

<b>EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210</b>	<b>CLASSIFICATION</b> WIA/Performance Reporting
	<b>CORRESPONDENCE SYMBOL</b> PROTECH
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**ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 17-09**

**TO:** STATE WORKFORCE AGENCIES  
STATE WORKFORCE ADMINISTRATORS

**FROM:** JANE OATES /s/  
Assistant Secretary

**SUBJECT:** Quarterly Submission of Workforce Investment Act Standardized Record Data (WIASRD)

**1. Purpose.** To provide guidance to states on the upcoming quarterly WIASRD submission required by the Employment and Training Administration (ETA) in its Training and Employment Guidance Letter (TEGL) 24-08. Four key areas are addressed in this document: (1) the change in the WIASRD reporting frequency from annual to quarterly; (2) the change in the WIASRD submission to include participant files; (3) the process for submitting the quarterly data beginning with the 3rd quarter of Program Year (PY) 2009; and (4) updates on the WIASRD edit checks to account for participant data.

**2. References.**

- Workforce Investment Act (WIA) of 1998, Section 136
- Workforce Investment Act of 1998, title ID National Emergency Grants
- Training and Employment Guidance Letter (TEGL) No. 14-03, Change 1, *Performance Reporting Submission Procedures for the Workforce Investment Act Standardized Record Data (WIASRD), the Annual Report, and the Quarterly Reports under Title 1B of the Workforce Investment Act (WIA) for Program Year (PY) 2003 and 2004*
- TEGL No. 3-03, Change 3, *Revision to the Data Validation Policy for Employment and Training Programs for Program Year 2004*
- TEGL No. 17-05 and TEGL No. 17-05, Change 2, *Common Measures Policy for the Employment and Training Administration's (ETA) Performance Accountability System and Related Performance Issues*
- Training and Employment Notice (TEN) No. 19-07, *Program Year 2006/Fiscal Year 2007 Performance Reporting and Data Validation Timelines*
- TEGL No. 24-08, *Workforce Investment Act and Wagner-Peyser Act Performance Accountability Reporting for the American Recovery and Reinvestment Act of 2009*
- TEN No. 8-09, *Program Year 2008/Fiscal Year 2009 Performance Reporting and Data Validation Timelines*
- *Data Reporting and Validation System (DRVS): User Handbook for DRVS 7.2*

<b>RESCISSIONS</b> None	<b>EXPIRATION DATE</b> Continuing
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**3. Background.** Grantees are required to maintain standardized individual records on the characteristics, activities, outcomes and services provided to participants in the WIA Title 1B Adult, Dislocated Worker, Youth Programs and National Emergency Grants. To provide more timely information about Workforce Investment Act (WIA) participants, program services and outcomes, grantees are now required to submit the WIASRD file for both participants and exiters, on a quarterly basis. In accordance with TEGL 24-08, the first quarterly submission will be due 45 days following the end of the 3<sup>rd</sup> quarter of PY 2009, which ends on March 31, 2010. The deadline for this submission will be May 17, 2010.

Since each state already maintains an individual record file that includes both active participants and exiters to produce the WIA Quarterly Report (ETA Form 9090: OMB control no. 1205-0420), states are well positioned to submit to ETA a quarterly WIASRD file that contains both active participants and exiters. **The most significant change is that states will now be responsible for uploading this data directly into the Employment and Training Administration's (ETA's) Enterprise Business Support System (EBSS) on a quarterly basis.**

This reporting change is aligned with ETA's strategy to implement a streamlined and integrated performance reporting system. Currently, the WIASRD is submitted annually. ETA policymakers are limited in their abilities to describe real-time trends in participant characteristics and outcomes on a national level. Although states are already required to submit aggregated outcomes on a quarterly basis, the depth and breadth of possible analysis is limited without the information on characteristics and services received.

There are significant benefits that accompany a quarterly submission of individual records. With more timely detailed information, ETA will be able to perform more in-depth program analysis and assessment. Decisions will be better informed, and states will gain access to frequent updates on nationwide trends in participant characteristics, training, employment services, and outcomes.

Although the process for submitting quarterly WIASRD files will change from the current annual WIASRD submission process (see below), the WIASRD record layout and element definitions have not been modified (e.g., no new data elements have been added to the collection).

#### **4. Quarterly Submission of WIASRD Files.**

Since the inception of WIA, states have submitted the WIASRD annually following the 4th Quarter of each Program Year. ETA required that states submit these individual records directly to EBSS in accordance with the General Reporting Instructions and Specifications guidelines for submitting the WIASRD file. Please refer to Attachment A of this document for the updated WIASRD Record Layout.

A number of states<sup>1</sup> currently use the Data Reporting and Validation Software (DRVS) to prepare their annual WIASRD file for final submission to ETA. When a state uploads individual records into DRVS, the system not only validates the data by checking for data entry errors, missing values, and inconsistencies between fields, but also automatically selects and formats the data for uploading into EBSS. However, the export routine in DRVS removes the following data before producing a WIASRD file for uploading into EBSS:

- a. non-youth participants (including self-service only participants);
- b. exiter cohorts from outside the relevant period; and,
- c. six DRVS specific data fields are removed (Observation Number, WIB Name, Office Name, Case Manager, User Field 1, and User Field 2).

Because DRVS is not being modified to allow for the exporting of participant records, **states should not use DRVS to produce their quarterly WIASRD files.** Instead, ETA will modify EBSS to allow states to submit their individual records directly to the system based on the current specifications for uploading data into DRVS. EBSS will then conduct edit checks based on updated specifications for the WIASRD edit checks and valid value requirements, as shown in Attachments B through E.

Quarterly submission of WIASRD files into EBSS will be unique in several ways. First, the submission will include data fields previously not accepted by EBSS. Second, the submission will include data on all participants who have not exited. To accommodate this participant data, ETA is offering guidance on WIASRD field valid-values for participants without exit dates. Third, there is new guidance for the technical process of uploading individual record files into EBSS. Fourth, states will submit to ETA the individual record files for participants who receive “self and informational services only” (here after referred to as self-service only participants). Each of these topics will be covered in the following sub-sections.

**A. DRVS Data Fields to be Included in Quarterly WIASRD Submission:**

The following six fields must be included in the quarterly submission of WIASRD files.

DRVS Field #1 (Observation Number (OBS)) must be added prior to the first column of the WIASRD submission prior to Field 101 (Individual Identifier). DRVS Fields #199 – 203 must be added to the end of the WIASRD file following Field 743 (Educational Functioning Level Year #3). Although these fields were not included in the original WIASRD specification layout, they will be essential for a successful WIASRD file submission. These fields are necessary for the production of the annual report tables. Please see Attachments A, D and E of this TEGL for the record layout and valid value requirements for the Quarterly WIASRD Submission.

DRVS Number	WIASRD Number	Data Element Name
1	100	OBS Number
2-198	101 - 743	All WIASRD Elements

<sup>1</sup> These states are: AK, AL, AR, AZ, CA, CT, DE, DC, FL, GA, HI, IA, ID, KS, KY, LA, MD, MI, MN, MO, MS, ND, NJ, NM, OH, OK, OR, PR, RI, SC, SD, TN, VI, VT, WI, WV, WY. Due to the intricacies in reporting, this list may not be exhaustive.

199	744	WIB Name
200	745	Office Name
201	746	Case Manager
202	747	User Field 1
203	748	User Field 2

**B. WIASRD Field Valid-Value Requirements for Non-Youth Participants:**

Although states maintain records for participants, these records were not required for the annual submission of the WIASRD to ETA. In accordance with TEGL 24-08, ETA now requires that grantees submit individual records on participants starting with the 3rd quarter of PY 2009; however, EBSS was not originally designed to accept records for non-Youth-funded participants without exit dates. States should follow the following guidance on the valid value requirements on select WIASRD fields in order to avoid unnecessary “warning” and “reject” error messages for non-youth participants without exit dates. These required values are also included in Attachment A and D.

<b>Valid WIASRD Values for Participants Who Have <u>Not</u> Exited</b>		
<b>WIASRD Field Number</b>	<b>WIASRD Field Name</b>	<b>Valid Values</b>
303	Date of Exit	Blank or 0
327	Other Reasons for Exit	Blank or 00
349	Received Follow Up Services	Blank or 0
601	Employed in 1 <sup>st</sup> Quarter After Exit	3
602	Type of Employment Match 1 <sup>st</sup> Quarter After Exit Quarter	6
603	Occupational Code	Blank or 0
604	Entered Training Related Employment	Blank or 0
605	Entered non-Traditional Employment	Blank or 0
606	Employed in 2 <sup>nd</sup> Quarter After Exit	3
607	Type of Employment Match 2 <sup>nd</sup> Quarter After Exit Quarter	6
608	Employed in 3 <sup>rd</sup> Quarter After Exit Quarter	3
609	Type of Employment Match 3 <sup>rd</sup> Quarter after Exit Quarter	6
610	Employed in 4 <sup>th</sup> Quarter After Exit Quarter	3
611	Type of Employment Match 4 <sup>th</sup> Quarter After Exit Quarter	6
615	Wages 1 <sup>st</sup> Quarter After Exit Quarter	999999.99
616	Wages 2 <sup>nd</sup> Quarter After Exit Quarter	999999.99
617	Wages 3 <sup>rd</sup> Quarter After Exit Quarter	999999.99
618	Wages 4 <sup>th</sup> Quarter After Exit Quarter	999999.99
670	School Status at Exit	Blank or 0
671	Youth Placement Information	Blank or 0
672	Youth Retention Information	Blank or 0

### C. Technical Changes in the Submission Process:

To streamline the submission process into EBSS, states should take note of the following technical requirements that will impact the submission of individual record files. Refer to Attachment F for historical examples of WIASRD Reporting errors.

1. States with individual record files larger than 1 megabyte should use data compression software (e.g. “.zip”) to reduce the file’s size before submission. This will expedite the processing time and attenuate the threat of an EBSS software crash.
2. When states initially upload their raw individual records into EBSS, the file may be rejected because the data type is inappropriate or the file is incorrectly formatted. For example, the file may contain too many fields, or it may be saved as an Excel file.
3. States are no longer required to upload the file into EBSS for overnight processing. The EBSS software will be modified to allow immediate processing of files; however, processing times will vary based on the size of the file and the number of states that simultaneously submit data.
4. DRVS contains an error ceiling on “reject” and “warning” messages from the edit check process; when a state’s file yields more than 50,000 warnings or 25,000 rejects, the entire file is rejected and processing stops. EBSS will now implement the same error ceiling during the file upload process.

### D. Self-Service Only Individual Record Data:

States should include the individual record data on self-service only participants<sup>2</sup> in the Quarterly WIASRD submission. ETA will separate self-service only records from the main file, and apply a limited set of edit checks. In general, states collect fewer data elements on self-service participants. Separating the state’s WIASRD file will minimize the overall processing time and the likelihood of unnecessary “warning” and “reject” error messages. Please note that for individuals who receive more than self-services, states must report a valid date for the first staff-assisted core service (WIASRD Field #332). Attachment E of this document shows the required fields and relevant edit checks on self-service only participants. In addition to the required fields, states should submit self-service only data containing all relevant data elements included in the standard WIASRD Record Layout in Attachment A of this document.

**5. Due Dates and Relevant Cohorts.** WIASRD quarterly submissions for the first, second, and third quarters of each Program Year are due **45** days following the end of the quarter. The due date for the fourth quarter of each Program Year is **75** days following the end of the quarter. This additional time provides states with the opportunity to better align their fourth quarter WIASRD data with their WIA Annual Report data 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. The table below shows the expected due

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<sup>2</sup> A self-service exiter/participant is identified when: WIASRD 331(Received Core Self Services and Informational Services) = 1 and WIASRD 332 (Date or First Staff Assisted Core Service) = Blank, and WIASRD 334 (Date of First Intensive Service) = Blank, and WIASRD 335 (Date Entered Training) = Blank

dates for each reporting quarter. Should the due date fall on a Saturday or Sunday, the quarterly WIASRD file is due the following Monday.

<b>WIASRD Quarterly Submissions Cohorts and Due Dates</b>			
<b>Program Year and Quarter</b>	<b>Quarter End Date</b>	<b>Due Date</b>	<b>Exiter Participant Cohort</b>
PY 2009 Q3*	3/31/2010	5/17/2010	Exited on after 10/1/2007, or has not exited and began participation before 4/1/2010
PY 2009 Q4**	6/30/2010	9/15/2010	Exited on after 1/1/2008, or has not exited and began participation before 7/1/2010
PY 2010 Q1*	9/30/2010	11/15/2010	Exited on after 4/1/2008, or has not exited and began participation before 10/1/2010
PY 2010 Q2*	12/31/2010	2/15/2011	Exited on after 7/1/2008, or has not exited and began participation before 1/1/2011
PY 2010 Q3*	3/31/2011	5/16/2011	Exited on after 10/1/2008, or has not exited and began participation before 4/1/2011
PY 2010 Q4**	6/30/2011	9/15/2011	Exited on after 1/1/2009, or has not exited and began participation before 7/1/2011

\* = Data is due **45** days following the end of the quarter.

\*\* = Data is due **75** days following the end of the quarter.

Similar to the annual submission of individual records, the quarterly WIASRD submission will be used to compute certain performance measures<sup>3</sup>. Therefore, the lagged cohorts to be included in the quarterly submission must correspond to the cohorts in the annual submission. In practical terms, states will be submitting an annual report on a quarterly basis. Attachment G of this document shows the relevant periods of participant and exiter counts to be included in the PY 2009 Q3 Quarterly WIASRD Submission.

**6. The WIA Quarterly Report, WIA Annual Report and Data Element Validation.**

States are still required to submit WIA Quarterly Reports—ETA Form 9090. The current version of DRVS can continue to be used to produce the quarterly reports for PY 2009. States will no longer be required to submit an annual WIASRD file. The PY 2009 Q4 WIASRD file will act as the PY 2009 WIASRD annual file. Furthermore, Data Element Validation will only be performed on an annual basis using the 4th Quarter WIASRD file.

The WIA Annual Narrative and WIA Annual Report (ETA Form 9091) continue to be due no later than October 1st following the end of each Program Year. Should the due date fall on a Saturday or Sunday, the due date for these submissions is the Monday after.

**7. Training and Technical Assistance.** States and grantees are encouraged to request technical assistance on the submission of the quarterly WIASRD including validation

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<sup>3</sup> The WIA Annual Report (9091) submission contains ETA’s performance measures for the incentive and sanction process. The WIASRD is used to produce additional outcome measures for subsections of the data, such as low income individuals.

procedures and the use of the reporting and validation tools by contacting Regional and/or National Office program staff.

**8. 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 this Guidance.

**9. Inquiries.** Questions regarding performance reporting should be directed to the appropriate ETA Regional Office, or to the Office of Performance and Technology, at [ETAperforms@dol.gov](mailto:ETAperforms@dol.gov).

**10. Attachments.**

**Attachment A:** WIASRD Record Layout

**Attachment B:** Key Terms and Definitions

**Attachment C:** Global Edit Checks and Default Warnings

**Attachment D:** WIASRD Edit Checks and Valid Value Requirements

**Attachment E:** WIASRD Edit Checks and Valid Value Requirements for Self- and Informational Services Only-Data

**Attachment F:** Common WIASRD Reporting Errors

**Attachment G:** Relevant Periods of Exiters and Participants to Be Included in PY 2009 Q3 Quarterly WIASRD Submission