



EMPLOYMENT AND TRAINING ADMINISTRATION
UNITED STATES DEPARTMENT OF LABOR



Apprenticeship Grants Reporting Overview

OA Grants WIPS Presentation Series:
Presentation #1

December 1, 2020



Today's Speakers

Marcia Hampton

Grants Team Supervisory Analyst
Office of Apprenticeship



Jessica Diep

Program Analyst
Office of Apprenticeship

Andrea Hill

Program Analyst
Office of Apprenticeship

Evan Rosenberg

Program Analyst
Office of Workforce Investment,
Division of Youth Services



Today's Objectives

- ✓ Discuss key components of the performance reporting policy.
- ✓ Provide an overview of data collection requirements.
- ✓ Describe how information is reported through Quarterly Progress Reports and Final Performance Reports.
- ✓ Identify key dates for submitting Quarterly Progress Reports and Final Performance Reports.



Am I on the right training?

GRANT NUMBER Starts w/ AP-####

Who should be here?

- Grant leadership
 - Authorized Representative
 - Point of Contact
- Grant management staff
- Grant performance staff





Who is here?

If you haven't already introduced yourself in chat, please do so now – and please tell us in the poll what your grant role is ...

- 1. Prime grantee Authorized Representative**
- 2. Prime grantee Point of Contact**
- 3. Prime grantee grant management staff**
- 4. Prime grantee performance staff**
- 5. Partner organization staff**

Introduction

Reporting vs Performance

Reporting

the act of gathering activity data and transmitting to DOL



Performance

after data analysis, the comparison of how well a grant is progressing towards its goals



Overview of Participant Tracking and Reporting

Reporting standardizes data from grantees to align performance indicators and requirements across DOL ETA programs.

Progress reports provide detailed information and performance accountability about grant activities, including:

- Grant outcomes
- Project Timelines
- Strategic partnership activities
- Promising practices
- Technical assistance needs
- Success stories
- Leveraged resources



Why is Progress Reporting Important?

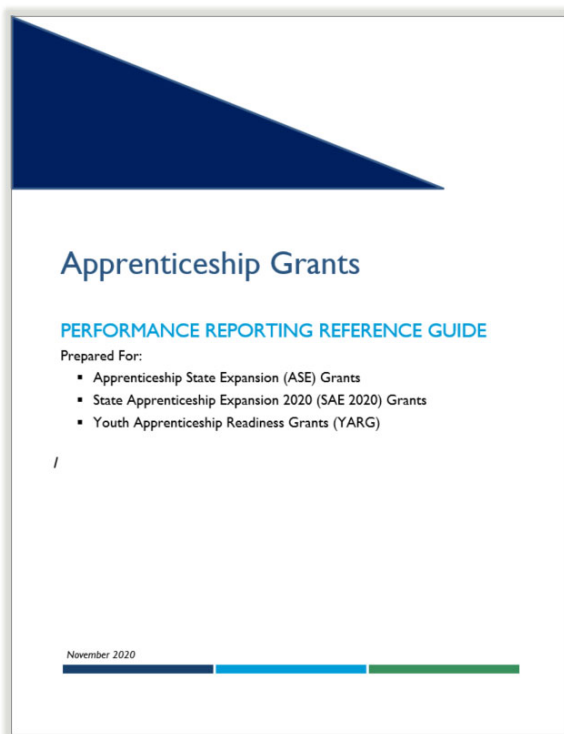
Consistent, accurate performance reporting enables grantees and the USDOL Office of Apprenticeship to:

- ▶ Demonstrate grant outcomes to stakeholders, funders, and partners.
- ▶ Illustrate ROI to employer partners.
- ▶ Build additional strategic partnerships and leverage resources.
- ▶ Support project and partnership sustainability.
- ▶ Improve continuously to meet the needs of sponsors and apprentices.
- ▶ Report successes to Congress, Administration, OMB, GAO, etc.



Reference Guide

Available with the related materials on the main registration page later in series



- ▶ The guide contains more detailed information regarding policy and procedure than is covered in this reporting training
- ▶ Provides Tools and Policy relating to reporting and performance
- ▶ For specifics regarding WIPS please use these PowerPoints and the associated resources as outlined through this series

Reference Guide (2)

Basic Structure and Content

- ▶ Introduction and Background information
- ▶ Reporting requirements and resources
- ▶ Basic Definition of Terms
- ▶ Appendices
 - ▶ Processes
 - ▶ Participant Files TIPS
 - ▶ PIRL Data Elements
 - ▶ Apprenticeship Schema, Valid Values, Logic Values
 - ▶ WIPS TIPS

Reporting Policy

Overview of Reporting Policy

- ▶ Grantees are required to submit quarterly progress reports to DOL/ETA to comply with the reporting and record keeping requirements of the grant agreement. These reports consist of:
 - ▶ **Quarterly Performance Report (QPR)**, grant outcomes for the quarter
 - ▶ **Quarterly Narrative Report (QNR)**, describing grant activities during the quarter
 - ▶ **Quarterly Financial Report (QFR)**, reporting expenditures, drawdowns and obligations for the quarter
- ▶ These standardized reports provide an opportunity for DOL to observe grant efficacy – by aligning performance reporting definitions, processes and procedures across the Department's employment and training programs





Data Management System Readiness

Please tell us the stage of development your reporting system is in or whether you are using the WIOA reporting system (if you are a STATE only) ...

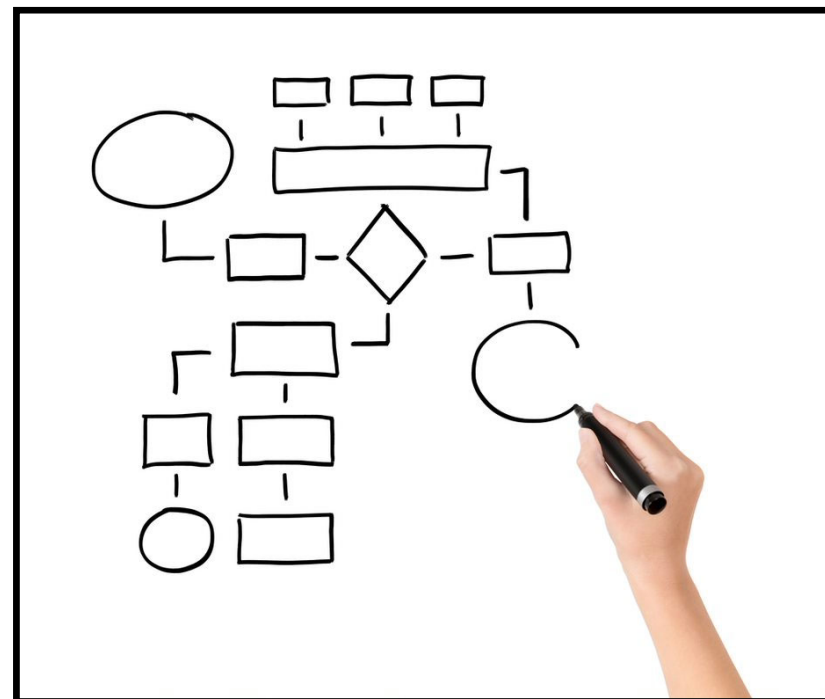
- 1.** We have been waiting for this training to start development
- 2.** We have been waiting for this training to finish development
- 3.** We have a system already in place, but still need to revise data elements based on this training
- 4.** We are good to go with our system
- 5.** We are using our State's Title I WIOA reporting system
- 6.** What?

Establishing Your Process for Reporting

Reporting should reflect the good work and impact your grant activities are having on the workforce.

To accurately and effectively track participants, there are a few things grantees must do:

- Determine participant eligibility
- Collect participant data at intake
- Track participant data through case management processes
- Update participant data in the participant data tracking system as they progress

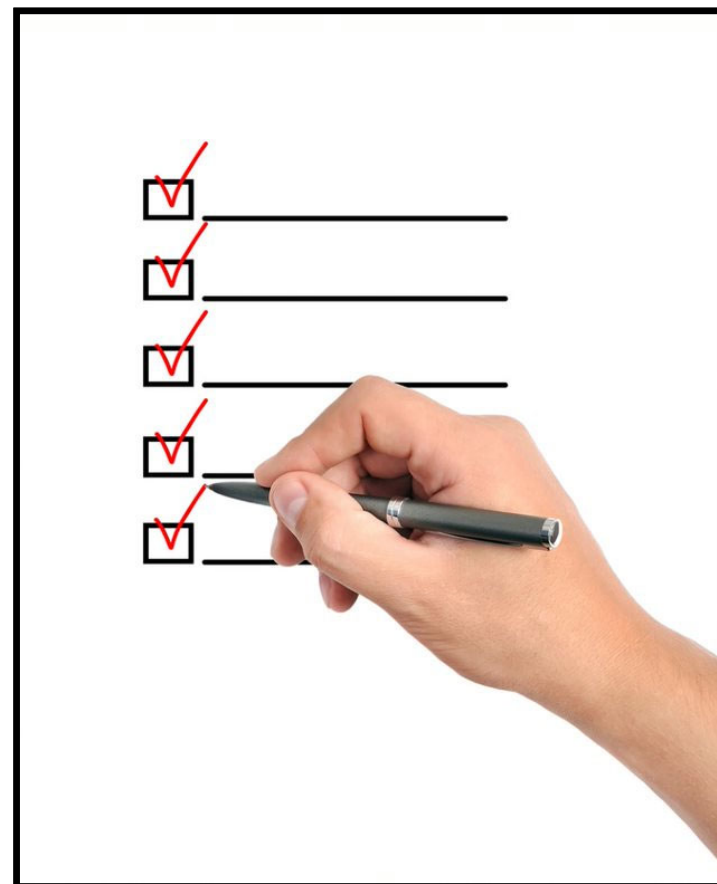


Determining Participant Eligibility

Before collecting participant data, establish whether an individual is eligible for your grant program and activities

As part of your process to determine participant eligibility, ask the following questions:

- Is the individual eligible based on:
 - the grant funding vehicle (FOA or TEGL)?
 - your current Statement of Work (SOW) as submitted to DOL?
- Are pre-requisite education/skills needed to be eligible for the training offered?



Tips for Collecting and Tracking Participant Data

These tips will help improve the data collection process between program grantees, employer partners, and education and training providers:

- ▶ Develop or procure an electronic case management system that can be securely accessed by appropriate staff and program partners to support your data collection and reporting efforts.
- ▶ Provide training to all partners to ensure consistency in data & understanding of:
 - ▶ The PIRL
 - ▶ Definition of key data elements and how they are reported for a participant
 - ▶ Grant performance outcomes in the SOW



Tips for Collecting and Tracking Participant Data, continued

These tips will help improve the data collection process between program grantees, employer partners, and education and training providers:

- ▶ The electronic case management system should have the capability to capture information about each participant receiving grant-funded services and track their outcomes.
- ▶ The electronic case management system should capture the participant's progress throughout the life of the grant.
 - ▶ Including program begin and end dates, measurable skill gains and credential attainment, and other data elements needed to report outcomes.



Tips for Collecting and Tracking Participant Data, continued (2)

These tips will help improve the data collection process between program grantees, employer partners, and education and training providers:

- ▶ Ensure relevant partners (both program and training partners) understand why certain information is collected, where it is sent, and for what purpose.
- ▶ Add disclaimer language and guidance to the program enrollment process/intake forms so participants will understand why certain information is being collected on them.
- ▶ Develop/revise your participant enrollment/intake forms to align with the data elements.



Collecting Personally Identifiable Information (PII)

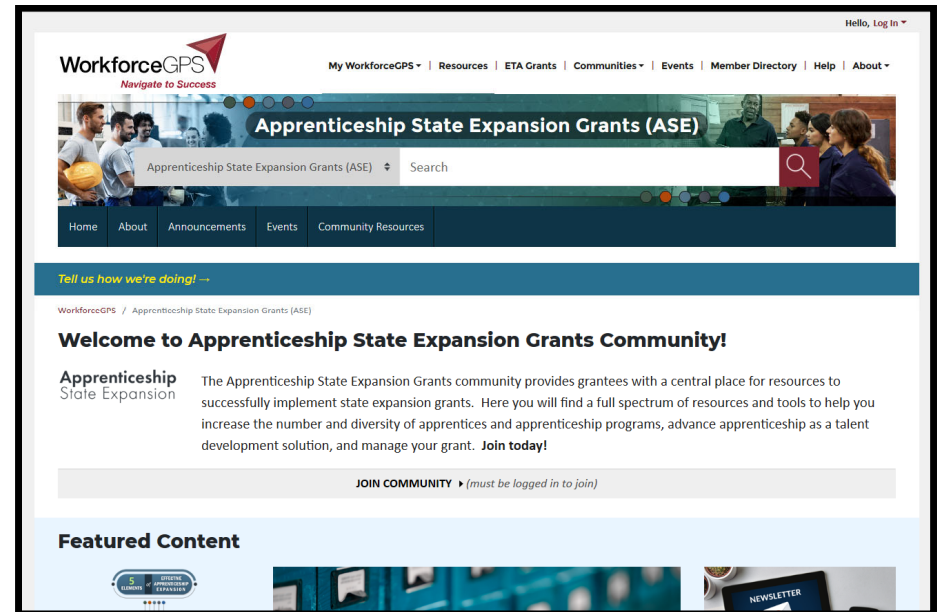
- ▶ PII is information that can be used to distinguish or trace an individual's identity.
- ▶ AP grantees collect SSNs for all participants served with grant funds and report outcomes to ETA.
 - ▶ Participant intake forms should include disclaimer language around the collection of SSNs!
- ▶ Grantees must **always** protect PII during collection, storage, transmission, and disposal.
- ▶ For more information, access **Guidance on the Handling and Protection of PII** at:
[https://wdr.doleta.gov/directives/attach/TEGL/TEGL 39 11 Acc.pdf](https://wdr.doleta.gov/directives/attach/TEGL/TEGL%2039%2011%20Acc.pdf).



Additional Information on Reporting - ASE

Visit the ASE Grants Community at <https://ase.workforcegps.org/> for the following:

- ▶ Access to featured content, including:
 - ▶ Downloadable desk references and tip sheets
 - ▶ Webinars/Webchats
 - ▶ Newsletters
 - ▶ Links to additional WFGPS resources
- ▶ Event details
- ▶ Announcements
- ▶ Resources



Additional Information on Reporting – SAE2020

Visit the SAE2020 Resource Page at

<https://apprenticeship.workforcegps.org/resources/2020/09/14/18/49/State-Apprenticeship-Expansion-2020-SAE-2020-Grant-Resources> for the following:

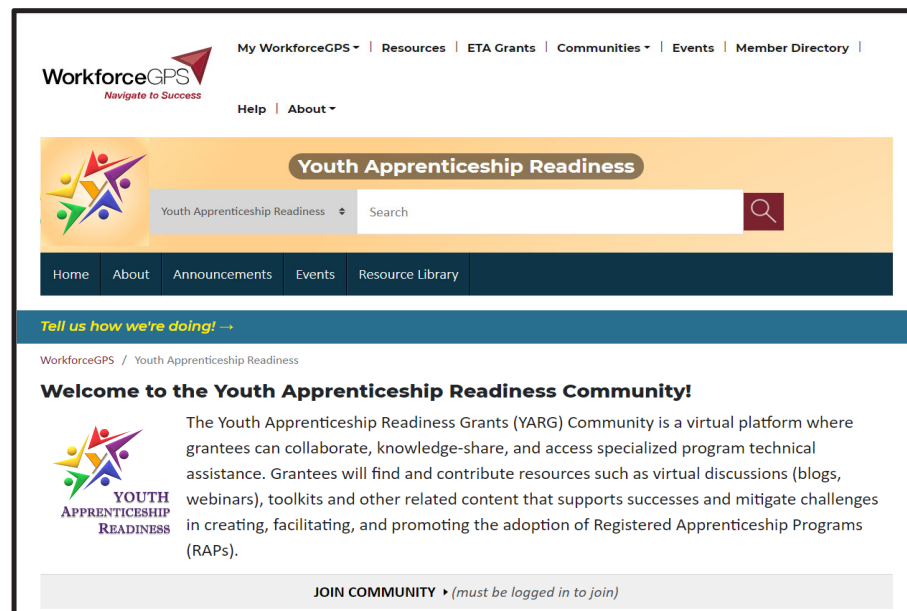
- ▶ Access to featured content, including:
 - ▶ Downloadable desk references and tip sheets
 - ▶ Links to additional WFGPS resources
- ▶ SAE2020-specific Event details
- ▶ Announcements



Additional Information on Reporting - YARG

Visit the YARG Grants Community at <https://YouthASReady.workforcegps.org/> for the following:

- ▶ Access to featured content, including:
 - ▶ Downloadable desk references and tip sheets
 - ▶ Webinars/Webchats
 - ▶ Newsletters
 - ▶ Links to additional WFGPS resources
- ▶ YARG Event details
- ▶ Announcements
- ▶ Resources



Data Collection Requirements

Who is a participant in Apprenticeship Grants?



▶ Participants (Reported in the QPR)

- ▶ Registered Apprentices who receive grant-funded OJL/RTI/Supportive Services*
- ▶ Pre-apprentices who receive grant-funded programming or services**

▶ The following information is reported on the QNR**:

- ▶ Registered Apprentices who enroll in a program demonstrably developed with grant funds

▶ Do not include:

- ▶ Statewide population of registered apprentices
- ▶ Individuals who participate only in outreach and career exploration events

* Supportive services alone do not designate a participant, individuals must be appropriately receiving training from some DOL/ETA grant

** Check funding vehicle for definition of who counts towards program outcome goals

Overview of Data Collection Requirements

Grantees are required to collect and report on the following:



Participant-level data for all participants who receive grant-funded services.



Training outcomes for all participants.



Performance follow-up and tracking activities during the period of performance.

Overview of Participant Individual Record Layout (PIRL) Data Elements

Data elements for the Full DOL-only PIRL, which includes all programs reporting under WIPS

OMB Control Number 1205-0521
Expiration Date: 06-30-2023

ETA- 9172

DATA ELEMENT NO.	DATA ELEMENT NAME	DATA TYPE/ FIELD LENGTH	DATA ELEMENT DEFINITIONS/INSTRUCTIONS	CODE VALUE	REQUIREMENTS BY PROGRAM OF PARTICIPATION ¹																
					able Individual ²	igner-Payer	MOA Adults	MOA Youth	located Worker Grants (DWG)	TAA	al Farmworker Program (NFJP)	an and Native rican Program (INA)	ty Employment rtunities (REG) (Adult)	ty Employment rtunities (REG) (Youth)	YouthBuild	Veterans' State rants (VMSG)	H1B	Job Corps	mbent Worker (IDW Funded)	SCSEP	renticeship

- ▶ Grantees must collect and report on participant-level data for all participants who receive grant-funded services beyond a determination of eligibility.
- ▶ PIRL describes data elements that enable DOL to collect information required to assess the performance of Federal investments for various training and employment programs.
- ▶ PIRL data elements include a number, name, field type and length, definition and instruction, and code values.

Key Data Elements Sections

1

PIRL Section A: Individual Information

2

PIRL Section B: Program Participant Information

3

PIRL Section C: Services and Activities

4

PIRL Section D: Program Outcomes Information

5

PIRL Section E: Program Specific Data Elements (titled: New Data Elements and Miscellaneous Data Elements)

Reporting Your Information

Reporting Requirements

Grantees are required to submit the following reports to ETA:

1. Quarterly Progress Reports
 - Quarterly Performance Report (QPR)
 - Quarterly Narrative Report (QNR)
 - Quarterly Financial Report (ETA-9130)
2. *ASE grantees only: Annual Report*
 - *Narrative report on the Statewide activity beyond just this grant*
3. Final Report



Quarterly Performance Report (QPR)

- ▶ Data upload into WIPS and QPR then generated
- ▶ Quantitative report of all participants served by grant activities
- ▶ Quarterly aggregate of individual participant records
- ▶ Used to communicate performance outcomes for the current quarter and cumulative quarters.



Quarterly Narrative Report (QNR)

- ▶ Currently submitted via .docx form template to the associated program mailbox
 - ▶ (will be in WIPS in future)
- ▶ Written report that reflects grant program activities during the reporting quarter
- ▶ A place to report information not reflected in the QPR
- ▶ Used by DOL to identify grantee technical assistance needs
- ▶ Highlights accomplishments and **success stories from the current quarter**



Annual Report – ASE Grantees only

- ▶ Submitted via e-mail Format of the grantee's choice, not to exceed 25 pages (timeline/workplan does not count against page total – no other attachments should be included)
- ▶ Provides analysis of industry sectors and occupations participating in Registered Apprenticeship
- ▶ Update the workplan to include key goals and milestones for the coming year
- ▶ Can address all apprenticeship activity in the State, and the inter-relationship and wider impact of all grants



Final Performance Report

- ▶ The Quarterly Progress Report submitted for the last reporting quarter at the end of the grant
- ▶ Provides quarterly and cumulative information regarding the grantee's activities for the entire grant period of performance
- ▶ Summarizes grant activities, employment outcomes, deliverables, and other related results
- ▶ Documents the training approaches used by the grantee



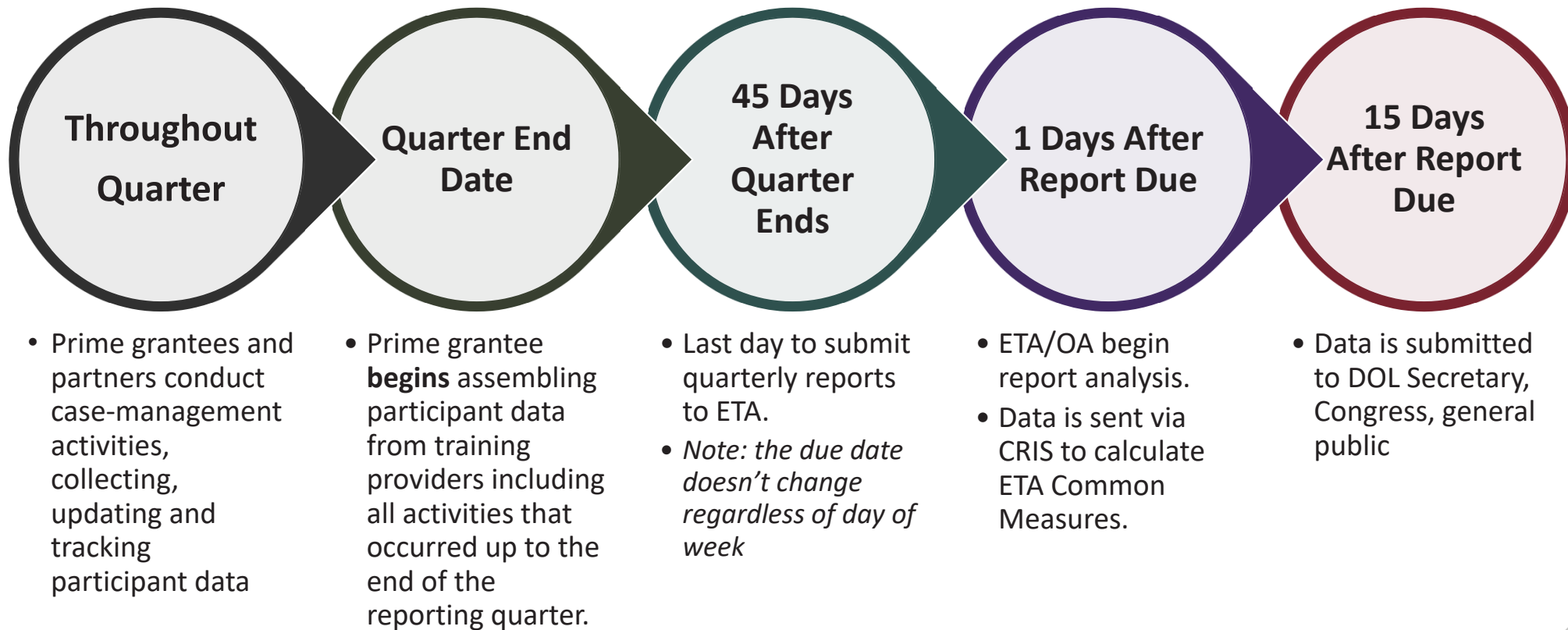
An Important Note!

The QPR, QNR, Annual Report, and Final Performance Report are separate from and in addition to any financial reports you must submit.



Reporting Timelines

Quarterly Reporting Cycle



Quarterly Progress Report Deadlines




Grantees must submit a Quarterly Progress Report no later than 45 days after the end of a quarter.

Note: the due date doesn't change regardless of day of week

Quarter Start Date 	Quarter End Date 	Report Submission Due Date 
January 1	March 31	May 15
April 1	June 30	August 14
July 1	September 30	November 14
October 1	December 30	February 14

Annual Progress Report Deadlines – ASE Grants ONLY

Grantees must submit an Annual Progress Report no later than 30 days after the end of each program year.

Year Start Date 	Year End Date 	Report Submission Due Date 
July 1	June 30	July 30

Who Should be Aware of Key Reporting Dates?

- ▶ Grant leadership
 - ▶ Authorized Representative
 - ▶ Point of Contact
- ▶ Grant management staff
- ▶ Grant performance staff
- ▶ Case management personnel
- ▶ Service and training providers
 - ▶ Including any sub-grantees





Any Questions?





Contact Us

WIPS Reporting Questions

OAGrants.WIPS@dol.gov

WIPS Technical Assistance

 [https://www.doleta.gov/performance/wips/WIPS Technical Assistance Request.cfm](https://www.doleta.gov/performance/wips/WIPS_Technical_Assistance_Request.cfm)



Thank You

