

ETA Technical Assistance Resource: Trade Adjustment Assistance Community College and Career Training (TAACCCT) TA Guide for Reporting Documentation

REVISED JUNE 30, 2016

(Revised sections are shaded in gray)

This is a technical assistance guide to help TAACCCT grantees determine the documentation necessary to support the reporting requirements of their grant award package. The guide provides clarification regarding the types of documentation that fulfills the requirements of the various reporting metrics. This technical assistance resource is applicable to TAACCCT Round 2, 3, and 4 grantees. Text related to Round 1 has been removed for this version.

The term “document” does not *solely* imply the use of information kept in paper case files; it also includes automated, electronic, or other participant records maintained by the grantee, and can include intake or registration forms that participants complete for the college upon enrollment. Although grantees will notice many places in this guide where college registration records suffice as a type of source document, it is important to note that there are specific data elements where grantees should use other forms of documentation to support outcomes reported, such as for “total number of participants employed after program of study completion.”

Grantees are required to collect sufficient documentation to support each of the outcomes reported in Table 1 of the Annual Performance Report (APR). Grantees that have not collected sufficient documentation to support these outcomes should take all reasonable administrative measures to obtain documentation to support these outcomes. Grantees that have not collected this documentation should document the steps they have taken to collect this information in their grant files, including why further steps are unreasonable for reasons such as cost, college policies, or other factors.

For Table 1 data elements C.1a – C.2g (e.g. Male, Female, Hispanic/Latino, etc.), participant self-identification is an appropriate means of determining an individual’s response for each of those elements. College registration records or other documents where individuals have self-identified themselves as falling under a particular data element are a satisfactory form of documentation.

The OMB Reporting Package states that grantees must use administrative data to track items such as employment, retention, wage increases and earnings outcomes. Grantees should make a substantial effort to obtain this administrative data and document their attempts to do so. However, other types of documentation may be acceptable in cases where the administrative data is difficult to obtain or does not capture the extent of the employment outcomes due to circumstances such as self-employment, military or government employment or other circumstances. Other types of documentation used to verify employment outcomes of participants must align with ETA’s Training and Employment Guidance Letter (TEGL) 17-05¹ and can include case management notes, automated database systems, One-Stop operating systems’ administrative records, surveys of participants, and contacts with employers. Please note that these methods must be documented and are subject to audit.

¹ TEGL 17-05 can be found at http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2195; see especially pp. 25-26, Supplemental Sources of Data.

While the TAACCCT TA Guide provides examples of commonly used source documentation for other Employment and Training Administration programs, i.e. WIA or Veterans, the attached table is not meant to be exhaustive. Grantee organizational policies and procedures may also identify other appropriate sources.

Additional References on Required Documentation in Other Contexts:

OMB Reporting Package (see <http://doleta.gov/taaccct/resources.cfm>)

TEGL 17-05: Common Measures Policy for the Employment and Training Administration's (ETA) Performance Accountability System and Related Performance Issues

FAQ #1: Round 2/3/4

Examples of Acceptable Documents for Verification of Data Element Reporting

(The tables below provide samples of selected data elements.)

TABLE 1 of APR (ALL ROUNDS)			
NO.	DATA ELEMENT NAME	DATA ELEMENT DEFINITION	SOME FORMS OF ACCEPTABLE DOCUMENTATION
B. Cumulative Participant Outcomes (All Grant Participants)			
B1	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.	<ul style="list-style-type: none"> • College registration records *Grantee file includes application or other form identifying participant as enrolled in a TAACCCT funded course.
B2	Total Number of Participants 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.	<ul style="list-style-type: none"> • College registration records
B2a	Total Number of Grant-Funded Program of Study Completers Who Are Incumbent Workers	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.	<ul style="list-style-type: none"> • College registration records (completion) plus • Pay stub, or Employer verification, or Self-Attestation of employment (incumbent worker status)
B3	Total Number Still Retained in Their Programs of Study (or Other Grant-Funded Programs)	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.	<ul style="list-style-type: none"> • College registration records

NO.	DATA ELEMENT NAME	DATA ELEMENT DEFINITION	SOME FORMS OF ACCEPTABLE DOCUMENTATION
B4	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.	<ul style="list-style-type: none"> • College registration records
B5	Total Number of Credit Hours Completed (aggregate across all enrollees)	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.	<ul style="list-style-type: none"> • College registration records
B5a	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.	<ul style="list-style-type: none"> • College registration records
B6	Total Number of Earned Credentials (aggregate across all enrollees)	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.	<ul style="list-style-type: none"> • College registration records
B6a	Total Number of Students Earning Certificates - Less Than One Year (aggregate across all enrollees)	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.	<ul style="list-style-type: none"> • College registration records
B6b	Total Number of Students Earning Certificates - More Than One Year (aggregate across all enrollees)	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.	<ul style="list-style-type: none"> • College registration records

B6c	Total Number of Students Earning Degrees (aggregate across all enrollees)	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.	<ul style="list-style-type: none"> • College registration records
B7	Total Number Pursuing 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.)	<ul style="list-style-type: none"> • College registration record; or • Class schedule from another college
B8	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.	<ul style="list-style-type: none"> • State MIS/UI Records • If these are not available, the following are examples of acceptable documents: <ul style="list-style-type: none"> ○ Pay stubs ○ Employer verification ○ Contacts w/ employers ○ Automated data base systems ○ One Stop administrative records ○ Surveys of participants ○ Case management notes
B9	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.	<ul style="list-style-type: none"> • State MIS/UI Records • If these are not available, the examples listed in B8 are acceptable documents

B10	Total Number of Those Employed at Enrollment Who Receive 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.	<ul style="list-style-type: none"> • State MIS/UI Records • If these are not available, the examples listed in B8 are acceptable documents
C. Cumulative Participant Summary Information (All Grant Participants)			
NO.	DATA ELEMENT NAME	DATA ELEMENT DEFINITION	SOME FORMS OF ACCEPTABLE DOCUMENTATION
C1a	Male	Enter the total number of new participants who self-identify their	<ul style="list-style-type: none"> • College registration records
C1b	Female	Enter the total number of new participants who self-identify their gender as female.	<ul style="list-style-type: none"> • College registration records
C2a	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.	<ul style="list-style-type: none"> • College registration records
C2b	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.	<ul style="list-style-type: none"> • College registration records

C2c	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.	<ul style="list-style-type: none"> • College registration records
C2d	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.	<ul style="list-style-type: none"> • College registration records
C2e	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.	<ul style="list-style-type: none"> • College registration records
C2f	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.	<ul style="list-style-type: none"> • College registration records
C2g	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.	<ul style="list-style-type: none"> • College registration records
C3a	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.	<ul style="list-style-type: none"> • College registration records
C3b	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.	<ul style="list-style-type: none"> • College registration records

C4	Incumbent Workers	Enter the total number of new participants who are already employed at the time of enrollment.	<ul style="list-style-type: none"> • Pay stubs; or • Employer verification or • Self-Attestation of employment
C5	Eligible Veterans	Information on this data element will be provided through a separate resource very shortly.	<ul style="list-style-type: none"> • Information on this data element will be provided through a separate resource very shortly.
C6	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.	<ul style="list-style-type: none"> • College registration records
C7	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.)	<ul style="list-style-type: none"> • College registration records
C8	Pell-Grant Eligible	Enter the number of participants who are eligible to receive federal Pell Grant assistance.	<ul style="list-style-type: none"> • College financial aid records
C9	TAA Eligible	Enter the number of participants who are eligible to receive Trade Adjustment Assistance (TAA) benefits.	<ul style="list-style-type: none"> • TAA Certification Documentation, such as determination of individual eligibility, letter from State TAA office confirming individual eligibility, or documentation of training plan approval (will differ by state)

Table 2 was removed for this version because it only applied to TAACCCT Round 1.