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

This is a technical assistance guide to help TAACCCT grantees determine the documentation necessary to support the reporting requirements of their grant award package. It does not propose any new reporting requirements or policy changes, but provides clarification regarding the types of documentation that will fulfill the requirements of the various reporting metrics. This technical assistance resource is applicable to TAACCCT Round 1, 2 and 3 grantees.

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

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

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

Per the approved OMB Reporting Package, grantees must use administrative data to track items such as employment, retention, wage increases and earnings outcomes. In instances where grantees do not have access to administrative data, then they should access the types of documentation cited in the attached chart. As noted in the chart, for employment-related outcomes, self-attestation is only acceptable for self-employment.

In addition, Table 2 of the APR is for use by TAACCCT Round 1 grantees only, because these grantees must provide cohort data. The Table 2 section of this document provides suggestions for documentation that can be used for participant and comparison cohorts. ETA recognizes that in some cases it may be very challenging for TAACCCT Round 1 grantees to collect data and documentation for some of the data elements for their comparison cohorts. For example, a grantee's comparison cohort may have completed training prior to the grant, and the grantee may not have collected all the data elements for individuals in that cohort that are required in the TAACCCT performance reporting requirements and may determine that it is not feasible to contact them to get additional information. Based on circumstances like these, while TAACCCT Round 1 grantees should report on all the data elements and provide appropriate documentation for their comparison cohorts as outlined below, ETA recognizes that in some cases this may not be feasible. In instances where it is not feasible for TAACCCT Round 1 grantees to report on certain data elements or provide documentation for specific comparison cohort data elements, grantees should note in their files why this was not feasible, citing their efforts to collect this information and the specific, significant challenges impeding them such as cost or college policies. For example, if a grantee

is not able to collect documentation from cohort students at other schools, a letter from those schools stating that the schools do not agree to release that type of information would be sufficient justification. For a grantee using past students in their cohorts, a statement from the college's Institutional Review Board indicating that approval was not granted to use specific types of data is another example of sufficient justification. These are just two examples of sufficient justification, and are not meant to be exhaustive. In addition, please note that grantees that reported on a "test" comparison cohort in Year 1 do not need documentation for these students.

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

Additional References on Required Documentation in Other Contexts:

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

FAQ #1: Participant Reporting (Round 1); Round 2 FAQ #1

FAQ #7: Round 1, Participant Eligibility, Vets POS, Documenting Performance Reporting Requirements, and Serving Participants in Alignment with Grantee SOWs

Examples of Acceptable Documents for Verification of Data Element Reporting (The tables below provide samples of selected data elements.)

TABL	TABLE 1 of APR (ALL ROUNDS)				
NO.	DATA ELEMENT NAME	DATA ELEMENT DEFINITION	SOME FORMS OF ACCEPTABLE DOCUMENTATION		
B. Cu	mulative Participant Outcom				
B1	Unique Participants Served/Enrollees	Enter the cumulative total number of individuals who entered any of the grant-funded programs offered to date (including certificate or degree programs or other training activities). Participants should only be included once, even if they enroll in multiple programs.	*Grantee file includes application or other form identifying participant as enrolled in a TAACCCT funded course.		
B2	Total Number of Participants Who Have Completed a Grant- Funded Program of Study	Enter the total number of unique participants (B.1) who completed any grant-funded program to date. Completion is defined as having earned all of the credit hours (formal award units) needed for the award of a degree or certificate in that program of study. Participants should only be included once, even if they complete multiple programs.	College registration records		
B2a	Total Number of Grant- Funded Program of Study Completers Who Are Incumbent Workers	Enter the total number of participants employed at enrollment who complete any grant-funded program to date. Completion is defined as having earned all of the credit hours (formal award units) needed for the award of a degree or certificate in that program of study. Participants should only be included once, even if they complete multiple programs.	 College registration records (completion) plus Pay stub, or Employer verification, or Self-Attestation of employment (incumbent worker status) 		
В3	Total Number Still Retained in Their Programs of Study (or Other Grant-Funded Programs)	Of the total number of unique participants enrolled (B.1) who have not completed their programs, enter the total number of enrollees who were still enrolled either in their original program of study or a different grant-funded program of study at the end of the reporting year.	College registration records		

B4	Total Number Retained in Other Education	Of the total number of unique participants enrolled, enter the total number of enrollees	College registration records
	Program(s)	who dropped out of a grant-funded program of study, but have enrolled in another education program not funded by the grant.	

NO.	DATA ELEMENT NAME	DATA ELEMENT DEFINITION	SOME FORMS OF ACCEPTABLE
B5	Total Number of Credit Hours Completed (aggregate across all enrollees)	Enter the total number of credit hours to date that have been completed by participants in grant-funded certificate and degree programs. This number should be reported in aggregate across all enrollees, even if the participant is no longer enrolled in the grant-funded program of study or did not complete the program.	College registration records
B5a	Total Number of Students Completing Credit Hours	Enter the total number of students who have enrolled that have completed any number of credit hours to date.	College registration records
B6	Total Number of Earned Credentials (aggregate across all enrollees)	Enter the total number of degrees or certificates earned to date by participants for grant-funded programs. This number should be reported in aggregate across all enrollees, including multiple certificates and degrees earned by the same participant.	College registration records
B6a	Total Number of Students Earning Certificates - Less Than One Year (aggregate across all enrollees)	Enter the total number of students who earned certificates designed to be completed in one year or less. A student can be counted only once in this field, even if multiple certificates were earned by that student.	College registration records
B6b	Total Number of Students Earning Certificates - More Than One Year (aggregate across all enrollees)	Enter the total number of students who earned certificates designed to be completed in more than one year. A student can be counted only once in this field, even if multiple certificates were earned by that student.	College registration records
B6c	Total Number of Students Earning Degrees (aggregate across all enrollees)	Enter the total number of students who earned degrees. A student can be counted only once in this field, even if multiple degrees were earned by that student.	College registration records

В7	Total Number Pursuing Further Education After Program of Study Completion	Of the total number of participants who completed at least one grant-funded program (B.2), enter the total number of individuals to date who entered another program of study (grant-funded or not).	 College registration records; or Class schedule from another college
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NO.	DATA ELEMENT NAME	DATA ELEMENT DEFINITION	SOME FORMS OF ACCEPTABLE DOCUMENTATION
B8	Total Number Employed After Program of Study Completion	Of the total number of participants who were not incumbent workers and who completed at least one grant-funded program (B.2), enter the total number of individuals to date who entered unsubsidized employment in the first quarter after the quarter in which the student exits the college. Exit is defined as being no longer enrolled at the college in any program of study and can include formal withdrawal, expulsion, graduation, and other reasons.	State MIS/UI Records If these are not available, the following are examples of acceptable documents: Pay stubs; or Employer verification *For self-employment, selfattestation is acceptable.
B9	Total Number Retained in Employment After Program of Study Completion	Of the total number of participants who were employed in the first quarter after the quarter in which the student exits the college (B.8), enter the total number of individuals to date who were employed in the second and third quarters after exit. Exit is defined as being no longer enrolled at the college in any program of study and can include formal withdrawal, expulsion, graduation, and other reasons.	State MIS/UI Records If these are not available, the following are examples of acceptable documents: Pay stubs; or Employer verification *For self-employment, self-attestation is acceptable.

B10	Total Number of Those Employed at Enrollment Who Receive a Wage Increase Post-Enrollment	Of the number of incumbent workers (those employed at enrollment) who enter a grant-funded program, enter the total number who received an increase in their wages at any time after becoming enrolled.	 State MIS/UI Records If these are not available, the following are examples of acceptable documents: Pay stubs; or Employer verification *For self-employment, self-attestation is acceptable.
C. Cu	mulative Participant Summa	ry Information (All Grant Participants)	
C1a	Male	Enter the total number of new participants who self-identify their gender as male.	College registration records
C1b	Female	Enter the total number of new participants who self-identify their gender as female.	College registration records
C2a	Hispanic/Latino	Enter the total number of new participants who self-identify their ethnicity as Hispanic/Latino. The term Hispanic/Latino includes persons of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race.	College registration records

NO.	DATA ELEMENT NAME	DATA ELEMENT DEFINITION	SOME FORMS OF ACCEPTABLE DOCUMENTATION
C2b	American Indian or Alaskan Native	Enter the total number of new participants who self-identify their race as American Indian or Alaskan Native. The racial category American Indian or Alaska Native includes persons having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.	College registration records

C2c	Asian	Enter the total number of new participants who self-identify their race as Asian. The racial category Asian includes persons having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., Bangladesh, Bhutan, India, Nepal, Pakistan, Sri Lanka, and Sikkim). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.	College registration records
C2d	Black or African American	Enter the total number of new participants who self-identify their race as Black or African American. The racial category Black or African American includes persons having origins in any of the black racial groups of Africa.	College registration records
C2e	Native Hawaiian or Other Pacific Islander	Enter the total number of new participants who self-identify their race as Native Hawaiian or Other Pacific Islander. The racial category Hawaiian Native or Other Pacific Islander includes persons having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.	College registration records
C2f	White	Enter the total number of new participants who self-identify their race as White. The racial category White includes persons having origins in any of the original peoples of Europe, the Middle East, or North Africa.	College registration records
C2g	More Than One Race	Enter the total number of new participants who self-identify more than one of the racial categories outlined in Rows C.2b through C.2f above.	College registration records

NO.	DATA ELEMENT	DATA ELEMENT	SOME FORMS OF ACCEPTABLE
	NAME	DEFINITION	DOCUMENTATION
			DOCOMENTATION
C3a	Full-time Status	Enter the total number of new participants who are enrolled in college courses on a full-time basis. Full-time basis is defined as enrollment into 12 or more credit hours in the Fall or Spring semester and 6 or more credit hours in the Summer.	College registration records

C3b	Part-time Status	Enter the total number of new participants who are enrolled in college courses on a part-time basis. Part-time basis is defined as enrollment into less than 12 credit hours in the Fall or Spring semester and less than 6 credit hours in the Summer.	College registration records
C4	Incumbent Workers	Enter the total number of new participants who are already employed at the time of enrollment.	 Pay stubs; or Employer verification or Self-Attestation of employment
C5	Eligible Veterans	Information on this data element will be provided through a separate resource very shortly.	Information on this data element will be provided through a separate resource very shortly.
C6	Participant Age (Mean)	Enter the mean age in years of the new participants. Mean age is defined as the sum of the ages of all of new participants/enrollees divided by the number of new participants/enrollees.	College registration records
C7	Persons with a Disability	Enter the total number of new participants, where known, or who self-identify that they have any "disability," as defined in Section 3(2)(a) of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102). Under that definition, a "disability" is a physical or mental impairment that substantially limits one or more of the person's major life activities. (For definitions and examples of "physical or mental impairment" and "major life activities," see paragraphs (1) and (2) of the definition of the term "disability" in 29 CFR 37.4, the definition section of the WIA non-discrimination regulations.)	College registration records
C8	Pell-Grant Eligible	Enter the number of participants who are eligible to receive federal Pell Grant assistance.	College financial aid records
C9	TAA Eligible	Enter the number of participants who are eligible to receive Trade Adjustment Assistance (TAA) benefits.	TAA Certification Documentation, such as determination of individual eligibility, letter from State TAA office confirming individual eligibility, or

documentation of training plan approval (will differ by state)
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TABLE 2 of APR (ROUND 1 TAACCCT Grants ONLY) – The data elements below apply to both participant and comparison cohort students. In other words, grantees are expected to be able to provide documentation on data elements for students in both cohorts that indicate the students belong in the data elements for each program of study or combined program of study. Only data elements pertaining to people as opposed to programs (e.g., B.1. Program, B.2 Colleges Offering the Program, etc.) require documentation and are shown below.

For Year 1, for each program of study or combined program of study, grantees could either start reporting their real participant and cohort data, or could perform a pilot study and report on a "test" comparison cohort.

Grantees do not need documentation for students in a "test" comparison cohort reported on in Year 1.

NO.	DATA ELEMENT	DATA ELEMENT	SOME ACCEPTABLE FORMS
	NAME	DEFINITION	OF DOCUMENTATION
A. Acce	eleration of Progress for Low-	skilled and Other Workers (Reported as applica	able)
A1a	Number of Students Enrolled with a Basic Skills Deficiency	Enter the total number of students who are identified as basic skills deficient. Basic skills deficiency is defined as not academically prepared to succeed in college-level courses towards a degree or certificate.	 College registration records College-administered assessment
A1b	Number of Students with Demonstrated Skills Gains Toward a Certificate/Degree	Enter the total number of students identified as basic skills deficient who demonstrate skills gains towards a degree or certificate. Skills gains towards a degree or certificate may either be determined by demonstrated skills gains on a valid, reliable, and standardized assessment or by success in a college-level course towards a degree or certificate.	College registration records
A1c	Number of Students with Success in Credit-Bearing Courses	Enter the total number of students previously identified as basic skills deficient who complete at least one college-level course in a program leading towards a degree or certificate.	College registration records
B. Stud	lent Progress By Program		
B5	Total Number of Students in Cohort	Enter the total number of new students who were enrolled on the cohort start date for this program.	College registration records
B6	Total Number of Students Completing This Program	Enter the total number of students enrolled on the cohort start date (B.5) who completed this program to date. Completion is defined as having earned all of the credit hours (formal award units) needed for the award of a degree or certificate in this program of study.	College registration records

B6a	Total Number of Completers in This Program Who Are Incumbent Workers	Enter the total number of students in the cohort employed at enrollment who completed this program to date. Completion is defined as having earned all of the credit hours (formal award units) needed for the award of a degree or certificate in that program of study.	 College registration records (completion) plus Pay stub, or Employer verification, or Self-Attestation of employment (incumbent worker status)
В7	Total Number of Students Retained in This Program	Of the total number of students enrolled on the cohort start date (B.5) who have not completed the program, enter the total number of students who were still enrolled in this program of study at the end of the reporting year.	College registration records
B8	Total Number of Students Retained in Other Education Program(s)	Of the total number of students enrolled on the cohort start date (B.5), enter the total number of students who dropped out of this program, but had enrolled in another education program (grant-funded or not).	College registration records
B9	Total Number of Program Credit Hours Completed by Students	Enter the total number of credit hours to date that have been completed by students for this program of study. This number should be reported in aggregate across all enrollees, even if the enrollee is no longer in this program or did not complete the program.	College registration records
В9а	Total Number of Students Completing Credit Hours in This Program	Enter the total number of students in the cohort that have completed any number of credit hours to date in this program of study.	College registration records
B10	Total Number of Earned Credentials in This Program	Enter the total number of degrees or certificates earned to date by students in this program. This number should be reported in aggregate across all enrollees. This number should be reported in aggregate across all enrollees, including multiple certificates and degrees earned by the same student (if applicable).	College registration records

B10a	Total Number of Students Earning Certificates in This Program - Less Than One Year	Enter the total number of students who earned certificates in this program that were designed to be completed in one year or less in this program. A student can be counted only once in this field, even if multiple certificates were earned by that student.	College registration records
B10b	Total Number of Students Earning Certificates in This Program - More Than One Year	Enter the total number of students who earned certificates in this program that were designed to be completed in more than one year. A student can be counted only once in this field, even if multiple certificates were earned by that student.	College registration records
B10c	Total Number of Students Earning Degrees	Enter the total number of students who earned degrees in this program. A student can be counted only once in this field, even if multiple degrees were earned by that student.	College registration records
B11	Total Number Pursuing Further Education After Program of Study Completion	Of the total number of participants who completed this program of study (B.6), enter the total number of individuals to date who entered another program of study (grantfunded or not).	 College registration records; or Class schedule from another college
B12	Number of Non-Hispanic White Graduates Employed After Program Completion	Of the total number of students who were identified as white (C.2f) and who did not identify themselves as Hispanic or Latino, and who completed this program (B.6), enter the total number to date who entered unsubsidized employment in the first quarter after the quarter in which the program of study was completed.	College registration records (race/ethnicity) plus: State MIS/UI Records. If these are not available, the following are examples of acceptable documents: Pay stubs; or Employer verification *For self-employment, self-attestation is acceptable (employment status)

B13	Number of Non-White (Hispanic or Non- Hispanic) Graduates Employed After Program Completion	Of the total number of students who were identified as American Indian or Native American (C.2b), Asian (C.2c), Black or African-American (C.2d), Native Hawaiian or other Pacific Islander (C.2e), multi-racial (C.2g) or who identified their ethnicity as Hispanic or Latino (C.2a), and who completed this program (B.6), enter the total number to date who entered unsubsidized employment in the first quarter after the quarter when a the program of study was completed.	College registration records (race/ethnicity) and: • State MIS/UI Records. • If these are not available, the following are examples of acceptable documents: • Pay stubs; or • Employer verification *For self-employment, self-attestation is acceptable (employment status)
B14	Entered Employment Rate for All Graduates for This Program	Percentage is defined as the number of students from the program that obtain employment during the first quarter after the quarter in which the program of study is completed (B.12 and B.13) divided by the difference between the number of students that completed the program (B.6) and the number of incumbent workers enrolled in the program (C.4a).	No verification needed. Auto-calculated by reporting system.
B15	Number of Graduates Retained in Employment	Of the total number of students who were employed in the first quarter after the quarter in which the program of study was completed, enter the total number of individuals to-date who were employed in the second and third quarters after program completion.	State MIS/UI Records If these are not available, the following are examples of acceptable documents: Pay stubs; or Employer verification *For self-employment, self-attestation is acceptable.
B16	Employment Retention Rate for This Program	Percentage is defined as the number of students from the program that retained employment during the second and third quarters after the quarter of program completion (B.15) divided by the number of students that entered employment in the first quarter after the quarter of program completion (B.12 and B.13).	No verification needed. Auto-calculated by reporting system.

B17	Average Program Graduate Six-Month Earnings (gross)	Of those participants from this program who are employed in their first, second, and third quarters after program of study completion (B.15), enter the average gross earnings from the second and third quarters after program completion.	 State MIS/UI Records If these are not available, the following are examples of acceptable documents: Pay stubs; or Employer verification *For self-employment, self-attestation is acceptable.
C. Su	mmary Student Information	(Participant and Comparison Cohorts)	
C1a	Male	Enter the total number of new participants who self-identify their gender as male.	College registration records
C1b	Female	Enter the total number of new participants who self-identify their gender as female.	College registration records
C2a	Hispanic/Latino	Enter the total number of new participants who self-identify their ethnicity as Hispanic/Latino. The term Hispanic/Latino includes persons of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race.	College registration records
C2b	American Indian or Alaskan Native	Enter the total number of new participants who self-identify their race as American Indian or Alaskan Native. The racial category American Indian or Alaska Native includes persons having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.	College registration records
C2c	Asian	Enter the total number of new participants who self-identify their race as Asian. The racial category Asian includes persons having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., Bangladesh, Bhutan, India, Nepal, Pakistan, Sri Lanka, and Sikkim). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.	College registration records

C2d	Black or African American	Enter the total number of new participants who self-identify their race as Black or African American. The racial category Black or African American includes persons having origins in any of the black racial groups of Africa.	College registration records
C2e	Native Hawaiian or Other Pacific Islander	Enter the total number of new participants who self-identify their race as Native Hawaiian or Other Pacific Islander. The racial category Hawaiian Native or Other Pacific Islander includes persons having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.	College registration records
C2f	White	Enter the total number of new participants who self-identify their race as White. The racial category White includes persons having origins in any of the original peoples of Europe, the Middle East, or North Africa.	College registration records
C2g	More Than One Race	Enter the total number of new participants who self-identify more than one of the racial categories outlined in Rows C.2b through C.2f above.	College registration records
СЗа	Full-time Status	Enter the total number of new participants who are enrolled in college courses on a full-time basis. Full-time basis is defined as enrollment into 12 or more credit hours in the Fall or Spring semester and 6 or more credit hours in the Summer.	College registration records
C3b	Part-time Status	Enter the total number of new participants who are enrolled in college courses on a part-time basis. Part-time basis is defined as enrollment into less than 12 credit hours in the Fall or Spring semester and less than 6 credit hours in the Summer.	College registration records
C4	Incumbent Workers	Enter the total number of new participants who are already employed at the time of enrollment.	 Pay stubs; or Employer verification or Self-Attestation of employment
C5	Eligible Veterans	Information on this data element will be provided through a separate resource very shortly.	Information on this data element will be provided through a separate resource very shortly.

C6	Participant Age (Mean)	Enter the mean age in years of the new participants. Mean age is defined as the sum of the ages of all of new participants/enrollees divided by the number of new participants/enrollees.	College registration records
C7	Persons with a Disability	Enter the total number of new participants, where known, or who self-identify that they have any "disability," as defined in Section 3(2)(a) of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102). Under that definition, a "disability" is a physical or mental impairment that substantially limits one or more of the person's major life activities. (For definitions and examples of "physical or mental impairment" and "major life activities," see paragraphs (1) and (2) of the definition of the term "disability" in 29 CFR 37.4, the definition section of the WIA non-discrimination regulations.)	College registration records
C8	Pell-Grant Eligible	Enter the number of participants who are eligible to receive federal Pell Grant assistance.	College financial aid records
C9	TAA Eligible	Enter the number of participants who are eligible to receive Trade Adjustment Assistance (TAA) benefits.	TAA Certification, such as, determination of individual eligibility, letter from State TAA office confirming individual eligibility, or documentation of training plan approval (will differ by state)