Presenters

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The Workforce Innovation and Opportunity Act
Today’s Topics –

• Timeline Check
• Common Performance Accountability
• Information Collection Request (ICR)
• Transparency
  • WIOA Primary Indicators
  • Adjusted Levels of Performance
  • Performance Sanctions
  • Definitions and Concepts
• WIOA Resources
### Key Statutorily Required Implementation Dates:
Attachment B, TEN 5-14 – WIOA Announcement and Initial Informational Resources; July 22, 2014

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>July 22, 2015</td>
<td><strong>Template for performance reports</strong> by state, local, and Eligible Training Providers must be developed by Secretaries of Labor and Education (within 12 months after the date of enactment)</td>
</tr>
<tr>
<td>On or before September 21, 2015</td>
<td><strong>Document ID: ETA-2015-0007</strong> Comment Request for Information Collection for the WIOA Performance Management, Information, and Reporting System (OMB Control No. 1205-0NEW)</td>
</tr>
<tr>
<td>Early 2016</td>
<td>DOL, ED and HHS must publish Final Rules to implement WIOA</td>
</tr>
<tr>
<td>March 3, 2016</td>
<td>Deadline for State Unified Plan submission (120 days before 2nd full PY)</td>
</tr>
<tr>
<td>March 3, 2016</td>
<td>Levels for new performance indicators are negotiated as part of approval of State Unified Plans</td>
</tr>
<tr>
<td>June 30, 2016</td>
<td>DOL and ED must develop performance indicator relating to effectiveness in serving employers (prior to 2nd full PY)</td>
</tr>
<tr>
<td>July 1, 2016</td>
<td>Implementation of Performance Reporting System</td>
</tr>
</tbody>
</table>
Why common performance indicators?

• To ensure that federal investments in employment and training programs are:
  • evidence-based,
  • data-driven, and
  • accountable.

• Core and other authorized programs are required to report on the new primary indicators.
Common Performance Accountability

Core and Other Authorized Programs --

In addition to Adult, Dislocated Worker and Youth WIOA programs, these WIOA measures apply to:

1. Adult Ed & Literacy under Title II
2. Wagner-Peyser (Adult Measures Only and New Employer Measure)
3. Selected programs under Title I of Rehabilitation Act of 1973
4. Job Corps – (Youth Measures and possibly New Employer Measure)
Reminder!

ICR is Still Open

...until September 21, 2015
Information Collection Request (ICR)

WIOA Performance Management, Information, and Reporting System

- OMB Number: 1205–0NEW
- Document ID: ETA-2015-0007
  - Federal Register Notice
  - Supporting Documents

You are encouraged to comment!
Supporting & Related Materials in the ICR

- **WIOA Participant Individual Record Layout (PIRL)** - ID: ETA-2015-0007-0009
- **Data Element Specifications** - ID: ETA-2015-0007-0006
- **WIOA Statewide Performance Report Template** - ID: ETA-2015-0007-0004
Transparency
The Broad Idea of Transparency –

- Performance reports **will be made publicly available**

- Report data **will use a common template** (provided by the Departments of Education and Labor)

- ETPs are required to provide data on **performance outcomes for all students** in a training program.

- DOL and ED required to **consult with workforce and education system** in developing Performance Accountability provisions
Transparency - Drilldown

Drilldown into…
Performance reports will be made publicly available

Data collected in the WIOA Annual State and Local Area Performance Reports; and WIOA Eligible Training Provider (ETP) Performance Reports

To be published annually on:
www.doleta.gov/performance (Adult, Dislocated Worker, and Youth programs under Title I and the Wagner-Peyser Act program under Title III);

https://rsa.ed.gov/ (Vocational Rehabilitation Services program under Title IV); and

http://www.ed.gov/about/offices/list/ovae/resource/index.html (Adult Education and Family Literacy Act program under Title II).
Drilldown into …
Report data **will use a common template**
(provided by the Departments of Education and Labor)

• Section 116(d)(2) of WIOA mandates that the Secretaries of Labor and Education develop a template for performance reports
Drilldown into …
ETPs are required to provide data on performance outcomes for all students in a training program.

Two approaches under consideration for Grantees:

1. Complete the ETP reports using the proposed template and provide DOL with the appropriate location of the report; or
2. Send aggregated data to DOL; DOL could compile, format, and display in a standardized user-friendly template and make available

- Comments requested on the relative merits of each approach…
Transparency – Drilldown

Drilldown into …
DOL and ED required to consult with workforce and education system in developing Performance Accountability provisions to focus on:

- Definitions of indicators
- Establishment of effectiveness in serving employers indicator
- Development of statistical adjustment model
- Guidelines for establishing a fiscal and management accountability information system
WIOA’s new primary indicators focus on outcomes and progress of programs.

**UNDER WIA** *(Common Measures only)*

**Adult Programs --**
1. Entered Employment (1st Q)
2. Employment Retention (2nd & 3rd Q)
3. 6 Months Average Earnings (2nd & 3rd Q)

**Youth Programs --**
4. Placement in Employment/Education (1st Q)
5. Attainment of a Degree or Certificate (by 3rd Q)
6. Literacy Numeracy Gains

**UNDER WIOA** *(Primary Indicators only)*

1. Percent Employed 2nd Qtr. after exit (Adult Prgs.)
2. Percent Employed 4th Qtr. after exit (Adult Prgs.)
3. Placement in Employment/Education 2nd Qtr. after exit (Youth Programs)
4. Placement in Employment/Education 4th Qtr. after exit (Youth Programs)
5. Median Earnings 2nd Qtr. after exit (All programs)
6. Credential Attainment (up to 1 year after exit) (All programs except Wagner-Peyser)
7. Measurable Skill Gains (All programs except Wagner-Peyser)
8. Effectiveness in Serving Employers (All programs)
Transparency – Drilling Deeper

Drilling deeper into …
- Establishment of **effectiveness** in serving employers indicator

**TO BE DEVELOPED –**

prior to the second full Program Year

According to TEN 5-14 timeline by:

**June 30, 2016**
Drilling deeper into …
Development of statistical adjustment model

A statistical adjustment model will –

- **be used before the program year** to establish negotiated targets.
- **take into account** economic conditions and participant characteristics.
- **be applied at the end of a program year** to adjust for actual conditions experienced.
Drilling deeper into …

- **Guidelines** for establishing a fiscal and management accountability information system
- Available for commenting…
  - Participant Individual Record Layout (PIRL)
  - Data Element Specifications
  - State and Local Area Annual Report Template
  - ETP Performance Report Template
# WIOA – PARTICIPANT INDIVIDUAL RECORD LAYOUT (PIRL)

<table>
<thead>
<tr>
<th>No.</th>
<th>DATA ELEMENT</th>
<th>TYPE OF DATA</th>
<th>DATA ELEMENT DEFINITIONS/INSTRUCTIONS</th>
<th>CODE VALUE</th>
</tr>
</thead>
<tbody>
<tr>
<td>100</td>
<td>Unique Individual Identifier</td>
<td>AN 12</td>
<td>Record the unique identification number assigned to the participant. At a minimum, this identifier for a person <strong>must</strong> be the same for every period of participation.</td>
<td>XXXXXXXXXX</td>
</tr>
<tr>
<td>101</td>
<td>State Code of Residence</td>
<td>AN 2</td>
<td>Record the 2-letter FIPS alpha code of the state or territory of the primary domicile of the participant. For example, the State of Alabama would be represented as &quot;AL.&quot; Primary domicile is that location established or claimed as the permanent residence or &quot;home&quot; of the participant. If primary domicile is outside the United States, use the following numeric codes: 77 = All Other Countries 88 = Mexico 99 = Canada For persons on active military duty, states should record the two-letter Air/Army Post Office (APO) or Fleet Post Office (FPO) as defined by the Military Postal Service Agency. AE (ZIPs 09xxx) for Armed Forces Europe which includes Canada, Middle East, and Africa AP (ZIPs 962xx - 966xx) for Armed Forces Pacific AA (ZIPs 340xx) for Armed Forces (Central and South) Americas</td>
<td>XX</td>
</tr>
<tr>
<td>200</td>
<td>Date of Birth</td>
<td>DT 8</td>
<td>Record the participant's date of birth. Leave blank if data is not available. NOTE: Field is mandatory for Vocational Rehabilitation (RSA).</td>
<td>YYYYMMDD</td>
</tr>
<tr>
<td>201</td>
<td>Gender</td>
<td>IN 1</td>
<td>Record 1 if the participant indicates that he is male at program entry. Record 2 if the participant indicates that she is female at program entry. Record 9 if the participant does not self-identify gender at program entry. Leave blank if the data is not available.</td>
<td>1 = Male 2 = Female 9 = Participant did not self-identify</td>
</tr>
</tbody>
</table>
## WIOA – DATA ELEMENT SPECIFICATIONS

<table>
<thead>
<tr>
<th>Report Item No.</th>
<th>Identifier (Definition)</th>
<th>Plain Text Specifications</th>
<th>Technical Specifications</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Participants Served (Career Services)</td>
<td>Count of participants served during the period of the report who received Career Services only.</td>
<td>Count of UNIQUE RECORDS where ((Funding Stream(^1)) and (RECEIVED TRAINING = 0)) and ((DATE OF PROGRAM ENTRY &lt;= end of the report period) and (DATE OF EXIT =&gt; beginning of the report period or DATE OF EXIT is null))</td>
</tr>
<tr>
<td>2</td>
<td>Participants Exited (Career Services)</td>
<td>Count of participants for individuals who exited from services during the period of the report where individuals received Career Services Only.</td>
<td>Count of UNIQUE RECORDS where ((Funding Stream) and RECEIVED TRAINING = 0)) and DATE OF EXIT is within the reporting period.</td>
</tr>
<tr>
<td>3</td>
<td>Funds Expended (Career Services)</td>
<td>Total Amount expended on count of participants during the period of the report for individuals who received Career Services Only during the period of the report.</td>
<td>Total Amount Expended for the count of UNIQUE RECORDS where ((Funding Stream) and (RECEIVED TRAINING = 0)) and ((DATE OF PROGRAM ENTRY &lt;= end of the report period) and (DATE OF EXIT =&gt; beginning of the report period or DATE OF EXIT is null))</td>
</tr>
<tr>
<td>4</td>
<td>Cost Per Participant Served (Career Services)</td>
<td>Funds Expended divided by count of participants served during the period of the report who received Career Services only</td>
<td>(Total Amount Expended for the count of UNIQUE RECORDS where ((Funding Stream) and (RECEIVED TRAINING = 0)) and ((DATE OF PROGRAM ENTRY &lt;= end of the report period) and (DATE OF EXIT =&gt; beginning of the report period or DATE OF EXIT is null))) divided by (count of UNIQUE RECORDS where (Funding Stream) and (RECEIVED TRAINING = 0)) and (Date of Program Entry &lt;= end of the report period) and (DATE OF EXIT =&gt; beginning of the report period or DATE OF EXIT is null)))</td>
</tr>
<tr>
<td>Services/Other</td>
<td>Participants Served</td>
<td>Participants Exited</td>
<td>Funds Expended</td>
</tr>
<tr>
<td>--------------------------------</td>
<td>---------------------</td>
<td>---------------------</td>
<td>----------------</td>
</tr>
<tr>
<td>Career Services</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Training Services</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percent training-related employment&lt;sup&gt;1&lt;/sup&gt;:</td>
<td>Number of participants enrolled in more than one core program:</td>
<td>Percent Admin Expended:</td>
<td></td>
</tr>
<tr>
<td>Characteristic / Indicator</td>
<td>Total Participants served</td>
<td>Total Participants exited</td>
<td>Employment Rate (Q2)&lt;sup&gt;2&lt;/sup&gt;</td>
</tr>
<tr>
<td>Total Statewide</td>
<td></td>
<td></td>
<td>Target</td>
</tr>
<tr>
<td>14 - 15</td>
<td></td>
<td></td>
<td>Num</td>
</tr>
<tr>
<td>15 - 18</td>
<td></td>
<td></td>
<td>Num</td>
</tr>
</tbody>
</table>
## WIOA – Eligible Training Provider (ETP) Performance Report Template

**Location:**

**Time Period:** Annual

**Name of Provider:**

**Type of Entity:**

**Program of Study:**

**Programs:** WIOA ADUI

**Three Preceding Program Year Historical Reports:**

(Submit links to reports here.)

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### Table: Performance Indicators

<table>
<thead>
<tr>
<th>Type of Student</th>
<th>Total Served</th>
<th>Total Number of Students Served</th>
<th>Employment Rate (Q2)</th>
<th>Employment Rate (Q4)</th>
<th>Median Earnings</th>
<th>Credential Rate - Exiters</th>
<th>Employment Rate Completers (Q3)</th>
</tr>
</thead>
<tbody>
<tr>
<td>All Students in Program</td>
<td>The total number of students for this training program.</td>
<td>The total number of students who completed, withdrew from a program of study or equivalent and have no planned gap in service and no future services planned, excluding follow-up, in the reporting period</td>
<td>Number of exits during the reporting period who are employed during the second quarter after exit (numerator) divided by the number of exits during the reporting period (denominator) multiplied by 100 and reported as a percentage.</td>
<td>Number of exits during the reporting period who are employed during the fourth quarter after exit (numerator) divided by the number of exits during the reporting period (denominator) multiplied by 100 and reported as a percentage.</td>
<td>For all exits in a program of study where a wage match occurred, report the wage that is at the midpoint between the highest and lowest wage earned in the second quarter after exit.</td>
<td>Number of participants who exited that were in a postsecondary education or training program and who obtained a recognized postsecondary credential during the program or within one year after exit; plus the number of participants who exited that were in a secondary education program and who obtained a secondary school diploma or equivalent during the program or within one year after exit and who were also employed or enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit (numerator), divided by the number of participants who exited and were in a secondary education program or training program (denominator).</td>
<td>The number of exits during the reporting period who are employed during the second quarter after exit (numerator) divided by the number of exits during the reporting period (denominator).</td>
</tr>
<tr>
<td>WIOA Participants</td>
<td>The total number of WIOA participants who received training services through each of the adult program and the dislocated worker program in the reporting period</td>
<td>The total number of WIOA participants who completed, withdrew from a program of study or equivalent in the reporting period</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
</tr>
</tbody>
</table>

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**The Workforce Innovation and Opportunity Act**
Performance Sanctions

How Can a Sanction Occur?

- A 5 percent sanction of the Governor’s reserve is applied if a state either:
  - fails to report in any given program year; or
  - fails to meet adjusted levels of performance for 2 consecutive program years.

- Technical assistance is provided to states the first year they fail to meet adjusted levels of performance.
Effectiveness of WIOA’s Core Programs

The WIOA data collection formats permit the Departments to –

▪ evaluate program effectiveness,

▪ monitor compliance with statutory requirements,

▪ analyze participant activity, and

▪ comply with OMB efforts to streamline Federal performance reporting
<table>
<thead>
<tr>
<th>Indicator/Program</th>
<th>Title II Adult Education</th>
<th>Title IV Rehabilitative Services</th>
<th>Title I Adults</th>
<th>Title I Dislocated Workers</th>
<th>Title I Youth</th>
<th>Title III Wagner-Peyser</th>
<th>Average Indicator Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment 2nd Quarter After Exit</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Employment 4th Quarter After Exit</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>Median Earnings 2nd Quarter After Exit</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3</td>
</tr>
<tr>
<td>Credential Attainment Rate</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>Measurable Skill Gains</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5</td>
</tr>
<tr>
<td>Effectiveness in Serving Employers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6</td>
</tr>
<tr>
<td>Average Program Score</td>
<td>7</td>
<td>8</td>
<td>9</td>
<td>10</td>
<td>11</td>
<td>12</td>
<td>-</td>
</tr>
</tbody>
</table>
Currently-approved program-specific data reporting Control Numbers that will continue:

- 1205-0420, Workforce Investment Act Management Information and Report System (ETA 9090 and ETA 9091)
- 1205-0240, Labor Exchange Reporting System (ETA 9002 and VETS 200)
- 1830-0027, Measures and Methods for the National Reporting System for Adult Education
- 1820-0508, RSA-911 Case Service Report
Key Definitions and Concepts
Definition of a “Participant”

Participant —

Those (individuals) who have received staff-level services within the program year, or have received vocational rehabilitation services under a signed individualized plan for employment. *

* Federal Register / Vol. 80, No. 140 / July 22. 2015/ Notices
Definition of an “Exited Individual”

An individual will be considered to have exited after they have gone 90 days without service, and with no future services scheduled.
“Exited Individual” Examples

Example #1 --

- Individual returns for additional services after the 90 days—within the same program year and exits in that same program year— the individual’s exit date will be changed to reflect only the last exit date in that program year.
Example #2 --

- If the individual exits in a subsequent program year, they would be counted as a new participant for purposes of that subsequent program year.

NOTE: Counting unique individuals in this manner will allow an unduplicated count of participants in the accountability and reporting system.
Regarding the Exiting methodologies --

- The Departments understand methodologies may affect quarterly reporting results and counts of services rendered early in the program year for those core programs that submit quarterly reports.

- Comments requested on the potential impact on individual states and local areas …
WIOA RESOURCES

Department of Labor Resources:

- [www.doleta.gov/WIOA](http://www.doleta.gov/WIOA)
- [wdr.doleta.gov/directives/](http://wdr.doleta.gov/directives/)

Department of Education Resources:

OCTAE:
[http://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/wioa-reauthorization.html](http://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/wioa-reauthorization.html)

RSA:  [https://rsa.ed.gov/display.cfm?pageid=441](https://rsa.ed.gov/display.cfm?pageid=441)
Technical Assistance and Training

- Visit [www.workforce3one.org/](http://www.workforce3one.org/)
  - Online Training - WIOA sessions
  - Tools
  - Quick Start Action Plans (QSAPs)
  - Previously recorded webinars
  - Transcripts and Downloadable PowerPoint Presentations
Have a question or comment about WIOA?

E-mail: DOL.WIOA@dol.gov
Region 4 Point of Contact

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Program Analyst

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Thank you for your time!