

OMB Control Number 1205-0489

Expiration Date: 03/31/2015

Trade Adjustment Assistance Community College and Career Training Grants:

Annual and Quarterly Program Reporting Forms & Instructions

Rounds 2/3/4

Prepared By
Employment and Training Administration
United States Department of Labor

This reporting requirement is approved under the Paperwork Reduction Act of 1995, OMB Control No. 1205-0489, expiring 03/31/2015. Persons are not required to respond to this collection of information unless it displays a currently valid OMB number. Public reporting burden for this collection of information is estimated to average 22 hours per quarterly report and 48 hours per annual report per grantee, including time for reviewing instructions, searching existing data sources, gathering and reviewing the collection of information. Respondent's obligation to reply is required to obtain or retain benefits (Workforce Investment Act [Section 185(a)(2)]). The reason for the collection of information is general program oversight, evaluation and performance assessment. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden, to the U. S. Department of Labor, Employment and Training Administration, Office of Performance and Technology, 200 Constitution Avenue, NW, Room S-5206, Washington, D.C. 20210.

I. GENERAL INSTRUCTIONS

The Trade Adjustment Assistance Community College and Career Training (TACT) grantees are required to submit quarterly and annual program reports to the United States Department of Labor’s Employment and Training Administration (USDOL/ETA) in order to comply with the reporting and record keeping requirements of the grant. Each grantee must submit a Quarterly Progress Report (QPR) containing updates on the progress and implementation measures specified in each grant. Each grantee must also submit an Annual Performance Report (APR) that reflects the longer-term outcomes of program participants and a comparison cohort. Both the Quarterly and Annual Reports include narrative information. The instructions and performance reporting forms for completing these two types of reports can be found under Section II below. Should changes in definitions resulting from new legislation or related regulations occur, appropriate revisions will be issued to reflect these changes.

II. REPORT FORMS AND INSTRUCTIONS

- A. *Quarterly Progress Report* –The quarterly progress report provides narrative updates on the capacity building taking place, progress and implementation measures that grantees defined in their statements of work, and a self-assessment of the grantee’s progress each quarter on these measures. Samples of progress measures include: the number and percentage of students who place into and enroll in remedial math, English or both; the number and percentage of entering students who enroll consecutively from fall-to-spring and fall-to-fall; and the annual ratio of certificates and degrees awarded per 100 full-time equivalent students. Samples of implementation measures include: expansion and improvement in the capacity of support programs such as career counseling, tutoring, and job placement services; establishment of credit for prior learning assessments; and the creation of new articulation agreements. The instructions for grantees to complete the QPR can be found under **Appendix A**. The format for the QPR can be found in **Attachment A**.

For consortia, the lead institution is responsible for gathering all information and data from participating consortium members and reporting in aggregate each quarter.

- B. *Annual Performance Report* – In addition to providing a fourth Quarterly Progress Report each year, grantees will complete the APR form, which provides information on participants in the programs funded by the grant, as well as minimal narrative. The instructions for grantees to complete the Annual Performance Report can be found under **Appendix B**. The format for the annual performance outcomes reports can be found in Attachments B.1 and B.2.

For consortia, the lead institution is responsible for gathering all information and data from participating consortium members and reporting in aggregate each quarter.

The last Quarterly Progress and Annual Performance Reports will serve as the grant’s Final Performance and Outcomes Report. Together, these reports will provide both quarterly and cumulative information on the grant’s activities. They will summarize project activities, employment outcomes and other deliverables, and related results of the project, and will thoroughly document the approaches used by the grantee.



III. DUE DATES

A. All Quarterly reports under Section II are due to ETA no later than 45 days after the end of each reporting quarter. The table below shows the expected due dates for each reporting quarter.

Reporting Quarters	Due Dates
October 1 st – December 31 st	February 14 th
January 1 st – March 31 st	May 15 th
April 1 st – June 30 th	August 14 th
July 1 st – September 30 th	November 14 th

Should the due date of the report fall on a Saturday, Sunday, or holiday, the report is due the business day before.

B. All Annual reports are due to ETA no later than 45 days after the end of each reporting year, which will be October – September. The due date for each annual report will be November 14th. Should the due date of the report fall on a Saturday, Sunday, or holiday, the report is due the business day before.

IV. SUBMISSION PROCEDURES

Information contained in the TACT Quarterly and Annual reports must be submitted directly to ETA via technical instructions issued through the USDOL/ETA national office and available via the ETA performance website (www.doleta.gov/performance). Grantees will certify the data submission and then an ETA Federal Project Officer will review it. Once an ETA Federal Project officer has accepted a report, it is locked from grantee modifications unless specifically requested through the FPO.

Appendix A

**Instructions for Completing the
Trade Adjustment Assistance Community College and Career Training (TACT)
Grant Quarterly Narrative Progress Report**

General Grant Information

Grantee Name:

Project Name:

Grant Number:

Report Quarter Ending:

Date of Submission:

Program Contact Information:

A. Summary of Grant Activities

This section is an executive summary of grant activities for the quarter, and should serve as the annual summary each fourth quarter. In one page or less, please provide a short summary of all activities supported by the grant for the current quarter, highlighting key activities in line with the grant Statement of Work. This section is not intended to be a list of every meeting or communication.

B. Status Update on Leveraged Resources

Leveraged resources must be reported quarterly on the Financial Status Report (ETA-9130). In addition, please use this section of the narrative to report leveraged resources used to support grant activities. Leveraged resources include both Federal and non-Federal funds, and may take the form of cash or in-kind contributions. Examples of in-kind contributions include personnel services provided by volunteers or non-grantee staff, donated equipment, supplies, or space. This section may include an update on: (1) the organizations that contributed the resources; and (2) the ways in which the resources were used during the current quarter. Also, respond to the yes or no question in this section as follows:

- During this quarter, did you receive any additional leveraged resources beyond what is listed in your statement of work?

C. Status Update on Employer(s) Involvement

This section should be used to: (1) discuss how the required employer(s) has been involved during the current phase of the project; (2) outline specific roles and contributions of the employer(s) during this quarter; (3) identify any challenges encountered/resolved in the development and management of the employer involvement; and (4) discuss new employers and commitments that may have been added to support the project. The grantees must also respond to four yes or no questions in this section as follows:

- Have you had any consultation or advisory meetings with business or employer partners during this quarter?
- Were there any direct hires of program of study completers by employer partners during this quarter?
- Were internships or other work-based learning opportunities posted during this quarter?
- Did you acquire any additional employer partners during this quarter?

D. Timeline for Grant Activities and Deliverables

Use this section to provide a timeline of the progress of grant activities, key deliverables for this quarter, and if applicable, deliverables available this quarter for broad dissemination. Use the timeline in the grant’s statement of work to identify all major program activities for the entire life of the grant. The timeline will paint a picture of project flow that includes start and end dates, schedule of activities, and projected outcomes. In order to reap the most benefit from the timeline, it is important that it be updated each quarter noting the actual date of completion as each activity is accomplished. Items to incorporate in the timeline include: project goals, benchmarks, milestones, special events, important deadlines and deliverables. Respond to two questions in this section as follows:

- How many programs are you planning to offer? This number should align with your statement of work.
- As of this quarter, how many programs have you launched to date?

E. Status of Progress and Implementation Measures

Use this section to provide information that details the status of the progress and implementation measures required for the grant, and a self-assessment for each measure if the grant is ahead of schedule, on schedule, or behind schedule.

- TACT grantees’ narrative each quarter must include a report on at least two progress measures for each strategy (as identified in the grant’s Project Work Plan) that are designed to track progress toward successful implementation of each strategy, noting any deliverable that is finalized in conjunction with a progress measure.
- TACT grantees’ narrative each quarter must also include a report on at least two implementation measures for each strategy (as identified in the grant’s Project Work Plan) that are designed to track progress toward successful implementation of each strategy, noting any deliverable that is finalized in conjunction with a progress measure.

The narrative should clearly describe the data collected to date on participant persistence, retention and outcome data (as it becomes available), and note whether this data suggests that the project’s strategies have improved persistence and retention. The narrative should also indicate whether the grantee is modifying any project strategies based on the available data.

All TACT-funded programs should strive to use data from implementation, progress, and outcome measures for continuous improvement, modifying program strategies to achieve better results.

F. Key Issues and Technical Assistance Needs

Summarize any significant issues or problems encountered during the quarter and resolution of previous issues and challenges identified in previous quarters. Describe any actions taken or plans for addressing issues, any question you have for DOL, and any need for assistance from DOL or others. If grantees have nothing to report, that should be specified.

G. Best Practices, Promising New Strategies and Success Stories

Describe promising approaches, innovative processes, and grant-level and/or participant level success stories. Examples may include developing and implementing an outreach plan, developing new or enhancing existing curriculum, and creating new career assistance tools and resources. Throughout the implementation of the program, grantees may discover new strategies that emerge as a result of data-driven continuous improvement. The new strategies may or may not have significant levels of evidence at this point in the program; however, they should still be described here. As progress is made with a new and promising strategy, or as data/evidence is gathered to support it, grantees should document the progress and data/evidence each quarter. Grantees may also describe any lessons learned and how those lessons learned will be implemented.

H. Additional Outcome Information

This section allows grantees to report any grant-specific outcomes not captured in other sections of the quarterly narrative progress report, including, but not limited to, any specific outcomes included in the statement of work. For every fourth quarterly report, this update may include additional information about activities and outcomes to supplement data submitted on the Annual Performance Report form.

I. Name of Grantee Certifying Official

The name of the grantee official who is certifying submission of the report to the Department.

J. Telephone Number

The area code (###) and telephone number (###-####) of the authorized official.

K. Email Address

The email address of the authorized official.

Appendix B

Instructions for Completing the Trade Adjustment Assistance Community College and Career Training (TACT) Grant Annual Performance Report

It is the expectation and design of the TACT program that the first year of funding will primarily be used by grantees to build capacity based on the priority(ies) identified in their proposal. As such, ETA recognizes that annual data submitted in Tables 1 and 2 is likely to reflect minimal, if any, participant data for Year 1. However, given the Federal investment in these grants, grantees must report information on participants after the first year of grant operations.

Two tables will be used for reporting data in the Annual Performance Report:

- Table 1 (Attachment B.1) contains an aggregate count each year submitted for all participants in all programs as well as narrative information on yearly progress. Table 1 will reflect the data on the total number of participants served and outcomes achieved as reportable in each of the years the grant is active. The form and instructions for completing it can be found below and in attachment B.1.
- Table 2 (Attachment B.2) contains longitudinal data on a cohort of participants and a cohort of similar participants as established at a single point in time. In particular, depending on the grant design and the strength of the program during the first year, Table 2 will follow the set of participants that enrolled in Year 1 and a group of similar individuals who enrolled that same year, or it will follow the set of participants that enrolled in Year 2 and a group of similar individuals who enrolled that year.

Demographic and outcome data reported in both tables should be based on individual-level participant data maintained by each individual grantee and each member of a grantee consortia, if applicable.

For consortia, the lead institution is responsible for gathering all relevant information and reporting it in aggregate for both tables of the annual performance report. In the case where the number of consortium members varies across multiple programs, information should be provided separately for each program.

Tracking Individual Enrollee/Participant Outcomes

In order to track and report participant employment outcomes, and per the Statement of Work (via the Solicitation for Grant Applications), applicants must use administrative data to track employment, retention, and earnings outcomes. In order to conduct matches to student records with administrative wage data, the individual level data should include personally identifiable participant information (i.e., Social Security Numbers) as well as other data elements such as employment status, date of withdrawal, and reason for withdrawal, which can be matched with employment data available from state Unemployment Insurance and other administrative wage records. The individual-level data will not be provided to DOL through the quarterly or annual reports, but it may be provided to an independent evaluator to assess the

impact of grantee programs. Grantees must ensure the confidentiality of personally identifiable information.

The Data Collector should ensure that when he or she is collecting this information from students that they are informed of why they are being asked to provide their Social Security numbers, in accordance with the Privacy Act statement below.

PRIVACY ACT

In accordance with the Privacy Act of 1974 (Public Law No. 93-579, 5 U.S.C. 552a), you are hereby notified that the Department of Labor is authorized to collect information to implement the Trade Adjustment Assistance Community College and Career Training Program under 19 USC 2372 – 2372a. The principal purpose for collecting this information is to administer the program, including tracking and evaluating participant progress. Providing this information, including a social security number (SSN) is voluntary; failure to disclose a SSN will not result in the denial of any right, benefit or privilege to which the participant is entitled. The information that is collected on this form will be retained in the program files of the grantee and may be released to other Department officials in the performance of their official duties.

(Note: The following is the citation from the Solicitation for Grant Applications (SGA) regarding administrative records: “Applicants must describe their existing or planned approach to tracking and reporting employment, retention, and earnings outcomes using administrative records. This may include working with the State Directory of New Hires, the State Labor Market Information units (that house the Local Employment Dynamic survey data), the State Workforce Agency that is responsible for tracking and reporting outcomes on TAA for Workers program participants using the Trade Act Participant Record http://www.doleta.gov/Performance/pfdocs/12050392_TAPR_Revision_Track_Changes_Draft_T EGL_Change_112909.pdf), or other federally-supported administrative record data. This may also include working with the State Workforce Agency to access employment data available in unemployment wage records. For example, if the applicant does not have an existing relationship with its State’s agency responsible for collecting wage record information to verify employment, it should describe the process that it will use to obtain employment outcome information, which may include establishing data sharing agreement(s) to access administrative records containing this information.)

Attachment B.1: Annual Performance Report – Table 1**Section A. Grantee Identifying Information**

- A.1 **Grantee Name** – Enter the grantee name as it appears on the appropriate Notice of Obligation (NOO) or equivalent official document from the U.S. Department of Labor.
- A.2 **Grant Number** – Enter the grant number as it appears on the appropriate Notice of Obligation (NOO) or equivalent official document from the U.S. Department of Labor.
- A.3 **Program/Project Name** – Enter the name of the TACT Grant program or project.
- A.4 **Grantee Address** – Enter the mailing address as it appears on the appropriate NOO or equivalent official document from the U.S. Department of Labor.
- A.5 **Report Year End Date** – Enter the year (yyyy) for which the report is being prepared.
- A.6 **Report Due Date** – Enter the month, day, and year (mm/dd/yyyy) on which the report is due to the Department. For example, if the report is being prepared for the year ending 09/30/2012, the Report Due Date format should be represented as 11/14/2012.

Section B. Participant Outcomes (ALL GRANT PARTICIPANTS)

Grantees are required to submit information for Rows B.1-B.10 only through the end of the year in which the data is being reported for participants enrolled in programs funded by the Trade Adjustment Assistance Community College and Career Training Grant. Grantees should report information on participants after Year 1 if it is available. For Years 2 (Column B) and 3 (Column C), data should be reported cumulatively in the appropriate year's column. For all data collection items contained within this section, the data format is *Integer* with a maximum field length of *6-digits*. Information should be provided as follows:

- B.1 **Unique Participants Served/Enrollees** – Enter the cumulative total number of individuals who entered any of the grant-funded programs offered to date (including certificate or degree programs or other training activities). Participants should only be included once, even if they enroll in multiple programs.
- B.2 **Total Number Who Have Completed a Grant-Funded Program of Study** – Enter the total number of unique participants (B.1) who completed any grant-funded program to date. Completion is defined as having earned all of the credit hours (formal award units) needed for the award of a degree or certificate in that program of study. Participants should only be included once, even if they complete multiple programs.
- B.2a **Total Number of Incumbent Workers Who Have Completed a Grant-Funded Program of Study** – Enter the total number of participants employed at enrollment who complete any grant-funded program to date. Completion is defined as having earned all of the credit hours (formal award units) needed for the award of a degree or certificate in that

program of study. Participants should only be included once, even if they complete multiple programs.

- B.3 Total Number Still Retained in Their Program of Study or Other Grant-Funded Program(s)** – Of the total number of unique participants enrolled (B.1) who have not completed their programs, enter the total number of enrollees who were still enrolled either in their original program of study or a different grant-funded program of study at the end of the reporting year. (Note: A participant counted in B.2 should not be counted again in B.3).
- B.4 Total Number Retained in Other Education Program(s)** – Of the total number of unique participants enrolled, enter the total number of enrollees who dropped out of a grant-funded program of study, but have enrolled in another education program not funded by the grant. (Note: A participant counted in B.2 or B.3 should not be counted in B.4).
- B.5 Total Number of Credit Hours Completed** – Enter the total number of credit hours to date that have been completed by participants in grant-funded certificate and degree programs. This number should be reported in aggregate across all enrollees, even if the participant is no longer enrolled in the grant-funded program of study or did not complete the program.
- B.5a Total Number of Students Completing Credit Hours** – Enter the total number of students who have enrolled that have completed any number of credit hours to date.
- B.6 Total Number of Earned Degrees/Certificates** – Enter the total number of degrees or certificates earned to date by participants for grant-funded programs. This number should be reported in aggregate across all enrollees, including multiple certificates and degrees earned by the same participant.
- B.6a Total Number of Students Earning Certificates (less than one year)** – Enter the total number of students who earned certificates designed to be completed in one year or less. A student can be counted only once in this field, even if multiple certificates were earned by that student.
- B.6b Total Number of Students Earning Certificates (more than one year)** – Enter the total number of students who earned certificates designed to be completed in more than one year. A student can be counted only once in this field, even if multiple certificates were earned by that student.
- B.6c Total Number of Students Earning Degrees** – Enter the total number of students who earned degrees. A student can be counted only once in this field, even if multiple degrees were earned by that student.

- B.7 **Total Number Enrolled in Further Education After Program of Study Completion** – Of the total number of participants who completed at least one grant-funded program (B.2), enter the total number of individuals to date who entered another program of study (grant-funded or not).
- B.8 **Total Number Employed After Program of Study Completion** – Of the total number of participants who were not incumbent workers and who completed at least one grant-funded program (B.2), enter the total number of individuals to date who entered unsubsidized employment in the first quarter after the quarter in which the student exits the college. Exit is defined as being no longer enrolled at the college in any program of study and can include formal withdrawal, expulsion, graduation, and other reasons. (Note: A participant counted in B.8 may be counted again in B.9).
- B.9 **Total Number Retained in Employment After Program of Study Completion** – Of the total number of participants who were employed in the first quarter after the quarter in which the student exits the college (B.8), enter the total number of individuals to date who were employed in the second and third quarters after exit. Exit is defined as being no longer enrolled at the college in any program of study and can include formal withdrawal, expulsion, graduation, and other reasons. (Note: A participant counted in B.9 should be counted in B.8).
- B.10 **Total Number of Those Employed at Enrollment Who Received a Wage Increase Post-Enrollment** – Of the number of incumbent workers (those employed at enrollment) who enter a grant-funded program, enter the total number who received an increase in their wages at any time after becoming enrolled.

Section C. Participant Summary Information (ALL GRANT PARTICIPANTS)

Demographic characteristics of new participants contained in this section should be based on information collected from the individual at the time of participation in the program and reported for new participants cumulatively through the end of the reporting year. Grantees should submit all of the information below for the participants enrolled and funded by the Trade Adjustment Assistance Community College and Career Training Grant. For all data collection items contained within this section, the data format is *Integer* with a maximum field length of *6-digits*.

- C.1a **Male** – Enter the total number of new participants who self-identify their gender as male.
- C.1b **Female** – Enter the total number of new participants who self-identify their gender as female.
- C.2a **Hispanic/Latino** – Enter the total number of new participants who self-identify their ethnicity as Hispanic/Latino. The term Hispanic/Latino includes persons of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race.

- C.2b **American Indian or Alaskan Native** – Enter the total number of new participants who self-identify their race as American Indian or Alaskan Native. The racial category American Indian or Alaska Native includes persons 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.
- C.2c **Asian** – Enter the total number of new participants who self-identify their race as Asian. The racial category Asian includes persons having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., Bangladesh, Bhutan, India, Nepal, Pakistan, Sri Lanka, and Sikkim). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.
- C.2d **Black or African American** – Enter the total number of new participants who self-identify their race as Black or African American. The racial category Black or African American includes persons having origins in any of the black racial groups of Africa.
- C.2e **Native Hawaiian or Other Pacific Islander** - Enter the total number of new participants who self-identify their race as Native Hawaiian or Other Pacific Islander. The racial category Hawaiian Native or Other Pacific Islander includes persons having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- C.2f **White** - Enter the total number of new participants who self-identify their race as White. The racial category White includes persons having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- C.2g **More Than One Race** - Enter the total number of new participants who self-identify more than one of the racial categories outlined in **Rows C.2b** through **C.2f** above.
- C.3a **Full-time Status** - Enter the total number of new participants who are enrolled in college courses on a full-time basis. Full-time basis is defined as enrollment into 12 or more credit hours in the Fall or Spring semester and 6 or more credit hours in the Summer.
- C.3b **Part-time Status** - Enter the total number of new participants who are enrolled in college courses on a part-time basis. Part-time basis is defined as enrollment into less than 12 credit hours in the Fall or Spring semester and less than 6 credit hours in the Summer.
- C.4a **Incumbent Workers** - Enter the total number of new participants who are already employed at the time of enrollment.
- C.4b **Eligible Veterans** - Enter the total number of new participants who meet one of the following conditions as a veteran:
1. Is a person who served at least one day in the active military, naval, or air service, and who was discharged or released therefrom under conditions other than dishonorable, as specified in 38 U.S.C. 101(2).
 2. Is a person who is (a) the spouse of any person who died of a service-connected disability, (b) the spouse of any member of the Armed Forces serving on active duty who at the time of application for assistance under this part, is listed, pursuant to 38 U.S.C 101 and the regulations issued thereunder, by the Secretary concerned, in one or more of the following categories and has been so listed for more than 90 days: (i)

missing in action; (ii) captured in the line of duty by a hostile force; or (iii) forcibly detained or interned in the line of duty by a foreign government or power; or (c) the spouse of any person who has a total disability, permanent in nature resulting from a service-connected disability or the spouse of a veteran who died while a disability so evaluated was in existence.

- C.4c **Participant Age (Mean)** - Enter the mean age in years of the new participants. Mean age is defined as the sum of the ages of all of new participants/enrollees divided by the number of new participants/enrollees.
- C.4d **Persons with a Disability** - Enter the total number of new participants, where known, or who self-identify that they have any "disability," as defined in Section 3(2)(a) of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102). Under that definition, a "disability" is a physical or mental impairment that substantially limits one or more of the person's major life activities. (For definitions and examples of "physical or mental impairment" and "major life activities," see paragraphs (1) and (2) of the definition of the term "disability" in 29 CFR 37.4, the definition section of the WIA non-discrimination regulations.)
- C.4e **Pell-Grant Eligible** – Enter the number of participants who are eligible to receive federal Pell Grant assistance.
- C.4f **TAA Eligible** – Enter the number of participants who are eligible to receive Trade Adjustment Assistance (TAA) benefits.
- C.4g **Other Demographic Measures** – This optional field allows grantees to enter and report on additional characteristics as needed or desired. For grantees focusing on Priority 1, information on the number of participants identified with a basic skills deficiency should be included. Basic skills deficiency is defined as not academically prepared to succeed in college-level courses towards a degree or certificate.

Section D. Achievements and Successes

This field will be used by grantees to provide a brief narrative description of their most innovative achievement or greatest success story from the previous year.

Section E. Implementation and Evaluation of Evidence-Based or Technology-Enabled Strategies

Grantees who received funding that exceeded the award amount ceiling should provide specific information about:

- E.1 As appropriate based on the grantee’s statement of work, how the grantee has replicated strategies based on strong to moderate evidence at multiple sites, OR how the grantee has taken online and technology-enabled courses and learning projects to scale beyond the community level to reach significant numbers of diverse students over a large geographic area.

- E.2 As appropriate based on the grantee's statement of work, any efforts the grantee is undertaking to conduct a rigorous evaluation to identify the impact of project strategies on employment and educational outcomes, OR how the grantee is enabling the wide-spread use of program materials and how the program is improving learning outcomes. Grantees are encouraged to work with third party evaluation experts to conduct such evaluations.

Section F. Services and Outcomes for TAA Eligible Individuals

This field will be used by grantees to provide a description of how the program(s) have served TAA eligible individuals. Specifically, grantees should address: 1) the number of TAA Eligible individuals who participated in TAACCCT funded programs; 2) how many TAA Eligible individuals enrolled and obtained credentials, certificates or degrees; 3) how many TAA Eligible Individuals enrolled and did not attain credentials, certificates or degrees; and 4) the average duration and whether the duration of education and training was longer or shorter for these individuals than for other non-TAA eligible participants. Grantees can use observations or participant records to compile and summarize this information

Attachment B.1 – Excel File

Attachment B.2: Annual Cohort Performance Report – Table 2

Table 2 of the Annual Outcome Report will include data for a cohort(s) of program participants, as well as a comparison cohort(s) of participants, on twelve measures: new student enrollees, number of students completing the program, number of students retained in the program, number of students retained in other education program(s), number of credit hours completed, number of degrees/certificates awarded, degree/certificate completion rate, number of placements into employment, entered employment rate, number retained in employment, employment retention rate, and average earnings. Grantees will enter this data using Table 2 of the Annual Performance Report Form for each program of study funded by the grant. Therefore, if a grantee is operating three programs, it will provide three sets of Table 2 data. More specifically, sections A-D will be submitted multiple times to correspond with the number of programs of study. A program of study is broadly defined as an educational program in which a degree or certificate is granted. Several smaller programs may be grouped together into a larger program as appropriate, based on similarities in industry or educational emphases. Programs may also be broken down as needed to form adequate comparison cohorts. Additional guidance on grouping programs of study appropriately will be developed and provided to winning grantees during orientation once details from the winning grantees' statements of work are known.

The form and instructions for completing it can be found below and in attachment B.2.

The purpose of Table 2 is to be able to see how the outcomes for a designated group of TAACCT participants compare to other similar students that the college serves. The designated group of TAACCT participants must be derived from either the participants that enrolled in the program during the first year of the grant (if substantial numbers of participants did so), or the participants that enrolled the second year. In order to judge how well the TAACCT programs are serving their students, grantees are asked to identify a group of "like" students—i.e. the comparison cohort.

The comparison students should be similar to the participants with respect to age and gender, at a minimum, but hopefully they will be similar on other dimensions such as type of program of study and other demographic characteristics.

Grantees must follow these parameters when establishing the comparison cohort:

- Age (required)
- Gender (required)
- Program of study (if at all possible)
- Incumbent Worker Status (optional)
- Degree-seeking status (optional)
- Ethnicity/Race (optional)
- Disability Status (optional)
- Veteran Status (optional)
- Pell-grant eligible (optional)

- TAA-eligible (optional)
- Other as defined in the Statement of Work (optional)

A program's comparison cohort will be deemed acceptable only if the average age and percent male matches that of the participant cohort (unless special approval is given by the grants officer). Although an exact match may not always be possible, the margin of discrepancy between the participant and comparison cohorts should be as small as possible given the reality of who enrolls. Comparison groups are better if the averages of other characteristics match or come close to those of the participant cohort's characteristics.

For the first annual report, grantees *may* provide information on program participants if it is available, and grantees *must* report information on a "test" comparison cohort for each program of study. ETA is requiring reporting of the "test" cohort in order to ensure that grantees are prepared to identify the cohort and report on it in preparation for the second annual report. During year one, if there is not a participant cohort upon which to base the comparison, grantees should make an estimate based on the *expectations* of the types of students who will enroll in the program. During year two, grantees should report on the actual comparison cohorts that they have established based on the parameters for matching to the actual enrollments that comprise the participant cohorts, and discontinue reporting on the test comparison cohort. The test cohort established in year one should not be used as the actual comparison cohort.

In year one, grantees should include a narrative discussion in Table 2 about how the comparison cohort was identified, selected, and how it will be tracked during Years Two and Three of the grant. If the comparison cohort is selected from a recent sample of students, grantees should describe the process for making this decision and the process that followed for selection. Grantees should also describe the process for deciding how to group the programs of study, and provide the final program groupings that will be tracked. During Years 2 and 3, grantees should continue to report on the progress of tracking the participant and comparison cohorts through these programs.

Section A. Acceleration of Progress for Low-skilled and Other Workers (Report only as applicable)

Grantees are required to submit information for this section only if their Statements of Work focus on Priority 1 ("Accelerate progress for low-skilled and other workers") or only if the grantee has in place procedures whereby all students in the program are assessed for basic skills or for academic preparation to succeed in college-level courses towards a degree or certificate. It is not the intention of this performance reporting to incentivize additional screening of individuals if it is not the practice of the educational institutions and if it will deter the individual from enrolling in a program. For all data collection items contained within this section, the data format is *Integer* with a maximum field length of *6-digits*. Information should be provided as follows:

A.1a **Number of Students Enrolled with a Basic Skills Deficiency** – Enter the total number of students who are identified as basic skills deficient. Basic skills deficiency is defined as not academically prepared to succeed in college-level courses towards a degree or certificate.

A.1b **Number of Students with Demonstrated Skills Gains Toward a Certificate or Degree** – Enter the total number of students identified as basic skills deficient who demonstrate skills gains towards a degree or certificate. Skills gains towards a degree or certificate may either be determined by demonstrated skills gains on a valid, reliable, and standardized assessment or by success in a college-level course towards a degree or certificate.

A.1c **Number of Students with Success in Credit-Bearing Courses** - Enter the total number of students previously identified as basic skills deficient who complete at least one college-level course in a program leading towards a degree or certificate.

Section B. Participant Progress by Program (Section will be repeated on form for multiple program entries)

Grantees are required to submit new information for Rows B.1-B.13, B.15 and B.17 for the year in which the data is being reported only. This information should be entered for both the identified cohort of participants enrolled in the program funded by the Trade Adjustment Assistance Community College and Career Training Grant and for the comparison cohort of students in a similar program not funded by the grant. For Year 1 (Column A), grantees may report information available on the participant cohort if available, but must report information on a comparison cohort as a test for running the cohort. Rows B.14 and B.16 will automatically calculate the appropriate percentages based on grantee entries in other rows, as described below. For all data collection items contained within this section, the data format is *Integer* with a maximum field length of *6-digits*. Additional information should be entered for each program offered. Information should be provided as follows:

- B.1 **Program** – Grantee should enter the name of the degree or certificate program for which data will be reported.
- B.2 **Colleges Offering the Program (Consortia only)** – Consortium grantees should enter the names of each member institution offering the degree or certificate program for which data will be reported.
- B.3 **Typical/Expected Length of Program** – Enter the standard duration of the program for full-time enrollees (e.g., 6 months, 1 year, 2 years, etc.).
- B.4 **Cohort Start Date(s)** – Enter the date that the participant and comparison cohorts started the program. If the participant and comparison cohorts did not start at the same time, enter both dates, with the participant cohort start date entered first.
- B.5 **Total Number of Students in Cohort** – Enter the total number of new students who were enrolled on the cohort start date for this program.

- B.6 **Total Number of Students Completing This Program** - Enter the total number of students enrolled on the cohort start date (B.5) who completed this program to date. Completion is defined as having earned all of the credit hours (formal award units) needed for the award of a degree or certificate in this program of study.
- B.6a **Total Number of Incumbent Workers Who Have Completed a Grant-Funded Program of Study** – Enter the total number of students in the cohort employed at enrollment who completed this program to date. Completion is defined as having earned all of the credit hours (formal award units) needed for the award of a degree or certificate in that program of study.
- B.7 **Total Number Still Retained in This Program** – Of the total number of students enrolled on the cohort start date (B.5) who have not completed the program, enter the total number of students who were still enrolled in this program of study at the end of the reporting year. (Note: A student counted in B.6 should not be counted in B.7).
- B.8 **Total Number Retained in Other Education Program(s)** – Of the total number of students enrolled on the cohort start date (B.5), enter the total number of students who dropped out of this program, but had enrolled in another education program (grant-funded or not). (Note: A student counted in B.6 or B.7 should not be counted in B.8).
- B.9 **Total Number of Program Credit Hours Completed** – Enter the total number of credit hours to date that have been completed by students for this program of study. This number should be reported in aggregate across all enrollees, even if the enrollee is no longer in this program or did not complete the program.
- B.9a **Total Number of Students Completing Credit Hours in This Program** – Enter the total number of students in the cohort that have completed any number of credit hours to date in this program of study.
- B.10 **Total Number of Earned Degrees/Certificates** – Enter the total number of degrees or certificates earned to date by students in this program. This number should be reported in aggregate across all enrollees. This number should be reported in aggregate across all enrollees, including multiple certificates and degrees earned by the same student (if applicable).
- B.10a **Total Number of Students Earning Certificates in This Program (less than one year)** – Enter the total number of students who earned certificates in this program that were designed to be completed in one year or less in this program. A student can be counted only once in this field, even if multiple certificates were earned by that student.
- B.10b **Total Number of Students Earning Certificates in This Program (more than one year)** – Enter the total number of students who earned certificates in this program that were

designed to be completed in more than one year. A student can be counted only once in this field, even if multiple certificates were earned by that student.

- B.10c **Total Number of Students Earning Degrees in This Program** – Enter the total number of students who earned degrees in this program. A student can be counted only once in this field, even if multiple degrees were earned by that student.
- B.11 **Total Number Enrolled in Further Education After Program of Study Completion** – Of the total number of participants who completed this program of study (B.6), enter the total number of individuals to date who entered another program of study (grant-funded or not).
- B.12 **Number of Non-Hispanic White Graduates Employed After Program Completion** – Of the total number of students who were identified as white (C.2f) and who did not identify themselves as Hispanic or Latino, and who completed this program (B.6), enter the total number to date who entered unsubsidized employment in the first quarter after the quarter in which the program of study was completed. (Note: A participant counted in B.12 may be counted again in B.15).
- B.13 **Number of Non-White (Hispanic or Non-Hispanic) Graduates Employed After Program Completion** – Of the total number of students who were identified as American Indian or Native American (C.2b), Asian (C.2c), Black or African-American (C.2d), Native Hawaiian or other Pacific Islander (C.2e), multi-racial (C.2g) or who identified their ethnicity as Hispanic or Latino (C.2a), and who completed this program (B.6), enter the total number to date who entered unsubsidized employment in the first quarter after the quarter when a the program of study was completed. (Note: A participant counted in B.13 may be counted again in B.15).
- B.14 **Entered Employment Rate for this Program** – The form automatically calculates the percentage of students from this program who entered employment during the first quarter after the quarter of degree or certificate completion. Percentage is defined as the number of students from the program that obtain employment during the first quarter after the quarter in which the program of study is completed (B.12 and B.13) divided by the difference between the number of students that completed the program (B.6) and the number of incumbent workers enrolled in the program (C.4a).
- B.15 **Total Number Retained in Employment After Program of Study Completion** – Of the total number of students who were employed in the first quarter after the quarter in which the program of study was completed, enter the total number of individuals to date who were employed in the second and third quarters after program completion. (Note: A participant counted in B.15 should be counted in B.12 or B.13).
- B.16 **Employment Retention Rate for this Program** – The form automatically calculates the percentage of students from this program who retained employment during the second and third quarters after the quarter of program of study completion. Percentage is

defined as the number of students from the program that retained employment during the second and third quarters after the quarter of program completion (B.15) divided by the number of students that entered employment in the first quarter after the quarter of program completion (B.12 and B.13).

- B.17 **Average Program Graduate Six-Month Earnings (gross)** – Of those participants from this program who are employed in their first, second, and third quarters after program of study completion (B.15), enter the average gross earnings from the second and third quarters after program completion.

Section C. Summary Student Information – Participant and Comparison Cohorts (ALL PROGRAMS, BASED ON ENTRY INTO PROGRAMS DURING YEAR 2)

Demographic characteristics of enrollees and the comparison cohort contained in this section should be based on information collected from the individual at the time of participation in the program and reported for a single set of enrollees across the grant period. Grantees should submit all of the information below both for the participants enrolled in programs funded by the Trade Adjustment Assistance Community College and Career Training Grant and for the comparison cohort of students in programs not funded by the grant that has been identified by the grantee. For all data collection items contained within this section, the data format is *Integer* with a maximum field length of *6-digits*.

- C.1a **Male** – Enter the total number of participants who self-identify their gender as male.
- C.1b **Female** – Enter the total number of new participants who self-identify their gender as female.
- C.2a **Hispanic/Latino** – Enter the total number of new participants who self-identify their ethnicity as Hispanic/Latino. The term Hispanic/Latino includes persons of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race.
- C.2b **American Indian or Alaskan Native** – Enter the total number of new participants who self-identify their race as American Indian or Alaskan Native. The racial category American Indian or Alaska Native includes persons 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.
- C.2c **Asian** – Enter the total number of new participants who self-identify their race as Asian. The racial category Asian includes persons having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., Bangladesh, Bhutan, India, Nepal, Pakistan, Sri Lanka, and Sikkim). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.
- C.2d **Black or African American** – Enter the total number of new participants who self-identify their race as Black or African American. The racial category Black or African American includes persons having origins in any of the black racial groups of Africa.

- C.2e **Native Hawaiian or Other Pacific Islander** - Enter the total number of new participants who self-identify their race as Native Hawaiian or Other Pacific Islander. The racial category Hawaiian Native or Other Pacific Islander includes persons having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- C.2f **White** - Enter the total number of new participants who self-identify their race as White. The racial category White includes persons having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- C.2g **More Than One Race** - Enter the total number of new participants who self-identify more than one of the racial categories outlined in **Rows C.2b** through **C.2f** above.
- C.3a **Full-time Status** - Enter the total number of new participants who are enrolled in college courses on a full-time basis. Full-time basis is defined as enrollment into 12 or more credit hours in the Fall or Spring semester and 6 or more credit hours in the Summer.
- C.3b **Part-time Status** - Enter the total number of new participants who are enrolled in college courses on a part-time basis. Part-time basis is defined as enrollment into less than 12 credit hours in the Fall or Spring semester and less than 6 credit hours in the Summer.
- C.4a **Incumbent Workers** - Enter the total number of new participants who are already employed at the time of enrollment.
- C.4b **Eligible Veterans** - Enter the total number of new participants who meet one of the following conditions as a veteran:
1. Is a person who served at least one day in the active military, naval, or air service, and who was discharged or released therefrom under conditions other than dishonorable, as specified in 38 U.S.C. 101(2).
 2. Is a person who is (a) the spouse of any person who died of a service-connected disability, (b) the spouse of any member of the Armed Forces serving on active duty who at the time of application for assistance under this part, is listed, pursuant to 38 U.S.C 101 and the regulations issued thereunder, by the Secretary concerned, in one or more of the following categories and has been so listed for more than 90 days: (i) missing in action; (ii) captured in the line of duty by a hostile force; or (iii) forcibly detained or interned in the line of duty by a foreign government or power; or (c) the spouse of any person who has a total disability, permanent in nature resulting from a service-connected disability or the spouse of a veteran who died while a disability so evaluated was in existence.
- C.4c **Participant Age (Mean)** - Enter the mean age in years of the new participants. Mean age is defined as the sum of the ages of all of new participants divided by the number of new participants.
- C.4d **Persons with a Disability** - Enter the total number of new participants, where known, or who self-identify that they have any "disability," as defined in Section 3(2)(a) of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102). Under that definition, a "disability" is a physical or mental impairment that substantially limits one or more of the person's major life activities. (For definitions and examples of "physical or mental

impairment" and "major life activities," see paragraphs (1) and (2) of the definition of the term "disability" in 29 CFR 37.4, the definition section of the WIA non-discrimination regulations.)

- C.4e **Pell-Grant Eligible** – Enter the number of participants who are eligible to receive federal Pell Grant assistance.
- C.4f **TAA Eligible** – Enter the number of participants who are eligible to receive Trade Adjustment Act assistance.
- C.4g **Other Demographic Measures** – This optional field allows grantees to enter and report on additional characteristics as needed or desired. For grantees focusing on Priority 1, information on the number of participants identified with a basic skills deficiency should be included. Basic skills deficiency is defined as not academically prepared to succeed in college-level courses towards a degree or certificate.

Section D. Comparison Cohort Description

This field should be used in Year 1 to describe how the comparison cohort was identified, selected, and how it will be tracked during years two and three of the grant. If the comparison cohort is selected from a recent sample of students, the processes for making this decision and for making the selection should also be described. Grantees should also describe the process for deciding how to group the programs of study, and provide the final program groupings that will be tracked. During Years 2 and 3, grantees should continue to report on the progress of tracking the participant and comparison cohorts through these programs.

Section E. Report Certification/Additional Comments

- E.1 **Report Comments/Narrative** – Grantees should provide any additional information on annual outcomes or about the comparison data in this section.
- E.2 **Name of Grantee Certifying Official/Title** – Enter the name and title of the grantee official that is certifying submission of the report to the Department.
- E.3 **Telephone Number** – Enter the *area code (999)* and *telephone number (999-9999)* of the authorized official.
- E.4 **Email Address** – Enter the email address of the authorized official.