**Rachel Anderson:** Welcome, everybody. We are really excited to announce that this is our final training. It's training eight in our eight-part series that's discussing the implementation of PD 19-03 for the Case Service Report RSA-911. Now, hopefully, throughout these eight trainings, we have clearly explained the intent of 19-03 and all the requirements there. We hope that these trainings really have assisted all of the VR agencies in the implementation of the new requirements. We shared quite a few examples and we also pointed out pretty clearly where source documentation requirements are and when things do not live in the RSA-911 report, and we also tried, where possible, to share with you different considerations and expectations that you need for all of these topic areas. So, policies, procedures, internal controls, and anything else that we thought would help you with the implementation. So, we're very happy with the series and we hope that we were able to meet these objectives for you over the past couple of months.

Today, we have Andy Kerns back with us. He's the Information Technology Specialist with the Data Unit at RSA. You remember him from training six that we did on exit and post-exit data elements. So, welcome back, Andy. And I am Rachel Anderson with the WINTAC.

So, today, we're going to cover the RSA-911 information used in the WIOA Annual Report, ETA-9169. So, sometimes we refer to it as the Annual Report, sometimes we call it the ETA-9169. It's the same thing. So, today, we wanted to make sure that you all had a clear understanding of not only the structure of the report, but how the 911 information feeds into it. What we hope to cover is the background on the report, the requirements of the report itself, and then also potential for sanctions during failure to report circumstances. So, that's -- before we get into the reporting elements, we really thought some background might help because we do see that there are some states that don't really understand the implications and what the annual report is used for, so we do have some background information for you. And then Andy's going to go into the structure of the report and all of the RSA-911 data elements that's used in the report. And then, throughout the training, we will discuss when there's information on the annual report that's not gathered from the RSA-911 tool.

So, first, background, requirements, and sanctions. Now, I do want to make this clear. This isn't a training on the annual report or on sanctions or negotiations, but we do want to point out how the annual report is used, who has access to the report, and when you get sanctions due to failure of reporting the annual report. So, we wanted to just give you some background and we'll also give you a lot of resources and tools so that you can educate yourself a little bit more on this. So, OMB has approved the current WIOA Statewide and Local Performance Report, ETA-9169, through March 31 of 2021. The annual report is maintained by the U.S. Department of Labor, but it's applicable to all core programs. So, you all know those six core programs under WIOA, so the DOL programs and the Department of Education programs are held to the requirements of the annual report. Under section 116, we have to make the report available to the Committee on Education and Labor of the House of Representatives and to the Committee on Health, Education, Labor, and Pensions of the Senate. So, the RSA actually has to publish the annual reports on its website. They transmit the reports to Congress and they make them available to everybody. So, pretty much all the people that we just talked about and all these representatives have access to all of the core programs, including VR's information that's published in these reports.

Now, RSA published annual reports for the first time back in Program Year 2017. Now you all know this, but we want to give you a little bit of detail to make sure we're on the same page, but Program Year 2017 was July 1 of 2017 through June 30 of 2018. And the Program Year 17 report was due on October 1 of 2017. So, that's the first time VR ever went through this process. In this report, it only included performance data for MSG -- or measurable skill gains -- and Andy's going to talk about all the other aspects that are included in the report, but from the performance data standpoint, it was only MSGs. Now, in spring of 2020 -- so this has not happened yet, but in spring of 2020, RSA will publish annual reports for Program Year 2018. Now, 2018 was July 1 of 2018 through June 30 of 2019 and agencies had to submit this annual report on October 1 of 2019. So, you've already submitted this report, but we're just waiting for it to be published. Now, this report includes a little bit more data in it. It has your MSGs and it also has data on employment rate in the second quarter after exit and median earnings in the second quarter after exit. So, that will all be published to Congress and available on RSA's website when it's ready. The Program Year 2019 annual reports will include performance results for all of the WIOA indicators with the exception to the effectiveness in serving employers, as that indicator is still being piloted. So, Program Year 2019 is July 1 of 2019 through June 30 of 2020. So, when you -- when an agency submits that report, it will be due on October 1 of 2020, and we're going to have a lot more data, just like we said.

Now, negotiations and sanctions guidance, many of us have been waiting for this for quite some time and it was recently published on February 6 of 2020. The guidance outlines the process for negotiating levels of performance and provides an explanation of the two instances in which a state may be sanctioned. So, if you haven't seen this or you haven't had a chance to go over this yet, please review TAC 20-02 and it's Negotiations and Sanctions Guidance for the WIOA Core Programs. Now, in terms of sanctions, it refers to the reduction of the governor's discretionary funds by 5% of the maximum available amount in the program year. So, the governor's reserve funds are awarded under WIOA title I; however, reduction of these funds is not just a detriment to title I, it can affect statewide initiatives that may negatively impact all of the core partners. So, there's two types of failures that can lead to sanctions that we'll briefly cover in this training. Failure to report and failure to meet adjusted levels of performance. This training is only going to address some of the information for sanctions related to failure to report because it relates to the WIOA Annual Report. So, again, this is not a training on all of this. We just want to mention this so that you understand the connection between sanctions, negotiations, TAC 20-02, and all of the things we're going to be discussing in the annual report using the 911 information.

The departments consider a state as failing to submit the performance report when they do not submit the report by 11:59 P.M. local time on October 1, which is 90 days after the end of the program year. Or the agencies submit performance reports by the date for timely submission; however, the report is incomplete. Now, when do the departments actually consider a report to be incomplete? And if a state submits a report and it does not meet all of the following requirements, it's going to be considered incomplete. So, the agency has to attest all reports are complete and accurate to the best of their knowledge. They submit a WIOA statewide performance report for each of the six WIOA core programs. Report all elements of the WIOA statewide performance report as data are available according to the reporting period for each indicator. Makes available a mechanism of electronic access to local area performance reports for title I programs. Makes available a mechanism of electronic access to eligible training provider performance reports for title I programs. And, last, submits at least one WIOA statewide performance report that includes effectiveness in serving employers performance results reflecting all six core programs. Just a quick reminder on that one -- generally -- I actually believe -- Andy, you might know, but I believe that Labor submits this on behalf of all of the states, right? I don't know of any VR program that actually submits this.

**Andy Kerns:** So far, none have. No.

**Rachel Anderson:** OK. Perfect. So, in each of your states, it's likely that it's your labor department that is submitting this report, and you should be partnering with them to get your employer data to your title I partner so that they can submit in the statewide performance report. And then, you know, when we look at all these requirements, we all know that there are unforeseen challenges that happen in our programs and our communities. So, what does the guidance say about exceptional circumstances? Sanctions will not be applied in cases where failure to report is due to exceptional circumstances outside of the state's control, as determined by the departments. So, exceptional circumstances may include things like natural disasters, unexpected personnel transitions, and unexpected technology-related issues. Now, just keep in mind that these are -- these have to be unexpected events. Sometimes a state becomes aware of an event that will cause a disruption and you know that there's going to be an issue with your reporting. So, if you know that there's going to be issues ahead of time but you cannot make the reporting deadline because of them, states should be requesting reporting extensions.

The WIOA reports are due on October 1 of each year. So, if a state needs an extension, the state must submit reporting extension requests no later than September 1 or the next business day if September 1 falls on a holiday or a weekend. So, more information on this can be found on page 9 and 10 of TAC 20-02. So, please review that if you have any concerns in that area, and then also just please contact RSA as soon as possible if the VR program becomes aware that a WIOA Annual Report extension request is necessary. The more you communicate upfront with RSA on any issues that you see happening in regards to your quarterly report or your annual report, the better it's going to be for everybody. So, I can't stress that enough. Please contact RSA as soon as possible when any of these things might be occurring. So, I'm going to hand it over to Andy. He's going to talk about the report structure and talk about any of the RSA-911 data elements that feed into the annual report. So, Andy, hand it off to you.

**Andy Kerns:** Thank you, Rachel. OK. So, I'm going to be talking about the information that is in the annual report, how the report is structured, and which data elements in the RSA-911 we're using to calculate the data in the annual report. Next slide, please.

OK. So, on this slide, you see the list of different sections from the annual report. First, there's the program and title. Next is summary information, which applies to the entire population of participants. Participant characteristics breaks out participants into subgroups based on some different characteristics. Then, employment barriers breaks it out into different subgroups based on barriers to employment. And next we have the performance indicators. And finally, there is measurable skills gains and effectiveness in serving employer templates. So, I'm going to be going through each of these sections in more detail. Next slide, please.

OK. So, before I start talking about the different sections of the report, there are a few things that you need to know. So, first there are some fields on the report that are only applicable to title I and not to title IV, so VR agencies will not populate these fields. So, don't worry if you have some blank fields on your report. It's not necessarily incomplete. You just want to make sure that any fields that are not populated are not applicable to title IV. So, most of the report is going to be pre-populated by RSA. There is only five fields that VR agencies actually need to enter onto the report, and the rest will be calculated by RSA from the data that we get from the RSA-911. This report only applies to VR participants. A participant is defined as someone who received a service under an IPE. Anyone else is considered a reportable individual and is not included on the annual report. So, that means that someone who received pre-ETS services, but did not apply for VR services, would not be included on the annual report. Now, the information on the annual report is based on the RSA-911, but not all of the elements in the RSA-911 are used in the report. And one example would be data element 354, Type of Exit. We use this to calculate the exit employment rate, but that is not something that's included on the annual report. OK. Next slide, please.

OK. Now I'm going to start talking about the different sections of the report. So, the program section includes the state, title I local area, and reporting period. So, the annual report is done at a state level, so that means if a state has a blind and a VR agency, their data will be combined into one report for the state. Now, the title I local area is one of those items that does not apply to VR, so this item will not be filled out. The reporting period covered is the start and end date covered by the report. So, Rachel talked about that. The report is based on the program year, which starts on July 1 and ends on June 30 of the following year. So, as Rachel said, for the Program Year 2018 annual report, the period would start-- started on July 1, 2018, and ended on June 30, 2019. Next slide, please.

OK. So, the title section of the report is pretty simple. It's always going to say title IV for VR. Now, as I mentioned before, if a state has a blind and a VR agency, they're going to work together and submit one report for the state, and when RSA is calculating the results from the RSA-911, we are combining results from both agencies to calculate at a state level. OK. Next slide, please.

OK. So, in the summary information of the report, there is a count of all participants who were served during the report period and all of the participants who exited during the report period. And these are broken down into career and training services sections based on which services the participants received. So, the funds expended field is -- that's one of the five fields that the agency has to enter. And this is the total amount of funds spent by the agency on services. Now, these funds -- these expenses that go on the annual report may not all be on the RSA-911 because it should include the cost of services that were not purchased and provided in-house by the agency. So, the cost per participant is also entered by the agency and this would just be whatever you entered in the expense field divided by the total number of participants served. The percent training-related employment is one of the fields that only applies to title I, so it's going to be left blank. Percent enrollment in more than one core program is also entered by the agency. We don't get this from the 911. And the percent admin expended is another title I field that's going to be left blank. OK. Next slide, please.

OK, so on the previous slide, I mentioned that the summary fields are divided up into career and training services. So, on this slide, you see there's a portion of Table D from Attachment 7 in RSA TAC 17-01, which, you know, explains which services are classified as career services and which are classified as training services. Now, I want to point out a couple of things about this table. First, a participant could receive both career and training services, so that means that they would be counted in each category. So, if you add the two categories together, career training services, the total could be more than the total number of participants served by the agency. Now, also, some of the services on this list can be provided as pre-ETS services. Now, as I mentioned before, the annual report only applies to participants. So, if someone who was not a participant received a pre-ETS service such as job exploration counseling, which is classified as a career service, that individual should not be included in the count of career services participants because they are not a participant. However, if a VR participant received job exploration counseling, they would be included in the count of career services participants. Now, I also want to point out that this chart is based on the current RSA-911 policy directive, PD 16-04, and we're going to be switching for program year 2020 to the new policy directive 19-03 and some of the services have changed in 19-03. So, we will be providing some guidance on which of the services under 19-03 are provided -- are going to be considered career and training services, and it's not a big difference but there is a difference. So, there will be more information coming out on that. Next slide, please.

OK. So, percent enrollment in more than one program is another one of the fields that the agency must enter. Now, this information is collected on the RSA-911 in data elements 54 through 61, but some agencies get their co-enrollment percentages data through data sharing with their partner programs and it may not match what's on the RSA-911. They may not have all the data on the RSA-911, so we can't derive this from the 911. Next slide, please.

OK. So, the participant characteristics section of the report breaks down participants into subgroups and it includes counts for participants served, participants exited, as well as the participant -- as well as the performance indicators for each of these subgroups. Now, these groups -- these characteristics are based on age, sex, and race or ethnicity. So, the participant's sex is determined from data element 9 in the 911. The age -- the age that we use for these groups is the age at application. So, age at application is determined based on data element 7, Application Date, and data element 8, Date of Birth. The race or ethnicity comes from data elements 10 through 15. Next slide, please.

OK. So, there is five performance indicators on the annual report. Rachel talked about this. Now, these are calculated by RSA and pre-populated on the report. For PY 18, the annual report only included measurable skills gains, employment rate second quarter after exit quarter, and median earnings in second quarter after exit quarter. So, don't worry if your credential attainment rate and employment rate in fourth quarter after exit quarter are blank. They are supposed to be, but we will be calculating those for the first time on the PY 19 annual report. And if you want to see how we do those calculations, that was explained in webinars five and six from this series, so you can go back and look at those and see how we determined these indicators. Next slide, please.

OK. So, the barriers to employment section of the report breaks down the same information as the participant characteristics but it groups them by barriers to employment. The barriers to employment are from data elements 41 and 62 through 73. Now, these barriers -- these same barriers are used in the statistical adjustment model that is used to determine performance targets. So, there were no changes to the barriers to entry elements for PD 19-03, but there was some changes to definitions and reporting instructions. So, these data elements should be reported at the time of IPE and they reflect the participant's situation at the time of IPE, which means they would not change over the life of the case, even if the participant's circumstances change. Next slide, please.

OK. So, as I mentioned on the last slide, the barriers to entry are used to calculate the statistical adjustment model, which we refer to as the SAM. The SAM is a mathematical regression model that RSA uses to develop and adjust targets for the performance indicators for the states. So, the performance estimates that we get from the SAM will be used by RSA to work with the states to determine a performance goal before the start of the program year. Now, after the program year has ended, RSA is going to rerun the SAM and determine if an adjustment is necessary to the performance goal based on actual economic conditions in the state, such as unemployment rates. If adjustments are necessary, RSA will apply them to the performance targets before they assess the state performance. Next slide, please.

OK. So, that brings us to the MSG template. So, if you want to get more information about how we determine the MSG, that is explained in webinar number five from this training series. So, I'm not going to go into detail about it now. But basically, the calculation looks to see how many participants who were recorded as being enrolled in a program leading to employment or a credential based on data element 85 received one of the skill gains recorded in data elements 343 through 348 from the RSA-911. Next slide, please.

OK. Effectiveness in serving employers is another section of the report that may be left blank. Rachel mentioned this. This is something that has to be submitted by one of the core programs, and typically, it is submitted by title I or title III. So, it could be submitted by VR, but in PY 17 and 18, none of the VR agencies chose to submit this section and so there are -- if you were to submit this section, you'd choose two or three measures from the following options: retentions with the same employer in the second and fourth quarters after exit, employer penetration rate, repeat business customer rate, or you can establish an optional state-selected measure. OK. Next slide, please.

OK. So, the last thing I want to talk about is internal controls. States need to make sure internal controls are in place to make sure that the data on the RSA-911 report is accurate. If we get invalid data -- inaccurate data submitted to us at RSA on the RSA-911 report, then the annual report calculations are not going to be accurate and you always want to make sure that your internal controls procedures are documented in writing. Now, VR agencies will get the chance to look at the annual report on their login on rsa.ed.gov before it gets published, so this is a good opportunity to go in and look at your results and try and duplicate them yourself to make sure that they're accurate. And if you have any concerns or questions about the data in the annual report, don't hesitate to contact your RSA state liaison or data unit representative. OK. So, that's all I have. I'll turn it back over to Rachel.

**Rachel Anderson:** Thanks, Andy. So, again, thanks for everyone that stuck with us through these eight trainings. We really do hope that they're valuable. If there's anything that was missed or if any of you have state-specific questions that you need follow-up on, please reach out to RSA or the WINTAC. We're both very happy and willing to help with individual issues, but hopefully this has, you know, by and large, helped with your implementation and getting your case management system ready and your policies and procedures and any training that you need to do for July 1. So, again, please reach out if there was something that you had hoped to get that was not included in one of these eight trainings.

Your resources for today, we've got a lot of them. So, we did include the policy directives 16-04 and 19-03 and the RSA-911 Crosswalk for those. So, this applies obviously to all the trainings, but we kept that in there. We also included RSA TAC 17-01. Andy mentioned this as there's calculations in it. This is where you'll see which VR services are considered career and training and, obviously, there's going to be -- needs some updates for that as well. And then there's also the WIOA performance reporting on ETA's website, so we gave you a link for that. That's where you can find a lot of the templates and a lot of information since this is housed under the department of labor. And then we've got a bunch of other resources for you, too. So, RSA's WIOA Annual Report Demo. This is actually still very applicable, but this was the training that RSA had published prior to October 1 of 2018 when VR agencies submitted their very first annual report. So, if you need more information on how to submit, please watch that. It's very helpful. Then a link to the annual report, and then a link to the annual reports for the VR program for titles I and III and title II so you can have all of that information for your state. And then, lastly, RSA TAC 20-02. Remember that this is the joint guidance on sanctions and negotiations, so that you can really understand the implications of data that's used in the annual report.

As always, here's Andy and I's contact information. Please feel free to reach out to us directly or your other RSA liaison contacts or your other WINTAC contacts. So, Andy, do you have any final words for this training or for the series?

**Andy Kerns:** I just want to thank you, Rachel, for all the work you put in on this series, and I hope it was helpful.

**Rachel Anderson:** Thanks so much. Thanks, everyone.