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## DEPARTMENT OF LABOR AND EMPLOYMENT

DIVISION OF EMPLOYMENT & TRAINING

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Category:	Discretionary Grant Funding
Subject#:	Colorado SECTORS Implementation Grants: Reporting and Evaluation Requirements
Source:	Federal/State
Revise/Replace:	N/A
Contact:	Workforce Development Programs Director
Distribution:	Managers, Workforce Development Staff, Workforce Region Directors, Program and Fiscal
Colorado One-Stop System Policy Guidance Letter#:	10-02-WIA
Date:	February 25, 2010

### I. REFERENCE(S):

Title I of the Workforce Investment Act (WIA) of 1998; Final Rules – 20 CFR Parts 665.300-340, et al., published at 65 Fed. Reg. 49416-17 (August 11, 2000); Wagner-Peyser Act of 1933 as amended by Title III of WIA of 1998; Wagner-Peyser Regulations, 20 CFR parts 651, 652, and 658; TEGL No. 1-09 regarding §1512 Reporting Requirements; PY08 Grant Agreement Supplemental Provisions for Contracts, Grants, and Purchase Orders Using Funds Provided under the American Recovery and Reinvestment Act of 2009; PGL-09-03-WIA Colorado SECTORS Planning Grants: Solicitation for Grant Applications; PGL 08-06-WIA WIA and WP Discretionary Grant Quarterly Reporting; PGL 08-17-WIA: WIA Eligibility Documentation.

### II. PURPOSE:

To provide policy and guidance to workforce regions on reporting, monitoring, and evaluation guidelines for Colorado SECTORS Implementation Grants and to ensure compliance with federal and state requirements governing the SECTORS Initiative.

### III. BACKGROUND:

In 2009, CDLE and the Colorado Workforce Development Council made funds available for discretionary grants to launch sector-based initiatives under the SECTORS Initiative. Sector initiatives are industry-specific, regional partnerships that address employers' needs for skilled workers, and workers' needs for good jobs. They also focus intensively on the workforce needs of a specific industry over a sustained period, often concentrating on specific occupations, and always engaging multiple employers to analyze industry needs and design customized solutions.

WIA regulations require the reporting of financial, participant and performance data. There are additional §1512 data collection and reporting requirements for sub-recipients of American Recovery and Reinvestment Act of 2009 (ARRA) funds.

Monitoring is an essential resource for the workforce investment system to maintain compliance with state and federal rules and regulations. The reporting and monitoring requirements for the SECTORS Initiative are designed to identify technical assistance opportunities and facilitate the review of grant activities.

Like reporting and monitoring, evaluation is a key component of the SECTORS Initiative in order to measure the effectiveness and impact of the public resources invested. The data gathered using the evaluation framework for the SECTORS Initiative will facilitate future funding and policy decisions.

#### **IV: POLICY/ACTION:**

##### **A. Quarterly Reporting**

Workforce regions serving as fiscal agents for SECTORS Implementation grants (“Grantees”) are required to utilize the quarterly reporting template for discretionary grants in PGL 08-06-WIA. Quarterly reports should report on progress towards the specific activities and deliverables outlined in each grant’s work plan. Customized quarterly reporting templates will be provided to each grant recipient, with the required deliverables pre-populated within the appropriate fields.

##### **B. Closeout Reporting**

The region is also responsible for writing a closeout report within 60 days of completion of the grant period of performance. The grant closeout report requires providing information on the overall performance of the grant, including any accomplishments or challenges that occurred. This is in contrast to a quarterly report, which should focus on what happened in the most recent quarter. This report is concurrent with the financial closeout of the grant reported by the local financial manager per PGL 06-12-FI.

##### **C. Follow-Up Reporting**

If a grant has activities that extend beyond the period of performance identified in the grant proposal, the region must track and report the final results using the report template. SECTORS Initiative grants are designed to achieve long-term outcomes, so the grant recipient is responsible for complying with follow-up reporting for up to one year after the period of performance has ended. Examples of post-grant activities include:

- Tracking retention or wage gain
- Completion of a grant deliverable with partner resources after the grant period of performance
- Completion of a training program with non-grant resources such as
- WIA formula funding

State Workforce Liaisons (Liaisons) will monitor grantees on the standard schedule for discretionary grants, and the State Sector Coordinator will provide technical

assistance to the grantees to achieve compliance with program performance standards.

#### **D. Internal Monitoring and Job Link**

Monitoring and Job Link responsibilities for SECTORS Initiative implementation grants require an internal monitoring process, which tracks and reports on the activities, outcomes, and expenditures. CDLE recommends that grant recipients designate a lead for each grant to fulfill these tracking and reporting responsibilities. The grant lead will also be responsible for ensuring that Job Link is utilized for recording and tracking grant activities related to clients, as follows:

- The Job Link program code SE has been identified for this program, and each grant has been assigned a unique program subcode;
- All grant participants are enrolled in Job Link using the grant's program code and a case file is established for each participant, which contains eligibility and other relevant documentation per PGL 08-17-WIA: WIA Eligibility Documentation (Attachment 4)
- All client services provided with grant or grant partner resources are entered in Job Link;
- All activity outcomes are entered in Job Link
- All follow-up activities are entered in Job Link;
- All participants are exited from the grant program code by the end of the grant period of performance, using the termination screen in Job Link.
- All supplemental data regarding unsubsidized employment is entered in Job Link using the termination screen
- At a minimum, the Activity Summary (AS) Report is used to track quarterly progress of the grant; and,
- Additional Job Link reports can be utilized, as appropriate.

#### **E. ARRA Provisions**

As subrecipients of ARRA funds, grantees are subject to additional ARRA §1512 reporting requirements. Program and fiscal staff should work closely to ensure the §1512 data collection and reporting requirements are met.

Grantees are also subject to supplemental provisions related to procurement per ARRA §1554. Subcontracts under SECTORS Initiative grants shall be awarded as fixed-price subcontracts using competitive bid procedures to the maximum extent possible, or provide a summary of any contract or subcontract awarded using ARRA Funds that is not fixed-price or not awarded using competitive procedures.

#### **V. REPORT SUBMISSION AND DEADLINES:**

As outlined in PGL 08-06-WIA, grantees are required to submit quarterly reports commencing with the first quarter of the project period of performance and concluding with a closeout report due within 60 days of project completion. The closeout report can be used in place of the quarterly report for the last quarter of the period of performance.

## REPORTING DUE DATES

<b>Quarters:</b>	<b>Due Date:</b>
January 1 – March 31	April 30
April 1 – June 30	July 31
July 1- September 30	October 31
October 1 – December 31	January 31
Closeout Report	60 days after the period of performance ends
Follow-Up Report	As needed, up to one year after grant activity has ended

All reports should be submitted electronically and by mail or fax to the State Sector Coordinator and the region's Liaison. Although original signatures are required on all reports, the documents may be scanned and attached to emails or faxed.

ARRA §1512 subrecipient reporting may have different deadlines for data collection and submission. Please work with your fiscal staff to ensure these deadlines are met.

### **VI. EVALUATION**

State sector strategies are an emerging field of practice, but early evaluations at the national level have demonstrated clear benefits for both workers and employers. Measuring the impact of sector initiatives in Colorado, like any new initiative, is critical to demonstrate the return on investment of public dollars.

CDLE, in coordination with SECTORS Initiative grantees, has developed an evaluation framework for performance measurement. The framework is designed to capture outcomes in four key categories: Impact on Jobseekers and Workers; Impact on Employers and Industry, Effectiveness of Partnerships, and Systems Change. There are 20 specific measures under these four categories, as outlined in the attached evaluation framework (Attachment A).

Data for evaluation will be collected in two ways, as delineated under "Data Collection Frequency/Method" in Attachment A:

#### **A. Quarterly Reports**

Measures 1-11 and 15-18 will be reported by grantees in their quarterly reports.

#### **B. Annual Employer Survey**

Measures 12-14 and 19-20 will be collected in an annual employer survey issued by CDLE to the industry partners in each grant. Grantees will be asked to support CDLE in the distribution of this annual survey.

### **VII. FOLLOW-ON FUNDING**

The first round of SECTORS Implementation Grant recipients received initial funding through June 30, 2011. The third year of funding through June 30, 2012 will be awarded to grantees based on grant performance and successful progress towards the goals as outlined in each grant's work plan.

## **VIII. INQUIRIES:**

Please direct all inquiries to Kate Anderson at Workforce Development Programs at 303-318-8984 or [kate.anderson@state.co.us](mailto:kate.anderson@state.co.us).

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Clarke D. Becker, Director  
Workforce Development Programs

Attachments:

Attachment A: Colorado SECTORS Initiative Evaluation Framework

## Attachment A: Colorado SECTORS Initiative Evaluation Framework

### 1. Impact on Jobseekers and Workers

<i>Category</i>	<i>Measures</i>	<i>Data Collection Frequency/Method</i>	<i>Grantees expected to set target for this metric in implementation plan</i>
Increased opportunities for education and training for high-demand occupations	1. Total number entered training (taken from activity report)	Quarterly report	Yes
	2. Number completed training (taken from activity report)	Quarterly report	Yes
	3. Acquisition of a recognized certificate and/or credential (Credential/Employment Rate taken from PY03 WIA Performance report)	Quarterly report	Yes
	4. Type of recognized credential <sup>1</sup>	Quarterly report	No
	5. CareerReady Colorado Certificate gained (taken from activity report)	Quarterly report	No
Increased employment and wage gains	6. Entered employment rate (taken from Common Measures report)	Quarterly report	Yes
	7. Of participants obtaining employment, was employment within targeted sector? (type of employment) <sup>2</sup>	Quarterly report	No
	8. Average wage (taken from Common Measures report)	Quarterly report	No

<sup>1</sup> i.e. number of GEDs, number of Associate's degrees, etc. This information can be gathered in JOLS. State MIS staff is available to assist in setting this up.

<sup>2</sup> This information can be gathered in JOLS. State MIS staff is available to assist in setting this up.

	9. Wage Gain measure taken from the PY03 WIA Performance report	Quarterly report	No
	10. Retention of incumbent workers at 4 <sup>th</sup> quarter after exit quarter (taken from Common Measures report)	Quarterly report	No

## 2. Impact on Employers and Industry

<i>Category</i>	<i>Measures</i>	<i>Data Collection Frequency/Method</i>	<i>Grantees to set target for metric?</i>
Increased availability of skills training (soft and technical skills)	11. Employers hiring from training programs developed or supported by initiative	Quarterly report	No
Availability of <i>local</i> skilled workforce	12. Time taken to fill position (or cost of recruitment)	Annual employer survey	No
	13. Increased number/percentage local hires	Annual employer survey	No
	14. Employer satisfaction with referrals as result of initiative	Annual employer survey	No

## 3. Effectiveness of Partnerships

<i>Category</i>	<i>Measures</i>	<i>Data Collection Frequency/Method</i>	<i>Grantees to set target for metric?</i>
Plan of action, road map, goals and outcomes	15. Execution of implementation plan and deliverables on schedule	Quarterly report	Yes – implementation plan timeline will serve as basis for this metric
Ongoing involvement of partners	16. Involvement of original partners at 6 month intervals. If partners drop out, why?	Quarterly report	No
	17. Additional firms participating beyond original reach of initiative.	Quarterly report	No

#### 4. Systems Change

<i>Category</i>	<i>Measures</i>	<i>Data Collection Frequency/Method</i>	<i>Grantees to set target for metric?</i>
Changes in how education, workforce, economic development and employers work together	18. New processes and procedures as result of initiative 19. New leveraged resources brought to initiative	Quarterly report	No
Responsiveness to business needs	20. Increased utilization of public institutions by employers (by survey)	Annual employer survey	No