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# 職業訓練の効果測定制度 に関する調査研究

## —アメリカ—



独立行政法人 労働政策研究・研修機構  
The Japan Institute for Labour Policy and Training

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## ま え が き

本報告書は、厚生労働省の要請を受けて当機構が実施した「職業訓練の効果測定制度に関する調査研究—アメリカ—」に関する調査結果をとりまとめたものである。本調査においては、連邦政府および州政府、実施機関を対象に実態調査を行った。

アメリカの職業訓練は、2014年10月労働力革新機会法（WIOA; Workforce Innovation and Opportunity Act）の成立以降、失業者と事業主のニーズ双方に応えることを通じて、地域経済の発展に資する傾向が強まっている。連邦政府は州政府の実施する職業訓練のパフォーマンスを評価し、州政府が個々のプログラムの評価を行う。職業訓練内容は、事業主や地域コミュニティのニーズに基づいて策定され、「就職率」「雇用残存率」「平均賃金」のみならず、事業主の求める能力を有する労働者をどれだけ育成し、供給することができるかということが重要な評価指標となっている。そのために職業訓練プログラムを実施する地理的な範囲を小規模にするとともに、事業主、地域コミュニティ、職業訓練プロバイダ、学校（高校）、コミュニティカレッジ、労働組合等との連携が密接に行われるという基盤をつくっている。これらの調査結果をとりまとめた本報告書が、職業訓練の効果測定をめぐるわが国の議論の一助となれば幸いである。

2018年6月

独立行政法人 労働政策研究・研修機構  
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## 第1章 調査趣旨と分析

### 第1節 調査趣旨

本調査は、公的職業訓練の効果をよりの確に把握するために、従来までの就職率に加えて、定着率などの多面的な指標について検討するため、新しい評価方法を導入しつつある米国の先進事例を調査した。米国は 2014 年労働力革新・機会法(WIOA;Workforce Innovation and Opportunity Act)において、景気動向の変化などの影響を排除した客観的な評価指標の確立を試みているが、前提条件としてどのようなことが必要なのか、また実際に機能しているのかについて、連邦労働省、連邦教育省、ミシガン州政府への聞き取り調査をおこなった。

### 第2節 調査対象と調査方法

#### (1) 調査対象

調査対国はアメリカで、調査方法は、現地インタビュー調査と文献調査による。現地インタビュー調査は、職業訓練および評価における連邦政府と実施主体である州政府の役割、職業と学校教育の連結をはかる Perkins Act と職業訓練に関する WIOA との関係、州政府とワンストップセンター、および教育訓練プロバイダーとの関係と評価のあり方について聞いた。調査期間は 2016 年度 4 月～1 月。調査は、広島国際大学講師、早川佐知子と労働政策研究・研修機構、山崎憲が担当した。

#### (2) インタビュー訪問先

インタビュー訪問先は、連邦労働省雇用訓練局および主席評価官室、連邦教育省、実施主体であるミシガン州政府、ワンストップセンター、教育訓練プロバイダーであるコミュニティカレッジを訪問した。日程および訪問先は下記のとおり。

2017 年 9 月 11 日(月) 連邦労働省雇用訓練局、主席評価官室<sup>1</sup>

2017 年 9 月 12 日(火) 連邦教育省<sup>2</sup>

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<sup>1</sup>Wayne Gordon(Division Director)、Alisa Tanaka-Dodge(Workforce Analyst)、Randall Denison(Workforce Analyst)

<sup>2</sup> Mr. Edward Smith, (Chief, Program Administration Branch, Division of Academic and Technical Education, Office of Career, Technical and Adult Education) Mr. Andrew Johnson

- 2017年9月13日(水) ミシガン州タレント投資エージェンシー(Talent Investment Agency<sup>3</sup>)  
 2017年9月13日(水) ランシング・コミュニティカレッジ Tech 部門  
 2017年9月13日(木) ランシング・コミュニティカレッジ看護学校  
 2017年9月15日(金) ワンストップセンター : Lansing Michigan Works! Association<sup>4</sup>

### 第3節 調査結果の概要

アメリカにおける公的職業訓練とその評価は連邦制による影響が色濃い。

連邦政府は職業訓練に関する法制度を整えるとともに、事業実施主体である州政府に助成金を交付する。連邦政府は各州が行う事業全体を評価する一方、州政府は個別の事業を地域別に評価するという役割分担がある。州政府は事業実施主体であるものの、職業訓練、職業紹介等を担うワンストップセンターの運営はエージェンシーが担い、個々の事業はコミュニティカレッジを含む教育訓練プロバイダーに委託される。そのため、州政府が行う評価の対象は教育訓練プロバイダーになる。

続いて、公的職業訓練に複数の連邦政府機関が関わるという特徴がある。そのうち、2014年労働力革新・機会法(WIOA)に基づく職業訓練を所管する連邦労働省と、Perkins Act に基づく中高等の中等教育(Secondary School)およびその後の大学、コミュニティカレッジ、工科大学(Tech College)等の中等後教育における職業訓練を所管する連邦教育省が代表的なものである。Perkins Act は 2014 年 WIOA と連携し、従来の職業教育をキャリアと技術教育(Career and Technical Education)へ転換を打ち出し、中等教育で取得した Tech 関連科目の単位が中等後教育で有効になるようにするといった方策をとるようになった。これにより、学生は義務教育として無償で受けられる中等教育で取得した単位分の中等後教育での授業料が減額されるほか、中等後教育終了後の資格取得や就業を意識付けられる。インタビュー調査で訪ねたミシガン州では、高校生が放課後にコミュニティカレッジの科目を履修して単位を取得するといったことが行われていた。

同じ公的職業訓練を行っているとしても、連邦労働省と連邦教育省では異なる視点をもっている。連邦労働省は職業訓練の結果が労働者の就職率、定着率、採用後の賃金にどれだけ直接的な影響を与えているかに関心がある。一方で、連邦教育省は、職業訓練における教育的効果を重視している。中等教育、中等後教育で職業につながる単位を取得したとしても、将来的には異なる進路に向かうかもしれない。そうした可能性の余地を認めているために、

<sup>3</sup> (旧称 Department of Labor:労働省) Stephanie Beckhorn(Director)、James D. Bartolacci(Deputy Director)、Daphne M. Johnson(Bureau Administrator)

<sup>4</sup> Ms. Rosanne Allen, Executive Assistant to the CEO. In the meantime

就職率や定着率、採用後の賃金といった指標を重視していない。

連邦労働省による職業訓練の結果に関する評価にしても、訓練を実施する側による一方的なものとなっているわけではない。職業訓練においてもっとも重視することは、訓練を受講する労働者と採用する企業相方のニーズのマッチングである。労働者側のニーズは安定した高収入の職に就くことであり、企業側のニーズは求めるスキルを持つ人材を確保することである。この両者をつなぐものが職業訓練と資格取得になる。このために、連邦労働省が依拠する WIOA は職業訓練プログラムの設計において、企業側の参加を義務付けている。それが、地域単位に組織する労働力投資委員会への委員としての参加である。労働力投資委員会には、地元企業、労働組合、地域組織、学校等の代表が委員として参加している。その過半数は企業関係者である。地元企業のニーズにあった職業訓練と資格認定を行うことで、ミスマッチを防ぐことがその目的である。つまり、企業側のニーズに合致することが職業訓練の効果測定に内在していることになる。

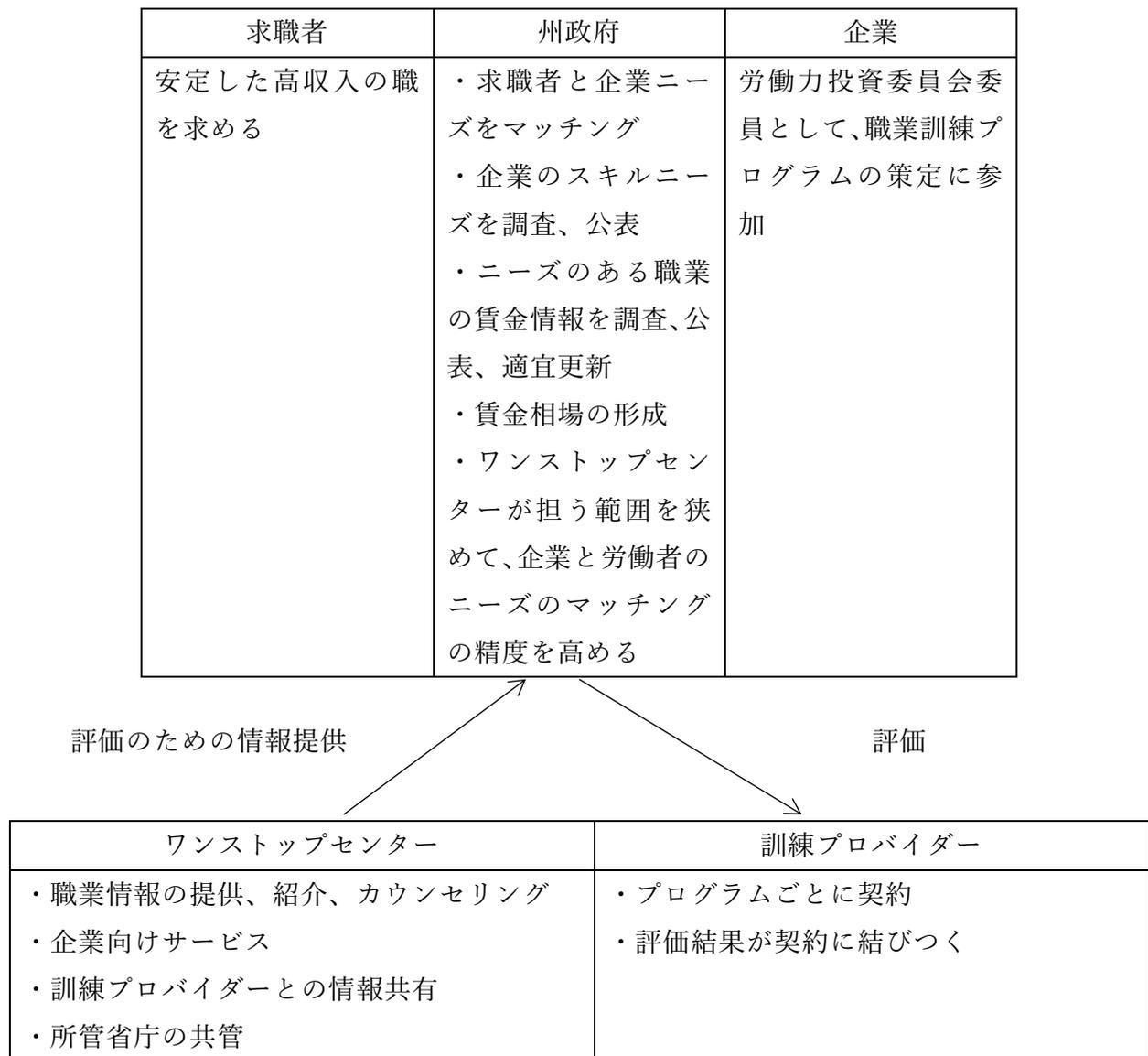
図表 1 - 1 連邦政府、実施主体(州政府)による評価の違い

	連邦労働省	連邦教育省	州政府
根拠法	2014 年労働力革新・機会法(WIOA)	Perkins Act	
対象	求職者	中高等の中等教育 (Secondary School) およびその後の大学、コミュニティカレッジ、工科大学 (Tech College) 等の中等後教育	
評価	政策評価	政策評価	プログラム評価
評価対象	州政府	州政府	個別プログラム (訓練プロバイダー)
評価姿勢	単年度の結果で大きな予算増減がでないよう配慮	単年度の結果で大きな予算増減がでないよう配慮	ワンストップセンターの意見を参考に訓練プロバイダーの成果を評価・継続契約のための参考資料とする。

(出所) インタビュー結果に基づき著者作成

一方で、安定した高収入の職を求める労働者のニーズに対して、州政府は企業側が求めるスキルニーズとその賃金の情報を提供することでこたえている。範囲を小規模に区切り、地元企業のニーズを的確に把握するとともに、定期的に賃金情報を更新することで、労働者側に有利な賃金相場を形成することが狙いである。

図表1-2 州政府による企業、求職者ニーズのマッチング



(出所) インタビュー結果に基づき著者作成

連邦政府は、職業訓練におけるセーフティーネットとしての役割を重視する点から、必ずしも単年度における各州の評価結果のみを追求していない。それは、評価結果が芳しくない場合に州政府に配分する予算が削減されることを防ぐためでもある。

2014年のWIOAが成立以降、プログラム参加者の追跡調査を強化しているが、個人情報

保護の観点から連邦政府が直接に情報を収集、保持していない。これは、Perkins Act 下の連邦教育省でも同様であり、個人情報にかかわる調査を行う場合には第三者機関に委託している。州政府は、プログラム参加者の追跡調査や賃金情報、求められるスキル等の情報の収集を行っているが、これは企業と労働者のニーズのミスマッチを防ぐことを意識したものである。そのために、地理的な範囲を狭めている。

インタビュー調査を実施したミシガン州では、景気拡大基調が継続しており、現状におけるスキルの有無や、年齢が中高年であるという事由にかかわらず、労働需給が逼迫しており、だれでも何らかの職があるという状況が続いているという。そのため、公的職業訓練を実施するまでもなく、手厚い職業訓練を行うことを約束して、採用のインセンティブとするという状況が多くみられるという。

ミシガン州政府は、大学等の高等教育を重視する施策から大学を出ていない高卒であっても手に職をつけることで「まともな暮らし」ができる賃金を手にいれるための施策へとリーマンショック以降に転換してきているという。

公的職業訓練の効果を考察するうえにおいて、アメリカは失業対策から事業主のニーズに応えるものへとシフトしてきたという前提を確認する必要がある。連邦政府の役割は各州が実施する職業訓練プログラムに対する助成金の管理であり、職業訓練の実施は訓練プロバイダーへと委託される。連邦政府は個別のプログラムを評価するのではなく、州政府の実施する職業訓練のパフォーマンスを評価することになる。実際の職業訓練内容は、事業主や地域コミュニティのニーズに基づいて策定されるため、評価項目には「就職率」「雇用残存率」「平均賃金」などがあるものの、訓練した結果として身につく能力が事業主のニーズとミスマッチを起こす可能性が低い。したがって、事業主のニーズと労働者の供給を合致させることが重要であり、そのために職業訓練プログラムを実施する地理的な範囲を小規模にするとともに、事業主、地域コミュニティ、職業訓練プロバイダー、学校（高校）、コミュニティカレッジ、労働組合等との連携が密接に行われるという基盤をつくっているのである。

## 第2章 公的職業訓練概観

### 第1節 労働力革新・機会法(WIOA)

職業訓練と職業斡旋に関する法律、労働力投資法（WIA）の改正により、労働力革新・機会法(WIOA)が成立した。

改正の焦点は、地域コミュニティとの連携の強化および雇用主の参加、実際に職場で仕事に従事しながら訓練する OJT の活用などの職業訓練の重点事項の見直しと効果測定手法の変更、長期失業者の雇用促進、低賃金労働者の生涯賃金の増加、継続的なキャリアパスの構築である<sup>5</sup>。

効果測定手法には、求職者自らのキャリアパス構築支援による生涯賃金の引き上げという視点が織り込まれた。対象は、長期失業者や就職が困難な状態にある若年者や、スキルレベルが低いために低賃金の状態にある労働者である。

アメリカの公共職業安定機関は、1998年労働力投資法（Workforce Investment Act）により、キャリアカウンセリングと職業訓練サービスを包括的に行うワンストップセンターへと統合された。ワンストップセンターは、低所得者、長期失業者、若年者（14-21歳）、高齢者（55歳以上）、障害者、退役軍人、就職困難者といった求職者と雇用主の双方に対してサービスを提供するものである。事業運営には、連邦労働省、連邦教育省、連邦保健福祉省、連邦住宅都市開発省といった複数の行政機関が関わる。関連法も、労働力革新・機会法、ワグナー・ペイザー法、1973年リハビリテーション法、社会保障法、1965年高齢者法、2006年カール・D. パーキンス職業・応用技術教育法（Carl D. Perkins Vocational and Applied Technology Act of 2006）、1974年通商法、合衆国法典 38、第 41 章（38 U.S.C. Chapter 41 退役軍人に関する教育訓練）、地域共同体サービス包括補助金法（Community Services Block Grant Act）と複数となっている。これらに加えて、貧困家族一時扶助（TANF= Temporary

<sup>5</sup> 労働力革新機会法 第 677 条で評価指標が示されている。

WIOA Section 677 PERFORMANCE ACCOUNTABILITY UNDER TITLE I OF THE WORKFORCE INNOVATION AND OPPORTUNITY ACT (What definitions apply to Workforce Innovation and Opportunity Act performance accountability provisions? Subpart A - State Indicators of Performance for Core Programs (§ § 677.155 - 677.175), Subpart B - Sanctions for State Performance and the Provision of Technical Assistance (§ § 677.180 - 677.200), Subpart C - Local Performance Accountability for Workforce Innovation and Opportunity Act Title I Programs (§ § 677.205 - 677.210), Subpart D - Incentives and Sanctions for Local Performance for Workforce Innovation and Opportunity Act Title I Programs (§ § 677.215 - 677.225), Subpart E - Eligible Training Provider Performance for Workforce Innovation and Opportunity Act Title I Programs (§ 677.230), Subpart F - Performance Reporting Administrative Requirements (§ § 677.235 - 677.240).

Assistance for Needy Families) の受給者向けプログラム、1990 年国家及びコミュニティ・サービス法 (National and Community Service Act) で認可されたプログラム、その他の適切な政府もしくは民間セクターのプログラムも実施しており、予算構成は入り組んだものになっている。

ワンストップセンターの設置主体は連邦政府だが、各州、市、郡、もしくはその連合といった単位に置かれた労働力投資委員会に運営が任されている。委員の任命は、州知事、市長、郡長等がそれぞれ行う。ワンストップセンターは労働力投資委員会の下に位置づけられ、州知事が予算配分と評価を行う。

予算は、各州の人口構成や失業率等を勘案して連邦政府が配分する部分と州独自に実施している部分がある。また、民間企業や寄付金財団からの助成金も事業によっては活用されている。

連邦政府によって配分された予算が適正に執行されているかに関する評価は、会計検査院 (GAO; Government Accountability Office) による業績指標 (Performance measures) に基づく評価と、連邦労働省による政策効果に基づく評価の 2 本立てとなっている。

業績指標は、就職率、定着率、賃金、技能習得、プログラム受講者と企業双方の満足度が指標である。これらの指標について、連邦政府は各州政府との協議のうえで達成目標を設定している。2 年間連続して目標を達成できなければ予算が最高で 5 % カットされる。目標を達成した場合は奨励金が支給される。

だが、これらの評価にかかわらず、職業訓練にかかわる連邦予算総額は上下し、その影響をうけて、州政府に支給される予算も増減する。これは、全米各所に位置するワンストップセンターの運営予算が毎年度のスタッフの定員や事業予算を積み上げたものではないからである。つまり、連邦予算総額が上下すれば、それに応じてワンストップセンターのスタッフの人数や事業予算が増減するということになる。ワンストップセンターが行う職業訓練は、職業訓練プロバイダーに委託しているが、その契約や事業予算は連邦予算総額の上下に対応するため、訓練を担うインストラクターはパーマネントではなく年間契約となっている。

州政府が統括する労働力投資委員会は、雇用主、コミュニティ組織、教育訓練機関、労働組合等の代表者で構成されて、利害調整をしながら求職・求人サービス、職業訓練等の事業を行う。これらのうち、連邦政府予算のみで運営される事業は、State Formula Grant Program と National Grant Program の二つである。

State Formula Grant Program は州一般補助金のことであり、人口、失業率、貧困率等の要件に基づいて支給額が自動的に決まる。この予算は、失業中もしくはパート等の不完全雇用の状態にある個人への職業訓練および関連する事業を実施するために支出される。補助金を受け取った州は総額の 15% 以内を「管理業務」「ワンストップセンターのオペレーターとパ

ートナー、職業訓練プロバイダーへの技術および能力育成支援」「調査・実地プロジェクト」「革新的なトレーニングプログラムの実施および適格職業訓練プロバイダーの鑑定する支援」「業績とプログラム経費を記載した職業訓練サービス・プロバイダーと若年者向け事業のプロバイダーの州リストの広報活動」「州の労働力投資プログラムの評価」「模範的業績を上げたローカル労働力投資エリアへの集中的な補助金の配賦」「成績評価指標に満たないローカルエリアへの技術的支援」「ワンストップセンターの開設支援」「若年者プログラムの集中的な実施」「管理会計システムの運用」のために留保する。州知事は補助金総額の 25%以内を州全域の緊急対策プログラムを実施するために留保することが可能である。

National Grant Program には州政府の申請を受けて連邦政府が審査のうえで支給を決定する競争的補助金がある。対象は、「ネイティブ・アメリカン・プログラム (Native American Programs)」「移民・季節的農業労働者プログラム (Migrant and Seasonal Farmworker Programs)」「退役軍人労働力投資プログラム (Veterans' Workforce Investment Program)」「デモンストレーション・パイロット・マルチサービス、調査、マルチステートプロジェクト (Demonstration, Pilot, Multiservice, Research, and Multistate Projects)」「国家緊急補助金 (National Emergency Grants)」「ユースビルド・プログラム (Youth build Program)」である。

## 第2節 ワンストップセンターの評価

ワンストップセンターの事業は、「コアサービス」「集中 (intensive) サービス」「職業訓練」である。

コアサービスは、基礎的な求職情報および労働市場情報を提供するもので、スタッフの支援を受けるものと支援を受けないものがある。コアサービスでも就職が困難であった場合、集中サービスへと進む。これは、スタッフの支援の下でこれまでのキャリアの包括的な評価やケースマネジメントなどを行うものである。職業訓練は、短期、長期の講習の受講もしくは OJT によって行なわれ、少なくとも一つの集中サービスを利用し、訓練が必要な状態にあって、訓練プログラムを修了するのに足るだけの能力や資格を有している求職者に対象が限られる。訓練は、外部の職業訓練プロバイダーへの委託、コミュニティカレッジ、企業の現場での OJT といった形で実施される。

Jacobson (2009)<sup>6</sup>は利用者がどのサービスを利用しているか、また、どれほどの経費がかかっているかについて報告をしている。それによれば、97%がコアサービスの利用にとどまり、

<sup>6</sup> Louis S. Jacobson, (2009), Strengthening One-Stop Career Centers: Helping More Unemployed Workers Find Jobs and Build Skills, The Brookings Institution, DISCUSSION PAPER 2009-01 APRIL 2009.

集中サービス以降に進むのは3%である。そのうち25%が限定的な訓練、35%が個人訓練勘定バウチャー（Individual Training Account vouchers）を活用した8カ月程度の訓練を受講している。コアサービス利用者1人あたりの経費はおよそ50ドル、集中サービス以降の利用者一人あたりの経費が5,000ドルであり、全体の3%ほどの利用者にすぎない集中サービス以降の予算が全体の75%を占めており、Jacobson（2009）は効果的な事業の運営と予算の活用には、集中サービス以降の利用者の数をどれだけ減らすことができるかであるが、現状はコストと利益に基づく適切な評価指標の連動がないと指摘する。職業訓練の受講により失業手当給付期間が長期化することや、基礎的な学力不足による職業訓練の未修了者の多さから、職業経験のある求職者に対する的確な情報提供やカウンセリングなど、職業訓練に至る前の手当の有効性を指摘したのである。そのために、利用者の就職率や収入、資格取得といった結果だけに着目した業務指標ではなく、ワンストップセンターのスタッフの業務内容や労働時間、コストなどに着目した評価指標により、コアサービスと集中サービスの量と質の双方を高めるために、現状のスタッフ定員の大幅な増員を提言している。現状で、ワンストップセンターにおけるサービスの内容とスタッフの業務内容や時間、コストといった経過に着目した業務指標による評価は、オレゴンやワシントンなど少数の州に留まる。

州政府の評価は、ワンストップセンターごとに事業を請け負うプロバイダーを対象に行われ、単年度ごとに目標値が課せられている。連邦政府は全体の枠組みや各州との協議に基づいて予算を配分し、業務指標を設定する。ワンストップセンターは、州政府に対して事業報告を行って評価を受ける。また、民間企業や寄付金財団の助成金による事業もあり、資金提供団体に対して報告を行う。職業訓練の実施は約半数が非営利の職業訓練プロバイダーに委託されている。ワンストップセンターは全国組織を形成して、連邦および州政府、議員に対して予算確保のためのロビー活動も行っている。

### 第3節 主要評価指標

労働力革新・機会法(WIOA)第677条A項の定める評価指標は雇用残存率・中位収入、教育・スキル向上、雇用主満足度の三つである。

雇用残存率・中位収入は、「職業訓練受講後の第2四半期間に失業保険等を受給していない雇用残存率（The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program）」「職業訓練受講後の第4四半期間に失業保険等を受給していない雇用残存率」「職業訓練受講後の第2四半期間に失業保険等を受給していない受講者の中位収入」である。

ついで、教育・スキル向上は、「中等教育修了、資格取得、もしくはなんらかのスキルの向上がどれだけあったか」というもので、具体的には、「中等教育修了(Secondary school diploma

attainment)」「12 単位取得の証明書(Transcript/report card showing 12 credits attained)」「スキル向上を証明するレポート(Satisfactory progress report toward established milestone)」「試験の合格(Successful passage of a required exam)」である。さらに、雇用主満足度は、「職業訓練受講者の受講後第 2 四半期間、第 4 四半期間の同一雇用主における定着率(Retention with the same employer in the 2nd and 4th quarters after exit)」「雇用主への浸透率(Employer Penetration Rate)」「企業の再利用率(Repeat Business Customer Rate)」である(図表 2-1)。

図表 2-1 政策評価スコア表

Indicator/Program	Title II Adult Education	Title IV Rehabilitative Services	Title I Adults	Title I Dislocated Workers	Title I Youth	Title III Wagner - Peyster	Average Indicator Score
Employment 2nd Quarter After Exit							1
Employment 4th Quarter After Exit							2
Median Earnings 2nd Quarter After Exit							3
Credential Attainment Rate							4
Measurable Skill Gains							5
Effectiveness in Serving Employers							6
Average Program Score	7	8	9	10	11	12	-

(出所) ミシガン州 Talent Investment Agency ウェブサイトより引用

各州の州知事は連邦労働省長官と交渉のうえ、5年間の実施計画とパフォーマンス指標における目標値を設定する。パフォーマンスは「成人」「失業者」「若年」「雇用主」「訓練プログラム参加者」のそれぞれのグループで、就職率、雇用残存率、平均収入、資格証明取得率、スキル取得率、顧客満足度といった指標によってはかれる(図表 2-2)。

各州は、5年間の最初の3年間でパフォーマンス指標の目標値を達成するように求められている。そのほか、四半期、および年度ごとに州知事は連邦労働省長官に対して報告義務を負わされている(資料編1「パフォーマンスレポート」および資料編3「ミシガン州タレント投資エージェンシー年報」参照)。同時に個人データも提出する(資料編2「個人データ」参照)。5年間のうち、2年間連続して「同一コアプログラムの目標値の90%」「同一主要評価指標の目標値の90%」「同一プログラムの同一指標の目標値の50%」を未達の場合、予算

が5%削減されるが、指標を満たすもしくは超える場合は追加予算や集中的な補助金が支給される可能性がある。評価は図表2-1のスコア表に記入されて計算される。ここでは、素点と交渉後の数値の双方が使われることになる<sup>7</sup>。交渉は連邦政府と州政府間だけでなく、州政府と労働力投資委員会における利害関係者間でも行われる。

図表2-2 パフォーマンス指標

グループ	指標
成人・失業者・若年（19-21歳）	就職率
成人・失業者	雇用残存率
成人・失業者	平均収入
成人・失業者・若年（19-21歳）	資格証明取得率
若年（19-21歳）	6カ月雇用残存率
若年（19-21歳）	6カ月間の収入変化
若年（14-18歳）	スキル取得率
若年（14-18歳）	学位もしくは同等資格取得率
若年（14-18歳）	残存率（雇用だけでなく、教育も含んだ残存率）
雇用主	顧客満足度
参加者	顧客満足度

これら連邦政府が州政府に対して行うパフォーマンス評価のほかに、州政府は独自にワンストップセンターおよび職業訓練プロバイダーに対して評価を実施している。インタビュー調査を行ったミシガン州の場合、ワンストップセンターの運営を、非営利組織「ミシガン・ワークス（Michigan Works!）」に委託し、それぞれのワンストップセンターのパフォーマンス評価をミシガン州タレント投資エージェンシー（Michigan Talent investment Agency）が行っている。評価項目は連邦政府が州政府に課しているものと同様で、「成人就職率」「成人6カ月雇用残存率」「成人6カ月平均収入」「成人資格証明取得率」「失業者就職率」「失業者6カ月雇用残存率」「失業者6カ月平均収入」「失業者資格証明取得率」「若年（19-21歳）就職率」「若年（19-21歳）6カ月雇用残存率」「若年（19-21歳）6カ月間の収入変化」「若年（19-21歳）資格証明取得率」「若年（14-18歳）スキル取得率」「若年（14-18歳）学位もしくは同等資格取得率」「若年（14-18歳）雇用残存率」「参加者満足度」「雇用主満足度」「若年一般指標」である（図表2-2参照）。ミシガン州政府は、人口、人種、産業、学歴、失業率といった地域の状況を考慮して目標値を設定しており、たとえば「6カ月平均収入」は、

<sup>7</sup> The Government Performance and Result Act による。

最も高いところと低いところで4,000ドルの開きがある。目標値に対する達成度合いは、「利用者人数」「就職率」「目標レベル (Plan Level)」「目標達成率 (Percent Plan Achieved)」にたいして、「目標を超えた (Exceeded)」「インセンティブ到達 (Meet Incentive)」「インセンティブ未達 (Meet No incentive)」「指標に到達せず (Failed)」の4つではかられている。

ワンストップセンターは「コアサービス」で地域別の労働需要、職業別賃金水準といった詳細な労働市場データを提供している。雇用が急増する職業ランキング、求人数の多い職業ランキング、雇用数の多い職業ランキングに求められる学歴と得られる賃金水準の目安をつけて公表している。

図表 2 - 3 個票データの集計票

PY 20xx Qtr x Performance Report for (Program*)							Page 1
Time Period: <input type="checkbox"/> Quarterly <input type="checkbox"/> Rolling 4 Quarters <input type="checkbox"/> Program to Date (choose only one)							
REPORTING PERIOD COVERED: mm/dd/yyyy - mm/dd/yyyy							
Performance Items	Adults:	Basic Career Services (other than self service)	Individualized Career Services	Training Services	Total Current Period	Total Previous Period	
	Youth:		Received services other than occupational skills training	Youth participants who have received occupational skills training	Total Current Period	Total Previous Period	
<b>A. SUMMARY INFORMATION</b>							
1. Total Exits (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)							
2. Total Participants Served (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)							
3. Total Reportable Individuals (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)							
<b>B. PARTICIPANT SUMMARY AND SERVICE INFORMATION<sup>1</sup> (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)</b>							
Sex	1a. Male						
	1b. Female						
Ethnicity/Race	2a. Hispanic/Latino						
	2b. American Indian or Alaskan Native						
	2c. Asian						
	2d. Black or African American						
	2e. Native Hawaiian or Other Pacific Islander						
	2f. White						
	2g. More Than One Race						
Other Demographics	3a. Eligible Veterans						
	3b. Individuals with a Disability						
	3c. Incumbent Workers						
	3d. Unemployed Individuals						
Education Level	4a. Secondary School Graduate or Equivalent						
	4b. Completed 1 or more years of Postsecondary Education						
	4c. Postsecondary Certification, License, or Educational Certificate (non-degree)						
	4d. Associate's Degree						
	4e. Bachelor's Degree or Equivalent						
4f. Advanced Degree Beyond Bachelor's Degree							
<b>C. EMPLOYMENT BARRIER<sup>2</sup> (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)</b>							
1. Displaced homemakers							
2. Low-income individuals							
3. Older individuals							
4. Ex-offenders							
5. Homeless individuals or runaway youth							
6. Current or former foster care youth							
7. English language learners, individuals with low levels of literacy or facing substantial cultural barriers							
8. Eligible migrant and seasonal farmworkers							
9. Exhausting TANF within 2 years (Part A Title IV of the Social Security Act)							
10. Single parents (including single pregnant women)							
11. Long-term unemployed (27 or more consecutive weeks)							

(出所) 連邦労働省ウェブサイト

図表 2 - 4 ミシガン州ランシング地域の評価表

Local Area Name	Total Participants Served	Adults	9,646
		Dislocated Workers	247
		Older Youth (19-21)	62
		Younger Youth (14-18)	300
ETA Assigned Number	Total Exitors	Adults	9,549
		Dislocated Workers	98
		Older Youth (19-21)	11
		Younger Youth (14-18)	127
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	100
	Employers	86	88
Entered Employment Rates	Adults	90	98
	Dislocated Workers	94	97
	Older Youth	83	100
Retention Rates	Adults	92	97
	Dislocated Workers	95	99
	Older Youth	89	100
	Younger Youth	85	94
Six Months Average Earnings	Adults	15,000	16,128
	Dislocated Workers	16,000	17,434
Six Months Earnings Increase	Older Youth	4,200	6,945
Credential/Diploma Rates	Adults	83	95
	Dislocated Workers	84	97
	Older Youth	79	75
	Younger Youth	89	92
Skill Attainment Rate	Younger Youth	95	98
Placement in Employment or Education	Youth (14-21)	0	87
Attainment of Degree or Certificate	Youth (14-21)	0	68
Literacy or Numeracy Gains	Youth (14-21)	0	0
Description of Other State Indicators of Performance (WIA Section 136(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met	Met	Exceeded
		X	

(出所：Michigan Talent Investment Agency, Workforce Investment Act Annual Report Program Year 2015)

#### 第4節 ペイ・フォー・サクセスプログラムにおける評価

連邦労働省が行う教育訓練は、2014年労働力革新・機会法(WIOA: Workforce Innovation and Opportunity Act)により、規定されている。WIOAによる教育訓練は、成人向け(Adult Employment and Training Activities)、非自発的失業者向け(Dislocated Workers Employment and Training Activities)、若年者向け(Youth Employment and Training Activities)の三つを大きな柱にしている。

予算は、WIOAによって設置される全米各地域の労働力投資委員会を通じて助成される。助成金は各地にある職業紹介および職業訓練の窓口であるワンストップセンターを経て、職業訓練を実施するサービス・プロバイダーへと支給される。その際、サービス・プロバイダーとの契約は成果型(ペイ・フォー・サクセス)となる。近年、導入され始めているSIB(ソーシャル・インパクト・ボンド)を活用した職業訓練プログラムへの助成には、ペイペイ・フォー・サクセスプログラムが1970年代に導入されている。成果報酬は次のような形で支払われてきた。

- ①サービス・プロバイダーで教育訓練を受けた受講生が企業に採用された場合
- ②採用後30日間定着した場合
- ③採用後90日間定着した場合

この評価方法には「景気が良く、企業の採用意欲が高いときには採用、定着率ともに高い」「景気が悪ければどれほど良い教育訓練プログラムであっても採用に結びつかない」といった問題が指摘されてきた。上記の①～③の成果に関する報酬は段階的にサービス・プロバイダーに与えられることから、ある程度の自己資金を持たないサービス・プロバイダーには規模の大きい事業を請け負うことが困難となっていた。最終的に十分な成果を得られなかった場合のリスクも無視することができない。このため、2014年WIOAで労働市場革新基金(Workforce Innovation Fund)が導入された。予算は、成人向け、非自発的失業者向け、若年者向けの5～10%程度が振り向けられる。労働市場革新基金は、通常の予算の流れである労働力投資委員会を経ずに、州知事の裁量で事業を実施することが可能である。これにより、民間資金提供者の参加を認めるSIBの導入に道が開かれた。

2014年WIOAによる評価制度の改革では、労働市場革新基金とペイ・フォー・サクセスプログラムにおいて、社会にインパクト(ソーシャル・インパクト)を与えることができたかどうかという視点が組み込まれている。そのため、連邦労働省には2010年に首席評価官室(Chief Evaluation Office)が創設された。職業訓練におけるソーシャル・インパクトの視点とは、教育訓練を受けたグループと受けていないグループとに分けて、効果を測定するこ

とで変動的な要素を排除することによって最終的には得られる。しかし、個人情報保護の観点からこの方向はあまり進んでいない。

図表 2 - 5 ペイフォーパフォーマンスの評価レポート

<b>Pay-For-Performance Report</b>					
<b>(GRANTEE)</b>			<b>(Workforce Development Board Name - if applicable)</b>		
<b>(Contractor Name - if applicable)</b>					Page 1
<b>Period Covered:</b>		mm/dd/yyyy - mm/dd/yyyy			
<b>Program</b>	<input type="checkbox"/> ALL	<input type="checkbox"/> WIOA Adult	<input type="checkbox"/> WIOA Dislocated Worker	<input type="checkbox"/> National Dislocated Worker Grants	<input type="checkbox"/> WIOA Youth
<p>A WIOA Pay-for-Performance (PFP) contract strategy is a specific type of performance-based contract strategy that places a higher emphasis on performance outcomes and drives better results. In a PFP contract strategy, service providers are paid based on the achievement of specified levels of performance related to WIOA outcomes, rather than being paid for processes or outputs. Local workforce boards may use up to 10% of their funds for adult training services and/or youth activities for PFP contract strategies. Where local workforce boards use PFP contract strategies, funds may be available until expended, if authorized by Congress in annual appropriations. This extended availability means that, if outcomes are not achieved as hoped, the funds may be used for another PFP purpose. States may also use funds from the Governor's Reserve to support PFP.</p>					
<p>Please describe the framework in use for Pay-for-Performance contracts, including performance targets established, time frames for measuring results against targets, payment schedules, and any actual results or other measured indicators achieved so far.</p> <p>In your narrative, please address:</p> <ul style="list-style-type: none"> <li>- Target populations covered by contracts</li> <li>- Other populations or baselines used for comparison purposes to determine performance</li> <li>- Indicators of performance, such as: <ul style="list-style-type: none"> <li>* Employment Rates for the target population in the second and fourth quarters after exiting services</li> <li>* Median earnings for the target population</li> <li>* Credential rates for the target population</li> <li>* Measurable skill gains for the target population</li> <li>* Effectiveness in serving employers</li> </ul> </li> </ul>					
<p>Please describe the approach(es) being used to evaluate Pay-for-Performance contracts, either at the individual project level or across projects within the state.</p> <p>In your narrative, please address:</p> <ul style="list-style-type: none"> <li>- Research questions addressed by the evaluation(s)</li> <li>- Design of Pay-for-Performance contracts and programs</li> <li>- Approach and methodologies for measuring performance</li> <li>- Approach and methodologies for determining successful performance of the contract</li> <li>- Challenges to evaluating Pay-for-Performance, either at the project level or across projects</li> <li>- Technical assistance that the State is providing to local workforce boards</li> </ul>					

(出所：連邦労働省ウェブサイトより引用)

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### 第3章 調査事例

#### 第1節 連邦労働省

アメリカは連邦制国家であるため、州をはじめとする地方政府にさまざまな権限が移譲されている。他の制度と同様に、職業訓練政策に関しても、連邦政府は連邦法を定め、それに沿ってつくられた各州政府の職業訓練政策に対して補助金を出す役割が主となる。職業訓練政策と一口に言っても、その対象者や方法、準拠法はさまざまであり、連邦政府の監督官庁も趣旨によって異なる。その実行を委ねられた州政府や各種委員会が、細かな部分の裁量権を持っている。

また、政策評価については、1967年以降、アメリカ会計検査院(General Accounting Office: 以下 GAO)にその役割が与えられた。職業訓練政策に関しても、GAO が評価を行っている<sup>8</sup>。1990年代に、連邦政府の支出した職業訓練に関する助成金のうち、どれが効果的で、どれがそうでないのかということ、また、重複して非合理的な部分を明らかにすべきであるという議論が起こった。そこで成立したのが1998年のWIAである。2003年の時点で44のプログラムが9の連邦政府組織(労働省、教育省、保健福祉省、内務省、農務省、環境保護省、国防総省、司法省、退役軍人省)によって管理されていた。重複点などを修正し、2009年の時点では、47のプログラムが9の連邦政府組織によって管理されている<sup>9</sup>(図表3-1)。

図表3-1 連邦政府予算を支出している職業訓練プログラムと監督官庁および参加者数  
(※参加者数の\*は2009年、無表記は2008年のデータ)

監督省庁	プログラム名	参加者数 (人)
労働省 (21)	・ Community-Based Job Training Grants	372,176
	・ Disabled Veterans' Outreach Program	283,246
	・ Employment Service/Wagner-Payer Founded Activities	*13,472,624

<sup>8</sup> 1993年に成立した「政府業績結果法(Government Performance and Results Act)によって、全連邦政府機関に対して、政策目標の達成度の計測と報告が義務付けられた。以後も、政策評価を重視する姿勢は年々高まっているが、その評価手法については、未だ開発途中にある。労働政策研究・研修機構(2004)、pp.1-2参照。本研究は、職業訓練分野において、連邦政府、州政府等がどのような政策評価を実施しているのかを体系的に明らかにするものである。

<sup>9</sup> 1995年の時点では163ものプログラムが設けられていたため、絞り込まれて2003年には44にまで減少した経緯がある。労働政策研究・研修機構(2004)、pp.8-9。

	<ul style="list-style-type: none"> <li>• H-1B Job Training Grants</li> <li>• Homeless Veterans' Reintegration Project</li> <li>• Job Corps</li> <li>• Local Veterans' Employment Representative Program</li> <li>• National Farmworker Job Program</li> <li>• Native American Employment and Training</li> <li>• Registered Apprenticeship and Other Training</li> <li>• Reintegration of Ex-Offenders</li> <li>• Senior Community Service Employment Program</li> <li>• Trade Adjustment Assistance</li> <li>• Transition Assistance Program</li> <li>• Veterans' Workforce Investment Program</li> <li>• WIA Adult Program</li> <li>• WIA Youth Activities</li> <li>• WIA Dislocated Workers</li> <li>• WIA National Emergency Grants</li> <li>• WANTO</li> <li>• YouthBuild</li> </ul>	83,888 13,735 59,357 *290,349 18,477 38,000 *551,043 11,100 98,612 100,000 *127,053 3,554 5,171,158 282,426 671,786 61,355 *1,527 *5,890
教育省 (11)	<ul style="list-style-type: none"> <li>• American Indian Vocational Rehabilitation Services</li> <li>• Career and Technical Education- Basic Grants to States</li> <li>• Career and technical Education- Indian Set-aside</li> <li>• Grants to States for Workplace and Community Transition Training for Incarcerated Individuals</li> <li>• Migrant and Seasonal Farmworkers Program</li> <li>• Native Hawaiian Career and Technical Education</li> <li>• Project with Industry</li> <li>• Rehabilitation Services- Vocational Rehabilitation Grants to States</li> <li>• State- Supported Employment Services Program</li> <li>• Tech- Prep Education</li> <li>• Tribally Controlled Postsecondary Career and Technical Institutions</li> </ul>	*7,621 – – *22,566 *189 – *5,454 *979,409 – *19,600 – –
保健福祉省 (7)	<ul style="list-style-type: none"> <li>• Community Services Block Grant</li> </ul>	372,176 *17,500

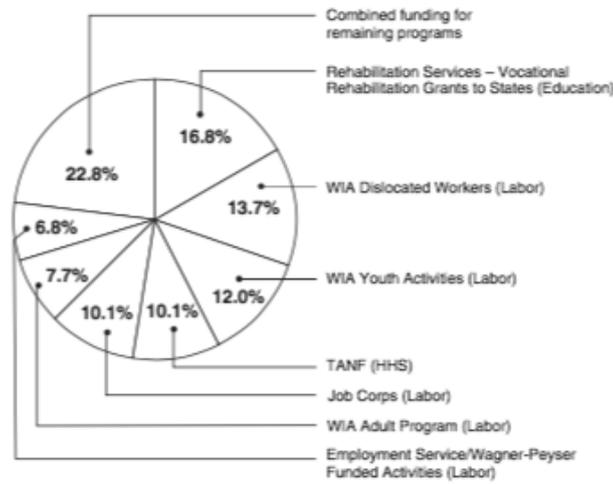
	<ul style="list-style-type: none"> <li>• Refugee and Entrant Assistance- Voluntary Agency Matching Grant program</li> <li>• Refugee and Entrant Assistance- Targeted Assistance Grants</li> <li>• Refugee and Entrant Assistance- Social Services Program</li> <li>• Refugee and Entrant Assistance- Targeted Assistance Discretionary Program</li> <li>• Temporary Assistance for Needy Families</li> <li>• Tribal Work Grants</li> </ul>	<p>—</p> <p>*91,957</p> <p>—</p> <p>134,767</p> <p>*5,495</p>
内務省 (3)	<ul style="list-style-type: none"> <li>• Conservation Activities by Youth Service Organizations</li> <li>• Indian Employment Assistance</li> <li>• Indian Vocational Training- United Tribes Technical College</li> </ul>	<p>*2,601</p> <p>*2,800</p> <p>604</p>
農務省 (1)	<ul style="list-style-type: none"> <li>• SNAP Employment and Training Program</li> </ul>	<p>934,231</p>
環境保護省 (1)	<ul style="list-style-type: none"> <li>• Brownfield Job Training Cooperative Agreements</li> </ul>	<p>*535</p>
国防総省 (1)	<ul style="list-style-type: none"> <li>• National Guard Youth Challenge Program</li> </ul>	<p>*9,750</p>
司法省 (1)	<ul style="list-style-type: none"> <li>• Second Chance Act Prisoner Reentry Initiative</li> </ul>	<p>—</p>
退役軍人省 (1)	<ul style="list-style-type: none"> <li>• Vocational Rehabilitation for Disabled Veterans</li> </ul>	<p>*105,000</p>

GAO (2011), p.6, p.53 より筆者作成

2009 会計年度において、180 億ドルがこれらの教育訓練プログラムに連邦政府予算から支出された。この額は、2003 年会計年度より 50 億ドル増加している<sup>10</sup>。これらのプログラム別内訳は下記図 3 - 2 のように、非常に多くの額を得ているプログラムと、そうでないプログラムとの間に差がある。

<sup>10</sup> GAO (2011), p.5

図表 3 - 2 プログラム別内訳 (2009 会計年度)



GAO (2011), p.9 より引用

より広い層を対象とした WIA、WIOA 関連のプログラムも新しく生まれたとは言え、教育訓練プログラムの多くは、何らかの不利益を背負った層に対象を限定したものである。プログラムを主な対象者別に分類し、そのほか利用できるグループをまとめたのが下記の表である。

図表 3 - 3 主な対象者と利用できるグループ

		失業者・産業の影響を受けた人	出稼ぎ・季節労働者	ネイティブアメリカン	精神・身体に障害をもつ人	服役中の人、刑期を終えた人	難民	退役軍人	若年者	その他
失業者・産業の影響を受けた人	Trade Adjustment Assistance							●		●
	WIA Dislocated Workers	●	●	●	●	●	●	●	●	●
	WIA National Emergency Grants	●	●	●	●			●		●

出稼ぎ・季節労働者	Migrant and Seasonal Farmworkers Program		●		●					
	National Farmworker Job Program		●							
特にターゲットを定めない	Career and Technical Education- Basic Grants to States				●				●	●
	Community-Based Job Training Grants	●		●				●	●	●
	Community Services Block Grant	●	●	●	●	●	●	●	●	●
	Employment Service/Wagner-Payer Founded Activities	●	●	●	●	●	●	●	●	●
	H-1B Job Training Grants	●	●	●	●	●	●	●		●
	Registered Apprenticeship and Other Training									
	SNAP Employment and Training Program	●	●	●		●	●	●	●	●
	Tech- Prep Education				●				●	●
	Temporary Assistance for Needy Families	●	●	●	●	●	●	●	●	●
	WIA Adult Program		●	●	●	●	●	●	●	●
ネイティブアメリカン	American Indian Vocational Rehabilitation Services			●	●					
	Career and technical Education- Indian Set-aside	●		●	●				●	●

	Indian Employment Assistance			●						
	Indian Vocational Training- United Tribes Technical College			●				●		●
	Native American Employment and Training			●						
	Native Hawaiian Career and Technical Education			●	●				●	●
	Tribal Work Grants	●	●	●	●	●		●	●	●
	Tribally Controlled Postsecondary Career and Technical	●		●	●				●	●
精神・身体に障害をもつ人	Project with Industry				●			●	●	●
	Rehabilitation Services- Vocational Rehabilitation Grants to States				●					
	State- Supported Employment Services Program				●					

GAO (2011), p.60 より筆者作成

これら 47 のプログラムのうち 41 は、3 つ以上の項目について、予算管理局の業績評価を受けている。最も多く用いられている評価項目は、「雇用に就くことができたか」であり、38 のプログラムで評価対象とされている。次に多いのが「雇用が維持できているか」で 29 プログラム、3 番目が「賃金を得た、または変化があったか」で 23 プログラムとなっている (図表 3-4)。

図表3-4 挙げられる頻度の高い評価項目

評価項目	採用しているプログラム数
雇用に就くことができたか	38
雇用が維持できているか	29
賃金を得た、または変化があったか	23
資格を得たか	19
その他ポジティブな結果があったか	17
学習面での到達度	16
参加者の満足度	8
その他の成果	23
指標なし	3

GAO (2011), p.10 より筆者作成

各プログラムが採用している評価項目は、下記の通りである。

図表3-5 各プログラムが採用している評価項目

	プログラム	雇用に就くことができたか	雇用が維持できているか	賃金を得たか、変化はあったか	資格を得たか	その他ポジティブな結果があったか	学習面での到達度	参加者の満足度	その他の成果
労働省	Community-Based Job Training Grants	●	●	●	●				
	Disabled Veterans' Outreach Program	●	●						●
	Employment Service/Wagner-Payer Founded Activities	●	●	●				●	
	H-1B Job Training Grants	●	●	●	●				
	Homeless Veterans' Reintegration Project	●	●						●

	Job Corps	●	●	●	●	●	●	●	●
	Local Veterans' Employment Representative Program	●	●						●
	National Farmworker Job Program	●	●						●
	Native American Employment and Training	●	●				●		
	Registered Apprenticeship and Other Training	●	●	●	●				
	Reintegration of Ex-Offenders	●	●	●	●	●	●		
	Senior Community Service Employment Program	●	●					●	●
	Trade Adjustment Assistance	●	●	●					
	Transition Assistance Program								
	Veterans' Workforce Investment Program	●	●						●
	WIA Adult Program	●	●					●	●
	WIA Youth Activities				●	●	●		●
	WIA Dislocated Workers	●	●					●	●
	WIA National Emergency Grants	●	●	●					
	WANTO						●		●
	YouthBuild	●			●	●	●		●
教育省	American Indian Vocational Rehabilitation Services	●	●	●					
	Career and Technical Education- Basic Grants to States	●			●	●	●		●

	Career and technical Education- Indian Set-aside	●			●	●	●		
	Grants to States for Workplace and Community Transition Training for Incarcerated Individuals	●			●	●	●		●
	Migrant and Seasonal Farmworkers Program	●		●					
	Native Hawaiian Career and Technical Education	●	●		●	●	●	●	
	Project with Industry	●	●	●					
	Rehabilitation Services- Vocational Rehabilitation Grants to States	●		●			●		
	State- Supported Employment Services Program	●		●			●		
	Tech- Prep Education Tribally Controlled Postsecondary Career and Technical Institutions				●	●	●		●
	Tribally Controlled Postsecondary Career and Technical Institutions	●			●	●	●		
保健福祉省	Community Services Block Grant	●	●	●					
	Refugee and Entrant Assistance- Voluntary Agency Matching Grant program	●	●	●					●
	Refugee and Entrant Assistance- Targeted Assistance Grants	●	●	●					●

	Refugee and Entrant Assistance- Social Services Program	●	●	●					●
	Refugee and Entrant Assistance- Targeted Assistance Discretionary Program	●	●						●
	Temporary Assistance for Needy Families	●	●	●					●
	Tribal Work Grants	●			●	●	●		●
内務省	Conservation Activities by Youth Service Organizations							●	
	Indian Employment Assistance	●	●	●	●	●			
	Indian Vocational Training- United Tribes Technical College								
農務省	SNAP Employment and Training Program								
防衛省	National Guard Youth Challenge Program	●	●	●	●	●	●	●	●
環境保護省	Brownfield Job Training Cooperative Agreements	●		●	●				●
司法省	Second Chance Act Prisoner Reentry Initiative				●	●	●		
退役軍人省	Vocational Rehabilitation for Disabled Veterans	●	●	●	●	●	●		●

GAO (2011) pp.55-57 より筆者作成

教育訓練の有効性については、Temporary Assistance for Needy Families(TANF)、WIA Adult Program、WIA Dislocated Workers、National Guard Youth Challenge Program、Reintegration of Ex-Offenders のわずか5つのプログラムだけが、その成果がプログラムに帰するものかどうかを分析するインパクトリサーチを行っている<sup>11</sup>。

TANFのインパクトスタディである Handra et al.(2010)では、ターゲットを「①TANFの現金給付あり（失業中）」「②TANFの現金給付あり（有業者）」「③TANFの現金給付なし」のグループに分け、3-4年後に雇用のレベル、雇用の安定性、収入の変化について追跡調査を行なったものである。これらは、州も地域も異なる12の場所で行われた。結果的に、これら12のプロジェクトのうち、3つだけが、上記の指標においてわずかな向上が認められたに過ぎず、多くは依然として貧困状態にあることが明らかになった。

WIA Adult Program、WIA Dislocated Workers のインパクトスタディである Heinrich et al.(2008)では、最新式の非実験的研究によって、WIAのプログラム参加者と、地理的特性、受け取っている福祉給付、労働市場での経験がほぼ等しいWIAのサービスや訓練に参加していないコントロールグループとの間で、比較を行なった。12の州にわたる約16万人のWIA参加者と、約300万人のコントロールグループから構成されている。そして、WIAのプログラムがCore Service/Intensive Service/Training Serviceと三段階に分かれていることから、それぞれの段階の参加者にどのような成果が見られたかにポイントを置いて分析している。その結果、明らかになったことを大まかに示すと、概ね、WIAプログラム参加者の方がコントロールグループよりもポジティブな結果となった。Adult Programの参加者は、四半期の収入が数百ドル増加したが、Dislocated Workerの場合はコントロールグループより少ない結果となるなど、サブグループでの比較を行うとまた異なる結果になる部分もある。そして、州ごとに結果も異なるが、平均値を取れば、プログラム参加者の方がポジティブな結果であることは確かであるとしている。

National Guard Youth Challenge Program のインパクトスタディである Millenky et al.(2013)では、16歳から18歳までの1,173人のプログラム参加者と、コントロールグループについて、プログラム開始から3年後の効果を調べたものである。これによれば、教育的効果（GED<sup>12</sup>・高校卒業の学位取得、カレッジの単位取得）および雇用への効果（雇用の有無、収入）では、プログラム参加者の方が比コントロールグループよりポジティブな効果が認められた。しかし、行動的効果（有罪判決の有無、肥満、飲酒、頻繁なマリファナの使用、メンターとのコンタクト）では、ポジティブな差は認められなかった。

<sup>11</sup> その分析手法については、各プログラム異なるものを用いている。GAO（2011）、p.11-12。

<sup>12</sup> General Education Development Test（一般教育修了検定）

Reintegration of Ex-Offenders のインパクトスタディである Wiegand(2015)では、Reintegration of Ex-Offenders の参加者 2,804 人と、Reintegration of Ex-Offenders には参加せず他のサービスに参加した者 1,851 人とを比較した。比較項目となったのは、大まかに分けると「サービスの受講」「労働市場への参加」「再犯」「その他（身体と精神の状態、薬物乱用、住居、子供のサポート）」の 4 つである。ここから明らかになったのは、プログラム参加者の方が幅広いサービスを受講していたこと<sup>13</sup>、プログラム開始から 1 年後、2 年後の有業率が高かったこと、時給の上昇は個人によって差があること、再犯率、身体と精神の状態、薬物乱用、住居、子供のサポートにはほとんど違いがなかったことである。

また、19 のプログラムはインパクトリサーチ以外の研究、その他の検証を、2004 年以降に行っている。これには、予算管理局が作成した Program Assessment Rating Tool (PART)<sup>14</sup> を用いている場合も含まれる。

2014 年に、労働省、商務省、教育省、保健福祉省が合同で作成した *What Works In Job Training: A Synthesis of the Evidence* によれば、エビデンスを出すための調査研究を行う場合には、以下のような点に留意するよう、方針を定めている<sup>15</sup>。

- ①そのプログラムの長期的な視点での影響
- ②多様なサブグループへの影響
- ③プログラム内容の効率性の評価
- ④異なるさまざまな状況のもとでテストを行うこと
- ⑤雇用主との結びつきという成果を測定、評価すること
- ⑥労働市場の情報へのアクセスを評価すること

では実際に、教育訓練プログラムについて、連邦政府はどのような政策評価を行っているのでしょうか。前述のように、実施主体となるのは州政府であり、地域のワンストップセンターや教育訓練プロバイダーである。そのため、連邦政府は主として、州ごとの政策を評価する立場となる。

<sup>13</sup> とりわけ、就職準備のためのプログラムにおいて、受講率が高かった。職業訓練、求職援助、仕事を始める心構え、履歴書や応募用紙の書き方の講座などである。

<sup>14</sup> PART は、4 つのカテゴリーに分けられた 20-30 の質問項目によって構成されている。4 つのカテゴリーと評価ウエイトは以下の通りである。「プログラムの目的とデザイン（ウエイト 20%）」「戦略的な計画（10%）」「プログラムのマネジメント（20%）」「プログラムの結果（50%）」。これらを、「Effective」「Moderate Effective」「Adequate」「Ineffective」の 4 段階でスコア化する。Gilmour（2007）p.6。

<sup>15</sup> U.S.Department of labor et.al（2014），pp.21-22。

今回、筆者らは最も多くの教育訓練プログラムを実施している労働省にて、インタビュー調査を行った。日時は2017年9月12日である。対象者は職業訓練局のA氏、B氏、Chief Evaluation OfficeのC氏の3名である。

これにより、明らかになった点を整理すると、以下のようになる。

第一に、全国レベルで統一化された評価基準を用いた評価は、現在のところ実施していないということである。同じ連邦法に依拠して実施しているプログラムであっても、運営は各州に任されているため、内容や実施方法、対象者などは少しずつ異なっている。そのため、統一した評価基準を作成して、それに当てはめて評価を行うことは不可能であるし、政府もそのようなことを求めてはいない。州ごとに、産業の構成、人口割合、経済状況も異なる中、求められる教育訓練プログラムが異なるのは当然である。仮に同じプログラムを実施したとしても、条件が異なる以上、結果が異なるのも避けることができないのである。

また、仮に低い評価となる州があったとしても、会計検査院にありのままを報告するのではなく、複数年度をかけた評価で報告するよう、工夫をしているとのことである。教育訓練プログラムは短期的な視野で効果の有無を評価することになじまないという価値観が伺われた。

とりわけ、プログラムに参加した個々人のデータは州政府が持つものであり、連邦政府は把握していない。それゆえ、細かいサブグループに分割した評価や分析も、連邦政府では行うことができないとのことであった。個々人に焦点を当てれば、求めるサポートも一人一人、異なってくる。バックグラウンドも、希望するキャリアも違う。「教育訓練」とは実に幅広い概念を示す言葉であり、求職援助からプログラムの実施、仕事のあっせんに至るまで、すべてが「教育訓練」に含まれると言うことができる。そのため、その人にとってどの要素がプラスになり、どの要素が効果を持たなかったのかということを厳密に測定することは不可能であると考えられていた。各個人の地理的な情報や属性など、アルゴリズムを用いて、どの人にはどのサービスを給付するのが合理的であると決めることは困難である。「それぞれアプローチは異なっても、「良い仕事を探すこと、良い仕事に就くこと、そして、良い人生を送ること」という目標は同じであるため、どのアプローチも合理的なのだ」とA氏は述べる。

第二に、そうは言っても、職業訓練政策を決定するための評価制度を求める圧力は、年々強まっているということである。とりわけ、予算管理局からは、ベストな評価手法を構築するための情報共有をしようと強く提案されていた。また、WIOA成立以降は、州政府と密に協力して評価を行うことを期待されるようになったと述べる。実際に、2014年以降、教育訓練局はWIOA実行のためのパラメーターとフレームワークを作る計画に参画を求められている。教育訓練局は、National Association of State Work Agenciesに協力を求め、調査と評価を実行することを各州政府に理解してもらうための活動を行った。今後、評

価を実施することができる状況にあるのかどうかは、州によってレベルに差があり、既に州内でかなり進んだ評価を行っている州もあるとのことである。

エビデンスベースで政策を作っていくことに関しては、現在、超党派の協力が実現できており、年1回、会合も実施されている。労働省においても、現在、評価マニュアルを作り出したが、完成し、テストし、実行するには、まだ時間がかかるとのことであった。「仮にあるプログラムについて5回の調査を実施して、3回はポジティブな結果、2回はネガティブな結果が出たとしたら、そのプログラムは効果ありと言えるのだろうか、効果なしと切り捨てるべきなのだろうか？そして、その5年後の効果は同じと言えるか？高齢者への教育訓練は、若い人に比べると効果が出るまでに時間がかかる。そのような点はどう考慮に入れるべきか？それを断定することは非常に難しいし、評価制度を作ったとしても、常に改良を続ける必要があるだろう」とA氏は述べる。

そして、今後、評価を実施していく場合には、評価者の訓練が課題となるとのことであった。「何が悪い評価で何か悪い評価かを決めるには、政策側がもっと訓練を積まなければ。仮に、評価のためにランダムに学校を選んだとする。すると何が起こるか？学校側は良い評価を得ようとして最も優れた学生をサンプルにしてくるはずだ。ならば、学生の選択もランダムにする必要がある」そして、「調査をするには、安いことや、時間がかからないことも求められる」と、課題は多い。

第三に、評価を行う際には、外部の第三者評価機関に委託をしているということである。第三者機関は利害関係がないため、中立の立場をとることができ、内部で評価を行うよりも公平性を保つことができることが最も大きな理由である。ベースとなるリサーチは労働省で行い、具体的な評価を委託する。第三者評価機関を選ぶ場合には、コンペティションを実施する。以前は労働省内に評価機関（Office of Policy, Development and Research）があり、90人くらいが所属していたが、このような役職は年々減少傾向にあるとのことである。

第四に、比較対象調査を実行するには、さまざまな問題があるということである。職業訓練を受けないグループを作り出して比較するということは、本来、職業訓練を受ける権利を持つ人々に対して、それを制限することを意味する。もし仮に、長年にわたる追跡調査を行うとしたら、長期にわたって権利を剥奪されるグループができてしまう。そして、そのグループは、類似の趣旨を持つ別のプログラムに参加することも制限されるのである。一部の国民にこのような不利益を強いてまで、比較対象調査を実施するメリットがあるか否かは、現在のところ明確でないと捉えられていた。

「アメリカには“Gold Standard”（究極の判断基準）という理想があり、人々は「究極の判断基準が欲しい」といつも言う。それが意味するところは、対照調査だろう<sup>16</sup>。現実を知りたいと思う時に、私たちはそれを使いすぎるきらいがある。さまざまな変数がある中で、比較対照調査は必ずしも現実を正確には表していないと思う。対話を重視し、特定のアプローチを強調しすぎないほうが、正確なのでは」とC氏は主張する。

また、A氏も、「以前、失業保険に研究に携わった経験があるが、ありとあらゆることにアプローチすることが必要だと感じた。それは文書化、マニュアル化できないことも、現実にはたくさんある。だから、もっと現実に調和した、段階的なアプローチが必要だと思う。もし比較対象調査をしたとして、何かが掴めたとしても、それは特定のケースの結果に過ぎないのでは。同じプログラムを実行したとしても、どの地域で、どのような経済状況でそれを実行したのかによって結果は違って来るのだから。産業構造も考慮に入れなければならないことの一つ。製造業で今後、賃金が上昇することは期待できるだろうか？かといってコーヒーショップで製造業と同じ賃金が得られるはずもない」と述べた。

第五に、省庁をまたいだ類似の教育訓練が未だに多数、存在しており、今後これらをコーディネートする必要があることである。前述のように、職業訓練プログラムには8つの省庁が監督官庁に名を連ねている。そして、ターゲットが重複しているプログラムもいくつか存在した。「もし評価を実施するとしたら、いずれはこれらの省庁をまたいだ評価制度を構築してゆかなければ、合理的とは言えない。それが実現できてはじめて、この層にはこのプログラムが適切であるという、正確な知識が蓄積できるのでは」とC氏は懸念する。

以上のように、連邦労働省では現在のところ、政策決定のためのエビデンスとなる評価制度の必要性は認めつつも、すべての州、すべての地域に普遍的な評価制度を構築することは困難であり、それが必ずしも適切な手段ではないと考えていることがわかった。インタビューでも述べられていたように、各人が望む「良い仕事、良い人生」が多様である以上、職業訓練という概念もまた、多様であるのは当然である。そして、単純にスコア化して、短期的に成否を決めるべき制度ではなく、もっと複雑なものなのである。このような本質的な曖昧さを、労働省職業訓練局は大切にしているように感じられる。

## 第2節 ミシガン州における訓練と評価

### (1) ミシガン州タレント投資エージェンシー(Michigan Talent Investment Agency)

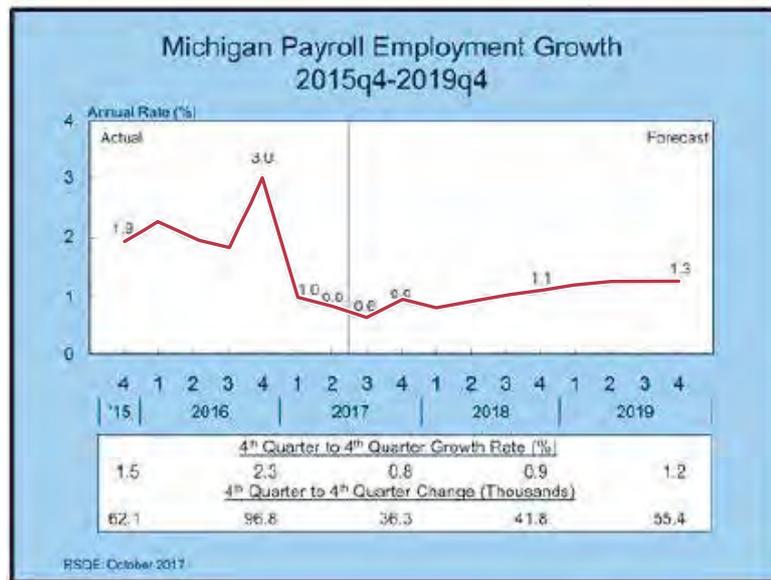
#### ①労働市場の状況、経済動向

アメリカ全体の雇用が、リーマンショックによる不況を底として、徐々に回復しつつある。同様に、ミシガン州の非農業部門の雇用も、近年で最も低い水準であった2009年夏から、

<sup>16</sup> 薬の臨床試験のように、職業訓練を受講した人とそうでない人を比較対照すること。

一貫して上昇傾向にある。この間、平均すると 70,200 の雇用が増え続けた。この増加率は 1.7%で、全米平均の 1.5%を上回っている。とりわけ、2016 年の増加率は著しく、96,800 人の雇用が増加した。この上昇は緩やかにこそなれ、今後も続くであろうと予想され、2018 年には 41,800 人の雇用が、2019 年には 55,400 人の雇用が生まれるとされている<sup>17</sup>。

図表 3-6 ミシガン州の雇用の増加予測



University of Michigan (2017) Research Seminar in Quantitative Economics より引用

特に、これらの増加をけん引しているのは、「Professional and business service」と「Education and health service」の部門であるが、公的部門を除いて、ほぼすべての部門で増加している<sup>18</sup>。そして、長らくミシガン州の代表的な産業であった自動車製造部門、および自動車関連部門も、リーマンショックに至るまでレイオフが続き、減少の一途を辿っていたが、その後は非常に緩やかではあるが、増加し続けている<sup>19</sup>。

失業率についても、最も高かった 2009 年には 14.9%であり、全米平均の 10.0%を大きく上回る状況であった。しかし、その後は順調に下がり続け、2017 年の時点では 4.6%と、全米平均よりやや低い水準に落ち着いている。

<sup>17</sup> University of Michigan (2017) Research Seminar in Quantitative Economics

<sup>18</sup> State of Michigan Department of Technology, Management & Budget (2015), pp.3-4

<sup>19</sup> State of Michigan Department of Technology, Management & Budget (2015), p.7

図 3 - 7 ミシガン州の失業率



U.S.Bureau of Labor Statistics (2017) Local Area Unemployment Statistics より引用

図表 3 - 8 ミシガン州における職種別雇用者数 (人)

Office and Administrative Support Occupations	624,190
Production Occupations	445,320
Sales and Related Occupations	425,860
Food Preparation and Serving Related Occupations	379,500
Transportation and Material Moving Occupations	274,290
Healthcare Practitioners and Technical Occupations	268,410
Education, Training, and Library Occupations	236,510
Management Occupations	195,980
Business and Financial Operations Occupations	194,440
Installation, Maintenance, and Repair Occupations	167,290
Architecture and Engineering Occupations	135,060
Healthcare Support Occupations	134,860
Construction and Extraction Occupations	129,880
Building and Grounds Cleaning and Maintenance Occupations	124,380
Personal Care and Service Occupations	121,690
Computer and Mathematical Occupations	104,780
Protective Service Occupations	73,370
Arts, Design, Entertainment, Sports, and Media Occupations	56,600
Life, Physical, and Social Science Occupations	31,240
Farming, Fishing, and Forestry Occupations	5,250

U.S.Bureau of Labor Statistics (2017) Occupational Employment Statistics より筆者作成

## ②訓練と評価についての州政府の方針

(企業・学校とのリンク・マッチング、ワンストップセンターやコミュニティカレッジの個数、コミュニティカレッジの設置主体、資格認定自体が企業と協力、プロバイダーベースでの評価)

このような状況にあるミシガン州において、教育訓練政策はどのような方針のもとで行われているのであろうか。また、どのような評価方法を採用しているのであろうか。これらを明らかにするべく、筆者らはミシガン州政府の **Talent Investment Agency** においてインタビュー調査を実施した。調査を行ったのは、2017年9月13日であり、対象者は **Director**

Wanda M. Strokes、Deputy Director Mr. James D. Bartolacci、Bureau Administrator Ms. Daphne M. Johnson である。

(a) 職業教育訓練政策についての州政府の方針

職業教育訓練政策について、Talent Investment Agency が非常に強く抱いている方針として、以下の点が挙げられるであろう。

第一に、雇用者側とのコミュニケーションを重視しているという点である。Talent Investment Agency の A 氏は「教育訓練の責任は労使で半分ずつと考えられているかもしれないが、我々はもっと雇用者側を巻き込みたいと考えている」と述べる。雇用者側が教育訓練施設と協力して、カスタマイズされた訓練プログラムを作ることで、必要なスキルを備えた、より確かな労働力を確保できるため、これは“skin in the game”、すなわち、成果を得るための投資に当たる。このメリットを理解してもらうために、州政府は雇用者側へさらにアプローチし、説得を重ねている。また、地域の雇用者同士が、もっと対話をすることも望んでいる。

また、雇用者側とプロバイダーである教育訓練機関との橋渡しにも力を入れていた。「雇用者が関心をもつのは、その候補者が、教育訓練機関でどのようなことを教わってきたのかということである。そのため、プロバイダーのカリキュラムを雇用者側に見せて、納得してもらうこともある」と A 氏は述べる。

第二に、現実の需要を強く意識した活動を行っていることである。「我々は求職者に対して、教育訓練プログラムを受ければ、すぐにでも仕事がみつかるようなコースを薦めたい。仕事のない教育訓練を紹介したくはない」と述べていた。ミシガン州内で、どの仕事に多く雇用が生まれ、良い収入が得られるかという労働市場の情報を的確につかみ、教育訓練や仕事の斡旋をしている。このように、詳細な職業情報や賃金データを開示し、頻繁にアップデートしてゆくことは、雇用主に対する賃上げ圧力として働くとのことである。また、このような需給情報、賃金データの把握、雇用主とのコミュニケーションは、地理的に小さな単位で、確実性を高めて実施してゆくことがポイントとなる。

下記のリストは、ミシガン州政府が特に強く推奨している 25 の職業である。これらの職業、成長率、年間で発生する雇用数、時給中央値、年収中央値、必要とされる教育水準を一覧にした *HOT25* というリーフレットを作成し、広く配布していた。これを見ると、製造業、とりわけ自動車産業を主要産業としているミシガン州という地域性が反映された、非常にローカルで現実的なリストであることがわかる。また、求められる教育水準も、ほとんどが 4 年制大学の学位を必要とせず、コミュニティカレッジあるいは高校卒業後の OJT や徒弟訓練制度のものである。製造業以外では、高齢化社会で需要の高い医療職、IT 関係

の職業もいくつか入っているが、大卒の学位は求められていない比較的新しい職種となっている。

A氏も、「学生さんや親御さんに、キャリアの準備にはいろいろな方法があるのだと理解してほしい。大学へ行くことだけが成功への道ではない。以前は「いい仕事に就きたかったら、とにかく大学へ行け」が合言葉のようだったが。今はそれが当てはまらない。考え方を考える必要がある」と主張する。

図表3-9 ミシガン州において需要の増加が見込まれる職業25と成長率、雇用数、賃金

職業	成長率	発生する 雇用数/ 年	時給中央 値	年収中央値
自動車修理工	10.0%	185	\$21.55	\$44,824
バス・トラック機械、ディーゼルエンジンのスペシャリスト	13.9%	219	\$20.38	\$42,390
循環器の技術者、テクニシャン	19.0%	80	\$25.56	\$53,165
大工	7.2%	393	\$20.41	\$42,453
コンピューターネットワークサポート スペシャリスト	11.4%	134	\$26.50	\$55,120
数値制御された機械ツールのプログラマー（金属・プラスチック加工）	28.7%	93	\$23.69	\$49,275
コンピュータ使用サポートのスペシャリスト	14.3%	601	\$22.04	\$45,843
超音波診断検査士	19.7%	96	\$28.70	\$59,696
電線敷設・修理工	10.0%	195	\$35.17	\$73,154
電気技師	14.1%	562	\$28.38	\$59,030
エンジン・その他の機械の組立人	11.2%	86	\$25.36	\$52,749
工学技術者（製図者を除く）	11.3%	95	\$30.10	\$62,608
エアコン機械工・敷設者	15.6%	231	\$21.88	\$45,510
生産工学技術者	8.9%	164	\$24.07	\$50,066
産業機械工	27.1%	752	\$24.40	\$50,752
機械オペレーター	19.0%	1279	\$19.04	\$39,603
マッサージ師	20.6%	87	\$22.47	\$46,738
機械技術者	13.1%	178	\$27.90	\$58,032

水車・風車工	20.1%	118	\$31.83	\$66,206
理学療法士アシスタント	28.6%	213	\$22.18	\$46,134
配管工、パイプ工、スチームパイプ取り付け工	11.4%	279	\$27.02	\$56,202
呼吸療法士	10.9%	142	\$26.15	\$54,392
板金工	11.7%	128	\$24.30	\$50,544
ウェブ開発者	24.7%	108	\$28.61	\$59,509
溶接工、裁断師、はんだ職人、ろう付工	9.3%	489	\$17.15	\$35,672

Michigan Talent Develop Agency(2017) *HOT25* より筆者作成

図表3-10 ミシガン州において需要の増加が見込まれる職業 25 と教育水準

職業	求められる標準的な教育水準
自動車修理工	高校卒業程度、長期の OJT
バス・トラック機械、ディーゼルエンジンのスペシャリスト	高校卒業程度、長期の OJT
循環器の技術者、テクニシャン	準学士号
大工	高校卒業程度、徒弟訓練
コンピューターネットワークサポートスペシャリスト	準学士号
数値制御された機械ツールのプログラマー（金属・プラスチック加工）	高校卒業程度、長期の OJT
コンピュータ使用サポートのスペシャリスト	カレッジなど、学位は不要
超音波診断検査士	準学士号
電線敷設・修理工	高校卒業程度、長期の OJT
電気技師	高校卒業程度、長期の OJT
エンジン・その他の機械の組立人	高校卒業程度、中期の OJT
工学技術者（製図者を除く）	準学士号
エアコン機械工・敷設者	中等教育後の学位を必要としない単位認定、長期の OJT
生産工学技術者	準学士号
産業機械工	高校卒業程度、長期の OJT

機械オペレーター	高校卒業程度、長期の OJT
マッサージ師	中等教育後の学位を必要としない単位認定
機械技術者	準学士号
水車・風車工	高校卒業程度、徒弟訓練
理学療法士アシスタント	準学士号
配管工、パイプ工、スチームパイプ取り付け工	高校卒業程度、徒弟訓練
呼吸療法士	準学士号
板金工	高校卒業程度、徒弟訓練
ウェブ開発者	準学士号
溶接工、裁断師、はんだ職人、ろう付け工	高校卒業程度、中期の OJT

Michigan Talent Develop Agency(2017) *HOT25* より筆者作成

図表 3 - 1 1 Michigan Talent Develop Agency *HOT25*

Going PRO  
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**HOT 25**  
High-demand, high-wage careers for professional trades in Michigan.

Why choose a career in PROFESSIONAL TRADES in MICHIGAN?

- 500,000+ jobs in Michigan by 2024
- 45% higher wages compared to all occupations
- 50% faster job growth than statewide average by 2024

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Michigan Talent Develop Agency(2017) *HOT25* より引用

長い歴史をもつ徒弟訓練制度は、従前は製造業や建設業に関わる職種がほとんどであった。しかし、産業構造の変化に伴い、近年では医療やIT、エンジニアや技術者などの徒弟訓練も増えているという。徒弟訓練制度も同様に、現実に需要のある職種を育て、労働力になるよう、変化させており、州政府の方針が映し出されていると言えるであろう。

第三に、学校教育との連携を重視していることである。Talent Investment Agency は、州政府の教育部門と協力し、中等教育の生徒たちにもアプローチしている。企業訪問ツアーを企画して仕事に触れてもらい、その産業で働く意味を理解してもらうなど、座学だけではなく、現場での体験を取り入れている。この狙いは、職業選択の準備という意味合いはもちろんのこと、現在学校で学んでいる国語や数学といった学習と、将来の仕事とがどのように結びつくのかを理解してもらうことも目指している。「例えば、「もし読み書きができなかったら、職場で必要な文書やマニュアルを読むことができず、大きな事故につながるかもしれない」とわかれば、読み書きを学ぶ必要性が理解できるでしょう」とA氏は述べた。

次節で登場するコミュニティカレッジでも、高校生が夏休みに参加できるインターンシップを用意していた。このように、早い段階で職業を意識させ、関心を持ってもらう取り組みにも、積極的であると言える。また、「成人」「失業者」「若者」と3つの対象者があるWIOAにおいても、ミシガン州政府は若者を最優先させているとのことであった。読み書きができなかったり、理解力が不足している若者には、求職活動に入る前に、そこから支援を行っているという。さまざまな機関と協力しながら、さまざまなアプローチで、若年層の雇用を支援していることがうかがえる。

第四に、頻繁な転職を推奨するのではなく、どちらかと言えば、可能な限り長く一つの仕事を続けてもらうための支援に力を入れているということである。「少し前のアメリカには、簡単に仕事を変える人も多かった。しかし、状況は少しずつ変化している。テクノロジーが常に進化し続けるため、仕事の内容がますます専門化した。そうなると、簡単に他の分野へ移ることはできなくなる」とA氏は説明する。また、A氏は人生の中で働く期間が以前より長くなっているとも述べた。その理由について、平均寿命が伸び、いつまでも活動的でありたいと望む人が増えたこと、そして、リーマンショックによる不況で貯蓄を失ったことから、長く働き続ける必要に迫られている人が増えたことを挙げた。

「若者だけではなく、中年の人や、定年が近づいた人でさえ、今は常に学習を続けなければいけない時代になった。これは大きな変化。高校を卒業すればずっと一つの仕事が続けられるという時代ではもうない」と述べる。そのためにも、生涯利用することのできる職業教育訓練制度や、就職あっせんや求職サポートなどのシステムが、以前にもまして重要な地位を占めるようになってきている。

以上のように、ミシガン州政府の Talent Investment Agency では、一言で言えば現実を重視した方向での職業訓練政策を実行していた。あくまでミシガン州の雇用に合わせた、実際に需要があって訓練を受ければ必ずその仕事に就けるような、確実性の高い職業を推奨していた。

#### (b) 評価制度

それでは、このような職業教育訓練に関するさまざまな施策について、ミシガン州政府ではどのような評価制度を用いているのであろうか。

##### i) 利用者のデータベースシステムと成果指標

はじめに、サービスを利用した個々人のデータベースがつくられている。これは全米で統一したフォームがある。それぞれの利用者について、属性、資格、学位、仕事を見つける上での障壁、利用している福祉制度などが一覧できるようになっている。これは社会保険番号によって賃金記録や資格制度や認証制度、学位とも紐づけられるようになっている。賃金記録システムによって、プログラム終了後の個々人の賃金の変化をも追っている。この個票は、その人にとって最善のサポートとは何かを検討する際の参考になるだけでなく、州政府がどのような職業訓練プログラムを実施してきたのかという統計資料にもなるし、地域ごとの比較も行うことができるという意味で、非常に有用である。下記の図表 3-12 はこれらの利用者の情報を集計した統計資料である。

図表 3-12 ミシガン州の職業訓練サービスを利用した人の統計

Performance Item	Basic Career Services	Individualized Career Service	Training Service	Total Current Period	Total Previous Period
<b>A. SUMMARY INFORMATION</b>					
1. Total Exiters (7/1/2016-3/31/2017)	202	1827	1734	3763	2693
2. Total Participants Served (7/1/2016-6/30/2017)	506	5506	6259	12271	10315
3. Total Reportable Individual (7/1/2016-6/30/2017)				16	16
<b>B. PARTICIPANT SUMMARY AND SERVICE INFORMATION (7/1/2016-6/30/2017)</b>					
<b>SEX</b>					
1a Male	277	2824	2736	5837	4945
1b Female	229	2682	3523	6434	5370

Ethnicity / Race					
2a Hispanic/ Latino	22	259	362	643	557
2b American Indian or Alaskan Native	13	164	192	369	330
2c Asian	5	92	142	239	210
2d Black or African American	434	3561	2465	6460	5551
2e Native Hawaiian or Other Islander	4	32	38	74	63
2f White	76	1905	3709	5690	4657
2g More Than One Race	3	31	24	58	51
Other Demographics					
3a Eligible Veterans	11	190	236	437	369
3b Individuals with Disability	18	245	225	488	423
3c Incumbent Workers	0	0	0	0	0
3d Unemployment individuals	365	4126	3356	7847	6684
Educational Level					
4a Secondary School Graduate or Equivalent	268	2499	2913	5680	4771
4b Completed 1 or more years of Postsecondary Education	131	1430	2056	3617	2987
4c Postsecondary Certification, License, or Educational Certificate( non-degree)	10	138	130	278	226
4d Associate's Degree or Equivalent	30	317	372	719	604
4e Bachelor's Degree or Equivalent	32	479	553	1064	910
4f Advanced Degree Beyond Bachelor's Degree	11	130	101	242	206
C. EMPLOYMENT BARRIER					
1. Displaced homemakers	0	0	0	0	0
2. Low-income individual	412	4471	4425	9308	7971
3. Older individual	38	534	362	934	7971
4. Ex-offenders	92	972	527	1591	1364
5. Homeless Individuals or runaway youth	24	216	96	336	303
6. Current or former foster care youth	3	40	32	75	59
7. English language learners, individuals with low levels of literacy or facing substantial cultural barriers	19	455	753	1242	1041

8. Eligible migrant and seasonal farmworker	0	0	0	0	0
9. Exhausting TANF within 2 years	0	11	9	20	4
10. Single parents (including single pregnant women)	119	1183	1637	2939	2468
11. Long-term unemployment (27 or more consecutive weeks)	41	867	760	1668	1263
D. Core Indicators of Performance					
1. Employment Rate (Q2)					
2. Employment Rate (Q4)					
3. Median Earnings					
4. Credential Rate					
5. Measurable Skill Gains					

Performance Items	Total Covered Entrants	Percent Served Current Period	Percent Served Previous Period
E. Veterans' Priority of Service ( 7/1/2016-6/30/2017)			
1. Covered Entrants Who Reached the End of the Entry Period			
2. Covered Entrants Who Received a Service During the Entry Period			
3. Covered Entrants Who Received a Staff-Assisted Service During the Entry Period			

Talent Investment Agency 提供資料より筆者作成

最も大きな割合を占める WIOA 関連のプログラムの場合、次の 6 つの成果指標によって評価される<sup>20</sup>。

1. プログラム終了の第二四半期後、助成金のない雇用に就いている割合  
(若年プログラムの場合は、教育訓練あるいは助成金のない雇用に就いている割合)
2. プログラム終了の第四四半期後、助成金のない雇用に就いている割合

<sup>20</sup> Michigan Talent Investment Agency (2017) *Michigan Training Connect Policy Manual Requirements and Guidelines*, Chapter3

(若年プログラムの場合は、教育訓練あるいは助成金のない雇用に就いている割合)

### 3. プログラム終了の第二四半期後の給与の中央値

### 4. 資格・認証を得た割合

教育訓練プログラムに参加者が、終了後 365 日以内に認可を受けた高等教育の認証、あるいは中等教育の学位を受けた割合。OJT は含まれない。

### 5. 明示できるスキルの獲得

認証や雇用につながるような、文書化された学術的、技術的、職業的あるいは他の形態の進歩を示すもの。

### 6. 雇用者側の評価

「雇用を維持しているか」「3年以内にコアプログラムのサービスを繰り返し利用しているか」「地区内・州内において、コアプログラムのサービスを利用している雇用者の、全雇用者に占める割合（浸透度）」

これらの調査は、ミシガン州すべての使用者に対して実施される。これは失業保険の給付とも関わるため、名前と社会保険番号とともに報告が義務付けられている。また、賃金記録システムにもこの情報が書き加えられる。雇用者との関係も非常に大切であると考えているため、サービスの満足度、斡旋された人になどについての評価もしてもらっている。この雇用者からのフィードバックを踏まえて、改善に取り組んでいる。

#### ii) 教育訓練プロバイダーの評価

最後に、プロバイダーについての評価である。Talent Investment Agency が発行している *Michigan Training Connect Policy Manual: Requirements and Guidelines* には、プロバイダー認証を受けるためのマニュアルが記されている。これらの基準をクリアできなかったプロバイダーは、助成金を受け取ることができなくなる。評価はプロバイダー単位で行われるのではなく、プログラム単位で厳密に行われる。コミュニティカレッジなど、大きなプロバイダーの場合、ひとつの団体で複数のプログラムを実施していることがあり、一律の評価、一斉の評価は困難となるためである。また、テーマによっては、専門家に評価を尋ねることもあるという。

はじめに、認証を受けようとするプロバイダーは、最低限以下の書類を提出しなければならない。

1. 提供しようとしている各プログラム、あるいは訓練サービスの記述書
2. WIOA § 116(b)(2)(A)(1)(1)-(V)および § 680.460(g)(1)-(4)に記載されている成果指標に関連する要素を表す情報。州では次の最低成果基準を定めている。

- ・ 終了後 2 四半期の間の助成金を受けていない雇用率：67%

- ・ 終了後 4 四半期の間の助成金を受けていない雇用率：67%
  - ・ 所得中央値：\$ 6,108
  - ・ 認証達成率：44%
3. 教育訓練プロバイダーが企業とパートナーシップを結んでいるかどうか
  4. 需要の多い産業部門に関わる高い質の教育訓練サービスであることを証明するための、地域、あるいは州が求めるその他の情報。可能な範囲で。

これらについては、各地域が、州の最低基準よりも高いレベルの基準を独自に課すことが認められている。

そして、プログラムの成果データは毎年更新され、その都度、認可か不認可かが評価される。継続する場合にも、上記の 4 つの最低成果基準を満たしていることが必要となる。

また、プロバイダーは助成対象となる全ての修了生についての記録が必要とされる。そこから集計し、以下の指標を報告しなければならない。

- ①教育訓練プログラム終了後、2 四半期の間に、助成金を受けない雇用に就いた割合
- ②教育訓練プログラム終了後、4 四半期の間に、助成金を受けない雇用に就いた割合
- ③教育訓練プログラム終了後、2 四半期の間に、助成金を受けない雇用に就いた修了生の賃金の中央値
- ④プログラム終了後、1 年以内に、高等教育の認証を受けた参加者の割合、または中等教育の学位あるいは認証に等しいものを得た参加者の割合。
- ⑤プログラム参加によって得た高等教育の認証
- ⑥プログラム参加者が加わったことについてかかった費用。授業料や入学金も含む。
- ⑦参加者のプログラム修了率

また、以下の報告もすべての WIOA 関連プログラムの参加者について報告の義務がある。

- ①教育訓練プログラムの修了者数
- ②成人プログラム、失業者プログラムを用いた訓練サービスを受けた参加者の総数。直近のプログラム年度および 3 年間のプログラム年度における、実在のタイプによって非集計分析を行ったもの。
- ③成人プログラム、失業者プログラムを用いた訓練サービスを受けた者の修了生の総数。直近のプログラム年度および 3 年間のプログラム年度における、実在のタイプによって非集計分析を行ったもの。

- ④教育訓練サービスを受けた参加者一人当たりにかかった費用の平均。直近のプログラム年度および3年間のプログラム年度における、実在のタイプによって非集計分析を行ったもの。
- ⑤成人プログラム、失業者プログラムによって受けた雇用に対する障壁があった個人の数。人種、性別、年齢ごとに非集計分析されたもの。

以上、資料1参照のこと。

## 資料 1

## MiTC Policy Manual

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### Chapter 3: Performance Standards

#### **Section 3-1: Required Performance Criteria for Initial Individual Training Account (ITA) Eligibility**

The Workforce Innovation and Opportunity Act (WIOA) require that providers seeking initial eligibility must provide verifiable program-specific performance information. At minimum, these criteria must require applicant providers to provide:

1. A description of each program of training services to be offered;
2. Information addressing a factor related to the indicators of performance, as described in the WIOA Sections 116(b)(2)(A)(i)-(v) and §680.460(g)(1) through (4).

The state has established the following minimum performance standards:

- |                                                                |         |
|----------------------------------------------------------------|---------|
| • Unsubsidized employment during the second quarter after exit | 67%     |
| • Unsubsidized employment during the fourth quarter after exit | 67%     |
| • Median earnings                                              | \$6,108 |
| • Credentials attainment                                       | 44%     |

3. Whether the training provider is in partnership with a business; and
4. Other information required (locally or by the state) in order to demonstrate high-quality training services with in-demand industry sectors and occupations, to the extent possible.

The training provider is responsible for collecting and reporting their performance data for each program they wish to have placed on the Michigan Training Connect (MiTC). All performance data must be verifiable and is subject to audit by the Michigan Talent Investment Agency (TIA). In accordance with the Act, any program failing to meet state-specified performance standards will have its ITA eligibility removed from the MiTC and will not be eligible to receive additional WIOA funding.

Local areas may require higher levels of performance for local programs than the state's minimum performance standards.

#### **Section 3-2: Required Performance Criteria for Continued Eligibility**

To remain WIOA-eligible, a training program's performance data is required to be updated annually, and training programs may be approved or disapproved, based on their performance. Training providers are required to submit appropriate, accurate, and timely information for participants receiving training under WIOA Title I-B. The state will review provider eligibility information to assess the renewal of training provider eligibility annually.

For continued eligibility, the state has established the following minimum performance standards:

- |                                                                |     |
|----------------------------------------------------------------|-----|
| • Unsubsidized employment during the second quarter after exit | 67% |
|----------------------------------------------------------------|-----|

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- |                                                                |         |
|----------------------------------------------------------------|---------|
| • Unsubsidized employment during the fourth quarter after exit | 67%     |
| • Median earnings                                              | \$6,108 |
| • Credentials attainment                                       | 44%     |

Local areas may require higher levels of performance for local programs than the state's minimum performance standards.

### **Section 3-3: Workforce Longitudinal Data System (WLDS)**

Michigan was awarded a U.S. Department of Labor (USDOL) Employment and Training Administration (ETA) grant to create a WLDS and to link the WLDS to Michigan's State Longitudinal System. The WLDS allows Michigan to collect, make available, and use privacy-protected educational data across the early childhood to K-12, post-secondary, and workforce continuum. This system provides essential data to Michigan stakeholders, including students, parents, teachers, legislators, workforce and education policymakers, taxpayers, and employers.

From the workforce perspective, the system currently links data from the following:

- WIOA Title I – Adult, Dislocated Worker, and Youth;
- WIOA Title II – Adult Education;
- WIOA Title III – Wagner-Peyser;
- Trade Adjustment Assistance;
- Unemployment Insurance Wage Record System;
- Unemployment Benefits;
- Temporary Assistance for Needy Families Program (Department of Health and Human Services – Partnership. Accountability. Training. Hope [PATH] program); and
- New Hire System (Michigan Department of Treasury).

A second grant is allowing Michigan to add partner agencies and their data to our existing educational, wage, and workforce information to provide more longitudinal results and feedback on a larger portion of our stakeholders. The linking of database records longitudinally allows comprehensive analysis of the relationship between education and training programs, the provision of employment services, and employment within Michigan. The additional funding brings new partnerships and will allow linkages of data from the following:

- Expanded Unemployment Insurance Wage Records via the Michigan Department of State (Secretary of State);
- Pure Michigan Training Connect, Michigan Education and Career Pathfinder and the MITC;
- Title IV – Vocational Rehabilitation;

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- Career and Technical Educational records;
- General Educational Development testing; and
- Occupational Licensing Systems (Michigan Department of Licensing and Regulatory Affairs).

Currently, schools may be self-reporting performance information when applying for initial or subsequent eligibility for placement on the MiTC. Once the WLDS is fully integrated with the MiTC, performance information will be processed automatically for training programs that submit performance information through the Center for Educational Performance Information (CEPI).

In order to ensure accurate reporting on performance for schools that do not report via CEPI, (i.e., proprietary schools); these schools will be required to provide the Unique Identification Code (UIC) for all of their students (both ITA-funded and non-ITA funded students) to the TIA. In instances where the student has never been assigned a UIC, the school will be required to provide the student's Social Security Number.

As part of performance reporting for continuing eligibility purposes, schools that do not report via the CEPI will be required to work with their local Michigan Works! Association (MWA) to obtain information, as appropriate, for performance reporting purposes.

Once the WLDS is fully integrated with the MiTC, the MiTC manual will be updated accordingly.

### **Section 3-4: Eligible Training Provider (ETP) Performance Reports**

The ETP Performance Report, applicable to the WIOA Title I Adult and Dislocated Worker programs, must report the results of the four primary indicators of performance along with the total number of individuals who exit from the program of study with respect to all individuals who exited a program of study and all individuals who completed a program of study, including individuals in the program of study who are not WIOA participants. The USDOL has also clarified that a "program of study" approved on the ETP List is synonymous with a "program of training services" as defined in the WIOA Final Rules at 20 Code of Federal Regulation (CFR) §680.420.

At the time of this writing, the data collection format and method of submission, and ETP Performance Report template will be issued by the USDOL sometime in the future.

Statutory requirements that mandate the collection of data through the ETP Performance Report for all individuals (both WIOA and non-WIOA students) in a program of study include:

1. The percentage of individuals who are in unsubsidized employment during the second quarter after exit from the program of study;
2. The percentage of individuals who are in unsubsidized employment during the fourth quarter after exit from the program of study;
3. The median earnings of individuals in the program of study who are in unsubsidized employment during the second quarter after exit;

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4. The percentage of individuals who obtain a recognized post-secondary credential, or a secondary school diploma or its recognized equivalent during participation or within one year after exit from the program. For those individuals who obtained a secondary school diploma or its recognized equivalent, the individual must also have obtained or retained employment or be in an education or training program leading to a recognized post-secondary credential within one year after exit from the program;
5. Information on recognized post-secondary credentials received by program participants;
6. Information on the cost of attendance, including costs of tuition and fees, for program participants; and
7. Information on the program completion rate for such participants.

The ETP Performance Report must report the results of the following participant counts and cost information indicators with respect to all WIOA participants in the program of study:

1. The number of participants exiting from the program of study (or the equivalent);
2. The total number of participants who receive training services through each of the Adult programs and the Dislocated Worker program, disaggregated by the type of entity that provided the training during the most recent program year and the three preceding program years;
3. The total number of participants who exited from training services, disaggregated by the type of entity that provided the training during the most recent program year and the three preceding program years;
4. The average cost per participant for the participants who received training services, disaggregated by the type of entity that provided the training during the most recent program year and the three preceding program years; and
5. The number of individuals with barriers to employment served by each of the Adult programs and the Dislocated Worker program, disaggregated by each subpopulation of such individuals, and by race and ethnicity, sex, and age.

Data on the ETP Performance Report must be collected in a manner so that the results for the WIOA participants may be disaggregated by the barriers to employment. An individual with a barrier to employment, as identified in the WIOA Section 3(24) includes:

- Displaced homemakers;
- Low-income individuals;
- Indians, Alaska Natives, Native Hawaiians;
- Individuals with disabilities, including youth who are individuals with disabilities;
- Older individuals (ages 55 or older);
- Ex-offenders;
- Homeless individuals;

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- Youth who are in or have aged out of the foster-care system;
- Individuals who are English language learners, individuals who have low levels of literacy, and individuals facing substantial cultural barriers;
- Eligible migrant and seasonal farmworkers;
- Individuals within two years of exhausting lifetime eligibility under the Temporary Assistance for Needy Families (TANF) program;
- Single parents (including single pregnant women);
- Long-term unemployed individuals (27 or more consecutive weeks); and
- Such other groups the state determines to have barriers to employment.

Registered Apprenticeship programs are not required to submit performance information. If a Registered Apprenticeship program voluntarily submits performance information to the state, the state must include this information in the report.

### **Section 3-5: Use of ETP Performance Reports**

Data collected in the WIOA ETP Performance Reports (or the data associated) will be made accessible to the public via an annual report published by the USDOL. This information will also be distributed to workers and job seekers throughout the WIOA system, including through online formats as consistent with statute.

The ETP performance will be used to collect data to assess the effectiveness of the WIOA's core programs and to monitor and analyze grantee performance. The data collection permits the Departments to evaluate program effectiveness, monitor compliance with statutory requirements, and analyze participant activity while complying with Office of Management and Budget efforts to streamline federal performance reporting. If states do not adequately meet the adjusted levels of performance as described in 20 CFR 677.170, they are subject to five percent sanctions, as discussed in the WIOA Section 116(f).

## (2) ワンストップセンターの事例

これまでの中で、連邦労働省が全体の方向性を決め、助成金を分配し、それに基づいた具体的な政策決定、管理や評価は州政府実施している構造がおわかりいただけたであろう。それでは、州政府が政策管理や評価をする立場としたら、それらを求職者や企業と実際に接触する立場で実行してゆく組織が、ミシガン州の場合は **Michigan Works!** という組織である。

**Michigan Works!** は 1987 年に設立された、労働者の職業能力開発を支援するための組織である。求職に来た人に対して登録、カウンセリング、職業斡旋、必要な場合には教育訓練の紹介などを行う一方で、求人を希望するメンバー企業や、職業教育訓練プロバイダーとの橋渡しを行う。**WIA** 施行後、各地に設置されたワンストップサービスの機能を担う。2017 年現在、ミシガン州内には地域ごとに、16 の **Michigan Works!** がある。

筆者らは、この **Michigan Works!** が職業教育訓練の評価にどのように関わっているのかを明らかにするために、2017 年 9 月 14 日に Lansing 市にある **Capital Area Michigan Works!** において、インタビュー調査を行なった。対象者は、CEO である **Williams** 氏、COO である **Rosingana** 氏の 2 名である。

### ① **Michigan Works!** の方針

#### (a) 需要側に合わせた職業訓練の斡旋

**Williams** 氏は「ワンストップセンターは、あくまで州政府の決めた方針に従うことが求められている。しかし、州政府は細かいことまで指示するわけではないので、我々にはフレキシビリティがある」と述べる。前述のように、州政府の方針の一つが、地域の現実の需要に沿った職業教育訓練を実施することであった。同じく、**Michigan Works!** でも、管轄している地域のパートナー企業と密接なコミュニケーションをとることで、実際に求められている職業、実際に求められているスキルを求職者に紹介する方針を体現していた。

例えば、これは州政府が打ち出しているキーワード<sup>21</sup>のようであるが、現在は「熟練職種」というよりも、「プロフェッショナル職」の育成に力を注ぐなど、時代の変化に柔軟に対応している。**Williams** 氏も「若者にも成人にも区別なく、需要があって良い賃金を得ることができ、高いスキルを身につけられる仕事を紹介している」と述べる。熟練の低いサービス職種にも需要はあるが、可能な限り斡旋は避けるようにしているようであった。「かつては 5,000 時間以下の短期訓練もしていた。しかし、現在は高賃金、高スキル、高需要という方向へ移っているので、我々のキャリアコーチも、8,000 時間、10,000 時間、1,2000 時間、15,000 時間の訓練を薦めるし、我々の予算はそれをサポートできる。結果的には、

<sup>21</sup> ミシガン州政府は「**Going Pro**」キャンペーンを行なっている。

我々が支出した以上のメリットが得られるのだから。その費用はミシガン州で保証されている」とのことである。

ミシガン州の主要産業である製造業を伝統的に支えてきたのが徒弟訓練制度であるが、時代の変化とともに、徒弟訓練制度にも非製造業のプログラムが作られつつあるとのことである。現在では、医療、保険、金融などの徒弟訓練制度もミシガンには存在する<sup>22</sup>。

しかし、州と Michigan Works!がこのような方針をとっていても、年齢の高い人は再び教育施設に通って、新しいスキルを身につけることには強い抵抗を示すことが多いという。それならば、賃金が下がっても教育訓練の必要ない低熟練の仕事や、非正規雇用の仕事の方が良いと考えるようである。むしろ、現在何もスキルのない若者は、最初こそ入門レベルの仕事から入るものの、その後はさまざまな教育訓練によって能力開発が可能なので、需要も高いとのことであった。また、ミシガン州はマリファナが合法とされているため、入職の際のドラッグテストをパスすることができないことが大きな障壁となっている人も多いようである。

ただし、当然のことながら、このように需要側に沿って教育訓練を実施しようとする場合、推奨する職業や資格は流動的なものとなる。そのため、常に情報をアップデートすることが必要になる。下記（資料2）は Capital Area Michigan Works!がほぼ月に1回発行している“HOT JOB”のリストである。

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<sup>22</sup> Sparrow Hospital には理学療法士の徒弟訓練制度があるし、Accident Fund や Jackson National には保険アナリストのための徒弟制度があるとのことであった。

## 資料2 Capital Area Michigan Works!による“HOT JOB”

**HOT JOBS!****January 9, 2018**Details can be found on Pure Michigan Talent Connect (PMTc) at [www.mitalent.org](http://www.mitalent.org)

Positions marked with an \* require a HS Diploma or GED

**Hot Jobs in Business:**

- \*Project Manager / Estimator, LJ Trumble Builders, PMTC #7711808
- \*Personal Banker, Dart Bank, PMTC #8355643
- Sales/Accounting Manager, Half-time, Touchstone Distributing, Inc., PMTC #8405779

**Hot Jobs in Information Technology:**

- JIS IT Portfolio Manager, MI Supreme Court, PMTC #7836417
- Oracle DBA Architect, Dewpoint, PMTC #7660363
- Solaris Administrative, Dewpoint, PMTC #8239272
- HGO: IT Manager, G C Services, PMTC #8393324

**Hot Jobs in Healthcare:**

- Public Health Nurse, Ingham County, PMTC #8200032
- Medical/Ophthalmic Assistant, Clinton Ophthalmology, PMTC #8393518
- Nurses (LPN and RN), Hazel Findlay Country Manor, PMTC #4979598
- Licensed Master Social Worker, , Marek Family and Geriatric Services, PMTC #6594448
- CNA, Wells Brooke, PMTC #8221055

**Hot Jobs in Trades & Transportation:**

- Excavator Operator, ET MacKenzie, PMTC #8354044
- Drain Operations Maintenance Worker, Ingham County, PMTC #6789472

**Hot Jobs in Manufacturing:**

- Production/General Laborer, Michigan Milk Producers, PMTC #4587101
- Manufacturing Process Engineer, MAHLE, PMTC #8405756
- \*Shipping Clerk, WestRock (formerly Multi Packaging), PMTC# 8381638
- \*Maintenance Tech, LOC Performance (formerly Demmer) PMTC# 8355566
- \*Welder, Nights, LOC Performance (formerly Demmer) PMTC#8223553
- Quality Technician, LOC Performance (formerly Demmer) PMTC# 8355575
- \*CNC Machinist, Tecomet, PMTC# 8249147



## (b)州政府との連携

Michigan Works!は、州政府のさまざまな組織との連携を非常に密に取っていたことが特徴的である。前節の Talent Investment Agency はもちろんのこと、このように需要とマッチした職業訓練、職業斡旋をするためには、Office of Labor Market との提携が欠かせないという。Office of Labor Market より、仕事の情報、需要の情報、賃金の情報、必要な教育レベルなど、さまざまな情報が得られるとのことであった。また、WIOA 関連プログラムのみならず、すべてのプログラムを対象とするワンストップセンターの機能を担っているため、州の福祉部門、キャリア・技術教育部門などとも提携をしている。これらの組織とは、月に2回、会議を行なって議論し、情報共有し、自分の組織にフィードバックしているとのことであった。

インタビューからは、州政府との関係が非常に良いものであることが伺われた。Williams氏は「州はさまざまなことをオープンにして公開してくれる。我々は州政府が近いところにパートナーとしていてくれて幸運だと思う」と述べていた。

## ② 評価制度

WIOA 施行後、教育訓練プロバイダーの認証を受けることを希望する学校や教育機関は、初めに州の認可を取得することが最初のステップとなる。これは Talent Investment Agency が担当している。認可取得後も、毎年レポートを提出する必要がある。ワンストップセンターは、認可されたプログラムに個人が参加した場合、そのプロセスをチェックし、二次的な認可を行う役割を担う。

Michigan Works! は、プロバイダーの認可を行う際の方針として、独自に次のようなことを求めている<sup>23</sup>（資料3参照）。

- ・ そのプロバイダーが、企業とパートナーシップを築けているかどうかという情報
- ・ 質の高い教育訓練サービスを提供できているかどうかという情報。この教育訓練が認可された中等後教育の修了へ繋がるかどうかも含めて。
- ・ 可能な限り、需要の高い産業や職業に調整できているかどうかの情報。

そして、継続の際には、次のような要素を求めている。

- ・ テクノロジーを用いて、州や地域全体に教育訓練サービスがアクセスできるかどうか。
- ・ 連邦政府や州政府の教育訓練プログラムに関わる情報。WIOA タイトル1 関連のプログラム以外で。

<sup>23</sup> Michigan Talent Investment Agency(2017) *Michigan Training Connect Policy Manual: Requirements and Guidelines*, Appendix E 参照。

- ・ 州内で需要の高い産業、職業に関する教育訓練プログラムが提供できている水準。
- ・ その産業で認められた認証や資格を提供できるプロバイダーの能力。
- ・ 中等後教育修了の認証につながるプログラムを提供できるプロバイダーの能力。
- ・ 教育訓練プログラムの質。中等後教育修了の認証につながるプログラムを含む。
- ・ 仕事を持っている人、雇用に障壁を持っている人（障害者を含む）に対して、物理的に、あるいはプログラムの、アクセスすることができるプログラムを提供できるプロバイダーの能力。

また、州政府が求める報告事項の他に、以下のようなことを求めている。

- ・ プロバイダーの成績責任
- ・ 雇用者とのパートナー関係と、職業斡旋サービス
- ・ 参加者のドロップアウト率
- ・ 学生ローンの不履行率

レポートは州に提出され、管理するのも州であるが、**Michigan Works!**もその内容を見ることができる。プログラムごと、プロバイダーごとに、参加した人数、修了率、仕事につくことができた割合、賃金の状況などを把握することができる。特に、**WIOA** が施行されてから大きく変わったことは、これらのレポート内容を州が詳しく追跡調査していることだと **Rosingana** 氏は述べる。「**WIOA** 以前は、プロバイダーは 90%の成功率だと主張しても、よく追跡してみると、教育訓練の内容と全く違う種類の仕事に就かせてその数値を出したりしていたこともあった。医療の教育訓練を受けた人が、ガソリンスタンドやカスタマーサービスの仕事をしていたり。**WIOA** は非常に近くまで接近して、本当に修了しているのか、本当にその訓練にふさわしい仕事に就けているのかということをきちんと把握することを求める」

連邦政府が求める、教育訓練プロバイダーの成果をチェックし、認可・継続するか否かを決定する公式な権限はあくまで州にある。しかし、ワンストップセンターはそれぞれの地域で、「非公式な意思決定」を行うことができると **Williams** 氏は述べる。つまり、実際に参加を希望する人に対して、カウンセリングをしながら、薦める教育訓練プロバイダーを決めてゆくのはワンストップセンターなのである。その際に、「10人があるプロバイダーのプログラムに参加した、しかし5人しか修了できなかった。だとしたら、我々にとってそのプロバイダーは問題ありということになるでしょう」のように、プロバイダーを「推薦する/しない」の意思決定に大きな影響を与えるのは、ワンストップセンターなのである。

また、ワンストップセンターは3ヶ月ごとに、教育訓練プログラムに関するレポートを州政府に提出している。教育訓練プロバイダーが認証・更新を受けた際に契約内容としていた

ことと現状を比較し、それに到達できていないようであれば、改善のための話し合いも実施する。

(資料3)

Appendix E  
Requirements for Local MiTC Policy

**Requirements for Local Michigan Training Connect (MiTC) Policy**

The Michigan Works! Agencies (MWAs) must have a local policy in place that provides the criteria for the MWA's approval of schools under both initial and continued eligibility.

- For initial eligibility, an explanation about the criteria MWAs will use when approving schools, related to the following factors:
  - Information about whether or not the provider is in partnership with business;
  - Other information to demonstrate high-quality training services, including whether or not the training leads to a recognized post-secondary credential;
  - Information that addresses the alignment of the training with in-demand industry sectors and occupations, to the extent possible.
- For continuing eligibility, the criteria MWAs will use when approving schools, related to the following factors:
  - Access to training services throughout the state and rural areas through the use of technology;
  - Information reported to state agencies on federal and state training programs other than programs within the Workforce Innovation and Opportunity Act (WIOA) Title I;
  - The degree to which training programs relate to in-demand industry sectors and occupations within the state;
  - The provider's ability to offer industry-recognized certificates and/or credentials;
  - The ability of providers to offer programs that lead to post-secondary credentials;
  - The quality of the training program, including a program leading to a recognized post-secondary credential;
  - The ability of the providers to provide training services that is physically and programmatically accessible for individuals who are employed and individuals with barriers to employment, including individuals with disabilities;
  - The timeliness and accuracy of performance reports.

The local policy must also include the following information related to whether or not the MWA will:

- Set higher levels of performance than the state minimum as their criteria for approval for placement on the MiTC. If the MWA has set a higher level of performance than the state criteria, the MWA must have a policy in place to ensure that local performance standards are applied in a consistent and objective manner.

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- Request additional information from the school prior to MWA approval, such as the name of employers involved in partnership with the training institution, additional information on the school's alignment with in-demand industry sectors or occupations etc. If the MWA is requesting additional information, the information must be covered by their local policy.
- States are responsible for ensuring the quality and value of eligible training providers. MWAs may include other factors to ensure quality and value, as appropriate, including and/or not limited to:
  - The accountability of providers;
  - The ability of a provider partner to partner with employers and to provide job placement services;
  - The drop-out rate of the training provider;
  - Student loan default rate of the provider.

If the MWA will be including other factors as part of the approval process, the additional factors must be identified in the local policy.

- The MiTC and its application process reflect and implement the WIOA and state-level policy. Where both state policy and the WIOA are silent, local MWA reviewers must exercise discretion. Occasions requiring the MWA to exercise discretion, and for which a local policy is required include:
  - Programs that do not meet local performance standards can be approved or disapproved at the discretion of the MWA. Per Training and Employment Guide Letter (TEGL) 41-14, Change 2, "Until performance data for each accountability measure is available, the Governor may take into account alternate factors related to performance for that accountability measure. In considering alternate factors related to performance, the governor may set minimal performance criteria, use existing available data, or develop other proxies as appropriate.

For example, if a program fails to meet performance standards, the school may provide supplemental information that demonstrates that local economic conditions render the earnings and credentials expectations unrealistic and/or that the program serves many hard-to-serve students, rendering the completion expectations unreasonable. The MWA may request additional information and approve or disapprove the program at its discretion.

  - Programs that neither meet nor fail to meet performance standards. A program neither meets nor fails to meet performance standards if it lacks a documented track record, such as programs with cohorts lasting more than one year that can experience years in which no one graduates and no one drops out, for which credentials attainment cannot be calculated. Similarly, if all program graduates transfer to continuing education in a related field, there may be zero graduates available for employment and therefore, wages are undefined. In such

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situations, the MWA may request additional information and approve or disapprove the program at its discretion.

- Program performance data that includes outcomes where the data that is submitted is questionable or low-quality. The reviewing MWA must decide whether or not to accept questionable or low-quality data as evidence of program performance. The MWA may request additional information and approve or disapprove the program at its discretion.
- For schools not meeting minimum performance standards, the MWAs have the authority to consider local economic conditions and the economic and demographic characteristics of students the school serves when reviewing and approving applications for continued eligibility. Based on the school's justification for below-performance standards, MWAs may either approve or disapprove the application. MWAs must have a policy in place that identifies what the MWA will take into consideration as far as economic conditions and demographic characteristics to ensure that standards are applied consistently.
- All of the above conditions requiring the MWA to exercise discretion may also apply to initial eligibility applications. For those schools that do not meet any of the WIOA criteria for initial eligibility, the MWA, at its discretion, may require full performance data including completion employment and wage information. In such circumstances, the reduced data requirements associated with initial eligibility do not apply.

### (3) コミュニティカレッジの事例 テック

最後に、教育訓練プロバイダーの側に対し、評価制度についてのインタビュー調査を実施した。調査対象となったのは、州都 Lansing 市周辺における最大のプロバイダーである、Lansing Community College（以下、LCC）である。筆者らはこの Technical Careers Division の学部長である Cosgrove 氏、Jim 氏に、2017 年 9 月 14 日にインタビューを行った。

#### ① コミュニティカレッジについて

ミシガン州には各地域に、合計 29 のコミュニティカレッジが設立されている（図表 3-13 参照）。このうち、15 番の位置に存在するのが LCC である。

図表 3-13 ミシガン州のコミュニティカレッジ所在地



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LCC の入学者数は 2014 年秋学期の時点で 16,583 人と、ミシガン州のコミュニティカレッジの中で 3 番目に多い。Lansing 近郊に 4 つのキャンパスを持ち、Art and Science、Health and Human Service、Information Technology Service、Technical Careers の 4 つの学部を備えている。財源は、財産税、州政府と連邦政府からの助成金、学生の授業料の 3 つが柱となっている。LCC は 1957 年に技術学校として設立された。コミュニティカレッジのコンセプトは、高校と 4 年制大学とのギャップを埋めることにある。そのため、4 年制大学へ進学した

い学生のサポートも行い、同時に4年制大学へ進学するつもりはないがスキルが欲しい学生という学生のニーズに応じる目的もある。

4年制大学と最も異なるのは、学生のほとんどはパートタイムだということである。ほとんどは Non-Traditional とカテゴライズされる学生たちである。彼らは年長者、社会人になってからスキルアップのために通っている人、家庭を持つ人、そして夜間にしか通えないなどの背景を持っている。また、何らかのハンディを持っている人、経済的に不利益な状況にある人、ひとり親の家庭の人、失業中の人も多く受け入れている。

また、管轄官庁も4年制大学とは異なる。基本的に運営に関するルールを決めるのは教育省である。しかし、いくつかの部門では職業教育訓練プログラムがあるため、労働省との関わりも生まれる。特にミシガン州の場合、伝統的に製造業が主要産業であったため、徒弟訓練制度のプログラムも重要であった。2014年のデータによれば、LCCの場合、全入学者に占める職業教育訓練プログラムの学生の割合は48.85%である<sup>24</sup>。

Technical Careers Division には、IT、製造業、デザイン・建設・エネルギー管理、公共サービス（警官・消防）、運輸関連整備士、以上5つの専攻を設けており、地域の主要産業である製造業やインフラストラクチャーを支える人材を輩出してきた。座学よりも実習の時間を多くとる方針であるという。

## ②地域社会との関係

コミュニティカレッジの運営方針として非常に重視されているのが、地域社会と密接な関係を築き、ニーズを拾い上げることである。Cosgrove氏は「名前の通り、コミュニティカレッジはコミュニティ志向なのだ。我々の第一の責任は、コミュニティのニーズに応えることだと思っている。この地域にはこういう産業があつて、だからこういうスキルが求められる。我々はいかにそれを提供し、地域を強くして行けるかと考える」「我々の顧客は学生であり、産業である、どちらにも貢献しなければならない」と述べる。

LCCには Business Community Institute と呼ばれる部門がある。ここは地域の産業と結びつけ、役立つ人材を育てることを目的としている。経営者と話をしてニーズを聞き出し、このプログラムがいかに役立つかを理解してもらおう。特定企業のカスタマイズコースを作ることもある。そして、全てのプログラムに対して、諮問委員会を作っている。そこでプログラムが地域の産業に貢献できるように作られているかどうかを検討している。そこにはパートナー企業も参加しており、彼らのニーズに応じた良い方向へ教育訓練を作れるよう、協力し

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<sup>24</sup> State of Michigan Workforce Development Agency (2015) *Michigan Community Colleges Demographic Enrollment profile 2013-2014* 参照。

合っている。Jim氏は「これは我々のプログラム全てが持っている責任である」と述べていた。

Cosgrove氏も「マーケティング部門が作ったレポートを見てみたら、連邦政府の方針と違う結果になっている！ということがあった。でも、我々はそれでもいいと思っている。地域の人たちと直接に話し合っ、我々に必要なことをしてきたのだから。直接的な対話がとても大切だと考えている。ただし、「ニーズを遠慮なく伝えて欲しい、2年、5年、10年先を見据えた上で」と言っている。なぜなら、コースを設置し、卒業生を送り出すまでにタイムラグが発生するから」と述べた。カリキュラムを作る際に、パートナー企業など、地域社会の関係者が加わった形でワークショップを行うこともあるという。カリキュラムのターゲットを適切に見定めたり、何かの変革が必要な際も、地域社会の意見は非常に参考になるという。

LCCにはCommunity Foundationという財団もあり、助成金や奨学金を出資している。財団は、地域の産業に貢献してくれそうな学生に奨学金を出すことに、特に関心を持っているという。

また、企業のみならず、中学校や高校との提携も行なっている。生徒が夏休みの間に通うことのできるプログラムを作ったり、体験クラスを設置したりするなど、Non-Traditionalではない学生へのアプローチも行なっていた。

### ③ 評価制度

評価制度については、WIOA関連プログラムなどの政府から報告を義務付けられている評価指標はあるし、何らかの認証プログラムについては、認証が得られた学生の割合なども評価指標となる。しかし、このような数値的な評価よりも、現実にどれほど地域社会から評価されているか、貢献できているかという点を、強く意識しているように感じられた。

「認証率など、公式の数値的な評価は政府から送られてくる。しかし、もっと非公式で重要な評価は、我々のプログラムを利用する人たちとの継続的なコミュニケーションなのである。もちろん、政治家が視察に来れば、カレッジ内を案内し、説明もする。でも、地域の経営者が「このコミュニティカレッジは我々のニーズにぴったりなんだ！」と言ってくれること以上に効果的なことはない」とCosgrove氏は述べた。また、諮問委員会にも外部の人材が多く加わっているため、そこでの議論が評価であるとも捉えていた。

評価制度の背景については、2年前にできた通称Gainful Employmentという連邦法からくる側面もあるという。つまり、プロバイダーである教育訓練機関が、その地域で必要とされている教育訓練を提供できているか、そして、その学生が卒業後に良い賃金を得ているか、という2つを連邦政府は重視しているようである。そこには、良い賃金を得て、大きな問題

となっている学生ローンをきちんと返しているか、ということも見ているだろうと Cosgrove 氏は述べた。

「連邦政府は彼らが支出した税金に見合う働きを、卒業生たちがしているのかということを追跡調査している。何人がその地域でその産業で働いているのか、そこの学生に助成金を与え続けるかどうかなど。連邦政府は台帳を見てそれを判断している。その結果を見て悪いようなら、LCC の助成金を減らそうということになる。残念ながら我々はその卒業生のデータにアクセスすることができないが」とのことである。

#### (4) コミュニティカレッジの事例 看護

続いて、筆者らは同じく LCC の、Healthcare and Human Service Division の副学部長である Linda Koning 氏、リクルート&アウトリーチコーディネイターの Loretta Osborn 氏にも、2017 年 9 月 15 日にインタビューを行った。こちらは、地域社会との関わりを中心に、話を聞いている。

##### ①Health and Human Service Division について

Health and Human Service Division には、保育士、コミュニティ保健教育、歯科衛生士、救急救命士、フィットネス、健康・保健、ヒューマンサービス、個人・チームスポーツ、運動学、看護、放射線技師、超音波検査技師、外科技師、マッサージ師の各専攻がある。

アメリカでは現在、学士号以上を持った看護師が多くを占めているが、コミュニティカレッジの準学士号プログラムで学ぶ利点はいくつもあるという。第一に、少人数教育であること。大学などでは 1 クラス 32 人ということも普通だが、ここでは 8 人なので、一人ひとりに目が行き届きやすい。第二に、学費が安いことである。第三に、それらの入学前コースがさまざまに用意されており、高校生のうちから単位を取得することも可能であることである。第四に、この地区にある大学や医療施設などと強い関係を作っていることである。第五に、学生の多様性である。高校を卒業したばかりの学生もいれば、さらに年上のセカンドキャリアとして来ている学生もいる。中には離婚や死別でシングルマザーになった人もいる。そういう多様な人たちと一緒に学べるのは、若い学生の人生経験としてとても良いことである。ほとんどは 18 歳から 30 歳だが、30 代、40 代の学生もいるとのことであった。

このプログラムディレクターは、いつも学生に「いつまでも学び続けなさい」と伝えている。そのためか、卒業生の 99% という高い割合で、のちに学士号を取得する。

このように、多様なバックグラウンドを持った学生が学んでいるため、キャリアパスも多様性をもたせているとのことである。働きながら通学する場合には、少しずつ単位取得をすることもできるし、急いで資格を取る必要がある人には、Advanced Standing と呼ばれるコ

ースもある。一つの資格を目指す学生たちの中にも、さまざまな要望があるため、それを見極め、それに応えられるようにしたいと Osborn 氏は述べていた。

## ②高校生向けのプログラム

LCC では、高校生とのパートナーシップを築くためのいくつかのプログラムを実施していた。その一つが、LPN (Licensed Practical Nurse : 実務看護師) プログラムである。これに参加すると、在学中に LPN の資格を取ることができ、そのまま卒業後は RN (Registered Nurse : 正看護師) のコースに入ることができるものである。あくまで RN になるための準備プログラムといった意味合いであり、たいていの場合は LPN になることが最終目標ではない。

このようなプログラムは ERISA 法のもとで行われており、11 年生と 12 年生が入学前プログラムに参加する。これにより、カレッジのそのコースの単位が取得できる。高校生であれば無料で参加でき、地区の予算から支払われる。LCC のある地区は特に医療技術系の準備プログラムが多く実施しているが、それは地域のヘルスケアワーカーの需要がとても高いため、育成を地区が養成をバックアップしているからである。

このようなプログラムに参加する生徒は、比較的収入の高い家庭の子が多く、必ずしも LCC に入学するわけではない。多くは、4 年制大学への進学を希望する。それでも、高校生向けのプログラムを実施する意味はどこにあるのだろうか。Koning 氏は次のように述べる。

「高校生向けプログラムには多くの可能性がある。とにかく、高校生にはたくさんの経験をしてほしい。大学へ進学する子にも、そのまま LPN になる子にも、機会は平等に開かれるべき。そして、私たちはたくさんの人や組織とパートナーシップを結ぶことができれば、それだけ新しいことができる可能性が広がるはず。看護助手のプログラムを高校生のうちに受講して、卒業後にすぐ看護助手になる人もいる。そして、大学へ進学したとしても、ここで経験したことは、医療分野を理解するいい経験になるのではないか」

高校生が参加するパターンは他にもある。スポーツ医学コースのある高校の生徒が、運動学やスポーツ医学などいくつかの単位をこのカレッジに取りに来ている。その何割かはミシガン大学や州立大学へ行ったとしても、何割かは理学療法士に興味を持つかもしれない。理学療法士は今、この地区で需要がある。また、高校生のための基礎救急救命講座もある。彼らは実際に救急車に乗るし、救急救命室にも入る。いずれ、高校卒業後に救急救命士の資格を取ること为目标としている。

以上のように、LCC では、目先のメリットにとらわれずに、広い視野で、地域に、そして医療に利益を還元するべく、高校生向けのプログラムを行っていた。

### ③地域の医療施設との関係

Health Services Division では、Technical Career Division のような、一つの施設からの要請でカスタマイズされたプログラムは実施していない。その代わりに、地域の医療関係者はプログラムの諮問委員会に入ってもらい、ニーズを把握することに勤めている。例えば、アメリカにはさまざまな医療アシスタント職が存在する。そのようなアシスタント職を作る際にも、諮問委員会が重要な役割を果たしていた。臨床現場を代表するメンバーたちは、その病院のニーズや、医療全体がどこへ向かおうとしているのかなどを教育現場に伝える。そうして新しいアシスタント職種を作る場合には、LCC がカリキュラム作りを任されるが、臨床現場も非常に協力的であるとのことであった。

また、ニーズの把握には、別の方法もある。実習生を送り出している施設には、必ず、現在どのようなニーズがあるのかという調査を実施していた。そして、放射線技師のプログラムでは、地域の病院の放射線技師の人に指導役になってもらい、実際にここで授業もしてもらっている。これらの中心となるのは、どの専攻にも置かれている、クリニカルコーディネーターという役職である。その人たちが非常に緊密にコミュニケーションを現場ととり、ニーズをカレッジに伝える。Koning 氏も、「私たちはニーズを受け入れようという姿勢を強く持っている。多くのことが、現場側からの要求によって起こっている。例えば、現場では現在、メディカルアシスタントという職種を強く求めている。そのために、メディカルアシスタントの徒弟訓練制度も作られた」と述べている。

現在、アメリカの医療職種は高学歴化が進んでおり、学士以上の学位を取得することが当然のように捉えられている。しかし、LCC のように、コミュニティカレッジには独自の意義が存在している。それは、地域社会に対して、非常に広い間口を開き、多様な背景を持つ地域住民の人生をバックアップするということ、そして、現場とのコミュニケーションを重視して現実に存在するニーズをきめ細やかに拾い上げ、実現できる人材を育てるということではないだろうか。高校生向けプログラムのように、広い視野のもとに構築されたプログラムと、目の前にあるニーズに迅速に対応するためのプログラム、双方が地域社会には必要である。それを実現できているのは、地域社会という最優先すべき利害関係人が明確であるためであろう。何をすれば、地域社会にとってプラスになるのか、そのことを柔軟に追求していることが伺われた。

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(<http://www.michigancc.net/contact/mcc.aspx>, 2018年1月3日アクセス)

## 第4章 まとめとインプリケーション

労働力革新・機会法(WIOA)のもとで連邦労働省が所掌する公的職業訓練は、「企業と労働者のニーズを満たすこと」「ワンストップセンターが求職者と雇用主双方を顧客としてサービスを提供し、絶え間ない改善を行うこと」「労働市場システムが地域経済を支援し、コミュニティと労働力開発において積極的な役割を果たす」という三点の目標をもつ。効果測定はこの目的を果たすために活用される。評価は、連邦政府による州政府、州政府による職業訓練プロバイダー（労働力投資委員会）という二本立てになっている。職業訓練受講者の追跡調査も行われるが、それらの結果は労働力革新・機会法がかかげる目的のために活用される。すなわちそれは、企業と労働者相方のニーズを満たすとともに、地域経済、地域コミュニティを支援するということである。このため、評価は素点だけでなく、利害関係者と調整(Negotiated)することによって行われるという特徴がある。また、評価結果は単年度のみで判断するのではなく、二年連続して目標値を達成できなかったときのみに予算が減額される仕組みとなっている。それでさえも、連邦政府による州政府の評価は機械的に行うわけではないことがインタビュー調査の結果で明らかになった。ここから得られるインプリケーションは、評価結果そのものよりも、なんのために職業訓練を行うのかという目標設定がもっとも重要であるということに尽きる。

アメリカの公的職業訓練は、連邦労働省のみならず、連邦教育省ほか複数の省庁がかかわる。その場合、それぞれの省庁によって目標とおくものが異なる。たとえば連邦教育省の場合、Perkins Actに基づき、中等教育と中等後教育を連結させることで職業意識のみならず、より高次の科学技術教育への進学を目指すよう促すという目的と連邦労働省が目指す雇用主と求職者へのサービスの提供を通じて地域経済と地域コミュニティを支援するという目的とが一義的には違うということにも現れている。ワンストップセンターは、そうした目的の違う複数の関係者の利害を調整する場であるかのように一見すると思われる。しかしながら、求職者と雇用主相方のニーズを満たすことと、連邦教育省が行う高次の科学技術の習得という二つの目標はどちらも地域経済と地域コミュニティを支援することにつながっていることに他ならない。つまり、職業訓練と教育という二つの分野をワンストップセンターの場でつなぎ合わせているということができるのである。それは、同様に共管で職業訓練を担う保健福祉省、内務省、農務省、環境保護省、国防総省、司法省、退役軍人省といった各省庁においても同様である。ここから得られるインプリケーションは、労働行政の立場から職業訓練を捉えるのではなく、その目標を達成するために、同様に職業訓練を担う省庁がそれぞれの所掌に基づいてモザイク様にパーツを埋め込みつつ分担することが、地域経済と地域コミュニティの支援を行うことにおいて有効であるということである。インタビュー調査で訪ねた

コミュニティカレッジも、地域における教育機関という主要な役割のみならず、中等教育と中等後教育およびさらなる高等教育機関とのつなぎ、地域コミュニティにおける看護師の育成、産業振興、企業間の情報共有、そして職業訓練という多用な役割を担っているようにみえながら、地域経済と地域コミュニティの支援という目標にこそ焦点がある。この目標は、労働力革新・機会法（WIOA）の前身の労働力投資法（WIA）においてもみられたものだが、2014年の改正でより色濃くなるとともに、省庁を超えて共有されてきている。

しかしながら、この目標にむけてすべてが円滑に機能しているわけではないということにもあわせて留意する必要がある。それは次の二点である。

第一に、連邦労働省の職業訓練予算は州政府が行っている職業訓練や運営するワンストップセンターで必要な予算を積み上げて算出されてはいないことから生じる問題があるということである。これは、連邦労働省の職業訓練予算の増減に応じて、各州の行う職業訓練予算が増減し、それに伴って、ワンストップセンターの事業費や職業訓練インストラクターの人員費も増減してしまうということを意味する。つまり、評価制度自体が厳格に運営されて、高い評価結果を受けたとしても、予算額が削減されるということがありえるのである。そのため、事業を実施するワンストップセンターは政治家に直接働きかけるロビー活動や民間寄付金財団を含み、連邦労働省以外の資金源を確保するための活動を行うことが求められる。

第二に、職業訓練の効果には景気変動の影響が少なからずあるということである。インタビュー調査においても、好景気で労働需給が逼迫している場合には目標を達成しやすくなる一方で、景気が悪く労働需要が少ない場合には職業訓練にかかわらず採用されにくいという声があった。また、インタビュー調査でおとずれたミシガン州のワンストップセンターでは、現在が好景気であるために、職歴や学歴、年齢を問わず求人があり、中小企業であっても採用後に企業が職業訓練機会を提供することを条件にしているということであった。この場合、職業訓練を受けた場合の効果は見かけ上高くなる。また、Jacobson (2009)が指摘するように、職業訓練を受ける労働者は、情報提供やカウンセリングでは就職先が見つからなかったというもともと就職が困難な労働者であるという可能性を排除することは難しい。

これらの問題点に対し、連邦労働省の職業訓練予算の増減が実態を反映しないかたちで起こることに対応するため、さらには、景気変動による職業訓練効果に対する影響を少しでも少なくするためにこそ、評価結果を素点ではなく交渉によって決める余地を残しているということもできるだろう。

# 資料編

1. パフォーマンスレポート

Statewide Performance Report						
PROGRAM	TITLE (select one):					
STATE: Title I Local Area: REPORTING PERIOD COVERED (Required for current and three preceding years.) From ( mm/dd/yyyy ) : To ( mm/dd/yyyy ) :	<input type="checkbox"/> Title I Adult <input type="checkbox"/> Title I Dislocated Worker <input type="checkbox"/> Title I Youth <input type="checkbox"/> Title I and Title III combined <input type="checkbox"/> Title II Adult Education <input type="checkbox"/> Title III Wagner-Peyser <input type="checkbox"/> Title IV Vocational Rehabilitation					
<b>SUMMARY INFORMATION</b>						
Participants Served (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)	Participants Exited (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)					
1	2					
Participants Served (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)	Funds Expended (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)					
5	3					
Cost Per Participant Served (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)	Cost Per Participant Served (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)					
7	4					
Percent training-related employment <sup>1</sup> : 9	Percent Admin Expended: 11					
<b>BY PARTICIPANT CHARACTERISTICS</b>						
Total Participants Served (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)	Total Participants Exited (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)	Employment Rate (Q2) <sup>2</sup> (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)	Employment Rate (Q4) <sup>2</sup> (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)	Median Earnings (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)	Credential Rate <sup>3</sup> (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)	Measurable Skill Gains <sup>3</sup> (Cohort Period: mm/dd/yyyy - mm/dd/yyyy)
12	13	Num	Rate	Earnings	Num	Rate
33		14	16	26	27	30
34		17	19			32
35						
36						
37						
38						
39						
40						
41						
42						
43						
44						
45						
46						
47						
48						
Sex		Target	Actual			
Female						
Male						
< 16						
16 - 18						
19 - 24						
25 - 44						
45 - 54						
55 - 59						
60+						
American Indian / Alaska Native						
Asian						
Black / African American						
Hispanic / Latino						
Native Hawaiian / Pacific Islander						
White						
More Than One Race						

BY EMPLOYMENT BARRIER <sup>4</sup>													
	Total Participants Served	Total Participants Exited	Target	Employment Rate (Q2) <sup>2</sup>		Employment Rate (Q4) <sup>2</sup>		Median Earnings		Credentialed Rate <sup>3</sup>		Measurable Skill Gains <sup>3</sup>	
				Num	Rate	Num	Rate	Earnings	Rate	Num	Rate	Num	Rate
<b>Total Statewide</b>	<a href="#">12</a>	<a href="#">13</a>	Actual	<a href="#">14</a>	<a href="#">16</a>	<a href="#">17</a>	<a href="#">19</a>	<a href="#">26</a>		<a href="#">27</a>	<a href="#">29</a>	<a href="#">30</a>	<a href="#">32</a>
Displaced Homemakers	<a href="#">49</a>												
English Language Learners, Low Levels of Literacy, Cultural Barriers	<a href="#">50</a>												
Exhausting TANF within 2 years (Part A Title IV of the Social Security Act)	<a href="#">51</a>												
Ex-offenders	<a href="#">52</a>												
Homeless Individuals / runaway youth	<a href="#">53</a>												
Long-term Unemployed (27 or more consecutive weeks)	<a href="#">54</a>												
Low-Income Individuals	<a href="#">55</a>												
Migrant and Seasonal Farmworkers	<a href="#">56</a>												
Individuals with Disabilities (incl. youth)	<a href="#">57</a>												
Single Parents (Incl. single pregnant women)	<a href="#">58</a>												
Youth in foster care or aged out of system	<a href="#">59</a>												

<sup>1</sup>Applies to Title I only.

<sup>2</sup>This indicator also includes those who entered into a training or education program for the Youth program.

<sup>3</sup>Credentialed Rate and Measurable Skill Gains do not apply to the Wagner-Peyser program.

<sup>4</sup>Barriers to Employment are determined at the point of entry into the program.

Numbers entered into cells in this template are the same as the corresponding "report item number" on the report specification document. Clicking on each hyperlink will take the user to the plain text language and technical specifications of each report item.

**Public Burden Statement (1205-ONEW)**

Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. Respondent's reply to these reporting requirements is mandatory (Workforce Innovation and Opportunity Act, Section 116). Public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate to the Office of Policy Development and Research ● U.S. Department of Labor ● Room N-5641 ● 200 Constitution Ave., NW, ● Washington, DC ● 20210. Do NOT send the completed application to this address.

2. 個人データ

OMB Control Number: 1205-0521 Expiration Date: 06-30-2019		ETA-9172														
プログラムの参加者の必要要件		プログラムの参加者の必要要件											Job Corps			
プログラムの参加者の必要要件	プログラムの参加者の必要要件	Reportable Individual <sup>1</sup>	Wagner-Peyser	WIOA Adults	WIOA Dislocated Workers	WIOA Youth	Dislocated Worker	TAA	National Farmworker Job Program (NFJP)	Indian and Native American Program (INAA)	Reentry Employment Opportunities (REO) (Adult)	Reentry Employment Opportunities (REO) (Youth)	YouthBuild	Jobs for Veterans <sup>2</sup> (JVSD)	HIB	
N/A																
<b>SECTION A.01 - 個人情報</b>																
100	特別な個人の情報者 (WIOA)	IN 9	Record a unique nine integer number for each record to support processing (No hyphens)	00000000												
101	特別な個人の情報者 (WIOA)	AN 12	Record the unique identification number assigned to the participant. At a minimum, this identifier for a person must be the same for each program entry and exit (the "period of participation") that a participant has during a program year so that a unique count of participants may be calculated for the program year. NOTE: For Titles I, II, and III, unless specifically directed in program guidance, this field cannot contain a social security number.	XXXXXXXXXXXX												
102	住所の州コード (WIOA)	AN 2	Record the 2-letter FIPS alpha code of the state of the primary domicile of the participant. For example, the State of Alabama would be represented as "AL". Primary domicile is that location established or claimed as the permanent residence or "home" of the participant.  If primary domicile is outside the United States, use the following numeric codes: 77 = All Other Countries 88 = Mexico 99 = Canada  For persons on active military duty, states should record the two-letter Air/Army Service Office (APO) or Fleet Post Office (FPO) as defined by the Military Postal Service Agency. AE (ZFPs 68xx) for Armed Forces Europe which includes Canada, Middle East, and Africa AP (ZFPs 982xx - 986xx) for Armed Forces Pacific AA (ZFPs 340xx) for Armed Forces (Central and South) Americas	XX												
103	住所の州コード	IN 3	Record the 3-digit FIPS Code of the County of the primary domicile of the participant. Primary domicile is that location established or claimed as the permanent residence or "home" of the participant.  If primary domicile is outside the United States, use the following codes: 777 = All Other Countries 888 = Mexico 999 = Canada	000												
104	住所のZIPコード	IN 5	Record the 5-digit zip code of the primary domicile of the participant. Primary domicile is that location established or claimed as the permanent residence or "home" of the participant.  If primary domicile is outside the United States, use the following codes: 77777 = All Other Countries 88888 = Mexico 99999 = Canada  For persons on active military duty, states should record the zip code associated with the APO or FPO as defined by the Military Postal Service Agency.	00000												



SECTION A.02 - 機会均等に關する情報												
200	生年月日 (WIOA)	DT 8	Record the participant's date of birth.	YYYYMMDD	R	R	R	R	R	R	R	R
201	性別 (WIOA)	IN 1	Record 1 if the participant indicates that he is male. Record 2 if the participant indicates that she is female. Record 9 if the participant did not self-identify their sex.	1 = Male 2 = Female 9 = Participant did not self-identify	R	R	R	R	R	R	R	R
202	持っている障害 (WIOA)	IN 1	Record 1 if the participant indicates that he/she has 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. Record 0 if the participant indicates that he/she does not have a disability that meets the definition. Record 9 if the participant did not self-identify.	1 = Yes 0 = No 9 = Participant did not self-identify	R	R	R	R	R	R	R	R
203	障害のカテゴリ	IN 9	For those participants where Individual With A Disability (WIOA) = 1: Record 1 if the impairment is primarily physical, due to a chronic health condition. Record 2 if the impairment is primarily physical, including mobility. Record 3 if, because of a mental illness, psychiatric disability, or emotional condition, the participant has serious difficulty concentrating, remembering, or making decisions. Record 4 if the participant is blind or has serious difficulty seeing. Record 5 if the participant is deaf or has serious difficulty hearing. Record 6 if the participant has a learning or intellectual disability. Record 7 if the participant does not wish to disclose his/her category of disability. Record 8 if the participant has no disability. Record 0 if that apply, if the participant has more than one impairment. For those participants where Individual With A Disability (WIOA) = 1: Record 1 if the participant has received services funded by the State Developmental Disabilities Agency (SDDA). Leave blank if this data element does not apply to this participant. Record 0 if the participant does not meet any of the conditions described above. Record 9 if the participant does not wish to disclose his/her category of disability. Record 1 if the participant has received services funded by a local or state mental health agency (LSMHA). Record 0 if the participant does not meet any of the conditions described above. Leave blank if this data element does not apply to this participant. For those participants where Individual With A Disability (WIOA) = 1: Record 1 if the participant has received services funded via a state Medicaid HCBS waiver. Record 0 if the participant does not meet any of the conditions described above. Leave blank if this data element does not apply to this participant.	1 = Physical/Chronic Health Condition 2 = Physical/Mobility Impairment 3 = Mental or Psychiatric Disability 4 = Vision-related disability 5 = Hearing-related disability 6 = Learning Disability 7 = Cognitive/Intellectual disability 8 = Participant did not disclose type of disability 9 = No disability	R	R	R	R	R	R	R	R
204	障害のある個人のSDDA サービス	IN 1	For those participants where Individual With A Disability (WIOA) = 1: Record 1 if the participant has received services funded by the State Developmental Disabilities Agency (SDDA). Leave blank if this data element does not apply to this participant. Record 0 if the participant does not meet any of the conditions described above.	1 = SDDA 0 = No	R	R	R	R	R	R	R	R
205	障害のある個人のLSMHAサービス	IN 1	For those participants where Individual With A Disability (WIOA) = 1: Record 1 if the participant has received services funded by a local or state mental health agency (LSMHA). Record 0 if the participant does not meet any of the conditions described above. Leave blank if this data element does not apply to this participant.	1 = LSMHA 0 = No	R	R	R	R	R	R	R	R
206	障害のある個人のマイグレイド Home & Community Based Services	IN 1	For those participants where Individual With A Disability (WIOA) = 1: Record 1 if the participant has received services funded via a state Medicaid HCBS waiver. Record 0 if the participant does not meet any of the conditions described above. Leave blank if this data element does not apply to this participant.	1 = HCBS waiver 0 = No	R	R	R	R	R	R	R	R
207	障害のある個人の労働環境	IN 1	For those participants where Individual With A Disability (WIOA) = 1: Record 1 if the participant is working in competitive, integrated employment (CIE). Record 2 if the participant is working in supported employment (SE). Record 3 if the participant is working in group supported employment (i.e., work crews, enclaves, etc.). Record 4 if the participant is working in a sheltered workshop (i.e., center- or facility-based employment). Record 5 if the participant is working in two or more of the above listed settings. Record 0 if the participant is not currently employed. Leave blank if this data element does not apply to this participant.	1 = Competitive Integrated Employment 2 = Supported Employment 3 = Group Supported Employment 4 = Sheltered Workshop 5 = Combination of two or more settings 0 = Not Employed	R	R	R	R	R	R	R	R
208	マイグレイドサービスを受けている障害のある個人のタイプ	IN 1	For those participants where Individual With A Disability (WIOA) = 1: Record 1 if the participant received discovery services (CES) to obtain most relevant employment opportunities. Record 2 if the participant received discovery assessment services. Record 3 if the participant developed a customized employment search plan. Record 4 if the participant received secure employment as a result of receiving customized employment services and received extended support services. Record 0 if the participant does not meet the condition described above. Leave blank if this data element does not apply to this participant.	1 = Discovery assessment services 2 = Received a customized employment search plan 3 = Employer negotiation services 4 = Secured employment as a result of receiving customized employment services and received extended support services 0 = No CES services	R	R	R	R	R	R	R	R







403	参加直前の雇用の職業コード	AN 8	Record the 8-digit occupational code that best describes the participant's employment using the O*Net Version 4.0 (or later versions) classification system. This information is based on the most recent_job held before participating in the program. Leave blank if occupational code is not available or not known, or the data element does not apply.  Additional Notes: This information must be based on the most recent job held prior to participating in the program and only applies to adults, dislocated workers and out of school youth. If all 8 digits of the occupational skills code are not collected, record as many digits as are available. If the participant had multiple jobs, use the where the participant had the highest gross wage.	00000000																
404	参加の1四半期前の雇用の職業コード	IN 6	Record the 4 to 6-digit industry code that best describes the participant's employment using the North American Industrial Classification System (NAICS). If the participant had multiple jobs, then the NAICS associated with the highest gross wage should be reported. Enter 999999 if Wages 1st Quarter Prior to Participation Quarter exist and NAICS Code is not known. Leave blank if this data element does not apply to the person.	000000																
405	参加の2四半期前の雇用の職業コード	IN 6	Record the 4 to 6-digit industry code that best describes the participant's employment using the North American Industrial Classification System (NAICS). If the participant had multiple jobs, then the NAICS associated with the highest gross wage should be reported. Enter 999999 if Wages 2nd Quarter Prior to Participation Quarter exist and NAICS Code is not known. Leave blank if this data element does not apply to the person.	000000																
406	参加の3四半期前の雇用の職業コード	IN 6	Record the 4 to 6-digit industry code that best describes the participant's employment using the North American Industrial Classification System (NAICS). If the participant had multiple jobs, then the NAICS associated with the highest gross wage should be reported. Enter 999999 if Wages 3rd Quarter Prior to Participation Quarter exist and NAICS Code is not known. Leave blank if this data element does not apply to the person.	000000																
407	プログラムエントリー時の最終学歴 (WGA)	IN 2	Use the appropriate code to record the highest school grade completed by the participant at program entry. Record 1 if the participant completed one or more years of school grades beyond high school. Record 0 if no school grades were completed.																	
408	プログラムエントリー時の最も高い水準の学歴	IN 1	Use the appropriate code to record the highest educational level completed by the participant at program entry. Record 1 if the participant attained a secondary school diploma. Record 2 if the participant has a disability and attained a certificate of attendance/completion as a result of successfully completing an Individualized Education Program (IEP). Record 3 if the participant completed one or more years of postsecondary education. Record 4 if the participant attained a postsecondary certification, license, or educational certificate (non-degree). Record 5 if the participant attained an Associate's degree. Record 6 if the participant attained a Bachelor's degree. Record 7 if the participant attained a degree beyond a Bachelor's degree. Record 8 if no educational level was completed.																	



SECTION A.06 - 公的扶助に関する情報												
600	Temporary Assistance to Needy Families (TANF)	IN 1	Record 1 If the participant is listed on the welfare grant or has received cash assistance or other support services from the TANF agency in the last six months prior to participation in the program. Record 0 If the participant does not meet the condition described above. Leave blank if this data element does not apply to the participant.	1 = Yes 0 = No								
601	2年以内(TANFを 使い果たしたか (Part A Title IV of the Social Security Act) at Program Entry (WIOA)	IN 1	Record 1 If the participant, at program entry, is within 2 years of exhausting lifetime eligibility under Part A of Title IV of the Social Security Act (42 USC 601 et seq.), regardless of whether receiving these benefits at program entry. Record 0 If the participant does not meet the condition described above. Record 9 If the data element does not apply to the participant (i.e., the participant has never received TANF, or if the participant has already exhausted lifetime TANF eligibility).	1 = Yes 0 = No 9 = Not Applicable								
602	Supplemental Security Income (SSI) / Supplemental Security Disability Insurance (SSDI)	IN 1	Record 1 If the participant is receiving or has received SSI under Title XVI of the Social Security Act in the last six months prior to participation in the program. Record 2 If the participant is receiving or has received SSDI benefit payments under Title XIX of the Social Security Act in the last six months prior to participation in the program. Record 3 If the participant is receiving or has received both SSI and SSDI in the last six months prior to participation in the program. Record 4 If the participant is receiving or has received SSI under Title XVI of the Social Security Act in the last six months prior to participation in the program and is a Ticket to Work Program Ticket Holder issued by the Social Security Administration. Record 5 If the participant is receiving or has received SSDI benefit payments under Title XIX of the Social Security Act in the last six months prior to participation in the program and is a Ticket to Work Program Ticket Holder issued by the Social Security Administration. Record 6 If the participant is receiving or has received both SSI and SSDI in the last six months prior to participation in the program and is a Ticket to Work Program Ticket holder issued by the Social Security Administration. Record 0 If the participant does not meet any of the conditions described above.	1 = SSI 2 = SSDI 3 = Both SSI and SSDI 4 = SSI and Ticket Holder 5 = SSDI and Ticket Holder 6 = Both SSI and SSDI and A Ticket Holder 0 = No								
603	Supplemental Nutrition Assistance Program (SNAP)	IN 1	Record 1 If the participant is receiving assistance through the Supplemental Nutrition Assistance Program (SNAP) under the Food and Nutrition Act of 2008 (7 USC 2011 et seq.) Record 0 If the participant does not meet the above criteria.	1 = Yes 0 = No								
604	その他の公的扶助受給者	IN 1	Record 1 If the participant is a person who is receiving or has received cash assistance or other support services from one of the following sources in the last six months prior to participation in the program: the General Assistance (GA) (State/local government), or Refugee Cash Assistance (RCA). Do not include foster child payments. Record 0 If the participant does not meet the above criteria. Leave blank if this data element does not apply to the participant.	1 = Yes 0 = No								
SECTION A.06 - 養育者に関する追加的信息												
701	妊娠中の、あるいは子供のいる 若者	IN 1	Record 1 If the participant is a youth who is pregnant, or an individual (male or female) who is pregnant and has a child or children dependent under age 18. Record 0 If the participant does not meet the conditions described above. Leave blank if the data is not available.	1 = Yes 0 = No								
702	追加的な援助が必要な若者	IN 1	Record 1 If the participant is an out-of-school youth who requires additional assistance to enter or complete an educational program, or to secure and hold employment or an in-school youth who requires additional assistance to complete an educational program or to secure or hold employment as defined by State or local policy. If the State Board defines a policy, the policy must be included in the State Plan. Record 0 If the participant does not meet the conditions described above. Leave blank if this data element does not apply to the participant.	1 = Yes 0 = No								
704	プログラムのエンタープライズに 雇われていないか	IN 1	Record 1 If the participant, at program entry, is a person who is currently in foster care or has aged out of the foster care system. Record 0 If the participant does not meet the conditions described above.	1 = Yes 0 = No								

SECTION A.07 -追加的な報告すべき特性												
		IN 1										
800	プログラムエントリー時にホームレスの参加者、子供、若者、あるいは家出中の若者	Record 1 If the participant, at program entry, is a person who: (a) Lacks a fixed, regular, and adequate nighttime residence; this includes a participant who: (i) is sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason; (ii) is living in a motel, hotel, trailer park, or campground due to a lack of alternative adequate accommodations; (iii) is living in an emergency or transitional shelter; (iv) is abandoned in a hospital; or (v) is awaiting foster care placement; (b) Has a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings, such as a car, park, abandoned building, bus or train station, airport, or camping ground; (c) Is a migratory child who in the preceding 36 months was required to move from one school district to another due to changes in the parent's or parent's spouse's normal placement, in agriculture, dairy, or fishing work, or in a seasonal or other type of migrant or itinerant occupation; or (d) Has another status that prevents the individual from obtaining a permanent legal residence without the permission of his or her family (i.e., runaway youth).  This definition does not include a participant imprisoned or detained under an Act of Congress or State law. A participant who may be sleeping in a temporary accommodation while away from home should not, as a result of that alone, be recorded as homeless. Record 0 If the participant does not meet the conditions described above.	1 = Yes 0 = No									
801	プログラムエントリー時に充実時であった者 (WGA)	Record 1 If the participant, at program entry, is a person who either (a) has been subject to any stage of the criminal justice process for committing a status offense or (b) has been subject to any stage of the criminal justice process for a conviction resulting from record of arrest or conviction. Record 0 If the participant does not meet any one of the conditions described above. Record 9 If the participant did not disclose.	1 = Yes 0 = No 9 = Did not disclose									
802	プログラムエントリー時に低所得であった者	Record 1 If the participant, at program entry, is a person who: (a) Receives, or in the 6 months prior to application to the program has received, or is a member of a family that is receiving or in the past 6 months prior to application to the program has received: (i) Assistance through the supplemental nutrition assistance program (SNAP) (ii) The Food and Nutrition Act of 2008 (7 USC 1631, et seq.) (iii) Assistance through the supplemental nutrition assistance program under part A of Title IV of the Social Security Act (42 USC 601 et seq.); (iv) Assistance through the supplemental security income program under Title XVI of the Social Security Act (42 USC 1381); or (v) State or local income-based public assistance. (b) Is in a family with total family income that does not exceed the higher of the poverty line or 70% of the lower living standard income level; (c) Is a youth who receives, or is eligible to receive a free or reduced price lunch under the Richard B. Russell National School Lunch Act (42 USC 1751, et seq.); (d) Is a foster child on behalf of whom State or local government payments are made; (e) Is a participant with a disability, whose own income is the poverty line but who is a member of a family whose income does not meet this requirement; (f) Is a homeless participant or a homeless child or youth or runaway youth (see Data Element #700); or (g) Is a youth living in a high-poverty area. Record 0 If the participant does not meet the criteria presented above.	1 = Yes 0 = No									
803	プログラムエントリー時に英語学習中であった者	Record 1 If the participant, at program entry, is a person who has limited ability in speaking, reading, writing or understanding the English language and also meets at least one of the following two conditions (a) his or her native language is a language other than English, or (b) he or she lives in a family or community where the primary language spoken is not English. Record 0 If the participant does not meet the conditions described above.	1 = Yes 0 = No									





















1216	重点の連邦政府による訓練に照会した日付(DVOP)	DT 8	Record the most recent date that a participant was referred by a DVOP staff person to a training program supported by the Federal Government, such as WIOA-funded projects, TAA, NAFTA, and Job Corps. This definition does include DVA-OJT. Leave blank if the participant did not receive a referral to Federal training or this data element does not apply to the participant.	YYYYMMDD																	R
1217	重点の連邦政府による仕事に照会した日付(DVOP)	DT 8	Record the most recent date that the participant was referred by a DVOP staff person to a job opening filed with a placement office by a department or agency of the Federal government or other entity under the jurisdiction of the U.S. Office of Personnel Management. Leave blank if the participant did not receive a referral to a Federal job or this data element does not apply to the participant.	YYYYMMDD																	R
1218	重点の連邦政府が請け負った仕事に照会した日付(DVOP)	DT 8	Record the most recent date that the participant who is a disabled veteran, campaign veteran, or recently separated veteran was referred by a DVOP staff person to a job opening listed by an employer identified as a Federal contractor. Leave blank if the participant did not receive a referral to a job opening listed by an employer identified as a Federal contractor or this data element does not apply to the participant.	YYYYMMDD																	R
1219	重点のその他のスタッフが補助するベータンクキャリアサービスの日付(DVOP)	DT 8	Record the most recent date on which the individual received other services requiring a significant expenditure of DVOP staff time. These additional career services may include, but are not limited to: (a) reemployment services; (b) Federal bonding program; (c) job development contacts; (d) referrals to educational services; and (e) tax credit eligibility determination. Leave blank if the participant did not receive any other career services with significant staff involvement.	YYYYMMDD																	R
1220	重点のキャリアガイダンスを受けた日付(DVOP)	DT 8	Record the most recent date that a participant received career guidance services, which includes the provision of information, materials, suggestions, or advice by DVOP staff intended to assist the job seeker in making occupation or career decisions. Leave blank if the participant did not receive a career guidance service.	YYYYMMDD																	R
1221	重点の連邦政府による仕事に照会した日付(DVOP)	DT 8	Indicate the most recent date a job seeker entered into a job filed with a placement office by a department or agency or other entity under the jurisdiction of the U.S. Office of Personnel Management (DVOP). Leave blank if the participant did not begin a Federal job.	YYYYMMDD																	R
1222	重点の連邦政府が請け負った仕事に入職した日付(DVOP)	DT 8	Indicate the most recent date a job seeker who is either a special disabled veteran, campaign veteran, or recently separated veteran entered into a Federal Contractor Job (DVOP). Leave blank if the participant did not begin working in a Federal Contractor Job.	YYYYMMDD																	R
<b>SECTION 0.04 - 教育訓練サービス</b>																					
1300	受けた教育訓練(WIOA)	IN 1	Record 1 if the participant received training services. Record 0 if the participant did not receive training services.	I = Yes 0 = No																	R
1301	利用可能な教育訓練プログラム名前-職業訓練サービス#1(WIOA)	AN 75	Enter the name of the eligible training provider where the participant received training	XXXXXXXXXXXX																	R
1302	教育訓練が始まった日付#1(WIOA)	DT 8	Record the date on which the participant's first training service actually began. Leave blank if the participant did not receive a first training service or this data element does not apply to the participant.	YYYYMMDD																	R











SECTION 0.08 - その他の関連する補助やサポートサービス (成人向け)											
1500	支払いに關する必要な物を 受けた者	IN 1	Record 1 if the participant received needs related payments (WIOA section 134(d)(3)) for being the participant to participate in approved training funded under WIOA Title IB. Record 0 if the participant did not receive any needs-related payments as described above. Leave blank if this data element does not apply to the participant.	1 = Yes 0 = No							
1501	直近の迅速な対応サービスを受 けた日付	DT 8	Record the most recent date on which the participant received a rapid response service authorized under WIOA section 134(a)(2)(A). Rapid response encompasses the activities necessary to plan and deliver services to enable dislocated workers to transition to new employment as quickly as possible, following either a permanent closure or mass layoff, or a natural or other disaster resulting in a mass job dislocation. Leave blank if the participant did not receive rapid response services or this data element does not apply to the participant.	YYYYMMDD			R				
1503	直近のフォローアップサービス を受けた日付	DT 8	Record the most recent date on which the participant received follow-up services, which may include counseling in the workplace. Leave blank if the participant did not receive this service or if it does not apply to the participant. Note that follow-up services do not change the date of exit for performance purposes.	YYYYMMDD			R	R			
1504	教育訓練の質的な期間	IN 1	Record 1 if the participant received a subsistence allowance while in training. Record 0 if participant did not receive a subsistence allowance. Leave blank if this data element does not apply to the participant.	1 = Yes 0 = No					R		
1505	求職許可認定 (TAA)	IN 2	Record the total number of job search allowances paid to the participant in the current quarter.	00						R	
1506	直近の半期の求職許可コスト (TAA)	DE 72	Record 0 if the participant did not receive a job search allowance in the quarter. Leave blank if the data element does not apply to the participant.	00000000.00							R
1507	求職許可コスト総計 (TAA)	DE 72	Record the cumulative total dollar amount of job search costs paid for the participant. This field may be updated for each quarterly submission. Leave blank if this data element does not apply to the participant or if the individual is not a TAA participant.	00000000.00							R
1508	再配置許可日の認定の日付(TAA)	DT 8	Record the date that the TAA Relocation Allowance was approved. Leave blank if the participant did not have a TAA Relocation Allowance approved or this data element does not apply to the participant.	YYYYMMDD							R
1509	直近の半期の再配置許可日の コスト(TAA)	IN 1	Record 1 if the participant received a relocation allowance in the current report quarter. Record 0 if the participant did not receive a Relocation Allowance. Leave blank if the individual is not a participant.	1 = Yes 0 = No							R
1510	再配置許可日コスト総計(TAA)	DE 72	Record the total dollar amount of relocation costs paid to relocate the participant including the lump sum payment. Leave blank if this data element does not apply to the participant or if the individual is not a TAA participant.	00000000.00							R
1511	最初の基本TRA支払いを受けた 日付	DT 8	Record the date on which the participant received their first Basic TRA payment. Leave blank if the participant did not receive a Basic TRA Payment or if the individual is not a TAA participant.	YYYYMMDD							R
1512	この四半期の連単位での 支払い-基本TRA	IN 2	Record the total number of weeks of Basic TRA paid in the current quarter. Leave blank if the individual is not a TAA participant.	00							R
1513	連単位での支払い累積の総計- 基本TRA	IN 2	Record the total number of weeks of Basic TRA paid to the individual. Record 0 if this data element does not apply to the participant. Leave blank if the individual is not a TAA participant.	00							R
1514	直近四半期での支払額- 基本TRA	DE 72	Record the dollar amount of Basic TRA paid in the current report quarter. Record 0 if this data element does not apply to the participant. Leave blank if the individual is not a TAA participant.	00000000.00							R
1515	支払総計-基本TRA	DE 72	Record the total dollar amount of Basic TRA paid to the individual. Record 0 if this data element does not apply to the participant. Leave blank if the individual is not a TAA participant.	00000000.00							R









SECTION D.02 - 賃金配賦の字一												
1700	参加期四半期の賃金	DE 8.2	Record total earnings from wage records for the third quarter prior to the quarter of participation. Leave blank if data element does not apply to the participant.	0000000.00								R
1701	参加期2四半期の賃金	DE 8.2	Record total earnings from wage records for the second quarter prior to the quarter of participation. Leave blank if data element does not apply to the participant.	0000000.00								R
1702	参加期四半期の賃金	DE 8.2	Record total earnings from wage records for the first quarter prior to the quarter of participation. Leave blank if data element does not apply to the participant.	0000000.00								R
1703	終了後第一四半期の賃金 (WICA)	DE 8.2	Record total earnings for the first quarter after the quarter of exit. Record 999999.99 if data is not yet available for this item. Leave blank if data element does not apply to the participant.	0000000.00							R	R
1704	終了後第二四半期の賃金 (WICA)	DE 8.2	Record total earnings for the second quarter after the quarter of exit. Record 999999.99 if data is not yet available for this item. Leave blank if data element does not apply to the participant.	0000000.00							R	R
1705	終了後第三四半期の賃金 (WICA)	DE 8.2	Record total earnings for the third quarter after the quarter of exit. Record 999999.99 if data is not yet available for this item. Leave blank if data element does not apply to the participant.	0000000.00							R	R
1706	終了後第四四半期の賃金 (WICA)	DE 8.2	Record total earnings for the fourth quarter after the quarter of exit. Record 999999.99 if data is not yet available for this item. Leave blank if data element does not apply to the participant.	0000000.00							R	R
SECTION D.03 - 教育と資格に関するデータ												
1800	認定された資格のタイプ (WICA)	IN 1	Use the appropriate code to record the type of recognized diploma, degree, or a credential consisting of an industry-recognized certificate or certification, a certificate of completion of a Registered Apprenticeship, a license recognized by the State involved or Federal Government, or an associate, baccalaureate or masters' degree attained by the participant, who received education or training services. Record 0 if the participant received education or training services, but did not attain a recognized diploma, degree, license or certificate. Leave blank if data element does not apply to the participant.  NOTE: Diplomas, degrees, licenses or certificates must be attained either during participation or within one year of exit. This data element applies to both the Credential Rate indicator and the Measurable Skills Gain indicator for all programs.  Record the date on which the participant attained a recognized credential, or if this data element does not apply.	1 = Secondary School Diploma /or equivalency 2 = AA or AS Diploma/Degree 3 = BA or BS Diploma/Degree 4 = Graduate/Post-Graduate Certificate 5 = Other Recognized Certificate 6 = Occupational Certificate 7 = Occupational Diploma, Degree, or Certificate 8 = Other Recognized Diploma, Degree, or Certificate 9 = No recognized credential								R
1801	資格認定を達成した日付 (WICA)	DT 8	Record the date on which the participant attained a recognized credential. Leave blank if the participant did not attain a second recognized credential, or if this data element does not apply.	YYYYMMDD								R
1802	認定された資格のタイプ#2 (WICA)	IN 1	Use the appropriate code to record the type of recognized diploma, degree, or a credential consisting of an industry-recognized certificate or certification, a certificate of completion of a Registered Apprenticeship, a license recognized by the State involved or Federal Government, or an associate, baccalaureate or masters' degree attained by the participant, who received education or training services. Record 0 if the participant received education or training services, but did not attain a recognized diploma, degree, license or certificate. Leave blank if data element does not apply to the participant.  NOTE: Diplomas, degrees, licenses or certificates must be attained either during participation or within one year of exit. This data element applies to both the Credential Rate indicator and the Measurable Skills Gain indicator for all DOL programs.  Record the date on which the participant attained a second recognized credential, or if this data element does not apply.	1 = Secondary School Diploma /or equivalency 2 = AA or AS Diploma/Degree 3 = BA or BS Diploma/Degree 4 = Graduate/Post-Graduate Certificate 5 = Other Recognized Certificate 6 = Occupational Certificate 7 = Occupational Diploma, Degree, or Certificate 8 = Other Recognized Diploma, Degree, or Certificate 9 = No recognized credential								R
1803	資格認定を達成した日付#2 (WICA)	DT 8	Record the date on which the participant attained a second recognized credential, or if this data element does not apply.	YYYYMMDD								R

1804	認定された資格のタイプの#3	IN 1	Use the appropriate code to record the type of recognized diploma, degree or a credential consisting of an industry-recognized certificate or certification, a certificate of completion of a Registered Apprenticeship, a license recognized by the State involved or Federal Government, or an associate, baccalaureate or masters' degree attained by the participant, who received education or training services. Record 0 if the participant received education or training services, but did not attain a recognized diploma, degree, license or certificate. Leave blank if this data element does not apply to the participant. NOTE: Diplomas, degrees, licenses or certificates must be attained either during participation or within one year of exit. This data element applies to both the Credential Rate indicator and the Measurable Skills Gain indicator for all DOL. Record the date on which the participant attained a third recognized credential. Leave blank if the participant did not attain a third recognized credential, or if this data element does not apply.	1 = Secondary School Diploma/ or equivalency 2 = AA or AS Diploma/Degree 3 = BA or BS Diploma/Degree 4 = Graduate/Post Graduate 5 = Occupational License 6 = Occupational Certificate 7 = Occupational Certification 8 = Other Recognized Diploma, Degree, or Certificate 9 = Not recognized credential	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R
1805	資格認定を達成した日付#3	DT 8		YYYYMMDD	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R
1806	最近の測定できるスキル獲得の日付/教育機関レベル(EFL) 日付/教育機関レベル(EFL)	DT 8	Record the most recent date the participant who received instruction below the postsecondary education level achieved at least one EFL. EFL gain may be documented in one of three ways: 1) by comparing a participant's initial EFL as measured by a pre-test with the participant's EFL as measured by a participant's post-test; or 2) for States that offer secondary school programs that lead to a secondary school diploma or its recognized equivalent, an EFL gain may be measured through the awarding of credits or Carnegie units; or 3) States may report an EFL gain for participants who exit the program and enroll in postsecondary education or training during the program year. Leave blank if this data element does not apply to the participant.	YYYYMMDD	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R
1807	最近の測定できるスキル獲得の日付/中等後教育の成績証明書/報告カード(WIDA)	DT 8	Record the most recent date of the participant's transcript or report card for postsecondary education who complete a minimum of 12 hours per semester, or for part-time students a total of at least 12 credit hours over the course of two completed consecutive semesters, during the program year, that shows a participant is meeting the State unit's academic standards. Leave blank if this data element does not apply to the participant.	YYYYMMDD	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R
1808	最近の測定できるスキル獲得の日付/中等後教育の成績証明書/報告カード(WIDA)	DT 8	Record the most recent date of the participant's transcript or report card for secondary education for one semester showing that the participant is meeting the State unit's academic standards. Leave blank if this data element does not apply to the participant.	YYYYMMDD	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R
1809	最近の測定できるスキル獲得の日付/教育訓練マイルストーン(WIDA)	DT 8	Record the most recent date that the participant had a satisfactory or better progress report towards established milestones from an employer/training provider who is providing training (e.g., completion of on-the-job training (OJT), completion of one year of a registered apprenticeship program, etc.). Leave blank if this data element does not apply to the participant.	YYYYMMDD	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R
1810	最近の測定できるスキル獲得の日付/スキル向上(WIDA)	DT 8	Record the most recent date the participant successfully completed an exam that is required for a particular occupation, or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks such as knowledge-based exams. Leave blank if this data element does not apply to the participant.	YYYYMMDD	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R
1811	プログラムの参加中に中等後教育の認定あるいは習得のための教育訓練プログラムの入学した日付	DT 8	Record the date the participant was enrolled during program participation in an education or training program that leads to a recognized postsecondary credential or employment as defined by the core program in which the participant participates. States may use this coding value if the participant was either already enrolled in education or training at the time of program entry, or became enrolled in education or training at any point while participating in the program. If the participant was enrolled in postsecondary education at program entry, the date in this field should be the date of Program Entry. This includes, but is not limited to, participation in Job Corps or YouthBuild or Adult Education or secondary education programs. Leave blank if the data element does not apply to the participant. NOTE: This data element applies to the Measurable Skill Gain Indicator, and specifically will be utilized to calculate the denominator. It encompasses all education and training program enrollment.	YYYYMMDD	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R







2112	教育訓練活動のための 教育訓練サービスの最初の タイプ #2	IN 1	Use the appropriate code to indicate the primary type of training being provided to the participant during their second training service. Leave blank if the participant is not enrolled in a Primary Type of Training Service for Training Activity #2.	1 = On-the-Job Training 2 = Classroom Occupational Training 3 = Contextualized Learning 4 = Distance Learning 5 = Customized Learning 6 = Incumbent Worker Training 7 = Other Occupational Skills Training 8 = Registered Apprenticeship 9 = No training																R	
2113	教育訓練活動のための 教育訓練サービスの第二の タイプ #2	IN 1	Use the appropriate code to indicate the secondary type of training being provided to the participant during their second training service, if applicable. Leave blank if the participant is not enrolled in a Secondary Type of Education/Job Training Activity #2.	1 = On-the-Job Training 2 = Classroom Occupational Training 3 = Contextualized Learning 4 = Distance Learning 5 = Customized Learning 6 = Incumbent Worker Training 7 = Other Occupational Skills Training 8 = Registered Apprenticeship 9 = No training																R	
2114	教育訓練活動のための 教育訓練サービスの第三の タイプ #2	IN 1	Use the appropriate code to indicate the tertiary type of training being provided to the participant during their second training service, if applicable. Record 0 if the above condition does not apply to the participant.	1 = On-the-Job Training 2 = Classroom Occupational Training 3 = Contextualized Learning 4 = Distance Learning 5 = Customized Learning 6 = Incumbent Worker Training 7 = Other Occupational Skills Training 8 = Registered Apprenticeship 9 = No training																R	
2115	教育訓練活動のための 教育訓練サービスの第四の タイプ #3	IN 1	Use the appropriate code to indicate the primary type of training being provided to the participant during their third training service. Leave blank if the participant is not enrolled in a Primary Type of Training Service for Training Activity #3.	1 = On-the-Job Training 2 = Classroom Occupational Training 3 = Contextualized Learning 4 = Distance Learning 5 = Customized Learning 6 = Incumbent Worker Training 7 = Other Occupational Skills Training 8 = Registered Apprenticeship 9 = No training																R	
2116	教育訓練活動のための 教育訓練サービスの第三の タイプ #3	IN 1	Use the appropriate code to indicate the secondary type of training being provided to the participant during their third training service, if applicable. Leave blank if the participant is not enrolled in a Secondary Type of Training Service for Training Activity #3.	1 = On-the-Job Training 2 = Classroom Occupational Training 3 = Contextualized Learning 4 = Distance Learning 5 = Customized Learning 6 = Incumbent Worker Training 7 = Other Occupational Skills Training 8 = Registered Apprenticeship 9 = No training																R	
2117	教育訓練活動のための 教育訓練サービスの第三の タイプ #3	IN 1	Use the appropriate code to indicate the tertiary type of training being provided to the participant during their third training service, if applicable. Leave blank if the participant is not enrolled in a Tertiary Type of Training Service for Training Activity #3.	1 = On-the-Job Training 2 = Classroom Occupational Training 3 = Contextualized Learning 4 = Distance Learning 5 = Customized Learning 6 = Incumbent Worker Training 7 = Other Occupational Skills Training 8 = Registered Apprenticeship 9 = No training																R	
2118	雇用に向けた日付 (失業者の返戻)	DT 8	Record the date of employment (when the participant first began a job). This data element captures employment outcomes for unemployed and long-term unemployed participants that found employment, and unemployed participants that entered a new position, employment, or training service. This data element includes participants at any point after they receive their first grant-funded service. This includes participants that are not enrolled in training but enter employment after receiving services; participants that enter employment while enrolled in a training program; or participants that found employment after completing a training program. Leave blank if the participant has not received a job.	YYYYMMDD																	R



SECTION E 03 - 全国職業訓練者職業プログラム (NFJP)										
2200	雇用された者: 先業者保険でカバーされた仕事	IN 1	Record 1 If the participant was placed into unsubsidized employment that is covered by Unemployment Insurance. Record 0 If the participant was placed into unsubsidized employment that is not covered by Unemployment Insurance. Leave blank if data element does not apply to the participant. Record 00 If the participant was not placed into unsubsidized employment. Leave blank if data element does not apply to the participant.						R	1 = Yes 0 = No
2201	雇用された者: 雇いた仕事の州のFIPSコード	IN 2	Record the 2-digit FIPS code of the state where the job is located. Leave blank if data element does not apply to the participant.						R	XX
2202	雇用された者: 利用される/受け取った福利厚生	IN 1	Record 1 If the participant was placed into unsubsidized employment where the employer makes available (or will make available following the completion of a probationary period) to the participant (whether or not the participant accepts) the following benefits: health insurance, sick leave, vacation, paid time off, workers' compensation, including health insurance benefits, holiday or vacation pay, sick leave, or a pension plan (not including social security). Record 0 If the participant was placed into unsubsidized employment where the employer does not make available fringe benefits. Leave blank if data element does not apply to the participant. SPECIAL NOTE: For participants holding multiple jobs, this item should be recorded as 1 = Yes if any job provides fringe benefits.						R	1 = Yes 0 = No
2203	雇用された者: その時の総	DE 82	Record the hourly wage at placement. Hourly wage includes any bonuses, tips, gratuities, commissions, and overtime pay earned. Record 0000 If the participant was not placed into unsubsidized employment. SPECIAL NOTE: Decimal point in entry must be explicit. Leave blank if data element does not apply to the participant.						R	00000000.00
2204	雇用された者: 通勤のための労働時間	IN 2	Record the usual number of hours of work scheduled per week including overtime. Record 00 If the participant was not placed into unsubsidized employment. Leave blank if data element does not apply to the participant.						R	00
2205	雇用された者: 自営業	IN 1	Record 1 If the participant was self-employed. Self-employment includes self-direction work in which goods or services produced pay or obtained by the participant are sold or used for sale. Record 0 If the participant was not self-employed. Leave blank if data element does not apply to the participant.						R	1 = Yes 0 = No
2206	雇用された者: 軍隊への入隊	IN 1	Record 1 If the participant joined the Army, Navy, Air Force, Marines or Coast Guard, or entered into active duty from Reserve or National Guard units in cases of unplanned military buildup. Record 0 If the participant did not enter the military services. Leave blank if data element does not apply to the participant.						R	1 = Yes 0 = No
2207	仕事に就いた者: 事前修業訓練あるいは登録修業訓練プログラム	IN 1	Record 1 If the participant entered into a Pre-apprenticeship program. Record 2 If the participant entered into a Registered Apprenticeship program. The program must be registered with DOL Office of Apprenticeship (OA) or a federally-recognized State Apprenticeship Agency (SAA). Record 0 If the participant did not enter a Pre- or Registered Apprenticeship program. Leave blank if data element does not apply to the participant.						R	1 = Yes, Pre-Apprenticeship 2 = Yes, Registered Apprenticeship
2208	終了のカテゴリ	IN 1	Record 1 If the participant received and/or completed any job-related career services, training, or other assistance while in unsubsidized employment, without having received job-related career services, or training services. Record 2 If the participant received staff-assisted non-job-related services, without having received job-related career services, or training services. Record 3 If the participant received staff-assisted non-job-related services, without having received job-related career services, or training services. Record 4 If the participant did not complete the program and exited for other reasons. NOTE: For code value 2, participants are considered a "reportable participant" and not included in performance calculations for the indicators of performance. For code						R	1 = Employment and Training Exited 2 = Job-related assistance services ONLY Exited 3 = Staff-assisted related assistance services ONLY Exited 4 = Other Reasons for Exit

2209	関係する援助・移動	IN 1	Record 1 if the participant received transportation (public or private) assistance or cash paid to participants or members of their families for the purpose of transportation. Record 0 if the participant did not receive any transportation assistance. Record 1 if the participant received transportation assistance that is not limited to preventive and clinical medical treatment, voluntary family planning, and necessary psychiatric, psychological and prosthetic services. Record 0 if the participant did not receive any health care assistance.	1 = Yes 0 = No	R															
2210	関連する援助・医療	IN 1	Record 1 if the participant received related assistance services which help participants meet their family care needs during program participation. Family care ranges from adult to child care inside or outside the home to after-school programs (inside or outside the home). It usually includes supervision and shelter. Record 0 if the participant did not receive any family care assistance.	1 = Yes 0 = No	R															
2211	家族のケア(子供のケアを含む)	IN 1	Record 1 if the participant received related assistance services which help participants meet their family care needs during program participation. Family care ranges from adult to child care inside or outside the home to after-school programs (inside or outside the home). It usually includes supervision and shelter. Record 0 if the participant did not receive any family care assistance.	1 = Yes 0 = No	R															
2212	関連する援助・住居援助サービス	IN 1	Record 1 if the participant received temporary housing services as described in 20 CFR 685.300 Record 2 if the participant received permanent housing services as described in 20 CFR 685.300 Record 3 if the participant received both temporary housing services as described in 20 CFR 685.300 and permanent housing services as described in 20 CFR 685.300. Record 0 if the participant did not receive any housing related assistance.	1 = Temporary Housing Services 2= Permanent Housing Services 3- Both Temporary and Permanent Housing Services 0 = No	R															
2213	関連する援助・食事の援助	IN 1	Record 1 if the participant received related assistance services that includes the provision of food and other nutritional assistance (other than counseling) to eligible program participants and their dependents. Record 0 if the participant did not receive any nutritional assistance.	1 = Yes 0 = No	R															
2214	関連する援助・通訳・明訳サービス	IN 1	Record 1 if the participant received related assistance services which involves a bi-lingual agent who hears or reads the language of one party and speaks or writes another language for another party. One of the two parties will be a program participant. Record 0 if the participant did not receive any other related assistance services with significant staff involvement.	1 = Yes 0 = No	R															
2215	関連する援助・スタッフによる援助	IN 1	Record 1 if the participant received related assistance services with significant staff involvement. Record 0 if the participant did not receive any other related assistance services with significant staff involvement.	1 = Yes 0 = No	R															
2216	労働者安全訓練を受けた者	IN 1	Record 1 if the participant received any training that consists of instruction in any of the following: safety, health, hazardous waste, handling and use of toxic chemicals, proper use of protective clothing and devices, first aid, or other topics related to worker safety on the job site. Record 0 if the participant did not receive worker safety training.	1 = Yes 0 = No	R															
2217	167助成金による職業体験	IN 3	Record the actual total hours the individual received work experience under the section 167 grant. Work experience includes short-term or part-time work activity that provides an individual with the opportunity to acquire appropriate work habits and behaviors.	000	R															
2218	167助成金によるOn-the-job Training (OJT)	IN 3	Record the actual total hours the participant received On-the-job Training (OJT) under the section 167 grant. OJT means that the participant was paid by the employer to be a paid participant while engaged in productive work in a job that: (a) provides knowledge or skills essential to the full and adequate performance of the job; (b) provides reimbursement to the employer of up to 50 percent of the wage rate of the participant, for the extraordinary costs of providing the training and additional supervision related to the training; and (c) is limited in duration appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participant as appropriate.	000	R															
2219	167助成金による統合された基本/職業的スキル訓練 基本/職業的スキル訓練	IN 3	Record the actual total hours the participant received integrated basic/occupational skills training under the section 167 grant. Integrated basic/occupational skills training encompasses both Basic Skills Training and Occupational Skills Training (Non-OJT) as described immediately above.	000	R															
2220	167助成金による職業的スキル に関する教育訓練 (OJTではない)	IN 3	Record the actual total hours the participant received occupational skills training (excluding On-the-job training) under the section 167 grant. Occupational skills training includes vocational education and classroom training, designed to provide participants with the technical skills and information required to perform a specific job or group of jobs.	000	R															
2221	167助成金による基本スキルの 教育訓練	IN 3	Record the actual total hours the participant received basic skills training under the section 167 grant. Basic skills training includes, but is not limited to, remedial reading, writing, communication, mathematics and/or English 1 for non-English speakers.	000	R															

2222	移動手段の告知	IN 1	Record 1 If the participant is a person who lacks access to adequate/reasonable transportation services, resulting in a barrier to receiving training or accepting employment. Record 0 If the participant does not meet the conditions described above.	1 = Yes 0 = No	R														
2223	長期間の職業雇用	IN 1	Record 1 If the participant is a person who has engaged in agricultural work as the primary source of income for a minimum of four (4) years prior to intake/eligibility determination. Record 0 If the participant does not meet the conditions described above.	1 = Yes 0 = No	R														
2224	明確な職業履歴の告知	IN 1	Record 1 If the participant is a person who has not worked for any nonagricultural employer for longer than three (3) consecutive months in the 24 months prior to intake/eligibility determination. Record 0 If the participant does not meet the conditions described above.	1 = Yes 0 = No	R														
2225	申し込みの日の前か月間の 6か月の事前プログラムからの 収入	DE 62	Record pre-program earnings during the 6-months prior to date of application. Earnings include salaries or wages, and also include any bonuses, tips, gratuities, commissions or overtime pay.	000000.00	R														
2226	選給認定の時期から12か月の 間の事前プログラムの収入	DE 62	Record pre-program earnings during 12-month eligibility determination period. Earnings include salaries or wages, and also include any bonuses, tips, gratuities, commissions or overtime pay.	000000.00	R														
2227	18歳未満の非農業家の数	IN 2	Record the number of dependents in the family under age 18.	00	R														
2230	住宅・自動車開発のほとん プログラムの最近の参加	IN 1	Record 1 If the participant received employment and training services under US Dept. HUD. Record 0 If the participant does not meet the condition described above.	1 = Yes 0 = No	R														
2231	選給認定の日付	DT 8	Record the date upon which the participant was determined eligible to participate in the Section 107 program.	YYYYMMDD	R														
2232	家族の地位: NF-JP	IN 1	Record 1 If the participant physically resides with any of the participants described as a dependent in 20 CFR 685.110. Record 2 If the participant does not physically reside with any of the participants described as a dependent in 20 CFR 685.110.	1 = Member of a family as defined in 20 CFR 685.110 2 = Not a member of a family as defined in 20 CFR 685.110	R														
2233	NF-JP増成金の開始	IN 1	Record 1 If the participant was enrolled through a NF-JP Employment and Training grant. Record 2 If the participant was enrolled through an NF-JP Housing grant.	1 = NF-JP Employment and Training enrollee 2 = NF-JP Housing Grant enrollee	R														
<b>SECTION E 04 - インディアン・ネイティブ・アメリカンのプログラム (INA)</b>																			
2301	Beneficial Softwareの最近のバージョン	AN 26	Candidates will enter the appropriate number for the most current version of Beneficial's software.	XXXXXXXXXX	R														
2302	部族への所属	IN 6	Record the participant's tribal affiliation. Leave blank if the tribal affiliation code is unknown.	000000	R														
2303	公的扶助の支給	IN 9	Record 1 If the participant receives general assistance (GA) from their state or local government. Record 2 If the participant receives Temporary Assistance to Needy Families (TANF). Record 3 If the participant receives Supplemental Security Income (SSI-SSA Title XVI). Record 4 If the participant receives Social Security Disability Insurance (SSDI). Record 5 If the participant receives Food Stamps (Food Stamp Act of 1977). Record 6 If the participant receives Foster Child Payments. Record 7 If the participant receives benefits from Tribal Work Experience Programs (TWEPP). Record 8 If the participant receives benefits from the USDA Commodity Program. Record 0 If the participant does not meet the conditions described above. Record all that apply if the participant is receiving more than one type of public assistance.	1 = General Assistance (GA) 2 = TANF 3 = SSI-SSA Title XVI 4 = SSDI 5 = SNAP 6 = Foster Child Payments 7 = TWEPP 8 = USDA Commodity Program 0 = No	R														

SECTION E08 - 元受刑者の再統合(成人)										
2400	仕事の免除プログラム	IN 1	Record 1 if the participant was in a work-release program at the time of enrollment. Record 0 if the participant does not meet the condition described above.	1 = Yes 0 = No					R	
2401	収監の際の雇用形態	IN 1	Record 1 if the participant was working in unsubsidized employment upon incarceration (not including Registered Apprenticeship or the military). Record 2 if the participant was in a Registered Apprenticeship upon incarceration. Record 3 if the participant was in the military upon incarceration. Record 9 if employment participant prior to incarceration is unknown. Record 0 if the participant was not employed upon incarceration.	1 = Unsubsidized Employment 2 = Registered Apprenticeship 3 = Military 9 = Unknown 0 = Not employed					R	
2402	市長権の地位	IN 1	Record 1 if the participant is a U.S. citizen at the time of application. Record 2 if the participant is a U.S. non-citizen national at the time of application. Record 3 if the participant is U.S. permanent resident at the time of application. Record 4 if the participant is an alien registered to work in the U.S. at the time of application. Record 9 if citizen status is unknown.	1 = U.S. Citizen 2 = Non-Citizen National 3 = Permanent Resident 4 = Registered Alien 9 = Unknown					R	
2403	権利を与えられた仕事	IN 1	Record 1 if the participant is authorized to work the United States at the time of application. Record 0 if the participant is not authorized to work in the United States at the time of application. Record 9 if the authorization to work is unknown.	1 = Yes 0 = No 9 = Unknown					R	
2404	開始時のアルコール/ドラッグ乱用	IN 1	Record 1 if the participant abused alcohol and/or drugs at the time of enrollment. Record 0 if the participant did not meet either of the conditions described above at the time of enrollment. Record 9 if the alcohol/drug abuse status is unknown at the time of enrollment.	1 = Yes 0 = No 9 = Unknown					R	
2405	明らかでない健康問題	IN 1	Record 1 if the participant has significant health issues at the time of enrollment. Record 0 if the participant does not meet the condition described above at the time of enrollment. Record 9 if the significant health issues are unknown at the time of enrollment.	1 = Yes 0 = No 9 = Unknown					R	
2407	収監から解放された後の医療給付	IN 1	Record 1 if the participant had medical benefits since release from incarceration. Record 0 if the participant does not meet the condition described above. Record 9 if the information is unknown.	1 = Yes 0 = No 9 = Unknown					R	
2408	メンタルヘルスの取り組み	IN 1	Record 1 if the participant received mental health treatment. Record 0 if the participant does not meet the condition described above. Record 9 if the information is unknown.	1 = Yes 0 = No 9 = Unknown					R	
2408	開始時の子供の養育義務	IN 1	Record 1 if the participant had a Child Support Obligation at the time of enrollment. Record 0 if the participant did not meet the condition described above. Record 9 if the Child Support Obligation status is unknown.	1 = Yes 0 = No 9 = Unknown					R	
2410	開始時の子供の養育義務の量	DE 62	Record the amount of Child Support Obligation per month at enrollment. Leave blank if this information is unknown.	000000.00					R	
2411	収監前の医療給付のタイプ	IN 1	Record 1 if the participant had coverage under private health insurance prior to incarceration. Record 2 if the participant had coverage under Medicare prior to incarceration. Record 3 if the participant had coverage under Medicaid prior to incarceration. Record 4 if the participant had coverage under the ACA Health Exchange prior to incarceration. Record 0 if the participant does not meet the conditions described above. Record 9 if the information is unknown.	1 = Private health insurance 2 = Medicare 3 = Medicaid 4 = ACA Health Exchange 0 = No 9 = Unknown					R	
2412	刑事司法制度の鑑定者	AN 1	Record the appropriate criminal justice system identifier as indicated in code values 1 through 6	1 = Federal ID 2 = State CJ Record ID 3 = State Prison ID 4 = Local Probation Agency ID 5 = Local Jail ID 6 = Other					R	
* 2413	プログラム開始時の収監(WIOA)	IN 1	Record 1 if the participant, at program entry, was a criminal offender in a correctional institution at program entry. Record 0 if this data element does not apply to the participant.	1 = Yes 0 = No					R	
*2414	釈放された日付(WIOA)	DT 8	Record the date the participant was released from a correctional institution. Leave blank if participant remains in a correctional institution at program exit.	YYYYMMDD					R	







2509	サービスの最初の日付	DT 8	Enter first date of service of the service selected. Crantons need to be able to enter the first date of service each quarter, with the data saved each quarter to keep a running count of services received. Leave blank if no services were received. Record 1 if diversion was completed without out-of-home placement. Leave blank if participant did not meet this condition. Leave blank if participant did not receive diversion services.	YYYYMMDD																	R
2510	終了した自宅以外の場所での 気晴らし	IN 1	Record 1 if the participant's record was reviewed. Record 0 if the participant does not meet this condition. Leave blank if participant did not receive diversion services.	1 = Yes 0 = No																	R
2511	記録の抹消	IN 1	Record 1 if the participant's record was reviewed. Record 0 if the participant does not meet this condition. Leave blank if participant did not receive diversion services.	1 = Yes 0 = No																	R
2512	記録の封印	IN 1	Record 1 if the participant's record was sealed. Record 0 if the participant does not meet this condition. Leave blank if participant did not receive sealing of records assistance.	1 = Yes 0 = No																	R
2513	職業訓練の期間当たりの 時間数	IN 1	Record 1 if participant received 5 or fewer hours per week of training. Record 2 if participant received 6 to 15 hours per week of training. Record 3 if participant received 16 to 25 hours per week of training. Record 4 if participant received 25 or more hours per week of training. Record 0 if the participant did not receive vocational training services.	1 = 5 or fewer hours per week 2 = 6 to 15 hours per week 3 = 16 to 25 hours per week 4 = 25 or more hours per week 0 = No																	R
2514	6か月以上のメンタリングを受け たか	IN 1	Record 1 if mentoring continued for 6 or more months. Record 0 if the participant does not meet this condition.	1 = Yes 0 = No																	R
2515	助成金の対象ではない仕事に 最初に就いた日付	DT 8	Record the date of participant's initial placement into unsubsidized job. Leave blank if the participant was not placed in an unsubsidized job.	YYYYMMDD																	R
2516	中等教育機関あるいは訓練の終 了の日付	DT 8	Record the date of participant's placement into postsecondary education or training. Leave blank if the participant was not placed into postsecondary education or training.	YYYYMMDD																	R
2517	フルタイムあるいはパートタイム で働けている教育	IN 1	For participants who have been placed in a postsecondary education or training program: Record 1 if participant is attending full-time. Record 2 if participant is attending part-time. Record 0 if the participant was not placed into postsecondary education or training. Leave blank if the participant was not placed into postsecondary education or training.	1 = Full-time 2 = Part-time 0 = No																	R
2518	教育を受けた最後の日付	DT 8	Record most recent date on which participant received postsecondary education or training. Leave blank if the participant was not placed into postsecondary education or training.	YYYYMMDD																	R
2519	訓練期間の総数	DE 82	Record the participant's hourly training wage. Leave blank if the participant was not enrolled in training.	000000.00																	R
2520	正規の中等教育機関、あるいは 代替的的教育機関に就った日付	DT 8	Record the date on which the participant returned to regular secondary school or alternative school. Leave blank if the participant did not return to regular secondary school or alternative school.	YYYYMMDD																	R
2521	中等教育機関に就ってから 12か月以内に中等教育機関に就いた プログラムの開始日付	IN 1	For youth participants who entered the program while in secondary school or who returned to secondary school after enrolling in the program: Record 1 if participant returned to regular secondary school or alternative school within 12 months of entering the program. Record 0 if the participant does not meet this condition. For youth participants who entered the program while in secondary school and youth who returned to secondary school after enrolling in the program: Record 1 if the participant remained in regular secondary school or alternative school for 12 months. Record 0 if the participant does not meet this condition.	1 = Yes 0 = No																	R
2522	正規の中等教育機関あるいは 代替的的教育機関に2か月 在籍し続けたか	IN 1	Record 1 if the participant remained in regular secondary school or alternative school for 12 months. Record 0 if the participant does not meet this condition.	1 = Yes 0 = No																	R
2523	学位あるいは資格取得 プログラムに入った日付	DT 8	Record the date on which the participant entered the degree or certificate program. Leave blank if the participant did not enter into a degree or certificate program.	YYYYMMDD																	R
2525	登録後、新しい犯罪で 取調べられた日付	DT 8	Record date on which participant was arrested for new crime after enrollment. Leave blank if this data element does not apply to the participant.	YYYYMMDD																	R
2526	登録後、服罪のある新しい犯罪 で有罪判決を受けたか	DT 8	Record date on which participant was convicted for new crime after enrollment. Leave blank if this data element does not apply to the participant.	YYYYMMDD																	R
2527	犯罪のタイプ	IN 1	Record 1 if participant was arrested/convicted for a violent felony. Record 2 if participant was arrested/convicted for a non-violent felony. Record 3 if participant was arrested/convicted for a misdemeanor.	1 = Violent Felony 2 = Non-violent felony 3 = Misdemeanor																	R

2528	更生施設あるいは保護観察が 終わってから12か月が経過した 時点	IN 1	Record 1 If participant has reached 12-month point since release from correctional facility or placement on probation. Record 0 If the participant does not meet this condition.	1 = Yes 0 = No															R	
2529	更生施設あるいは保護観察の 終了後12か月以内に関連のあ る新しい犯罪で有罪判決を 受けたか	IN 1	Record 1 If participant was convicted for new crime committed within 12 months of release from correctional facility or placement on probation. Record 0 If the participant does not meet this condition.	1 = Yes 0 = No															R	
2530	登録後、関連のある新しい犯罪 で投獄されたか	IN 1	Record 1 If the participant was incarcerated for a new crime committed after enrollment. Record 0 If the participant does not meet this condition.	1 = Yes 0 = No															R	
2531	プログラムを早期に終了した 理由	IN 1	Record 1 If the participant moved to a different geographic area. Record 2 If the participant is receiving medical treatment that precludes continued participation in the program. Record 3 If the participant was found to be deceased or no longer living. Record 4 If the participant is providing care for a family member with a disability that precludes continued participation in the program. Record 5 If the participant is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty. Record 6 If the participant left for other reasons. Record 7 If the participant did not disclose reason for departure.	1 = Moved 2 = Health/Medical 3 = Deceased 4 = Family Care 5 = Resenwist Called to Active Duty 6 = Other 7 = No Reason Given															R	
2532	フォロワープログラムにおける雇用・ 教育の状況	IN 1	Use the appropriate code to identify the employment and education status of the participant at follow-up months after the time of enrollment in which the participant did not receive any services other than follow-up services. Record 1 If the participant was employed full-time and not attending school at the time of follow-up. Record 2 If the participant was employed part-time and not attending school at the time of follow-up. Record 3 If the participant was employed full-time and attending secondary school at the time of follow-up. Record 4 If the participant was employed part-time and attending secondary school at the time of follow-up. Record 5 If the participant was employed part-time and attending secondary school at the time of follow-up. Record 6 If the participant was employed part-time and attending postsecondary school at the time of follow-up. Record 7 If the participant was not employed but attending secondary school at the time of follow-up. Record 8 If the participant was not employed but attending postsecondary school at the time of follow-up. Record 9 If the participant was neither working nor in school at the time of follow-up.	1 = Employed full-time and not attending school 2 = Employed part-time and not attending school 3 = Employed full-time and attending secondary school 4 = Employed full-time and attending postsecondary school 5 = Employed part-time and attending secondary school 6 = Employed part-time and attending postsecondary school 7 = Not employed but attending secondary school 8 = Not employed but attending postsecondary school 9 = Neither working nor in school															R	
2533	最初の1週間の労働時間	IN 2	Record number of hours worked by participant during their first full week of follow-up.	XX																
2534	フォローアップ期の教育の状況	IN 1	Record 1 If participant is attending secondary school at the time of follow-up. Record 2 If participant is attending continuation or alternative school at the time of follow-up. Record 3 If participant is attending secondary school equivalency classes at the time of follow-up. Record 4 If participant is attending a two-year college at the time of follow-up. Record 5 If participant is attending a four-year college at the time of follow-up. Record 6 If participant is attending vocational training at the time of follow-up. Record 0 If participant is not attending school or training at the time of follow-up.	1 = Attending secondary school 2 = Attending Continuation or Alternative School 3 = Attending secondary school equivalency classes 4 = Attending two-year college 5 = Attending four-year college 6 = Attending vocational training 0 = Not attending school or training															R	
2535	延滞のあるいは代替的な教育 機関への入学	IN 1	Record 1 If participant is enrolled in continuation or alternative school. Record 0 If participant is not enrolled in continuation or alternative school.	1 = Yes 0 = No															R	
2536	中等教育と同等のコースへの 入学	IN 1	Record 1 If participant is enrolled in secondary school equivalency courses. Record 0 If participant is not enrolled in secondary school equivalency courses.	1 = Yes 0 = No															R	
2537	フルタイム、あるいは パートタイムでの中等後教育 への参加	IN 1	If participant is enrolled in postsecondary education. Record 1 If the participant is attending full-time. Record 2 If the participant is attending part-time. Record 0 If participant is not enrolled in postsecondary education.	1 = Full-time 2 = Part-time 0 = Not enrolled															R	
2538	職業訓練への登録	IN 1	Record 1 If participant is enrolled in vocational training. Record 0 If participant is not enrolled in vocational training.	1 = Yes 0 = No															R	
2539	最初の1週間の職業訓練への 参加時間	IN 2	If the participant is enrolled in vocational training, record the number of hours attending in the first full week.	XX															R	



2609	中等教育がコロナブレイクした者	IN 2	Record 1 if the participant is a youth and has dropped out of secondary school. Record 0 if the participant does not meet the condition described above.	1 = Yes 0 = No															R	
2610	有罪判決を受けた両親または法的養育者の子供	IN 2	Record 1 if either of the youth's parents or legal guardian is incarcerated at the time of the youth's enrollment into the YouthBuild program. Record 0 if the participant does not meet the condition described above.	1 = Yes 0 = No															R	
2611	健康上の問題	IN 2	Record 1 if the participant has any significant health issues that could impact the participant's ability to work. Examples of such health issues can include, but are not limited to, untreated high blood pressure, HIV/STDs, asthma, depression, and other mental/physical health issues. Record 0 if the participant does not meet the condition described above. Record 9 if the participant does not self-identify.	1 = Yes, significant health issues 9 = No significant health issues 0 = participant did not self-identify															R	
2612	登録時の職業	IN 2	Record the participant's occupation at enrollment as follows: Record 11 if the participant's occupation is classified as a Management, Operations, or Business occupation. Record 13 if the participant's occupation is classified as Business and Financial Operations. Record 17 if the participant's occupation is classified as Computer and Mathematical Sciences. Record 19 if the participant's occupation is classified as Architecture and Engineering. Record 21 if the participant's occupation is classified as Life, Physical, and Social Sciences. Record 23 if the participant's occupation is classified as Community and Social Services. Record 25 if the participant's occupation is classified as Education, Training, and Library. Record 27 if the participant's occupation is classified as Arts, Design, Entertainment, Sports, and Media. Record 29 if the participant's occupation is classified as Health Care Support. Record 31 if the participant's occupation is classified as Protective Service. Record 33 if the participant's occupation is classified as Food Preparation and Serving Related. Record 37 if the participant's occupation is classified as Building and Grounds Cleaning and Maintenance. Record 39 if the participant's occupation is classified as Personal Care and Service. Record 41 if the participant's occupation is classified as Sales and Related. Record 43 if the participant's occupation is classified as Food Preparation and Serving Related. Record 45 if the participant's occupation is classified as Farming, Fishing, and Forestry. Record 47 if the participant's occupation is classified as Construction, Installation, Maintenance, and Repair. Record 49 if the participant's occupation is classified as Building and Grounds Cleaning and Maintenance. Record 51 if the participant's occupation is classified as Personal Care and Service. Record 53 if the participant's occupation is classified as Sales and Related. Record 55 if the participant's occupation is classified as Office and Administrative Support. Record 60 if the participant's occupation is classified as Agriculture, Forestry, and Fishing. Record 61 if the participant's occupation is classified as Construction, Installation, Maintenance, and Repair. Record 62 if the participant's occupation is classified as Production, Transportation, and Material Moving. Record 63 if the participant's occupation is classified as Military Specific. Record 64 if the participant's occupation is classified as Not employment at enrollment.	11 = Management, 13 = Business and Financial Operations 15 = Computer and Mathematical 17 = Architecture and Engineering 19 = Life, Physical, and Social Science 21 = Community and Social Services 23 = Legal 25 = Education, Training, and Library 27 = Arts, Design, Entertainment, Sports, and Media 29 = Arts, Design, Entertainment, Sports, and Media 31 = Healthcare Support 33 = Protective Service 35 = Food Preparation and Serving Related  37 = Building and Grounds Cleaning and Maintenance 39 = Personal Care and Service 41 = Sales and Related 43 = Office and Administrative Support 45 = Farming, Fishing, and Forestry 47 = Construction, Installation, Maintenance, and Repair 49 = Production 51 = Production 53 = Transportation and Material Moving 55 = Military Specific 0 = Not employment at enrollment																R
2613	登録時の労働時間	IN 2	Record the average hours per week that the participant works at the above occupation. Leave blank if the participant is not employed at enrollment.	00															R	
2614	登録時の平均時給	DE 0.2	Record the participant's average hourly wage at the above occupation. Leave blank if the participant is not employed at enrollment.	000000.00															R	
2615	仕事を始めた日付	DT 8	Record the date on which the participant began to work at the above job. Leave blank if the participant was not employed at enrollment.	YYYYMMDD															R	



3. ミシガン州タレント投資エージェンシー Annual Report 2015

# Workforce Investment Act Annual Report Program Year 2015



**Michigan**  
**Talent Investment Agency**  
Department of Talent and Economic Development

## Executive Summary

This report is an assessment of performance outcomes for workforce investment activities involving the four core indicators relating to adults, dislocated workers, and youth ages 19-21 (placement, retention, earnings, and skill attainment), and the three core indicators relating to youth ages 14-18 (basic skills attainment and, as appropriate, occupational skills; high school diplomas; and placement and retention in postsecondary education, advanced training, or employment).

Included in the report is a cost per examination of programs offered by the state's local workforce investment areas. These programs are designed to increase the employment, retention, and earnings of participants, and increase occupational skill attainment by participants, thereby improving the quality of the workforce, lessening welfare dependency, and enhancing the productivity and competitiveness of the State of Michigan.

## Program Descriptions

### WIA Adult and Dislocated Worker Programs

The Adult and Dislocated Worker programs, under Title I of the Workforce Investment Act (WIA) of 1998, are designed to provide quality employment and training services to assist eligible individuals in finding and qualifying for meaningful employment, and to help employers find the skilled workers they need to compete and succeed in the global economy.

### Goals

The goals of the Adult and Dislocated Worker programs are:

- To increase employment, as measured by entry into unsubsidized employment;
- To increase retention in unsubsidized employment six months after entry into employment;
- To increase earnings received in unsubsidized employment for dislocated workers; and
- To enhance customer satisfaction for participants and for employers.

The employment goals are measured using Unemployment Insurance Wage Records and the customer satisfaction goals are measured by sampling.

### Services

Program services are provided through the state's One-Stop Career Centers. There are three levels of service available under WIA for adults and dislocated workers:

- Core services - includes outreach, job search and placement assistance, and labor market information available to all job seekers;
- Intensive services - Includes more comprehensive assessments, development of individual employment plans, and counseling and career planning; and
- Training services - Customers are linked to job opportunities in their communities, requiring both occupational training and training in basic skills. Participants use an "individual training account" to select an appropriate training program from a qualified training provider.

## Target Populations

### Adult

All adults, 18 years of age and older, are eligible for core services. Further:

- Priority for intensive and training services must be given to recipients of public assistance and other low-income individuals where funds are limited.
- In addition to unemployed adults, employed adults can also receive services to obtain or retain employment that allows for self-sufficiency. States and local areas are responsible for establishing procedures for applying the priority and self-sufficiency requirements.

### Dislocated Workers

A dislocated worker is an individual who:

- Has been terminated or laid off, or has received a notice of termination or layoff from employment;
  - Is eligible for or has exhausted unemployment insurance; or
  - Has demonstrated an appropriate attachment to the workforce, but is not eligible for unemployment insurance; and
  - Is unlikely to return to a previous industry or occupation;
- Has been terminated or laid off, or has received notification of termination or layoff, from employment as a result of any permanent closure of, or any substantial layoff at a plant, facility, or enterprise; or
  - Is employed at a facility where the employer has made a general announcement that the facility will close within 180 days;
- Was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community or because of a natural disaster;
- Is a displaced homemaker who is no longer supported by another family member.

### WIA Youth Program

Under Title I of the WIA, funds are provided to states and local workforce investment areas to deliver a comprehensive array of youth workforce investment services, including: tutoring; alternative secondary school offerings; summer employment opportunities directly linked to academic and occupational learning; paid and unpaid work experiences, including internships and job shadowing; occupational skills training; leadership development; supportive services; adult mentoring; counseling; and follow-up services.

Eligible youth must be low-income, in or out-of-school, aged 14-21, and have one or more of the following barriers to employment:

- Deficient in basic literacy skills;
- A school dropout;
- Homeless, a runaway, or in foster care;
- Pregnant, or parenting;
- An offender; or

- An individual, including a youth with a disability, who requires additional assistance to complete an educational program or to secure and hold employment.

Youth are eligible to receive services to prepare them for post-secondary educational and employment opportunities, attain educational and/or skills training credentials, and to secure employment.

### Methods of Analysis

Methods of analysis include trend, horizontal and vertical analyses, as well as ratios, such as cost per, as it relates to expenditures for participants, the four core indicators, and activity. Other calculations include rates of return on investment and ratios on cost per dollar spent.

### Findings

All calculations can be found in the section entitled *Program Year 2015 Cost Effectiveness Analysis*. Results of data analyzed show that all ratios and trends are positive and demonstrate cost effectiveness of the programs mentioned. In particular, comparative performance meets or exceeds the state negotiated level in the areas of entered employment, retained employment, earnings, and credential/education.

### Conclusions

Study of the performance outcomes finds that the overall success and performance outcomes of the Workforce Investment Act programs greatly contributed to the current economic standing in Michigan, which is positive and continues to surpass post-recession figures.

### Program Outcomes Summary

Michigan met or exceeded all 17 negotiated performance measures for Program Year (PY) 2015. The following charts show Michigan's Workforce Investment Act Title I actual performance results for PY 2015.

#### **Customer Satisfaction**

WIA Title I-B participants who exit services are eligible to be chosen for inclusion in the random sample. WIA Title I-B participants include individuals who are either adults, dislocated workers, older youth (ages 19-21), or younger youth (ages 14-18).

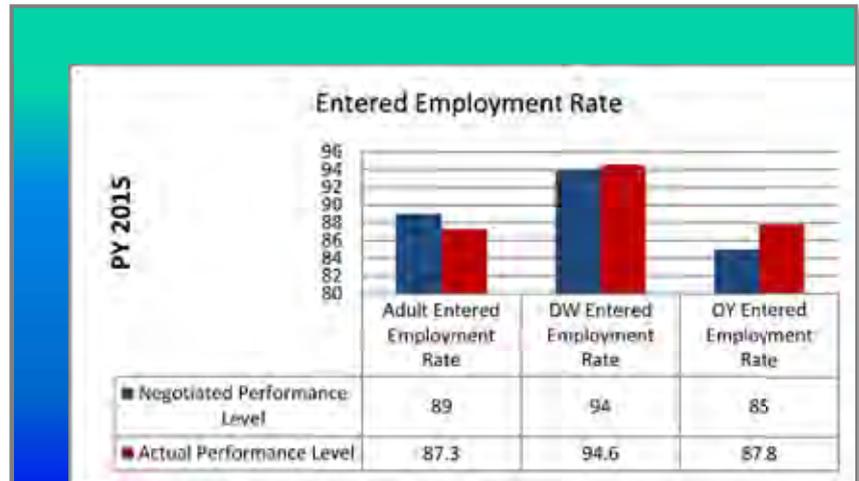
All individuals from all WIA formula funding streams in an exit cohort are eligible to be chosen. All employers who have received a substantial service involving personal contact with WIA staff are eligible to be chosen for inclusion in the random sample. Examples of substantial services



include staff facilitated job orders, customized job training, customized labor market information requests, and on-the-job training activities.

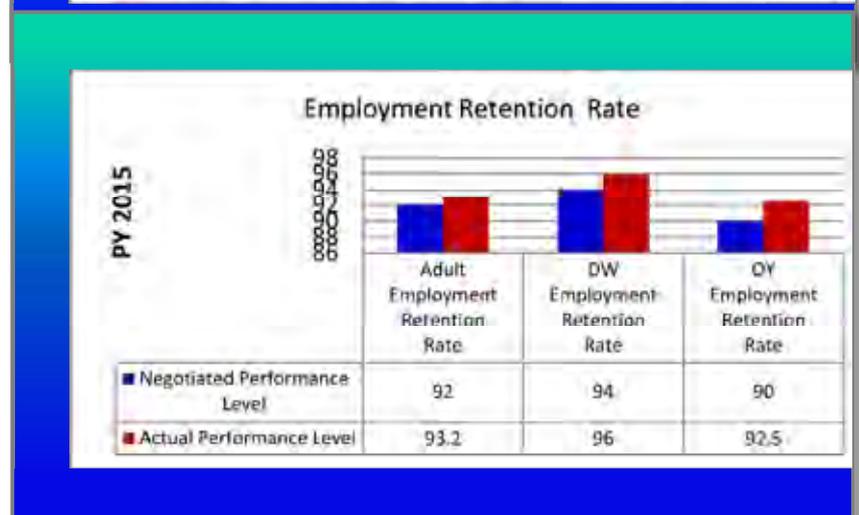
### **Entered Employment Rate**

This is determined by dividing the number of participants who obtained and retained employment one quarter after their initial placement or when they “exited” the program by the total number of participants who have exited the program. In order to determine the entered employment rate, the program must track the employment status of their enrollees after they leave the program by re-contacting them in some way.



### **Retention Rate**

This is determined by dividing the number of participants who entered employment (or those exiters who earned wages in the quarter after their placement) by those exiters who also earned wages in all three quarters after their placement. Grantees will not have a reported retention rate in the first, second, or third quarters because it requires three quarters after placement to determine employment retention.



### **Average Earnings Rate**

This measure calculates the total earnings in the second quarter plus total earnings in the third quarter after exit divided by the number of participants who are employed in the first, second, and third quarters after exit. The Youth measure compares this same wage to earnings in second and third quarter prior to enrollment.



### **Employment and Credential Rate**

The number of participants who receive training services, who are employed in the first quarter after exit, and receive a credential/certificate by the end of the third quarter after exit divided by the number of adults/dislocated workers who exit during the quarter. The youth measure allows educational services as an option.

### **Younger Youth Goal/Skill Attainment Rate**

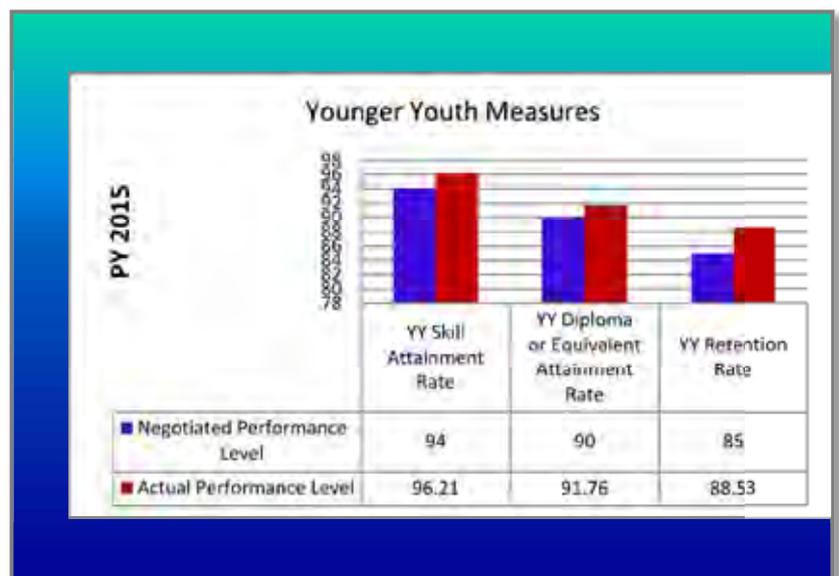
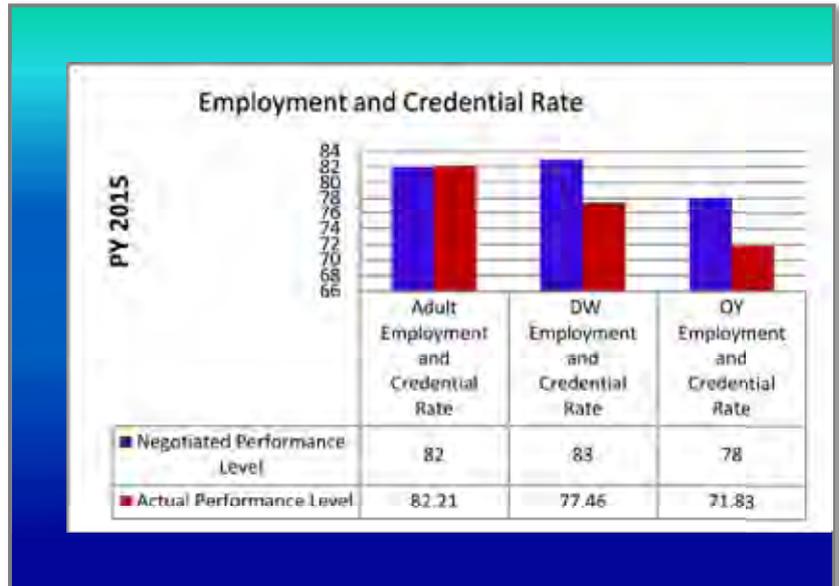
Total number of basic skills goals attained plus total number of work readiness skills goals attained plus total number of occupational skills goals attained divided by total number of basic skills goals plus total number of work readiness skills goals plus total number of occupational skills goals set. As the chart to the right shows, Michigan exceeded its negotiated performance level for this measure.

### **Younger Youth Diploma Rate**

Youth without a diploma at participation who attain a diploma by the end of first quarter after exit. As the chart to the right shows, Michigan exceeded its negotiated performance level for this measure.

### **Younger Youth Retention Rate**

Youth must attain one or more qualifying outcomes in the third quarter after exit, i.e. postsecondary education; advanced training; military service; qualified apprenticeship; or unsubsidized employment. As the chart above shows, Michigan exceeded its negotiated performance level for this measure.



## Consolidated Program Performance Dashboard

Michigan has developed a performance matrix that provides a monthly dashboard view of the progress of workforce programs in meeting certain annual targets set by the state. The chart below describes the programs included and is followed by a definition index.

Michigan Works! System Dashboard						
Statewide						
July 1, 2015 - June 30, 2016						
	Baseline	Current	Target	Percent of Annual Target Completed	Status	Trend
<b>Skilled Trades Training Fund (Jobs)</b>						
Number of Jobs Created		3,161	2,650	119.3%		↔
Number of Jobs Retained		9,838	6,000	164.0%		↔
<b>Funding</b>						
Amount of Funds Awarded		\$13,264,903	\$8,726,893	152.0%		↔
Amount of Leveraged Funds		\$123,265,920	112,716,258	109.4%		↔
Jobs Filled with Michigan Works Assistance*	81,578	71,898	80,699	89.1%		↑
Projected Annual Job Openings	<i>For Future Use</i>					
<b>Visitors to Service Centers</b>						
Individuals Served (unduplicated)	817,682	811,494	758,922	106.9%		↓
Total Visits	1,608,448	1,561,815	1,593,097	98.0%		↓
Employers Served (Unduplicated)	34,465	36,046	35,514	101.5%		↑
<b>Workforce Investment Act</b>						
17 Federal Performance Measures	100.0%	100.0%	100.0%	100.0%		↑
<b>Customer Satisfaction</b>						
Job Seekers	102.3%	103.7%	100.0%	103.7%		↑
Employers	100.3%	99.5%	100.0%	99.5%		↓
% Placements prepared for demand jobs	80.7%	83.1%	87.0%	95.5%		
TANF - federal work participation rate	69.4%	71.1%	50.0%	142.2%		
Unemployment Rate	5.5%	4.7%				
Legend						
	90% or greater of program YTD target		↑	Accelerating towards target relative to previous review		
	>75 to 90% of program YTD target		↔	Same proportional distance to target relative to previous review		
	<75% of program YTD target		↓	Decelerating from target relative to previous review		

## Dashboard Definitions

- **Jobs Filled with Michigan Works Assistance**

Number of all jobs filled via any assistance from the Michigan Works! Agency (MWA).  
 Note: Intended to include all job postings and jobs filled, not just those specific to WIA, TANF, or program-specific clients; includes hiring of people even if they only received core services.  
 View this from the employer side: Any job opening serviced by the MWA that is then filled.  
 Reported by each MWA monthly, and is cumulative for the year to date.

- **Visitors to Service Centers**

### **Total Visits**

The number of unique individuals who use the one-stop centers, plus the total number of visits made by those individuals (i.e. traffic count). Access Points are included in the count.  
 Reported by each MWA monthly, cumulative for the year to date.

### **Employers Served (Unduplicated)**

The number of unique employers served over the course of the year. When defining an employer, the following services are considered: a job order, emails, phone calls, text messages, applications delivered, job fairs, etc. Services are viewed as hard or soft services, both requiring a financial commitment from the system. Reported by each MWA monthly, cumulative for the year to date.

- **Workforce Investment Act**

### **Federal Performance Measures**

Indicates whether the state met or exceeded its 17 federal performance standards for WIA. Shown as a percentage of the 17 total measures, not a weighted average. For example, 16 of the 17 met would equal 94 percent.

### **Customer Satisfaction**

Satisfaction rates for job seekers and employers are based on a state-delivered survey.

- **Percentage of Placements Prepared for Demand Jobs**

The percentage of all placements for which the employee was trained by the MWA for an occupation in-demand, including OJT, CRT, IWT, etc. Represents the number of WIA and TAA exiters who received training and were employed at exit.

- **TANF - Federal Work Participation Rate**

The percentage of cases needed to meet work participation requirements. This consists of a number of participants in a given month who are fully engaged in work or work-related activities (i.e. successfully meeting the required participation hours in approved activities).  
 Reported by WDA monthly for each MWA, cumulative for the year to date.

- **Unemployment Rate**

Data published by the Michigan Department of Technology, Management & Budget (DTMB).  
 Reported by WDA monthly for each MWA.

## Program Year 2015 Cost Effectiveness Analysis

Cost effectiveness analysis, in the simplest terms, calculates the ratio of the amount of “effect” a program achieves for a given amount of cost incurred, or conversely, the amount of cost required to achieve a given impact. For program evaluation, this means measuring the impact of a program in achieving a given outcome (i.e. in order to achieve the desired employment rate or level of earnings) against the cost of the program. This ratio, when calculated for a range of alternative programs addressing the same outcome, conveys the relative impacts and costs of these programs in an easy and intuitive way.

The value of cost effectiveness analysis is twofold: first, its ability to summarize a program in terms of an illustrative ratio of effects to costs, and second, the ability to use this common measure to compare multiple programs evaluated in different contexts and in different years. The first requires technical correctness with respect to the program’s actual costs and impacts as they were evaluated, while the second requires adherence to a common methodology for estimating costs and effects across various elements. Cost effectiveness analysis is useful and informative as it maximizes the comparability of elements within different programs without straying from a correct and complete representation of the costs and effects of each program as it was actually evaluated.

Michigan’s Adult program served 22,254 participants beyond self-service with expenditures totaling \$25.8 million for an average cost per participant of \$1,159. Total adult exits beyond self-service were 3,755 with 3,609 employed at the time of exit for an average cost per employment of \$10,122. Adult participants’ employment rate was 87.4%, and their average earnings were \$17,257 in six months.

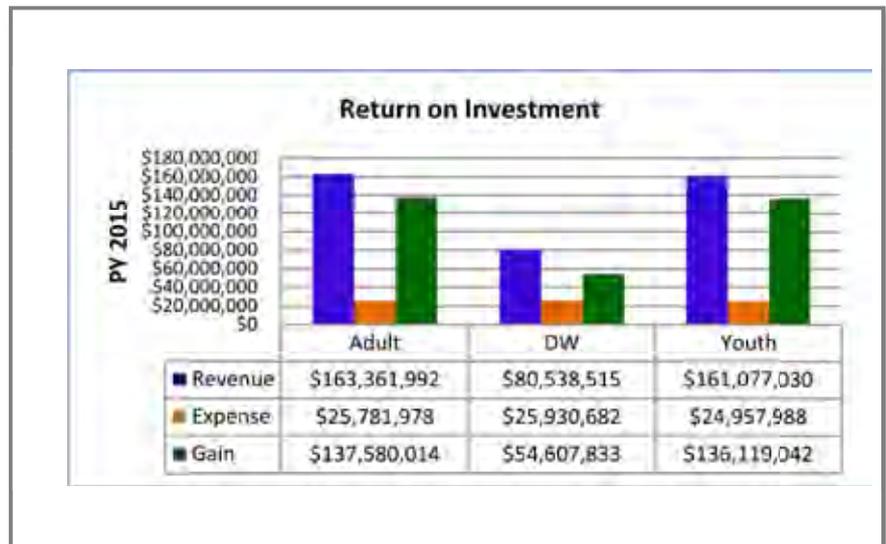
The Dislocated Worker program served 4,748 participants with expenditures totaling \$25.9 million for an average cost per participant of \$5,461. Total dislocated worker exits were 2,035 with 2,172 employed at the time of exit for an average cost per employment of \$11,939. Dislocated Worker participants’ employment rate was 94.6 %, and their average earnings were \$17,451 in six month.

The Youth program served 7,735 participants with expenditures totaling \$24.9 million for an average cost per participant of \$3,219. Total youth exits were 2,888 with younger youth (aged 14 to 18) representing a majority of the exits (2,450). Older youth exits totaled 438 with 376 employed at the time of exit. Older Youth participants’ employment rate was 87.9%, and their average earnings gain was \$5,736 in six months. Youth placed in employment or education was 70.7%.

The charts on the following page show the Return on Investment (ROI) and the Cost per Dollar Earned (CPDE) for Michigan’s WIA programs for PY 2015. ROI ranged from a high of \$5.45 earned for every dollar spent for the Youth program to \$2.11 earned for every dollar spent for the Dislocated Worker program. CPDE ranged from a high of 32 cents spent for each dollar earned for the Dislocated Worker program to 15 cents spent for every dollar earned for the Youth program.

### Return on Investment

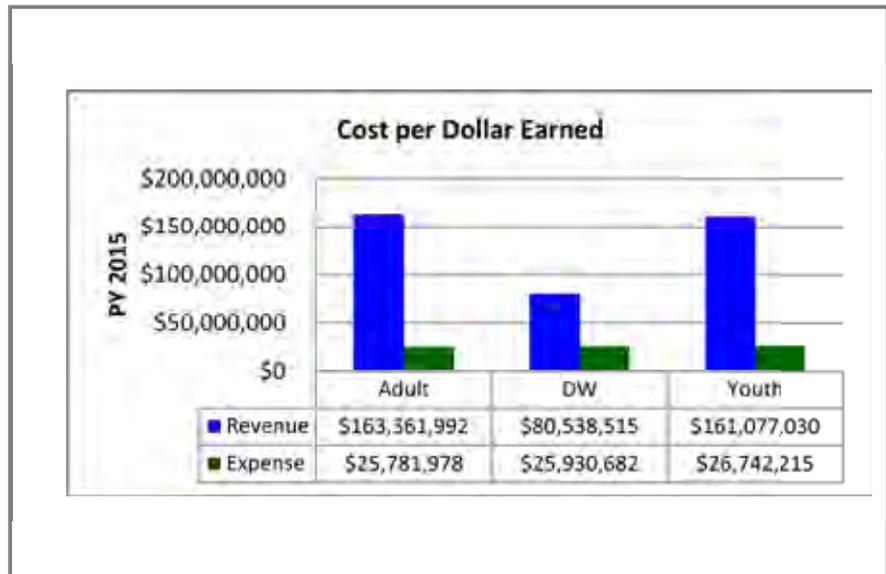
The return on investment is calculated by subtracting the expense from the revenue (total wages earned) resulting in the gain, then by dividing the gain into the expense, resulting in the return on investment. This ratio will tell the amount gained per dollar invested, thus revealing the efficiency of the investment. This ratio is most useful when comparing past performance to determine trends of increasing or decreasing efficiency.



ROI	\$5.34	\$2.11	\$5.45
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### Cost per Dollar Earned

The cost per dollar earned is calculated by the expenses divided by revenue (the inverse of ROI.). The amount earned may be greater at the beginning of a program since the earnings are accumulative. Benchmarking between programs is not standard so costs per dollar raised can vary widely depending on interpretation and exclusion/inclusion of such things as training or educational costs.



CPDE	\$0.16	\$0.32	\$0.15
------	--------	--------	--------

Tables 1 – 3 on the following pages provide a more comprehensive analysis of each performance measure within the Adult, Dislocated Worker, and Youth programs. Please note that certain outcomes among the Younger Youth measure were combined due to the complexity of determining the true effectiveness. When those measures are combined, it presents a more practical analysis on its overall effect.

## PROGRAM RELATIVE COST EFFECTIVENESS ANALYSIS

**Table 1: Adult Program Cost Analysis**

Ratio	Calculation	PY 2015 Result
Cost per <b>Adult</b> Participant Served (CP)	$\frac{\text{Program Expenditures}}{\text{Participants Served by Counselor}}$	\$1,159
Cost per Exiter (CE)	$\frac{\text{Program Expenditures}}{\text{Total Program Exiters}}$	\$6,866
Cost per Entered Employment (CEE)	$\frac{\text{Program Expenditures}}{\text{First Quarter Exiters Entering Employment}}$	\$10,122
Cost per Retained Employment (CRE)	$\frac{\text{Program Expenditures}}{\text{Exiters Employed in Q2 and Q3 After Exit}}$	\$5,038
Cost per Individual Attaining a Recognized Degree or Certificate (CID)	$\frac{\text{Program expenditures}}{\text{Number of Participants Who Attained Certification or Degree}}$	\$9,221
Cost per \$1 in Post-Program Earnings (CPPE)	$\frac{\text{Program Expenditures}}{\text{Total Exiters Earnings in 2nd and 3rd Post-Program Quarters}}$	\$0.32

### Adult Program Outcome Definitions

#### “Adults”

1. **Entered Employment Rate** Those not employed at registration, but employed during the first quarter after program exit.
2. **Employment Retention Rate** Employed in the first quarter after program exit and still employed in the second and third quarter after program exit.
3. **Earnings Change** Earnings in the first, second, and third quarters after program exit.
4. **Credential Rate** Employed during the first quarter after the exit quarter and received a credential/certificate by the end of the third quarter after the exit quarter.

Table 2: Dislocated Worker Program Cost Analysis

Ratio	Calculation	PY 2015 Result
Cost per <b>Dislocated Worker</b> Participant Served (CP)	Program Expenditures ----- Participants Served by Counselor	\$5,461
Cost per Exiter (CE)	Program Expenditures ----- Total Program Exiters	\$12,742
Cost per Entered Employment (CEE)	Program Expenditures ----- First Quarter Exiters Entering Employment	\$11,939
Cost per Retained Employment (CRE)	Program Expenditures ----- Exiters Employed in Q2 and Q3 After Exit	\$10,274
Cost per Individual Attaining a Recognized Degree or Certificate (CID)	Program Expenditures ----- Number of Participants Who Attained Certification or Degree	\$22,069
Cost per \$1 in Post-Program Earnings (CPPE)	Program Expenditures ----- Total Exiters Earnings in 2nd and 3rd Post-Program Quarters	\$0.64

### Dislocated Worker Program Outcome Definitions

#### “Dislocated Workers”

- 1. Entered Employment Rate** Those not employed at registration, but employed during the first quarter after program exit.
- 2. Employment Retention Rate** Employed in the first quarter after program exit and still employed in the second and third quarter after program exit.
- 3. Earnings Change** Earnings in the first, second, and third quarters after program exit.
- 4. Credential Rate** Employed during the first quarter after the exit quarter and received a credential/certificate by the end of the third quarter after the exit quarter.

Table 3: Youth Program Cost Analysis

Ratio	Calculation	PY 2015 Result
Cost per <b>Youth</b> Participant Served (CP)	$\frac{\text{Program Expenditures}}{\text{Participants Served by Counselor}}$	\$3,227
Cost per Exiter (CE)	$\frac{\text{Program Expenditures}}{\text{Total Program Exiters}}$	\$8,642
Cost per Positive Employment (CPE)	$\frac{\text{Program Expenditures}}{\text{OY Employed + YY Skill Attainment}}$	\$3,855
Cost per Retained Employment (CRE)	$\frac{\text{Program Expenditures}}{\text{Exiters Employed in OY Retained + YY Attained}}$	\$3,749
Cost per Individual Attaining a Recognized Degree or Certificate (CID)	$\frac{\text{Program Expenditures}}{\text{Number of Participants Who Attained Diploma or Equivalent Certificate or Degree}}$	\$12,669

### Youth Program Outcome Definitions

#### “Older Youth” – Youth 19-21 at Entry

1. **Entered Employment Rate** Those not employed at registration, but employed during the first quarter after program exit. Not enrolled in post-secondary education or advanced training in the first quarter after the exit quarter or are employed in the first quarter after program exit.
2. **Employment Retention Rate** Employed in the first quarter after program exit and was still employed in the second and third quarter after program exit. Not enrolled in post-secondary education or advanced training in the third quarter after the exit quarter or are employed in the third quarter after program exit.
3. **Earnings Change** Employed in the first quarter after program exit. Not enrolled in post-secondary education or advanced training in the third quarter after the exit quarter or are employed in the third quarter after program exit. Compares earnings youth had before services and six months after services.
4. **Credential Rate** Employed, or in post-secondary education, or in advanced training during the 1<sup>st</sup> quarter after the exit quarter and received

a credential/certificate by the end of the 3<sup>rd</sup> quarter after the exit quarter.

### **“Younger Youth” – Youth 14 to 18 (At Entry)**

- |                                   |                                                                                                                                                                                                          |
|-----------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>5. Skill Attainment Rate</b>   | In-school youth or out-of-school youth assessed to be in need of basic skills, work readiness skills, and/or occupational skills.                                                                        |
| <b>6. Diploma/Equivalent Rate</b> | Not enrolled in secondary school at exit. Attain a secondary school diploma or equivalent by the end of the first quarter after program exit.                                                            |
| <b>7. Retention Rate</b>          | Not enrolled in secondary school at exit. Employed, or in post-secondary education, advanced training, military service, or a qualified apprenticeship, during the third quarter after the exit quarter. |

### **Cost of Workforce Investment Activities**

The activities referenced in this analysis are core, intensive, and training services. For youth, the cost of youth services with an emphasis on direct service cost for summer youth employment opportunities. This analysis will show how the mix of services for adults, dislocated workers, and youth compare and/or affected the WIA performance outcome. Youth performance data is collected in a wide variety of formats that does not allow for easy comparison or analysis.

### **Mix of Services Definition**

The Adult and Dislocated Worker programs, under Title I of the WIA, are designed to provide quality employment and training services to assist eligible individuals in finding and qualifying for meaningful employment, and to help employers find the skilled workers they need to compete and succeed in the global economy.

The Youth program, under Title I of the WIA, is designed to deliver a comprehensive array of workforce investment services, including: tutoring; alternative secondary school offerings; summer employment opportunities directly linked to academic and occupational learning; paid and unpaid work experiences, including internships and job shadowing; occupational skills training; leadership development; supportive services; adult mentoring; counseling; and follow-up services.

### **Goals**

- To increase employment, as measured by entry into unsubsidized employment;
- To increase retention in unsubsidized employment six months after entry into employment;
- To increase earnings received in unsubsidized employment for dislocated workers;
- To increase the educational attainment of youth; and
- To enhance customer satisfaction for participants and for employers.

### **Services**

Services are provided through one-stop service centers. There are three levels of service:

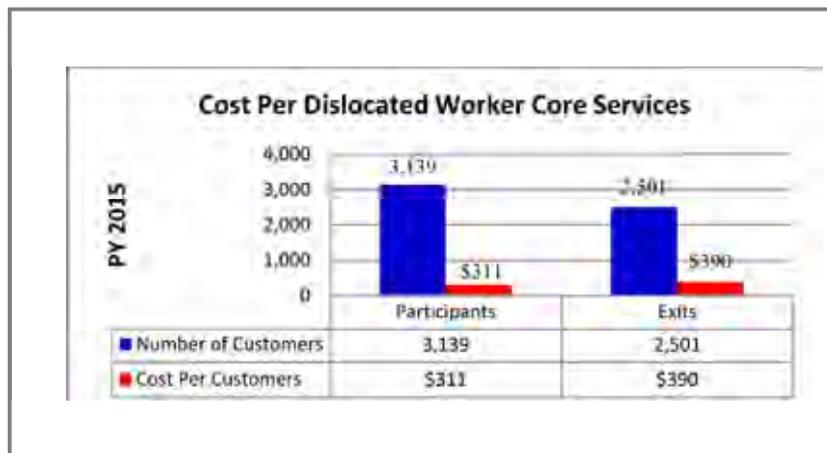
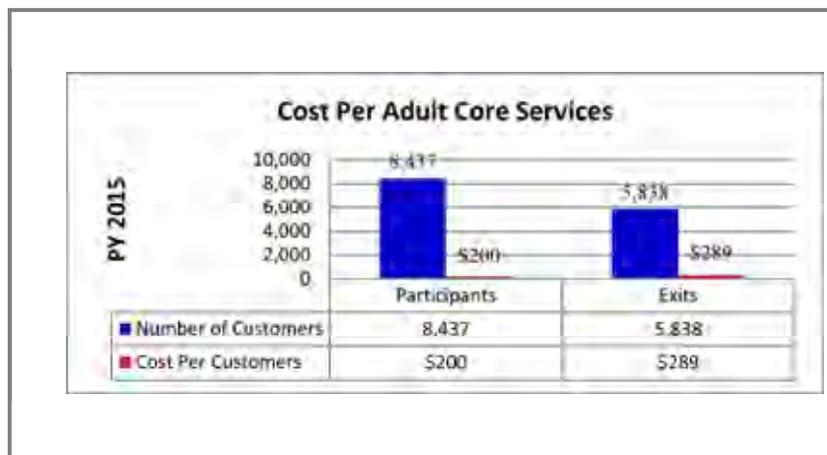
- Core, Intensive, and Training

The following charts provide cost per information for adult and dislocated worker participants and exiters.

**Core services** include job search and placement assistance (including career counseling); labor market information (which identifies job vacancies, skills needed for in-demand jobs, and local, regional and national employment trends); initial skill assessment; information about available services; and some follow-up services to help customers keep their jobs once they are placed.

**PY 2015 Adult Core Service Expenditures \$1,687,550.**

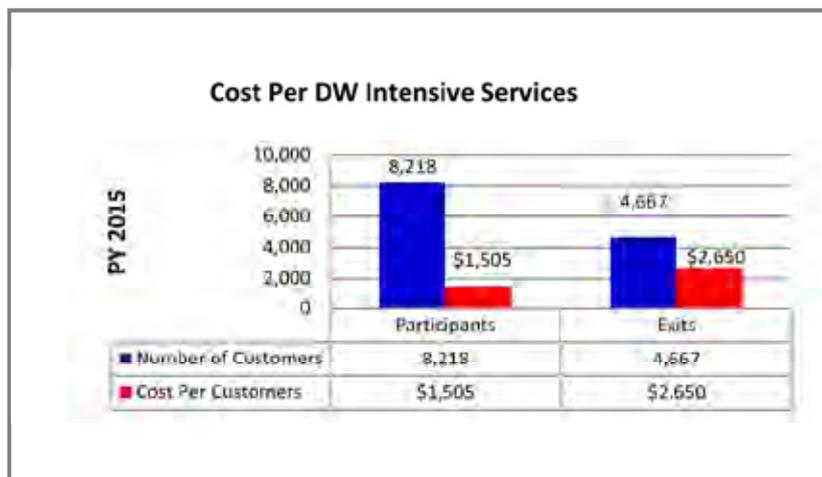
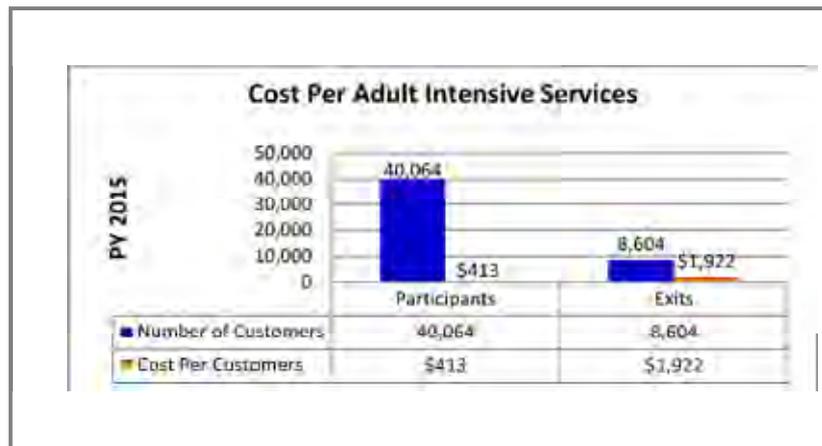
**PY 2015 Dislocated Worker Core Service Expenditures \$975,120.**



**Intensive services** include more comprehensive assessments, development of individual employment plans, group and individual counseling, case management, and short-term pre-vocational services.

**PY 2015 Adult Intensive Services Expenditures \$16,537,160.**

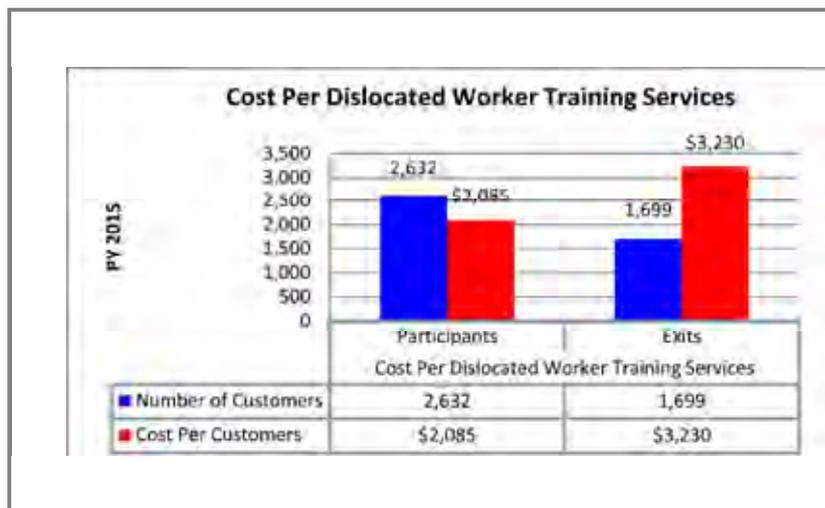
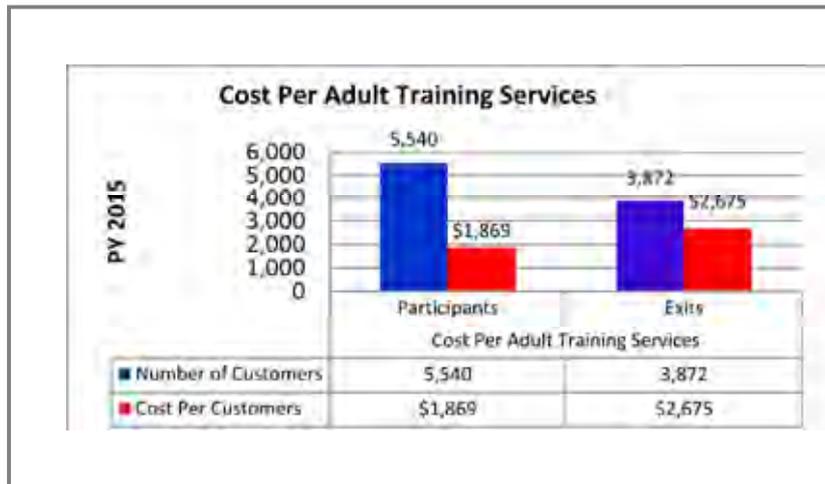
**PY 2015 Dislocated Worker Intensive Services Expenditures \$12,365,925.**



**Training** is available for those who meet intensive services eligibility but were unable to find employment through those services.

**PY 2015 Adult Training Service Expenditures \$10,336,021.**

**PY 2015 DW Training Service Expenditures \$5,488,570.**



## How Mix of Service Affected the Actual Outcome

### Adults

There are three levels of service:

**Core Services** - includes outreach, job search and placement assistance, and labor market information available to all job seekers.

**Intensive Services** - includes more comprehensive assessments, development of individual employment plans, and counseling and career planning.

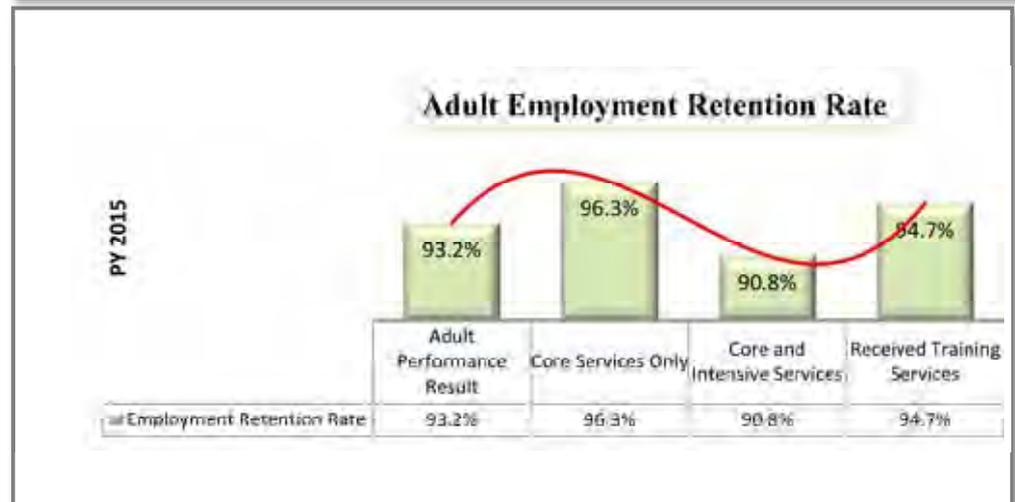
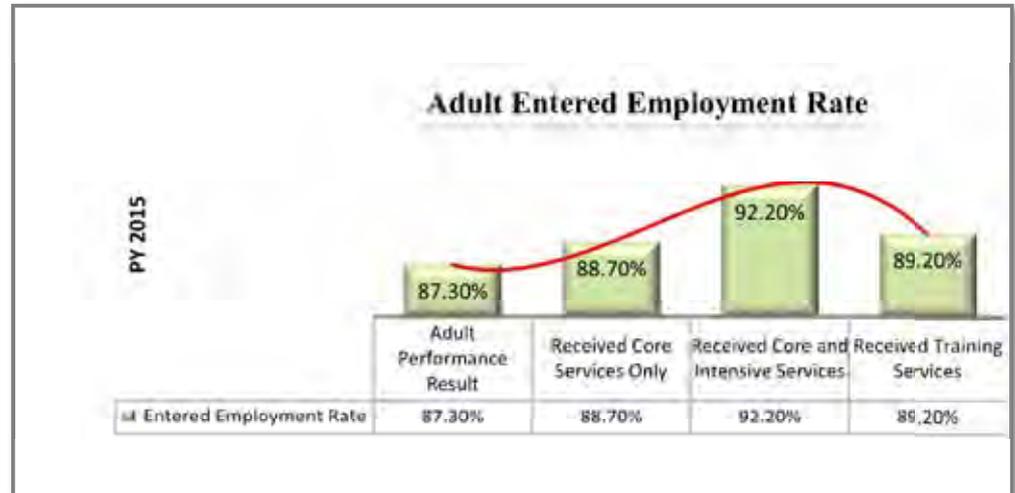
**Training Services** - Customers are linked to job opportunities in their communities, requiring both occupational training and training in basic skills. Participants use an "individual training account" to select an appropriate training program from a qualified training provider.

The charts show how each service affected the performance outcome for Adults, which is:

*To increase employment;*

*To increase job retention in six months;*

*To increase earnings received in unsubsidized employment.*



## How Mix of Service Affected the Actual Outcome

### Dislocated Workers

There are three levels of service:

**Core Services** - includes outreach, job search and placement assistance, and labor market information available to all job seekers.

**Intensive Services** - includes more comprehensive assessments, development of individual employment plans, and counseling and career planning.

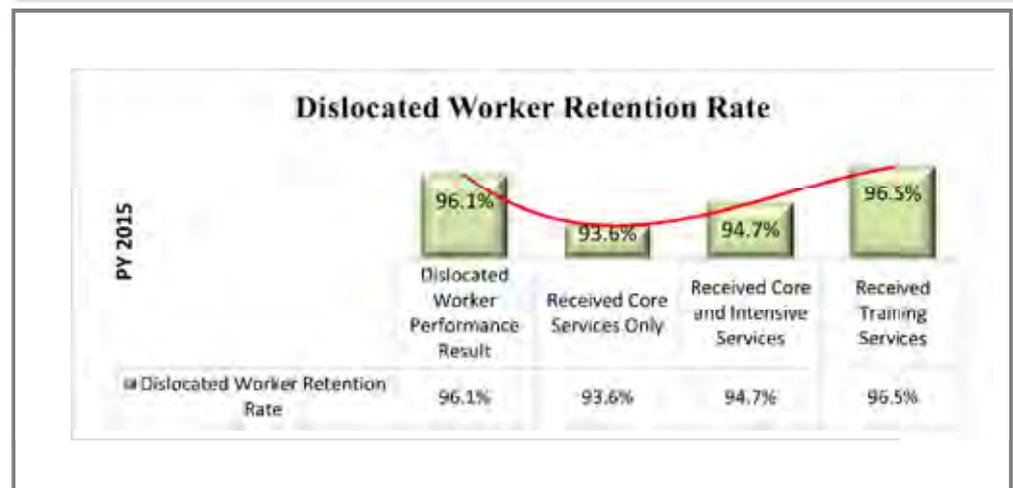
**Training services** - Customers are linked to job opportunities in their communities, requiring both occupational training and training in basic skills. Participants use an "individual training account" to select an appropriate training program from a qualified training provider.

The charts show how each service affected the Dislocated Worker performance outcome, which is:

*To increase employment;*

*To increase job retention in six months;*

*To increase earnings received in unsubsidized employment.*



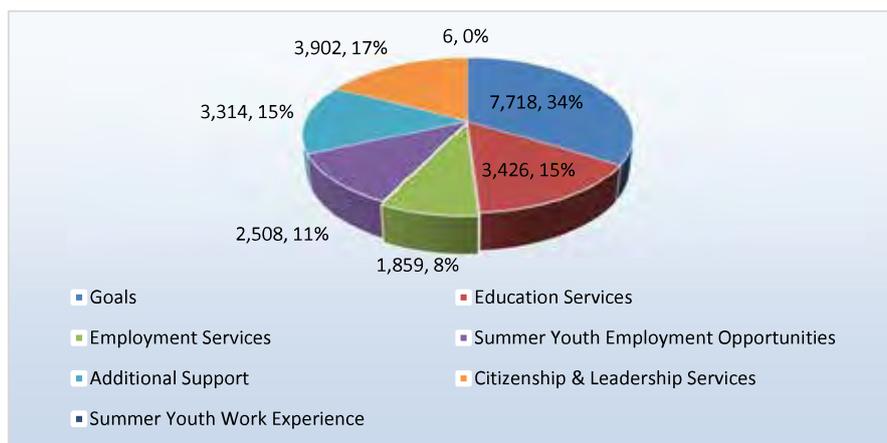
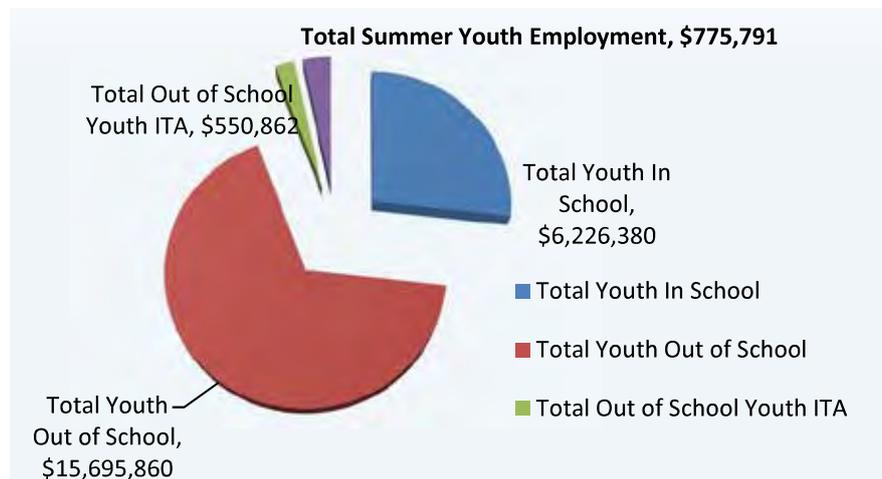
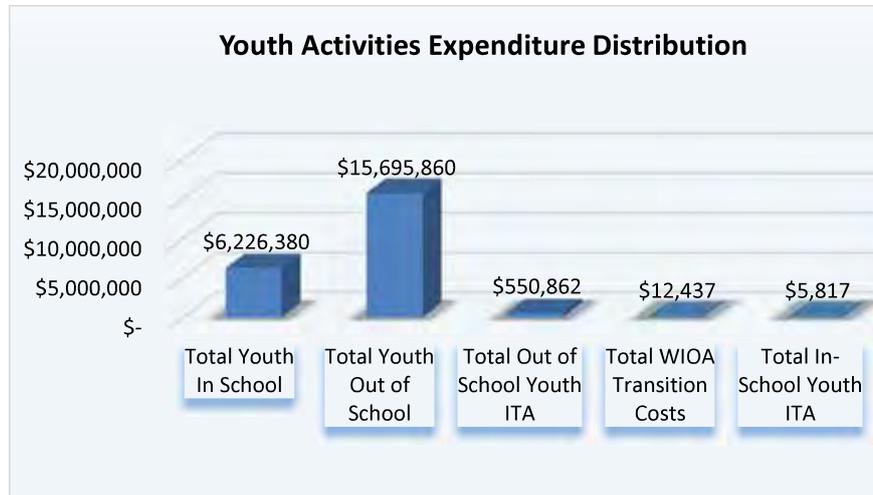
## Youth Service Activities and Expenditures

The ten program elements required under WIA Section 129(c)(2) and 20 CFR 664.410 are:

1. Tutoring, study skills training, and instruction leading to secondary school completion, including dropout prevention strategies;
2. Alternative secondary-school offerings;
3. Summer employment opportunities linked to academic and occupational learning;
4. Paid and unpaid work experiences;
5. Occupational skills training;
6. Leadership development opportunities;
7. Supportive services;
8. Mentoring;
9. Follow-up services; and
10. Comprehensive guidance and counseling.

Michigan Youth program expenditures for PY 2015 totaled \$2,248,892, 71.6% of which funded out-of-school youth. The expenditure and activities charts provide a detailed mix of service and activity breakdown, as well as the number of activities youth were enrolled in.

Goals made up 34% of all activities. These activities totaled 7,718.



## Michigan's PY 2015 Out-of-School Youth Performance

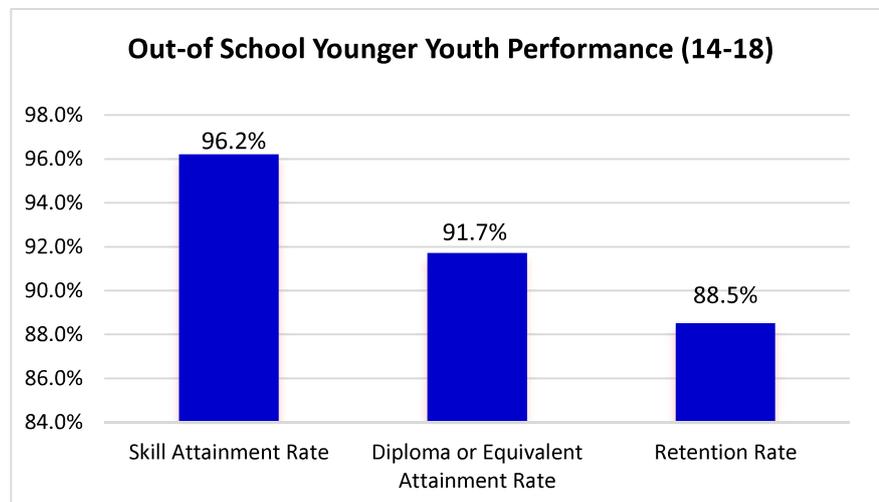
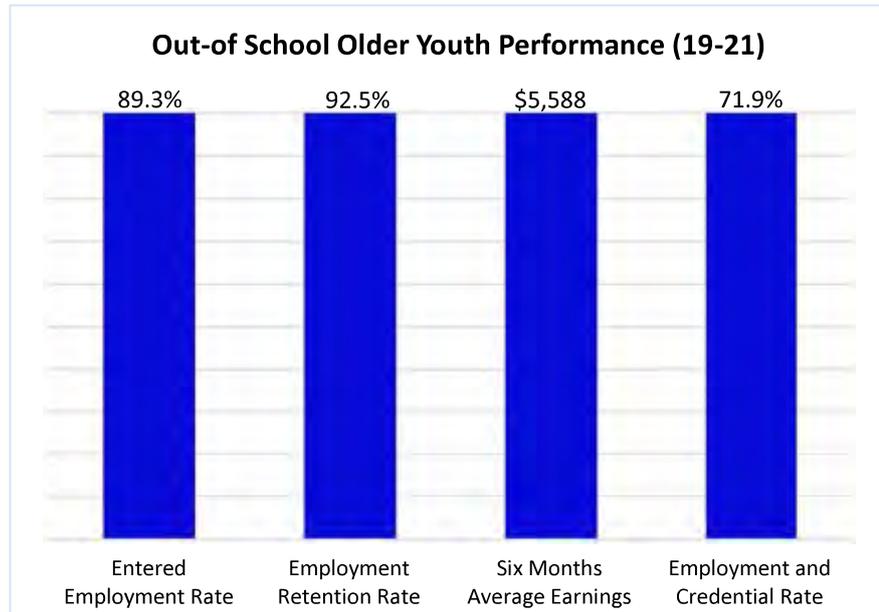
An eligible youth who is a school drop-out or a youth who has received a secondary school diploma or its equivalent but is basic skills deficient may be considered an Out-of-School Youth.

The experiences of young people that drop out of school or soon after they leave school often play a critical part in their long-term future. It is a time when they develop occupational competence, learn to apply their academic capabilities, and gain the generic workplace skills required in most jobs. It is often a time of testing careers and of completing formal education. Starting out on the right foot also allows youth to demonstrate a track record necessary for a productive career.

WIA Youth programs are operated on a year-round basis by local Michigan Works! Agencies (MWAs). Available services include tutoring, study skills training, alternative secondary school offerings, dropout recovery services, paid and unpaid work experiences, including summer employment opportunities, occupational skills training, education offered concurrently with workforce preparation, leadership development opportunities, supportive services, adult mentoring, follow-up services, comprehensive guidance and counseling, financial literacy

education, entrepreneurial skills training, provision of labor market and employment information, and activities that help youth prepare for, and transition to, post-secondary education and training.

Michigan's WIA Out-of-School participating youth met or exceeded six of the seven negotiated plan levels. This is taking into account that they were basic skills deficient, low income, and possibly an offender, homeless, runaway, pregnant or parenting, disabled, or a current or prior foster child.



## CUSTOMER SATISFACTION METHODOLOGY AND PROCESS

Customer satisfaction is essential to the continuous improvement of services administered through the Workforce Investment Act (WIA). We find that the best way to find out whether our customers are satisfied is to ask them.

Michigan continues to utilize the American Customer Satisfaction Index (ACSI) to meet the customer satisfaction measurement needs of the WIA. The survey approach utilized allows the state flexibility and, at the same time, captures common customer satisfaction information for the state's local areas, resulting in an aggregate count for the state.

The sampling methodology used to select potential respondents for the surveys ensures the consistent random selection of a sample of customers eligible for the surveys. Participant samples are drawn on a monthly basis.

The minimum response rate is 70 percent. The response rate is calculated as the number of respondents with **complete** customer satisfaction information divided by the total number in the sampling. A survey is considered **complete** where valid answers are provided by respondents for each of the core questions outlined by the state:

What is your overall satisfaction with the services?

To what extent have the services met your expectations?

How well did the services you received compare with the ideal set of services?

Michigan recorded high levels of satisfaction from participants surveyed. From January 1, 2015 to December 31, 2015, participants across the state of Michigan reported an average score of 97 percent, exceeding the negotiated plan level of 93 percent. This resulted in 104 percent of the plan achieved and a response rate of 75.3 percent. Employers working with Michigan's workforce programs reported an average score of 86.8 percent, exceeding the negotiated plan level of 86 percent, with 101 percent of the negotiated plan level achieved and a response rate of 82.4 percent.

### When to Conduct a Customer Satisfaction Survey?

The best time to conduct a customer satisfaction survey is when the experience is fresh in their minds. If you wait to conduct a survey, the customer's response may be less accurate.

### Who are surveyed?

WIA Title I-B participants with a last expected service date are eligible to be chosen for inclusion in the random sample. WIA Title I-B participants include individuals who are either adults, dislocated workers, older youth (ages 19-21), or younger youth (ages 14-18).

### Sample of Interview Questions

Utilizing a scale of 1 to 10 where a 1 means “Very Dissatisfied” and 10 means “Very Satisfied” what is your overall satisfaction with the services provided?

Considering all of the expectations you may have had about the services, to what extent have the services met your expectations? A 1 now means “Falls Short of Your Expectations” and 10 means “Exceeds Your Expectations.”

Now think of the ideal program for people in your circumstances. How well do you think the services you received compare with the ideal set of services? A 1 now means “Not Very Close to the Ideal” and 10 means “Very Close to the Ideal.”

#### **WIA Participant Customer Satisfaction**

The weighted average of participant ratings on each of the three questions regarding overall satisfaction is reported on a 0-100 point scale. The score is a weighted average, not a percentage.

Participant customer satisfaction responses are collected by way of telephone interviews.

**A survey is considered *complete* where valid answers are provided by respondents for each of the core questions:**

What is your overall satisfaction with the services?

To what extent have the services met your expectations?

How well did the services you received compare with the ideal set of services?

**The average score is of the three survey questions completed by the respondent.**

Response Rate - The percentage of people in the sample who are contacted and responded to all three core questions on the survey.

#### **Measuring Employer Customer Satisfaction**

The weighted average of employer ratings on each of the three questions regarding overall satisfaction is reported on a 0 - 100 point scale. The score is a weighted average, not a percentage.

Employer customer satisfaction responses are collected by way of telephone interviews.

**A survey is considered *complete* where valid answers are provided by respondents for each of the core questions:**

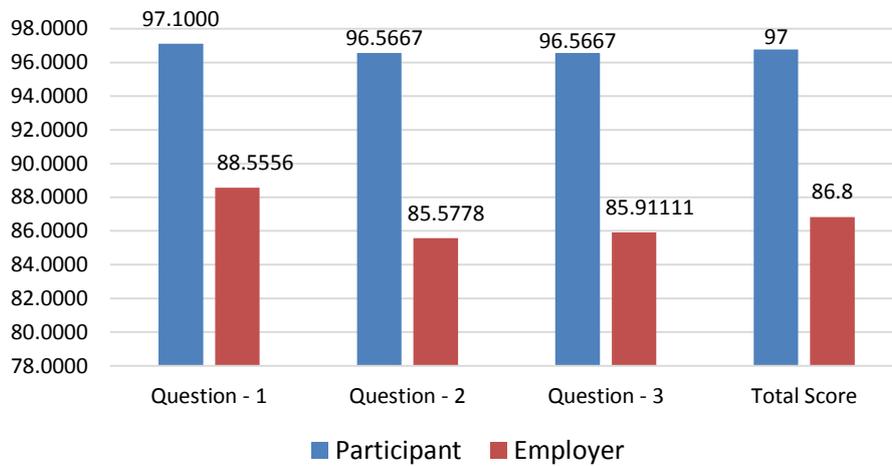
What is your overall satisfaction with the services?

To what extent have the services met your expectations?

How well did the services you received compare with the ideal set of services?

**The average weighted score of each of the survey questions completed by the respondent.**

### PY 2015 Customer Satisfaction Detailed Report



### Customer Service Feedback

Michigan's customer satisfaction survey format gives the service providers an understanding of customers' expectations and satisfaction levels. The customer satisfaction survey represents multiple questions that address different dimensions of the satisfaction concept. This comprises a measure of overall satisfaction and satisfaction with individual service and service attributes.

In order to capture the state of mind customers have about a service when their expectations have not been met or exceeded, Michigan collects transcripts on each survey taken. Those transcripts are available and utilized to frame a training outline that focuses on an improvement in service delivery.

**WIA ADULT, DISLOCATED WORKER, YOUTH PROGRAM AND EMPLOYER SUCCESS STORIES**

Name: Kimberly Sapp  
Employer: St. Mary's  
Program: Adult

Kimberly Sapp was attending Ferris State University to receive her AAS in Respiratory Care. During her last year of school, Kimberly came to Michigan Works! seeking tuition assistance. While she did have a full-time bartending job, the costs of tuition, fees, transportation, and lodging during clinicals was more than Kimberly could afford. She was worried she would have to drop out of school.

Since Kimberly was working towards a degree in an in-demand occupation, Michigan Works! was able to help her pay for her tuition, books, and fees needed to obtain her degree, as well as help pay for mileage, uniforms, hotel stays while at clinicals, and her Certified Respiratory Therapist exam fee.

With the financial aid Michigan Works! was able to provide, Kimberly was able to finish her degree. She passed her exams and gained employment at St. Mary's making \$17.10 per hour as a Respiratory Therapist.

"I was going to have to drop out of school because my clinical schedule was very demanding. I couldn't juggle work and school. Michigan Works! made it possible to manage both. With the financial support they provided me, I was able to work, do my clinical rotation and finally graduate. They have gone above and beyond to help me achieve my goal and now I am employed in my field of study. I am very grateful and I couldn't have done it without them," says Kimberly.

Name: Katherine Williams-Campbell  
Employer: Alliance Health  
Program: Dislocated Worker

Katherine had been in the banking business nearly all of her adult working life. When the industry started to decline, she found that her life in the financial industry came to a halt. She decided to change her career entirely.

As a single parent collecting unemployment insurance benefits, Katherine decided to visit Michigan Works! to research the possibilities. In the beginning, she considered training as a Radiological Technician. After completing the O\*NET Career Interest Survey, a self-directed career exploration/assessment tool that helps individuals discover and plan their career options, Katherine decided to train as a Medical Assistant.

Katherine enrolled in the Associate degree program at Macomb Community College in August 2013. A Pell Grant and WIA Dislocated Worker training funds were used to meet the costs of tuition, books, and supplies. She was on the Dean's list and excelled each and every semester. Less than two and a half years later, Katherine graduated from Macomb Community College and was hired by Alliance Health as a Medical Assistant.

Name: Aaron Ward  
Employer: Working Part-Time While Attending School  
Program: Youth

Aaron Ward struggled in math and didn't know what he wanted to do with his life. He lacked organizational skills and didn't have any work experience. Aaron began working with the Jobs for Michigan's Graduates Specialist to overcome these challenges. In addition to working through the Jobs for Michigan's Graduates curriculum, he began to meet weekly with the Jobs for Michigan's Graduates Specialist at Orchard View High School to monitor his academic progress and receive tutoring.

During Aaron's first year participating in a summer work experience, his employer decided to continue his employment after his subsidized work experience ended. With the help of his Jobs for Michigan's Graduates Specialist, Aaron participated in the Early College program with Orchard View High School and Muskegon Community College. He earned over 30 college credits as a high school student and graduated second in his class.

Aaron is currently participating in the Jobs for Michigan's Graduates summer work experience, working with Muskegon Charter Township's Department of Public Works in the morning, part-time at the Pita Place in the evening, and taking a summer class at Muskegon Community College. In the fall, Aaron will be a full-time student at Muskegon Community College. After earning his Associate's degree, Aaron will transfer to a four-year university where he will major in Environmental Science.

Employer: Harbor Freight Tools  
Program: Business Services

The corporate offices of Harbor Freight Tools in California contacted Michigan Works! and informed the staff that Harbor Freight Tools was opening a new store in Howell. The Grand Opening was scheduled for mid-October and the company would need assistance with staffing the location. The manager of the new store, Tracey Weber, would need to recruit for 45 positions that were available.

Beginning as early as July, staff assisted with recruiting. Tracey spent countless hours at the service center until all of the hiring needs were met in September. Orientation was scheduled to be held at the service center on September 10, 2015, with the goal to have the store staffed and running smoothly leading up to the Grand Opening.

The Grand Opening was a huge success and better than expected. "Merchandise was flying off the shelves," stated Tracey the Store Manager. According to Tracey, trucks continued to arrive with merchandise to restock the store in hopes of keeping up with the sales. Mark Callaghan, one of the first store customers, stated he had to return four times that day purchasing more items.

Due to the successful partnership with Harbor Freight Tools and the professional yet passionate way in which Tracey conducted business and recruitment for the store, both were nominated and selected to receive an "Outstanding Service Award" at the 2015 Livingston County Workforce Development Council's Annual Awards Ceremony in October 2015.

## WIA WAIVERS

The following waivers, as approved by the United States Department of Labor (USDOL), were in place during PY 2015 in alignment with USDOL Training and Employment Guidance Letter (TEGL) 1-15, issued July 1, 2015.

- Waiver allowing local Workforce Development Boards (WDBs) to use up to twenty percent of their WIA Dislocated Worker formula funds to support local Incumbent Worker Training (IWT) programs as part of a layoff aversion strategy under the WIA Section 134(a). All training under this waiver is restricted to skill attainment activities.
- Waiver allowing the transfer of up to fifty percent of local formula funds between the WIA Adult and Dislocated Worker programs under WIA Section 133(b)(4).
- Waiver allowing the use of a sliding scale based on employer size or length of unemployment for On-the-Job Training (OJT) employer reimbursement under the WIA Section 101(31)(B).
- Waiver allowing a sliding scale based on employer size for the Customized Training employer contribution requirement under WIA Section 101(8)(C).
- Waiver allowing the use of Individual Training Accounts (ITAs) for all Youth program participants at 20 Code of Federal Regulation (CFR) 664.510.
- Waiver of the WIA Regulations at Section 666.100 to exempt from inclusion in the credential performance measure calculations credential attainment outcomes for participants enrolled in OJT.
- Waiver of the requirement at the WIA Section 134(a)(2)(B)(ii) to conduct evaluations of WIA activities for adults, dislocated workers, and youth.

Michigan was previously granted a waiver from the requirement to conduct evaluations of workforce investment activities for adults, dislocated workers, and youth in order to promote, establish, and implement methods for continuous improvement in the efficiency and effectiveness of the statewide workforce investment system in improving the employability of jobseekers and the competitiveness of employers. As such, Michigan has no information to include in this report concerning evaluations that either concluded, or commenced, during PY 2015 for the WIA.

The above waivers previously assisted the State and local areas in further developing and operating an IWT program focused on layoff aversion and skill attainment activities, increased local areas' flexibility to meet fluctuating demand for services, and increased the capacity of local areas to respond to individual training needs. The waivers provided local areas with the flexibility necessary to respond efficiently and effectively to changing local conditions and demands. Use of the waivers during PY 2015 continued in alignment with USDOL TEGL 1-15 for already obligated funds. However, the Workforce Innovation and Opportunity Act (WIOA) negated the need to extensively use some of the waivers as the WIOA offers such flexibility, or even greater flexibility in some cases, without a waiver. As such, the most applicable waivers for PY 2015 were those that offered a more flexible sliding scale reimbursement than the WIOA and performance flexibility.

### **On-the-Job Training (OJT) and Customized Training Waivers**

Waivers were previously granted to local areas that allowed sliding scales based on employer size for Customized Training employer contribution requirements. In addition, waivers were previously granted to local areas that allowed sliding scales based on employer size and/or length of unemployment for OJT employer reimbursement.

OJT waivers to increase employer reimbursement for OJT through a sliding scale were based on the size of the business or the length of an individual's unemployment. Training delivered under the waiver allowed local areas to provide additional assistance to employers in creating jobs for WIA participants. The waivers provide assistance to employers in creating jobs sooner, rather than later, by reimbursing some of the cost of training new workers.

Waivers of the required employer contribution for Customized Training utilizing a sliding scale were also based on the size of the employer. Under the waiver, a sliding scale for the employer matching cost component created an incentive for small and mid-sized employers to participate in Customized Training, resulting in high-skill, high-demand, and/or high-wage attainment.

### **Waiver Impact**

The waivers previously granted to the State of Michigan provided the State and local areas with increased flexibility in the administration and operation of its workforce programs. The increased flexibility enabled local areas to tailor their programs to meet local participant and employer demands and to ensure specific needs were met.

Key waiver impacts were as follows:

- Local areas had greater control over program design and program management. The increased local flexibility to respond to ever-changing local and regional economic conditions provided the ability to more efficiently and effectively respond to changing demands.
- Employers were provided with access to training resources necessary to remain viable and competitive in today's global economy. Higher labor force quality is a key competitive factor affecting an area's attractiveness for location and growth of business. Higher labor force quality drives local creation of high-quality jobs, thereby increasing local earnings per capita.
- Increased the skills of local and regional workforces by learning new technologies, enabling Michigan's workers to be globally competitive and offering workers the chance to advance to higher paying positions or maintain their current jobs and avoid layoffs.
- Filled employment gaps in high-demand, high-growth occupational fields, such as agriculture, energy, healthcare, information technology, and manufacturing via in-demand training.
- Built and expanded positive relationships between employers, local areas, service providers, and community colleges and other training institutions by better aligning capacity with demand for services.

### **Challenges**

There were no challenges identified with respect to the utilization of the state's waivers during Program Year 2015.

## WIA Annual Report (PY 2015)

Table A - Workforce Investment Act Customer Satisfaction Results

Customer Satisfaction	Negotiated Performance Level	Actual Performance Level - American Customer Satisfaction Index	Number of Surveys Completed	Number of Customers Eligible for the Survey	Number of Customers Included in the Sample	Response Rate
Participants	93	97	4905	9675	6516	75.3
Employers	86	86.8	1140	1383	1383	82.4

Table B - Adult Program Results

Reported Information	Negotiated Performance Level	Actual Performance Level
Entered Employment Rate	89	87.38
		2,547.00
Employment Retention Rate	92	93.26
		5,118.00
Six Months Average Earnings	\$16,000.00	\$17,257.76
		\$81,680,996.18
Employment and Credential Rate	82	82.21
		2,796.00
		3,401.00

Table C - Outcomes for Adult Special Populations

Reported Information	Public Assistance Recipients Receiving Intensive or Training Services		Veterans		Individuals with Disabilities		Older Individuals	
Entered Employment Rate	85.74	908.00	91.46	150.00	78.90	86.00	85.57	172.00
		1,059.00		164.00		109.00		201.00
Employment Retention Rate	89.13	1,361.00	94.67	213.00	85.71	132.00	93.75	390.00
		1,527.00		225.00		154.00		416.00
Six Months Average Earnings	\$11,973.31	\$14,810,988.76	\$19,257.05	\$3,678,096.23	\$13,841.59	\$1,619,465.89	\$20,940.76	\$7,622,435.67
		1,237.00		191.00		117.00		364.00
Employment and Credential Rate	75.34	712.00	72.13	88.00	69.51	57.00	82.43	183.00
		945.00		122.00		82.00		\$222.00

**Table D - Outcome Information by Service Level for the Adult Program**

Reported Information	Individuals Who Only Received Core Services		Individuals Who Only Received Core and Intensive Services		Individuals Who Received Training Services	
Entered Employment Rate	88.78	182.00	92.29	706.00	89.24	1,385.00
		205.00		765.00		1,552.00
Employment Retention Rate	96.32	288.00	90.80	1,165.00	94.47	3,380.00
		299.00		1,283.00		3,578.00
Six-Months Average Earnings	\$17,371.14	\$4,829,178.25	\$12,994.74	\$13,007,738.15	\$19,040.82	\$60,530,760.14
		278.00		1,001.00		3,179.00

**Table E - Dislocated Worker Program Results**

Reported Information	Negotiated Performance Level	Actual Performance Level	
Entered Employment Rate	94	94.64	2,172.00
			2,295.00
Employment Retention Rate	94	96.01	2,524.00
			2,629.00
Six Months Average Earnings	\$17,300.00	\$17,451.82	\$40,296,257.75
			2,309.00
Employment and Credential Rate	83	77.46	1,175.00
			1,517.00

**Table F - Outcomes for Dislocated Worker Special Populations**

Reported Information	Veterans		Individuals with Disabilities		Older Individuals		Displaced Homemakers	
Entered Employment Rate	94.12	160.00	93.88	46.00	91.67	286.00	96.77	30.00
		170.00		49.00		312.00		31.00
Employment Retention Rate	94.76	181.00	92.31	48.00	94.85	313.00	84.85	28.00
		191.00		52.00		330.00		33.00
Six Months Average Earnings	\$18,712.27	\$3,087,523.99	\$14,762.12	\$590,484.76	\$16,456.49	\$4,591,361.87	\$15,007.75	\$390,201.56
		165.00		40.00		279.00		26.00
Employment and Credential	69.83	81.00	87.80	36.00	72.26	112.00	84.00	21.00
		116.00		41.00		155.00		25.00

**Table G - Outcome Information by Service Level for the Dislocated Worker Program**

Reported Information	Individuals Who Only Received Core Services		Individuals Who Only Received Core and Intensive Services		Individuals Who Received Training Services	
Entered Employment Rate	91.95	80.00	96.25	513.00	94.11	1,357.00
		87.00		533.00		1,442.00
Employment Retention Rate	93.65	118.00	94.72	556.00	96.52	1,636.00
		126.00		587.00		1,695.00
Six-Months Average Earnings	\$18,463.01	\$1,975,541.94	\$16,014.15	\$7,862,948.23	\$17,925.19	\$27,049,105.59
		107.00		491.00		1,509.00

**Table H.1 - Youth (14-21) Program Results**

Reported Information	Negotiated Performance Level	Actual Performance Level	
Placement in Employment or Education Rate	0	70.70	1,667.00
			2,358.00
Attainment of Degree or Certificate Rate	0	50.44	981.00
			1,945.00
Literacy and Numeracy Gains	\$0.00	3.58	42.00
			1172.00

**Table H.1.A - Outcomes for Youth Special Populations\***

Reported Information	Public Assistance Recipients		Veterans		Individuals with Disabilities		Out-of-School Youth	
Placement in Employment or Education Rate	70.96	782.00	0.00	0.00	68.85	305.00	84.19	538.00
		1102.00		0.00		443.00		639.00
Attainment of Degree or Certificate Rate	50.88	464.00	0.00	0.00	58.23	237.00	8.80	11.00
		912.00		0.00		407.00		125.00
Literacy and Numeracy Gains	2.79	14.00	0.00	0.00	12.35	20.00	3.58	42.00
		501.00		0.00		162.00		1172.00

Table H.2 - Older Youth Results (19-21)\*

Reported Information	Negotiated Performance Level	Actual Performance Level	
Entered Employment Rate	85	87.85	376.00
			428.00
Employment Retention Rate	90	92.54	558.00
			603.00
Six Months Average Earnings	\$4,900.00	\$5,736.86	\$2,920,059.48
			509.00
Employment and Credential Rate	78	71.83	385.00
			536.00

Table I - Outcomes for Older Youth Special Populations\*

Reported Information	Public Assistance Recipients		Veterans		Individuals With Disabilities		Out-of-School Youth	
Entered Employment Rate	85.29	145.00	0.00	0.00	86.96	40.00	89.33	318.00
		170.00		0.00		46.00		356.00
Employment Retention Rate	93.36	211.00	0.00	0.00	96.97	64.00	92.50	481.00
		226.00		0.00		66.00		520.00
Six Months Average Earnings	\$5,530.87	\$1,039,804.04	\$0.00	\$0.00	\$5,841.50	\$286,233.47	\$5,588.33	\$2,475,631.58
		188.00		\$0.00		49.00		443.00
Employment and Credential	75.24	155.00	0.00	0.00	66.67	36.00	71.91	320.00
		206.00		0.00		54.00		445.00

Table J - Younger Youth Results (14-18)\*

	Negotiated Performance Level	Actual Performance Level	
Skill Attainment Rate	94.00	96.21	6,099.00
			6,339.00
Diploma or Equivalent Attainment Rate	90.00	91.76	936.00
			1,020.00
Retention Rate	85.00	88.53	1,412.00
			1,595.00

Table K - Outcomes for Younger Youth Special Populations

Reported Information	Public Assistance Recipients		Individuals With Disabilities		Out-of-School Youth	
Skill Attainment Rate	95.71	2921.00	97.75	1087.00	91.91	1182.00
		3052.00		1112.00		1286.00
Diploma or Equivalent Attainment Rate	92.89	444.00	89.36	210.00	73.38	113.00
		478.00		235.00		154.00
Retention Rate	87.19	667.00	88.56	302.00	83.52	294.00
		765.00		341.00		352.00

Table L - Other Reported Information

	12 Month Employment Retention Rate		12 Mo. Earnings Change (Adults and Older Youth) or 12 Mo. Earnings Replacement (Dislocated Workers)		Placements for Participants in Nontraditional Employment		Wages At Entry Into Employment For Those Individuals Who Entered Unsubsidized Employment		Entry Into Unsubsidized Employment Related to the Training Received of Those Who Completed Training Services	
Adults	89.05	5122.00	\$6,274.18	\$32,506,514.03	3.73	95.00	\$6,478.18	\$15,282,035.82	\$73.00	1,011.00
		5752.00		5,181.00		2,547.00		\$2,359.00		1,385.00
Dislocated Workers	90.95	2642.00	\$141.68	\$43,549,692.22	2.95	64.00	\$8,023.23	\$16,351,339.38	\$73.40	996.00
		2905.00		\$30,739,030.13		2,172.00		\$2,038.00		1,357.00
Older Youth	86.11	595.00	\$5,523.16	\$3,242,096.39	0.80	3.00	\$3,794.24	\$1,187,597.21		
		691.00		\$587.00		376.00		\$313.00		

Table M - Participation Levels

	Total Participants Served	Total Exiters
Total Adults	317,497.00	292,848.00
Total Adults (self)	290,495.00	287,058.00
WIA Adults	312,749.00	290,813.00
WIA Dislocated Workers	4,748.00	2,035.00
Total Youth (14-21)	7,735.00	2,888.00
Younger Youth (14-18)	5,265.00	2,450.00
Older Youth (19-21)	2,470.00	438.00
Out-of-School Youth	3,734.00	707.00
In-School Youth	4,001.00	2,181.00

Table N - Cost of Program Activities

Program Activity		Total Federal Spending
Local Adults		\$25,781,978
Local Dislocated Workers		25,930,682
Local Youth		24,957,988
Rapid Response (up to 25%) WIA Section 134(a)(2)(B)		3,477,253
Statewide Required Activities (up to 15%) WIA Section 134 (a)(2)(B)		2,511,490
Statewide Allowable Activities WIA Section 134 (a)(3)	Program Activity Description	
	Capacity Building	600,000
	JAG Expansion	246,560
	LMI MOU	84,186
	Realignment	126,690
	Miscellaneous	3,240,425
Total of All Federal Spending Listed Above		\$86,957,252

**Table O - Local Performance**  
**Local Board (26110) - Berrien-Cass-Van Buren**

<b>Local Area Name</b>	<b>Total Participants Served</b>	<b>Adults</b>	8,132
		<b>Dislocated Workers</b>	84
		<b>Older Youth (19-21)</b>	13
		<b>Younger Youth (14-18)</b>	31
<b>ETA Assigned Number</b>	<b>Total Exiters</b>	<b>Adults</b>	8,160
		<b>Dislocated Workers</b>	43
		<b>Older Youth (19-21)</b>	4
		<b>Younger Youth (14-18)</b>	50
<b>Reported Information</b>		<b>Negotiated Performance Level</b>	<b>Actual Performance Level</b>
<b>Customer Satisfaction</b>	<b>Program Participants</b>	93	94
	<b>Employers</b>	86	87
<b>Entered Employment Rates</b>	<b>Adults</b>	83	99
	<b>Dislocated Workers</b>	93	97
	<b>Older Youth</b>	84	100
<b>Retention Rates</b>	<b>Adults</b>	87	95
	<b>Dislocated Workers</b>	93	97
	<b>Older Youth</b>	90	100
	<b>Younger Youth</b>	78	94
<b>Six Months Average Earnings</b>	<b>Adults</b>	15,200	16,195
	<b>Dislocated Workers</b>	16,200	17,560
<b>Six Months Earnings Increase</b>	<b>Older Youth</b>	4,300	8,694
<b>Credential/Diploma Rates</b>	<b>Adults</b>	79	93
	<b>Dislocated Workers</b>	81	79
	<b>Older Youth</b>	65	100
	<b>Younger Youth</b>	86	100
<b>Skill Attainment Rate</b>	<b>Younger Youth</b>	92	95
<b>Placement in Employment or Education</b>	<b>Youth (14-21)</b>	0	71
<b>Attainment of Degree or Certificate</b>	<b>Youth (14-21)</b>	0	49
<b>Literacy or Numeracy Gains</b>	<b>Youth (14-21)</b>	0	0
<b>Description of Other State Indicators of Performance (WIA Section 136(d)(1))</b>		0	0
N/A		0	0
N/A		0	0
<b>Overall Status of Local Performance</b>	<b>Not Met</b>	<b>Met</b>	<b>Exceeded X</b>

**Table O - Local Performance**  
**Local Board (26045) - Capital Area Michigan Works**

<b>Local Area Name</b>	<b>Total Participants Served</b>	Adults	9,646
		Dislocated Workers	247
		Older Youth (19-21)	62
		Younger Youth (14-18)	300
<b>ETA Assigned Number</b>	<b>Total Exiters</b>	Adults	9,549
		Dislocated Workers	98
		Older Youth (19-21)	11
		Younger Youth (14-18)	127
<b>Reported Information</b>		<b>Negotiated Performance Level</b>	<b>Actual Performance Level</b>
<b>Customer Satisfaction</b>	<b>Program Participants</b>	93	100
	<b>Employers</b>	86	88
<b>Entered Employment Rates</b>	<b>Adults</b>	90	98
	<b>Dislocated Workers</b>	94	97
	<b>Older Youth</b>	83	100
<b>Retention Rates</b>	<b>Adults</b>	92	97
	<b>Dislocated Workers</b>	95	99
	<b>Older Youth</b>	89	100
	<b>Younger Youth</b>	85	94
<b>Six Months Average Earnings</b>	<b>Adults</b>	15,000	16,128
	<b>Dislocated Workers</b>	16,000	17,434
<b>Six Months Earnings Increase</b>	<b>Older Youth</b>	4,200	6,945
<b>Credential/Diploma Rates</b>	<b>Adults</b>	83	95
	<b>Dislocated Workers</b>	84	97
	<b>Older Youth</b>	79	75
	<b>Younger Youth</b>	89	92
<b>Skill Attainment Rate</b>	<b>Younger Youth</b>	95	98
<b>Placement in Employment or Education</b>	<b>Youth (14-21)</b>	0	87
<b>Attainment of Degree or Certificate</b>	<b>Youth (14-21)</b>	0	68
<b>Literacy or Numeracy Gains</b>	<b>Youth (14-21)</b>	0	0
<b>Description of Other State Indicators of Performance (WIA Section 136(d)(1))</b>		0	0
N/A		0	0
N/A		0	0
<b>Overall Status of Local Performance</b>	<b>Not Met</b>	<b>Met</b> X	<b>Exceeded</b>

**Table O - Local Performance**  
**Local Board (26010) - Detroit Employment Solutions Corporation**

Local Area Name	Total Participants Served	Adults	26,705
		Dislocated Workers	607
		Older Youth (19-51)	529
		Younger Youth (14-18)	1,852
ETA Assigned Number	Total Exiters	Adults	11,568
		Dislocated Workers	9
		Older Youth (19-51)	9
		Younger Youth (14-18)	734
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	98
	Employers	86	84
Entered Employment Rates	Adults	83	90
	Dislocated Workers	95	85
	Older Youth	83	100
Retention Rates	Adults	89	91
	Dislocated Workers	91	100
	Older Youth	89	100
	Younger Youth	78	82
Six Months Average Earnings	Adults	11,400	13,144
	Dislocated Workers	15,800	16,515
Six Months Earnings Increase	Older Youth	4,500	9,358
Credential/Diploma Rates	Adults	82	83
	Dislocated Workers	84	89
	Older Youth	72	50
	Younger Youth	91	100
Skill Attainment Rate	Younger Youth	96	99
Placement in Employment or Education	Youth (14-51)	0	33
Attainment of Degree or Certificate	Youth (14-51)	0	9
Literacy or Numeracy Gains	Youth (14-51)	0	0
Description of Other State Indicators of Performance (WIA Section 136(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met X	Met	Exceeded

**Table O - Local Performance**  
**Local Board (26120) - GST Michigan Works!**

Local Area Name	Total Participants Served	Adults	23,419
		Dislocated Workers	246
		Older Youth (19-21)	214
		Younger Youth (14-17)	211
ETA Assigned Number	Total Exiters	Adults	23,007
		Dislocated Workers	209
		Older Youth (19-21)	95
		Younger Youth (14-17)	123
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	95
	Employers	86	86
Entered Employment Rates	Adults	81	90
	Dislocated Workers	90	92
	Older Youth	82	78
Retention Rates	Adults	88	89
	Dislocated Workers	92	96
	Older Youth	85	88
	Younger Youth	80	75
Six Months Average Earnings	Adults	12,267	11,359
	Dislocated Workers	13,767	14,264
Six Months Earnings Increase	Older Youth	4,033	4,139
Credential/Diploma Rates	Adults	78	54
	Dislocated Workers	81	57
	Older Youth	67	64
	Younger Youth	91	93
Skill Attainment Rate	Younger Youth	92	99
Placement in Employment or Education	Youth (14-21)	0	59
Attainment of Degree or Certificate	Youth (14-21)	0	34
Literacy or Numeracy Gains	Youth (14-21)	0	0
Description of Other State Indicators of Performance (WIA Section 136(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met	Met X	Exceeded

**Table O - Local Performance**  
**Local Board (26020) -Great Lakes Bay**

Local Area Name	Total Participants Served	Adults	16,542
		Dislocated Workers	660
		Older Youth (19-21)	55
		Younger Youth (17-18)	202
ETA Assigned Number	Total Exiters	Adults	16,418
		Dislocated Workers	333
		Older Youth (19-21)	21
		Younger Youth (17-18)	134
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	95
	Employers	86	88
Entered Employment Rates	Adults	90	89
	Dislocated Workers	94	96
	Older Youth	83	84
Retention Rates	Adults	93	90
	Dislocated Workers	93	93
	Older Youth	88	87
	Younger Youth	81	78
Six Months Average Earnings	Adults	14,500	13,331
	Dislocated Workers	14,767	16,695
Six Months Earnings Increase	Older Youth	4,333	3,023
Credential/Diploma Rates	Adults	83	83
	Dislocated Workers	83	93
	Older Youth	67	56
	Younger Youth	89	83
Skill Attainment Rate	Younger Youth	94	97
Placement in Employment or Education	Youth (17-21)	0	80
Attainment of Degree or Certificate	Youth (17-21)	0	73
Literacy or Numeracy Gains	Youth (17-21)	9	28
Description of Other State Indicators of Performance (WIA Section 136(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met X	Met	Exceeded

**Table O - Local Performance**  
**Local Board (26015) - Macomb-St. Clair Workforce Development Board**

Local Area Name	Total Participants Served	Adults	33,605
		Dislocated Workers	544
		Older Youth (19-21)	225
		Younger Youth (14-18)	535
ETA Assigned Number	Total Exiters	Adults	30,629
		Dislocated Workers	175
		Older Youth (19-21)	21
		Younger Youth (14-18)	344
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	97
	Employers	86	84
Entered Employment Rates	Adults	90	97
	Dislocated Workers	94	94
	Older Youth	83	94
Retention Rates	Adults	92	90
	Dislocated Workers	93	96
	Older Youth	87	97
	Younger Youth	85	95
Six Months Average Earnings	Adults	15,800	14,375
	Dislocated Workers	17,300	19,145
Six Months Earnings Increase	Older Youth	4,000	6,707
Credential/Diploma Rates	Adults	79	60
	Dislocated Workers	80	60
	Older Youth	72	75
	Younger Youth	89	100
Skill Attainment Rate	Younger Youth	92	86
Placement in Employment or Education	Youth (14-21)	0	92
Attainment of Degree or Certificate	Youth (14-21)	0	83
Literacy or Numeracy Gains	Youth (14-21)	0	0
Description of Other State Indicators of Performance (WIA Section 166(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met	Met X	Exceeded

**Table O - Local Performance**  
**Local Board (26060) - Northeast Michigan Consortium**

Local Area Name	Total Participants Served	Adults	6,513
		Dislocated Workers	32
		Older Youth (19-21)	29
		Younger Youth (14-18)	89
ETA Assigned Number	Total Exiters	Adults	6,585
		Dislocated Workers	22
		Older Youth (19-21)	5
		Younger Youth (14-18)	56
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	94
	Employers	86	84
Entered Employment Rates	Adults	92	100
	Dislocated Workers	95	100
	Older Youth	83	100
Retention Rates	Adults	93	97
	Dislocated Workers	95	93
	Older Youth	90	100
	Younger Youth	86	90
Six Months Average Earnings	Adults	15,000	16,982
	Dislocated Workers	13,200	13,933
Six Months Earnings Increase	Older Youth	4,100	7,732
Credential/Diploma Rates	Adults	82	100
	Dislocated Workers	84	100
	Older Youth	80	100
	Younger Youth	91	93
Skill Attainment Rate	Younger Youth	96	98
Placement in Employment or Education	Youth (14-21)	0	67
Attainment of Degree or Certificate	Youth (14-21)	0	54
Literacy or Numeracy Gains	Youth (14-21)	0	0
Description of Other State Indicators of Performance (WIA Section 136(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met	Met X	Exceeded

**Table O - Local Performance**  
**Local Board (26105) - Northwest Michigan Council of Governments**

Local Area Name	Total Participants Served	Adults	10,732
		Dislocated Workers	115
		Older Youth (19-21)	27
		Younger Youth (14-18)	108
ETA Assigned Number	Total Exiters	Adults	10,902
		Dislocated Workers	62
		Older Youth (19-21)	6
		Younger Youth (14-18)	57
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	99
	Employers	86	88
Entered Employment Rates	Adults	90	100
	Dislocated Workers	95	99
	Older Youth	84	100
Retention Rates	Adults	92	90
	Dislocated Workers	92	96
	Older Youth	90	100
	Younger Youth	86	96
Six Months Average Earnings	Adults	15,200	13,359
	Dislocated Workers	14,000	16,656
Six Months Earnings Increase	Older Youth	4,800	0
Credential/Diploma Rates	Adults	81	90
	Dislocated Workers	83	95
	Older Youth	80	80
	Younger Youth	91	92
Skill Attainment Rate	Younger Youth	96	100
Placement in Employment or Education	Youth (14-21)	0	79
Attainment of Degree or Certificate	Youth (14-21)	0	44
Literacy or Numeracy Gains	Youth (14-21)	2	67
Description of Other State Indicators of Performance (WIA Section 136(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met	Met X	Exceeded

**Table O - Local Performance**  
**Local Board (26170) - Oakland County Michigan Works!**

Local Area Name	Total Participants Served	Adults	28,551
		Dislocated Workers	206
		Older Youth (19-21)	94
		Younger Youth (14-18)	101
ETA Assigned Number	Total Exitters	Adults	27,722
		Dislocated Workers	43
		Older Youth (19-21)	2
		Younger Youth (14-18)	41
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	98
	Employers	86	98
Entered Employment Rates	Adults	91	98
	Dislocated Workers	95	100
	Older Youth	84	100
Retention Rates	Adults	93	100
	Dislocated Workers	93	97
	Older Youth	90	100
	Younger Youth	86	99
Six Months Average Earnings	Adults	16,500	23,403
	Dislocated Workers	17,900	30,771
Six Months Earnings Increase	Older Youth	4,800	8,286
Credential/Diploma Rates	Adults	83	91
	Dislocated Workers	84	91
	Older Youth	79	100
	Younger Youth	91	95
Skill Attainment Rate	Younger Youth	96	100
Placement in Employment or Education	Youth (14-21)	0	81
Attainment of Degree or Certificate	Youth (14-21)	0	64
Literacy or Numeracy Gains	Youth (14-21)	0	0
Description of Other State Indicators of Performance (WIA Section 136(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met	Met	Exceeded X

**Table O - Local Performance**  
**Local Board (26095) - Michigan Works! Region 7B Employment & Training Consortium**

Local Area Name	Total Participants Served	Adults	6,094
		Dislocated Workers	55
		Older Youth (19-21)	34
		Younger Youth (14-18)	46
ETA Assigned Number	Total Exiters	Adults	6,084
		Dislocated Workers	31
		Older Youth (19-21)	2
		Younger Youth (14-18)	6
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	91
	Employers	86	93
Entered Employment Rates	Adults	90	90
	Dislocated Workers	92	100
	Older Youth	78	100
Retention Rates	Adults	92	93
	Dislocated Workers	93	88
	Older Youth	88	100
	Younger Youth	83	70
Six Months Average Earnings	Adults	13,900	15,918
	Dislocated Workers	13,500	15,113
Six Months Earnings Increase	Older Youth	4,100	11,249
Credential/Diploma Rates	Adults	81	87
	Dislocated Workers	81	93
	Older Youth	80	100
	Younger Youth	91	100
Skill Attainment Rate	Younger Youth	95	97
Placement in Employment or Education	Youth (14-21)	0	53
Attainment of Degree or Certificate	Youth (14-21)	0	33
Literacy or Numeracy Gains	Youth (14-21)	0	0
Description of Other State Indicators of Performance (WIA Section 136(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met	Met X	Exceeded

**Table O - Local Performance**  
**Local Board (26150) - SE Michigan Consortium**

Local Area Name	Total Participants Served	Adults	19,978
		Dislocated Workers	249
		Older Youth (19-21)	285
		Younger Youth (14-18)	397
ETA Assigned Number	Total Exitters +	Adults	19,107
		Dislocated Workers	76
		Older Youth (19-21)	26
		Younger Youth (14-18)	92
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	98
	Employers	86	86
Entered Employment Rates	Adults	90	95
	Dislocated Workers	94	97
	Older Youth	84	89
Retention Rates	Adults	93	97
	Dislocated Workers	94	99
	Older Youth	89	89
	Younger Youth	86	89
Six Months Average Earnings	Adults	16,500	17,149
	Dislocated Workers	17,300	19,055
Six Months Earnings Increase	Older Youth	4,180	7,050
Credential/Diploma Rates	Adults	82	81
	Dislocated Workers	84	83
	Older Youth	80	83
	Younger Youth	91	88
Skill Attainment Rate	Younger Youth	95	97
Placement in Employment or Education	Youth (14-21)	0	86
Attainment of Degree or Certificate	Youth (14-21)	0	88
Literacy or Numeracy Gains	Youth (14-21)	0	0
Description of Other State Indicators of Performance (WIA Section 136(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met	Met X	Exceeded

**Table O - Local Performance**  
**Local Board (26155) - Southeast Michigan Community Alliance**

Local Area Name	Total Participants Served	Adults	51,494
		Dislocated Workers	637
		Older Youth (19-21)	252
		Younger Youth (14-18)	281
ETA Assigned Number	Total Exiters	Adults	50,193
		Dislocated Workers	343
		Older Youth (19-21)	89
		Younger Youth (14-18)	85
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	97
	Employers	86	97
Entered Employment Rates	Adults	91	93
	Dislocated Workers	94	94
	Older Youth	83	100
Retention Rates	Adults	92	95
	Dislocated Workers	93	98
	Older Youth	89	99
	Younger Youth	85	95
Six Months Average Earnings	Adults	16,500	15,224
	Dislocated Workers	16,900	17,714
Six Months Earnings Increase	Older Youth	4,300	7,162
Credential/Diploma Rates	Adults	82	79
	Dislocated Workers	84	77
	Older Youth	75	100
	Younger Youth	90	97
Skill Attainment Rate	Younger Youth	95	95
Placement in Employment or Education	Youth (14-21)	0	99
Attainment of Degree or Certificate	Youth (14-21)	0	85
Literacy or Numeracy Gains	Youth (14-21)	1	0
Description of Other State Indicators of Performance (WIA Section 136(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met	Met X	Exceeded

**Table O - Local Performance  
Local Board (26040) - Southwest**

Local Area Name	Total Participants Served	Adults	17,324
		Dislocated Workers	349
		Older Youth (19-21)	175
		Younger Youth (14-18)	187
ETA Assigned Number	Total Exiters	Adults	16,133
		Dislocated Workers	217
		Older Youth (19-21)	18
		Younger Youth (14-18)	40
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	98
	Employers	86	86
Entered Employment Rates	Adults	91	97
	Dislocated Workers	95	99
	Older Youth	83	100
Retention Rates	Adults	92	91
	Dislocated Workers	93	93
	Older Youth	89	97
	Younger Youth	85	87
Six Months Average Earnings	Adults	13,500	14,226
	Dislocated Workers	16,300	18,115
Six Months Earnings Increase	Older Youth	4,300	6,030
Credential/Diploma Rates	Adults	80	93
	Dislocated Workers	84	95
	Older Youth	79	100
	Younger Youth	90	94
Skill Attainment Rate	Younger Youth	92	95
Placement in Employment or Education	Youth (14-21)	0	89
Attainment of Degree or Certificate	Youth (14-21)	0	64
Literacy or Numeracy Gains	Youth (14-21)	0	0
Description of Other State Indicators of Performance (WIA Section 138(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met	Met X	Exceeded

**Table O - Local Performance**  
**Local Board (26125) - UPWARD Talent Council**

Local Area Name	Total Participants Served	Adults	8,226
		Dislocated Workers	363
		Older Youth (18-21)	46
		Younger Youth (14-18)	107
ETA Assigned Number	Total Exiters	Adults	7,948
		Dislocated Workers	204
		Older Youth (18-21)	14
		Younger Youth (14-18)	70
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	98
	Employers	86	87
Entered Employment Rates	Adults	89	90
	Dislocated Workers	94	97
	Older Youth	80	89
Retention Rates	Adults	91	96
	Dislocated Workers	93	98
	Older Youth	87	91
	Younger Youth	81	96
Six Months Average Earnings	Adults	14,000	16,246
	Dislocated Workers	13,810	15,260
Six Months Earnings Increase	Older Youth	4,470	8,376
Credential/Diploma Rates	Adults	80	97
	Dislocated Workers	84	86
	Older Youth	74	90
	Younger Youth	88	100
Skill Attainment Rate	Younger Youth	96	100
Placement in Employment or Education	Youth (14-21)	0	69
Attainment of Degree or Certificate	Youth (14-21)	0	43
Literacy or Numeracy Gains	Youth (14-21)	0	0
Description of Other State Indicators of Performance (WIA Section 136(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met	Met	Exceeded X

**Table O - Local Performance**  
**Local Board (26160) - West Michigan Works**

Local Area Name	Total Participants Served	Adults	38,844
		Dislocated Workers	292
		Older Youth (19-21)	377
		Younger Youth (14-18)	698
ETA Assigned Number	Total Exiters	Adults	39,090
		Dislocated Workers	142
		Older Youth (19-21)	106
		Younger Youth (14-18)	434
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	94
	Employers	86	89
Entered Employment Rates	Adults	89	82
	Dislocated Workers	94	88
	Older Youth	83	84
Retention Rates	Adults	93	95
	Dislocated Workers	93	96
	Older Youth	90	90
	Younger Youth	83	90
Six Months Average Earnings	Adults	13,340	20,568
	Dislocated Workers	14,900	16,621
Six Months Earnings Increase	Older Youth	4,360	5,115
Credential/Diploma Rates	Adults	82	91
	Dislocated Workers	83	76
	Older Youth	72	53
	Younger Youth	89	81
Skill Attainment Rate	Younger Youth	95	92
Placement in Employment or Education	Youth (14-21)	0	58
Attainment of Degree or Certificate	Youth (14-21)	0	32
Literacy or Numeracy Gains	Youth (14-21)	0	1
Description of Other State Indicators of Performance (WIA Section 136(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met X	Met	Exceeded

**Table O - Local Performance**  
**Local Board (26100) - Michigan Works! West Central**

Local Area Name	Total Participants Served	Adults	6,461
		Dislocated Workers	31
		Older Youth (19-21)	42
		Younger Youth (14-18)	32
ETA Assigned Number	Total Exiters	Adults	7,107
		Dislocated Workers	13
		Older Youth (19-21)	4
		Younger Youth (14-18)	11
Reported Information		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants	93	87
	Employers	86	93
Entered Employment Rates	Adults	88	93
	Dislocated Workers	95	95
	Older Youth	84	100
Retention Rates	Adults	92	93
	Dislocated Workers	94	88
	Older Youth	90	100
	Younger Youth	86	82
Six Months Average Earnings	Adults	12,450	15,621
	Dislocated Workers	15,100	15,865
Six Months Earnings Increase	Older Youth	4,200	6,623
Credential/Diploma Rates	Adults	82	100
	Dislocated Workers	83	82
	Older Youth	75	89
	Younger Youth	90	100
Skill Attainment Rate	Younger Youth	95	89
Placement in Employment or Education	Youth (14-21)	0	68
Attainment of Degree or Certificate	Youth (14-21)	0	16
Literacy or Numeracy Gains	Youth (14-21)	0	0
Description of Other State Indicators of Performance (WIA Section 136(d)(1))		0	0
N/A		0	0
N/A		0	0
Overall Status of Local Performance	Not Met	Met X	Exceeded

**Table P - Veteran Priority of Service**

	Total	Percent Served
Covered Entrants Who Reached the End of the Entry Period	278.00	
Covered Entrants Who Received a Service During the Entry Period	220.00	79.14
Covered Entrants Who Received a Staff-Assisted Service During the Entry Period	212.00	76.26

**Table Q - Veterans' Outcomes by Special Populations**

Reported Information	Post 9/11 Era Veterans		Post 9/11 Era Veterans who Received at least Intensive Services		TAP Workshop Veterans	
Entered Employment Rate	98.89	89.00	98.80	82.00	100.00	19.00
		90.00		83.00		19.00
Employment Retention Rate	93.44	114.00	92.92	105.00	100.00	16.00
		122.00		113.00		16.00
Six Months Average Earnings	\$18,420.10	\$1,915,689.98	\$18,229.82	\$1,750,062.85	\$19,817.51	\$317,080.15
		104.00		96.00		16.00

4. 評価マニュアル



**Programmatic Monitoring Guide**  
**Workforce Investment Act Programs**

Spring 2014

Workforce Development Agency  
State of Michigan

# WDA MONITORING GUIDES

## PREFACE

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Ensuring compliance and driving performance excellence across the Michigan Works! system is the primary goal of the Workforce Development Agency's (WDA's) Trade Adjustment Assistance Act, Wagner-Peyser Act, and Workforce Investment Act units. The strategy to achieve this goal relies upon effective grant monitoring and oversight utilizing a comprehensive set of monitoring and oversight activities, including on-site monitoring, quarterly desk reviews, and ongoing technical assistance and training.

The WDA is moving forward in a coordinated effort to improve the quality and consistency of its monitoring and oversight activities, while relying on and providing opportunities for WDA Coordinators to bring their professional judgments and experience to the process. This effort began with the development of tools and training to assist WDA Coordinators with their monitoring and oversight activities.

One of the tools that has been developed is a set of consistently-designed, comprehensive monitoring guides to assist WDA Coordinators with completing required monitoring and oversight activities prior to going on-site, during an on-site monitoring review, post-review, and on an on-going basis. The WDA Monitoring Guides are based on the premise that there are essential core programmatic functions that must be in place in order for any grantee to operate a grant within the boundaries of acceptable practices established primarily by law, regulation, and/or policy. In addition, the WDA Monitoring Guides are designed to allow WDA Coordinators to gain a clearer understanding of the strategies and practices in place locally.

Use of the WDA Monitoring Guides by WDA Coordinators is required, although WDA staff is encouraged to modify and enhance guides as needed to meet the specific needs of each review. In addition, WDA Monitoring Guides are living documents that will be updated regularly to reflect changes in law, regulation, and/or policy, as well as to include any improvements which will make the guides easier and more effective to use. WDA Coordinators are encouraged to discuss and provide feedback and suggestions for such improvements to their unit managers.

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## Toolbox:

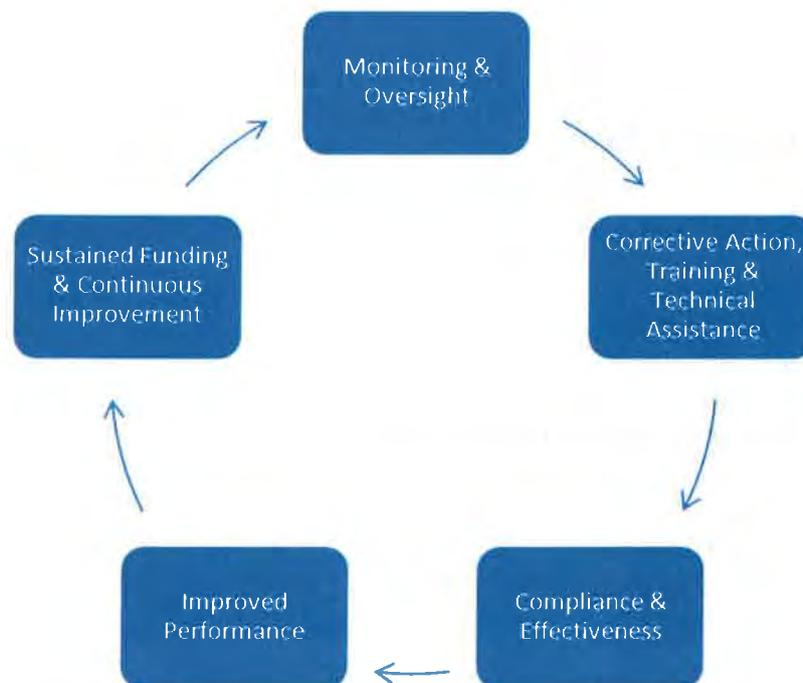
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- Attachment C: Post-Review Guide
- Attachment D: Participant File Review Guide(s)

# General Instructions

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## INTRODUCTION:

The primary goal of the Workforce Development Agency's (WDA's) Trade Adjustment Assistance Act, Wagner-Peyser Act, and Workforce Investment Act units is ensuring compliance and driving performance excellence across the Michigan Works! system. The strategy for achieving this goal relies upon effective grant monitoring and oversight utilizing a comprehensive set of monitoring and oversight activities. These activities may identify the need for corrective action as well as technical assistance and training. Such activities also provide the opportunity to learn about and share innovative strategies and practices. This vision aligns (although with fewer steps) with what the United States Department of Labor/Employment and Training Administration (USDOL/ETA) has referred to as "the grants management cycle". Visually, it can be depicted as:



## ON-SITE MONITORING:

The purpose of on-site monitoring is to verify and expand upon the knowledge of Michigan Works! Agency (MWA) governance, operations, and performance that has already been established through initial, quarterly, and on-demand monitoring and oversight activities. On-site monitoring provides a window to the structure, staffing, and service design and delivery that results in the numbers and narrative included in quarterly and annual reports. On-site monitoring is critical to ensuring compliance with required provisions, determining effectiveness of program implementation, and capturing innovation that can drive continuous improvement across the system.

On-site monitoring is also a key opportunity for WDA Coordinators to further strengthen the trust and respect critical to an effective grantor/sub-grantee relationship. By thoroughly preparing for and conducting a professional and objective review, WDA Coordinators demonstrate their regard for the sub-grantee and the monitoring process. While it is important to be as knowledgeable and prepared as possible for an on-site review, WDA Coordinators should always keep in mind that no one person has comprehensive knowledge regarding all aspects of a program. It is much better to admit uncertainty and commit to researching the answer than to state a finding or provide guidance that may be incorrect.

### **MONITORING COMPLIANCE & EFFECTIVENESS:**

High-quality monitoring goes beyond simply determining whether an MWA complies with policy, documentation, and service delivery requirements. High-quality monitoring also attempts to assess the effectiveness of MWA structure and operations, as well as its alignment with the overall vision for the state workforce system as defined by the Governor's Talent Investment Board (GTIB) and the national vision as defined by the USDOL.

This guide was developed to support the reviewer's assessment of effectiveness through "Effectiveness Indicators", which will be discussed further in the section below called "How This Guide Is Organized". In addition to using this guide, reviewers should keep the GTIB's vision, as well as the USDOL's national goals for the system in mind when evaluating how a sub-grantee structures its system and designs and delivers services in the local area.

#### *GTIB's Vision:*

The GTIB's **vision** is to promote a flexible, innovative, and effective workforce system within the State of Michigan, by:

- 1.) Supporting a demand-driven workforce system.
- 2.) Assisting the structurally unemployed with financial independence.
- 3.) Advocating for the integration of workforce development into the K-12 school system.
- 4.) Supporting the alignment of workforce development with economic development efforts.

#### *USDOL's National Goals:*

- 1) Realize the benefits of integrated and flexible workforce systems as envisioned under WIA,
- 2) Promote regional business growth and economic development while recognizing the important role small businesses play in regional economies,
- 3) Improve services to target populations, including out-of-school youth and veterans,
- 4) Increase amounts available for and invested in training programs and opportunities to establish a workforce development system for an educated workforce,
- 5) Improve program administration and performance through better workforce information, common performance measures, simplified administration, and enhanced flexibility provided through the use of waivers,
- 6) Expand use of the post-secondary education system while assuring a seamless transfer across education systems, and
- 7) Strengthen partnerships with community-based organizations.

**HOW THIS GUIDE IS ORGANIZED:**

The structure of this guide follows closely the *Core Monitoring Guide* developed by the USDOL's ETA, with the exception that the Financial Management portion has been removed. (Note: Fiscal monitoring will continue to be provided by the WDA's Office of Audit and Financial Compliance.) Each of the four remaining core activities are organized around specific requirements or expectations derived from legislation, regulations, grant provisions, and/or policy that relate to that core activity. These requirements or expectations are called objectives. Each objective is accompanied by indicators. The indicators are the criteria that are used to determine whether or not the objective is being met. Indicators which are derived from a compliance requirement are labeled **(C)** which means they must be present. Indicators which relate to effectiveness are labeled **(E)**. The questions accompanying the indicators are designed to assist the reviewer with making a determination regarding whether or not the indicator is present. Each of the individual questions or guidance under a **(C)** indicator may not tie to a specific regulation, but represents information to help determine compliance with the indicator.

Portions of this guide can and should be completed prior to the on-site review. See the following section entitled "Preparing For On-Site Reviews" for further information regarding this process.

**PREPARING FOR ON-SITE REVIEWS:**

As noted above, portions of this guide can and should be completed prior to the on-site review. These sections or questions should be completed in accordance with the instructions and timeframes outlined in Attachment A: Review Planning and Preparation Guide. These sections involve the review and analysis of data available to WDA Coordinators in advance of the review, such as performance and expenditure reports, local plans, information from partner programs or financial monitoring reviews, Local Workforce Investment Board certification materials, etc. Using this information to complete these sections or questions will provide the reviewer with a baseline understanding of the local area's performance, structure, and operations as well as context for the more in-depth portion of the review to be completed on-site. The completion of pre-review activities in accordance with the instructions and timeframes outlined in Attachment A is required for all WDA staff.

**USE OF THE GUIDE ON-SITE:**

As outlined above, this guide is structured to assess MWA governance, operations, and performance using indicators for both compliance and effectiveness. Each indicator comes with guidance regarding sources of information WDA Coordinators may wish to consult. Additionally, there are questions listed below the guidance that WDA Coordinators may use to begin their assessment of whether or not the indicator is present. These questions are provided as a means for WDA Coordinators to begin their research. WDA Coordinators may use these questions, expand upon them, or employ other means of assessing the presence of a particular indicator.

If a particular indicator is determined to be present, check the box provided in the Summary of Indicators section to denote that determination. Use the space provided for each separate indicator to record the information or information source that was used to make the determination. Record notes and specific findings at the individual indicator level so that if questions arise later a means for recreating the determination exists.

**Objective Conclusions:** Based upon a review of the indicator(s), a determination whether or not the overall objective has been met will need to be made. If there are multiple indicators for an objective, the decision as to whether or not the objective has been met will need to be based on the relative importance of the indicators and if there is a compliance factor involved.

**Summary of Findings for Core Activity:** On the first page of each section of the guide is space for summarizing the findings for that core activity. Specifically, the summary is organized around:

- Promising Practices
- Findings or High-Risk Factors
- Other Observations

This summary section is designed to assist WDA Coordinators with the development of their written report. Each section is designed to provide for a short sentence or description of sub-grantee processes or program design elements that will be addressed in the written report. Promising Practices are those processes believed to be effective in operation and worth recommending to another grantee. WDA Coordinators should summarize or list compliance findings under Findings or High-Risk Factors. The Other Observations section may be used to document additional information about the sub-grantee organization or operations that will be included in the written report, including a discussion of effectiveness objectives and/or indicators that have not been met or are not present. There should be links between this summary and the notes and conclusions recorded for the objectives and indicators.

For a complete listing of required on-site monitoring activities, please see Attachment B: On-Site Monitoring Step-by-Step Instructions.

For step-by-step instructions regarding completion of participant file reviews, please see Attachment D: Participant File Review Guide(s).

#### **USE OF THE GUIDE POST-REVIEW:**

At the conclusion of the on-site monitoring visit, the guide should be completed in areas key to the scope of the review and should be used as the basis for both the Exit Conference and the WDA Monitoring Report.

For step-by-step instructions for completing post-review activities, WDA Coordinators should refer to Attachment C: Post-Review Guide. The completion of post-review activities in accordance with the instructions and timeframes outlined in Attachment C is required for all WDA staff.

## PROGRAMMATIC REVIEW ENTRANCE CONFERENCE

MWA:	Date:
Location:	Time:

WDA Staff Present:	
MWA Staff Present:	
WDA Questions/Comments:	
MWA Questions/Comments:	

**STRUCTURE OF THE LOCAL AREA\***

MWA:	
Counties Covered:	
Grant Recipient:	
Fiscal Agent:	
Administrative Entity:	
Service Center Location(s):	
Satellite Office Location(s):	
Additional Comments:	

\*This information should be collected prior to the review and verified during the Entrance Conference.

# CORE ACTIVITY 1

## DESIGN AND GOVERNANCE

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*Core Activity 1 addresses design and governance principles that can guide and support the grantee's strategy for developing a demand-driven workforce system. A demand-driven workforce system is one which meets the needs of employers by developing a qualified and competitive workforce while preparing job seekers for the jobs and careers of the future.*

### CORE ACTIVITY 1 GENERAL INSTRUCTIONS

The purpose of Core Activity 1 is to evaluate the grantee's program design and governance to ensure compliance with requirements as well as effectiveness in the context of a demand-driven workforce system. The reviewer examines how the grantee designs its programs to provide the tools and products that support business growth and economic development, to provide services that prepare workers to take advantage of job opportunities in high-growth and high-demand occupations, and to provide services to the employer and job seeker within an integrated service delivery system. The reviewer looks at governance in the context of how leadership is identifying the workforce needs in high-growth and economically-critical industries and the preparation required of workers to succeed in those occupations, as well as understanding the workforce challenges that must be addressed to ensure a prepared and competitive workforce.

### Summary of Findings for Core Activity 1

#### Promising Practices

#### Findings or High-Risk Factors

#### Other Observations

**OBJECTIVE 1.1 Strategic Planning:** The MWA has developed a strategic approach to meeting business and industry's need for a prepared and competitive workforce and for becoming a demand-driven organization.

#### Summary of Indicators

- **1.1.1** The MWA has consulted with business and industry leadership from the state and local area in forming its strategy for creating a demand-driven workforce system. **E**
- **1.1.2** The MWA has developed a vision and strategy for becoming a demand-driven organization. **E**
- **1.1.3** The MWA functions as a partner with business and industry, economic development agencies, and education and training providers. **E**

#### Indicator 1.1.1 (E)

- The MWA has consulted with business and industry leadership from the state and local area in forming its strategy for creating a demand-driven workforce system.

**Reviewer Guidance:** *Review local plan; interview MWA leadership; ask the following questions:*

- How does the Local Workforce Investment Board (LWIB) consult with and involve the larger business and industry community (besides its own members) on an ongoing basis in crafting an effective strategy? (Ex. Skills Alliances, Industry Partnerships, etc.)
- How has the LWIB documented the incorporation of the input of business and industry leadership into their development of workforce development strategies for the local area?
- How have local economic development agencies, the continuum of education and training providers, and local business and industry groups collaborated in identifying priority areas of the local economy?
- Has the LWIB utilized sector-based strategies to engage and meet the needs of those priority industry employers? Have those efforts led to articulated strategies to place skilled workers in high-growth positions? (Ex. Career Pathways Models)

**Sources and Notes:**

**Indicator 1.1.2 (E)**

- The MWA has developed a vision and strategy for becoming a demand-driven organization.

**Reviewer Guidance:** *Review local plan; interview MWA leadership; ask the following questions:*

- What process, if any, did the MWA use to identify any gaps between needed workforce skills and the current levels of education and skills in the workforce? Who participated in the process? (Ex. local business and industry, economic development, education, government, etc.?) When was the process conducted? How were the results used?
- How is the local area's vision and strategy for its workforce system integrated into a broader regional vision?
- What written documents formalize the local area's vision and strategy?
- What criteria or measures does the local area use to gauge the effectiveness of its efforts to place individuals in high-growth jobs?
- What steps has the local area taken to align its workforce system in support of small businesses?

**Sources and Notes:****Indicator 1.1.3 (E)**

- The MWA functions as a partner with business and industry, economic development agencies, and education and training providers.

**Reviewer Guidance:** *Review local plan; interview MWA leadership; ask the following questions:*

- What strategic partnerships have formed locally and how do these partnerships function? Do they include local economic development agencies, education and training providers, and/or local business intermediaries such as Chambers of Commerce, etc.?
- What evidence is there that the local area is both perceived and functions as a system inclusive of all workforce development partner agencies and is not limited only to USDOL-funded programs?

**Sources and Notes:**

**OBJECTIVE 1.2 Service Design:** The MWA has designed a service delivery system to accomplish its vision and strategy for becoming demand-driven. [WIA §§ 129(c), 134(d) and 20 CFR Parts 663 and 664]

#### Summary of Indicators

- **1.2.1** The MWA has identified the products and services it can offer the employer customer. **E**
- **1.2.2** The MWA has a policy and practice of having its business services staff interact and coordinate with job seeker services staff to provide human resource solutions. **E**
- **1.2.3** The MWA determines the value and effectiveness of its services to employers. **E**
- **1.2.4** The MWA leverages the system's resources to broaden their impact. **E**
- **1.2.5** Services to adults and dislocated workers are designed to develop the skills and talents that job seekers will need to obtain high-paying jobs in growth industries. **C**
- **1.2.6** Services to youth are comprehensive and designed to accomplish USDOL and WDA priorities. **C**

#### Indicator 1.2.1 (E)

- The MWA has identified the products and services it can offer the employer customer.

**Reviewer Guidance:** *Review local plan and other documents relating to business services; interview MWA leadership; ask the following questions:*

- How does the MWA assess the needs of the employer customer? How are the results of this assessment used to shape the service strategy for the employer customer?
- Does the MWA or its service provider(s) have designated staff to service employers? If so, are they employed by the MWA or a contractor? Are they organized on an industry or sector basis?
- Has business services staff been trained in understanding employer needs, collaborating with economic development agencies and other partners, and in identifying appropriate services/resources for employers?
- How does the MWA identify the resources it has to address the needs of the employer customer? What resources were identified and how are they being allocated?

#### Sources and Notes:

**Indicator 1.2.2 (E)**

- The MWA has a policy and practice of having its business services staff interact and coordinate with job seeker services staff to provide human resource solutions.

**Reviewer Guidance:** *Review local plan and other documents relating to business services; identify and review any policies that promote interaction between business services and job seeker staff; interview MWA leadership; ask the following questions:*

- How often and in what forums do business services staff meet with WIA case managers or case managers from partner programs to:
  - Share information on employers' needs and expectations?
  - Share information regarding current participants' skills and status
- How is the information obtained during these meetings shared with other business services staff and partner programs?

**Sources and Notes:****Indicator 1.2.3 (E)**

- The MWA determines the value and effectiveness of its services to employers.

**Reviewer Guidance:** *Review local plan and other documents relating to business services; obtain information on the goals and outcomes of business services being provided in the local area; interview MWA leadership; ask the following questions:*

- What criteria or benchmarks does the MWA use to determine the value and effectiveness of its services to employers?
- What has been the MWA's actual performance against these criteria or benchmarks?
- As an indirect indicator of value to employers, has any business or industry leader voluntarily requested to serve on the LWIB or engage in one or more of its initiatives because of the value of the services provided to the business community?

**Sources and Notes:**

### Indicator 1.2.4 (E)

- The MWA leverages the system's resources to broaden their impact.

**Reviewer Guidance:** *Review local Memorandums of Understanding (MOUs), resource sharing agreements, and budgets; ask the following questions:*

- In what ways is the local area successfully leveraging funds to maximize their effectiveness and to expand participation in the local workforce system by both employers and job seekers? Ask for examples.
- What project(s) has the employer community agreed to fund jointly or individually in the local area because employers see the project(s) as providing a valuable solution for business and industry?
- What resources and funding sources are typically mixed to develop solutions to specific employer customer needs? Do local areas have an acceptable rationale to support their decisions to exclude any funds or resources?
- What customized business solutions has the local area developed and offered to employers for which the business community is willing to pay a fee? (20 CFR 663.145(b)(1)(ii)).
- How is On-the-Job Training (OJT) used to leverage system and private sector resources to provide talent development solutions for area employers?

#### Sources and Notes:

### Indicator 1.2.5 (C)

- Services to adults and dislocated workers are designed to develop the skills and talents that job seekers will need to obtain high-paying jobs in growth industries.

**Reviewer Guidance:** *Ask for a list of high-growth industries/occupations in the local area; ask for a list of training programs for which Adult and Dislocated Worker participants are currently enrolled; interview MWA staff; ask the following questions:*

- What assessments are used in the local area to determine Adult and Dislocated Worker participant service needs?
- How is the need for intensive services determined and documented in the local area?
- How is the need for training services determined and documented in the local area?
- Does the list of high-growth industries/occupations for the local area align with state and locally identified priority areas?

- Does the type of training provided to Adult and Dislocated Worker participants in the local area align with the local area's high-growth industries/occupations list? Is there a process in place to allow for exceptions to attend training programs for industries/occupations not on the list?

#### Sources and Notes:

#### Indicator 1.2.6 (C)

- Services to youth are comprehensive and designed to accomplish USDOL and WDA priorities. (CFR Secs. 664.110, 664.400 and 664.410)

**Reviewer Guidance:** *Review local plan, MOUs, service provider contracts and/or other documents relating to Youth services; interview MWA Youth and Youth Council staff; ask the following questions:*

- How are youth strategies incorporated into the local area's planning process and reflected in RFP criteria and in sub-recipient grant agreements/contracts?
- How do the LWIB and Youth Council collaborate to coordinate and align all workforce development resources for youth within the community? Ask for examples. Have the LWIB and Youth Council analyzed the range of youth resources that are available in the community, developed linkages with them, and insured that youth are provided information on the full array of services available?
- What kind of coordinated services are offered through the local youth program? Do they include opportunities for assistance with academic and occupational learning; development of leadership skills; and preparation for further education, training, and eventual employment?
- What strategies has the local area established to assure that youth are prepared to meet employer expectations and are guided towards high-growth occupations and industries? To serve youth who are most in need? To assure that youth programs are performance-driven and focused on outcomes such as placement in employment or education, improved numeracy and literacy, and attainment of a recognized certificate?
- How does the local area involve public and alternative schools in its youth program?
- Are both youth framework and program elements fully available to youth clients (Ex. mentoring, dropout prevention, leadership development, long-term follow-up, etc.)?
- Has the one-stop resource room or alternative youth area been designed to serve the unique needs of youth as well as adults?
- Is information on various youth services easily available in the one-stop? Including the list of eligible youth providers? Including Job Corps services or apprenticeship opportunities?

#### Sources and Notes:

**OBJECTIVE 1.3 Service Integration:** Integration is supported, codified in policy, measured, and evident at the leadership level of the workforce system in which the grantee operates. [WIA §112(b)]

#### Summary of Indicators

- **1.3.1** MWA supports service integration into the larger workforce investment system. **C**
- **1.3.2** Integration is used to define policies, systems, and service design that reduces duplication, maximizes the reach of resources, ensures appropriate customer service across funding streams, and reduces administrative overhead. **E**

#### Indicator 1.3.1 (C)

- MWA supports service integration into the larger workforce investment system.

**Reviewer Guidance:** *Review grantee policies to determine how they support integrated approaches to system design and service delivery and how the grantee links to the larger workforce investment system; interview MWA staff; ask the following questions:*

- Are representatives from the highest levels of required partner agencies active on the LWIB? (CFR Sec. 661.315)
- Has MWA leadership issued policies, memoranda, or directives that require and support integration of services with other partner programs? Policies might include:
  - Data and information sharing that facilitates integration
  - Common or shared service delivery processes such as intake and assessment
  - Co-enrollment
  - Certification standards or chartering requirements related to program integration
  - Initiatives designed to combine and leverage resources and multiple funding sources to address local service delivery priorities in an integrated way
  - Overarching performance measures that focus on performance and outcomes for the one-stop delivery system as a whole, rather than on formula grant performance standards or individual program measures
- Are all participating programs co-located at the Michigan Works! Service Center (MWSC)? If not, which ones are not co-located? Are they available via referral? (CFR Sec. 662.250)

#### Sources and Notes:

#### Indicator 1.3.2 (E)

- Integration is used to define policies, systems, and service design that reduces duplication, maximizes the reach of resources, ensures appropriate customer service across funding streams, and reduces administrative overhead.

**Reviewer Guidance:** Review MOUs and policies to determine how they support integrated approaches to system design and service delivery and how the grantee links to the larger workforce investment system; interview MWA staff; ask the following questions:

- Does the coordination reduce administrative duplication? This might include the consolidation of units or staff functions.
- Does the MWA track its progress toward integration and report to the LWIB periodically?
- Do MWA planning and work documents outline how integration with other programs will be accomplished and have measurable success indicators related to integration?
- Does the MWA have a strategy for integrating and aligning services to dislocated workers through WIA Rapid Response, WIA Dislocated Worker, WIA National Emergency Grant (NEG) and Trade Adjustment Assistance (TAA) programs, if applicable?
- Are youth, ages 18-21, allowed to be concurrently enrolled in the WIA Adult and/or Dislocated Worker Programs?

**Sources and Notes:**

**OBJECTIVE 1.4 Leadership:** The MWA exercises and promotes the leadership required to assure its vision and strategy successfully accomplish the goals of the formula grant. [WIA §§ 111, 112, 117; 20 CFR 661.205 and 661.305]

**Summary of Indicators**

- 1.4.1** The MWA provides the strategic leadership required to achieve grant goals. **C**

**Indicator 1.4.1 (C)**

- The MWA provides the strategic leadership required to achieve grant goals.

**Reviewer Guidance:** Review LWIB and Youth Council membership, meeting schedule, and meeting minutes; interview LWIB and Youth Council staff; ask the following questions:

- What are the roles and responsibilities of the LWIB and the Chief Elected Official(s)? Do they meet the minimum requirements of the statute (§117)? Is oversight of the fiscal agent, one-stop operator and/or sub-contractors a key responsibility of the LWIB? If so, how? Does the LWIB review performance, expenditure, and monitoring reports and/or other indicators of compliance and achievement of grant goals?

- In what ways do the LWIB and Chief Elected Official(s) provide strategic leadership locally?
- To what extent and in what ways does the LWIB collaborate at a regional level to promote and grow a regional economy?
- Has a Youth Council been established? Who are the members and what are their roles and responsibilities? Are all required members represented? In what areas has the Youth Council been given the authority to make decisions? 20 CFR 661.305(b)
- Has a youth collaborative team been established? How does it ensure the accomplishment of the following youth program goals?
  - Improving the quality of alternative education
  - Assuring that youth resource investments are in line with job opportunities in the local economy
  - Prioritizing resource investments to serve youth who are most in need
  - Assuring that youth programs are performance based and focused on outcomes

**Sources and Notes:**

## **CORE ACTIVITY 2**

### **PROGRAM AND GRANT MANAGEMENT SYSTEMS**

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*Program and grant management systems support grant functions or activities that are necessary for the operation of a project but are not related to the direct provision of services. These grant functions include administrative controls, personnel, and management information and reporting systems.*

#### **CORE ACTIVITY 2 GENERAL INSTRUCTIONS**

The purpose of Core Activity 2 is to evaluate the grantee's capacity to perform the broad management functions that are required when operating federally-funded workforce development grants.

## Summary of Findings for Core Activity 2

### Promising Practices

### Findings or High-Risk Factors

### Other Observations

**OBJECTIVE 2.1 Administrative Controls:** Administrative Controls are sufficient to ensure grant integrity [29 CFR 97.40; 29 CFR Part 95].

#### Summary of Indicators

- 2.1.1** The MWA maintains required policies and procedures for core management functions and program operations. **C**
- 2.1.2** The MWA has an established and implemented process for meeting data entry requirements into the One-Stop Management Information System (OSMIS). **C**
- 2.1.3** Written monitoring tools and procedures are used to monitor all elements of the local plan against performance objectives and compliance with requirements. Monitoring tools and procedures are appropriate for contractor or sub-recipient monitoring. **C**

- **2.1.4** The MWA has a written Nepotism/Code of Conduct policy in place that meets the requirements of WIA Section 667.200(g) and WDA PI 03-20. **C**
- **2.1.5** The MWA has a written grievance and complaint process that meets the requirements of applicable federal law and regulations and follows its process. **C** (20 CFR 667.600)

#### **Indicator 2.1.1 (C)**

- The MWA maintains required policies and procedures for core management functions and program operations.

**Reviewer Guidance:** *Collect and review local policies; interview the primary staff responsible for the development and issuance of policy; ask the following questions:*

- What is the process for developing and issuing MWA policies? Is it followed?
- What is the process for developing and disseminating MWA procedures? Is it followed?
- How are MWA staff and contractors informed of new policy and procedures or changes in current policy or procedures?
- Does the MWA have all required policies in place and up-to-date for the Workforce Investment Act programs under review (Refer to list of policies in Attachment A: Review Planning and Preparation Guide.)

#### **Sources and Notes:**

#### **Indicator 2.1.2 (C)**

- The MWA has an established and implemented process for meeting data entry requirements into the One-Stop Management Information System (OSMIS).

**Reviewer Guidance:** *Collect and review policy(ies)and/or procedures related to data entry into the OSMIS; interview MWA management and case management staff; ask the following questions:*

- What is the MWA's process for timely and accurate entry of required data into the OSMIS for WIA? Does this process meet the requirements outlined in state policy?
- Is data entry done at the case management or MWA level?
- Does the MWA have a quality assurance process in place for ensuring accuracy of data input into the OSMIS?

#### **Sources and Notes:**

### Indicator 2.1.3 (C)

- Written monitoring tools and procedures are used to monitor all elements of the local plan against performance objectives and compliance with requirements. Monitoring tools and procedures are appropriate for contractor or sub-recipient monitoring.

**Reviewer Guidance:** *Collect and review MWA monitoring plan, contracts (if out-sourcing service provision), monitoring reports, and resolution of findings for the last Program Year; interview the primary staff responsible for monitoring; ask the following questions:*

- Are the monitoring tools and procedures comprehensive enough to ensure compliance with federal, state, and local requirements and policy?
- How does the MWA develop its sub-recipient monitoring schedule? Is it followed?
- Are all elements of every program monitored on at least a regular basis?
- How are findings/corrective action tracked and resolved? Are there currently any outstanding findings related to the local area? Are they on track to be resolved within a reasonable period of time?

#### Sources and Notes:

### Indicator 2.1.4 (C)

- The MWA has a written Nepotism/Code of Conduct policy in place that meets the requirements of WIA Section 667.200(g) and WDA PI 03-20.

**Reviewer Guidance:** *Collect and review local policy; ask the following questions:*

- Does the policy contain procedures for immediate disclosure and documentation of the relationship between the applicant and any family, friends, or stakeholders?
- Does the policy describe the internal process that will ensure that a transparent and arms-length assessment of the individual applicant's eligibility, and any corresponding development of the individual employment plan, has been conducted by staff with no personal relationship, bias, special interest, or prejudice?
- Does the policy describe the approval process for authorizing an individual subject to this policy to be served in a local WIA program, including how training and supportive service decisions are made?
- How does the LWIB track individuals subject to the policy?

- Has the LWIB provided training on this policy to persons directly involved in the assessments and eligibility determination of participants?

**Sources and Notes:**

**Indicator 2.1.5 (C)**

- The MWA has a written grievance and complaint process that meets the requirements of applicable federal law and regulations and follows its process. (20 CFR 667.700)

**Reviewer Guidance:** *Obtain and review a copy of the policy/process; interview MWA staff responsible for the grievance and complaint process; ask the following questions:*

- Is there a written grievance and complaint policy and process in place as described at 20 CFR 667.600, which includes?
  - Resolution process
  - Hearing policy
  - Timely scheduling of hearings
  - Hearing officer
  - Notification process for all parties
  - Communication of results
- Have all interested parties been informed of the policy and process? (Note: Interested parties include, but are not limited to, participants, staff, one-stop partners, and service providers.)

**Sources and Notes:**

**OBJECTIVE 2.2 Personnel:** The management structure and staffing of the MWA are designed to assure responsible general management of the organization [2 CFR Part 225 (Office of Management and Budget (OMB) Circular A-87) Attachment A.2.a; 2 CFR Part 230 (OMB Circular A-122) Attachment A.2.a, P.L. 109-234].

### Summary of Indicators

- **2.2.1** An organizational chart and job descriptions illustrate a staffing structure that is sufficient to perform grant management functions and implement the program(s). **E**

#### Indicator 2.2.1 (E)

- An organizational chart and job descriptions illustrate a staffing structure that is sufficient to perform grant management functions and implement the program(s).

**Reviewer Guidance:** *Review the MWA organizational chart; interview the executive staff person responsible for the direction and management of the MWA; ask the following questions:*

- Does the organizational chart present a staffing structure that provides capacity for the key functions, such as:
  - Executive
  - Fiscal
  - Management Information Systems
  - Program Operations
- Are there any gaps evident in the MWA organization management and staffing structure?

#### Sources and Notes:

**OBJECTIVE 2.3 Civil Rights:** Recipients of financial assistance from the USDOL must comply with applicable Federal Civil Rights laws [Title VI, Section 504 of the Rehabilitation Act of 1973; Title IX, Age Discrimination Act of 1975; WIA § 188; 29 CFR Part 31; 29 CFR Part 32; 49 CFR Part 25; 29 CFR Part 35; and 29 CFR Part 37, respectively].

### Summary of Indicators

- **2.3.1** Notices (in languages appropriate to populations served) are visibly posted to inform staff, participants, and service providers of the discrimination complaint process, EO, and Section 504 policies. **C**

### Indicator 2.3.1 (C)

- Notices (in languages appropriate to populations served) are visibly posted to inform staff, participants, and service providers of the discrimination complaint process, EO, and Section 504 policies.

**Reviewer Guidance:** *Review signage while touring the MWSC(s); raise unanswered questions with MWA staff:*

- Does the “Equal Opportunity Is The Law” notice provide contact information for the MWA’s EO officer(s), an overview of the discrimination complaint process, and how complaints may be filed?
- Are notices prominently posted in a reasonable number of places to include administrative and service delivery areas, and are they available in appropriate formats to individuals with visual impairments?
- If a significant portion of the population eligible to be served speaks a language or languages other than English, has the MWA taken reasonable steps to provide the notice in the appropriate language(s)?
- Do employment notices, participant recruitment flyers, or other written materials published by the MWA contain a statement providing the required written EO notice?

### Sources and Notes:

**OBJECTIVE 2.4 WIA Waivers:** The MWA has appropriately implemented WDA-approved waivers of WIA provisions as specified in §189(i)(4) or §192 of the Workforce Investment Act.

### Summary of Indicators

- **2.4.1** The MWA has implemented the waiver provisions in a manner that is consistent with the terms and conditions described in the waiver request and as approved by the WDA. **C**

### Indicator 2.4.1 (C)

- The MWA has implemented the waiver provisions in a manner that is consistent with the terms and conditions described in the waiver request and as approved by the WDA.

**Reviewer Guidance:** *Review the MWA's waiver request(s) and the WDA's approval(s) of the waiver(s). Note the specific steps that the MWA stated it would take to implement the waiver. Also note any special conditions or limitations attached to the MWA's request and/or WDA's approval of the waiver. Interview staff responsible for implementing the waiver and review documentation used to track the implementation of the waiver. Ask the following questions:*

- Did the MWA identify the specific action steps it would take to fully implement the waiver? If not, how does the MWA intend to determine what actions are needed?
- Have the specific actions been completed for each step in the implementation process? Has the waiver been fully implemented? Was it implemented in a timely manner?
- Are there any special conditions or limitations attached to the MWA's request and/or the WDA's approval of the waiver? If yes, have these special conditions or limitations been strictly adhered to or satisfied?
- Where applicable, has the waiver been targeted toward the individuals or groups identified in the waiver request?
- Has the MWA followed its described process for monitoring the progress in implementing the waiver?
- If the MWA is not on schedule to implement the waiver, what actions is it taking to achieve the planned result?
- Does the MWA have in place policies for local area implementation of approved waivers? Did it provide guidance to staff or service providers in a timely manner?
- Does the MWA have a specific plan for achieving the goals and outcomes specified in the waiver request?
- For each intended goal or outcome, has the intended goal or outcome been achieved, or is the grantee on target to meet the goal or outcome in the future in accordance with its plan?
- If the MWA is currently not achieving, or is not on course to achieve, the goals and outcomes as planned, what corrective action is it taking to achieve the goals/outcomes and/or revise the goals/outcomes as appropriate?

**Sources and Notes:**

## CORE ACTIVITY 3

### SERVICE DELIVERY

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*Core Activity 3 addresses the systems, procedures, and program operational elements that are essential to the effective delivery of participant and employer services or the development of a product.*

#### CORE ACTIVITY 3 GENERAL INSTRUCTIONS

The purpose of Core Activity 3 is to evaluate the grantee's capacity and effectiveness in delivering services to participants and employers, or to deliver indirect services or products, in accordance with grant requirements. In addition to reviewing documents and interviewing staff, this core activity will involve the review of participant files in accordance with the attached "Participant File Review Guides" (Attachment D).

#### Summary of Findings for Core Activity 3

##### Promising Practices

##### Findings or High-Risk Factors

##### Other Observations

**OBJECTIVE 3.1 Operating Systems:** The MWA has the operating systems in place to fully implement the grant [Local Plan, WIA Section 101(38), WIA Sec. 134(a)(2)(A), 20 CFR 665.300, PI 12-19].

#### Summary of Indicators

- **3.1.1** The MWA is providing Rapid Response services in accordance with WIA and WDA requirements, and as stipulated in the local plan. **C**

- **3.1.2** The MWA is providing the full range of other services stipulated in the local plan. **C**
- **3.1.3** Sub-recipients and contracts called for in the local plan are in place and fully operational. **E**
- **3.1.4** The MWA ensures priority of service/access to service for designated populations. **C**

#### **Indicator 3.1.1 (C)**

- The MWA is providing Rapid Response services in accordance with WIA and WDA requirements, and as stipulated in the local plan.

**Reviewer Guidance:** *Compare the MWA's actual provision of Rapid Response services with the description contained in the local plan; ask the following questions:*

- Has the MWA developed policies or procedures re: the implementation of Rapid Response services? If yes, obtain a copy.
- Who is on the Rapid Response team? Is membership in compliance with applicable requirements?
- Does the MWA have the following Rapid Response services available, as needed, for local employers and impacted workers?
  - Preliminary steps upon notification of potential event (notification, research, strategy meeting, approved plan)
  - Initial employer meeting
  - Rapid Response worker orientation sessions
  - Locally designed DW surveys
  - Workforce Transition Committees or Joint Adjustment Committees (JACs)
  - Peer-to-Peer Assistance, Transition Centers, Job/Career/Education Fairs
  - Workshops, including job-seeking skills, resume writing, interviewing, basic computer literacy classes, other computer classes, and remedial education
  - Transition to local One-Stop services
  - Post-Rapid Response follow-up with employer
- What information does the Rapid Response team gather and disseminate at the initial on-site contact with the employer?

#### **Sources and Notes:**

### Indicator 3.1.2 (C)

- The MWA is providing the full range of other services stipulated in the local plan.

**Reviewer Guidance:** *Compare the MWA's actual service provision with the service requirements contained in the local plan; interview Resource Room staff, as well as other program staff as needed; ask the following questions:*

- Does the organization of services and customer flow appear to promote access to the full array of services available through the MWSC(s)?
- If there are deficiencies, how is the local area addressing them?
- How does the MWA ensure that all required programs and services are available on a continuous basis in the comprehensive one-stop center, as well as at other service locations (Ex. monitoring, policy, etc.)?
- How does the MWA ensure that Resource Room staff are aware of all the various programs and services available at the MWSC? Do they receive the policy and/or procedure information available to case managers? Have they received training on the different programs/services available?
- Have a Resource Room staff person walk you through the process as if you were a new job seeker, including a demonstration of the job seeker database registration. *Ask the following:*
- Do job seekers receive brochures or materials outlining available services? (If so, collect a sample.) What questions do they ask a job seeker? How do they assess a job seeker's needs and how do they explain the available services?
- Does the organization of and requirements associated with the provision of core, intensive, and training services promote access to the full array of services as outlined in WIA §134?
- What is the MWA's referral policy for customers who are referred internally and externally to partner agencies? Does practice appear to conform to this policy?
- For the WIA Youth program, how does the MWA ensure access to the 10 youth program elements?
- For the WIA Youth program, how does the MWA ensure potentially eligible youth applicants that do not meet program requirements are referred for further assessment and to other appropriate programs/agencies for service? (20 CFR 664.405(e)(1) and (2))

#### Sources and Notes:

**Indicator 3.1.3 (E)**

- Sub-recipients and contracts called for in the local plan are in place and fully operational.

**Reviewer Guidance:** *Collect and review MWA contracts with local service providers; ask the following questions:*

- Are all sub-recipient contracts or agreements in place?
- Do the sub-recipient contracts or agreements conform to WIA and WDA requirements for service delivery?
- Do sub-recipient contracts or agreements contain performance requirements and/or goals?
- How does the MWA manage performance deficiencies or compliance issues with its subrecipients?

**Source and Notes:**

**Indicator 3.1.4 (C)**

- The MWA ensures priority of service/access to service for designated populations.

**Reviewer Guidance:** *Review information from the local plan and policies regarding priority of service; ask the following questions:*

- How do local policies and procedures embed service priorities into customer flow and decision making?
- What steps does the MWA take to provide services to individuals with disabilities? Does the MWA have a Disability Navigator and assistive technology? At what point in the service delivery process does staff typically refer people with disabilities to Michigan Rehabilitation Services?
- How does the MWA serve individuals with limited English proficiency?
- Are training funds considered limited? If so, how does the MWA ensure priority of service for public assistance recipients and other low-income individuals?

**Sources and Notes:**

**Objective 3.2 Service Delivery/Case Management:** Interviews with MWA staff and a review of participant files demonstrates that participants are receiving appropriate and effective services [Local Plan, 20 CFR 663 Subparts A, B, C, D, E, H; and 20 CFR Part 664].

#### Summary of Indicators

- 3.2.1** The MWA is serving the eligible population. **C**
- 3.2.2** The MWA develops and updates an individual service plan that identifies and meets the specific needs of each individual participant. **C/E**
- 3.2.3** Supportive services are being provided as needed to overcome client barriers to participation and completion of the individual service plan. **C/E**
- 3.2.4** Participants are receiving training as needed and progressing toward achieving their employment goals. **C/E**

#### Indicator 3.2.1 (C)

- The MWA is serving the eligible population.

**Reviewer Guidance:** Interview staff to obtain a picture of service delivery from outreach/recruitment through program exit and follow-up; compare answers collected from interviews with service delivery as depicted in the participant files; ask the following questions:

- Are there written eligibility/documentation requirements (Ex. eligibility checklists) that are used to make accurate eligibility determinations? Does it appear that staff follows the written procedures?
- Did the files contain sufficient documentation to fully support the eligibility determination?
- If applicable, were correct eligibility determinations made for the participants in the sample? If you find errors or omissions, note the specific exceptions and advise the MWA to re-verify the eligibility of any participant in question. If there appears to be a pattern of incorrect or incomplete eligibility determinations, advise the MWA to perform a complete review of its files to ensure that all participants are eligible.

#### Sources and Notes:

### Indicator 3.2.2 (C/E)

- The MWA develops and updates an individual service plan that identifies and meets the specific needs of each individual participant.

**Reviewer Guidance:** *Interview staff to obtain a picture of service delivery from outreach/recruitment through program exit and follow-up; compare answers collected from interviews with service delivery as depicted in the participant files; ask the following questions:*

- Is an individual service plan (Ex. employment development plan, individual employment plan, or individual service strategy) developed for each participant based on the assessment results? Does it include short and long-term goals? Does it include a strategy for overcoming the barriers identified in the assessment process?
- For WIA Youth, does local policy/procedure ensure that ISSs include the following elements:
  - Employment and/or age-appropriate career goal? (Required)
  - Appropriate achievement objectives? (Required)
  - Appropriate services, taking into account assessment results? (Required)
  - A recent service strategy developed for the participant under another education or training program, if appropriate? (Needs to include all information required by WIA 20 CFR Sec. 129(c)(1)(B), TEGL 9-00)
- What kind of assessment is conducted of youth? Is the assessment conducted on-site? CFR 664.405(a)(1)
- Does local policy/procedure require youth objective assessments to include a review of the following (if a recent assessment conducted within the last 12 months pursuant to another education or training program is not available): (20 CFR 664.405 (a)(1))
  - Basic Skills
  - Occupational Skills
  - Prior Work Experience
  - Employability
  - Interests
  - Aptitudes (including interests and aptitudes for non-traditional jobs)
  - Supportive Service Needs
  - Developmental Needs
- What happens if a youth tests as being basic skills deficient? Is he/she automatically provided basic skills training or other such services to address the deficiency? Is at least one basic skills goal set? (TEGL 18-00; 20 CFR 664.205)
- Is there evidence in the file that the case manager discussed the assessment results with the participant and that they jointly developed the individual service plan?
- Do the case notes document that there is ongoing contact between the case manager and the participant, that the participant's progress is being tracked, and that the service plan is updated when any change in circumstances, goals, or planned activities and services occurs?
- Do service plans for youth indicate that all ten program elements were made available? (20 CFR 664.410)

- How does the MWA ensure that Summer Employment Opportunities (SEO) are integrated into a year-round comprehensive WIA Youth program? Describe how SEOs are directly linked to academic and occupational learning. (20 CFR 664.600(a))
- How is the progress for youth participants tracked? Does this include pre and post-testing of skills attainment? (TEGL 17-05, Change 2)
- For all WIA programs, are there any extended lapses in service? If yes, ask the case manager to explain why.
- Overall, is the assessment process effective in matching participants with appropriate service options?

#### Sources and Notes:

#### Indicator 3.2.3 (C/E)

- Supportive services are being provided as needed to overcome client barriers to participation and completion of the individual service plan.

**Reviewer Guidance:** *Interview staff to obtain a picture of service delivery from outreach/recruitment through program exit and follow-up; compare answers collected from interviews with service delivery as depicted in the participant files; ask the following questions:*

- Has the MWA implemented a policy to provide supportive services? Do interviews/file reviews indicate that supportive services are provided in accordance with WIA regulations and the local policy?
- Do interviews/file reviews indicate that a supportive services strategy has been developed and followed for participants to overcome identified barriers? Is it adequate?
- Does the grantee provide follow-up services to participants after they have been placed in jobs in order to enhance job retention?
- What financial needs analysis is conducted in order to identify and document financial barriers to participation that can be overcome through supportive services?
- To what extent are referrals for supportive services, such as substance abuse counseling, documented with substantive follow-up entries regarding the results of referrals?
- What kind of follow-up services are provided to youth? See 20 CFR 664.450(b) and checklist below. How are follow-up services provided?
  - Leadership development services
  - Supportive services
  - Regular contact with employer

- Assistance in addressing work-related problems which may arise
  - Assistance in securing better jobs, career development, or furthering education
  - Work-related peer groups
  - Adult mentoring
  - Tracking the progress of youth in employment after training
  - Information and fliers on topics of job search, job-keeping tips, etc.
  - Assistance with personal issues
  - Help with updating resumes
  - Contact with school
  - Employment assistance
  - Life-skills assistance
  - Other, please describe:
- Has the MWA determined a strategy and budget to ensure follow-up services for exited youth continue for 12 months, even when service contracts expire prior to the end of the 12-month period?
  - To what extent is the MWA using resources other than formula grant resources to provide supportive services that address barriers to participation?
  - Are incentives offered to participants as a means to get them to respond to follow-up in order to improve performance? (WIA Section 129(a)(5))
    - Yes
    - No
  - If yes, please describe the types of incentives offered:
  - What follow-up services are intended to address post-exit barriers when Adult and Dislocated Worker participants are placed or otherwise exit the program?

#### Sources and Notes:

#### Indicator 3.2.4 (C/E)

- Participants are receiving training as needed and progressing toward achieving their employment goals.

**Reviewer Guidance:** *Interview staff to obtain a picture of service delivery from outreach/recruitment through program exit and follow-up; compare answers collected from interviews with service delivery as depicted in the participant files; ask the following questions:*

- What proportion of adults and dislocated workers are receiving training? To what extent is this proportion consistent with the local plan?
- If actual service levels substantially deviate from the local plan, why is this and what actions are being taken?

- For those participants in the file review sample who were receiving training, was it provided through an ITA and by a provider on the ETPL? If there are any cases where an ITA was not used, what is the basis for this? What is the MWA's justification and is it consistent with the requirements of WIA at 20 CFR 663.430?
- If participant training is provided via OJT is there a written contract with each employer in all instances and is the length of training and cost appropriate? ( 20 CFR 663.700 and 663.705)
- Do participant files reflect regular contact between case managers and participants to discuss the participant's progress toward employment goals?
- To what extent do participant files demonstrate that ITAs are being used for training in high-demand occupations in high-growth areas in accordance with the MICA? Identify cases where it appears that training is not in a high-demand/high-growth area and discuss these with local area representatives to determine if there is adequate justification for this training.
- Are youth receiving paid and unpaid work-related training to help them reach their goals? If so, what is the policy or procedure for unpaid work-related training? ( 20 CFR 664.460(a))
- Is OJT provided to youth over the age of 18? Does it appear that the provision of this service is based on the objective assessment for the youth? 20 CFR 664.460(10)(d)
- Is there a structured work-based learning plan for youth that outlines increased responsibility and skill levels?

#### Sources and Notes:

#### Indicator 3.3.1 (E)

- The MWA provides information on high-growth occupations and regional economic trends to job seekers and employers.

**WDA Monitor Guidance:** *Identify how the MWA promotes available information on high-growth occupations and regional economic trends (as identified through MICA). Identify any additional information the local area produces and makes available to employers and job seekers. Ask the following questions:*

- What information on high-growth occupations and regional economic trends is available in the Resource Room? How does the Resource Room staff assist job seekers and employers in accessing and interpreting this information? Are Resource Room staff able to explain to customers the workforce information, Career-One-Stop, and O\*NET products and services available and how to use them?

- How do local area case managers use information on high-growth, high-wage jobs, employment trends, and other career data as identified through the MICA to help participants make appropriate career decisions, and to determine participants' qualification to receive training services?
- What kind of training have case managers received in order to understand and make use of the MICA when developing a service strategy for their customers?

**Sources and Notes:**

**Indicator 3.3.3 (E)**

- The MWA provides effective job search and job placement services to place participants in high-growth occupational areas.

**WDA Monitor Guidance:** *Obtain and review information on local area job search and placement strategies and workshops; ask the following questions:*

- What types of job search assistance activities are offered by the MWSC? In what ways do these workshops emphasize high-growth occupational areas?
- How is workforce information used in job search workshops or otherwise to help job seekers and/or job developers make good decisions regarding job placement?
- How does the local area measure the effectiveness of its job search/job placement activities?
- How do local areas assure that job placements are accurately reported to the programs which provide funds for staff engaged in job search and placement activity?

**Sources and Notes:**

**OBJECTIVE 3.3 High-Growth Jobs:** The MWA provides employment and training services that target high-growth jobs within expanding economic sectors. [PI 12-21]

#### Summary of Indicators

- **3.3.1** The MWA provides information on high-growth occupations and regional economic trends to job seekers and employers. E
- **3.3.2** Training activities are concentrated in those occupational areas having high-demand jobs in high-growth sectors. E
- **3.3.3** The MWA provides effective job search and job placement services to place participants in high-growth occupational areas. E

#### Indicator 3.3.1 (E)

- The MWA provides information on high-growth occupations and regional economic trends to job seekers and employers.

**Reviewer Guidance:** *Identify how the MWA promotes available information on high-growth occupations and regional economic trends (as identified through MICA). Identify any additional information the local area produces and makes available to employers and job seekers. Ask the following questions:*

- What information on high-growth occupations and regional economic trends is available in the Resource Room? How does the Resource Room staff assist job seekers and employers in accessing and interpreting this information? Are Resource Room staff able to explain to customers the workforce information, Career One-Stop, and O\*NET products and services available and how to use them?
- How do local area case managers use information on high-growth, high-wage jobs, employment trends, and other career data as identified through the MICA to help participants make appropriate career decisions, and to determine participants' qualification to receive training services?
- What kind of training have case managers received in order to understand and make use of the MICA when developing a service strategy for their customers?

#### Sources and Notes:

### Indicator 3.3.2 (E)

- Training activities are concentrated in those occupational areas having high-demand jobs in high-growth sectors.

**Reviewer Guidance:** *Compare the list of occupations that the WDA and the MWA have identified as high-growth (as identified through the MICA) with the list of occupations in which training is actually occurring. Review participant files and interview staff responsible for assisting participants in making training choices and ask the following questions:*

- Has the MWA targeted its training strategy toward preparing participants for jobs in high-growth occupational areas as identified through the MICA?
- Has the MWA confirmed with targeted employers that its training plans are meeting their needs? (Ex. meeting industry recognized standards?)
- Does the MWA make use of apprenticeships in meeting the skill needs of employers?
- To what extent do the actual choices for training (classroom and OJT) coincide with the MICA in high-growth areas? If they do not coincide, why not?
- To what extent do participant files demonstrate that ITAs are being used for training in high-demand occupations in high-growth areas as identified through the MICA? Identify cases where it appears that training is not in an area with high-demand/high-growth occupations and discuss these with local area representatives to determine if there is adequate justification for this training.

#### Sources and Notes:

### Indicator 3.3.3 (E)

- The MWA provides effective job search and job placement services to place participants in high-growth occupational areas.

**Reviewer Guidance:** *Obtain and review information on local area job search and placement strategies and workshops; ask the following questions:*

- What types of job search assistance activities are offered by the MWSC? In what ways do these workshops emphasize high-growth occupational areas?
- How is workforce information used in job search workshops or otherwise to help job seekers and/or job developers make good decisions regarding job placement?
- How does the local area measure the effectiveness of its job search/job placement activities?
- How do local areas assure that job placements are accurately reported to the programs which provide funds for staff engaged in job search and placement activity?

#### Sources and Notes:

**OBJECTIVE 3.4 Business Relationships:** The MWA provides effective services to employers.

#### Summary of Indicators

- **3.4.1** The MWA provides services to employers. **E**
- **3.4.2** MWA tailors the delivery of its services and products to meet the needs of employers. **E**

#### Indicator 3.4.1 (E)

- The MWA provides services to employers.

**Reviewer Guidance:** *Obtain and review information on local area job search and placement strategies and workshops; interview MWA management and/or business services representatives; ask the following questions:*

- Has the MWA developed the staffing and resource capacity to effectively deliver services to employers?
- Is the MWA's facility and layout designed to appeal to the employer customer? Do they convey the image that the MWA looks and operates like a business?
- What is the MWA's strategy and process for serving employers? Are MWA business services structured to:
  - Quickly post available jobs and provide employers access to a comprehensive list of job seekers who may be qualified for immediate job openings?
  - Promote and/or conduct periodic events such as job fairs and other networking opportunities that directly connect employers to prospective job seekers as well as employers to employers?
  - Promote and/or provide information sessions, seminars, or forums on topics of interest to employers based on input from employers?
  - Provide the flexibility necessary to ensure that employers have access and can receive services more effectively?
  - Coordinate the activities of the MWA's business services staff with those of the local economic development agency?
- To what extent does the structure and operation of the MWA's business services staff appear to meet the needs of employer customers?

#### Sources and Notes:

**Indicator 3.4.2 (E)**

- MWA tailors the delivery of its services and products to meet the needs of employers.

**Reviewer Guidance:** *Obtain a menu of business services from the local area which identifies the service, the method of provision, and the partner(s) providing the service; ask the following questions:*

- To what extent has the MWA targeted employer groups to better identify priority business or industry-wide needs and provide customized solutions?
- Does the MWSC use WIA Title I discretionary funds to enhance customized screening and referral of qualified training applicants for particular employers?
- What other strategies does the MWA use to provide customized services to employers?
- To what extent does the grantee use WIA Title I or other formula grant funding sources to provide customized business services for a fee?

**Sources and Notes:**

**OBJECTIVE 3.5 Workforce Information:** The MWA uses workforce information to provide effective workforce solutions for both employers and job seekers. [WIA §112(b); 20 CFR 662.240]

**Summary of Indicators**

- 3.5.1** Timely and relevant workforce information is made available to employers and job seekers through the state's labor exchange system. C

**Indicator 3.5.1 (C)**

- Timely and relevant workforce information is made available to employers and job seekers through the state's labor exchange system.

**Reviewer Guidance:** *Review and assess workforce information materials and tools in the MWSC's Resource Room; ask the following questions:*

- How do Resource Room staff provide the most current Career-One-Stop and O\*NET information and services to job seekers?
- What workforce information, particularly in the area of high-growth industries/occupations, is used by MWSC staff to guide job seekers into appropriate training programs?
- In addition to Labor Market Information (LMI) data, how do MWSC staff use supplemental employment-related sources including Local Employment Dynamics (LED) data from the U.S.

Census Bureau to identify employer's problems such as turnover rate, recruitment needs, etc.? How is the information used to provide business and industry solutions including developing layoff aversion strategies for businesses in transition?

- Do the Resource Room staff feel they have the most up-to-date workforce information products and services? Do they feel that the products/services are available in sufficient formats for all customers to be able to access (including access by person with disabilities) and understand?
- What strategies does the MWA employ to develop its own timely and relevant workforce information?

### Sources and Notes:

## CORE ACTIVITY 4

### PERFORMANCE ACCOUNTABILITY

---

*Core Activity 4 refers to the MWA's accountability for performance as reflected by assessment in four areas: meeting service level and expenditure goals, meeting performance outcome goals, managing sub-recipient and contractor performance, and using performance data for continuous performance improvement.*

#### CORE ACTIVITY 4 GENERAL INSTRUCTIONS

The purpose of Core Activity 4 is to determine whether the MWA is meeting its operating goals, such as planned service level and expenditure targets, and whether it is meeting its performance outcome goals, as well as to evaluate the MWA's system for managing performance.

To prepare for this section, review grant goals and objectives, review MWA reports on services provided and performance results achieved, and compare actual results against planned levels of performance.

## **Summary of Findings for Core Activity 4**

### **Promising Practices**

### **Findings or High-Risk Factors**

### **Other Observations**

### Pre-Review Performance Checklist

The pre-review performance checklist will be completed by the WIA State Coordinator prior to conducting an on-site review. This information will help to ensure accuracy and efficiency during the review. All data will be for the current Program Year (PY) through the most recent completed quarter.

MWA	
Date Reviewed:	
Program Year	

#### Performance

	Measure	Negotiated	Achieved	Status
Adult Program	Entered Employment Rate			
	Employment Retention Rate at Six Months			
	Average Earnings in Six Months			
	Employment and Credential Rate			
DW Program	Entered Employment Rate			
	Employment Retention Rate at Six Months			
	Average Earnings in Six Months			
	Employment and Credential Rate			
Older Youth	Entered Employment Rate			
	Employment Retention Rate at Six Months			
	Average Earnings Change in Six Months			
	Credential Rate			
Younger Youth	Skill Attainment Rate			
	Diploma or Equivalent Rate			
	Retention Rate			
Overall Activities	Participant Customer Satisfaction			
	Employer Customer Satisfaction			

Fiscal

<b>Program</b>	<b>PY Award</b>	<b>Percent Allocated to Administration</b>	<b>Percent Transferred to Adult/DW</b>	<b>Expenditures</b>	<b>Percent Expended</b>	<b>Percent Expended on Training</b>	<b>Percent Spent on Out-of-School Youth</b>
Adult							
DW							
Youth							

Notes:

List all WIA discretionary funding received by the Local Area. Are there any outstanding issues or questions related to any of these grants?

Participant Count

<b>WIA Program</b>	<b>Participants Served Locally (# and % of Statewide Total)</b>	<b>Total Participants Served Statewide</b>
Adult		
DW		
National Emergency Grant		
Younger Youth		
Older Youth		
<b>Total</b>		

**OBJECTIVE 4.1 Service Goals:** The MWA is on schedule to achieve its service level goals and fully utilize available funds. [29 CFR 95.21; 29 CFR 97.20; Local Plan]

#### Summary of Indicators

- 4.1.1** An implementation plan identifies project goals, activity levels, spending targets, and timeframes that are directly linked to achieving grant goals. **E**
- 4.1.2** MWA spending is occurring at a rate consistent with the amounts budgeted through the most recent quarter being reviewed. **C**
- 4.1.3** The MWA is currently meeting service level goals proposed in the grant agreement. **C**
- 4.1.4** The MWA is projected to meet all service level goals and fully utilize all grant funds by the end of the grant period. **C**

#### Indicator 4.1.1 (E)

- An implementation plan identifies project goals, activity levels, spending targets, and timeframes that are directly linked to achieving grant goals.

**Reviewer Guidance:** *Review a copy of the MWA's implementation plan and/or sub-contractor agreements; interview staff responsible for administering the program of services; ask the following questions:*

- What kind of an implementation plan does the MWA use to guide its work? Does the plan directly link project activities to project goals and include appropriate timeframes, staff assignments, and levels of effort for each major project activity? How is the implementation plan used as a tool to measure planned versus actual activity as a means of tracking the progress toward goal achievement?
- Has MWA staff received a written formal process (Ex. a flow chart or other method) that illustrates the movement of program participants through service components that are directly related to project goals? Is the sequence of services logical?

**Sources and Notes:**

**Indicator 4.1.2 (C)**

- MWA spending is occurring at a rate consistent with the amounts budgeted through the most recent quarter being reviewed.

**Reviewer Guidance:** *Compare actual expenditures at the end of the most recent quarter with the level of expenditures forecast in the budget for the same period; ask the following questions:*

- Compute the variance from plan as follows: actual expenditures divided by planned expenditures, convert to a percentage and deduct 100 percent. For example:  $\$120,000/\$160,000 = .75$  (75 percent) - 100 percent = -25 percent variance. Are actual expenditures within +/-15 percent of planned levels through the most recent quarter?
- If the grant does not have quarterly expenditure goals, compute the percentage of the grant period that has elapsed (Ex. 12 months of the 24-month grant period have elapsed, yielding a completion rate of 50 percent), and compare that percentage with the percentage of total planned expenditures achieved to date (Ex. 60 percent of total funds have been spent to date, divided by 50 percent of grant period that has elapsed:  $60 \text{ percent}/50 \text{ percent} = 1.2$  (120 percent) - 100 percent = +20 percent variance).
- If actual expenditures are significantly higher or lower than projected levels for this period, what are the causes for each variance from plan?
- Re: the WIA Youth program, how does the MWA ensure that, at a minimum, at least 30% of WIA Youth funds are used to provide services to out-of-school youth? (20 CFR 664.320)

**Sources and Notes:****Indicator 4.1.3 (C)**

- The MWA is currently meeting service level goals proposed in the grant agreement.

**Reviewer Guidance:** *Examine the most recently available enrollment reports and compare the number of participants currently being served to the number of enrollments planned for this period in the MWA's implementation plan. Perform the same analysis of other service goals that are identified in the grant. Ask the following questions:*

- Compute the variance from plan as follows: actual service level divided by planned service level, convert to a percentage and deduct 100 percent (Ex.  $120/160 = .75$  (75 percent) - 100 percent = -25 percent variance).
- Are actual enrollments within +/-15 percent of planned service levels through the most recent quarter?
- If the grant only has grant-ending goals, compute the percentage of the grant period that has elapsed (Ex. 12 months of the 24-month grant period have elapsed yielding a completion rate

of 50 percent), and compare that percentage with the percentage of total planned service levels achieved to date (Ex. 60 percent of total planned enrollments have been achieved to date, divided by 50 percent of grant period that has elapsed:  $60 \text{ percent} / 50 \text{ percent} = 1.2$  (120 percent) - 100 percent = +20 percent variance).

- If achievement of service goals varies significantly from projected levels, what are the causes for such variances?

#### Sources and Notes:

#### Indicator 4.1.4 (C)

- The MWA is projected to meet all service level goals and fully utilize all grant funds by the end of the grant period.

**Reviewer Guidance:** *Using the information already gathered on current enrollment, other service goals, and expenditure rates, make a projection of whether the MWA's service goals will be met and all available funds will be spent by the end of the grant period. If you determine that significant variances from the plan will remain by grant-end, determine what course of corrective action is needed to remedy the problems you have identified. Ask the following questions:*

- How close is the MWA to meeting its service level goals? If the MWA is not on course to meet its service goals, what are the causes and how does the MWA plan to address them?
- Has the MWA obligated at least 80 percent of the prior program year's allocation for WIA programs serving adults, dislocated workers, and youth, less any amounts reserved (up to 10 percent) for the costs of administration? If not, why?
- Is the MWA on course to spend their available funds by the end of each year in the grant period, using 70 percent as a target expenditure level? If not, why?

#### Sources and Notes:

**OBJECTIVE 4.2 Performance Outcomes:** The MWA is on schedule to meet or exceed the performance outcomes that are identified in the grant agreement. [WIA §136]

#### Summary of Indicators

- **4.2.1** The MWA is currently meeting or exceeding the performance outcomes that are identified in the grant agreement and is projected to meet all performance goals by the end of the Program Year. **E**

#### Indicator 4.2.1 (E)

- The MWA is currently meeting or exceeding the performance outcomes that are identified in the grant agreement and is projected to meet all performance goals by the end of the Program Year.

**Reviewer Guidance:** *Examine the MWA's most recently available performance reports and compare actual performance with planned performance from the beginning of the grant period through the most recent quarter for each type of performance outcome identified in the program; ask the following questions:*

- Do actual performance results meet or exceed planned outcomes through the most recent quarter?
- If actual performance is significantly higher or lower than planned levels for this period, what are the causes for each significant variance from plan?

#### Sources and Notes:

**OBJECTIVE 4.3 Sub-Recipient/Contractor Performance:** The MWA holds sub-recipients and contractors accountable for achieving their performance goals.

#### Summary of Indicators

- **4.3.1** Sub-recipient and contract agreements contain clear, specific, and measurable performance goals. **E**
- **4.3.2** The MWA holds sub-recipients accountable for actual versus planned accomplishments related to performance goals. **E**

**Indicator 4.3.1 (E)**

- Sub-recipient and contract agreements contain clear, specific, and measurable performance goals.

**Reviewer Guidance:** *If the grantee has entered into sub-recipient and/or contract agreements with outside organizations to provide services, determine whether those agreements contain clear, specific, and measurable performance goals that can be tracked and evaluated during the period of the agreements; ask the following questions:*

- Do these agreements contain specific and measurable performance goals that are quantified? If not, how does the grantee hold them accountable for their activities?
- Do local grant agreements contain any performance indicators other than those prescribed by WIA? (§136(c)(1))
- Are the performance goals broken out into shorter increments of time, such as quarterly? If not, how does the grantee measure performance during the course of the agreement?
- Do the agreements contain any provisions requiring corrective action when performance goals are not being met? If not, how does the MWA enforce the performance terms of the agreement?

**Sources and Notes:****Indicator 4.3.2 (E)**

- The MWA holds sub-recipients accountable for actual versus planned accomplishments related to performance goals.

**Reviewer Guidance:** *If the grantee has contracted with sub-recipients or contractors to deliver services, determine how the grantee reviews their reports, monitors their performance, and follows up on performance problems; ask the following questions:*

- Do the reports reflect the progress of sub-recipients toward fulfilling goals and objectives outlined by the grantee?
- Is a procedure in place for the MWA to evaluate the reports? If so, has the procedure been followed?
- Are procedures in place to address reports that indicate performance below requirements?

- Who initiates action when the reports suggest that corrective measures or technical assistance are required?

**Sources and Notes:**

**OBJECTIVE 4.4 Performance Data:** The MWA uses performance data to improve project implementation.

**Summary of Indicators**

- 4.4.1** The MWA uses relevant and objective data to assess the quality of service delivery. **E**
- 4.4.2** The MWA uses information from regular reviews to make adjustments to program operations. **E**

**Indicator 4.4.1 (E)**

- The MWA uses relevant and objective data to assess the quality of service delivery.

**Reviewer Guidance:** *If a formal analysis process is in place, request and review a written description of the steps followed in the process and copies of analyses for the period being examined. If no written process, summarize the standard operating procedure (SOP). Request and review copies of information used to create data for quality assessment; if no documentation is available, interview MWA management. Ask the following questions:*

- Does the process as described identify logical links between program activities and the measures of program performance?
- How are “high” and “low” performance defined?
- When high or low performance is identified, what actions are undertaken to discover the causes?
- Are project managers consulted about high or low performance and the causes that produced them?

**Sources and Notes:**

**Indicator 4.4.2 (E)**

- **4.4.2** The MWA uses information from regular reviews to make adjustments to program operations.

**Reviewer Guidance:** *Request and review copies of communication regarding low or high performance results to contractors, the Board, or other partners; interview staff responsible for taking action on low or high performance results; ask the following questions:*

- Do the communications indicate that goals, staffing patterns, allocations or other adjustments were made for the next reporting period?
- How do local boards and one-stop operators use performance data to identify trends or patterns in the data that should be addressed, and are they pro-active in addressing these trends or patterns? Have any reports been prepared? Ask for copy.
- What additional real-time performance measures have local boards developed for or negotiated with service providers?

**Sources and Notes:**

## PROGRAMMATIC REVIEW EXIT CONFERENCE

MWA:	Date:
Location:	

WDA Staff Present:	
MWA Staff Present:	
WDA Comments:	
MWA Comments:	



## ATTACHMENT A

## Review Planning and Preparation Guide

Thorough planning and preparation for an on-site review is critical to both its completion and effectiveness. As experienced monitors know, there is always more to look at once on-site and often times, interviews and file reviews can raise red flags that require further exploration of issues. This is a critical component of on-site monitoring and it's important to pursue identified issues with additional questioning or document reviews to ensure a complete understanding of the situation. This additional activity; however, takes time and can throw the review off-schedule. For that reason, it is important to prepare thoroughly by reviewing relevant documents and to do as much of the actual work (that is conducive to off-site review) as possible in advance. This may also include following the "identification and verification" process in advance by identifying answers to appropriate review guide questions while still in the office and verifying the answers once on-site at the MWA.

### Pre-Review Process:

Below are the required activities and associated timeframes for the pre-review phase of on-site monitoring:

Activity	Steps	Responsible Party	Timetable
<b>Pre-Review:</b>			
Determine Scope	<ol style="list-style-type: none"> <li>1) Use "Review Planning and Preparation Guide" to determine scope of review, sites to visit, time on-site, etc.</li> <li>2) Submit suggested review plan to management</li> <li>3) Management approve/revise</li> </ol>	WDA Coordinator (Steps 1-2); WDA Management (Step 3)	45 - 60 days prior to review
Scheduling	<ol style="list-style-type: none"> <li>1) Call MWA contact to determine possible dates</li> <li>2) Verify dates w/MWA via email</li> <li>3) Make necessary travel arrangements</li> </ol>	WDA Coordinator	30-45 days prior to review
Formal Notification	<ol style="list-style-type: none"> <li>1) Draft letter to MWA confirming dates, scope and tentative agenda for review, as well as the WDA Programmatic Monitoring Guide and instructions re: file sample</li> <li>2) Submit letter to Management for review and approval</li> <li>3) Letter sent via centralized email to MWA</li> </ol>	WDA Coordinator (Steps 1-2); WDA Management (Steps 2-3)	30 days prior to review
Prepare Sample for Participant File Review	<ol style="list-style-type: none"> <li>1) Follow process in "Review Planning and Preparation Guide" to request sample from WDA OSMIS staff</li> <li>2) Follow process for notifying MWA of file sample</li> </ol>	WDA Coordinator	21 days prior to review



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Knowledge Gathering & Updating	<ol style="list-style-type: none"> <li>1) Review key sections of statute, regulations, TEGs and PIs (critical provisions or provisions pertaining to areas where MWA has previously-identified issues)</li> <li>2) Collect and review for MWA:           <ul style="list-style-type: none"> <li>• Local plans (Strategic, MWSP)</li> <li>• Board and Youth Council membership and meetings</li> <li>• MWSC Certification</li> <li>• MWA Waiver Plan</li> <li>• Expenditure Reports (last 4 quarters)</li> <li>• Performance Reports (last 4 quarters)</li> <li>• Risk Assessments</li> <li>• Partner program and Internal Audit monitoring reports               <ul style="list-style-type: none"> <li>• Data validation findings</li> </ul> </li> </ul> </li> <li>3) Discuss any questions/concerns regarding MWA with Management or partner program staff</li> <li>4) Meet w/WDA staff assisting with review to coordinate roles and division of labor while on-site</li> </ol>	WDA Coordinator	30 - 1 day prior to review
Monitoring Guides & Tools	<ol style="list-style-type: none"> <li>1) Review on-site monitoring guides and tools to ensure familiarity prior to on-site review</li> <li>2) Complete "Pre-Review" portion of guide</li> <li>3) Tailor guide to review by highlighting key areas for MWA, adding in any MWA-specific info already gathered or references that may be useful on-site</li> </ol>	WDA Coordinator	30 - 1 day prior to review
Packing Resources to Have On-Hand	<ol style="list-style-type: none"> <li>1) Pack laptop, Internet card (encouraged for recording interviews; required for participant file review)</li> <li>2) Pack sign-in sheets for Entrance &amp; Exit Meetings</li> <li>3) Ensure the following info is available while on-site, preferably in an electronic format:           <ul style="list-style-type: none"> <li>• Review schedule and directions to various sites</li> <li>• MWA contact information</li> <li>• Statute, regulations and policy guidance for program under review</li> <li>• Monitoring Guide and tools</li> <li>• Local policies and any other information provided prior to review</li> <li>• Participant list for file sample</li> </ul> </li> </ol>	WDA Coordinator	7 - 1 day prior to review



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Below are additional resources to assist the reviewer with establishing the review schedule and requesting the participant file sample:

### Review Schedule:

As outlined above, the length of time required for an on-site review is dependent upon both known factors, such as the scope of the review (programs and provisions to be covered), the size of the MWA, and the number and complexity of already-identified issues as well as unknown factors, such as issues that crop up through the interview or file review process that were not previously known by the reviewer. The best approach is to use the known factors to structure and schedule the review as much as possible in advance, while allowing some extra time for the pursuit of red flags and issues that arise during the course of the review. Below is a guide to help reviewers develop a schedule and plan for the on-site review:

*Key Questions:* The reviewer should thoughtfully consider and answer the questions below when determining the length and schedule for the on-site monitoring review. Remember, the goal of the monitoring review is to thoroughly assess compliance and effectiveness across MWA operations. A standard rule of thumb is to allow a half-day for Administrative-level interviews per program, a half-day for Service Center Management/Case Management interviews per program, and at least one full day for the file review per program and two - four hours for the Entrance and Exit meetings. This generally allows time for follow-up questioning, a review of additional documents provided on-site and a walk-through of case file organization and management. Timing can be shortened or lengthened based on the answers to the questions below. (Note: For the purposes of this exercise, Wagner-Peyser should not be considered a separate program but, rather, an element of the WIA Adult or WIA Dislocated Worker review.)

### Scope:

- How many programs are being covered?
- How many WDA staff are participating in the on-site review?
- Are programs being covered in their entirety or only certain provisions?
- How many files will be reviewed for each program?

### MWA Size:

- Is the Administrative Office co-located with a Service Center?
- How many Service Centers are there and how many will be visited?

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- How many case managers cover the program being reviewed?

**Previously –Identified Issues**

- Are there issues identified during previous programmatic monitoring or partner monitoring that require follow-up?

***Sample Review Schedule:***

Once the scope and time on-site has been determined, it is necessary to develop a review schedule to be shared with the review team, management and the MWA. This is included in the formal notification letter outlined in the table above or can be provided under separate cover at a later date if all details cannot be finalized at that time. The review schedule includes dates, times, locations and participating WDA/MWA staff and may follow the following format:



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## Wagner-Peyser and WIA Adult On-Site Programmatic Monitoring Review

### MWA X

June 1 – June 3<sup>rd</sup>

#### Review Schedule

Day 1: June 1<sup>st</sup>

9:00am – 10:30am: Entrance Meeting

Attendees: WDA Monitoring Team and MWA Administrative Staff

Location: Administrative Office

Purpose: To review the purpose, process and schedule for the review, including the post-review activities; discuss any questions or concerns regarding the process or schedule

10:30 – Noon: Interview MWA Administrative Staff

Attendees: MWA staff identified by Director but with purview over the program under review

Location: Administrative Office

Purpose: To discuss governance, policy, service design and delivery, and performance

Noon – 1:00pm: Lunch

1:00 – 1:30pm: Tour of Service Center #1

Attendees: WDA Monitoring Team and MWA Service Center Staff

Location: Service Center#1

Purpose: To gain a general understanding of service design and delivery, labor exchange and facilities

1:30 – 2:30pm: Interview Service Center Management

Attendees: WDA Monitoring Team and Service Center Management



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Purpose: To discuss governance, policy, service design and delivery, and performance

2:30 – 3:00pm: Time to review additional documentation collected, notes from initial interviews, identify follow-up questions, etc.

3:00 – 5:00pm: Interview Case Management Staff and Walk-through of Case File Organization

Attendees: WDA Monitoring Team and MWA Case Managers

Location: Service Center #1

Purpose: To discuss case management procedures, service design and delivery, access to resources, etc.

Day 2: June 2<sup>nd</sup>:

8:30 – Noon: Participant Case File Review

Attendees: WDA Monitoring Staff and MWA Case Management staff readily available to answer questions

Location: Service Center #1

Purpose: To determine compliance and effectiveness of service design and delivery

Noon – 1:00pm: Lunch

1:00 – 1:30pm: Tour of Service Center #2

Attendees: WDA Monitoring Team and MWA Service Center Staff

Location: Service Center #2

Purpose: To gain a general understanding of service design and delivery, labor exchange and facilities

1:30 – 2:00pm: Interview Service Center #2 Management

Attendees: WDA Monitoring Team and Service Center Management



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Location: Service Center #2

Purpose: To discuss governance, policy, service design and delivery, and performance

2:00 – 3:00pm: Interview Case Management Staff

Attendees: WDA Monitoring Team and MWA Case Managers

Location: Service Center #2

Purpose: To discuss case management procedures, service design and delivery, access to resources, etc.

3:00 – 5:00pm: Participant Case File Review

Attendees: WDA Monitoring Staff and MWA Case Management staff readily available to answer questions

Location: Service Center #2

Purpose: To determine compliance and effectiveness of service design and delivery

Day 3: June 3<sup>rd</sup>:

8:30 – Noon: Finish Participant Case File Review

Attendees: WDA Monitoring Staff and MWA Case Management staff readily available to answer questions

Location: Service Center #2

Purpose: To determine compliance and effectiveness of service design and delivery

Noon – 1:00pm: Lunch

1:00 – 2:30pm: Follow-up Questions & Prepare for Exit Meeting

Attendees: WDA Monitoring Staff and MWA/Service Center staff available in person or via phone to answer questions

Location: Service Center #2 (or somewhere with a private meeting space)



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Purpose: To close the loop on any outstanding concerns and develop written outline based on completed review guide for use at Exit Meeting

2:30 – 3:00pm: Travel to Exit Meeting at Administrative Office

3:00 – 4:30pm: Exit Meeting

Attendees: WDA Monitoring Staff and MWA Administrative Staff as determined by the Director

Location: MWA Administrative Office

Purpose: To provide summary of review activities, findings, high-risk areas or other observations; explain process for issuing report

Note: This is simply one example of a potential review schedule. Structure and allotted times may vary depending on a variety of factors, including the number of locations to visit, travel times between sites, and the ability to distribute the work across the WDA Monitoring team to complete some activities simultaneously.

*Participant File Sample:*

The purpose of the participant file review is to assess MWA compliance with the documentation, case management, and service delivery requirements for the program under review, as well as to determine the effectiveness of their service design and delivery. To accomplish this, WDA staff must review a minimum of four participant files per program under review, with a goal of completing 8-10% of the MWA caseload as reviewers become more proficient. The participant file sample should include files from all of the service centers and case managers providing services as well as a mixture of services provided. **It is helpful to pull a sample larger than the number you intend to review to allow for some discretion while on-site to select files from among the sample.** This allows another opportunity to ensure as much coverage of service centers, case managers, differences in services provided, etc. as possible.

Below are the steps for requesting the participant file sample:

1. Request OSMIS information **3 weeks** prior to the visit:

E-mail Paula Eklund (cc: **Joe Billig**) to request the following:

- MWA participant listing (at least 4 files per program)
- If reviewing more than one program, specify the number of participants per fund source (at least 4)
- Specify number of participants active, exited, and receiving specific services, such as on-the-job training (OJT)



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*Example E-MAIL:*

*Subject: WIA Participant Listing for (MWA Name) Program Review*

*Can you please provide me with a listing of the following for (MWA Name):*

- *Four WIA Adult participants (3 active and 1 exited within the last 12 months). One of the active should be receiving OJT.*
- *Four WIA Dislocated Worker participants (3 active and 1 exited within the last 12 months). One of the active should be receiving OJT.*
- *Four WIA Older Youth participants (3 active and 1 exited within the last 12 months).*
- *Four WIA Younger Youth participants (3 active and 1 exited within the last 12 months).*

*For the participants selected, can you please provide the following information:*

- *Status (Active/Inactive)*
  - *MWA ID*
  - *Region Code*
  - *First Name*
  - *Last Name*
  - *Birth Date*
  - *Program Code*
  - *Registration Date*
  - *Service Code*
  - *Begin Date*
  - *End Date*
  - *Exit Date*
2. Once you receive the participant list from OSMIS staff, verify that the participants selected were not reviewed the previous program year.
  3. Provide the MWA with the list of participant files no later than 48 hours prior to the program review.



## On-site Monitoring Step-by-Step Instructions

Effective on-site monitoring follows a multi-step identification and verification process. This process requires the review team to ask questions at the Administrative Agency level designed to identify if compliance and effectiveness provisions are in place. This step is followed by interviews at the sub-contractor/service delivery level as well as a file review to verify if those provisions are adhered to during program implementation. Experienced monitors know that while the Administrative level often perceives that policies are widely known and followed by middle management and front-line staff, communication breakdowns between the levels may mean that is not reality. The identification and verification process pinpoints these issues for resolution. This process also identifies weaknesses in the local area's internal monitoring procedures which may need to be strengthened through technical assistance.

Below is a visual description of the steps:

### *On-site Monitoring Identification & Verification Process*

MWA Administrative Agency: Interview MWA Director or designated staff regarding governance, service design, operations, performance, and expenditures; collect policies if needed

MWA Sub-Contractor Staff (or direct staff doing service delivery): Ask same or similar questions as above to verify accuracy; inquire about awareness of and adherence to policy

Participant File Review: Verify if service delivery aligns with the information provided in the previous levels; ensure that statute, regulations and WDA and/or local policies are followed

### On-site Monitoring Step-by-Step:

Following are the required activities and associated timeframes for the on-site phase of monitoring:

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Activities	Steps	Responsible Party	Est. Timeframe
Entrance Meeting	<ol style="list-style-type: none"> <li>1) Meet w/MWA Director and/or designated staff to review purpose, scope, and agenda for review</li> <li>2) Ask attendees to complete sign-in sheet</li> </ol>	Review Team (led by WDA Coordinator)	Review: Day 1
Admin-level Interviews	<ol style="list-style-type: none"> <li>1) Use on-site monitoring guide to interview Admin-level staff</li> <li>2) Record answers, either by hand in guide or electronically</li> <li>3) Collect policies or other info needed</li> </ol>	Review Team (led by WDA Coordinator)	Review: Day 1
Service Center Visit(s)	<ol style="list-style-type: none"> <li>1) Travel to service center (if not co-located w/Admin Office)</li> <li>2) Meet w/service center management to explain review schedule/process and identify logistical needs – conference room to work in, restrooms, nearby restaurants, etc.</li> <li>3) Use on-site monitoring guide to interview service center management (compare how answers align with responses from Admin-level staff)</li> <li>4) Take a guided tour of service center and ask clarifying questions during tour (this is an excellent opportunity to observe service design and delivery to match with the information provided by staff)</li> </ol>	Review Team (led by WDA Coordinator)	Review: Day 1
Sub-contractor/Service Delivery Staff/Participant Interviews	<ol style="list-style-type: none"> <li>1) Use on-site monitoring guide to interview one or more case managers for program being reviewed. Compare how answers align with Admin and service center management responses.</li> <li>2) If possible, use on-site monitoring guide to interview one or more participants regarding their experience and satisfaction with the program and service center overall</li> </ol>	Review Team (led by WDA Coordinator)	Review: Day 1 - 2
Participant File Review	<ol style="list-style-type: none"> <li>1) Ask case manager to “walk-through” a typical case file to help review team understand how files are organized and maintained</li> <li>2) Use OSMIS/hard copy files to complete participant file review section of on-site monitoring guide</li> <li>3) As questions arise, ask case manager(s) for assistance, use “Participant File Review Guides” section of on-site monitoring guide to note specific issues with individual files as well as any ongoing problems/themes overall</li> </ol>	Review Team (led by WDA Coordinator)	Review: Day 1-2 (and 3 if larger review)

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Prep for and Implementation of Exit Meeting	<ol style="list-style-type: none"> <li>1) Prior to exit meeting, ask Admin or service provider staff for clarification to any outstanding questions or issues (to ensure review team has full knowledge prior to identifying any findings/areas of concern)</li> <li>2) Hold a review team meeting in a private space (usually a conference room at Admin office or service center) to draft an agenda for Exit meeting that identifies findings, administrative recommendations, and positive practices</li> <li>3) If unsure of how issue should be categorized, contact Management via phone or email prior to Exit Meeting. If clarification is not obtained prior to Exit Meeting, inform MWA that more research will be done and the MWA will be notified of the classification prior to report issuance.</li> <li>4) Facilitate Exit Meeting with MWA Director and/or staff: ask attendees to complete sign-in sheet; thank MWA for their time and cooperation; outline findings, administrative recommendations, and positive practices; allow MWA staff to raise questions and offer additional information that may resolve or re-classify an issue; walk-through the report issuance process and process for resolving corrective action, if necessary.</li> </ol>	Review Team (led by WDA Coordinator)	Review: Day 2 or 3 (if larger review)
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### Entrance and Exit Meetings: Talking Points

The Entrance and Exit Meeting components of on-site monitoring are critical to setting a positive and professional tone for the review as well as relaying important information about the process both on-site and post-review. The Entrance Meeting is an opportunity for the review team to further define the scope, purpose, activities, and schedule for the on-site review. It is also an opportunity for the MWA to ask questions or raise concerns. Even though this information is provided to the MWA in writing in advance of the review, WDA monitors should cover the following with MWA staff at the Entrance Meeting:

- Introduction of the individual(s) conducting the review
- Purpose, scope, and goals of the review
- Review schedule, including a statement that the schedule is the tentative plan but the monitor(s) may have to diverge from the plan if unforeseen issues arise
- Designation of a representative(s) to serve as point(s) of contact for questions

## ATTACHMENT B



during the review

- Agreement regarding the time, location, and attendees for the Exit Meeting
- Questions, comments, or clarifications regarding the review

The Exit Meeting provides a summary of the monitors' identified findings, high-risk areas, and positive practices. WDA monitors also cover the process for the written report and responsibilities for resolving corrective action, if necessary. Monitors should not feel compelled to classify issues as either a finding or high-risk area during the Exit Meeting if they are not sure of the appropriate designation. It is perfectly acceptable to describe the concern and state that it requires further discussion and/or research before a final classification is made. WDA monitors should cover the following with MWA staff at the Exit Meeting:

- Locations visited, staff interviewed, and # of files reviewed
- The process and timeframe for completion and submission of the written monitoring report to the MWA (see additional information below)
- The process and timeframe for completion and submission of required written response to WDA, if applicable
- The identification of any findings, high-risk areas, and positive practices
- The identification of possible recommendations, if applicable
- Questions, comments, or clarifications regarding the review
- An opportunity for the MWA to respond to findings and/or observations with clarifying information, if applicable

*WDA Monitoring Report:* The WDA will issue the formal report within forty-five (45) days of the completion of the review. The report will include the following:

- Scope of the Review
- Summary of the Review
- Findings (issues of compliance with the Act, Regulations, or other applicable laws or regulations), if applicable
- Requested Corrective Action, if applicable
- High-Risk Areas (significant deficiencies which, though not compliance issues, materially affect the grant's performance, effectiveness, or efficiency of operations)
- Administrative Recommendations (suggestions or recommendations for improvement), if applicable
- Positive Practices

WDA Monitoring Reports will be provided to:

- Chief Elected Official(s)
- Workforce Development Board (WDB) Chair
- MWA Director

## ATTACHMENT B



- WDASOM Executive Leadership
- WDASOM Office of Audit and Financial Compliance

If corrective action is required, MWA officials must submit a corrective action plan addressing the finding(s) and the specific steps that will be taken to help ensure the finding(s) is resolved. The MWA may wish to address program design, goals, or service strategies that may inhibit programmatic operation and/or performance, including reporting issues, and appropriate technical assistance (if needed). A timeline outlining the steps to be taken must be included.

Once the WDA has received the corrective action plan, it will make a determination within 30 days regarding the effectiveness of the response. If the corrective action response is deemed acceptable and appropriate, the MWA will be notified to proceed with the indicated action. If the corrective action plan is not deemed acceptable, the WDA will require additional information.

If applicable, corrective action plans must be submitted to the WDA at the address listed below within forty-five (45) days from the date of the Summary Report to:

Ms. Stephanie Beckhorn, WIA Manager

Office of Talent Development Services

Victor Office Center, 5th Floor

201 N. Washington Square

Lansing, Michigan 48913

Or electronically at: [beckhorns@michigan.gov](mailto:beckhorns@michigan.gov)

If your corrective action plan does not effectively identify and address the finding(s) in a manner that ensures future success, or a response is not submitted within the required timeframe, MWA officials will be notified and further corrective action may be required.

**Programs and/or procedures included in corrective action will be reviewed during subsequent programmatic reviews.**



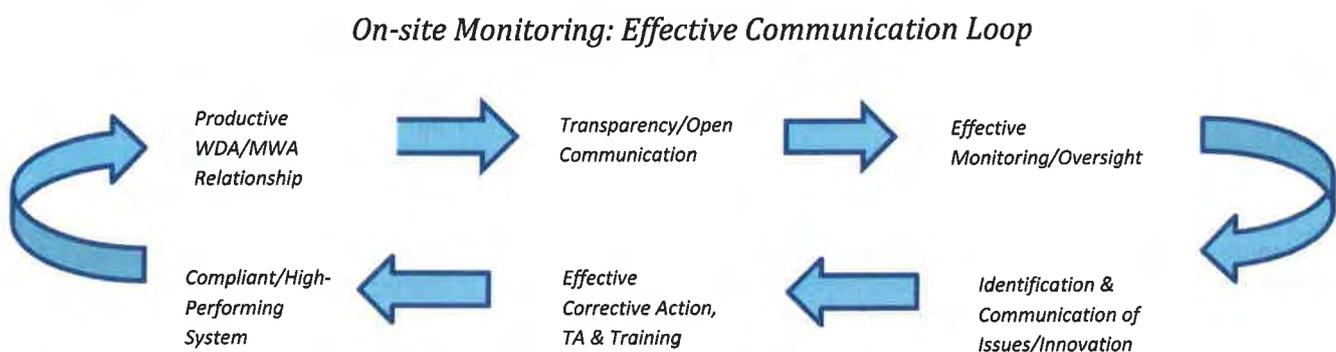
## Post-Review Guide

An on-site monitoring review is only effective if the information gathered and analyzed is used in the following ways:

1. To provide clear feedback to the MWA in the form of a monitoring report that identifies findings, high-risk areas, and positive practices;
2. To improve the monitor's understanding of the MWA's structure, operations, and performance to support the provision of targeted technical assistance to the grantee; and
3. To improve the WDA's understanding of the compliance and effectiveness of both that individual MWA as well as common issues that run across the system to drive the development of policy, procedure, technical assistance and training that will improve system efficiency and performance.

The common thread within each of the three activities above is *communication*. Conducting on-site monitoring that is not followed by clear, consistent, and comprehensive communication both back to the MWA and forward to WDA management and peers will drive neither compliance nor system improvement.

We can again use the "Effective Communication Loop" to depict the desired process for the specific activity of on-site monitoring:



The three processes used to achieve the goals outlined above are:

- 1) Development and submission of the WDA On-site Monitoring Report
- 2) Tracking of corrective action and resolution of issues
- 3) Completing the Technical Assistance and Training Loop

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These processes are discussed in detail in the Step-by-Step table below. Following the table are additional resources to support the report writing component of post-review activities.

### Post On-site Monitoring Step-by-Step:

Below are the required activities and associated timeframes for the Post On-site phase of monitoring:

Activities	Steps	Staff	Est. Timeframe
Management De-brief	1) Meet w/WDA Management to outline findings, administrative recommendations, and innovative practices; clarify any questions	WDA Coordinator	Within 5 working days of completion of on-site review
Report Writing	1) Use "On-site Monitoring Report" template to draft cover letter and written report of findings/corrective action, administrative recommendations, and innovative practices. 2) Submit to management for review, collaborative editing, and approval	WDA Coordinator (Step 1 – 2); WDA Management (Step 2)	Step 1 -within 21 days of completion of on-site review; Step 2-within 30 days of completion of on-site review
Issue Report	1) Management submits cover letter and report to Executive level for review and signature 2) Report cover letter signed and emailed to MWA Director	WDA Management (Step 1); WDA Executive Level (Step 2)	Within 45 days of completion of on-site review
Tracking of On-Site Reviews and Corrective Action	1) Update on-site review tracking tool located in shared drive (example also provided at the end of this document)	WDA Coordinator; WDA Lead Staffer (back-up)	Within 14 days of report issuance (Step 1); Ongoing until findings resolved (Step 2)
Complete TA/Training Feedback Loop	1) Follow established process to raise identified TA and training needs 2) Follow established process to share innovative practices	WDA Lead Staffer and Management	Within 14 days of report issuance

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## WDA Monitoring Reports

WDA monitoring reports, issued following an official monitoring event, are a primary tool for driving individual grantee and system compliance and effectiveness. These reports also provide a forum to highlight positive practices and share the WDA's current priorities and vision. To ensure that MWAs receive a consistent product in terms of format and approach, WDA staff should use the model outlined below when preparing monitoring reports.

### General Guidelines:

- Reports should be written with an exception-only approach, meaning that content should reflect the areas from the review that were exceptionally negative or positive. Narrative describing operations that are neither non-compliant nor particularly ineffective or effective should not be included.
- MWAs are only required to respond to the Findings included in the Report. Reports should not mandate a response to issues identified as "High-Risk".
- Timeframes for the submission of MWA responses should follow a 30-45 day window from the date of receipt of the Report or follow-up communication.
- The specific date that responses are due should appear in the cover letter.

Use the following standard labels within the body of the monitoring report:

- **Finding/Required Action:** A Finding identifies an area of non-compliance with the Act, regulations, ETA policy, WDA policy, or terms of the grant agreement. A Finding statement is followed by a Required Action statement describing what must be done to remedy the Finding.
- **High-Risk Areas/Administrative Recommendations:** These headings are used to address significant deficiencies which, though not compliance issues, materially affect the grant's performance, effectiveness, or efficiency of operations.
- **Positive Practice:** This heading is used when highlighting a grantee practice that is noteworthy as a positive model or "best practice."

MWAs are only required to respond to the Findings included in the Report. Reports invite, but do not mandate, a response to issues identified as "Administrative Recommendations." Timeframes for the submission of grantee responses should provide a 30-45 day window from the date of receipt of the WDA monitoring report or follow-up communication. The specific date that responses are due should appear in the cover letter. Monitoring reports should be signed by WDA Management.

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**WDA Monitoring Report Components:**

All monitoring reports should contain, in the following order:

Cover Letter

Title Page

Executive Summary

Review Scope

Findings/Required Actions (if any)

High-Risk Areas/Administrative Recommendations (if any)

Positive Practices (if any)

**Cover Letter**

The cover letter should be brief, to the point, and include the dates of the review and programs covered, a statement that the report is attached, and a required receipt date for the MWA's response, if applicable. The letter should also note, if applicable, that the report contains significant findings such as questioned costs and critical findings or risk areas identified by the WDA. (Sample language appears in the attached Example Report.)

**Title Page**

To ensure consistency of presentation and to give the report a professional appearance, a standard title page has been developed and appears in the attached Example Report. Reviewers should edit the page to include the relevant grant program, MWA name, and issue date.

**Executive Summary**

The Executive Summary is exactly what the name implies – a summary of the report for an Executive, and, as such, it needs to be clear, concise, and brief. The Executive Summary should be no longer than one or two pages and should include the key findings and required actions identified during the review, as well as any positive practices the reviewer wants to highlight. The Executive Summary is not the place to include background information or a description of the scope of the review.

**Review Scope**

The Review Scope is the who, what, when, how, why and where of the review. This section should include:

- Dates of review, including entrance and exit conferences
- Sites visited
- Names of staff members that conducted the review

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- Names & titles of those in attendance at entrance and exit conferences
- Purpose of the review
- Programs reviewed
- Areas reviewed (in most instances this should be a list of the content areas in the Programmatic Monitoring Guide that were covered during the review)
- Time periods for data covered in the review
- What was reviewed prior to traveling on-site

### **Findings/Required Actions**

Findings are identified issues, policies, or practices that are non-compliant with program standards, other Federal regulations, USDOL/ETA or WDA policy, and/or the terms of the grant agreement. Findings must contain a clear statement of the identified problem and must cite the specific section of the statute, regulation, policy, or grant agreement that has been violated. The report should follow the 4 Cs approach: Condition, Cause, Criteria, and Conclusion/Corrective Action. (Further guidance re: the 4 Cs appears in the Report Writing Approach section below).

Each Finding must have a corresponding Required Action. Required Action should be a clear statement that identifies what the WDA must see as action taken or documentation provided in order for a Finding to be resolved. The Required Action should use direct language, such as “shall” or “must”. Recommendations on detailed steps to take to correct the problem may be included when the reviewer is confident in knowing the cause of the problem and the appropriate remedy to fix it.

### **High-Risk Areas/Administrative Recommendations**

High-Risk Areas are issues, policies, or practices observed during the review that are negatively impacting the grantee’s ability to effectively manage the grant or provide services to participants. They may also be “red flags” or “risk areas” that, if not corrected, could lead to an area of non-compliance in future monitoring reviews.

Each High-Risk Area should have a corresponding recommendation for improving the issue/practice. Your grantee is encouraged, but not required, to implement the recommended action for improving the issue/practice.

### **Positive Practices**

Positive Practices are MWA practices or outcomes observed during the review that are sufficiently effective and/or innovative to warrant “highlighting” in the report. While it is a good practice to identify some positive things to say about a MWA and its program, reviewers should be judicious with their use of compliments in the official monitoring report. Such comments may be inappropriately used or taken out of context by MWAs for use in other forums.

## ATTACHMENT C



### Report Writing Approach:

The 4 C's are a good writing approach to ensure the clarity and completeness of each Finding. They are: condition, criteria, cause, and conclusion/corrective action.

### Findings

For each Finding, the 4 C's lead us to ask:

- What condition did we find? Explain this condition.

Example: Two of the 15 participant files reviewed did not contain sufficient eligibility documentation.

- What is the criteria? In other words, what does the statute, regulation, federal policy, WDA policy, or grant agreement require? How did the condition we found compare to the criteria? Explain the criteria and give the specific citation.

Example: In accordance with the terms of the grant agreement, in order to be eligible to receive services under this grant, an individual's income must be within 150% of the poverty level.

- What was the cause? Why did this violation occur? Explain the causes that you observed (lack of training, inappropriate documentation, etc.). If the immediate cause is unknown, omit this part.

Example: The two files did not contain sufficient documentation to verify this eligibility requirement because the income of family members was not included in the eligibility determination.

- What is the conclusion? What corrective action is required? Describe the recommendation.

Example of Required Action: The grantee must verify the eligibility of the two questioned participants for whom it did not have adequate eligibility documentation. The results of this review, as well as copies of the eligibility documentation, must be provided to the reviewer in the official response to this report. If an individual is found to be ineligible for this grant program, the grantee must stop spending grant funds on him/her. Any costs already spent on an ineligible individual are disallowed and must be paid back to the grant.



## ATTACHMENT C

**High-Risk Areas**

Three of the four Cs may be applied when writing an Administrative Recommendation:

- Begin with the statement of condition.

Example: The case notes in all 15 of the participant files reviewed were incomplete. While it was clear from talking with the case managers that they are making contacts with the participants, this is not apparent from the case notes since they do not reflect the contacts made or activities that took place.

- Cause (when known)

Example: The case managers were not properly instructed on how to complete the case notes.

- Criteria may not necessarily be present. Include criteria if it applies.

Example: It is important that case notes accurately reflect interactions between the case manager and the participant so that the service record is complete and documented.

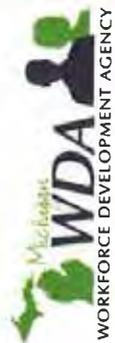
- Conclude with a suggestion.

Example: The reviewer recommends that the grantee provide training to the case managers on how to complete the case notes and conduct periodic file reviews to ensure that case managers are keeping thorough and accurate case notes that reflect all that is being done on behalf of any given participant.

**Positive Practices:**

Positive Practices should contain a succinct description of the highlighted practice, as well as a brief explanation of the benefit to the customer or system. A tightly-worded Positive Practice will minimize the possibility of WDA's language being inappropriately used or taken out of context by grantees for use in other forums.

ATTACHMENT C



WIA On-Site Program Review Tracking Tool PY 20XX											
MWA	Date of Last Program Review	Coordinator	Review Date	Due Date of Report to MWA (45 days after review)	Date Report was Mailed to the MWA	If applicable, Date Corrective Action Plan is Due (45 days after the MWA received the Report)	If applicable, Date Corrective Action Plan was Received by the WDA	If applicable, Date Denial of Proposed Corrective Action is Mailed to the MWA (Due within 30 days of receiving Corrective Action)	If applicable, Date Further Response is Due from the MWA (15 days after MWA receives WDA letter)	If applicable, Date Further Response was Received by the WDA	If applicable, Date Acceptance or Denial of Further Response is Mailed to the MWA (Due within 15 days of receiving Further Response from MWA)
ACSET											
B/C/VB											
Calhoun											
Capital Area											
Career Alliance											
Central Area											
City of Detroit											
Eastern U.P.											
Great Lakes Bay											
Job Force Board											
Kalamazoo - St. Joseph											
Livingston											
Macomb - St. Clair											
Muskegon - Oceana											
Northeast											
Northwest											
Oakland											
Ottawa											
Region 7-B											
South Central											
SEMCA											
Thumb Area											
Washtenaw											
West Central											
Western U.P.											



## Participant File Review Guide(s)

The review of participant hard copy and electronic files is an essential and required component of all official on-site monitoring reviews. In terms of the “identification and verification” strategy outlined earlier in the Monitoring Guide, the participant file review allows monitors to “identify” issues not previously revealed through the document and interview process and “verify” if the information conveyed in written policy/procedure and through interviews with staff is actually implemented through the delivery of services to participants.

In Attachment A: *Review Planning and Preparation Guide*, monitors are provided step-by-step instructions for ensuring a robust sample of participant files is available for review. Below are instructions and tips for conducting the participant file review once on-site.

- Use the following spreadsheets to record information for each participant file.
- When non-compliance, high-risk or other issues are identified, note the issue in the appropriate column on the spreadsheet and highlight the column in yellow. You may also wish to make notes in the “Additional Comments” column to further explain the concern or as a reminder to request additional/clarifying information from MWA staff.
- You may wish to adjust the order that you identify information in the file (from the columns in the spreadsheet) to match the file organization system of the MWA.
- If time is limited and you will not get through all of the selected files, seek to review files from a cross-section of case managers. Identified issues are often a result of insufficient knowledge or errors on the part of an individual case manager. While it is critical to identify those issues, it is also important to determine if the problem is isolated or systemic to identify appropriate corrective action.
- When completing the “Eligibility” portion of the file review guide, please refer to any locally-developed and WDA-approved checklists that may be in effect to ensure compliance with federal, state, and local requirements.
- Once you’ve completed the file review, examine the spreadsheet to identify common issues or “themes”. In many cases, you will need additional information to determine if the concern is, in fact, a finding or if there is a reasonable explanation. Meet again with case managers/management and use your notes to raise questions that will pull out the information needed to make an assessment of the issue.

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