

WIOA Desk Reference

Performance Accountability for Incumbent Worker Training

Incumbent Worker Training (IWT) under WIOA provides both workers and employers with the opportunity to build and maintain a quality workforce and is governed by WIOA section 134(d)(4) and 20 CFR 680.780 through .820 of the Final Rule, as discussed in TEGLs 19-16 and TEGL 10-16, Change 1. IWT is designed to meet the needs of an employer or group of employers to retain a skilled workforce or avert layoffs. IWT can be used to either:

- ◆ Help avert potential layoffs of employees, or
- ◆ Increase the skill levels of employees necessary to retain employment, so they can be promoted within the company and create backfill opportunities for less-skilled employees.

States and local workforce development areas (local areas) may use IWT as part of their workforce strategies. States can pay for IWT through their WIOA Governor's Reserve and Rapid Response funds. Local areas can use up to 20 percent of their combined total of Adult and Dislocated Worker formula funds to pay for the federal share of the costs of providing IWT. For more information about IWT, please visit the IWT Desk Reference mentioned in the "Additional Resources" section below.

This reference guide highlights key areas of performance accountability and reporting requirements for all recipients of IWT.

PERFORMANCE REPORTING

Incumbent workers being served through an IWT strategy are not required to meet WIOA Adult or Dislocated Worker eligibility requirements, unless they are co-enrolled as a participant in one of these programs. Unless the individual is enrolled in the Adult or Dislocated Worker program, they are not participants for the purpose of inclusion in WIOA performance indicator calculations for state outcomes. However, States and local areas are still required to report certain participant and performance data on all individuals who receive only incumbent worker training.

States and local areas must submit a quarterly report on all individuals they serve, including reportable individuals, participants, exiters, and both coenrolled and non-coenrolled individuals in receiving IWT. The Participant Individual Record Layout, or PIRL, contains over 400 data elements, but not every element is required for individuals in receipt of IWT services only.

The PIRL requires specific data elements be reported for individuals in receipt of IWT.¹ The descriptions in this guide are a summary of PIRL definitions. Grantees should refer to the approved PIRL, ETA-9172, for specific definitions as well as instructions in TEGL 10-16, Change 1.

- ◆ **Recipient of Incumbent Worker Training (907)** – All recipients of IWT must be reported in the PIRL under element number 907, regardless of whether they become a participant in one of the other WIOA programs. For individuals who only receive IWT, and therefore are not participants in

¹ In the ETA-9172 these requirements are designated by the elements marked with an "R" in the column labeled "Incumbent Worker (Adult/DW Funded)." The ETA-9172 can be found on the ETA reporting page <https://doleta.gov/performance/reporting/> or at https://doleta.gov/performance/pfdocs/ETA_9172_DOL_PIRL_1.18.81.pdf



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the Adult or Dislocated Worker programs, states must still report a “**Date of Program Entry**” in element 900, and should report a “0” in elements 903 “**Adult**” and 904 “**Dislocated Worker**.”

- ♦ **Adult (903), Dislocated Worker (904)** – In cases where an individual is also receiving services through the Adult or Dislocated Worker programs, States and local areas must include such participants in the applicable program of co-enrollment (in addition to element PIRL data 907).
- ♦ **Rapid Response (908), Most Recent Date Received Rapid Response Services (150)** – For individuals who receive IWT that is funded with Statewide Rapid Response funds, States (and local areas as appropriate) must report on these individuals through these two data elements.

WORKFORCE INTEGRATED PERFORMANCE SYSTEM (WIPS)

To submit the required performance reports, grantees utilize the WIPS and submit the records of individuals in receipt of IWT as part of their Adult/Dislocated Worker file submission in the full PIRL or SIRS file format. For WIPS technical support, contact: WIOA.Feedback@dol.gov. For more information on WIPS resources, please refer to the WIPS resource page at: <https://doleta.gov/performance/wips/>, which contains the program schemas for the full PIRL and the SIRS file format.

PERFORMANCE INDICATORS

Individuals who only receive IWT and do not become core program participants will not be included in the calculation of the State primary indicators of performance for negotiations and accountability purposes. However, States and local areas **are** required to collect and report the outcomes of non-coenrolled individuals in receipt of IWT in order to calculate the primary indicators of performance for incumbent worker training projects separately from state performance:

Measure	Relevant PIRL Elements
1. Employment Rate <i>Second Quarter After Exit</i>	1602, 1603
2. Employment Rate <i>Fourth Quarter After Exit</i>	1606, 1607
3. Median Earnings <i>Second Quarter After Exit</i>	1704
4. Credential Attainment	1800, 1801
5. Measurable Skill Gains	1800, 1801, 1806, 1807, 1808, 1809, 1810, 1811, 1813 ²

² PIRL Element 1813 was added as part of revisions found in the amended Joint WIOA ICR, for tools and resources describing the details of the amendment, see <https://performancereporting.workforcegps.org/resources/2018/07/23/13/30/Amended-ICR-Implementation-Resources>.



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PROGRAM EXIT

For the purposes of calculating these metrics, the exit date for a participant who has only received IWT will be the last date of training, as indicated in the training contract. If the individual receiving IWT is also a participant in another program, the State is required to report that program's performance reporting information, and determine exit based on that program's qualifying services reported during the period of participation.

Additional Resources

- ◆ ETA-9172, *Participant Individual Record Layout (PIRL)*, https://doleta.gov/performance/pfdocs/ETA_9172_DOL_PIRL_1.18.18.pdf
- ◆ TEGL 10-16, Change 1, *Performance Accountability Guidance for Workforce Innovation and Opportunity Act (WIOA) Title I, Title II, Title III, and Title IV Core Programs*, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255
- ◆ TEGL 19-16, *Guidance on Services provided through the Adult and Dislocated Worker Programs under the Workforce Innovation and Opportunity Act (WIOA) and the Wagner-Peyser Act Employment Service (ES), as amended by title III of WIOA, and for Implementation of the WIOA Final Rules*, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3851
- ◆ ETA's performance website: <https://www.doleta.gov/performance/reporting/>.
- ◆ ETA's WorkforceGPS website includes performance reporting information, technical assistance, and e-learning modules: <https://performancereporting.workforcegps.org/>.
- ◆ Adult and Dislocated Worker Key Resources – Work-Based- Learning website, https://ion.workforcegps.org/resources/2017/03/09/12/20/Work-Based_Learning_-_Adult_and_Dislocated_Worker_Programs
- ◆ Incumbent Worker Training – WIOA Desk Reference, https://ion.workforcegps.org/resources/2017/03/19/19/18/Incumbent_Worker_Training_-_WIOA_Desk_Reference
- ◆ WIPS Log In - <https://dol.appiancloud.com/suite/>
- ◆ WIPS Resource Page and PIRL Schemas - <https://www.doleta.gov/performance/wips/>

WIOA Implementation Technical Assistance

The Innovation and Opportunity Network (ION) is a community of practitioners, program staff, partners, planners, industry leaders, and stakeholders that strive for system improvement, capacity building, and excellence in the public workforce system. ION is a national, regional, state, and local alliance that makes available the technical assistance, information sharing, and training needed to implement the vision of WIOA. Visit ION at: <https://ion.workforcegps.org>

