

U.S. Department Of Labor Employment And Training Administration Office of Apprenticeship Training, Employer and Labor Services (OATELS) Washington, D.C. 20210	<u>Distribution:</u> A-541 Headquarters A-546 All Field Staff A-547 SD+RD+SAC; Lab. Com.	<u>Subject:</u> Program Guidance Memorandum BAT Goals and Objectives for Fiscal Year 1999 <u>Code:</u> 503
Symbols: TWA:DP		Action: Immediate

PURPOSE: To provide all Bureau staff with the goals and objectives established for Fiscal Year 1999. These goals and objectives are to be used in developing work plans, performance standards and performance measures.

BACKGROUND: Fiscal Year 1999 is expected to be another challenging and eventful year for BAT and its staff. Under the guidance of the Senior Leadership Team and using the input of our Priority Teams, we will again be involved in a number of high priority activities to develop processes and planning that will permit us to more effectively fulfill our program mission within continued budget constraints. While some of our Priority Teams continue their work, our core services must not be ignored. In collaboration with State Apprenticeship Councils/Agencies and other workforce development system stakeholders, BAT will develop strategies to collect and validate baseline data during FY 1999 and track activities related to the Child Care initiative.

An important component of Fiscal Year 1999 planning is the Government Performance Results Act of 1993 (GPRA) and its related requirements. This Act mandates the development of strategic plans which outline goals and the measures used to determine the results of the agency's activities. ETA has developed a Strategic Plan for Fiscal Years 1997 through 2002. Apprenticeship services are integrated with other workforce development programs and initiatives.

This fiscal year, BAT program priorities and objectives will again be focused on the following general areas nationally, by region, and by state:

- ! Expand apprenticeship, including the Child Care Initiative.
- ! Improve equal employment opportunities.
- ! Improve program quality, including retention and wage rate at registration.

REPORTING: It is important that all regional offices report in a timely, consistent and accurate manner. At this time, the Apprenticeship Information and Management System (AIMS) is the official apprenticeship database. All GPRA data items being tracked should be available in AIMS. In preparation for the quarterly reports, all AIMS input should be entered into AIMS no later than the **5th day** after the end of each quarter. OMIS has agreed to run the quarterly reports on the first weekend after the **5th day** of the quarter. PGM/GPRA data and narrative reports should be electronically transmitted via E-mail to the National Office by the **20th day** after the end of each quarter. Guidelines for data format reporting will follow.

ACTION: BAT staff members at all levels are expected to become familiar with the goals and objectives provided in the attachment to this circular. In collaboration with State Apprenticeship Agencies/Councils and other workforce development system stakeholders, the BAT Regional/State Directors will identify State-by-State data on the number of apprentices, retention, wages, and other measures/indicators for FY 1999. The Regional Directors will also identify Regional baseline data related to the above measures. All regions will provide the National Office with the required data elements and supporting narratives by the **20th day** after the end of each quarter. Regional and State FY 1999 Performance Standards should be based upon consideration of these goals, objectives and requirements in accordance with ETA/BAT Strategic Plan for FY 1997 - FY 2002. Our performance in meeting these goals and objectives may well pave the way for BAT=s future. All State Directors are to share this document with their respective SAC and/or Labor Commissioner.

The ETA Strategic Plan is being modified to reflect the requirements of the Workforce Investment Act (WIA) and any changes will again be shared with staff in the near future.

Attachment

EMPLOYMENT AND TRAINING ADMINISTRATION'S STRATEGIC GOALS FOR FY 1999

The GPRA Strategic Plan, submitted to Congress in September 1997, outlined six strategic goals. The FY 1999 Annual Performance Plan consolidates those goals into three strategic goals which track the Department of Labor's revised strategic goals. These goals support the Secretary's vision, facilitate increased coordination and foster greater cohesion within ETA and the Department.

The three *strategic goals* described in the Performance Plan *will replace* the six strategic goals outlined in the ETA Strategic Plan, which will be modified accordingly. Through these strategic goals, ETA staff and the American public can see a direct link between ETA's purpose and its activities.

- § *A Prepared Workforce: Enhance opportunities for America's Workforce.*
- § *A Secure Workforce: Promote the economic security of workers and families.*
- § *Quality Workplaces: Foster quality workplaces that are safe, healthy, and fair.*

Each of these three cross-cutting goals has associated *outcome goals*. ETA programs are now arrayed under these three strategic goals and the respective new outcome goals which track the Department's outcome goals.

A Prepared Workforce

- < *Increase employment, earnings and assistance.*
- < *Assist youth in making the transition to work.*
- < *Provide information and tools about work.*
- < *Provide information and analysis on the U.S. economy.*

A Secure Workforce

- < *Protect worker benefits.*
- < *Provide worker retraining.*

Quality Workplaces

- < *Support a greater balance between work and family.*

The ETA Management Goal also reflects the Department's Management Goal, which is to maintain a strategic management process that links strategic program planning, resource, allocation, and accountability.

GOALS AND OBJECTIVES FISCAL YEAR 1999

Goals and Objectives: In accordance with the ETA Strategic Plan, BAT will focus on Outcome Goals 1.1 and 3.3 which maximize employment opportunities and earnings for youth and adults and support a greater balance between work and family. The goals and objectives for FY 1999 include:

Developing Annual Plans that are consistent with the requirements of the ETA/BAT Strategic Plan for FY 1997 - 2002.

Continuing activities to expand apprenticeship opportunities, including the Child Care Initiative, for American workers in the local area that is consistent with ETA/BAT Strategic Plan for FY 1997-FY 2002; (ETA Outcome Goals 1.1 and 3.3).

Expanding opportunities for women and minorities to increase the participation rate to achieve parity in the work force; (ETA Outcome Goal 1.1).

Improving the quality of apprentice training by improving the retention rate, including the national average wage rate at registration, and other quality measures; (ETA Outcome Goal 1.1).

GOAL I: Expand Apprenticeship.

In collaboration with State Apprenticeship Agencies/Councils and other workforce development system stakeholders, BAT will conduct activities to increase participation in registered apprenticeship programs, and increase apprentice registrations. A priority initiative will be to facilitate the development of a Statewide Child Care System modeled after the West Virginia Model or other successful child care models.

The increase over the FY 1998 baseline for apprenticeship programs is 2% (from 41,574 to 42,405), and for registered apprentices it is 1% (from 411,150 to 415,261). For the Child Care Initiative, the goal is to facilitate the initial development of Statewide systems. (Incorporates ETA Outcome Goals # 1.1 and 3.3).

Objectives: An Annual Plan shall be developed for implementation in FY 1999 to expand apprenticeship opportunities for youth and adults. The plan shall include information in support of national, regional and state goals; promote the expansion of opportunities for youth and adults in apprenticeship; and provide strategies designed to expand program registrations by 2%, apprentice registrations by 1%, and to facilitate the development of Statewide Child Care Systems.

1. The Annual Plan should include strategies designed to address the Department, ETA and BAT goals. This Plan should contain detailed information from each State that includes a narrative of planned goal objectives related to the expansion of apprenticeship services, crosscutting linkages, and information on BAT/SAC partnership activities where appropriate.

The Child Care Initiative should include the strategies to facilitate the development of a State consortium of representatives from the child care industry and government entities that have direct association with this industry for the exchange of the most current information on child care, and to establish and maintain working relationships with the consortium. Also include the strategies for the working relationship crosscutting linkages and the technical assistance to facilitate or develop other workforce development activities related to creating a statewide system for child care.

2. Through the utilization of current labor market information and linkages with State Occupational Informational Coordinating Committees (SOICCs), industry, labor/management organizations, economic development agencies, workforce investment boards, and employment service agencies, States will match current and projected needs by occupation. The Plan should include efforts being undertaken to target promotional initiatives designed to address the needs as resources permit.
3. The Plan should include information detailing strategies being developed to target **new and/or growth occupations and/or new or emerging industries in support of apprenticeship and corresponding new apprentices**. Plans should identify targeted occupations and industries and describe how marketing activities in conjunction with workforce development strategies will be utilized.
4. Plans should describe how intended strategies will address efforts to expand program registration, apprentice registration and the special emphasis of the Child Care Initiative. The Plan should also describe how incremental increases of the desired goals, including targeted occupations and/or industries, new programs and apprentices, and the Child Care Initiative will be reported.

OUTPUT RESULTS MEASURES:

1. An Annual Plan, including a plan for expansion, will be submitted and approved by the immediate supervisor at all levels. The Regional Plan is due in the National Office by **March 5, 1999**. The Regional Plan should include an overview of the Region's economic profile and its resources, including BAT/SAC workloads and AIMS participation by SACs. Factors that might influence the region's goal attainment should also be included. The Regional Plan should include an overview of the Region's strategies for cross-cutting linkages and leverages. This Plan should have a summary of the States' plans grouping similar strategies related to the same objective or crosscutting plans among several objectives, when applicable. Strategies related to BAT/SAC partnerships should be highlighted. The Plan should include a table containing Regional and State-by-State EOP FY 1998 baseline measures, the percent increase, if applicable, and EOP FY 1999 numeric targets. Table elements are: registered programs and registered apprentices, and new programs and new registered apprentices. The National Office will only review the Regional Plan. The Region should review the output results/measures in the development of the nationwide plan.
2. Goal has been met when the narrative indicates how labor market information and coordination with State Occupational Informational Coordinating Committees (SOICCs), industry, labor/management organizations, economic development agencies, and other workforce investment boards were utilized to match current and projected needs by occupation as identified in the Regional/State plans.

3. Goal has been met when the narrative supports the Plan. The information should include a brief narrative in support of any incremental progress made in achieving the desired goal. It should describe how information has been tracked throughout FY 1999 in support of the strategies developed to target new and/or growth occupations and/or new and emerging industries. Numerical data should be reported in accordance with the established reporting formats and accompanying narratives should provide a brief and concise status on how successful the marketing activities were in conjunction with the workforce development strategies that were utilized.
4. Goal has been met when the narrative indicates incremental progress towards the achievement of the intended strategies to expand program registration by 2%, and apprentice registration by 1%. The incremental progress for new programs and apprentices should also be included. The narrative for the Child Care Initiative should contain information related to BAT's efforts and results in facilitating the statewide consortium and related working relationships and the crosscutting working relationship linkages developed and maintained to support the initiative.
5. Goal has been achieved when all identified objectives in the Annual Plan have been implemented in pursuit of the Goal and documented by the quarterly reporting requirements established for FY 1999.

The Regional quarterly report should consist of a regionwide overview describing the incremental progress and results attained in the Region's and States' Plans. Similar States' results should be grouped when applicable. Notable States' activities should be highlighted. Results related to BAT/SAC partnership activities should also be included. Include problems, their resolution, if applicable, and other adjustments made in attempts to meet the goal. All data related to the elements of the table should be updated throughout the four reporting quarters and linked to the narratives.

GOAL II: Improve Equal Employment Opportunities and diversity in apprenticeship.

Increase the number of women/minorities participation in apprenticeship programs by 1% over FY 1998. (Incorporates ETA Outcome Goal # 1.1)

Objective: The national average of women and minorities in apprenticeship is 8 and 27 percent, respectively. BAT will conduct an aggressive technical assistance campaign to increase the percentage of registered women and minorities by 1% over FY 1998 to achieve parity in the work force. During FY 1999, BAT will direct primary technical assistance emphasis to 5+ programs with women and minority participation rates that are less than the national average, taking into account the local labor force representation.

1. The Regional Plan should utilize the baseline data developed in FY 1998 to develop a list of all 5+ programs within the geographic area with women and/or minority participation rates that were less than the national/regional/state or local labor force representation. The list should reflect the numeric and percent goals for the Region and States. The scheduling of technical assistance activities, including Compliance Reviews should include BAT/SAC partnership activities where applicable.

2. Develop a plan to conduct comprehensive on-site EEO Compliance Reviews on those 5+ programs selected as resources permit. Review and assist sponsors with a history of deficiencies on a priority basis in revising AA plans and selection procedures, or engage in any other aggressive technical assistance activity or EEO training as appropriate.
3. Develop and maintain close and cooperative working relationships with SACs to promote compliance reviews, updates of AA plans, and selection procedures, and with the Women's Bureau, and minority and women= groups to promote and coordinate outreach activities with program sponsors.
4. Develop or assist in developing apprenticeship, pre-apprenticeship, school to apprenticeship, school to work, welfare to work, or any other workforce development activities directed specifically for targeting women, minorities, and youth.
5. Develop and report on prior years= targeted programs and any significant achievements accomplished based on technical assistance provided.
6. Implement strategies developed by the Priority Work Teams best practices techniques, as appropriate, to maximize and improve equal employment opportunities in apprenticeship.

OUTPUT RESULTS/MEASURES:

1. The Annual Plan, including a plan for diversity, will be submitted and approved by the immediate supervisor at all levels. The Regional Plan is due in the National Office by **March 5, 1999**. The Regional Plan should include an aggressive course of action designed to increase the utilization of women and/or minorities participation rates by at least 1% over FY 1998. The Regional Plan should include an overview of the Region's strategies for cross-cutting linkages and leverages. This Plan should have a summary of the State's Plans grouping similar strategies related to the same objective or crosscutting plans among several objectives, when applicable. Strategies related to BAT/SAC partnerships should be highlighted. The Plan should include a table or list reflecting the Region and State FY 1998 women and minority numerical and labor market participation rate baselines and the FY 1999 goals. The National Office will only review the Regional Plan. The Region should review the output results/measures in the development of the regionwide plan.
2. Goal has been achieved when the results of the plan to conduct comprehensive on-site EEO Compliance Reviews on those 5+ programs selected, as resources permit, indicate incremental progress towards the objective. The narrative should include the number of reviews, results of reviews and assistance provided to sponsors in revising AA plans and selection procedures, or results of any other aggressive technical assistance activity or EEO training conducted relative to achieving the desired results.
3. Goal has been met when results indicate that close and cooperative working relationships with SACs, other workforce development organizations, and minority and women's groups have been established. Incremental progress should address the results of the objective intended to promote enhanced compliance reviews, updates of AA plans, and selection procedures.

4. Goal has been met when linkages have been established with pre-apprenticeship, school to apprenticeship, school to work, welfare to work, or any other workforce development component, such as dislocated workers and out of school youth. Activities reported should reflect any efforts designed specifically to target women, minorities, and youth.
5. Goal has been met when the narrative indicates the results from the prior years' targeted programs and any significant achievements accomplished based on any technical assistance provided.
6. Goal has been met when procedures for standardizing compliance review formats developed by the Priority Work Teams as best practices techniques are implemented, as appropriate, to maximize and improve equal opportunity in apprenticeship.
7. Goal has been met when all identified objectives in the Annual Plan have been implemented in pursuit of the Goal and incremental progress has been documented in the quarterly reporting requirements.

The Regional quarterly report should consist of a regionwide overview describing the incremental progress and results attained in the Region's and States' Plans. Similar States' results should be grouped when applicable. Notable States' activities should be highlighted. Results related to BAT/SAC partnership activities should also be included. Include problems, their resolution, if applicable, and other adjustments made in attempts to meet the goal. The information and data related to this Objective should be updated throughout the four reporting quarters.

GOAL III: Improve Program Quality

Improve the quality of programs, and increase by 1% over FY 1998, the retention of apprentices and the national average wage at registration. (Incorporates ETA Outcome Goal 1.1).

Objective: Develop and implement technical assistance efforts in support of the National goal to improve the retention rate by 1% annually for selected industries and occupations, as specified in the plan, and increase the average national wage at registration by 1% over FY 1998 (\$8.11 to \$8.19).

1. Develop a list of all 5+ programs with a history of high cancellation/low retention rates.
2. Develop a plan to conduct on-site quality reviews on selected programs, as resources permit. Review and assist sponsors to revise, as appropriate, criteria to improve retention or engage in any other technical assistance activity identified in the Annual Plan specifically directed at improving the quality of these programs.
3. Develop procedures to verify the increase in FY 1999 in the average national wage at registration by 1% over Fiscal Year 1998 in AIMS.

4. Promote programs such as pre-apprenticeship, school to work, school to apprenticeship, welfare to work, and/or strategies identified in the ETA/BAT Strategic Plan and any other workforce development strategies directed specifically towards adults and youth that will improve quality and retention.
5. Develop and report on the progress of prior years' targeted programs with low retention rates and include any significant achievements accomplished based on technical assistance provided.
6. Develop and maintain close and cooperative working relationships with SACs, labor, management, education, and appropriate community-based organizations in order to impact the quality of education and training in the local area.

OUTPUT RESULTS/MEASURES:

1. An Annual Plan, including a plan for quality/retention, will be submitted and approved by the immediate supervisor at all levels. The Regional Plan is due in the National Office by **March 5, 1999**.

This Plan should include BAT/SAC partnership activities where applicable. The Plan should have a Regional overview and an overview of States= Plans summarizing and grouping the objectives of this goal, when applicable. The Table should contain a Regional and State-by-State breakdown of the baselines measures and targets of this goal.

2. Goal has been met when a list of all 5+ programs with a history of high cancellation/low retention rates has been developed.
3. Goal has been met when the narrative supports the efforts in the plan to conduct on-site Quality Reviews on selected programs, as resources permit. The narrative should indicate the results of reviews conducted designed to assist sponsors in the revisions, as appropriate, information on the results of criteria recommended to improve retention or the results of any other technical assistance activity identified in the Annual Plan specifically directed at improving the quality of these programs.
4. Goal has been met when the Fiscal Year 1999 entry wage rate data in AIMS is current, accurate, complete and timely.
5. Goal has been met when the narrative supports the efforts in the Plan designed to promote programs such as pre-apprenticeship, school to work, school to apprenticeship, welfare to work, and/or strategies identified in the ETA/BAT Strategic Plan and any other workforce development strategies directed specifically towards adults and youth that will improve quality and retention have been reported.
6. Goal has been met when the narrative supports the efforts in the Plan designed to develop and report on the progress of prior years' targeted programs with low retention rates and include any significant achievements accomplished as a result of any technical assistance provided.
7. Goal has been met when the narrative supports efforts designed in the Plan to develop and maintain close and cooperative working relationships with SACs, labor, management, education,

and appropriate community-based organizations to impact the quality of education and training in the local area.

8. Goal has been achieved when all identified objectives in the Annual Plan have been implemented in pursuit of the Goal and documented by quarterly reporting requirements.

The Regional Report should consist of a regionwide overview describing the incremental progress attained in the Regional's and States' Plans. The overview should summarize States' results and group these when applicable. Results related to BAT/SAC partnership activities should also be included. Include problems, their resolution, if applicable, and other adjustments made. Notable State(s) activities should be highlighted. The Table should contain a Regional and State-by-State breakdown of the baselines and targets for the measures of this goal. These should be updated throughout the four quarterly reports and linked to the narratives.

FY 99 ANNUAL STATE PLAN

GOAL I - EXPAND APPRENTICESHIP: Develop and track indicators that maximize employment opportunities for youth and adults by expanding program registrations by 2 percent over FY98 (EOP) program registrations and expanding apprentice registrations by 1 percent over FY98 (EOP) apprentice registrations. Priority Expansion Initiative - Facilitate the development of a Statewide Child Care System modeled after other successful child care systems.

GOAL II - IMPROVE EQUAL OPPORTUNITY: The State average of women and minorities in registered apprenticeship programs is ____ and ____ percent, respectively. During FY99, BAT will review and target programs with women and minority participation rates that are less than the National average of 8 and 27 percent, taking into account the State/local labor market area. BAT will conduct an aggressive technical assistance campaign, utilizing all available information/ products, including those developed by the Diversity Team, to increase the percentage of women and minorities in registered apprenticeship programs by 1 percent over FY98 (EOP) rates.

GOAL III - IMPROVE PROGRAM QUALITY: Improve the quality of programs and the retention of apprentices by 1 percent for FY99 by identifying and targeting programs in industries and occupations with a history of high cancellation/low retention rates and increase the average apprentice wage at registration by 1 percent over FY98 (EOP) beginning wage rates.

GOAL IV - SUPPORT PROGRAM AND OFFICE GOALS: Develop an annual plan necessary to meet organizational objectives, using measures to determine if objectives are being achieved and goals are being met within budget constraints to improve effectiveness of operations.

GOAL V - QUALITY PRINCIPLES/CUSTOMER SERVICE: Knows customer population and is aware of their needs. Monitors and takes actions to continuously improve quality and quantity of service, listening to and treating customers with respect and thereby creating a positive image of BAT.

GOAL VI - LEADERSHIP/HUMAN RESOURCES: Provide leadership by presenting a clear vision of BAT's goals and direct associates' efforts on focusing on those efforts. Understand and implement human resources policies and programs, while demonstrating commitment to BAT's EEO objectives.

GOAL VII - WORKS IN TEAMS/WORKGROUPS AND FORMS PARTNERSHIPS: Participate in internal and external teams/workgroups with Local, State, Regional, and/or National stakeholders and partners.