



EMPLOYMENT AND TRAINING ADMINISTRATION
UNITED STATES DEPARTMENT OF LABOR

Performance Accountability and Reporting for Apprenticeship Building America (ABA) Grants

FOA-ETA-22-06

October 26, 2022

Today's Speakers

Shelia F. Lewis

Office of Apprenticeship

Evan Rosenberg

Division of Youth Services

Kyle Maguire

Office of Apprenticeship

Casandra Hockenberry

Council of State Governments



Today's Objectives

- ✓ Discuss the Importance of Performance Accountability and Reporting
- ✓ Discuss Important Definitions and Concepts
- ✓ Define the ABA Indicators of Performance
- ✓ Define the WIOA Indicators of Performance
- ✓ Introduce TA Resources
- ✓ Respond to Your Questions





Poll Question



On a scale of 1-10
(1=no experience and
10=expert),

how familiar are you with the
Apprenticeship grant
reporting process?

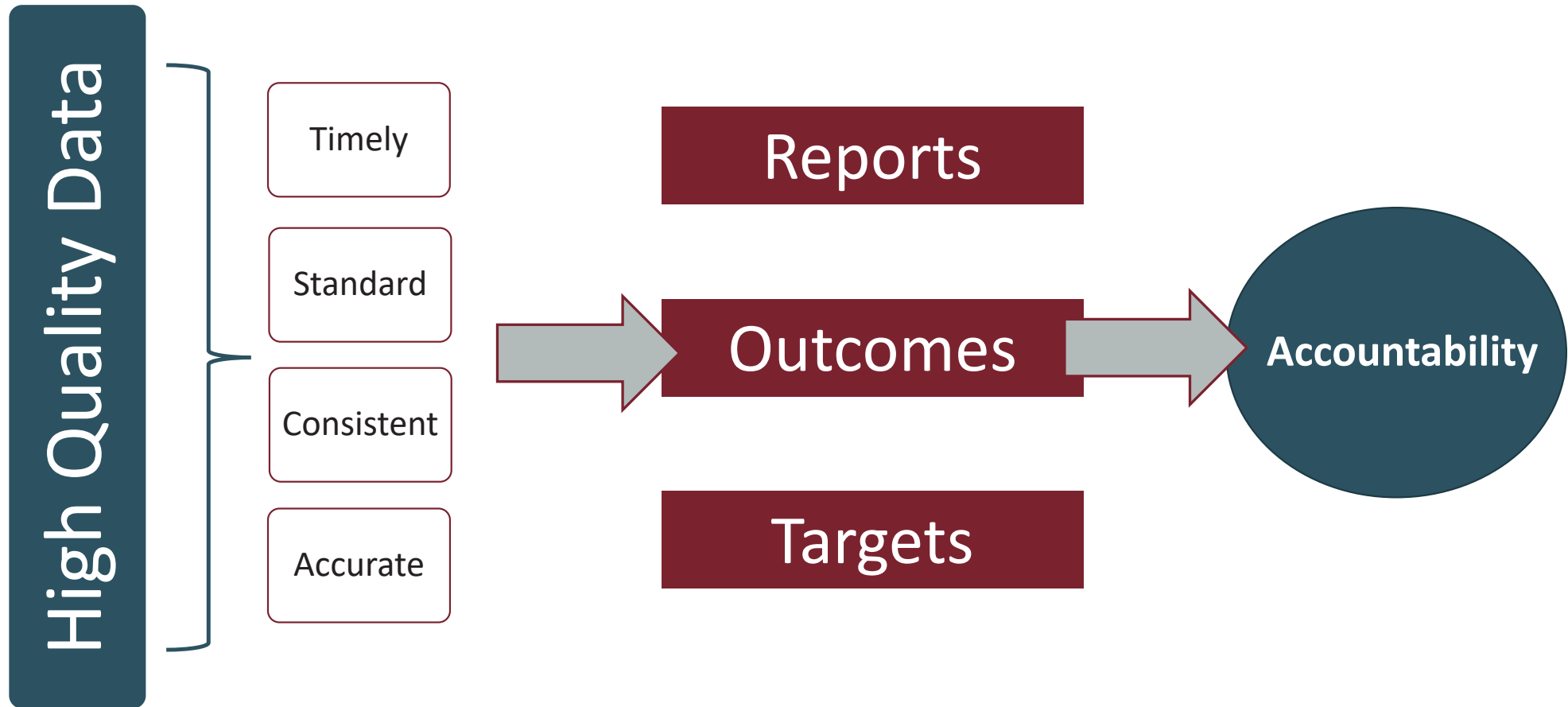
Performance Accountability and Reporting



What is Performance Accountability?



Performance Accountability: Tracking Performance



Important Definitions

Definition: Participant

- ▶ **Participant**: An individual who receives a direct, grant-funded service after being determined eligible for the grant (i.e., a registered apprentice or a pre-apprentice)



Definition: Incumbent Workers



- An **Incumbent Worker** is an individual already employed with a registered apprenticeship program sponsor before program enrollment, but who needs training to upgrade their skills to secure full-time employment, advance in their careers, or retain their current position in apprenticeship occupations and industries.
- To qualify as an incumbent worker, an individual must have an established and documented employment history with the employer for six months or more.

Definition: Pre-Apprentice

- ▶ A pre-apprentice is a grant participant who is enrolled in **quality pre-apprenticeship program** as defined in the [FOA](#) (page 5) and [TEN 13-12](#)
- ▶ Quality pre-apprenticeship programs include the following attributes:
 1. Designed in Collaboration with RAP Sponsors/employers
 2. Meaningful Hands-On Training that Does Not Displace Paid Employees
 3. Facilitated Entry and/or Articulation
 4. Sustainability through Partnerships
 5. Access to Appropriate Supportive Services
- ▶ Pre-apprenticeships can also support your DEIA efforts

https://wdr.doleta.gov/directives/attach/TEN/TEN_13-12.pdf

Definition: Reportable Individuals

- ▶ Reportable Individuals enter a RAP that was developed with grant funds, but they do not receive a direct, grant-funded service; therefore, they are not considered “participants”. For a full explanation, refer to the TA Aid titled, [Interpretation/Application of Reportable Individuals](#), released July 2022.
- ▶ But Reportable Individuals can be utilized to support your overall grant goals, including:
 - Total participants served (which includes participants, plus reportable individuals)
 - Total participants served who enroll in a RAP (which includes participants, plus reportable individuals)
- ▶ In order to track and report reportable individuals, grantees must provide information on the following PIRL data elements:
 - **PIRL 100** – Unique individual identifier
 - **PIRL 1007** – Date of most recent reportable individual contact (This is the date the individual registered in an apprenticeship program.)
 - **PIRL 2914** – Apprenticeship grants program status (This data element identifies the funding stream for QPR reporting purposes. It is used in the QPR specifications to calculate specific fields in the report.)
 - **PIRL 2920** – Apprenticeship grant number

Definition: Exit

- ▶ Exit occurs when a participant has not received a service for at least 90 days (not including self-service, information only services, or follow-up services); the exit date is then applied retroactively to last date of service.

- ▶ **For ABA grants:**
 - Exit occurs when an individual either *completes* a RAP or *withdraws* from a RAP
 - Translation: For longer-term programs, it is true that exit will likely not occur during the grant's period of performance
 - For more details, refer to the [TA Aid on Definition of Exit](#)

- ▶ When a WIOA-funded program (e.g., Adult) supports an apprentice (i.e., co-enrollment), exit will generally occur for the WIOA program once the WIOA services have been completed and no other services have occurred or are planned for 90 consecutive days. This applies whether the RAP is ongoing or not.



ABA

Indicators of Performance

ABA-Specific Participant-level Indicators

ABA – Participant-Level Indicators (Categories 1, 2, & 3)

1. Total participants served (cumulative 4-year total)
2. Total participants who enroll in Registered Apprenticeship Programs (cumulative 4-year total)
3. Total participants who complete a RAP
4. Total number of participants who enroll in a pre-apprenticeship served by ABA grant funding (as applicable)
5. Total number of participants who complete a pre-apprenticeship served by ABA grant funding (as applicable)

Source: FOA-ETA-22-06, Appendix G

ABA Performance Outputs (Non-participant Indicators)

ABA – Non-Participant-Level Indicators (Categories 1, 2, 3, and 4)

1. Total RAPs created as a result of ABA grant funding.
2. Total RAPs expanded as a result of ABA grant funding.
3. Total pre-apprenticeship programs created as a result of ABA grant funding (as applicable)
4. Total pre-apprenticeship programs expanded as a result of ABA grant funding (as applicable)

Source: FOA-ETA-22-06, Appendix G

ABA Performance Outputs: Categories 1, 2, & 3 Suggested Template

ABA PERFORMANCE MEASURES FOR REGISTERED for CATEGORIES 1, 2 & 3				[Quarter ending:]	
[Grant number]		[Grantee name]			
	Program Outputs	Targets (Cumulative 4-year total)	Total Previous Quarter	Current Quarter	Cumulative (Program-to-Date)
1	Total number of RAPs developed				0
2	Total number of RAPs expanded				0
3	Total number of pre-apprenticeships developed (as applicable)				0
4	Total number of pre-apprenticeships expanded (as applicable)				0

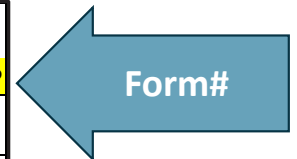
These 4 performance apprenticeship expansion measures must be reported on the QNR (Section XI – Additional Information). Here is a suggested template to use when reporting these measures. It is available in an Excel file.

ABA Performance Outputs (Non-participant Indicators): Category 4

ABA PERFORMANCE MEASURES FOR REGISTERED APPRENTICESHIP HUBS					Quarter ending:				
[Grant number]		[Grantee name]							
	Program Outputs	Targets (Cumulative 4-year total)		Total Previous Quarter		Current Quarter		Cumulative (Program-to-Date)	
1	Total number of RAPs developed							0	
2	Total number of RAPs expanded							0	
3	Total number of pre-apprenticeships developed (as applicable)							0	
4	Total number of pre-apprenticeships expanded (as applicable)							0	
5	Total number of stakeholder's engaged							0	
6	Total number of employers receiving incentive funding, including total amount of funds to be awarded in incentive funding	# Employers:		# Employers:		# Employers:		# Employers:	0
		Total Funds:		Total Funds:		Total Funds:		Total Funds:	0
7	Total number of technical assistance resources created							0	
8	Total number of new sponsors							0	
9	Total number of individuals enrolled in a RAP that was developed using ABA grant funds (i.e., Reportable Individuals)			The "Total number of individuals enrolled in a RAP that was developed using ABA grant funds" will be reported into WIPS using four required PIRL data elements for reportable individuals: PIRL 100 (Unique Individual Identifier), PIRL 1007 (Date of MostRecent Reportable Individual Contact), PIRL 2914 (Apprenticeship Grant Program Status), and PIRL 2920 (Apprenticeship Grant Number).					
10	Total number of individuals enrolled in a pre-apprenticeship that was developed using ABA grant funds							0	

Categories 1, 3, and 4: QPR Template

OMB Control Number: 1205-0521		
Expiration Date: 06/30/2023		
Date of Report:		ETA-9173-APPSHP
PY 20xx Qtr x Performance Report for Apprenticeship		
Time Period: (Choose Only One)	Quarterly	Rolling 4 Quarters
Reporting Period Covered:	mm/dd/yyyy - mm/dd/yyyy	
GRANT OVERVIEW		
Grant Number:	Grantee Name:	
Performance Items		Total Current Period
A. SUMMARY INFORMATION		
1. Total Participants		
2. Total Reportable Individuals		
3. Total Exiters		
B. PARTICIPANT SUMMARY INFORMATION		
Sex	1a Male	
	1b Female	
Ethnicity/Race	2a Hispanic/Latino	
	2b American Indian or Alaskan Native	
	2c Asian	
	2d Black or African American	
	2e Native Hawaiian or Other Pacific Islander	
	2f White	
	2g More Than One Race	



Category 2: QPR Template

OMB Control Number: 1205-0521			
Expiration Date: 06/30/2023			
Date of Report:		ETA-9173-APPSHP-Youth	
PY 20xx Qtr x Performance Report for Apprenticeship Youth			
Time Period: (Choose Only One)	Quarterly	Rolling 4 Quarters	
Reporting Period Covered:	mm/dd/yyyy - mm/dd/yyyy		
GRANT OVERVIEW			
Grant Number:	Grantee Name:		
Performance Items		Total Current Period	
A. SUMMARY INFORMATION			
1. Total Participants			
2. Total Reportable Individuals			
3. Total Exiters			
B. PARTICIPANT SUMMARY INFORMATION			
Sex	1a	Male	
	1b	Female	
Ethnicity/Race	2a	Hispanic/Latino	
	2b	American Indian or Alaskan Native	
	2c	Asian	
	2d	Black or African American	
	2e	Native Hawaiian or Other Pacific Islander	
	2f	White	
	2g	More Than One Race	

Form#

A large, stylized 'X' shape composed of two intersecting lines. The left line is dark blue, and the right line is maroon. The background is light gray with a white 'X' shape that matches the lines. The text is positioned on the left side of the slide.

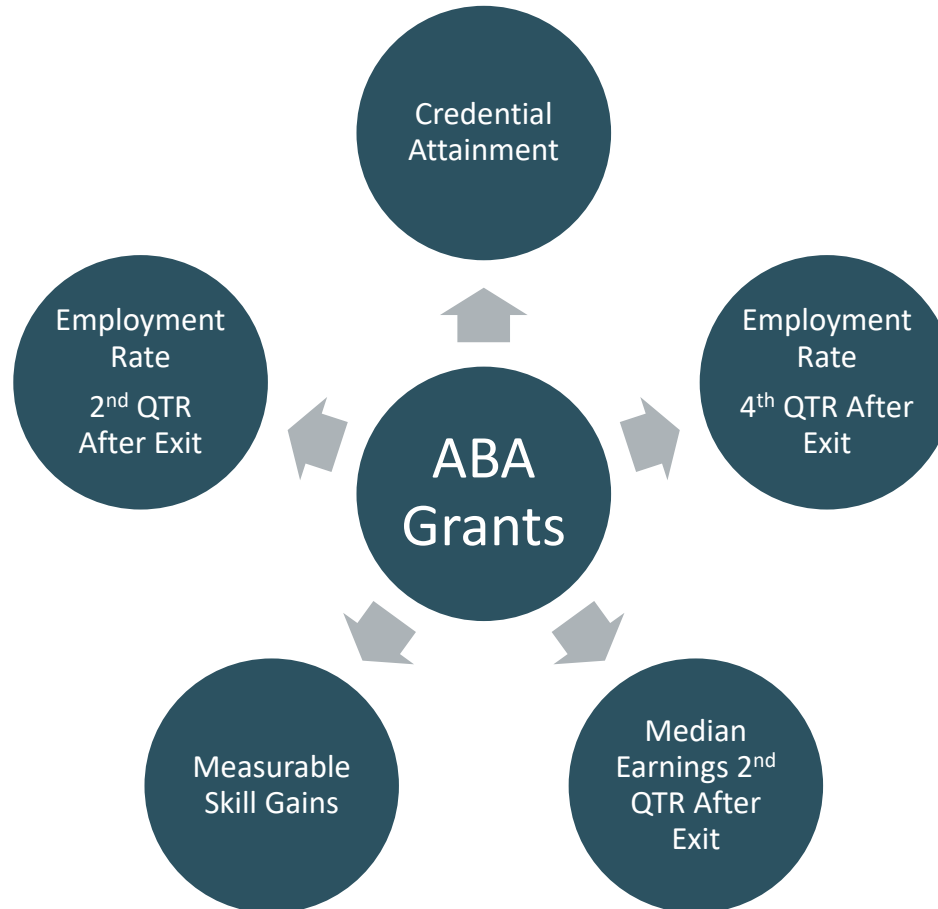
WIOA

Indicators of Performance

WIOA Indicators

- ▶ ABA indicators are the primary indicators for grantees to focus on for accountability; the WIOA measures are for reporting purposes only
- ▶ WIOA indicators are reported on by all ETA grantees, including ABA
- ▶ Data elements that calculate WIOA indicators are included in PIRL required data elements
- ▶ All but one of the WIOA indicators (Measurable Skill Gains) are long-term, exit-based indicators – may not have data for some of the indicators prior to grant end

WIOA Primary Indicators of Performance



These indicators are reported by all ETA grantees, including WIOA title I and title III programs.

Primary Indicators of Performance



Employment
Rate
2nd Qtr After
Exit

- ▶ Percentage of participants who are in unsubsidized employment during the second quarter after exit from the program.
- ▶ Success in this indicator is only based on status in the 2nd quarter after exit regardless of status upon program entry.

Primary Indicators of Performance



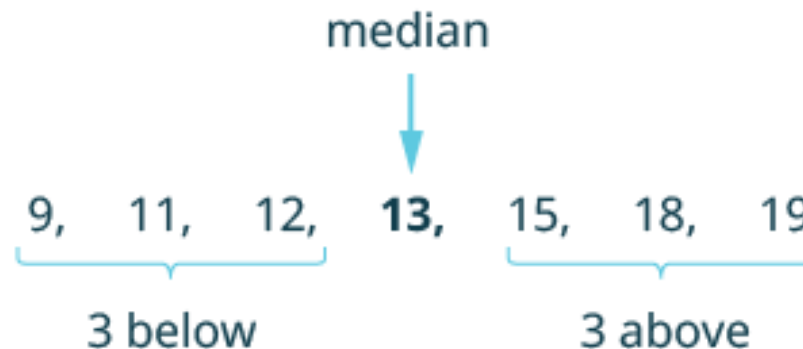
- ▶ Percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program.
- ▶ Success based solely on status in 4th quarter regardless of status at participation or in 2nd quarter – not a retention measure.

Primary Indicators of Performance



Median Earnings

- ▶ The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.
- ▶ Only includes those in unsubsidized employment in 2nd quarter after exit.



Primary Indicators of Performance



Credential Attainment

- ▶ Percentage of participants enrolled in [education or training program, meaning RAP or pre-apprenticeship] who attain a recognized postsecondary credential within 1 year of exit
 - ▶ The Certificate of Completion is a recognized postsecondary credential under WIOA; every registered apprentice receives this after completion, and it counts towards the CAR as do other types of credentials
 - ▶ The credential category can include a secondary school diploma or equivalent if a grant participant is enrolled in a pre-apprenticeship program

Postsecondary Credential Highlights

- Awarded in recognition of an individual's attainment of measurable technical or industry/occupational skills necessary to obtain employment or advance within an industry/occupation
- Technical or industry/occupational skills based on standards developed or endorsed by employers or industry associations
- Neither certificates awarded by workforce development boards nor work readiness certificates are included because neither document the measurable technical or industry/occupational skills
- Must recognize technical or industry/occupational skills for specific industry/occupation rather than general skills related to safety, hygiene, etc., even if general skills certificates are broadly required to qualify for entry-level employment or advancement in employment

Primary Indicators of Performance



Measurable Skill Gains

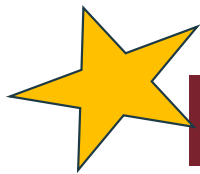
- ▶ Percentage of program participants who are in an education or training program that leads to a recognized postsecondary credential or employment AND who are achieving measurable skills gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment.
- ▶ Participants are included in the indicator regardless of how long they have participated in the program year.

Five Types of Measurable Skill Gains

- 1. Achievement of at least one educational functioning level (EFL), if receiving instruction below postsecondary education level**
 - ▶ This gain type will generally not apply to ABA grant participants
- 2. Attainment of secondary school diploma or equivalent (pre-apprentices only)**
- 3. Secondary or postsecondary transcript for sufficient number of credit hours that shows participant is meeting State's academic standards**
 - Secondary: transcript or report card for one semester
 - Postsecondary: at least 12 hours per semester or, for part-time students, a total of at least 12 hours over two completed semesters during a 12-month period

Five Types of Measurable Skill Gains (2)

4. Satisfactory progress report toward an established milestone from an employer or training provider
5. Passage of an exam required for an occupation or progress attaining technical/occupational skills as evidenced by trade-related benchmarks



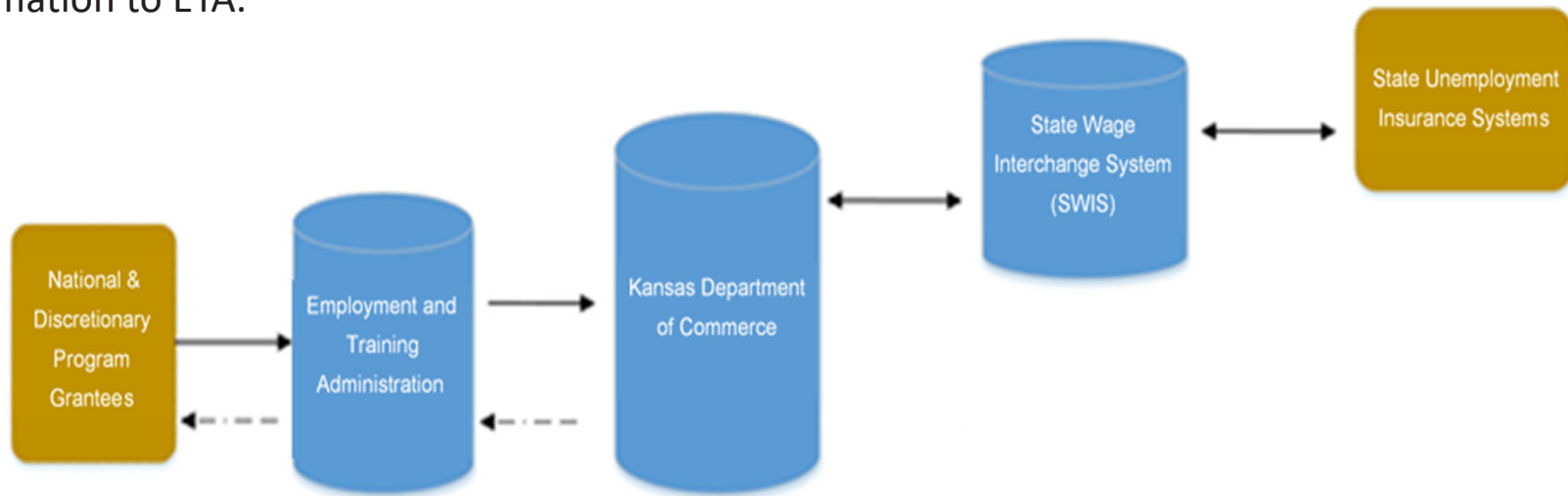
#4 and #5 are particularly relevant for RAPs

Common Reporting Information System (CRIS)

- ▶ ETA and the Kansas Department of Commerce (KDOC) have a Memorandum of Understanding (MOU)
- ▶ This MOU enables ETA's program grantees to access aggregate wage information through the State Wage Interchange System (SWIS) to calculate the wage-based performance outcomes:
 - ▶ Employment Rate 2nd Quarter after Exit
 - ▶ Employment Rate 4th Quarter after Exit
 - ▶ Median Earnings
- ▶ This arrangement is called the Common Reporting Information System (CRIS)
- ▶ Apprenticeship Grants obtain aggregate wage information through the CRIS

The Operation of CRIS

1. KDOC serves as an intermediary and accesses aggregate wage information on behalf of ETA's national and discretionary grantees
2. The national and discretionary grantees send participant information to ETA, which sends that information to KDOC.
3. KDOC accesses wage records through the SWIS and then provides aggregate employment outcome information to ETA.



CRIS: FAQs

- ▶ Why are grantees asked to collect participant social security numbers?
 - ▶ Non-state grantees will not usually have access to state wage information. State grantees are usually able to access their state unemployment insurance data. Using that information, they can complete the QPR specifications for the wage-related indicators.
- ▶ What happens if we do not collect social security numbers?
 - ▶ Grantees (usually non-state grantees) who do not have access to their state's unemployment insurance data and who do not collect social security numbers will not be able to report on the wage-related indicators.
- ▶ How long after the end of the reporting period before KDOC send wage information to ETA?
 - ▶ KDOC transmits wage information to ETA (via WIPS) about six weeks after the end of the reporting period.
- ▶ Does my state (or territory) have a SWIS agreement?
 - ▶ Every state and territory has signed the SWIS.



Knowledge Check 1

An apprentice is in the last year of their 5-year electrician program, but the grant officially ended during the 4th year. This apprentice should be exited from the program prior to the grant end date.

1. True
2. False

Enter your response in the chat room.



Knowledge Check 2

Which indicator of performance can be described as

- NOT an exit-based measure;
- Only count 1 time in the numerator and the denominator, regardless of the number attained in a reporting period

- 1. Credential attainment**
- 2. Median earnings**
- 3. Measurable skill gains**
- 4. None of the above**
- 5. All of the above**

Enter your response in the chat room.



Poll Question

Now that you have learned more about performance reporting for the ABA grant, tell us how you are feeling....

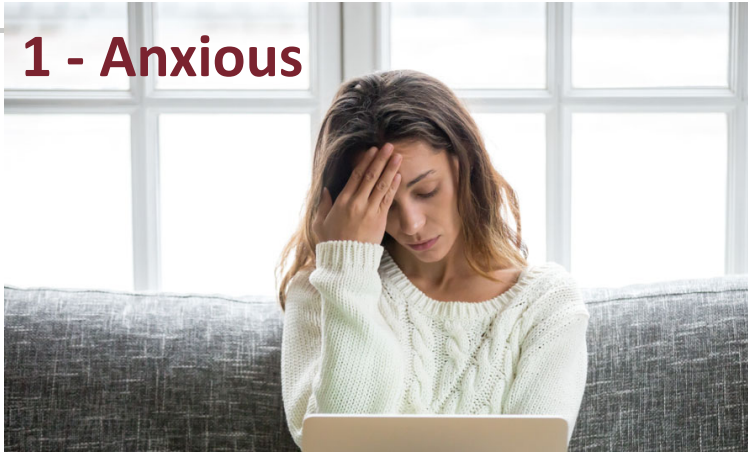
- 1. Anxious**
- 2. Relieved**
- 3. Clueless**
- 4. Determined**
- 5. Other...No words can describe how I feel!**

Enter your answer in the chat room.



Poll Question

1 - Anxious



2 - Relieved



3 - Clueless



4 - Determined



Technical Assistance Available: Council of State Governments

- **Process Modeling**

- Creates a visual representation of process of data collection mapped to the data reporting fields

- **Trainings:**

- Broad trainings on high level topics
- Peer-to-Peer trainings with organizations that have superb reporting
- One-on-One trainings



Technical Assistance Available: Council of State Governments

■ Desk Guides and Technical Support

- We will work with you to identify your needs and develop the relative guides and support

■ Data mapping and migration

- If you have existing systems, we can work with you to map the data fields and/or assist with migration to new systems

Email

Casandra Hockenberry
chockenberry@csg.org

or

Chip O'Connell
coconnell@csg.org



Any Questions?



*Raise your hand and unmute your microphone
or type your question in the chat room.*

Reminder – WIPS' ACCESS!



**DON'T
FORGET!**

- ▶ **Don't Wait!** Submit your **WIPS Designation Form by October 28, 2022** to ABA.Grant@dol.gov
- ▶ **Non-Registered** Submitters/Certifiers: Look for an email from admin@dol.appiancloud.com
- ▶ **Registered** Submitters/Certifiers: Access vPIRL2021
- ▶ User IDs and Temporary passwords are **lower case**
- ▶ Access WIPS at least every 45 days

Upcoming in Apprenticeship Performance Reporting Technical Assistance?



WIPS Office Hours

- November 8, 2022; 3pm - 4pm ET
- November 10, 2022; 3pm - 4pm EST

Upcoming in Apprenticeship Performance and Reporting Technical Assistance?



**COMING
SOON**

Three-Part Performance and Reporting Webinar Series

- ▶ **November 2, 2022**; 2-3:30 pm ET - Module I – An Overview of Reporting Guidelines
- ▶ **November 7, 2022**; 2-3:30 pm ET - Module II – The Participant Individual Record Layout (PIRL)
- ▶ **November 9, 2022**; 2-3:30pm ET - Module III – The Workforce Integrated Performance System (WIPS)

Upcoming in Apprenticeship Performance and Reporting Technical Assistance?



- [TEGL 23-19, Change 1](#) published on October 25, 2022. This guidance sets the parameters for validating participant data. See Attachment II for Apprentice Grants-specific information and source documentation..
- Look for a Technical Assistance Event and Implementation Plans Soon!

Quick Tips: Guidance for Performance Reporting



Policy Guidance

Subject

[TEGL 10-16, Change 2](#)

Performance Accountability Guidance for WIOA Title I, Title II, Title III, and Title IV Core Programs – *See specific information on the WIOA indicators of performance.*



[TEGL 14-18](#)

Aligns Performance Accountability Reporting, Definitions, and Policies Across Workforce Employment and Training Programs Administered by DOL *Apprenticeship-specific attachment coming in 2023.*



[TEGL 23-19, Change 1](#)

Guidance for Validating Jointly Required Performance Data Submitted under the WIOA – *Apprenticeship-specific information now available.*

Quick Tips: General Guidance

Resources	Subject
<u>FOA-ETA-22-06</u>	Funding Opportunity Announcement (FOA) for the Grant
<u>TEGL 39-11</u>	Provides guidance to grantees on compliance with the requirements of handling and protecting <i>Personally Identifiable Information</i> (PII)
TA Aids	Three TA Aids have been published to assist grantees with performance and reporting (i.e., <u>Types of Individuals in Apprenticeship Grants</u> ; <u>Application of “Exit” to Apprenticeship Grants</u> ; <u>Interpretation of Reportable Individual for Apprenticeship Grants</u>). Find them: https://ase.workforcegps.org/Performance-Reporting .

Key Performance Resources – At A Glance

▶ DOL ETA Resources

- ▶ ETA Performance Page

▶ ABA Workforce GPS Landing Page



▶ Performance Reporting Landing Page

- ▶ Performance Reporting for Apprenticeship Grants
 - ▶ Frequently Asked Questions (FAQs)
 - ▶ Apprenticeship Reporting Resources (PIRL, QPR template, Specifications, etc.)
 - ▶ QNR Template

▶ PIRL Reporting Online Resource – 3.0



Contact Us

► Performance Reporting and Programmatic Questions



ABA.Grant@dol.gov

► CSG Data Collection & Reporting TA



<https://www.csg.org>

► WIPS Technical Assistance



https://www.doleta.gov/performance/wips/WIPS_Technical_Assistance_Request.cfm





Thank You!