

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION WIOA Performance
	CORRESPONDENCE SYMBOL OPDR/OWI
	DATE September 15, 2022

ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 10-16, CHANGE 2

TO: STATE AND LOCAL STAKEHOLDERS IN THE WORKFORCE
INNOVATION AND OPPORTUNITY ACT
STATE WORKFORCE AGENCIES
STATE WORKFORCE ADMINISTRATORS
STATE WORKFORCE LIAISONS

FROM: BRENT PARTON /s/
Acting Assistant Secretary

SUBJECT: Performance Accountability Guidance for Workforce Innovation and Opportunity Act (WIOA) Core Programs

1. **Purpose.** This guidance updates Training and Employment Guidance Letter (TEGL) 10-16, Change 1, published August 23, 2017, and developed jointly by the U.S. Departments of Labor (DOL) and Education (ED) (the Departments). Within ED, the Office of Career, Technical, and Adult Education (OCTAE) will update Program Memorandum (PM) 17-2 and the Rehabilitation Services Administration (RSA) will update Technical Assistance Circular (TAC) 17-01 to be consistent with the changes reflected herein. With this issuance, the Departments update the guidance to reflect changes made to the information collection request (OMB Control No. 1205-0526) after August 23, 2017, and incorporate other changes to improve clarity of the guidance.
2. **Action Requested.** States are requested to distribute this information to the appropriate State and local staff. Please make this information available to the appropriate program, reporting, performance accountability, and technical staff.
3. **Summary and Background.**
 - a. **Summary** — TEGL 10-16, Change 2, rescinds and replaces TEGL 10-16, Change 1, published on August 23, 2017. **Attachment XI** summarizes substantive and technical revisions that differ from Change 1 in the order in which they appear in this document,

RESCISSIONS TEGL 10-16, Change 1	EXPIRATION DATE Continuing
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TEGL 10-16, Change 2. The remainder of this guidance remains unchanged from TEGL 10-16, Change 1, which was published in August 2017.

- b. Background** — This guidance, TEGL 10-16, Change 2, updates the guidance to reflect changes made to the information collection request (OMB Control No. 1205-0526) after Change 1 was issued, as well as adds clarifying language to the guidance.

WIOA section 116 establishes performance accountability indicators and performance reporting requirements to assess the effectiveness of States and local areas in achieving positive outcomes for individuals served by the workforce development system's six core programs. 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 program authorized under the Wagner-Peyser Act, as amended by WIOA title III and administered by DOL; and the Vocational Rehabilitation (VR) program authorized under title I of the Rehabilitation Act of 1973 (Rehabilitation Act), as amended by WIOA title IV and administered by ED. WIOA provides a historic opportunity to align performance-related definitions, streamline performance indicators, integrate reporting, and ensure comparable data collection and reporting across all six of these core programs, while also implementing program-specific requirements related to data collection and reporting.

Through this guidance, the Departments explain the performance accountability requirements in section 116 of WIOA, part 677 of the Joint WIOA Final Rule (also reproduced in 34 CFR parts 361 (VR) and 463 (AEFLA)), and the performance reporting requirements in the WIOA Joint Performance Accountability Information and Reporting System (WIOA Performance information collection request (ICR)), approved by the Office of Management and Budget (OMB) as Control No. 1205-0526. Specifically, this guidance addresses the:

- Methodology and guidance for calculating the six primary indicators of performance for the core programs;
- Definitions of: (1) reportable individual, (2) participant, (3) exit, and (4) period of participation; and
- Guidance related to: (1) career services vs. training services, and (2) incumbent worker training.

Where applicable, this document refers to data elements in the WIOA Joint Participant Individual Record Layout (Joint PIRL).¹ Additional references are also made to the DOL-

¹ETA Form-9170, the WIOA Participant Individual Record Layout (Joint PIRL), has been approved with OMB Control Number 1205-0526 (Workforce Innovation and Opportunity Act Common Performance Reporting,

only PIRL, as applicable for the DOL-administered programs.

The specific sections of this guidance can be found on the following pages:

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4. **Operating Guidance.**

a. **Definitions of Terms Related to the Performance Accountability System.**

This guidance uses the following terms. See **Attachment I** for complete definitions.

- Common Exit
- Competitive Integrated Employment
- Customized Training
- Employment
- Exit
- Incumbent worker
- Integrated Education and Training Program (IET)

expiration date May 31, 2024), available at <https://www.dol.gov/agencies/eta/performance/reporting>. The PIRL provides a standardized set of data elements, definitions, and reporting instructions used to describe the characteristics, activities, and outcomes of WIOA participants.

- Participant
- Participant Individual Record Layout
- Period of participation
- Reportable individual
- Secondary school diploma
- Unsubsidized employment

b. Primary Indicators of Performance.

Under section 116(b)(2)(A) of WIOA, there are six primary indicators of performance:

- 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 (for title I Youth, the indicator is 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 (for title I Youth, the indicator is 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: 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:

- Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary education level;
- Documented attainment of a secondary school diploma or its recognized equivalent;
- 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;²
- 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
- 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. The Departments piloted three approaches designed to gauge three critical workforce needs of the business community.

1. Approach 1 – Retention with the same employer – addresses the programs' efforts to provide employers with skilled workers;
2. Approach 2 – Repeat Business Customers – addresses the programs' efforts to provide quality engagement and services to employers and sectors and establish productive relationships with employers and sectors over extended periods of time; and

² 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.

3. Approach 3 – Employer Penetration Rate – addresses the programs’ efforts to provide quality engagement and services to all employers and sectors within a State and local economy.

Since this indicator is a new approach for measuring performance under WIOA’s six core programs, the Departments began implementing a pilot program in PY 2017; States were required to select two of the three approaches to report to the Departments. The Departments used these data to assess a permanent approach for measuring this indicator. States also had the option to voluntarily develop an additional State-specific approach for measuring effectiveness in serving employers and to report data from this approach to the Departments. The Departments assessed the States’ reporting of the pilot approaches and published a Notice of Proposed Rulemaking to define the indicator in 2022.

The methodologies for calculating most of the primary indicators of performance are written as equations (see ETA-9169 for specifications), clearly identifying which cohorts are in the numerator and which cohorts are in the denominator. In cases where there are conditions that apply to both the numerator and denominator, 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, except that the indicators for credential attainment and measurable skill gains do not apply to the title III Employment Service program.

For the three employment-related performance indicators (employment rate in the second and fourth quarters after exit and median earnings in the second quarter after exit), 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 program are also considered as employed, and their quarterly earnings are calculated, for the purpose of these indicators. Supplemental wage information may be collected 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 security number (SSN)). States must submit supplemental wage information to the Departments by using the data reporting instruments (i.e., PIRL and Statewide and Local Performance Report Template and Specifications). The Departments’ protocols on the use and reporting of supplemental wage information are described in *Guidance on the*

*use of Supplemental Wage Information to implement the Performance Accountability Requirements under the Workforce Innovation and Opportunity Act.*³

In addition, as set forth in more detail in **Attachment II, Table A** and **Attachment II, Table B**, 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 in all six core programs who exit for any of the reasons described in **Attachment II, Tables A and B**. Additionally, participants receiving services under WIOA section 225 are excluded from exit-based measures described in **Attachment II, Table C**.

Furthermore, participants who have exited a program, but for whom exit-based information (e.g., employment-related information) is not yet available, are not included in performance calculations until such data subsequently become available. For the employment-related indicators (i.e., employment rate in the second and fourth quarters after exit, and median earnings in the second quarter after exit), 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, however, that data for the employment indicators will generally be available, 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 conducting direct UI wage record match.

The methodology for calculating the primary indicators of performance for the core programs and the operational parameters determining the population assessed for each primary indicator are as follows:

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 (which will be discussed separately below):

³ See *Guidance on the use of Supplemental Wage Information to implement the Performance Accountability Requirements under the Workforce Innovation and Opportunity Act*, joint guidance issues on June 1, 2017 via the OCTAE [PM 17-6](#), ETA [TEGL 26-16](#), and RSA [TAC 17-04](#).

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.

Operational Parameters:

When calculating levels of performance for this indicator, States must include all participants exiting the title I Adult, title I Dislocated Worker, title II AEFLA, title III Employment Service, and title IV VR 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 **Attachment II, Table A** or **Attachment II, Table C** (PIRL 923) regarding exclusions.

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

Title I Youth Education and Employment Rate – 2nd Quarter After Exit is the percentage of title I Youth program participants who are in education or training activities, or in unsubsidized employment, during the second quarter after exit from the program.

Methodology:

Calculation includes all title I Youth program participants:

The number of title I 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 title I Youth program participants who exited the program during the reporting period.

Operational Parameters:

Calculations for determining levels of performance for this indicator include all participants who exit the title I Youth program except those that exit for any of the reasons listed in **Attachment II, Table B** or **Attachment II, Table C** (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.

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 (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.

Operational Parameters:

Calculation of levels of performance for this indicator includes all participants who exit from the title I Adult, title I Dislocated Worker, title II AEFLA, title III Employment Service, and title IV VR programs, except States must not include (in either the numerator or denominator) those who exit for any of the reasons listed in **Attachment II, Table A**.

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

Title I Youth Education and Employment Rate – Fourth Quarter After Exit is the percentage of program participants who are in education or training activities, or in unsubsidized employment, during the fourth quarter after exit from the program.

Methodology:

Calculation includes all title I Youth program participants who exit from the program:

The number of title I 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 title I Youth program participants who exited the program during the reporting period.

Operational Parameters:

Calculation of levels of performance for this indicator includes all participants who exit from the title I Youth program, except those who exit for any of the reasons listed in **Attachment II, Table B**. 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.

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, including the title I Youth program:

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. As a note, States must report actual wages paid, not wages promised for subsequent quarters.

In accordance with the WIOA regulations and joint guidance on supplemental wage information,⁴ if quarterly wage records are not available for a participant, States are permitted to report earnings using supplemental wage information. When using supplemental wage information, States must use the source documents identified on pages 9 through 13 in Attachment I of the joint guidance for validating jointly required performance data.⁵ The Wage Conversion Chart (**Attachment III**) is used to convert supplemental wage or earnings information values into a quarterly earnings value. These conversions are the result of calculations using actual wage data that have been verified through source documentation. When using the Wage Conversion Chart, it is important to distinguish between wage and earnings as they are used in this guidance. Wages are often expressed as a ratio of earnings over a specific period of time (e.g.,

⁴ See *Guidance on the use of Supplemental Wage Information to implement the Performance Accountability Requirements under the Workforce Innovation and Opportunity Act*, joint guidance issued on June 1, 2017 via the OCTAE [PM 17-6](#), ETA [TEGL 26-16](#), and RSA [TAC 17-04](#).

⁵ See *Guidance for Validating Jointly Required Performance Data Submitted under the Workforce Innovation and Opportunity Act (WIOA)*, joint guidance issued on December 19, 2018 via the OCTAE [PM 19-1](#), ETA [TEGL 07-18](#), and RSA [TAC 19-01](#).

dollars per hour) whereas earnings is the total earnings for the whole period. The Wage Conversion Chart should be used only when the wage rate—and not the information on quarterly earnings—is available.

Operational Parameters:

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

- 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)
- Participants who have exited a program and for whom earnings 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 (Information not yet available) 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 conducting direct wage record match. After two quarters, if a direct wage record match or supplemental wage 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. Examples of this include:

- Participants who have exited from a program and who have \$0 income.
- Participants who have exited a program and are in subsidized employment.
- Participants who have exited for any of the reasons listed in **Attachment II, Tables A through C**.

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.

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.

Operational Parameters:

Credential Attainment: This indicator measures attainment of two types of credentials: either 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, as well as graduate degrees for purposes of the VR program as required by section 103(a)(5) of the Rehabilitation Act. 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.

Certificates awarded by workforce development boards (WDBs) and work readiness certificates are not included in this definition because neither type of certificate is recognized industry-wide, and they do not document the measurable technical or industry/occupational skills necessary to gain employment or advancement within an occupation. Likewise, such 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. Although these types of certificates may not count towards the credential attainment indicator, these types of certifications may lead to positive outcomes in other performance indicators, so it may be valuable to provide services that lead to such certificates, depending on the requirements and eligibility for individual programs. Services that lead to these types of certificates often do not meet the definition of training or education; therefore, in such cases those participants are also excluded from the denominator of this measure.

Sections 766-769 of the Higher Education Act of 1965, as amended, authorize the Model Comprehensive Transition and Postsecondary Programs for Students with Intellectual Disabilities. ED provides grants to institutions of higher education or consortia of institutions of higher education to enable them to create or expand high quality, inclusive model comprehensive transition and postsecondary programs for students with intellectual disabilities. These programs support students with intellectual disabilities in continuing academic, career and technical, and independent living instruction to prepare them for employment. Students may or may not earn a recognized postsecondary credential upon completing these programs. Therefore, WIOA core programs, particularly the VR program, must review whether participants who complete these programs earn a credential that meets the definition of a recognized postsecondary credential.

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 of 1965, as amended, (20 USC section 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;
- The Employment and Training Administration's (ETA) Office of Apprenticeship or a recognized 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
- ETA's Job Corps program, which issues certificates for completing career training programs that are based on industry skills standards and certification requirements.

Definition of a Secondary School Diploma or Recognized Equivalent:

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.
- 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 degree
- Bachelor's degree
- Graduate degree for purposes of the VR program
- 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, except for the title IV VR programs, which are permitted to include graduate degrees as a type of recognized credential because of statutory and regulatory requirements specific to that program.⁶

⁶See sec. 103(a)(5) of the Rehabilitation Act; 34 CFR 361.48(b)(6); and 81 FR 55629, 55677 (Aug. 19, 2016).

Who Is Included in the Denominator of the Credential Attainment Indicator: Not all participants who exit will be included in the Credential Attainment denominator. Participants who are enrolled in a postsecondary education or training program (except for OJT and Customized Training) during participation, or who are enrolled in a secondary education program (at or above the 9th grade level) without a secondary school diploma or equivalent during participation, are included in the credential attainment denominator once they have reached one year after exit, subject to the “Special Rule” below.

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

As required in WIOA section 116(b)(2)(A)(iii), 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, a description of who is considered enrolled in an “education or training program”, and thus included in the credential attainment indicator, follows:

- **Title I Adult and Dislocated Worker:** All participants who are in a title I Adult- or Dislocated Worker-funded training program or receiving training from a DOL partner program that shares a common exit with title I Adult or Dislocated Worker, which was not OJT or customized training, are included in the credential attainment indicator.
- **Title I Youth:** All in-school Youth (ISY) are included in the credential attainment indicator since they are attending secondary or postsecondary school at program entry. 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
 - the program element education offered concurrently with workforce preparation
 - secondary education at or above the 9th grade level during participation in the title I Youth program
 - postsecondary education during participation in the title I Youth program
 - Title II-funded adult education at or above the 9th grade level during participation in the title I Youth program
 - YouthBuild during participation in the title I Youth program

- Job Corps during participation in the title I Youth program
- **Title II AEFLA:** The following AEFLA program participants are included in this measure:
 - For the secondary school diploma or its recognized equivalent: Participants without a secondary school diploma or its recognized equivalent at program entry, who were enrolled in a secondary education program at or above the 9th grade level.
 - For the recognized postsecondary credential: Participants who were dually enrolled in and exited from a postsecondary education or training program.
- **Title IV VR:** The following VR program participants are included in this measure:
 - All participants who have participated in an educational or training program leading to a postsecondary credential.
 - All participants who were enrolled in secondary education and who had the attainment of a secondary school diploma or its equivalent identified on their Individualized Plan for Employment (IPE) at some point during their period of participation.

Exclusions from the Measure:

Participants who exited a program and who were enrolled in the following are excluded from the credential attainment indicator:

- a. OJT only;
- b. Customized training only; or
- c. The title III Employment Service program (Wagner-Peyser) only.

Also, participants who exit for any of the reasons listed in **Attachment II, Tables A through 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 an education or training program that leads to a recognized postsecondary credential or employment and who are achieving documented academic, technical, occupational, or other forms of progress, towards such a credential or employment (see 20 CFR § 677.155(a)(1)(v)).

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. Therefore, it is not an exit-based measure. Instead, it is intended to capture important progressions through pathways that offer different services based on program purposes and participant needs and can 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.

Documenting Progress for Types of Measurable Skill Gains

- 1. Documented achievement of at least one educational functioning level 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;⁷

⁷The 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. For the most recent Federal Register notice as of the date of this guidance, see

- (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 were enrolled in postsecondary education and training after exit during the program year. A program below the postsecondary level applies to participants enrolled in a basic education program.

2. Documented attainment of a secondary school diploma⁸ 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 alternate diploma,⁹ 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 transcript¹⁰ 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 equivalent¹¹) 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.

Tests Determined To Be Suitable for Use in the National Reporting System for Adult Education; Department of Education, 86 FR 69021 (December 6, 2021). <https://www.federalregister.gov/d/2021-26360>

⁸ Secondary school diploma refers to a regular high school diploma, as defined in section 8101(43) of the ESEA, as amended by the ESSA.

⁹ Alternate diploma must meet the requirements under the ESEA, as amended by the ESSA.

¹⁰ Secondary transcript is specific to youth attending high school.

¹¹ 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.

- 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 programs should identify appropriate methodologies based upon the nature of services being provided, but progress reports must document substantive skill development that the participant has achieved. 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. Increases in pay resulting from newly acquired skills or increased performance also can be used to document progress. Milestones should be established in advance of the education or training program, or in advance of the program year being measured, to be considered an “established milestone.”

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 an established 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:

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 are drawn from *PIRL 1811: Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential or Employment* and *PIRL 1813: Date Completed During Program Participation in an Education or Training Program Leading to a Recognized Credential or Employment*. The denominator for this indicator includes all individuals where the range of dates between PIRL 1811 and PIRL 1813 (or the end of the report period if PIRL 1813 is null) overlaps with the program year being measured. For title I and title IV VR, participants who complete their education or training prior to the start of a program year but have not exited and are still receiving services are not included in the denominator for program years that occur after their completion date in PIRL 1813. If a participant starts a new education or training program after the date reported in PIRL 1813, grantees must remove the date in PIRL 1813 and replace the date in PIRL 1811 with the new education or training start date.

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; however, only one gain per participant in a reporting period may be used to calculate success on the Measurable Skill Gains indicator.

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 **Attachment II, Tables A and B** are excluded from the measurable skill gains indicator. The following participants in education or training programs are included:

- **Title I Adult and Dislocated Worker** – All participants who are in a title I Adult- or Dislocated Worker-funded training program, or training from a DOL partner program that shares a common exit with title I Adult or Dislocated Worker, 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. (Refer to the Incumbent Worker Training section on page 43.)

- **Title I Youth** – All ISY are included in the measurable skill gains indicator since they are attending secondary or postsecondary school. Only OSY who are in one of the following are included in the indicator:
 - the program element occupational skills training
 - the program element education offered concurrently with workforce preparation
 - 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
- **Title II AEFLA** – All participants in title II AEFLA programs are considered to be in an education program leading to a recognized postsecondary credential or employment and, as such, would be included in the measurable skill gains indicator.
- **Title IV VR** – All VR program participants who are in an education or training program that leads to a recognized secondary or postsecondary credential or employment, which is identified on the individual’s IPE, would be included in the measurable skill gains indicator.

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 10, page 38, 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 a measurable skill gain while still participating in a program; and

- Programs should 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 period of participation in an education or training program 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 programs. States should record all measurable skill gains achieved by participants in a program year and report the most recent gain of each gain type, although only one gain is required per participation period per program year to meet performance outcomes. See the example below for how this would apply in a typical scenario.

Example
<p>Chris enters an American Job Center and becomes a participant on October 2, 2022 (PY22). He exits the program on February 10, 2023. During this time, Chris achieves two types of gain under the measurable skill gains indicator.</p> <p>He re-enters the program as a participant on June 11, 2023 (PY22). By the end of the program year (June 30, 2023), he is still in his second participation period. During this time, Chris obtains an additional type of gain under the measurable skill gains indicator.</p> <p>In this example, Chris has two periods of participation 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.</p>

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 gain type should be recorded on the Measurable Skill Gains Report Template.

Operational Parameters – Individual Core Programs:

The appropriate types of measurable skill gains for each core program are detailed in the table below. These parameters are intended to focus performance accountability under measurable skill gains on the services that are allowable under the respective statutory provisions.

Operational Parameters – Individual Core Programs	
Core Program	Type of Measurable Skill Gains
Title I – Adult and Dislocated Worker	<ul style="list-style-type: none"> ▪ Measured by achievement of any of the 5 types of Measurable Skill Gains ▪ No specific measurable skill gains types required for specific Adult or Dislocated Worker participants
Title I – Youth	<ul style="list-style-type: none"> ▪ Measured by achievement of any of the 5 types of Measurable Skill Gains ▪ No specific Measurable Skill Gains types required for specific Youth participants ▪ Type of skill gain should be based on the youth’s individual service strategy
Title II – AEFLA	<ul style="list-style-type: none"> ▪ For all participants, performance may be measured by: <ul style="list-style-type: none"> - Achievement of at least one educational functioning level, or - Documented attainment of a secondary school diploma or its recognized equivalent. ▪ For participants enrolled in a workplace literacy or integrated education and training program, performance may be measured by achievement of any of the 5 Measurable Skill Gains.
Title IV – VR	<ul style="list-style-type: none"> ▪ May be measured by achievement of any of the 5 types of Measurable Skill Gains.

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. As planned, the Departments will define this indicator through rulemaking. The Departments implemented this indicator in the form of a pilot program to test the rigor and feasibility of three approaches, to solicit State input on suggested employer measures the State voluntarily develops and reports, and to subsequently set a standardized indicator. This

indicator is reported on an annual basis; therefore, the reporting period for the effectiveness in serving employers indicator is the program year.

As described in the Joint WIOA Final Rule and the Joint WIOA Performance ICR (OMB Control No. 1205-0526), the Departments developed three approaches for measuring effectiveness in serving employers. Until the Departments finalize the indicator, States must continue to select two of these three approaches to report on this indicator. Governors also may establish and report on a third State-specific approach for measuring effectiveness, in addition to the two Departmental approaches selected.

The three approaches implemented by the Departments are designed to gauge three critical workforce needs of the business community:

- 1) Providing employers with skilled workers;
- 2) Providing quality engagement and services to employers and sectors and establishing productive relationships with employers and sectors over extended periods of time; and
- 3) Providing quality engagement and services to all employers and sectors within a State and local economy.

a) **Three Approaches to Measuring Effectiveness in Serving Employers (Each State must continue to select two and may also develop a third State-established measure(s).)**

- 1) ***Retention (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.*** States must use wage records 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.

This approach is useful in determining whether the core programs are serving employers effectively by improving the skills of their workforce and decreasing employee turnover.

- 2) ***Repeat Business Customers (Percentage of repeat employers using services within the previous three years) – This approach tracks the percentage of employers who receive services that use core program services more than once.***

This approach is useful in determining whether employers who receive services from the core programs are satisfied with those services and become repeat customers. This approach also assesses the workforce system's ability to develop and maintain strong relationships with employers over extended periods of time.

- 3) **Employer Penetration Rate (Percentage of employers using services out of all employers in the State)** – This approach tracks the percentage of employers who are using the core program services out of all employers represented in an area or State served by the public workforce system (i.e., employers served). States are required to track data elements E1 – E4 in **Attachment IV, Table A** (“Effectiveness in Serving Employers Specifications”) of the WIOA joint reporting requirements for employer penetration rate and repeat business customer measures. American Job Centers will keep track of the number of establishments served within a program year, and States will collect that data and compare it to the aggregate number of employers in a given State and/or county.

This approach is useful in determining whether the core programs are serving a large portion of employers in an area and are adequately meeting the workforce needs of the area.

b) **How to Calculate**

In order to implement the effectiveness in serving employers indicator as a shared indicator, the Departments recommend that States centralize the coordination of data collection and reporting into a single agency. Since the measure is dependent on the Bureau of Labor Statistics (BLS) Quarterly Census of Employment and Wages (QCEW) data, UI wage data and an establishment identifier (such as an employer FEIN or State tax ID), the Departments anticipate that the State Workforce Agency (SWA) may be best positioned to report this measure for the State.

States have flexibility in determining which agency is responsible for tracking these services, including the collection of the data and the setting of goals with the local workforce boards.

Approach 1 – 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, States must report on data element 1618 (Retention with the Same Employer in the 2nd Quarter and the 4th Quarter) in the WIOA Joint 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. 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.

Approach 2 – Repeat Business Customers

Percentage of employers who have used WIOA core program services more than once during the last three reporting periods.

Methodology:

The total number of establishments, as defined by Bureau of Labor Statistics (BLS) QCEW program, served during the current reporting period (i.e., one program year) and that during the prior three reporting periods have used core program services more than once DIVIDED by the number of establishments, as defined by BLS QCEW, served during the current reporting period.

This measure is a unique count of employers who use WIOA core programs more than once. Regardless of the incidence of repeat usage of WIOA core program services, an employer who uses WIOA core program services more than once during the last three reporting periods should be counted only once in this calculation.

Note: As this indicator is implemented, it is the Departments’ intent to look forward until three program years’ worth of data become available. The Departments are not requiring States to use data for services delivered to employers prior to July 2016 to fulfill the prior three reporting periods’ requirement. The reporting period for this indicator is a program year (July 1 through June 30).

For this measure, States must report on data elements E3 and E4 as shown in **Attachment IV, Table A - Effectiveness in Serving Employers Specifications**. Please note that for employers with more than one physical location, the QCEW reports each work site as a separate establishment, and therefore, the total number of business establishments receiving services should be counted this way.

Attachment IV, Table B also includes definitions for the different categories of “Core Program Services” that may be counted when calculating levels of performance for the effectiveness in serving employers indicator. For example, a placement through title IV would fall under the “Worker Recruitment Assistance” category and would, therefore, count as a core program service.

Note: For more information about QCEW, see section e below.

Approach 3 – Employer Penetration

Percentage of employers using WIOA core program services out of all employers in the State.

Methodology:

The total number of establishments, as defined by the BLS QCEW program, that received a service or, if it is an ongoing activity, are continuing to receive a service or other assistance during the reporting period DIVIDED by the total number of establishments, as defined by BLS QCEW. This measure is a unique count of employers using WIOA core programs. If an establishment receives, or continues to receive, more than one service during the reporting period (i.e., during the program year), that establishment should be counted only once in this calculation.

For this measure, States must report data elements E1 and E2 found in “WIOA Effectiveness in Serving Employers’ Data Elements and Specifications” part of the WIOA joint reporting requirements (see **Attachment IV, Table A** for the data elements and their definitions). For employers with more than one physical location, the QCEW reports each work site as a separate establishment and therefore, the total number of business establishments receiving services should be counted this way.

Attachment IV, Table B also includes definitions for the different categories of “Core Program Services” that may be counted when calculating this measure. For example, a placement through the title IV VR program would fall under the

“Worker Recruitment Assistance” category and would therefore count as a core program service.

Note: For more information about QCEW, see section e below.

c) **Pilot Program**

Until the Departments identify a permanent indicator through rulemaking, States must continue to select two of the three approaches to report as discussed above, and may voluntarily develop, at the Governor’s discretion, an additional, third State-specific approach to report as a suggested indicator for the Departments.

These three approaches are outlined in the WIOA joint reporting requirements. Data reporting references include PIRL data element 1618 (Retention with the Same Employer in the 2nd Quarter and 4th Quarter) and Effectiveness in Serving Employer Data elements (i.e., E1, E2, E3, and E4) in **Attachment IV, Table A**.

States must implement and report on two of three approaches, with results to be included in the WIOA annual report.¹² When submitting results for the Employer Penetration approach, States should submit the most recently available QCEW data published by BLS.

For States that choose to develop an additional approach, the outcomes for that approach should be reported as numerators and denominators in the Pilot Approaches section of the Statewide Performance Report Template for Effectiveness in Serving Employers. A brief definition of the calculation should be included in the Report Certification/Additional Comments section of the same report template.

d) **Reporting “Effectiveness in Serving Employers” to the Departments**

The reporting methodology depends on the approaches selected. Retention with the Same Employer in the 2nd Quarter and the 4th Quarter (data element 1618) is calculated using data collected in the PIRL and, therefore, can be aggregated and reported like the other primary performance indicators. The Employer Penetration and Repeat Business Customers approaches are not based on individual participant data and will not be derived from the PIRL. Therefore, States must establish

¹² When submitting data on the Statewide Performance Report Template for the Effectiveness in Serving Employers, States should report only on the two approaches used for the pilot. If data are not yet available, States should enter zeros for the numerator and denominator for each pilot approach selected.

processes and policies for collecting and validating data related to these approaches before reporting the outcomes in the Statewide Performance Reporting Template.

e) **Overview of the BLS QCEW Program**

The QCEW program publishes a quarterly count of employment and wages reported by employers covering 98 percent of U.S. jobs, available at the county, Metropolitan Statistical Area (MSA), State, and national levels by industry. The Departments consider this data, collected from the States, to be an accurate count of the total work sites in a given State or county. For more information about the QCEW program and for accessing the worksite counts in a given State or county please visit: <http://www.bls.gov/cew/>.

c. **Categories of Enrollment: Reportable Individual, Participant, & Date of Program Exit.**

Reportable Individual: The category of reportable individual, as set forth in 20 CFR § 677.150(b), 34 CFR § 361.150(b), and 34 CFR § 463.150(b), allows the Departments 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 are also 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” and when the Departments report on reportable individuals it only refers to this category to avoid double counting of participants.¹³ The Departments will use this category to track the number of individuals who may take part in self-services, receive information-only services or activities, or those who do not complete the program requirements for eligibility or for participation. 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:

¹³The Department of Labor has produced a tool with more information on Reportable Individuals, titled *Understanding Reportable Individuals and Participants for Performance: A Guide to Reporting Services* that can be found at <https://performancereporting.workforcegps.org/resources/2017/08/01/09/32/Understanding-Reportable-Individuals-and-Participants-for-Performance-A-Guide-to-Reporting-Services>

- 1) Individuals who provide identifying information (including those what are determined ineligible to become a participant for a particular program);
- 2) Individuals who only use the self-service system;
- 3) Individuals who only receive information-only services or activities; or
- 4) For purposes of the title IV VR program only, a student with a disability who solely receives pre-employment transition services and who does not apply for VR services, who is not determined eligible, and who does not have an approved IPE.

The Departments 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 Departments require inclusion of certain information about reportable individuals in the State annual performance reports and associated WIOA performance reporting instruments or program-specific performance reporting instruments. For example, the Departments will track the number of individuals taking part in self-services, receiving information-only services or activities, or failing to complete the program requirements for eligibility or participation. Collecting such information allows the Departments to identify the individuals who engaged with the system on an initial level but who do not become participants, which allows the system to accurately represent the number of individuals served by the system.

Titles I and III Programs – Reportable Individuals period of activity:

Although a reportable individual does not “exit” as defined in 677.150(c), because they are never considered a participant, a new period of reportable individual activity occurs when more than 90 consecutive days have elapsed since the last service or activity (including provision of identifying information) occurred.

Title II AEFLA Program – Reportable Individuals period of activity:

Although a reportable individual does not “exit” as defined in 463.150(c), for tracking purposes a reportable individual will eventually stop being reported and, therefore, a reportable individual is “exited” when 90 days have elapsed since the last date of service and no future services are planned. This means the individual has had 90 days of no services, including self-service and information-only service, since being identified as a reportable individual (see 34 CFR § 463.150(c)(1)).

Title IV VR Program – Reportable Individuals period of activity:

Although a reportable individual does not “exit” as defined in 361.150(c), for tracking purposes it is necessary to determine when a reportable individual stops being a

reportable individual. For a student with a disability who solely receives pre-employment transition services and does not apply to the VR program, the VR agency discontinues reporting when the individual no longer meets the definition of a student with a disability, as reported in RSA-911 data element 22. Once a student with a disability receives a pre-employment transition service, the student must be reported on the RSA-911 even if the student is not receiving a pre-employment transition service in a quarter, if the student meets the definition of a student with a disability. However, if a student with a disability has applied and been determined eligible for VR services and has an approved and signed IPE, the student's service record would be "closed" when the student satisfies the definition of "exit" at 34 CFR 361.150(c) because his or her service record is closed pursuant to 34 CFR 361.43 or 361.56. At that time, the student would be considered to have exited the VR program for purposes of WIOA's performance accountability system as a participant. For all other reportable individuals under the VR program, the individual will be determined to have "exited" the VR program as of the date reported in RSA-911 data element 353 (Date of Exit).

Participant: Although the definition of participant is consistent across the core programs, there are some slight differences to account for programmatic requirements. As mentioned above, while all participants are technically considered reportable individuals, not all reportable individuals meet the requirements to become participants. 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 eligibility determination.

For the WIOA title II AEFLA program, a participant is a reportable individual who has received services other than the services described in 34 CFR § 463.150(a)(3), after satisfying all applicable programmatic requirements for the provision of services, such as eligibility determination.

As set forth in more detail in 20 CFR § 677.150(a)(3), 34 CFR § 361.150(a)(3), and § 34 CFR § 463.150(a)(3), as applicable, the following individuals are not participants:

- Individuals in an AEFLA program who have not completed at least 12 contact hours;
- Individuals who only use the self-service system; and
- 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 section 129(c)(2) of WIOA.

For the title IV VR program, a participant is a reportable individual who has applied and been determined eligible for VR services, has an approved and signed IPE, and has begun to receive services under the IPE.

In summary, a participant is an individual who:

- (1) Meets the definition of reportable individual;
- (2) Has received services other than the services described in 20 CFR § 677.150(a)(3), 34 CFR § 361.150(a)(3), or 34 CFR § 463.150(a)(3), as applicable; and
- (3) Has satisfied all applicable programmatic requirements for the provision of services.

The Departments will negotiate levels of performance and assess performance based on the outcomes of participants because the performance indicators are based on the experience of participants during or after program participation, as applicable.

Programmatic Criteria for Becoming a Participant in Each of the Core Programs:

Due to the variability in programmatic criteria to receive services, the particular services that trigger inclusion as a participant vary across the core programs:

- **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 **Attachment VII, Table A**, 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 one of the 14 WIOA Youth program elements (other than the program element follow-up

services) identified in section 129(c)(2) of WIOA, he or she is considered a participant. See the chart in **Attachment VII, Table B**.

- **Title II AEFLA** – When a reportable individual in an AEFLA program has completed at least 12 contact hours he or she is considered a participant.
- **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 **Attachment VII, Table A**.
- **Title IV VR** – When a reportable individual has applied and been determined eligible for VR services, has an approved and signed IPE, and has begun to receive services under the IPE, he or she is considered a participant. The date the individual begins receiving services under the IPE corresponds with data element 127 on the RSA-911.

Exit: Exit from a program, as set forth in 20 CFR § 677.150(c), 34 CFR § 361.150(c), and 34 CFR § 463.150(c), generally occurs, as described below, when the participant has not received services for a specified period of time and has no additional services scheduled. The title IV VR program has a consistent, but slightly different, definition of exit to account for programmatic requirements.

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 should make sure that these participants are not automatically exited from their Management Information System (MIS) when 90 days have elapsed. Grantees 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.

Follow-up services do not change or delay exit as they may occur after exit in title I Adult and Dislocated Worker programs and can only occur after exit in the title I Youth program.¹⁴ States must count each exit of a participant during the same program year as a separate period of participation if a participant has more than one exit in a program year.

¹⁴ Supportive services also do not delay exit. For the title I Adult and Dislocated Worker programs only participants may receive supportive services. The definition of supportive services for these programs requires that they may not be provided to an individual who would otherwise not be considered a participant. Additionally, for the title I Youth program, supportive services can be provided as a follow-up service and, therefore, can take place after exit without delaying the exit date. For the title IV VR program, support services can be provided after the individual begins employment without delaying the exit date.

Note that “follow-up services” refers to an allowable type of service in WIOA title I that takes place after placement into unsubsidized employment and mostly occur after exit, while the term “future services” refers to services that are provided to active participants (such as training) but that are scheduled to take place at a future date.

Program-Specific Criteria of Exit:

- **Title I Adult, Dislocated Worker and Youth; Title II AEFLA; and Title III Employment Service 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.
 - For determining whether 90 days have elapsed since the participant last received services, do not include 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 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. 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 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 1st and March 31st, the first quarter after exit would be April 1st through June 30th.
- **Title IV VR program** –
 - The participant’s record of service is closed in accordance with 34 CFR § 361.56 because the participant has achieved an employment outcome; or the individual has not achieved an employment outcome or the individual has been determined ineligible after receiving services in accordance with 34 CFR § 361.43.

- VR program participants are not considered to have exited if the service record is closed because the participant has achieved a supported employment outcome in an integrated setting, but not in competitive integrated employment.
- The RSA-911 data element 353 (Date of Exit) is the VR equivalent of PIRL data element 901 (Date of Program Exit). For VR program participants who have achieved an employment outcome, the exit date is at least 90 days after the attainment of the employment outcome and the individual has met the requirements under 34 CFR 361.56. For VR program participants who have not achieved an employment outcome or have been determined ineligible after receiving services in accordance with 34 CFR 361.43, the exit is based on the date of the determination to close the service record.

Common Exit for DOL-Administered Programs Only:

DOL encourages States to use a “common exit” for DOL-administered programs, and it 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 all 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 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 DOL-administered partner programs, has not received services from *any* DOL-administered program to which the common exit policy applies for at least 90 days, and no future services are 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 any additional DOL-administered required partner programs to which the State’s common exit policy applies in which the participant is enrolled. The WIOA title I and title III core programs are:

- WIOA title I Adult program;
- WIOA title I Dislocated Worker program;

- WIOA title I Youth formula program; and
- Wagner-Peyser Act Employment Service program.

Additionally, DOL encourages the additional required partner programs listed in section 121(b)(1)(B) of WIOA (i.e., the title I non-core programs) that are under the authority of DOL to be included in the common exit policy. Those partner programs, which may¹⁵ be included in a common exit policy, are as follows:

- Job Corps program, under WIOA section 141 et seq.;
- Native American programs, under WIOA section 166;
- National Farmworker Jobs program, under WIOA section 167;
- National Dislocated Worker Grants, under WIOA section 170;
- YouthBuild program, under WIOA section 171;
- 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 program (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 program (JVSG), authorized under chapter 41 of title 38, United States Code; and
- Reentry Employment Opportunities program (REO), authorized under section 212 of the Second Chance Act of 2007 (42 U.S.C. 17532).

If a State chooses to retain or implement a common exit policy, the policy must require that a participant is “exited” when that individual has not received services for 90 days, and no future services are planned (with the exception of self-service, information-only activities, or follow-up services) from any of the DOL-administered programs to which the common exit policy applies, in which the participant is enrolled.

States must identify the programs for which they have adopted a common exit policy in their annual narrative reports described in TEGL 05-18.¹⁶ Additionally, States will identify in the Quarterly Performance Report Template (ETA-9173) the programs that share a common exit with the program being reported.

¹⁵ Some programs may be required to be included in the common exit policy. Grantees should refer to guidance specific to these programs for more information.

¹⁶ See *Workforce Innovation and Opportunity Act (WIOA) Annual Statewide Performance Report Narrative*, issued November 14, 2018, DOL Employment and Training Administration Training and Employment Guidance Letter (TEGL) 05-18, <https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-05-18>.

d. Self-Service and Information-Only Activities.

Workforce development system programs offer many services to the public, both virtually and in person, that are general in nature and not customized to an individual's needs. 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.

As described in 20 CFR § 677.150(a)(3)(ii)(A), 34 CFR § 363.150(a)(3)(ii)(A), and 34 CFR § 461.150(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 not all virtual services are considered self-service. Any individual who accesses services virtually and who is provided a level of support from WIOA program staff beyond independent job or information-seeking would not qualify as self-service. This more intensive level of service would qualify the individual as a participant.

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. For further information on reportable individuals under the title I Adult and Dislocated Worker programs and on the title III Employment Service program, refer to Understanding Reportable Individuals and Participants for Performance: A Guide to Reporting Services at: <https://ion.workforcegps.org/resources/2017/02/22/07/41/Understanding-Reportable-Individuals-and-Participants-for-Performance-A-Guide-to-Reporting-Services>. Please note that this guide is based on the information in this section and on **Attachment VII, Table A** of this guidance.

e. Period of Participation.

For all indicators, 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, both periods of participation are counted even if they do not exit during the program year for the second period of participation, as both enrollments occur within the same program year and Measurable Skill Gains is not an exit-based indicator. The skill gain may be counted as soon as it is earned at any point during the program year in which it was earned.

Attachment V 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 **Attachment VI**.

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

Reporting Unique Participants

The Departments have determined it necessary to calculate the unique number of participants being served each program year, by each core program. 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 must:

1. Develop systems to track multiple periods of participation within a program year;
2. Calculate a unique count of individual participants across multiple periods of participation in any given program year; and
3. Establish a unique identification number that will be retained by the same individual across multiple programs.

Note that the Departments will not accept an SSN as a form of unique identifier unless specifically noted and required under the particular program.

f. Career Service and Training Service Guidance.

WIOA section 116(d)(2) specifies the data elements and outcomes to be included in the Statewide Annual Performance report for WIOA core programs. One of those elements is: “the average cost per participant of those participants who received career and training services, respectively, during the most recent program year and the three preceding program years” (section 116(d)(2)(F) of WIOA). WIOA provides specific definitions for career services (section 134(c)(2)), training services (section 134(c)(3)), and administrative costs (section 3(1)).

Classifying Career Services and Training Services

When the definitions of career services and training services do not directly correlate to all the services provided by a core program, the Departments have developed separate tables in **Attachment VII, Tables A through D** of this TEGl identifying which specific services are to be classified as career services and which services are to be classified as training services. When a program service includes components of both career services and training services, the programs must use those tables to determine which category will be used to ensure uniform reporting among all States and agencies. It may not be possible to classify all of a program’s services as either a career or a training service. In other words, a program may provide services that go beyond the scope of career services and training services (e.g., follow-up services, for participants in the title I Adult, Dislocated Worker, or Youth program, or instructional or program services, for participants in the title II AEFLA program). In such instances, the program must report only those services that satisfy the definition of career services and training services for this particular reporting purpose.

Identifying Career Services and Training Service Costs

WIOA requires that the costs for career and training services be determined separately. Given that WIOA defines “administrative costs” separately from the definitions of career services and training services, the Departments made clear in the WIOA Performance ICR that States must not include administrative costs when reporting costs for career services and costs for training services.

Career and training costs include any career service or training service provided by a core program, regardless of whether the service occurred “at” a one-stop center. Each of the data elements required by section 116(d)(2) is presented in the context of activities performed and services provided by the core programs, with no specificity that the activities or services be provided in a one-stop center. Additionally, section

121(b)(1)(A)(i) of WIOA states that one-stop partners must “provide access through the one-stop delivery system to such program or activities carried out by the entity, including making the career services described in section 134(c)(2) that are applicable to the program or activities available at the one-stop centers (*in addition to any other appropriate locations*).”

Therefore, consistent with the statutory requirement, at least some career services must be provided at the American Job Center. However, not all partners must provide career services at the American Job Center.

Calculating Career Service and Training Service Costs

Career Service Costs

The calculation for the cost of providing career services described in section 134(c)(2):

- **Title I Adult, title I Dislocated Worker, title I Youth, title III Employment Service, and title IV VR programs:**

$$\text{Career Services Costs} = \text{Total Expenditures for Career Services} / \text{Total Participants receiving Career Services in the Program}$$

- **Title II AEFLA program:**

$$\text{Career Services Costs} = \text{Total Expenditures for Career Services} / \text{Total participants receiving career services in the Program.}$$

Core programs define the **numerator** in the calculation of career service costs differently; therefore, the numerator for each should be adjusted accordingly as follows:

- **Title I Adult, Dislocated Worker, and Youth¹⁷ programs:**

Total Expenditures for Career Services is calculated by subtracting the sum of administrative expenditures and training expenditures from total expenditures. It is important to note that the costs incurred by these particular programs are categorized only as costs for career services, training services, and administrative costs.

- **Title II AEFLA program:**

Total Expenditures for Career Services is the sum of expenditures for career services indicated in **Attachment VII, Table C**, provided by the Program.

¹⁷ For title I Adult, Dislocated Worker, and Youth programs; DOL has developed a tool to help grantees determine which activities fall into which categories for calculating career and training services costs.

<https://performancereporting.workforcegps.org/resources/2019/07/05/13/29/Cost-Per-Participant-Tool-WIOA-Annual-Performance-Report>

- **Title III Employment Service:**

Total Expenditures for Career Services is calculated by subtracting the sum of administrative expenditures from total expenditures. It is important to note that the costs incurred by this particular program are categorized only as costs for career services and administrative costs.

- **Title IV VR program:**

Total Expenditures for Career Services is the sum of the costs of purchased career services and career services provided directly by VR agency staff. The Total Participants Receiving Career Services in the Program is the total number of participants receiving either purchased career services or career services provided directly by VR agency staff.

Training Service Costs

- Average Cost of Training Services per Participant = Total expenditures for training services (not including administrative costs) / the total number of participants receiving such services.

Calculating Training Service Costs – Special Circumstances

- Calculating training service costs when a participant is enrolled in a training program that spans program years:

Training cost should be reported as they were expended in each year, if the total expenditures for each year can be determined. If only the total cost of training across several program years is known, the total costs should be reported in evenly distributed amounts across program years.

- Calculating training service costs when a participant is co-enrolled and the partner program is contributing to the training (i.e., shared costs):

If participants are co-enrolled and a partner program is contributing to training costs, States should only report the portion of training costs paid by the program completing the statewide performance report. The partner program should report its share of the training costs on its own statewide performance report.

- **Title I Adult, Dislocated Worker, and Youth programs:**

Training costs for title I programs use the same definitions that are used for training expenditures (including Incumbent Worker Training expenditures, as appropriate) in the ETA-9130 financial reports for each program.

- **Title II AEFLA program:**

Total Expenditures for Training Services is the sum of expenditures for training services indicated in **Attachment VII, Table C**, provided by the Program.

- **Title III Employment Service:**

There are no training costs associated with the Employment Service.

- **Title IV VR program:**

Total Expenditures for Training Services is the sum of the costs of purchased training services and training services provided directly by VR agency staff. The Total Participants Receiving Training Services in the Program is the total number of participants receiving either purchased training services or training services provided directly by VR agency staff.

Note: A participant who receives more than one career service during the participant's period of participation is included in the denominator for the career services calculation only one time. The costs of all the career services the participant received are included in the numerator. Similarly, a participant who receives more than one training service during the participant's period of participation is included in the denominator for the training services calculation only one time. The costs of all the training services the participant received are included in the numerator. However, if a participant has multiple periods of participation during a program year, the participant will appear in the denominator of the career and training services calculations more than one time.

For WIOA title I Adult, Dislocated Worker and Youth programs and title III Employment Service programs, a participant who receives career services or training services from multiple programs (e.g., title I Adult and Dislocated Worker) will be counted in the respective career services or training service denominator for all the programs from which they received services.

Each core program will establish a process for separating the administrative costs from career service and training service costs.

g. Incumbent Worker Training (IWT) Under Title I.

For the WIOA title I Adult and Dislocated Worker programs, local WDBs may use up to 20 percent of their total Adult and Dislocated Worker formula allocation to provide IWT (see WIOA section 134(d)(4)). However, the Departments do not consider individuals who receive only IWT to be participants required for inclusion in the WIOA performance indicator calculations. Therefore, individuals who receive only IWT are not included in WIOA performance indicator calculations for the core programs.

The Departments do not consider individuals receiving IWT to be participants for the purpose of inclusion in WIOA performance indicator calculations because of WIOA section 134(d)(4)'s unique eligibility requirements. Unlike other types of training, incumbent worker eligibility is determined at the employer level by the local WDB, which determines if the employer is eligible to have its employees receive IWT. There is no separate determination of the eligibility of any particular employee to receive IWT. Therefore, an incumbent worker does not have to meet the eligibility requirements for career services and training services for the Adult and Dislocated Worker programs under WIOA. However, if the incumbent worker meets eligibility requirements, they may also be enrolled as a participant and receive other services from the WIOA Adult or Dislocated Worker programs or be a participant in a separate WIOA program. In that case, their participation would be reported under the appropriate WIOA indicator of performance. This means that there are two distinct categories of IWT recipients, those that are participants and are reported according to the same guidelines as any other participant receiving training, and those who are reportable individuals who are receiving IWT. All recipients of IWT must be reported in the DOL-only PIRL under data element number 907 (Recipient of Incumbent Worker Training), regardless of whether they become a participant in one of the WIOA programs.

The Departments also encourage the collection of incumbent worker SSNs as part of the training contract with the employer so that wage records will be available for these individuals. If no SSN is available, the State or Local WDB may use supplemental wage information to verify the wages reported. Incumbent worker training that is funded with Statewide Rapid Response funds (data element 908 in the DOL-only PIRL) under WIOA section 134(a)(2)(A)(i)(I) must also be reported under DOL-only PIRL data element 1501 (Most Recent Date Received Rapid Response Services).

Special Conditions for Reportable Individuals Receiving IWT

Unlike other reportable individuals, although reportable individuals receiving IWT are not participants for the purpose of inclusion in WIOA performance indicator calculations, States and local areas are still required to report certain participant and performance data on all reportable individuals who receive only incumbent worker training. The required elements for these type of incumbent worker individuals are limited to the appropriate reportable individual code ("4" in PIRL 903 or PIRL 904), basic information, and the outcome elements needed to calculate incumbent worker training performance indicators for employment in the 2nd and 4th quarters after exit, Median earnings in the 2nd quarter after exit, Measurable Skill Gains, and Credential Attainment (see **Attachment VIII** for specific list of required elements). Since reportable individuals do not report a Date of Program Entry or Date of Program Exit, the Departments will reference the most recent

date completed or withdrew from training to establish the cohorts for measuring outcomes for individuals who have only received IWT. Reportable individuals receiving IWT through the title I Adult or Dislocated Worker programs must be reported in PIRL 907 using code values 1, 2, or 3. State and local boards may require additional elements be reported to collect additional information on incumbent workers, which, if collected, should also be reported through the PIRL.

h. **Performance Score Calculation.**

The calculations of performance scores and sanctions determination process are discussed in greater detail in the Departments' joint guidance on negotiations and sanctions.¹⁸

5. **Inquiries.** Questions regarding this guidance should be directed to the appropriate ETA Regional office.

6. **References.** See **Attachment X.**

7. **Attachments.**

- **Attachment I:** Definitions of Terms Related to the Performance Accountability System
- **Attachment II:**
 - **Table A:** Exclusions (PIRL Data Element 923): Title I Adult, Title I Dislocated Worker, Title II AEFLA, Title III Employment Service, and WIOA Title IV VR Programs;
 - **Table B:** Exclusions (PIRL Data Element 923): Title I Youth program; and
 - **Table C:** Exclusions: Sec. 225 of WIOA
- **Attachment III:** Wage Conversion Chart
- **Attachment IV:**
 - **Table A:** Effectiveness in Serving Employers' Data Elements Specifications
 - **Table B:** Effectiveness in Serving Employers' Specifications: Employer Repeat Business Customers and Penetration Rate
- **Attachment V:** Periods of Participation – Effects on Indicators of Performance
- **Attachment VI:** Examples of Counting Periods of Participation for Exit-Based Indicators of Performance
- **Attachment VII:**
 - **Table A:** Participation Level Services Chart – WIOA Title I Adult, Title I Dislocated Worker and Title III Wagner-Peyser Act Employment Service Program;
 - **Table B:** Participation Level Services Chart – WIOA Title I Youth Program;

¹⁸ See *Negotiations and Sanctions Guidance for the Workforce Innovation and Opportunity Act (WIOA) Core Programs*, joint guidance issued on February 6, 2020 via the OCTAE [PM 20-2](#), ETA [TEGL 11-19](#), and RSA [TAC 20-02](#).

- **Table C:** Applicable Career and Training Services for WIOA Title II AEFLA Program; and
- **Table D:** Participation Level Services Chart – WIOA Title IV VR Program
- **Attachment VIII:** Incumbent Worker Training Required Data Elements
- **Attachment IX:** Reporting on Reportable Individuals – Technical Details
- **Attachment X:** References – WIOA Operating Guidance
- **Attachment XI:** Change 2 Substantive Revisions Index