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| EMPLOYMENT AND TRAINING ADMINISTRATION<br>ADVISORY SYSTEM<br>U.S. DEPARTMENT OF LABOR<br>Washington, D.C. 20210 | <b>CLASSIFICATION</b><br>WIA/Performance Reporting |
|   | <b>CORRESPONDENCE SYMBOL</b><br>OPDR               |
|   | <b>DATE</b><br>September 10, 2014                  |

**ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 6-14**

**TO:** DEPARTMENT OF LABOR EMPLOYMENT AND TRAINING  
 ADMINISTRATION REGIONAL ADMINISTRATORS  
 STATE WORKFORCE AGENCIES  
 STATE WORKFORCE ADMINISTRATORS  
 NATIONAL FARMWORKER JOBS PROGRAM GRANTEEES  
 INDIAN AND NATIVE AMERICAN PROGRAM GRANTEEES

**FROM:** PORTIA WU /s/  
 Assistant Secretary

**SUBJECT:** Program Year (PY) 2013/Fiscal Year (FY) 2014 Data Validation and Performance Reporting Requirements and Associated Timelines

1. **Purpose.** To remind the workforce investment system of data validation and performance reporting requirements and establish associated timelines for submitting reports for the following programs/activities:
  - Quarterly participant records, annual reports, and data validation results for the Workforce Investment Act (WIA) title IB programs and National Emergency Grants (NEGs);
  - Quarterly participant records and data validation results for the Wagner-Peyser Act Employment Service;
  - Quarterly reports for activities authorized under 38 U.S.C. 4103A and 4104 (Disabled Veterans' Outreach Program (DVOP) and Local Veterans' Employment Representatives (LVER));
  - Quarterly reports, participant records, and data validation results for the Trade Adjustment Assistance (TAA) program;
  - Individual participant records for the National Farmworker Jobs Program (NFJP); and
  - Individual participant records for the Division of Indian and Native American Program (DINAP).
  
2. **References.**
  - WIA of 1998, Sections 136 and 185;
  - 20 CFR 667.300;

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| <b>RESCISSIONS</b><br>None | <b>EXPIRATION DATE</b><br>Continuing |
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- Training and Employment Guidance Letter (TEGL) 17-05 and 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)*;
- TEGL 7-12, *Implementing the Veterans-Related and Other Reporting Change Requirements in the Labor Exchange Reporting System (LERS)*;
- TEGL 28-11, *Program Year 2011/Fiscal Year 2012 Performance Reporting and Data Validation Timelines*, and Change 1;
- TEGL 4-13, *Workforce Investment Act (WIA) Performance Reporting System*; and
- TEGL 6-13, *Workforce Investment Act (WIA) Program Year (PY) 2012 Annual Report Narrative*.

3. **Background.** The Employment and Training Administration's (ETA) statutory and regulatory authority to administer job training and employment programs includes provisions requiring performance reporting from states and grantees. The Department uses this information to assess performance of states and grantees. All states and direct grantees administering Department of Labor (Department) employment and training programs must collect and report information on all participants.

Each state that receives an allotment under WIA Section 127 or Section 132 must submit an ETA Form 9090 (WIA Quarterly Report) to provide the Department with available performance information for WIA participants. The WIA Quarterly Report will cover the following formula funded programs:

- WIA Adult Program;
- WIA Dislocated Worker Program;
- WIA Youth Program; and
- NEGs (except Health Care Tax Credit grants).

Wagner-Peyser Act funded services are reported on the ETA Form 9002 A for all participants and on the ETA Form 9002 B, specifically for participants who are veterans, eligible spouses, or transitioning service members. The Veterans' Employment and Training Service (VETS) 200 Reports are a subset of the ETA Form 9002 data. The data reported on VETS 200 only apply to the activities of participants who received one or more services from LVERs and DVOPs. This enables VETS to evaluate the outcomes of the more intensive services offered to participants under these two programs.

Each state must also prepare and submit an annual report of performance progress to the Secretary of Labor (Secretary) in accordance with WIA Sections 136 and 185. There are two components to the WIA Annual Report: (1) the required performance results, as specified in ETA Form 9091, "WIA title 1B Annual Report" (OMB No. 1205-0420) found at: <http://www.doleta.gov/performance/guidance/WIA/WIAAnnualReportSpecifications.pdf>, and (2) a narrative report. The Secretary utilizes the annual reports to fulfill the requirement

of disseminating state-by-state comparisons of the information. Additionally, this information is used to determine states' eligibility for incentive grants or whether the Secretary will impose a sanction based on performance failure. See TEGL 9-07 for further information.

4. **Use of the Enterprise Data Reporting and Validation System (E-DRVS) for Program Reporting.** Submission of timely and accurate data is required in Section 136 of WIA. In 2003, ETA introduced data validation to help states and grantees ensure that their reported performance data accurately reflects their experiences. ETA provides software to states and grantees which analyze participant records and ensure performance calculations are accurate. E-DRVS is the online integrated reporting and validation tool where states can upload individual record files, validate and edit check the data, create quarterly/annual reports, and perform data element validation. E-DRVS eliminates the need to upload annual or quarterly records into Enterprise Business Support System (EBSS).
5. **Performance Reporting and Data Validation for the WIA Title IB Programs.** For each program year, states are required to submit the following reports (when specified due dates are on a Saturday or Sunday, the report is due the following Monday):

**A. Workforce Investment Act Standardized Record Data (WIASRD) files and Quarterly Performance Reports (ETA 9090)**

WIASRD quarterly submissions for the first, second, third, and fourth quarters of each program year are due **45** days following the end of the quarter (November 14<sup>th</sup>, February 14<sup>th</sup>, and May 15<sup>th</sup>, and August 14<sup>th</sup>, respectively).

Submit all quarterly WIASRD files via E-DRVS using the revised layout. As additional revisions to the layout/edit check documents are made, they will be posted at the ETA performance site: <http://www.doleta.gov/performance/pro.cfm>. A notice will be sent to state performance reporting staff if/when further revisions are made.

**B. Validated WIA Annual Report (ETA 9091 - OMB No. 1205-0420) Tables A through Q – Due no later than September 15<sup>th</sup>.**

In previous WIA annual report submissions, states were required to first complete report validation prior to submitting annual report data tables. However, with the adoption of E-DRVS, report validation is no longer needed. With the ETA 9091 report being calculated from the uploaded WIA individual record file, there will be no deviation from ETA's formulas and consequently report validation is not necessary.

The fourth quarter WIASRD submission to E-DRVS will automatically generate *both* the ETA 9090 and ETA 9091 reports. **Consequently, any further WIASRD submissions through September 15 will overwrite a previously certified ETA 9090 fourth quarter report generating a revised ETA 9090 report with new numbers.** Therefore, it is important to remember to recertify any fourth quarter report created after August 14<sup>th</sup>.

States and other jurisdictions approved to report only the common performance measure outcomes for WIA programs for the program year in question 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. However, regarding the customer satisfaction survey, methodologies and results should be addressed in the narrative portion of the report by ALL states. A separate TEGL will address the narrative requirements. All states are required 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.

Data element validation, using the file of exiters and participants reported on the ETA 9091, must be completed through E-DRVS by February 1<sup>st</sup> following the due date of the WIA annual narrative for the program year being submitted. Please see Attachment A of this TEGL for the source documentation requirements for WIA data element validation.

### **C. WIA Annual Report Narrative – Due no later than November 14<sup>th</sup>.**

States should e-mail electronic copies of their narrative annual report to [WIA.AR@dol.gov](mailto:WIA.AR@dol.gov) and their Regional Administrator no later than November 14<sup>th</sup>. Starting with the PY 2013 WIA Annual Report Narrative submission, all report narratives should be submitted as a machine readable (compliant with Section 508 of the Rehabilitation Act) PDF document for Web posting. Guidance in a forthcoming TEGL regarding the WIA Annual Report Narrative, as well as previous guidance such as TEGL 6-13, specifically identifies the required portions that states must provide and portions that states are encouraged to provide.

## **6. Performance Reporting and Data Validation for Other State-Based Programs.**

- A. Wagner-Peyser Employment Service.** States are required to submit the Wagner-Peyser individual record file (OMB No. 1205-0240) on a quarterly basis. Like WIA, quarterly reports are required to be submitted through E-DRVS and certified in EBSS no later than 45 days after the end of each calendar quarter. **States must submit their fourth quarter reports no later than the first Friday after the Labor Day holiday.** This additional time beyond the usual time allowed for Wagner-Peyser quarterly reports is to allow for data element validation to be performed and to provide extra review of the fourth quarter report. Please see the appropriate attachment(s) in this guidance for the exact due date.

In each program year, the Wagner-Peyser Employment Service submission requires data element validation. A minimal data element validation sample of 25 job seekers must be reviewed and compared to state-level data prior to certifying the ETA 9002 and VETS

200 reports to ensure that the files used to conduct report validation were properly constructed. All states are required to perform data element validation using the E-DRVS. As with the WIASRD, E-DRVS acts as the reporting mechanism for Wagner-Peyser. As such, states are no longer required to upload aggregate results to EBSS.

- B. Trade Adjustment Assistance.** Since the TAA program operates on a fiscal year basis, the Trade Act Participant Report (TAPR) is based on a year that begins on October 1<sup>st</sup> and end on September 30<sup>th</sup>. States are required to submit the TAPR on a quarterly basis, no later than 45 days after the end of the report quarter (see Attachments E or F for due dates). States administering TAA programs are not required to submit an annual report; states are required to submit individual participant records only for TAA.

To align with the WIA data element validation (DEV) due date, TAA DEV is due, via EBSS, on February 1<sup>st</sup> following the due date of the third quarter TAPR file for the program year being submitted. A user guide is available on the TAA Web site at [www.doleta.gov/tradeact](http://www.doleta.gov/tradeact) (locate the ‘TAA DEV User Guide’ under the “Research” drop down menu, found in the horizontal menu bar on the home page) to assist states in accessing and using the TAA DEV report application.

7. **Data Validation for NFJP.** Grantees administering NFJP are not required to submit a performance outcomes report. Grantees are required to submit individual participant records for 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 are due to ETA’s contractor (Social Policy Research Associates) by May 15<sup>th</sup> of the year following the end of the program year. **Data element validation for each program year must be submitted to ETA by November 1<sup>st</sup> in the year after the end of the program year.** Please see Attachments E and F for due dates and Attachment D for the source documentation requirements for NFJP data element validation. NFJP grantees should use NFJP Data Validation Software Version 2.0.

8. **DINAP Reporting.** Grantees administering DINAP are not required to submit a performance outcomes report. However, grantees are required to submit a Standard Participant Individual Record file for DINAP participants each quarter, which is used by ETA to calculate the performance outcomes for each grantee. The only performance outcomes for DINAP are: Entered Employment, Employment Retention and Average Earnings.
9. **Data Reporting and Validation Resources.** As previously mentioned one of the criteria for incentive eligibility is that the data used to compute the performance outcomes must be accurate and submitted on time. ETA provides the following resources to grantees in order to assist them in reporting timely and accurate data.

- 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](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 fourth quarter.

**10. 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.

**11. Action Requested.** States and grantees should: 1) distribute this guidance to appropriate staff; 2) complete report and data validation activities within the timeframes established in sections 5, 6, and 7 of this guidance; and 3) provide the appropriate regional office with updates on the reporting and validation process.

**12. 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](mailto:ETAperforms@dol.gov).

**13. Attachments.**

**Attachment A:** Source Documentation Requirements for Program Year (PY) 2013 Workforce Investment Act (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:** Trade Adjustment Assistance (TAA) Data Element Validation

**Attachment D:** Source Documentation Requirements for National Farmworker Job Program (NFJP) Data Element Validation

**Attachment E:** Program Year 2013/Fiscal Year 2014 Performance Reporting and Data Validation Timelines

**Attachment F:** Program Year 2014/Fiscal Year 2015 Performance Reporting and Data Validation Timelines