**Section 2610.130 Reports and Recordkeeping Requirements**

a) Record Retention Requirements

1) All grantees shall adhere to the provisions contained in the Regulations of the Local Records Commission (44 Ill. Adm. Code 4000) and the Local Records Act (Ill. Rev. Stat. 1991, ch. 116, par. 43.102 et seq.), if applicable.

2) All other grantees not subject to the Local Records Act and regulations referenced in subsection (a)(1) shall apply to the Department for authority to destroy records relating to JTPA grants. In determining whether to approve such application, the Department shall consider whether the records are necessary for ongoing monitoring purposes, whether the records are necessary for Department compliance with federal regulations, and whether the records have any other administrative, legal or fiscal value to the JTPA program.

3) Additionally, the provisions of the 20 CFR 629.35 (April 1, 1991) are applicable.

b) Management Information System – In accordance with the requirements of Section 165 of the Act, the Department shall develop and implement a statewide Management Information System (MIS).

1) All participant-serving grantees under the Act shall participate in the Department's MIS and provide to the Department and maintain in document files for each participant, information elements as specified in subsections (c) and (d) of this Section.

2) The statewide MIS shall be an automated system for the collection, processing and reporting of information on participants relating to eligibility determination, demographic characteristics, performance measures (pre- and post-program outcomes), employability, participation in activities and services under the Act, termination, and follow-up.

3) The system shall collect required expenditure reports as specified in subsection (e) of this Section.

4) The Department shall install telecommunications lines and remote data entry equipment where such is required to support collection of the information requirements as specified in this Part. The determination regarding need for equipment will be based primarily on the number of participants to be served.

5) Standardized instructions and data collection and data entry forms shall be issued by the Department, consistent with the information requirements as specified in this Part.

6) Participant-serving grantees shall enter all participant transactions into the statewide MIS no more than thirty calendar days after each transaction. Participant transactions are defined as those events and information which are recorded on the forms as specified in subsections (c) and (d) of this Section.

7) The Department will utilize participant information and expenditure information (e.g., information specified in subsections (c), (d), (f), and (g) of this Section) entered into the MIS by the thirtieth day of the month following the end of each quarter for the following purposes:

A) Production of monitoring and assessment reports.

B) Calculation of performance standards and outcomes.

C) Determination of incentive bonus awards.

D) Determination of expenditure levels, deobligation and reallocation of funds.

c) Participant Record Requirements - Participant record requirements shall be promulgated in order for the Department to comply with the following Sections of the Act: 108 (b)(3); 121 (c)(3); 123 (c)(1); 123 (c)(3); 124 (d); 141 (e); 141 (k); 165; 167 (a); 203; 204 (11); 205 (b)(1); 205 (c); 205 (d); 253; 302 (a); and 504. Each participant-serving grantee under the Act shall collect and retain file documentation for each participant as specified in this Section. Each participant-serving grantee shall collect and maintain file documentation sufficient to verify the eligibility of individuals for participation in titles and programs under the Act. This type of documentation consists of the applicant record (i.e., application form, work history, family income statement, eligibility certification checklists), documents verifying elements of the applicant record which pertain to eligibility (for example, tax returns, check stubs, statements from government agencies indicating eligibility for public assistance), and verification of collateral contact (for example, records of SDA employee conversations with third parties). Grantees shall not be required to maintain a work history form for youth enrolled in programs authorized under Section 251 of the Act (29 U.S.C 1631). The Department shall issue standardized forms and procedures for the collection and retention of each element of the participant record, including a technical assistance guide. Participant record requirements shall be consistent with the MIS requirements under subsection (b) of this Section. The specific elements of the participant record are as follows:

1) JTPA Application Information

A) Identification Data

i) Service Delivery Area/ Substate Grantee

ii) Client ID

iii) Application Date

iv) Determination of Client Application Status

v) Name

vi) Address (Street, City, State, Zip Code and County)

vii) Telephone Number

B) Demographic/Descriptive Data

i) Sex

ii) Date of Birth

iii) Age

iv) Ethnic Group: White (Not-Hispanic); Black (Not-Hispanic); Hispanic; Asian/Pacific Islander; or American Indian/Alaskan Native

v) Education Status: High School Dropout; Student (High School or Less); High School Graduate (or GED); Post High School Education; or College Graduate

C) Eligibility Determination and Documentation Data

i) Single Head of Household with Dependent Children (Yes/No)

ii) Displaced Homemaker

iii) Authorized to Work in U.S.: Not Authorized; U.S. Citizen; Registered Alien/Refugee

iv) Selective Service Registrant Compliance

v) Barriers to Employment: At Risk of Dropping Out of School; Limited English Proficiency; Pregnant/Parenting Teen; Handicapped; Older Worker; Veteran; Vietnam-Era Veteran; Offender; Substance Abuser; or Other (Specify)

vi) Economically Disadvantaged (Yes/No): Meets Income Criteria; Welfare Recipient; Foster Child; Food Stamp Recipient; or Homeless

vii) Family Income

viii) Number in Family

ix) Enrolled Under 10% Criteria (Yes/No)

x) Type of Welfare Received (Yes/No): AFDC; JOBS Program Participant; General Assistance; Refugee Assistance; or SSI ( Social Security Act Title XVI)

xi) Highest School Grade Completed

xii) Part-time Student

xiii) Educational Achievements: Student Meeting Attendance/Achievement Levels; Student Not Meeting Attendance/Achievement Levels; or High School Graduate with Educational Deficiencies

xiv) Post High School Plans: Plan to Enter Full-Time Labor Market or Plan to Continue with Post Secondary Education

xv) Employment Experience (Yes/No): Completed Equivalent of Pre-Employment Skills Training or Received Paid Employment No Greater than 250 Hours

xvi) Client Determined Eligible for Program (Yes/No): Title IIA, Adult/Youth Training Program; Title IIA, Education for Employment; Title IIA, Entry Employment Experience; Title IIA, School to Work Transition; Title IIA, Limited Work Experience; Title IIA, Pre-Employment Skills/Training; Title IIA, Try-out Employment; Title IIB, Summer Youth Program; Title IBE, Section 123 (82 Program); or Title IBO, Section 124 (Older Workers)

xvii) Termination/Laid Off from Employment: Terminated or Laid Off; Received Notice of Termination or Layoff; Terminated As a Result of Plant Closure; Receive Notification of Termination as a Result of Plant Closure; or None of Above

xviii) Termination or Notification Date

xix) Primary Occupation Standard Occupational Classifications (SOC) Codes

xx) Hourly Wage of Dislocation Job

xxi) Total Months Employed in All Previous Primary Occupation(s)

xxii) Months Since Last Employed in Last Previous Primary Occupation

xxiii) Weeks Unemployed (Since Any Employment)

xxiv) Documented Job Search Criteria Met (Yes/No)

xxv) Weeks Unemployed (Out of Last 20 Weeks)

xxvi) Enrolled in Title III and/or III D as of June 30, 1989

xxvii) Self-Employed

xxviii) Certificate of Continuing Eligibility Redemption

xxix) Client Eligibility for Title III, Dislocated Worker Training Assistance (Yes/No)

xxx) Dislocation Event ID

D) Programmatic Data

i) Referral Sources

ii) Transfer from Other JTPA Title (Yes/No)

E) Performance Assessment Data

i) Labor Force Status: Unemployed; Employed; Not in Labor Force; Unemployed 15 or More Weeks of Prior 26 Weeks

ii) Unemployment Compensation Status: Eligible for Benefits; Receiving Benefits; or Exhausted Benefits

iii) Minimal Work History

iv) SOC Codes of Previous Occupations

v) Months Received AFDC (Last 30 Months)

F) Certification and Recertification Signature: Signature of Applicant; Signature of Parent or Guardian (If Applicable); Relationship to Applicant; Signature of Interviewer; and Dates

2) Supplemental/Optional Record

A) Supplemental Data

i) Referral to Other Agency (Yes/No)

ii) Name of Agency to Which Referral Was Made and Date of Referral

iii) Reading Grade Level, Test Date and Deficiency Rating (Yes/No)

iv) Mathematics Grade Level, Test Date and Deficiency Rating (Yes/No)

v) Current School Grade Level/Highest School Grade Completed

vi) Youth Competency Skill Area Deficiencies: Pre-employment/Work Maturity; Basic Educational Skills; Job Specific Skills

vii) Certificate of Continuing Eligibility Issued (Yes/No)

viii) Concurrent Participation Needed (Yes/No – Not Determined)

B) Optional Data

i) Benefit Rating

ii) Need Rating

iii) Ward of State (Yes/No)

iv) Migrant Worker (Yes/No)

v) User Application Fields

vi) User Target Population Fields

C) Collateral Contacts (Optional)

i) Contact Name

ii) Contact Address (Street, City, State, Zip Code)

iii) Telephone Number

iv) Relationship to Client

3) Training/Services Record

A) Identification Data

i) Service Delivery Area/ Substate Grantee

ii) Client ID

iii) Application Date

iv) JTPA Title

v) Client Name

B) Training/Service Code

i) Training/Service Code

ii) Sequence Number

iii) Service Provider

iv) Grant Number

v) Sent to Other Provider (Yes/No)

vi) Planned Start Date

vii) Actual Start Date

viii) Planned End Date

ix) Actual End Date

x) SOC Code

xi) Classification of Industrial Program (CIP) Code

xii) Try-Out Employment Site

xiii) Hourly Wage

xiv) Scheduled Hours

xv) Cumulative Hours

xvi) Cumulative Hours Override

xvii) Successfully Completed (Yes/No)

xviii) Training/Service Type

xix) Non-JTPA Training/Service

C) Signatures

i) Signature of Individual Completing Form

ii) Date

4) Termination Record

A) Identification Data

i) Service Delivery Area/ Substate Grantee

ii) Client ID

iii) Application Date

iv) JTPA Title

v) Client Name

B) Termination Data

i) Termination Date

ii) First Termination Reason: Entered Employment (i.e., Entered Unsubsidized Employment, Entered Registered Apprenticeship Program, Entered Armed Forces, Recalled, Continued Unsubsidized Employment, Entered Employment After Relocation, or Remained With the Layoff Employer); Youth Employability Enhancements/Adult Skill Attainment (i.e., Entered Non-Title II Training, Returned to Full-Time School (Youth Only), Completed Major Level of Education; Attained Youth Competencies (Youth Only); Attained Adult Employability Skill (Adult Only); Remained in School (Youth Only); and Other (i.e., Continued as Full-Time Student, Ineligible, Dropout, Program Ended, Entered Non-JTPA Training, or Other Reason)).

iii) Second Termination Reason (Title IIA Adult/Youth Only): Youth Employability Enhancements/Adult Skill Attainment (i.e., Entered Non-Title II Training, Returned to Full-Time School (Youth Only), Completed Major Level of Education, Attained Youth Competencies (Youth Only), Remained in School (Youth Only), Attained Adult Employability Skill (Adult Only)).

iv) Youth Competency/Adult Skill Attainment (i.e., Pre-employment/Work Maturity Skills (Yes/No) and Date, Basic Education Skills (Yes/No) and Date, and Job Specific Skills (Yes/No) and Date).

v) Exit Grade Level, Reading and Math Skills

vi) Principal Service Provider

vii) Principal Activity

viii) Hired at Try-Out Employment Site: Yes; No; or Not Applicable

ix) Attained GED Upon Training Completion (Yes/No)

C) Employment Information

i) Employment Start Date

ii) Training Related

iii) Job Title Description

iv) SOC Code

v) Hourly Wage

vi) Scheduled Weekly Hours

vii) Employer

viii) Street and City Address of Employer

ix) State and Zip Code of Employer

x) Telephone Number

xi) Standard Industrial Classification (SIC) Code

xii) Contact

D) Signatures

i) Signature of Individual Completing Form

ii) Date

5) Provider Data

A) Identification Data

i) Service Delivery Area/ Substate Grantee Code

ii) Service Provider ID

iii) JTPA Title

B) Level 1 and 2 Provider Information

i) Name

ii) Street Address

iii) State and Zip Code

iv) County

v) Allowable Training Activities/Services

C) Level 2 Provider Information

i) CIP Codes

ii) SOC Codes

d) Participant Follow-Up Data Collection Requirements - In accordance with the requirements of Sections 106 and 165 of the Act, and the Annual Status Report for Title IIA and Title III programs effective July 1, 1986, the Department shall develop and implement a participant follow-up data collection system. The Economic Dislocation and Worker Adjustment Assistance (EDWAA) Act (Title VI, Subtitle D, of the Omnibus Trade and Competitiveness Act of 1988) (29 U.S.C. 1651 et seq.) revised Title III of the JTPA but also requires that each program (SSA, Governor's Reserve, Secretary's National Reserve) be responsible for participant follow-up. The purpose of this system is to collect and report to the U.S. DOL selected post-program data which will be used by the Secretary of Labor to support performance standards. In order to implement these measures, grantees will be required to collect and report to the Department post-program data items for terminees as specified in this Part. The major elements of this system are as follows:

1) Outcome Measures - The post-program data collection requirements are based on the following outcome measures which together describe the labor market experiences of program terminees for the 13 week period after program termination:

A) The employment rate during the 13th full calendar week after program termination.

B) The average gross weekly earnings of terminees employed during the 13th full calendar week after program termination.

C) The average number of weeks employed during the 13 post-program weeks.

D) The average hourly wage of those employed during the 13th full calendar week after program termination.

2) Post-Program Timing

A) Post-program data collection shall commence for participants terminating on or after July 1, 1986 (July 1, 1989 for EDWAA terminees).

B) Follow-up data shall be collected for the 13th full calendar week following termination from the program.

C) Post-program data shall be collected for terminees whose 13th post-program week ends during the program year.

D) Follow-up interviews of terminees shall commence during the first week of October 1986 (first week of October 1989 for EDWAA terminees).

E) Data collection is limited to a four week period from the 14th to the 17th week following termination. Follow-up may occur during the 18th week only when the terminee is located before the end of the 17th week.

3) Interview Group Selection

A) Title IIA grantees must collect follow-up data for two groups: adults and adult welfare recipients.

B) Title III and EDWAA grantees must collect follow-up data for all terminees.

C) The size of each of the above groups to be interviewed shall be determined by the number of planned terminees from each group during the period for which post-program data will be collected.

D) If the number of planned terminees in any of the interview groups is equal to or less than 137, each terminee from that group must be included in the data collection effort. If the number of planned terminees exceeds 137, data on a sample of terminees may be collected.

E) If sampling is used as a basis for determining which terminees will be interviewed, the sample must be as large as the minimum sample sizes specified by the U.S. DOL Employment and Training Administration in federal regulations issued May 16, 1990 (55 FR 20342). Samples must be drawn independently for each interview group and must be random.

F) If samples are used, an individual sample is required for each SSA, while statewide samples are required for statewide and national reserve reports.

4) Methods for Terminee Contact

A) The follow-up data must be gathered by administering a questionnaire over the telephone or in person. Mail questionnaires may be used only in those cases where the terminee does not have a telephone or cannot be reached by telephone.

B) Contact must be made with the terminee directly.

5) Interview Questions - A standard set of questions must be asked of all respondents as specified in the Exhibit of Appendix A found in U.S. DOL regulations (54 FR 9361-9362).

6) Response Rate Requirements and Non-Response Bias Adjustment –

A) A 70 percent minimum response rate is required for those who entered employment at termination and those who did not enter employment at termination for each SSA, for statewide and national reserve, for Title IIA Adults, Title IIA Adult Welfare, and Title III.

B) Prior to reporting the results of follow-up data collection to the Department, grantees must adjust for the effects of non-response bias when the difference between the response rates attained for each of the above groups exceeds five percent. The adjustment method used shall be the one provided by the U.S. DOL Employment and Training Administration in its Technical Assistance Guide for JTPA Follow-Up and Validation, issued June 1990.

7) Reporting – Data collected on clients with April 1, 1988 and later termination dates must be entered onto the JTPA II MIS.

e) Eligibility Review and Verification System - In accordance with the requirements of Section 165 of the Act and 20 CFR 629.43, effective April 15, 1983, the State shall implement an Eligibility Determination and Verification System for use by all grantees enrolling individuals under Title IIA and IIB of the JTPA. The State shall prescribe detailed instructions and forms to be used by grantees for certification of eligibility. The Eligibility Determination and Verification System shall consist of the following procedures:

1) Determination of Eligibility – Each grantee shall determine the eligibility of an applicant for JTPA titles and programs into which the applicant is to be enrolled. Grantees shall also determine the eligibility of a participant for enrollment in new JTPA programs after initial enrollment (e.g., exemplary youth programs). Enrollment into JTPA titles and programs shall be supported by documentary evidence. All documentary evidence shall be provided prior to enrollment of an applicant into JTPA or placement of a participant into a new JTPA program. Documentary evidence is defined as written confirmation of the applicant's status at the time of application. Should documentary evidence not be available, grantees may use collateral contacts (i.e., verbal confirmations) with social service and other organizations to verify the status of applicant. Grantees are required to collect documentary evidence sufficient to support:

A) the enrollment of an applicant into a Title under JTPA and,

B) the placement of a participant into a new JTPA program.

2) Documentation Requirement for U.S. Citizens and Resident Aliens – Grantees may accept self-attestation as a basis for establishing if an applicant is a U.S. citizen. The status of applicants who identify themselves as resident aliens shall be documented.

f) Financial Reporting Requirements – In accordance with the provisions of Section 164 of the Act and 20 CFR 629.35 ( April 1, 1991), each grantee under JTPA shall be required to submit expenditure reports to the Department as specified in this Part.

g) Reporting Detail

1) Expenditures shall be reported for the following categories:

A) Training

i) Employment and Training Services

ii) Academic

iii) Vocational

iv) Limited Work Experience

v) Try-Out Employment

vi) On the Job Training (OJT)

vii) Other Training

B) Participant Support

i) Limited Work Experience

ii) Services and Materials: Child Care; Transportation; or Other Services and Materials

iii) Work Experience

iv) Needs-Based Payments

v) Other Participant Support

C) Administration

i) Salaries and Wages

ii) Staff Fringe Benefits

iii) Facility Cost

iv) Staff Travel

v) Equipment

vi) Indirect Cost

vii) Other Direct Costs

viii) Employment Generating Activities (EGA)

ix) Private Industry Council (PIC Cost) (Cost not described elsewhere in administrative cost line items)

x) Other

2) Reporting Level – An expenditure report detailing expenditures for Training, Participant Support and Administration (including specified subcategories) as defined in subsection(f) of this Section shall be submitted separately for Titles IIA and IIB.

3) Grantee Subgrantee Reporting

A) Grantees shall maintain expenditure information on each of their subgrantees receiving Title II funds in sufficient detail to enable the grantee to produce an expenditure report for each of their subgrantees by the following expenditure categories:

i) Training;

ii) Participant Support;

iii) Administration (in cases where the service providers are expending administrative funds); and

iv) Total expenditures.

B) This information shall be produced and transmitted to the Department upon the request of the Department.

(Source: Amended at 16 Ill. Reg. 17266, effective October 30, 1992)