

OMB Control Number 1205-0420

Expiration Date 01/31/2013

Workforce Investment Act Title I-B Standardized Record Data (WIASRD): General Reporting Instructions and Specifications

Revised 2010

Prepared By
Office of Performance and Technology
Employment and Training Administration

This reporting requirement is approved under the Paperwork Reduction Act of 1995, OMB Control No. 1205-0420, expiring 01/31/2013. Persons are not required to respond to this collection of information unless it displays a currently valid OMB number. Public reporting burden for this collection is estimated to average 604,982 hours per year. This estimate includes the burden to collect data that the respondent would not otherwise collect as part of its usual and customary practice or as part of its EEO requirements. Respondent's obligation to reply is required to obtain or retain benefits (P.L. 105-220, Sec. 136 and Sec. 185). The reason for the collection of information is general program oversight, evaluation and performance assessment. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden, to the U. S. Department of Labor, Employment and Training Administration, Office of Performance and Technology, 200 Constitution Avenue, NW, Room S-5206, Washington, D.C. 20210 (Paperwork Reduction Project 1205-0420).



I. GENERAL INSTRUCTIONS

Grantees are required to maintain standardized individual records containing characteristics, activities and outcomes information for all individuals who receive services or benefits financially assisted by the WIA Title I-B and National Emergency Grant programs (Sec. 136(f) and 185).

The primary purposes of the WIASRD are to:

1. Establish a standardized set of data elements, definitions, and specifications that can be used to describe the characteristics, activities, and outcomes of individuals served by WIA Title I-B programs, including services financially assisted by National Emergency Grants;
2. Facilitate the collection and reporting of valid, consistent, and complete information on an individual in order to support the overall management, evaluation, and continuous improvement of the programs at the local, state, and federal levels; and
3. Share program performance results with consumers, taxpayers, Congress and others with an interest in the WIA programs.

Standardized data collection also makes performance information more useful for supporting DOL budget development activities for consideration by the Congress, especially with regard to the impact of different funding levels on program services and outcomes. A common language is used to describe changes and improvements in programs over time, to identify effective strategies for meeting the needs of participants, and to record significant program accomplishments.

In developing the WIASRD layout, every effort has been made to establish common data definitions and formats with minimum burden to grantees. This standardized individual record layout provides grantees with the opportunity to better inform the Administration, Congress and other stakeholders about the numbers of individuals being served, the types of services received, and the employment and skill-related outcomes of former participants. The individual record layout establishes a core set of data that must be collected and maintained by grantees. In some areas, program-specific information on characteristics, activities and outcomes are included for individuals served by those programs.

It is expected that the individual records are complete and accurate, and that the records are the basis for the WIA Annual Reports submitted by states to ETA. Performance information reported in the WIA Annual Report must be comprised of information provided by each State from their individual records. These records include client information that is matched to outcome information obtained from Unemployment Insurance (UI) and other administrative wage records, or from other supplemental data sources as appropriate.

II. COVERED PROGRAMS

Grantees administering formula or statewide reserve funds under the following ETA programs must utilize the WIASRD specifications and general reporting instructions:

- WIA Adult Program
- WIA Dislocated Worker Program (including dislocated workers participating in programs funded under WIA section 134(a)(2)(A)(ii) – rapid response additional assistance)
- WIA Youth Program
- National Emergency Grants

An individual WIASRD record must be created and submitted for all participants who receive services financially assisted by National Emergency Grants (NEGs), whether co-enrolled in the WIA Title IB programs or served exclusively with NEG funds. In addition, if state or local activities are supported with WIA statewide reserve funds and involve the enrollment of individuals eligible to receive WIA Title I-B services, including rapid response programs funded under WIA section 134(a)(2)(A)(ii), an individual WIASRD must be created and maintained and the outcomes must be reported to the Department.

III. RECORD LAYOUT SPECIFICATIONS

The WIASRD follows a comma-delimited format. See **Appendix A** for details regarding data elements, definitions, and coding values.

As shown in Appendix A, state collection and reporting of the required data elements depend on the funding source (adult, dislocated worker, NEG, youth), on a youth's age at program participation (i.e., date of first youth service), and on the types of services received by adults and dislocated workers. Required data elements are marked with a "R" in the relevant column while optional data elements are noted with an "O."



WIASRD elements are separated into section headings and categories that represent logical groupings. For each data element there is a definition or reporting instruction, coding values, where appropriate, data type/field size, and an applicability guide to document which program(s) require the data element.

The applicability guide also documents data element requirements for groups of individuals within a program (e.g., adults receiving intensive services). For instance, data elements are applied differently for adults and dislocated workers/NEG participants according to whether the individual received **Staff Assisted Core Services (C), Intensive (I), or Training Services (T)**. Data requirements increase according to the type of customer or intensity of service received by the participant. In other words, the WIASRD layout only expands as the program staff finds out more information about the customer, or the customer receives additional and more costly services in order to achieve performance outcomes. Coding values and the applicability guide contained within Appendix A are essential components that place each data element in its proper context. Additional guidance regarding the collection and reporting of equal opportunity information, including sex, age, disability, ethnicity, and race, can be found under **Appendix B**.

IV. DUE DATE

Electronic WIASRD files are due to ETA no later than **October 15th** following the end of each Program Year (July – June). The following table shows the expected due dates for state WIASRD files for the next three Program Years.

Program Year	Due Dates
PY 2009	October 15 th , 2010
PY 2010	October 15 th , 2011
PY 2011	October 15 th , 2012

Should the date of the report fall on a Saturday or Sunday, the WIASRD files are due the Friday before.

V. SUBMISSION PROCEDURES

Information contained in the WIASRD files must be submitted directly to ETA’s Enterprise Business Support System (EBSS) via technical instructions available through the appropriate Regional Office or the ETA performance website. States are required to submit a single consolidated WIASRD file for each participant where the individual received benefits or services from one or more of the programs identified under Section II: Covered Programs.



A universe of these consolidated WIASRD files must be prepared and submitted to ETA for the following individuals:

- All participants who received staff-assisted core, intensive, or training services financially assisted by WIA Adult and Dislocated Worker formula funds and have exited from the program(s);
- All participants who received services financially assisted by WIA Youth formula funds and have either (a) exited from the program or (b) not exited from the program but have achieved reportable outcomes on the skill attainment rate or literacy and numeracy gains performance measures;
- All participants who receive services financially assisted by Statewide 15% funds, including rapid response activities funded under WIA section 134(a)(2)(A)(ii), where the activities involve the enrollment of individuals eligible for Title I-B program services and have exited from the program; and,
- All participants who receive services financially assisted by National Emergency Grants (NEGs) and have exited from the program. This population includes individuals co-enrolled in a WIA Title I-B program and those served exclusively through a NEG.

States are not required to submit WIASRD files for participants who only receive core self-service and informational activities financially assisted by WIA Title I-B programs, and where statewide activities do not support services for eligible adults, dislocated workers or youth. Examples of such exceptions include activities where (a) the State is conducting a statewide activity that does not involve direct services (e.g., research or evaluation), or (b) the statewide activity is structured to provide services that are highly specialized, such as in a pilot or demonstration activity (e.g., incumbent worker training, project for chemically dependent TANF recipients).

Once a WIASRD file is submitted, updated records must be provided in each subsequent year until all relevant outcome information is completed. Therefore, subsequent submissions are expected to occur for at least 2 full program years after the original submission. Self-reported information will be accepted for reporting purposes as long as the State meets the applicable data validation requirements.



APPENDIX A

**WORKFORCE INVESTMENT ACT STANDARDIZED
PARTICIPANT RECORD (WIASRD) SPECIFICATIONS**





APPENDIX B

**ADDITIONAL GUIDANCE FOR COLLECTING
FEDERAL EQUAL OPPORTUNITY INFORMATION**



COLLECTION OF FEDERAL EQUAL OPPORTUNITY INFORMATION

Beginning on the effective date of this reporting system, states are required to collect, maintain, and report equal opportunity information, including sex, age, disability, ethnicity, and race, for all individuals who apply for benefits or services financially assisted by the program. This requirement is in accordance with 29 CFR Part 37, "Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998." For reference, sections 37.37(b)(1), (b)(2) and (d) of title 29 CFR mandate the following:

(b)(1) Each recipient must collect such data and maintain such records, in accordance with procedures prescribed by the Director [Director of the Civil Rights Center, Office of the Assistant Secretary for Administration and Management, DOL], as the Director finds necessary to determine whether the recipient has complied or is complying with the nondiscrimination and equal opportunity provisions of WIA or this part. The system and format in which the records and data are kept must be designed to allow the Governor and CRC [Civil Rights Center, Department of Labor] to conduct statistical or other quantifiable data analyses to verify the recipient's compliance with section 188 of WIA and this part;

(b)(2) Such records must include, but are not limited to, records on applicants, registrants, eligible applicants/registrants, participants, terminees, employees, and applicants for employment. Each recipient must record the race/ethnicity, sex, age, and where known, disability status, of every applicant, registrant, eligible applicant/registrator, participant, terminee, applicant for employment, and employee;

(d) Where designation of individuals by race or ethnicity is required, the guidelines of the Office of Management and Budget must be used.

Other sources of authority for this requirement include 29 CFR 31.5(b), in DOL's regulations implementing Title VI of the Civil Rights Act of 1964, and 29 CFR 32.44(b), in DOL's regulations implementing Section 504 of the Rehabilitation Act of 1973. The CRC Director has determined that collection of the equal opportunity information sought by this section of the reporting system is necessary in order to determine whether recipients have complied, or are complying, with the nondiscrimination and equal opportunity provisions of WIA and other applicable statutes.

Unless required for a determination of eligibility to participate in the program, the collection of equal opportunity information is to be self-identified and is voluntarily provided by the individual. Individuals should be made aware of the reason for the request of such information as well as the parties to whom disclosure may be made. Information collected from the individual will be used to monitor compliance of recipients with the equal opportunity and nondiscrimination requirements enforced by the CRC. It will also be used to assist the grantee and the Department in evaluating and improving efforts to conduct outreach to diverse population groups, including racial and ethnic minorities and persons with disabilities.

The collection of ethnicity and race information contained within these reporting instructions are in accordance with the Office of Management and Budget (OMB) Statistical Directive 15 (as adopted October 30, 1997 at <http://www.whitehouse.gov/omb/fedreg/ombdir15.html>). The ethnicity and racial categories in this classification are social-political constructs and should not be interpreted as being scientific or anthropological in nature. They are not to be used as determinants of eligibility for participation in any Federal program. The standards have been developed to provide a common language for uniformity and comparability in the collection and use of data on race and ethnicity by Federal agencies.

OMB has determined that a two-question format should be used in all cases involving self-identification of ethnicity and race. Therefore, ethnicity information (i.e., Hispanic or Latino) must be collected separately from race information, and individuals who indicate that they are Hispanic or Latino should also have the opportunity to select one or more racial categories. Information on an individual's ethnicity must also be collected before information on race. When completing race information, individuals must be offered the option of selecting one or more racial designations. Recommended forms for the instruction accompanying the race information should instruct the individual to read each racial designation carefully and then "Mark one or more . . ." or "Select one or more . . ." races to indicate what the individual considers him/herself to be.

For the purposes of the requirements in this section of the reporting system, disability means, with respect to an individual, a physical or mental impairment that substantially limits one or more of the major life activities of such individual. 29 CFR 37.4 provides further clarification of the term "disability"; relevant portions of the definition have been included below for reference:

(1)(i) *The phrase physical or mental impairment means –*

- (A) *Any physiological disorder or condition, cosmetic disfigurement, or anatomical loss affecting one or more of the following body systems: neurological, musculoskeletal, special sense organs, respiratory (including speech organs), cardiovascular, reproductive, digestive, genitourinary, hemic and lymphatic, skin, and endocrine;*
- (B) *Any mental or psychological disorder such as mental retardation, organic brain syndrome, emotional or mental illness, and specific learning disabilities.*

(ii) *The phrase physical or mental impairment includes, but is not limited to, such contagious and noncontagious diseases and conditions as orthopedic, visual, speech and hearing impairments, cerebral palsy, epilepsy, muscular dystrophy, multiple sclerosis, cancer, heart disease, diabetes, mental retardation, emotional illness, specific learning disabilities, HIV disease (whether symptomatic or asymptomatic), tuberculosis, drug addiction, and alcoholism. The phrase "physical or mental impairment" does not include homosexuality or bisexuality.*

(2) *The phrase major life activities means functions such as caring for one's self, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, and working.*



EMPLOYMENT AND TRAINING ADMINISTRATION

Information collected from the individual will be used to monitor compliance of recipients with the equal opportunity and nondiscrimination requirements enforced by the CRC. It will also be used to assist the grantee and the Department in evaluating and improving efforts to conduct outreach to diverse population groups, including racial and ethnic minorities and persons with disabilities.

Personally identifiable information (i.e., equal opportunity information by SSN) will not be included in the tabulation or transfer of data to the Department under this information collection. The Department will use the data supplied by the grantees to determine how many applicants are from different groups and how many of these applicants are determined eligible to receive services financially assisted by the program in question. The Department will then assess compliance with nondiscrimination and equal opportunity requirements, as well as the effectiveness of specific outreach efforts and means of communication in light of this information.

