Performance Reporting System FAQ #3
For Community-Based Job Training and High Growth Job Training Initiative Grants
August 6, 2008

Policy Updates and Corrections:

Correction to FAQ #2, Question 5: Should grantees provide ETA with the four data elements used to compute the Adult Common Measures for grant exiters of any age? Do participants need to be 18 years of age or older when they begin to receive grant-funded services to be counted as participants, and have their outcomes recorded in the appropriate sections of the 9134?

Answer: In response to the first question - in their submission of Standardized Individual Records (SIR), grantees should only provide ETA with the four data elements used to compute Adult Common Measures for exiters who were 18 or older at the time their first grant-funded service was received, meaning when they first became a participant. Participants who receive their first grant-funded service when they are younger than 18 will <u>not</u> be included in the Adult Common Measures, and therefore are excluded from the collection of the four data elements.

In response to the second question, individuals who are under 18 when they begin to receive grant-funded services ARE counted as participants. These participants will have their information and outcomes reported in every section of the 9134 as appropriate, with the exception of the Adult Common Measures outcomes as noted above.

Correction to FAQ # 2, Question 12: What code do we use for people that have exited because they completed training (received a diploma/degree) and have received no services for more than 90 days?

Answer: The code grantees will use for exiters who have completed training and have not had a gap in service or have not received grant-funded services for 90 days or more is **CODE 00 "Other Reason".** You can find the codes in the Reporting Instructions on page 11. In addition, all of the acceptable reasons for exit (and their corresponding codes) are listed in the "IndividualRecordsTemplate.xls" spreadsheet, which can be downloaded from the on-line reporting system under the "Individual Records Tab". To sample what this Tab looks like, you can refer to page 13 of the On-line Reporting System User Guide.

New Questions and Answers:

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

1) **Question:** Do we report programs via the on-line reporting system? If yes, will the financial reporting password work for the program reporting?

   Answer: HGJTI and CBJT grantees will submit quarterly performance reports and related data through the on-line reporting system that ETA has developed specifically for program reporting and related performance information. Grantees submit their quarterly financial reports electronically through a separate on-line system. Separate passwords are needed for submitting grantee program performance and financial reports.

2) **Question:** Is the user guide available online? Are power points from the training in New Orleans on the on-line system available?

Answer: An electronic version of the User Guide can be found within the on-line reporting system. If you are unable to locate it, please feel free to contact Vivian Luna at: Luna.Vivian@dol.gov. Since ETA attempted to use the actual system for the training in New Orleans, there aren't any Power Point slides from that demonstration available.

3) **Question:** We have difficulty getting employment information from our exiters. I was told by my Federal Project Officer (FPO) that this new reporting system, by providing exiters' Social Security Numbers (SSNs), will be able to get this information for us?

Answer: If grantees are able to provide ETA with SSNs and the three other required data elements for an exiter—employment status at participation, date of exit, and reason for exit—ETA is able to calculate the Adult Common Measures for that exiter on behalf of the grantee. If grantees can provide these four data elements for *all* grant exiters, ETA will be able to calculate the grant's Adult Common Measures.

4) **Question**: If a person only attends one semester of a four semester program and withdraws, are they included in Common Measures?

Answer: When an individual receives a determination of eligibility and a grant-funded service through a HGJTI or CBJT grant, even if it is only for one semester (or one day!), he or she becomes a participant and the grantee is responsible for reporting the Adult Common Measures after that person exits. The only exception is for Career Awareness or Career Exploration activities, which are not sufficient to trigger participation by themselves. Based on the inquirer's question, the person became a participant when he or she received the first grant-funded service (likely the first date of class during their first semester), and then became an exiter 90 days from the last date of service (likely the last date the participant attended class). As is the case with all exiters, the exit date is applied retroactively to the last date of service, and the grantee is responsible for reporting this exiter's Adult Common Measures as appropriate. Please refer to the Supplement and Glossary (page 1) for definition of Total Exiter (B.1 on the 9134 form).

5) **Question:** (Part A) In my notes from New Orleans I have that we only need to upload the narratives using the new web-based reporting system. Is this correct or are we responsible for inputting all the other sections in the new system as well for this first report with the new system? (Part B) If we are using the new system for all sections, do we go back to April 1, 2008 for the start of the detailed reporting or do we begin July 1, 2008? We understand that we are putting in cumulative data for this upcoming report. (Part C) Again, in my notes from New Orleans I wrote during a segment discussing Performance at Work (PAW) that we do not transmit SSNs via the internet. Unfortunately, now that I am back at my office, I do not know if that means only PAW data or does it mean that we need to send SSNs to US Department of Labor (DOL) via other means than the internet?

Answer: This question raises a lot of issues, so we'll answer it in pieces. First, here's the answer to the questions raised in Part A: Grantees are responsible for inputting all of the data elements specified in the new reporting format into the on-line reporting system, beginning with the report for the quarter ended June 30, 2008. Your quarterly narrative will be uploaded on the "Narrative" tab of the new on-line system.

With respect to Part B: For the quarter that ended on June 30, 2008, grantees should be reporting on all activities that have happened since the start of their grant, which in this case was April 1, 2008.

With respect to Part C: At the New Orleans training, ETA mentioned that SSNs should not be e-mailed, due to the low security of e-mail. Unlike e-mail, the on-line reporting system uses a secure connection and encryption technology to protect data being submitted. The procedure for uploading a SIR file is explained on pages 13-14 of the On-line Reporting System User Guide, and the procedure for creating a SIR is explained on the Instructions tab of the IndividualRecordsTemplate.xls spreadsheet, available on the "Individual Records" tab of the on-line system.

Additionally, please note that the PAW system will not be available until the end of August 2008 (PAW is a voluntary system to support grantees in tracking, collecting, and managing participant data. It will be available free of charge to grantees). Once this system is available, you will be able to enter SSNs for your participants into PAW. Once all necessary data has been entered into PAW, PAW will be able to automatically create a SIR, which can then be uploaded on the "Individual Records" section of the on-line reporting system.

6) **Question:** Can states capture their own UI data?

Answer: By way of information and background, state UI wage records are the property of each and every state and are collected based on appropriate federal and state laws. ETA encourages all grantees to provide four specific data elements that are required to calculate Adult Common Measures--SSN, Employment Status at Participation, Date of Exit, and Reason for Exit--for each participant who exits their program, so that ETA can calculate the Common Measure outcomes of behalf of the grantee.

That said, grantees able to independently calculate and report the Common Measures in another way (i.e., using supplemental data) need not provide the four elements needed to calculate Common Measures to ETA. For instance, if a grantee already has a partnership in place with their state agency or another organization to compute the Common Measures, such as a workforce investment board (WIB), the grantee does not have to also provide the four data elements to ETA.

7) **Question:** If a participant leaves because they realize they don't think they will like the new potential career they are being trained for, is that code the same code for a person who graduates?

Answer: Yes. Grantees would use exit code "00" for both participants described, meaning "Other Reason". ETA requires the "Reason for Exit" in order to calculate the Common Measures. Participants who change their mind about the course and participants who graduate are treated the same--both are included in the Adult Common Measures.

8) **Question:** Please explain the difference in "services" (slide 14) with capacity building (pg 8-9 "QPR Forms and instructions"). When we count individuals that have received the same career awareness, career exploration or a 1 day CEU [Continuing Education Unit] as capacity building, they did not necessarily meet any "Eligibility" requirements. However, those activities are listed as SERVICES.

Answer: Since the training at Workforce Innovations, ETA provided additional clarification regarding how the activities of individuals that receive "Career Awareness or Exploration Activities" through the grant should be reported in quarterly progress reports. Specifically, in contrast to what is said on slide 14 of the training given in New Orleans, if a participant is involved in Career Awareness/Exploration activities but receives no other service through the grant, that is not sufficient to trigger participation in a HGJTI and/or CBJT grant. As a result, all individuals who only receive Career Awareness/Exploration activities are not reported in sections A, B, or C of the ETA-9134, and are not included in the Adult Common Measures. Instead, these individuals are solely counted on the Capacity Building tab of the on-line reporting system, specifically as an "Other person who participated in grant-funded capacity building."

9) Question: I'm a 3rd Round CBJT Grantee, and the on-line system isn't letting me report any exiters on the "Individual Records" tab for my first quarterly report. Why not?

Answer: The entire cohort of exiters for a quarter is not known when that quarter's report is due because the date of exit is only determined after 90 days of no service, and 90 days have not yet passed for all dates in the second half of the reporting period (in this instance, May 15 - June 30) when the report is due (August 14). For more information on the "total exiters," please consult page 1 of the Reporting Supplement/Glossary.

As a result, new grantees submitting their first quarterly report are not able to report any information on the "Individual Records Tab." In other words, exiters cannot be reported until 90 days of no service have transpired and that would not be the case for new grantees who are submitting their first quarterly report because your project has not had the time to enroll and serve a student cohort, let alone have 90 days of no service pass. In the future, third round grantees will be able to report exiters under the Individual Records Tab appropriately.

10) Question: We have been working on our first submission for the new quarterly reporting system and have come across a problem. When we attempted to input the number of total participants (some participants began year-long courses 6 months ago), we got the following error message: "the number of total participants should be less than or equal to the number of new participants". Can you offer us any guidance?

Answer: The key issue here is that the first report using the new on-line reporting system is a cumulative report. As a result, all participants who have ever received a grant-funded service, even if their first service was several months or even years ago, must be counted and reported as a "New Participant." Since every participant must be counted as a "New Participant" for this initial cumulative report, the "Total Participants" field should be equal to the "New Participant" field—both are counting every person who has ever received a grant-funded service. Based on the question, it appears the grantee is counting some participants in the "Total Participants" field and not in the "New Participants" field. For this initial report, grantees need to include all participants in the "New Participants" field. It is important to note, though, that this is only true for the initial cumulative report. For every other report, the "Total Participants" field will be equal to or higher than the "New Participants" field.

11) Question: Do we report the SSN of "exiters" on ETA Form- 9134 and if so, how?

Answer: SSNs of exiters are uploaded in the "Individual Records" tab of the on-line reporting system. To perform this upload, the SSNs must be placed in a SIR file along with the other three required data elements--employment status at participation, date of exit, and reason for exit. The procedure for creating a SIR is described in the Instructions tab of the "IndividualRecordsTemplate.xls" file, which is available for download on the "Individual Records" tab of the on-line reporting system. Additional information on the upload procedure is included on pages 13-14 of the On-Line System User Guide.

12) Question: On ETA form 9134 under B.2 (Total Participants Served)…do we include those who we are tracking for Common Measures or all ….including those who we do not have SSNs for?

Answer: All participants who received a grant-funded service for the respective quarter are included under Item B.2, irrespective of Common Measures tracking. For the quarter that ended on June 30, 2008, this information is cumulative. This includes participants for whom grantees do not have an SSN.

13) Question: In the document entitled "High Growth and Community-Based Job Training Grants – USER GUIDE, Version 1.0, June 24, 2008 – Prepared by: Office of Performance and Technology" the following statement appears under section 1.1 Report Submission

Procedures on page 3. It reads: For the quarter ending June 30, 2008, grantees will electronically submit an initial performance report that includes cumulative data on their grant performance to date. Beginning with the quarter ending September 30, 2008, grantees are required to submit their quarterly reports electronically to USDOL/ETA. The HG/CBJT electronic system consists of all necessary forms and fields for completing, certifying, and submitting a QPR. Question - what is the difference between an initial performance report and a quarterly report?

Answer: In the "initial performance report" which is due on August 14, 2008, grantees submit information on activities that have taken place during the entire history of the grant. All data for the report due August 14, 2008 must be cumulative, even though it is entered in the "Current Quarter" columns in the on-line system. In contrast, a standard "quarterly report" only includes information pertaining to that quarter's activities. Every quarter following the quarter ending June 30, 2008 will require a standard "quarterly report".