Workforce Innovation and Opportunity Act (WIOA) 
Annual Statewide Performance Report Narrative

State of North Carolina

Program Year 2019

Submitted December 1, 2020
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December 1, 2020

Ms. Lenita Jacobs-Simmons, Regional Administrator
Employment and Training Administration, U.S. Department of Labor

Dear Ms. Jacobs-Simmons:

We are pleased to present this Workforce Innovation and Opportunity Act (WIOA) Annual Statewide Performance Report Narrative to the U.S. Department of Labor for Program Year 2019. This report is a testament to the dedicated efforts of numerous professionals in the North Carolina Department of Commerce’s Division of Workforce Solutions and our partners in the workforce development system, which, in our state, we call “NCWorks.”

As you know, the latter part of this program year has been dominated by the COVID-19 pandemic and the economic disruption that it caused. Our staff have risen to unprecedented challenges this year with innovation, compassion and collaboration. Perhaps more than anything, they have demonstrated flexibility, as they learned new ways of serving our customers and working together. Some of them even temporarily assumed new responsibilities to support our colleagues at the Division of Employment Security, which had been inundated by unemployment insurance claims and customer questions.

Through all this upheaval, the staff of the Division of Workforce Solutions have continued to focus on the important role that employment and training services can and must play in pandemic response and recovery. Our agency continues to be a key partner in Governor Roy Cooper’s “NC Job Ready” workforce initiative, which has taken on new meaning as many of our fellow citizens have become dislocated workers and need new credentials and skills so that they can pursue careers that are currently in demand. At the same time, we continue to assist our state’s businesses with finding talented workers in a challenging environment and supporting training that is relevant to evolving industry needs. We feel privileged to serve our state and to play our part in rebuilding our economy. In this effort, we are fortunate to enjoy strong relationships with North Carolina’s 23 local workforce development boards and other partners from the worlds of education, workforce development and economic development.

We appreciate the Department of Labor’s partnership and assistance to North Carolina this year, and we are glad to have this opportunity to report on how our agency is making a difference for our jobseekers, employers and communities.

Sincerely,

[Signature]

Jessica Englert
Assistant Secretary of Commerce, Division of Workforce Solutions
I. Progress in achieving state goals/vision

State’s Strategic Vision and Goals in the Unified Plan

North Carolina established a WIOA State Steering Council to coordinate and align policy among the agencies overseeing WIOA programs. This body continued to meet since the submission of the 2016 Unified State Plan, and worked together on the 2020 Unified Plan, which was successfully submitted. The group continues its efforts on many of the items mentioned below, including sector strategies and system performance. A new policy approval structure has been implemented to give the NCWorks Commission a more strategic role in policy development for Title I and Title III programs.

Sector Strategies

A key principle of Governor Cooper’s workforce development initiative—NC Job Ready—is employer leadership, recognizing that employer-led workforce development programs have the best career outcomes. In line with the Governor’s vision, one of the Division of Workforce Solutions’ strategic goals is Employer Leadership. To further this vision, a cross-agency leadership team representing key workforce development, education, and economic development systems came together to clarify a state vision and strategy for building sustainable partnerships with business and industry across North Carolina’s regions. The team—named the North Carolina Sector Strategy Council—is made up of key system leaders who share a commitment to working collaboratively to promote economic competitiveness and income mobility in North Carolina. This team’s progress is detailed below, in Section X of this annual report.

Career Pathways

The NCWorks Commission, the board that oversees North Carolina’s workforce development system, continues to support, promote and recognize NCWorks Certified Career Pathways, which are led at the local area level.

Business Engagement

In line with Governor Cooper’s NC Job Ready workforce development initiative, the Division of Workforce Solutions Business Services Unit’s priority has been to foster the alignment of economic and workforce development, using WIOA’s Effectiveness in Serving Employers Data Elements as guides. Efforts to align employer engagement activities happening across the state to U.S. Department of Labor Employer Services performance measure data elements was a major focus area in preparation for formalization of the Effectiveness in Serving Employers performance measure at the conclusion of the pilot phase.

Division of Workforce Solutions Business Services has hosted cross-training workshops for state economic developers to learn about and receive practical content for including workforce investment training dollars into their economic development recruitment, expansion and retention projects. A special emphasis has been on layoff aversion strategies as part of the holistic business engagement process, making the process more transformational rather than transactional. An additional emphasis is strengthening relationships with partner agencies to build a stronger network of services and solutions to meet the needs of industry. In the latter part of PY19, strategic initiatives for more proactive outreach and engagement with manufacturing employers across the state allowed us to respond quickly to the impacts of COVID-19, as temporary closures and layoffs increased.
Increasing our employer penetration rate is a priority, and we have developed new reporting methods that accommodate employer-facing services not previously recorded. We anticipate further improvement as the Division of Workforce Solutions launches the pilot phase of using Salesforce as our platform for recording and reporting engagement activity and data analysis.

**Work-based Learning activities**

North Carolina is focusing on increasing the number of, and improving the quality of, work-based learning opportunities for individuals across the state. As part of a National Governors Association Policy Academy, North Carolina has established an interagency team that collected information on current work-based learning activities, developed an online tool (the “Work-Based Learning Navigator”) that helps people connect to work-based learning opportunities offered by businesses, and held a statewide summit to encourage more businesses to participate in work-based learning.

North Carolina continues a targeted effort to increase the number of work-based learning opportunities with employers across the state. DWS allocated resources for a permanent business services representative position on each local area workforce board. A portion of this staff person’s role is to proactively engage with businesses, provide valuable information and services, and encourage work-based learning as an option to increase the knowledge, skills and abilities of available talent. Workforce development boards reported serving 1,413 employers in the following work-based learning categories: Incumbent Worker Training, On-the-Job Training, Internships/Job Shadowing, Apprenticeship Training, Work Experience and Other Work-Based Learning Activities. All 23 of North Carolina’s workforce development boards reported serving employers in one or more work-based learning activity. The largest number of employer services was in the Work Experience category (46%), followed by On-the-Job Training (15.07%), Other Work-Based Learning efforts (14.23%), Incumbent Worker Training (13.80%), Internships/Job Shadowing (9.27%) and Apprenticeship Training (1.84%).

**II. Waivers**

North Carolina received a U.S. DOL waiver of the required collection and reporting of performance-related data of all students participating in training programs listed on the state’s Eligible Training Provider List (ETPL). The waiver was approved for PY2018-PY2019 (July 1, 2018 – June 30, 2020), and an extension was granted through June 30, 2021.

**III. Performance System**

*Progress on Federal Primary Indicators of Performance*

The table below gives an overview of the performance results for North Carolina’s Title I and III programs for Program Year (PY) 2019, with the state achieving over 100% of its negotiated goals for each of the primary indicators of performance. Measurable Skill Gains and Youth Median Earnings continue to be “baselined,” without goals set for performance comparison.
## PY 2019 Levels of Performance

<table>
<thead>
<tr>
<th>Title/Program</th>
<th>Measure</th>
<th>Negotiated Value</th>
<th>Actual Performance</th>
<th>Percentage of Goal Achieved</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Adult</strong></td>
<td>Employment Q2</td>
<td>72.0%</td>
<td>80.2%</td>
<td>111.39%</td>
</tr>
<tr>
<td></td>
<td>Employment Q4</td>
<td>71.0%</td>
<td>79.1%</td>
<td>111.41%</td>
</tr>
<tr>
<td></td>
<td>Median Earnings</td>
<td>$5,000</td>
<td>$6,150</td>
<td>123.00%</td>
</tr>
<tr>
<td></td>
<td>Credential Rate</td>
<td>53.0%</td>
<td>60.3%</td>
<td>113.77%</td>
</tr>
<tr>
<td></td>
<td>Measurable Skill Gains</td>
<td></td>
<td>60.4%</td>
<td></td>
</tr>
<tr>
<td><strong>Title I</strong></td>
<td>Employment Q2</td>
<td>77.0%</td>
<td>73.6%</td>
<td>95.58%</td>
</tr>
<tr>
<td>Dislocated</td>
<td>Employment Q4</td>
<td>74.5%</td>
<td>76.9%</td>
<td>103.22%</td>
</tr>
<tr>
<td>Worker</td>
<td>Median Earnings</td>
<td>$6,500</td>
<td>$7,046</td>
<td>108.40%</td>
</tr>
<tr>
<td></td>
<td>Credential Rate</td>
<td>60.0%</td>
<td>60.5%</td>
<td>100.83%</td>
</tr>
<tr>
<td></td>
<td>Measurable Skill Gains</td>
<td></td>
<td>65.6%</td>
<td></td>
</tr>
<tr>
<td><strong>Youth</strong></td>
<td>Employment Q2</td>
<td>73.0%</td>
<td>74.3%</td>
<td>101.78%</td>
</tr>
<tr>
<td></td>
<td>Employment Q4</td>
<td>72.0%</td>
<td>73.3%</td>
<td>101.81%</td>
</tr>
<tr>
<td></td>
<td>Median Earnings</td>
<td></td>
<td>$3,124</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Credential Rate</td>
<td>53.0%</td>
<td>54.1%</td>
<td>102.08%</td>
</tr>
<tr>
<td></td>
<td>Measurable Skill Gains</td>
<td></td>
<td>43.2%</td>
<td></td>
</tr>
<tr>
<td><strong>Title III</strong></td>
<td>Employment Q2</td>
<td>72.0%</td>
<td>72.7%</td>
<td>100.97%</td>
</tr>
<tr>
<td>Wagner-Peyser</td>
<td>Employment Q4</td>
<td>71.0%</td>
<td>72.5%</td>
<td>102.11%</td>
</tr>
<tr>
<td></td>
<td>Median Earnings</td>
<td>$5,000</td>
<td>$5,126</td>
<td>102.52%</td>
</tr>
</tbody>
</table>

North Carolina has made a concerted effort over the past few years to educate staff from around the state, and at all organizational levels, about the primary indicators of performance. This training has included information on what the measures are, the cohorts of individuals involved, and how the measures are calculated, including the data sources. Significant focus has been placed on specific areas of our case management system where data entry impacts the accuracy of a measure. Going forward this training will expand to include the variables that impact such measures, regardless of whether they be participant, geographic, or economic characteristics.

Even with the state’s success in achieving performance beyond our negotiated goals, North Carolina recognizes the need to continue to increase our actual performance levels across all indicators, especially the Measurable Skill Gains measure. With PY 2020 being the first year of a negotiated goal for this measure, we have made a significant effort to better educate staff on the key aspects of this indicator. Our ongoing staff training has stressed the importance of TEGL 10-16 Change 1, but we have also created new state-issued guidance including Data Entry instructions and a one-page Desk Aid (see Appendix A). We acknowledge that there is further work to be done with our workforce boards, both in providing participants the support services needed to complete their training, as well as the need for more consistent and timelier follow-up, particularly as it relates to Training-related Employment, something we noted in USDOL’s provided QRA reports. We have mandated 2nd Quarter follow-up for all programs to ensure we are gathering that information as much as possible.
We are also paying close attention to our median earnings figures for all programs, recognizing that increasing wages for participants is a key aspect of long-term economic stability. The North Carolina Department of Commerce Labor and Economic Analysis Division assists us in keeping track of earning projections information and updated unemployment data. Prior to COVID-19, our state’s economy was doing well, with a forecast for an overall increase in the number of jobs in the state moving from PY 2019 into PY 2020 and an unemployment rate of 4.1% for January 2020. However, with the effects of the pandemic on business operations, unemployment increased precipitously, rising to as high as 12.9% in April 2020. While our state has recovered a number of jobs, our outlook remains unknown with unemployment hovering around 8% to end PY 2019. There is also a concern that the majority of these recovered jobs may fall into the lower end of the pay scale. This implies workers will be able to find employment, but that the jobs found may not be at a high enough pay level to promote economic self-sufficiency. Further, according to NC GS 96-14.3, North Carolina is currently paying unemployment benefits for a period of 12 weeks, based on the most recent seasonally adjusted unemployment rate of 7.0%. Individuals who have been unemployed for 13 consecutive weeks, for any reason, are considered long-term unemployed in North Carolina, therefore making them eligible for the Dislocated Worker program. Workforce boards are increasingly using this category of eligibility to serve individuals who may previously have been served under the Adult program. The potential effect of doing so is a lowering of the skills and qualifications of those seeking employment and a commensurate decrease in the median wages earned for the Dislocated Worker program.

**Workforce Development Board Negotiated Measures**

Workforce Development Board-level performance indicators covering both WIOA Title I and Title III for PY 2019 were negotiated prior to PY 2018. A chart providing both program years’ goals is attached in Appendix B.

**Local Workforce Board Measures**

As per the Workforce Innovation and Opportunity Act (WIOA) section 116 and NC General Statute 143B-438.10, the NCWorks Commission is responsible for developing performance accountability measures for local workforce development boards. The NCWorks Commission developed these measures in consultation with the local workforce development board directors and chairs to complement the WIOA federal primary indicators of performance for adult and youth training and employment. Local Workforce Development Boards and the NCWorks Commission work together to collect performance data in three main areas: Outreach & Engagement, Skills Gap, and Process measures. The resultant nine measures for local board performance reveal trends in outreach and engagement with individuals and businesses, training for adults and youth, and career center and career pathway certifications. New targets that were approved by the commission in February 2018 are now effective as of July 1, 2018.

**Common Exit Policy**

The U.S. Department of Labor requires that an individual’s WIOA exit date be the date on which the last service, funded by the program or partner program, is received by the individual. When an individual has not received a documented WIOA or partner-funded service for 90 days, the case management system will “soft exit” the individual based on entries completed. North Carolina utilizes a common exit model whereby a participant is not exited (and therefore remains active in all programs) until such time as they have not received any service within the past 90 days from any program, be it Title I, Title III, or Trade Adjustment Assistance. Individuals who are participating in more than one program will have a single
common exit date, following 90 days of inactivity across all program enrollments. Follow-up and support services do not qualify as activities that extend the exit date.

IV. Effectiveness in Serving Employers performance indicator pilot

As part of the Effectiveness in Serving Employers performance indicator pilot, North Carolina has chosen to submit data for the Employer Penetration Rate and the Repeat Business Customer Rate. For PY 2019, employer service data was combined from the Title I and III programs along with data from Title IV Vocational Rehabilitation. When compared to the number of business establishments in the state during the second quarter of calendar year 2020 (using BLS data for the last quarter of the reporting period as given in the indicator specifications), the North Carolina workforce system served just under eleven percent (10.8%) of the state’s business establishments. When considering the Repeat Business Customer Rate since the start of performance under WIOA, just under forty percent (39.7%) of those businesses that were served by the system during PY 2019 had been served previously.

<table>
<thead>
<tr>
<th>Employer Measure</th>
<th>NC Workforce System PY 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employer Penetration Rate</td>
<td>10.8%</td>
</tr>
<tr>
<td>Repeat Business Customer Rate</td>
<td>39.7%</td>
</tr>
</tbody>
</table>

During PY 2019, North Carolina included additional efforts aimed at gaining a stronger and more accurate understanding of employers receiving services. These areas included, but were not limited to: supplemental reporting, employer services provided through non-WIOA funded programs considered essential to workforce efforts, and implementing service codes aligned with all eight DOL Effectiveness in Serving Employer categories. Details for each of these areas are below:

Supplemental Reporting

Work-Based Learning reporting was implemented to track the number of employers participating in six various areas of work-based learning efforts: Incumbent Worker Training, On-the-Job Training, Internships/Job Shadowing, Apprenticeship Training, Work Experience and Other Work-Based Learning Activities. Please reference the Work-Based Learning section of this report for details regarding this effort. All 23 of North Carolina’s Workforce Development Boards (WDBs) reported serving employers in one or more work-based learning activity, and a total of 1,413 employers were served.

Unduplicated Employer reporting was implemented to track the number of those employers receiving services aligned with TEGL 10-16, Change 1, but which were not, due to various reasons, being tracked in a manner that enabled them to be included in current standard processes. The majority (20 of 23) of North Carolina’s WDBs reported serving some employers that fell into this category of not being tracked/reported through standard processes, for a total of 2,030 employers.

**Employer Services Provided by Non-WIOA-funded Programs Considered Essential**

Two specific programs considered key to employer services, yet not captured in the standard reporting process, as a result of not being funded directly from WIOA are: Work Opportunity Tax Credit (WOTC) and Customized Training. The Division of Workforce Solutions administers the WOTC program, while the NC Community College System administers the Customized Training program. The WOTC program
served 3,301 employers through issuance of a determination based on completed review of IRS 8850 and ETA 9061 forms. Customized Training, as provided through the NC Community College System, supports those eligible employers who are experiencing job growth, investing in new technologies, and enhancing the productivity of their existing workforce. In Fiscal Year 2019-2020, the 58 community colleges provided training to 827 companies. Eligible companies include those in Manufacturing, Warehousing and Distribution, Information Technology, Business Support Services, and National Headquarters. Within those 827 companies, 32,909 employees were trained in the areas of safety, leadership development, continuous improvement, technical skills, and OEM training.

**Aligning Service Codes with All 8 DOL Effectiveness in Serving Employer Categories**

During PY 2019, five service codes were added to the standard tracking/reporting structure to support capturing services aligned with all eight DOL Effectiveness in Serving Employer categories. The five service codes added include: Accessing Untapped Labor Pools, Provided Publicly Funded Training Assistance (not including IWT), Engaged in Strategic Planning/Economic Development, Rapid Response & Business Downsizing Assistance, and Planning a Layoff Response. These service codes were made available starting October 2019 and support the ability to report across all eight DOL categories, as well as ensuring that employers served populate correctly in the Employer Penetration and Repeat Business Customer indicators.

**Data Validation**

**Conducting Data Validation Reviews**

Data validation will be conducted by four units within the Division of Workforce Solutions (DWS): the Performance Unit, the Accountability Unit, the Trade Adjustment Assistance team, and IT staff:

- **Performance unit and Accountability unit:** For Title I and Title III validation, validation items will be split between the Performance and Accountability staffs, with the division of PIRL elements coinciding with the distinctions between the required elements of TEGLs 07-18 and 23-19.
  - **Performance:** The Performance unit will cover all PIRL elements noted in TEGL 07-18.
  - **Accountability:** The Accountability unit will cover the remaining required WIOA Title I and Title III elements noted in TEGL 23-19 that are not otherwise covered under TEGL 07-18.

- **TAA:** TAA will complete validation for its cases using the required validation elements noted in TEGL 23-19.

- **IT Staff:** For all programs, IT staff will cover the required wage-matching PIRL elements.

- Please see Attachment 1 (here, Appendix C) for the exact breakdown of PIRL elements covered by each unit.

**Sample Creation**

On October 1st (or first business day thereafter) of each program year, the Director of Performance will determine the necessary sample sizes to sufficiently cover each program: Title I – Adult, Title I – Dislocated Worker, Title I – Youth, Title III – Wagner-Peyser, and Trade Adjustment Assistance (TAA). To ensure sufficient representation, each Workforce Development Board’s (WDB’s) year-end participant count for each program, from the prior program year, will be used to generate a sample size. The sample size will be based on a 95% Confidence Level and a 5% Confidence Interval. A sample size calculator (available at: [https://surveysystem.com/sscalc.htm](https://surveysystem.com/sscalc.htm)) will be used to generate the final sample size values. In the rare instance that the total number of cases for a program being validated is less than the calculated sample size, all cases will be reviewed.

**Timeframe**

- **Performance Unit**
➢ Data validation by Performance staff will be completed from the second quarter to the fourth quarter of each program year with all validation reviews to be concluded no later than May 31st of each program year to ensure sufficient time for corrective actions to be issued and completed. On October 1st (or first business day thereafter) of each program year, the Director of Performance will randomly assign all 23 WDBs to a validation quarter (Q2, Q3, Q4) of the current program year. This will determine the order in which WDBs are validated each program year and will change year to year.

▪ All Other Units
➢ Data validation will be conducted within each program year from October 1st through February 1st.

Validation Process and Worksheet Creation
NCWorks, DWS’ case management system, will be used to sample the pool of available active and exited cases for WIOA Title I – Adult, WIOA Title I – Dislocated Worker, WIOA Title I – Youth, WIOA Title III – Wagner-Peyser, and TAA. NCWorks will generate the necessary number of worksheets and will cover only the PIRL elements being validated by the respective units of DWS as noted above (see Attachment 1 for the breakdown of elements covered by DWS unit).

Each worksheet will detail one case, with the corresponding PIRL element values, columns for Pass, Fail, and Comments. Staff will evaluate each PIRL element value against the participant’s file to see if case file documentation supports it and either Pass or Fail the reported value by checking the appropriate column. Each PIRL element listed in Attachment 1 has a list of the supported documentation acceptable for that element. Only the documents listed as approved documentation for that PIRL element may be used in support. Any elements marked Fail must be accompanied by a supportive explanation in the Comments column, detailing why the value failed and what corrective action must be undertaken to correct the issue.

At the conclusion of the validation process, an electronic copy of the Pass/Fail record sheets must be returned to the head of each respective unit (noted below) that is completing the validation, to ensure proper records retention:
  ▪ Performance: Director of Performance
  ▪ Accountability: Accountability Manager
  ▪ TAA: Workforce Programs Supervisor and State Trade Adjustment Assistance Coordinator
  ▪ IT: Information Technology Director

Monitoring
The Accountability Unit will integrate data validation into the Unit’s annual oversight Guide and participant reviews. The Unit will document the results in the WDBs Oversight Summary Report. Any documented deficiencies will be recorded with a date required for rectification consistent with the current monitoring correction timelines.

The Accountability Unit will also conduct quarterly desk reviews. The Division of Workforce Solutions will provide official results of the random reviews to the local workforce development boards throughout the year. Workforce development boards will receive feedback on the outcomes of the reviews and that feedback will indicate required corrective actions. The Accountability Unit will determine the required completion date for corrections based on the process needed for correction.

Data Integrity
On a quarterly basis, U.S. DOL will provide the Division of Workforce Solutions with feedback on its submitted performance reports to aid in data integrity efforts and support data accuracy. The analysis will include, but is not limited to, a review of the data submitted, anomalies and outliers, and other potential
data quality issues, which may indicate reporting inaccuracies. DWS will make use of these feedback reports to conduct quarterly data integrity reviews looking for data errors, missing data, out-of-range variances in values reported, and other anomalies.

**Correcting Missing or Erroneous Data**

Each unit will provide a summary to the workforce development boards outlining areas that failed during the data validation process. All data validation related reports, desk reviews, or annual reviews will provide required corrective actions with an indicated due date based on the process needed for correction. WDBs must take appropriate actions to correct missing or erroneous data found during data validation. Such actions may include:

- Working with the workforce development boards’ superuser and potentially an assigned Regional Analyst to make data corrections
- Providing additional training or technical assistance to staff to address data errors
- Collecting missing documentation to provide necessary verification

Failure to comply with identified corrective actions by the identified completion date may cause:

- One year after the initial identification:
  - Mandatory on-site facilitated training by Division of Workforce Solutions staff on the required reporting for data elements.
- Two years of high or repeated error rates:
  - Issue of a monitoring "Finding"; and
  - Formal notification to the workforce development board chair/chief elected official (CEO) of failure to comply.

**Records Retention**

All data validation records and documentation will be maintained in accordance with Federal records retention requirements, as given in 2 CFR 200.333:

*Financial records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award must be retained for a period of three years from the date of submission of the final expenditure report or, for Federal awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, respectively, as reported to the Federal awarding agency or pass-through entity in the case of a subrecipient.*

This would include:

- copies of worksheets on data elements or records reviewed;
- frozen quarterly wage records for wage record matching used for reporting outcomes;
- trends in common data accuracy issues and error rates; and
- corrective action efforts made after data validation reviews.

Each respective unit will retain the records associated with its portion of the data validation process with retention overseen by the unit leaders noted below:

- Performance: Director of Performance
- Accountability: Accountability Manager
- TAA: Workforce Programs Supervisor and State Trade Adjustment Assistance Coordinator
- IT: Information Technology Director

**Process Assessment**

The Director of Performance and Accountability Manager will meet during the first quarter of each program year to assess the effectiveness of current data validation procedures and determine whether
revisions to the policy and process are necessary. Any updates or changes will be released as a formal update to this policy.

Training
During the first quarter of each program year, data validation staff will review, and receive training on, the data validation process to ensure uniform application of all policies and procedures. In addition, the Division of Workforce Solutions will provide annual training for local office staff on data validation. Beyond the annual training provided by the Division of Workforce Solutions, workforce development boards are expected to provide additional staff training, on at least an annual basis, on the importance of accurate data entry and allowable source documentation as given in Policy Statement 04-2020, Change 2 (https://www.nccommerce.com/documents/workforce-policy-ps-04-2020-change-2-workforce-innovation-and-opportunity-act-and-wagner).

Workforce Development Boards / Local Area
Each workforce development board is required to conduct data validation at least once annually for the Title I – Adult, Title I – Dislocated Worker, Title I – Youth, and Title III – Wagner-Peyser programs as a part of its ongoing monitoring efforts. Attachment 1 to this policy, itself a modified version of Attachment II of TEGL 23-19, is the complete list of PIRL elements that need to be validated. (Note that the Eligibility Reference Guide provided in PS 04-2020, Change 2 has been updated to be in agreement with TEGL 23-19, Attachment II.) Workforce development boards should note that the Youth and Wagner-Peyser programs may have different elements required compared to Adult and Dislocated Worker, and attention should be paid to ensure each program is validated according to its respective list of required elements.

For the most up to date guidance on PIRL elements and their definitions, please refer to USDOL’s website: https://www.dol.gov/agencies/eta/performance/reporting. All records must be retained as outlined in the Records Retention section of this policy. This would include retention of a list of validated records, pass/fail worksheets, and documentation associated with any corrective actions taken.

References
2 CFR 200.333 “Retention Requirements for Records”

Attachments
Attachment 1 – Modified version of TEGL 23-19 Attachment II to show required PIRL validation elements by program and their alignment with DWS Oversight Units (Appendix C)

V. Current or Planned Evaluation and Research Projects

Employer Needs Survey
Under direction from the NCWorks Commission, the NC Commerce Labor and Economic Analysis Division (LEAD) uses relevant data to inform strategies that enable North Carolina’s workforce and businesses to compete in a global economy. The 2020 Employer Needs Survey was an update to reports
published in 2014, 2016 and 2018, which have collectively been used to track the needs of employers over time, and to ensure that our workforce strategies meet those needs. The 2020 survey was completed before the COVID-19 pandemic. Labor market conditions have changed dramatically since that time, but the survey results offer a snapshot of the tight labor market conditions faced by employers just a few months before the pandemic as well as other more long-term challenges for the workforce development system.

In the 2020 survey, 84% of North Carolina employers reported that they had tried to fill positions in the preceding 12 months, and of those, 56% reported that they experienced difficulty in hiring new workers.

The findings in the report support the key elements of the Governor’s NC Job Ready Initiative and his priorities for workforce development: skills and education attainment, employer leadership and local innovation.

A copy of the full report may be found at: https://www.nccommerce.com/documents/2020-employer-needs-survey.

VI. Customer Satisfaction

State’s approach to customer satisfaction

The multi-year NCWorks Customer Satisfaction Survey was an initiative to solicit feedback from individuals and businesses registered with NCWorks, in an effort to improve overall services offered, as well as to increase customer satisfaction. Results and feedback from the survey are used to determine and promote continuous quality improvement initiatives and make overall improvements to the one-stop system.

Survey Methodology

Two independent online customer satisfaction surveys were developed using a robust online survey platform, to obtain feedback from individuals and businesses that utilized one or more services (Online, Career Center, and Telephone) provided by NCWorks. The Initial Customer Experience Satisfaction Survey (ICCSS) was developed to assess the initial customer experience of job seekers throughout the state of North Carolina. The Business Customer Satisfaction Survey (BCSS) was developed to assess business customers’ needs and their satisfaction with the services received.

Sample questions on the survey included, ‘In what ways have you used NCWorks services?’, ‘Tell us the reason(s) for your most recent website visit to NCWorks Online’, ‘How easy was it to use the automated phone system?’ and ‘Based on your experience, how likely are you to recommend calling the NCWorks Career Center to others?’. Online survey data collection included feedback from over 30,000 job seekers and 10,000 business customers across all 23 local area workforce development boards.

Results

Job Seeker Survey Results.

- The top three reasons for using NCWorks included: job search, obtaining information on unemployment benefits, and job application.
- NCWorks Online: Job seekers identified specific areas of improvement: (a) increase access to NCWorks staff, resources and community outreach; (b) improve NCWorks online navigation; (c) improve NCWorks website; and (d) increase number and variety of jobs available.
• **NCWorks Career Center**: Job seekers identified specific areas of improvement: (a) improve NCWorks online navigation and center equipment; (b) increase access to staff, follow-up services and resources; and (c) reduce customer wait-time and improve customer service.

• **NCWorks Telephone**: Job seekers identified specific areas of improvement: (a) update telephone and online service; (b) improve wait-time and follow-up; and (c) improve customer service.

**Business Survey Results**

• **NCWorks Online**: Business customers identified specific areas of improvement: (a) increase access to qualified applicants; (b) improve NCWorks website and online navigation; and (c) improve customer service.

• **NCWorks Career Center**: Business customers identified specific areas of improvement: (a) improve NCWorks online and customer service; and (b) need for training, education and outreach.

• **NCWorks Staff**: Business customers identified specific areas of improvement: (a) update NCWorks online and employer account assistance; (b) increase opportunity for employer-employee engagement; and (c) improve customer service.

Indicators from the survey showed jobseekers had a high satisfaction level with services they received from NCWorks staff while using telephone services, and that staff were knowledgeable about the services provided. Efforts are being made to build off these areas where the customer satisfaction rate was high to enhance the overall customer experience.

**Continuous improvement processes for incorporating the customer satisfaction feedback**

As part of the state’s Career Center certification process, local workforce area and center management are required to monitor survey outcomes by accessing an online dashboard of results. Centers are asked to meet with their staff periodically to discuss the results and any customer feedback received.

Based on the results of the survey, the Division of Workforce Solutions has developed a strategic plan that puts customer focus as a top priority, as well as taking a comprehensive review of the NCWorks.gov technology platform.

**VII. Wagner-Peyser**

**Reemployment Programs**

The federally funded Reemployment Services and Eligibility Assessment (RESEA) and Employability Assessment Interview (EAI) programs are an integral part of North Carolina’s Integrated Service Delivery System to enhance and expand the capacity of the workforce system to improve reemployment service delivery to unemployment insurance (UI) claimants. The RESEA and EAI program are statewide initiatives. Ninety (90) percent of first-pay claimants who are ranked most likely to exhaust are referred to RESEA for services, while the remaining ten (10) percent are referred to the EAI program.

**RESEA**

The intent of the RESEA program is to provide unemployment insurance (UI) claimants with an entry to a wide array of available resources that support reemployment. RESEA programs are designed to be an integral part of the state’s strategies for delivering reemployment services. The target populations for
RESEA services include individuals who are identified as most likely to exhaust their UI benefits and transitioning veterans receiving Unemployment Compensation for Ex-Servicemembers (UCX).

**EAI**

EAI provides concentrated reemployment services to claimants receiving UI benefits. The EAI program is mandatory for persons receiving UI benefits and is a part of the NCWorks Career Center’s daily Integrated Services Delivery format. EAI claimants must be scheduled within four (4) weeks of their first payment of UI benefits for program services. For the period of July 1, 2019 through June 30, 2020, 6,553 claimants were provided EAI services.

For both RESEA and EAI, key milestones for the year include:

- Providing virtual services, so that jobseekers can be served remotely and securely.
- Ongoing program enhancement within NCWorks Online to streamline Career Center staff program processes and procedures, such as promotion and development of email/text appointment reminders to improve RESEA show-rates;
- Evaluating the profiling model used to select participants;
- Revising call-in letters to stress the importance and value of attending the reemployment service program;
- Providing translated call-in letters and other related documentation to help claimants with limited English proficiency to understand program requirements and benefits; and
- Making reminder phone calls/emails when possible to reinforce the positive value of the service and to remind the customer of the appointment.

**North Carolina Department of Commerce Reentry Initiative**

The Reentry Initiative promotes “Equitable Hiring,” or second chance hiring, to employers, individuals with criminal records, and the community through engagement, education, and partnerships. The program ensures job seekers with criminal records are provided assistance with overcoming the barriers to employment that having a criminal record causes. Reentry staff provide technical assistance and training to NCWorks Career Center staff who provide direct services to individuals with criminal records, promote hiring incentives to employers, participate in outreach efforts, and coordinate efforts with community partners.

North Carolina House Bill 770 became effective October 1, 2019, stating an Occupational Licensure Board shall not automatically deny licensure due to an applicant’s criminal history or due to a determination that a conviction is for a crime of moral turpitude. Executive Order 158 also mandates the removal of criminal history questions from state government employment applications effective November 1, 2020. Additional legislation has made obtaining an expungement more accessible in North Carolina.

**Federal Bonding Program**

The Federal Bonding Program is an incentive for employers who hire “at risk” workers, including those with a history of criminal conviction or arrest, a history of substance abuse, those receiving TANF (Temporary Assistance to Needy Families); those with poor credit; those who are economically disadvantaged or with little or no work history; or have been dishonorably discharged from the military. The hiring business is eligible for financial protection of $5,000 for six months after hiring an eligible individual. DWS promotes this program to employers and as a result has continued to increase the
utilization of the Federal Bonding Program over the past several years, doubling the number of bonds issued from 2018 to 2019. The division has a plan in place to continue to increase bonds issued in the upcoming year.

**Older Worker Program**

The program ensures older workers are provided with resources to assist them in seeking employment.

**Equal Opportunity, Americans with Disabilities Act, Limited English Proficiency**

DWS is responsible for ensuring Career Center and partner agency facilities have the capacity to provide a full range of employment and training services that are accessible to persons with disabilities, those with limited English proficiency, and other special populations.

**VIII. National Dislocated Worker Grants (NDWG)**

North Carolina’s COVID-19 Disaster Recovery, Hurricane Florence, Sector Partnership, and Reemployment and System Integration National Dislocated Worker Grants were in operation during Program Year 2019.

National Dislocated Worker Grant participants are often co-enrolled in the WIOA Dislocated Worker program in order to provide additional supportive services not offered through NDWG programs. National Dislocated Worker Grants have minimal impact on North Carolina’s established performance measures.

North Carolina’s Rapid Response unit works closely with local area staff to coordinate state rapid response activities with services offered through National Dislocated Worker Grants.

**COVID-19 Disaster Recovery Dislocated Worker Grant**

The **COVID-19 Disaster Recovery Dislocated Worker Grant** was awarded by the U.S. Department of Labor in the approved amount of $6 million. The Disaster Recovery DWG funds will provide disaster-relief employment, as well as employment and training services to minimize the employment and economic impact caused by the COVID-19 Public Health Emergency. The funds provided opportunities to participants who became temporarily or permanently unemployed as a result of the COVID-19 pandemic or long term unemployed. The funds may also provide supportive services to participants receiving either disaster-relief employment or employment and training services.

Humanitarian assistance employment included contact tracing positions to prevent the spread of the COVID-19 virus in the community; and non-contact thermal screener positions in public buildings to screen both employees and visitors. Humanitarian efforts also include delivering medicine, food, or other supplies to older individuals and individuals with underlying health conditions. Disaster-relief cleanup employment include cleaning schools and sanitizing public facilities such as parks, recreational centers or government building. Workers were limited to working for up to 12 months or 2,080 hours.

Employment and training services activities include career and training services. The training should be designed to ensure participants can obtain unsubsidized, sustainable employment following their participation in the grant. The training activities included: occupational training, entrepreneurial training, and work-based learning.
Hurricane Florence National Dislocated Worker Grant

The Hurricane Florence National Dislocated Worker Grant was awarded by the U.S. Department of Labor in the amount of up to $18.5 million to provide employment opportunities to long-term unemployed and to participants who became unemployed as a result of the disaster. Employment opportunities were in the public or non-profit sectors and provided services related to disaster clean-up, debris removal, and office or administrative work related to the disaster.

The project involved hiring outreach workers for humanitarian efforts; warehouse workers for food banks and food distribution; office assistants to support the American Red Cross; clerical assistants to support county health departments and NCWorks Career Centers. Workers were limited to working for up to 12 months or 2,080 hours. More than 500 participants were served by this program.

The NCWorks Mobile Career Center, a mobile unit that provides Career Center services to customers and includes services to help survivors of natural disasters, was dispatched to hurricane-impacted counties to assist with the recruitment of grant participants who may not have had access to NCWorks Career Centers. The Mobile NCWorks Career Center also provided a safe environment in which to facilitate workshops.

Sector Partnership National Dislocated Worker Grant

The Sector Partnership National Dislocated Worker Grant (SP NDWG) was awarded in the amount of $5,250,000 to support the State’s existing efforts to meet employer needs and equip the workforce through NCWorks Certified Career Pathways. Certified Career Pathways are in high-demand occupations and help individuals become work ready in a shorter time period as they seek to reduce duplication of educational and work experience attainment. Employers benefited from participation in Certified Career Pathways by being able to create a pipeline of talent to meet their short- and long-term needs. Certified Career Pathways also benefited the educational and workforce development institutions that serve dislocated workers by providing a guided, sector strategy approach – with a regional focus – to provide classroom and work-based learning opportunities.

The SP NDWG provided funding to local and regional partners to ensure the certification of career pathways. Funds were used to provide assessments, career counseling and compensation for work-based learning opportunities. Additionally, administrative funds were used to provide resources for local and regional teams to administer the programs. The SP NDWG provided North Carolina another tool to incentivize the certification of career pathways statewide, further ensuring that dislocated workers navigating the pathways received the same level of high-quality career and educational opportunities anywhere in North Carolina. More than 500 participants were served by this program.

Reemployment and System Integration National Dislocated Worker Grant

The Reemployment and System Integration National Dislocated Worker Grant was awarded in the amount of $834,230. Following a modification submitted by DWS during PY 2017 and approved by the U.S. Department of Labor during PY 2018, the Reemployment and System Integration grant was designed to streamline the provision of Labor Market Information (LMI) for the benefit of both customers (dislocated workers) and the NCWorks Career Center staff who assist them. DWS partnered with the Labor & Economic Analysis Division (LEAD) to obtain and import the relevant data.

The grant supported the purchasing of equipment, including touch-screen kiosks and printers, which present the user with simple, easy-to-read results. This equipment was installed at various NCWorks Career Centers across the state after the end of PY 2017. New formatting of the LMI data allowed a
faster display of career pathways that focus on high-growth, high-demand occupations, which can lead to reemployment. This also allowed staff to focus on transferable skills and real-time LMI so that they could assist customers in developing realistic, practical career paths.

IX. Rapid Response

During Program Year 2019, the state’s Business Services Section responded to a total of 339 Worker Adjustment and Retraining Notifications (WARN) from across the state, which covered 26,047 employees. The majority of employees impacted worked in Mecklenburg County (20%) followed by Wake (15%), Guilford (12%), and Durham (5%).

There was a significant influx of notices received during the latter part of PY 19. In fact, between March 1 and June 30, a total of 287 notices were received impacting 20,133 employees. The increased volume of notices during this period was due to COVID-19. Over half of the worker dislocations during the year were attributed to temporary layoffs, with significant layoffs occurring in the accommodations and food service industry (42%) followed by manufacturing (21%), and retail trade (5%).

The Rapid Response team engages with businesses to develop a comprehensive plan of action to ensure employees have a successful transition into new employment based upon sector strategies and career pathways. This is a proactive process with services conveniently provided onsite at the business location and may include customized job seeking skills workshops, hiring events, targeted job fairs, health insurance information and financial resources. The NCWorks Mobile Unit is often dispatched to help businesses transition their workforce. In fact, the Mobile Unit was dispatched over 106 times during the program year to assist with business closures, hiring events, and job fairs. The Mobile Unit also attended events for youth, homeless veterans, and people with disabilities. The mobile unit was dispatched to Ocracoke Island for nearly a month to help survivors of Hurricane Dorian.

Layoff Aversion Strategies, Business Edge

Business Edge heightened its purpose and its ability to penetrate companies and identify the challenges of those companies in distress. Various solutions were provided as a result of establishing key partnerships and proactively developing target businesses.

Outlined below are key outcomes:

- Business Edge increased involvement with North Carolina State University’s Industry Expansion Solutions (IES) to provide solutions to client businesses during the COVID-19 economic crisis. IES was integral in providing guidance to manufacturing companies that wanted to explore pivoting production to personal protection equipment (PPE).
- Increased use of Lexis Nexis for risk analysis of companies under consideration.
- Development of a Business Engagement Report (BER) which includes businesses at risk and those filing WARN’s to fuel manufacturing industry outreach to assess employer recall and needs during COVID-19 economic crisis.
- Manufacturing Industry Engagement project in partnership with all 23 Workforce Development Boards (WDBs) to establish contact with stakeholder decision makers of 2,200 companies to assess economic impact and needs resulting from COVID-19 economic crisis.
• Employer penetration for PY 2019 was 1,061 companies, all of whom received, at minimum, initial assessments for Business Edge. Fourteen of these companies became formal Business Edge projects.

• Based on the total number of employees at the 14 companies we assisted during PY 2019, there was a potential savings of $8,690,500 to the Unemployment Insurance Trust fund.

• 955 jobs were saved as a result of engaging manufacturers in Business Edge from the onset of the pandemic through the end of PY 2019.

X. Progress in sector strategies and pathways

Sector Strategies

The North Carolina State Sector Strategy Council, in conjunction with the Governor’s Office and the NCWorks Commission, continues to develop a state vision and strategy for building sustainable partnerships with business and industry across North Carolina’s regions. The team is made up of key system leaders who share a commitment to working collaboratively to promote economic competitiveness and income mobility in North Carolina.

The NC State Sector Strategy Council’s vision is to grow good jobs and promote economic mobility for all North Carolinians by collaborating across education, workforce development and economic development programs to efficiently and effectively meet the needs of driving industry sectors (directing support and resources to target/priority sectors) in North Carolina’s regional economies.

In order to achieve that vision, the Council identified the following goals to deepen and strengthen partnerships with business and industry across North Carolina’s regions:

• Focus on priority industry and business needs by letting them set the agenda and drive the conversation, rather than marketing individual agency programs or organizations.

• Incentivize regional collaboration through shared cross-agency goals and solutions

• Develop short- and long-term goals to include strengthened regional networks, new jobs, capital investments, additional supportive policies and resources.

While sector partnerships are regional, in Council identified several specific ways that the state can create the right conditions to foster and support the development of strong partnerships with industry at a regional level. During PY19, the council identified the following strategies that the state team can undertake to support the expansion of regional sector partnerships:

• **Formalize the position and resources for a state sector strategies coordinator.** This role, housed at the Division of Workforce Solutions, facilitates discussions and support among state council members as well as technical support for regional sector partnership networks.

• **Provide training and technical assistance.** The state fosters adoption of the sector partnership model by providing interested regions with training and support to aid teams in launching their own partnerships. This will have the added benefit of building internal capacity for supporting additional growth.

• **Create a state-wide learning network.** As regional partnerships have begun to launch, the state is launching a platform to connect regions and create a learning network. This network will help expand capacity by serving as a best practice exchange and place for interested regions to gain an understanding on the strategy.

• **Expand the council.** Expand the state sector strategy council membership to include other state organizations. This will aid in building a cross-agency network and enhance the ability to align
policy and resources. Agencies that have expressed interest and commitment to the sector partnership model include:
  o University of North Carolina System
  o NC Chamber of Commerce
  o my Future NC

At the end of PY19, the Division of Workforce Solutions created a full-time sector strategy coordinator. That person serves as the primary point of contact and works closely with all members of the multi-agency council. The coordinator position also serves as the primary educator and advocate for the sector partnership strategy. The council is now developing a comprehensive action plan with next steps to implement during the last half of the program year.

Results to date:

The council supported efforts to launch three sector partnerships during PY19. One region, comprised of four counties in the West (Burke, McDowell, Rutherford and Polk), successfully launched an advanced manufacturing partnership in November 2019 and continues to successfully collaborate despite the COVID-19 pandemic. Successes include facilitating a manufacturing employer collaborative to share best practices during COVID-19, launching a cross-employer tour for manufacturers to learn from each other, and kicking off a marketing initiative to promote manufacturing jobs that provide a living wage and opportunity for advancement.

The Council is currently supporting the launch of two additional teams. The Cape Fear regional team received comprehensive technical assistance and is currently scheduled to launch a manufacturing partnership in December 2020. The Eastern Carolina regional team received additional training and exposure to the sector strategy model. Their intent is to confirm a target industry sector and then determine next steps with a goal of launching sometime in the Spring of 2021.

XI. Governor’s Reserve

In line with one of Governor Cooper’s NC Job Ready key elements, skills and education attainment, the Division of Workforce Solutions partnered with local area workforce development boards and community colleges on the Finish Line Grants initiative to help North Carolina’s community college students address financial hardships that could otherwise prevent degree completion. As of October 31, 2020, the program has awarded over 5,000 grants and distributed $3,123,294.08 in funds. Based on the continued success of this initiative, the Division of Workforce Solutions is continuing the program in PY20. The program continues to generate national interest, including investment from the Lumina Foundation to support development of a grant management tool, as well as inquiries from other states as to the mechanics, administration, and results of the program.

The Division of Workforce Solutions is also partnering with the North Carolina Department of Military and Veterans Affairs (DMVA) to implement initiatives resulting in improved services to veterans and those employers supporting veterans. As part of the North Carolina for Military Employment (NC4ME) initiative, DWS conducts ten NC4ME Hiring Events across the state throughout the year. These entail veteran job seeker resume and interview preparation, job seeker skill set matching with employer needs, and on-site interviews during the hiring event. A supporting effort of this initiative is formal training for employer Human Resources Directors on interpreting/cross-walking service member skills into civilian parlance, and on the benefits of hiring veterans. DWS also partners with DMVA to publish the annual North Carolina Veterans Resource Guide as an all-encompassing reference for veterans and employers.
The Division of Workforce Solutions is also continuing its partnership with the Communities in Schools of North Carolina organization for the Career and College Readiness Initiative. This initiative focuses on eight communities, one in each of the state’s Prosperity Zones, with two different models to help students in middle and high school prepare for both graduation and for a career. The high school model focuses on helping students achieve high outcomes in graduation and employment rates, resulting in increased college access and completion. In addition, College and Career Specialists are trained to prepare students to achieve academic, career and life successes. In addition to the high school model, the program supports six middle schools offering the AVID (Advancement Via Individual Determination) system, which is dedicated to close the achievement gap while equipping students with the skills necessary to succeed academically and socially.

XII. Promising practices/lessons learned/success stories

Examples of success are found in the recipients of the 2020 Governor’s NCWorks Awards of Distinction, which recognize outstanding accomplishments and contributions related to workforce development.

NCWorks Awards were presented to the following recipients:

- **Stephanie Preacher of Raleigh: Outstanding Adult.** With help from a local NCWorks Career Center in Raleigh, Preacher demonstrated perseverance and dedication after being laid off from her job. She explored her options for a new, more sustainable career, completed Certified Nursing Assistant (CNA) training, and began working for a home health agency. She later returned to NCWorks to secure support for more advanced training to prepare for the next phase of her career path. Preacher successfully completed the CNA II program at Wake Technical Community College in December 2019. She quickly obtained a CNA position with UNC Hospital in Chapel Hill and began working full-time in January 2020. In September, Preacher began working as a COVID-19 screener for the N.C. Department of Revenue. Preacher’s strong work ethic, faith, ability to stay the course, and willingness to tap into available resources helped her reach her career goals and create a stable home for her children.

- **David Meads of Hertford: Outstanding Young Adult.** After enrolling in the NCWorks NextGen youth services program of the Northeastern Workforce Development Board, Meads received career guidance and identified welding as a promising occupation. He completed his high school equivalency diploma and received support for welding classes at the College of the Albemarle. Meads earned a certificate in Welding Technology and completed a welding work experience opportunity, created with help from NCWorks, at Hoffer Flow Controls in Elizabeth City. Because of the work he has put into honing his skills and his genuine interest in the field, Hoffer Flow Controls offered Meads a position through the On-the-Job Training (OJT) program. He started OJT in May, which will lead to permanent, full-time employment and provide him with the financial stability needed to become a self-sufficient member of the workforce.

- **Yadira Paz-Martinez of Clinton: Outstanding Teen.** Paz-Martinez comes from a farmworker family and enrolled in the National Farmworker Jobs Program in 2019. She is a senior at Union High School in Rose Hill and takes college classes through a partnership between her high school and Sampson Community College. While dedicated to her academics, Paz-Martinez is also involved in various school and community activities, including the Student Government Association, Key Club, Beta Club, Rotary Youth Leadership, and the Migrant Education program. She volunteers at a local nursing home, serves as an interpreter for the community and school system, tutors part-time at Union Intermediate School for students of migrant farm workers, and helps math students at Sampson Community College. Paz-Martinez is on track to
graduate in 2021 with both a high school diploma and an associate’s degree. She aspires to attend a state university and obtain undergraduate degrees in Political Science and Economics.

**Earl Wright of Charlotte: Wayne Daves Award for Outstanding Achievement in Workforce Development.** Wright serves as an outreach career advisor at the NCWorks Career Center in Charlotte. He is known for his passion for helping others and his innate ability to listen to customers and discover their challenges, needs and wishes, so that he can identify potential solutions for each one. In 2018, Charlotte Works (the workforce development board for Mecklenburg County) partnered with Mecklenburg County's Community Resource Center (CRC) to better serve individuals with barriers to employment. Wright was deployed to meet those individuals where they are and provide coaching, rapid employment, and access to training scholarships. In two years, Wright’s contributions have resulted in placing 589 individuals with employment, with salaries ranging between $28,000-$64,000 per year. His latest endeavor is providing job coaching to people impacted by COVID-19 through Freedom Communities, a nonprofit that provides access to affordable housing, employment, and education for underserved populations.

**CB's Auto Tire and Service of Elizabeth City: Outstanding Employer.** CB’s Auto Tire and Service, owned and operated by Calvin L. Boone, Jr., is a small business making a big impact on the local workforce and the community. CB’s Auto has partnered with NCWorks on multiple workforce initiatives, including Incumbent Worker Grants, NCWorks NextGen Work Experience opportunities, and On-the-Job Training. When he discovered that there were no formal short-term auto mechanic trainings offered in the region, Boone developed his own training class that he conducts. He and his employees are active in the community, volunteering at many workforce board events. Boone serves on the Perquimans County Career and Technical Education Advisory Board. CB's Auto currently provides Work Experience training to NextGen participants, including one young person with disabilities.

**Code Guilford: Community Coding Workforce Initiative of Guilford County: Outstanding Innovative Partnership.** A partnership focused on building the local workforce for the information technology field, Code Guilford created a unique educational opportunity to introduce youth and adults to computer science and related careers. The partners, including GuilfordWorks (the Guilford County Workforce Development Board), Welfare Reform Liaison Project, Inc., Guilford Technical Community College and Guilford County Schools, held a four-day camp in 2019 as a pilot program. Participants in the camp learned the basics of coding, app development, and design in an interactive, creative format, based on the “Everyone Can Code” curriculum developed by Apple, Inc. The program served 120 participants, including groups of elementary school students, middle school students, high school students, and adults. The success of the pilot led partners to plan to expand from four days to a four-week boot camp. Delayed by the COVID-19 pandemic, this camp is currently scheduled for the summer of 2021.
Measurable Skill Gains Guidance

October 2020

Purpose
To provide guidelines for the Measurable Skill Gain (MSG) Performance Indicator, as it relates to Federal definitions, documentation requirements, and reporting procedures for participants of WIOA Title I programs who are enrolled in education or training at any point during their program participation.

References
• TEGL 10-16, Change 1 - Performance Accountability Guidance for Workforce Innovation and Opportunity Act (WIOA) Title I, Title II, Title III, and Title IV Core Programs;
• TEGL 23-19 – Guidance for Validating Required Performance Data Submitted by Workforce Programs;
• TEGL 7-18 Guidance for Validating Jointly Required Performance Data Submitted under the Workforce Innovation and Opportunity Act (WIOA);
• Public Law P.L. 113-128; 20 CFR parts §651, §652, §677, §680, and §681

Background
Section 116 of WIOA 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:

• Adult, Dislocated Worker, and Youth Programs, authorized under WIOA Title I and administered by the U.S. Department of Labor (USDOL);
• Adult Education and Family Literacy Act Program, authorized under WIOA Title II and administered by the U.S. Department of Education (ED);
• Employment Service Program authorized under the Wagner-Peyser Act, as amended by WIOA Title III and administer by USDOL; and
• Vocational Rehabilitation (VR) Program authorized under Title I of the Rehabilitation Act of 1973, as amended by WIOA Title IV and administered by ED.

WIOA provides an historic opportunity to align performance definitions, streamline performance indicators and ensure comparable data collection and reporting across all six of these programs, while also implementing program specific requirements. The six WIOA performance indicators are:

• Employment Rate – 2nd Quarter After Exit
• Employment Rate – 4th Quarter After Exit
• Median Earning – 2nd Quarter After Exit
• Credential Attainment
• Measurable Skill Gains
• Effectiveness in Serving Employers
This document addresses the requirements for the Measurable Skill Gains performance indicator for WIOA Title I Programs.

**Guidance**

**A. Defining 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.

Depending on the type of education or training program in which a participant is enrolled, progress is defined as one of the following five types of Measurable Skill Gains.

1. **Educational Functioning Level (EFL):** Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary education level. Programs may measure EFL gains in one of the following ways:
   
   (1) **Pre-Test and Post-Test:** Results from state approved tests (e.g., CASAS or TABE) of the same version that show an increase of at least one EFL; OR
   
   (2) **Enrollment in Postsecondary Education or Training:** Participants who exit a program below the postsecondary level and enroll in postsecondary education or training during the program year as determined through data match, survey documentation, or case notes. Note: A program below the postsecondary level applies to participants enrolled in a basic education program.

2. **Secondary School Diploma/Recognized Equivalent:** Documented attainment of a secondary school diploma or its recognized equivalent by obtaining certification of achieving passing scores on all parts of a State-recognized high school equivalency test. For the NC Community College System, a High School Equivalency Diploma is issued upon completion of one of these three assessments:
   
   
   b. ETS HiSET – [https://hiset.ets.org/](https://hiset.ets.org/)
   

   Accepted documentation includes:
   
   - Copy of credential
   - Copy of school record
   - Follow-up survey from program participants
   - Case notes documenting information obtained from education or training provider

3. **Transcript/Report Card:** 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 as follows:
   
   a. Must show grades of D or higher and/or be considered passing
   
   b. The semester must have occurred within the current program year
c. The document must reflect that the participant is in good academic standing: nothing to indicate that the participant dropped out of school or was removed from the institution on academic/conduct grounds

(1) **Secondary Education** - Documented through receipt of a secondary transcript or report card for one semester showing that the participant is achieving the State unit’s policies for academic standards (noted above). Secondary transcript is specific to youth attending high school.

(2) **Postsecondary Education** - Transcript demonstrates a sufficient number of credit hours – which is at least 12 hours per semester (or equivalent) 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 show a participant is achieving the State unit’s academic standards (or the equivalent for their credit hour programs).

**Note:** 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. In other words, the Measurable Skill Gain occurs at the end of the 12 hours of accrued academic credit if coursework is split across two program years.

4. **Training Milestone/Progress Report:** Satisfactory or better progress report towards established milestones from an employer or training provider who is providing training. Progress reports must document substantive skill development that the participant has achieved.

(1) Acceptable documentation includes:
   a. Documentation of a skill gained (or completed steps) through OJT or Registered Apprenticeship. Completed steps may be a mid-point evaluation, final evaluation, or exam results as required by Registered Apprenticeship program.
   b. Contract and/or evaluation from employer or training provider documenting a skill gain, or training reports on milestones completed as the individual masters the required job skills. Increases in pay resulting from newly acquired skills or increased performance also can be used to document progress if provided as an evaluation from employer.
   c. Progress report from employer documenting a skill gain that the participant has achieved.

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

(1) Acceptable documentation includes:
   a. Results of knowledge-based exam or certification of completion, including a component exam of a Registered Apprenticeship program
b. Documentation demonstrating progress in attaining technical or occupational skills

c. Documentation from training provider or employer such as a satisfactory attainment of an element on an industry or occupational competency-based assessment

d. Copy of credential that is required for a particular occupation and only is earned after the passage of an exam. Examples include: Class A Commercial Driver’s License, Certified Nursing Assistance License, or CompTIA A+ Certification

B. **Measuring Performance**

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 by dividing the total number in the numerator by the total number in the denominator to produce the percentage of successful MSG attainment by the local area.

\[
\text{MSG} \quad \% \quad \text{Achieved} = \frac{A}{B}
\]

**Numerator Inclusion:** 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. Note, however, that all Measurable Skill Gains should still be recorded regardless.

**Denominator Inclusion:** 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 number includes participants who do not exit the program and continue to receive services beyond the end of the program year, as well as those who have exited the program by the end of the program year.

**Note:** Data for the denominator in this calculation is drawn from *PIRL 1811: Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential or Employment.*
Participants Included in Measurable Skill Gains Denominator

<table>
<thead>
<tr>
<th>Title I Adult and Dislocated Worker</th>
<th>Title I Youth</th>
</tr>
</thead>
<tbody>
<tr>
<td>• All participants who are in a Title I Adult- or Dislocated Worker-funded training program</td>
<td>• All ISY (in school youth) are included</td>
</tr>
<tr>
<td>• Training programs for a secondary school program equivalent</td>
<td>• OSY (out of school youth) in the following are included:</td>
</tr>
<tr>
<td>• Work-based training</td>
<td>♦ Occupational skills training</td>
</tr>
<tr>
<td></td>
<td>♦ Secondary education or above 9th grade</td>
</tr>
<tr>
<td></td>
<td>♦ Postsecondary education</td>
</tr>
<tr>
<td></td>
<td>♦ Title II-funded adult education at or above the 9th grade level</td>
</tr>
<tr>
<td></td>
<td>♦ YouthBuild program participants</td>
</tr>
<tr>
<td></td>
<td>♦ Job Corps participants</td>
</tr>
</tbody>
</table>

Denominator Inclusion based on Service/Activity Codes

Title I – Adult and Dislocated Worker:
All participants who are in a Title I Adult or Dislocated Worker-funded training program are included in the Measurable Skill Gains indicator (which includes funding a training program for a secondary school program equivalent). This includes all participants in work-based training.

Service codes in NCWorks Online that will place Adult and Dislocated Worker participants in the denominator include:

300 – Occupational Skills Training – on ETPL
301 – OJT Training (Not WIOA Youth)
302 – Entrepreneurial Training
304 – Customized Training
310 – Occupational Skills Training for Special Grants
314 – Registered Apprenticeship
328 – Occupational skills Training – Not on ETPL
333* – TAA – Approved Remedial Training (for those with GED/HS Diploma)
335* – TAA – Approved Occupational Skills Training – Approved by State
339* – TAA – Approved GED Training
222* – TAA – English as a Second Language (ESL)

* denotes TAA-only
Title I – Youth:
All In-School Youth (ISY) are included in the Measurable Skill Gains indicator since they are attending secondary or postsecondary school.

Only Out of School Youth (OSY) who are in one of the following are included in the denominator:

- 407 – Alternative Secondary School services or dropout recovery services
- 416 – Youth Occupational Skills Training - on ETPL
- 424 – NC Registered Apprenticeship Training – Youth
- 429 – Enrolled in Traditional Secondary School (H.S.)
- 430 – Youth Occupational Skills Training - Not on ETPL
- 441 – Entrepreneurial Skills Training

C. Periods of Participation
Unlike the other WIOA performance measures, MSG is not an exit-based measure, meaning that a participant can achieve a Measurable Skill Gain while still participating in a program. Successful Measurable Skills Gains may be keyed in NCWorks after the participant has exited the program as long as it is before the end of the same program year in which they exited. The MSG indicator is a year-to-year measure, meaning one MSG outcome can be achieved in each continuing program year that a participant is active.

Since this indicator is not exit-based, each unique program entry date (not exit date) triggers inclusion in the calculation. Participants are only included in the denominator one time per program year (July 1st – June 30th), regardless of how many skill gains they achieve in that program year. It is possible for a participant to be included in the denominator more than one time during a program year if they exit the program and are subsequently reenrolled in a program later in the same program year AND they participate in an education or training program during each enrollment. The following provides a visual example of this situation.

In this example, Abby’s 1st period of participation only occurs within PY18. She exits her first period of participation in PY18 and then reenrolls later in PY18 for her second period of participation that crosses over into PY19. This second period of participation results in two inclusions in the
denominator because it crossed over from one Program Year to the next; therefore, Abby will be included in the MSG denominator two times for PY18 and one time for PY19.

Note: Programs should not delay enrollment or services to participants until a new program year even if case managers believe there is insufficient time for the participant to make any type of Measurable Skill Gain by the end of that program year.

D. Exclusions
Participants who exit for any of the following reasons are excluded from the Measurable Skill Gains indicator.

a. Institutionalized: The participant exits the program because he or she has become incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support such as a hospital or treatment center during the course of receiving services as a participant.

b. Health/Medical: The participant exits the program because of medical treatment and that treatment is expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program.

c. Deceased: The participant is deceased.

d. Reserve Forces called to Active Duty: The participant exits the program because the participant is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days.

e. Foster Care (for Youth participants only): The participant is in the foster care system as defined in 45 CFR 1355.20(a), and exits the program because the participant has moved from the local workforce area as part of such a program or system.

Additional Resources
1) WorkforceGPS – Measurable Skill Gains E-Module: https://tinyurl.com/yxeom9hz
2) Interactive Timing Chart by Future Works: A visual tool for understanding the performance indicators: what are their exiting cohorts, when are they being measured, and when they are being reported. https://tinyurl.com/y3kho422

Appendices:
1) Guide to Entering MSGs in NCWorks
2) MSG Guidance Desk Reference
3) Frequently Asked Questions
## Measurable Skill Gains Desk Reference

<table>
<thead>
<tr>
<th>Message (MSG)</th>
<th>Definition</th>
<th>Categories of MSG</th>
<th>Documentation Required</th>
<th>NCWorks Keying</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Educational Functioning Level (EFL)</strong></td>
<td>Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary education level.</td>
<td>Pre- and post tests</td>
<td>■ Pre- and post test results</td>
<td>From the Program's screen -&gt; expand Education Functioning Level for Measurable Skills Gains -&gt; click &quot;Create Educational Functioning Level Record&quot; *</td>
</tr>
<tr>
<td></td>
<td>Participant who exits a program below the postsecondary level (includes a basic education program) and enrolls in postsecondary education and training during the program year.</td>
<td></td>
<td>■ Postsecondary education or training enrollment determined through data match, survey documentation, or case notes</td>
<td>This MSG is automatically captured by the system when the case manager records the participant's enrollment in postsecondary education or training through follow-up; thorough and complete case notes are extremely important.</td>
</tr>
<tr>
<td><strong>Secondary School Diploma/Recognized Equivalent</strong></td>
<td>Documented attainment of a secondary school diploma or its recognized equivalent.</td>
<td>Secondary School Diploma</td>
<td>■ Copy of credential ■ Copy of school record ■ Follow-up survey from program participant ■ Case notes documenting information obtained from education or training provider</td>
<td>From the Program's screen -&gt; expand Credentials -&gt; click &quot;Create Credential&quot; *</td>
</tr>
<tr>
<td></td>
<td>Certification of passing scores on all parts of a State Recognized High School Equivalency test</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Transcript/Report Card</strong></td>
<td>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.</td>
<td>Secondary School Diploma</td>
<td>■ Transcript that demonstrates: grades of D or higher; semester occurred within current program year; participant is in good academic standing</td>
<td>From the Program's screen -&gt; expand Measurable Skills Gain -&gt; click &quot;Create Measurable Skills Gain&quot; *</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Postsecondary Education</td>
<td>■ Report Card that demonstrates: grades of D or higher; semester occurred within current program year; participant is in good academic standing</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>■ Transcript that demonstrates: grades of D or higher; semester occurred within current program year; participant is in good academic standing</td>
<td></td>
</tr>
<tr>
<td><strong>Training Milestone/Progress Report</strong></td>
<td>Satisfactory or better progress report towards established milestones from an employer or training provider who is providing training.</td>
<td>Training Milestone/Progress Report</td>
<td>■ Documentation of a skill gained through OJT or Registered Apprenticeship ■ Contract and/or evaluation from employer or training provider documenting a skill gain ■ Progress report from employer documenting skill gain (or documenting a pay increase resulting from newly acquired skills or increased performance)</td>
<td>From the Program's screen -&gt; expand Measurable Skills Gain -&gt; click &quot;Create Measurable Skills Gain&quot; *</td>
</tr>
<tr>
<td><strong>Skill Progression</strong></td>
<td>Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupations skills as evidenced by trade-related benchmarks, such as a knowledge-based exam.</td>
<td>Skills Progression</td>
<td>■ Results of knowledge-based exam or certification of completion ■ Documentation demonstrating progress in attaining technical or occupational skills through an exam or benchmark attainment ■ Documentation from training provider or employer ■ Copy of credential that is required for a particular occupation and only is earned after the passage of an exam</td>
<td>From the Program's screen -&gt; expand Measurable Skills Gain -&gt; click &quot;Create Measurable Skills Gain&quot; *</td>
</tr>
</tbody>
</table>

* For more detailed procedures please reference "Keying MSGs in NCWorks Guidance" located in the NCWorks Resource section.
Guide to Entering Measurable Skill Gains in NCWorks

Transcript/Report Card Entry

Directions

1. Start on the Programs screen with the participant’s current WIOA Case expanded to show all the menu options.
2. Click on “Create Measurable Skills Gain”.

3. Select your LWDB and Office Location from the drop-down menus.

4. Skill Type: Select the appropriate type of MSG. In this case, either Post-Secondary Transcript/ Report Card or Secondary Transcript/ Report Card.

5. Date Skill Attained: Enter the date the MSG occurred. The date entered should match date on transcript/report card.

6. Type of Achievement: Depending on which Skill Type was selected, a different list of Type of Achievements will appear. Both options are shown here at right.

7. Verify I Scan I Upload I Link: Attach the documentation here.

8. Add a new Case Note: Enter an appropriate Case Note to document the circumstances of the MSG.

9. Click the Save button at the bottom of the screen.

10. The system will return you to the Programs menu where the MSG submenu will reflect what you just entered.
### Directions

1. Start on the Programs screen with the participant’s current WIOA Case expanded to show all the menu options.

2. Click on "Create Credential".

3. Select your LWDB and Office Location from the drop-down menus.

4. Credential Received: Select High School Diploma or Secondary/High School Equivalency.

5. Click Verify and then indicate the document used to verify the credential.

6. Complete the scanning/upload process of the diploma.

7. Date Credential Received: Enter the date the diploma/equivalency was received by the participant as listed on document.

8. Click the Save button at the bottom.

9. The system will then return you to the Programs menu where the MSG submenu will reflect what you just entered.

### System View

<table>
<thead>
<tr>
<th>Eligibility Summary</th>
<th>Participation</th>
<th>12/30/2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activities / Enrollments / Services</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>Measurable Skills Gain</td>
<td>0</td>
<td></td>
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<tr>
<td>Educational Progressing Level for Measurable Skills Gain</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Training Justification</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Credentials</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

**Create Credential**

There are no records to display.

**General Information**

- Program: WIOA
- Application Number: 599092411
- Name: Doe, John
- Application Date: 12/26/2018
- Program Participation Date: 12/26/2018
- Exit Date: Not Applicable
- Maximum date to record after exit: Not Applicable

**LWDB/Region**: Capital Area Workforce Development

**Office Location**: NCWorks Career Center - Capital Area

**Credential Information**

- Credential Received: Secondary / High School/Equivalency
- Other Credential: [Additional details]
- Credential Verification: [Verification options]

**WIQA Credential Verification**

- School Records
- Copy of Degree or Certificate
- Other (Specify)

**Date Credential Received**: 06/01/2023

**Assisted by**: [Assistor's Name]

**Associate to Training/Activity record**: [Search Activities/Services]

**Credentials**

<table>
<thead>
<tr>
<th>ID</th>
<th>Program</th>
<th>APPID</th>
<th>Credential</th>
<th>Source/Source ID</th>
<th>Date Received</th>
<th>Staff Entered</th>
</tr>
</thead>
<tbody>
<tr>
<td>96/17</td>
<td>WIOA</td>
<td>599092411</td>
<td>Secondary / High School Equivalency</td>
<td>06/01/2019</td>
<td>Caspian Nathaniel</td>
<td></td>
</tr>
</tbody>
</table>
Progress Report/ Training Milestone Entry

Directions

1. Start on the Programs screen with the participant's current WIOA Case expanded to show all the menu options.

2. Click on "Create Measurable Skills Gain"

3. Select your LWDB and Office Location from the drop-down menus.

4. Skill Type: Select the appropriate type of MSG. In this case, Training Milestone.

5. Date Skill Attained: Enter the date the MSG occurred. The date entered should match the date on the attached documentation.

6. Type of Achievement: Select option from menu (shown at right).

7. Verify I Scan I Upload I Link: Attach the documentation here.

8. Add a new Case Note: Enter an appropriate Case Note to document the circumstances of the MSG.

9. Click the Save button at the bottom of the screen.

10. The system will return you to the Programs menu where the MSG submenu will reflect what you just entered.

System View

Create Measurable Skills Gain
Please enter ESI gains in the Educational Functioning Level for Measurable Skills Gain screen.

NCWorks online
General Information
User Login: JWHO0011
State ID: 12345678
User ID: 78904562
Name: John Doe
Program Entry Date: 12/20/2018
LWDB: Capital Area Workforce Development Board
Office Location: WC/FA - Information Ctr/Industries

Skill Attainment information
Date Skill Attained: 12/20/2018

Type of Achievement: Assigned/Uploaded/Uploaded
Other Applicable Documentation:
- GIT Progress Report
- Other Documentation

Staff Information

Signature
- Client ID
- Include Step-Signature
- Application Signature
- Parent/Guardian Signature

Measured Skills Gain
Create Measurable Skills Gain
Please enter ESI gains in the Educational Functioning Level for Measurable Skills Gain screen.

<table>
<thead>
<tr>
<th>Date Achieved</th>
<th>Skill Type</th>
<th>Last Edited By</th>
<th>Last Edited Date</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>09/12/2019</td>
<td>Training Milestone</td>
<td>Copey, Nathaniel</td>
<td>08/12/2019 2:07 PM</td>
<td>Edit</td>
</tr>
</tbody>
</table>
### Directions

1. Start on the Programs screen with the participant's current WIOA Case expanded to show all the menu options.

2. Click on "Create Measurable Skills Gain"

3. Select your LWDB and Office Location from the drop-down menus.

4. **Skill Type:** Select the appropriate type of MSG. In this case, Skills Progression.

5. **Date Skill Attained:** Enter the date the MSG occurred. The date entered should match the date on the attached documentation.

6. **Type of Achievement:** Select option from menu.

7. **Verify I Scan I Upload I Link:** Attach the documentation here.

8. **Add a new Case Note:** Enter an appropriate Case Note to document the circumstances of the MSG.

9. Click the Save button at the bottom of the screen.

10. The system will return you to the Programs menu where the MSG submenu will reflect what you just entered.
### Directions

1. Start on the Programs screen with the participant’s current WIOA Case expanded to show all the menu options.

2. Click on "Create Educational Functioning Level Record".

3. **Customer Group:** Select (or confirm) the program.

4. **LWIA/Region** and **One Stop Location:** select from the drop-down menus.

5. **Assessment Category:** Select either ABE or ESL.

6. **Type of Assessment:** Select from NRS approved list.

7. **Assessment Form/Version info:** Enter version (if applicable).

8. **Functional Area:** Select from drop-down menu.

9. **Date of Pre-Test:** Enter date pre-test was taken by participant.

10. **Pre-Test Score:** Enter score achieved by participant.

* Note: once you enter the score, the **Educational Functioning Level** field tabulates automatically.

11. **Position:** verify the correct information is entered.

12. **Current Case Manager:** verify the correct information is entered.

13. **Add a new Case Note:** Enter an appropriate Case Note.

14. Click the **Save** button at the bottom of the screen.

---

### System View

**Eligibility Summary**

- Participation: 12/20/2018
- Activities/Enrollments/Services: 5
- Measurable Skills Gain: 0
- Educational Functioning Level for Measurable Skills Gain: 0

**Create Educational Functioning Level Record**

There are no records to display.

### General Information

- **Participant - Last 4 SSN:** John Doe (***.**.***)
- **Case ID:** 1234567
- **Customer Group:** Adult
- **LWIA/Region:** Capital Area Workforce Development Board
- **One Stop Location:** NCWorks Career Center - Capital Area (Raleigh)
- **Basic Skills Deficient at Eligibility:** No
- **School Status at Participation:** Not attending school/HS Graduate
- **Test Type:** Pre-Test
- **Assessment Category:** ABE
- **Type of Assessment:** TASC 11-12
- **Assessment Form/Version info:** A
- **Functional Area:** Mathematics
- **Other Functional Area:**

**Pre-Test**

- **Date of Pre-Test:** 06/12/2019
- **Pre-Test Score:** 628
- **Educational Functioning Level:** Low Adult Secondary Ed/High Intermed Basic Ed (Level 5)

**Score reflects Basic Skills deficient:** No

**Position:** Staff

**Current Case Manager:**
- **Group:** Capital Area Workforce Development Board
- **Case Manager:** Ballard, Darrin
- **Temporary Case Manager:** Not Applicable

**Assign Case Manager**
16. The system will return you to the Programs menu where the EFL for MSG submenu will reflect the pre-test that was just entered.

17. To enter Post-test information, click on the appropriate link in Functional Area.

18. Scroll to the bottom of the next page and click on Create Post Assessment Record.

Fill in the remaining prompts for the Post Assessments screen:

19. Assessment Form/Version info.

20. Post-Test Score: Enter score achieved by participant.
   * Note: once you enter the score, verify the Educational Functioning Level field populates correctly.

21. Date Assessed: Enter Date post-test was taken by participant.

22. Position: Verify the correct information is entered.

23. Click the Save button at the bottom of the screen.

24. The system will return you to the Programs menu where the EFL for MSG submenu will now reflect both the pre-test and the post-test that was just entered.
<table>
<thead>
<tr>
<th>WDB</th>
<th>Adult</th>
<th></th>
<th></th>
<th>Dislocated Worker</th>
<th></th>
<th>Youth</th>
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<tbody>
<tr>
<td></td>
<td>PY18</td>
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</tr>
<tr>
<td>CPU</td>
<td></td>
<td>Employment Q2</td>
<td>Employment Q4</td>
<td>Median Earnings</td>
<td>Credential</td>
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<td>Employment Q4</td>
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<tr>
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<tr>
<td>35 - Durham</td>
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<td>73.0%</td>
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<tr>
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</tbody>
</table>

**APPENDIX B**

| Final PY 2018 and PY 2019 Local Area Performance Indicator Goals by Program |
|-----------------------------|-----------------------------|-----------------------------|
| Employment Q2               | Employment Q4               | Median Earnings |
| PY18                        | PY19                        | PY18                        |
| Credential                  | Attainment                  | Employment Q2               | Employment Q4               | Median Earnings |
| PY18                        | PY19                        | PY18                        |
| Attainment                  | Employment Q2               | Employment Q4               | Median Earnings |
| PY18                        | PY19                        | PY18                        |
Data Element Definitions / Instructions

**Accountability (ChA)**

**200 Date of Birth (WIOA)**

Record 1 if the participant indicates that he/she has any ‘validity’, as defined in Section 205(a) of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102), under that definition, a ‘validity’ is a physical or mental impairment that substantially limits one or more of the person’s major life activities. Record 1 if the participant indicates that he/she does not have a disability that meets the definition. Record 1 if the participant did not self-attest. Record 0 if the participant failed to respond. Leave blank if this data element does not apply to the participant.

**301 Eligible Veteran Status**

Record 1 if the participant was a person who remains in the active 5-year capacity, or on a period of more than 30 days, and was discharged or released from such active service with conditions other than dishonorable discharge and who was discharged or released from such active duty with conditions other than dishonorable discharge. Record 1 if the participant was neither a UC Claimant nor an Exhaustee. Leave blank if this data element does not apply to the participant.

Record 1 if the participant was a person who has been unemployed for 27 or more consecutive weeks. Record 0 if the participant does not meet the condition. Leave blank if this data element does not apply to the participant.

Record 1 if the participant was a person who had been determined eligible for benefit payments under any service or Federal Unemployment Compensation (UC) program and whose benefit year or compensation, by reason of an extended duration period, has not ended and who has not exhausted his/her benefit rights. Record 1 if the participant was a person who died while a disability so evaluated was in existence. Leave blank if this data element does not apply to the participant.

Record 1 if the participant was a person who had been determined eligible for benefit payments under any service or Federal Unemployment Compensation (UC) program and whose benefit year or compensation, by reason of an extended duration period, has not ended and who has not exhausted his/her benefit rights. Leave blank if this data element does not apply to the participant.

Record 1 if the participant was a person who had been determined eligible for benefit payments under any service or Federal Unemployment Compensation (UC) program and whose benefit year or compensation, by reason of an extended duration period, has not ended and who has not exhausted his/her benefit rights. Leave blank if this data element does not apply to the participant.

Record 1 if the participant was a person who had been determined eligible for benefit payments under any service or Federal Unemployment Compensation (UC) program and whose benefit year or compensation, by reason of an extended duration period, has not ended and who has not exhausted his/her benefit rights. Leave blank if this data element does not apply to the participant.

Record 1 if the participant was a person who served on active duty for a period of more than 180 days and was discharged or released from such duty with other than a dishonorable discharge. Record 1 if the participant served on active duty for a period of more than 180 days and was discharged or released from such duty with a dishonorable discharge. Record 1 if the participant was a person who served on active duty under conditions other than dishonorable discharge for a period of more than 180 days and was discharged or released from such duty with a dishonorable discharge.

Record 1 if the participant was a person who had been determined eligible for benefit payments under any service or Federal Unemployment Compensation (UC) program and whose benefit year or compensation, by reason of an extended duration period, has not ended and who has not exhausted his/her benefit rights. Leave blank if this data element does not apply to the participant.

Record 1 if the participant was a person who had been determined eligible for benefit payments under any service or Federal Unemployment Compensation (UC) program and whose benefit year or compensation, by reason of an extended duration period, has not ended and who has not exhausted his/her benefit rights. Leave blank if this data element does not apply to the participant.

Record 1 if the participant was a person who had been determined eligible for benefit payments under any service or Federal Unemployment Compensation (UC) program and whose benefit year or compensation, by reason of an extended duration period, has not ended and who has not exhausted his/her benefit rights. Leave blank if this data element does not apply to the participant.
Data Element Definitions / Instructions

### Tenure with Employer

Record the last number of months that the participant was employed, with the employer of record as of the participant's most recent qualification date of unemployment:

- Employment of at least one day but less than one month should be recorded as "0" (less than a full month).
- If the data element does not apply to the participant, leave blank.

#### Tenure at Separation

Record the participant’s most recent date of separation from trade-impacted employment that qualifies the participant to receive benefits and/or services under the Trade Act Notice, if there is no qualifying separation date in the participant’s trade notices or other official documentation:

- If the data element does not apply to the participant, leave blank.

#### Migration and Seasonal Farmworker Definition as defined in 29 CFR 615.101

- **Temporary Assistance to Needy Families (TANF)**
  - Record 1 if the participant is listed on the welfare roll or has received cash assistance or other support services from the TANF agency in the last six months prior to participation in the program.
  - Leave blank if the data element does not apply to the participant.
- **Non-migrant individuals who are full-time students** are excluded. Labor is performed on a seasonal basis where, ordinarily, the employment pertains to, or is connected with, seasonal agricultural activities (as defined above) rather than with their families. Participants who are employed for a limited time only (i.e., to complete a specific task or project, work in the same area on an indefinite basis, or work on a temporary basis for the purpose of training or a particular piece of work, usually of short duration) are not considered to be seasonal in nature.

#### Supplemental Security Income (SSI) / Social Security Disability Insurance (SSDI)

- Record 1 if the participant is receiving assistance through the Supplemental Nutrition Assistance Program (SNAP) under the Food and Nutrition Act of 2008 (7 U.S.C. 2001 et seq.), regardless of whether receiving these benefits at program entry.
- Leave blank if the data element does not apply to the participant.
Data Element Definitions / Instructions

Required Elements by Program (R = Required)

<table>
<thead>
<tr>
<th>WIOA Source Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>WIOA Adult</td>
</tr>
</tbody>
</table>

Accountability

761 Pregnant or Parenting Youth

Around 1 if the participant is a youth who is pregnant, or an individual (male or female) who is pregnant, not yet married, who is receiving public care for more than 30 days, and who meets the conditions described above. Leave blank if the data is not available.

Accountability

762 Youth Who Needs Additional Assistance

Around 1 if the participant is an out-of-school youth who requires additional assistance to enroll or complete an educational program, or to secure and hold employment, or an in-school youth who requires additional assistance to complete an educational program or to secure or hold employment as defined by the state or local policy. If the state should require a policy, the policy must be included in the state plan. Record 0 if the participant does not meet the conditions described above. Leave blank if the data element does not apply to the participant.

Accountability

764 Foster Care Youth Status at Program Entry (WIOA)

Around 1 if the participant, at program entry, is a person aged 24 or under who is currently in foster care or has aged out of the foster care system. Record 0 if the participant does not meet the conditions described above.

Homeless participant, Homeless Children, Homeless Youth, or Homeless Youth at Program Entry (WIOA)

One of the following:
- Self-Attestation
- Cross-Match with Wage Records
- Cross-Match with Public Assistance Records
- Cross-Match with Refugee Assistance Records
- Copy of Authorization to Receive Cash Public Assistance
- UI Claim Documents
- Quarterly Estimated Tax for Self-Employed Persons
- Family or Business Financial Records
- Employer Statement/Contact
- Pension Statement
- Court Award Letter
- Award Letter From Veteran’s Administration
- Signed Individual Service Strategy
- Self-Attestation
- Signed Intake Application or Enrollment Form
- Referral Transmittal from a Reintegration Agency
- A letter from caseworker or support provider

One of the following:
- Self-Attestation
- Written Confirmation from Social Services Agency
- Foster Care Agency Referral Transmittal
- Self-Attestation
- Foster Care Agency Referral Transmittal
- Written Confirmation from Social Services Agency
- Case Notes
- Self-Attestation
- Foster Care Agency Referral Transmittal

One of the following:
- Written Confirmation from Social Services Agency
- Case Notes
- Self-Attestation
- Foster Care Agency Referral Transmittal
- Written Confirmation from Social Services Agency
- Needs Assessment
- Case Notes
- Self-Attestation
- Foster Care Agency Referral Transmittal
- Case Notes
- Self-Attestation
- Foster Care Agency Referral Transmittal

Non-ex Offender Status at Program Entry (WIOA)

One of the following:
- Self-Attestation
- Cross-Match with Wage Records
- Cross-Match with Public Assistance Records
- Cross-Match with Refugee Assistance Records
- Copy of Authorization to Receive Cash Public Assistance
- UI Claim Documents
- Quarterly Estimated Tax for Self-Employed Persons
- Family or Business Financial Records
- Employer Statement/Contact
- Pension Statement
- Court Award Letter
- Award Letter From Veteran’s Administration
- Signed Individual Service Strategy
- Self-Attestation
- Signed Intake Application or Enrollment Form
- Referral Transmittal from a Reintegration Agency
- A letter from caseworker or support provider

One of the following:
- Self-Attestation
- Written Confirmation from Social Services Agency
- Foster Care Agency Referral Transmittal
- Self-Attestation
- Foster Care Agency Referral Transmittal
- Written Confirmation from Social Services Agency
- Needs Assessment
- Case Notes
- Self-Attestation
- Foster Care Agency Referral Transmittal
- Case Notes
- Self-Attestation
- Foster Care Agency Referral Transmittal
- Foster Care Agency Referral Transmittal

One of the following:
- Self-Attestation
- Written Confirmation from Social Services Agency
- Foster Care Agency Referral Transmittal
- Case Notes
- Needs Assessment
- Self-Attestation
- Foster Care Agency Referral Transmittal

Low Income Status at Program Entry (WIOA)

One of the following:
- Award Letter From Veteran’s Administration
- Bank Statements
- Pay Stubs
- Compensation Award Letter
- Coach Award Letter
- Pension Statement
- Employer Statement/Contact
- Family or Business Financial Records
- Housing Authority Verification
- Quarterly Estimated Tax for Self-Employed Persons
- Social Security Benefits
- WIC Eligibility Verification
- TANF Single Parent Eligibility Verification
- Signed Intake Application or Enrollment Form
- Signed Individual Service Strategy
- Copy of Authorization to Receive Cash Public Assistance
- Copy of Public Assistance Check
- Public Assistance Eligibility Verification
- Cross-Match with Refugee Assistance Records
- Cross-Match with Public Assistance Records
- Cross-Match on CBO Wage Records
- Self-Attestation
<table>
<thead>
<tr>
<th>Data Element Definitions / Instructions</th>
<th>Required Elements by Program (R = Required)</th>
<th>WIOA Source Documentation</th>
</tr>
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<tr>
<td><strong>Date of First WIOA</strong>&lt;br&gt;(WIOA)</td>
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<tr>
<td><strong>Task</strong>&lt;br&gt;</td>
<td>One of the following:&lt;br&gt;- Case Notes&lt;br&gt;- Cross-Match with State MIS&lt;br&gt;- Self-Attestation&lt;br&gt;- Access records&lt;br&gt;- Profile records identifying the last qualifying service (and lack of a planned gap)</td>
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<td><strong>Accountability</strong>&lt;br&gt;</td>
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<tr>
<td><strong>Single Parent at Program Entry</strong>&lt;br&gt;(WIOA)</td>
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<tr>
<td><strong>Accountability</strong>&lt;br&gt;</td>
<td>One of the following:&lt;br&gt;- Self-Attestation&lt;br&gt;- TANF Single Parent Eligibility Verification&lt;br&gt;- Case Notes&lt;br&gt;- Needs Assessment&lt;br&gt;- TANF Single Parent Eligibility Verification&lt;br&gt;- Signed Individual Service Strategy or Employment Plan</td>
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<tr>
<td><strong>Displaced Homemaker at Program Entry</strong>&lt;br&gt;(WIOA)</td>
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<tr>
<td><strong>Accountability</strong>&lt;br&gt;</td>
<td>One of the following:&lt;br&gt;- Self-Attestation&lt;br&gt;- Cross-Match with Military Assistance Records&lt;br&gt;- Copy of Spouses Leave Record&lt;br&gt;- Copy of Spouses Permanent Change of Station (PCS) Orders (for a military move or assignment)&lt;br&gt;- Copy of Divorce Records&lt;br&gt;- Copy of Applicable Court Records&lt;br&gt;- Copy of Bank Records (showing financial dependence on spouse, no separate individual income support, or no employment income earned)</td>
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<td><strong>Eligible Migrant and Seasonal Farmworker at Program Entry</strong>&lt;br&gt;(WIOA)&lt;br&gt;</td>
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<td><strong>Accountability</strong>&lt;br&gt;</td>
<td>One of the following:&lt;br&gt;- Self-Attestation&lt;br&gt;- Copy of Bank Records (showing financial dependence on spouse, no separate individual income support, or no employment income earned)</td>
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<td><strong>Date of Program Entry</strong>&lt;br&gt;(WIOA)</td>
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<td><strong>Performance</strong>&lt;br&gt;</td>
<td>One of the following:&lt;br&gt;- Program intake documents, such as eligibility determination documentation or program enrollment forms.</td>
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<td><strong>Performance</strong>&lt;br&gt;</td>
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<td><strong>Date of Program Exit</strong>&lt;br&gt;(WIOA)</td>
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<td><strong>Task</strong>&lt;br&gt;</td>
<td>One of the following:&lt;br&gt;- Signed Intake Application or Enrollment Form&lt;br&gt;- Cross-Match with Public Assistance Records&lt;br&gt;- Self-Attestation&lt;br&gt;- Cross-Match with State MIS&lt;br&gt;- Self-Attestation&lt;br&gt;- Signed Individual Service Strategy or Employment Plan</td>
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<tr>
<td><strong>Accountability</strong>&lt;br&gt;</td>
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### Data Validation Policy - Attachment I - PIRL Elements Required for WIOA Title I, WIOA Title III, and TAA Data Validation

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<tr>
<th>Element Name</th>
<th>Required Elements by Program (R = Required)</th>
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<td>TAA Petition Number</td>
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<td>Date of Most Recent Petition</td>
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<td>TAA Application Date</td>
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<td>Date of First TAA Benefit</td>
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<td>DWG Oversight Unit</td>
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<td>Recipient of Incumbent Worker</td>
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<td>Training</td>
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<td>Date of First Basic Career</td>
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<td>Services (Staff-Assisted)</td>
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<td>DW Case Notes</td>
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<td>DW Electronic Records</td>
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<tr>
<td>DW Cross-Match with MIS</td>
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<td>TAA Electronic Records</td>
<td></td>
</tr>
<tr>
<td>WIOA Source Documentation</td>
<td></td>
</tr>
</tbody>
</table>

#### Data Element Definitions / Instructions

- **Accountability**: This is the participant who requested services under WIOA section 134(a)(1)(A) or 134(a)(2)(A)(i). Record R if the participant received services under WIOA section 134(a)(1) or 134(a)(2) and the participant met the eligibility criteria under the TAA. Record the petition number (and full alphabetical suffix, if applicable) of the certification which applies to the participant's group. If there is more than one petition number, create multiple records in the PIRL for each occurrence. Leave blank if this data element does not apply to the participant.

- **Date of First Basic Career Services (Staff-Assisted)**: Record the first date the participant received any staff-assisted basic career services (includes any career service under WIOA section 134(a)(1)(B)(ii)) that is not provided via self-service or informational only career services. Leave blank if the participant did not receive a staff-assisted basic career service.

- **Date of First TAA Benefit or Service**: Record the date on which the individual first applied for Trade Act services/benefits under the applicable certification.

- **Accountability**: This is the participant who requested services under WIOA section 134(a)(1)(A) or 134(a)(2)(A)(i). Record R if the participant received services under WIOA section 134(a)(1) or 134(a)(2) and the participant met the eligibility criteria under the TAA.

- **Date of First Basic Career Services (Self-Assisted)**: Record the first date the participant accessed any self-assisted basic career service (includes any career service under WIOA section 134(a)(1)(B)(ii)) that is not provided via self-service or informational only career services. Leave blank if the participant did not receive a self-assisted basic career service.

- **Date of Most Recent DWG Services (Self-Assisted)**: Record the most recent date a job seeker accessed self-service/informational only services or activities during the reporting period, either a physical location or remotely via the use of electronic technologies. Leave blank if the participant did not receive self-help services.

- **Date of Most Recent DWG Services (Staff-Assisted)**: Record the most recent date a job seeker accessed self-service/informational only services or activities during the reporting period, either a physical location or remotely via the use of electronic technologies. Leave blank if the participant did not receive a self-assisted basic career service.

- **Date of Most Recent TAA Benefit or Service**: Record the date on which the participant was provided any TAA benefit or service under WIOA section 167. Leave blank if the participant did not receive any TAA services.

- **Date Referred to Department of Veterans Affairs Vocational Rehabilitation and Employment Program**: Record the date on which the participant was referred to the Department of Veterans Affairs Vocational Rehabilitation and Employment Program.
<table>
<thead>
<tr>
<th>Data Element Name</th>
<th>Data Element Definitions / Instructions</th>
<th>Required Elements by Program (R = Required)</th>
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</thead>
<tbody>
<tr>
<td>Date of Most Recent Reportable Individual Contact</td>
<td>Record the most recent date on which the participant had reportable individual-level contact, including provision of identifying information or enrolment, with one or more applicable programs.</td>
<td>R  R  R</td>
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<tr>
<td>Date of First Individual Career Service</td>
<td>Record the first date the participant received an individualized career services as defined in WIOA sec. 136(b)(4). Leave blank if the participant did not receive any individualized career service or this data element does not apply to the individual.</td>
<td>R  R  R</td>
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<tr>
<td>Date of Most Recent Data Recorded/Included Career Service</td>
<td>Record the most recent date on which the participant received individualized career services as described in WIOA sec. 136(b)(4).</td>
<td>R  R  R</td>
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<tr>
<td>Date Individual Employment Plan (IEP) was Created</td>
<td>Record the date on which the participant's Individual Employment Plan (IEP) was created or otherwise established to identify the participant's employment goals, their appropriate achievement objectives, and the appropriate combination of services for the participant to achieve the employment goals. Leave blank if the employment plan was not created for the participant, or if the individual is not a participant.</td>
<td>R  R  R</td>
</tr>
<tr>
<td>Date Received Financial Literacy Services</td>
<td>Record the date, at any time during participation in the program, that the participant received any financial literacy services. They may include services that help with creating budgets, opening saving and checking accounts at banks, applying for and managing loans and credit cards, learning about credit reports and credit scores, and identifying identity theft. Leave blank if this data element does not apply to the participant.</td>
<td>R  R  R</td>
</tr>
<tr>
<td>Transitional Job</td>
<td>Record the date, at any time during participation in the program, that the participant participated in a transitional job. They may include experiences that are limited to summer months are part of a pre-apprenticeship program, or if on-the-job training for WIOA Youth is part of a pre-apprenticeship program, choose Code 3 for pre-apprenticeship. Code 3 for pre-apprenticeship. Record 4 if the participant participated in job shadowing. Record 5 if the participant participated in on-the-job training (WIOA Youth). Record 6 if the participant participated in a transitional job, as defined in WIOA section 134(d)(5). Record 7 if the participant participated in another type of work experience not covered in 1 through 5. Record 0 if the participant did not participate in a work experience. Leave blank if this data element does not apply to the participant.</td>
<td>R  R  R</td>
</tr>
<tr>
<td>Received Training</td>
<td>Record the date entered training, as defined in WIOA sec. 134(b)(1)(A). Leave blank if the participant did not receive any transitional jobs training as described above.</td>
<td>R  R  R</td>
</tr>
<tr>
<td>Received Training (OJT)</td>
<td>Record the date the participant received OJT. Leave blank if the participant did not receive transitional jobs training as described above.</td>
<td>R  R  R</td>
</tr>
<tr>
<td>Type of Training Services</td>
<td>Use the appropriate code to indicate the type of approved training being provided to the participant. Note: Code 06 is ‘upgrading’ being provided in part of a Registered Apprenticeship program, choose Code 06: NOV. Code 10 (NOT) is only allowed when other codes clearly do not apply. Record 0 if the participant did not receive a training service. Leave blank if this data element does not apply to the participant.</td>
<td>R  R  R</td>
</tr>
<tr>
<td>Data Element Number</td>
<td>Data Element Name</td>
<td>Data Element Definitions / Instructions</td>
</tr>
<tr>
<td>---------------------</td>
<td>-------------------</td>
<td>----------------------------------------</td>
</tr>
<tr>
<td>Accountability (TAA)</td>
<td>Occupational Skills Training Code #3</td>
<td>Enter the 8 digit O*Net 4.0 (or later version) code that best describes the training occupation for which the participant received training services. Leave blank if the participant received multiple training services. If additional notes are collected, record as many digits as are available. If the participant received multiple training services, use the occupational skills training code for the most recent training.</td>
</tr>
<tr>
<td>Accountability (TAA)</td>
<td>Training Completed #1</td>
<td>Record the date on which the participant completed or withdrew permanently from training. If multiple training services were received, record the most recent date on which the participant completed the training. Leave blank if the participant did not receive a second training service or this data element does not apply to the participant.</td>
</tr>
<tr>
<td>Accountability (TAA)</td>
<td>Occupational Skills</td>
<td>Record the 8 digit O*Net 4.0 (or later version) code that best describes the training occupation for which the participant received training services. Leave blank if the participant received multiple training services. If additional notes are collected, record as many digits as are available. If the participant received multiple training services, use the occupational skills training code for the most recent training.</td>
</tr>
<tr>
<td>Performance</td>
<td>Type of Training Service #1 (WIOA)</td>
<td>Enter the 8 digit O*Net 4.0 (or later version) code that best describes the training occupation for which the participant received training services. Leave blank if the participant received multiple training services. If additional notes are collected, record as many digits as are available. If the participant received multiple training services, use the occupational skills training code for the most recent training.</td>
</tr>
<tr>
<td>Performance</td>
<td>Type of Training Service #2 (WIOA)</td>
<td>Enter the 8 digit O*Net 4.0 (or later version) code that best describes the training occupation for which the participant received training services. Leave blank if the participant received multiple training services. If additional notes are collected, record as many digits as are available. If the participant received multiple training services, use the occupational skills training code for the most recent training.</td>
</tr>
<tr>
<td>Performance</td>
<td>Type of Training Service #3 (TAA)</td>
<td>Enter the 8 digit O*Net 4.0 (or later version) code that best describes the training occupation for which the participant received training services. Leave blank if the participant received multiple training services. If additional notes are collected, record as many digits as are available. If the participant received multiple training services, use the occupational skills training code for the most recent training.</td>
</tr>
</tbody>
</table>

Data Validation Policy - Attachment I - RNL Elements Required for WIOA Title | WIOA Title II | and TAA Data Validation
<table>
<thead>
<tr>
<th>Data Element Definition</th>
<th>Required Elements by Program (R = Required)</th>
<th>WIOA Source Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Wagner- Peyser</strong></td>
<td>WIOA</td>
<td>WIOA</td>
</tr>
<tr>
<td><strong>Accountability</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1317</td>
<td>Tracking Completed # Training</td>
<td>R</td>
</tr>
<tr>
<td>1518</td>
<td>Date Completed, or Withdrawn From Training</td>
<td></td>
</tr>
<tr>
<td>1319</td>
<td>Record 1 if the participant completed approved trainingRecord 0 if the participant did not complete training (withdrew). Leave blank if the participant did not receive a third training service or this data element does not apply to the participant.</td>
<td></td>
</tr>
<tr>
<td>1317</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Waiver from Training</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1318</td>
<td>Established Individual</td>
<td>R</td>
</tr>
<tr>
<td>1316</td>
<td>Unestablished Individual</td>
<td></td>
</tr>
<tr>
<td>1319</td>
<td>Training Account (WPA)</td>
<td>Record 1 if the individual’s services were purchased without an individual Training Account funded by WPA YIIN. This information can be updated anytime during participation.After the individual does not meet the condition described above. Leave blank if this data element does not apply to the participant.</td>
</tr>
<tr>
<td>1322</td>
<td>Date of Most Recent Cross-Match Reporting</td>
<td>Record the date on which the youth participant received or lost most recent cross-match. Leave blank if this data element does not apply to the participant.</td>
</tr>
<tr>
<td>1321</td>
<td>Date of Most Recent Cross-Match Reporting and Enrollment Status</td>
<td>Record the date on which the participant completed or lost most recent cross-match. Leave blank if this data element does not apply to the participant.</td>
</tr>
<tr>
<td>1320</td>
<td>Date of Most Recent Cross-Match Reporting and Enrollment Status</td>
<td>Record the date on which the youth participant received or lost most recent cross-match. Leave blank if this data element does not apply to the participant.</td>
</tr>
<tr>
<td><strong>Performance</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1332</td>
<td>Pursuant to Postsecondary Education Participation (WPA)</td>
<td>R</td>
</tr>
<tr>
<td>1331</td>
<td>Case Management and Reemployment Services</td>
<td></td>
</tr>
<tr>
<td>1330</td>
<td>Case Management and Reemployment Services</td>
<td></td>
</tr>
<tr>
<td>1329</td>
<td>Data Validation Policy - Attachment I - PIRL Elements Required for WIOA Title I, WIOA Title III, and TAA Data Validation</td>
<td></td>
</tr>
</tbody>
</table>

**Note:** This data element does not apply to the participant.
<table>
<thead>
<tr>
<th>Data Element Name</th>
<th>Data Element Description</th>
<th>Data Element Definitions / Instructions</th>
<th>Required Elements by Program (R = Required)</th>
<th>WIOA Source Documentation</th>
</tr>
</thead>
</table>
| Performance 1406  | Data Enrolled in Post-Exit Education or Training Program Leading to a Recognized Postsecondary Credential (WIOA) | Around the date the participant is enrolled in an education or training program that leads to a recognized postsecondary credential after program exit. | R R R | One of the following:  
- Copy of enrollment record  
- Data match with postsecondary data system |
| Accountability 1407 | Most Recent Date Received Education Offered Concurrently with Workforce Preparation | Around the most recent date on which the participant received education offered concurrently with or in the same context as workforce preparation activities and training for a specific occupation or occupational cluster (even if the participant did not receive education offered concurrently with workforce preparation). | R | One of the following:  
- Activity sheets  
- Sign-in sheets  
- Attendance record  
- Vendor contract  
- Electronic Records  
- WIOA status forms noting receipt of service and type of service received |
| Accountability 1408 | Most Recent Date of Leadership Development Opportunities | Around the most recent date on which the participant received leadership training, which includes, but are not limited to, assistance with transportation, child care, dependent care, and housing that are necessary to enable the participant to participate in programs and services required to lead a successful career and training career or program completion. (b) Leadership development services also include: (1) Mentoring to continue services; (2) assistance with additional training or educational testing; (3) reasonable accommodations for youth with disabilities; (4) referrals to households; (5) assistance with services or other appropriate work skills and work-related issues, including such items as time management and supervision; (6) assistance with books, fees, school supplies, and other necessary items for students enrolled in postsecondary education classes; and (7) preparatory and basic technical skills for occupation-related applications, tests, and certifications. (c) The participant did not receive leadership development services, and this data element does not apply to the participant. | R | One of the following:  
- Activity sheets  
- Sign-in sheets  
- Attendance record  
- Vendor contract  
- Electronic Records  
- WIOA status forms noting receipt of service and type of service received |
| Accountability 1409 | Most Recent Date Received Supportive Services | Around the most recent date on which the participant received supportive services, which may include drug and alcohol abuse counseling, if the participant did not receive supportive services on this data element does not apply to the participant. | R | One of the following:  
- Activity sheets  
- Sign-in sheets  
- Attendance record  
- Vendor contract  
- Electronic Records  
- WIOA status forms noting receipt of service and type of service received |
| Accountability 1410 | Most Recent Date Received Adult Mentoring Services | Around the most recent date on which the participant received adult mentoring services. Adult mentoring services may last for at least twelve (12) months and continue during and after program participation. The participant did not receive adult mentoring services, and this data element does not apply to the participant. | R | One of the following:  
- Activity sheets  
- Sign-in sheets  
- Attendance record  
- Vendor contract  
- Electronic Records  
- WIOA status forms noting receipt of service and type of service received |
| Accountability 1411 | Most Recent Date Received Comprehensive Guidance/Counseling Services | Around the most recent date on which the participant received comprehensive guidance and counseling services, which may include drug and alcohol abuse counseling, if the participant did not receive comprehensive guidance/counseling services, or this data element does not apply to the participant. | R | One of the following:  
- Activity sheets  
- Sign-in sheets  
- Attendance record  
- Vendor contract  
- Electronic Records  
- WIOA status forms noting receipt of service and type of service received |
| Accountability 1412 | Most Recent Date Received Youth Follow-Up Services | Around the most recent date on which the youth program participant was provided youth follow-up services. Follow-up services must include regular contact with youth participants’ families, including assistance in addressing work-related problems that arise. | R | One of the following:  
- Activity sheets  
- Sign-in sheets  
- Attendance record  
- Vendor contract  
- Electronic Records  
- WIOA status forms noting receipt of service and type of service received |
| Accountability 1413 | Most Recent Date Received Entrepreneurial Skills Training | Around the most recent date on which the participant participated in entrepreneurial skills training. Leave blank if the participant did not participate in entrepreneurial skills training. | R | One of the following:  
- Activity sheets  
- Sign-in sheets  
- Attendance record  
- Vendor contract  
- Electronic Records  
- WIOA status forms noting receipt of service and type of service received |
<table>
<thead>
<tr>
<th>Data Element Name</th>
<th>Data Element Number</th>
<th>Data Definitions / Instructions</th>
<th>Required Elements by Program (R = Required)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Accountability</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| Most Recent Date | 1614 | Received Needs- Related Payments | Around the most recent date on which the participant received payments for which the participant was employed in the quarter. | - R: One of the following:  
  - Activity sheets  
  - Signs in sheets  
  - Attendance record  
  - Voucher contract  
  - State MIS, case notes  
  - WIOA status forms noting receipt of service and type of service received |
| Most Recent Date | 1615 | Received Needs- Related Payments | Around the most recent date on which the participant received payments for which the participant was employed in the quarter. | - R: One of the following:  
  - Activity sheets  
  - Signs in sheets  
  - Attendance record  
  - Voucher contract  
  - Electronic Records, case notes  
  - WIOA status forms noting receipt of service and type of service received |
| TAA | 1611 | Date Received First Basic TRA Payment | Record the date on which the participant received their first Basic TRA payment. Leave blank if the participant did not receive a Basic TRA Payment, or if the individual is not a TAA participant. | - R: One of the following:  
  - State UI Database of Basic TRA checks issued  
  - Request for allowance  
  - Electronic Records |
| TAA | 1612 | Date Received First Completion TRA Payment | Record the date on which the participant received their first Completion TRA payment. Leave blank if the participant did not receive a Completion TRA Payment, or if the individual is not a TAA participant. | - R: One of the following:  
  - State UI Database of Basic TRA checks issued  
  - Request for allowance  
  - Electronic Records |
| TAA | 1613 | Date Received First AJ/RTA Payment | Record the date on which the participant received their first AJ/RTA payment. Leave blank if the participant did not receive an AJ/RTA payment, or if the individual is not a TAA participant. | - R: One of the following:  
  - State UI Database of Basic TRA checks issued  
  - Request for allowance  
  - Electronic Records |
| **Accountability** | 1621 A | Received Needs- Related Payments | Around the most recent date on which the participant received payments for which the participant was employed in the quarter. | - R: One of the following:  
  - Activity sheets  
  - Signs in sheets  
  - Attendance record  
  - Voucher contract  
  - Literature Records, case notes  
  - WIOA status forms noting receipt of service and type of service received |
| **Performance** | 1620 | Employed in 1st Quarter (WIOA) | Record the most recent date on which the participant was employed in the quarter. Leave blank if the participant did not participate in the program. | - R: One of the following:  
  - Union wage data match/administrative wage match, such as the National Directory of New Hires  
  - Follow-up survey from program participants  
  - Pay check stub, tax records, W2 form  
  - Quarterly tax payment forms, such as IRS Form 941  
  - Document from employer or company, interdepartmental attesting to an individual’s employment status and earnings  
  - Self-employment worksheets signed and attested to by program participants |
| **Accountability** | 1623 | Type of Employment Match 1st Quarter (WIOA) | Use the appropriate code to identify the method used in determining the participant’s employment status in the 1st quarter following the quarter of exit. | - R: One of the following:  
  - Cross-match with State UI Database of Basic TRA checks issued  
  - Vendor contract  
  - Activity sheets  
  - Attendance record  
  - Electronic Records, case notes  
  - Attendance record  
  - Vendor contract  
  - Activity sheets |

**WIOA Data Source Documentation**

- Cross-match with State UI Database of Basic TRA checks issued
- Request for allowance
- Electronic Records
- State New Hires Registry
- Cross-match with Federal Administrative Wage Record Databases (such as the National Directory of New Hires)
- Federal Government Employment Records (such as military employment, Department of Defense, Office of Personnel Management, and US Postal Service)
- Cross-match with federal labor market information (such as Labor Market Information System
- Signed Letter from a Program Participant
- Copy of Pay Check Stub, Record B-11, or leaves and Earnings Statements (Minimum of I-9, SS-5, or Other Records from the State Department of Revenue or Taxation)
- Cross-match with Federal Administrative Wage Record Databases (such as the National Directory of New Hires)
- A Signed Letter from an Employer on Company Letterhead (attesting to an individual’s employment status and earnings)
- Self-employment worksheets signed and attested to by program participants
- Cross-match with Program Partner Program Administrative Databases (such as TANF, SNAP or other public assistance programs)
Data Element Definitions / Instructions

Oversight - Employment Match 2nd Quarter After Exit Quarter (WIOA)

Record 0 if the participant is in unsubsidized employment (not including Registered Apprenticeship), or the labor.gov Record 0 if the participant is in a Registered Apprenticeship. Record 0 if the participant is in the labor.gov quarter after the quarter of exit. Record 1 if the participant is not in unsubsidized employment, and the labor.gov information is not yet available.

One of the following:
1. Wage data match/administrative wage match, such as the National Directory of New Hires follow up survey from program participants
2. Pay check stubs, tax records, W-2 form
3. Quarterly tax payment forms, such as a 1099 form 941
4. Document from employer or company letterhead attesting to an individual’s employment status and earnings
5. Self employment activities signed and attested to by program participants
6. Signed case notes verified by employer and signed by the counselor

Required Elements by Program (R = Required)

<table>
<thead>
<tr>
<th>Program</th>
<th>WIOA Adult</th>
<th>WIOA Youth</th>
<th>TAA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance</td>
<td>R</td>
<td>R</td>
<td>R</td>
</tr>
</tbody>
</table>

Accountability - Employment Match 3rd Quarter After Exit Quarter (WIOA)

Record 0 if the participant is in unsubsidized employment (not including Registered Apprenticeship), or the labor.gov Record 0 if the participant is in a Registered Apprenticeship. Record 0 if the participant is in the labor.gov quarter after the quarter of exit. Record 1 if the participant is not in unsubsidized employment, and the labor.gov information is not yet available.

One of the following:
1. Cross-match with State and Out of State LI Quarterly Wage Records (Interospective and Interim)
2. Federal Government Employment Records (such as military employment, Department of Defense, Office of Personnel Management, and US Postal Service)
3. Cross-match with Federal Administrative Wage Record Databases (such as the National Directory of New Hires)
4. State New Hires Registry
5. Signature Follow-up Survey Response from Program Participants
6. Copy of Pay Check Stubs, Payroll Slips, or Leave and Earnings Statements (minimum of two per TEGL 26-16)
7. Income Tax Records, W-2 Form, or Other Records from the State Department of Revenue or Taxation
8. Railroad Retirement System
9. Quarterly Tax Payment Form (such as 1099 Form 941)
10. A Signed Letter from an Employee on Company Letterhead (attesting to an individual’s employment status and earnings)
11. Self Employment or Sales Commission Worksheets Signed and Attested to by Program Participants
12. Cross-match with Partner Program Administrative Databases (such as TANF, SNAP or other public assistance programs)

<table>
<thead>
<tr>
<th>Program</th>
<th>WIOA Adult</th>
<th>WIOA Youth</th>
<th>TAA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance</td>
<td>R</td>
<td>R</td>
<td>R</td>
</tr>
</tbody>
</table>

Accountability - Employment Match 4th Quarter After Exit Quarter (WIOA)

Record 0 if the participant is in unsubsidized employment (not including Registered Apprenticeship), or the labor.gov Record 0 if the participant is in a Registered Apprenticeship. Record 0 if the participant is in the labor.gov quarter after the quarter of exit. Record 1 if the participant is not in unsubsidized employment, and the labor.gov information is not yet available.

One of the following:
1. Cross-match with State and Out of State LI Quarterly Wage Records (Interospective and Interim)
2. Federal Government Employment Records (such as military employment, Department of Defense, Office of Personnel Management, and US Postal Service)
3. Cross-match with Federal Administrative Wage Record Databases (such as the National Directory of New Hires)
4. State New Hires Registry
5. Signature Follow-up Survey Response from Program Participants
6. Copy of Pay Check Stubs, Payroll Slips, or Leave and Earnings Statements (minimum of two per TEGL 26-16)
7. Income Tax Records, W-2 Form, or Other Records from the State Department of Revenue or Taxation
8. Railroad Retirement System
9. Quarterly Tax Payment Form (such as 1099 Form 941)
10. A Signed Letter from an Employee on Company Letterhead (attesting to an individual’s employment status and earnings)
11. Self Employment or Sales Commission Worksheets Signed and Attested to by Program Participants
12. Cross-match with Partner Program Administrative Databases (such as TANF, SNAP or other public assistance programs)

<table>
<thead>
<tr>
<th>Program</th>
<th>WIOA Adult</th>
<th>WIOA Youth</th>
<th>TAA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance</td>
<td>R</td>
<td>R</td>
<td>R</td>
</tr>
</tbody>
</table>

Accountability - Employment Match 5th Quarter After Exit Quarter (WIOA)

Record 0 if the participant is in unsubsidized employment (not including Registered Apprenticeship), or the labor.gov Record 0 if the participant is in a Registered Apprenticeship. Record 0 if the participant is in the labor.gov quarter after the quarter of exit. Record 1 if the participant is not in unsubsidized employment, and the labor.gov information is not yet available.

One of the following:
1. Cross-match with State and Out of State LI Quarterly Wage Records (Interospective and Interim)
2. Federal Government Employment Records (such as military employment, Department of Defense, Office of Personnel Management, and US Postal Service)
3. Cross-match with Federal Administrative Wage Record Databases (such as the National Directory of New Hires)
4. State New Hires Registry
5. Signature Follow-up Survey Response from Program Participants
6. Copy of Pay Check Stubs, Payroll Slips, or Leave and Earnings Statements (minimum of two per TEGL 26-16)
7. Income Tax Records, W-2 Form, or Other Records from the State Department of Revenue or Taxation
8. Railroad Retirement System
9. Quarterly Tax Payment Form (such as 1099 Form 941)
10. A Signed Letter from an Employee on Company Letterhead (attesting to an individual’s employment status and earnings)
11. Self Employment or Sales Commission Worksheets Signed and Attested to by Program Participants
12. Cross-match with Partner Program Administrative Databases (such as TANF, SNAP or other public assistance programs)

<table>
<thead>
<tr>
<th>Program</th>
<th>WIOA Adult</th>
<th>WIOA Youth</th>
<th>TAA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance</td>
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<td>R</td>
<td>R</td>
</tr>
<tr>
<td>DWS Oversight Unit</td>
<td>Data Element Number</td>
<td>Data Element Name</td>
<td>Data Element Definitions / Instructions</td>
</tr>
<tr>
<td>---------------------</td>
<td>---------------------</td>
<td>-------------------</td>
<td>----------------------------------------</td>
</tr>
<tr>
<td>Accountability</td>
<td>1608</td>
<td>Employment Related to Training (4th Quarter After Exit) (WIOA)</td>
<td>Record the 8-digit occupational code that best describes the participant’s employment using the O*Net Version 4.0 (or later versions) classification system. This should be based on any job held after exit from the program, regardless of the participant’s gender. If a participant had multiple jobs, use the code for the most recent job held.</td>
</tr>
<tr>
<td>Accountability</td>
<td>1610</td>
<td>Occupational Code (if available)</td>
<td>Record the 8-digit occupational code that best describes the participant’s employment using the O*Net Version 4.0 (or later versions) classification system.</td>
</tr>
<tr>
<td>Accountability</td>
<td>1611</td>
<td>External Non-Traditional Employment</td>
<td>Record the 8-digit occupational code that best describes the participant’s employment using the O*Net Version 4.0 (or later versions) classification system. If more than one NAICS is reported, then the NAICS associated with the highest gross wage should be recorded.</td>
</tr>
<tr>
<td>Accountability</td>
<td>1612</td>
<td>Occupational Code of Employment 2nd Quarter After Exit (if available)</td>
<td>Record the 8-digit occupational code that best describes the participant’s employment using the O*Net Version 4.0 (or later versions) classification system.</td>
</tr>
<tr>
<td>Accountability</td>
<td>1613</td>
<td>Occupational Code of Employment 3rd Quarter After Exit (if available)</td>
<td>Record the 8-digit occupational code that best describes the participant’s employment using the O*Net Version 4.0 (or later versions) classification system.</td>
</tr>
<tr>
<td>Accountability</td>
<td>1614</td>
<td>Industry Code of Employment 3rd Quarter After Exit Quarter</td>
<td>Record the 8-digit industry code that best describes the participant’s employment using the North American Industrial Classification System (NAICS). If more than one NAICS is reported, then the NAICS associated with the highest gross wage should be recorded.</td>
</tr>
<tr>
<td>Accountability</td>
<td>1615</td>
<td>Industry Code of Employment 4th Quarter After Exit Quarter</td>
<td>Record the 8-digit industry code that best describes the participant’s employment using the North American Industrial Classification System (NAICS). If more than one NAICS is reported, then the NAICS associated with the highest gross wage should be recorded.</td>
</tr>
<tr>
<td>Accountability</td>
<td>1616</td>
<td>Industry Code of Employment 5th Quarter After Exit Quarter</td>
<td>Record the 8-digit industry code that best describes the participant’s employment using the North American Industrial Classification System (NAICS).</td>
</tr>
<tr>
<td>Accountability</td>
<td>1617</td>
<td>Industry Code of Employment 6th Quarter After Exit Quarter</td>
<td>Record the 8-digit industry code that best describes the participant’s employment using the North American Industrial Classification System (NAICS).</td>
</tr>
</tbody>
</table>

*Note: The required data elements are based on the WIOA Title I requirements for WIOA Title I, WIOA Title III, and WIOA Title IV follow-up services.*
<table>
<thead>
<tr>
<th>Data Element Definitions / Instructions</th>
<th>Required Elements by Program</th>
<th>WIOA Source Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Accountability</strong></td>
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<td></td>
</tr>
<tr>
<td>Data Element Name:</td>
<td>Wagner-Youth</td>
<td>DW 968</td>
</tr>
<tr>
<td>Data Element Number:</td>
<td>R</td>
<td>R</td>
</tr>
<tr>
<td>Data Validation Policy - Attachment I - PIRL Elements Required for WIOA Title I, WIOA Title III, and TAA Data Validation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1618</td>
<td>Retention with the same employer in the 2nd and 4th Quarter of the 8th Quarter(WIOA)</td>
<td></td>
</tr>
<tr>
<td>1700</td>
<td>Wage 2nd Quarter Prior to Participation Quarter</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Recall total earnings from wage records for the second quarter prior to the quarter of participation. Leave blank if data element does not apply to the participant.</td>
<td></td>
</tr>
<tr>
<td>1702</td>
<td>Wage 3rd Quarter Prior to Participation Quarter</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Recall total earnings from wage records for the third quarter prior to the quarter of participation. Leave blank if data element does not apply to the participant.</td>
<td></td>
</tr>
<tr>
<td>1703</td>
<td>Wage 4th Quarter Prior to Participation Quarter</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Recall total earnings from wage records for the fourth quarter prior to the quarter of participation. Leave blank if data element does not apply to the participant.</td>
<td></td>
</tr>
<tr>
<td>1704</td>
<td>Wage 1st Quarter After Exit Quarter(WIOA)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Recall total earnings from wage records for the first quarter after the quarter of exit. Record &quot;00000000&quot; if data is not yet available for this item. Leave blank if data element does not apply to the participant.</td>
<td></td>
</tr>
<tr>
<td><strong>Oversight</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Required Elements by Program:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Data Validation Policy - Attachment I - PIRL Elements Required for WIOA Title I, WIOA Title III, and TAA Data Validation

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Performance (TAA)

1000 Type of Recognized Credential (WIOA)

For the appropriate code to record the type of recognized diploma, degree, or a credential consisting of an industry-recognized certificate or certification, a certificate of completion of a Registered Apprenticeship, a license recognized by the State involved or Federal Government, or an associate or baccalaureate degree attained by the participant who received education or training services. Record the date on which the participant attained a second recognized credential. Leave blank if data element does not apply to the participant.

- Cross-Match with State and Out-of-State UI Quarterly Wage Records (Interruptions and Intertwines)
- Federal Government Employment Records (such as military employment), Department of Defense, Office of Personnel Management, and US Postal Service
- Cross-Match with Federal Administrative Wage Record Databases (such as the National Directory of New Hires)

Note: Diplomas, degrees, licenses or certificates must be attained either during participation or within one year of exit. This data element applies to both the Credential Rate indicator and the Measurable Skills Gain indicator for all DOL programs.

Wages 4th Quarter After Exit (WIOA)

Record total earnings for the fourth quarter after the quarter of exit. Record 999999.99 if data is not yet available for this item or leave blank if data element does not apply to the participant.

- Cross-Match with State and Out-of-State UI Quarterly Wage Records (Interruptions and Intertwines)
- Federal Government Employment Records (such as military employment), Department of Defense, Office of Personnel Management, and US Postal Service
- Cross-Match with Federal Administrative Wage Record Databases (such as the National Directory of New Hires)

One of the following (consistent with TEGL 26-16):
- Case notes documenting information obtained from education or training provider
- Copy of school record
- Data match
- Signed Follow-up Survey Response from Program Participants
- Signed Letter from an Employer on Company Letterhead (attesting to an individual’s employment status and earnings)
- State New Hires Registry

Performance (TAA)

1001 Data Attained Recognized Credential (WIOA)

Record the date on which the participant attained a recognized credential. Leave blank if the participant did not attain a degree or certificate.

- Cross-Match with State and Out-of-State UI Quarterly Wage Records (Interruptions and Intertwines)
- Federal Government Employment Records (such as military employment), Department of Defense, Office of Personnel Management, and US Postal Service
- Cross-Match with Federal Administrative Wage Record Databases (such as the National Directory of New Hires)

One of the following:
- Detailed case notes verified by employer and signed by the counselor
- Copy of Pay Check Stubs, Payroll Slip, or Leave and Earnings Statements (minimum of two per TEGL 26-16)
- Income Tax Records, W-2 Form, or Other Records from the State Department of Revenue or Taxation

Note: Diplomas, degrees, licenses or certificates must be attained either during participation or within one year of exit. This data element applies to both the Credential Rate indicator and the Measurable Skills Gain indicator for all programs.

Wages 3rd Quarter After Exit (WIOA)

Record total earnings for the third quarter after the quarter of exit. Record 999999.99 if data is not yet available for this item or leave blank if data element does not apply to the participant.

- Cross-Match with State and Out-of-State UI Quarterly Wage Records (Interruptions and Intertwines)
- Federal Government Employment Records (such as military employment), Department of Defense, Office of Personnel Management, and US Postal Service
- Cross-Match with Federal Administrative Wage Record Databases (such as the National Directory of New Hires)

One of the following:
- Case notes documenting information obtained from education or training provider
- Copy of Pay Check Stubs, Payroll Slip, or Leave and Earnings Statements (minimum of two per TEGL 26-16)
- Income Tax Records, W-2 Form, or Other Records from the State Department of Revenue or Taxation

Wages 2nd Quarter After Exit (WIOA)

Record total earnings for the second quarter after the quarter of exit. Record 999999.99 if data is not yet available for this item or leave blank if data element does not apply to the participant.

- Cross-Match with State and Out-of-State UI Quarterly Wage Records (Interruptions and Intertwines)
- Federal Government Employment Records (such as military employment), Department of Defense, Office of Personnel Management, and US Postal Service
- Cross-Match with Federal Administrative Wage Record Databases (such as the National Directory of New Hires)

One of the following:
- Signed Follow-up Survey Response from Program Participants
- Copy of Pay Check Stubs, Payroll Slip, or Leave and Earnings Statements (minimum of two per TEGL 26-16)
- Income Tax Records, W-2 Form, or Other Records from the State Department of Revenue or Taxation

One of the following (consistent with TEGL 26-16):
- Case notes documenting information obtained from education or training provider
- Copy of school record
- Data match
- Signed Follow-up Survey Response from Program Participants
- Signed Letter from an Employer on Company Letterhead (attesting to an individual’s employment status and earnings)
- State New Hires Registry

Accountability (TAA)

1002 Type of Recognized Credential (WIOA)

For the appropriate code to record the type of recognized diploma, degree, or a credential consisting of an industry-recognized certificate or certification, a certificate of completion of a Registered Apprenticeship, a license recognized by the State involved or Federal Government, or an associate or baccalaureate degree attained by the participant who received education or training services. Record the date on which the participant attained a second recognized credential. Leave blank if data element does not apply.

- Cross-Match with Postsecondary Education Database
- Copy of Diploma, Credential or Degree Awarded by Education Institution
- Applicable Records from Education Institution (GED certificates, diploma, transcript, report card, or school documentation)

One of the following (consistent with TEGL 26-16):
- Case notes documenting information obtained from education or training provider
- Copy of Pay Check Stubs, Payroll Slip, or Leave and Earnings Statements (minimum of two per TEGL 26-16)
- Income Tax Records, W-2 Form, or Other Records from the State Department of Revenue or Taxation

Accountability (TAA)

1003 Type of Recognized Credential (WIOA)

For the appropriate code to record the type of recognized diploma, degree, or a credential consisting of an industry-recognized certificate or certification, a certificate of completion of a Registered Apprenticeship, a license recognized by the State involved or Federal Government, or an associate or baccalaureate degree attained by the participant who received education or training services. Record the date on which the participant attained a second recognized credential. Leave blank if data element does not apply.

- Cross-Match with Postsecondary Education Database
- Copy of Diploma, Credential or Degree Awarded by Education Institution
- Applicable Records from Education Institution (GED certificates, diploma, transcript, report card, or school documentation)

One of the following:
- Signed Follow-up Survey Response from Program Participants
- Signed Letter from an Employer on Company Letterhead (attesting to an individual’s employment status and earnings)
- State New Hires Registry

One of the following (consistent with TEGL 26-16):
- Case notes documenting information obtained from education or training provider
- Copy of Pay Check Stubs, Payroll Slip, or Leave and Earnings Statements (minimum of two per TEGL 26-16)
- Income Tax Records, W-2 Form, or Other Records from the State Department of Revenue or Taxation

Data Validation Policy - Attachment 1 - RWL Elements Required for WIOA Title I, WIOA Title II, and TAA Data Validation
Data Validation Policy - Attachment I - PIRL Elements Required for WIOA Title I, WIOA Title III, and TAA Data Validation

Accountability

<table>
<thead>
<tr>
<th>Data Element Name</th>
<th>Data Element Definitions / Instructions</th>
<th>Required Elements by Program (R = Required)</th>
<th>WIOA Source Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Recognized Credential</td>
<td>Use the appropriate code to record the type of recognized diploma, degree, or certificate consisting of a industry-recognized certificate or certification, a certificate of completion of a recognized Apprenticeship, a credential recognized by the State licensed or regulated, or an association or trade association, degree attained by the participant prior to the program initiation or training program. Record if the participant received education or training services, but did not attain a recognized diploma, degree, or certificate. Leave blank if data element does not apply to the participant.</td>
<td>R</td>
<td>WIOA Title I, WIOA Title III, and TAA Title I</td>
</tr>
</tbody>
</table>

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</thead>
<tbody>
<tr>
<td>Date Attained Recognized Credential (R = Required)</td>
<td>Record the most recent date the participant successfully completed or met the stated standards in an educational, training, or apprenticeship program that is consistent with a recognized,二级 education program or recognized apprenticeship program as defined by the State unit of academic standards. Leave blank if data element does not apply to the participant.</td>
<td>R</td>
<td>WIOA Title I, WIOA Title III, and TAA Title I</td>
</tr>
</tbody>
</table>

Performance

<table>
<thead>
<tr>
<th>Data Element Name</th>
<th>Data Element Definitions / Instructions</th>
<th>Required Elements by Program (R = Required)</th>
<th>WIOA Source Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Participation</td>
<td>Record the date the participant was enrolled during program participation in an education or training program that leads to a recognized postsecondary or secondary education program, or training program that leads to employment as defined by the core program in which the participant participates. States may use this coding value if the participant was either already enrolled in education or training at the time of program entry or became enrolled in a program or training at any point while participating in the program. If the participant was enrolled in postsecondary education or apprenticeship program entry the data in the field should also be the date of program entry. This includes, but is not limited to: participants in Job Corps or Youthbuild or Adult Education or secondary education programs (GED, ESL, Adult Flex and other programs). Leave blank if data element does not apply to the participant.</td>
<td>R</td>
<td>WIOA Title I, WIOA Title II, and TAA Title</td>
</tr>
</tbody>
</table>

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</thead>
<tbody>
<tr>
<td>Recognition of Measurable Skill Gains</td>
<td>Measurable Skills Gain indicator for all DOL programs.</td>
<td>R</td>
<td>WIOA Title I, WIOA Title II, and TAA Title</td>
</tr>
</tbody>
</table>

Data Validation Policy - Attachment I - PIRL Elements Required for WIOA Title I, WIOA Title III, and TAA Data Validation
<table>
<thead>
<tr>
<th>Performance</th>
<th>Data Element Number</th>
<th>Data Element Name</th>
<th>Data Element Definitions / Instructions</th>
<th>Required Elements by Program (R = Required)</th>
<th>WIOA Source Documentation</th>
</tr>
</thead>
</table>
| 1900        | Youth 2nd Quarter Placement (Title I) (WIOA) | Record 1 if the participant is enrolled in occupational skills training (including advanced training). Record 2 if the participant is enrolled in postsecondary education. Record 3 if the participant is enrolled in secondary education. Record 0 if the participant was not placed in any of the above conditions. | R | One of the following:  
- Cross-match with other agencies  
- Copy of registration record  
- File documentation with notes from program staff  
- School records  
- Transcript or report card  
- Vendor/training provider training documentation |
| 1901        | Youth 4th Quarter Placement (Title I) (WIOA) | Record 1 if the participant is enrolled in occupational skills training (including advanced training). Record 2 if the participant is enrolled in postsecondary education. Record 3 if the participant is enrolled in secondary education. Record 0 if the participant was not placed in any of the above conditions. | R | One of the following:  
- Cross-match with other agencies  
- Copy of registration record  
- File documentation with notes from program staff  
- School records  
- Transcript or report card  
- Vendor/training provider training documentation |

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<th>WIOA Source Documentation</th>
</tr>
</thead>
</table>
| 1910          | Category of Assessment#1 | | Record 1 if the participant was assessed using approved tests for Adult Basic Education (ABE) Record 2 if the participant was assessed using approved tests for English as a Second Language (ESL) Record 3 if the participant was assessed using approved tests for both ABE and ESL. Record 0 if the participant was not assessed. Leave blank if this data element does not apply to the participant. | R | One of the following:  
- Copy of Assessment Test Results  
- Vendor Receipt for Testing