# Earmark Grants-
# Developing Performance Measures

## Understanding Grant Proposal Requirements, Identifying Appropriate Performance Measures & Understanding Reporting Requirements

# Session Objectives

1. Review Context for Performance Accountability
2. Review Grant Proposal Performance Requirements
3. Review Federal Reporting Requirements

# Federal Requirements

## Statutes, Policies, and Directives Requiring Grantees to Focus on Performance Outcomes

- GPRA, WIA & Common Measures
- Congress & Sponsors
- President's Management Agenda
- 29 CFR Parts 95 & 97

www.doleta.gov/performance/guidance/tools_commonmeasures.cfm

# Getting Started

- **Identifying performance measures requires time, input and a clear understanding of your project's goals**
- **You do not need to start from scratch here because your grant proposal already contains a Statement of Need with identified goals and Statement of Work with specific tasks**
  - What are our major activities for this project and why are we doing this (*pull information from Statement of Need and Statement of Work*)?
  - What will be different as a result of your project and for whom?
  - What will the community or other stakeholders say is the value of your project?

# Grant Proposal Performance Requirements

- **Part 5 Project Outcomes recommends grantees use a table to identify the following information:**
  - The name of the performance measure?
  - How the performance measure will be defined?
    - Who/what is included in the numerator
    - Who/what is included in the denominator?
    - Any other exclusions for calculating the measure?
    - What is the time period for calculating outcomes?
    - What data sources will be used to collect information needed to calculate outcomes/results (optional, not required)?
  - Planned level of outcome
    - Should be expressed as a numeric level and as a percentage, where appropriate (e.g., your project plans to help 50 out of the 100 individuals enrolled in the project find employment, which translated into a 50% Placement Rate)

# Types of Performance Measures

| | TYPE OF OUTCOME MEASURE BY GRANT PURPOSE | | | | |
|---|---|---|---|---|---|
| **Provide Training** | Training Completion Rate | Placement in Employment Rate | Average Earnings | Retention in Employment Rate | Customer Satisfaction Rate |
| **Increase Skills** | Skill Attainment Rate | Attainment of Degree or Certificate Rate | Earnings Change Rate | Customer Satisfaction Rate | |
| **Research-Oriented or Product-Development** | Qualitative Information | Research Findings | Products or Curriculum Developed | Results Disseminated | Customer Satisfaction Rate |

# Example 1: Enrollment Rate

| Performance Table | | |
|---|---|---|
| **Name of Performance Measure** | **Measure Definition or Formula** | **Planned Level of Outcome** |
| Measure 1:<br><br>Enrollment Rate | The number of participants who enroll in the project divided by the number that are recruited for project participation<br>• Only participants enrolled in the project are included in the numerator<br>• The denominator includes individuals that completed an intake/enrollment form (i.e., all registrants)<br>• (Optional for proposal submission) Data sources include intake forms and enrollment information | 50% Enrollment Rate<br>(100 individuals will enroll in the project out of 200 individuals recruited for the project) |

# Example 2: Skill Attainment Rate

| Performance Table | | |
|---|---|---|
| **Name of Performance Measure** | **Measure Definition or Formula** | **Planned Level of Outcome** |
| Measure 2:<br><br>Skill Attainment Rate | The number of participants who improve their skill levels at least one grade level by the end of the grant period divided by the total number of participants enrolled in training.<br>• Only participants enrolled in training are included in denominator<br>• Only those participants who improve their reading, writing or math skills one level are included in the numerator<br>• Pre- and post-tests will be used to assess skill levels<br>• Participants can only be counted once in the numerator regardless of the number of skills achieved<br>• (Optional for proposal submission) Data sources include training vendor records, training certificates, pre- and post-test results | 90% Skill Attainment Rate<br>(90 out of 100 individuals will improve their skill levels one level) |

# Example 3: Training Completion Rate

| Performance Table | | |
|---|---|---|
| **Name of Performance Measure** | **Measure Definition or Formula** | **Planned Level of Outcome** |
| Measure 3:<br><br>Training Completion Rate | The number of participants who complete training by the end of the grant period divided by the total number of participant enrolled in the grant.<br>• Only participants enrolled in the grant are included in denominator<br>• Only those participants who complete training by the end of the grant period are included in the numerator<br>• Training completion means the participant completed 24 hours of basic skills training and received a certificate of completion<br>• (Optional for proposal submission) Data sources include training vendor records and training certificates | 80% Training Completion Rate<br>(80 out of 100 individuals will complete training) |

# Example 4: Placement Rate

| Performance Table | | |
|---|---|---|
| **Name of Performance Measure** | **Measure Definition or Formula** | **Planned Level of Outcome** |
| Measure 4:<br><br>Placement Rate | The number of participants who enter employment by the end of the grant period divided by the total number of participants who are enrolled in the project.<br>• Only participants who are enrolled in the grant are included in denominator<br>• Only those participants who are employed by the last day of the grant period are included in the numerator<br>• Employment is defined as working 20 hours per week at minimum wage<br>• (Optional for proposal submission) Data sources include training vendor records, training certificates, pay stubs, participant written attestation, or employer verification | 56% Placement Rate<br>(56 out of 100 individuals will be employed) |

# Example 5:  Average Earnings

| Performance Table | | |
|---|---|---|
| **Name of Performance Measure** | **Measure Definition or Formula** | **Planned Level of Outcome** |
| Measure 5:<br><br>Average Earnings | Of those participants employed by the last day of the grant period, the total post-program hourly wages divided by the total number of participants employed by the end of the grant period.<br>• Only participants employed by the last day of the grant period are included in the denominator<br>• The numerator includes the cumulative total of all participant hourly wages for those participants employed by the last day of the grant period.<br>• Employment is defined as working 20 hours per week at minimum wage<br>• (Optional for proposal submission) Data sources include pay stubs, participant written attestation, or employer verification | $8.75 Average Hourly Wages |

# Example 6: Retention Rate

| Performance Table | | |
|---|---|---|
| **Name of Performance Measure** | **Measure Definition or Formula** | **Planned Level of Outcome** |
| **Measure 6:**<br><br>**Retention Rate** | **The number of participants who are still employed in the 8th quarter of project operations, divided by the total number of participants who are employed by the 6th quarter of project operations.**<br>• **Only participants who enter employment by the 6th quarter of project operations are included in the denominator**<br>• **Only participants who are still employed in the 8th quarter of project operations are included in the numerator**<br>• **Employment need not be with the same employer to count as being retained; wages greater than $1 count as employment**<br>• **(Optional for proposal submission) Data sources include training vendor records, training certificates, pay stubs, participant written attestation, or employer verification** | **70% Retention Rate**<br>**(39 out of 56 individuals will be retained in employed)** |

# Example 7: Curriculum Development Rate

| Performance Table | | |
|---|---|---|
| **Name of Performance Measure** | **Measure Definition or Formula** | **Planned Level of Outcome** |
| Measure 7:<br><br>Curriculum Development Rate | The number of training modules developed by the end of the project divided by total number of modules planned for the project.<br>• Only training modules that have been completed are included in the numerator.<br>• Training module completion means that all the student and trainer materials are finished and ready to be tested<br>• (Optional for proposal submission) Data sources include training manuals and materials verification | 90% Curriculum Development Rate<br>(9 out of 10 training modules will be completed by the end of the grant period) |

# Examples 8 and 9:  Product Development

| Performance Table | | |
|---|---|---|
| **Name of Performance Measure** | **Measure Definition or Formula** | **Planned Level of Outcome** |
| Measure 8:<br><br>Develop Website Recruitment Tool | A website will be develop that participants can use to locate employment opportunities in the automotive industry in Pennsylvania.  In addition, the website will provide employers with the ability to search for possible employment candidates. | Recruitment Website Developed by 12/31//2008 |
| Measure 9:<br><br>Competency Report Completed | A report outlining the core competencies for the automotive industry will be developed.  The report will provide the competency name and a description of the behaviors,  skills, or activities associated with each competency. | Report Addressing Competency Model for Automotive Industry Completed by 7/15/2008 |

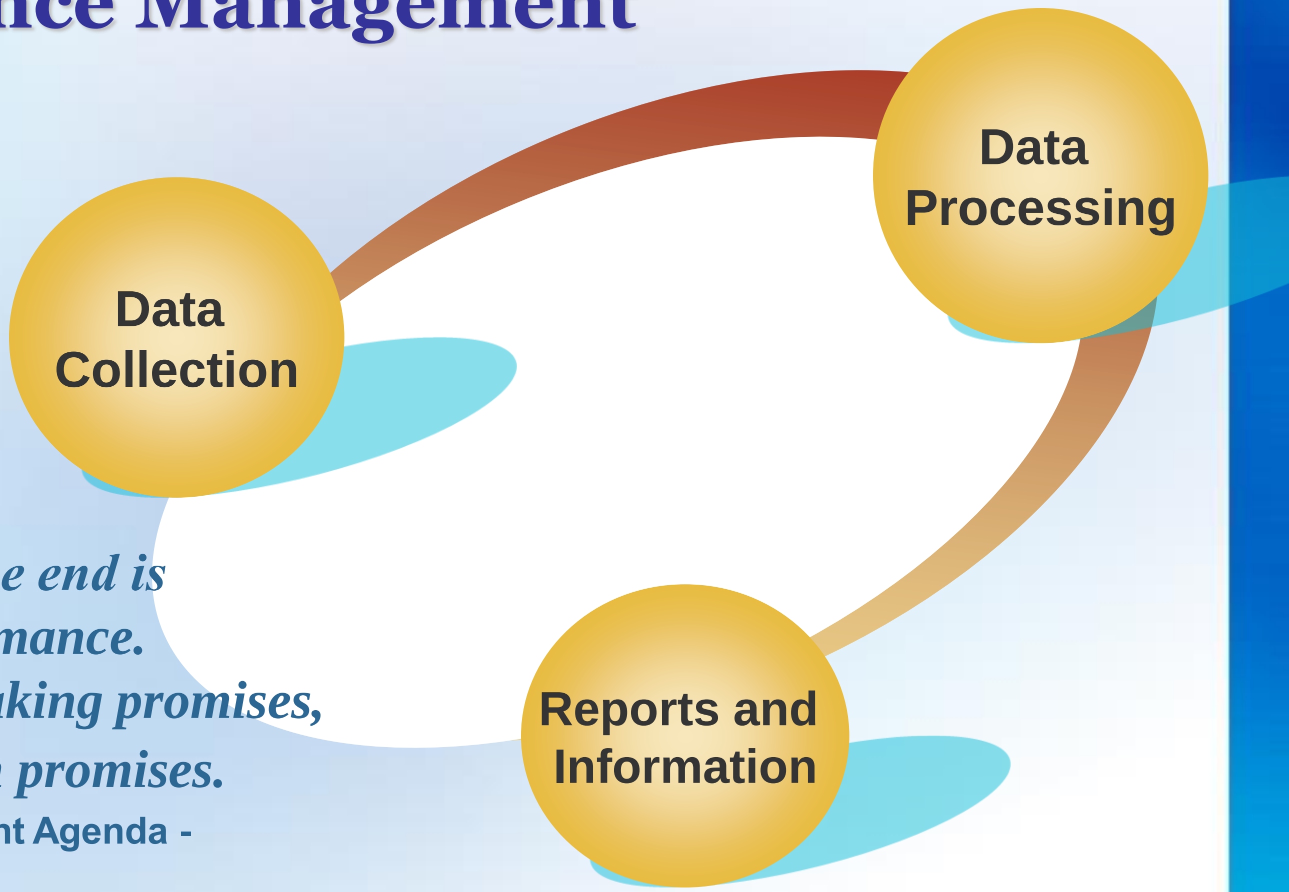
# Example 10:  Problem Resolution Rate

| Performance Table | | |
|---|---|---|
| Name of Performance Measure | Measure Definition or Formula | Planned Level of Outcome |
| Measure 10:<br><br>Problem Resolution Rate | The project will conduct a community audit in the first quarter of the grant period to identify workforce development areas requiring problem resolution.  Once issues have been identified, grant staff will work with the community to remedy at least 50% of the issues identified during the audit.<br>• Only issues identified during the community audit will be included in the denominator.<br>• Issues must be resolved by the end of the grant period to count in the numerator. | 60% Problem Resolution Rate<br>(6 out of the 10 problems identified during the community audit will be resolved) |

# Example 11:
# Participant Customer Satisfaction Rate

| Performance Table | | |
|---|---|---|
| Name of Performance Measure | Measure Definition or Formula | Planned Level of Outcome |
| Measure 11:<br><br>Participant Customer Satisfaction Rate | The number of participants who state that they are satisfied or extremely satisfied with the services received through the project divided by the total number of participants enrolled in the project.<br>• Only those participants enrolled in the project are included in the denominator.<br>• Only participants that select satisfied or extremely satisfied with project services are included in the numerator.<br>• Participants will be given a written survey to complete two weeks prior to the end of the grant period.<br>• (Optional for proposal submission) Data sources include customer satisfaction surveys | 70% Participant Customer Satisfaction Rate<br>(35 out of 50 participants will state that they are satisfied or extremely satisfied with the services received through the grant) |

# Performance Management




*"What matters in the end is Completion. Performance. Results. Not just making promises, but making good on promises.*

**- President's Management Agenda -**

# Identifying Grant Responsibilities

- **Earmark grant proposal template Part 6 Management and Personnel, Part A. Applicant Organization and Project Administration, Subpart (2) Project Administration, Reporting Responsibilities and Processes requires grantees to address the following:**
  - How will data for the project be collected?
  - Who has responsibility for data entry, compilation and processing?
  - What management information system will be used to maintain the data?
  - How will the data be secured?

# Data Collection—
# Where to Get the Information?

## Source Documentation

- Social Security Card
- Driver's License/ID Card
- Hospital Records
- Intake/Eligibility Forms
- Attendance Sheets
- Sign-In Sheets
- School Records
- Activity Forms
- Assessment Results

- Pay stubs
- Progress Reports
- Surveys
- Self-Attestation Forms
- Copy of Diploma
- Training Certificates
- Interviews
- Public Agency Records
- Student ID

# Data Processing—
# Who Has Responsibility?

- **The grantee is responsible for ensuring that a system is in place to track participant characteristics, services, and outcomes**
  - It is highly recommended that grantees maintain access to data processing and reporting at all times
  - You need to know what is going on with your grant!
- **The grantee may contract out for services, but should provide input on how the data is maintained and gathered**
- **Regardless of who provides the service, your grant proposal should identify who is responsible for ensuring information will be collected and processed sufficiently**

# Data Processing—What System Should We Use?

- **How sophisticated or elaborate does the grantee's MIS need to be?**
  - It varies, but high-performing organizations have an MIS that produces information/reports to assist staff in addressing issues and improving performance
    - Examples include MS Access, MS Excel, or a proprietary system such as Client Tracking System
    - Contract with local workforce investment areas to process and aggregate data
- **What must grantee MIS be able to do?**
  - At a minimum, capture all required data elements, perform any necessary calculations and report information to the grantee and its partners

# Federal Data Collection Requirements

- **29 CFR Part 37 contains the Non-Discrimination and Equal Opportunity requirements for your grant**
  - Grantees must provide initial and continuing notice that it does not discriminate based on race, color, religion, sex, national origin, age, disability, political affiliation, and citizen status as a lawfully admitted immigrant authorized to work in the U.S.
- **29 CFR Part 37 requires grantees to collect Equal Opportunity information for all applicants, registrant, participant, terminee, applicant for employment & employee**
  - Race/ethnicity, sex, age and where known, disability status
  - An individual has the right to refuse to provide any part or all of the above information
- **Jobs for Veterans Act P.L. 107-228 requires grantees to give priority to veterans that meet eligibility requirements for the grant**
  - Grantees will need to track the number of veterans and veterans' spouses served (See http://www.doleta.gov/programs/VETS for more information)

# Federal Reporting Requirements

- **Reporting requirements based on Uniform Administrative Requirements in 29 CFR Parts 95.51 and 97.40**
  - Comparison of actual accomplishments with goals and objectives (i.e., performance measures) for the project
  - Reasons why established goals were not met and corrective action being taken
  - Other pertinent information, including technical assistance needs, best practices or any promising approaches
- **ETA has a recommended quarterly progress report format for your use with established due dates**
  - Quarterly progress and financial report (ETA 9130) due 45 days after the end of the quarter
    - Recommended format, but use instructions provided by your RO
  - Final evaluation report due 90 days after the end of the grant period of performance

# THANK YOU

## Are there any questions?