | | | | | | |
| 0511 | Total Weeks Paid - TRA Additional | IN 2 | Record the total number of weeks for which Additional TRA was paid to the individual. This field may be updated for each quarterly submission. | 00 | | | | | | | | | R | | | | | | |
| 0512 | Total Amount Paid - TRA Additional | DE 7.2 | Record the total dollar amount of Additional TRA paid to the individual. This field may be updated for each quarterly submission. | 00000.00 | | | | | | | | | R | | | | | | |
| 0513 | Trade Readjustment Allowance (TRA) - Remedial | IN 1 | **Record 1** if the participant received any remedial TRA.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any remedial TRA. | 1 = Yes | | | | | | | | | R | | | | | | |
| 0514 | Total Weeks Paid - TRA Remedial | IN 2 | Record the total number of weeks for which Remedial TRA was paid to the individual. This field may be updated for each quarterly submission. | 00 | | | | | | | | | R | | | | | | |
| 0515 | Total Amount Paid - TRA Remedial | DE 7.2 | Record the total dollar amount of Remedial TRA paid to the individual. This field may be updated for each quarterly submission. | 00000.00 | | | | | | | | | R | | | | | | |
| 0516 | Job Search Allowance | IN 1 | **Record 1** if the participant received a job search allowance.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any job search allowance. | 1 = Yes | | | | | | R | | | R | | | | | | |
| 0517 | Relocation Allowance | IN 1 | **Record 1** if the participant received a job search allowance.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any relocation allowance. | 1 = Yes | | | | | | R | | | R | | | | | | |
| **Section C.08: Related Assistance for Migrant and Seasonal Farmworkers** | | | | | | | | | | | | | | | | | | | |
| 0518 | Received Transportation Services | IN 1 | **Record 1** if the individual received transportation (public or private) assistance or cash paid to participants or members of their families for the purpose of transportation.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any transportation services. | 1 = Yes | | | | | | | | | | | R | | | | |
| 0519 | Received Health Care Services | IN 1 | **Record 1** if the individual received supportive health care services that includes, but is not limited to, preventive and clinical medical treatment, voluntary family planning, and necessary psychiatric, psychological and prosthetic services.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any health care services. | 1 = Yes | | | | | | | | | | | R | | | | |
| 0520 | Received Family Care (Including Child Care) Services | IN 1 | **Record 1** if the individual received supportive services which helps participants meet their family care needs during program participation. Family care ranges from adult to child care inside or outside the home to after-school programs (inside or outside the home). It usually includes supervision and shelter.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any family care (including child care services). | 1 = Yes | | | | | | | | | | | R | | | | |

# APPENDIX B:
# Job Seeker Individual Record Specifications

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0521 | Received Housing, Resettlement or Rental Assistance | IN 1 | **Record 1** if the individual received supportive services which assists participants in maintaining or obtaining adequate shelter, including utilities, for themselves and their families or relocating in order to accept or maintain employment or to obtain education or training while they are participating in the program.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any housing, resettlement or rental assistance. | 1 = Yes | | | | | | | | | | | R | | | | |
| 0522 | Received Nutritional Assistance | IN 1 | **Record 1** if the individual received supportive service(s) that includes the provision of food and other nutritional assistance (other than counseling) to eligible program participants and their dependents.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any nutrition assistance. | 1 = Yes | | | | | | | | | | | R | | | | |
| 0523 | Received Translation and Interpretation Services | IN 1 | **Record 1** if the individual received supportive services which involves a bi-lingual agent who hears or reads the language of one party and speaks or writes another language for another party. One of the two parties will be a program participant.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any translation and interpretation services. | 1 = Yes | | | | | | | | | | | R | | | | |
| 0524 | Received Other Support Services | IN 1 | **Record 1** if the individual received supportive services not specified above.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any other support services. | 1 = Yes | | | | | | | | | | | R | | | | |
| 0525 | Received Worker Safety Training | IN 1 | **Record 1** if the participant received any training which consists of instruction in any of the following: safe and proper ways to operate or maintain machinery, safe handling and use of toxic chemicals, proper use of protective clothing and devices, first aid, or other topics related to worker safety on the job site.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any worker safety training. | 1 = Yes | | | | | | | | | | | R | | | | |
| **Section C.09: Services for Older Workers** | | | | | | | | | | | | | | | | | | | |
| 0526 | Total Hours Paid | IN 4 | Record the total number of hours for which the participant was paid wages as determined from the sub-grantee's wage records. If the last pay period extends beyond the quarter, adjust the hours to reflect only those hours worked in the quarter.<br>Otherwise, leave "blank". | 0000 | | | | | | | | | | | | | | R | |
| 0527 | Total Training Hours | IN 4 | Record the total number of hours of paid training or orientation provided to the participant. Do not include any training provided by the host agency.<br>Otherwise, leave "blank". | 0000 | | | | | | | | | | | | | | R | |
| 0528 | Generalized Skill Training | IN 1 | **Record 1** if the individual received Generalized Skill training.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any generalized skill training. | 1 = Yes | | | | | | | | | | | | | | R | |
| 0529 | Specialized Training | IN 1 | **Record 1** if the individual received Specialized training.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any specialized training. | 1 = Yes | | | | | | | | | | | | | | R | |
| 0530 | On-the-Job Experience | IN 1 | **Record 1** if the individual received On-the-Job Experience.<br>Otherwise, record a "0" or leave "blank" if the individual did not receive any on-the-job experience. | 1 = Yes | | | | | | | | | | | | | | R | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 0531 | Community Service Assignment Code | IN 2 | Record the 2-digit community service assignment code. | 00 | | | | | | | | | | | | | | R | |
| 0532 | Community Service Assignment Code #2 | IN 2 | Record the 2-digit code of the community service area if the participant was assigned to a second community service area during the quarter. Otherwise, leave blank. | 00 | | | | | | | | | | | | | | R | |
| 0533 | Community Service Assignment Code #3 | IN 2 | Record the 2-digit code of the community service area if the participant was assigned to a third community service area during the quarter. Otherwise, leave blank. | 00 | | | | | | | | | | | | | | R | |
| **Section D.01: Employment and Job Retention Information** | | | | | | | | | | | | | | | | | | | |
| 1000 | Employed in 1st Quarter After Exit Quarter | IN 1 | **Record 1** if the participant was employed in the first quarter after the quarter of exit.<br>**Record 2** if the participant was not employed in the first quarter after the quarter of exit.<br>**Record 3** if information on the participant's employment status in the first quarter after the quarter of exit is not yet available. | 1 = Yes<br>2 = No<br>3 = Information not yet available | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 1001 | Type of Employment Match 1st Quarter After Exit Quarter | IN 1 | Use the appropriate code to identify the method used in determining the individual's employment status in the first quarter following the exit quarter. | 1 = UI Wage Records (In-State & WRIS)<br>2 = Federal Employment Records (OPM, USPS)<br>3 = Military Employment Records (DOD)<br>4 = Other Administrative Wage Records<br>5 = Supplemental through case management, participant survey, and/or verification with the employer<br>6 = Information not yet available | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 1002 | Date Entered Employment | DT 8 | Record the date on which the participant was found to be employed in the first quarter following the exit quarter. | YYYYMMDD | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 1003 | Self-Employed | IN 1 | **Record 1** if the individual is a person who operates a business or profession as a sole proprietor, partner in a partnership, independent contractor, or consultant. An activity qualifies as a business if your primary purpose for engaging in the activity is for income or profit and you are involved in the activity with continuity and regularity. A sporadic activity or a hobby does not qualify as a business.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | R | R | | R | R | R | R | R | R | R | R | R | R | R |
| 1004 | Recalled by Layoff Employer | IN 1 | **Record 1** if the individual was recalled by the employer where the qualifying separation took place.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | R | R | | | R | | | | | | |

# APPENDIX B:
## Job Seeker Individual Record Specifications

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1005 | Occupational Code of Employment 1st Qtr After Exit Quarter | AN 8 | Record the 8-digit occupational code that best describes the individual's employment using the O*Net Version 4.0 (or later versions) classification system. | 00000000 | | R | R | | R | R | R | R | R | R | R | | | | R |
| 1006 | Industry Code of Employment 1st Qtr After Exit Quarter | AN 8 | Record the 6-digit industry code that best describes the individual's employment using the North American Industrial Classification System (NAICS). | 000000 | | R | R | | R | R | R | R | R | R | R | | | | R |
| 1007 | Entered Training-Related Employment | IN 1 | **Record 1** if the employment in which the individual entered uses a substantial portion of the skills taught in the training received by the individual.<br>**Record 2** if the employment in which the individual entered does not use a substantial portion of the skills taught in the training received by the individual.<br>**Record 3** if the individual received training that did not impart job-specific skills, such as job readiness training, while participating in the program.<br>**Record 4** if the relationship between an individual's employment-to-training cannot be determined. | 1 = Yes<br>2 = No<br>3 = Training did not impart job-specific skills<br>4 = Relationship of employment to training cannot be determined | | | R | | | R | | | | | R | | | | |
| 1008 | Method Used to Determine Training-Related Employment | IN 1 | **Record 1** if the method used was a comparison of the occupation codes between the training activity and the job.<br>**Record 2** if the method used was a comparison of the industry of employment with the occupation of training using an appropriate crosswalk.<br>**Record 3** if some other appropriate method was used. | 1 = Comparison of the occupation codes between the training activity and the job<br>2 = Comparison of the industry of employment with the occupation of training using an appropriate crosswalk<br>3 = Other appropriate method | | | R | | | R | | | | | R | | | | |
| 1009 | Entered non-Traditional Employment | IN 1 | **Record 1** if the participant's employment is in an occupation or field of work for which individuals of the participant's gender comprise less than 25% of the individuals employed in such occupation or field of work.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | R | | | R | | R | | | R | | | | |
| 1010 | Employed in 2nd Quarter After Exit Quarter | IN 1 | **Record 1** if the participant was employed in the second quarter after the quarter of exit.<br>**Record 2** if the individual was not employed in the second quarter after the quarter of exit.<br>**Record 3** if the individual has exited but employment information is not yet available. | 1 = Yes<br>2 = No<br>3 = Information not yet available | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1011 | Type of Employment Match 2nd Quarter After Exit Quarter | IN 1 | Use the appropriate code to identify the method used in determining the individual's employment status in the second quarter following the exit quarter. | 1 = UI Wage Records (In-State & WRIS)<br>2 = Federal Employment Records (OPM, USPS)<br>3 = Military Employment Records (DOD)<br>4 = Other Administrative Wage Records<br>5 = Supplemental through case management, participant survey, and/or verification with the employer<br>6 = Information not yet available | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 1012 | Date Found Employed in 2nd Quarter After Exit Quarter | DT 8 | Record the date on which the participant was found to be employed in the second quarter following the exit quarter. | YYYYMMDD | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 1013 | Employed in 3rd Quarter After Exit Quarter | IN 1 | **Record 1** if the participant was employed in the third quarter after exit;<br>**Record 2** if the individual was not employed in the third quarter after exit.<br>**Record 3** if the individual has exited but employment information is not yet available. | 1 = Yes<br>2 = No<br>3 = Information not yet available | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 1014 | Type of Employment Match 3rd Quarter After Exit Quarter | IN 1 | Use the appropriate code to identify the method used in determining the individual's employment status in the third quarter following the exit quarter. | 1 = UI Wage Records (In-State & WRIS)<br>2 = Federal Employment Records (OPM, USPS)<br>3 = Military Employment Records (DOD)<br>4 = Other Administrative Wage Records<br>5 = Supplemental through case management, participant survey, and/or verification with the employer<br>6 = Information not yet available | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 1015 | Date Found Employment in 3rd Quarter After Exit Quarter | DT 8 | Record the date on which the participant was found to be employed in the third quarter following the exit quarter. | YYYYMMDD | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1016 | Employed in 4th Quarter After Exit Quarter | IN 1 | **Record 1** if the participant was employed in the fourth quarter after exit;<br>**Record 2** if the individual was not employed in the fourth quarter after exit.<br>**Record 3** if the individual has exited but employment information is not yet available. | 1 = Yes<br>2 = No<br>3 = Information not yet available | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 1017 | Type of Employment Match 4th Quarter After Exit Quarter | IN 1 | Use the appropriate code to identify the method used in determining the individual's employment status in the fourth quarter following the exit quarter. | 1 = UI Wage Records (In-State & WRIS)<br>2 = Federal Employment Records (OPM, USPS)<br>3 = Military Employment Records (DOD)<br>4 = Other Administrative Wage Records<br>5 = Supplemental through case management, participant survey, and/or verification with the employer<br>6 = Information not yet available | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 1018 | Date Found Employed in 4th Quarter After Exit Quarter | DT 8 | Record the date on which the participant was found to be employed in the fourth quarter following the exit quarter. | YYYYMMDD | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Section D.02: Wage Record Information** | | | | | | | | | | | | | | | | | | | |
| 1019 | Wages 4th Quarter Prior to Participation Quarter | DE 8.2 | Record total earnings from wage records for the fourth quarter prior to the quarter of participation.<br>Please enter 999999.99 if data are not yet available for this item. Otherwise, leave blank if this data element does not apply. | 000000.00 | R | R | R | R | R | R | | | R | R | R | R | | R | |
| 1020 | Wages 3rd Quarter Prior to Participation Quarter | DE 8.2 | Record total earnings from wage records for the third quarter prior to the quarter of participation.<br>Please enter 999999.99 if data are not yet available for this item. Otherwise, leave blank if this data element does not apply. | 000000.00 | R | R | R | R | R | R | | | R | R | R | R | | R | |
| 1021 | Wages 2nd Quarter Prior to Participation Quarter | DE 8.2 | Record total earnings from wage records for the second quarter prior to the quarter of participation.<br>Please enter 999999.99 if data are not yet available for this item. Otherwise, leave blank if this data element does not apply. | 000000.00 | R | R | R | R | R | R | | | R | R | R | R | | R | |
| 1022 | Wages 1st Quarter Prior to Participation Quarter | DE 8.2 | Record total earnings from wage records for the first quarter prior to the quarter of participation.<br>Please enter 999999.99 if data are not yet available for this item. Otherwise, leave blank if this data element does not apply. | 000000.00 | R | R | R | R | R | R | | | R | R | R | R | | R | |
| 1023 | Wages 1st Quarter After Exit Quarter | DE 8.2 | Record total earnings from wage records for the first quarter after the exit quarter.<br>Please enter 999999.99 if data are not yet available for this item. Otherwise, leave "blank" if this data element does not apply. | 000000.00 | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 1024 | Wages 2nd Quarter After Exit Quarter | DE 8.2 | Record total earnings from wage records for the second quarter after the exit quarter.<br>Please enter 999999.99 if data are not yet available for this item. Otherwise, leave "blank" if this data element does not apply. | 000000.00 | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 1025 | Wages 3rd Quarter After Exit Quarter | DE 8.2 | Record total earnings from wage records for the third quarter after the exit quarter.<br>Please enter 999999.99 if data are not yet available for this item. Otherwise, leave "blank" if this data element does not apply. | 000000.00 | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| 1026 | Wages 4th Quarter After Exit Quarter | DE 8.2 | Record total earnings from wage records for the fourth quarter after the exit quarter.<br>Please enter 999999.99 if data are not yet available for this item. Otherwise, leave "blank" if this data element does not apply. | 000000.00 | R | R | R | R | R | R | R | R | R | R | R | R | R | R | R |
| **Section D.03: Continued Education and Credential Information** | | | | | | | | | | | | | | | | | | | |
| 1027 | School Status at Program Exit | IN 1 | **Record 1** if, at exit, the participant was enrolled in full-time secondary school (e.g., junior high school, middle school, and high school) as a result of participating in the program.<br>**Record 2** if, at exit, the participant was enrolled in an alternative school as a result of participating in the program.<br>**Record 3** if the participant does not meet the condition described above. | 1 = Yes<br>2 = Yes, Alternative School<br>3 = No | | | | | | | R | R | | | | | R | | R |

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| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults I T | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers I T | Youth 14 - 18 | Youth 19 - 21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1028 | In Post-Secondary Education or Advanced Training in quarter after exit | IN 1 | Enter the appropriate code to indicate whether or not the participant is in post-secondary or advanced training in the quarter after exit. | 1 = In advanced training<br>2 = In post-secondary education<br>3 = Entered qualified apprenticeship<br>4 = Not in further training/education | | | | | | | R | R | | | | | R | | R |
| 1029 | In Post-Secondary Education or Advanced Training in the Third Quarter After Exit. | IN 1 | Enter the appropriate code to indicate whether or not the participant is in post-secondary or advanced training in the third quarter after exit. | 1 = In advanced training<br>2 = In post-secondary education<br>3 = Entered qualified apprenticeship<br>4 = Not in further training/education | | | | | | | R | R | | | | | | | R |
| 1030 | Attained Diploma, GED, or Certificate #1 | IN 1 | **Record 1** if the individual attained a secondary school (high school) diploma recognized by the State during participation in the program or by the end of the third quarter after exit.<br>**Record 2** if the individual attained a GED or high school equivalency diploma recognized by the State during participation in the program or by the end of the third quarter after exit.<br>**Record 3** if the individual attained a certificate in recognition of an individual's attainment of technical or occupational skills during participation in the program or by the end of the third quarter after exit.<br>**Record 4** if the individual did not attain a diploma, GED, or certificate. | 1 = Individual attained a secondary school (high school) diploma.<br>2 = Individual attained a GED or high school equivalency diploma.<br>3 = Individual attained a certificate in recognition of an individual's attainment of technical or occupational skills.<br>4 = Individual did not attain a diploma, GED, or certificate | | | | | | | R | R | | | | | R | | R |
| 1031 | Date Attained Degree or Certificate #1 | DT 8 | Record the date on which the individual attained a diploma, GED, or certificate, if available. Otherwise, the date may be estimated. Leave blank if the individual did not attain a diploma, GED, or certificate. | YYYYMMDD | | | | | | | R | R | | | | | R | | R |
| 1032 | Attained Diploma, GED, or Certificate #2 | IN 1 | **Record 1** if the individual attained a secondary school (high school) diploma recognized by the State during participation in the program or by the end of the third quarter after exit.<br>**Record 2** if the individual attained a GED or high school equivalency diploma recognized by the State during participation in the program or by the end of the third quarter after exit.<br>**Record 3** if the individual attained a certificate in recognition of an individual's attainment of technical or occupational skills during participation in the program or by the end of the third quarter after exit.<br>**Record 4** if the individual did not attain a diploma, GED, or certificate. | 1 = Individual attained a secondary school (high school) diploma.<br>2 = Individual attained a GED or high school equivalency diploma.<br>3 = Individual attained a certificate in recognition of an individual's attainment of technical or occupational skills.<br>4 = Individual did not attain a diploma, GED, or certificate | | | | | | | R | R | | | | | R | | R |

# APPENDIX B:
# Job Seeker Individual Record Specifications

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults IT | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers IT | Youth 14-18 | Youth 19-21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1033 | Date Attained Degree or Certificate #2 | DT 8 | Record the date on which the individual attained a second diploma, GED, or certificate, if available. Otherwise, the date may be estimated. Leave blank if the individual did not attain a second diploma, GED, or certificate. | YYYYMMDD | | | | | | | R | R | | | | | R | | R |

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults IT | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers IT | Youth 14-18 | Youth 19-21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Section D.04: ABE Literacy/Numeracy Assessment Information** | | | | | | | | | | | | | | | | | | | |
| 1034 | Type of Assessment Test | IN 1 | Use the appropriate code to record the type of assessment test that was administered to the youth participant within 60 days of program registration. | 1 = TABE 7-8<br>2 = TABE 9-10<br>3 = CASAS (Life Skills)<br>4 = ABLE<br>5 = WorkKeys<br>6 = Other Approved Assessment Tool | | | | | | | R | R | | | | | R | | R |
| 1035 | Functional Area | IN 1 | Use the appropriate code for the functional area of the assessment test that was administered to the youth participant. | 1 = Reading<br>2 = Writing<br>3 = Language<br>4 = Mathematics<br>5 = Other Functional Area | | | | | | | R | R | | | | | R | | R |
| 1036 | Date Administered Pre-Test | DT 8 | Record the date on which the pre-assessment test was administered to the youth participant. | YYYYMMDD | | | | | | | R | R | | | | | R | | R |
| 1037 | Test Score | IN 3 | Record the raw scale score achieved by the youth participant on the pre-assessment test. | 000 | | | | | | | R | R | | | | | R | | R |
| 1038 | Educational Functioning Level | IN 1 | Record the educational functioning level that is associated with the youth participant's raw scale score. | 1 = Beginning ABE Literacy<br>2 = Beginning Basic Education<br>3 = Low Intermediate Basic Education<br>4 = High Intermediate Basic Education<br>5 = Low Adult Secondary Education<br>6 = High Adult Secondary Education | | | | | | | R | R | | | | | R | | R |
| 1039 | Date Administered (Post-Test #1) | DT 8 | Record the date on which the first post-test was administered to the youth participant. | YYYYMMDD | | | | | | | R | R | | | | | R | | R |
| 1040 | Test Score #1 | IN 3 | Record the raw scale score achieved by the youth participant on the first post-test. | 000 | | | | | | | R | R | | | | | R | | R |

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults I T | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers I T | Youth 14 - 18 | Youth 19 - 21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1041 | Educational Functioning Level (Post-Test #1) | IN 1 | Record the educational functioning level that is associated with the youth participant's raw scale score achieved on the first post-test. | 1 = Beginning ABE Literacy<br>2 = Beginning Basic Education<br>3 = Low Intermediate Basic Education<br>4 = High Intermediate Basic Education<br>5 = Low Adult Secondary Education<br>6 = High Adult Secondary Education | | | | | | | R | R | | | | | R | | R |
| 1042 | Date Administered (Post-Test #2) | DT 8 | Record the date on which the second post-test was administered to the youth participant. | YYYYMMDD | | | | | | | R | R | | | | | R | | R |
| 1043 | Test Score #2 | IN 3 | Record the raw scale score achieved by the youth participant on the second post-test. | 000 | | | | | | | R | R | | | | | R | | R |
| 1044 | Educational Functioning Level (Post-Test #2) | IN 1 | Record the educational functioning level that is associated with the youth participant's raw scale score achieved on the second post-test. | 1 = Beginning ABE Literacy<br>2 = Beginning Basic Education<br>3 = Low Intermediate Basic Education<br>4 = High Intermediate Basic Education<br>5 = Low Adult Secondary Education<br>6 = High Adult Secondary Education | | | | | | | R | R | | | | | R | | R |
| 1045 | Date Administered (Post-Test #3) | DT 8 | Record the date on which the third post-test was administered to the youth participant. | YYYYMMDD | | | | | | | R | R | | | | | R | | R |
| 1046 | Test Score #3 | IN 3 | Record the raw scale score achieved by the youth participant on the third post-test. | 000 | | | | | | | R | R | | | | | R | | R |

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults I T | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers I T | Youth 14 - 18 | Youth 19 - 21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1047 | Educational Functioning Level (Post-Test #3) | IN 1 | Record the educational functioning level that is associated with the youth participant's raw scale score achieved on the third post-test. | 1 = Beginning ABE Literacy<br>2 = Beginning Basic Education<br>3 = Low Intermediate Basic Education<br>4 = High Intermediate Basic Education<br>5 = Low Adult Secondary Education<br>6 = High Adult Secondary Education | | | | | | | R | R | | | | | R | | R |
| 1048 to 1074 | **The collection of ABE literacy/numeracy information is organized according to the Type of Assessment Test and Functional Area, and provides space for the collection of no more than three (3) post-test scores. Data elements #1034 to #1047 will repeat so that assessment information on additional functional areas can be reported as needed to fully reflect literacy/numeracy gains by each youth. For example, if the youth is assessed using TABE 7-8 in Reading and Math, data elements 1034-1047 will be used to track TABE 7-8 Reading achievement and then repeat to track achievement against the TABE 7-8 Match using the additional spaces 1048-1061 provided on the record layout.** | | | | | | | | | | R | R | | | | | R | | R |
| **Section D.05: ESL Literacy/Numeracy Assessment Information** | | | | | | | | | | | | | | | | | | | |
| 1100 | Type of Assessment Test | IN 1 | Use the appropriate code to record the type of assessment test that was administered to the youth participant within 60 days of program registration. | 1 = CASAS (Life Skills)<br>2 = SPL<br>3 = BEST<br>4 = BEST Plus<br>5 = Other Approved Assessment Tool | | | | | | | R | R | | | | | | | R |
| 1101 | Functional Area | IN 1 | Use the appropriate code to record the functional area of the assessment test that was administered to the youth participant. | 1 = Reading and Writing<br>2 = Speaking<br>3 = Oral<br>4 = Literacy<br>5 = Listening<br>6 = Other Functional Area | | | | | | | R | R | | | | | | | R |
| 1102 | Date Administered Pre-Test | DT 8 | Record the date on which the pre-assessment test was administered to the youth participant. | YYYYMMDD | | | | | | | R | R | | | | | | | R |
| 1103 | Test Score | IN 3 | Record the raw scale score achieved by the youth participant on the pre-assessment test. | 000 | | | | | | | R | R | | | | | | | R |

# APPENDIX B:
## Job Seeker Individual Record Specifications

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults | | | Dislocated Workers | | | Youth | | TAA Program | H-1B Training Grants | NFJP | INAP | | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | SF | SA | IT | SF | SA | IT | 14-18 | 19-21 | | | | Adults | Youth | | |
| 1104 | Educational Functioning Level | IN 1 | Record the educational functioning level that is associated with the youth participant's raw scale score. | 1 = Beginning ESL Literacy<br>2 = Beginning ESL<br>3 = Low Intermediate ESL<br>4 = High Intermediate ESL<br>5 = Low Advanced ESL<br>6 = High Advanced ESL | | | | | | | R | R | | | | | | | R |
| 1105 | Date Administered (Post-Test #1) | DT 8 | Record the date on which the first post-test was administered to the youth participant. | YYYYMMDD | | | | | | | R | R | | | | | | | R |
| 1106 | Test Score #1 | IN 3 | Record the raw scale score achieved by the youth participant on the first post-test. | 000 | | | | | | | R | R | | | | | | | R |
| 1107 | Educational Functioning Level (Post-Test #1) | IN 1 | Record the educational functioning level that is associated with the youth participant's raw scale score achieved on the first post-test. | 1 = Beginning ESL Literacy<br>2 = Beginning ESL<br>3 = Low Intermediate ESL<br>4 = High Intermediate ESL<br>5 = Low Advanced ESL<br>6 = High Advanced ESL | | | | | | | R | R | | | | | | | R |
| 1108 | Date Administered (Post-Test #2) | DT 8 | Record the date on which the second post-test was administered to the youth participant. | YYYYMMDD | | | | | | | R | R | | | | | | | R |
| 1109 | Test Score #2 | IN 3 | Record the raw scale score achieved by the youth participant on the second post-test. | 000 | | | | | | | R | R | | | | | | | R |
| 1110 | Educational Functioning Level (Post-Test #2) | IN 1 | Record the educational functioning level that is associated with the youth participant's raw scale score achieved on the second post-test. | 1 = Beginning ESL Literacy<br>2 = Beginning ESL<br>3 = Low Intermediate ESL<br>4 = High Intermediate ESL<br>5 = Low Advanced ESL<br>6 = High Advanced ESL | | | | | | | R | R | | | | | | | R |
| 1111 | Date Administered (Post-Test #3) | DT 8 | Record the date on which the third post-test was administered to the youth participant. | YYYYMMDD | | | | | | | R | R | | | | | | | R |
| 1112 | Test Score #3 | IN 3 | Record the raw scale score achieved by the youth participant on the third post-test. | 000 | | | | | | | R | R | | | | | | | R |

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults IT | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers IT | Youth 14-18 | Youth 19-21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1113 | Educational Functioning Level (Post-Test #3) | IN 1 | Record the educational functioning level that is associated with the youth participant's raw scale score achieved on the third post-test. | 1 = Beginning ESL Literacy<br>2 = Beginning ESL<br>3 = Low Intermediate ESL<br>4 = High Intermediate ESL<br>5 = Low Advanced ESL<br>6 = High Advanced ESL | | | | | | | R | R | | | | | | | R |
| 1114 to 1140 | **The collection of ESL literacy/numeracy information is organized according to the *Type of Assessment Test* and *Functional Area*, and provides space for the collection of no more than three (3) post-test scores. Data elements #1100 to #1113 will repeat so that assessment information on additional functional areas can be reported as needed to fully reflect literacy/numeracy gains by each youth. For example, if the youth is assessed using SPL Speaking and Reading/Writing, data elements 1100-1113 will be used to track SPL Speaking achievement and then repeat to track achievement against the SPL Reading/Writing using the additional spaces 1114-1127 provided on the record layout.** | | | | | | | | | | R | R | | | | | | | R |
| **Section D.06: Youth Skill Attainment Goals** | | | | | | | | | | | | | | | | | | | |
| 1200 | Goal #1 Type (for current WIA performance measures) | IN 1 | Use the appropriate code to record the type of skill attainment goal. Setting one basic skills goal is required if the youth is basic literacy skills deficient. | 1 = Basic Skills<br>2 = Occupational Skills<br>3 = Work Readiness Skills | | | | | | | R | | | | | | | | |
| 1201 | Date Goal #1 Was Set (for current WIA performance measures) | DT 8 | Record the date on which the goal was set for the youth, except that the date of the first goal set must be recorded as the registration date. | YYYYMMDD | | | | | | | R | | | | | | | | |
| 1202 | Attainment of Goal #1 (for current WIA performance measures) | IN 1 | **Record 1** if the goal was attained. Attainment of a goal is to be based on an individual's assessment using widely accepted and recognized measurement/assessment techniques.<br>**Record 2** if the goal was set, but not attained. A goal is not attained when the anniversary date has passed without attainment of the goal. The anniversary date of a goal is the date one year after the date the goal was set.<br>**Record 3** if the goal was set, but attainment is pending. This code should not be used after exit. When the youth exits, this field should be marked with a "1" or "2" for all goals that have been set. | 1 = Attained<br>2 = Set, but not attained before 1 year anniversary date<br>3 = Set, but attainment is pending | | | | | | | R | | | | | | | | |
| 1203 | Date Attained Goal #1 (for current WIA performance measures) | DT 8 | Record date on which the goal was attained. This date should normally be on or before the one-year anniversary of the date the goal was set. However, it may be later if the participant had a planned gap in service where he/she was placed in hold status during which services were not received, but the participant planned to return to the program. | YYYYMMDD | | | | | | | R | | | | | | | | |
| 1204 | Goal #2 Type (for current WIA performance measures) | IN 1 | Use the appropriate code to record the type of skill attainment goal. Setting one basic skills goal is required if the youth is basic literacy skills deficient. | 1 = Basic Skills<br>2 = Occupational Skills<br>3 = Work Readiness Skills | | | | | | | R | | | | | | | | |

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults IT | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers IT | Youth 14-18 | Youth 19-21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1205 | Date Goal #2 Was Set (for current WIA performance measures) | DT 8 | Record the date on which the second goal was set for the youth. | YYYYMMDD | | | | | | | R | | | | | | | | |
| 1206 | Attainment of Goal #2 (for current WIA performance measures) | IN 1 | **Record 1** if the goal was attained. Attainment of a goal is to be based on an individual's assessment using widely accepted and recognized measurement/assessment techniques.<br>**Record 2** if the goal was set, but not attained. A goal is not attained when the anniversary date has passed without attainment of the goal. The anniversary date of a goal is the date one year after the date the goal was set.<br>**Record 3** if the goal was set, but attainment is pending. This code should not be used after exit. When the youth exits, this field should be marked with a "1" or "2" for all goals that have been set. | 1 = Attained<br>2 = Set, but not attained before 1 year anniversary date<br>3 = Set, but attainment is pending | | | | | | | R | | | | | | | | |
| 1207 | Date Attained Goal #2 (for current WIA performance measures) | DT 8 | Record date on which the goal was attained. This date should normally be on or before the one-year anniversary of the date the goal was set. However, it may be later if the participant had a planned gap in service where he/she was placed in hold status during which services were not received, but the participant planned to return to the program. | YYYYMMDD | | | | | | | R | | | | | | | | |
| 1208 | Goal #3 Type (for current WIA performance measures) | IN 1 | Use the appropriate code to record the type of skill attainment goal. Setting one basic skills goal is required if the youth is basic literacy skills deficient. | 1 = Basic Skills<br>2 = Occupational Skills<br>3 = Work Readiness Skills | | | | | | | R | | | | | | | | |
| 1209 | Date Goal #3 Was Set (for current WIA performance measures) | DT 8 | Record the date on which the goal was set for the youth, except that the date of the first goal set must be recorded as the registration date. | YYYYMMDD | | | | | | | R | | | | | | | | |
| 1210 | Attainment of Goal #3 (for current WIA performance measures) | IN 1 | **Record 1** if the goal was attained. Attainment of a goal is to be based on an individual's assessment using widely accepted and recognized measurement/assessment techniques.<br>**Record 2** if the goal was set, but not attained. A goal is not attained when the anniversary date has passed without attainment of the goal. The anniversary date of a goal is the date one year after the date the goal was set.<br>**Record 3** if the goal was set, but attainment is pending. This code should not be used after exit. When the youth exits, this field should be marked with a "1" or "2" for all goals that have been set. | 1 = Attained<br>2 = Set, but not attained before 1 year anniversary date<br>3 = Set, but attainment is pending | | | | | | | R | | | | | | | | |
| 1211 | Date Attained Goal #3 (for current WIA performance measures) | DT 8 | Record date on which the goal was attained. This date should normally be on or before the one-year anniversary of the date the goal was set. However, it may be later if the participant had a planned gap in service where he/she was placed in hold status during which services were not received, but the participant planned to return to the program. | YYYYMMDD | | | | | | | R | | | | | | | | |

# APPENDIX B:
# Job Seeker Individual Record Specifications

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults IT | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers IT | Youth 14 - 18 | Youth 19 - 21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1212 to 1235 | **Space will be provided in the record layout so that information on additional goals can be reported as needed to fully reflect goals set and attained by each youth. All goals set in the program year and the preceding year should be reported. States should/may report all goals set during tbe youth's period of participation.** | | | | | | | | | | R | | | | | | | | |
| **Section D.07: Additional Outcomes for Indian and Native Americans** | | | | | | | | | | | | | | | | | | | |
| 1236 | Placement in Unsubsidized Employment | IN 1 | **Record 1** if the participant entered a full- or part-time job (at least 20 hours per week) with an unsubsidized employer and the participant's salary is not paid with program funds.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | R | R | | |
| 1237 | Hourly Wage at Placement | DE 4.2 | Enter the hourly wage for the participant who was placed in full or part-time unsubsidized employment. | 00.00 | | | | | | | | | | | | R | R | | |

# APPENDIX B:
# Job Seeker Individual Record Specifications

| No. | DATA ELEMENT NAME | TYPE/ LENGTH | DATA ELEMENT DEFINITIONS/INSTRUCTIONS | CODE VALUE | Employment Service/VETS WIA Title IB Programs: Adults SF | Adults SA | Adults I T | Dislocated Workers SF | Dislocated Workers SA | Dislocated Workers I T | Youth 14 - 18 | Youth 19 - 21 | TAA Program | H-1B Training Grants | NFJP | INAP Adults | INAP Youth | SCSEP | Youth Offender Grants |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Section D.08: Additional Outcomes for Older Workers** | | | | | | | | | | | | | | | | | | | |
| 1238 | Placement in Unsubsidized Employment | IN 1 | **Record 1** if the participant entered a full- or part-time job with an unsubsidized employer and the participant's salary is not paid with program funds. A placement does not become official and is not included in the performance measures unless the participant is employed for 30 days within a 90 day period.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | | | R | |
| 1239 | Six Month Job Retention | IN 1 | **Record 1** if the participant remained employed in unsubsidized employment six months after the date of placement.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | | | R | |
| **Section D.09: Additional Outcomes for Youth Offenders** | | | | | | | | | | | | | | | | | | | |
| 1240 | Crime Conviction/Incarcerated Youth | IN 1 | **Record 1** if the individual was convicted or adjudicated of a crime committed after entering the youth offender project and was **incarcerated**.<br>**Record 2** if the individual was convicted or adjudicated of a crime committed after entering the youth offender project and was **NOT** **incarcerated**. | 1 = Yes<br>2 = No | | | | | | | | | | | | | | | R |
| 1241 | Parole/Probation Revoked | IN 1 | **Record 1** if the individual had his/her parole or probation revoked after entering the youth offender project and was incarcerated.<br>**Record 2** if the individual does not meet the condition described above. | 1 = Yes<br>2 = No | | | | | | | | | | | | | | | R |

# APPENDIX C

# WORKFORCE INVESTMENT QUARTERLY SUMMARY REPORT FORMAT

U.S. Department of Labor
Employment and Training Administration
ETA XXXX Workforce Investment Quarterly Summary Report

OMB Approval No. ___________
Expiration No. ___________

## Section I: Grantee and Program Identifying Information

Report Quarter End Date: ______________________

| | | |
|---|---|---|
| 1a. Grantee Name | 1c. Program Name | 1d. Sub-Project Code |
| 1b. Grantee Address ____________________ | | |
| City ____________________ | State ____________ | Zip ____________ |

## Section II: Program Participation Summary

| Performance Measures | Last Three Reporting Quarters | | | Current Qtr | Cumulative |
|---|---|---|---|---|---|
| | 3rd Qtr Prior | 2nd Qtr Prior | 1st Qtr Prior | Report Qtr | Totals |
| | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Period*** |
| 2a. New Participants | | | | | |
| 2b. Total Participants | | | | | |
| 2c. Limited English Proficient | | | | | |
| 2d. Persons with a Disability | | | | | |
| 2e. Older Workers (age 55 or older) | | | | | |
| 2f. Migrant and Seasonal Farmworkers | | | | | |
| 2g. Homeless Individuals | | | | | |
| 2h. Eligible Veterans | | | | | |
| | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Period*** |
| 2i. Total Exiters | | | | | |

## Section III: Adult Common Outcome Measures

| Performance Measures | Last Three Reporting Quarters | | | Current Qtr | Cumulative Totals | |
|---|---|---|---|---|---|---|
| | 3rd Qtr Prior | 2nd Qtr Prior | 1st Qtr Prior | Report Qtr | Number | Percent |
| 3a. Entered Employment | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # Employed 1st Qtr after Exit / # of Total Exiters | | | | | | |
| 3b. Employment Retention | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # Employed 2nd & 3rd Qtr after Exit / # Employed 1st Qtr after Exit | | | | | | |
| 3c. Earnings Increase (Pre-to-Post Program Q1) | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| Total Wages Pd 1st Qtr after Exit / Total Wages Pd 1st Qtr Prior to Participation | | | | | | |
| 3d. Earnings Increase (Post Program Q1-to-Q3) | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| Total Wages Pd 3rd Qtr after Exit / Total Wages Pd 1st Qtr after Exit | | | | | | |

## Section IV: Youth Common Outcome Measures

| Performance Measures | Last Three Reporting Quarters | | | Current Qtr | Cumulative Totals | |
|---|---|---|---|---|---|---|
| | 3rd Qtr Prior | 2nd Qtr Prior | 1st Qtr Prior | Report Qtr | Number | Percent |
| 4a. Placement in Employment or Education | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # of Exiters Entering Employ or Education / # of Exiters | | | | | | |
| 4b. Attainment of Degree or Certificate | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # of Exiters Attaining Credential / # of Exiters | | | | | | |
| 4c. Literacy and Numeracy Gains | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # of Participants Increasing 1 or More Educational Functioning Levels / (# Completing a Year of Part) + (# Exiting Before Completing a Year of Part) | | | | | | |

## Section V: Additional WIA Indicators of Performance (1998 legislation)

| Performance Measures | Last Three Reporting Quarters | | | Current Qtr | Cumulative Totals | |
|---|---|---|---|---|---|---|
| | 3rd Qtr Prior | 2nd Qtr Prior | 1st Qtr Prior | Report Qtr | Number | Percent |
| 5a. **Adult/DW Employment and Credential Rate** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # of Exiters w/Trng Employed & Credential 3rd Qtr after Exit | | | | | | |
| # Exiters Employed 1st Qtr after Exit | | | | | | |
| 5b. **Older Youth (19-21) Credential Rate** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # of Exiters in Employment/Education & Credential 3rd Qtr after Exit | | | | | | |
| # of Total Exiters | | | | | | |
| 5c. **Younger Youth (14-18) Skill Attainment** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # of Basic, Work Ready & Occ Skills Attained | | | | | | |
| # of Basic, Work Ready & Occ Skills Goals Set | | | | | | |
| 5d. **Younger Youth (14-18) Diploma or Equivalent Attainment** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # Attaining Diploma or Equivalent 1st Qtr after Exit | | | | | | |
| # of Exiters not in Secondary School | | | | | | |
| 5e. **Younger Youth (14-18) Retention Rate** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # of Exiters in Ed, Trn, Emp, Mil or Appr 3rd Qtr after Exit | | | | | | |
| # of Exiters not in Secondary School | | | | | | |

## Section VI - Additional SCSEP Performance Measures

| Performance Measures | Last Three Reporting Quarters | | | Current Qtr | Cumulative Totals | |
|---|---|---|---|---|---|---|
| | 3rd Qtr Prior | 2nd Qtr Prior | 1st Qtr Prior | Report Qtr | Number | Percent |
| 6a. **Service Level** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # Participants | | | | | | |
| # of Authorized Community Service Positions | | | | | | |
| 6b. **Service to Most-In-Need** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # Participants Age 60+ & with Barriers to Employment | | | | | | |
| # of Participants | | | | | | |
| 6c. **Placement Rate** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # of Participants Placed in Unsubsidized Employment | | | | | | |
| # of Authorized Community Service Positions | | | | | | |
| 6d. **Job Retention Rate** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***Qtr Report Period*** | |
| # of Participants Employed 6 Months (unsubsidized) | | | | | | |
| # of Participants Placed in Unsubsidized Employment | | | | | | |
| 6e. **Community Service** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4-Qtr Report Period*** | |
| # of Community Service Hours Performed | | | | | | |
| Community Service Goal | | | | | | |

## Section VII - Additional INAP Performance Measures

| Performance Measures | Last Three Reporting Quarters | | | Current Qtr | Cumulative Totals | |
|---|---|---|---|---|---|---|
| | 3rd Qtr Prior | 2nd Qtr Prior | 1st Qtr Prior | Report Qtr | Number | Percent |
| 7a. **Basic Skills/GED Attainment** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4 Qtr Report Period*** | |
| # Inc Math/Read 2 Gr, Attained GED or Ret. to School | | | | | | |
| # of Total Exiters Participating ABE or GED Training | | | | | | |
| 7b. **Youth Progress** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4 Qtr Report Period*** | |
| # 14-21 Yr Olds Progressing in 2 of 6 Areas | | | | | | |
| # of Exiters 14-21 Years Old | | | | | | |
| 7c. **Occ. Skills Trn and Post Seconday Ed.** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4 Qtr Report Period*** | |
| # with Degree, Certificate or Apprenticeship | | | | | | |
| # of Exiters enrolled in Occ. Skills Training or Post Sec Ed. | | | | | | |
| 7d. **Wage Growth for Job at Placement** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4 Qtr Report Period*** | |
| # Wage at Exit exceeds Pre. Participation Wage by 10% | | | | | | |
| # of Exiters Who Entered Emp. Who had Emp 12 mo Prior to Part. | | | | | | |
| 7e. **Welfare to Work** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4 Qtr Report Period*** | |
| # Entering Unsubsidized Employment | | | | | | |
| # of Exiters Who Were Public Assist. Recipients at Enrollment' | | | | | | |
| 7f. **Job Placement for Long Term Jobless** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4 Qtr Report Period*** | |
| # Entered Unsubsidized Employment at Exit | | | | | | |
| # of Exiters Unemployed 15 of 26 Wks Prior to Enrollment | | | | | | |
| 7g. **Job Retention** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4 Qtr Report Period*** | |
| # Employed 20+ Hrs Week in 12 of 13 Weeks after Exit | | | | | | |
| # Entered Unsub Employ after Occ. Skills Trn or OJT | | | | | | |
| 7h. **Terminee Satisfaction** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4 Qtr Report Period*** | |
| # Exiters Rating Sec. 166 Svcs. Sat. or Very Sat. | | | | | Number | Rate |
| # of Exiters Responding to Questionnaires | | | | | *Wgt. Satis.* | |
| No. of Exiters Eligible for the Questionnaire (normally equals total exiters) | | | | | *Total Eligible* | |
| Number of Respondents | | | | | *No. Respondents* | |
| No. in the Sample (if no sample, enter terminess eligible for the questionnaire) | | | | | *No. in Sample* | |
| 7i. **Job Creation** | *Reference Period* | *Reference Period* | *Reference Period* | *Report Period* | ***4 Qtr Report Period*** | |
| # Total No. Jobs Created Native-American Businesses | | | | | | |
| # Total No. of Exiters | | | | | | |

## Section VIII - Additional H-1B Skills Training Grants Performance Measures

| Performance Measures | Last Three Reporting Quarters: 3rd Qtr Prior | 2nd Qtr Prior | 1st Qtr Prior | Current Qtr: Report Qtr | Cumulative Totals: Number | |
|---|---|---|---|---|---|---|
| | Reference Period | Reference Period | Reference Period | Report Period | | |
| 8a. Total Number of Completions | | | | | | |
| 8b. Number Expected to Complete Training by End of Project | | | | | | |
| 8c. New Job Placements Obtained by Part as a Result of Trn | | | | | | |
| 8d. Promotions Rec'd by Participants as a Result of Training | | | | | | |
| 8e. New Wage Inc Rec'd by Participants as a Result of Trn | | | | | | |
| 8f. Amt of Wag Inc Rec'd by Participants as a Result of Trn | | | | | | |

## Section IX - American Customer Satisfaction Index Scores

| Performance Measures | Last Three Reporting Quarters: 3rd Qtr Prior | 2nd Qtr Prior | 1st Qtr Prior | Current Qtr: Report Qtr | Cumulative Totals (ACSI and Response Rate) | Number | Rate |
|---|---|---|---|---|---|---|---|
| 9a. Participant/Job Seeker Satisfaction | Reference Period | Reference Period | Reference Period | Report Period | | Number | Rate |
| Overall ACSI Score for Period | | | | | Wgt. ACSI | | |
| Number Eligible for the Survey | | | | | Total Eligible | | |
| Number of Completed Participant Surveys | | | | | Compl. Surveys | | |
| Number in the Sample | | | | | No. in Sample | | |
| 9b. Employer Satisfaction | Reference Period | Reference Period | Reference Period | Report Period | | | |
| Overall ACSI Score for Period | | | | | Wgt. ACSI | | |
| Number Eligible for the Survey | | | | | Total Eligible | | |
| Number of Completed Employer Surveys | | | | | Compl. Surveys | | |
| Number in the Sample | | | | | No. in Sample | | |
| 9c. Host Agency Satisfaction (SCSEP only) | Reference Period | Reference Period | Reference Period | Report Period | | | |
| Overall ACSI Score for Period | | | | | Wgt. ACSI | | |
| Number Eligible for the Survey | | | | | Total Eligible | | |
| Number of Completed Employer Surveys | | | | | Compl. Surveys | | |
| Number in the Sample | | | | | No. in Sample | | |

## Section X - Employer Service Indicators

| Performance Measures | Last Three Reporting Quarters: 3rd Qtr Prior | 2nd Qtr Prior | 1st Qtr Prior | Current Qtr: Report Qtr | Cumulative Totals: Number | |
|---|---|---|---|---|---|---|
| | Reference Period | Reference Period | Reference Period | Report Period | | |
| 10a Total Employers Served | | | | | | |
| 10b Total Job Openings Listed | | | | | | |
| 10c Total Federal Contractors Served | | | | | | |
| 10d Total Federal Contractor Job Openings Listed | | | | | | |
| | | | | | | |

## Section XI - Report Certification / Additional Comments

| | |
|---|---|
| 11a. | 11b. **ETA Accepted By:** |
| 11c. | |
| 11d. | |
| 11e. **Name:** **Phone:** **Email:** | 11f. **Date Certified:** |

Note: Only shaded cells are to be reported by the states after the first new form (unless corrections are needed to previously reported data).

# APPENDIX D

# GUIDANCE ON CAPTURING CUSTOMER SATISFACTION RESULTS

# Using the American Customer Satisfaction Index to Measure Customer Satisfaction

## A. Overview of Measurement Approach

The Employment and Training Administration (ETA) will use the American Customer Satisfaction Index (ACSI) to meet the customer satisfaction measurement needs of the Workforce Investment Act (WIA), the Wagner-Peyser Act, and the Senior Community Service Employment Programs (SCSEP). The survey approach that will be utilized allows grantees flexibility and, at the same time, captures common customer satisfaction information that can be aggregated and compared at a grant recipient, state, regional and national levels. This will be done through the use of a small set of required questions that will form a customer satisfaction index. ETA will use the ACSI, which is created by combining scores from three specific questions that address different dimensions of customers' experience.

The ACSI is a widely used customer satisfaction measurement approach. It is used extensively in the business community, including at over 150 Fortune 500 companies, and in many European countries. Twenty-nine agencies of the Federal government have used the ACSI. 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 grantees' progress toward continuously improving in performance.

Since the ACSI trademark is proprietary property of the University of Michigan and the Claes Fornell International Group (CFI), ETA established a license agreement with the University of Michigan that will allow grant recipients the use of the ACSI for a statewide sample of participants and employers.

It is worthwhile to note that WIA state grantees may use the ACSI questions and approach to measure satisfaction with WIA services at the local board level if individual license agreements are purchased from CFI and the ACSI questions and measurement approach are uniformly administered throughout the state. States using the ACSI methodology to measure local board performance are not required to conduct separate statewide customer satisfaction surveys to obtain State level WIA customer satisfaction results as long as:

- the surveys are administered by telephone,
- respondents are contacted within the window of opportunity outlined for participants and employers, at least 500 surveys are completed statewide for each group -- participants and employers,
- the surveys comply with the methodology spelled out in this guidance, and
- the Local Board results can be weighted to account for sampling differences, if appropriate, and aggregated to obtain state level outcomes.

WIA state grantees should refer to Training and Employment Guidance Letter (TEGL) No. 6-00 and TEGL No. 6-00, Change 1, for information on purchasing licenses to use the ACSI methodology to measure satisfaction at the local level. State grantees following this guidance may aggregate local outcomes to obtain State level outcomes on the customer satisfaction measures. These aggregated results will be reported in the quarterly reports.

### B. Wagner-Peyser Act Job Seeker and WIA Participant Customer Satisfaction Measures

The weighted average of job seeker/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?

*Wagner-Peyser Act Job Seekers*

All registered job seekers of labor exchange services who exit services are eligible to be chosen for inclusion in the random sample. As the population of job seekers registering with the labor exchange is different from the population of participants exiting WIA and SCSEP services, a separate survey is required to adequately gauge the satisfaction of job seeker customers.

*WIA Title I-B Participants*

WIA Title I-B participants who exit services are eligible to be chosen for inclusion in the random sample. WIA Title I-B participants include individuals who are either adults, dislocated workers, older youth (ages 19-21), and younger youth (ages 14-18). All individuals from all WIA formula funding streams in an exit cohort are eligible to be chosen for inclusion in the random sample.

#### 2. How Many (Number to be Surveyed)?

State grantees may randomly sample individuals to obtain the desired number of completed surveys. States are required to determine the appropriate sample sizes and sampling percentages using the required response rates and the required number of interviews. Five hundred completed job seeker/participant surveys must be obtained each year for each group (Wagner-Peyser Act and WIA) for calculations of the measures. Job seekers/participants should be contacted within 60-90 days of the date of exit. A completed survey is defined as a survey in which all three questions regarding overall satisfaction have been answered. 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 includes: 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.

As with other data collected on the receipt of services by job seekers/participants, the responses to the customer satisfaction surveys must be held confidential as required by applicable State law. Before promising respondents confidentiality of results, States must ensure that they have legal authority for that promise. Such authority can be found in State privacy laws, for example.

To ensure ACSI results for individuals are collected in a consistent and uniform manner, procedures used by States to obtain job seeker/participant customer satisfaction information must satisfy the following criteria:

- Customer satisfaction responses must be collected by way of telephone interviews. In-person interviews and mail questionnaires may be used only in situations where the individual does not have a telephone.

- Job seekers/participants should be contacted within 60 days after the 90 days have elapsed since the last service date (exit criteria).

- States must complete a minimum of 500 surveys for each group (Wagner-Peyser Act job seekers and WIA participants) during the year to accurately assess performance on the ACSI.

- If sampling is used, States must randomly select individuals to obtain the desired number of completed surveys. The sampling methodology used to select potential respondents for the surveys must ensure the consistent random selection of a sample of individuals eligible for the surveys. With this in mind, no individual in a group eligible for the survey may be arbitrarily excluded from a sample.

  States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews.

- The minimum response rate is 70%. The response rate is calculated as the number of respondents with *complete* customer satisfaction information divided by the total number in the sample. A survey is considered *complete* where valid answers are provided by respondents for each of the core questions outlined by ETA.

- Attempts must be made to contact all exiters in the samples to avoid introducing bias. It is very important that all records for individuals eligible for the surveys be entered in a timely fashion into the management information system databases. The information in these databases will be used to develop lists of individuals who received services that are the subject of the surveys. Samples must be drawn on at least a monthly basis. Also, procedures used to draw a sample must conform to accepted statistical practices, such as using a table of random numbers.

- Every precaution must be taken to prevent a response bias.

- The *core question(s)* and survey approach used by States to collect customer satisfaction information must be uniformly applied throughout the State.

- States must use the minimum core customer satisfaction questions specified by ETA in collecting and reporting satisfaction outcomes. These mandatory items should be located at the beginning of the questionnaire. States may include other questions about the service experience.

- Potential respondents must be told that responding to the survey is voluntary and that the information they provide will be kept confidential. However, States must not make any assurances regarding confidentiality without ensuring that they have the legal authority to make such assurances.

- States must create a process for creating an up-to-date customer list, capturing information on each customer's address and telephone number.

- Local staff must inform the customer during the registration process about the importance of satisfying customers and the possibility of being contacted for information on his or her experience with the services. Customers must be told the survey is voluntary and that responses are considered confidential. However, States must not make any assurances regarding confidentiality without ensuring that they have the legal authority to make such assurances.

- The interview should be limited to 15 minutes or less. Shorter questionnaires produce better response rates when compared to longer questionnaires.

- A minimum of five follow-up attempts is required, involving various times of the day before closing the record.

- Local staff should collect alternate contact information from a person known by the customer who would know the whereabouts of the customer in the event the customer cannot be reached at the address and telephone number recorded for the customer.

- A letter in advance of the survey should be sent out informing the customer that he or she can expect to receive a telephone call about his or her satisfaction with the services. States should place a phone number on the letter, suggesting that customers call if they need help or call if their home phone numbers changed.

### 4. When to Conduct Surveys?

The surveys should be conducted on a rolling basis within the window of opportunity time frame. To obtain sufficient numbers, smaller States will need to survey on an ongoing basis. Job seekers/participants should be contacted within 60 days after the 90 days have elapsed since the last service date.

### 5. What are the Core Questions?

The following introductory statement and core ACSI questions are to be read to the respondent at the beginning of the interview[1]. The introductory script sets the context for the interview by focusing the interview on the service experience, date(s) of service, and the firm(s) or organization(s) delivering the service(s). In addition to contact information, the survey administrators will need to know the service(s) provided to each customer, the date(s) of service, and the firm(s) providing the service(s) in order to complete the interviews. The service(s) should be worded in terms recognizable to the customer.

*[Introductory Script]*

My name is (interviewer) with (firm or agency) and I am conducting a survey for the (program name). I would like to speak to Ms./Mr. (name of participant).

Are you the Ms./Mr. (name of participant) who received a (name of service(s)) from the ____________ on (date or date range)? [IF THE RESPONDENT CONFIRMS PARTICIPATION, PROCEED WITH THE INTERVIEW. IF NO, END THE INTERVIEW AND THANK THE RESPONDENT FOR HIS OR HER TIME.]

I would like to ask you some questions about your recent experience with the services provided to you. Our purpose is to learn from you how to improve programs and services offered to people. The survey was approved by the Office of Management and Budget under OMB Control No. 1205-XXXX, expiring XX/XX/XXXX to collect information on your experience with services we provide to individuals. Without this approval, we would not be able to conduct this survey. The questionnaire is voluntary and should take no longer than 15 minutes to complete.

Please know the answers you provide to my questions will be kept confidential. If you have any questions regarding this estimate or any other aspect of this data collection, including suggestions for reducing this burden, send them to the U.S. Department of Labor, Office of _____________, Room S-4231, Washington, D.C. 20210 (Paperwork Reduction Project 1205-XXXX). Do you have any questions for me before we start the interview? [IF NO, CONTINUE. IF YES, PROBE TO UNDERSTAND THE QUESTIONS, PROVIDE ANSWERS AND RESTATE THE IMPORTANCE OF THE RESPONDENT'S PARTICIPATION IN THE INTERVIEW.]

[1] 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.

*[The Questions]*

First, I want you to rate your overall experience with the services. I will read to you three statements and ask you to rate your experience.

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

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

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

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

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? A 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 |

## C. Measuring SCSEP Participant and Host Agency Customer Satisfaction

*Participants*

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.

*Host Agencies*

The weighted average of host agency 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.

---

[2] DK = Don't Know

[3] REF = Refused to Answer

## 1. Who Will Be Surveyed?

*Participants*

All SCSEP participants who exit services are eligible to be chosen for inclusion in the random sample of records. Since the population of participants receiving SCSEP services is different from the population of participants exiting labor exchange and WIA services, a separate survey is required to adequately gauge the satisfaction of participants.

*Host Agency Contacts*

Host agencies are public agencies, units of government and non-profit agencies that provide employment and related services to SCSEP participants. All active host agencies are eligible for inclusion in the survey.

## 2. How Many (Number to be Surveyed)?

Two hundred and fifty completed surveys should be obtained each year for each SCSEP population group eligible for the survey for each national and state grantee. It is anticipated that a sample of 370 individuals will yield 250 completed interviews at a 70% response rate. In the event the number eligible for the survey is small (where 250 completed interviews are not attainable), attempts should be made to contact all individuals.

## 3. How (methodology)?

The responses are obtained using a uniform mail methodology. The rationale for using mail surveys includes: individuals who have a substantial relationship with program operators (like those in the SCSEP) are highly likely to respond to a mail survey; mail surveys are less expensive when compared to other approaches; and mail surveys are easily and reliably administered to potential respondents.

As with other data collected on the receipt of services by participants, the responses to the customer satisfaction surveys must be held confidential as required by applicable State law. Before promising respondents confidentiality of results, grantees must ensure that they have legal authority for that promise. Such authority can be found in State privacy laws, for example.

To ensure ACSI results for individuals are collected in a consistent and uniform manner, the following standard procedures are to be used by grantees to obtain participant and host agency customer satisfaction information:

- Provide counts of host agencies (required for first year of survey only) to ETA's survey research contractor, the Charter Oak Group. The contractor will use this information for determining sample sizes, if appropriate. The details of sampling will be provided in a separate document. However, as with WIA there may be smaller states and national grantees where 250 will not be achievable. In such cases, no sampling will take place and the grantee will survey the population.

- Grantees should ensure sub-grantees notify customers of the customer satisfaction survey and the potential for being selected for the survey.

    - Inform participants at the time of enrollment and exit.

    - Inform host agencies at the time of assignment of a participant.

    - Inform participants and host agencies through all interactions during the two months prior to survey mailing.

    - When discussing the surveys with participants for any of the above reasons, refresh contact information, including mailing address.

- Grantees should ensure sub-grantees prepare pre-survey letters to those participants selected for the survey.

    - Grantees will provide a list of names at least 3 weeks prior to the date of the mailing of the surveys.

    - Letters should be personalized using a mail merge function and a standard text.

    - Each letter should be printed on the sub-grantee's letterhead and signed in blue ink by the sub-grantee's director.

- Grantees are responsible for the following activities:

    1. Compile sub-grantee databases, draw sample, and create survey databases.

    2. Provide sub-grantees with list of participants to receive pre-survey letters.

        - Print cover letters for first mailing of survey.

        - Select signatory from list provided and obtain that individual's permission for first mailing and follow-up mailings.

        - Obtain sufficient quantities of letterhead for first and second mailings.
        - Personalize letters for first mailing using mail merge function if at all possible.

        - Each letter should be printed on the signatory's letterhead and signed in blue ink with the signatory's signature.

    3. Generate mailing labels.

    4. Enter preprinted survey number into database for each customer.

5. Assemble survey mailing packets: cover letter, survey, and stamped reply envelope.

6. Mail surveys on designated day. Enter date of mailing into database.

7. Send survey database to the Charter Oak Group.

8. Receive list of customers who responded to first mailing and generate list for second mailing.

9. Print second cover letter using mail merge function and standard text (different text from the first letter). Letters should be personalized as in the first mailing.

10. Enter preprinted survey number into database for each customer to receive second mailing.

11. Assemble second mailing packets: cover letter, survey, stamped reply envelope.

12. Mail surveys on designated day. Enter date of mailing into database.

13. Send survey database to the Charter Oak Group.

14. Repeat tasks 7-12 if third mailing is required.

## 5. What are the Core Questions?

The required questions to be included in the mail surveys for participants and host agencies are detailed below.

Utilizing a scale of 1 to 10 where a 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 |

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

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

[4] DK = Don't Know

[5] REF = Refused to Answer

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? A 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 |

## D. Measuring One-Stop Employer Customer 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?

*One-Stop Employers*

Those eligible for surveying include employers who have received a substantial 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 substantial 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 financial assistance 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. At least 500 completed interviews are required for the employer survey for calculation of the indicator. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews. The sampling percentage should be constant over time to avoid under-representing or over-representing time intervals. A completed employer survey is

[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.

defined as a survey in which all three questions regarding overall satisfaction have been answered. 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.

As with other data collected on the receipt of services by employers, the responses to the customer satisfaction surveys must be held confidential as required by applicable State law. Before promising respondents confidentiality of results, States must ensure that they have legal authority for that promise. Such authority can be found in State privacy laws, for example.

To ensure ACSI results for individuals are collected in a consistent and uniform manner, procedures used by States to obtain employer customer satisfaction information must satisfy the following criteria:

- Employer customer satisfaction responses must be collected by way of telephone interviews. In-person interviews and mail questionnaires may be used only in situations where the individual does not have a telephone.

- Employer customers should be contacted as soon as possible after the completion of the service and no later than 60 days after the completion of the service. For employers who listed a job order where no referrals were made, contact should occur 30 to 60 days after the job order was listed.

- States must complete a minimum of 500 employer surveys during the program year to accurately assess performance on the ACSI.

- If sampling is used, States must randomly sample employers to obtain the desired number of completed surveys. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews.

- The sampling methodology used to select potential respondents for the surveys must ensure the consistent random selection of a sample of individuals or employers eligible for the surveys. With this in mind, no individual in the employer group eligible for the survey may be arbitrarily excluded from a sample. Procedures used to draw a sample must conform to accepted statistical practices, such as using a table of random numbers. Employer samples must be drawn on at least a monthly basis.

- The minimum response rate for employer survey is 70 percent. The response rate is calculated as the number of respondents with *complete* customer satisfaction information divided by the total number in the sampling frame. A survey is considered *complete* where valid answers are provided by respondents for each of the core questions outlined by ETA.

- Attempts must be made to contact all eligible employers in the samples to avoid introducing bias.

- It is very important that all records for eligible employers be entered in a timely fashion into the databases. The information in these databases will be used to develop lists of employers who received services that are the subject of the surveys. Every precaution must be taken to prevent a response bias.

- The *core question(s)* and survey approach used by States to collect customer satisfaction information must be uniformly applied throughout the State.

- States must use the minimum core customer satisfaction questions specified by ETA in collecting and reporting satisfaction outcomes. These mandatory items should be located at the beginning of the questionnaire. States may include other questions about the service experience.

- Respondents must be told that responding to the survey is voluntary and that the information they provide will be kept confidential. However, States must not make any assurances regarding confidentiality without ensuring that they have the legal authority to make such assurances.

- States must create a process for creating an up-to-date customer list, capturing information on each customer's address and telephone number.

- Local program staff must inform the customer during the service application process about the importance of satisfying customers and the possibility of being contacted for information on his or her experience with the services. Customers must be told the survey is voluntary and that responses are considered confidential.

- The interview should be limited to 15 minutes or less. Shorter questionnaires produce better response rates when compared to longer questionnaires.

- A minimum of five follow-up attempts is required, involving various times of the day before closing the record.

- Local programs should collect alternate contact information from a person known by the customer who would know the whereabouts of the customer in the event the customer cannot be reached at the address and telephone number recorded for the customer.

- A letter in advance of the survey should be sent out informing the customer that he or she can expect to receive a telephone call about his or her satisfaction with the services. States should place a phone number on the letter, suggesting that customers call if they need help or call if their phone numbers changed.

### 4. When to Conduct Surveys?

The surveys should be conducted on a rolling basis within the window of opportunity time frame. 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 Core Questions?

The following introductory statement and core ACSI questions are to be read to the respondent at the beginning of the interview[8]. The introductory script sets the context for the interview by focusing the interview on the service experience, date(s) of service, and the firm(s) or organization(s) delivering the service(s). In addition to contact information, the survey administrators will need to know the service(s) provided to each customer, the date(s) of service, and the firm(s) providing the service(s) in order to complete the interviews. The service(s) should be worded in terms recognizable to the customer.

*[Introductory Script]*

My name is (interviewer) with (firm or agency) and I am conducting a survey for the (program name). I would like to speak to Ms./Mr. (name of employer contact).

Are you the Ms./Mr. (name of contact) who received a (name of service(s)) from the on (date or date range)? [IF THE RESPONDENT CONFIRMS PARTICIPATION, PROCEED WITH THE INTERVIEW. IF NO, END THE INTERVIEW AND THANK THE RESPONDENT.]

I would like to ask you some questions about your recent experience with the services provided to your business. Our purpose is to learn from you how to improve programs and services offered to area businesses. The survey was approved by the Office of Management and Budget under OMB Control No. 1205-XXXX, expiring XX/XX/XXXX to collect information on your experience with services we provide to employers. Without this approval, we would not be able to conduct this survey. The questionnaire is voluntary and should take no longer than 15 minutes to complete.

Please know the answers you provide to my questions will be kept confidential. If you have any questions regarding this estimate or any other aspects of this collection, including suggestions for reducing this burden, send them to the U.S. Department of Labor, Office of ___________, Room S-4231, Washington, D.C. 20210 (Paperwork Reduction Project 1205-XXXX). Do you have any questions for me before we start the interview? [IF NO, CONTINUE. IF YES, PROBE TO UNDERSTAND THE QUESTIONS, PROVIDE ANSWERS AND RESTATE THE IMPORTANCE OF THE RESPONDENT'S PARTICIPATION IN THE INTERVIEW.]

[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.

*[The Questions]*

First, I want you to rate your overall experience with the services. I will read to you three statements and ask you to rate your experience.

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[9] | |
| REF[10] | | | | | | | | | | | |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |

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

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

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? A 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 |

## E. Measuring SCSEP Employer Customer 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?

Employers who hire SCSEP participants and employ them in unsubsidized jobs. To be considered eligible for the survey, the employer: 1) is not also a host agency; and 2) has had substantial contact with the sub-grantee in connection with placing the participant; and 3) has not accepted another placement in this program.

[9] DK = Don't Know

[10] REF = Refused to Answer

2. **How Many (Number to be Surveyed)?**

Two hundred and fifty completed surveys should be obtained each year for each national and state grantee. In the event the number eligible for the survey is small (under 250), attempts should be made to contact all eligible employers.

3. **How (methodology)?**

The responses are obtained using a uniform mail methodology. The rationale for using mail surveys includes: individuals who have a substantial relationship with program operators (like those in the SCSEP) are highly likely to respond to a mail survey; mail surveys are less expensive when compared to other approaches; and mail surveys are easily and reliably administered to potential respondents.

As with other data collected on the receipt of services by participants, the responses to the customer satisfaction surveys must be held confidential as required by applicable State law. Before promising respondents confidentiality of results, grantees must ensure that they have legal authority for that promise. Such authority can be found in State privacy laws, for example.

To ensure ACSI results for individuals are collected in a consistent and uniform manner, the following standard procedures are to be used by grantees to obtain participant and host agency customer satisfaction information:

- Provide counts of employers (required for first year of survey only) to ETA's survey research contractor, the Charter Oak Group. The contractor will use this information for determining sample sizes, if appropriate. The details of sampling will be provided in a separate document. However, as with WIA there may be smaller states and national grantees where 250 will not be achievable. In such cases, no sampling will take place and the grantee will survey the population.

- Grantees should ensure sub-grantees notify customers of the customer satisfaction survey and the potential for being selected for the survey. Employers should be informed at the time of placement of the participant.

- Grantees and sub-grantees are responsible for the following activities:

    1. Grantee sends sub-grantees a supply of surveys and stamped reply envelopes.

    2. Sub-grantee identifies employer for surveying the first time there is a placement with that particular employer in the program year. Employer is selected only if it is not also a host agency **and** the sub-grantee has had substantial communication with the employer in connection with the placement. Employer is surveyed only once each year.

    3. Sub-grantee generates cover letter to employer using mail merge function and standard text. Letter is printed on sub-grantee's letterhead and signed in blue ink by sub-grantee's director.

    4. Sub-grantee enters preprinted survey number into database.

5. Sub-grantee delivers survey packet (cover letter, survey, stamped reply envelope) to employer contact in person at time of 30-day follow-up (Follow-up 1).

6. Sub-grantee enters date of delivering packet into database.

7. Sub-grantee sends notification to grantee that survey has been delivered: employer name, survey number, date of delivery.

8. The contractor sends weekly e-mail to all grantees and sub-grantees listing numbers of all employer surveys that have been completed. Sub-grantee reviews e-mails for three weeks following the delivery of the survey to determine if survey was completed.

9. If completed survey received by the contractor, sub-grantee updates database with date. If survey not received, sub-grantee calls employer contact and uses an appropriate script to either encourage completion of the first survey (if the employer still has it) or indicate that it will send another survey for completion.

10. If needed, sub-grantee generates second cover letter using same procedures as for first cover letter.

11. Sub-grantee enters preprinted survey number into database.

12. Sub-grantee assembles survey packet (cover letter, survey, return envelope) and mails to employer contact.

13. Sub-grantee enters date of mailing into database.

14. Sub-grantee sends notification to grantee that survey has been delivered: employer name, survey number, date of delivery.

15. Sub-grantee reviews e-mails from vendor for three weeks following the mailing of the second survey (or the employer's assurance that it will complete the original survey) to determine of survey has been completed.

16. If survey received, sub-grantee updates database with date.

17. If third mailing needed, sub-grantee repeats steps 9-16.

18. Grantee monitors process to make sure that all appropriate steps have been followed and to advise sub-grantee if third effort at obtaining completed survey is required.

19. At end of quarter, grantee sends to Charter Oak Group the database for all employers surveyed in the quarter. This database will be generated by the data collection system.

## 5. What are the Core Questions?

The required questions to be included in the mail surveys for employers are detailed below.

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

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

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

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

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? A 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 |

## F. 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 in the sample who are contacted and respond to the core questions on the survey.

## G. Calculation of the ACSI

The ACSI scores represent the weighted sum of the three ACSI questions' values which are transformed into 0 to 100 scale value. The weights are applied to each of the three questions to account for differences in the characteristics of the State's customer groups.

[11] DK = Don't Know

[12] REF = Refused to Answer

For example, assume the mean values of three ACSI questions for a state are:

1. Overall Satisfaction = 8.3
2. Met Expectations = 7.9
3. Compared to Ideal = 7.0

Then, these mean values from raw data must first be transformed to the value on a 0 to 100 scale. This is done by subtracting 1 from these mean values, dividing the results by 9 which is the value of range of a 1 to 10 raw data scale, and multiplying the whole by 100:

1. Overall Satisfaction = (8.3 - 1)/9 x 100 = 81.1
2. Met Expectations = (7.9 - 1)/9 x 100 = 76.7
3. Compared to Ideal = (7.0 - 1)/9 x 100 = 66.7

The ACSI score is calculated as the weighted averages of these values. Assuming the weights for the example state are 0.3804, 0.3247 and 0.2949 for questions 1, 2 and 3, respectively, the ACSI score for the state would be calculated as follows:

(0.3804 x 81.1) + (0.3247 x 76.7) + (0.2949 x 66.7) = **75.4**

Weights were calculated by a statistical algorithm to minimize measurement error or random survey noise that exists in all survey data. State-specific weights were calculated using the relative distribution of ACSI respondent data for non-regulatory Federal agencies previously collected and analyzed by CFI and the University of Michigan.

Specific weighting factors have been developed for each State. New weighting factors will be published annually.

## H. INAP Terminee Satisfaction Survey/Questionnaire

Section 166 grantees may select *Terminee Satisfaction* as one of the three measures from the menu of 13 optional measures for the program year. If this measure is chosen, the grantee must develop and submit to the Department of Indian and Native Program (DINAP) in its Comprehensive Services Plan a copy of the questionnaire to be used for that program year.

### 1. Who Will Be Surveyed?

INAP participants who exit the program.

### 2. How Many (Number to be Surveyed)?

All INAP participants who exit the program during the program year.

### 3. How (methodology)?

In order to give INAP grantees maximum flexibility in capturing customer satisfaction information, DINAP will allow grantees to customize the questionnaires to best identify the types of services provided by the program for their clients' needs. A grantee may ask as many questions as necessary to find the overall results. However, the questionnaires must be designed to determine overall satisfaction with program services provided by the grantee to those who terminated from the program during or at the end of the program year.

To meet the minimum requirement for the INAP customer satisfaction measure, at least 66% of those who respond to the survey must indicate that they were satisfied with the program services they received. Grantees are responsible for selecting the approach for administering the questionnaires (mail, face-to-face interview, telephone, etc.). It is the responsibility of each grantee to solicit a 75% response rate from all exiters that are served in the program year. The response rate is calculated as the number of respondents divided by the total number of exiters eligible for the survey.

### 4. When to Conduct Surveys?

The surveys may be conducted on a rolling basis as participants exit services or may be conducted at the end of the program year.

### 5. What is the Core Question?

INAP grantees are responsible for creating the question and response category to determine overall satisfaction. For accountability purposes, ETA and the Advisory Council recommend, at a minimum, that INAP exiters be asked the following question:

*Overall, considering all of the expectations you may have had about the services, how satisfied are you with the services you received?*

| | |
|---|---|
| _____ *Very satisfied* | _____ *Dissatisfied* |
| _____ *Satisfied* | _____ *Very dissatisfied* |