H-1B Ready to Work Grants

PERFORMANCE REPORTING TOOLKIT

HUB
H-1B Grantee Online Reporting System

Prepared By
United States Department of Labor
Employment and Training Administration
Office of Workforce Investment

VERSION 2.0 – August 2016
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H-1B Ready to Work Grants Performance Reporting Toolkit

Dear H-1B Ready to Work Grantees,

We are happy to present this H-1B Ready To Work (RTW) Performance Reporting Toolkit.

As a supplement to the H-1B RTW Performance Reporting Handbook, this toolkit is designed to support H-1B RTW grantees in preparing and submitting their quarterly progress reports to the Department of Labor (DOL), Employment and Training Administration (ETA). This technical assistance tool is designed specifically for H-1B RTW grant program staff such as data entry and IT personnel, case managers, program managers, and directors of H-1B RTW grant programs who are responsible for tracking participant records, creating grantee data files, uploading data files, and submitting quarterly progress reports.

About This Toolkit

The purpose of this toolkit is to support you during the quarterly progress reporting process. From Prezis, pre-recorded tutorials, webinar recordings, and small group sessions, to the valuable resource briefs, tip-sheets and frequently asked questions (FAQs), you will have the tools you need to ensure success with your program’s quarterly progress reporting efforts. Throughout this document, be on the lookout for these key sources for additional information. We’ll continue to update this document as additional performance reporting TA resources are released.

Resource Alert, Hot Tips! Checklists and Knowledge Check!

These are related quick links to additional resources available in the H-1B RTW Community of Practice (CoP). Look for these key textboxes to ensure you have everything you need to report performance effectively.

Before You Begin

Make sure you have the key H-1B RTW Performance Reporting policy guidance documents in a centralized location so they are readily accessible to you and your staff. This is your performance reporting roadmap! These documents provide detailed information on performance reporting, including complete reporting requirements and instructions, guidance on the standardized collection of participant data, and the Quarterly Performance Reporting (QPR) ETA Form No. 9166.
Make sure your program staff has a firm grasp of all the performance reporting requirements in the H-1B RTW SGA and the projected performance outcomes that have been identified in your grant program’s Statement of Work. See the Performance Reporting Checklist in Figure 1 below to ensure you have everything that you need for Performance Reporting.

<table>
<thead>
<tr>
<th>H-1B Solicitation of Grant Agreement (SGA)</th>
<th>Your Program’s Statement of Work (SOW)</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Projected Performance Outcomes</td>
<td>✓ Projected Outcomes</td>
</tr>
<tr>
<td>✓ Reporting Requirements</td>
<td>✓ Targeted Population</td>
</tr>
<tr>
<td>✓ Allowable Activities</td>
<td>✓ Training and Service Activities</td>
</tr>
<tr>
<td>✓ Participants Eligible to Receive Training</td>
<td></td>
</tr>
</tbody>
</table>

--- PERFORMANCE REPORTING CHECKLIST ---

**What documents do I need?**
- Review the H-1B Ready to Work Solicitation of Grant Agreement
- Review your Grant’s Statement of Work
- Identify your targeted grant performance outcomes (submitted with your SOW or during the compliance review process)

**How do I learn about the performance reporting requirements for this grant?**
- Review the H-1B RTW Performance Reporting Handbook

**What are Data Elements?**
- Review the H-1B RTW Data Elements and Edit Checks
- See sample Data Files and Participant Records

**Where do I go to find more information?**
- Shared resources are posted online via the H-1B RTW CoP (See link in the Resource Box!)
- Watch the recorded webinars and tutorials available on the CoP

**Who do I contact if I don’t have what I need?**
- Your first point of contact should always be your Federal Project Officer (FPO)
- Contact the H-1B RTW Team at RTW@dol.gov

Figure 1: Performance Reporting Checklist
Assembling Your H-1B RTW Grant Performance Reporting Team

Establishing Staff Roles and Responsibilities

A part of good grants management is to establish roles and responsibilities for your staff. This chart provides a TA recommendation on how to establish staff roles and responsibilities for accessing and utilizing HUB.

<table>
<thead>
<tr>
<th>Action</th>
<th>Staff Role</th>
<th>Access to HUB PIN/ Password</th>
</tr>
</thead>
<tbody>
<tr>
<td>Collect Participant Data</td>
<td>Training Partners</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td>Employers</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td>Service Providers</td>
<td>No</td>
</tr>
<tr>
<td>Upload data files and Narrative reports into HUB</td>
<td>Authorized Representative</td>
<td>Yes – PIN &amp; Password</td>
</tr>
<tr>
<td></td>
<td>Program Director or Manager, Case Manager</td>
<td>Yes – Password</td>
</tr>
<tr>
<td></td>
<td>Data Managers, IT Staff</td>
<td>Yes – Password</td>
</tr>
<tr>
<td>Certifying Quarterly Performance Reports</td>
<td>Authorized Representative</td>
<td>Yes – PIN &amp; Password</td>
</tr>
</tbody>
</table>

Figure 2: Staff Roles and Responsibilities for Accessing HUB

In addition, we suggest H-1B RTW grantees identify staff that is responsible for the following responsibilities:

**Collecting Participant Data.** This will vary depending on the service providers for your Grant. Although trainers, employers or other types of service providers won’t be accessing HUB directly, it’s important to establish communication between the Grant Program Manager/Director and those collecting data directly from participants. Participant-level data will need to be stored and transmitted securely.

**Securing Personally Identifiable Information.** Grantees must secure Personally Identifiable Information (PII). When grantees collect this information from participants, grantee staff should ensure that participants are informed of why they are being asked to provide their Social Security Number (SSN).

**Uploading Data Files and Narrative Reports.** Once data is collected from service providers, dedicated staff will need to ensure that data is saved as one of the appropriate file types before being uploaded into HUB. The grant program manager may likely be the staff to upload files and reports into HUB each quarter. If this person leaves the grant program, please ensure that an appropriate staff member is familiar with this process and contact DOL with any grant staff changes.

**Certifying Reports.** Only the Authorized Representative for your grant is permitted to certify quarterly progress reports. S/he will be the only grant staff that is issued both the PIN and Password to access HUB.
FAQs

**QUESTION:** I’m a new grant program manager or I have new case managers working on this grant project. What do we need to do?

**ANSWER:** As a new grant program manager, your first step is to contact your FPO and make sure you have access to all the appropriate documents. All staff responsible for tracking program participant information should have a copy of the H-1B RTW Performance Handbook, H-1B RTW Data Elements and Edit Checks, and reporting forms/templates. Staff also should be familiar with the grant’s Statement of Work and the H-1B RTW SGA. This information will help ensure that all eligibility and training requirements are being met.

**QUESTION:** What happens if the original Authorized Representative is no longer the official representative for the Grant?

**ANSWER:** You will need to contact your FPO ASAP and ensure the new Authorized Representative/Grant Signatory is updated in all of the appropriate systems.

**QUESTION:** What happens if I am late submitting a quarterly report?

**ANSWER:** Contact your FPO ASAP.

**QUESTION:** Are quarterly reports submitted with financial reports?

**ANSWER:** No. Financial reports are submitted via another Electronic Grantee Reporting System. Your PIN and Password for the HUB system will not work in the Financial Reporting System.

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**Knowledge Check!**

**TOP Five Performance Reporting essentials that you should know!**

1. Quarterly Progress Report Deadlines
2. H-1B RTW Performance Reporting Handbook
3. H-1B RTW Data Elements and Edit Checks
4. H-1B RTW Community of Practice (CoP)
5. Your Grant Federal Project Officer
Section 1: H-1B RTW Grants Performance Reporting Requirements

H-1B RTW Quarterly Progress Reports

H-1B RTW grantees are required to submit Quarterly Progress Performance Reports to the U.S. Department of Labor (DOL), Employment and Training Administration (ETA) each reporting quarter, which includes the H-1B RTW QPR ETA Form No. 9166 and a Quarterly Narrative Report (QNR).

Quarterly Submission Process

Grantees will use existing resources or develop their own internal management information system (MIS) or database system to track participant records as outlined in the H-1B RTW Data Elements and Edit Checks document.

At the end of each quarterly reporting period, H-1B RTW grantees will export their data files and upload them into the ETA-based reporting system, HUB. The HUB is a file-upload system that electronically generates grantees’ participant level data into the H-1B RTW QPR ETA Form No. 9166.

FAQs

**QUESTION:** What does HUB stand for?

**ANSWER:** Surprisingly, HUB is not an acronym for anything! However, it does represent a central electronic portal for H-1B RTW reporting!
Section 2: H-1B Ready to Work Data Elements

H-1B RTW Data Elements are unique identifiers that enable DOL/ETA to establish a collection of information required to assess Federal investments for various training and employment programs. It is used to inform the grantee’s process for collective participant-level data, tracking participant outcomes used for quarterly progress reporting and to assess their own internal progress.

It has three key sections: Individual Information, Program Services and Training Activities/Types and Program Outcomes. Grantees are required to collect this information for H-1B RTW Grants performance reporting.

H-1B RTW Data Elements Key Sections

Section I – Individual Information (Data Elements 101 - 114 and 200 - 204)

Data Elements 101-204 track participant demographics, including employment status at program participation, which can be used during your participant screening, intake, and/or on-boarding process.

- I.A – Participant Demographics (DE 101 – 114)
- Employment Status at Program Participation (DE 200 – DE 204)

Section II – Program Participation, Services and Training Activities/Types (Data Elements 300 – 304, 310 – 351 and 400 - 426)

Data Elements 300 – 304, 310 – 351, and 400 - 426 track participant services and training activities/types provided through your H-1B RTW Grant.

- II.A – Program Participation Data (DE 301 – DE 304)
- II.B – Participant Services Data (DE 310 – 351)
- II.C – Training-related Assistance Data (DE 400 – DE 426)

Section III – Program Outcomes (Data Elements 501 – 525 and 601 – 622)

Data Elements 501 – 622 capture participant outcomes such as employment and education attainment data.

- III.A – Unemployed, Long-term Unemployed and Underemployed Worker Entered Employment and Incumbent Worker Retention and Advancement Data (DE 501 – DE 525)
Sample H-1B RTW Data Elements Document

Each data element has a:

- Data number and name
- Data definition and instruction
- Code value
- Edit check logic
- Mandatory or optional field based on error type/message
- Calculation associated with it to inform how these fields will populate the H-1B RTW QPR ETA Form No. 9166 (aggregate report)

Each individual that is considered a program participant (as defined in the H-1B RTW Reporting Handbook) will be tracked for measurable outcomes, based on a set of data elements, and submitted to DOL/ETA. Each data element will have specific code values for each participant served through the H-1B RTW Grant.

For example, grant staff will determine a participant’s employment status, current level of education and collect a participant’s gender, race/ethnicity, date of birth, and other demographic information. Services provided, training types and outcomes will then be tracked and reported to DOL/ETA.
Section 3: Establishing Your Process for Performance Reporting

Our goal is to ensure your data collection efforts are as seamless and accurate as possible with minimal burden. And ultimately, to accurately reflect the great work and impact this initiative is having on the workforce. To accurately and effectively track participants, there are a few things grantees must do before an individual is enrolled in your training program:

1. Determine Participant Eligibility
2. Collect Participant Data
3. Track Participant Data

Determining Participant Eligibility

Before you commit to collecting participant data, first establish whether an individual is eligible for your H-1B training program and activities. As part of your process to determine participant eligibility, some sample questions might include:

- Is the individual eligible based on the H-1B RTW SGA?
- Is the individual eligible based on the grant Statement of Work (SOW) that was submitted to DOL?
- Does the individual qualify to enter the level of training that is offered by this program?
- Are there any prerequisite education/skills needed to be eligible for this program?

The H-1B RTW Data Elements should be an integral part of your participant on-boarding process: assessment, intake and orientation. Tracking this information in an electronic format will allow grantees, employer partners, training providers and other stakeholders the ability to track outcomes in a systematic way that will ensure consistency and accuracy.

Ongoing Case Management

Once a participant is determined eligible for your grant’s H-1B RTW program, it will be essential to maintain case files for all your participants using your internal database system. Grantees should use the H-1B RTW Data Elements to inform participant records for case management purposes.

- Your case management system should include a method for tracking all data elements upon intake and throughout the period a participant is provided grant-funded services.
- This could be utilized by your training providers as a mechanism for tracking training participant information in an electronic file that could be easily transferable to you, the grantee.

Collecting Participant Data

The H-1B RTW Data Elements required for performance reporting are integral to the data collection process and are the foundation that informs the database systems developed by each grantee to track program participants. Tracking participant progress from the time of participation until the time of training completion and program exit is a requirement of this H-1B RTW grant-funded initiative.
HOT TIPS!

Here are some tips to help improve the data collection process between you, the grantee, your employer partners and/or training providers:

- Develop an electronic case management system that can be transferable between training providers and the grantee in order to better assist the development and submission of quarterly reports to DOL.
- Ensure that the intake and enrollment process for training participants is as seamless as possible.
- Ensure all data elements are reviewed and definitions are understood before deciding how to answer the data element code values on behalf of a grantee.
- Ensure grantees, training providers and training participants understand why certain information is collected, where it is sent and for what purpose.
  - For example, often training participants are handed a paper form to fill out basic details, which are handed back to the training provider with minimal face-to-face interaction. Unless there is an intermediary, like a case manager, the purpose of collecting this information is often not fully explained.
- Add disclaimer language and guidance during the enrollment process
- Add relevant dates to the enrollment form

Participant Intake Form

Your program’s participant intake and/or enrollment form should include all the data elements that are required for H-1B RTW Performance Reporting to ensure that your staff, employer partners, training providers, and other partners are collecting the same information that is required under the H-1B RTW Grant-funded program.

As an individual is determined eligible for your specific program activities, you will need an intake process for assessing and collecting information from this individual. An intake process could entail simple processes such as:

- Intake forms *
- Interviews
- Intake plus orientation activities

Grantees are provided detailed information on what to collect based on the H-1B RTW SGA and performance reporting definitions provided in the H-1B RTW Performance Handbook. Guidance provided by ETA on H-1B RTW grants performance reporting can be used by grantees to explain the reason for collecting participant information. Providing participants an explanation for why the information is being collected may increase the likelihood that you will get this information for reporting purposes.

*Please Note: The H-1B RTW QPR ETA Form No. 9166 is not designed to be used as an intake form. Information gathered for purposes of the reporting grant outcomes are in aggregate and do not accurately reflect all information needed to produce an accurate report to ETA.
The H-1B RTW Data Elements have specific definitions that can you can use as questions to develop your intake and enrollment forms. Some of these questions can be transferred on to a form to ensure they are 1) being asked in a way that explains the purpose and 2) ensures the questions are consistent with how DOL will need to report outcomes based on the questions asked.

Sample Use of Data Elements to Collect Race/Ethnicity Information

Using the data elements, the third column below is a sample of how to convert these data elements into questions to include on an intake/enrollment form.

<table>
<thead>
<tr>
<th>DE #</th>
<th>Data Element</th>
<th>Description</th>
<th>Sample Intake Form Question</th>
</tr>
</thead>
<tbody>
<tr>
<td>106</td>
<td>Ethnicity Hispanic/Latino</td>
<td>Record 1 if the individual indicates that he/she is a person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race. Record 0 if the individual indicates that he/she does not meet any of these conditions. Record 9 if the individual does not self-identify his/her ethnicity. Leave &quot;blank&quot; if the individual is not a program participant and the data is not available.</td>
<td><strong>Question One:</strong> Do you self-identify as a person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race? <strong>YES/NO</strong></td>
</tr>
<tr>
<td>107</td>
<td>American Indian or Alaska Native</td>
<td>Record 1 if the individual indicates that he/she is a person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition. Record 0 if the individual indicates that he/she does not meet any of these conditions. Record 9 if the individual does not self-identify his/her race. Leave &quot;blank&quot; if the individual is not a program participant and the data is not available.</td>
<td><strong>Question Two:</strong> Do you self-identify as a person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition? <strong>YES/NO</strong></td>
</tr>
</tbody>
</table>
# Sample Participant Intake Form

H-1B RTW Grant Program

Grant Name: _____________________________ Case Manager: _____________________________

## PARTICIPANT CONTACT INFORMATION

First Name: _____________ Middle Name: ________________ Last Name: __________________

Address: __________________________________________

Phone Number: _________________ Email Address: ____________________

## PARTICIPANT DEMOGRAPHICS

*DE 101 Social Security Number: _______________ DE 102 Selective Service Status: ______________

DE 103 Date of Birth: _____________________ DE 104 Gender: ___ (Male) ___ (Female)

DE 106 **Do you self-identify** as a person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race? YES/NO

DE 107 **Do you self-identify** as a person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition? YES/NO

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**Figure 6: Sample Participant Intake Form**

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**A Note about Referencing DOL as the Grant-Funded Source of your H-1B RTW Grant Program**

Grantees may use the following sample text to let participants know that the H-1B RTW Program is funded by the Department of Labor:

*This project was funded by a grant awarded under the H-1B Ready to Work Partnership grants, as implemented by the U.S. Department of Labor’s Employment and Training Administration. The collection of this information helps to track the long-term success of this training program. Your personal information is kept confidential and secure and will not be shared with any outside agencies other than those involved with the support or oversight of the H-1B Ready to Work Partnership grant received by Sample Community College and issued by the U.S. Department of Labor. Your information will never be sold or shared with third party agencies through your participation in grant supported training activities. Please direct any additional questions concerning the use of your personal information to Jane Green, Program Director at 856-691-XXXX.

In addition to requesting a range of information from project participants, including demographic information, the use of your Social Security Number is also requested in order to access wage and employment information through state databases. Although you cannot be denied service for failure to provide your Social Security Number, we strongly encourage you to do so in order to enable the project to quantify specific employment-related outcomes. Your personal information will be kept confidential.
A Word about Collecting Personally Identifiable Information (PII)

Grantees may have in their possession large quantities of PII for all program participants. This information is generally found in personnel files, participant data sets, performance reports, program evaluations, grant and contract files, and other sources. The Office of Management and Budget (OMB) defines PII as information that can be used to distinguish or trace an individual’s identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual. Grantees are required to protect PII when transmitting information, but are also required to protect PII and sensitive information when collecting, storing, and/or disposing of information as well.

All H-1B RTW grantees are asked to collect Social Security Numbers (SSNs) for all participants served with Grant funds and report outcomes to ETA. Grantees have reported that employer partners and training providers were sensitive to the collection of SSNs and forms that included questions identifying race and/or ethnicity. Participant intake forms should include sample disclaimer language around the collection of Social Security Numbers (SSNs).

ETA, on behalf of the grantees, will work with its State partners to match SSNs with employment data available from State Unemployment Insurance (UI) and other administrative wage records (e.g., Federal and Military employment). This matching procedure is necessary in order for ETA to collect consistent and reliable aggregate outcome information for each grantee by calculating a set of Common Performance Measures that includes entry into employment, employment retention, and six-month average earnings. The H-1B RTW Performance Reporting Handbook provides more information on the collection of SSNs to help you and your service and training providers and employer partners during this process.

**HOT TIPS!**

Here are some tips to help protect PII:

- Before collecting PII, have participants sign release forms acknowledging the use of PII for grant purposes only.
- Whenever possible, ETA recommends the use of unique identifiers for participant tracking instead of SSNs. While SSNs may be initially required for performance tracking purposes, a unique identifier could be linked to each individual record. Once the SSN is entered for performance tracking, the unique identifier would be used in place of the SSN for tracking purposes. If SSNs are to be used for tracking purposes, they must be stored or displayed in a way that is not attributable to a particular individual, such as using a truncated SSN.
- Ensure the collection method is sophisticated enough to securely store participant information including PII.
- Use appropriate methods for destroying sensitive PII in paper files (i.e., shredding) and separately deleting sensitive electronic PII.
- Do not leave records containing PII open and unattended.
- Store documents containing PII in locked cabinets when not in use.
- NEVER send DOL or DOL staff your participant records or data files with sensitive PII.
- Immediately report any breach or suspected breach of PII to the FPO responsible for the grant, and to ETA Information Security at ETA.CSIRT@dol.gov, (202) 693-3444, and follow any instructions received from officials of the Department of Labor.
Tracking Participant Data

In preparation for quarterly performance reporting, grantees should develop an internal record-keeping system or use existing resources to track each participant receiving H-1B RTW grant-funded services in order to capture information and other data required to report the quarterly progress of the grant program. This management information system could be as sophisticated as an Access database, or a simple Excel spreadsheet.

All participants that you serve should be entered into your organization’s internal participant data tracking system as it aligns with the H-1B RTW Data Elements and Edit Checks. The system must be able to save or export participant records as one data file. More information on tracking participant data can be found in Section 4: Developing Data Files for Performance Reporting.

**HOT TIPS!**

- Make sure your system includes **EVERY** data element as a data field entry for each participant record.
- A participant record should have a corresponding code value for each data element.
- In some cases, leaving the data field blank is an option if the data element does not apply to the participant.
- Ensure each collecting entity such as sub-grantees; contractors; employers are collecting the same required participant information and appropriate supporting documentation should your program be audited. This information should be based on the data elements provided in the H-1B RTW Performance Reporting Handbook.
Section 4: Developing Data Files for Performance Reporting

Data files are raw files that contain participant records collected from each participant served using H-1B RTW grant funds. Each record will reflect the activity for each participant based on the H-1B RTW Data Elements and Edits Checks document.

Grantees may use existing resources or develop their own internal Management Information System (MIS) or database system to track participant records as outlined in the Data Elements and Edit Checks document. Tracking systems that create participant records must have the capability to transfer data files into HUB using one of the following formats: CSV, TXT or DAT.

Establish your Participant Case Management System

Each participant served in your H-1B RTW grant-funded program should have an electronic case file that includes all the required data elements for performance recording. For each participant record, a simple Excel spreadsheet can include data elements represented in each row, and the following columns to record the participant code value for each data element:

1. Data element number
2. Data element name
3. Information collected by grantee
4. Information reported to DOL using data element code values

Step One: Develop a Sample Participant Record

The sample below could be utilized by your training providers as a mechanism for tracking participant information in an electronic file that is easily transferable to you, the grantee. For technical assistance purposes, the data collection process provided here uses Microsoft Excel as an example:

<table>
<thead>
<tr>
<th>Row</th>
<th>Column A</th>
<th>Column B</th>
<th>Column C</th>
<th>Column D</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Data Element</td>
<td>Data Element Name</td>
<td>Case file information collected by the grantee at time of enrollment</td>
<td>HUB Code Value for Data File Participant information using H-1B Data Element Code Values and submitted to DOL each quarter</td>
</tr>
<tr>
<td>3</td>
<td>xxx</td>
<td>Participant Name</td>
<td>Geraldo Yang</td>
<td>Participants names are not collected for Performance Reporting purposes</td>
</tr>
<tr>
<td>4</td>
<td>101</td>
<td>Social Security Number</td>
<td>1111111111</td>
<td>1111111111</td>
</tr>
<tr>
<td>5</td>
<td>102</td>
<td>Selective Service Status</td>
<td>Registered</td>
<td>1</td>
</tr>
<tr>
<td>6</td>
<td>103</td>
<td>Date of Birth</td>
<td>Nov 06, 1968</td>
<td>19681106</td>
</tr>
<tr>
<td>7</td>
<td>104</td>
<td>Gender</td>
<td>Male</td>
<td>1</td>
</tr>
</tbody>
</table>
Step Two: Tracking Participant Records

Below is a sample of five participant records to track the activities of each participant as it aligns with the data elements.

**SAMPLE CASE FILE FOR FIVE PARTICIPANT RECORDS**

<table>
<thead>
<tr>
<th>Data Number</th>
<th>Data Element Name</th>
<th>101</th>
<th>102</th>
<th>103</th>
<th>104</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participant 1</td>
<td>xxx-xx-1111</td>
<td>9</td>
<td></td>
<td>19681106</td>
<td>1</td>
</tr>
<tr>
<td>Participant 2</td>
<td>xxx-xx-2222</td>
<td>0</td>
<td></td>
<td>19660420</td>
<td>2</td>
</tr>
<tr>
<td>Participant 3</td>
<td>xxx-xx-3333</td>
<td>9</td>
<td></td>
<td>19630730</td>
<td>1</td>
</tr>
<tr>
<td>Participant 4</td>
<td>xxx-xx-4444</td>
<td>9</td>
<td></td>
<td>19500603</td>
<td>9</td>
</tr>
<tr>
<td>Participant 5</td>
<td>xxx-xx-5555</td>
<td>1</td>
<td></td>
<td>19620218</td>
<td>1</td>
</tr>
</tbody>
</table>

Figure 8: Sample Case File for Five Participant Records

NOTE: These are just samples and therefore do not list every data element that will be included in your file. Participant records include Data Elements 101 – 622 even if the value is blank or equal to zero.

Step Three: Create a Data File to Upload to the HUB System

Using the Excel document that you used in Step Two, you will see that each participant record has all the code values noted across the spreadsheet. Because there are 67 data elements to collect, your data elements should end in Column B0. Make sure that your data file does not include participant names, data element headers, additional rows, blank entries when code values are required, or a null value instead of a blank or a space. Spaces are counted as a code value.

**SNAPSHOT DATA FILE:**

<table>
<thead>
<tr>
<th></th>
<th>101</th>
<th>102</th>
<th>103</th>
<th>104</th>
</tr>
</thead>
<tbody>
<tr>
<td>xxx-xx-1111</td>
<td>1</td>
<td>19681106</td>
<td>1 0 0 0 0 0 0</td>
<td>0 17 0</td>
</tr>
<tr>
<td>xxx-xx-2222</td>
<td>0</td>
<td>19660420</td>
<td>2 9 0 0 0 0 0 1</td>
<td>0 16 1</td>
</tr>
<tr>
<td>xxx-xx-3333</td>
<td>1</td>
<td>19630730</td>
<td>1 9 0 0 0 0 0 1</td>
<td>1 12 0</td>
</tr>
<tr>
<td>xxx-xx-4444</td>
<td>1</td>
<td>19000101</td>
<td>1 0 0 0 0 1 0 0</td>
<td>1 12 0</td>
</tr>
</tbody>
</table>

Each ROW represents one participant

HOT TIPS!

- Always make changes to your master database, not the CSV, TXT, or DAT file that you upload to HUB.
- Create a dedicated file folder for every reporting quarter.
- Develop a consistent file-naming convention that will allow you to track the latest data file that was uploaded in HUB.
Section 5: Accessing the H-1B RTW HUB Performance Reporting System

Accessing HUB

The HUB Performance Reporting System is an online, password-protected system that allows grantees to upload, certify and submit their quarterly progress reports to the Department of Labor as outlined in the H-1B RTW SGA requirements. HUB may be accessed by entering the following URL address: http://www.reports.doleta.gov/.

The functionality of the HUB system allows a grantee to:

1. Upload a data file;
2. Validate data through a two-step process;
3. Generate the H-1B RTW QPR ETA Form No. 9166;
4. Upload a Quarterly Narrative Report (QNR); and
5. Certify and submit the report to DOL.

PIN and Passwords

The ONLY way to access HUB is with a HUB-generated password. Both PIN and password are sent via email to the Grant’s Authorized Representative from the following email address: etareporting.auto-email@dol.gov. The PIN is used by the Authorized Representative to certify that the reports uploaded are correct and are now ready to be submitted to DOL/ETA.

It is the responsibility of the Authorized Representative to share the password ONLY with the appropriate grantee staff. Program staff uploading data files and QNR reports will only need a password to access HUB.

HINT: Your Authorized Representative’s email software may be filtering this email as spam or junk mail and may need to change the settings to accept this email from DOL.

Your HUB Homepage

Once the password is entered, HUB will display your Grant’s homepage.

Using the “Reporting Quarter” dropdown, select the reporting quarter for which you are submitting the report.

Note: The date for the next reporting quarter becomes available in HUB one day after the last day of the reporting quarter. For example, you can submit the September 30 quarterly report starting on October 1.
Uploading Data Files

After selecting the correct reporting quarter, a new web page will lead to four tabs in the HUB reporting system. These four tabs are what you will use to submit your quarterly progress reports. The tabs are: Grantee Data File, Quarterly Narrative Report, Certify, and QPR generated form.

The first tab is where you upload your grantee data file. First, locate the data file that you would like to upload. Next, click the upload button to import your data into HUB.

Resolving Data File Errors

Once a data file is uploaded into HUB, it will undergo two rounds of checks to validate your data. The process can take up to two hours to complete. If errors have been identified, the HUB system will display a prompt that the file has been rejected. A format check or edit check report indicating the errors and the reason for the errors will be generated in HUB. You will need to correct the errors in your master database and re-upload a new data file. If you have a clean data file without errors, the H-1B RTW QPR ETA Form No. 9166 will be generated based on the information provided in your data file.

Two Levels of Data File Validation Checks

Format Check and Format Error Report

These are errors related to the Code Values of each Data Element. These include data file format, incorrect number of data element columns, wrong field data, invalidated zip files, duplicated data, etc.

Edit Check and Edit Check Error Report

These are errors related to the Edit Check Logic for each Data Element.
Sample Format Checking Error Report

Sample Edit Check Error Report

H-1B RTW Quarterly Narrative Report Tab

Using the second tab in the HUB system, grantees will enter their H-1B RTW Quarterly Narrative Reports, or QNRs using the input fields you see here.

Each key section is required for submitting your quarterly progress reports. Grantees may cut and
paste text from other documents, but keep in mind there are character limits for each input field.

Grantees may also enter any best practices and any technical assistance needs experienced during the reporting quarter. Up to two additional documents can be uploaded into HUB to share information that is not reflected in your QPR or QNR. Keep in mind, HUB only accepts Word, Excel or Adobe PDF files.

**QPR Generated Form Tab**

Once your data file passes the validation process, HUB will generate the H-1B RTW QPR ETA Form No. 9166, available in the “QPR Generated Form Tab.”

**HUB Data Aggregation Rules**

HUB has a set of data aggregation rules that explain how the HUB system calculates the performance outcomes reported in the H-1B RTW QPR ETA Form No. 9166. Each aggregation rule correlates with various data elements and code values, as well as key dates entered for each participant.

**Coming soon!** We will develop several TA resources designed to describe how each section is calculated for the previous, current quarter or cumulative-to-date columns of the H-1B RTW QPR ETA Form No. 9166.

**Certify Tab**

Once HUB has generated a QPR form and you have entered your QNR and uploaded any additional documents, click on the CERTIFY tab to begin the submission process.

All sections required to submit your quarterly progress reports must be marked complete before the Authorized Representative can enter the PIN to submit and certify the quarterly progress reports to the Department of Labor.

It is the responsibility of the Authorized Representative to make sure that what is being submitted is true and correct, and that the data is accurate to the best of his or her knowledge.
FAQs

**QUESTION:** What do we submit in HUB?

**ANSWER:** Grantees will upload a data file that generates the H-1B RTW QPR ETA Form No. 9166 and a quarterly narrative report. Both documents will need to be uploaded in HUB before the Grant Authorized Representative can certify reports and officially submit to DOL/ETA.

**QUESTION:** What is CSV format?

**ANSWER:** CSV means: Comma Separated Values. CSV format is one of three options you can use to convert your data file before uploading to HUB. HUB will only accept data files that are either CSV; TXT; or DAT formats.

**QUESTION:** How long will the HUB system take to process an Edit Check report?

**ANSWER:** Approximately two hours. Once a data file has passed the Format Checks process, an edit check will be conducted to validate your data and ensure that the code values entered for each participant meet the business rules associated with each data element. HUB will capture all data files submitted at the top of each hour (e.g. 1:00 p.m.) and will process all data files that have been submitted in the last hour for edit checks. TIP: Log off and log back in to HUB to refresh your view of the HUB system.

**QUESTION:** How do we make changes to a data file that has been submitted in HUB?

**ANSWER:** If a data file is incorrect and the H-1B RTW QPR ETA Form No. 9166 is generated but not yet certified, you can continue to upload a data file for the reporting quarter until the data is accurate and reflects all participants served to date. If a submitted data file is incorrect and the H-1B RTW QPR ETA Form No. 9166 has been generated and certified, please contact the H-1B RTW grantee mailbox at RTW@dol.gov. Please include your grant name, grant number and contact information.

**QUESTION:** Can we enter individual case files and notes into HUB?

**ANSWER:** No. HUB is not a case management information collection system. Grantees should manage their case files in the way that is best suited to meet their needs.

**QUESTION:** Once the participant data is uploaded to HUB, is there any reason for the participant information to be maintained by the grantee?

**ANSWER:** Yes. It is the responsibility of the grantee to maintain all participant records for the entire grant period of performance. Case files will need to be accessible to Federal Project Officers (FPO) during site visits.

**QUESTION:** What do we do when the system says there is a technical error?

**ANSWER:** If technical errors occur, please contact the ETA Help Desk at or EBSS.Help@dol.gov. Please include your grant name, grant number and contact information.
H-1B Ready to Work Grants Performance Reporting Technical Assistance Resources

H-1B RTW Grants Performance Reporting Tutorial #1: HUB System Preview

https://h1breadytowork.workforcegps.org/resources/2016/04/12/09/19/H-1B_RTW-Grants_Performance_Reporting_Tutorial_1-_HUB_System_Preview

H-1B RTW Grants Performance Reporting Tutorial #2: Preparing Data Files

https://h1breadytowork.workforcegps.org/resources/2016/04/12/09/23/H-1B_RTW_Grants_Performance_Reporting_Tutorial_2-_Preparing_Data_Files

H-1B Ready to Work Grants Technical Assistance Tutorial #3: Resolving Common Errors

https://h1breadytowork.workforcegps.org/resources/2016/04/12/09/24/H-1B_Ready_to_Work_Grants_Technical_Assistance_Tutorial_3-_Resolving_Common_Errors

H-1B Ready to Work -Data-Driven Decision Making Webinar: Tools to Review and Manage Performance

https://h1breadytowork.workforcegps.org/resources/2016/07/22/15/54/H-1B_Ready_to_Work_-_Data-_Driven_Decision_Making-_Tools_to_Review_and_Manage_Performance