

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION WIA/Performance Reporting
	CORRESPONDENCE SYMBOL OPDR
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ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 28-11

TO: STATE WORKFORCE AGENCIES
STATE WORKFORCE ADMINISTRATORS
NATIONAL FARMWORKER JOBS PROGRAM GRANTEEES
INDIAN AND NATIVE AMERICAN PROGRAM GRANTEEES

FROM: JANE OATES /s/
Assistant Secretary

SUBJECT: Program Year 2011/Fiscal Year 2012 Performance Reporting and Data
Validation Timelines

1. Purpose. To inform and to remind the workforce investment system of the performance reporting requirements and associated timelines for submitting the reports for the following programs/activities:

- quarterly and annual reports and data validation results for the Workforce Investment Act (WIA) title IB programs and National Emergency Grants (NEGs);
- quarterly reports and data validation results for the Wagner-Peyser Act Employment Service;
- activities authorized under chapter 41 of title 38 United States Code (Local Veterans' Employment Representative and Disabled Veterans' Outreach Programs);
- the Trade Adjustment Assistance (TAA) program,
- the Indian and Native American Program (INAP); and
- the National Farmworker Jobs Program (NFJP).

2. References.

- WIA of 1998, Sections 136 and 185
- 20 Code of Federal Regulations 667.300
- Training and Employment Guidance Letter (TEGL) 17-05 and TEGL 17-05, Change 2, *Common Measures Policy for the Employment and Training Administration's (ETA) Performance Accountability System and Related Performance Issues*
- TEGL 9-07, *Revised Incentive and Sanction Policy for Workforce Investment Act Title IB Programs*
- TEGL 17-09, *Quarterly Submission of Workforce Investment Act Standardized Record Data (WIASRD)*

RESCISSIONS None	EXPIRATION DATE Continuing
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- TEGL 7-10, *Workforce Investment Act and Wagner-Peyser Act Performance Accountability Reporting for the American Recovery and Reinvestment Act of 2009 (Recovery Act)*
- TEGL 7-11, *Workforce Investment Act (WIA) Annual Report Narrative*

3. Performance Reporting and Data Validation for the WIA Title IB Programs. For Program Year (PY) 2011, each state is required to make the following submissions for WIA to the Employment and Training Administration (ETA):

A. A validated WIA Annual Report (ETA 9091 - OMB No. 1205-0420) – Due no later than October 1, 2012.

Please note that states are required to complete report validation prior to submitting the annual report Tables A-O (ETA 9091) to ETA through the new online Enterprise Data Reporting and Validation System (E-DRVS) on, or before, October 1, 2012. (Additional guidance and instructions on use of the E-DRVS will be issued separately.) Submission of timely and accurate data is required in section 136 of the WIA. Furthermore, a timely and validated annual report is one of the criteria for WIA incentive eligibility. See TEGL 9-07 for further clarification.

Data element validation, using the file of exiters and participants reported on the ETA 9091, must be submitted by February 1, 2013. Please see Attachment A of this TEGL for the source documentation requirements for PY 2011 WIA data element validation.

States and other jurisdictions that are approved to report only the common performance measure outcomes for WIA programs for PY 2011 (Alabama, Alaska, Arkansas, California, Colorado, Connecticut, Delaware, District of Columbia, Florida, Georgia, Idaho, Illinois, Indiana, Kansas, Kentucky, Louisiana, Maryland, Massachusetts, Mississippi, Missouri, Montana, Nebraska, Nevada, New Hampshire, New Jersey, New Mexico, New York, North Carolina, North Dakota, Ohio, Oklahoma, Oregon, Pennsylvania, South Carolina, South Dakota, Tennessee, Texas, Utah, Virginia, Virgin Islands, Washington, West Virginia, Wisconsin, and Wyoming) do not have to report outcomes for the customer satisfaction measures, the credential measure for Adults and Dislocated Workers, or the Older and Younger Youth measures on the WIA Annual Report. These states, along with all other states, are to report outcomes for the youth common performance measures.

States that are approved to report only the common performance measure outcomes should reference Attachment B of this TEGL, which contains the WIA Annual Report format with grayed out fields to indicate the information that is **not** required as part of the state's annual report submission. **Please note a slight difference beginning in PY 2012: states with an approved common measure waiver are being asked to supply participant and exiter counts for younger youth and older youth on tables M and O.**

B. WIA Annual Report Narrative – Due no later than October 1, 2012.

States should e-mail electronic copies of their narrative annual report to WIA.AR@dol.gov and their Regional Administrator no later than October 1, 2012. Guidance in TEGL 7-11, *Workforce Investment Act (WIA) Annual Report Narrative*, specifically identifies those

required portions that states must provide as well as those portions that states are encouraged to provide. NOTE: In the WIA PY 2011 Annual Report Narrative guidance to be published separately, ETA will encourage states to add a discussion of their programs, initiatives and strategies for serving veterans at the state and local levels.

C. The WIA Standardized Record Data files – Annual File due no later than September 15, 2012.

Beginning with the PY 2011 fourth quarter annual WIASRD submissions, states (except Workforce Investment Streamlined Performance Reporting states) will be required to submit a WIASRD file to the updated E-DRVS. This new system will no longer be PC-based software, but instead will be an online portal tied to the Enterprise Business Support System (EBSS). Specific system instructions will follow in a separate TEGL; the overall upload and edit check process will remain the same.

The E-DRVS will eliminate the need to upload annual or quarterly results to EBSS. E-DRVS will now complete all data reporting functionality once carried out in EBSS.

All of the edit checks and valid value requirements for the WIASRD Quarterly reports are fully articulated in Attachments A through E of TEGL 17-09.

The following quarterly WIASRD modifications were instituted in PY 2009 and are explained in sections 4.A – 4.D of TEGL 17-09:

- The submission includes data fields previously not accepted by EBSS.
- The submission includes data on all participants who have not exited. To accommodate this participant data, some WIASRD fields have required values for participants without exit dates.
- There are changes to the technical process of uploading individual record files into EBSS.
- States will submit to ETA the individual record files for participants who receive “self and informational services only” (hereafter referred to as self-service only participants).

WIASRD quarterly submissions for the first, second, and third quarters of each PY are due **45** days following the end of the quarter (November 14, February 14, and May 15, respectively). The due date for the fourth quarter of each PY is **75** days following the end of the quarter, or September 15, 2012. This additional time provides states with the opportunity to better align their fourth quarter WIASRD data with their WIA Annual Report data, which is due no later than October 1st of each year. States have an additional **15** days following the due date to address data errors; WIASRD files are locked from editing after this period. For PY 2011, the WIASRD files will be locked on October 1, 2012.

Similar to the former process where an annual submission of individual records was submitted to DRVS, the quarterly WIASRD submission into E-DRVS will be used to compute the ETA 9090 quarterly report. Therefore, the lagged cohorts to be included in the quarterly submission must correspond to the cohorts in the annual submission. A change with the implementation of the E-DRVS will require states to submit their quarterly WIASRD files into the software itself for edit checking. This change will allow states to

automatically generate the 9090 report immediately after the WIASRD submission. E-DRVS will also act as the repository for these records and reports instead of EBSS. The automatic generation of the 9090 report is also due **45** days following the end of the quarter.

Please note the following items when generating and submitting WIASRD files:

- WIASRD item 309 (incumbent worker (Statewide 15 percent Activities)), has been updated to allow states to track Incumbent Workers who received local formula funds or Rapid Response funds. Please note the changes in the field description and valid value requirements for this item.
- WIASRD item 326 (Other Non-WIA Programs) includes valid values for the American Recovery and Reinvestment Act (Recovery Act) of 2009 co-enrollments.
- All states with a Recovery Act-funded On-the-Job-Training NEG should report using their assigned NEG code. Additional information can be found at: <http://www.doleta.gov/performance/reporting/answers.cfm> and <http://www.doleta.gov/neg/negperf/training.cfm>
- Please ensure that WIASRD item 342, Occupational Skills Training Code, is completed; O*NET codes are available at <http://online.onetcenter.org/>.
- Please ensure that WIASRD item 619, Type of Recognized Credential, is completed for each individual who has earned a credential, certificate, or degree.
- If the exiter was a Workforce Innovation in Regional Economic Development (WIRED) or Military Spouse Career Advancement Account (CAA) funded recipient item 313c should contain the appropriate WIRED or CAA code.
- The most common WIASRD data problems are missing or incomplete information in the service items that were added in PY 2005 and on the occupation of the training program. The service items that were added in PY 2005 included the following:
 - Received disaster relief assistance (Disaster NEG temporary job wages)
 - Received Core Self-Services and Informational Activities
 - Date of first staff assisted core service
 - Received Workforce information services
 - Date completed or withdrew from training
 - Received prevocational activities
 - Enrolled in education
- The occupation of the job held in the quarter after exit is frequently missing.

ETA is aware that the occupation of employment element requires manual follow-up with the exiter. The occupation of employment is frequently asked for when reporting to ETA's stakeholders on the effectiveness of the workforce programs, especially the training that is provided. In order to address this burden, ETA will propose collection of the North American Industry Classification Coding System for the first quarter after exit in which an exiter is able to enter employment. This change will be proposed as part of the renewal of the Workforce Investment Act Performance Management System; the current forms expire on December 31, 2012. Until the reporting changes have been approved and implemented, states are encouraged to collect the information about occupation of employment when providing follow-up services.

In addition to these items, ETA has developed Attachment C of this TEGL, which contains a list of common errors identified during the analysis of WIASRD submissions from previous

years. States should contact ETA's National Office at ETAperforms@dol.gov, with the subject line of **WIASRD submission**, if they need additional assistance.

Please visit <http://www.doleta.gov/performance/reporting> for the most recent WIASRD file format.

Please note that in addition to the annual reporting requirements enumerated in sections A-C above, states must also submit Quarterly and Supplemental Monthly Reports to ETA through EBSS as required. States with Recovery Act funded NEGs should continue to report the 9148 on a monthly basis through the life of the grant.

4. Performance Reporting and Data Validation for Other State-Based Programs.

Wagner-Peyser Employment Service. States are required to submit the ETA 9002 and VETS 200 reports (Office of Management and Budget No. 1205-0240) on a quarterly basis. **States must submit their PY 2011 fourth quarter reports no later than August 31, 2012.** This will be done utilizing the new E-DRVS.

The fourth quarter PY 2011 Wagner-Peyser Employment Service submission requires report validation and minimal data element validation. **Data element validation must be completed for the ETA 9002 and VETS 200 reports prior to submitting the final fourth quarter reports by the August 31, 2012 due date.** A minimal data element validation sample of 25 job seekers must be reviewed and compared to state-level data prior to submitting the ETA 9002 and VETS 200 reports to ensure that the files used to conduct report validation were properly constructed. Through the use of E-DRVS, states will be able to upload Wagner-Peyser individual record files to run all necessary edit checks. All states are required to perform data element validation using the E-DRVS. As with the WIASRD, E-DRVS will act as the reporting mechanism for Wagner-Peyser. As such, states will no longer be required to upload aggregate results to EBSS.

Trade Adjustment Assistance. States are required to submit the Trade Act Participant Report (TAPR) on a quarterly basis, no later than 45 days after the end of the report quarter. The fourth quarter TAPR for Fiscal Year 2011 is due no later than **November 14, 2012.** States administering TAA programs are not required to submit an annual report; states are required to submit individual participant records only for TAA.

5. Data Validation for the National Farmworker Jobs Program. Grantees administering the NFJP are not required to submit a performance outcomes report. Grantees are required to submit individual participant records for the NFJP, which are used by ETA to calculate the performance outcomes for each grantee. Therefore, grantees are not required to conduct report validation, but must conduct data element validation.

The final NFJP participant data for PY 2010 (participants with exit dates between July 1, 2010 and June 30, 2011) are due to ETA's contractor (Social Policy Research Associates) on May 15, 2012. **Data element validation for PY 2010 must be submitted to ETA by November 2, 2012.** Please see Attachment D of this TEGl for the source documentation requirements for PY 2010 NFJP data element validation. NFJP grantees should use NFJP Data Validation Software Version 2.0.

6. Division of Indian and Native American Program Reporting. Grantees administering the INAP are not required to submit a performance outcomes report. Grantees are required to submit individual participant records for the INAP, which are used by ETA to calculate the performance outcomes for each grantee.

7. Data Reporting and Validation Resources. ETA provides several resources to states in order to assist them in reporting timely and accurate data. As previously mentioned, one of the criteria for incentive eligibility is that the data used to compute the performance outcomes must be submitted on time and be accurate.

WIA Annual and Quarterly Report handbooks are available at:

<http://www.doleta.gov/performance/reporting>

Data validation software applications and User Guides for each program are at:

http://www.doleta.gov/performance/reporting/tools_datavalidation.cfm

For assistance with WIA Quarterly reporting timeframes for each measure based on both the year and quarter, an auto-populating spreadsheet is available at:

<http://www.doleta.gov/performance/guidance/WIA/WIAQuarterlyReportingTimeFrames.xls>.

The annual report timeframes can be derived from this spreadsheet by selecting the year and the 4th quarter.

8. Training and Technical Assistance. States and grantees are encouraged to request technical assistance on validation procedures and the use of the reporting and validation tools by contacting Regional and/or National Office program staff.

9. Action Requested. States and grantees should: 1) distribute this guidance to the appropriate staff; 2) complete report and data validation activities within the timeframes established in sections 3, 4 and 5 of this guidance; and 3) provide the appropriate Regional Office with updates on the reporting and validation process.

10. Inquiries. Questions regarding performance reporting should be directed to the appropriate ETA Regional Office, or to the Office of Policy Development and Research at ETAperforms@dol.gov.

11. Attachments.

Attachment A: Source Documentation Requirements for Program Year (PY) 2011 WIA Data Element Validation

Attachment B: Workforce Investment Act (WIA) Annual Report Requirements for States Approved to Report Against the Common Performance Measures Only

Attachment C: Common WIASRD Reporting Errors

Attachment D: Source Documentation Requirements for Program Year (PY) 2011 NFJP Data Element Validation

Attachment E: Program Year 2011/Fiscal Year 2012 Performance Reporting and Data
Validation Timelines