TRAINING AND EMPLOYMENT NOTICE	NO. 8-09
	DATE August 25, 2009

TO: STATE WORKFORCE AGENCIES
STATE WORKFORCE ADMINISTRATORS
NATIONAL FARMWORKER JOBS PROGRAM GRANTEES

FROM: JANE OATES
Assistant Secretary for Employment and Training

SUBJECT: Program Year 2008/Fiscal Year 2009 Performance Reporting and Data Validation Timelines

1. Purpose. To remind the workforce investment system of the performance reporting requirements and associated timelines for submitting quarterly and annual reports and data validation results for the Workforce Investment Act (WIA) title IB programs and title ID National Emergency Grants; the Wagner-Peyser Employment Service; activities authorized under chapter 41 of title 38 United States Code (Local Veterans' Employment Representative and Disabled Veterans' Outreach Program); the Trade Adjustment Assistance (TAA) program; the Indian and Native American Program (INAP); and the National Farmworker Jobs Program (NFJP).

2. References.

- Workforce Investment Act of 1998, Section 136
- Workforce Investment Act of 1998, title ID National Emergency Grants
- 20 Code of Federal Regulations 667.300
- Training and Employment Guidance Letter (TEGL) 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 3-03, Change 3, *Revision to the Data Validation Policy for Employment and Training Programs for Program Year 2004*
- 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 14-00, Change 3 *Workforce Investment Act (WIA) Annual Report Narrative*
- TEGL 24-08, *Workforce Investment Act and Wagner-Peyser Act Performance Accountability Reporting for the American Recovery and Reinvestment Act of 2009*
- Training and Employment Notice (TEN) 9-08, *Program Year 2007/Fiscal Year 2008 Performance Reporting and Data Validation Timelines*

3. Performance Reporting and Data Validation for the WIA Title IB Programs. For Program Year (PY) 2008, each state is required to make the following annual submissions for WIA to the Employment and Training Administration (ETA):

A. A validated WIA Annual Report (OMB No. 1205-0420) - Due no later than October 1, 2009.

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 Enterprise Business Support System (EBSS) on, or before, October 1, 2009.

Data element validation, using the file of exiters and participants reported on the ETA 9091, must be submitted by February 1, 2010. Please see Attachment A of this TEN for the source documentation requirements for PY 2008 WIA data element validation.

States that are approved to report only the common performance measure outcomes for WIA programs for PY 2008 (California, Colorado, District of Columbia, Florida, Idaho, Illinois, Indiana, Kansas, Kentucky, Louisiana, Maryland, Mississippi, Missouri, Montana, Nebraska, Nevada, New Mexico, New York, North Carolina, North Dakota, Ohio, Oklahoma, Oregon, Pennsylvania, South Carolina, Tennessee, Texas, Utah, Virgin Islands, West Virginia, and Wisconsin) 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 TEN, which contains the WIA Annual Report format with strikeouts to indicate the information that is *not* required as part of the state's annual report submission.

B. A WIA Annual Report Narrative - Due no later than October 1, 2009.

States should e-mail electronic copies of their narrative annual report to WIA.AR@dol.gov and their Regional Administrator. Guidance in TEGL 14-00, Change 3, *Workforce Investment Act (WIA) Annual Report Narrative* identifies specifically those required portions that states must provide as well as those portions that states are encouraged to provide.

C. The appropriate WIA Standardized Record Data files - Due no later than October 15, 2009.

When uploading their WIA Standardized Record Data (WIASRD) files to EBSS, states should zip their file using readily available file compression software. This will help ensure that the file uploads quickly and server usage at the state and ETA are minimized.

States are responsible for assuring that their WIASRD files are accurate and complete. The EBSS does not check for consistency across multiple fields (other than the funding stream), and will not check for state level outliers prior to the state submission of the final WIASRD files. For states that use ETA's Data Reporting and Validation Software (DRVS) to create their WIASRD files, these checks occur during the WIASRD file creation.

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

- WIASRD item 326 (Other Non-WIA Programs) includes new valid values to allow states to code American Recovery and Reinvestment Act of 2009 co-enrollments.
- 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 or certificate.
- 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 grant number.
- The most common WIASRD data problems are missing or incomplete information in the service items that were added in Program Year 2005 and on the occupation of the training program. The service items that were added in Program Year 2005 included the following:
  - Received disaster relief assistance
  - 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. States are should be encouraged to collect this data when providing follow-up services, as it is not available in wage record data.

In addition to these items, ETA has developed Attachment C of this TEN, 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 described in TEGL 24-08, states are required to submit supplemental reports for WIA Adults, Dislocated Workers, and Youth programs, National Emergency Grants, and Wagner-Peyser Employment Service and Reemployment Services Grants for reporting under the American Recovery and Reinvestment Act.

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 (OMB No. 1205-0240) on a quarterly basis. **States must submit their PY 2008 fourth quarter reports no later than August 31, 2009.**

The fourth quarter PY 2008 Wagner-Peyser Employment Service submission requires report validation and minimal data element validation. **Data validation (including Report and 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, 2009 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. All states are required to perform data element validation using the DRVS and to submit their summary and analytical reports through the EBSS.

Trade Adjustment Assistance (TAA). 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 (FY) 2009 is due no later than November 16, 2009. States administering TAA programs are not required to submit an annual report; states are required to submit individual participant records only for TAA. Therefore, states are not required to conduct report validation, but must conduct data element validation on the cumulative file of four quarters of the FY 2008 TAPR (created by adding the four quarterly files together). Data element validation for TAA must be submitted to ETA by February 1, 2010. Please see Attachment D of this TEN for the source documentation requirements for FY 2009 TAA data element validation.

Please note that performance reporting and data validation requirements for the Trade program will change for Fiscal Year 2010. A Federal Register notice announcing ETA's request for emergency approval by the Office of Management and Budget of the changes to the TAPR was published July 27, 2009.

5. Data Validation for the National Farmworker Jobs Program (NFJP). 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 2007 (participants with exit dates between 7/1/2007 and 6/30/2008) were due to ETA's contractor (Social Policy Research Associates) on May 15, 2009. **Data element validation for PY 2007 must be submitted to ETA by November 2, 2009.** Please see Attachment E of this TEN for the source documentation requirements for PY 2007 NFJP data element validation.

NFJP grantees should use NFJP Data Validation Software Version 2.0 with the associated update for PY 2007 data element validation.

6. Indian and Native American Program (INAP) 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.

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

Data Reporting and Validation Software (DRVS) version 7.2 was released on May 6, 2009. DRVS 7.2 allows states to calculate their WIA PY 2008 Annual Report and WIA and Wagner-Peyser 2009 Quarterly reports. DRVS 7.2 implements the Literacy/Numeracy calculation per TEGL 17-05, Change 2; designates WIASRD 313c as a "Special Projects" field and adds valid values to Other Non-WIA Programs (WIASRD 326) to allow states to code American Recovery and Reinvestment Act of 2009 co-enrollments.

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 notice to the appropriate staff; 2) complete report and data validation activities within the timeframes established in Sections 3, 4 and 5 of this Notice; 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 Performance and Technology, at ETAperforms@dol.gov.

11. Attachments.

Attachment A: Source Documentation Requirements for Program Year (PY) 2008 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 Fiscal Year (FY) 2009 TAA Data Element Validation

Attachment E: Source Documentation Requirements for Program Year (PY) 2007 NFJP Data Element Validation

ATTACHMENT A

SOURCE DOCUMENTATION REQUIREMENTS FOR PROGRAM YEAR (PY) 2008 WIA DATA ELEMENT VALIDATION

WORKFORCE INVESTMENT ACT DATA ELEMENT VALIDATION INSTRUCTIONS AND SOURCE DOCUMENTATION

Validation Instructions: These instructions present the data elements, reference numbers, formats, element definitions, federal sources, state/grantee sources, and validation rules needed to perform data element validation. The federal sources are the generic, federally recommended source documentation. The "State Sources" column can be used to enter state-specific versions of the federally approved documentation.

A. VALIDATION RULES

Two types of validation rules exist:

1. If the validation instruction says MATCH: Enter a checkmark in the box in the pass column if the data on the worksheet match the data in the source documentation. Enter a checkmark in the box in the fail column if the data on the worksheet do not match the data in the source documentation or if no source documentation is found.

   To match, the data on the worksheet must be the same as the data in the source documentation. For example, if the worksheet says a participant's date of birth is July 1, 1975, then the source documentation must also have July 1, 1975 as the birth date.

   The validator must validate data elements that have checkboxes next to them or are not grayed-out.

2. If the validation instruction says SUPPORT: Enter a checkmark in the box in the pass column if the data on the worksheet are supported by the data in the source documentation. Enter a checkmark in the box in the fail column if the data on the worksheet are not supported by the data in the source documentation or if no source documentation is found. To support the data on the worksheet, the source documentation must provide evidence that the data on the worksheet is correct.

   This instruction is used when information must be interpreted or processed before it can be used to assess the accuracy of the data on the participant's records. For example, source documentation is used to support youth who needs additional assistance because validators must interpret policy and determine if the documentation supports that policy.

B. MISSING AND INVALID RECORDS

There are four conditions used to describe higher level data problems:

1. If a record is missing from the office in which it is supposed to be, the validator should check the box at the top of the worksheet that says "Missing Record." No other elements should be validated.

2. If the validator cannot determine where a record is supposed to be located, the validator should check the box at the top of the worksheet that says "Unable to Locate." No other elements should be validated.

3. If a record for a person not registered in WIA has wrongly been included in the extract file, the validator should check the box at the top of the worksheet that says "Invalid Record." No other elements should be validated.

4. If a record has a wrong Social Security Number (SSN), the validator should check the "Wrong SSN" checkbox AND validate all data elements listed on the worksheet.

C. TYPES OF SOURCE DOCUMENTATION

For most data elements, the validation instructions provide multiple forms of acceptable source documentation. Ideally, all source documentation should tell the same story regarding the participant, services rendered, and outcomes. However, if the state collects multiple sources for the same data element and the sources conflict, the most reliable source should be used to determine if the element passes or fails. For example, for Education Status at Participation (DRVS Field# 16), copies of records from an educational institution are a more reliable source than participant self-attestation.

For the most part, the definition of a particular source is clear. States have, however, had questions about four sources—Cross-Match, State Management Information System (MIS), Self-Attestation, and Case Notes. Definitions for these four types of source documentation are:

1. Cross-Match: A cross-match requires validators to find detailed supporting evidence for the data element. An indicator or presence of an SSN in a non-WIA database is not sufficient evidence. For example, TANF participation can be determined by a cross-match with the state's public assistance database. It is not sufficient to find that the sampled SSN is present in the public assistance database; validators must also find supporting information such as dates of participation and services rendered.

2. State MIS: Unless otherwise noted, state MIS refers to specific, detailed information that is stored in the state's information system that supports an element. An indicator, such as a checkmark on a computer screen, is not acceptable source documentation in and of itself. For example, state MIS is an acceptable source documentation for date of first training service. To be an acceptable source to validate date of first training service, in addition to the date of first training, the state MIS should have information about the type of training and the organization that provided the training. This detailed information makes valid source documentation and makes it unnecessary for such states to validate this data element in local offices.

3. Self-Attestation: Self-attestation occurs when a participant states his or her status for a particular data element, such as pregnant or parenting youth, and then signs and dates a form acknowledging this status. The key elements for self-attestation are: (a) the participant identifying his or her status for permitted elements and (b) signing and dating a form attesting to this self-identification. The form and signature can be on paper or in the state management information system, with an online signature.

4. Case Notes: Case notes refer to either paper or electronic statements by the case manager that identifies, at a minimum, the following: a participant's status for a specific data element, the date on which the information was obtained, and the case manager who obtained the information.

PLEASE NOTE: For DRVS field numbers 12, 16, 21, 21, 22, and 24, the sources differ for those adults, dislocated workers, and NEGs, where applicable, who received intensive and/or training services from those who received staff-assisted services only. If a date is in field # 68 or 69, the participant received intensive and/or training services.

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
3	Date of Birth #102	Record the individual's date of birth.	YYYYMMDD	Yes	Yes	No	Yes	Yes	Match	Copy of I.D., Baptismal record, birth certificate, DD-214, Report of Transfer or Discharge paper, driver's license, Federal, state or local identification card, passport, hospital record of birth, public assistance/social service records, school records or ID cards, work permit, cross match with Department of Vital Statistics, tribal records

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
12	Veteran's Status #111	**Record 1** if the individual is a person who served in the active U.S. military, naval, or air service for a period of less than or equal to 180 days, and who was discharged or released from such service under conditions other than dishonorable. **Record 2** if the individual served on active duty for a period of more than 180 days and was discharged or released with other than a dishonorable discharge; or was discharged or released because of a service connected disability; or as a member of a reserve component under an order to active duty pursuant to section 167 (a), (d), or, (g), 673 (a) of Title 10, U.S.C., served on active duty during a period of war or in a campaign or expedition for which a campaign badge is authorized and was discharged or released from such duty with other than a dishonorable discharge.	1 = Yes, <= 180 days 2 = Yes, Eligible Veteran 3 = Yes, Other Eligible Person 4 = No	Yes	Yes	Yes	Yes	No	Support	*Adults/DW/NEG Exiters who did not receive Intensive or Training Services:* State MIS, self-attestation, case notes *Older Youth and Adults/DW/NEG Exiters who received Intensive or Training Services:* DD-214, cross match with veterans data, a letter from the Veterans' Administration

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
		Record 3 if the individual is a person who is (a) the spouse of any person who died on active duty or of a service-connected disability, (b) the spouse of any member of the Armed Forces serving on active duty who at the time of application for assistance under this part, is listed, pursuant to 38 U.S.C 101 and the regulations issued thereunder, by the Secretary concerned, in one or more of the following categories and has been so listed for more than 90 days: (i) missing in action; (ii) captured in the line of duty by a hostile force; or (iii) forcibly detained or interned in the line of duty by a foreign government or power; or (c) the spouse of any person who has a total disability permanent in nature resulting from a service-connected disability or the spouse of a veteran who died while a disability so evaluated was in existence. **Record 4** if the individual does not meet any one of the conditions described above.								

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
16	Employment Status at Participation #115	**Record 1** if the participant is a person who either (a) did any work at all as a paid employee, (b) did any work at all in his or her own business, profession, or farm, (c) worked 15 hours or more as un unpaid worker in an enterprise operated by a member of the family, or (d) is one who was not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time-off, and whether or not seeking another job. **Record 2** if the participant is a person who, although employed, either (a) has received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close, or (b) is a transitioning service member **Record 3** if the individual does not meet any one of the conditions described above.	1 = Employed 2 = Employed, but Received Notice of Termination of Employment or Military Separation 3 = Not Employed	Yes	Yes	Yes	Yes	Yes	Support	*Adults/DW/NEG Exiters who did not receive Intensive or Training Services:* State MIS, self-attestation, case notes *All Youth and Adults/DW/NEG Exiters who received Intensive or Training Services:* Pay stub, case notes showing information collected from participant

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
20	Low Income #119	**Record 1** if the individual is a person who: (A) receives, or is a member of a family which receives, cash payments under a federal, state or local income-based public assistance program, or (B) received an income, or is a member of a family that received a total family income, for the six-month period prior to program participation (exclusive of unemployment compensation, child support payments, payments described in subparagraph A and old-age and survivors insurance benefits received under section 202 of the Social Security Act (42 U.S.C 402)) that, in relation to family size does not exceed the higher of (i) the poverty line, for an equivalent period, or (ii) 70 percent of the lower living standard income level, for an equivalent period; or (C) is a member of a household that receives (or has been determined within the 6-month period prior to program participation) Food Stamps under the Food Stamp Act of 1977 (7 U.S.C. 2011 et seq.); or	1 = Yes 2 = No	Yes	No	No	Yes	Yes	Support	*Adults Exiters who did not receive Intensive or Training Services:* State MIS, self-attestation, case notes *All Youth and Adults Exiters who received Intensive or Training Services:* Alimony Agreement, applicant statement, award letter from veteran's administration, bank statements, compensation award letter, court award letter, pension statement, employer statement/contact, family or business financial records, housing authority verification, pay stubs, pension statement, public assistance records,

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
		(D) qualifies as a homeless individual, as defined in subsections (a) and (c) of section 103 of the Stewart B. McKinney Homeless Assistance Act (42 U.S.C. 11302); or (E) is a foster child on behalf of whom State or local government payments are made; or (F) is a person with a disability whose own income meets the income criteria established in WIA section 101(25)(A) or (B), but is a member of a family whose income does not meet the established criteria. **Record 2** if the individual does not meet the criteria presented above.									quarterly estimated tax for self-employed persons, Social Security benefits, UI documents

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
21	TANF (Needy Family Status) #120	**Record 1** if the individual is a person who: (A) receives, or is a member of a family which receives, cash payments under a federal, state or local income-based public assistance program, or (B) received an income, or is a member of a family that received a total family income, for the six-month period prior to program participation (exclusive of unemployment compensation, child support payments, payments described in subparagraph A and old-age and survivors insurance benefits received under section 202 of the Social Security Act (42 U.S.C 402)) that, in relation to family size does not exceed the higher of (i) the poverty line, for an equivalent period, or (ii) 70 percent of the lower living standard income level, for an equivalent period; or (C) is a member of a household that receives (or has been determined within the 6-month period prior to program participation) Food Stamps under the Food Stamp Act of 1977 (7 U.S.C. 2011 et seq.); or	1 = Yes 2 = No	Yes	Yes	No	Yes	Yes	Support	*Adults/DW Exiters who did not receive Intensive or Training Services:* State MIS, self-attestation, case notes *All Youth and Adults/DW Exiters who received Intensive or Training Services:* Cross-match with TANF public assistance records

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
		(D) qualifies as a homeless individual, as defined in subsections (a) and (c) of section 103 of the Stewart B. McKinney Homeless Assistance Act (42 U.S.C. 11302); or (E) is a foster child on behalf of whom State or local government payments are made; or (F) is a person with a disability whose own income meets the income criteria established in WIA section 101(25)(A) or (B), but is a member of a family whose income does not meet the established criteria. **Record 2** if the individual does not meet the criteria presented above.								

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
22	Other Public Assistance Recipient #121	**Record 1** if the individual is a person who is receiving or has received cash assistance or other support services from one of the following sources in the last six months prior to participation in the program: General Assistance (GA) (State/local government), Refugee Cash Assistance (RCA), Food Stamp Assistance, and Supplemental Security Income (SSI-SSA Title XVI). Do not include foster child payments. **Record 2** if the individual does not meet the above criteria.	1 = Yes 2 = No	Yes	Yes	No	Yes	Yes	Support	*Adults/DW Exiters who did not receive Intensive or Training Services:* State MIS, self-attestation, case notes *All Youth and Adults/DW Exiters who received Intensive or Training Services:* Copy of authorization to receive cash public assistance, copy of public assistance check, medical card showing cash grant status, public assistance records, refugee assistance records, cross-match with public assistance database

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
24	Displaced Homemaker #123	**Record 1** if the individual is a person who has been providing unpaid services to family members in the home and has been dependent on the income of another family member but is no longer supported by that income and is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment. **Record 2** if the individual does not meet the conditions described above.	1 = Yes 2 = No	No	Yes	Yes	No	No	Support	*DW/NEG Exiters who did not receive Intensive or Training Services:* State MIS, self-attestation, case notes *DW/NEG Exiters who received Intensive or Training Services:* Public assistance records, court records, divorce papers, bank records, spouse's layoff notice, spouse's death record, self - attestation
25	Date of Actual Qualifying Dislocation #124	Record the date of separation or dislocation from employment. This date is the last day of employment at the dislocation job. If there is no dislocation job (e.g. displaced homemaker), leave "blank."	YYYYMMDD	No	Yes	Yes	No	No	Match	Verification from employer, rapid response list, notice of layoff, public announcement with follow-up cross-match with UI, self-attestation

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
26	Homeless individual and/or runaway youth #125	**Record 1** if the individual (adult or youth) is a person who lacks a fixed, regular, adequate night time residence. This definition includes any individual who has a primary night time residence that is a publicly or privately operated shelter for temporary accommodation; an institution providing temporary residence for individuals intended to be institutionalized; or a public or private place not designated for or ordinarily used as a regular sleeping accommodation for human beings; or a person under 18 years of age who absents himself or herself from home or place of legal residence without the permission of his or her family (i.e., runaway youth). This definition does not include an individual imprisoned or detained under an Act of Congress or State law. An individual who may be sleeping in a temporary accommodation while away from home should not, as a result of that alone, be recorded as homeless. **Record 2** if the individual does not meet the conditions described above.	1 = Yes 2 = No	No	No	No	Yes	Yes	Support	Written statements from an individual providing residence, shelter or social service agency, WIA intake or registration form, self-attestation

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
27	Offender #126	**Record 1** if the individual (adult or youth) is a person who either (a) is or has been subject to any stage of the criminal justice process for committing a status offense or delinquent act, or (b) requires assistance in overcoming barriers to employment resulting from a record of arrest or conviction for committing delinquent acts, such as crimes against persons, crimes against property, status offenses, or other crimes. **Record 2** if the individual does not meet any one of the conditions described above.	1 = Yes 2 = No	No	No	No	Yes	Yes	Support	Documentation from juvenile or adult criminal justice system, documented phone call with court or probation representatives, WIA intake or registration form, self-attestation
28	Pregnant or parenting youth #127	**Record 1** if the individual is a person who is either under 22 years of age and who is pregnant, or an individual (male or female) who is providing custodial care for one or more dependents under age 18. **Record 2** if the individual does not meet the described above.	1 = Yes 2 = No	No	No	No	Yes	Yes	Support	Copy of child's birth certificate, baptismal record, observation of pregnancy status, doctor's note confirming pregnancy, self-attestation

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
29	Youth who needs additional assistance #128	**Record 1** if the individual is a person who is between the ages of 14 and 21 and requires additional assistance to complete an educational program or to secure and hold employment as defined by State or local policy. If the State Board defines a policy, the policy must be included in the State Plan. **Record 2** if the individual does not meet the conditions described above.	1 = Yes 2 = No	No	No	No	Yes	Yes	Support	See state policy and state plan, individual service strategy, case notes, WIA intake or registration form, state MIS, self-attestation

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
30	School Status at Participation #129	**Record 1** if the individual has not received a secondary school diploma or its recognized equivalent and is attending any secondary school (including elementary, intermediate, junior high school), whether full or part-time, or is between school terms and intends to return to school. **Record 2** if the individual has not received a secondary school diploma or its recognized equivalent and is attending an alternative high school or an alternative course of study approved by the local educational agency whether full or part-time. **Record 3** if the individual has received a secondary school diploma or its recognized equivalent and is attending a post-secondary school or program (whether full or part-time), or is between school terms and intends to return to school. **Record 4** if the individual is no longer attending any school and has not received a secondary school diploma or its recognized equivalent. **Record 5** if the individual is not attending any school and has either graduated from high school or holds a GED.	1 = In-school, H.S. or less 2 = In-school, Alternative School 3 = In-school, Post-H.S. 4 = Not attending school; H.S. Dropout 5 = Not attending school; H.S. graduate	No	No	No	Yes	Yes	Support	Applicable records from education institution (GED certificate, diploma, attendance record, transcripts, drop out letter, school documentation), WIA intake or registration form, State MIS, self-attestation

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
31	Basic literacy skills deficiency (as defined in 664.205) #130	**Record 1** if the participant is a person who computes or solves problems, reads, writes, or speaks English at or below the 8th grade level or is unable to compute or solve problems, read, write, or speak English at a level necessary to function on the job, in the individual's family, or in society. In addition, states and grantees have the option of establishing their own definition, which must include the above language. In cases where states or grantees establish such a definition, that definition will be used for basic literacy skills determination. **Record 2** if the individual does not meet the conditions described above.	1 = Yes 2 = No	No	No	No	Yes	Yes	Support	Standardized assessment test, school records, case notes
32	Foster Care Youth #131	**Record 1** if the individual is a person who is in foster care or has been in the foster care system. **Record 2** if the individual does not meet the condition described above.	1 = Yes 2 = No	No	No	No	No	Yes	Support	Written confirmation from social services agency, case notes
34	Date of Program Participation #302	Record the date on which the individual began receiving his/her first service funded by the program following a determination of eligibility to participate in the program.	YYYYMMDD	Yes	Yes	Yes	No	No	Match	State MIS information

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
35	Date of Exit #303	Record the date on which the last service funded by the program or a partner program is received by the participant. Once a participant has not received any services funded by the program or a partner program for 90 consecutive calendar days and has no gap in service and is not scheduled for future services, the date of exit is applied retroactively to the last day on which the individual received a service funded by the program or a partner program.	YYYYMMDD	Yes	Yes	Yes	Yes	Yes	Match	WIA status/exit forms, State MIS data, Case notes
38	Date of First Youth Service #306	Record the date on which the individual began receiving his/her first service funded by the WIA Youth program following a determination of eligibility to participate in the program.	YYYYMMDD	No	No	No	Yes	Yes	Match	WIA status/exit forms, State MIS data, case notes
45-47	National Emergency Grant Project Numbers #313a, #313b and #313c	Record the Project I.D. Number where the individual received services financially assisted under a National Emergency Grant (NEG). (For example, Utah projects may be numbered UT-02, so the WIASRD entry would be UT02) - WIA title ID, section 173. **Record 0000** or leave "blank" if the individual did not receive any services funded by a NEG.	XXXX	No	No	Yes	No	No	Match	Case file data or NEG grant award letter that identifies the project number assigned by the U.S DOL NEG Grant Officer

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
61	Other reasons for exit #327	**Record 01** if the participant is residing in an institution or facility providing 24-hour support such as a prison or hospital and is expected to remain in that institution for at least 90 days. Record 02 if the participant is receiving medical treatment that precludes entry into unsubsidized employment or continued participation in the program. Does not include temporary conditions expected to last for less than 90 days. **Record 03** if the participant was found to be deceased or no longer living. **Record 04** if the participant is providing care for a family member with a health/medical condition that precludes entry into unsubsidized employment or continued participation in the program. Does not include temporary conditions expected to last for less than 90 days. **Record 05** if the participant is a member of the National Guard or other reserve military unit and is called to active duty for at least 90 days.	01 = Institutionalized 02= Health/Medical 03 = Deceased 04 = Family Care 05 = Reserve Forces Called to Active Duty 06 = Relocated to Mandated Residential or Non-Residential Program 98 = Retirement 99 = Not a Valid SSN	Yes	Yes	Yes	Yes	Yes	Support	Information from partner services MIS systems, WIA status/exit form, case notes, Information from institution or facility

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
		Record 06 if the youth participant is in the foster care system or any other mandated residential or non-residential program and has moved from the area as part of such a program or system (exclusion for youth participants only). **Record 98** if the participant retired from employment. **Record 99** if the participant either disclosed an invalid social security number (SSN) or chose not to disclose a SSN. **Record 00 or blank** if the participant exited for a reason other than one of the conditions described above. Additional Note: Exit Reason "98 = Retirement" has been added for program management purposes only and individuals who exit the program based on this reason will not be excluded from the calculations of performance measures; they will be included.								

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
66	Date of First Staff Assisted Core Service #332	Record the date on which the individual received his/her first staff-assisted core service (Note: This excludes self-service and informational activities). Leave "blank" if the individual did not receive staff -assisted core services.	YYYYMMDD	Yes	Yes	Yes	No	No	Match	State MIS data, case notes
68	Date of First Intensive Service #334	Record the date on which the individual received his/her first intensive service. Leave "blank" if the individual did not receive intensive services.	YYYYMMDD	Yes	Yes	Yes	No	No	Match	State MIS data, case notes
69	Date Entered Training #335	Record the date on which the individual's training actually began. If multiple training services were received, record the earliest date on which the individual entered training. Leave "blank" if the individual did not receive training services.	YYYYMMDD	Yes	Yes	Yes	No	No	Match	Cross-match between dates of service and vendor training information, vendor training documentation, State MIS, case notes
70	Date Completed or Withdrew from Training #336	Record the date on which the participant completed training or withdrew from training. If multiple training services were received, record the most recent date on which the individual completed training. Leave "blank" if the individual did not receive training services.	YYYYMMDD	Yes	Yes	Yes	No	No	Match	Cross-match between dates of service and vendor training information, vendor training documentation, State MIS, case notes

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
74	Type of Training Service #1 #340	Use the appropriate code to indicate the type of training being provided to the individual. Record 0 or leave "blank" if the individual did not receive training services.	1 = On-the-Job Training 2 = Skill Upgrading & Retraining 3 = Entrepreneurial Training 4 = ABE or ESL in Combination with Training 5 = Customized Training 6 = Other Occupational Skills Training	Yes	Yes	Yes	No	No	Support	Vendor training documentation, certificates, State MIS, case notes
77	Enrolled in Education #343	**Record 1** if the individual is enrolled in secondary school, post-secondary school, an adult education program, or any other organized program of study. States may use this coding value if the youth was either already enrolled in education at the time of participation in the program or became enrolled in education at any point while participating in the program. **Record 2** if the individual was not enrolled in education.	1 = Yes 2 = No	No	No	No	Yes	Yes	Support	Applicable records from education institution certifying enrollment, case notes with verification from education institution or training provider that the individual is enrolled in education

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
78	Received Educational Achievement Services #344	**Record 1** if the participant received educational achievement services. Educational achievement services include, but are not limited to, tutoring, study skills training, and instruction leading to secondary school completion, including dropout prevention strategies; and alternative secondary school offerings. **Record 2** if the individual did not receive any of the services described above.	1 = Yes 2 = No	No	No	No	Yes	Yes	Support	Activity sheets, sign-in sheets, attendance record, vendor contract, State MIS, case notes, WIA status forms noting receipt of educational services and type of services received
79	Received Employment Services #345	**Record 1** if the participant received employment services. Employment services include paid and unpaid work experiences, including internships, and job shadowing; and occupational skills training. **Record 2** if the individual did not receive any of the services described above.	1 = Yes 2 = No	No	No	No	Yes	Yes	Support	Activity sheets, vendor contract, attendance record or roster, State MIS, case notes
80	Received Summer Employment Opportunities #346	**Record 1** if the participant received summer employment opportunities directly linked to academic and occupational learning. **Record 2** if the individual did not receive any of the services described above.	1 = Yes 2 = No	No	No	No	Yes	Yes	Support	Activity sheets, work agreement, sign-in sheets, attendance record or roster, State MIS, case notes

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
81	Received Additional Support for Youth Services #347	**Record 1** if the participant received supports for youth services that include, but are not limited to, the following: (a) adult mentoring for a duration of at least twelve (12) months, that may occur both during and after program participation or (b) comprehensive guidance and counseling, including drug and alcohol abuse counseling, as well as referrals to counseling, as appropriate to the needs of the individual youth. **Record 2** if the individual did not receive any of the services described above.	1 = Yes 2 = No	No	No	No	Yes	Yes	Support	Activity sheets, pay stub, sign-in sheets, attendance record or roster, State MIS, vendor contract, case notes

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
82	Received Leadership development opportunities #348	**Record 1** if the participant received services that include, but are not limited to, opportunities that encourage responsibility, employability, and other positive social behaviors such as (a) exposure to post-secondary educational opportunities; (b) community and service learning projects; (c) peer-centered activities, including peer mentoring and tutoring; (d) organizational and team work training, including team leadership training; (e) training in decision making, including determining priorities; and (f) citizenship training, including life skills training such as parenting, work behavior training, and budgeting of resources. **Record 2** if the individual did not receive any of the services described above.	1 = Yes 2 = No	No	No	No	Yes	Yes	Support	Activity sheets, vendor contract, attendance record or roster, State MIS, case notes

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
83	Received follow-up services #349	**Record 1** if the participant received 12 months of follow-up services. Follow-up services for youth include (a) regular contact with a youth participant's employer, including assistance in addressing work-related problems that arise; (b) assistance in securing better paying jobs, career development and further education; (c) work-related peer support groups; (d) adult mentoring; and (e) tracking the progress of youth in employment after training. **Record 2** if the individual did not receive 12 months of follow-up services. **Record 0** or leave "blank" if the youth has not exited or has exited and is continuing to receive follow-up services, but has not yet received 12 months of follow-up services. Additional Note: If a youth reenrolls in WIA within 12 months of exit, **Record 1** if follow-up services were provided throughout the period from exit to re-enrollment.	1 = Yes 2 = No	No	No	No	Yes	Yes	Support	Activity sheets, attendance record or roster, documented receipt of follow-up support services, State MIS, case notes

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
84	Employed in 1st Quarter after Exit Quarter #601	**Record 1** if the participant was employed in the first quarter after the quarter of exit. **Record 2** if the participant was not employed in the first quarter after the quarter of exit. **Record 3** if information on the participant's employment status in the first quarter after the quarter of exit is not yet available.	1 = Yes 2 = No 3 = Information not yet available	Yes	Yes	Yes	Yes	Yes	Support	UI Wage records, WRIS, supplemental data sources defined by TEGL 17-05, State MIS

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
85	Type of Employment Match 1st Quarter After Exit Quarter #602	Use the appropriate code to identify the method used in determining the individual's employment status in the first quarter following the quarter of exit. Wage records will be the primary data source for tracking employment in the first quarter after the exit quarter. If individuals are not found in the wage records, grantees may then use supplemental data sources. If the individual is found in more than once source of employment using wage records, record the data source for which the individual's earnings are greatest. **Record 0** or leave "blank" if the individual was not employed in the first quarter after the quarter of exit. Additional Note: If the participant is found employed in a wage record source (e.g., State/local government employment records) that cannot be translated into quarterly earnings amounts, states should treat these employment matches as supplemental data and use coding value 5 = Supplemental through case management, participant survey, and/or verification with the employer.	1 = UI Wage Records (In-State & WRIS) 2 = Federal Employment Records (OPM, USPS) 3 = Military Employment Records (DOD) 4 = Other Administrative Wage Records 5 = Supplemental through case management, participant survey, and/or verification with the employer 6 = Information not yet available	Yes	Yes	Yes	Yes	Yes	Support	UI Wage Records, WRIS, supplemental data sources defined by TEGL 17-05, follow up services, surveys, record sharing and/or automated record matching with other employment and administrative databases, other out of state wage record systems, case notes

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
89	Employed in 2nd Quarter After Exit Quarter #606	**Record 1** if the participant was employed in the second quarter after the quarter of exit. **Record 2** if the individual was not employed in the second quarter after the quarter of exit. **Record 3** if the individual has exited but employment information is not yet available.	1 = Yes 2 = No 3 = Information not yet available	Yes	Yes	Yes	No	No	Support	UI wage records, WRIS, supplemental data sources as defined in TEGL 17-05, State MIS, federal wage databases

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
90	Type of Employment Match 2nd Quarter After Exit #607	Use the appropriate code to identify the method used in determining the individual's employment status in the second quarter following the quarter of exit. Wage records will be the primary data source for tracking employment in the second quarter after the exit quarter. If individuals are not found in the wage records, grantees may then use supplemental data sources. If the individual is found in more than once source of employment using wage records, record the data source for which the individual's earnings are greatest. **Record 0** or leave "blank" if the individual was not employed in the second quarter after the quarter of exit. Additional Note: If the participant is found employed in a wage record source (e.g., State/local government employment records) that cannot be translated into quarterly earnings amounts, states should treat these employment matches as supplemental data and use coding value 5 = Supplemental through case management, participant survey, and/or verification with the employer.	1 = UI Wage Records (In-State & WRIS) 2 = Federal Employment Records (OPM, USPS) 3 = Military Employment Records (DOD) 4 = Other Administrative Wage Records 5 = Supplemental through case management, participant survey, and/or verification with the employer 6 = Information not yet available	Yes	Yes	Yes	No	No	Support	UI wage records, WRIS, supplemental data sources as defined in TEGL 17-05, follow-up services, surveys, record sharing and/or automated record matching with other employment and administrative databases, other out of state wage record systems, case notes

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
91	Employed in 3rd Quarter After Exit Quarter #608	**Record 1** if the participant was employed in the third quarter after exit. **Record 2** if the individual was not employed in the third quarter after exit. **Record 3** if the individual has exited but employment information is not yet available.	1 = Yes 2 = No 3 = Information not yet available	Yes	Yes	Yes	Yes	Yes	Support	UI wage records, WRIS, supplemental data sources as defined in TEGL 17-05, State MIS, federal wage databases

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
92	Type of Employment Match 3rd Quarter After Exit #609	Use the appropriate code to identify the method used in determining the individual's employment status in the third quarter following the quarter of exit. Wage records will be the primary data source for tracking employment in the third quarter after the exit quarter. If individuals are not found in the wage records, grantees may then use supplemental data sources. If the individual is found in more than once source of employment using wage records, record the data source for which the individual's earnings are greatest. **Record 0** or leave "blank" if the individual was not employed in the third quarter after the quarter of exit. Additional Note: If the participant is found employed in a wage record source (e.g., State/local government employment records) that cannot be translated into quarterly earnings amounts, states should treat these employment matches as supplemental data and use coding value 5 = Supplemental through case management, participant survey, and/or verification with the employer.	1 = UI Wage Records (In-State & WRIS) 2 = Federal Employment Records (OPM, USPS) 3 = Military Employment Records (DOD) 4 = Other Administrative Wage Records 5 = Supplemental through case management, participant survey, and/or verification with the employer 6 = Information not yet available	Yes	Yes	Yes	Yes	Yes	Support	UI wage records, WRIS, supplemental data sources as defined in TEGL 17-05, follow-up services, surveys, record sharing and/or automated record matching with other employment and administrative databases, other out of state wage record systems, case notes

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
95	Wages 3rd Quarter Prior to Participation Quarter #612	Record total earnings for the third quarter prior to the quarter of participation. Please enter 999999.99 if data are not yet available for this item, or data are too far in the past to obtain from the UI wage records or other administrative records. Otherwise, leave "blank" if this data element does not apply.	000000.00	Yes	Yes	Yes	Yes	No	Match	UI wage records, WRIS, other state wage records, federal wage databases
96	Wages 2nd Quarter Prior to Participation Quarter #613	Record total earnings for the second quarter prior to the quarter of participation. Please enter 999999.99 if data are not yet available for this item, or data are too far in the past to obtain from the UI wage records or other administrative records. Otherwise, leave "blank" if this data element does not apply.	000000.00	Yes	Yes	Yes	Yes	No	Match	UI wage records, WRIS, other state wage records, federal wage databases
98	Wages 1st Quarter After Exit Quarter #615	Record total for the first quarter after the quarter of exit. Please enter 999999.99 if data are not yet available for this item. Otherwise, leave "blank" if this data element does not apply.	000000.00	Yes	Yes	Yes	Yes	Yes	Match	UI wage records, WRIS, other state wage records, federal wage databases

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
99	Wages 2nd Quarter After Exit Quarter #616	Record total earnings for the second quarter after the quarter of exit. Please enter 999999.99 if data are not yet available for this item. Otherwise, leave "blank" if this data element does not apply.	000000.00	Yes	Yes	Yes	Yes	No	Match	UI wage records, WRIS, other state wage records, federal wage databases
100	Wages 3rd Quarter After Exit Quarter #617	Record total earnings for the third quarter after the quarter of exit. Please enter 999999.99 if data are not yet available for this item. Otherwise, leave "blank" if this data element does not apply.	000000.00	Yes	Yes	Yes	Yes	Yes	Match	UI wage records, WRIS, other state wage records, federal wage databases

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
102	Type of Recognized Credential #619	Use the appropriate code to record the type of recognized educational or occupational certificate, credential, diploma or degree attained by the individual who received training services. **Record 0** if the individual received training services, but did not attain a recognized credential. Credentials must be attained either during participation or by the end of the third quarter after the quarter of exit from services (other than follow-up services).	1 = High School Diploma/GED 2 = AA or AS Diploma/Degree 3 = BA or BS Diploma/Degree 4 = Occupational Skills Licensure 5 = Occupational Skills Certificate or Credential 6 = Other Recognized Educational or Occupational Skills Certificate/Credential	Yes	Yes	No	Yes	No	Support	Transcripts, certificates, diploma, surveys, case notes

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
103-150	*Goals Type *Date Goal Was Set *Attainment of Goal *Date Goal Was Attained #620-667	*Use the appropriate code to record the type of skill attainment goal. Setting one basic skills goal is required if the youth is basic literacy skills deficient. * Record the date on which the goal was set for the youth, except that the date of the first goal set must be recorded as the registration date. * **Record 1** if the goal was attained. Attainment of a goal is to be based on an individual's assessment using widely accepted and recognized measurement/assessment techniques. **Record 2** if the goal was set, but not attained. A goal is not attained when the anniversary date has passed without attainment of the goal. The anniversary date of a goal is the date one year after the date the goal was set. **Record 3** if the goal was set, but attainment is pending. This code should not be used after exit. When the youth exits, this field should be marked with a "1" or "2" for all goals that have been set.	1 = Basic Skills 2 = Occupational Skills 3 = Work Readiness Skills *YYYYMMDD 1 = Attained 2 = Set, but not attained 3 = Set, but attainment is pending	No	No	No	No	Yes	Support for Goal Type and Attainment of Goal Match for Dates	Test Records, Transcripts, School/Employer Notification or documentation, State MIS, Case notes

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
		* Record date on which the goal was attained. This date should be on or before the one-year anniversary of the date the goal was set. However, it may be later if the participant had a gap in service during which services were not received but the participant planned to return to the program.	*YYYYMMDD							

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
151	Attained Diploma, GED, or Certificate #668	**Record 1** if the individual attained a secondary school (high school) diploma recognized by the State. **Record 2** if the individual attained a GED or high school equivalency diploma recognized by the State. **Record 3** if the individual attained a certificate in recognition of an individual's attainment of technical or occupational skills or other post-secondary degree/diploma.. **Record 4** if the individual did not attain a diploma, GED, or certificate. **SPECIAL NOTE**: Fields #668 and #669 will be used to calculate both the current WIA Younger Youth Diploma Rate and the common measure Attainment of a Degree or Certificate for all youth (14-21). To achieve positive outcomes on both measures, the state should make sure that coding values 1 or 2 are reported when the youth receives a diploma or equivalent either during participation in the program or by the end of the first quarter after the quarter of exit. If the youth receives another degree or certificate beyond the first quarter after the quarter of exit, the state should not update the record.	1 = Individual attained a secondary school (high school) diploma. 2 = Individual attained a GED or high school equivalency diploma. 3 = Individual attained a certificate or other post-secondary degree/diploma. 4 = Individual did not attain a diploma, GED, or certificate	No	No	No	Yes	Yes	Support	Transcripts, certificates, diploma, letter or other documentation from school system

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
		If the youth did not receive a high school diploma or GED by the end of the first quarter after exit, but did receive one or more certificates while either participating in the program or by the end of the third quarter after exit, the state should record the most recent certificate attained.								
152	Date Attained Degree or Certificate #669	Record the date on which the individual attained a diploma, GED, or certificate. Ideally, the date should be the date listed on the diploma, GED, or certificate. Leave "blank" if the individual did not attain a diploma, GED, or certificate. Additional Note: For recording multiple degrees or certificates, please see the special note under WIASRD Element #668.	YYYYMMDD	No	No	No	Yes	Yes	Match	Transcripts, certificates, diploma, letter or documentation from school system

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
153	School Status at Exit #670	**Record 1** if the individual has not received a secondary school diploma or its recognized equivalent and is attending any primary or secondary school (including elementary, intermediate, junior high school), whether full or part-time, or is between school terms and intends to return to school. **Record 2** if the individual has not received a secondary school diploma or its recognized equivalent and is attending an alternative high school or an alternative course of study approved by the local educational agency whether full or part-time. **Record 3** if the individual has received a secondary school diploma or its recognized equivalent and is attending a post-secondary school or program (whether full or part-time), or is between school terms and intends to return to school. **Record 4** if the individual is no longer attending any school and has not received a secondary school diploma or its recognized equivalent. **Record 5** if the individual is not attending any school and has either graduated from high school or holds a GED.	1 = In-school, H.S. or less 2 = In-school, Alternative School 3 = In-school, Post-H.S. 4 = Not attending school; H.S. Dropout 5 = Not attending school; H.S. Graduate	No	No	No	Yes	Yes	Support	Transcripts, certificates, diploma, letter or documentation from school system, case notes

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
154	Youth Placement Information #671	Use the appropriate code to record the primary activity the youth entered in the first quarter following the exit quarter (youth may qualify for more than one activity). For example, if the youth enters advanced training and has entered a qualified apprenticeship, please record 4. **Record 0** if the youth did not enter any one of the activities listed in the coding value.	1 = Entered post-secondary education 2 = Entered advanced training 3 = Entered military service 4 = Entered a qualified apprenticeship	No	No	No	Yes	Yes	Support	Cross-match with other agencies, apprenticeship verification, documentation of military service, advanced training, post secondary education, transcripts, registration forms, community college info, employer contacts, U.I. wage records, WRIS, Case notes

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
155	Youth Retention Information #672	Use the appropriate code to record the primary activity the youth entered in the third quarter following the exit quarter (youth may qualify for more than one activity). For example, if the youth enters advanced training and has entered a qualified apprenticeship, please record 4. **Record 0** if the youth did not enter any one of the activities listing in the coding value.	1 = In post-secondary education 2 = In advanced training 3 = In military service 4 = In a qualified apprenticeship	No	No	No	Yes	Yes	Support	Cross match with other agencies, apprenticeship verification, documentation of military service, advanced training, post secondary education, transcripts, registration forms, community college info, employer contacts, U.I. wage records, WRIS, Case notes

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
156-198	*Category of Assessment *Type of Assessment Test *Functional Area *Date Administered Test *Educational Functioning Level #701-743	***Record 1*** if the participant was assessed using approved tests for Adult Basic Education (ABE) **Record 2** if the participant was assessed using approved tests for English-As-A-Second Language (ESL) **Record 0** or leave "blank" if the individual was not assessed in literacy or numeracy. *Use the appropriate code to record the type of assessment test that was administered to the youth participant.	* 1 = ABE 2 = ESL *1 = TABE 7-8, 9-10 2 = CASAS 3 = ABLE 4 = WorkKeys 5 = SPL 6 = BEST 7 = BEST Plus 8 = Other Approved Assessment Tool * 1 = Reading 2 = Writing 3 = Language 4 = Mathematics 5 = Speaking 6 = Oral 7 = Other Literacy Functional Area 8 = Other Numeracy Functional Area	No	No	No	Yes	Yes	Support for non-date fields. Match for date fields	Test records, case notes documenting the necessary details for each element of testing. States should refer to TEGL 17-05 Change 1, Attachment C for the list of approved Educational tests for the Literacy/Numeracy measure. Front line staff must keep a copy of the test scoring sheet that shows the date of the test, total score and grade levels in the case file. Case notes should also detail the participant's progress.

Data Elements and Source Documentation Requirements

DRVS Field Number	Data Element	Data Element Definition	Code Value	Adult	DW	NEG	OY	YY	Match/ Support	Source Documentation Requirements
		* Record the date on which the pre-assessment test was administered to the youth participant. Leave "blank" if the individual was not assessed in literacy or numeracy. * Record the educational functioning level that is associated with the youth participant's raw scale score. Record 0 or leave "blank" if the individual was not assessed in literacy or numeracy.	*YYYYMMDD * 1 = Beginning ABE/ESL Literacy 2 = Beginning ABE/ESL Basic Education 3 = Low Intermediate ABE/ESL Education 4 = High Intermediate ABE/ESL Education 5 = Low Adult Secondary Education/Advanced ESL 6 = High Adult Secondary Education/Advanced ESL							

ATTACHMENT B

WORKFORCE INVESTMENT ACT (WIA) ANNUAL REPORT REQUIREMENTS FOR STATES APPROVED TO REPORT AGAINST THE COMMON PERFORMANCE MEASURES ONLY

Attachment B

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

OMB No. 1205-0420
Expires: 2/28/2009

State Name _____ **Date Submitted** _____

WIA Title IB
Annual Report Form (ETA 9091)

I. Narrative Section

A. A discussion of the cost of workforce investment activities relative to the effect of the activities on the performance of participants.

B. A description of State evaluations of workforce investment activities, including:

1. The questions the evaluation will/did address;
2. A description of the evaluation's methology; and
3. Information about the timing of feedback and deliverables.

II. Table Section

Table A - Workforce Investment Act Customer Satisfaction Results

Customer Satisfaction	Negotiated Performance Level	Actual Performance Level - American Customer Satisfaction Index	Number of Surveys Completed	Number of Customers Eligible for the Survey	Number of Customers Included in the Sample	Response Rate
Participants						
Employers						

Table B- Adult Program Results

Reported Information	Negotiated Performance Level	Actual Performance Level	
Entered Employment Rate			Numerator / Denominator
Employment Retention Rate			Numerator / Denominator
Average Earnings			Numerator / Denominator
Employment and Credential Rate			Numerator / Denominator

Table C - Outcomes for Adult Special Populations

Reported Information	Public Assistance Recipients Receiving Intensive or Training Services		Veterans		Individuals With Disabilities		Older Individuals	
Entered Employment Rate		Num		Num		Num		Num
		Den		Den		Den		Den
Employment Retention Rate		Num		Num		Num		Num
		Den		Den		Den		Den
Average Earnings		Num		Num		Num		Num
		Den		Den		Den		Den
Employment and Credential Rate		Num		Num		Num		Num
		Den		Den		Den		Den

Table D - Other Outcome Information for the Adult Program

Reported Information	Individuals Who Received Training Services		Individuals Who Only Received Core and Intensive Services	
Entered Employment Rate		Num		Num
		Den		Den
Employment Retention Rate		Num		Num
		Den		Den
Average Earnings		Num		Num
		Den		Den

Table E - Dislocated Worker Program Results

Reported Information	Negotiated Performance Level	Actual Performance Level	
Entered Employment Rate			Numerator
			Denominator
Employment Retention Rate			Numerator
			Denominator
Average Earnings			Numerator
			Denominator
Employment and Credential Rate			Numerator
			Denominator

Table F - Outcomes for Dislocated Worker Special Populations

Reported Information	Veterans		Individuals With Disabilities		Older Individuals		Displaced Homemakers	
Entered Employment Rate		Num Den		Num Den		Num Den		Num Den
Employment Retention Rate		Num Den		Num Den		Num Den		Num Den
Average Earnings		Num Den		Num Den		Num Den		Num Den
Employment and Credential Rate		Num Den		Num Den		Num Den		Num Den

Table G - Other Outcome Information for the Dislocated Worker Program

Reported Information	Individuals Who Received Training Services		Individuals Who Only Received Core and Intensive Services	
Entered Employment Rate		Num Den		Num Den
Employment Retention Rate		Num Den		Num Den
Average Earnings		Num Den		Num Den

Table H.1 - Youth (14 - 21) Program Results

Reported Information	Negotiated Performance Level	Actual Performance Level	
Placement in Employment or Education			Numerator Denominator
Attainment of Degree or Certificate			Numerator Denominator
Literacy and Numeracy Gains			Numerator Denominator

Table H.2 - Older Youth (19 - 21) Results

Reported Information	Negotiated Performance Level	Actual Performance Level	
Entered Employment Rate			Numerator / Denominator
Employment Retention Rate			Numerator / Denominator
Six Months Earnings Increase			Numerator / Denominator
Credential Rate			Numerator / Denominator

Table I - Outcomes for Older Youth Special Populations

Reported Information	Public Assistance Recipients		Veterans		Individuals With Disabilities		Out-of-School Youth	
Entered Employment Rate		Num / Den		Num / Den		Num / Den		Num / Den
Employment Retention Rate		Num / Den		Num / Den		Num / Den		Num / Den
Six Months Earnings Increase		Num / Den		Num / Den		Num / Den		Num / Den
Credential Rate		Num / Den		Num / Den		Num / Den		Num / Den

Table J - Younger Youth (14 - 18) Results

Reported Information	Negotiated Performance Level	Actual Performance Level	
Skill Attainment Rate			Numerator / Denominator
Youth Diploma or Equivalent Rate			Numerator / Denominator
Retention Rate			Numerator / Denominator

Table K - Outcomes for Younger Youth Special Populations

Reported Information	Public Assistance Recipients		Individuals With Disabilities		Out-of-School Youth	
Skill Attainment Rate		Num / Den		Num / Den		Num / Den
Youth Diploma or Equivalent Rate		Num / Den		Num / Den		Num / Den
Retention Rate		Num / Den		Num / Den		Num / Den

Table L - Other Reported Information

Reported Information	12 Month Employment Retention Rate		12 Months Earnings Increase (Adults and Older Youth) or 12 Months Earnings Replacement (Dislocated Workers)		Placements in Non-traditional Employment		Wages At Entry Into Employment For Those Individuals Who Entered Unsubsidized Employment		Entry Into Unsubsidized Employment Related to the Training Received of Those Who Completed Training Services	
Adults		Num Den		Num Den		Num Den		Num Den		Num Den
Dislocated Workers		Num Den		Num Den		Num Den		Num Den		Num Den
Older Youth		Num Den		Num Den		Num Den		Num Den		

Table M - Participation Levels

Reported Information	Total Participants Served	Total Exiters
Total Adult Customers		
Total Adults (self-service only)		
WIA Adults		
WIA Dislocated Workers		
Total Youth (14 - 21)		
Younger Youth (14 - 18)		
Older Youth (19 - 21)		
Out-of-School Youth		
In-School Youth		

Table N - Cost of Program Activities

Program Activity		Total Federal Spending
Local Adults		
Local Dislocated Workers		
Local Youth		
Rapid Response (up to 25%) WIA Section 134(a)(2)(B)		
Statewide Required Activities (Up to 15%) WIA Section 134(a)(2)(B)		
Statewide Allowable Activities WIA Section 134(a)(3)	**Program Activity Description**	
Total of All Federal Spending Listed Above		

Table O- Local Performance (Include this chart for each local area in the state)

Local Area Name _____	**Total Participants Served**	**Adults**
		Dislocated Workers
		Older Youth (19 - 21) ***Report Total Youth***
		Younger Youth (14 - 18)
ETA Assigned # _____	**Total Exiters**	**Adults**
		Dislocated Workers
		Older Youth (19 - 21) ***Report Total Youth***
		Younger Youth (14 - 18)

Reported Information		Negotiated Performance	Actual
Customer Satisfaction	**Program Participants**		
	Employers		
Entered Employment Rates	**Adults**		
	Dislocated Workers		
	Older Youth		
Retention Rates	**Adults**		
	Dislocated Workers		
	Older Youth		
	Younger Youth		
Average Earnings *(Adults/DWs)* **Six Months Earnings Increase** *(Older Youth)*	**Adults**		
	Dislocated Workers		
	Older Youth		
Credential/Diploma Rates	**Adults**		
	Dislocated Workers		
	Older Youth		
	Younger Youth		
Skill Attainment Rate	**Younger Youth**		
Placement in Employment or Education	**Youth (14 - 21)**		
Attainment of Degree or Certificate	**Youth (14 - 21)**		
Literacy and Numeracy Gains	**Youth (14 - 21)**		

Description of Other State Indicators of Performance (WIA Section 136(d)(1) - Insert additional rows if there are more than two other state indicators of performance).		

	Not Met	Met	Exceeded
Overall Status of Local Performance			

ATTACHMENT C

COMMON WORKFORCE INVESTMENT ACT STANDARDIZED RECORD DATA (WIASRD) REPORTING ERRORS

This attachment includes typical WIA Standardized Record Data (WIASRD) submission errors that ETA has identified. Please ensure accurate and complete data submission.

- Not reporting disability status (Item 104) for many individuals: should be 1 or 2, not 0 or blank for almost everyone.
- Not reporting Hispanic (Item 105) for many individuals.
- Not reporting Recently Separated Veteran (Item 114) for many veterans.
- Incorrect reporting of high school graduates in Highest Grade Completed (Item 119). High school graduates should be reported using code '87'. Code '12' should be used only for those who completed the 12th grade but did not graduate.
- Not including Food Stamps recipients in Other Public Assistance Recipient (Item 121). The definition of this field was changed for PY 2005 to include Food Stamp recipients.
- Not reporting the Date of Actual Qualifying Dislocation (Item 125) for many dislocated workers.
- Not reporting adult characteristics for all or many individuals.
    - Homeless (Item 125).
    - Offender (Item 126).
- Incorrect reporting of Employment and Training Programs Related to Food Stamps (Item 328). This field is not used for reporting receipt of Food Stamps (which is included in Item 121). Item 328 is to be used only for those who received employment and training services funded by the Food Stamps program.
- Not reporting new service fields:
    - Core self-service and informational activities (Item 331).
    - Date of first staff-assisted core service (Item 332).
    - Workforce information services (Item 333).
    - Date completed, or withdrew from, training (Item 336).
    - Prevocational activities (Item 339).
- Not reporting the Occupational Skills Training Code (Item 342) for many recipients of occupational training. In addition, some states report using codes other than O*Net codes. O*Net codes were required in this field beginning with PY 2005.
- Incorrect reporting of enrolled in education (Item 343).

- Should generally be 'yes' if a youth was in school at either participation (Item 129) or exit (Item 670).

- Not distinguishing between "No" and "Don't know" in training-related employment (Item 604).
  - "No" = 2; "Don't know" = 0 or blank.
- Using code 999999.99 for zero wages in wages before registration (Items 612 to 614).
  - Code 999999.99 should only be used if the wage records for the quarter cannot be accessed because the quarter is too far back in time.
  - If the wage records for the quarter are searched but no record is found for an individual, then zero earnings should be reported.
- Not reporting wages in the quarter before registration (Item 614).
- Not reporting wages before registration (Items 612 to 614) for persons who exit after the exit cohort for average earnings or earnings change.
- Not reporting education status at exit (Item 670) for youth.
- Incorrect reporting of youth activities. Almost all youth should have at least one youth activity reported. Several states report a large number of youth without any youth activities. One state does not report any youth activities at all.
- Incorrect reporting of NEG participants.
  - Not providing records for all NEG participants. All participants enrolled in a NEG project must be reported in the WIASRD, regardless of whether or not they were coenrolled in Title 1b programs.
  - Incorrect reporting of the NEG Project ID (Items 313a to 313c). A NEG project ID must be entered for each NEG participant. This number is found in the NEG Grant Award package. If the Participant is enrolled in more than one NEG, all applicable NEG Project IDs should be entered in the participant's record. The NEG project ID is the state postal code followed by a two-digit number. For example, a valid code for a project in Utah would be UT02.

ATTACHMENT D

SOURCE DOCUMENTATION REQUIREMENTS FOR FISCAL YEAR (FY) 2009 TAA DATA ELEMENT VALIDATION

Trade Adjustment Assistance Data Element Validation Instructions

Validation Instruction: *These instructions present the data elements, reference numbers, formats, element definitions, federal sources, state/grantee sources, and validation rules needed to perform data element validation. The federal sources are the generic, federally recommended source documentation. The "State/Grantee Sources" column can be used to enter state-specific versions of the federally approved documentation.*

VALIDATION RULES

Two types of validation rules exist:

1. If the validation instruction says MATCH: Enter a checkmark in the box in the pass column if the data on the worksheet match the data in the source documentation. Enter a checkmark in the box in the fail column if the data on the worksheet do not match the data in the source documentation or if no source documentation is found.

To match, the data on the worksheet must be the same as the data in the source documentation. For example, if the worksheet says a participant's date of exit is July 1, 2002, then the source documentation must also have July 1, 2002 as the exit date.

The validator must validate all data elements that have checkboxes next to them.

2. If the validation instruction says SUPPORT: Enter a checkmark in the box in the pass column if the data on the worksheet are supported by the data in the source documentation. Enter a checkmark in the box in the fail column if the data on the worksheet are not supported by the data in the source documentation or if no source documentation is found.

To support, the data on the source documentation must provide evidence that the data on the worksheet are correct. This instruction is used when information must be interpreted or processed before it can be used to assess the accuracy of the data on the participant records. For example, source documentation can support waiver from training requirement.

MISSING AND INVALID RECORDS

There are 4 conditions used to describe higher level data problems:

1. If a record is missing from the office in which it is supposed to be, the validator should check the box at the top of the worksheet that says "Missing Record." No other elements should be validated.
2. If the validator cannot determine where a record is supposed to be located, the validator should check the box at the top of the worksheet that says "Unable to Locate." No other elements should be validated.
3. If a record for a person not registered in TAA has wrongly been included in the extract file, the validator should check the box at the top of the worksheet that says "Invalid Record." No other elements should be validated.
4. If a record has a wrong Social Security Number (SSN), the validator should check the "Wrong SSN" checkbox AND validate all data elements listed on the worksheet.

TYPES OF SOURCE DOCUMENTATION

For most data elements, the validation instructions provide multiple forms of acceptable source documentation. If the state collects multiple sources for the same data element and the sources conflict, the most reliable source should be used to determine if the element passes or fails. For example, for Employed in first full quarter after exit (Ref# 11) UI wage records are more reliable than supplemental data sources. Validators should use their best judgment when deciding the most reliable source to validate an element.

For the most part, definition of a particular source is clear. States have, however, had questions about three sources -- Cross-Match, State Management Information System (MIS), and Case Notes. Definitions for these elements are:

1. Cross-Match: A cross-match requires validators to find detailed supporting evidence for the data element. An indicator or presence of an SSN in a non-TAA database is not sufficient evidence. For example, veteran status can be determined by a cross-match with the veteran's database. It is not sufficient to find that the sampled SSN is present in this database; validators must also find dates of service, separation, and discharge information.

2. State MIS: Unless otherwise noted, state MIS refers to specific, detailed information that is stored in the state information system that supports an element. An indicator, such as a checkmark on a computer screen, alone is not acceptable source documentation. For example, state MIS is acceptable source documentation for date entered training. To be an acceptable source to validate this date, in addition to the date of first training, the state MIS should have detailed information about the type of training and the organization that provided the training. This detailed information makes valid source documentation and makes it unnecessary for such states to validate this data element in local offices.

3. Case Notes: Case notes refer to either paper or online statements by the case manager that identify a participant's status for a specific data element, the date on which the information was obtained, and the case manager who obtained the information.

Data Element	*Number*	*Ref #*	*Format*	*Definition*	*Federal Sources*	*State/Grantee*	*Instructions*
Veteran status	12	1	Numeric: 1 = Yes, <= 180 days 2 = Yes, eligible veteran 3 = Yes, other eligible person 4 = No	Record the code that indicates whether the individual served in the active U.S. military, naval, or air service for a period less than or equal to 180 days, and who was discharged or released from such service under conditions other than dishonorable, or whether the individual met the conditions above for more than 180 days.	DD-214 Cross-match with Veterans Data Cross-match with Wagner-Peyser State MIS		Support
Most recent qualifying separation	18	2	Date: YYYYMMDD	Record the most recent date of separation from trade-impacted employment that qualifies the individual to receive benefits and/or services under the Trade Act. Use the YYYYMMDD format.	Layoff lists or rapid response list Determination of eligibility form Notice of termination Letter from employer		Match

Data Element	Number	Ref #	Format	Definition	Federal Sources	State/Grantee	Instructions
Date of application	20	3	Date: YYYYMMDD	Record the date, using YYYYMMDD format, on which the individual first applied for Trade Act services/benefits under the applicable certification.	Application in case file State MIS WIA registration form Designation of Eligibility form		Match
Petition number	21	4	Numeric:	Record the petition number of the certification which applies to the individual's worker group. If there is more than one petition number (for example, certifications under both the TAA and NAFTA-TAA programs), record the petition number of the program from which the training is paid, unless a waiver was issued. Do NOT include any alphabetic suffix; record the petition number only.	Worker group certification in case file State MIS UI Records DOLETA Website Determination of Eligibility form		Match
Date entered training	24	5	Date: YYYYMMDD	Record the date (using YYYYMMDD format) when the participant's approved training began. NOTE: Trade Act-approved training which begins under the WIA dislocated worker program may have a date entered training that is earlier than the participant's application date.	Vendor training documentation in case file case notes WIA status forms State MIS attendance lists UI records		Match
Date completed, or withdrew from, training	25	6	Date: YYYYMMDD	Record the date (using YYYYMMDD format) when the participant completed training or withdrew permanently from training.	Vendor training documentation in case file WIA Status Form Training plan		Match
Training completed	26	7	Numeric: 1= Yes, completed approved training course 2= No, did not complete (withdrew)	Record the appropriate code:	Vendor training documentation in case file WIA Status Form State MIS Case Notes about communications with program Applicant Statement UI Records		Support
Basic Trade Readjustment Allowance (TRA)	34	8	Numeric: 1 = Yes 2 = No	Record whether the participant received Basic Trade Readjustment Allowances (TRA).	State UI records of TRA checks issued Request for allowance State MIS		Support

Data Element	Number	Ref #	Format	Definition	Federal Sources	State/Grantee	Instructions
Waiver from training requirement	37	9	Numeric: 1= Recall 2 = Marketable 3 = Retirement 4 = Health 5 = Enrollment unavailable 6 = Training Not Available 7 = Reason Unknown/ Served Prior to 2002	Record the code that indicates the reason the participant received a waiver from the training requirement. issued	Case file documentation that includes initial approval and renewals at 30 day intervals State UI records of TRA checks Form from employment counselor		Support
Date of exit	42	10	Date: YYYYMMDD	Record the last date on which the participant received TAA or partner funded services after 90 days without a service. See TEGL 17-05 for more information	Documentation in case file State MIS WIA exit form		Match
Employed in first full quarter after exit	44	11	Numeric: 1=Yes 2= No	Record whether the participant was employed in the first full quarter after exit.	UI Wage Records WRIS State MIS Supplemental Data Sources as defined in TEGL 7-99		Support; Validate blank
Employed in third full quarter after exit	49	12	Numeric: 1 = Yes 2 = No	Record whether the participant was employed in the third full quarter after exit.	UI Wage Records WRIS Supplemental Data Sources as defined in TEGL 7-99 State MIS		Support; Validate blank
Three quarters prior to participation quarter	52	13	Numeric: 00000.00	Earnings in the third full quarter prior to the quarter of participation.	UI Wage Records WRIS Federal Wages Database Other state wage records		Match; Validate blank fields
Two quarters prior to participation quarter	53	14	Numeric: 00000.00	Earnings in the second full quarter prior to the quarter of participation.	UI Wage Records WRIS Federal Wages Database Other state wage records		Match; Validate blank fields

Data Element	Number	Ref #	Format	Definition	Federal Sources	State/Grantee	Instructions
Wages first quarter after exit quarter	52	15	Numeric: 00000.00	Earnings in the first full quarter after the participant has exited.	UI Wage Records WRIS Other state wage records Federal Wage Databases		Match; Validate blank fields
Wages second quarter after exit quarter	55	16	Numeric: 00000.00	Earnings in the second full quarter after the participant has exited.	UI Wage Records WRIS Other state wage records Federal Wage Databases		Match; Validate blank fields
Wages third quarter after exit quarter	56	17	Numeric: 00000.00	Earnings in the third full quarter after the participant has exited.	UI Wage Records WRIS Other state wage records Federal Wage Databases		Match; Validate blank fields

ATTACHMENT E

SOURCE DOCUMENTATION REQUIREMENTS FOR PROGRAM YEAR (PY) 2007 NFJP DATA ELEMENT VALIDATION

This appendix presents the data elements to be validated with their associated WIASPR number, element definitions, valid values, federal validation sources, state/grantee sources, and validation instructions needed to perform data element validation. The federal sources are the generic, federally recommended source documentation. The "State/Grantee Sources" column can be used to enter grantee-specific versions of the federally approved documentation.

Two types of validation rules exist:

1. If the validation instruction cell says MATCH: Enter a checkmark in the box in the pass column if the data on the validation worksheet match the data in the source documentation. Enter a checkmark in the box in the fail column if the data on the worksheet do not match the data in the source documentation or if no source documentation is found. To match, the data on the worksheet must be the same as the data in the source documentation. For example, if the worksheet says a participant's date of birth is July 1, 1975, then the source documentation must also have July 1, 1975 as the birth date.

2. If the validation instruction says SUPPORT: Enter a checkmark in the box in the pass column if the data on the validation worksheet are supported by the data in the source documentation. Enter a checkmark in the box in the fail column if the data on the worksheet are not supported by the data in the source documentation or if no source documentation is found. To support, the data on the worksheet must be similar to the data in the source documentation. This instruction is used when information must be interpreted or processed before it can be applied to the participant's records. For example, source documentation can support farmworker status in different ways, by a code or narrative or other information.

For the most part, the definition of a particular source is clear. Grantees may, however, have questions about three sources—Grantee Management Information System (MIS), Self-Attestation, and Case Notes. Definitions for these three types of source documentation are:

1. MIS: Unless otherwise noted, MIS refers to specific, detailed information which supports an element that is stored in the grantee's information system. An indicator alone, such as a checkmark on a computer screen, is not acceptable source documentation. For example, a grantee's MIS is acceptable source documentation for date of exit if it identifies the last service received in addition to the date on which that service was received.

2. Self-Attestation: Self-attestation occurs when a participant states his or her status for a particular data element and then signs and dates a form acknowledging this status. The key elements for self-attestation are: (a) the participant identifying his or her status for permitted elements and (b) the signing and dating of a form attesting to this self-identification. The form and signature can be on paper or in the state management information system, with an online signature.

3. Case Notes: Case notes refer to either paper or electronic statements by the case manager that identifies, at a minimum, the following: a participant's status for a specific data element, the date on which the information was obtained, and the case manager who obtained the information.

WIASPR Item Name and Number	Data Element Definition	Valid Values	Federal Sources	State/Grantee Sources	Instructions
4. Date of Participation	Record the date on which the individual begins receiving his/her first service funded by the program following a determination of eligibility to participate in the program.	YYYYMMDD	Grantee Administrative Records		Match
5. Date of Birth	Record the individual's date of birth.	YYYYMMDD	Family bible; birth certificate; passport; driver's license; baptismal record; I-9 form		Match
9. Qualifies for Sec. 167 Program as a:	Record appropriate status of the participant. SPECIAL NOTE: If a participant qualifies as eligible under both categories, use Code 1 – Farmworker.	1 = Farmworker 2 = Dependent or Spouse of a Farmworker	Pay stubs; W-2 forms; IRS 1040 forms; case manager/counselor intake notes; self attestation		Support
11. Farmworker Status	Use the appropriate code to record the status of the participant at the time of eligibility determination. SPECIAL NOTE: Where participant is a dependent of a farmworker, record the status of the eligible farmworker.	1 = Migrant Farmworker 2 = Seasonal Farmworker	Pay stubs; W-2 forms; IRS 1040 forms; case manager/counselor intake notes; self attestation		Support
13b. Number of Individuals in the Family	Record the total number of individuals in the family, including the participant.	00	Birth certificate; family bible; IRS 1040 forms		Match

WIASPR Item Name and Number	Data Element Definition	Valid Values	Federal Sources	State/Grantee Sources	Instructions
16. Employment Status at Participation	Record 1 if the participant is a person who either (a) did any work at all as a paid employee, (b) did any work at all in his or her own business, profession, or farm, (c) worked 15 hours or more as an unpaid worker in an enterprise operated by a member of the family, or (d) is one who was not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time off, and whether or not seeking another job. Record 2 if the participant is a person who, although employed, either (a) has received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close, or (b) is currently on active military duty and has been provided with a date of separation from military service. Record 3 if the participant does not meet any one of the conditions described above.	1 = Employed 2 = Employed, but Received Notice of Termination of Employment or Military Separation 3 = Not Employed	Pay stub, case notes showing information collected from participant		Support

WIASPR Item Name and Number	Data Element Definition	Valid Values	Federal Sources	State/Grantee Sources	Instructions
17. Six Month Pre-Program Earnings	Record the total pre-program earnings of the participant for the 6-month period prior to the date of application in the program. Earnings include salaries or wages, and also include any bonuses, tips, gratuities, and commissions or overtime pay earned. Record 00000 if there were no earnings during this period.	00000	Pay stubs; W-2 forms; employer payroll records; IRS 1040 forms; administrative/UI wage records; self attestation; detailed case management notes		Match
21e. Long-term Agricultural Employment	Record 1 if the participant is a person who has engaged in agricultural work as the primary source of income for a minimum of four (4) years prior to intake/eligibility determination. Record 2 if the participant does not meet the conditions described above.	1 = Yes 2 = No	IRS 1040 forms; pay stub; intake application; case manager/counselor progress notes; self-attestation		Support
24. Date of First Intensive Service	Record the date on which the participant first received intensive services. Intensive services include specialized assessments of skill levels, work experience, diagnostic testing, adult basic education or English as a Second Language (ESL) training, development of an individual employment plan, group or individual counseling, case management for participants seeking training services, short-term prevocational services, and remedial reading, writing, or communication skills training. Otherwise, leave "blank" if the participant did not receive intensive services.	YYYYMMDD	Case manager/counselor progress notes with signature; IEP assessment and diagnostic testing		Match

WIASPR Item Name and Number	Data Element Definition	Valid Values	Federal Sources	State/Grantee Sources	Instructions
25. Date of First Training Service	Record the date on which the participant first received training services. Training services include, but are not limited to, occupational skills training; OJT; skill upgrading; entrepreneurial training; and job readiness training. Otherwise, leave "blank" if the participant did not receive training services.	YYYYMMDD	Case manager/counselor certification signature; employer signed document; attendance records from institution or instructor		Match
33. Date of Exit	Record the date on which the last service funded by the program or a partner program is received by the participant. Once a participant has not received any services funded by the program or a partner program for 90 consecutive calendar days and has no gap in service and is not scheduled for future services, the date of exit is applied retroactively to the last day on which the individual received a service funded by the program or a partner program.	YYYYMMDD	Case manager/counselor termination notice; case manager/counselor progress tracking report; grantee MIS		Match

WIASPR Item Name and Number	Data Element Definition	Valid Values	Federal Sources	State/Grantee Sources	Instructions
34. Category of Exit	Record 1 if the participant received and/or completed any job-related core (beyond core informational or self-services, and eligibility determination), intensive, or training services. Record 2 if the participant received non-job related services, without having received job-related core, intensive, or training services. Record 3 if the participant did not complete the program and exited for other reasons, as specified in Item 35 below. SPECIAL NOTE: Individuals who receive training-related services AND intensive, or training services should be coded 1.	1 = Employment and Training Exiter 2 = Related Assistance Services ONLY Exiter 3 = Other Reasons for Exit	Grantee administrative records		Support

WIASPR Item Name and Number	Data Element Definition	Valid Values	Federal Sources	State/Grantee Sources	Instructions
35. Other Reasons for Exit (at time of exit or during 3-quarter measurement period following the quarter of exit)	Record 1 if the participant is residing in an institution or facility providing 24-hour support such as a prison or hospital and is expected to remain in that institution for at least 90 days. Record 2 if the participant is receiving medical treatment that precludes entry into unsubsidized employment or continued participation in the 167 program. Does not include temporary conditions expected to last for less than 90 days. Record 3 if the participant was found to be deceased or no longer living. Record 4 if the participant entered advanced training. Advanced training includes an occupational skills employment/training program, not funded under Title I of WIA, which does not duplicate training received under Title I. This category includes only training outside of the 167 program, One-Stop, WIA and partner system. Record 5 if the participant entered post-secondary education. Post-secondary education includes a program at an accredited degree-granting institution that leads to an academic degree (e.g., AA, AS, BA, BS). This does not include entry into post-secondary education programs offered by degree-granting institutions that do not lead to an academic degree.	1 = Institutionalized 2 = Health/Medical 3 = Deceased 4 = Entered Advanced Training 5 = Entered Post-Secondary Education 6 = Moved/Cannot Locate/Voluntary Separation 7 = Family Care 8= Reserve Forces Called to Active Duty 9 = Not a Valid SSN	Grantee administrative records		Support

WIASPR Item Name and Number	Data Element Definition	Valid Values	Federal Sources	State/Grantee Sources	Instructions
35. Other Reasons for Exit (continued)	Record 6 if the participant cannot be located or has moved to an area that prevents them from completing their program, or has voluntarily left the program. Record 7 if the participant is providing care for a family member with a health/medical condition that precludes entry into unsubsidized employment or continued participation in the program. Does not include temporary conditions expected to last for less than 90 days. Record 8 if the participant is a member of the National Guard or other reserve military unit and is called to active duty for at least 90 days. Record 9 if the social security number of the participant is not valid. Record 0 or leave "blank" if the participant exited for a reason other than one of the conditions described above.				
36. Date Placed in Unsubsidized Employment	Record the date on which the participant was placed into unsubsidized employment. Leave this field blank if the participant did not enter unsubsidized employment.	YYYYMMDD	Case manager/counselor progress notes		Match
41. Employed in the 1st Quarter After Exit Quarter	Record 1 if the participant was employed in the first quarter after the quarter of exit. Record 2 if the participant was not employed in the first quarter after the quarter of exit. Record 3 if information on the participant's employment status in the first quarter after the quarter of exit is not yet available.	1 = Yes 2 = No 3 = Information Not Yet Available	Pay stubs; employer payroll records; IRS 1040 forms; case manager/counselor progress notes; self-attestation		Support

WIASPR Item Name and Number	Data Element Definition	Valid Values	Federal Sources	State/Grantee Sources	Instructions
42. Employed in the 2nd Quarter After Exit Quarter	Record 1 if the participant was employed in the second quarter after the quarter of exit. Record 2 if the participant was not employed in the second quarter after the quarter of exit. Record 3 if information on the participant's employment status in the second quarter after the quarter of exit is not yet available.	1 = Yes 2 = No 3 = Information Not Yet Available	Pay stubs; employer payroll records; IRS 1040 forms; case manager/counselor progress notes; self-attestation		Support
43. Employed in the 3rd Quarter After Exit Quarter	Record 1 if the participant was employed in the third quarter after the quarter of exit. Record 2 if the participant was not employed in the third quarter after the quarter of exit. Record 3 if information on the participant's employment status in the third quarter after the quarter of exit is not yet available.	1 = Yes 2 = No 3 = Information Not Yet Available	Pay stubs; employer payroll records; IRS 1040 forms; case manager/counselor progress notes; self-attestation		Support
44. Wages 2nd & 3rd Quarters After Exit Quarter	Record the total earnings earned by the participant in the second and third calendar quarters after the quarter of exit. Total earnings include any bonuses, tips, gratuities, commissions, and overtime pay earned. Note: Enter whole dollar amounts (00000). Enter 99999 if data are not yet available for this item. Otherwise, leave "blank" if this data element does not apply.	00000	Pay stubs; employer payroll records; IRS tax forms; administrative/UI wage records; case manager/counselor progress notes with signature		Match