

Appendix I

Primary Indicators of Performance

The language below is aligned with the guidance in Training and Employment Guidance Letter (TEGL) 10-16, Change 1, developed by the Department of Labor (DOL) and the Department of Education (ED) (collectively referred to in this guidance as “the Departments”), which provides joint performance guidance on the performance provisions in the Workforce Innovation and Opportunity Act (WIOA) for the six WIOA core programs: the title I Adult, Dislocated Worker, and Youth programs, administered by DOL; the title II Adult Education and Family Literacy Act (AEFLA) program, administered by ED; the Employment Service (ES) program authorized under the Wagner-Peyser Act, as amended by WIOA title III,¹ administered by DOL; and the Vocational Rehabilitation (VR) program authorized under title I of the Rehabilitation Act of 1973, as amended by WIOA title IV,² administered by ED. This appendix provides guidance for the DOL-administered core programs as well as for the DOL-administered non-core programs.

This appendix will serve as a point of reference for the individual DOL programs in their programmatic attachments in this guidance. The attachments provide guidance on when and how to implement these indicators for each program.

WIOA Primary Indicators of Performance.

Under WIOA section 116(b)(2)(A) and 20 CFR 677.155, there are six primary indicators of performance. For the first two indicators, there is a modified indicator for the title I Youth program, which is provided below:

A. Employment Rate – 2nd Quarter After Exit: The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program.

Youth Education or Employment Rate – 2nd Quarter After Exit: The percentage of participants in education or training activities, or in unsubsidized employment, during the second quarter after exit.

B. Employment Rate – 4th Quarter After Exit: The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program.

¹ Although this program is authorized under the Wagner-Peyser Act, it was amended by title III of WIOA and is a “core program” of WIOA, as defined at WIOA section 3(12). Throughout this appendix, it is referred to as the “title III Employment Service.”

² Although this program is authorized under title I of the Rehabilitation Act of 1973, it was amended by title IV of WIOA and is a “core program” of WIOA, as defined at WIOA section 3(12). Throughout this appendix, it is referred to as the “title IV VR program.”

Youth Education or Employment Rate – 4th Quarter After Exit: The percentage of participants in education or training activities, or in unsubsidized employment, during the fourth quarter after exit.

- C. Median Earnings – 2nd Quarter After Exit: The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.
- D. Credential Attainment: The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.
- E. Measurable Skill Gains (MSG): The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. Depending on the type of education or training program, documented progress is defined as one of the following:
- a) Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary education level;
 - b) Documented attainment of a secondary school diploma or its recognized equivalent;
 - c) Secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is meeting the state unit's academic standards³;
 - d) Satisfactory or better progress report, towards established milestones, such as completion of OJT or completion of one year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training; or

³ Within each state there is an administrative unit that provides authorization to postsecondary institutions within the state. States differ in the requirements to which they hold postsecondary institutions responsible for satisfactory progress. Progress for WIOA purposes must comply with any applicable state standards. Likewise, every state has a state educational agency that establishes education standards for secondary education within the state, which would apply for purposes of determining if a participant is meeting the state's academic standards.

e) Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks such as knowledge-based exams.

F. Effectiveness in Serving Employers: WIOA section 116(b)(2)(A)(i)(VI) requires the Departments to establish a primary indicator of performance for effectiveness in serving employers. This primary indicator of performance applies to many, but not all, DOL non-core programs. As described further below, particular DOL non-core programs will track effectiveness in serving employers using an approach that measures participants' retention of employment with the same employer in the 2nd and 4th quarter after exit. For the six core WIOA programs, the Departments are piloting three approaches to measuring this indicator. Descriptions of these approaches, and the pilot for the core programs, can be found in TEGL 10-16, Change 1.

The methodologies of calculating most of the primary indicators of performance are written as equations (see TEGL 10-16, Change 1, Attachment 10 https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255), clearly identifying what cohorts are in the numerator and what cohorts are in the denominator. In cases where conditions that apply to both, the condition is represented in italics at the beginning of the discussion about the indicator.

These primary indicators of performance apply to all six core programs, excepting indicators for credential attainment and for measurable skill gains for the title III Employment Service program. For the non-core programs, the program-specific guidance in Attachments 1 through 11 describes the extent to which these primary indicators of performance apply to each non-core program, as well as any program-specific variation in their definition, methodology, or calculation.

For the employment-related performance indicators⁴, status in unsubsidized employment and quarterly earnings may be determined by direct Unemployment Insurance (UI) wage match, federal employment records, military employment records, or supplemental wage information. Participants who are in the military or in a Registered Apprenticeship are also considered as employed, and their quarterly earnings are calculated, for the purpose of these indicators. Supplemental wage information may be used to report these indicators only in those circumstances where quarterly wage records are not available or may not apply (e.g., for participants who are self-employed, or for participants who decline to provide a social

⁴These indicators are: employment rate in the second and fourth quarters after exit, median earnings in the second quarter after exit, the employment-related portion of the credential attainment indicator, and effectiveness in serving employers as measured by retention with the same employer.

security number (SSN), as well as for grantees or Job Corps contractors that do not collect SSNs).⁵ States may document supplemental information in case files and their Management Information Systems (MIS), submitting this information to the Departments by using the data reporting instruments (e.g., Participant Individual Record Layout (PIRL) and Statewide and Local Performance Report Template and Specifications). The Departments have provided specific protocols on the use of supplemental wage information in TEGL 26-16 (https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5002) and in section 17 of this guidance.

As detailed in TEGL 10-16, Change 1, Attachment 2, Table A and TEGL 10-16, Change 1, Attachment 2, Table B (see link to TEGL 10-16, Change 1 above), under very limited circumstances, some participants who exit programs are excluded from the performance calculations for the six indicators. These categories of exclusions apply to participants who exit for any of the reasons described in TEGL 10-16, Change 1, Attachment 2, Table A (for programs using title I Adult performance indicators) and TEGL 10-16, Change 1, Attachment 2, Table B (for programs using title I Youth performance indicators) (see link to TEGL 10-16, Change 1 above).

Furthermore, participants who have exited a program but for whom information is not yet available, are not included in performance calculations until such data become subsequently available. For the employment-related indicators (e.g. employment rate in the second and fourth quarters after exit, median earnings in the second quarters after exit, credential attainment⁶, and effectiveness in serving employers—retention with the same employer), if employment status is recorded as “Information not yet available,” or if total earnings are recorded as “999999.99” (data were not yet available), the participant record will be excluded from the performance calculations. The Departments anticipate that data for the employment indicators will generally be available at the time of reporting, as there is a two-quarter lag built into the reporting times for the employment- and wage-based indicators to allow time for reporting participant exit and direct UI wage record match. The two-quarter lag is also sufficient for obtaining supplemental wage information.

⁵ The Department notes that as announced on July 28, 2017 via TEN 3-17, Informing the States about Reassessment of the Federal Employment Data Exchange System (FEDES), the operation of the Federal Employment Data Exchange System (FEDES) was temporarily suspended in January 2018. FEDES was a pilot program that had supported reporting based on Federal civilian and military employment records, including records maintained by the Office of Personnel Management and the Department of Defense. Until and unless a similar data sharing agreement is implemented for federal employment information, supplemental wage records is currently the only method of documenting employment status and wages after December 31, 2017, for individuals employed by the Federal government as a civilian (e.g., civil service, U.S. Postal Service, and civilians employed by the Department of Defense) or as a member of the military.

⁶ Employment status is only relevant for the credential attainment indicator when the credential attained is a secondary school diploma, which requires that the participant be employed or education/training in order to count as a positive outcome.

The methodology for calculating the primary indicators of performance for the core programs and for the non-core programs (unless otherwise specified in program-specific guidance), and the operational parameters determining the population assessed for each primary indicator, are described below.

A. Employment Rate – 2nd Quarter After Exit

Employment Rate – 2nd Quarter After Exit is the percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program.

Methodology:

Calculation includes all program participants, except those participating in the title I Youth program or participating in non-core programs employing the youth indicators (which will be discussed separately below):

The number of participants who exited during the reporting period who are found to be employed, either through direct UI wage record match, Federal or military employment records, or supplemental wage information, in the second quarter after the exit quarter DIVIDED by the number of participants who exited during the reporting period. This is described in TEGL 10-16, Change 1, Attachment 10, Figure 1 (see link to TEGL 10-16, Change 1 above).

Operational Parameters:

For the DOL core programs, when calculating levels of performance for this indicator, states must include all participants exiting the program for the WIOA title I Adult, title I Dislocated Worker, and title III Employment Service programs. However, states must not include (in either the numerator or denominator) those participants who exit during the reporting period for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table A or TEGL 10-16, Change 1, Attachment 2, Table C (PIRL 923) regarding exclusions (see link to TEGL 10-16 above).

For non-core programs for which the adult indicators apply, grantees and Job Corps contractors must include all participants exiting the program when calculating levels of performance for this indicator. Note that grantees and Job Corps contractors must not include (in either the numerator or denominator) those participants who exit during the reporting period for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table A (PIRL 923) regarding exclusions, unless specified otherwise in program-specific guidance.

A-1. Youth Education and Employment Rate – 2nd Quarter After Exit

Youth Education and Employment Rate – 2nd Quarter After Exit is the percentage of youth program participants (or participants in non-core programs using the youth indicators) who are in education or training activities, or in unsubsidized employment, during the second quarter after exit from the program.

Methodology:

Calculation includes all youth program participants:

The number of youth program participants who exited during the reporting period who are found to be employed, either through direct UI wage record match, Federal or military employment records, or supplemental wage information, OR found to be enrolled in secondary education, postsecondary education, or occupational skills training (including advanced training) in the second quarter after the exit quarter DIVIDED by the number of youth program participants who exited the program during the reporting period. This is described in TEGL 10-16, Change 1, Attachment 10, Figure 2.

Operational Parameters:

For the title I youth core program, calculations for determining levels of performance for this indicator include all participants who exit the program except those that exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table B (PIRL 923). Title I Youth who are in the AmeriCorps program or Job Corps program in the second quarter after exit are counted as a success in the training portion of the indicator.

For non-core programs in which the youth indicator applies, calculations for determining levels of performance for this indicator include all participants who exit the non-core youth program except those that exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table B (PIRL 923), unless specified otherwise in program-specific guidance. Furthermore, youth who are in the AmeriCorps program or Job Corps program in the second quarter after exit are counted as a success in the training portion of the indicator.

B. Employment Rate – 4th Quarter After Exit

Employment Rate – Fourth Quarter After Exit is the percentage of program participants who are in unsubsidized employment during the fourth quarter after exit from the program.

Methodology:

Calculation includes all program participants, except those participating in the title I Youth program or participating in non-core programs employing the youth indicators (which will be discussed separately below):

The number of participants who exited during the reporting period who are found to be employed, either through direct UI wage record match, Federal or military employment records, or supplemental wage information, in the fourth quarter after the exit quarter DIVIDED by the number of participants who exited during the reporting period. This is described in TEGL 10-16, Change 1, Attachment 10, Figure 3.

Operational Parameters:

For core programs, calculation of levels of performance for this indicator includes all participants who exit from the WIOA title I Adult, title I Dislocated Worker, and title III Employment Service. Note that states must not include (in either the numerator or denominator) those who exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table A or TEGL 10-16, Change 1, Attachment 2, Table C (PIRL 923) regarding exclusions (see link to TEGL 10-16, Change 1 above).

For non-core programs, grantees and Job Corps contractors must include all participants exiting the program when calculating levels of performance for this indicator. Note that grantees and Job Corps contractors must not include (in either the numerator or denominator) those participants who exit during the reporting period for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table A (PIRL 923) regarding exclusions, unless specified otherwise in program-specific guidance.

B - 1. Youth Education and Employment Rate – 4th Quarter After Exit

Youth Education and Employment Rate – Fourth Quarter After Exit is the percentage of youth program participants (or participants in non-core programs using the youth indicators) who are in education or training activities, or in unsubsidized employment, during the fourth quarter after exit from the program.

Methodology:

Calculation includes all youth program participants who exit from the program:

The number of youth program participants who exited the program during the reporting period who are found to be employed, either through direct UI wage record match, Federal or military employment records, or supplemental wage information,

OR found to be enrolled in secondary education, postsecondary education, or occupational skills training (including advanced training) in the fourth quarter after the exit quarter DIVIDED by the number of youth program participants who exited the program during the reporting period. This is described in TEGL 10-16, Change 1, Attachment 10, Figure 4.

Operational Parameters:

For the WIOA title I youth core program, calculation of levels of performance for this indicator includes all participants who exit from the program, except those who exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table B (PIRL 923). Title I Youth who are in the AmeriCorps program or Job Corps program in the fourth quarter after exit are counted as a success in the training portion of the indicator.

For non-core programs in which the youth indicator applies, calculations for determining levels of performance for this indicator include all participants who exit the non-core youth program except those that exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table B or TEGL 10-16, Change 1, Attachment 2, Table C (PIRL 923), unless specified otherwise in program-specific guidance. Furthermore, youth who are in the AmeriCorps program or Job Corps program in the fourth quarter after exit are counted as a success in the training portion of the indicator.

C. Median Earnings – 2nd Quarter After Exit

Median Earnings – 2nd Quarter After Exit is the median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program, as established through direct UI wage record match, Federal or military employment records, or supplemental wage information.

Methodology:

To calculate the median earnings for all participants employed in the second quarter after exit from any of the core programs or non-core programs (unless specified otherwise in program-specific guidance):

Total quarterly earnings, for all participants employed in the second quarter after exit, are collected by either direct wage record match or supplemental wage information. The collected quarterly wage information values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median earnings value, where there is the same quantity of numbers above the median number as there is below the median number. This is described in TEGL 10-16, Change 1, Attachment 10, Figure 5.

The Wage Conversion Chart (TEGL 10-16, Change 1, Attachment 3, see link to TEGL 10-16, Change 1 above) is used to convert supplemental wage information values that do not represent the total amount a participant earned in the second quarter after exit. When using the Wage Conversion Chart it is important to distinguish between wages and earnings. Wage refers to a ratio of a specified amount of earnings over a specified period of time (e.g. \$15/hour). The Wage Conversion Chart should be used only when the wage rate—and not the earnings information—is available. This Wage Conversion Chart applies to both the core and non-core programs unless otherwise specified.

Operational Parameters:

The following participants and any associated earnings figures are excluded from the calculation for median earnings:

1. Participants who have exited and are not employed in the second quarter after exit (PIRL 1602 – Employed in 2nd Quarter After Exit Quarter – with code value 0)
2. Participants who have exited a program and for whom information is not yet available:
 - PIRL 1602 – Employed in 2nd Quarter After Exit Quarter – with code 09 (Information not yet available); or
 - PIRL 1603 – Type of Employment Match 2nd Quarter After Exit Quarter – with code value 5 (Information not yet available); or
 - PIRL 1704 – Wages 2nd Quarter After Exit Quarter – with code value 999999.99 or blank.

There is a two quarter lag built into the reporting times for the wage and employment-based indicators to allow time for reporting participant exit and direct wage record match. After two quarters, if the information is still not available, wages will be converted to \$0 permanently. Wages reported as \$0 will indicate that the participant was not employed in the second quarter after exit, thereby counting as a negative outcome in the Employment Rate 2nd Quarter After Exit indicator and excluding that participant from the Median Earnings 2nd Quarter After Exit indicator.

3. Participants who have exited from a program and who have \$0 income.
4. Participants who have exited a program and are in subsidized employment.
5. Participants who have exited for any of the reasons listed in Attachment 2, Table A, Attachment 2, Table B, or Attachment 2, Table C to TEGL 10-16, Change 1.

D. Credential Attainment

Credential Attainment is the percentage of those participants enrolled in an education or training program (excluding those in OJT and customized training) who attained a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program.

A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.

This indicator does not apply to the title III Employment Service program.

Methodology:

Calculation includes all participants who exited from a program and were in either a postsecondary education or training program (other than OJT and customized training) OR in a secondary education program at or above the 9th grade level without a secondary school diploma or its equivalent:

The number of participants who exited during the reporting period who obtained a recognized postsecondary credential during the program or within one year after exit OR those who were in a secondary education program and obtained a secondary school diploma or its recognized equivalent during the program or within one year after exit and were also employed, or in an education or training program leading to a recognized postsecondary credential within one year after exit DIVIDED by the number of participants enrolled in an education or training program (excluding those in OJT and customized training) who exited during the reporting period. This is described in TEGL 10-16, Change 1, Attachment 10, Figure 6.

Operational parameters:

This indicator measures attainment of two types of credentials: a recognized postsecondary credential, or a secondary school diploma or its recognized equivalent.

Definition of a Recognized Postsecondary Credential: A recognized postsecondary credential is defined as a credential consisting of an industry-recognized certificate or certification, a certificate of completion of an apprenticeship, a license recognized by the

state involved or federal government, or an associate or baccalaureate degree. A recognized postsecondary credential is 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. These technical or industry/occupational skills generally are based on standards developed or endorsed by employers or industry associations. Neither certificates awarded by workforce development boards (WDBs) nor work readiness certificates are included in this definition because neither of them document measurable technical or industry/occupational skills necessary to gain employment or advance within an occupation. Likewise, to be counted as recognized postsecondary credentials, certificates must recognize technical or industry/occupational skills for the specific industry/occupation rather than general skills related to safety, hygiene, etc., even if such general skills certificates are broadly required to qualify for entry-level employment or advancement in employment.

A variety of different public and private entities issue recognized postsecondary credentials. Below is a list of the types of organizations and institutions that award recognized postsecondary credentials (not all credentials by these entities meet the definition of recognized postsecondary credential).

- A state educational agency or a state agency responsible for administering vocational and technical education within a state;
- An institution of higher education described in Section 102 of the Higher Education Act (20 USC 1002) that is qualified to participate in the student financial assistance programs authorized by title IV of that Act. This includes community colleges, proprietary schools, and all other institutions of higher education that are eligible to participate in federal student financial aid programs;
- An institution of higher education that is formally controlled, or has been formally sanctioned or chartered, by the governing body of an Indian tribe or tribes.
- A professional, industry, or employer organization (e.g., National Institute for Automotive Service Excellence certification, National Institute for Metalworking Skills, Inc., Machining Level I credential) or product manufacturer or developer (e.g., recognized Microsoft Information Technology certificates, such as Microsoft Certified IT Professional (MCITP), Certified Novell Engineer, a Sun Certified Java Programmer, etc.) using a valid and reliable assessment of an individual's knowledge, skills and abilities;

- Employment and Training Administration’s (ETA) Office of Apprenticeship or a State Apprenticeship Agency;
- A public regulatory agency, which awards a credential upon an individual’s fulfillment of educational, work experience, or skill requirements that are legally necessary for an individual to use an occupational or professional title or to practice an occupation or profession (e.g., Federal Aviation Administration aviation mechanic license, or a state-licensed asbestos inspector);
- A program that has been approved by the Department of Veterans Affairs to offer education benefits to veterans and other eligible persons; or
- Job Corps, which issues certificates for completing career training programs that are based on industry skills standards and certification requirements.

Definition of a Secondary School Diploma: For purposes of the credential attainment performance indicator, a secondary school diploma (or alternate diploma) (commonly referred to as high school diploma) is one that is recognized by a state and that is included for accountability purposes under the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act (ESSA). A secondary school equivalency certification signifies that a student has completed the requirements for a high school education. The types of recognized equivalents, for those not covered under ESEA, that would satisfy this performance indicator are those recognized by a state.

Examples of secondary school diplomas, alternate diplomas, and recognized equivalents recognized by individual states include:

- obtaining certification of attaining passing scores on a state-recognized high school equivalency test;
- earning a secondary school diploma or state-recognized equivalent through a credit bearing secondary education program sanctioned by state law, code, or regulation;
- obtaining certification of passing a state recognized competency-based assessment; or
- completion of a specified number of college credits.

Types of Acceptable Credentials: The following are acceptable types of credentials that count toward the credential attainment indicator:

- Secondary School diploma or recognized equivalent;
- Associate’s degree
- Bachelor’s degree
- Occupational licensure
- Occupational certificate, including Registered Apprenticeship and Career and Technical Education educational certificates
- Occupational certification
- Other recognized certificates of industry/occupational skills completion sufficient to qualify for entry-level or advancement in employment.

Note: WIOA section 3(52) defines a recognized postsecondary credential as a credential consisting of an industry-recognized certificate or certification, a certificate of completion of an apprenticeship, a license recognized by the state involved or Federal Government, or an associate or baccalaureate degree. Graduate degrees are not included in the definition of a recognized postsecondary credential. Therefore, graduate degrees do not count towards credential attainment.

It should be noted that the Credential Resource Guide published as TEGL 15-10, Attachment 2 was designed for use under WIA.⁷ There are six Educational Credentials/Awards listed in that attachment that must no longer be applied toward credential attainment (with the exception of TAA). These six credentials/awards are:

1. Post-baccalaureate certificate;
2. Post-master’s certificate;
3. First-professional certificate (post-degree);
4. Master’s degree;
5. First-professional degree; and
6. Doctor’s degree.

Who is included in the Calculation of the Credential Attainment Indicator:

Participants who exit and are in a postsecondary education or training program, or who are in a secondary education program (at or above the 9th grade level) without a secondary school diploma or equivalent, are included in the credential attainment indicator, subject to the “Special Rule” below. However, participants enrolled in work-

⁷ At the time of publishing of this guidance, TEGL 15-10 is still considered to be active guidance but in areas where the guidance conflicts with WIOA guidance (such as those areas described in this section) grantees should defer to more recently published guidance and WIOA statute and final rules.

based OJT or customized training are excluded from this indicator because such training does not typically lead to a credential.

Special Rule Relating to Secondary School Diplomas and Recognized Equivalents in the Calculation of the Credential Attainment Measure:

Participants who obtain a secondary school diploma or its recognized equivalent must also meet an additional condition before they are counted as a successful outcome and included in the numerator of the credential attainment indicator. These participants must be employed, or enrolled in an education or training program leading to a recognized postsecondary credential within one year following exit.

For each core program administered by DOL, a description of who is considered to be enrolled in an “education or training program”, and thus included in the credential attainment indicator, follows:

- **Title I Adult:** All Adult program participants who received training that was not OJT or Customized Training are included in the credential attainment indicator.
- **Title I Dislocated Worker:** All Dislocated Worker program participants who received training that was not OJT or Customized Training are included in the credential indicator.
- **Title I Youth:** All in-school Youth (ISY) are included in the credential attainment indicator since they are attending secondary or postsecondary school. Only out-of-school Youth (OSY) who participate in one of the following are included in the credential attainment indicator:
 - the program element occupational skills training
 - secondary education during participation in the title I Youth program
 - postsecondary education during participation in the title I Youth program
 - Title II-funded adult education during participation in the title I Youth program
 - YouthBuild during participation in the title I Youth program; and
 - Job Corps during participation in the title I Youth program.

For each non-core program, unless otherwise specified in program guidance, all program participants who received education or training that was not OJT or Customized Training are included in the credential attainment indicator.

Exclusions from the Measure:

Participants who exited an education or training program and who were enrolled in OJT only or Customized Training only are excluded from the indicator:

Also, participants who exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table A, Attachment 2, Table B, or Attachment 2, Table C are excluded from the credential attainment indicator.

E. Measurable Skill Gains

The Measurable Skill Gains indicator is the percentage of participants who, during a program year, are in education or training programs that lead to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. This indicator does not apply to the title III Employment Service program.

The measurable skill gains indicator is used to measure interim progress of participants who are enrolled in education or training services for a specified reporting period. It is not an exit-based measure. Instead, it is intended to capture important progressions through educational or skill pathways that offer different services based on program purposes and participant needs. It can also help fulfill the vision for a workforce system that serves a diverse set of individuals with a range of services tailored to individual needs and goals. Depending upon the type of education or training program in which a participant is enrolled, documented progress is defined as one of the following:

1. Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary education level;
2. Documented attainment of a secondary school diploma or its recognized equivalent;
3. Secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is meeting the state unit's academic standards;
4. Satisfactory or better progress report, towards established milestones, such as completion of OJT or completion of one year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training; or

5. Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks, such as knowledge-based exams.

Examples:

- A participant is enrolled in a four-year registered apprenticeship program: the measurable skill gains indicator tracks the skills the participant gains throughout the reporting period in each program year, not just at the end of the four-year training program.
- Low-skilled adult participants of an adult education program: the measurable skill gains indicator provides an opportunity to track and report multiple types of gains in reading, writing, mathematics, and English proficiency for each participant once per program year per period of participation (while more than one of each type can be earned, when reporting the grantee must only report the most recent of each type of gain).

Documenting Progress for Types of Measurable Skill Gains

1. **Documented achievement of at least one educational functioning level (EFL) of a participant who is receiving instruction below the postsecondary level** – Programs may measure educational functioning level gain in one of three ways:
 - (a) states may compare the participant’s initial educational functioning level, as measured by a pre-test, with the participant’s educational functioning level, as measured by a post-test;⁸
 - (b) states that offer adult high school programs that lead to a secondary school diploma or its recognized equivalent may measure and report educational gain through the awarding of credits or Carnegie units; or
 - (c) states may report an educational functioning level gain for participants who exit a program below the postsecondary level and enroll in postsecondary education and training during the program year. A program below the postsecondary level applies to participants enrolled in a basic education program.

⁸The approved pre- and post-tests must be based on the list of tests the Secretary of Education determines to be suitable for use in the National Reporting System for Adult Education. The list of approved assessments is published annually in the Federal Register. See Tests Determined To Be Suitable for Use in the National Reporting System for Adult Education; Department of Education, 81 FR 89920 (December 13, 2016). <https://www.federalregister.gov/documents/2016/12/13/2016-29899/tests-determined-to-be-suitable-for-use-in-the-national-reporting-system-for-adult-education>.

- 2. Documented attainment of a secondary school diploma⁹ or its recognized equivalent** – Programs may document attainment of a secondary school diploma or its recognized equivalent if the participant obtains certification of attaining passing scores on all parts of a state-recognized high school equivalency test, or the participant obtains a diploma or state-recognized equivalent documenting satisfactory completion of secondary studies or an alternative diploma,¹⁰ including a high school or adult secondary school diploma.

- 3. Secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is meeting the State unit’s academic standards** – For secondary education, this gain may be documented through receipt of a secondary transcript¹¹ or report card for one semester showing that the participant is achieving the state unit’s policies for academic standards. For postsecondary education, this gain must demonstrate a sufficient number of credit hours—which is at least 12 hours per semester (or equivalent¹²) or, for part-time students, a total of at least 12 hours over the course of two completed semesters (or equivalent) during a 12 month period—that shows a participant is achieving the state unit’s academic standards (or the equivalent for other than credit hour programs). For example, if a postsecondary student completed 6 hours in the spring semester and 6 more hours in the fall semester and those semesters crossed two program years, they would not count as a skill gain in the first program year but they would count as a skill gain in the second program year.

- 4. Satisfactory or better progress report, towards established milestones, such as completion of OJT or completion of one year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training** – Documentation for this gain may vary, as grantees should identify appropriate methodologies based upon the nature of services being provided. The gain may be documented by a satisfactory or better progress report from an employer or training provider. Progress reports may include training reports on milestones completed as the individual masters the required job skills, or steps to complete an OJT or apprenticeship program. Documented increases in pay resulting from newly

⁹ Secondary school diploma refers to a regular high school diploma, as defined in the Every Student Succeeds Act. *Every Student Succeeds Act*, Pub. L. 114-95, Sec. 8002(43). December 2015.

¹⁰ Alternative diploma must meet the requirements under the *Every Student Succeeds Act*.

¹¹ Secondary transcript is specific to youth attending high school.

¹² For gain type three, the Departments recommend that States and local areas develop policies suitable for the applicable academic system in use by the secondary or postsecondary institution in which the participant is enrolled including, but not limited to, semesters, trimesters, quarters, and clock hours for the calculation of credit hours (or their equivalent) when documenting progress towards Measurable Skill Gains.

acquired skills or increased performance also can be used to demonstrate successful progress.

Note: In the description of this type of Measurable Skill Gains, “completion of one year of an apprenticeship” is just one example of a timeframe that may be established for achieving a satisfactory or better progress report toward a specific milestone, and the ‘one year’ timeframe should not be construed as a required timeframe or the only way that a participant in an apprenticeship can achieve a Measurable Skill Gain.

- 5. Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks, such as knowledge-based exams** – Documentation for this gain may include passage of a component exam in a Registered Apprenticeship program, employer-required knowledge-based exam, satisfactory attainment of an element on an industry or occupational competency-based assessment, or other completion test necessary to obtain a credential.

Methodology:

Calculation includes all participants enrolled in an education or training program that leads to a recognized postsecondary credential or employment:

The number of program participants during the reporting period who are in an education or training program that leads to a recognized postsecondary credential or employment and are achieving measurable skill gains based on attainment of at least one type of gain DIVIDED by the number of program participants during the reporting period who are in an education or training program that leads to a recognized postsecondary credential or employment.

Participants who, during any point in the program year, are in an education or training program that leads to a recognized postsecondary credential or employment are included in the **denominator**. This includes participants who continue to receive services as well as those who have participated during the reporting period and have exited the program. Data for the denominator in this calculation is drawn from *PIRL 1811: Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential or Employment*.

The **numerator** is the number of program participants defined above who achieved at least one type of gain. A participant may have achieved more than one type of gain in a reporting period and all skill gains attained are encouraged to be collected and recorded for participants; however, only the most last skill gain recorded per participant during a period of participation in a reporting period may be used to

calculate success on the measurable skill gains indicator for that reporting period. These calculations are described in TEGL 10-16, Change 1, Attachment 10, Figure 7.

Operational Parameters:

All participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment are counted in the calculation of this indicator. Participants who exit for any of the reasons listed in TEGL 10-16, Change 1, Attachment 2, Table A and TEGL 10-16, Change 1, Attachment 2, Table B are excluded from the measurable skill gains indicator. For the title I Adult and Dislocated Worker program and the title I Youth program, a description of who is considered to be enrolled in an “education or training program”, and thus included in the measurable skill gains indicator, is provided below:

- **Title I Adult and Dislocated Worker** – All participants who are in a title I Adult- or Dislocated Worker-funded training program are included in the measurable skill gains indicator (which includes funding a training program for a secondary school program equivalent). This includes all participants in work-based training.

- **Title I Youth** – All (In-School Youth) ISY are included in the measurable skill gains indicator since they are attending secondary or postsecondary school. Only (Out-of-School Youth) OSY who are in one of the following are included in the indicator:
 - the program element occupational skills training
 - secondary education during participation in the title I Youth program
 - postsecondary education during participation in the title I Youth program
 - Title II-funded adult education during participation in the title I Youth program
 - the YouthBuild program during participation in the title I Youth program
 - Job Corps during participation in the title I Youth program

For each non-core program all program participants who received education or training are included in the measurable skill gains indicator unless otherwise specified in program guidance. Unlike Credential Attainment, this includes all participants in OJT and customized training.

Additional Operational Parameters:

- Participants are only included in the denominator one time per reporting period (i.e., program year), regardless of how many skill gains they achieve in a given program year unless the individual has more than one period of participation in a given

program year. Likewise, participants are only included in the numerator one time per reporting period (i.e., program year), regardless of how many skill gains they achieve in a given program year unless the individual has more than one period of participation in a given program year (See Section 9 of this TEGL for discussion on periods of participation.);

- A participant who exits the program and re-enrolls in the program during the same program year and is in an education or training program will be in the indicator two times for that particular program year, as explained in the discussion of periods of participation in Section 9 of this guidance;
- The measurable skill gains indicator is different from the other indicators because it is not exit-based, meaning that a participant can achieve one or more measurable skill gains while still participating in a program; and
- Programs must not delay enrollment or services to participants until a new program year even if programs believe there is insufficient time for the participant to make any type of measurable skill gain by the end of that program year.

For performance accountability purposes, the measurable skill gains indicator calculates the number of participants who attain at least one type of gain during each period of participation within a given program year. Since this indicator is not exit-based, each unique program entry date (not exit date) triggers inclusion in the calculation.

Participants will achieve a successful outcome in the indicator as long as they attain one type of gain applicable to the core program or non-core program in which the participant is enrolled. See the example below for how this would apply in a typical scenario.

Example

Chris enters an American Job Center and becomes a participant on October 2, 2016 (PY16). He exits the program on February 10, 2017. During this time, Chris achieves two types of gain under the measurable skill gain indicator.

He re-enters the program as a participant on June 11, 2017 (PY16). By the end of the program year (June 30, 2017), he is still in his second participation period. During this time, Chris obtains an additional type of gain under the measurable skill gain indicator.

In this example, Chris has two periods of participation, for which he falls into the denominator of the measure twice, and two positive outcomes on the measurable skill gains indicator. Although two types of gain were achieved in the first period of participation, only one of the two types of gains counts toward the indicator in the first participation period. During the second period of participation, another type of gain was achieved before the end of the program year, which counts as another positive outcome towards the measurable skill gains indicator.

This information is collected for all core programs (except the title III Employment

Service program), as part of the Measurable Skill Gains Report Template. If a participant achieves more than one type of measurable skill gain in a reporting period, the most recent gain of each skill gain type must be recorded on the Measurable Skill Gains Report Template (MSG template is part the of WIOA core program Annual Performance Report, and is not applicable to non-core programs).

Operational Parameters – DOL-administered Core and Non-Core Programs:

For the title I Adult, Dislocated Worker, and Youth core programs, achievement may be measured by any of the five types of measurable skill gains. There are no specific measurable skill gain types required for specific participants in each of these three title I core programs, except that for participants in the title I youth program, the type of skill gain must be based on the youth’s individual service strategy. The measurable skill gains indicator does not apply to the title III Employment Service program.

For the non-core programs achievement may be measured by any of the five types of measurable skill gains unless otherwise specified in program guidance.

F. Effectiveness in Serving Employers

WIOA section 116(b)(2)(A)(i)(VI) requires the Departments to establish a primary indicator of performance for effectiveness in serving employers. For the six core WIOA programs, the Departments are piloting three approaches to measuring this indicator. Descriptions of these approaches, and the pilot for the core programs, can be found in TEGL 10-16, Change 1.

Starting in PY 2018 (or the point at which wage matching data becomes available for this indicator), and throughout the employer measure pilot, the following DOL non-core programs will begin tracking “Effectiveness in Serving Employers” using the approach that measures retention with the same employer in the 2nd and 4th quarter after exit:

- H-1B Job Training Programs
- Indian and Native American Programs (INAP)
- Job Corps
- Jobs for Veterans State Grants (JVSG)
- National Dislocated Worker Grants (DWG)
- National Farmworker Jobs Program (NFJP)
- Re-entry Employment Opportunities (REO)
- YouthBuild

This approach to the “Effectiveness in Serving Employers” indicator is based on what is reported in PIRL element #1618, which will be a part of the wage record matching that DOL

will conduct on behalf of those programs that do not conduct their own wage matching as specified in program specific guidance. Grantees and Job Corps contractors may report on this retention measure using supplemental wage information in addition to the wage match data, as provided in program-specific guidance on supplemental wage information. Grantees and Job Corps contractors may also choose to track additional measures of effectiveness in serving employers that they determine in addition to tracking and reporting on this approach. Those grantees and Job Corps contractors that do choose to track additional measures relating to this indicator are encouraged to report these approaches and their outcomes to DOL, as DOL continues to evaluate different approaches to this indicator.

Retention with the same employer – This approach captures the percentage of participants who exit and are employed with the same employer in the second and fourth quarters after exit. Grantees and Job Corps contractors must use wage records or supplemental wage information, as directed in program-specific guidance, to identify whether a participant’s employer wage record indicates a match of the same establishment identifier (such as a Federal Employer Identification Number (FEIN) or State tax id) in the second and fourth quarters.

a. How to Calculate Retention with the Same Employer

Percentage of participants with wage records who exit and were employed by the same employer in the second and fourth quarters after exit.

Methodology:

The number of participants with wage records who exit during the reporting period and were employed by the same employer during the second quarter after exit and the fourth quarter after exit DIVIDED by the number of participants with wage records who exit and were employed during the second quarter after exit.

For this measure, Grantees and Job Corps contractors must report on data element 1618 (Retention with the Same Employer in the 2nd Quarter and the 4th Quarter) in the PIRL. This data element is calculated based on information included in the wage record matches for participants in their fourth quarter after exit. This means that the only participants who are included in this approach are those for whom a wage record match is available. In order to count as a “yes” for this measure, the participant must have the same establishment identifier (such as an employer FEIN or State tax id) in both the second and fourth quarters after exit. This creates the numerator for this measure. The denominator for this measure is calculated based on those participants with wage records who were employed in the second quarter after exit.

The other two Effectiveness in Serving Employers measures – employer penetration rate and repeat business customer rate – will be piloted initially by programs under Titles I and III along with retention with the same employer in the second and fourth quarters after exit. Formula grantees will choose two of the three to report on until a permanent measure has been implemented. The Department’s evaluation of the piloted approaches will be reviewed upon its completion to make a determination about how the Department will measure effectiveness in serving employers in the future.

Appendix II

Definitions of Terms Related to the Performance Accountability System

Non-core programs included in this guidance should refer to the appropriate attachment for the applicability of these definitions, as some programs have definitions that are specific to that program.

- **Common Exit** – Occurs when a participant, enrolled in multiple partner programs (as defined by WIOA section 121 (b)), has not received services from *any* DOL-administered program, in which the participant is enrolled and to which the common exit policy applies for at least 90 days, and no future services are planned.
 - **(Common Exit) Date of Program Exit** -- for a participant who is enrolled in multiple partner programs and exits under a common exit policy as described above, the date of program exit is recorded as the last date that the participant received a service (other than self-services, information only services or activities, or follow-up services) from any of the partner programs that are a part of the common exit policy.

- **Customized Training** – Defined as training that:
 - is designed to meet the specific requirements of an employer (including a group of employers);
 - is conducted with a commitment by the employer to employ an individual upon successful completion of the training; and
 - for which the employer pays---(i) a significant portion of the cost of training, as determined by the local board involved, taking into account the size of the employer and such other factors as the local board determines to be appropriate, which may include the number of employees participating in training, wage and benefit levels of those employees (at present and anticipated upon completion of the training), relation of the training to the competitiveness of a participant, and other employer-provided training and advancement opportunities; and (ii) in the case of customized training involving an employer located in multiple local areas in the State, a significant portion of the cost of the training, as determined by the Governor of the State, taking into account the size of the employer and such other factors as the Governor determines to be appropriate.

- **Employment** – For the purpose of this guidance, and unless otherwise specified in program-specific guidance, employment refers to a period in which an individual is working in a paid, unsubsidized job or, working 15 hours or more a week in an unpaid job on a farm or business

operated by a family member or participant.¹ For clarity, the Department notes that employment includes, but is not limited to, employment in the military, in a Registered Apprenticeship, and/or self-employment.

- **Incumbent Worker** – To qualify as an incumbent worker, the individual worker needs to be employed in a situation that meets the Fair Labor Standards Act requirements for an employer-employee relationship, and have an established employment history with the employer for six months or more. The exception to this is in the event that the incumbent worker training is being provided to a cohort of employees, not every employee in the cohort must have an established employment history with the employer for 6 months or more as long as a majority of those employees being trained do meet the employment history requirement. An incumbent worker does not have to meet the eligibility requirements for career and training services for Adults and Dislocated Workers under WIOA, unless they also are enrolled as a participant in the WIOA Adult or Dislocated Worker program.

- **Non-core Programs** – For the purposes of this guidance, “non-core programs” refers to the following workforce employment and training programs authorized under WIOA or other federal legislation:
 - Indian and Native American (INA) Program, under WIOA section 166;
 - Job Corps, under WIOA sections 141-162;
 - National Farmworker Jobs Program (NFJP), under WIOA section 167;
 - YouthBuild, under WIOA section 171;
 - Reentry Employment Opportunities (REO), authorized under WIOA section 169;
 - National Dislocated Worker Grants (DWG), under WIOA section 170;
 - H-1B Job Training Programs (grants awarded July 1, 2016 and later), authorized under section 414(c) of the American Competitiveness and Workforce Improvement Act of 1998 (29 U.S.C. § 3224a)
 - Senior Community Service Employment Program (SCSEP), authorized under title V of the Older Americans Act of 1965 (42 U.S.C. 3056 *et seq.*);
 - Trade Adjustment Assistance (TAA), authorized under chapter 2 of title II of the Trade Act of 1974 (19 U.S.C. 2271 *et seq.*);
 - Jobs for Veterans State Grants (JVSG), authorized under 38 U.S.C. chapter 41; and
 - Monitor Advocate System², under WIOA title III Employment Service. (authorized by the Wagner-Peyser Act)

¹ TEGL 10-16 contains a definition of employment applicable to all six core programs, which contains additional provisions specific to the title IV VR program (authorized by the Rehabilitation Act of 1973).

² Note that this guidance includes the Monitor Advocate System in the definition of “non-core programs”, although it is not technically a program but a subset of analysis of services to migrant and seasonal farmworkers (MSFWs) under the title III Employment Service program.

- **Participant Individual Record Layout (PIRL)** – The data layout that provides a standardized set of data elements, definitions, and reporting instructions that will be used to describe and report the characteristics, activities, and outcomes of WIOA participants.
- **Period of Participation** – For all indicators (except Measurable Skill Gains) a period of participation refers to the period of time beginning when an individual becomes a participant and ending on the participant’s date of exit from the program.
- **Secondary School Diploma** – For purposes of the credential attainment performance indicator, a secondary school diploma (commonly referred to as high school diploma) or alternate diploma is one that is recognized by a state and that is included for accountability purposes under the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act (ESSA). A secondary school equivalency certification signifies that a student has completed the requirements for a high school education and is recognized by the state.
- **Unsubsidized Employment** – Employment in the private sector or public sector for which the employer does not receive a subsidy from public funds to offset all or a part of the wages and costs of employing an individual.

Appendix III – Table A
Participation Level Services Chart
WIOA Title I, Subtitle D, Section 166 - Indian and Native American Programs

Service Type	Does this service trigger inclusion in participation?	Category of Service	Applicable PIRL Data Element Number(s)
Eligibility Determination	No	Basic Career Service	1007
Outreach, Intake, Orientation	No	Basic Career Service	1007
Initial assessment of skill level & other service needs	Yes	Basic Career Service	1001, 1003, 1004
Job search assistance (Self-directed)	No	Basic Career Service	1002
Job search assistance (Staff-assisted)	Yes	Basic Career Service	1001, 1003, 1004
Job placement assistance (includes “Referred to Employment”) (Staff-assisted)	Yes	Basic Career Service	1001, 1003, 1004
Career Counseling (includes “Staff-assisted career guidance”)	Yes	Basic Career Service	1001, 1003, 1004
Providing info on in-demand sectors, occupations, or nontraditional employment	No	Basic Career Service	1002
Provision of referrals and associated coordination of activities with other programs and services	No	Basic Career Service	1002
Provision of workforce and labor market employment statistics information	No	Basic Career Service	1002
Provision of info on job vacancies	No	Basic Career Service	1002
Provision of info on job skills necessary to fill vacancies	No	Basic Career Service	1002

Service Type	Does this service trigger inclusion in participation?	Category of Service	Applicable PIRL Data Element Number(s)
Provision of info on local demand occupations, with earnings, skill requirements, and opportunities for advancement for those jobs	No	Basic Career Service	1002
Referral to supportive services and assistance; such as, child care, medical or health assistance, SNAP, and TANF	No	Basic Career Service	1002
Provision of information and assistance filing for UI	No	Basic Career Service	1007
Assistance establishing eligibility for financial aid	No	Basic Career Service	1007
Comprehensive and specialized assessments	Yes	Individualized Career Service	1200, 1201
Development of IEP	Yes	Individualized Career Service	1200, 1201, 1202
Group Counseling	Yes	Individualized Career Service	1200, 1201
Individual Counseling	Yes	Individualized Career Service	1200, 1201
Career Planning	Yes	Individualized Career Service	1200, 1201
Short-term prevocational services	Yes	Individualized Career Service	1200, 1201, 1210
Internships and work experiences	Yes	Individualized Career Service	1200, 1201, 1203, 1205
Workforce preparation activities	Yes	Individualized Career Service	1200, 1201
Financial literacy services	Yes	Individualized Career Service	1200, 1201, 1206

Service Type	Does this service trigger inclusion in participation?	Category of Service	Applicable PIRL Data Element Number(s)
Job readiness training*	Yes	Individualized Career Service	1200, 1201
Tutoring, Study Skills Training, Dropout Prevention	Yes	Individualized Career Service	1200, 1201
Occupational skills training	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
On-the-job training	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Customized training conducted with a commitment to hire by an employer or group of employers	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Programs that combine workplace training with related instruction	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318

Service Type	Does this service trigger inclusion in participation?	Category of Service	Applicable PIRL Data Element Number(s)
Training programs operated by the private sector	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Skills upgrading and retraining	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Entrepreneurial training	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
GED Preparation or Returned to Secondary School	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Adult basic education	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318

Service Type	Does this service trigger inclusion in participation?	Category of Service	Applicable PIRL Data Element Number(s)
English language training	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Literacy training	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Customized training	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Post-secondary education	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318
Registered Apprenticeship Program	Yes	Training	1300, 1302, 1303, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318

*Note: For reporting purposes under WIOA, Job Readiness Training is categorized as an individualized career services.

**Appendix III – Table B
Participation Level Services Chart
National Dislocated Worker Grants**

Service Type (WIOA sections 134(c) and 170(d))	Does this service trigger inclusion in participation?	Category of Service	Applicable PIRL Data Element Number(s)
Eligibility Determination	No	Basic Career Service	1000, 1002, 1007
Outreach, Intake, Orientation	No	Basic Career Service	1000, 1002, 1007
Initial assessment of skill level & other service needs	Yes	Basic Career Service	1003, 1004, 1102
Job search assistance (Self-directed)	No	Basic Career Service	1000, 1002, 1101
Job search assistance (Staff-assisted)	Yes	Basic Career Service	1003, 1004, 1104
Placement assistance (includes “Referred to Employment”) (Staff-assisted)	Yes	Basic Career Service	1003, 1004, 1105, 1106, 1107, 1108, 1109, 1110, 1111
Career Counseling (includes “Staff-assisted career guidance”)	Yes	Basic Career Service	1003, 1004, 1102
Providing info on in-demand sectors, occupations, or nontraditional employment	No	Basic Career Service	1000, 1002, 1103
Provision of referrals and associated coordination of activities with other programs and services	Yes	Basic Career Service	1003, 1004, 1113, 1115
Provision of workforce and labor market employment statistics information	No	Basic Career Service	1000, 1002, 1103
Provision of info on job vacancies	No	Basic Career Service	1000, 1002, 1103
Provision of info on job skills necessary to fill vacancies	No	Basic Career Service	1000, 1002, 1103

Service Type (WIOA sections 134(c) and 170(d))	Does this service trigger inclusion in participation?	Category of Service	Applicable PIRL Data Element Number(s)
Provision of info on local demand occupations, with earnings, skill requirements, and opportunities for advancement for those jobs	No	Basic Career Service	1000, 1002, 1103
Provision of performance and program cost info for providers of education and training	No	Basic Career Service	1000, 1002, 1100
Provision of info on local performance	No	Basic Career Service	1000, 1002, 1100
Provision of info on availability of supportive services or assistance	No	Basic Career Service	1000, 1002, 1100
Referral to supportive services	Yes	Basic Career Service	1003, 1004, 1113, 1115
Provision of information and meaningful assistance filing for UI	Yes	Basic Career Service	1003, 1004, 1112
Assistance establishing eligibility for financial aid	Yes	Basic Career Service	1003, 1004, 1116
Comprehensive and specialized assessments	Yes	Individualized Career Service	1004, 1200, 1201
Development of IEP	Yes	Individualized Career Service	1004, 1200, 1201, 1202
Group Counseling	Yes	Individualized Career Service	1004, 1200, 1201
Individual Counseling	Yes	Individualized Career Service	1004, 1200, 1201
Career Planning	Yes	Individualized Career Service	1004, 1200, 1201
Short-term prevocational services	Yes	Individualized Career Service	1004, 1200, 1201, 1210
Internships and work experiences (including transitional jobs)	Yes	Individualized Career Service	1004, 1200, 1201, 1203, 1205, 1211
Workforce preparation activities	Yes	Individualized Career Service	1004, 1200, 1201

Service Type (WIOA sections 134(c) and 170(d))	Does this service trigger inclusion in participation?	Category of Service	Applicable PIRL Data Element Number(s)
Financial literacy services	Yes	Individualized Career Service	1004, 1200, 1201, 1206
Out-of-area job search assistance and relocation assistance	Yes	Individualized Career Service	1004, 1200, 1201
English-language acquisition and integrated education and training programs	Yes	Individualized Career Service	1004, 1200, 1201, 1207
Training services under WIOA section 134(c)(3)(D) with exception of section 134(c)(3)(D)(iii) (incumbent worker training)	Yes	Training	1300, 1301, 1302, 1303, 1304, 1305, 1306, 1307, 1308, 1309, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1317, 1318, 1319
Received Disaster Relief Employment on projects as defined in WIOA section 170(d)(1)(A) (Disaster Recovery DWG only)	Yes	Disaster Relief Employment	2004
Safety orientation, safety training, equipment training (for Disaster Relief Employment under Disaster Recovery DWG only)	Yes	Disaster Relief Employment	2004
Supportive Services authorized in WIOA section 134(d)(2) and defined in 20 CFR 680.900	No	Supportive Services	1409

*Note: Receipt of any of the three types of services (Basic, Individualized, or Training) makes an individual a “Reportable Individual” while it only takes the receipt of one service that triggers

participation to be considered a participant. However, in Quarterly Performance Reports only those Reportable Individuals that are not participants are displayed in the Reportable Individual counts.

** The DWG Participation Level Services Chart aligns with WIOA Title I Dislocated Worker program definitions.

**Appendix III – Table C
Participation Level Services Chart
National Farmworker Jobs Program -
Career Services and Training Grants**

Benefit or Service Type (WIOA section 167)	Does this benefit/service trigger inclusion in participation?	Category of Benefit/Service (i.e. Basic, Individualized, Training)	Applicable PIRL Data Element Number(s)
Eligibility Determination ¹ See 20 CFR 685.110 at WIOA Final Rule .	No	Basic Career Service ²	1007
Outreach, Intake, Orientation	No	Basic Career Service	1007
Initial assessment of skill level & other service needs	No	Basic Career Service	1007
Job search assistance (Self-directed)	No	Basic Career Service	1000 AND 1002
Job search assistance (Staff-assisted)	Yes	Basic Career Service	1004
Placement assistance (includes “Referred to Employment”) (Staff-assisted)	Yes	Basic Career Service	1004 AND 1116
Career Assessment (includes “Staff-assisted career guidance”)	Yes	Basic Career Service	1004 AND 1116
Providing info on in-demand sectors, occupations, or nontraditional employment	No	Basic Career Service	1007

¹ For NFJP program eligibility information, see TEGL 18-16. Note, the Participant Individual Record Layout (PIRL) data element 808 Eligible Migrant and Seasonal Farmworker Status (WIOA sec. 167) is only to be used for participants, who are enrolled or co-enrolled in NFJP. For Employment Service performance reporting purposes, Wagner-Peyser partners should use PIRL data element 413 for Migrant and Seasonal Farmworker Designation as defined in 20 CFR 651.10.

² For detailed information about Basic Career Services and Individualized Career Services, see TEGL 10-16, Change 1, Attachment 7 –Participation Level Services Chart Table A (Adult) and Table B (Youth).

Benefit or Service Type (WIOA section 167)	Does this benefit/service trigger inclusion in participation?	Category of Benefit/Service (i.e. Basic, Individualized, Training)	Applicable PIRL Data Element Number(s)
Provision of referrals and associated coordination of activities with other programs and services	No	Basic Career Service	1007
Provision of workforce and labor market employment statistics information	No	Basic Career Service	1007
Provision of info on job vacancies	No	Basic Career Service	1007
Provision of info on job skills necessary to fill vacancies	No	Basic Career Service	1007
Provision of info on local demand occupations, with earnings, skill requirements, and opportunities for advancement for those jobs	No	Basic Career Service	1007
Provision of performance and program cost info for providers of education and training	No	Basic Career Service	1007
Provision of info on local performance	No	Basic Career Service	1007
Provision of info on availability of supportive services or assistance	No	Basic Career Service	1007
Referral to supportive services	No	Basic Career Service	1007
Provision of information and meaningful assistance filing for UI	No	Basic Career Service	1007
Assistance establishing eligibility for financial aid	No	Basic Career Service	1007

Benefit or Service Type (WIOA section 167)	Does this benefit/service trigger inclusion in participation?	Category of Benefit/Service (i.e. Basic, Individualized, Training)	Applicable PIRL Data Element Number(s)
<p>Related Assistance Services (includes short-term forms of direct assistance, including emergency assistance services, designed to assist eligible MSFWs retain or stabilize their agricultural employment) See 20 CFR 685.110, 685.380 and 685.400 at WIOA Final Rule.</p>	<p>No, when not involving career assessment</p>	<p>Basic Career Service</p>	<p>1007 AND (2209, 2210, 2211, 2212, 2213, 2214, AND/OR 2216)</p>
<p>Supportive Services (includes services to enable participation in career services and training)</p>	<p>Yes*</p>	<p>Basic Career Service</p>	<p>N/A</p>
<p>Career Assessment (includes career planning (i.e., comprehensive and specialized assessments and Individual Employment Plan))</p>	<p>Yes</p>	<p>Individualized Career Service</p>	<p>1004 AND 1200</p>
<p>Career Services See 20 CFR 685.340 at WIOA Final Rule.</p>	<p>Yes</p>	<p>Individualized Career Service</p>	<p>1004 AND (1201, 1205, 1210, AND/OR 1211)</p>
<p>Group Counseling</p>	<p>Yes</p>	<p>Individualized Career Service</p>	<p>1004 AND (1200 AND 1201)</p>
<p>Individual Counseling</p>	<p>Yes</p>	<p>Individualized Career Service</p>	<p>1004 AND (1200 AND 1201)</p>
<p>Short-term prevocational services</p>	<p>Yes</p>	<p>Individualized Career Service</p>	<p>1004 AND 1210</p>
<p>Internships and work experiences (includes transitional jobs)</p>	<p>Yes</p>	<p>Individualized Career Service</p>	<p>1004 AND 1205</p>

Benefit or Service Type (WIOA section 167)	Does this benefit/service trigger inclusion in participation?	Category of Benefit/Service (i.e. Basic, Individualized, Training)	Applicable PIRL Data Element Number(s)
Workforce preparation activities	Yes	Individualized Career Service	1004 AND (1200 AND 1201)
Financial literacy services	Yes	Individualized Career Service	1004 AND (1200 AND 1201)
Out-of-area job search assistance and relocation assistance	Yes	Individualized Career Service	1004 AND (1200 AND 1201)
Youth Services See 20 CFR 685.370 at WIOA Final Rule.	Yes	Individualized Career Service	1004 AND (1401 AND/OR 1406)
Related Assistance (Staff Assisted) Services	Yes	Individualized Career Service	1004 AND 2215
Training Services (includes on the job training and occupational skills training) See 20 CFR 685.350 at WIOA Final Rule.	Yes	Training	1300 AND Training #1 (1302, 1303, 1306, 1307 and 1308); Training#2 (1309, 1310, 1311, 1312, and 1313); Training #3 (1314, 1315, 1316, 1317, and 1318); AND (1319, 1320, or 1332)
Basic Skills Training (includes English language acquisition and integrated education and training programs (non OJT)	Yes	Training	2221
Follow-up Services	No	Follow up Service	N/A

*Note: Supportive services can only be provided to individuals that are already participants, so the provision of supportive services is not technically a participation trigger because all recipients will all be participants already.

**Appendix III – Table D
Participation Level Services Chart
Trade Adjustment Assistance (TAA)**

Benefit or Service Type	Does this benefit/ service trigger inclusion in participation?	Category of Benefit/ Service (i.e. Basic, Individualized, Training)	Applicable PIRL Data Element Number(s)
Basic Trade Readjustment Allowance	Yes	Individualized	1511
Additional Trade Readjustment Allowance	Yes	Individualized	1516
Remedial/Prerequisite Trade Readjustment Allowance	Yes	Individualized	1521
Employment and Case Management Services under Section 235 of the Trade Act	Yes	Individualized	902
Job Search Allowance	Yes	Individualized	1507
Relocation Allowance	Yes	Individualized	1510
Alternative Trade Adjustment Assistance/Reemployment Trade Adjustment Assistance	Yes	Individualized	1534
Individualized Career Service*	No	Individualized	1200
TAA Benefit or Service**	Yes	Individualized	925
Waiver From Training Requirement	Yes	Individualized	1323
TAA-Approved Training	Yes	Individualized	1325
Individual Employment Plan (if applicable to TAA Benefit or Service)	Yes	Individualized	1202
TAA Application	No	Individualized	924
TAA Eligibility Determination	No	Individualized	927

* Any TAA Benefit or Service triggers the population Date of First Individualized Career Service if it has not already been populated under another co-enrolled program provided. However, not all Individualized Career Services are related to the Trade Program.

** Date of First TAA Benefit or Service (PIRL 925) should be on or before the first date of any specific TAA benefit or service.

**Appendix IV –
PIRL Elements Used in the Calculation of Each Primary Indicator of Performance**

The table on pages 2-3 of this appendix lists the PIRL data elements needed to calculate each of the primary indicators of performance. For details of how each of these elements is used in the calculations, users should refer to the specifications in the “Amended WIOA Joint ICR WIOA Statewide and Local Perf Rep Template and Specs” published in the “Workforce Innovation and Opportunity Act (WIOA) Common Performance Reporting Information Collection Request” (<https://doleta.gov/performance/reporting/>).

Although every program is required to report on these elements in order to ensure consistent calculation of these indicators, some programs may encounter elements that are always reported as “0,” as they are impermissible for programmatic purposes (see program specific attachments for details). Programs that are dependent upon DOL-provided case management systems facing delays in reporting these indicators during the transition to WIOA must still collect the data and retain a record of the data for these indicators, though they may be unable to report on the indicators until a later date (these programs will provide additional guidance or technical assistance on meeting this requirement).

(Table begins on next page)

Indicator	PIRL Elements Used in Calculation of Indicator	
	PIRL Element Number	Element Name
Credential Attainment	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1303	TYPE OF TRAINING #1
	1310	TYPE OF TRAINING #2
	1315	TYPE OF TRAINING #3
	1332	PARTICIPATED IN POSTSECONDARY EDUCATION DURING PROGRAM PARTICIPATION
	1401	ENROLLED IN SECONDARY EDUCATION PROGRAM
	1406	DATE ENROLLED IN POST-EXIT EDUCATION OR TRAINING PROGRAM LEADING TO A RECOGNIZED POSTSECONDARY CREDENTIAL
	1600	EMPLOYED 1ST QUARTER AFTER EXIT QUARTER
	1602	EMPLOYED 2ND QUARTER AFTER EXIT QUARTER
	1604	EMPLOYED 3RD QUARTER AFTER EXIT QUARTER
	1606	EMPLOYED 4TH QUARTER AFTER EXIT QUARTER
	1800	TYPE OF RECOGNIZED CREDENTIAL #1
	1802	TYPE OF RECOGNIZED CREDENTIAL #2
	1804	TYPE OF RECOGNIZED CREDENTIAL #3
	1801	DATE ATTAINED RECOGNIZED CREDENTIAL #1
	1803	DATE ATTAINED RECOGNIZED CREDENTIAL #2
1805	DATE ATTAINED RECOGNIZED CREDENTIAL #3	

Indicator	PIRL Elements Used in Calculation of Indicator	
	PIRL Element Number	Element Name
Measurable Skill Gains	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1800	TYPE OF RECOGNIZED CREDENTIAL #1
	1802	TYPE OF RECOGNIZED CREDENTIAL #2
	1804	TYPE OF RECOGNIZED CREDENTIAL #3
	1801	DATE ATTAINED RECOGNIZED CREDENTIAL
	1803	DATE ATTAINED RECOGNIZED CREDENTIAL #2
	1805	DATE ATTAINED RECOGNIZED CREDENTIAL #3
	1806	DATE OF MOST RECENT MEASUREABLE SKILL GAINS: EDUCATIONAL FUNCTIONING LEVEL (EFL)
	1808	DATE OF MOST RECENT MEASURABLE SKILL GAINS: SECONDARY TRANSCRIPT/REPORT CARD
	1807	DATE OF MOST RECENT MEASURABLE SKILL GAINS: POSTSECONDARY TRANSCRIPT/REPORT CARD
	1809	DATE OF MOST RECENT MEASURABLE SKILL GAINS: TRAINING MILESTONE
	1810	DATE OF MOST RECENT MEASURABLE SKILL GAINS: SKILLS PROGRESSION
1811	DATE ENROLLED IN DURING PROGRAM PARTICIPATION IN AN EDUCATION OR TRAINING PROGRAM LEADING TO A RECOGNIZED POSTSECONDARY CREDENTIAL OR EMPLOYMENT (WIOA)	
1813	DATE COMPLETED, DURING PROGRAM PARTICIPATION, AN EDUCATION OR TRAINING PROGRAM LEADING TO A RECOGNIZED POSTSECONDARY CREDENTIAL OR EMPLOYMENT (WIOA)	
Indicator	PIRL Elements Used in Calculation of Indicator	
	PIRL Element Number	Element Name
Median Earnings	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1704	WAGES 2ND QUARTER AFTER EXIT

Indicator	PIRL Elements Used in Calculation of Indicator	
	PIRL Element Number	Element Name
Employment Rate 2nd Quarter After Exit	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1602	EMPLOYED 2ND QUARTER AFTER EXIT QUARTER
Employment Rate 4th Quarter After Exit	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1606	EMPLOYED 4TH QUARTER AFTER EXIT QUARTER
Youth Education or Employment Rate 2nd Quarter After Exit	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1602	EMPLOYED 2ND QUARTER AFTER EXIT QUARTER
	1900	YOUTH 2ND QUARTER PLACEMENT (TITLE I)
Youth Education or Employment Rate 4th Quarter After Exit	900	DATE OF PROGRAM ENTRY
	901	DATE OF EXIT
	923	OTHER REASON FOR EXIT
	1606	EMPLOYED 4TH QUARTER AFTER EXIT QUARTER
	1901	YOUTH 4TH QUARTER PLACEMENT (TITLE I)

Appendix V – Periods of Performance Reporting Cohorts

Each color (blue, green, red) represents the program year the different cohorts of individuals are reported, and each shade of those colors represents the quarter those cohorts are reported. For example, for programs with Annual Reports, all four different blue shades represent the cohorts reported in the PY 2017 Annual Report, while the dark blue shaded boxes are the cohorts in Quarterly Report for the April-June 2018 reporting period. All of the boxes with the same color/shade represent cohorts that are reported in the reporting period with the corresponding color/shade (see example on page 2).

	PY 2017 WIOA Annual Report ETA-9169 Due October 2018				PY 2018 WIOA Annual Report ETA-9169 Due October 2019				PY 2019 WIOA Annual Report ETA-9169 Due October 2020				Annual Report periods
WIOA Performance Indicators	Jul - Sep 2017	Oct - Dec 2017	Jan - Mar 2018	Apr - Jun 2018	Jul - Sep 2018	Oct - Dec 2018	Jan - Mar 2019	Apr - Jun 2019	Jul - Sep 2019	Oct - Dec 2019	Jan - Mar 2020	Apr - Jun 2020	Quarterly report periods
<i>Based on individuals served in the same Quarter/Program Year of the Report</i>													
Participant Characteristics													
Veterans' Priority of Service													
Number of Reportable Individuals													
Measurable Skill Gains													
<i>Based on individuals exiting in Quarters/PY prior to reporting period, lagged to account for data availability and outcome timeframes</i>													
Exiter Characteristics													
Employment Rate 2nd Quarter After Exit									The outcomes for these exiters' reported in PY 20 reports				
Median Earnings 2nd Quarter After Exit													
Employment Rate 4th Quarter After Exit									The outcomes for these exiters' reported in PY 20 reports			The outcomes for these exiters' reported in PY 21 reports	
Credential Attainment Rate													
Effectiveness In Serving Employers: Retention With The Same Employer													

*Data availability based on data collection beginning July 1, 2017. Programs with delayed implementation of WIOA measures will have delayed availability

**Note: Not all programs are required to submit annual reports or report on all of the indicators in this chart. See program attachments for more details.

For example, **the quarterly report for July – September 2019** will include:

- **Participants From July – September 2019 Quarter →**
 - Participant Characteristics,
 - Veterans’ Priority of Service,
 - Reportable Individuals,
 - Measureable Skill Gains, and
- **Exiters from April – September 2019 Quarter →**
 - Exiter Characteristics
- **Exiters from July – September 2018 Quarter →**
 - Employment Rate 2nd Quarter After Exit and
 - Median Earnings 2nd Quarter After Exit
- **Exiters from January – March 2018 Quarter →**
 - Employment Rate 4th Quarter After Exit,
 - Credential Rate, and
 - Effectiveness in Serving Employers: Retention With the Same Employer¹

¹ Effectiveness in Serving Employers is only officially reported annually, but since the data for “Retention with the Same Employer” is reported quarterly though the PIRL, the indicator can be calculated for different periods of reporting as well.

Appendix VI – Supplemental Wage Information for Non-Core Programs

The language below is aligned with the guidance in Training and Employment Guidance Letter (TEGL) 26-16, which provides joint supplemental wage information guidance developed by the Department of Labor (DOL or Department) and the Department of Education (ED) to provide guidance on using supplemental wage information for reporting performance under the Workforce Innovation and Opportunity Act (WIOA) for the six WIOA core programs: the title I Adult, Dislocated Worker, and Youth programs, administered by DOL; the title II Adult Education and Family Literacy Act (AEFLA) program, administered by ED; the Employment Service program authorized under the Wagner-Peyser Act, as amended by WIOA title III and administered by DOL;¹ and the Vocational Rehabilitation (VR) program authorized under title I of the Rehabilitation Act of 1973, as amended by WIOA title IV and administered by ED.² This appendix provides guidance for the DOL-administered non-core programs.

Individual programs should refer to individual program attachments for additional details on the use and applicability of supplemental wage information for performance reporting.

Background

This appendix provides clarification to grantees on the use of supplemental wage information (described in detail in the section below entitled “Supplemental Wage Information Methods and Procedures”) when reliance on such information is necessary for verifying and reporting on the employment-related performance indicators listed below:

- employment rate during the second quarter after exit from the program;
- employment rate during the fourth quarter after exit from the program; and
- median earnings during the second quarter after exit from the program.³

This guidance also applies to the employment-related portion of the credential attainment indicator.⁴

While the most efficient method for determining both employment status and earnings for program participants is to obtain quarterly wage records for those participants, such wage

¹ Although this program is authorized under the Wagner-Peyser Act, it was amended by title III of WIOA and is a “core program” of WIOA, as defined at WIOA section 3(12). Throughout this guidance, it is referred to as the “title III Employment Service.”

² Although this program is authorized under title I of the Rehabilitation Act of 1973, it was amended by title IV of WIOA and is a “core program” of WIOA, as defined at WIOA section 3(12). Throughout this guidance, it is referred to as the “title IV VR program.”

³ Further details on the methodology and operational parameters for each of the employment-related indicators may be found in Appendix I of this guidance.

⁴ As noted in Appendix I, a participant who obtains a secondary school diploma or its recognized equivalent must meet an additional condition before they are counted as a successful outcome and included in the numerator of the credential attainment indicator. The participant is included in the calculation “only if the participant is also employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.” Therefore, for the credential attainment indicator, Grantees may elect to use supplemental wage information to collect information on employment within one year after exit.

records will not be available in all circumstances. For example, wage record matches will not be available for participants who decline to provide a Social Security Number (SSN),⁵ nor for participants who are self-employed. In addition, during the interim transition period wherein DOL reaches the necessary agreements to conduct wage queries on behalf those programs whose grantees are unable do so for themselves, the Department will lack the ability to obtain quarterly wage records for those programs not covered under existing agreements.⁶ Finally, the Department will not be able to conduct quarterly wage record queries for programs that do not have the authority to allow for SSNs to be reported to the Department, or for programs that are not included in the Department's agreements. In instances such as these, supplemental wage information is necessary for verifying and reporting on the employment-related performance indicators.

Circumstances for Collecting Employment-Related Data Using Supplemental Methods for Performance Reporting Purposes

For purposes of the employment-related performance indicators, a participant's status in unsubsidized employment and quarterly earnings may be determined by a variety of data sources. To the extent it is consistent with state law, direct Unemployment Insurance (UI) wage match, obtained through appropriate agreement,⁷ via either state UI data or via out-of-state wage record data exchange, will be the primary data source for verifying participant outcomes for calculating levels of performance for the employment-related indicators and will be used when available. UI wage records include private sector and certain government employer wage reports, such as:

- state government employment records;
- local government employment records;
- judicial employment records; and
- public school employment records.

⁵ Program eligibility to participate in a program under WIOA is not contingent upon the individual providing an SSN. See 81 Fed. Reg. at 55838. More broadly, since the performance indicators require reporting on all participants, grantees are encouraged to develop a method for quantifying the performance outcomes of participants who do not provide SSNs or for whom wage records are not available in order to include them in the calculation of levels of performance for the program.

⁶ The Department notes that as announced on July 28, 2017 via TEN 3-17, *Informing the States about Reassessment of the Federal Employment Data Exchange System (FEDES)*, the operation of the Federal Employment Data Exchange System (FEDES) was suspended as of January 2018. FEDES was a pilot program that had supported reporting based on Federal civilian and military employment records, including records maintained by the Office of Personnel Management and the Department of Defense. Until and unless a similar data sharing agreement is implemented for federal employment information, supplemental wage records will be the only method of documenting employment status and wages after December 31, 2017 for individuals employed by the Federal government as a civilian (e.g., civil service, and civilians employed by the Department of Defense) or as a member of the military.

⁷ The Wage Record Interchange System is used to exchange UI wage record information for performance reporting purposes between States that are party to the data sharing agreement. ETA and the Kansas Department of Commerce have a Memorandum of Understanding that enables grantees of specified non-core programs to access aggregate wage record information through the Wage Record Interchange System (WRIS) and FEDES in order to calculate the levels of performance for the employment-related indicators for those non-core programs. This current arrangement between ETA and Kansas is the Common Reporting Information System (CRIS).

While most forms of employment in a state's workforce system will be reported via employer tax filings in the UI wage records system as noted above, certain types of employers and employees are excluded from coverage under federal and state UI laws. For program participants engaged in these types of employment, and for participants for whom the grantee does not have an SSN on record, grantees may use supplemental wage information and wage data from other reliable sources to collect employment-related data necessary for calculating levels of performance.

Individuals for whom a quarterly wage record match would not be available through the state UI data system include, but are not limited to:

- federal employees;
- military employees; or
- individuals who are self-employed.

Sources of supplemental wage information (i.e., sources of wage information other than direct UI wage match) include the following:

Employment records from such federal and state sources as:

- State New Hires Registry (<https://www.acf.hhs.gov/css/resource/state-new-hire-reporting-websites>) under the National Directory of New Hires (NDNH) (<https://www.acf.hhs.gov/css/resource/national-directory-of-new-hires-state-directory-of-new-hires-prwora>) requirements;
- State Department of Revenue or Taxation; or
- Railroad Retirement System.

Tax documents, payroll records, and employer records such as:

- copies of quarterly tax payment forms to the Internal Revenue Service, such as a Form 941 (Employer's Quarterly Tax Return);
- Standard Form 50 (SF-50) Notification of Personnel Action, for civilian employees of the Federal government, or PS Form 50 (PS-50) Notification of Personnel Action, for employees of the United States Postal Service;
- verification of military service, as available from the Defense Manpower Data Center (<https://www.dmdc.osd.mil/appj/dwp/index.jsp>), or a Leave and Earning Statement;
- leave and Earnings statement from the Defense Finance and Accounting Service, for civilian employees of the Department of Defense;
- copies of pay stubs; or
- signed letter or other information from employer on company letterhead attesting to an individual's employment status and earnings.

Other supplemental wage records:

- follow-up survey (signed self-attestation from program participants);
- documentation of income earned from commission in sales or other similar positions;
- detailed case notes verified by employer and signed by the counselor, if appropriate to the program;
- automated database systems or data matching with other partners with whom data sharing agreements exist;

- One-Stop operating systems' administrative records that may be shared amongst the partner programs, such as current records of eligibility for programs with income-based eligibility (e.g., TANF or SNAP); or
- self-employment financial statements signed and attested to by program participants.⁸

Unless otherwise stated in the program specific attachments, all grantees are permitted to collect supplemental wage information for the purpose of reporting on the employment-related performance indicators. Please see program-specific guidance to determine whether a grantee has discretion to collect supplemental wage information (i.e., collection is voluntary) or not (i.e., collection is mandatory, or collection is not permitted).

However, for the Department to consider supplemental wage information as sufficient to verify and report on the employment-related performance indicators, certain conditions apply. It is important for grantees to consider the following when deciding to voluntarily collect supplemental information for purposes of calculating levels of performance for the employment-related indicators:

- Grantees are required to report a participant's status in unsubsidized employment during the second quarter and fourth quarter after exit. In addition, a participant's quarterly earnings may only be reported for calculation of median earnings during the second quarter after exit, upon direct wage record match or collection of supplemental wage information. While median earnings are not reported for the fourth quarter after exit, either a direct wage record match or supplemental wage information is required to determine a participant's employment status in the fourth quarter after exit.
- Within each quarter after exit wage period, if a direct wage match is being used to determine either employment status or wages for the period, then the same direct wage match record must be used for both wages and employment status. Likewise, if supplemental wage information is being used to determine either employment status or wages within the same reporting period, then the same supplemental wage information must be used for both wages and employment status. There is no requirement for the same direct wage record match or supplemental wage information be used across multiple reporting periods.
- When calculating levels of performance, grantees that elect not to use supplemental wage information are expected to include participants who do not have the necessary data to complete a wage record match in the denominator. In so doing, those individuals would be counted as negatives (0 in the numerator) when calculating levels of performance for the employment-related indicators (participants will be excluded from the median earnings indicator calculation if the employment rate second quarter after exit is a negative (0)).
- For grantees that elect to use supplemental wage information, grantees must ensure that a participant's quarterly earnings used for reporting the median earnings indicator (second quarter after exit) only reflect those wages that are actually paid to the

⁸ Earnings (or net profit) can be calculated by subtracting total expenses from gross receipts. Not all self-employed individuals receive a salary, but the funds that represent income over expenses that are available to be invested back into the business are considered earnings.

participant during the quarter, and not wages that are earned in that quarter but actually paid to the employee in another quarter.

Supplemental Wage Information Methods and Procedures

For grantees that determine the need to collect supplemental wage information for the employment-related indicators, acceptable forms of supplemental wage information, relevant to the core program, include, but are not limited to, the sources of supplemental wage information identified above. Please see program-specific guidance for directions on any categories of supplemental wage information that are either specifically required or specifically prohibited under the terms of a particular program.

The Department recommends the following procedures:

- **Time Period for Collecting Supplemental Wage Information**

As described above, for purposes of calculating levels of performance for the employment rate indicators, grantees must collect data on participants' employment status during the second and fourth quarters after the participant exits the program⁹ and, for purposes of calculating levels of performance for the median earnings indicator, grantees must collect data on participants' wages during the second quarter after exit from the program. Following up to collect supplemental wage information may be conducted by the grantee, local programs, or a third-party contractor. The timing for collecting supplemental wage information may vary based on whether the grantee knows or expects that UI wage data will not be available for a participant following the exit from a program.

Because the information received from UI wage data is aggregate, rather than participant level, grantees other than state agencies meeting UI confidentiality requirements are not able to determine whether an individual is included in the wage data records they receive. Therefore, it is recommended that grantees gather any supplemental wage information as soon as possible for individuals that may not be included in UI wage records. Grantees may also collect supplemental information on credentials earned up to twelve months post-exit and on the occupational code of the exiter's employment at any time during follow up or during the period after exit.

UI wage data for the employment rate and the median earnings indicators during the second quarter after exit will not become available until the latter part of the third quarter after exit, and UI wage data for the employment rate and median earnings during the fourth quarter after exit (which is also used for credential attainment when counting a secondary school diploma or its recognized equivalent) will not become available until the latter part of the fifth quarter after exit. When the grantee knows or anticipates that UI wage data will not be available for individuals (such as those participants who did not provide an SSN, or for participants whose employment is not covered by UI wage data, such as those who received entrepreneurial or self-employment training), grantees do not need to wait two quarters after the close of the second and fourth full quarters after exit to

⁹ For the purpose of the employment portion of the credential rate indicator, grantees must collect data on participants' employment status each quarter after exit within one year after the participant exits the program. (See Table 1: Timeline for Commencing Data Collection for Employment-Related Performance Indicators).

formally document that UI wage data is not available and begin collection of supplemental wage information.

For grantees that the Department will be conducting UI wage matching on their behalf, the Department will ensure non-duplication of individuals through reporting of supplemental wage information and UI wage records, by ensuring that individuals with SSNs will have their supplemental wage data be included in the performance indicator calculations such that there will not be duplication of earnings for unique individuals.

The optimal time to collect supplemental wage information is as soon as possible following the close of the second and fourth full quarters after exit. In general, the Department recommends the grantees remind participants before program exit that either their employers or they themselves may be contacted to obtain confirmation of employment status, earnings, occupational coding of employment, any credential attained post-exit, and to explain the expected timeframe for those follow-up contacts. While this reminder is applicable to all participants, it is especially important for those participants for whom UI wage data will not be available.

Table 1, below, summarizes the times at when data match or supplemental wage data are to be collected.

Table 1: Timeline for Commencing Data Collection for Employment-Related Performance Indicators		
Performance Indicator	UI Wage Data Becomes Available	Collection of Supplemental Wage Information May Begin^a
Employment Rate – 2nd Quarter after Exit (including Title I Youth)	During 3 rd or 4 th quarter after exit	Beginning 3 rd quarter after exit
Employment Rate – 4th Quarter after Exit (including Title I Youth)	During 5 th or 6 th quarter after exit (1 st or 2 nd quarter, next program year)	Beginning 5 th quarter after exit
Median Earnings – 2nd Quarter after Exit	During 3 rd or 4 th quarter after exit	Beginning 3 rd quarter after exit
Credential Attainment – within 1 Year after Exit	During 2 nd or 3 rd quarter after exit	Beginning 2 nd quarter after exit

^a For individuals for whom the grantee knows or anticipates UI wage data will not be available (such as those participants for whom there is no SSN available, or for participants receiving entrepreneurial or self-employment training), Grantees should begin collecting supplemental wage information as close to the reference period as possible.

Participants who provide a SSN and have exited a program, but for whom information is not yet available, are not included in performance calculations until such data subsequently become available. The Department expects that UI employer tax record data for these indicators will generally be available at the time of reporting, since the Department has built in a two-quarter lag (as described below) into the reporting periods. This allows time for all data to be made available for reporting participant exit and direct UI wage record match, as well as for obtaining supplemental wage information if a direct

UI wage record match, or Federal or military employment record.¹⁰ In order to ensure data are available and reported consistently for all participants, UI data should be reported four quarters after exit for second quarter wage and employment information, and six quarters after exit for fourth quarter information. This allows for a one-quarter lag in the reporting of UI wages by employers and an additional one-quarter lag for reporting by the core programs.

Example: If a participant exited the program between July 1, 2016 and September 30, 2016 (first quarter of program year (PY) 2016), the participant is not included in the Employment Rate – Second Quarter After Exit until the quarterly report for the quarter ending September 30, 2017 (first quarter of PY 2017) and the annual report for PY 2017 for the period ending June 30, 2018.

To ensure data are collected to satisfy required reporting timelines, particularly for those programs reporting on a quarterly basis, grantees may decide to conduct supplemental wage information follow-up more frequently than quarterly, as more frequent follow-up may be more convenient or cost efficient. For example, the program could conduct continuous, ongoing, or monthly follow-up. Therefore, the Department recommends that programs ensure the time lag to contact participants after they exit the program be as short as possible. The longer a program waits to contact participants after they exit the program, the greater likelihood of a lower response rate which could result in less valid data or an inability to secure supplemental data.

The timeframes when employment-related information must be reported are shown in **Table 2** below:

Table 2: Deadlines for Timely Collection of Data for Employment-Related Performance Indicators				
Exit Quarter	Report Employment Rate – 2nd Quarter (including Title I Youth) by End of:	Report Employment Rate – 4th Quarter (including Title I Youth) by End of:	Report Median Earnings by End of:	Report Credential Attainment (Employment) – within 1 Year after Exit by End of:
First Quarter (Q1) (July 1 – September 30)	Q1, Next Program Year (four quarters later)	Q3, Next Program Year (six quarters later)	Q1, Next Program Year (four quarters later)	Q3, Next Program Year (six quarters later)
Second Quarter	Q2,	Q4,	Q2,	Q4,

¹⁰ After the two-quarter lag concludes, if the information is still not available, wages will be converted to \$0 permanently and employment status will be reported as not employed. Wages reported as \$0 will indicate that the participant was unemployed in the second quarter after exit, counting as a negative outcome for purposes of calculating levels of performance for the Employment Rate 2nd Quarter after Exit indicator and excluding that participant from the calculations of levels of performance for the Median Earnings 2nd Quarter after Exit indicator. Likewise, if neither a wage record match nor supplemental wage information is available following a two-quarter lag after the end of the fourth quarter following program exit, the participant will be reported as unemployed in the fourth quarter after exit.

Exit Quarter	Report Employment Rate – 2nd Quarter (including Title I Youth) by End of:	Report Employment Rate – 4th Quarter (including Title I Youth) by End of:	Report Median Earnings by End of:	Report Credential Attainment (Employment) – within 1 Year after Exit by End of:
(Q2) <i>(October 1 – December 31)</i>	Next Program Year (four quarters later)	Next Program Year (six quarters later)	Next Program Year (four quarters later)	Next Program Year (six quarters later)
Third Quarter (Q3) <i>(January 1 – March 31)</i>	Q3, Next Program Year (four quarters later)	Q1, Second Program Year After Exit (six quarters later)	Q3, Next Program Year (four quarters later)	Q1, Second Program Year After Exit (six quarters later)
Fourth Quarter (Q4) <i>(April 1 – June 30)</i>	Q4, Next Program Year (four quarters later)	Q2, Second Program Year After Exit (six quarters later)	Q4, Next Program Year (four quarters later)	Q2, Second Program Year After Exit (six quarters later)

▪ **Method for Identifying Participants Needing Follow-Up for Wage Information Collection Purposes**

In order to effectively identify individuals for whom the agency will need to follow-up to collect supplemental wage information, the grantee’s case management database needs to be capable of identifying participants who should be followed using supplemental methods. Programs must also determine the appropriate information to collect from participants to assist in follow-up, such as: (1) participants’ SSN (if available) and contact information; and (2) supplemental wage information related to all of the employment-related performance indicators, the credential measure and the occupational code of placement. This information needs to be retrievable quarterly or according to the time when grantees determine supplemental wage information follow-up is to be administered.

If a program uses supplemental wage information follow-up to retrieve data on any of the employment-related performance indicators, this data must be used to report on all of the employment-related indicators, or missing and incomplete data points will be counted as a negative when calculating levels of performance for the indicator(s).

▪ **Staff Training on Supplemental Wage Information Follow-Up Methods**

When conducting supplemental wage information follow-up, the Department recommends that staff follow a uniform set of written policies and procedures to collect and document data in a valid and reliable manner. Therefore, staff conducting the supplemental wage information follow-up should be trained in the implementation of the follow-up procedures, including what to say to former participants or their employers to encourage their cooperation, ways to encourage voluntary and truthful disclosure, how to document the information received, and how to respond to questions related to the supplemental wage information follow-up process. Staff should be thoroughly familiar with all procedures before beginning the process.

The Department recognizes that programs and grantees may consider supplemental wage information to be a very difficult aspect of data collection, particularly since it is sometimes difficult to follow up in a way that produces valid and reliable results (e.g., conducting follow-up surveys or other forms of self-attestation). The process includes determining which individuals should be included in the supplemental wage information follow-up, locating the individual, employer, or case manager, securing their cooperation, and conducting the follow-up procedure. Maintaining contact with, or finding these former participants and getting them to cooperate in the supplemental wage information follow-up process is critical to its success since the response rate largely determines the statistical validity of the information. Locating such individuals can be difficult, given the transient nature of some core program participants. The procedures described below will assist grantees in collecting valid supplemental wage information in a timely manner.

To help improve the follow-up process, it is very important that participants know how they may be contacted later and asked about their employment outcomes. Therefore, programs should inform participants at program entry about the supplemental wage information follow-up process and collect extensive contact information about them, such as addresses and phone numbers of relatives or others who may know the participants' whereabouts over time, and employment information, if applicable. In addition, participants should be encouraged to provide new addresses and phone numbers when they move, and programs should implement procedures to update this information periodically while the participant remains enrolled in the program. These procedures can greatly assist in locating former participants months later when the supplemental wage information may need to be collected.

Summary of Supplemental Wage Information Follow-Up Guidelines
1. Develop a method for identifying participants to contact for follow-up. <i>Have staff follow a uniform set of written policies and procedures to collect and document data in a valid and reliable manner</i>
2. Conduct the follow-up as close to the reference period as possible.
3. Ensure that the grantee has a uniform way to conduct the follow-up.
4. Train staff to conduct the follow-up.
5. Identify local resources available to conduct the follow-up.
6. Implement procedures to improve the quantity and quality of participant responses. <i><u>Best practice tip:</u> Inform participants at program entry about the supplemental wage information follow-up process and collect extensive contact information about them, such as addresses and phone numbers of relatives or others who may know the participants' whereabouts over time, and employment information, if applicable.</i>
7. Ensure that the grantee has a database and procedures for supplemental wage information reporting and documentation.

Appendix VII References

- Workforce Innovation and Opportunity Act (WIOA), Pub. L. 113-128
- Wagner-Peyser Act, as amended (29 U.S.C. 49 et seq.)
- Section 414(c) of the American Competitiveness and Workforce Improvement Act of 1998 (Div. C, Title IV of Pub. L. 105-277) (as amended), 29 U.S.C. 3224a
- Trade Act of 1974, as amended, 19 U.S.C. 2271 *et seq.*, including specifically but without limitation, amendments enacted in the Trade Adjustment Assistance Reauthorization Act of 2015 (Title IV of Pub. L. 114-27)
- Title 38, United States Code, chapter 41 (Jobs for Veterans State Grants)
- Elementary and Secondary Education Act, as amended by the Every Student Succeeds Act, 20 U.S.C 6301, et seq.
- WIOA Joint Rule for United and Combined State Plans, Performance Accountability, and the One-Stop System Joint Provisions, 81 Fed. Reg. 55791 (Aug. 19, 2016)
- Workforce Investment and Opportunity Act Final Rule, 81 Fed. Reg. 56071 (Aug. 19, 2016)
- OMB Control Number 1205-0526, WIOA Participant Individual Record Layout
- OMB Control Number 1205-0521, WIOA DOL-only Participant Individual Record Layout
- TEGL No. 02-07, *Leveraging Registered Apprenticeship as a Workforce Development Strategy for the Workforce Investment System*, dated July 12, 2007
- TEGL No. 39-11, *Guidance on the Handling and Protection of Personally Identifiable Information (PII)*, dated June 28, 2012
- TEGL No. 19-14, *Vision for the Workforce System and Initial Implementation of the Workforce Innovation and Opportunity Act*, dated February 19, 2015

- *TEGL No. 22-15, Program Year (PY) 2015/Fiscal Year (FY) 2016 and PY 2014/FY 2015 Data Validation and Performance Reporting Requirements and Associated Timelines, dated May 12, 2016*
- *TEGL No. 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, dated August 23, 2017*
- *TEGL No. 18-16, Program Eligibility and Enrollment Guidance for the National Farmworker Jobs Program, dated Jan. 19, 2017*
- *TEGL No. 20-16, Designation of Significant Migrant and Seasonal Farm Worker (MSFW) States, Significant MSFW One-stop Centers, and Significant Multilingual MSFW One-stop Centers, dated March 1, 2017*
- *TEGL No. 4-16, Enrollment of Homeless Veterans Program Participants into a Workforce Innovation and Opportunity Act (WIOA) Workforce Program at an American Job Center (AJC), dated August 4, 2016*
- *VPL No. 3-16, Enrollment of Homeless Veterans Program Participants into a Workforce Innovation and Opportunity Act (WIOA) Workforce Program at an American Job Center (AJC), dated July 15, 2016*
- *TEGL No. 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, dated March 1, 2017*
- *TEGL No. 21-16, Third Workforce Innovation and Opportunity Act (WIOA) Title I Youth Formula Program Guidance, dated March 2, 2017*
- *TEGL No. 26-16, Guidance on the use of Supplemental Wage Information to implement the Performance Accountability Requirements under the Workforce Innovation and Opportunity Act, dated June 1, 2017*
- *TEGL No. 15-10, Attachment 2, Increasing Credential, Degree, and Certificate Attainment by Participants of the Public Workforce System: Credential Resource Guide, dated December 15, 2010*
- *TEGL No. 7-16, Data Matching to Facilitate WIOA Performance Reporting, dated August 23, 2016*

- TEGL 03-18, *Eligible Training Provider (ETP) Reporting Guidance under the Workforce Innovation and Opportunity Act (WIOA)*, dated August 31, 2018
- TEGL 05-18, *Workforce Innovation and Opportunity Act (WIOA) Annual Statewide Performance Report Narrative*, dated November 7, 2018
- TEN No. 44-11, *Encouraging Enhanced Partnerships and Collaboration between the Workforce Investment System and Registered Apprenticeship Programs*, dated May 10, 2012
- TEN No. 08-16, *Implementation of an Integrated Performance Reporting System for Multiple Employment and Training Administration (ETA) and Veterans' Employment and Training Service (VETS) Administered Programs*, dated August 24, 2016
- <http://www.doleta.gov/wioa>
- <http://www.doleta.gov/performance>