

APPENDIX B

TEGL 3-03, CHANGE 3

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION Data Validation
	CORRESPONDENCE SYMBOL PRO
	DATE July 15, 2005

TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 3-03, Change 3

TO: ALL STATE WORKFORCE AGENCIES
ALL STATE WORKFORCE LIAISONS

FROM: EMILY STOVER DeROCCO
Assistant Secretary



SUBJECT: Revision to the Data Validation Policy for Employment and Training Programs for Program Year 2004

1. Purpose. To provide revisions and clarifications to policy guidance previously issued to states and national program grantees concerning the Employment and Training Administration's (ETA) data validation policy, for the following programs: Workforce Investment Act (WIA) Title IB; the Wagner-Peyser Act; activities authorized under chapter 41 of title 38, United States Code (Local Veterans Employment Representative and Disabled Veteran Outreach Service programs); and Trade Adjustment Assistance (TAA), National Farmworker Jobs (NFJP), Indian and Native American (INA), and Senior Community Service Employment (SCSEP) programs.

2. References. Training and Employment Notice (TEN) No. 14-02, "Data Validation Initiative;" TEN No. 8-02, "Implementation of Common Performance Measures for Job Training and Employment Programs;" Training and Employment Guidance Letter (TEGL) 3-03, Change 1, "Data Validation Policy for Employment and Training Programs;" and the President's Management Agenda (<http://www.whitehouse.gov/omb/budget/fy2002/mgmt.pdf>).

3. Background. In TEGL No. 3-03, Change 1, the Department issued policy guidance to states and national program grantees on the timeframes for implementing data validation requirements on program performance reports. This guidance outlines revisions to those implementation timeframes and updates information on data validation software. For Program Year (PY) 2004 (July 1, 2004 - June 30, 2005), report validation **must** be completed prior to submission of the annual report in accordance with the timetables specified below. ^{The TET}

4. Implementation for State Programs. Reporting instructions for data validation for state programs are available in revised handbooks on ETA's performance website at <http://www.doleta.gov/performance/>. The timeframes for implementation are as follows:

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Workforce Investment Act Title IB. For PY 2004, each state is required to submit a validated annual report no later than October 1, 2005, and the appropriate WIA Standardized Record Data (WIASRD) files no later than October 15, 2005. **States are required to complete report validation prior to submitting the annual report (ETA 9091) due October 1, 2005, and data element validation using a file of exiters and participants reported on the ETA 9091 by February 1, 2006.** These data are consistent with last year's timetable. Data element validation is due 120 days after the submission of the annual report, not the submission of the WIASRD files.

Core Job Matching and Employment Service Activities. Each state is required to submit the ETA 9002 and VETS 200 reports on a quarterly basis no later than 45 days after the end of the report quarter. The Wagner-Peyser funded programs require report validation and minimal data element validation. **Report validation must be completed for the ETA 9002 and VETS 200 reports prior to submission on August 15, 2005.** This date reflects a change to the data validation policy for the Wagner-Peyser programs. This year, states are required to validate their fourth quarter report for Program Year 2004. **This change will allow states to complete data validation using current reporting requirements.** 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. States that use the ETA-provided software or DART software to prepare their ETA 9002 and VETS 200 quarterly reports do not need to conduct separate report validation.

Trade Adjustment Assistance. Each state is required to submit its fourth quarter Trade Act Participant Report (TAPR) for Fiscal Year (FY) 2005 by **November 15, 2005.** States administering TAA programs are not required to submit an annual report but are required to submit individual participant records; therefore, states are not required to conduct report validation. States are required to conduct data element validation on the cumulative file of four quarters of the FY 2005 TAPR (created by adding the four quarterly files together). **The data element validation for TAA programs must be completed by February 1, 2006.**

5. Implementation for National Programs. Reporting instructions for data validation for national grant programs will be issued separately. The timeframes for implementation are as follows:

National Farmworker Jobs Program. The NFJP grantees are not required to submit an annual report but are required to submit individual participant records; therefore, they are not required to conduct report validation. **The final NFJP participant data for PY 2004 is due February 15, 2006. Data element validation for PY 2004 must be completed by June 15, 2006.**

Indian and Native American Program. Grantees are required to submit their annual ETA 9084 Comprehensive Services Report by September 30 (90 days after the June 30 program year end date). Validation software for the INA program is still in development. Instructions, training, and timetables for data validation will be issued at a later date.

Senior Community Service Employment Program. The SCSEP is creating a new data collection and reporting system. The first SCSEP “annual report” will not be required until fall 2005. Data validation instructions, training, and timetables will be issued at a later date for this program.

6. Data Validation Tools. ETA has developed and updated instructional handbooks, standardized software, and user guides that states and grantees can use to perform data validation.

- Handbooks provide detailed information on the validation methodology, including sampling specifications and data element validation instructions for each data element to be validated. ETA provided guidance detailing source documentation requirements to validate eligibility, services, and outcomes for the WIA, TAA, and the NFJP in TEGL 3-03, Change 1 (see Attachment A).
- A maintenance release of the WIA data validation software (version 3.1) will be released in August 2005. The updated software will be available in time for states and grantees to use it to validate the annual reports due by October 1, 2005.
- States should use the current version (2.01) of the Wagner-Peyser program software available on the ETA performance website, <http://www.doleta.gov/performance/>, to validate the annual PY 2004 report due August 15, 2005. The minimal data element validation of 25 jobseekers must also be completed prior to the submission of the report.
- States should use the current TAA (1.3) data validation software available on the ETA performance website.
- States will use the current NFJP (1.2) data validation software available on the ETA performance website.
- User guides developed for each ETA validation software application guide states and grantees through the process of installing the application, building and loading a validation file, and completing report and data element validation.

ETA’s validation handbooks, software applications, and user guides for each program can be found on ETA’s website at <http://www.doleta.gov/performance/>. Click on the link for *Reporting Guidance and Data Evaluation* and go to the third bullet point, *Data Validation and more*. The validation tools for the WIA Title IB, ES, TAA, and NFJP programs are currently available and reflect the reduction in data elements; tools for the other national program grantees will be posted when finalized.

7. Training and Technical Assistance. States and grantees are encouraged to request technical assistance on validation procedures and the use of the validation tools by contacting regional and/or national office program staff. To avoid unnecessary delays and problems in the implementation of data validation, regional staff are available to facilitate the validation process and to address any difficulties states and grantees encounter. E-mail and phone contact

information is available on the ETA website listed above, in the Help menu of each software application, and in the user guides.

8. Monitoring. To ensure that states and grantees are able to successfully complete validation procedures and standards, ETA will monitor the validation effort on a regular schedule. The record retention requirement that will apply to records of all validation activities, including files, worksheets, reports, and source documentation, is three years.

9. Action Required. States and grantees are expected to:

- Distribute this advisory to the appropriate program staff.
- Complete data validation within the timeframes established in Section 5 of this guidance and provide the appropriate regional office with an update on the validation process.

10. Inquiries. Questions regarding the data validation initiative should be directed to the appropriate ETA regional office or to the Office of National Programs, as appropriate.

Attachment A: Source Documentation Requirements from TEGL 3-03, Change 1