

# ARRA HIGH GROWTH and EMERGING INDUSTRIES (HGEI) PERFORMANCE REPORTING HANDBOOK



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Employment and Training Administration  
United States Department of Labor

#### Public Burden Statement

Persons are not required to respond to this collection of information unless it displays a currently valid OMB number (OMB 1205-0478, Exp. 11/30/2013). Public reporting burden for this collection of information, which is required to obtain or retain benefits (PL 106-107, Sec 8), is estimated to average a) 1.8 hours per response per participant for the participant data collection burden, if applicable; b) 16 hours per quarterly performance report response, if applicable; and c) 16 hours per quarterly narrative report response. This includes time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The reason for the collection of information is general program oversight, evaluation and performance assessment. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, ETA, Rm N-4643, 200 Constitution Avenue, NW, Washington, DC 20210.



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## I. INTRODUCTION

### **The American Recovery and Reinvestment Act (ARRA) and the Workforce System**

This handbook was developed to facilitate compliance of reporting requirements for ARRA High Growth and Emerging Industries (HGEI) grantees, which fall within the context of the broader workforce system. The performance reporting requirements for ARRA HGEI grantees align with the outcome categories identified in the Solicitations for Grant Applications (SGAs) used to award the ARRA HGEI grants: SGA/DFA PY-08-17, SGA/DFA PY-08-18, SGA/DFA PY-08-19, SGA/DFA PY-08-20, SGA/DFA PY-08-21, SGA/DFA PY-09-01, SGA/DFA PY 09-09, and the ARRA of 2009 Health Care Pilot. The collection of this data will help the Employment & Training Administration (ETA) report the impact of American Recovery and Reinvestment Act (Recovery Act) funds and will provide ETA with more comprehensive information on the status of individual grants and individuals that receive services and find employment through these grants. The data will also help ETA provide more targeted technical assistance to support achievement of grantee outcomes. ETA will provide ARRA HGEI grantees with the Recovery Act Data (RAD) system, a data collection system that will support the collection of participant data for required reporting elements and the submission of quarterly performance and narrative reports to ETA.

For performance reporting purposes, ARRA HGEI grantees are divided into two groups, (a) those who provide training and employment services (training grantees) and (b) those who do not provide training and employment services (non-training grantees).

ARRA HGEI training grantees include:

- A. Energy Training Partnership Grantees (SGA/DFA PY-08-18);
- B. Pathways Out of Poverty Grantees (SGA/DFA PY-08-19);
- C. State Energy Sector Partnership and Training Grantees (SGA/DFA PY-08-20); and
- D. Health Care Sector and Other High Growth and Emerging Industries Grantees (SGA/DFA PY-09-01)

ARRA HGEI non-training grantees include:

- A. State Labor Market Improvement Information Grantees (SGA/DFA PY-08-17);
- B. Green Capacity Building Grantees (SGA/DFA PY-08-21);
- C. Category 1-Health Care Virtual Platform Grantees and Category 2-Enhancing the Ability of Community- and Faith-Based Organizations to Deliver Virtual Career Exploration Services, Including Health Care Careers Grantees (SGA/DFA PY 09-09); and
- D. ARRA of 2009 Health Care Pilot Grantees

Training grants are required to submit both the quarterly performance report and quarterly narrative report, while non-training grants are only required to submit the quarterly narrative report. This handbook describes each step of the reporting process.

## II. REPORTING INSTRUCTIONS

### A. REPORTING REQUIREMENTS

The ARRA HGEI reporting structure features standardized data collection for program participants and quarterly performance and narrative report formats. ARRA HGEI training grantees are required to maintain participant data records and are also required to submit quarterly performance (ETA-9153 Form) and narrative reports to ETA to comply with the recordkeeping and reporting requirements of the grants. ARRA HGEI non-training grantees are only required to submit quarterly narrative reports to ETA. Forms and instructions for completing the quarterly reports are referred to in the following sections. Should changes in definitions resulting from new legislation and/or related regulations occur, appropriate revisions will be issued to reflect these changes. Handbook revisions are distributed through Handbook Transmittals issued from the National Office. Dates of issuance are displayed at the bottom of each revised page. Additional clarifying guidance would be issued in the future through formal guidance letters.

### B. DATA COLLECTION AND RECORDKEEPING (Training Grantees Only)

For ARRA HGEI training grantees, participant-level data collection and recordkeeping is carried out using the Recovery Act Data (RAD) system. The RAD system is a web-based case management and reporting application housed on ETA's servers. All participant data will be entered directly into the ETA database via the RAD system. The data required on individual participant records will vary by grant based on the specifications outlined in the SGA under which the grant was awarded. Data collection may involve acquiring information from the various employers regarding employment training and placement, in addition to the collection of personal and demographic information by the grantees themselves. The RAD system was released in July 2010 and is accessible to all ARRA HGEI grantees. Grantees are required to enter participant information directly into an ETA database via the RAD system. Section III.B of this document refers to the document which contains participant data element specifications.

### C. QUARTERLY PERFORMANCE REPORTS (Training Grantees Only)

The quarterly performance reports (ETA-9153 Form) will be submitted by ARRA HGEI training grantees only. These are grantees that are providing training and employment services to participants. Please see page 1 for a list of ARRA HGEI training grantees. Quarterly performance reports are generated by the RAD system once all of the individual participant records have been entered, updated and certified by the grantee. The quarterly performance reports (ETA-9153 Form) include aggregate information on demographic characteristics, types of services received, placements, outcomes, and retention and follow-up status. Grantees will use the RAD system to generate quarterly performance reports. The RAD system is designed to apply edit checks to participant data and to generate facsimiles of the aggregate information on enrollee characteristics, services provided, placements, outcomes, and retention and follow-up status in quarterly report format (ETA-9153 Form). Quarterly performance report requirements include reviewing and correcting errors identified by the data collection system in the participant-level data, certifying the participant records, and generating, reviewing, and approving the quarterly performance report (ETA-9153 Form).

The RAD system will generate quarterly performance reports (ETA-9153 Form) through the certified participant records.

The performance report format, ETA-9153 Form, is referred to in Section III.A. The specifications and definitions for the quarterly performance report are outlined in the document referred to in Section III.C, Part 1 of the ARRA Performance Reporting Glossary and Guide.

#### **D. QUARTERLY NARRATIVE REPORTS (All Grantees)**

All ARRA HGEI grantees are required to complete quarterly narrative reports. These reports provide a detailed, narrative account of program activities undertaken during the quarter, as well as performance outcomes (where applicable). Grantees are required to provide a narrative account of all activities undertaken during the quarter including in-depth information on strategic partnerships, status of leveraged resources, timelines, deliverables, and capacity-building activities (where applicable). Key issues, technical assistance needs, best practices, and lessons learned should also be included in the quarterly narrative report. These reports will be uploaded to the RAD system.

Grantees will provide information identified in the narrative report instructions of the ARRA Performance Reporting Glossary and Guide (see Section III.C for a reference to this document) and submit these reports via the RAD system.

The required format for the quarterly narrative report is in the document referred to in Section III.C of this document, in Part 2 of ARRA Performance Reporting Glossary and Guide.

#### **E. PERFORMANCE OUTCOME MEASURES (Training Grantees only)**

Two types of performance measures will be used to measure success in the ARRA HGEI training grants, real-time performance measures and the common performance measures.

Real-time measures of performance include:

- began receiving education/job training activities;
- completed education/job training activities;
- received credential;
- entered employment; and
- employment retention

Common performance measures are:

- entered employment rate;
- employment retention rate; and
- average earnings

The common performance measures conform to the performance measures implemented across federal job training programs as of July 1, 2005. By standardizing the reporting and performance requirements of different programs, the performance measures give ETA the ability to compare across programs the core goals of the workforce system—how many participants entered jobs; how many stay employed; and the average wage earnings for participants who stay employed.

ETA will calculate these three standard performance measures on behalf of the grantee for all participants served with grant funds.

It is important to note that grantees are required to collect Social Security Numbers (SSNs) for all participants served with grant funds. USDOL/ETA, on behalf of the grantees, will work with its state partners to match SSNs with employment data available from state Unemployment Insurance (UI) and other administrative wage records (e.g., Federal and Military employment). This matching procedure is necessary in order for USDOL/ETA to collect consistent and reliable outcomes information for each grantee by calculating a set of common performance measures that includes entry into employment, employment retention, and six-month average earnings. Please note, grant-funded services cannot be denied to individuals because of failure to disclose an SSN.

#### **F. DATA ELEMENT SPECIFICATIONS (Training Grantees only)**

Grantees are required to collect and maintain standardized data on characteristics, activities and outcomes information for all individuals who receive services or benefits and are considered grant participants through ARRA HGEI programs. Grantees will enter this participant data directly into the RAD system. Section III.B of this document refers to the document that provides a list of the standardized data elements to be collected by grantees and used in generating the quarterly performance reports (ETA-9153 Form).

The primary purposes of the data element specifications 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 individuals served by ARRA HGEI programs;
- 2) Facilitate the collection and reporting of valid, consistent, and complete information on individual participants in order to support the overall management, evaluation, and continuous improvement of the programs at the local, state, and federal levels; and
- 3) Share program performance results with consumers, taxpayers, Congress and others with an interest in the ARRA HGEI programs.

In developing the data element specifications, every effort has been made to establish common data definitions and formats with minimum burden to grantees. The specifications establish a core set of data that must be collected and maintained by grantees. ARRA HGEI data elements are separated into section headings and categories that represent logical groupings related to participant characteristics, services received, and performance outcomes. For each data element, there is an element number, an element name, a definition or reporting instruction, and coding values.

#### **G. UPDATING PARTICIPANT INFORMATION (Training Grantees only)**

When participant data is entered into the RAD system, it is stored directly in the ETA database. During the 45-day period following the end of each quarter, grantees are responsible for



reviewing and approving the aggregate quarterly performance reports (ETA-9153 Form) generated by the RAD system. Quarterly report requirements include reviewing and correcting participant-level data errors identified by the RAD system at the time each report is generated. Participant information can be updated at any time and is entered directly into the ETA database at the time it is updated. The participant information in the ETA database is the basis for the quarterly performance reports (ETA-9153 Form) submitted by grantees to ETA.

**H. REPORTING SCHEDULE (All Grantees)**

Quarterly reports, both performance and narrative, are due no later than forty-five (45) days following the completion of each quarter. The reporting schedule is as follows:

<u>Quarter</u>	<u>Report Date</u>
October 1 – December 31	February 14th
January 1 – March 31	May 15th
April 1 – June 30	August 14th
July 1 – September 30	November 14th

Should the due date for the report fall on a Saturday, Sunday or a holiday, the report is due the business day before.

Each quarterly report will include information on participants and services received during the quarter. Because of the different types of characteristics, services, and activities on which grantees will be reporting, report periods vary for different characteristics and outcome measures.





### III. REPORTING MATERIALS

#### A. PERFORMANCE REPORT FORMAT

(Refer to ARRA HGEI ETA-9153 Form)







**B. DATA ELEMENT SPECIFICATIONS**

(Refer to ARRA HGEI Data Element Specifications)



**C. PERFORMANCE REPORTING GLOSSARY and GUIDE**

(Refer to ARRA HGEI Performance Reporting Glossary and Guide)

**IV. COLLECTION OF FEDERAL EQUAL OPPORTUNITY INFORMATION**

Beginning on the effective date of this reporting system, grantees are required to collect, maintain, and report equal opportunity information, including sex, age, disability, ethnicity, and race, for all 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/registrator, 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.

The collection of equal opportunity information is to be self-identified 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.

The collection of ethnicity and race information contained within these reporting instructions are in accordance with the Office of Management and Budget (OMB) Statistical Directive 15 (as

adopted October 30, 1997 at <http://www.whitehouse.gov/omb/fedreg/ombdir15.html>). The ethnicity and racial categories in this classification are social-political constructs and should not be interpreted as being scientific or anthropological in nature. They are not to be used as determinants of eligibility for participation in any Federal program. The standards have been developed to provide a common language for uniformity and comparability in the collection and use of data on race and ethnicity by Federal agencies.

OMB has determined that a two-question format should be used in all cases involving self-identification of ethnicity and race. Therefore, ethnicity information (i.e., Hispanic or 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 must also be collected before information on race. When completing race information, individuals must 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 . . ." or "Select 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.*

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

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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.

