

<b>EMPLOYMENT AND TRAINING ADMINISTRATION</b> <b>ADVISORY SYSTEM</b> <b>U.S. DEPARTMENT OF LABOR</b> <b>Washington, D.C. 20210</b>	<b>CLASSIFICATION</b> Performance
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**ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER WIOA NO. 14-18 OPERATING GUIDANCE for the WORKFORCE INNOVATION AND OPPORTUNITY ACT (referred to as WIOA)**

**TO:** STATE AND LOCAL STAKEHOLDERS IN THE WORKFORCE  
INNOVATION AND OPPORTUNITY ACT  
STATE WORKFORCE AGENCIES  
STATE WORKFORCE ADMINISTRATORS  
STATE WORKFORCE LIAISONS  
H-1B JOB TRAINING PROGRAM GRANTEES  
INDIAN AND NATIVE AMERICAN (INA) PROGRAM GRANTEES  
JOB CORPS CONTRACTORS  
JOBS FOR VETERANS STATE GRANTS (JVSG) GRANTEES  
OFFICE OF UNEMPLOYMENT INSURANCE (OUI)  
STATE MONITOR ADVOCATES  
NATIONAL FARMWORKER JOBS PROGRAM GRANTEES  
NATIONAL DISLOCATED WORKER GRANTEES  
REGISTERED APPRENTICESHIP (RA) PROGRAMS  
REENTRY EMPLOYMENT OPPORTUNITIES (REO) GRANTEES  
SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP) GRANTEES  
TRADE ADJUSTMENT ASSISTANCE (TAA) LEADS  
YOUTHBUILD GRANTEES

**FROM:** MOLLY E. CONWAY /s/  
Acting Assistant Secretary  
Employment and Training Administration

J.S. SHELLENBERGER /s/  
Deputy Assistant Secretary  
Veterans' Employment and Training Service

**SUBJECT:** Aligning Performance Accountability Reporting, Definitions, and Policies Across Workforce Employment and Training Programs Administered by the U.S. Department of Labor (DOL)

- Purpose.** This Training and Employment Guidance Letter (TEGL) aligns and streamlines performance indicators and requirements across 15 DOL Employment and Training Administration (ETA) programs to the Workforce Innovation and Opportunity Act (WIOA)

<b>RESCISSIONS</b> TEGL 14-00; TEGL 14-00, Change 1; TEGL 01-02; TEGL 01-02, Change 2; TEGL 08-02; TEGL 14-03; TEGL 14-03, Change 1; TEGL 17-05; TEGL 17-05, Change 2; TEGL 01-09; TEGL 01-09, Change 1; TEGL 01-09, Change 2; TEGL 06-09; TEGL 06-09, Change 1; TEGL 06-09, Change 2; TEGL 17-09; TEGL 07-12; TEGL 32-12; TEGL 4-13; TEGL 25-13; TEGL 30-14	<b>EXPIRATION DATE</b> Continuing
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performance indicators, while also rescinding and eliminating outdated performance guidance for these programs in addition to clarifying existing ETA performance accountability policies that changed due to WIOA.

2. **References.** See **Appendix VII.**

3. **Background.** This guidance provides sub-regulatory guidance on reporting performance accountability, including the requirements set forth in the WIOA, related to the implementation and operation of the performance accountability systems under WIOA section 116 and the implementing regulations in 20 CFR parts 677, 684, 685, 686, and 688.

WIOA section 116 establishes performance accountability indicators and performance reporting requirements to assess the effectiveness of States, local areas, program grantees, and Job Corps contractors in achieving positive outcomes for individuals served by the workforce development system. WIOA provides an historic opportunity to align performance-related definitions across the employment and training programs administered by DOL and by U.S. Department of Education (ED), align performance indicators, integrate reporting, and ensure comparable data collection and reporting across programs, while also implementing program-specific requirements related to data collection and reporting.

Initial sub-regulatory guidance for the six core WIOA programs (referred to in this guidance as “core programs”) was developed jointly by DOL and ED, and can be found in TEGL 10-16, Change 1, *Performance Accountability Guidance for Workforce Innovation and Opportunity Act (WIOA) Title I, Title II, Title III and Title IV Core Programs* ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3255](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255)), published on August 23, 2017. These six core programs are the Adult, Dislocated Worker, and Youth programs, authorized under WIOA title I and administered by DOL; the Adult Education and Family Literacy Act (AEFLA) program, authorized under WIOA title II and administered by ED; the Employment Service (ES) program authorized under the Wagner-Peyser Act, as amended by WIOA title III and administered by DOL;<sup>1</sup> 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.<sup>2</sup>

This issuance provides additional DOL-specific guidance on performance accountability for DOL programs that are not included in the core programs, referred to in this guidance as “non-core programs,” as well as additional DOL-specific guidance on the DOL-administered core programs, which can be found in the attachments of this guidance. Those non-core programs include programs authorized by WIOA, as well as programs authorized by other Federal legislation. Collectively, the non-core programs include:

- 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;

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<sup>1</sup> 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.”

<sup>2</sup> 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.”

- YouthBuild, under WIOA section 171;
- Reentry Employment Opportunities (REO), authorized under WIOA section 169<sup>3</sup>;
- 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.*); and
- Jobs for Veterans State Grants (JVSG), authorized under 38 U.S.C. chapter 41.

In addition this guidance also describes performance accountability for the reporting requirements for the Monitor Advocate System, which is not technically a program but a system that protects the standard of services provided to migrant and seasonal farmworkers (MSFWs) under the title III Employment Service program.

WIOA, signed into law on July 22, 2014, is designed to help job seekers access employment, education, training, and support services to succeed in the labor market and to match employers with the skilled workers they need to compete in the global economy. WIOA supersedes titles I and II of the Workforce Investment Act of 1998 (WIA) and amends the Wagner-Peyser Act and the Rehabilitation Act of 1973.

This guidance is based on the statutory requirements and the implementing final regulations of WIOA and the authorizing program legislations listed above.

The Department announced an implementation schedule for an integrated performance reporting system for certain DOL core and non-core programs—consistent with this opportunity for alignment, streamlining, and integration—in Training and Employment Notice (TEN) 8-16, *Implementation of an Integrated Performance Reporting System for Multiple Employment and Training Administration (ETA) and Veterans' Employment and Training Service (VETS) Administered Programs*, published on Aug. 24, 2016 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5317](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5317)). Under the implementation schedule, reporting requirements for core programs became effective July 1, 2016. The implementation date for non-core programs varied and programs should refer to program-specific attachments for their program's implementation date.

### **Programs Included:**

WIOA section 116(b) establishes performance indicators and reporting requirements for the WIOA core programs: the title I Adult, Dislocated Worker, and Youth programs; title II AEFLA program; title III Employment Service program; and title IV VR program. Under WIOA, these indicators also apply to the NFJP program (WIOA section 167(c)(3)), the INA programs (WIOA section 166(h)), YouthBuild (WIOA section 171(c)(3)(B)(xii)), and Job

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<sup>3</sup> Section 212 of the Second Chance Act was repealed by section 504(a) of the First Step Act, P.L. 115-391 (December 21, 2018). While the Reentry Employment Opportunities program used to be authorized under both Section 212 of the Second Chance Act and section 169 of WIOA, the program now is authorized under only section 169 of WIOA. The terms of the grants awarded prior to December 21, 2018, are unaffected by this change.

Corps (WIOA section 159(c)). The Department is aligning the performance accountability requirements for the DWG program by adopting the performance indicators of the title I Dislocated Worker program, as described in WIOA section 116.

The recent reauthorization of the TAA program through the Trade Adjustment Assistance Reauthorization Act (TAARA) of 2015, title IV of the Trade Preferences Extension Act of 2015 (Pub. L. No. 114-27), aligns many of the same performance accountability indicators for the TAA program by specifying many of the same performance indicators as specified for WIOA core programs (19 U.S.C. 2311(j)(2)(A)(i)). Therefore, the TAA program is aligned with the requirements and definitions in this guidance, as well.

Under 29 USC 3224a(7), for the H-1B Job Training Grants, DOL is required under statute to “require grantees to report on the employment outcomes obtained by workers receiving training under this subsection using indicators of performance that are consistent with other indicators used for employment and training programs administered by the Secretary [of Labor].” Therefore, the H-1B Job Training Grants program is aligned with the requirements and definitions in this guidance, as well, for grants with a start date of July 1, 2016, and later.

While REO does not have a legislative requirement for aligned reporting, DOL is adopting the WIOA performance indicators for this program, and aligning REO with WIOA data element definitions and reporting templates for grants with a start date of July 1, 2017, or later.

38 U.S.C. 4102A(f) requires DOL to establish performance indicators for the JVSG program that are “consistent with State performance accountability measures applicable under section 116(b)” of WIOA. Therefore, the WIOA section 116(b) indicators and reporting requirements apply to the JVSG program.

In addition, grantees in the Homeless Veterans Reintegration Programs (HVRP), administered by the VETS, must co-enroll all homeless veterans program participants into the Employment Service program, a JVSG program, or another WIOA title I program, as stated in TEGL 4-16 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7820](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7820)) and Veterans’ Program Letter (VPL) 03-16, (<https://www.dol.gov/vets/VPLS/VPLDirectory.html>), *Enrollment of Homeless Veterans Program Participants into a Workforce Innovation and Opportunity Act (WIOA) Workforce Program at an American Job Center (AJC)* published on July 15, 2016. Therefore, performance information related to employment and education or training outcomes will be reported through the integrated performance reporting system.

SCSEP was reauthorized on April 19, 2016, through the Older Americans Act Reauthorization Act of 2016 (Pub. L. No. 114-144), which in great part aligns the SCSEP indicators of performance with those of WIOA. DOL published an Interim Final Rule (IFR) implementing the new SCSEP performance indicators with an effective date of January 2, 2018, and has added SCSEP performance data elements to the DOL-only Participant Individual Record Layout (PIRL). On July 30, 2018, the Department issued a Final Rule adopting the IFR as final without change. SCSEP performance information under the new measures are required to be reported beginning July 1, 2018.

Furthermore, the DOL Office of Apprenticeship and the Office of Unemployment Insurance have partnered in the development of this guidance to highlight where the requirements of this guidance overlap with those programs' separate performance reporting and accountability requirements.

Therefore, as described in this guidance, non-core programs are aligning with the performance accountability indicators and performance reporting requirements established under WIOA section 116(b); the extent of this alignment, for each non-core program, is described in program-specific guidance at Attachments 1 through 11. In addition, this guidance provides additional performance accountability indicators and performance reporting requirements for the Monitor Advocate System, regarding the effectiveness and equity of the title III Employment Service in serving migrant and seasonal farmworkers (MSFWs).

### **Organization of This Guidance**

This TEGL is intended to align the guidance relating to the definitions and requirements listed below and in the appendices of this TEGL, while allowing individual non-core programs to provide program-specific information on their distinct and unique requirements in the 11 program-specific attachments to this TEGL.

Through this guidance, DOL elaborates on the performance accountability requirements in WIOA section 116 and part 677 of the Joint WIOA Final Rule, as well as parts 684, 685, 686, and 688 of the WIOA Final Rule, and the performance reporting requirements in the WIOA DOL-only PIRL (ETA-9172), approved by the Office of Management and Budget (OMB) on June 30, 2016.<sup>4</sup> Specifically, this guidance addresses the:

- Methodology for calculating the six primary indicators of performance;
- Definitions of reportable individual, participant, and exit;
- Definitions of common exit, self-service and information-only services or activities, and period of participation;
- Requirements related to: (1) Workforce Integrated Performance System (WIPS) Reporting, (2) State Annual Report Narratives, (3) Eligible Training Provider Performance Reporting, (4) Pay-for-Performance Reporting, (5) Quarterly Narrative Reports for Non-Core Programs, (6) Use of Social Security Numbers for Performance Reporting, and (7) Supplemental Wage Information; and
- Unique performance requirements for each non-core program.

It should be noted that the performance guidance for each non-core program may differ due to the unique statutory limitations and policies of each program. Attachments 1 through 11 of this TEGL provide specific information and requirements for each program and highlight areas where each differs from the shared DOL performance guidance described in the body of this TEGL and its appendices.

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<sup>4</sup>The DOL-only PIRL has been approved under OMB Control Number 1205-0521 (ETA Workforce Innovation and Opportunity Act Performance Accountability, Information, and Reporting System, current expiration date June 30, 2021), available at [https://doleta.gov/performance/reporting/eta\\_default.cfm](https://doleta.gov/performance/reporting/eta_default.cfm). The PIRL provides a standard layout of the data elements, definitions, and reporting instructions used to describe the characteristics, activities, and outcomes of participants of DOL administered workforce employment and training programs.

Where applicable, this document refers to data elements in the DOL-only PIRL. Note that the guidance in TEGL 10-16, Change 1 refers to data elements in the WIOA Joint PIRL,<sup>5</sup> all of which are included as a part of the DOL-only PIRL. The elements from the WIOA Joint PIRL are highlighted blue in the DOL-only PIRL for ease of identification.

#### **4. List of Appendices and Attachments.<sup>6</sup>**

- **Appendix I:** Primary Indicators of Performance
- **Appendix II:** Definitions of Terms Related to the Performance Accountability System
- **Appendix III:** Participant Level Services Charts
  - **Table A:** Indian and Native American Programs
  - **Table B:** National Dislocated Worker Grants
  - **Table C:** National Farmworker Jobs Program
  - **Table D:** Trade Adjustment Assistance
- **Appendix IV:** PIRL Elements Used in the Calculation of Each Primary Indicator of Performance
- **Appendix V:** Periods of Performance Reporting Cohorts
- **Appendix VI:** Supplemental Wage Information for Non-Core Programs
- **Appendix VII:** References
- **Attachment 1:** H-1B Grants
- **Attachment 2:** Indian and Native American Programs
- **Attachment 3:** Job Corps
- **Attachment 4:** Jobs for Veterans State Grants
- **Attachment 5:** Monitor Advocate
- **Attachment 6:** National Dislocated Worker Grants
- **Attachment 7:** National Farmworker Jobs Program
- **Attachment 8:** Reentry Employment Opportunities
- **Attachment 9:** Senior Community Service Employment Program
- **Attachment 10:** Trade Adjustment Assistance
- **Attachment 11:** YouthBuild

#### **5. Definitions of Terms Related To the Performance Accountability System.**

This guidance provides definitions of the following terms. See **Appendix II** for complete definitions.

- Common Exit
- Customized Training
- Employment
- Incumbent Worker
- Non-Core Programs
- Participant Individual Record Layout
- Period of Participation

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<sup>5</sup>The WIOA Joint PIRL has been approved under OMB Control Number 1205-0526 (Workforce Innovation and Opportunity Act Common Performance Reporting, expiration date March 31, 2021).

<sup>6</sup>Note that in this guidance “Appendices” provide information for all programs while “Attachments” provide program specific information.

- Secondary School Diploma
- Unsubsidized Employment

6. **Primary Indicators of Performance.** Appendix I provides the description, methodology, and operational parameters for each of the six primary indicators of performance. Appendix I is aligned with the guidance presented in TEGL 10-16, Change 1, but revised as necessary to provide guidance applicable to the DOL-administered non-core programs, as TEGL 10-16, Change 1, was issued jointly by DOL and ED to provide guidance for the six WIOA core programs. Unless otherwise stated, all of the core and non-core programs listed will be using these indicators as defined in Appendix I. Each of the non-core programs has some unique differences as it relates to this and subsequent sections of this guidance, which can be found in the corresponding programmatic guidance found in **Attachments 1 through 11**.

7. **Categories of Enrollment: Reportable Individual, Participant & Date of Program Exit.** The definitions of the categories of enrollment—reportable individual and participant—in this section of the guidance apply to the core programs. However, given the degree to which the definitions converge for these enrollment categories for non-core programs and core programs, it is useful for non-core programs to understand these definitions, even where they do not directly apply to a non-core program. For programs that recognize the category of reportable individual, there are two points to understand in reading these definitions: (1) all participants are reportable individuals, but some reportable individuals do not become participants (*i.e.*, they remain reportable individuals only), and (2) an individual can be a participant in multiple programs, a reportable individual in multiple programs, or be a participant in one program while still being considered just a reportable individual in a different program. Non-core programs included in this guidance should refer to the appropriate attachment for program-specific definitions and guidance for the following categories of enrollment.

**Reportable Individual:** The category of reportable individual allows DOL to identify the individuals who engaged with the workforce development system on an initial level. By definition this includes two categories: (1) those individuals who also meet the requirements to become participants in a given program and (2) those who do not meet the requirements to become a participant. For the purposes of performance reporting, the second category is what this guidance refers to as “reportable individuals.” This category of enrollment applies to the core programs and to certain non-core programs; program-specific guidance specifies the application and, as applicable, definition of this category to each non-core program.

DOL will use this category to track the number of individuals who take part in self-services, receive information-only services or activities, or do not complete the program requirements for eligibility or for participation. For DOL-administered core programs, as set forth in 20 CFR 677.150(b), a reportable individual is an individual who has taken action that demonstrates an intent to use program services and who meets specific reporting criteria of the program, including:

- 1) Individuals who provide identifying information;
- 2) Individuals who only use the self-service system; or
- 3) Individuals who only receive information-only services or activities.

For the DOL-administered core and non-core programs, the Department will not negotiate levels of performance or impose sanctions based on the outcomes of reportable individuals, because only participants are included in the performance indicators. However, the Department requires inclusion of certain information about reportable individuals in the State quarterly performance reports and associated WIOA performance reporting instruments or program-specific performance reporting instruments, which allows the system to accurately represent the number of individuals served by the system.

**Participant:** Although the definition of participant is consistent across the core programs, there are some slight differences to account for programmatic requirements. Specifically for the WIOA title I Adult, title I Dislocated Worker, and title III Employment Service programs, a participant is a reportable individual who has received services other than the services described in 20 CFR 677.150(a)(3) after satisfying all applicable programmatic requirements for the provision of services, such as an eligibility determination.

As set forth in more detail in 20 C.F.R. 677.150(a)(3), the following individuals are not participants:

- Individuals who only use the self-service system; or
- Individuals who receive information-only services or activities, which provide readily available information that does not require an assessment by a staff member of the individual's skills, education, or career objectives.

For the title I Youth program, a participant is a reportable individual who has satisfied all applicable program requirements for the provision of services, including eligibility determination, an objective assessment, and development of an individual service strategy, and received one or more of the 14 WIOA Youth program elements identified in WIOA section 129(c)(2) and 20 C.F.R. 677.150(a)(2).

For the non-core programs, the definition of participant is specified in program-specific guidance. In general, however, for the non-core programs, a participant is an individual who has received grant-funded services after satisfying all applicable programmatic requirements for the provision of services, such as eligibility determination.

As a general matter, participants' outcomes on the applicable primary indicators of performance may be relevant:

- For negotiating levels of performance;
- For the calculation and imposition of sanctions (as applicable); and
- To decisions related to contract awards and renewal and to the award of competitive grants.

For the DOL-administered core programs, the Department will negotiate levels of performance and calculate sanctions (as applicable) based on the outcomes of program participants upon exit (for the exit-based indicators) or during participation in a program. The DOL-administered non-core programs, grantees, and Job Corps contractors should refer to guidance in individual program attachments or other programmatic guidance, regulations, and statutes to determine if grantees for their program or Job Corps contractors are required

to negotiate levels of performance as this may not apply to all programs. Furthermore, past performance may be a consideration in decisions to award or renew a grant or contract to an applicant to programs administered by ETA or by VETS.

**Programmatic Criteria for Becoming a Participant in Each Program:** Due to the variability in programmatic criteria to receive services, the particular services that trigger inclusion as a participant vary across the core and non-core programs. Below are the criteria for the core WIOA programs, as is also detailed in TEGL 10-16, Change 1. Variations in alignment with these definitions across the non-core programs are further described in each program's attachment. Furthermore, Appendix III provides participation-level services charts for the INA, DWG, NFJP, and TAA programs, as participant status in those non-core programs is based in part on the type of services received.

- **Title I Adult and Dislocated Worker** – Receipt of any training services or individualized career services makes a reportable individual a participant. For basic career services, a reportable individual becomes a participant when he or she receives a service that is neither self-service nor information-only. See the chart in **TEGL 10-16, Change 1, Attachment 7, Table A** ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3255](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255)), which lists types of services received, identifies those services as basic career services, individualized career services, or training services, and states whether each type of service triggers inclusion in participation for the title I Adult and Dislocated Worker programs and for the title III Employment Service program.
- **Title I Youth** – When a reportable individual has satisfied all applicable program requirements for the provision of services, including eligibility determination, an objective assessment, development of an individual service strategy, and received at least one of the 14 WIOA Youth program elements identified in WIOA section 129(c)(2), then he or she is considered a participant. See the chart in **TEGL 10-16, Change 1, Attachment 7, Table B** (see link above).
- **Title III Employment Service** – When a reportable individual receives an individualized career service he or she is considered a participant. For basic career services, a reportable individual becomes a participant when he or she receives a service that is neither self-service nor information-only. See the chart in **TEGL 10-16, Change 1, Attachment 7, Table A** (see link above).

**Exit:** Exit from a program, as set forth in 20 CFR 677.150(c), generally occurs when the participant has not received services for a specified period of time and has no additional services scheduled.

For the title I and title III core programs, the date of exit from the program is the last date of service. Specifically:

- The date of exit cannot be determined until 90 days have elapsed since the participant last received services; furthermore, there must be no plans to provide the participant with future services. At that point, the date of exit is applied retroactively to the last date of service.

- When determining whether 90 days have elapsed since the participant last received services, grantees must not include the receipt by the participant of any self-service, information-only services or activities, or follow-up services, as these services do not delay, postpone, or affect the date of exit. Because the date of exit is retroactive to the last date of service, follow-up services may begin immediately following the anticipated last date of service if it is expected that the participant will not receive any future services other than follow-up services.<sup>7</sup> Provision of follow-up services does not extend the date of exit.
- PIRL data element 901 (Date of Program Exit) is used to collect and report the date of exit. For exit-based performance measures, the quarter<sup>8</sup> for collecting follow-up data is determined by the quarter in which the date of exit occurs. For example, if the date of exit is between January 1 and March 31, the first quarter after exit would be April 1 through June 30.

Follow-up services do not trigger the exit date to change or delay exit, as they may occur after exit in title I Adult and Dislocated Worker programs (see TEGL 19-16 [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3851](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3851)) and can only occur after exit in the title I Youth program (see TEGL 21-16 [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7159](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7159)), (See program-specific guidance for non-core programs.) States should count each exit of a participant during the same program year as the end date of a separate period of participation if a participant has more than one exit in a program year.

For the non-core programs, the definition of exit is stated in program-specific guidance. In general, exit occurs on the last day of service, and the exit date is determined when the participant has not received services (other than self-service, information-only services or activities, or follow-up services) for 90 days, and no additional services are scheduled.

Furthermore, when future services are scheduled more than 90 days after the most recent date of service, such as might happen when there is a delay before the beginning of training, grantees and Job Corps contractors should make sure that these participants are not automatically exited from their Management Information System (MIS) when 90 days have elapsed. Grantees and Job Corps contractors must document that these future services have been scheduled when necessary in those rare instances where future services are needed to take place more than 90 days out. Program specific guidance for scheduling future services can be found in the individual program attachments.

Under limited circumstances, some participants who exit programs are excluded from the performance calculations for the primary indicators of performance. The table below

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<sup>7</sup> WIOA title I core programs should note the following clarification on follow up services from TEGL 10-16, Change 1: “Follow-up services in the title I Adult and Dislocated Worker programs may begin immediately following placement into unsubsidized employment if it is expected that the participant will not receive any future services other than follow-up services. For the title I Youth program, follow-up services may begin immediately following the last date of service if it is expected that the participant will not receive any future services other than follow-up services.”

<sup>8</sup> In this guidance, the term “quarter” refers to one of the four set 3-month periods each year: January 1 – March 31, April 1 – June 30, July 1 – September 30, and October 1 – December 31.

describes these exclusions in greater detail and clarifies to which programs' participants they are applicable. These categories of exclusion, where a participant is exited but not reported in performance calculations for the primary indicators of performance, include instances where a participant is exited from a program because of medical treatment that lasts longer than 90 days and that precludes entry into unsubsidized employment or continued participation in the program.

<b>Exclusions from Performance Indicators – PIRL Element 923</b>		
*Note that unless explicitly stated in program guidance, these are not applicable should one of these conditions occur after a participant's Date of Program Exit (PIRL 901)		
<b>Code Value</b>	<b>Applicable Programs</b>	<b>Explanation</b>
<b>01</b> (Institutionalized)	ALL	The participant exits the program because he or she has become incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support, such as a hospital or treatment center, during the course of receiving services as a participant.
<b>02</b> (Health/Medical)	ALL	The participant exits the program because of medical treatment and that treatment is expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program.
<b>03</b> (Deceased)	ALL	The participant is deceased.
<b>04</b> (Reserve Forces called to Active Duty)	ALL	The participant exits the program because the participant is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days.
<b>05</b> (Foster Care)	WIOA title I Youth; YouthBuild; REO Youth	The participant is in the foster care system, as defined in 45 CFR 1355.20(a), and exits the program because the participant has moved from the local workforce area as part of such a program or system.
<b>06</b> (Ineligible)	WIOA title IV Voc. Rehab; SCSEP; Job Corps	The participant who was determined to be eligible for program services and is later determined not to have met the program's eligibility criteria. This exclusion applies only to the VR program, Job Corps, and SCSEP in which participant eligibility is routinely revisited during the participation period. For all other programs, eligibility is determined at the time an individual becomes a participant and such eligibility is not revisited during the individual's participation in the program.

<p style="text-align: center;"><b>07</b> (Criminal Offender)</p>	<p style="text-align: center;">WIOA title II AEFLA – sec. 225 participants only</p>	<p style="text-align: center;">See Attachment 2 of TEGL 10-16, Change 1</p>
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**Period of Reportable Individual Activity:** A period of reportable individual activity refers to the period of time that begins either (a) when a person first takes part in a qualifying reportable individual activity or (b) 91 days after the date of exit of a preceding period of participation. A period of reportable individual activity ends when either (a) no services have been received for more than 90 days or (b) 90 days prior to the start of a subsequent period of participation.<sup>9</sup> A new period of reportable individual activity must be recorded when more than 90 consecutive days have elapsed since that reportable individual last engaged with the program via self-service or an information-only service or activity. This “end of the period of reportable individual activity” is needed in order to prevent reportable individuals who have stopped receiving services from staying in the system indefinitely.

In cases where a person has a period of reportable individual activity lasting more than 90 days, prior to becoming a participant, two records must be reported. The first record represents the period of reportable individual activity and must end 91 days before the date of program entry for the subsequent period of participation. The second record represents the period of participation and will include any reportable individual services or activities occurring within 90 days prior to the date of program entry.

In cases where a person has a period of reportable individual activity lasting fewer than 90 days, prior to becoming a participant, only one record must be reported. The record represents a period of participation and will include any reportable individual services or activities occurring within 90 days prior to the date of program entry.

The same logic applies to periods of reportable individual activity occurring after a period of participation. Any reportable individual activities occurring within 90 days after the date of program exit will be reported as part of the period of participation. Reportable individual activities occurring more than 90 days after the date of program exit will not be included in the record for the period of participation. A second record representing a period of reportable individual activity beginning more than 90 days after the date of program exit must be reported.

**Common Exit:** DOL encourages states to use a “common exit” for DOL-administered programs and envisions full implementation of a common exit across the DOL-administered core programs within each State. While DOL encourages states that implement common exit policies to include DOL-administered non-core programs within the scope of each state’s common exit policy, DOL recognizes the challenges this potentially poses. The decision of whether to implement a common exit policy, or to include DOL-administered non-core

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<sup>9</sup> Note that for reportable individuals, grantees or Job Corps contractors should not be reporting either Date of Program Entry (PIRL #900) or Date of Program Exit (PIRL #901). References to “Date of Exit” and “Exit” in this section are meant to highlight how long a reportable individual is expected to continue to be reported in the files that grantees or Job Corps contractors submit to the Department.

programs within that policy, is ultimately left to each state, subject to the following requirements and exceptions. The WIOA final rule allows for States to establish common exit policies that include any of the DOL-administered non-core programs (as defined in Appendix II) except for the H-1B Job Training Programs, which are not included in the list of required one-stop partners in WIOA section 121(b)(1)(B).

A “common exit” occurs when a participant, enrolled in multiple partner programs, has not received services from *any* DOL-administered program to which the common exit policy applies for at least 90 days and has no future services planned. States that retain or develop a common exit policy must require that a participant is only exited when all the criteria for exit are met for the WIOA titles I and III core programs to which the common exit policy applies, as well as the exit criteria for any additional DOL-administered required partner programs to which the State’s common exit policy applies and in which the participant is enrolled.

Any State that chooses to adopt or retain a common exit policy may include some or all of the following core programs in the common exit policy:

- WIOA title I Adult program;
- WIOA title I Dislocated Worker program;
- WIOA title I Youth program; and
- WIOA title III Employment Service program.

Additionally, DOL encourages the inclusion in the common exit policy of the additional required partner programs listed in WIOA section 121(b)(1)(B) that are under the authority of DOL (i.e., the non-core programs). DOL notes, for instance, that in the past, a number of States implemented co-enrollment policies for TAA and additionally included TAA in the State’s common exit policy. In addition, JVSG program grantees are encouraged to utilize a common exit with core programs and also to co-enroll participants in the title III Employment Service program for more efficient service delivery and compliance with reporting requirements.

Common exit policies can be very beneficial for partner programs, as well as the participants being served. By implementing common exit policies, programs are able to more efficiently and effectively integrate service delivery and performance reporting, which can improve the program resources available, the quality of services provided through a common period of participation, and performance outcomes as a result. These improvements can come from greater ability to track, coordinate, and report services and outcomes, as well as from the ability of states to create common exit policies across programs that allow for coordination of a participant’s services before their outcomes are tracked. For example, when a wage match is conducted by one program, those outcomes would be the same for each of the programs in which an individual participates under a common exit policy; therefore, the outcomes would only need to be obtained once rather than each program tracking that information separately. This may enable grantees or Job Corps contractors access to data that they otherwise would not be able to access.

As a procedural matter, states are required to identify the programs for which they have adopted a common exit in their WIOA State Plans, beginning with the plans submitted for

PY 2016. Additionally, states must identify in the Program Performance Report Template (ETA-9173) the programs that share a common exit with the program being reported.

It should be noted that the Monitor Advocate System does not have a co-enrollment requirement, because the Monitor Advocate System is a system that uses performance data within the title III Employment Service and does not operate as a completely separate program. It evaluates minimum and equity service levels for MSFW participants compared to all participants that are enrolled in the title III Employment Service. This comparative evaluation of service provision and outcomes within a State is, therefore, not impacted by whether or not the State adopts common exit, because any decision to adopt common exit will affect all ES participants alike, MSFW or not.

8. **Self-Service and Information-Only Activities.** Non-core programs included in this guidance should refer to the appropriate attachment for the applicability of self-service and information-only activities, as these categories do not apply to the services offered by all non-core programs.

Workforce development system programs offer many services to the public, both virtually and in person, that are general in nature. These are commonly known as self-services or information-only services or activities. These services do not constitute participation in a program. Therefore, individuals who receive only self-services or information-only services or activities are considered reportable individuals, not participants. Note that the “reportable individual” category is used for some, but not all, of the non-core programs. Core programs that do not use the reportable individual category track only participants.

As described in 20 CFR 677.150(a)(3)(ii)(A), self-service occurs when individuals independently access any workforce development system program’s information and activities in either a physical location, such as an American Job Center resource room or partner agency, or remotely via the use of electronic technologies. However, it is important to note that self-service does not uniformly apply to all virtually-accessed services. For example, virtually-accessed services that provide a level of support beyond independent job or information seeking on the part of an individual would not be considered self-service and would therefore be a participant-level service.

Information-only services or activities are those that provide readily available information that does not require an assessment by a staff member of the individual’s skills, education, or career objectives.

9. **Period of Participation.** Non-core programs included in this guidance should refer to the appropriate attachment for the applicable period of performance definition, as it may differ by program.

For the core programs, 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. States must count each participant’s exit during the same program year as a separate period of participation for purposes of calculating levels of performance. For all indicators, except the Measurable Skill Gains indicator, a new period of participation is counted each time a participant re-enters and **exits** the program—even if both exits occur during the same program year. For the

Measurable Skill Gains indicator, a new period of participation is counted each time a participant ***enrolls***—even if both enrollments occur within the same program year. It is not necessary to wait until the participant exits the program in order to count a measurable skill gain because the Measurable Skill Gains indicator is not an exit-based indicator. The skill gain may be counted as soon as it is earned at any point during the participation period of the program year in which it was earned. **TEGL 10-16, Change 1, Attachment 6** ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3255](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255)) illustrates the counting of periods of participation and its relation to each performance indicator.

A person with more than one period of participation in a program year is counted separately for each period of participation in both the numerator and denominator of each applicable performance indicator; therefore, the person is counted multiple times—once for each period of participation. Specific examples of counting periods of participation are included in TEGL 10-16, Change 1, Attachment 6 (see link above).

State levels of performance on all primary indicators under WIOA are calculated as a percentage (except Median Earnings, for which the calculation produces a dollar amount) of the number of outcomes achieved for each reporting period (whether quarterly or annually, or as applicable) by the number of periods of participation during the same reporting period.

**Reporting Unique Participants:** Non-core programs included in this guidance should refer to the appropriate attachment for the requirements for reporting unique participants, as it may differ by program. For the core programs and certain non-core programs, DOL has determined it necessary to calculate the unduplicated count of participants served each program year, by each program reporting performance under the DOL-only PIRL. As a result, it is likely that many States and programs will need to modify their data systems and processes to be able to track each period of participation (i.e., a duplicate count) while also retaining the ability to calculate an unduplicated count of individual participants across multiple periods of participation in any given program year.

To meet this requirement states and grantees of designated non-core programs and Job Corps contractors must:

1. Develop systems to track multiple periods of participation within a program year;
2. Calculate an unduplicated count of individuals who are served as participants across multiple periods of participation in any given program year; and
3. For core programs only, establish a unique identification number that will be retained by the same individual across multiple programs.

Note that DOL does not accept Social Security Numbers (SSNs) as a unique identifier for participants in the DOL-administered core programs. For the non-core programs, DOL will not accept a SSN as a form of unique identifier, unless specifically noted in that program's specific attachment to this guidance and required under the individual program; however, many non-core programs do, in fact, require grantees or Job Corps contractors to collect SSNs on a voluntary basis for performance reporting purposes.

**10. Workforce Integrated Performance System (WIPS) and How to Report.** WIPS is the vehicle through which DOL grantees, as directed in program-specific guidance, must submit individual records based on the PIRL. This Web-based reporting system is accessed using

the following link <https://dol.appiancloud.com/suite/>. Access requires a username and password and, unless otherwise stated in program specific attachments, must be requested by email to [WIOA.feedback@dol.gov](mailto:WIOA.feedback@dol.gov). Detailed information regarding the site and its use are available on the WIPS User Resource Library Information Page found here: <https://doleta.gov/performance/wips/>. The system can receive comma delimited files with a .csv extension in multiple layouts. These layouts include (1) the full PIRL layout, which includes all PIRL data elements and can be used by any program or combination of programs; (2) the State Integrated Reporting Schema (SIRS), which is used by WIOA Adult, WIOA Dislocated Worker, WIOA Youth, DWG, JVSG, and TAA; or (3) program specific layouts that include only data elements required by the specific program, which are used by the programs not included in SIRS. The acceptable layouts (schemas) are found on the WIPS User Resource Library Information Page. Files uploaded in an acceptable format undergo various data edit checks that ensure valid values and logical integrity. Files that violate edit checks will be rejected by the system; users will be notified of specific edit check violations and must first correct the errors and then resubmit the data. Once a file has been successfully submitted, the quarterly performance report (QPR) (ETA-9173) can be generated. At this point, users must review the report and certify it, if they find the results to be accurate, to complete the process of submitting their quarterly performance reports. After a report is certified, the individual records used to populate the report will be stored in DOL's data warehouse. Please direct all requests for WIPS technical assistance to [WIOA.Feedback@dol.gov](mailto:WIOA.Feedback@dol.gov).

**Discontinued Reporting Systems:** With the introduction of WIPS, many of the existing reporting systems (including Enterprise Business Support System (EBSS)/Enterprise Data Reporting and Validation System (EDRVS) and Labor Exchange Reporting System (LERS) used by DOL will be replaced and discontinued, along with the reports that were submitted through those systems; DOL's intent is to discontinue the WIA and Labor Exchange reporting systems, including all 9002 reports and VETS 200 reports. See individual program attachments for the status of program specific reporting systems or reports.

- 11. State Annual Report Narratives.** Non-core programs should refer to the attached program-specific guidance for the applicability of the State Annual Report Narratives, as only specified non-core programs are required to submit a State Annual Report Narrative.

In addition to performance accountability data, DOL requires states to submit separately an Annual Statewide Performance Report Narrative for the WIOA title I and title III Employment Service core programs, which must be limited to no more than 25 pages, and is due on December 1 of each year for the previous program year. Other required partner programs are required to participate in the development of the report narrative, as appropriate. The specific items to be described by states in the Annual Statewide Performance Report Narrative can be found in TEGl 05-18 *Workforce Innovation and Opportunity Act (WIOA) Annual Statewide Performance Report Narrative*, published on November 7, 2018 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?docn=3118](https://wdr.doleta.gov/directives/corr_doc.cfm?docn=3118)).

In their Annual Statewide Performance Report Narratives, states must address all of the items requested through TEGl 05-18; however, states will not be limited to the requested items and may want to include additional information about their programs. Thus, states have flexibility in the contents of the Annual Statewide Performance Report Narrative, as long as

they address the requested items and stay within the 25-page limit established for the narrative requirement.

- 12. Eligible Training Provider (ETP) Performance Reporting.** WIOA requires States to report on the performance of ETPs for the WIOA Adult, WIOA Dislocated Worker, and WIOA Youth (Out-of-School Youth only) programs. These reports will be submitted to ETA through WIPS annually and will include aggregated data about individuals receiving training from those providers, including non-WIOA participants. The full list of required elements and definitions can be found in the ETA-9171 report. The Department has published detailed guidance on ETP Performance Reporting Requirements in TEGL 03-18 *Eligible Training Provider (ETP) Reporting Guidance under the Workforce Innovation and Opportunity Act (WIOA)*, published August 31, 2018 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?docn=3527](https://wdr.doleta.gov/directives/corr_doc.cfm?docn=3527)).

Non-core programs are not required to submit an ETP performance report.

- 13. Pay-for-Performance Reporting.** The following guidance applies only to the title I Adult, Dislocated Worker, and Youth core programs. WIOA allows local workforce boards to use up to 10 percent of their WIOA Adult, WIOA Dislocated Worker, and WIOA Youth funds to implement innovative, “Pay-for-Performance” strategies. States are required to submit an annual narrative report describing the different pay-for-performance strategies being used within their states using ETA- 9174. Additionally, state and local staff must ensure that participants receiving services funded by a pay-for-performance strategy are coded as a “1” in the data element PIRL # 930 “Pay-for-Performance” and that the Pay-for-Performance provider identification (ID) number is reported in the data element PIRL #107 “Special Project ID – 3.”

For non-core programs, unless otherwise specified in program-specific or grant-specific guidance, the provisions regarding pay-for-performance reporting do not apply.

- 14. Quarterly Narrative Reports for Discretionary Programs.** Some non-core programs require quarterly narrative reports to be submitted in addition to the required PIRL-formatted performance data submissions. Non-core programs included in this guidance should refer to the appropriate attachment for the applicability of these requirements.

- 15. Use of Social Security Numbers and Direct Wage Match for Performance Reporting.** The requirements regarding the collection and use of SSNs for the purpose of performance reporting vary across the programs included in this guidance, with substantial differences between the core and non-core programs. In general, for those programs that are directed to collect SSNs, SSNs are collected for the purpose of reporting on primary indicators of performance for employment status in the second and fourth quarters after exit, on the primary indicator of performance for median earnings in the second quarter after exit, and on post-exit employment status for participants who attain secondary school diplomas or their recognized equivalent for the primary indicator of performance for credential attainment. SSNs may also be collected for the purpose of reporting on the approach to measuring one of the three effectiveness in serving employers indicators—the one that calculates retention with the same employer in the second and fourth quarters after exit. Matching a participant’s SSN against quarterly wage record information is, where a wage match is available, the most efficient method for determining employment status and earnings for a program participant.

**Reporting by States:** In general, the core programs collect participants' SSNs in order to obtain quarterly wage record information on those participants, but states do not report core program participants' SSNs to DOL. DOL interprets WIOA section 116(i)(2) as requiring states to use state and out-of-state quarterly Unemployment Insurance (UI) wage records, consistent with state law, to measure their progress on satisfying state and local performance accountability indicators for the core programs. States must submit the records of individual participants in core programs to the Department using a unique personal identifier other than a SSN. TEGL 26-16, *Guidance on the use of Supplemental Wage Information to implement the Performance Accountability Requirements under the Workforce Innovation and Opportunity Act* published on June 1, 2017, ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5002](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5002)) provides additional guidance regarding the availability of SSNs and UI wage records for collecting employment information for core programs.

In addition, in the non-core programs listed below, for which grantees are states, the state grantees are directed to collect participants' SSNs in order to obtain quarterly wage record information on those participants. For these non-core programs, which are listed below, states will request but not report the participants' SSNs to DOL. Rather, states will be able to use quarterly wage records, consistent with state law, to report on participants' exit-based performance indicators (which all have an employment-related component) in these programs. States will submit exit-based outcomes for these participants in these grant programs to DOL using a unique personal identifier rather than a SSN.

These non-core programs, for which this guidance directs states to request the participants' SSNs and submit quarterly wage record information (but not the participants SSNs) on those participants to DOL, are:

- Jobs for Veterans State Grants;
- National Dislocated Worker Grants (for grantees that are states or local workforce development boards (WDBs) reporting through states); and
- Trade Adjustment Assistance.

**Reporting by Non-State Entities:** This guidance directs grantees of certain non-core programs and Job Corps contractors to request participants' SSNs and to report those SSNs to DOL through the DOL-only PIRL. For these specified non-core programs, DOL will, through an agreement with states that allows access to quarterly unemployment insurance (UI) wage records, obtain aggregate quarterly employment and earnings results for program participants and provide those aggregate results to the relevant grantee or contractors.

The non-core programs, for which this guidance directs grantees and Job Corps contractors to request participants' SSNs and to report those SSNs to DOL, are:

- H-1B Job Training Programs (awarded July 1, 2016, and later);
- Indian and Native American (INA) Program;
- Job Corps;

- National Dislocated Worker Grants (for grantees that are not States, such as entities under WIOA section 166 and Indian tribal governments<sup>10</sup>);
- National Farmworker Jobs Program;
- Reentry Employment Opportunities;
- Senior Community Service Employment Program; and
- YouthBuild.

**Reporting by Both State and Non-State Entities:** While grantees in the core and non-core programs specified above and Job Corps contractors are required to request participants' SSNs, participants cannot be denied services if they choose to not disclose their SSN. Furthermore, when requesting a participant's SSN, the participant must be informed, in writing, of the following as applicable to the particular program:

- (1) **Authority:** The statute, regulation, Executive Order, or other authority under which the SSN is solicited. In general, the authority for collecting participants' SSNs is found in WIOA and the regulations implementing WIOA.
- (2) **Purpose:** The information will be used to collect quarterly wage data for the purposes of assessing the overall performance outcomes of a grantee or Job Corps contractor and of the program.
- (3) **Opportunity and/or right to decline to provide SSNs:** SSN disclosure must be voluntarily provided by the individual.
- (4) **Consequences of refusing or failing to disclose one's SSN:** Grantees and Job Corps contractors cannot deny the participant access to services if the SSN is not provided. In such instances, the participant will be identified by an alternate unique identifier.

DOL will ensure appropriate security within the data collection system to protect SSNs and any other personally identifiable information (PII) collected and transmitted to DOL. Grantees and Job Corps contractors also must follow appropriate practices in collecting, storing, handling, and transmitting PII. For further guidance, reference TEGL No. 39-11, *Guidance on the Handling and Protection of Personally Identifiable Information* ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7872](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7872)).

**16. Supplemental Wage Information.** 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 records will not be available in all circumstances. For circumstances where wage records are not available, supplemental wage information may be used to provide information needed to calculate the applicable primary indicators of performance.

For the core programs, the guidance on the use of supplemental wage information can be found in TEGL 26-16 ([https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5002](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5002)). For non-core programs, the guidance on supplemental wage information can be found in Appendix VI of this guidance and aligns closely with the guidance in TEGL 26-16. Programs should also refer to individual program attachments for programmatic differences.

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<sup>10</sup> While the Department is unable at this time to facilitate wage matches on behalf of these grantees, the Department anticipates that these entities will be included in future agreements concerning UI wage record matching.

Supplemental information collection is important where participants' SSNs were not collected, because quarterly UI wage matching utilizes the SSN to match against employer records. Where an SSN is not provided, the grantee must gather supplemental information to obtain employment and earnings status for outcome reporting purposes.

Supplemental information can be collected to record credential attainment and the occupation of employment participants were placed in for reporting purposes, as well as earnings and employment status post-exit.

Supplemental information should be well-documented to verify its accuracy and subject to records retention policies.

**17. Reporting of Individuals Served with Statewide Funds.** This section applies to only the WIOA title I core programs (Adult, Dislocated Worker, and Youth).

Performance outcome data of individual participants who receive direct services with funding from statewide reserve funds must be reported by the State under the title I Adult, Dislocated Worker (including WIOA participants who receive Rapid Response), and Youth program(s) and must be reported following the same guidelines that apply to participants served with local formula funding. For the WIOA title I core programs, States must ensure that these participants are coded in the appropriate funding stream data element(s) in the PIRL (e.g., 903, 904, or 905) and must be assigned code "2" if they are served only using statewide reserve funds or code "3" if they are served using statewide funds in combination with local formula funds. This means the performance outcomes of these individuals will be included for performance accountability purposes.

**18. Performance Reporting and Apprenticeship.** DOL has consistently supported the integration of apprenticeship<sup>11</sup> programs into the public workforce system. Apprenticeship is both a contributor to—and collaborator in—the continuing development of a skilled workforce that is responsive to business needs and our evolving economy, (see TEGL 02-07, *Leveraging Registered Apprenticeship as a Workforce Development Strategy for the Workforce Investment System* [[https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2491](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2491)]). Apprenticeship is an important component of education and training services (see TEN 44-11, *Encouraging Enhanced Partnerships and Collaboration between the Workforce Investment System and Registered Apprenticeship Programs* [[https://wdr.doleta.gov/directives/corr\\_doc.cfm?docn=4843](https://wdr.doleta.gov/directives/corr_doc.cfm?docn=4843)]).

As the states, other grantees, and Job Corps contractors adopt apprenticeship programs as part of their sector strategies and career pathways approaches, complete and accurate reporting of the workforce system's investments in these programs is vital. Within the workforce system, data on program participants and program outcomes is reported through the DOL-only PIRL, which includes the enrollment of core and non-core program participants in apprenticeship programs.

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<sup>11</sup> The definition of "apprenticeship" in both WIOA and the WIOA final rule refers to "Registered Apprenticeship"; however, in this guidance references to apprenticeship include both Registered Apprenticeship and apprenticeships that are not registered.

Note that the information collected in the DOL-only PIRL regarding enrollment of core and non-core program participants in Registered Apprenticeship (RA) programs, is separate and apart from the Office of Apprenticeship's current reporting requirements. The Office of Apprenticeship requires RA program sponsors to report on program participants using the program's case management system, either the Registered Apprenticeship Partners Information Data System (RAPIDS) or an appropriate State Apprenticeship Agency (SAA) case management system. The information collection in the DOL-only PIRL regarding apprentices, serves two main purposes within the workforce system: (1) to record which core or non-core program participants are also apprentices, and (2) to record training, credentials, work experiences, employment, and other services received via an apprenticeship program for program reporting within the workforce system, for both programmatic as well as performance reporting purposes.

Pursuant to Executive Order 13801 "Expanding Apprenticeships in America" (issued June 15, 2017, <https://www.whitehouse.gov/presidential-actions/3245/>), DOL is working to implement the recommendations of the Task Force on Apprenticeship Expansion. On May 10, 2018, the Task Force released a report with recommendations (<https://www.dol.gov/apprenticeship/docs/task-force-apprenticeship-expansion-report.pdf>), which include recommendations relating to the Registered Apprenticeship program's interaction with WIOA. These recommendations (#24 and #25 in the report) are addressed by the guidance in this section. As it pertains to reporting on various types of apprenticeship models, the training type options in the PIRL are sufficient to report the different components of apprenticeship programs (see "Type of Training Services" discussion below). Further guidance, as well as requisite changes to the DOL-only PIRL, will be provided should it be determined that the Task Force's recommendations require additional changes to the PIRL reporting.

**Apprenticeship and Pre-Apprenticeship in the PIRL:** The DOL-only PIRL directly supports a collaborative relationship between workforce development and apprenticeship, by including data elements reflecting enrollment of a core or non-core program participant in apprenticeship. In particular, PIRL #931 indicates whether a core or non-core program participant either entered into an apprenticeship program during program participation or was a registered apprentice at the time of program entry.

In addition to PIRL #931, there are a number of other PIRL data elements that are particularly important for the complete and accurate reporting of apprenticeship and pre-apprenticeship participation; some of these data elements are identified below, although this is not an exhaustive list.

- Three PIRL data elements focus on *Type of Training Services* being provided to a participant (i.e., PIRL #1303, #1310, and #1315). In each case, "Registered Apprenticeship" is an option among the coding values (code value "09"), as is On-the-Job Training (OJT) (code value "01"), and Skill Upgrading (code value "02"). The instructions make clear that if OJT or Skill Upgrading is being provided to an individual as part of a Registered Apprenticeship program, the code value "09" for Registered Apprenticeship must be used. This emphasizes both the importance of apprenticeship and the fact that OJT and Skill Upgrading may be components of an apprenticeship program.

- For the PIRL data elements focused on employment status post-exit (i.e., PIRL #1600, #1602, #1604, and #1606), the reporting instructions similarly clarify that if the unsubsidized employment is through a Registered Apprenticeship, the code value “02” for Registered Apprenticeship should be used.
- Three PIRL data elements focus on the *Type of Recognized Credential* (i.e., PIRL #1800, #1802, and #1804). Although “Registered Apprenticeship Completion Certificate” is not a specific coding value/option, the RA Completion Certificate is considered a recognized post-secondary credential under WIOA sec. 3(52). Therefore, if an individual receives a Registered Apprenticeship Completion Certificate, the code value “06” for Occupational Certificate should be used.
- One PIRL data element focuses on the *Type of Work Experience* (PIRL #1205) provided to program participants. Pre-apprenticeship programs (code value “03”) are included among the types of work experiences that can be provided as a service to adults and dislocated workers, as well as youth. If code values “02” (Employment opportunities, including internships, not limited to summer months) or “05” (On-the-Job Training [WIOA Youth]) would normally be applicable but the participant is receiving them as a part of a pre-apprenticeship program, then code value “03” for pre-apprenticeship is to be used.
- The PIRL data element for *Received Pre-Vocational Services* (PIRL #1210) records the date that the participant received short-term pre-vocational services (at any time during an individual’s period of participation). An adult pre-apprenticeship program may include the kind of pre-vocational services listed; if so, the date on which such pre-vocational services were received in the context of an adult pre-apprenticeship program should be recorded. (Note: This PIRL data element is not used for title I Youth.)

## **Apprenticeship and WIOA Primary Indicators of Performance:**

### *Employment Rates and Median Earnings*

Whether or not they are a participant in a core/non-core program, DOL will facilitate a wage match between data from RAPIDS and UI wage records for participants that exit DOL’s Registered Apprenticeship program (both cancellers and completers) for certain employment-related performance indicators. The three employment-related performance indicators for which the Department will facilitate a wage match are:

- Employment Rate – Second Quarter After Exit;
- Employment Rate – Fourth Quarter After Exit; and
- Median Earnings – Second Quarter After Exit.

The Department will calculate these outcomes using PII including each participant’s SSN.

### *Differences between the Calculation of the WIOA Primary Indicator of Performance for Credential Attainment and the Operational Parameters for the Office of Apprenticeship Credential Attainment Measure*

The core and non-core programs identified in this guidance and the Registered Apprenticeship program all require the reporting of participants’ credential attainment and recognize certificate of completion of an apprenticeship as a credential; in particular, under

WIOA section 3(52), the definition of recognized postsecondary credential specifically includes a certificate of completion of an apprenticeship.

However, the Registered Apprenticeship program and the core and non-core programs identified in this guidance vary slightly in their methodologies for calculating the attainment of credentials. The Office of Apprenticeship calculates certificate of completion attainment within one year of *expected completion*. The WIOA Credential Attainment primary indicator used in the WIOA core and non-core programs calculates certificate of completion attainment during participation or within one year of *exit* from a core or non-core program. Detailed specifications and methodologies for the calculation of these indicators can be found in the applicable program guidance. For the core and non-core programs identified throughout this guidance, refer to Appendix I of this guidance and its program-specific attachments, as well as TEGL 10-16, Change 1. RA programs should refer to the Office of Apprenticeship’s Bulletin 2015-10, “Calculation of Registered Apprenticeship Completion Rates,” for RA programs.

For the Registered Apprenticeship program, the “Registered Apprenticeship Program Completion Rate” is calculated as the percentage of an apprenticeship cohort who receive a certificate of completion of Registered Apprenticeship within one (1) year of the expected completion date, out of the total number of registered apprentices in the cohort who exited the program minus the total number of registered apprentices in the cohort who cancelled their apprenticeship program during the probationary period. (For state apprenticeship programs reported via RAPIDS, this is tracked and reported directly through participant level data collected in RAPIDS.) These operational parameters are consistent with the Office of Apprenticeship’s Bulletin 2015-10 (“Calculation of Registered Apprenticeship Completion Rates”).

#### *Recording Measurable Skill Gains for Participants Co-Enrolled in Apprenticeship Programs*

This measure of interim progress enables programs to identify a participant’s achievement of training milestones during a program year, which is particularly consequential for longer term programs, such as apprenticeships, that may span several program years. These milestones marking Measurable Skill Gains include, as noted in 20 CFR 677.155(a)(1)(v)(D), completion of one year of an apprenticeship program, as well as similar milestones. Other measurable skill gains achieved by a participant in an apprenticeship, could include the following:

- Completion of a front-loaded related technical instruction (RTI) component of an apprenticeship;
- Completion of a semester of related instruction; or
- A scheduled wage increase commensurate with an increase in skill levels gained during an apprenticeship.

For these latter three types of milestones (*i.e.*, completion of front-loaded RTI, completion of a semester of related instruction, or receipt of a scheduled wage increase), they must be attested to by an employer or verified by a training provider to be counted as a Measurable Skill Gain in the WIOA primary indicator of performance. DOL anticipates that such attestation or verification will be most likely in situations where an individual is

simultaneously a participant in Apprenticeship and an additional DOL-administered WIOA core or non-core program.

## **19. Performance Reporting and Unemployment Insurance.**

The Department is in the process of developing a “Facilitate Re-employment” performance metric and methodology that will report on what percent of UI participants are re-employed by the second quarter after program exit. This reporting will be required for WIOA core program or non-core program participants who received or were receiving UI and were subject to the requirement to search for work. The data elements needed to report on this metric are already built in to existing PIRL requirements, and a few of these elements are listed below as a reference only. DOL will issue additional guidance, including the full methodology and established targets, once the measure has been fully developed. States are currently required to report data toward the “Facilitate Re-employment” performance metric for the UI program and must continue to report on this metric.

### **Applicable PIRL Data Elements for Calculation of a “Facilitate Re-Employment”**

**Performance Metric:** The Department anticipates using the following PIRL data elements to calculate the Re-Employment Rate:

- **PIRL # 401** – This data element, “UC Eligible Status,” records whether an individual, who is a participant in a core or non-core program, is monetarily eligible for benefit payments under one or more State or Federal unemployment compensation (UC) program(s), as well as whether the individual has exhausted all UC benefit rights for which he or she was determined monetarily eligible. This element further differentiates into categories based on whether the individual, as a UC claimant, was referred to the workforce system by the Reemployment Services Eligibility Assessment (RESEA) and/or Worker Profiling and Reemployment Services (WPRS) programs. Please note that if the individual is not eligible for benefits on the date of entry into the core or non-core program, this data element should be left blank as it does not apply to the individual.
  - **401(5)** – Within PIRL data element number 401, there is also a fifth subcategory where a grantee can flag a participant as exempt from its work search requirement if the state workforce agency has determined exemption pursuant to state law or policy. An example where this may occur would be the participant returning to work in the near future or starting new employment in the immediate future. This category, which is code value “05” in the PIRL element number 401, requires program staff to make the determination on exemption based on State law and policy and cannot be self-attested by the participant.
- **PIRL # 1602** – This data element, “Employed in 2nd Quarter After Exit Quarter (WIOA),” records whether a core or non-core program participant was in unsubsidized employment, in a Registered Apprenticeship, in the military, or not employed, in the second quarter after the quarter of exit.
- **PIRL # 1609** - This data element, “Recalled by Layoff Employer,” is a required data element for participants in the TAA program. When the Department calculates a “Facilitate Re-employment” performance metric, it will include both those participants who were recorded as eligible for “UC Eligible Status” in PIRL #401, as well as those participants who were recorded as “Employed in 2nd Quarter After Exit

Quarter (WIOA)” in PIRL #1602 but exclude any participant who was recorded as recalled by the employer where the qualifying separation took place in PIRL #1609.

It is important to remember that the following data elements are particularly important for ensuring accurate reporting on UI eligible participants:

- #100 – Unique Individual Identifier
- #101 – State Code of Residence
- #300 – Veteran Status
- #401 – UI Eligible Status

**20. Action Requested.** States, grantees, and Job Corps contractors are requested to distribute this information to the appropriate staff.

**21. Inquiries.** Questions concerning this guidance should be directed to the appropriate regional office.