



**State of Alaska
Department of Labor and Workforce
Development
Division of Business Partnerships**

**Eligible Training Provider List
Procedures**

Equal Opportunity Employer/Program
Auxiliary aids and services are available upon request to individuals with disabilities

February 14, 2014

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Purpose

This procedure governs the operation of Alaska's statewide [Eligible Training Provider List \(ETPL\)](#) and provides guidance for determining the eligibility of training providers and their programs to receive funds under the Workforce Investment Act (WIA) (Public Law 105-220) Title I-B Individual Training Account as set forth in the Alaska Department of Labor and Workforce Development, Division of Business Partnership, [Eligible Training Provider List \(ETPL\) Policy 1001-1](#). This document is intended to furnish training providers and other pertinent stakeholders with the most up-to-date information relative to the training program certification process.

The WIA emphasizes informed customer choice, performance accountability, and continuous improvement. One of the primary means that WIA employs to achieve these goals is the ETPL. The State is required to develop and operate the ETPL in partnership with the local Workforce Investment Board. The ETPL is designed to gather and display useful information on training providers, their services, and the quality of their programs.

Under WIA, Alaska must annually meet performance levels negotiated with the U.S. Department of Labor (U.S. DOL). The performance of the training providers is critical to the States performance. The performance information displayed on the ETPL will aid in determining how providers are contributing to the State's overall performance. The ETPL is also a useful tool for the continuous improvement of the services offered by providers. Not only will ETPL performance information help managers by providing feedback on which programs are successful; the ETPL will inform the programs' customers of all the different training programs available to them. This informed customer choice should tend to make providers more focused on their customers' success, which will spur them to improve their programs.

A One-Stop center may issue an Individual Training Account (ITA) to an adult to fund training after it has determined that core and intensive services are insufficient for that customer's needs. The individual can then compare the offerings on the ETPL, and, with the advice of One-Stop staff, select the most appropriate training program. The ETPL helps to provide customer choice, while also supporting quality training programs.

Applicability

Training providers, State of Alaska, Department of Labor and Workforce Development (DOLWD) workforce development professionals, Workforce Investment Act (WIA) grant recipients, and participants in the following WIA programs:

- a) Dislocated Worker
- b) Adult
- c) Youth
- d) National Emergency Grant (NEG)
- e) Rapid Response, additional assistance

- f) Statewide Activities Projects when used to provide services similar to those provided under locally funded WIA programs.

Types of Training to Which These Procedures Apply [WIA Section 134(d)(4)(D); 20CFR 663.300]

In order for a provider to receive Title I-B WIA ITA funds, its program(s) must be listed on the ETPL, and these programs may provide training services, such as:

1. Occupational skills training, including training for non-traditional employment;
2. Programs that combine workplace training with related instruction, which may include cooperative education programs;
3. Training programs operated by the private sector;
4. Skill upgrading and retraining;
5. Entrepreneurial training;
6. Job readiness skills;
7. Adult education and literacy activities provided in combination with any other training service outlined above; and
8. Post-secondary education for careers.

There are some training programs that are exempt from direct application to the ETPL or are subject to special ETPL policy provisions. On-the-Job Training, Customized Training (as defined by the WIA) and/or community-based programs of demonstrated effectiveness are exempt from the ETPL. Contract training providers that do not charge clients directly for their services must be listed on the ETPL, but are subject to different criteria specified in their contract.

These procedures consist of three parts:

- Part I establishes the State required performance levels.
- Part II establishes the definitions and calculations of the performance measures and the methodological protocols.
- Part III establishes the processes for training provider application, data submission, denial of application; and appeal.

PART I: State Required Performance Levels

To compete in today's global economy, businesses need a skilled workforce, and Alaska's citizens need increasingly higher levels of skills and knowledge. In the past, most workforce education and training programs in Alaska were not aligned with skill needs and job openings in the economy. [Alaska's new Integrated Workforce Development Plan](#) seeks to change that by targeting training funds to high-priority occupations.

While WIA opens the whole training marketplace to its customers, it also puts consumer protections in place. The legislation mandates that providers of education and training meet certain specified performance levels. This performance information is required so that customers can effectively evaluate the quality of each program. The performance and cost information that training providers

must submit to be identified as an eligible provider of training services under Section 122 of WIA, combined with the negotiated local area common performance measures, are essential for ensuring high quality individual and program-wide outcomes. In order for a program of a training provider to be eligible for funding under WIA, the program must meet certain minimum performance levels. A course/program of training services is subject to eligibility procedures that include, but are not limited to, meeting minimum levels of performance for each course/program at each specific site for which certification is being sought.

Participants in a program must meet or exceed each of the following minimum performance levels:

- An employment rate of 65 percent;
- An earnings level of \$3,500 in a calendar quarter

Failure to achieve any one of these minimum performance levels shall make the program ineligible. If a program meets or exceeds each of the minimum performance levels it shall be determined to have satisfied the State required performance levels.

WIA Section 122(c)(6)(B) allows the Alaska Workforce Investment Board (AWIB) to establish higher levels of performance. WIA Section 122(d)(2)(B) allows the AWIB the option of requiring the training provider to submit other verifiable program-specific performance information to obtain subsequent year eligibility. The AWIB also has the option of establishing a local area policy to accept supplemental individual participant data from a training provider with a program that did not meet State required performance levels. All local policies adopted by the AWIB shall be provided to the Department of Labor and Workforce Development.

It is the policy of the State to allow eligible WIA Title I-B participants to attend training offered by a provider on another State's ETPL if the same training is not available in Alaska. In arranging out-of-state training, a case manager must follow WIA Section 134(d)(4) requirements and Alaska State WIA policies. Training programs located outside of Alaska may appear on Alaska's ETPL but will be considered approved if they are in good standing on any other State's Eligible Training Provider list.

PART II: Definitions and Calculations of Performance Measures and Methodological Protocols

This section defines the performance measures and methodological protocols that will be used to determine training provider eligibility. Measures A-2 and A-3 shall be used to determine eligibility.

Appendix A provides a definition of the terms used in the performance measures. The performance measures are based on administrative records (see [Appendix A definitions: 'Minimum Data Requirement'](#)) submitted to the Department of Labor and Workforce Development, Research and Analysis (DOL/R&A) and matched with other administrative records as appropriate. Additional supplemental data will be accepted under certain conditions as specified in [Appendix B](#).

It is the responsibility of the training provider to submit the necessary data elements to DOL/R&A for the performance measures to be calculated. The required process for data submittal is identified in [Part III](#) of these procedures.

A. All Program Participants

The performance measures are categorized by two groups of three. The first group applies to all program participants, the second group applies only to participants who receive assistance under WIA sec.134.

A-1. Completion Rate: "The program completion rates for all individuals participating in the applicable program conducted by the provider." (WIA Section 122)

State definition: The percentage of all exiters from the applicable provider program who successfully completed that program.

Calculation: The number of successful completions of the applicable program during the reporting period divided by the number of all exiters from the applicable program during the reporting period:

$$\frac{\text{\#successful completions of the applicable program during the reporting period}}{\text{\#exiters from the applicable program during the reporting period}}$$

A-2. Employment Rate: "The percentage of all individuals participating in the applicable program who obtain unsubsidized employment." (WIA Section 122)

State definition: The percentage of all exiters from the applicable program who obtained unsubsidized employment.

Calculation: The number of exiters from the applicable program during the reporting period with unsubsidized employment in the third quarter after the quarter of exit divided by the number who exited the applicable program during the reporting period:

$$\frac{\text{\#exiters from the applicable program employed in the third quarter after exit}}{\text{\#exiters from the applicable program during the reporting period}}$$

A-3. Earnings Level: "The wages at placement in employment of all individuals participating in the applicable program." (WIA Section 122)

State definition: The quarterly earnings of all participants exited from the applicable program with earnings in unsubsidized employment in the second and third quarters after exit.

Calculation: The total quarterly earnings of all exiters from the applicable program during the reporting period with reported earnings in the second and third quarters after the quarter of exit:

$$\frac{\text{\#total earnings of all exiters from the applicable program employed in the second and third quarter after exit}}{\text{\#exiters employed in the third quarter after exit from the applicable program}}$$

B. Participants Who Receive Assistance Under WIA Section 134 Performance Measures

This only applies to individuals receiving assistance under the WIA Title IB who are participating in the applicable program of training services. On-the-job training and customized training programs are exempt.

B-1. Completion Rate: "The program completion rates for all individuals participating in the applicable program conducted by the provider." (WIA Section 122)

State definition: The percentage of WIA-funded exiters from the applicable program who successfully completed the program and obtained unsubsidized employment.

Calculation: The number of WIA-funded successful completers of the applicable program during the reporting period who obtained unsubsidized employment by the end of the first quarter after the quarter of exit divided by the number of WIA-funded exiters from the applicable program during the reporting period:

$$\frac{\text{\#WIA-funded successful completers with employment in the first quarter after the quarter of exit}}{\text{\#WIA-funded exiters from the applicable program during the reporting period}}$$

B-2. Employment Rate: "The retention rates in unsubsidized employment of participants who have completed the applicable program, 6 months after the first day of employment" (WIA Section 122)

State definition: The percentage of WIA-funded successful completers of the applicable program in unsubsidized employment in the first quarter after exit who remain in unsubsidized employment in the third quarter after exit.

Calculation: The number of WIA-funded successful completers of the applicable program during the reporting period with unsubsidized employment in the first quarter after exit and who remain employed in the third quarter after exit divided by the number of WIA-funded successful completers of the applicable program with employment in the first quarter after exit:

$$\frac{\text{\#WIA-funded successful completers employed in unsubsidized employment in the first and third quarters after exit}}{\text{\#WIA-funded successful completers of the applicable program with employment in the first quarter after exit}}$$

B-3. Earnings Level: "The wages at placement in employment of all individuals participating in the applicable program." (WIA Section 122)

State definition: The quarterly earnings of all participants exited from the applicable program with earnings in unsubsidized employment in the second and third quarters after exit.

Calculation: The total quarterly earnings of all exiters from the applicable program during the reporting period with reported earnings in the second and third quarters after the quarter of exit:

$$\frac{\text{\#total earnings of all exiters from the applicable program employed in the second and third quarter after exit}}{\text{\#exiters employed in the third quarter after exit from the applicable program}}$$

PART III: Application, Data Submittal, Denials, and Appeal Process

Part III is divided into the following three sections:

- A.** Annual renewal guidelines for training programs that are already on Alaska’s Eligible Training Provider List (ETPL).
- B.** Procedures for approving new programs for ETPL eligibility from training providers.
- C.** Procedures for denying initial ETPL eligibility or de-listing a training program from the list, internal procedures and appeals.

Section A - Annual renewal for training programs that are already on Alaska’s Eligible Training Provider List (ETPL)

Each year Department of Labor and Workforce Development, Research and Analysis (DOL/R&A) will collect participant data from all training providers on the State ETPL. Research and Analysis will specify the required data elements ([Appendix D](#)). The Department of Labor will supply the data for Alaska’s registered apprenticeship programs.

Renewal of eligibility for a training program requires the program to meet required levels of performance [WIA Section 122(c)(6)(A)]. The data sources for identifying performance results are administrative records (e.g. participant records and unemployment insurance wage records). In some cases, DOL/R&A will accept supplemental data from the training provider. See Parts I and II for the State policies on required performance levels, performance measures, minimum data requirements, and conditions when supplemental data may be accepted by DOL/R&A.

Research and Analysis will compare a training program’s performance results (completion rates, employment rates, earnings) with State performance criteria to determine whether a training program meets State required performance levels.

DOL/R&A will inform the DOL/Division of Business Partnerships (DBP) and the provider of its determinations. Some programs of training may not have the minimum data required for DOL/R&A to conduct the State performance review. DOL/R&A will inform the provider and DBP that the training program(s) will be given an “interim eligibility” status and remain on the State list until minimum data is available to conduct the State’s performance review or for two years if the minimum data is not available.

A training provider that is unwilling to supply DOL/R&A with required and available participant data (or are unwilling to sign a statement of commitment to begin collecting and supplying the required participant data) will be informed that its program(s) of training may be removed from the State ETPL.

The DOL/DBP is required to inform training providers of the programs being considered for removal from the ETPL. After reviewing any supplemental information supplied by a provider, DBP shall determine that WIA Section 122(d) performance requirements were either met or not met.

When a program of training is removed from the State ETPL, WIA participants currently enrolled in the program with the support of an Individual Training Account may complete their training as outlined in their WIA Individual Employment Plan.

Section B - Procedures for approving new training programs for ETPL eligibility from training providers.

The following procedures pertain to training providers already on the State ETPL applying to add a new program to the list, and to other training providers requesting to have a program listed for the first time. Initial eligibility is based on the provider/program's authority or authorization to operate. Performance is not considered in determining initial eligibility. Providers are encouraged to submit performance outcomes for the programs they want to list on the ETPL to facilitate customer choice but this is not a requirement and it will not be considered in making initial eligibility determination:

- a) Provide a complete ETPL application, with section B filled out for each program submitted for consideration: <http://www.labor.state.ak.us/bp/forms/etpapp.pdf>
- b) Include a copy of the business license showing that the provider is a legal entity registered to do business in the state of Alaska. Information on how to obtain a business license and application can be found: <http://www.commerce.state.ak.us/occ/home.htm>
- c) Include the Federal Employer Identification (EIN) number (if required). Information regarding EINs can be found at: <http://www.irs.gov/Businesses/Small-Businesses-%26-Self-Employed/Employer-ID-Numbers-EINs>
- d) Include information showing Alaska Commission on Postsecondary Education (ACPE) approval- *please note that each course/program must have an ACPE approval—not just the provider.*

Requirements:

- Letter of exemption or certificate of institutional authorization to operate
- ACPE Letter of approval or exemption (See ACPE's website for complete information regarding Authorization: <http://akadvantage.alaska.gov/About Us/Programs and Services/Authorization.aspx>)
- Complete the form, pay the fee, and submit form

Questions regarding ACPE Authorization or Exemption can be directed to:

Kierke Kussart, Program Coordinator
Alaska Commission on Postsecondary Education
(907) 465-6741
kierke.kussart@alaska.gov

Some educational providers are exempt from some or all authorization regulations and are not required to go through the authorization process. Exemptions may be available to those offering ONLY short programs (no more than 80 hours in duration) that do not accumulate into a longer program, those which do not offer educational credentials of any type and for which no fee is charged, and those offered by specified groups solely for their constituents (not available to the general public). See the Alaska Commission on Postsecondary Education's website for complete information regarding Authorization: <http://akadvantage.alaska.gov/About Us/Programs and Services/Authorization.aspx> .

Until DOL/DBP determines the eligibility of the training program, the provider will be granted "interim eligibility" status for the listed program as long as:

- a) Part A application requirements were met; and
- b) ACPE determines that the training provider is authorized or exempt when required in Alaska; and
- c) the program meets initial eligibility requirements for "interim eligibility" status.

Initial eligibility is met if the training provider is a public community or technical college or public university, registered apprenticeship program, private vocational school authorized or exempted by ACPE or educational institutions eligible to receive federal funds under Title IV of the Higher Education Act of 1965. For all "other" training providers not listed above, initial eligibility for "interim eligibility" status shall be decided by the DBP following a general review of the training provider's institutional qualifications. Examples of elements that DBP may consider include: financial stability, quality of instructions and administrators, quality of the facilities and training equipment, curriculum, cost, rate of participant certification for a trade, job placement rates, wages, and completion rates.

Other Training Provider Requirements

- a) Non-discrimination Policy: Section 667.275 of the Final Rule specifies that all training providers must comply with the nondiscrimination and equal opportunity regulations at 29 CFR Part 37, Implementation of the Nondiscrimination and Equal Opportunity Provisions of the WIA.
- b) Accessibility: Training providers must provide physical and programmatic accessibility and reasonable accommodations/modifications, as required by Section 504 of the Rehabilitation Act of 1973, as amended; the Americans with Disabilities Act of 1990, as amended; Section 188 of WIA; and the regulations implementing these statutory provisions.
- c) Advertising Restrictions: Since courses/programs, not training providers, are certified through this process, training providers are not permitted to advertise their school as an **"approved Alaska statewide workforce development training provider."** However, training providers are allowed to provide a list of their courses/programs that are state approved for the specified program year. Providers may also provide additional information to local [Job Centers / One-Stops](#) such as pamphlets and school catalogs.

Section C - Procedures for denying initial ETPL eligibility; removing training program from the ETPL and appeals.

1. Denial of Eligibility for Initial Listing on the State WIA Eligible Training Provider List

Reasons for Denial:

- a) DBP shall deny eligibility if an applicant fails to meet the minimum criteria for initial eligibility as specified in Section B of this policy.
- b) DBP shall deny ETPL eligibility if the applicant intentionally supplied inaccurate information and shall deny ETPL eligibility to a provider who has substantially violated any WIA requirements. Penalties are described in WIA Section 122(f)(1) and (2).
- c) After consulting with ACPE, DBP shall deny ETPL eligibility to any private career school required by Alaska State law to be ACPE authorized or exempt to operate in the State and is not

authorized or exempt. If DBP denies eligibility for initial listing of a provider's program on the ETPL, DBP must, within 30 calendar days of this decision, inform the provider in writing and include the reason(s) for the denial and complete information on the appeal process as stipulated in [DBP Policy 260.00 Appeal Process for Grievances and Complaints](#).

2. De-listing of a Program on the ETPL

Reasons for De-listing:

- a) DBP shall remove a program (or programs) from the ETP list if the provider fails to supply available participant data required for the performance review within due dates established. Training providers who are unwilling to supply required and available participant data (or are unwilling to sign a statement of commitment to begin collecting and supplying the required participant data) shall be informed by DBP by certified mail that their program(s) of training will be removed from the State ETP list.
- b) DBP shall remove a program if it is determined that the applicant intentionally supplied inaccurate information and shall deny ETP eligibility to a provider who has substantially violated any WIA requirements.
- c) If State or local required performance levels are not met, the program shall be removed.
- d) DBP has the option of establishing a local area policy to accept supplemental individual participant data from a training provider with a program that did not meet State required performance levels. Adopting such an option requires DBP to inform an affected training provider that certain supplemental data on employment and earnings will be accepted and the required due date for the receipt of the data. After reviewing supplemental information supplied by the school, DBP shall conclude that WIA Section 122(d) performance requirements were either met or not met. At the point when DBP determines that a program will be removed from the ETP list DBP shall, within 45 calendar days of this decision, inform the provider in writing and include the reason(s) for the removal and complete information on the appeals process.

DBP shall remove a program that is determined to be no longer eligible no earlier than the 31st calendar day from the issuance of the denial notice (see Section C.3.a. below). If a training provider chooses to appeal, a training program that is subject to removal shall remain on the State ETPL until the appeal is concluded.

3. Procedures for Appeals [WIA Section 122(g)]

A provider wishing to appeal a decision must submit a written appeal to the Division of Business Partnerships within 30 calendar days of the issuance of the denial notice following the procedures stipulated in [DBP Policy 260.00 Appeal Process for Grievances and Complaints](#). The appeal must include a statement of the desire to appeal, specification of the program in question, the reason for the appeal and the signature of the training provider.

In appeal cases where the training program met State required performance levels but did not meet the AWIB's performance standards, DOL/DBP will establish whether the AWIB correctly followed its local performance procedures including, where applicable, its procedures for reviewing and accepting supplemental data provided by the appealing training provider. In an appeal challenging DOL/DBP's process for determining State required performance levels, DOL/DBP will review

whether it followed consistent procedures when applying its standards. The decision rendered by DOL/DBP, on behalf of the Governor, shall be final.

Department Internal ETPL Procedures

a) ***Internal Application Process.*** Administration of ETPL applications occurs as follows.

i) DBP Technical Assistance Unit:

- (a) Receive completed applications for each program a provider seeks to list;
- (b) Verify that the training meets the level of a “program” for the ETPL;
- (c) Refer applications to the Alaska Commission on Postsecondary Education (ACPE) for review and verification of status;
- (d) Request additional criteria (if necessary) concerning a provider’s finances, administration, curriculum, policies, etc.;
- (e) Forward all pertinent information to Research and Analysis for performance measurement and eligibility determinations;
- (f) Process applications for changes in program or provider status; and
- (g) Assist in verification of data accuracy and training provider competency throughout the eligibility period.

ii) Research and Analysis Section:

- (a) Perform a cross-match of participant data with unemployment wage records to determine whether ETPL applicants meet standards for initial or subsequent eligibility;
- (b) Certify programs for initial and subsequent eligibility in collaboration with the department and the AWIB;
- (c) Remove programs that do not meet performance standards or data collection requirements under this policy;
- (d) Distribute ETPL information via the online system;
- (e) Maintain program and provider information; and
- (f) Report on ETPL programs on an ongoing and annual basis.

Due Dates

Providers must submit data for the calendar year no later than June 30 of the following year.

References

Workforce Investment Act, Pub. L. 105-220, 112 Stat. 936.

<http://www.doleta.gov/regs/statutes/wialaw.pdf>

Title 20 Code of Federal Regulations: Parts 660 - 671 <http://www.gpo.gov/fdsys/pkg/CFR-2000-title20-vol3/pdf/CFR-2000-title20-vol3-chapV.pdf>

Title 20 CFR: Part 660 - *Introduction to the Regulations for the Workforce Investment Systems under Title I of the Workforce Investment Act.*

Title 20 CFR: Part 661 - *Statewide and Local Governance of the Workforce Investment System under Title I of the Workforce Investment Act.*

Title 20 CFR: Part 662 - *Description of the One-Stop System under Title I of the Workforce Investment Act.*

Title 20 CFR: Part 663 - *Adult and Dislocated Worker Activities under Title I of the Workforce Investment Act.*

Title 20 CFR: Part 664 - *Youth Activities under Title I of the Workforce Investment Act.*

Title 20 CFR: Part 665 - *Statewide Workforce Investment Activities under Title I of the Workforce Investment Act.*

Title 20 CFR: Part 666 - *Performance Accountability under Title I of the Workforce Investment Act.*

Title 20 CFR: Part 667 - *Administrative Provisions under Title I of the Workforce Investment Act.*

Title 20 CFR: Part 668 - *Indian and Native American Programs under Title I of the Workforce Investment Act.*

Title 20 CFR: Part 669 - *National Farmworkers Jobs Program under Title I of the Workforce Investment Act.*

Title 20 CFR: Part 670 - *Job Corps under Title I of the Workforce Investment Act.*

Title 20 CFR: Part 671 - *National Emergency Grants for Dislocated Workers.*

TEGL 07-99 - *Core and Consumer Satisfaction Performance Measures for the Workforce Investment System.*

<http://www.doleta.gov/usworkforce/documents/tegl/tegl-7-99.htm>

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

<http://wdr.doleta.gov/directives/attach/TEGL17-05.pdf>

TEGL 22-04, Change 1 - *Servicing Military Spouses as Dislocated Workers under the Workforce Investment Act Dislocated Worker Formula Grant*

<http://wdr.doleta.gov/directives/attach/TEGL/TEGL22-04c1acc.pdf>

Appendix A

Definitions of Terms

- **Completion Rate:** is the percentage of individuals who successfully complete the provider's program as compared to all individuals who enrolled in the respective program. **To calculate:** The number of all participants who completed the program/course during the reporting period divided by the total number of all participants.
- **Credential:** means degrees, diplomas, certificates, transcripts, reports, documents, or letters of designation, marks, appellations, series of letters, numbers, or words which signify, purport, or are generally taken to signify enrollment, attendance, progress, or satisfactory completion of the requirements or prerequisites for education at a postsecondary educational institution. **To calculate:** The number of WIA participants who completed a program and received a credential divided by the total number of WIA participants who completed a program for which a credential was required for employment.
- **Designated State Agency:** is assigned by the Governor under WIA for ETPL data collection, eligibility determinations, and consumer reporting. The State of Alaska, Department of Labor and Workforce Development, Research and Analysis Section (R&A) is Alaska's Designated State Agency.
- **Employment Rate:** is the percentage of all individuals participating in the applicable program who obtains unsubsidized employment as compared to the total number of individuals enrolled in the program. **To calculate:** The number of all participants who obtained unsubsidized employment during the reporting period divided by the total number of all participants.
- **Earnings:** A person's quarterly earning found in unemployment insurance wage records or through federal payroll records. *For programs with a large amount of self-employment, only administrative records from the related industry will be included in the calculation. Appendix B provides information on supplemental data.*
- **Employed:** Reported employment found through unemployment insurance records in Alaska and other states or through federal payroll records. *Supplemental records may also be used as described in Appendix B.* **Exempt Provider:** is
 - i) A post-secondary educational institution that is eligible under Title IV of the Higher Education Act, and that provides a program leading to an associate degree, baccalaureate degree, or certificate; or
 - ii) An entity that carries out programs under the National Apprenticeship Act.
- **Non-Exempt Provider:** is Any educational institution, board, or training entity that provides training, including programs at post-secondary institutions that do not offer a degree or certificate; and are not eligible under Title IV of the Higher Education Act. This includes apprenticeship programs not registered under the National Apprenticeship Act.
- **Exiters:** All participants in the program who left during the reporting period, no matter what the reason and regardless of their start date.
- **Minimum Data Requirement:**

Part II-A. Records on 10 exiters from the applicable program during the reporting period.

Part II-B. Records on 10 WIA-funded exiters from the applicable program during the reporting period.

In order for a performance measure to count toward eligibility determination, there must be data records on a minimum number of participants so the results are statistically valid. The minimum number of participant records is 10 during the reporting period (12 quarters). This minimum requirement pertains separately to each measure.

- **Non-Occupational Training:** Training less than 80 contact hours in duration and that does not result in:
 - (1) a certificate or a degree, or
 - (2) skills or competencies needed for a specific job or jobs, an occupation, occupational group, or generally, for many types of jobs or occupations, as recognized by industries and determined prior to training.
- **Placed in Employment:** is the percentage of participants who have completed the applicable program and who are placed in unsubsidized employment as compared to the total number of exiters from the program. **To calculate:** The number of WIA participants who completed the program/course and who obtain unsubsidized employment *divided by* the total number of WIA participants.
- **Program of Training Services:** A “program of training services” is defined in 20 CFR Section 663.508 as: “One or more courses or classes, that upon successful completion, leads to:
 - (1) a certificate, an associate degree, or baccalaureate degree; or
 - (2) the skills or competencies needed for a specific job or jobs, an occupation, occupational group, or generally, for many types of jobs or occupations, as recognized by employers and determined prior to training.” In addition, each program is considered unique by its goals and curriculum, or by the requirements of the regulatory agency.
- **Reporting Period:** 12 recent calendar quarters. e.g.: January through March, April through June, July through September and October through December for the past three years. *The most recent 12 calendar quarters that allow for sufficient time for data analysis prior to eligibility determination.*
- **Retention Rate:** is the percentage of WIA-funded successful completers of the applicable program in unsubsidized employment in the first quarter after exit who remain in unsubsidized employment in the second or third quarter after exit. **To calculate:** The number of WIA participants who were engaged in unsubsidized employment 6 months after their first day of employment *divided by* the total number of WIA participants employed.
- **Social Security Number:** The US Department of Labor Memorandum, January 19, 2001, Application of Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. 1232g). “...FERPA provides that education records, or personally identifiable information from such records, may be disclosed by educational agencies and institutions only after an eligible student provides prior written consent, except in statutorily specified circumstances (20 U.S.C. 1232g(b)(1) and (d). See also 34 CFR 99.30). “Personally identifiable information” is defined by 34 CFR 099.3 as information that “includes but is not limited to:
 - (d) a personal identifier, such as the student's social security number or student number,One of the exceptions, subject to the conditions and limitations discussed.., is a disclosure in connection with a student's application for or receipt of financial aid (20 U.S.C. 1232g(b)(1)(d),...this exception applies only to the disclosure of student records relating to

those students who receive training assistance under section 134 of WIA. Thus, in the case of a WIA participant, the financial aid exception allows for the disclosure of a student's SSN to another state agency for the purposes of measuring performance outcome as required by section 122 of WIA."

- **Successful Completers:** All exiters who successfully completed the program during the reporting period include:
 - Those who have graduated with a degree or certificate or nationally recognized skill standard from the program. *Appendix C defines 'skill standard.' For apprenticeships, these include those who the committees have designated as having completed their programs.*
 - For community and technical colleges and private institutions, students who have transferred to a 4-year institution, or have completed a nationally recognized skill standard and are employed. *For private institutions that do not use the same quarter credit system as the community and technical college system, the acceptable equivalent will be a year of vocational training. Appendix C defines 'skill standard.'*
- **Supplemental Data:** Under certain conditions a training provider may submit supplemental data to Department of Labor and Workforce Development, Research and Analysis (DOL/R&A) to be used to determine the eligibility of the provider's program(s). Supplemental data refers to data that is in addition to administrative records used by DOL/R&A in calculating the performance measures. Training providers, who fail to meet the minimum standards set by the AWIB, may supply additional information about a participant's employment and earnings. Such information may include documentation on self-employment and self-reported earnings. Appendix B provides information on supplemental data.
- **Unsubsidized Employment:** Any employment where the employee's wages are not directly paid in whole or in part by funds provided under WIA Title I-B. Employment in the military also is considered unsubsidized employment.
- **WIA-funded Exiters:** All WIA-funded participants in the applicable program who left during the reporting period, no matter what the reason and regardless of their start date. *Exiters who are enrolled in education or training and not employed during the first quarter after exit will not be included in the calculation.*
- **WIA-funded Successful Completers:** All WIA-funded exiters who successfully completed the program during the reporting period include:
 - Those who have graduated with a degree or certificate or nationally recognized skill standard from the program. *Appendix C defines 'skill standard.' For apprenticeships, these include those who the committees have designated as having completed their programs.*
 - For community and technical colleges and private institutions, students who have transferred to a 4-year institution, or have completed a nationally recognized skill standard and are employed. *For private institutions that do not use the same quarter credit system as the community and technical college system, the acceptable equivalent will be a year of vocational training. Appendix C defines 'skill standard.'*
- **Employment** If a program of a training provider fails to meet the required performance level based on administrative records, then the provider may submit supplemental employment data to DOL/R&A to measure employment for performance measures number **A-2, B-1, or B-2**. Supplemental data may consist of either:
 - (1) individual employment records that meet the standards of the provider's accrediting agency, or

(2) a copy of a W-2 form, pay stub, or Internal Revenue Service 1099 form that documents employment during the time period in the measure.

The AWIB may accept other types of supplemental data for individual participants at its discretion.

- **Wages** If a training program fails to meet the required performance levels, the program may submit supplemental earnings data to DOL/R&A for performance measures number **A-3** or **B-3** for former participants who are self-employed. The supplemental data may consist of a copy of a tax form submitted to the United States Internal Revenue Service that shows earnings from self-employment during the year in which the third quarter post-exit occurs. For purposes of the measure(s), the gross earnings reported for the year will be divided by four in order to approximate quarterly earnings. The AWEB may accept other types of supplemental data for individual participants at its discretion.

Appendix B

Nationally Recognized Skill Standards

Statement of Policy Individual Training Account (ITA) / Eligible Training Provider

Section 122(d)(2)(A) of the Workforce Investment Act provides the Governors of the state's discretionary authority regarding the establishment of provisions used to determine the eligibility of training providers to receive WIA funds from Individual Training Accounts (ITAs). Pursuant to that authority, the Alaska's Integrated Workforce Development Plan contains the requirement that to be certified as eligible recipients of WIA funding through Individual Training Accounts, subsequent to the first 18 months of WIA implementation, training providers must "base training on the requirements of industry-based, nationally recognized skill standards and occupational certifications, especially those endorsed by the National Skill Standards Board (NSSB), that exist for the courses of study offered."

In [Alaska's Integrated Workforce Development Plan](#) this requirement is taken to mean nationally recognized, industry based skill standards and occupational certifications should be firmly embedded in policies and procedures at every level of Alaska's workforce investment system, including the Alaska Workforce Investment Board, Integrated Plan partner agencies, One Stop operators, and training providers. All of these entities should institute the practice that occupational training programs under WIA:

- a. align with/use existing nationally recognized, industry-based skill standards and certifications as the basis for developing competency-based learning objectives, curricula, instructional methods, teaching materials, and classroom/worksite activities;
- b. prepare their students/trainees to satisfy the employer knowledge and skill requirements assessed by related examinations; and
- c. provide their students/trainees with the opportunity to take these exams and receive certifications corresponding to their courses of study.

The specific identification of 'nationally recognized, industry-based occupational certifications' is not addressed in Alaska's Integrated Workforce Development Plan. Utilizing best practices models

found in other states with similar requirements (New Jersey and Virginia) the following criteria, generated in concert with the NSSB, are offered in determining appropriate certifications for use by Eligible Training Providers utilizing Individual Training

Accounts under Alaska’s Integrated Workforce Development Plan:

- Certification program sponsorship by a recognized professional organization, trade association, and/or industry organization (including vendors such as Microsoft or Cisco Systems).
- Certification program acceptability that is at least national in scope, including portability throughout the United States by the credential holder.
- Certification test assessments that is knowledge/skill-based, that is standardized, that is administered on a multi-state or national basis, and that is third party scored and reported.
- Certification program linkage to new or enhanced employment opportunities, including improved first-time job opportunities for entry-level workers, effective retraining for displaced workers, or career ladder progression for incumbent workers; or to further higher-level job preparation education and training, such as through completion of an apprenticeship program or attainment of a post-secondary degree.

To implement these requirements, Alaska has been working with the NSSB to conduct extensive research necessary to provide a solid foundation for this endeavor. The NSSB has provided a broad base of research and knowledge in the identification of appropriate ‘skill standards and occupational certifications’ in numerous employment areas.

Alaska’s Business Learning Consortia have been the recipients of much of the work and research conducted by the NSSB. The various consortia have utilized that information, as well as the results of their own standards and certifications research in identifying and developing training and education programs within their respective industries.

The Alaska Department of Education and Early Development has been making use of NSSB research and information, in addition to their own research, in implementing the requirements of the Alaska’s Integrated Workforce Development Plan and the Perkins Plan to achieve “nationally recognized, industry-based skill standards and occupational certifications” in all Perkins supported programs.

Many of Alaska’s post-secondary training and education providers, including approved apprenticeship programs, have taken advantage of the research provided by NSSB and many have conducted their own research in determining appropriate “nationally recognized, industry-based skill standards and occupational certifications” for their clientele.

In order to meet the requirements of the Alaska’s Integrated Workforce Development Plan related to the determination of the subsequent eligibility of training providers, user friendly protocols and procedures to gather, verify, and document information attesting to/assuring provider compliance will be developed and instituted as a functional part of WIA operations in Alaska.

Appendix C

Data Elements To Be Submitted By The Local Workforce Investment Boards For Each Provider And Training Program They Authorize to be Placed On The Eligible Training Provider List

For each training provider (Part 'A' of the Application):

- Name and address of training institution
- School Website
- Contact person and title
- Telephone, fax, email address
- Federal Employer Identification Number (EIN)
- Date training institution was established
- Administered by a state or local government
- Costs for WIA participants the same as the general public
- Alaska Commission on Postsecondary Education
- School Accreditation (Yes/No)
- Accrediting Agency, if applicable
- Refund policy
- Grading and attendance policies

Training Program Information (Part 'B' of the application):

- Name of specific training program or degree program
- Program length
- Part time enrollment
- Occupational Objective
- Certification or licensure information
- Alaska Commission on Postsecondary Education (ACPE) status
- Program narrative
- Classification of Instructional Programs (CIP) Code

Appendix D

Training Participant Information; Required Data from the Training Provider

Provide an electronic file with one record per training program participant exiting the program with the following data fields:

1. Campus or city location of training
2. Social Security Number and name of student

3. Classification of Instruction Programs (CIP) 6 digit code
4. Name of training, degree or certificate program pursued by participant
5. Student start date in the program: YYYYMMDD
6. Student exit date from the program: YYYYMMDD
7. Indicate the completion status of the student:
 - 1 = Degree or certificate awarded or program completed
 - 2 = Student enrolled but didn't complete the program
8. For those that did not complete program, reason for exit:
 - 1 = Withdrew with full refund
 - 2 = Entered active duty military
 - 3 = Entered religious program or mission
 - 4 = Entered Peace Corps or AmeriCorps
 - 5 = Transferred to another educational program
 - 6 = Withdrew for medical reasons
 - 7 = Incarcerated
 - 8 = Died
 - 9 = Other

Appendix E

Providers must complete a Statement of Provider Viability (Part 'D' of application), including:

The name of the Training Institution

- a) Is a legal entity, registered to do business in the State of Alaska
- b) Has current status with ACPE and a copy of the status notification letter is included with this application
- c) Is eligible to receive Federal funds, and is (✓ check one):
 - (1) a postsecondary institution eligible to receive Federal funds under the Higher Education Act, or
 - (2) apprenticeship program recognized under the National Apprenticeship Act, or
 - (3) a public or private provider of training programs.
- d) Does not discriminate against nor deny employment or services to any person on the grounds of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I—financially assisted program or activity as specified in Title 29, Code of Federal Regulations Sections 37.20 through 37.22.
- e) Is in compliance with the 1990 Americans with Disabilities Act (ADA)
- f) Demonstrates effectiveness in operating occupational classroom training programs(s)
- g) including provision of placement assistance
- h) Agrees to allow provider facilities, classroom instruction, relevant financial and insurance records, and attendance records to be reviewed by state, federal and/or local monitors or auditors to ensure compliance with funding requirements

- j) h. Agrees to annually provide Department of Labor and Workforce Development, Research and Analysis with key participant data needed to conduct an annual program performance review
- k) i Agrees to submit a revised application if program name, curriculum, or policies change