

# **H-1B PERFORMANCE REPORTING TOOLKIT**

**Performance Reporting Technical Assistance for:**

- **Scaling Apprenticeship Through Sector-Based Strategies**

Prepared By:

**United States Department of Labor  
Employment and Training Administration  
Office of Workforce Investment  
Division of Strategic Investments**

**VERSION 1.0 – SEPTEMBER 2019**

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# H-1B Grants Performance Reporting Toolkit

Dear H-1B Scaling Apprenticeship Through Sector-Based Strategies (SA) Grantees:

We are happy to present this H-1B Performance Reporting Toolkit.

As a supplement to [H-1B Grants Scaling Apprenticeship Performance Reporting Handbook & Workforce Integrated Performance System \(WIPS\) Reporting Guidance \(H-1B Performance Handbook\)](#), this toolkit is designed to support H-1B SA grantees in preparing and submitting their quarterly progress reports to the Department of Labor (DOL), Employment and Training Administration (ETA). This technical assistance tool is designed specifically for H-1B SA grant program staff such as data entry and IT personnel, case managers, program managers, and directors; including training and supportive service partners, who are responsible for tracking participant records, creating grantee data files, uploading data files, and submitting quarterly progress reports.

## About This Toolkit

The purpose of this toolkit is to support your quarterly progress reporting process. From pre-recorded tutorials, webinar recordings, and frequently asked questions (FAQs), you will have the tools you need to ensure success with your program's quarterly progress reporting efforts.

Throughout this document, be on the lookout for these key sources for additional information. We'll continue to update this document as additional performance reporting technical assistance (TA) resources are released.

### Resource Alerts, Hot Tips! Checklists and Knowledge Checks!

These are related quick links to additional resources available in the H-1B Scaling Apprenticeship (CoP). Look for these key textboxes to ensure you have everything you need to report performance effectively.

## Before You Begin

Organize your key H-1B Performance Reporting policy guidance documents together in a centralized location so they are readily accessible to you and your staff. This toolkit is your performance reporting roadmap! These documents provide detailed information on performance reporting, including complete reporting requirements and instructions, guidance on the standardized collection of participant data, and submitting Quarterly Progress Reports.

## **RESOURCE ALERT!**

### **PERFORMANCE RESOURCES**

[H-1B SA Performance Reporting Handbook](#)

[Joint Quarterly Narrative Performance Report Template \(ETA -9179\)](#)

[DOL PIRL for SA Grants](#)

[H-1B SA Sample Case Management and Data File](#)

[H-1B SA Intro to Performance Reporting Webinar](#)

### **Coming Soon....**

*H-1B Scaling Apprenticeship Community of Practice*

Make sure your program staff has a firm grasp of all the performance reporting requirements in your H-1B Funding Opportunity Announcement (FOA) and the projected performance outcomes that have been identified in your grant program’s Statement of Work (SOW). Use the Performance Reporting Checklist in Figure 1 below to ensure you have everything that you need for Performance Reporting:

**Figure 1: Performance Reporting Checklist**

H-1B Funding Opportunity Announcement (FOA)	Your Program’s Statement of Work (SOW)
<p><b>Are you aware of?</b></p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Allowable Grant Activities</li> <li><input checked="" type="checkbox"/> Allowable Training and Services</li> <li><input checked="" type="checkbox"/> Participants Eligible to Receive Training</li> </ul>	<p><b>Are you aware of?</b></p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Program Design</li> <li><input checked="" type="checkbox"/> Target Population</li> <li><input checked="" type="checkbox"/> Training and Services</li> <li><input checked="" type="checkbox"/> Target Performance Outcomes</li> </ul>
<b>— PERFORMANCE REPORTING CHECKLIST —</b>	
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> What documents do I need to review?                             <ul style="list-style-type: none"> <li>■ H-1B FOA</li> <li>■ My grant program’s Statement of Work</li> <li>■ My target performance outcomes (submitted with your SOW or revised during the compliance review process)</li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> How do I learn about the performance reporting requirements for this grant?                             <ul style="list-style-type: none"> <li>■ Review the <a href="#">H-1B Grants Scaling Apprenticeship Performance Reporting Handbook &amp; Workforce Integrated Performance System (WIPS) Reporting Guidance (H-1B Performance Handbook)</a></li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> What are the H-1B PIRL Data Elements?                             <ul style="list-style-type: none"> <li>■ Review the <a href="#">ETA-9172 DOL PIRL for H-1B Grants</a></li> <li>■ See <a href="#">Sample Data Files and Participant Records</a></li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Where do I go to find more information?                             <ul style="list-style-type: none"> <li>■ Shared performance resources are posted online at <a href="#">H-1B Performance Reporting Resource</a> page on the Workforce GPS CoP.</li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Who do I contact if I have a question?                             <ul style="list-style-type: none"> <li>■ Contact the Scaling Apprenticeship Team using the email address for performance-related questions at <a href="mailto:ScalingApprenticeship@dol.gov">ScalingApprenticeship@dol.gov</a>, with a cc to your Federal Project Officer (FPO)</li> <li>■ For all other grant related matters (non-performance reporting questions) your first point of contact should always be your FPO</li> </ul> </li> </ul>	

# Assembling Your H-1B SA Grant Performance Reporting Team

## Establishing Staff Roles and Responsibilities

A part of good grants management is to establish roles and responsibilities for your staff. This chart provides recommendations on how to establish staff roles and responsibilities for accessing and utilizing the Workforce Integrated Performance System (WIPS). WIPS is the performance reporting system H-1B grantees use to submit their quarterly progress reports.

**Figure 2: Staff Roles and Responsibilities for Accessing WIPS**

Staff Role	Action
<ul style="list-style-type: none"> <li>■ Case Manager, Program Coordinators, Training Partners, Service Providers, Employers</li> </ul>	<ul style="list-style-type: none"> <li>✓ Collect participant data</li> <li>✓ Track participant data using internal MIS systems</li> </ul>
<ul style="list-style-type: none"> <li>■ Authorized Representative, Program Director</li> </ul>	<ul style="list-style-type: none"> <li>✓ Secure Personally Identifiable Information</li> </ul>
<ul style="list-style-type: none"> <li>■ Program Director or Manager, Data Managers, IT Staff</li> </ul>	<ul style="list-style-type: none"> <li>✓ Upload data files into WIPS</li> <li>✓ Resolve data file errors</li> <li>✓ Troubleshoot issues in WIPS</li> </ul>
<ul style="list-style-type: none"> <li>■ Authorized Representative</li> </ul>	<ul style="list-style-type: none"> <li>✓ Certify Quarterly Performance Report (QPR) form</li> </ul>

We also suggest H-1B grantees identify the staff responsible for the following tasks:

### Collecting Participant Data

This will vary depending on the service providers for your grant. Although training providers, employers, workforce agencies, or other types of service providers won't access WIPS directly, it's important to establish communication between the Grant Program Manager/Director and those collecting data directly from participants. Participant-level data will always need to be stored and transmitted securely.

## **Securing Personally Identifiable Information**

Grantees must secure Personally Identifiable Information (PII). When grantees collect this information from participants, grantee staff should ensure that participants are informed of why they are being asked to provide their Social Security Number (SSN). Guidance regarding their handling and protection of PII is provided at [TEGL 39-11](#) and in the [H1B Scaling Apprenticeship Performance Reporting Handbook](#).

## **Uploading Data Files**

Once necessary data is collected from participants, dedicated staff will need to ensure that data is saved as one of the appropriate file types (.csv file extensions) before being uploaded into WIPS. The grant program manager may likely be the staff to upload files and reports into WIPS each quarter. If this person leaves the grant program, please ensure that an appropriate staff member is familiar with this process and contact DOL through the Scaling Apprenticeship mailbox at [ScalingApprenticeship@dol.gov](mailto:ScalingApprenticeship@dol.gov) with any grant staff changes.

## **Certifying Reports**

Only the Authorized Representative for your grant is permitted to certify quarterly progress reports.

## FAQs

**QUESTION:** I'm a new grant program manager and I have new case managers working on this grant project. What do we need to do?

**ANSWER:** As a new grant program manager, the first step is to review the Workforce GPS performance resource page at [H-1B Performance Reporting Resources for Scaling Apprenticeship](#). All staff responsible for tracking program participant information should have a copy of the H-1B Scaling Apprenticeship Performance Handbook, H-1B PIRL Data Elements, and reporting forms and templates. Staff also should be familiar with the grant's Statement of Work and grant specific FOA. This information will help ensure that all eligibility and program requirements are being met.

**QUESTION:** What happens if the original Authorized Representative is no longer the official representative for the grant?

**ANSWER:** Contact your FPO to submit a grant modification to change the Authorized Representative on file at DOL.

**QUESTION:** What happens if I am late submitting a quarterly report?

**ANSWER:** Contact your FPO, and cc your grant program mailbox to let DOL know that you need additional time to submit your quarterly report.

**QUESTION:** Are Quarterly Progress Reports submitted with financial reports?

**ANSWER:** No. Financial reports are due at the same time as Quarterly Progress Reports, but are submitted via a separate electronic grantee reporting system. Your Username and Password for the WIPS system will not work in the Financial Reporting System.

### **KNOWLEDGE CHECK!**

TOP Five Performance Reporting essentials that you should know!

1. [Quarterly Progress Report Deadlines](#)
2. [H-1B Performance Reporting Handbook](#)
3. [H-1B PIRL Data Elements](#)
4. H-1B Community of Practice (CoP)
5. Your Grant Federal Project Officer

# Section 1: H-1B Grants Performance Reporting Requirements

## H-1B Quarterly Progress Reports

H-1B grantees are required to submit Quarterly Progress Reports to DOL/ETA each reporting quarter, which includes an H-1B Quarterly Performance Report (QPR) and a Quarterly Narrative Report (QNR).

## Quarterly Submission Process - WIPS

Grantees will use existing resources or develop their own internal management information system (MIS) or database system to track participant data described in the [H-1B PIRL Data Elements for SA](#).

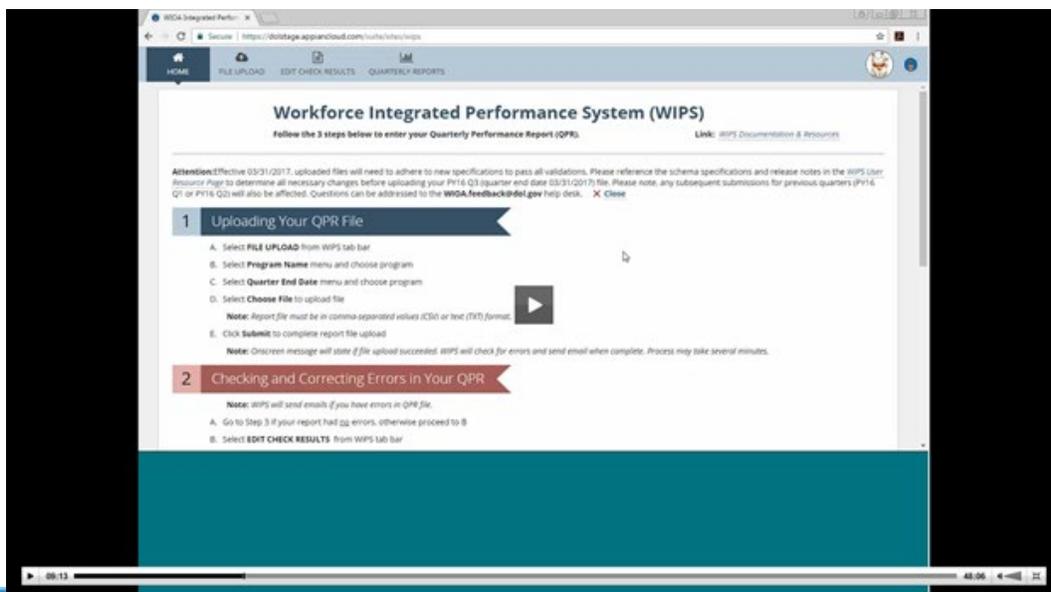
At the end of each quarterly reporting period, H-1B grantees will export their data files and upload them into WIPS. WIPS is a file-upload system that electronically generates grantees' participant level data into the H-1B Quarterly Performance Report (QPR) form. Grantees also submit their H-1B Quarterly Narrative Report (QNR) in WIPS.

### What is WIPS?

WIPS is the online portal where H-1B grantees upload their data files that will inform the H-1B QPR ETA Form.

### Keep in Mind

- WIPS is exclusively a performance reporting system
- WIPS is not a case management system



## Section 2: H-1B Data Elements

An H-1B data element (DE) is a unique identifier that enables DOL ETA to collect information required to assess the performance of Federal investments for various training and employment programs. H-1B data elements are defined in the [ETA-9172- DOL Participant Individual Records Layout \(PIRL\)](#). These data elements are used to record participant-level data, track participant outcomes used for Quarterly Progress Reports, and to assess the grantee’s internal progress.

[The ETA-9172- DOL Participant Individual Records Layout \(PIRL\)](#) includes five key sections: *Individual Information, Program Participation Information, Services and Activities, Program Outcomes Information, and H-1B*. Grantees are required to collect the data elements specified in these sections for H-1B Grants performance reporting purposes.

**RESOURCE ALERT!**  
[H-1B SA PIRL Data Elements](#)

### H-1B PIRL Data Elements Sample

DATA ELEMENT NO.	DATA ELEMENT NAME	DATA TYPE/ FIELD LENGTH	DATA ELEMENT DEFINITIONS/INSTRUCTIONS	CODE VALUE	H-1B PROGRAM REQUIREMENTS <sup>1</sup>
200	Date of Birth (WIOA)	DT 8	Record the participant's date of birth.	YYYYMMDD	
201	Sex (WIOA)	IN 1	Record 1 if the participant indicates that he is male. Record 2 if the participant indicates that she is female. Record 9 if the participant did not self-identify their sex.	1 = Male 2 = Female 9 = Participant did not self-identify	

Each data element has a:

- Data number and name
- Data definition and instruction
- Code value

Additionally, each data element has its own:

- Edit check logic rules, corresponding error message and count of total errors
- Aggregation rules to inform how the data will populate the *H-1B QPR*

RELEVANT DEFINITIONS	
<b>Data Definition and Instruction</b>	Instructions on how to record the data element
<b>Code Value</b>	Valid Values verify the input of each field of data entered for format, length and in some cases value input. Errors column in the EDIT CHECK RESULTS tab.
<b>Field Type/Length</b>	IN – Integers are whole numbers (no decimals allowed)

	IN 9 – Number (Integer) with up to nine characters DT 8 – Date with up to eight characters AN 2 – Alpha-Numeric up to two characters
<b>Optional</b>	Leave field blank or fill in, if applicable
<b>Edit Check Logic Rules</b>	Logical Rules are analytical validations to ensure data is accurately entered, including fields that are required which is typically dependent on the data entered in other fields.
<b>Error Type</b>	The error category that you will see if there is an error to your data file
<b>Error Message</b>	The message that you will see if there is an error to your data file
<b>Aggregation Rule</b>	These are calculations that are used to populate the Quarterly Performance Reporting Form.

**TIPS:**

- Your data file should be a comprehensive compilation of all participants served throughout the life of your grant. This will include all new participants served in the current reporting quarter and all participants served in previous quarters of your grant.
- If you are using an Excel data spreadsheet, updates to a participant record reflecting new program activities will be recorded in the DEs across your data file. New participants served will be entered as a new participant record and added as a new row of your data spreadsheet.
- A participant record should have a corresponding code value for each DE. In some cases, leaving the data field blank is an option if the DE does not apply to the participant.

An acceptable data file is submitted in csv format. This file will look similar to the sample diagram below:

**Sample Data File Upload for Two Participant Records**

123456789123	GA	SARAP11			19920311	1	1	0
234567891234	GA	SARAP11			19931114	2	0	0

**Important note:** *This sample file displays two participant records with only nine DEs recorded. This file does not display all the DEs that would be collected and recorded in a complete WIPs file submission. For a full sample of what a typical file upload would look like, please refer to our [Sample File Upload and tip sheets located at the H-1B Scaling Apprenticeship Performance Reporting Resource Page](#) on WorkforceGPS.*

These participant records will be saved as one data file and submitted to DOL by using the file-upload reporting system WIPs.

## Section 3: Establishing Your Process for Performance Reporting

ETA wants to ensure your data collection efforts are as seamless and accurate as possible with minimal burden. And ultimately, to reflect the great work and impact your program is having on the workforce. To accurately and effectively track participants, there are a few things grantees must do:

1. Determine participant eligibility
2. Collect participant data
3. Track participant data
4. Update participant data as needed

### Determining Participant Eligibility

Before collecting participant data on an individual, first establish whether an individual is eligible for your H-1B training program and activities. As part of your process to determine participant eligibility, some sample questions might include:

- Is the individual eligible based on the grant's H-1B FOA?
- Is the individual eligible based on the grant Statement of Work (SOW) that was submitted to DOL?
- Is the participant a suitable candidate for the level of training that is offered by this program?
- Are there any prerequisite education/skills needed to be eligible for the training offered?

Gathering the information needed to inform the H-1B data elements should be an integral part of your participant on-boarding process (including assessment, intake, and orientation). Tracking this information in an electronic format will allow grantees, employer partners, training providers and other stakeholders the ability to track outcomes in a systematic way that will ensure consistency and accuracy.

### Ongoing Case Management

Once a participant is determined eligible for your grant's H-1B program, it will be essential to maintain case files for all participants using your internal database system.

- Your case management system should include a method for tracking all data elements upon intake and throughout the period a participant is provided grant-funded services.
- In some cases, training providers may use your system as a mechanism for tracking training participant information in an electronic format that can be easily accessible to you, the grantee.

## Collecting Participant Data

### HOT TIPS

Here are some tips to help improve the data collection process between program grantees, employer partners and education and training providers:

- Develop an electronic case management system that can be transferable between appropriate program partners in order to better assist the development and submission of quarterly reports to DOL.
- Ensure all data elements are reviewed and definitions are understood by all partners before deciding how to answer the data element code values for a participant.
- Ensure that all relevant program partners and training participants understand why certain information is collected, where it is sent and for what purpose.

For example, often training participants are handed a paper form to fill out basic details, which is handed back to the training provider with minimal face-to-face interaction. Unless there is an intermediary, like a case manager, the need for this information may not fully explain or understood.

- Add disclaimer language and guidance during the enrollment process so participants will understand why certain information is being collected on them
- Add relevant dates to the enrollment form

### Participant Intake

As an individual is determined eligible for your specific program activities, you will need an intake process for assessing and collecting information from this individual. An intake process could entail simple processes such as:

- Completing intake forms
- Conducting an intake Interview
- Hosting intake sessions and/or other orientation activities

Guidance provided by ETA on H-1B grants performance reporting can be used by grantees to explain the reason for collecting participant information. Providing participants an explanation for why the information is being collected may increase the likelihood that you will get this information for reporting purposes.

### Intake Forms

Your program's participant intake and/or enrollment form(s) should include questions that help inform all relevant initial data required for H-1B performance reporting; this might include date of entry into the program, age of the participant, employment status at program entry, or other relevant information.

The H-1B data elements have specific definitions that you can use as questions to develop your intake and enrollment forms. Some of these questions can be transferred on to a form to ensure they are 1) being asked in a way that explains the purpose, and 2) ensures the questions are consistent with how DOL will need to report outcomes based on the questions asked.

**Sample Use of Data Elements to Collect Race/Ethnicity Information**

Using the data elements, the third column below is an example of how these data elements could be converted into questions to include on an intake/enrollment form.

**Figure 5: Converting Data Elements into Enrollment Questions**

DE #	Data Element	Description	Sample Intake Form Question
210	Ethnicity Hispanic/ Latino	Record 1 if the participant indicates that he/she is a person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race. Record 0 if the participant indicates that he/she does not meet any of these conditions. Record 9 if the participant did not self-identify his/her ethnicity.	<b>Question One: Do you self-identify as</b> a person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race? YES/NO
211	American Indian or Alaska Native	Record 1 if the participant indicates that he/she is a member of an Indian tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688) [43 U.S.C. 1601 et seq.], which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Record 0 if the participant indicates that he/she does not meet any of these conditions. Record 9 if the participant did not self-identify his/her race.	<b>Question Two: Do you self-identify as</b> 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? YES/NO

**Figure 6: Sample Participant Intake Form**

H-1B Grant Program

Grant Name: \_\_\_\_\_ Case Manager: \_\_\_\_\_

**PARTICIPANT CONTACT INFORMATION**

First Name: \_\_\_\_\_

Middle Name: \_\_\_\_\_ Last Name: \_\_\_\_\_

Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Email Address: \_\_\_\_\_

**PARTICIPANT DEMOGRAPHICS**

\* Social Security Number: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Gender: \_\_\_\_\_ (Male) \_\_\_\_\_ (Female)

**Do you self-identify** as a person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race? YES/NO

**Do you self-identify** as 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? YES/NO

**Collecting Personally Identifiable Information (PII)**

Grantees may possess large quantities of PII for all program participants. This information is generally found in personnel files, participant data sets, performance reports, program evaluations, grant and contract files, and other sources. The Office of Management and Budget (OMB) defines PII as information that can be used to distinguish or trace an individual’s identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual. Grantees are required to protect PII when transmitting information, but are also required to protect PII and sensitive information when collecting, storing, and/or disposing of information as well.

All H-1B grantees are asked to collect Social Security Numbers (SSNs) for all participants served with grant funds and report outcomes to ETA. Grantees have reported that employer partners and training providers were sensitive to the collection of SSNs and forms that included questions identifying race and/or ethnicity. Participant intake forms should include sample disclaimer language around the collection of Social Security Numbers (SSNs).

ETA, on behalf of the grantees, will work with its State partners to match SSNs with employment data available from State Unemployment Insurance (UI) and other administrative wage records (e.g., Federal and Military employment). This matching procedure is necessary in order for ETA to collect consistent and reliable aggregate outcome information for each grantee by calculating a set of **WIOA Indicators of Performance** that includes entry into employment, employment retention, and median earnings. The [H-1B Scaling Apprenticeship Performance Reporting Handbook](#) provides more information on the collection of SSNs to help you and your service and training providers and employer partners during this process.

### **HOT TIPS**

#### **Here are some tips to help protect PII:**

- Before collecting PII, have participants sign release forms acknowledging the use of PII for grant purposes only.
- Whenever possible, ETA recommends the use of unique identifiers for participant tracking instead of SSNs. While SSNs may be initially required for performance tracking purposes, a unique identifier could be linked to each individual record. Once the SSN is entered for performance tracking, the unique identifier would be used in place of the SSN for tracking purposes. If SSNs are to be used for tracking purposes, they must be stored or displayed in a way that is not attributable to a particular individual, such as using a truncated SSN.
- Ensure the collection method is sophisticated enough to securely store participant information including PII.
- Use appropriate methods for destroying sensitive PII in paper files (i.e., shredding) and separately deleting sensitive electronic PII.
- Do not leave records containing PII open and unattended.
- Store documents containing PII in locked cabinets when not in use.
- NEVER send DOL or DOL staff your participant records or data files with sensitive PII.
- Immediately report any breach or suspected breach of PII to the FPO responsible for the grant, and to ETA Information Security at and follow any instructions received from officials of the Department of Labor.

#### **Disclaimer Language on the Collection of Personally Identifiable Information (PII):**

Grantees may use the following sample text to inform participants how PII is being protected and why SSNs are being collected:

*\*This project was funded by a grant awarded under the H-1B grants, as implemented by the U.S. Department of Labor's Employment and Training Administration. The collection of this information helps to track the long-term success of this training program. Your personal information is kept confidential and secure and will not be shared with any outside agencies other than those involved with the support or oversight of the H-1B grant received by Sample Community College and issued by the U.S. Department of Labor. Your information will never be sold or shared with third party agencies through your participation in grant supported training activities. Please direct any additional questions concerning the use of your personal information to Jane Green, Program Director at 856-691-XXXX.*

*In addition to requesting a range of information from project participants, including demographic information, the use of your Social Security Number is also requested in order to access wage and employment information through state databases. Although you cannot be denied service for failure to provide your Social Security Number, we strongly encourage you to do so in order to enable the project to quantify specific employment-related outcomes. Your personal information will be kept confidential.*

## Tracking Participant Data

In preparation for quarterly performance reporting, grantees should develop an internal record-keeping system or use existing resources to track each participant receiving H-1B grant-funded services in order to capture information and other data required to report the quarterly progress of the grant program. This management information system could be as sophisticated as an Access database, or as simple as an Excel spreadsheet.

All participants that your program serves should be entered into your organization's internal participant data tracking system that is aligned with the H-1B PIRL Data Elements. The system must be able to save or export participant records as one CSV data file. More information on tracking participant data can be found in Section 4: Developing Data Files for Performance Reporting.

### **HOT TIPS**

- Make sure your system includes EVERY H-1B required data element as a data field entry for each participant record.
- A participant record should have a corresponding code value for each data element.
- In some cases, leaving the data field blank is an option if the data element does not apply to the participant.
- Ensure any entities collecting participant data such as sub-grantees and contractors are collecting the same required participant information. The information collected should be based on the data elements provided in the H-1B Performance Reporting Handbook.

## Section 4: Developing Data Files for Performance Reporting

Data files are raw files that contain participant records collected from each participant served using H-1B grant funds. Each record will reflect the activity for each participant based on the **H-1B PIRL data elements**.

Grantees may use existing resources or develop their own internal Management Information System (MIS) or database system to track participant records as outlined in the [Amended ETA-9712 DOL PIRL for H-1B Grants](#).

Tracking systems that create participant records must have the capability to transfer data files into WIPS using a CSV format.

### Tracking Participant Records

Each participant served in your H-1B grant-funded program should have a case management record that reflects all the required H-1B data elements needed for performance reporting. For each participant record, a simple Excel spreadsheet can capture data elements represented in each row, and the following columns to record the participant code value for each data element.

Below is a sample of five participant records tracking the activities of each participant as it aligns with the H-1B data elements.

**RESOURCE ALERT!**  
[Sample Case Management & Data File for SA](#)

**Figure 8: Sample Case File for Five Participant Records**

#### SAMPLE CASE FILE FOR FIVE PARTICIPANT RECORDS

Data Number (D_E_ID)	100	101	105
<b>NOTE:</b> These are just samples and therefore do not list every data element that will be included in your file. Participant records include <b>Data Elements 100 – 2700</b> even if the value is blank or equal to zero.	Unique Individual Identifier	State Code of Residence	Special Project ID - 1
<b>Participant 1</b>	100000000001	MA	SARAP11
<b>Participant 2</b>	100000000002	FL	SAUAP22
<b>Participant 3</b>	100000000003	CA	SAPRE33
<b>Participant 4</b>	100000000004	AZ	SANONE4
<b>Participant 5</b>	100000000005	CO	SARAP11

### Create a Data File to Upload to the WIPS System

Reviewing the Excel document described in above, you will see that each participant record has all the code values noted across the spreadsheet. **Make sure that your data file does not include participant names, data element headers, additional rows, blank entries when code values are required, or a null value instead of a blank or a space. Spaces are counted as a code value.**

**HOT TIPS**

- Always make changes to your master database, not the CSV file that you upload to WIPS.
- Create a dedicated file folder for every reporting quarter
- Develop a consistent file-naming convention that will allow you to track the latest data file that was uploaded in WIPS.

#### SNAPSHOT DATA FILE:

Each **ROW** represents one participant



100000000001	MA	SARAP11			1	1	0
100000000002	FL	SAUAP22			2	1	1
100000000003	CA	SAPRE33			9	0	9
100000000004	AZ	SANONE4			2	9	1



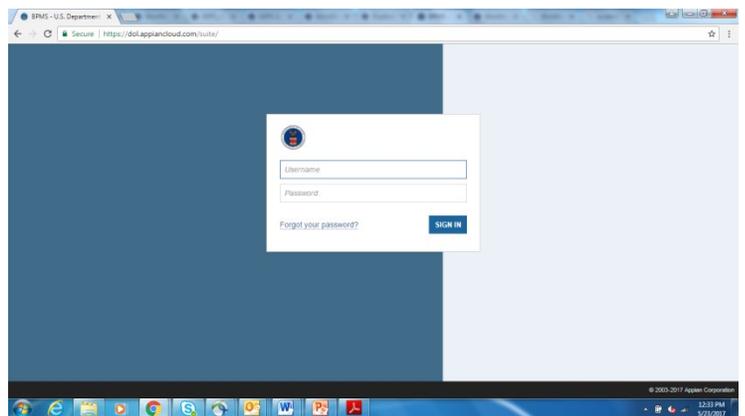
**COLUMNS** represent each data elements code value per participant

## Section 5: Accessing the H-1B Workforce Integrated Performance System (WIPS)

The WIPS Performance Reporting System is an online, password-protected system that allows grantees to upload, certify and submit their quarterly progress reports to the Department of Labor as outlined in the H-1B S A FOA requirements.

Access will be given by DOL/ETA to the authorized representative. Grantees do not request access from DOL/ETA. WIPS may be accessed by entering the following URL address: <https://dol.appiancloud.com/suite/>.

For further questions please refer to the [WIPS Quick Reference Guide](#).



## Generating a Quarterly Performance Report

Once your data file passes the validation process, WIPS will generate the H-1B QPR, available in the “Quarterly Reports” tab.

### WIPS Data Aggregation Rules

WIPS has a set of data aggregation rules that generate the performance outcomes reported in the H-1B QPR form based on the data file submitted by each grantee. Each aggregation rule correlates with various data elements and code values, as well as key dates entered for each participant.

Review the [H-1B Grants Scaling Apprenticeship Performance Reporting Handbook](#) describing how each performance outcome is calculated for the H-1B QPR form for SA grantees.

### Certify Quarterly Report

It is the responsibility of the Authorized Representative to make sure that data submitted is true and correct, and that it is accurate to the best of his or her knowledge.

PY 20xx Qtr x H-1B Grants Quarterly Performance Report			Generated via WIPS:	Date Time
Time Period: (choose only one)	<input type="checkbox"/> Current Quarter	<input type="checkbox"/> Grant to Date		
REPORTING PERIOD COVERED: mm/dd/yyyy - mm/dd/yyyy				
Grant Number:	Grantee Name:	Grant Type:		
<b>H-1B Performance Outcome Measures</b>				
<b>A. GRANT SUMMARY INFORMATION</b>				
1. Total Exiters (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)				
2. Total Participants Served (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)				
3. New Participants Served (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)				
<b>B. PARTICIPANT SUMMARY INFORMATION (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)</b>				
<b>Gender</b>				
1a. Male				
1b. Female				
<b>Ethnicity/Race</b>				
2a. Hispanic/Latino				
2b. American Indian or Alaskan Native				
2c. Asian				
2d. Black or African American				
2e. Native Hawaiian or Other Pacific Islander				
2f. White				
2g. More Than One Race				
<b>Education Status at Participation</b>				
3a. Secondary School Graduate or Equivalent				
3b. Completed 1 or more years of Postsecondary Education				
3c. Postsecondary Certification, License, or Educational Certificate (non-Associate's Degree)				
3d. Associate's Degree				
3e. Bachelor's Degree or Equivalent				
3f. Advanced Degree Beyond Bachelor's Degree				
<b>Other Demographics (as it applies)</b>				
4a. Youth and Young Adults, Ages 17-24				
4b. Individuals with a Disability				
4c. Individuals with Limited English Proficiency (English Language Learners)				
4d. Individuals with Criminal Records (Ex-Offenders)				
4e. Eligible Veterans				
4f. Low-income Individuals				
4g. Individuals 55 years and Older				
<b>C. EMPLOYMENT STATUS AT PARTICIPATION</b>				
1. Unemployed Individuals				
2. Underemployed Worker				
3. Long-term unemployed (27 or more consecutive weeks)				
4. Incumbent Workers				
5. Dislocated Workers				
<b>D. PROGRAM SERVICES AND TRAINING ACTIVITIES</b>				
<b>Participant Services</b>				
1. Received Case Management Services				
2. Received Assessment Services				
3. Received Supportive Services				
4. Received Specialized Participant Services				
5. Participated in Paid Work Experience or Internship				
<b>Training Services</b>				
6. Began Receiving Education/Job Training Activities				
6a. Entered On-the-Job Training Activities				
6b. Entered in Incumbent Worker Training Activities				
6c. Participated in Registered Apprenticeship				
<b>E. TRAINING PROGRAM OUTCOMES</b>				
1. Number Completed Education/Job Training Activities				
1a. Number Completed On-the-Job Training Activities				
<b>Credential Outcomes</b>				
2. Completed Training Program Activities and Obtained a Credential				
3. Total Number of Credentials Received				
<b>F. EMPLOYMENT OUTCOMES</b>				
1. Entered Unsubsidized Employment				
1a. Entered Unsubsidized Training-Related Employment				
2. Incumbent Workers that Retained Current Position				
3. Incumbent Workers that Advanced into New Position				
<b>G. WIOA PRIMARY INDICATORS OF PERFORMANCE</b>				
1. Employment Rate (Q2) (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)				
2. Employment Rate (Q4) (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)				
3. Median Earnings (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)				
4. Credential Rate (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)				
5. Measurable Skill Gains (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)				
6. Effectiveness in Serving Employers (Retention with the Same Employer 2nd and 4th Quarter After Exit) (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)				

## FAQs

**QUESTION:** What do we submit in WIPS?

**ANSWER:** Grantees will upload a data file that generates an H-1B Quarterly Performance Report form. The data file will need to be uploaded in WIPS before the Grant Authorized Representative can certify the Quarterly Performance Report and officially submit to DOL/ETA. Grantees also submit their Quarterly Narrative Report (QNR) in WIPS.

**QUESTION:** What is CSV format?

**ANSWER:** CSV means: Comma Separated Values. Only CSV formatted files can be uploaded into WIPS.

**QUESTION:** How do we make changes to a data file that has been submitted in WIPS?

**ANSWER:** If a data file is incorrect, you can upload revised data files for the reporting quarter until the data is error-free. Once an H-1B QPR form has been generated and certified it cannot be revised. If an H-1B QPR form has been generated and certified but later found to have errors, please contact your respective H-1B grantee mailbox. Please include your grant name, grant number and contact information.

**QUESTION:** Can we enter individual case files and notes into WIPS?

**ANSWER:** No. WIPS is not a case management information collection system. Grantees should manage their case files in the way that is best suited to meet their needs.

**QUESTION:** Once the participant data is uploaded to WIPS, is there any reason for the participant information to be maintained by the grantee?

**ANSWER:** Yes. It is the responsibility of the grantee to maintain all participant records as in accordance with the requirements of the grant FOA. Case files will need to be accessible to Federal Project Officers (FPO) during site visits.

**QUESTION:** What do we do if there is a technical problem in WIPS?

**ANSWER:** If you encounter a technical problem with WIPS, please contact the **WIOA Help Desk** on the WIPS Home page on the Request WIPS Assistance Link in the upper right hand corner. Please include your grant name, grant number and contact information.

**QUESTION:** What do we do when we have a grant performance-related question?

**ANSWER:** If you have a performance related question, please contact your **grant mailbox at ScalingApprenticeship@dol.gov and copy your FPO**. Please include your grant name, grant number and contact information.

# H-1B SA Grants Performance Reporting Technical Assistance Resources

## Performance Policy and Reporting Guidance for H-1B SA Grants

- [H-1B Grants Scaling Apprenticeship Performance Reporting Handbook & Workforce Integrated Performance System \(WIPS\) Reporting Guidance \(H-1B Performance Handbook\)](#) (H-1B Performance Handbook): This resource provides performance reporting guidance and instructions for H-1B Scaling Apprenticeship grants.
- [Amended ETA-9172 DOL PIRL for H-1B SA Grants](#) : This resource contains the most recent amended data elements for the performance reporting requirements of your H-1B SA grant. It is a key part of the Department of Labor (DOL), Employment and Training Administration (ETA)'s information collection request (ICR) titled “[Workforce Innovation and Opportunity Act \(WIOA\) Performance Accountability, Information and Reporting System.](#)”
- [Sample Case Management and Data File for SA:](#) This resource is designed to assist H-1B SA grantees with examples and instructions for data file preparation that is necessary to report quarterly performance data into the Workforce Integrated Performance System (WIPS).