

TEIN 15-98 Attachment B

STANDARDIZED PROGRAM INFORMATION REPORT (SPIR)
FORMAT INSTRUCTIONS AND DEFINITIONS

General Instructions. The Governor will collect and maintain a core set of socioeconomic, program participation and outcome information on each applicant/participant in programs funded under Title II-A (77% state allocation and 5% incentives), Section 204(d), Title II-C (82% state allocation and 5% incentives) and Title III of the Job Training Partnership Act (JTPA). Also, the Governor will transmit to the national office of the Department of Labor this information for participants who have terminated from these programs during any given program year.

The following instructions provide the format and the definitions that will be used to transmit the terminnee information each year.

Participant data for all participants who have terminated during the program year and the last quarter of the previous program year must be transmitted by August 15. These records must be complete in all respects, except for follow-up information for the fourth quarter of the program year. States using wage record based follow-up should refer to Section S for data submission timelines.

NOTE: In accordance with the instructions in Training and Employment Guidance Letter 9-97, ETA will now firmly observe December 1 as the final cutoff date for States' submission of the previous year's SPIR data revisions. ETA's public information and analysis of JTPA performance including the Governor's "Performance Report Card" will be based on data received by December 1. Submissions received after that date will not be used for purposes of analyzing JTPA performance, testimony, public discussion and dissemination of performance data and findings.

In addition, States should note that by September 30 following the end of the program year, a Performance Status Summary Report (PSSR) (see Training and Employment Guidance Letter 2-95) is required. For data validation purposes, the aggregate performance data in the PSSR may be cross-checked with SDAs' performance data calculated from SPIR records. States should ensure that the two sources of performance data (PSSR and SPIR) validate each other, and may want to submit revised reports by the specified deadlines for this purpose (or others).

Data Items and Definitions. The data items in this system and their associated definitions are designed to provide information

about program application and participation. Though efforts have been made to make definitions consistent with those used for other purposes, these definitions are not required to be used for program eligibility determination nor do they, in any way, reduce the Governor's authority to establish certain definitions that affect program eligibility.

Beginning on the effective date of this reporting system, July 1, 1993, Items 1 through 10 are to be collected and retained for all applicants (eligible and ineligible) under Titles II-A, Section 204(d) (Older Workers), II-C and III of the JTPA program. These records must be retained for a period of time that is consistent with requirements issued by the Directorate of Civil Rights. For applicants who do not become participants these data may be maintained as hard copy (paper) records.

Items 1 through 39, as appropriate, are to be collected and reported for all eligible applicants who become participants under these titles. In addition, Items 40 through 42 and/or Items S1 through S13 should be reported in accordance with the postprogram follow-up methodology of the reporting State.

Data reported on socioeconomic characteristics of terminees (SPIR Items 5-8, 13-22, 25, and 26) should be based on information collected and/or confirmed at time of eligibility determination unless otherwise indicated. For example, reading and/or math scores determined during objective assessment comply with this requirement.

NOTE: A separate SPIR record transmission is required for EACH JTPA title/subprogram of participation, as indicated below:

- Title II-A (adults)
- Section 204(d) (older workers)
- Title II-C (youth)
- Title III Governor's Reserve
- Title III Substate recipient
- Title III National Reserve
- Title II-A 5% exempt from performance standards
- Title II-C 5% exempt from performance standards

NOTE: Participants 55 years of age or over may be served in activities funded under Title II-A or Section 204(d) or both. It should be understood that the performance standards for these programs differ.

Participants in the following programs are to be excluded from the SPIR:

- Title I Section 123 (education coordination)
- Title II-B (summer youth)
- Defense Conversion Adjustment Program (DCAP)

Defense Diversification Program (DDP)
Clean Air Employment Transition Assistance (CAETA) Program

SDAs should NOT terminate from Title II-C individuals who participate in the Title II-B Summer Program or who are between school semesters, unless they are NOT expected to return to Title II-C for further employment, training and/or services funded (or provided for) under that title.

Instructions for Standardized Program Information Report

SECTION I. IDENTIFICATION/CHARACTERISTICS OF APPLICANT

1. State/SDA/SSA name. (This information is optional; states/SDAs/SSAs are not required to input data for this field.) Record the name of the entity reporting this record as indicated below:

- Title II-A - SDA name
- Title II-C - SDA name
- *Sec. 204(d) - State name
- Title III: *Governor's Reserve - State name
- Substate Area - SSA name
- *Secretary's Natl. Reserve - State name

2. ETA-assigned SDA/SSA/Statewide code. Record the ETA-assigned identification code (00000) for the appropriate program area using the State FIPS code plus SDA, SSA or national program code as indicated in the example below:

- Title II-A - 36005
- Title II-C - 36005
- *Sec. 204(d) - 36777
- Title III: *Governor's Reserve - 36888
- Substate Area - 36005
- *Secretary's Natl. Reserve - 36999

*SPECIAL NOTE: The designations 777, 888 and 999 are to be used with the appropriate FIPS State code for the State programs indicated above. While subrecipients receiving funds from a State-administered program may be an SDA, SSA, other State/local agency, or a private organization, these are considered State programs for recording the information required in SPIR Items 1 and 2.

- 2a. National Reserve Grant Number. Record the 4-digit Grant Number assigned by ETA to the national reserve program. The National Reserve grant number is made up of the last four digits of the original Notice of Obligation (NOO) number assigned to the project (e.g., if the NOO number is 41-95-02, the SPIR entry is 9502.) If additional NOO numbers are assigned to the same project due to increasing the funds for the project, participants should continue to be enrolled in the project's original NOO number. Note: If an individual is coenrolled in two or more National Reserve grants, a SPIR record must be submitted for each Project that is current at the time this data element is implemented.
3. Social Security number. Record the individual's Social Security number (000000000). A pseudo-SSN may be assigned during intake if the applicant has no SSN or refuses to provide it, but a valid SSN for such individual must be

obtained and recorded prior to termination and record transmittal.

4. Date of application. Record the date (MMDDYYYY) on which the individual applied for this entry into the JTPA program.
5. Date of birth. Record the date (MMDDYYYY) of birth of the individual.
6. Gender. Record 1 for male or 2 for female.
7. Race/ethnicity. Record the code (1,2,3,4,5, or 6) indicating the individual's race/ethnic group(s) for each of the following categories:

1 White (Not Hispanic). A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

2 Black or African American(Not Hispanic). A person having origins in any of the black racial groups of Africa.

3 Hispanic or Latino. A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin (including Spain), regardless of race. NOTE: Among persons from Central and South American countries, only those who are of Spanish origin, descent, or culture should be included in the Hispanic category. Persons from Brazil, Guiana, and Trinidad, for example, would be classified according to their race, and would not necessarily be included in the Hispanic category. Also, the Portuguese should be excluded from the Hispanic category and should be classified according to their race.

4 American Indian or Alaska Native (Not Hispanic). A person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.

5 Asian(Not Hispanic). A person having origins in any of the original people of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan), or the Pacific Islands. This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Samoa, Thailand, and Vietnam.

6 Native Hawaiian or Other Pacific islander (Not Hispanic). A

person having origins in any of the original people of Hawaii, Guam, Samoa, or other Pacific islands.

8. Individual with a disability. Any individual who has a physical (motion, vision, hearing) or mental (learning or developmental) impairment which substantially limits one or more of such person's major life activities and has a record of such an impairment, or is regarded as having such an impairment. Record the code (1 or 2) as follows:

- 1 Yes, the individual has such an impairment that does result in a substantial barrier to employment.
- 2 Yes, the individual has such an impairment that does not result in a substantial barrier to employment.
- 3 No, the individual has no disability.

NOTE: Option 1 is the definition in Section 4(10)(A) of the Act. Options 1 or 2 satisfy the requirements of the Americans with Disabilities Act.

9. Date of eligibility determination. Record the date (MMDDYYYY) on which the individual was determined eligible or ineligible for the JTPA program.
10. Determined eligible for. Record **all** the appropriate code(s) (0000) that apply.
- 1 Title II-A (adults)
 - 2 Section 204(d) (older workers)
 - 3 Title II-C (youth)
 - 4 Title III (Governor's reserve, substate recipient, or national reserve)
 - 5 none
 - 6 Title II-B (summer youth)
 - 7 Title I, Section 123 (education coordination)

Note: Codes 6 and 7 have been added so that eligibility for Title II-B and Title I, Section 123 can be reported; however, any individual eligible for these codes ONLY is not to be included in a SPIR transmission.

SECTION II. CHARACTERISTICS OF PARTICIPANT

11. Date of participation. Record the date (MMDDYYYY) on which the individual began to receive JTPA-funded program services AFTER initial screening for eligibility and suitability and

eligibility determination. For Title II only, objective assessment to determine service strategy or employment goals is considered the initial program service; therefore, the date of participation must be the same date as objective assessment begins. Objective assessment is an independent evaluation of the capabilities, needs, and vocational potential of a participant. For Title III only, an eligible applicant becomes a participant upon receipt of any Basic Readjustment Service (other than outreach, intake, and initial assessment/screening) and/or Retraining.

12. Program of participation. Record the appropriate code.

- 1 Title II-A (adults)
- 2 Section 204(d) (older workers)
- 3 Title II-C (youth)
- 4 Title III Governor's reserve
- 5 Title III substate grantee
- 6 Title III national reserve
- 7 Title II-A 5% exempt from performance standards
- 8 Title II-C 5% exempt from performance standards

An individual must be age eligible at the time of INITIAL PARTICIPATION IN THESE JTPA PROGRAMS:

Title II-A	Age 22 or older	(Sec. 628.605)
Title II-B	Age 14 - 21	(Sec. 628.702)
Title II-C	Age 14 - 21	(Sec. 628.803)
Sec. 204(d)	Age 55 or older	(Sec. 204(d)(5)(A) & (7))

Individuals in the above Title II programs become participants on the day objective assessment begins or on the day of initial receipt of other post-intake activity, whichever is earlier. In Titles II-A/C and in Section 204(d), the date of participation must be within 45 days of the date of eligibility determination and the individual must then be age eligible.

12a. Concurrent participation. Record 1 for Yes or 2 for No indicating whether or not the participant's Individual Service Strategy (ISS)/Employability Development Plan (EDP) results in concurrent participation in each of the following programs.

- 12a1. JTPA II-A, 204(d), II-C
- 12a2. JTPA III
- 12a3. JTPA I, Section 123 (8%)
- 12a4. JTPA II-B
- 12a5. JTPA IV
- 12a6. Trade Adjustment Act (TAA)

12a7. NAFTA-TAA

12a8. Non-JTPA (Optional; data is not required in this field)

It is not intended that all of the information for this item will be available at the time of enrollment but will be updated when necessary during the participant's enrollment. Individuals may be concurrently enrolled when their ISS/EDP calls for services funded by several programs or titles. When individuals enrolled in JTPA Title II or III receive services from other programs, they may continue to be enrolled in the JTPA program even if they do not receive JTPA-funded services, as long as they continue to receive services under the other programs, as discussed in Appendix C.

13. Economically disadvantaged (Title II only). Record 1 for Yes or 2 for No indicating whether or not the participant:

(1) receives, or is a member of a family which receives, cash welfare payments under a federal, State or local welfare program;

(2) has, or is a member of a family which has, received a total family income for the six-month period prior to application, in relation to family size and location, that when ANNUALIZED did not exceed either:

(a) the official poverty guideline as defined by the Department of Health and Human Services (HHS) and revised annually in accordance with Section 673(2) of the Omnibus Budget Reconciliation Act of 1981 (42 U.S.C. 9902(2)); or

(b) 70 percent of the lower living standard income level, whichever is greater;

(3) is receiving, or has been determined eligible to receive in the 6-months prior to application, Food Stamps pursuant to the Food Stamp Act of 1977;

(4) qualifies as a homeless individual under (a) and (c) of section 103 of the Stewart B. McKinney Homeless Assistance Act;

(5) is a foster child on behalf of whom state or local government payments are made;

(6) is an individual with a disability who meets the requirements of (1) or (2) above, but who is a member of a family which does not meet such requirements.

SPECIAL NOTE: Special rule for older individuals

(204(d)(5)(B): (i) An individual who is not economically

disadvantaged shall be eligible to participate in a job training program under this subsection if the individual faces serious barriers to employment, is an older individual, and meets income eligibility requirements under title V of the Older Americans Act of 1965 (42 U.S.C. 3056 et seq.);(ii) Not more than 10 percent of all participants in a program assisted under this subsection shall be individuals who are not economically disadvantaged.

An SDA may establish written financial or nonfinancial agreements with sponsors of programs funded under Title V of the Older Americans Act (OAA) to carry out joint programs. Pursuant to these agreements, individuals eligible under title V of the Older Americans Act shall be deemed to satisfy the economically disadvantaged requirements of the JTPA.

For reporting purposes, record a 1 for Yes in this item if a youth becomes a participant based on any of the following conditions:

An in-school youth also shall be eligible to participate in programs funded under Title II-C if such individual is: (a) participating in a compensatory education program under Chapter I of Title I of the Elementary and Secondary Education Act of 1965; or (b) has been determined to meet the eligibility requirement for free meals under the National School Lunch Act during the most recent school year. (Most recent school year means the current school year unless the eligibility determination is made during an interim period between school terms, in which case the term means the preceding school year); or (c) the individual is enrolled in a school-wide project for low-income schools.

14. Public assistance recipient . Record 1 for Yes or 2 for No indicating whether or not the participant is listed on the grant and/or is receiving assistance under each of the following programs at time of application or at program exit. Public assistance recipients may also include participants who were referred by the TANF agency, participated in the TANF assessment program as a requirement prior to opening a TANF grant, and who received support services from the TANF agency. When not used for eligibility determination, self-reported information will be accepted. **Do not include foster child payments.**

- 14a. Temporary Assistance to Needy Families (TANF) . Also include individuals receiving Aid to Families with Dependent Children (AFDC) at application
14b. General Assistance (GA) (State/local government)
14c. Refugee Cash Assistance (RCA)

- 14d. Supplemental Security Income (SSI) (SSA Title XVI)
- 14e. Food stamps (Food Stamp Act of 1977)

NOTE: Record 1 for YES for **every** public assistance program from which the individual is receiving assistance.

15. Family status. Record the code (1, 2, 3 or 4) describing the participant's family status from among the following categories. There may be specific cases that do not technically fit into a single category. For these cases record the designation that seems most appropriate. (The following categories of family status are meant to be descriptive and do not necessarily have a direct bearing on eligibility determination.)

- 1 Parent in one-parent family. An individual who has sole custodial support for one or more dependent children.
- 2 Parent in two-parent family. An individual who, with another family member, shares custodial support for one or more dependent children.
- 3 Other family member. An individual who is living with his/her family of two or more persons and not indicated in 1 or 2 above.
- 4 Not a family member. An individual who is not living with his/her family.

16. Number of participant's dependents under age 18. Record the number (00) of the participant's dependents under age 18.

17. Highest school grade completed. Enter the highest school grade completed (00) by the individual, using the following codes:

- 00 No school grade completed
- 01-11 Number of elementary/secondary grades completed*
- 12 High school graduate
- 99 Attained certificate of equivalency for a high school degree
- 13-15 If a high school graduate or equivalent, the number of school years completed including college, or full-time technical or vocational school
- 16 Bachelor's degree or equivalent
- 17 Education beyond the Bachelor's degree

***Note:** Participants who completed 12th grade but did not receive a diploma or equivalent are to be coded "11".
Participants with a disability who received a Certification of Completion or an IEP Diploma are also to be coded as

"11".

17a. Currently enrolled in and attending school. Record the appropriate code (1, 2 or 3) for the participant from the following:

- 1 Yes, is currently enrolled in and attending school or is between school terms and intends to return to school, but is not expected to participate in a schoolwide project, as specified in Sec. 263(g);
- 2 Yes, is currently enrolled in and attending school and is expected to participate in a schoolwide project as specified in Sec. 263(g);
- 3 No, is not currently enrolled in and attending school.

17b. Currently enrolled in and attending school full-time. If Item 17a. is 1 or 2 for Yes, record the appropriate code (1, 2 or 3) for the participant from the following:

- 1 Yes, is currently enrolled in and attending school full-time as defined by State educational agency guidelines, but is not in an alternative school;
- 2 Yes, is currently enrolled in and attending school full-time in an alternative school;
- 3 No, is not currently enrolled in and attending school full-time.

NOTE: Alternative school -- a specialized, structured curriculum offered inside or outside of the public school system which may provide work/study and/or GED preparation.

18. Veteran status. Record 1 for Yes or 2 for No indicating whether or not the participant is a person who (A) served on active duty in the military service (of the U.S.) for a period of more than 180 days and who was discharged or released with other than a dishonorable discharge or (B) was discharged or released from active duty because of a service-connected disability or (C) was discharged as a member of a reserve component under an order to active duty pursuant to Section 672(a), (d), or (g), 673, or 673b of Title 10, who served on active duty during a period of war or in a campaign or expedition for which a campaign badge is authorized and was discharged from such duty with other than a dishonorable discharge. (38 U.S.C. 2011(4))

18a. Vietnam era veteran. Record 1 for Yes or 2 for No indicating whether or not the participant is a veteran, any part of whose active military, naval or air service occurred

during the Vietnam era. Vietnam era means:

- (A) The period beginning on February 28, 1961 and ending on May 7, 1975, in the case of a veteran who served in the Republic of Vietnam during that period, and
- (B) The period beginning on August 5, 1964 and ending on May 7, 1975, in all other cases.

18b. Disabled veteran. Record 1 for Yes or 2 for No indicating whether or not the participant is a veteran who is entitled to compensation for a disability under laws administered by the Department of Veterans' Affairs, or who was discharged or released from active duty because of a service-connected disability.

19. Labor force status. Record the code (1, 2, or 3) indicating which of the following classifications best describes the individual's labor force status at the time of application.

- 1 Employed. An employed individual is one who, during the 7 consecutive days prior to application, did any work at all as a paid employee, in his or her own business, profession or farm, worked 15 hours or more as an unpaid worker in an enterprise operated by a member of the family, or is one who was not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time-off, and whether or not seeking another job.
- 2 Unemployed. An unemployed individual is one who did not work during the 7 consecutive days prior to application, who made specific efforts to find a job within the past 4 weeks prior to application, and who was available for work during the 7 consecutive days prior to application. Also included as unemployed are those who did not work, and (a) were waiting to be called back to a job from which they had been laid off, or (b) were waiting to report to a new wage or salary job scheduled to start within 30 days.
- 3 Not in labor force. An individual not in the labor force is a civilian 14 years of age or over who did not work during the 7 consecutive days prior to application for a JTPA program and is not classified as employed or unemployed.

20. Number of weeks unemployed during the prior 26 weeks. Record the number (00) of weeks an individual was unemployed during the 26 weeks immediately prior to application (refer to definition in Item 19.). Record this information whether

or not the individual is unemployed at the time of application. If the individual was "not in the labor force" for this 26-week period, leave this field blank--do not record spaces or zeroes.

21. Unemployment Insurance (UI) compensation status. Record the code (2, 3, 4, 5, or 6) indicating which of the following classifications best describes the individual's U.I. claimant status at the time of application. The terms "profiling status" or "profiled" refer to whether or not the individual has been determined to be likely to exhaust his/her unemployment benefits under the Worker Profiling and Reemployment Services (WPRS) system.
- 2 Exhaustee. An individual who has exhausted all U.I. benefit rights for which the applicant has been determined monetarily eligible, including extended supplemental benefit rights.
 - 3 None.
 - 4 Claimant, not profiled and referred. An individual who has filed a claim and has been determined monetarily eligible for benefit payments under one or more State or Federal unemployment compensation programs, and who has not exhausted benefit rights or whose benefit period has not ended, and who was not profiled and referred to JTPA reemployment services under WPRS.
 - 5 Claimant, profiled (WPRS) and referred. An individual who has filed a claim and has been determined monetarily eligible for benefit payments under one or more State or Federal unemployment compensation programs, and who has not exhausted benefit rights or whose benefit period has not ended, and who was profiled under the WPRS program and referred to reemployment services through JTPA.
 - 6 Claimant, WPRS status unknown. An individual who has filed a claim and has been determined monetarily eligible for benefit payments under one or more State or Federal unemployment compensation programs, who has not exhausted benefit rights or whose benefit period has not ended, and whose WPRS status is uncertain at the time of enrollment.
22. Preprogram wage/dislocation wage. For Title II, record the preprogram wage. For Title III, record the wage of the job of dislocation.

Preprogram wage (Title II). Record the most recent hourly wage (000.00) paid to the participant during the 26 weeks prior to application. This includes ANY employment and/or subsidized training where a wage was paid. Hourly wage

includes any bonuses, tips, gratuities, commissions and overtime pay earned. Record "000.00" if there was no employment during that period.

Wage of the job of dislocation (Title III). Record the hourly wage (000.00) paid to the participant in the job from which the person was dislocated regardless of when it occurred. Hourly wage includes any bonuses, tips, gratuities, commissions and overtime pay earned. Record "000.00" for a displaced homemaker who had no wages.

The following dislocation job items (22a to 22e) are for Title III only.

22a. Occupation at dislocation (Title III only). Record the occupational code (000000000) using the 5-digit Occupational Employment Statistics (OES) code or the 9-digit Dictionary of Occupational Titles (DOT) code most appropriate for the job at dislocation. Record 000000000 or 00000 if there is no dislocation job (e.g., displaced homemakers). The use of OES codes is encouraged as the DOT code system will be phased out.

22b. Type of Occupational Code. Record the code 1 or 2 indicating the type of coding system used.

- 1 9-digit DOT code
- 2 5-digit OES code

22c. Industry at dislocation (Title III only). Record the first 3 digits of the Standard Industrial Classification (SIC) code corresponding to the job at dislocation. Record 999 if industry is not known. (Code 999 is to be used in PY 98 only). Record 000 if there is no dislocation job (e.g., displaced homemakers).

22d. Tenure at employer of dislocation (Title III only). Record the tenure in months with the employer of dislocation. Do not reduce tenure for periods of nonemployment less than 12 months in length. Record 999 if tenure is not known. (Code 999 is to be used in PY 98 only). Record 000 if there is no dislocation job (e.g., displaced homemakers).

22e. Date of qualifying dislocation (Title III only). Record the date (MMDDYYYY) for the last day of employment at the dislocation job. If the person is still employed at enrollment into Title III, record 88888888. If there is no dislocation job (e.g., displaced homemakers), record 77777777. If the date of dislocation is not known, record 99999999.

23. Reading skills grade level or the reading skills raw test score. Record (000.0) either

a) the grade level equivalent in English reading (except in Puerto Rico) at which the individual is functioning at program entry as determined by a generally accepted standardized or criterion-referenced test (administered within the last 12 months) or a school record of reading level (determined within the last 12 months); **or**

b) the raw score in reading on a generally accepted standardized or criterion-referenced test. States submitting raw scores should provide information on how to crosswalk raw scores to grade levels (below 7th grade level, below 9th grade level, or at or above 9th grade level). (Grade levels below 9th grade are considered "basic skills deficient" in accordance with Section 4(31) of the JTPA.)

Use these additional codes as appropriate:

- 13 for individuals assessed as Grade 13 and above
- 87 for individuals who were not tested and who are obviously below the 7th grade level
- 88 for individuals who refused testing or who otherwise could not be tested
- 99 for individuals with a four-year college degree or above (BA, MA, Ph.D., etc.) No testing required.

23a. Reading skills raw score test name and version. If a raw score is reported in Item 23., record the code for the test administered and, if applicable, the version, form or battery used:

- 1 Adult Basic Learning Examination (ABLE)
- 2 DOL Workplace Literacy Test (DOL-WLT)
- 3 Adult Literacy Test (ALT) Simon & Schuster
- 4 Armed Forces Qualifying Test (AFQT)
- 5 Basic Occupational Literacy Test (BOLT)
- 6 California Achievement Test (CAT)
- 7 Career Ability Placement Survey (CAPS)
- 8 CASAS Appraisal
- 9 CASAS Survey Achievement Tests
- 10 General Aptitude Test Battery (GATB)
- 11 Iowa Test of Basic Skills (ITBS)
- 12 Metropolitan Achievement Test (MAT)
- 13 Reading Job Corps Screening Test (RJCST)
- 14 Tests of Adult Basic Education (TABE)
- 15 Wide Range Achievement Test (WRAT)
- 16 Other

EXAMPLE: If version "3" of the Adult Basic Learning Examination was used, record "1v3".

24. Math skills grade level or the math skills raw test score. Record (000.0) either

a) the grade level equivalent in math (also called quantitative or computational) skills at which the individual is functioning at program entry as determined by a generally accepted standardized test or a comparable score on a criterion-referenced test (administered within the last 12 months) or a school record of math skills level (determined within the last 12 months), or

b) the raw score in math skills on a generally accepted standardized or criterion-referenced test. States submitting raw scores should provide information on how to crosswalk raw scores to grade levels (below 7th grade level, less than 9th grade level, or at or above 9th grade level). (Grade levels below 9th grade are considered "basic skills deficient" in accordance with Section 4(31) of the JTPA.)

Use these additional codes as appropriate:

13 for individuals assessed as Grade 13 and above

87 for individuals who were not tested and who are obviously below the 7th grade level

88 for individuals who refused testing or who otherwise could not be tested

99 for individuals with a four-year college degree or above (BA, MA, Ph.D., etc.) No testing required.

24a. Math skills raw score test name and version. If a raw score is reported in Item 24., record the code for the test administered and, if applicable, the version, form or battery used. (Use codes and "EXAMPLE" listed in Item 23a.)

25. Welfare to Work program participant. Record 1 for Yes or 2 for No indicating whether or not the individual is an individual (TANF recipient) who is a participant (or has been a participant within the prior six months) in the Welfare to Work program. Also include individuals who participated in the former JOBS program during their JTPA participation. Welfare to Work program status may be entered at the time of application or at program exit. States may also include participants in their TANF employment and training programs in this item.

26. Additional barriers to employment. Record 1 for Yes or 2 for No (except in 26b., 26d., and 26f.) indicating whether or not the individual is a member of **each** of the following groups.

26a. Limited English language proficiency. The inability of an individual, whose native language is not English, to

communicate in English, resulting in a barrier to employment.

26b. Offender. An individual who requires assistance in overcoming barriers to employment resulting from a record of arrest or conviction. Record the code (1, 2 or 3) indicating which of the following categories apply to the participant:

- 1 Yes, excluding misdemeanors only
- 2 Yes, including misdemeanors only
- 3 No

26c. Displaced homemaker. An individual who has been providing unpaid services to family members in the home and is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment and who has been dependent either: I) on public assistance and whose youngest child is within 2 years of losing eligibility under Part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.); or ii) on the income of another family member but is no longer supported by that income.

26d. Homeless. An individual who lacks a fixed, regular, adequate nighttime residence; and any adult or youth who has a primary nighttime residence that is a public or private operated shelter for temporary accommodation; an institution providing temporary residence for individuals intended to be institutionalized; or a public or private place not designated for or ordinarily used as a regular sleeping accommodation for human beings. The term does not include a person imprisoned or detained pursuant to an Act of Congress or State law. Record the code (1, 2, 3 or 4) indicating which of the following categories applies:

- 1 Yes, an individual who is homeless or a youth who has been determined to be a runaway youth as specified in Sec 263(b)(5);
- 2 Yes, an adult or youth who is homeless but is not a runaway youth;
- 3 No, a youth who is not homeless but has been determined to be a runaway youth;
- 4 No, an adult or youth who is not homeless and is not a runaway youth.

26e. Poor work history. An adult or youth who has not worked for the same employer for longer than three consecutive months in the last 12 calendar months.

26f. Long-term welfare dependency. An adult or youth who has received assistance under AFDC (SSA Title IV) or the State TANF program for at least 30 months OR within 12 months will become ineligible for assistance under the State TANF program.

- 1 Yes and eligibility for TANF is not exhausted.
- 2 No
- 3 Yes and eligibility for TANF is exhausted.

26g. Pregnant or parenting youth. An individual who is under 22 years of age and who is pregnant, or a youth (male or female) who is providing custodial care for one or more dependents under age 18.

26h. Substance abuse. An individual who requires substance abuse treatment for employment.

26i. SDA-identified barrier (Title II only). An individual who meets the criteria of an additional category of individuals who face serious barriers to employment, as defined by the service delivery area. This SDA-identified barrier must be approved for inclusion by the Governor, and not be solely related to unemployment status or work history.

SECTION III. ACTIVITY AND SERVICE RECORD

This section provides a record of the type and amount of training and/or services a participant receives while enrolled in the program. Activity categories are divided into two groups that are recorded differently. For those activity types that are usually planned and scheduled (training), actual hours of participation and an indication of completion are required. For other activities that are usually provided on an irregular, unscheduled basis (other services), it is only necessary to record whether or not they were received.

27./28. Training activities for which actual hours and goal completion must be recorded.

Include those activities partially or completely funded by non-JTPA sources that were included in the participant's JTPA service strategy. For each of the following training activity categories, record the total actual hours of participation in all activities in that category. Also record whether or not any of them were completed.

27. Total actual hours. The total number of hours that the participant is engaged in **all** training activities within each category. Use the actual hours recorded by the vendor or program administrator. If activities from different categories are integrated into a single program, distribute

actual hours among the categories in a way that reflects the relative composition of the integrated program. Record the actual hours in whole hour increments (no fractions of hours) (0000).

28. Goals completed. Record 1 for Yes or 2 for No indicating whether or not **any** activity in each category was completed. An activity is completed if the individual achieves the activity's goal.

27/28a. Basic skills training. Instruction normally conducted in an institutional classroom or one-on-one tutorial setting and designed to upgrade basic skills and prepare the individual for further training, post-secondary education transition, future employment, or retention in present employment, and may be provided within the framework of basic education skills competencies. Includes, but is not limited to, reading, writing, mathematics, literacy training, speaking, listening, problem-solving, reasoning, study skills, English for non-English speakers, bilingual training, and GED preparation (including computer assisted instruction).

27/28b. Occupational skills training (non-OJT). Instruction conducted in an institutional or worksite setting designed to provide or upgrade individuals in the primary/technical and secondary/ancillary skills to perform a specific job or group of jobs such as auto mechanics, health services, or clerical training. Includes job-specific competency training, job-specific school-to-work/apprenticeship programs, on-site industry specific training, customized training, entrepreneurial training, internships, and pre-apprenticeship training. It may be provided within the framework of occupational/job specific skills competencies, and when structured like a job, may also be used to provide training in work maturity competencies.

27/28c. On-the-job-training (OJT): Training in the public or private sector which is given to an individual while s/he is engaged in productive work, designed to provide or upgrade individuals in the primary/technical and secondary/ancillary skills required to perform and essential to the full and adequate performance of the job. It may be provided within the framework of occupational/job specific skills competencies, and may also be used to provide training in work maturity competencies.

27/28d. Work experience/entry employment experience/private internships.

Work experience is a short-term or part-time work activity

in the public or not-for-profit sector which provides an individual with the opportunity to acquire the skills and knowledge necessary to perform a job, including appropriate work habits and behaviors. It may be provided in the framework of occupational/job specific skills and/or work maturity competencies. Also include Community Service and work experience provided under Welfare to Work programs.

Entry employment experience or private internships is a formal opportunity to examine or investigate employment typically at private, for-profit worksites. When of sufficient duration and scope to teach competencies, it may be provided in the framework of occupational/job specific skills and/or work maturity competencies. **For youth only or for adults co-enrolled in Welfare to Work paid Subsidized Private Sector Employment activity.**

27/28e. Other employment skills training - For Title II only or disaster relief jobs funded by Title III National Reserve Account grants. For Title II, includes activities such as pre-employment training, work maturity training that does not occur in one of the above-identified work or work-like activities (e.g., other subsidized employment), and non-job-specific school-to-work/post-secondary programs (does not include job search assistance, basic readjustment services). For Title III National Reserve, includes disaster relief jobs only.

29. Duration of training. If the participant did not receive any training, leave blanks, do not record spaces or zeroes.

29a. Date first received training. Record the date (MMDDYYYY) on which the participant first received or participated in any training activity listed in 27/28a. through 27/28e.

29b. Date last received training. Record the date (MMDDYYYY) on which the participant last received or participated in any training activity listed above.

30. Other services received. Record 1 for Yes or 2 for No indicating whether or not services in each of the following categories were received:

30a. Job search assistance (Title II only). A service that helps a participant seek, locate, apply for and obtain a job. It may include job-finding skills, orientation to the labor market, resume preparation assistance, job development, referrals to job openings, job clubs, vocational exploration and relocation assistance.

Include Job Readiness Services and Job Placement Services provided by welfare to work programs.

30b. Basic readjustment services (Title III only).

Includes services designed to provide basic readjustment assistance such as orientation, skills determination, pre-layoff assistance, job development/referral assistance, and job search to eligible dislocated workers. Record 2 for No if the only basic readjustment services received are outreach, intake, or initial assessment/screening or if the individual is receiving rapid response assistance only.

Note: Job Search assistance and basic readjustment services should be recorded as 1 for Yes regardless of whether or not the individual also received (re)training. They should also be recorded as 1 for Yes when job search assistance or basic readjustment services are provided as part of a (re)training program or contract.

31. Occupational skills training code and type. If the participant received any non-classroom training for a specific occupation, record the 9-digit DOT code or 5-digit OES code that best describes that occupation. If the participant received **classroom** occupational skills training, either of these (DOT or OES) or the 6-digit CIP code that best describes the training should be recorded. If training was provided for more than one occupation, record the code for the last significant occupational training. If no specific occupational skills training was received, record 00000000.

31a. Record the appropriate code for the type of occupational classification system used.

- 1 9-digit DOT code
- 2 5-digit OES code
- 3 6-digit CIP code (classroom training only)
- 6 None

No code is entered for non-occupational training, e. g., basic education, ESL, etc.

32. Support service received. Record 1 for Yes or 2 for No indicating whether or not **each** of the supportive services was received. The term "supportive services" means services arranged for, but not necessarily funded, by JTPA which enable an individual eligible for training under JTPA, who cannot afford to pay for such services, to participate in a training program funded under the Act. **An incentive payment for excellent attendance in program activities is NOT a supportive service and therefore is not reportable on the SPIR.** Only record supportive services received while an

individual is a participant. An exception is noted in Item 32g.

32a. Transportation. A supportive service for participants to ensure mobility between home and the location of employment, training and/or other supportive services.

32b. Health care. Includes, but is not limited to, preventive and clinical medical treatment, voluntary family planning services, and necessary psychiatric, psychological and prosthetic services.

32c. Family care. A service or support which helps participants meet their family care needs during participation. Family care ranges from day care inside or outside the home to after-school programs (inside or outside the home). It usually includes supervision and shelter, and may include subsistence and transportation.

32d. Housing or rental assistance. A supportive service which assists participants in maintaining or obtaining adequate shelter for themselves and their families while they are receiving employment, training or other supportive services.

32e. Counseling: personal, financial, legal, or substance abuse. The process of assisting participants with the solution of a variety of personal, financial, legal or substance abuse problems occurring during participation. This item does not include occupational and career counseling, which are to be reported as job search assistance (Item 30a, Title II) or basic readjustment services (Item 30b, Title III).

32f. Needs-based/related payments. In Title II-A (Section 204(d) and Title II-C (Section 264)), needs-based payments are amounts derived from a locally-developed formula or procedure which are paid to participants who cannot afford to otherwise participate in a training program.

In Title III, needs-related payments are payments to an eligible dislocated worker, who does not qualify or has ceased to qualify for unemployment compensation, in order to enable such worker to complete training or education programs funded under Title III. (Section 3148 of JTPA, TEGL 7-93 for North American Free Trade Agreement-Trade Adjustment Assistance (NAFTA-TAA) and NAFTA-Title III.)

32g. Other. Any supportive service(s), not included above provided to eligible individuals to enable them to participate in planned activities, e.g. includes the provision of tools, equipment and special work clothing. NOTE: Include

here individuals who had received a Pell or TRA grant within 12 months prior to initial participation in the JTPA program and for whom the grant coverage continues after participation in JTPA begins.

SECTION IV. PROGRAM TERMINATIONS AND OTHER OUTCOMES

For Title II, termination types include SPIR Items 34. Entered unsubsidized employment, 36. Adult/Youth employability enhancement terminations, **or** 39. Other terminations. A 1 for Yes may be recorded only once in any of these items.

For Title III, termination types are SPIR Items 34. Entered unsubsidized employment, 37. Transferred to other training programs, 38. Called back/remained with layoff employer, **or** 39. Other terminations. A 1 for Yes may be recorded only once in any of these items.

33. Date of termination. Record the date (MMDDYYYY) at which an individual is no longer receiving planned employment, training or services (except post-termination services), including the last period of inactive status. Participants may remain in inactive status for up to 90 days after last receipt of substantial services (i.e., those services authorized in Section 204(b) of the Act for Title II-A and Section 204(d) programs, Section 264(c) for Title II-C and those services authorized in Sections 314(c),(d) and(h) for Title III).

See Appendix C for additional guidance on the single 90-day period of inactive status.

Substantial services for Title II includes items such as training, job search assistance, skill assessment, career counseling, case management, education-to-work transition, and other services as mentioned in the legislation. For Title III, substantial services includes basic readjustment services and retraining.

34. Entered unsubsidized employment. Record 1 for Yes or 2 for No indicating whether or not the terminnee entered full- or part-time unsubsidized employment (unsubsidized employment is any employment not financed by funds provided under the Act or not financed by direct wage subsidies provided by any type of public funds) including entry into the Armed Forces, entry into employment in a registered apprenticeship program, and self-employment. **Also include entry into the Peace Corps, VISTA and other National Service programs funded by the Federal Corporation for National and Community Service under the National and Community Service Trust Act of 1993 (Examples are activities in the Americorps and the National Civilian Community Corps programs).**

Entered employment may occur at or before termination. A 1 for yes should be recorded if the individual entered unsubsidized employment at or before termination, whether or not the job was still held at termination, except for jobs obtained prior to beginning program services and for Title III, jobs obtained for temporary employment for the purpose of income maintenance prior to and/or during participation in JTPA. Items 34a through 34d and 35a through 35f should be recorded for the last job held at or before termination.

NOTE: If the terminatee who entered employment received only objective assessment from the program, record a 2 for No here and record this termination in Item 39 as a code 9, "Objective assessment **and** entered unsubsidized employment only (exempt from performance standards)". These objective assessment codes are to be used only for Title II except that states with appropriate waivers may also use them for Title III. Data for participants who are terminated as Item 39, code 9 are to be excluded from Items 34a. through 34d. and from Items 35a. through 35f.

34a. Entered a registered apprenticeship program (Title II only). If Item 34. is 1 for Yes, record 1 for Yes or 2 for No indicating whether or not the individual entered a registered apprenticeship program, i.e., a program approved and recorded by the ETA/Bureau of Apprenticeship and Training or by a recognized State Apprenticeship Agency. Approval is by certified registration or other appropriate written credential.

34b. Relocated out of area (Title III only). If Item 34. is 1 for Yes, record 1 for Yes or 2 for No indicating whether or not the individual has met the following: (a) terminated from Retraining and (b) received financial assistance to relocate in order to accept employment, as provided for under State policy.

34c. Entered non-traditional employment for women. If Item 34. is 1 for Yes, record 1 for Yes or 2 for No indicating whether or not the job is in an occupation in non-traditional employment for women in accordance with the Nontraditional Employment for Women (NEW) Act. If Item 6. "Gender" is 2 for Male, this item must be null.

34d. Entered self-employment. If Item 34. is 1 for yes, record 1 for Yes or 2 for No to indicate whether the job recorded in Item 34 is self-employment. If the individual entered both a regular job and self-employment, record No in this field.

NOTE: A self-employed individual may be defined as someone

who: carries on a trade or business as a sole proprietor;
is an independent contractor; is a member of a partnership;
OR is in business for him/herself in any other way. (IRS
publication 17)

35. Employment information. If Item 34. Entered unsubsidized employment or Item 38. Called back/remained with layoff employer is 1 for Yes, record the following information:

35a. Hours worked per week. Record the usual number of hours (00) of work scheduled per week in whole hour increments (no fractions of hours). This should include overtime. If the hours scheduled per week exceed 99, record "99".

35b. Hourly wage. Record the hourly wage of the job(000.00). Hourly wage includes any bonuses, tips, gratuities, and commissions and overtime pay earned. Record zero (0.00) for individuals reported as entering self-employment in Item 34d.

35c. Receives fringe benefits. Record 1 for Yes or 2 for No indicating whether or not the employment provides the individual with fringe benefits consisting of, at a minimum, health insurance benefits **and** coverage under Social security or an equivalent pension plan. For individuals holding multiple jobs, this item should be recorded as Yes if any job provides fringe benefits. Record No for individuals reported as entering self-employment in Item 34d.

NOTE: In cases where a period of probation is required by the employer for a newly-hired individual, during which time fringe benefits are NOT provided, if such employment normally provides fringe benefits after the period of probation, record a 1 for Yes in this item. Also record 1 for Yes if benefits were offered, but were refused by the individual.

35d. Occupational code and type. Record the occupational code (000000000) using the 9-digit DOT code or 5-digit OES code most appropriate for the job. For individuals holding multiple jobs, record the code for the primary job. Primary job is the one associated with the largest number of hours worked.

Record the code 1 or 2 indicating the type of occupational classification system used.

- 1 9-digit DOT code
- 2 5-digit OES code

35e. State where job is located/type of job. Record the two-digit FIPS State code (00) where the job is located.

Other special codes (94 to 99) should be used to indicate employment not included in the state wage record system:

- 01 - 56 FIPS State codes
- 72 Puerto Rico
- 78 Virgin islands
- 94 Railroad employment
- 95 Federal employment
- 96 Military employment
- 97 Postal service employment
- 99 Employment outside of U.S.

35f. Job covered by Unemployment Insurance. Record the code indicating UI coverage.

- 1 Covered by the Unemployment Insurance system (either in or out of state.)
- 2 Not covered by UI

36. Adult/Youth employability enhancement terminations (Title II only). Record a 1 for Yes or a 2 for No indicating whether or not the adult or youth **terminated** from a Title II or Section 204(d) program having attained one or more employability enhancements. Record a 2 for No here if Item 34. Entered unsubsidized employment is 1 for Yes.

Regardless of whether SPIR Item 36 is recorded as Yes or No, record a 1 for Yes or a 2 for No indicating whether or not the participant obtained any of the following (items 36 a-g) outcomes which are recognized as enhancing long-term employability and contributing to the potential for a long-term increase in earnings and employment.

NOTE: For a youth, two (2) or more youth employment competencies (YECs) (Items 36a., 36d., and 36e.) must be recorded as 1 for Yes in order for Item 36 to be recorded as 1 for Yes. Otherwise, a single employability enhancement achieved by an adult or youth allows a 1 for Yes to be recorded in Item 36. See Appendix B for complete guidelines for attainment of these adult and youth employability enhancements.

36a. Attained pre-employment/work maturity skills youth employment competency (YEC) (youth only). A youth who, prior to termination, had attained a pre-employment/work maturity skills youth employment competency.

Pre-employment skills: world-of-work awareness, labor market knowledge, occupational information, values clarification and personal understanding, career planning and decision-making, and job search techniques (resumes, interviews, applications, and follow-up letters). They also encompass survival/daily living skills such as using the phone, telling time, shopping, renting an apartment, opening a bank

account, and using public transportation; and Work maturity skills: positive work habits, attitudes, and behavior such as punctuality, regular attendance, presenting a neat appearance, getting along and working well with others, exhibiting good conduct, following instructions and completing tasks, accepting constructive criticism from supervisors and co-workers, showing initiative and reliability, and assuming the responsibilities involved in maintaining a job. This category also entails developing motivation and adaptability, obtaining effective coping and problem-solving skills, and acquiring an improved self-image.

36b. Returned to full-time school (youth only) . A youth who, (1) had returned to full-time secondary school (e.g., junior high school, middle school and high school), including alternative school, if, at the time of intake the participant was not attending school, exclusive of summer, and had not obtained a high school diploma or equivalent and (2) prior to termination had been retained in school for one semester or at least 120 calendar days after becoming a participant in the JTPA program.

36c. Remained in school (youth only) . A youth who, prior to termination, had been retained in a full-time secondary school, including alternative school, for one semester or at least 120 calendar days after becoming a participant in the JTPA program. The youth must be attending school at the time of intake, have not obtained a high school diploma or equivalent, and be considered "at risk of dropping out of school" as defined by the Governor in consultation with the State Education Agency.

NOTE for Items 36b. and 36c.: To obtain credit for Returned to Full-Time School OR Remained in School, SDAs must be prepared to demonstrate that retention results from continuing, active participation in JTPA activities and the youth must (1) be making satisfactory progress in school, and (2) for youth aged 16-21: attain a PIC-approved Youth Employment Competency in Basic Skills or Job Specific Skills and (3) for individuals aged 14-15: attain a PIC-approved Youth Employment Competency in Pre-employment/Work Maturity or Basic Education Skills.

Satisfactory progress in school -- An SDA, in cooperation with the local school system, must develop a written policy which defines an individual standard of progress that each participant is required to meet. Such a standard should, at a minimum, include both a qualitative element of a participant's progress, (e.g., performance on a criterion-referenced test or a grade point average) and a quantitative element (e.g., a time limit for completion of

the program or course of study). This policy may provide for exceptional situations in which students who do not meet the standard of progress, because of mitigating circumstances, are nonetheless making satisfactory progress during a probationary period.

36d. Attained basic education skills/youth employment competency (YEC). An adult or youth who, prior to termination, had obtained basic educational skills. These skills include, but are not limited to, reading, writing, mathematics, literacy training, speaking, listening, problem-solving, reasoning, study skills, English for non-English speakers, bilingual training, and the capacity to use these skills in the workplace.

36e. Attained occupational/job specific skills youth employment competency (YEC). An adult or youth who, prior to termination, had attained job specific occupational skills. These skills are: primary job-specific occupational skills which encompass the proficiency to perform actual tasks and technical functions required by certain occupational fields at entry, intermediate or advanced levels. Secondary job-specific occupational skills entail familiarity with and use of set-up procedures, safety measures, work-related terminology, record keeping and paperwork formats, tools, equipment and materials, and breakdown and clean-up routines.

36f. Completed major level of education. An adult or youth who, prior to termination, had completed, during enrollment, a level of educational achievement which had not been reached at entry. Levels of educational achievement are secondary and postsecondary. Completion standards shall be governed by State standards and shall include a high school diploma, GED Certificate or equivalent at the secondary level, and shall require a diploma or other written certification of completion at the postsecondary level.

NOTE: Completion of a major level of education must result primarily from active JTPA program participation of at least 90 calendar days or 200 hours, usually prior to such completion.

36g. Entered non-Title II training. An adult or youth who, prior to termination, had entered an occupational skills employment/training program or a post-secondary educational program, not funded under Title II of the JTPA, which builds upon and does not duplicate training received under Title II. NOTE: The participant must have been retained in that program for at least 90 calendar days or 200 hours or one academic quarter or must have received a certification of occupational skill attainment. During the period the

participant is in non-Title II training, s/he may or may not have received JTPA Title II services. Include here intertitle transfer terminees, such as to Title I, Section 123, 8% programs. Also include entry into activities funded under the Older Americans Act, Title V (Pub. L. 102-375).

37. Transferred to other training programs (Title III only). Record a 1 for Yes or 2 for No indicating whether or not the participant, at termination, had entered another occupational skills program as a result of being transferred to a program operated by another SSA under JTPA Title III, a program funded under another JTPA Title/Subtitle, or a program not funded by JTPA.
38. Called back/remained with layoff employer (Title III only). Record a 1 for Yes or 2 for No indicating whether or not the participant was called back or remained with the layoff employer. If this item is 1 for Yes, Items 35a. through 35f. should also be recorded with appropriate data. If a Yes is recorded in this Item, Item 34. entered unsubsidized employment, should be recorded as 2 for No.

The following situations would be credited to the above outcome:

- a. Title III terminees who remained in a job with an employer (or the subsequent owner of the business firm) after receipt of a layoff notice from that employer.
- b. Title III terminees who, after being laid off by an employer were recalled by that employer to a job at the same or another location.
- c. Title III terminees who were recalled to the same jobsite for a job in the same or similar industry or occupation by a new owner of the business firm from which the layoff occurred.

The assumption here is that any retraining received by such terminees was not the primary reason for the recall action, but rather the current or former association with the firm, worksite and/or employer.

39. Other terminations. If the entries for Items 34, 36, 37 and 38 above are 2 for No or null (spaces), record the code indicating which one of the following other terminations best applies. (There must be a response to this item if Items 34, 36, 37 and 38 are answered No or null.)

1 Institutionalized (exempt from follow-up and performance standards). The participant is residing in an institution or facility providing 24-hour support such as a prison or

hospital.

2 Health/medical(exempt from follow-up and performance standards). The participant is receiving medical treatment which precludes entry into unsubsidized employment or continued participation in the JTPA program. Includes death.

3 Family care. The participant is responsible for the care of one or more family members which precludes entry into unsubsidized employment or continued participation in the JTPA program.

4 Lacks transportation. The participant is without his/her own means of transportation, is unable to arrange for private transportation, and has no public transportation between home and the location of employment/training and/or other supportive services.

5 Cannot locate. The participant cannot be located after utilizing the address/phone number and alternative contact information provided by the participant.

6 Voluntary, other. The participant voluntarily left the JTPA program for reasons other than those above. Include participants transferred to a program operated by the same SDA under JTPA Title II. Examples are: Title II-C to Title II-A and Title II-A to Section 204(d).

7 Involuntary, other. The participant was separated from the program for administrative reasons other than those above. Include participants transferred to a program operated by another SDA under JTPA Title II.

8 Objective assessment only (exempt from performance standards) (Title II only except for States with appropriate Title III waivers).

9 Objective assessment and entered unsubsidized employment only (exempt from performance standards)(Title II only except for States with appropriate Title III waivers).

The above objective assessment codes (8 and 9)are to be used only for Title II except that states with appropriate waivers may also use them for Title III. No follow-up is required for Title II objective assessment only participants; follow-up is required for Title III objective assessment only participants.

SECTION V. FOLLOW-UP INFORMATION

Section V displays information based on follow-up data which **must**

be collected through participant contact to determine an individual's labor force status and earnings, if any, during the 13th full calendar week after termination and the number of weeks s/he was employed during the 13 week period. Follow-up data will be collected for the following terminees: Title II-A adults and adult welfare recipients, Section 204(d) older workers, and Title III EDWAA participants. No follow-up information is required for Title II-C youth.

The procedures used to collect the follow-up data are at the discretion of the Governors. However, in order to ensure consistency of data collection and to guarantee the quality of the follow-up information, follow-up procedures must satisfy certain minimum criteria. **See Appendix A for follow-up requirements.**

Participants recorded in Item 12 as code 3 (Title II-C) or 7 or 8 (5% exempt from performance standards) and those recorded in Item 39 as codes 1 or 2 or for Title II only codes 8 or 9 (objective assessment only) are exempt from postprogram follow-up and should be recorded in Item 40 as code 3. If follow-up is conducted for some participants recorded in Item 12 as code 7, they should be recorded in Item 40 as code 6. Participants recorded in Item 12 as code 7 who are not followed up should be recorded in Item 40 as code 3.

Follow-up is also not required for participants in Title III National Reserve programs who transfer to other Title III programs at the end of the National Reserve Grant. These individuals should be coded as 7 in Item 40. Follow-up information for these participants will be obtained from the Title III program from which the participants receive their last Title III funded services.

Items 40 through 42 are not required for states that opt to use wage records for follow-up (except for the 5% sample). Such states will transmit wage record follow-up information for terminees separately from their regular SPIR submission. For PYs 98 and 99 any state may choose to use Wage Records for follow-up provided that they agree to the guidelines contained in Training and Employment Guidance Letter 12-97, including the following:

- (1) To provide a separate SPIR submission including wage record information;
- (2) To conduct a follow-up survey of a statewide sample of 5% of terminees during the pilot period (PYs 1998 and/or 1999) of the wage record-based retention measures; and
- (3) To report the data according to the Department's specifications.

See Section S below for supplemental information requirements applying to states using wage records for follow-up.

40. Follow-up Group/Sample. Record the code (1, 2, 3, 4, 5, 6 or 7) indicating whether the terminnee was in the adult or supplemental welfare sample(s), and, if so, whether s/he was successfully contacted or not. For all Title III and Section 204(d), record all terminnees in the follow-up group as code 1, 2, 3, or 7 as appropriate. When sampling is not used (i.e., the "universe" of all Title II-A terminnees **subject to postprogram follow-up** is the follow-up sample), record all of these terminnees as code 1 or 2, as appropriate.

Welfare recipients included in the adult sample should be recorded as 1 or 2.

- 1 In adult sample and contacted
- 2 In adult sample, but not contacted
- 3 Not in sample
- 4 In supplemental welfare sample and contacted
- 5 In supplemental welfare sample, but not contacted
- 6 Title II-A 5% exempt optional sample
- 7 Terminated from Title III national reserve grant program and transferred to another Title III program at the end of the Title III national reserve grant. No follow-up to be conducted by the expired Title III national reserve grant program.

NOTE: If Item 40 is coded 2, 3, 5 or 7, Items 41, 41a., 41b., 41c. and 42 will be coded as a null, no zeroes or not blank.

41. Employed at follow-up. Record 1 for Yes or 2 for No indicating whether or not the former participant was employed at the end of the follow-up period (13th week after termination). If this code is 2 for No, Items 41a., 41b., 41c. will be coded as a null, no zeroes or not blank.

41a. Hourly wage at follow-up. Record the hourly wage (000.00). Hourly wage includes any bonuses, tips, gratuities, commissions and overtime pay earned. If the individual had more than one job or other earned income, add up all the earnings and divide by the total hours worked. If the individual is self-employed (without a regular job) at follow-up, record 888.88. These individuals will be excluded from the calculation of wages and earnings for performance standards.

41b. Hours worked that week. Record the hours (00) worked that week, including overtime, in whole hour increments (no fractions of hours). If the hours worked that week exceed 99, record "99".

41c. Employed with same employer as at termination. Record

1 for Yes or 2 for No indicating whether or not the individual is employed by the same employer as at termination. If the individual was not employed at termination, record either 2 or null.

42. Number of weeks worked in follow-up period. Record the total number of weeks (00) worked during the entire 13-week follow-up period. Answer this question regardless of the answer to Item 41. Employed at follow-up. If Item 41 is yes, this item must be between 1 and 13; if Item 41 is No, this item must be between 0 and 12.

SECTION S. SUPPLEMENTAL SUBMISSION BY WAGE RECORD FOLLOW-UP STATES

Option for Wage Record Follow-up. Beginning with PY 98, states have the option of piloting the use of wage records to obtain follow-up data instead of the current telephone follow-up survey. States choosing to use wage records for follow-up are required to submit:

1. Initial submission of the usual SPIR data. Participation and termination data for all participants who terminated during the program year and the last quarter of the previous program year should be submitted by August 15. For example, data for participants who terminated in program year 1998 must be reported by August 15, 1999. These data must be complete in all respects. As discussed below, they must include a 5% sample of follow-up survey data for the fourth quarter of the prior program year and the first three quarters of the report program year.
2. Supplemental Wage Record Submission. Wage record data for all terminees in the initial submission is due by the August 15 of the subsequent program year. Sampling is not allowed. Wage Record data should be obtained from adjacent states when possible. For the first year of wage record data collection, wage record data should be submitted for terminees in the last quarter of the previous program year in addition to terminees from all quarters of the program year being reported.

Required 5% Follow-up Survey. States must provide survey-based follow-up data for a 5% sample of all terminees in the state during every year the State is participating in the wage record pilot. This 5% follow-up survey should be conducted for terminees in the first three quarters of the program year and the last quarter of the previous program year on the normal SPIR schedule. These data should be included in the initial SPIR submission.

States may also provide wage record data for 4 quarters of terminees for a period for which survey-based follow-up has

already been conducted (e.g. terminees in the first 3 quarters of PY 97 and the last quarter of PY 96 for states starting to use wage records for PY 98 follow-up). These optional data should be submitted within one year after the end of the program year being submitted. For example, if these optional wage record data are submitted for PY 97 terminees, the data should be submitted by August 15, 1999. *Note: States that received waivers to use wage record data may submit this wage record data for a recent period instead of the 5% sample follow-up survey data.*

Section S specifies the items that states choosing to pilot wage record use must include in the supplemental wage record submission.

States may submit either a single record for each participant that aggregates earnings from all employers or, separate records for each employer.

Items S1 to S5 are identifying fields that should be identical to those for the individual in the regular SPIR submission.

S1. ETA-Assigned SDA/SSA/Statewide Code (Item 2)

S2. Social Security Number (Item 3)

S3. Date of Participation (Item 11) (MMDDYYYY)

S4. Program of Participation (Item 12)

S5. Date of termination (Item 33) (MMDDYYYY)

S6. Wage Record Earnings Quarter 1. Record the earnings (000000.00) derived from wage records for the first full calendar quarter after termination. If greater than 999,999, record 999,999.00

S7. Wage Record Earnings, Quarter 2. Record the earnings (000000.00) derived from wage records for the second full calendar quarter after termination. If greater than 999,999, record 999,999.00

S8. State of Initial Placement. Record the state where the job recorded in Item 34, Entered Unsubsidized Employment, is located. This item is the same as Item 35e. It is recorded here to facilitate adjustments for out of state employment.

S9. Wage Records Obtained from State of Initial Placement. Record 1 for Yes or 2 for No to indicate whether wage records were requested and obtained from individual's state of placement. Record 1 for yes if the wage records were requested for an individual regardless of whether or not the individual was matched in the placement state's wage

records.

- S10. Employer Code. Enter an identifying code for the employer if the state submits a record for each employer. Leave blank if the record includes earnings aggregated over all of an individual's employers.

This code must be unique to the employer. It should not be an official employer identifier used by the state, but a special identifier developed solely for this SPIR submission.

The following preprogram earnings variables are required only for Title III:

- S11. Wage Record Earnings, Third Preprogram Quarter (Title III only). Record the earnings (000000.00) derived from wage records for the third full calendar quarter before application. If greater than 999,999, record 999,999.00
- S12. Wage Record Earnings, Second Preprogram Quarter (Title III only). Record the earnings (000000.00) derived from wage records for the second full calendar quarter before application. If greater than 999,999, record 999,999.00
- S13. Wage Record Earnings, First Preprogram Quarter (Title III only). Record the earnings (000000.00) derived from wage records for the first full calendar quarter before application. If greater than 999,999, record 999,999.00

For PY 98 only, Items S12 to S13 may be left blank if preprogram wage record data are not accessible.

Note: If a wage match is conducted and no wage records for an individual are found, 0.00 should be recorded for quarterly earnings in Items S6, S7, S12, and S13.

Appendix A

Follow-up Guidelines

To ensure consistent data collection and as accurate information as possible, procedures used to obtain follow-up information must satisfy the following criteria:

- * Participant contact should be conducted by telephone or in person. Mail questionnaires may be used in those cases where an individual does not have a telephone or cannot be reached.
- * Participant contact must occur as soon as possible after the 13th full calendar week after termination but no later than the 17th calendar week after termination.
- * Data reported are to reflect the individual's labor force status and earnings during the 13th full calendar week after termination and the number of weeks s/he was employed throughout the 13-week period after termination.
- * Interview questions developed by DOL (see following Exhibit) must be used to determine the follow-up information reported on the SPIR. Respondents must be told that responding is voluntary and that information provided by them will be kept confidential. Other questions may be included in the interview. Attitudinal questions may precede DOL questions, but questions related to employment and earnings must follow.
- * Attempts must be made to contact all individuals unless terminnee populations are large enough to use sampling.
- * As many attempts as are necessary, to obtain the required response rate, should be made to contact enough individuals in the follow-up group.
- * For each SDA Title II-A, Section 204(d), SSA Title III, Governor's Reserve Title III, or Secretary's National Reserve Title III reporting group, minimum response rates of 70% are required for each of the following groups: among II-A adults, those who entered employment at termination and those who did not enter employment at termination; among II-A welfare recipients, those who entered employment at termination and those who did not enter employment at termination; among Section 204(d) older workers, those who entered employment at

termination and those who did not enter employment at termination; and among terminees of each of the Title III programs separately, those who entered employment at termination and those who did not enter employment at termination. The response rate is calculated as the number of terminees with complete follow-up information divided by the total number of terminees included in the group eligible for follow-up.

NOTE: Every precaution must be taken to prevent a "response bias" which could arise because it may be easier to contact participants who were employed at termination than those who were not employed at termination and because those who entered employment at termination are more likely to be employed at follow-up. Special procedures have been developed by which SDAs/SSAs and States can monitor response bias. **If response rates for those who were and were not employed at termination differ by more than 5 percentage points, the follow-up measures must be calculated using the "Worksheet for Adjusting Follow-up Performance Measures: in the Follow-up Technical Assistance Guide.**

EXHIBIT

Minimum Postprogram Data Collection Questions

- A. I want to ask you about the week starting on Sunday, _____, and ending on Saturday, _____, which was (last week/two/three/four weeks ago).
1. Did you do any work for pay during that week?
_____ Yes [Go to 2]
_____ No [Go to C]
 2. How many hours did you work in that week?
_____ Hours
 3. How much did you get paid per hour in that week?
_____ Dollars per hour
 4. How much extra, if any, did you earn in that week from tips, overtime, bonuses, commissions, or any work you did on the side, before deductions?
_____ Dollars
 5. Are you employed with the same employer as you were when you left the program?
_____ Yes
_____ No
- B. Now I want to ask you about the entire 13 weeks from Sunday, _____, to Saturday, _____.
6. Including the week we just talked about, how many weeks did you work at all for pay during the 13-week period?
_____ Weeks [Go to end]
- C. If answered "NO" to Question 1:
- Now I want to ask you about the entire 13 weeks from Sunday, _____, to Saturday, _____.
7. Did you do any work for pay during that 13-week period?
_____ Yes [Go to 8]
_____ No [Go to end]
 8. How many weeks did you do any work at all for pay during that 13-week period?

Terminee Populations for Follow-up

Each program (SDA, Section 204(d), SSA, Governor's Reserve, Secretary's National Reserve) in JTPA is responsible for conducting a follow-up of all or a sample of participants who have terminated from that program. NOTE: Individuals reported in Item 39 Other Terminations as code 1 (institutionalized) or 2 (health/medical) are exempted from follow-up. In addition, those individuals who are deceased, institutionalized (e.g., in hospitals, prisons, nursing homes), or severely incapacitated and unable to be interviewed for the entire interviewing period can be excluded from the sample.

Beginning July 1, 1993, two additional classes of Title II terminees who are excluded from performance standards calculations may therefore be excluded from follow-up. These are (1) those who have received objective assessment only or objective assessment only and entered employment or (2) those participants in special 5%-funded projects designated by the Governor.

Beginning July 1, 1998, Title III national reserve programs whose grant has terminated are exempted from conducting a follow up survey for individuals who terminate at the end of the grant **and** who are transferred to another Title III program. These individuals are to be reported as code 7 in Item 40. Follow-up group/sample. The new Title III program will be responsible for conducting the follow-up after the individual has terminated from all Title III services. SSAs/SDAs are responsible for reporting the follow-up outcomes for all grants and programs in which participants were enrolled.

The "universe" of terminees for the follow-up includes all participants who terminated from a program. Those participants who may have been concurrent participants in more than one JTPA title/program will be in the universe for each.

When selecting a sample from the universe, each title/program will be treated separately, so that an individual who had been a concurrent participant might be selected in one sample but not another. This, however, does not preclude the possibility that the participant might be selected in more than one sample. In the event that a concurrent participant has been selected in more than one sample, the responses collected from a single interview may be shared among the different titles/programs to avoid the necessity of multiple interviews with the same individual.

When an individual who has terminated from one title/program and subsequently become a participant in another program (i.e., not a concurrent participant) is selected in the sample for both titles/programs, separate interviews must be conducted. Further,

if an individual is selected in one sample and is a participant in another title/program at the time of the interview, regular follow-up information should be determined and recorded.

Sampling Procedures

Where sampling is used to obtain participant contact information, it is necessary to have a system which ensures consistent random selection of sample participants from all terminees in the group requiring follow-up.

- * No participant in the follow-up group may be arbitrarily excluded from the sample. Therefore it is critical that all terminee records be promptly entered into the database used for sampling.
- * Procedures used to select the sample must conform to generally accepted statistical practice, e.g., a table of random numbers or other random selection techniques must be used.
- * The sample selected for contact must meet minimum sample size or sampling percentage requirements indicated in Table 1.

The use of sampling will depend on whether the terminee populations are large enough to provide estimates which meet minimum statistical standards. If the number of terminees for whom follow-up is required is less than 138, sampling cannot be used. In such cases attempts must be made to contact all the appropriate terminees.

Minimum Sample Sizes or Sampling Percentages for Follow-up

The minimum sample sizes and the sampling percentages were both designed to meet the same statistical criterion and differ only because of the use of ranges and rounding. States or SDAs may choose to use either method. For ease of explanation, "minimum sample size" is used below. To determine the minimum number of terminees to be included in the follow-up sample, refer to Table 1 in the following instructions. Find the row in the left-hand column that contains the planned number of terminees for each of the groups requiring follow-up: adults and welfare recipients. The required minimum sample size is given in the middle column of that row. The last column gives sampling percentages that will assure that the minimum sample size is obtained.

NOTE: The welfare recipients in the adult sample may be used as part of the welfare sample. In this case, an additional number

of welfare recipients must be randomly selected to provide a supplemental sample large enough to meet the same accuracy requirements as other groups requiring follow-up. To determine the minimum size of this supplemental welfare sample, find the row in the left-hand column of Table 1 that contains the planned total number of welfare recipients requiring follow-up. From the corresponding entry in the middle column, subtract the number of welfare recipients included in the adult sample. The remainder represents the minimum size of the supplemental sample of welfare recipients required for contact.

Table 1
MINIMUM SAMPLE SIZES FOR FOLLOW-UP

<u>Number of Terminees in Follow-up Population</u>	<u>Minimum Sample Size</u>	<u>Sampling Percentage</u>
1 - 137	All	100
138 - 149	137	94
150 - 159	143	92
160 - 169	149	89
170 - 179	154	87
180 - 189	159	85
190 - 199	164	84
200 - 224	175	82
225 - 249	185	78
250 - 274	194	74
275 - 299	202	71
300 - 349	217	67
350 - 399	229	62
400 - 449	240	57
450 - 499	250	53
500 - 599	265	50
600 - 749	282	44
750 - 999	302	38
1,000 - 1,499	325	30
1,500 - 1,999	338	22
2,000 - 2,999	352	17
3,000 - 4,999	364	12
5,000 or more	383	7.3

Correcting for Differences in Response Rates

Different response rates for those terminees who entered employment at termination and those who did not are expected to bias the performance estimates because those who entered employment at termination are more likely to be employed at follow-up. It is assumed that those who were employed at termination are easier to locate than those who were unemployed because the interviewer has more contact sources (e.g., name of employer). The resulting response bias can artificially inflate performance results at follow-up.

To account for this problem, separate response rates must be calculated for those who were employed at termination and for those who were not. These separate response rates must be calculated for all groups: all II-A adult terminees, adult welfare recipient terminees, Section 204 (d) older worker terminees and for Title III/EDWAA terminatee groups: SSAs, Governor's Reserve, and Secretary's National Reserve.

For each group, if the response rates of those employed at termination and those not employed differ by more than 5 percentage points, then the "Worksheet for Adjusting Follow-up Performance Measures" in the Follow-up Technical Assistance Guide must be used to correct the follow-up measures for that group.

* * *

The following line item calculations/definitions have been included since PY 92/93 Title II-A and Title III performance standards are based on follow-up data aggregated to the SDA/SSA level.

Employment Rate (At Follow-up)

Calculate the employment rate by dividing the total number of respondents who were employed (full-time or part-time) during the 13th full calendar week after termination by the total number of respondents (i.e., terminees who completed follow-up interviews). Then multiply the result by 100.

Average Weekly Earnings of Employed (At Follow-up)

Calculate the (before-tax) average weekly earnings by multiplying the hourly wage by the number of reported hours for each respondent employed at follow-up; and, if appropriate, add tips, overtime, bonuses, etc. Divide the sum of weekly earnings for all respondents employed during the 13th full calendar week after termination by the number of respondents employed at the time of follow-up. Respondents not employed at follow-up are not included in this average.

Weekly earnings include any wages, bonuses, tips, gratuities, commissions and overtime pay earned.

Average Hourly Wage at Follow-up

To calculate this entry: Sum the hourly wage (and, if appropriate, add tips, overtime, bonuses, etc.) of each respondent employed at follow-up. Divide the sum of hourly wage for all respondents employed during the 13th full calendar week after termination by the number of respondents employed at the time of follow-up. **Respondents not employed at follow-up are not included in this average.**

Include any wages, bonuses, tips, gratuities, commissions and overtime pay earned.

Average Number of Weeks Worked in Follow-up Period

To calculate the average number of weeks worked (full-time or part-time), divide the sum of the number of weeks worked during the 13 full calendar weeks after termination for all respondents who worked, by the total number of all respondents, **whether or not** they worked any time during this 13-week follow-up period.

Sample Size

The size of the actual sample selected to be contacted for follow-up, i.e., the total number of terminees selected for contact including both respondents and nonrespondents. (For Title II-A, SDA samples must be selected for total adults and adult welfare recipients, and separate statewide sample for Section 204(d) older workers; for Title III, SSA, Governor's Reserve and Secretary's National Reserve Samples must be selected.)

Response Rate (percentage of complete surveys obtained)

To calculate the overall response rate, divide the number of terminees with complete follow-up information by the total number of terminees included in the follow-up sample and multiply by 100. NOTE: **Complete follow-up information** consists of substantive answers to the required follow-up questions and may not include "don't know, "no answer" or "don't remember.

Appendix B

PIC-RECOGNIZED YOUTH EMPLOYMENT COMPETENCIES

Youth employment competency system requirements remain unchanged. The minimal structural and procedural elements of a sufficiently developed youth employment competency system, and the minimal requirements for ensuring consistency in the reporting of pre-employment/work maturity competency attainment are defined in this Appendix.

A. General Description of Youth Employment Competency Skill Areas

- * Pre-employment skills include world of work awareness, labor market knowledge, occupational information, values clarification and personal understanding, career planning and decision making, and job search techniques (resumes, interviews, applications, and follow-up letters). They also encompass survival/daily living skills such as using the phone, telling time, shopping, renting an apartment, opening a bank account, and using public transportation; **and** Work maturity skills include positive work habits, attitudes, and behavior such as punctuality, regular attendance, presenting a neat appearance, getting along and working well with others, exhibiting good conduct, following instructions and completing tasks, accepting constructive criticism from supervisors and co-workers, showing initiative and reliability, and assuming the responsibilities involved in maintaining a job. This category also entails developing motivation and adaptability, obtaining effective coping and problem-solving skills, and acquiring an improved self image.
- * Basic education skills include reading comprehension, math computation, writing, speaking, listening, problem solving, reasoning, and the capacity to use these skills in the workplace.
- * Job-specific skills -- primary job-specific skills encompass the proficiency to perform actual tasks and technical functions required by certain occupational fields at entry, intermediate or advanced levels. Secondary job-specific skills entail familiarity with and use of set-up procedures, safety measures, work-related terminology, record keeping and paperwork formats, tools, equipment and materials, and breakdown and clean-up routines.

B. Sufficiently Developed Systems for Youth Employment Competencies

A sufficiently developed youth employment competency system must include the following structural and procedural elements:

1. Quantifiable Learning Objectives

*** PIC-recognized competency statements that are quantifiable, employment-related, measurable, verifiable learning objectives that specify the proficiency to be achieved as a result of program participation.**

Employment competencies/quantifiable learning objectives approved by the PIC as relevant to the SDA must include a description of the skills/knowledge/attitudes/behavior to be taught, the levels of achievement to be attained, and the means of measurement to be used to demonstrate competency accomplishment. The level of achievement selected should enhance the youth's employability and opportunities for postprogram employment.

2. Related Curricula, Training Modules, and Approaches

*** Focused curricula, training modules, or behavior modification approaches which teach the employment competencies in which youth are found to be deficient.**

Such related activities, components, or courses must encompass participant orientation, work-site supervisor/instructor/community volunteer training, and staff development endeavors as appropriate. They also must include, as appropriate, relevant agreements, manuals, implementation packages, instructions, and guidelines. A minimum duration of training must be specified which allows sufficient time for a youth to achieve those skills necessary to attain his/her learning objectives.

3. Pre-Assessment

*** Assessment of participant employment competency needs at the start of the program to determine if youth require assistance and are capable of benefiting from available services.**

A minimum level of need must be established before a participant is eligible to be tracked as a potential "attained PIC-recognized youth employment competency" outcome. All assessment techniques must be objective, unbiased and conform to widely accepted measurement criteria. Measurement methods used must contain clearly defined criteria, be field tested for utility, consistency, and accuracy, and provide for the training/preparation of all raters/scorers.

4. Post-Assessment (Evaluation)

*** Evaluation of participant achievement at the end of the program to determine if competency-based learning gains took place during project enrollment.**

Intermediate checking to track progress is encouraged. All evaluation techniques must be objective, unbiased and conform to widely accepted evaluation criteria. Measurement methods used must contain clearly defined criteria, be field tested for utility, consistency, and accuracy, and provide for the training/preparation of all raters/scorers.

5. Employability Development Planning (Individual Service Strategy Development)

*** Use of assessment results in assigning a youth to appropriate learning activities/sites in the proper sequence to promote participant growth and development, remedy identified deficiencies, and build upon strengths.**

6. Documentation

*** Maintenance of participant records and necessary reporting of competency-based outcomes to document intra-program learning gains achieved by youth.**

7. Certification

*** Proof of youth employment competency attainment in the form of a certificate for participants who achieve predetermined levels of proficiency to use as evidence of this accomplishment and to assist them in entering the labor market.**

C. Guidelines for Ensuring Consistency in the Reporting of Pre-Employment/Work Maturity Skill Competencies

Individuals should demonstrate proficiency in each of the following 11 core competencies. In order for an attainment to be reported in the area of pre-employment/work maturity, at least one PIC-certified competency statement must be developed/quantified in each of the following 11 core competencies -- **provided that at least 5 of these learning objectives were achieved during program intervention:**

1. Making Career Decisions

2. Using Labor Market Information

3. Preparing Resumes

4. Filling Out Applications
5. Interviewing
6. Being Consistently Punctual
7. Maintaining Regular Attendance
8. Demonstrating Positive Attitudes/Behavior
9. Presenting Appropriate Appearance
10. Exhibiting Good Interpersonal Relations
11. Completing Tasks Effectively

ADULT AND YOUTH EMPLOYABILITY ENHANCEMENT TERMINATIONS/OUTCOMES INFORMATION

ADULT EMPLOYABILITY ENHANCEMENT TERMINATION

An outcome for adults, other than entered unsubsidized employment, which is recognized as enhancing long-term employability and contributing to the potential for a long-term increase in earnings and employment. Outcomes which meet this requirement shall be restricted to the following:

2(1) Attained Adult Employability Skills (one or more), (2) Completed Major Level of Education or (3) Entered Non-Title II Training.

(1) Demonstrated proficiency as defined by the local area in one or more of the following two skill areas **in which the terminee was deficient at enrollment:** basic education skills and occupational skills. Employability skill gain must be achieved through program participation and must be the result of a prior employability development planning process which identifies the participant's skill deficiencies, the training needed to overcome the deficiencies and the level of proficiency needed for attainment of the employability skill.

The youth competency system may also be used for adults or local areas may adopt the alternative adult employability skill attainment system requirements.

NOTE: Adult terminees who have attained proficiency in **basic education skills and/or occupational skills** through training funded under **8% programs and/or cooperative agreements** may be counted, provided such training was for completion of a training objective initially determined while a participant in an adult employability skills system operated under 77%/5%-incentive funds.

(2) Completed, during enrollment, a level of educational achievement which had not been reached at entry. Levels of educational achievement are secondary and postsecondary. Completion standards shall be governed by State standards and shall include a high school diploma, GED Certificate or equivalent at the secondary level, and shall require a diploma or other written certification of completion at the postsecondary level. NOTE, To obtain credit, completion of a major level of education must result primarily from active JTPA program participation of at least 90 calendar days OR 200 hours.

(3) Entered an occupational-skills employment/training program, not funded under Title II of the JTPA, which builds

upon and does not duplicate training received under Title II. NOTE: TO obtain credit, the participant must have been retained in that program for at least 90 calendar days OR 200 hours OR must have received a certification of occupational skill attainment. During the period the participant is in non-Title II training, s/he may or may not have received JTPA services.

ADULT EMPLOYABILITY SKILLS TRAINING

BASIC EDUCATION SKILLS -- Includes remedial reading, writing, mathematics and/or English for non-English speakers.

OCCUPATIONAL SKILLS TRAINING -- Includes: (1) vocational education which is designed to provide individuals with the technical skills and information required to perform a specific job or group of jobs, and (2) on-the-job training which is training in the public or private sector given to an individual, who has been hired first by the employer, while s/he is engaged in productive work which provides knowledge or skills essential to the full and adequate performance of the job.

Primary job-specific occupational skills encompass the proficiency to perform actual tasks and technical functions required by certain occupational fields at entry, intermediate or advanced levels. Secondary job-specific occupational skills entail familiarity with and use of set-up procedures, safety measures, work-related terminology, record keeping and paperwork formats, tools, equipment and materials, and breakdown and clean-up routines.

YOUTH EMPLOYABILITY ENHANCEMENT TERMINATION

An outcome for youth, other than entered unsubsidized employment, which is recognized as enhancing long-term employability and contributing to the potential for a long-term increase in earnings and employment. Outcomes which meet this requirement shall be restricted to the following:

(1) Attained PIC-Recognized Youth Employment Competencies (two or more); (2) Returned to Full-Time School; (3) Remained in School; (4) Completed Major Level of Education; or (5) Entered Non-Title II Training.

(1) Demonstrated proficiency as defined by the PIC in **two or more** of the following three skill areas **in which the terminnee was deficient at enrollment:** pre-employment/work maturity; basic education; or job-specific skills. Competency gains must be achieved through program participation and be tracked through sufficiently developed systems that must include: quantifiable learning objectives, related curricula/training

modules, pre- and post-assessment, employability planning, documentation, and certification.

NOTE: Youth terminees who have attained one or more competencies through training **funded under Title II-B, 8% programs and/or cooperative agreements** may be counted, provided such training was for completion of a training objective initially determined while a participant in a youth employment competency system operated under Title II-C 77%/5%-incentive funds. At least one of the youth competencies required must have been attained under Title II-C 77%/5%-incentive funded activity. Regardless of the funding source, all youth competency attainments reported on the SPIR must meet the Title II-C competency definitions.

(2) Returned to full-time secondary school (e.g., junior high school, middle school and high school), including alternative school, if, at the time of intake the participant was not attending school, exclusive of summer, and had not obtained a high school diploma or equivalent and prior to termination had been retained in school for one semester or at least 120 calendar days.

NOTE: Alternative school -- a specialized, structured curriculum offered inside or outside of the public school system which may provide work/study and/or GED preparation.

NOTE: To obtain credit for Returned to Full-Time School AND Remained in School (below), SDAs must be prepared to demonstrate that retention results from continuing, active participation in JTPA activities and the youth must (1) be making satisfactory progress in school, and (2) for youth aged 16-21: attain a PIC-approved Youth Employment Competency in Basic Skills or Job Specific Skills and (3) for individuals aged 14-15: attain a PIC-approved Youth Employment Competency in **or** Pre-employment/Work Maturity or Basic Skills.

(3) Remained in school for a youth who, prior to termination, had been retained in full-time secondary school, including alternative school, for one semester or at least 120 calendar days. A youth may be recorded on this line only if s/he was attending school at the time of intake, had not received a high school diploma or equivalent, and was considered "at risk of dropping out of school", as defined by the Governor in consultation with the State Education Agency.

(4) Completed, during enrollment, a level of educational achievement which had not been reached at entry. Levels of educational achievement are secondary and postsecondary. Completion standards shall be governed by State standards and shall include a high school diploma, GED Certificate or

equivalent at the secondary level, and shall require a diploma or other written certification of completion at the postsecondary level. NOTE: To obtain credit, completion of a major level of education must result primarily from active JTPA program participation of at least 90 calendar days OR 200 hours.

(5) Entered an occupational-skills employment/training program or post-secondary educational program, not funded under Title II of the JTPA, which builds upon and does not duplicate training received under Title II. NOTE: To obtain credit, the participant must have been retained in that program for at least 90 calendar days OR 200 hours or one academic quarter OR must have received a certification of occupational skill attainment. During the period the participant is in non-Title II training, s/he may or may not have received JTPA services.

Appendix C

GUIDANCE ON THE SINGLE 90/30-DAY PERIOD OF INACTIVE STATUS

In the interests of improved customer service and enhanced flexibility in program design and implementation, The Department is adopting a modified reporting policy pertaining to periods of inactive status. This policy applies to Titles II-A/C, Title III and Section 204(d) reporting requirements under JTPA. Effective Program Year 1996, programs may continue to provide program services to a participant and are not required to terminate the participant as long as these services are substantial and frequent. For Titles II-A/C and Section 204(d), substantial services are defined as those authorized in Section 204(b) of the Act and for Title II-C substantial services are defined as those authorized in Section 264(c) of the Act. For Title III, substantial services are defined as those authorized in Sections 314(c), (d) and (h). For all subject programs, frequent is defined as occurring at least every 90 days.

Clarification. These substantial and frequent services do not need to be funded by the JTPA program as long as they are called for by the individuals ISS/EDP. Thus, when individuals are concurrently enrolled in several programs, the individuals may continue to be participants in a JTPA Title or program even if the services received are funded by other JTPA or non-JTPA sources, as long as the services are substantial and frequent.

As before, Title II-A/C, Title III and Section 204(d) programs are required to terminate all participants who for more than 90 days have received no substantial program services.

This policy allows SDAs/SSAs to keep a customer active in the program after the completion of training while he/she is receiving services as long as no more than 90 days elapse between substantial services. The Department believes our customers--many of whom are experiencing problems with attachment to the workforce--need services no less frequently than every 90 days to reinforce their workforce attachment. Program operators should also bear in mind that there is an additional 90-day period between termination and follow-up, at which time programs' success in placing individuals in jobs is measured for Title II-A performance standards purposes. This may mean, for example, that there is no need to keep an individual in inactive status if the individual is waiting to begin employment on a date certain within 90 days of last receipt of substantial services.

There is considerable local flexibility in the types of service which can be provided under the Act. For example, labor market information or job development would be appropriate interventions

during this period. The Department also believes providing greater MIS consistency between JTPA titles will eliminate possible sources of confusion in reporting.

Requirements pertaining to the development of customers' individual service strategies (ISSs) and/or individual readjustment plans are not changed and remain in effect. Authorized services provided to customers should be incorporated in their individual service plans no matter what the length of the permissible interval between services.

The reporting instructions for the Federally required JTPA/EDWAA annual reports, issued under the provisions of Section 165 of the Act, are to be considered as extensions of JTPA legislation and regulations. The Department does not grant waivers for the required termination of JTPA participants beyond the time periods specified above. In cases when a participant requires continued services after those provided during the specified period(s) of inactive status, when such services cannot be provided as post-termination services, the individual may, after being terminated, be reenrolled as a new participant in the JTPA funded program(s) for which s/he is eligible.