



**Employment & Training  
Administration**

# **TAA Data Validation Handbook**

*for*

*TAADV Software  
Release 2.0*

*December 2006*

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## ***I. OVERVIEW***

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Trade Adjustment Assistance (TAA) programs assist individuals whose employment has been impacted by increased imports from or shifts in production to foreign countries. The goal of the Trade Act programs is to help trade-affected workers obtain the skills needed in today's economic environment. States submit Trade Act Participant Report (TAPR) records to ETA on a quarterly basis, and ETA uses these records to measure the extent to which the program is meeting its performance goals. Participants who exit the TAA program after receiving employment and training services are included in three performance measures:

1. The entered employment measure is based on whether the exiter entered employment.
2. The employment retention measure is based on employment status during the second and third quarters after exit for exiters who entered employment.
3. The average earnings measure is based on the earnings of exiters who entered and were retained in employment after exit.

In order to ensure that the data used to calculate the TAA performance measures are accurate, states are required to validate the records of participants included in these measures. According to TEGl 3-03, TEN 9-06, and recent ETA guidance, states are required to validate their Fiscal Year (FY) 2006 exiter records by April 15, 2007. States conduct data validation after final TAPR records for the fiscal year have been submitted to ETA. The data to conduct the FY 2006 validation should be available as of November 15, 2006, when the final TAPR for FY 2006 was due to ETA.

This TAA data validation handbook describes the procedures for states to follow to review the accuracy of their TAPR records. The handbook also provides instructions on using the TAA data validation (TAADV) software that ETA provides to states.

# I. OVERVIEW

## A. TAPR REPORTING GUIDELINES

The TAA fiscal year runs from October 1<sup>st</sup> through September 30<sup>th</sup>. For example, FY 2006 runs from October 1, 2005 to September 30, 2006. Each state is required to make four quarterly submissions of TAPR records to ETA according to the guidelines shown in Tables I.1 and I.2. These tables specify the report quarter, exit quarter, and TAPR due date for each quarterly submission for FY 2006 and 2007.

The **Report Quarter** row lists the four reporting quarters in the fiscal year, which are the time frames during which records of TAA program exiters should be compiled and the TAPR assembled. The **Exit Quarter** row lists the corresponding participant exit dates. For example, to assemble the FY 2006 Q1 TAPR, the state should assemble records for all participants who exited the TAA program between 7/1/2004 and 9/30/2004. The **TAPR Due Date** row specifies when the quarterly TAPR submission is due to ETA. Each submission is due five and a half quarters after the quarter of exit, which provides sufficient time to obtain the wage data needed for calculating the retention rate.

**Table I.1**

<b>Fiscal Year 2006 – Report Periods</b>				
	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
<b>Report Quarter</b>	10/1/2005 – 12/31/2005	1/1/2006 – 3/31/2006	4/1/2006 – 6/30/2006	7/1/2006 – 9/30/2006
<b>Exit Quarter</b>	7/1/2004 – 9/30/2004	10/1/2004 – 12/31/2004	1/1/2005 – 3/31/2005	4/1/2005 – 6/30/2005
<b>TAPR Due Date</b>	2/15/2006	5/15/2006	8/15/2006	11/15/2006

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**Table I.2**

<b>Fiscal Year 2007 – Report Periods</b>				
	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
<b>Report Quarter</b>	10/1/2006 – 12/31/2006	1/1/2007 – 3/31/2007	4/1/2007 – 6/30/2007	7/1/2007 – 9/30/2007
<b>Exit Quarter</b>	7/1/2005 – 9/30/2005	10/1/2005 – 12/31/2005	1/1/2006 – 3/31/2006	4/1/2006 – 6/30/2006
<b>TAPR Due Date</b>	2/15/2007	5/15/2007	8/15/2007	11/15/2007

To conduct data validation and calculate the annual performance measures, the validation extract file must contain records for exiters for all four quarters in the fiscal year. For example, the FY 2006 validation extract file must contain records for all participants who exited between July 1, 2004 and June 30, 2005. The FY 2007 validation extract file must contain records for all participants who exited between July 1, 2005 and June 30, 2006.

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## **B. OVERVIEW OF DATA VALIDATION**

Data validation is designed to accomplish the following goals:

1. Detect and identify data problems with a state's TAPR to enable the state to correct the problems.
2. Ensure that critical performance data used to direct incentives and sanctions and to meet ETA's Government Performance and Results Act (GPRA) responsibilities are reasonably accurate by calculating an error rate for each data element validated.
3. Provide tools that help states analyze the causes of their performance successes and failures by displaying participant data organized by performance outcomes.
4. Minimize the burden on states in conducting the validation by providing standardized software that displays the individual participant records by outcome and provides built in random samples, validation worksheets, and automated validation reports.
5. Further minimize the burden on the states by selecting the smallest possible validation samples necessary to compute valid error rates.

Data validation typically involves two distinct processes—report validation and data element validation. *Report validation* assesses the accuracy of state reports by comparing the values calculated by states to values calculated by the TAADV software. Because ETA itself calculates performance measures for all TAA participants, report validation is unnecessary. However, state staff can use the TAADV software to view and analyze the performance of individual exiters. The TAADV software also calculates the state's overall performance and generates a performance measure report.

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***Data element validation*** confirms the accuracy of key data elements in the TAPR by examining a sample of participant records to assess whether the data in the sampled records are correct. When a record is selected for validation, state staff compare specified data elements in the TAPR record to source documentation for that participant.

Data element validation results in an estimate of the error rate for each data element selected for validation. Data elements are selected for validation based on three factors:

- **Feasibility**—ETA can validate data elements only where it is practical and efficient to locate and examine supporting evidence within the state case files. Therefore, such items as race, ethnicity, and gender will not be validated because these data elements are self-reported by participants and it is not practical to locate the participant to verify these characteristics.
- **Risk**—The process for data validation is based partly on the risk that the data element can be inaccurate. Data elements involving human judgment are more prone to error than data elements that do not involve human judgment. For example, determination of employment based on supplemental sources is higher risk than determination of employment from wage records.
- **Importance**—Data elements are selected for validation based primarily on their importance to the integrity of the individual participant records and their significance for generating performance outcomes.

Error rates are computed by determining the degree to which the accuracy of the selected data elements is supported by evidence in the case files or by other sources (such as wage records).

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The validation process is designed to compute a reliable error rate using the smallest possible sample to minimize the state's burden in performing the validation. To accomplish this objective, three sampling techniques are used:

- 1) To lessen the relative burden on smaller states as much as possible, the precision standards are reduced yielding a smaller sample than for larger states.
- 2) Sampling of local offices is performed prior to the selection of participant records to reduce the number of locations that state staff must visit to access supporting documentation.
- 3) Participant records are over-sampled if they are determined to be important for calculating performance outcomes and if they have a higher risk of error. The software weights the results of the validation to correct for over- and under-sampling so that the final results represent the overall error rate of each data element in the state's TAPR.



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## **C. HANDBOOK OVERVIEW**

The following chapters and appendices guide states through the process of validating data from their TAPR submission using the TAADV Software.

- **Chapter II—Validation Procedures**

Chapter II provides a step-by-step description of how to conduct data validation using the TAADV software. This chapter describes how to build and import a validation extract file, validate the sample that is selected by the software, and generate performance measure and summary and analytical reports.

- **Chapter III—Record Layout**

Chapter III provides the record layout specification for creating the TAA validation extract file.

- **Appendix A—Performance Measure Specifications**

Appendix A provides detailed performance measure specifications used by ETA and by the TAADV software to generate the TAA performance measures.

- **Appendix B—DEV Sampling and Error Rate Estimation**

Appendix B provides the specifications for sampling and error rate estimation that are used by the TAADV software to select the data element validation sample, and to calculate error rates on the summary and analytical report.

- **Appendix C—DEV Instructions**

Appendix C provides the instructions used by the validator to validate each data element on the data element validation worksheet.

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- **Appendix D—TAADV Software Installation**

Appendix D provides a step-by-step description of how to install the TAADV software on a PC.

- **Appendix E—TAADV Software Reference Guide**

Appendix E provides a condensed list of all the menus and functions of the TAADV software for quick reference.

## D. PREPARING FOR VALIDATION

As indicated, Chapter II of this handbook describes each task that states should follow to complete validation. Responsibility for completing these tasks will be divided among various staff.

*Managers* are responsible for assuring that programmers and validators have the resources needed to complete the validation as required by ETA. They are also responsible for keeping the data validation effort on schedule.

*Programmers* have the primary responsibility for building the validation extract file in the format specified in the record layout. Programming staff may also be responsible for loading the file into the TAADV software.

*Validators* conduct the validation once the extract file has been imported into the software. Validators should also work closely with programming staff to determine which state data elements best meet the requirements specified in the record layout.

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Table I.2 summarizes the preparation tasks that states should complete before embarking on the validation effort, and the staff who will likely be responsible for completing each preparation task. All of these tasks can begin immediately, so that the state can maximize the time available to validate its sample of TAPR records.

<b>Table I.2</b>		
<b>Preparing for Data Validation</b>		
<b>Preparation Activity</b>	<b>Responsible Staff</b>	<b>Handbook Reference</b>
Assemble validation team.	Managers	Not applicable
Review handbook.	Validators, programmers	All chapters and appendices
Install TAADV software.	Programmers	Appendix D
Develop a data validation schedule and make staff assignments.	Managers, validators, programmers	Chapter II
Build and test validation extract file of all FY2006 TAA exiters. Final file should be generated as soon as possible after the final FY submission in November, 2006, to maximize the time available to conduct data validation.	Programmers, validators	Chapter II—Sections A and B, Chapter III
Review data validation instructions and update state version of sources column.	Validators, programmers	Appendix C

After reviewing this handbook, states should contact Mathematica Policy Research, Inc. by emailing [TAATA@mathematica-mpr.com](mailto:TAATA@mathematica-mpr.com) with any questions on validating their TAPR submission.

## ***II. VALIDATION PROCEDURES***

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This chapter provides a step-by-step description of how to conduct data validation. Following are brief summaries of each section of the chapter.

### **A. Accessing the TAADV Software**

Section A describes how to access the TAADV software and how to identify the reporting period to be validated. This section also describes how the user can change the reporting options after the initial sign in.

### **B. Creating and Importing a Validation Extract File**

Section B describes how to build and import a fiscal year file of TAA exiters. This section also describes how to access and review duplicate detection and error reports of records rejected by the validation software during the import process.

### **C. Report Validation**

Section C describes how to review the performance measure report generated by the software, and how to access and analyze records by performance outcome groups.

### **D. Data Element Validation**

Section D describes how to conduct data element validation for a sample of exiter records, using the worksheets generated by the software. This section also describes how to access the summary and analytical report and submit results to ETA. Section D concludes with a summary table and flowchart of the DEV steps.

## ***II. VALIDATION PROCEDURES***

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### **A. Accessing the Validation Software**

#### **Task 1—Install the Application**

Users should refer to Appendix D for detailed instructions on installing the TAADV software.

#### **Task 2—Open the Validation Software**

Go to the Start menu, click on Programs, and then scroll to find **TAA**. Click on **TAA** to open the software.

#### **Task 3—Create a New Database or Open an Existing Database**

To create a new database, go to File and click on New. Then use the Create Database window to find the appropriate location to save the database. Type a name for the database in the file name cell.

To open an existing database, go to File and click on Open. Use the Create Database window to find the appropriate database. Click on the database name and then click on Open.

## II. VALIDATION PROCEDURES

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### Task 4—Sign In Screen

On the Sign In screen, the user can either choose to validate records for an entire fiscal year or for one of the four quarters within that fiscal year.

Enter the fiscal year to be validated in the cell labeled Fiscal Year. Move the cursor to any other cell and the validation period start and end date range will automatically fill based on the fiscal year entered. The start and end date range is the period during which participants must have exited the TAA program to be included in the TAPR for the fiscal year. As specified in Tables I.1 and I.2, the FY 2006 validation extract file must contain records for all participants who exited between July 1, 2004 and June 30, 2005. The FY 2007 file must contain records for all participants who exited between July 1, 2005 and June 30, 2006.

Alternatively, users can leave the Fiscal Year blank and manually enter a date range, as long as it is within the range of exit dates in the validation file.



The screenshot shows a software window titled "U003 - Sign In". Inside the window, there is a form with three input fields. The first field is labeled "Fiscal Year" and contains the text "2006". The second field is labeled "Period Start Date" and contains "07/01/2004", with a small calendar icon to its right. The third field is labeled "Period End Date" and contains "06/30/2005", also with a small calendar icon to its right. Below these fields, there are two buttons: "Sign In" on the left and "Exit" on the right.

Click on the “**Sign In**” button after specifying the FY or date range to be validated.

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### **Task 5—Change Reporting Options**

To change the reporting parameters after signing in to the software, open the **Change Reporting Options** menu and select **Change Reporting Options**.

In the Change Reporting Options screen, the user can select and change several options: the fiscal year, period start and end date, office name, WIB name, and/or case manager's name. This function enables the state to produce substate level performance measure reports based on the options selected.

While date ranges are auto filled based on the fiscal year selected, users may overwrite these date ranges to analyze performance for specific time periods. If the user decides to change the fiscal year after importing the data, the performance measure report and the performance outcome groups will not accurately reflect the new selection. For the software to calculate an accurate report, the user must re-import the data after changing the fiscal year.

The WIB, office, and case manager drop down menus include the unduplicated values in each of these fields on the import file. After the user selects filters from the drop down menus and clicks on Save, the source table, performance outcome group table, and performance measure report will all be reconfigured to reflect the data and results for the selected subgroup. The selected subgroup appears in the footer of the performance measure report to distinguish it from the state level report. Users should note that changing these filters does not impact the sample of exiters selected for validation.

## II. VALIDATION PROCEDURES

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After selecting filters to create the desired report, click on **Save** to save the options.

The screenshot shows a dialog box titled "U003r - Change Report Options". It contains the following fields and controls:

- Fiscal Year:** A text input field containing "2006".
- Period Start Date:** A date picker field showing "7/1/2004" with a calendar icon.
- Period End Date:** A date picker field showing "6/30/2005" with a calendar icon.
- Office Name:** A dropdown menu with "DEF" selected.
- WIB Name:** A dropdown menu with "ABC" selected.
- Case Mgr:** A dropdown menu with "XYZ" selected.
- Buttons:** "Save" and "Exit" buttons at the bottom.



## ***II. VALIDATION PROCEDURES***

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### **B. Create and Import a Validation Extract File**

States should consolidate the four TAPR submissions for the Fiscal Year being validated, and import the file into the TAADV software.

#### **Task 1—Create a File Based on the Record Layout**

To view the record layout see Chapter III of this handbook, or open the **Import Data** menu and select **Source Table Record Layout**. The record layout is in the TAPR format with the addition of six fields. The additional fields are observation number (field #1), sampling unit (field #60), WIB name (field #61), office name (field #62), case manager (field #63), and user field (field #64).

The user field and the sampling unit are user-defined fields. The user field appears on the validation worksheet and can be filled with any additional data element that the state wishes to have available on the DEV worksheet. For example, states can include the participant name or other identifying information that should appear on the validation worksheet to help locate case folders for sampled participants. It is not mandatory that you use this field.

The sampling unit field is a numeric designator for the physical location of the case file, and is generally an office or WIB. This field is used by the TAADV software to create a clustered sample. If the state does not currently have a numeric case file location designator, it should create one for each case file location. This is not a mandatory field, so the software will not reject a record if it is blank. However, the software will treat all records with blanks in the sampling unit field as coming from the same location and will not be able to create a clustered sample. No two locations should have the same sampling unit number.

The exit date field (field #43) can represent either the date the participant exited the TAA program, or the date the participant exited the WIA program if the participant was coenrolled in WIA. However, for coenrolled participants states should be sure to use the exit date that was used to obtain post-exit wages.

## ***II. VALIDATION PROCEDURES***

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The extract file must be in ASCII comma-delimited format. The software will also accept comma separated (CSV) files. Fields must be in the order and format listed on the record layout. Mandatory fields are specified in the record layout. Blanks are acceptable in optional fields. However, blank or null values are not valid for mandatory fields and will result in the record being rejected. The software will accept files with quotes around all elements or no elements, but not a mix of the two.

Chapter I provides information about the date ranges for the exiters to be included in the extract file. The extract file can be generated after the final quarterly file for the fiscal year being validated has been submitted to DOL.

The validation extract file is equivalent to the four TAPR submissions for the fiscal year, unduplicated using the most recent record for each participant. One way that states can create the validation extract file is to aggregate all of their TAPR submissions for the program year being validated. Before aggregating the files states should mark each record to indicate which TAPR submission it came from (e.g. 1<sup>st</sup> through 4<sup>th</sup>). States can then unduplicate the aggregated file by retaining only the last record submitted for exiters with multiple records. The extract file can be completed by adding observation numbers and sampling units to the unduplicated records, and then extracting from the state data base the sampling unit, WIB name, office name, case manager, and any user field applicable to each record. The original marker for submission quarter may be retained in the user field if states choose to do so.

Alternatively, states may develop an extract routine to pull the most recent data for each fiscal year exiter directly from the state's data base, in the format specified in the record layout. States using this approach should ensure that they run the extract routine as close as possible to their fourth quarterly submission, to minimize any differences between the data in the TAPR submission and in the validation extract file.

## II. VALIDATION PROCEDURES

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### Task 2—Import Extract Data

Once the data are formatted according to the record layout, open the **Import Data** menu and select **Import from Extract File**. Select the file to be imported using the **Select File** box. Click Open to import the extract file.

Once this is done, the **Import File** box will display counters for both the numbers of records imported successfully and the number of records with errors. The Import File box also includes a cancel button that can be used to stop the loading process. It may take several minutes to import the data, depending on the size of the file. Click Exit when a message appears that the import is complete.



## ***II. VALIDATION PROCEDURES***

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To view the imported file open the **Import Data** menu and select **View Source Table**. This is a read only screen. However, the columns in the source table are sortable to facilitate state review of the imported records. Users can sort on any column in the source table.

The total number of records in the source table is provided on the lower left corner of the screen. If the cursor is placed on a particular row of a column, the software will show that row number in red at the bottom of the screen. This feature enables the user to easily count the number of records with a particular characteristic in the source table. For example, on the following source table the cursor is on row 7 as shown on the lower right.

## II. VALIDATION PROCEDURES

File Import Data Change Reporting Options Report Validation Data Validation Utilities Window Help										
OBS	State	SSN	DOB	Gender	Disability	Hispani	NativeAmer	Asian	AfricanAme	PacificIslan
3	NJ	100000003	19470728							
4	NJ	100000004	19470728							
5	NJ	100000005	19470728							
6	NJ	100000006	19470728							
7	NJ	100000007	19470728							
8	NJ	100000008	19470728							
9	NJ	100000009	19470728							
10	NJ	100000010	19470728							
11	NJ	100000011	19470728							
12	NJ	100000012	19470728							
13	NJ	100000013	19470728							
14	NJ	100000014	19470728							
15	NJ	100000015	19470728							
16	NJ	100000016	19470728							
17	NJ	100000017	19470728							
18	NJ	100000018	19470728							
19	NJ	100000019	19470728							
20	NJ	100000020	19470728							
21	NJ	100000021	19470728							
22	NJ	100000022	19470728							
23	NJ	100000023	19470728							
24	NJ	100000024	19470728							
25	NJ	100000025	19470728							
26	NJ	100000026	19470728							
27	NJ	100000027	19470728							
28	NJ	100000028	19470728							
29	NJ	100000029	19470728							
30	NJ	100000030	19470728							
31	NJ	100000031	19470728							
32	NJ	100000032	19470728							
33	NJ	100000033	19470728							
34	NJ	100000034	19470728							
35	NJ	100000035	19470728							
36	NJ	100000036	19470728							

Current Row Number 7

## ***II. VALIDATION PROCEDURES***

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### **Task 3 – Review Error Report**

During file import, the TAAADV software reads each record to ensure that all fields are valid based on the record layout and the TAPR edit check logic specified in Chapter III. For example, any records with missing data in mandatory fields—such as Observation Number or Date of Birth—are rejected. Duplicate records or records with invalid values are also rejected. The TAAADV will also generate an error if the number of columns in the extract file does not match the number of columns specified in the record layout, if text values are placed in a number field, or if dates are not in the proper format.

The TAAADV produces an error report listing the rejected records and records with warning errors. To view the latest error report, click on the **Import Data** menu and then select **View Latest Error Report**. If no errors are found, no error report is produced. The error report is also automatically saved to the TAA folder (C:\Program Files\TAA) and is titled importerror.txt. To save each error report, the importerror.txt file should be renamed so that it is not overwritten by subsequent error reports.

The error report indicates which observation has an error and the corresponding error message from Chapter III. States should use the error report in conjunction with the record layout and edit check document in Chapter III to determine why records have been rejected or identified as having warning errors.

After reviewing any error reports generated by the software, staff should determine if the validation file must be regenerated or reformatted and reloaded. If a very small number of records are rejected, it may not be necessary to re-import the file before beginning validation.

## ***II. VALIDATION PROCEDURES***

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### **Task 4—View Duplicates**

This task allows the user to view the duplicate records identified by the software. No data entry is required, this option is for analytical purposes only.

Click on the **Import Data** menu and select **View Duplicates**.

This opens a report that displays the duplicate records, including their observation number, SSN, and Exit Date. All records that have the same SSN and Exit Date are considered to be duplicates and are rejected by the software. The user must determine if it is necessary to fix the extract. If so, the user must determine which observations to return to the extract file and then reimport the data before beginning validation.

### **TAA Duplicate Records Report**

<b>OBS</b>	<b>SSN</b>	<b>Exit Date</b>
112	900125129	20001215
2	900125129	20001215

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### **C. Report Validation**

Because ETA calculates performance measures for all TAA exiters, report validation is unnecessary. However, state staff can use the TAADV software to view and analyze the performance of individual exiters. The TAADV also calculates the state's performance and generates a performance measure report.

#### **Task 1—View Performance Outcome Groups**

The TAADV software assigns each participant record to a performance outcome group following the specifications in Appendix A of this handbook. Organizing the records into outcome groups serves two purposes. First, it provides the numerical counts used to calculate the performance measures. Second, it is a useful tool for analyzing performance outcomes and factors that may influence performance. Appendix A describes in detail how the software assigns exiters who received employment and training services to 25 performance outcome groups for the entered employment, retention, and average earnings measures.

Click on the **Report Validation** menu. Then click on **View Performance Outcome Groups**. This opens a window that displays the 25 performance outcome groups and the total number of records that have been assigned to each group. A section of the performance outcome group summary screen is shown below. Exhibit A.1 in Appendix A displays the full performance outcome group table. No data entry is required; this function is for analytical purposes only.



## II. VALIDATION PROCEDURES

Trade Adjustment Assistance Report Validation.											
1	2	3	4	5	6	7	8	9	10	11	12
Performance Outcome Group	Number in Group	Emp Status at Registration	Emp Qtr+1	Type Match Qtr+1	Emp Qtr+2	Type Match Qtr+2	Emp Qtr+3	Type Match Qtr+3	Other Reasons for Exit	EER Num	EER Den
▶ 1	96	UnEmp	Emp	Wage	Emp	Wage	Emp	Wage	No	96	96
▶ 2	8	UnEmp	Emp	Wage	Emp	Wage	Emp	Supp	No	8	8
▶ 3	8	UnEmp	Emp	Wage	Emp	Supp	Emp	Wage	No	8	8
▶ 4	8	UnEmp	Emp	Wage	Emp	Supp	Emp	Supp	No	8	8
▶ 5	96	UnEmp	Emp	Supp	Emp	Wage	Emp	Wage	No	96	96
▶ 6	24	UnEmp	Emp	Supp	Emp	Wage	Emp	Supp	No	24	24
▶ 7	8	UnEmp	Emp	Supp	Emp	Supp	Emp	Wage	No	8	8
▶ 8	6	UnEmp	Emp	Supp	Emp	Supp	Emp	Supp	No	6	6
▶ 9	10	UnEmp	Emp	NA	Emp	NA	UnEmp	NA	No	10	10
▶ 10	10	UnEmp	Emp	NA	UnEmp	NA	Emp	NA	No	10	10
▶ 11	6	UnEmp	Emp	NA	UnEmp	NA	UnEmp	NA	No	6	6
▶ 12	32	UnEmp	UnEmp	NA	NA	NA	NA	NA	No	No	32
▶ 13	48	Emp	Emp	Wage	Emp	Wage	Emp	Wage	No	No	No
▶ 14	4	Emp	Emp	Wage	Emp	Wage	Emp	Supp	No	No	No
▶ 15	4	Emp	Emp	Wage	Emp	Supp	Emp	Wage	No	No	No
▶ 16	4	Emp	Emp	Wage	Emp	Supp	Emp	Supp	No	No	No

Double click on the arrow in the far left column of each performance outcome group to view the detailed records in that group.

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### Task 2—View Detailed Records

After double clicking the arrow in the far left corner of a performance outcome group, the user can view the detailed records in that group.

Summary					Detail for 1 order by obs				
Total Number of Records: 1276									
OBS	State	SSN	DOB	Gender	Disability	Hispanic	NativeAmer	Asian	AfricanAme
3	State XYZ	3	19460228	2	3				1
5	State XYZ	5	19571117	2	3	1			
11	State XYZ	11	19591017	2	3	1			
12	State XYZ	12	19590415	2	3				
13	State XYZ	13	19510414	1	3				
17	State XYZ	17	19510927	2	3	1			
18	State XYZ	18	19560409	1		1			
21	State XYZ	21	19530507	1	3				
22	State XYZ	22	19521006	2		1			
23	State XYZ	23	19520529	1					

### Sort Detailed Records

To sort records in ascending or descending order, double-click the heading of the column you wish to sort.

### Widen Columns

To increase the width of the columns, go to the intersection of the relevant column heading, click the mouse button and drag to the desired width.

## II. VALIDATION PROCEDURES

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### Task 3—View Performance Measure Report

This function displays a report that calculates the values for the three TAA performance measures, based on the specifications in Appendix A of this handbook.

To view the performance measure report, click on the **Report Validation** menu and select **View Performance Report**. No data entry is required; this is a read-only function.

Click on the printer icon to print the report using a live printer. To produce the report in Adobe Acrobat (PDF) format, click on the export report button to the right of the printer icon and follow the prompts.

### Performance Measure Calculation - TAA Period 7/1/2004 - 6/30/2005

RptCell	Description	Validation Value
1	EER Numerator	280
2	EER Denominator	312
3	EE Rate	90%
4	Retention Numerator	381
5	Retention Denominator	420
6	Retention Rate	91%
7	Average Earnings Numerator	752,400
8	Average Earnings Denominator	144
9	Average Earnings Rate	522,500%

If users have selected a WIB, office and/or case manager filter on the Change Reporting Options screen, the performance measure report will be generated for that subgroup. The footer of the report will display the selected subgroup.

## ***II. VALIDATION PROCEDURES***

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### **D. Data Element Validation**

#### **Task 1—Access Sampled Records**

The first tasks in DEV are to identify the records that must be validated and to assemble the validation worksheets and source documentation corresponding to those records.

The software selects a sample of the TAA exiter records that have been imported into the software, and presents the data for each sampled record on a worksheet. Appendix B of this handbook provides the validation sampling specifications.

Click on the **Data Validation** menu and select **Edit Worksheets**.

This will open the data validation worksheet summary of sampled records. This summary screen is read only. Identifying information on this summary list (and on the individual worksheet for each sampled record) helps state staff locate the source documents for the selected records. The summary rows for sampled records that have been completely validated will be shaded in purple.

## II. VALIDATION PROCEDURES

### Summary Worksheet

Detailed Summary of TAA Data Validation Worksheet									
Number in sample: 150		Wrong SSN: 0		Unable to Locate: 0					
Total Inspected: 0		Invalid Record: 0		Missing Record: 0					
right click in grid area to search for OBS.									
Detail									
	obs	ssn	Samplin...	Vet	Pass/Fail	DislocDate	Pass/Fail	AppDate	I ▲
1	1	100000001		1		20020701		20020815	
2	2	100000002		2		20020701		20020815	
3	3	100000003		3		20020701		20020815	
4	6	100000006		2		20020701		20020815	
5	7	100000007		3		20020701		20020815	
6	11	100000011		3		20020701		20020815	
7	12	100000012				20020701		20020815	
8	14	100000014		2		20020701		20020815	
9	16	100000016				20020701		20020815	
10	19	100000019		3		20020701		20020815	
11	20	100000020				20020701		20020815	
12	21	100000021		1		20020701		20020815	
13	24	100000024				20020701		20020815	
14	25	100000025		1		20020701		20020815	

Vet	DislocDate	AppDate	Petition	EnterTrainDate	TrainEndDate	TrainComp	BasicTRA	Waiver	W/L

To access, update, and print individual sampled records, double click on the row of the applicable record on the worksheet summary. This will open a validation worksheet for the selected record.

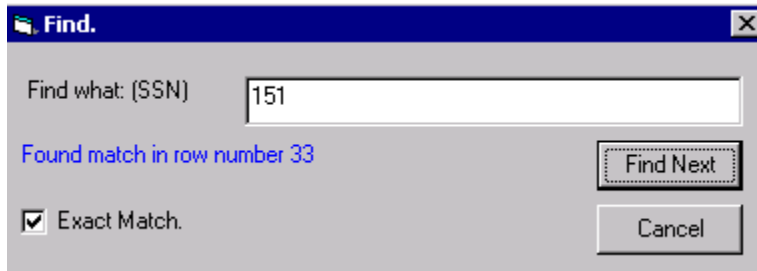
## II. VALIDATION PROCEDURES

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Users can also search for worksheets that contain specific data by clicking the right mouse button in the field in which they wish to search. A Find window will open. Enter in the value that the TAADV should search for in the sampled records. If the value needs to match exactly, check the Exact Match box. Then click the “Find Next” button. The location of the record that contains the value in the “Find What” box will be listed in blue.

### Find Window



## II. VALIDATION PROCEDURES

The online worksheet is on two tabs, one for validation fields 1 through 17 and one for comments. Identifying information at the top of the worksheet helps validation staff locate the case file for the selected record.

The validation worksheet lists all of the data elements to be validated. Validation is required for each data element where check boxes are present and unshaded on the worksheet. States do not need to validate data elements when check boxes are shaded.

### Sample Online Data Validation Worksheet

**Not Completed**

OBS

SSN

Sampling Unit

User Field

Office Name

WIB Name

**Exceptions**

Wrong SSN       Unable To Locate

Invalid Record       Missing Record

1 - 17

Comments

Data Elements	Reported Value	Pass	Fail	Data Elements	Reported Value	Pass	Fail
1. Vet	<input type="text" value="1"/>	<input type="checkbox"/>	<input type="checkbox"/>	11. EmpQtr+1	<input type="text" value="1"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. DislocDate	<input type="text" value="20020701"/>	<input type="checkbox"/>	<input type="checkbox"/>	12. EmpQtr+3	<input type="text" value="1"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. AppDate	<input type="text" value="20020815"/>	<input type="checkbox"/>	<input type="checkbox"/>	13. Earn3QTRPriorToParticipation	<input type="text" value="353"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Petition	<input type="text" value="12345678"/>	<input type="checkbox"/>	<input type="checkbox"/>	14. Earn2QTRPriorToParticipation	<input type="text" value="282"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. EnterTrainDate	<input type="text" value="20021231"/>	<input type="checkbox"/>	<input type="checkbox"/>	15. Earn1QTRAAfterExit	<input type="text" value="1011"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. TrainEndDate	<input type="text" value="20030701"/>	<input type="checkbox"/>	<input type="checkbox"/>	16. Earn2QTRAAfterExit	<input type="text" value="2222"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. TrainComp	<input type="text" value="1"/>	<input type="checkbox"/>	<input type="checkbox"/>	17. Earn3QTRAAfterExit	<input type="text" value="3003"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. BasicTRA	<input type="text" value="1"/>	<input type="checkbox"/>	<input type="checkbox"/>				
9. Waiver	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>				
10. ExitDate	<input type="text" value="20040701"/>	<input type="checkbox"/>	<input type="checkbox"/>				

Save and Exit

Print

Exit Without Saving

## ***II. VALIDATION PROCEDURES***

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The validation worksheets can be completed online on a desktop or laptop computer, or they can be printed and completed by hand. The TAADV may also be loaded onto the state's central server, allowing multiple validators to complete the worksheets on workstations or computers connected to the server. If validators use paper worksheets, the findings must later be data entered in the online worksheet.

Task 4 of this section provides detailed instructions for completing the online worksheet. "Not Completed" is displayed in red in the upper left corner of the online worksheet until the validator completes every data element on the worksheet that requires validation. At that point the message changes to "Completed".



## **II. VALIDATION PROCEDURES**

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### **Task 2—Print Worksheets**

The validator must assemble the printed worksheets for the sampled records. The software sorts the worksheets by WIB and then by office within each WIB to simplify the task of identifying which offices must be visited, and which cases must be validated at each location.

To print all of the worksheets in batch mode, click on the **Data Validation** menu and then click on **Print Worksheets**. All worksheets for the sampled records are formatted for printing. Click the printer icon at the top left of the screen to begin printing. The sampled records will print by WIB.

### **Sample Printed Worksheet**

<b>Data Element</b>	<b>Ref#</b>	<b>Value</b>	<b>Pass/Fail</b>
<b>Vet</b>	<b>01</b>	2	Fail
<b>DislocDate</b>	<b>02</b>	20020701	Pass
<b>AppDate</b>	<b>03</b>	20020815	Pass
<b>Petition</b>	<b>04</b>	12345678	Pass
<b>EnterTrainDate</b>	<b>05</b>	20021231	Pass
<b>TrainEndDate</b>	<b>06</b>	20030701	Fail
<b>TrainComp</b>	<b>07</b>		
<b>TRA</b>	<b>08</b>		
<b>Waiver</b>	<b>09</b>	1	Fail
<b>ExitDate</b>	<b>10</b>	20040930	Pass
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## ***II. VALIDATION PROCEDURES***

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### **Task 3—Print Sampled Counts Report**

To simplify the task of identifying which offices must be visited and which case files must be reviewed at each location, the TAADV software sorts the worksheets by WIB and then by office within each WIB. The TAADV produces a Sampled Counts Report that lists the number of records in the sample by WIB name, office name, and sampling unit.

States are also required to validate records on-site for the Workforce Investment Act (WIA) program. Like the TAADV, the WIA Data Reporting and Validation System (DRVS) software organizes worksheets by WIB and by office within WIB. These identical approaches may reduce the burden on the state validator if the TAADV and the WIA DRVS both select records from the same office. This reduction in burden, however, may be limited. For the samples to be statistically valid, each program must sample offices and records independently of each other. Thus, it is likely that some TAA records will be selected from offices, and possibly WIBs, that have no sampled records for WIA.

To obtain the Sampled Counts Report, click on the **Data Validation** menu and then click on **Print Sampled Counts Report**. This report shows the distribution of the sample by location. No data entry is required, this report is for analytical purposes only.

## **II. VALIDATION PROCEDURES**

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### **Count of Sampled Records by Sampling Unit**

<b>WebName</b>	<b>OfficeName</b>	<b>SamplingUnit Number</b>	<b>Count of Sampled Records</b>
ABC	DEF	216	10
ABC	DEF	331	10
ABC	DEF	332	10
ABC	DEF	348	10
ABC	DEF	349	10
ABC	DEF	482	10
ABC	DEF	563	10
ABC	DEF	601	10
ABC	DEF	925	10
ABC	DEF	1109	69
		<b>Total</b>	<b>159</b>

## ***II. VALIDATION PROCEDURES***

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### **Task 4—Assemble Supporting Documentation and Complete Worksheets**

State staff must obtain the source documentation for each sampled record in order to complete the validation worksheets. If some of the information is not available at the state level, the validator must travel to the physical location where the case files are stored to access the relevant source documentation for each sampled record. (If the state wishes to follow a different procedure, it must obtain approval from its regional officer.) The validator reviews the local office's sampled case files for each data element present on the worksheet, using the validation instructions and criteria in Appendix C. Some elements (such as wage records) may be validated against central computer files. Instructions for validating elements against central computer files are also included in Appendix C.

Many of the data elements will be blank on the worksheet due to two factors. First, not every data element applies to each participant. For example, if the participant has not entered training, the data element for date entered training will be blank on the worksheet for that participant. Similarly, if employment was established through supplemental sources, the data element for wages will be blank on the worksheet.

Second, except for elements that denote employment during the first and third quarter after exit, negative values are generally not validated and therefore not included on the worksheets. For example, if the participant did not receive a relocation allowance (i.e. has a value of "2"), the data element will be blank on the worksheet.

Blank data elements do not need to be validated unless the instructions specifically direct the validator to do so. The validator should carefully read the instructions for each data element because they indicate when blank data elements must be validated. For example, all earnings fields are validated whether or not they are blank.

Appendix C provides separate instructions for each data element; the instructions are presented in the same order in which the data elements appear on the worksheet. The data element reference numbers on the worksheet correspond to

## ***II. VALIDATION PROCEDURES***

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the data element reference numbers in the validation instructions. Each instruction specifies the recommended sources for validating the data element. If the validator locates equivalent source documentation that is not specified in the instructions, the validator should record the new source in the state version of sources column in the validation instructions.

After reviewing the source documentation and following the validation instructions, the validator records the result in the appropriate checkbox for each element. The two possible validation outcomes for each data element are:

1. Check Pass if the element was supported by/matched the source documentation
2. Check Fail if the source documentation showed that the data element was incorrect or that no source documentation was available

The validation worksheets can be completed online by one or more validators accessing the same database (see Task 8 of Appendix D for more information on setting this up). However, if validators complete paper worksheets, the results must later be data entered into the corresponding online worksheet.

The worksheet also includes a comments section. Any comments related to the validation of a particular record can be entered in the comments text box on the second tab of the online worksheet. These comments will then appear on the printed version of the worksheet. Comments can include the reason a data element failed validation, definitional problems encountered by the validator, the validator's name if the state chooses to record it, or other relevant information.

After completing the Pass or Fail checkbox for each data element to be validated in a sampled record, and entering any relevant comments, the validator should click on the "Save and Exit" button on the online worksheet (as shown in Task 1 of this section).

Follow this same series of tasks for each record in the sample.

## ***II. VALIDATION PROCEDURES***

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### **Task 5—Data Validation Summary/Analytical Report**

The software generates a summary and analytical report after all the data validation sample worksheets have been completed. The report shows the number of errors and the error rates for each data element validated.

Two types of error rates—Overall Error Rate and Reported Data Error Rate—are calculated using the information entered on the worksheets by the state validators. For each data element, the Overall Error Rate is the number of records in which that data element is in error divided by the total number of records sampled, weighted to account for the over- and under-sampling of particular types of records. As particular data elements may not be present in every record sampled, the Reported Data Error Rate includes in the denominator only those records for which the particular data element was validated. Please see Appendix B of the validation handbook for more information about the two types of error rates.

To access the report, click on the **Data Validation** menu and select **Print Summary/Analytical Report**. No data entry is required; this screen is for analytical purposes only. To print the summary and analytical report, click on the printer icon on the tool bar.

## II. VALIDATION PROCEDURES

### TAA Data Validation Summary and Analytical Report

**Period:** 6/30/2005

**State:** NJ

**Number of Cases:** 154

**Number of Cases Completed:** 11

**Wrong SSNs:** 1

**Missing Records:** 1

**Invalid Records:** 1

**Unable To Locate Records:** 1

Data Element	Ref. #	# of Errors	Overall Error Rate	Reported Data Error Rate
Vet	01	1	0.7%	16.7%
DislocDate	02	0	0.0%	0.0%
AppDate	03	0	0.0%	0.0%
Petition	04	1	0.7%	12.5%
EnterTrainDate	05	0	0.0%	0.0%
TrainEndDate	06	1	0.7%	25.0%
TrainComp	07	0	0.0%	0.0%
TRA	08	2	1.5%	40.0%
Waiver	09	1	0.7%	14.3%
ExitDate	10	1	0.7%	12.5%
EmpQtr+1	11	0	0.0%	0.0%
EmpQTR+3	12	1	0.7%	12.5%
Earn3QTRPriorToParticipatic	13	3	2.2%	37.5%
Earn2QTRPriorToParticipatic	14	0	0.0%	0.0%
Earn1QTRAfterExit	15	0	0.0%	0.0%
Earn2QTRAfterExit	16	0	0.0%	0.0%

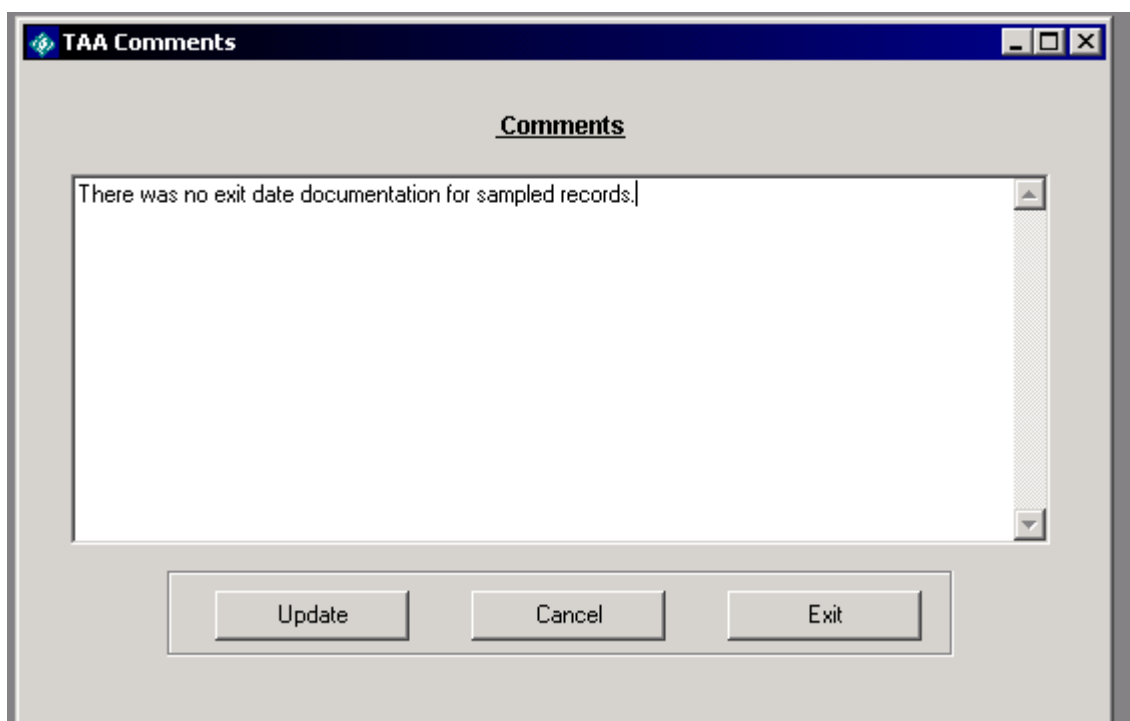
**Comments:**

## ***II. VALIDATION PROCEDURES***

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States may include comments on the summary and analytical report to describe issues encountered during the validation. To do this, click on the **Data Validation** menu and select **Summary/Analytical Comments**. In the text box, enter any comments applicable to the data validation effort, up to 250 words. Click the Update button for the comments to be transferred to the comments section on the summary and analytical report. Click Cancel to return to previously entered comments.



States should determine whether their error rates are acceptable or unacceptable for each data element. Federal quality standards for determining unacceptable error rates will be developed after sufficient data have been collected on the validation results.



## ***II. VALIDATION PROCEDURES***

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### **Task 6 – Submit Validation Results to ETA**

After all validation worksheets have been completed, states must submit their Summary and Analytical Report to ETA via the e-submit functionality of the validation software. Data validation files, including the completed worksheets, summary and analytical reports, and copies of supporting documentation, should be retained on-site for three years for monitoring purposes.

Click on the **Data Validation** menu and select **Export Summary/Analytical**.

After a minute or two, the software will open a web browser. Enter the validation password provided by Traci DiMartini at ETA ([DiMartini.Traci@dol.gov](mailto:DiMartini.Traci@dol.gov)) and click on the Login button. The ETA-provided password must be the TAA validation password, not the TAPR submission password.

Enter your name, e-mail address, and telephone number in the appropriate cells. Then, click on Browse. Use the Choose File window to find the XML file created by the software. The location and name of the file are listed in the white cell on the top of the web browser. Click on the Open button. Then click the Submit button in the web browser.


## II. VALIDATION PROCEDURES

### Path and file name of XML file

Your data has been sent to the following location: Close

C:\Program Files\TAA\11-10-2004\_6\_28\_54\_PM.xml

Signon the DRVS eSubmission site below, browse to, select and transfer your data



U.S. Department of Labor  
Employment & Training Administration

Data Reporting and Validation System **DRVS**

**Submission** Results Confirmation + + + + e-submission

\* Indicates a required field

State: LA  
Program: TAA

Full Name: \*

E-mail Address: \*

Telephone: \*

Locate File: \*

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## II. VALIDATION PROCEDURES

It may take up to a minute for the XML to upload. Once the file has been successfully transmitted, the DRVS Confirmation of Submission screen will appear. Users can choose to print a copy of the confirmation, have a copy e-mailed to them, or logout.

Your data has been sent to the following location: OK

C:\Program Files\TAA\11-10-2004\_6\_28\_54\_PM.xml

Sign on the DRVS eSubmission site below, browse to, select and transfer your data



U.S. Department of Labor  
Employment & Training Administration

Data Reporting and Validation System **DRVS**

Submission Results **Confirmation**+++++ e-submission

### DRVS Confirmation of Submission

Your submission has been successful.

State: LA  
Program: TAA  
Report Name: DEV  
Period: 10/01/2003 - 09/30/2004  
Date: 11/10/2004  
Time: 06:37:10 PM  
Name: Joe Smith

**Note:** If you wish to print or E-mail this confirmation, you must do so from this page. Once you leave this page, you will not be able to return.

**PRINT** Print a copy of this confirmation for your records.  
**E-MAIL** Email this confirmation to SMITH.JOE@STATE.GOV  
**LOGOUT**

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## **II. VALIDATION PROCEDURES**

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Table II.1 and Figure II.1 summarize the TAA data element validation process.

Table II.1: Overview of Data Validation

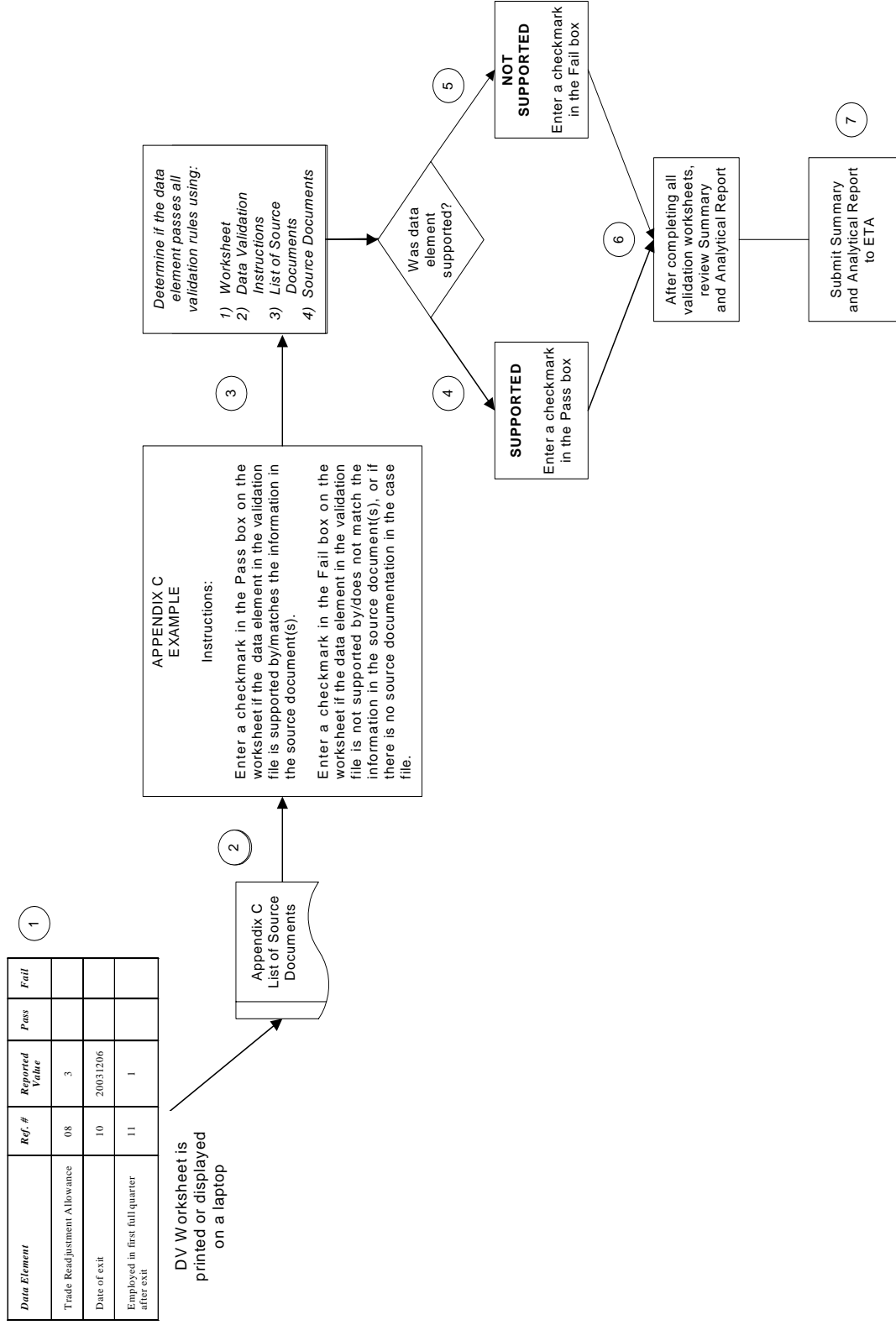
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<b>Task</b>	<b>Task Description</b>
1	The validator assembles validation worksheets for the sampled TAPR records and retrieves the case files corresponding to those records.
2	After obtaining the case file for a sampled case, the validator uses the validation worksheet to locate the first relevant data element that must be validated. Fields for data that are not relevant to a particular record may be blank. For elements where data are present or where the absence of data requires validation, the validator uses the reference number to locate the validation instruction for that data element in Appendix C. Each data element listed in Appendix A gives instructions and acceptable source documentation for validating that element only. An edited definition of the data element is also included in the instructions.
3	The validator obtains one or more of the source documents listed as an acceptable source to validate the element.
4	Following the instructions in Appendix C, the validator determines whether the data element meets the validation criteria based on the information in the source document(s).
5	If the data element is supported by/matches the source document(s), the validator enters a checkmark in the <i>Pass</i> box on the worksheet. If the source document(s) does not support/match the data element or no source document(s) for the data element is in the case file, the validator enters a checkmark in the <i>Fail</i> box on the worksheet, indicating an error.
6	The validator proceeds through each data element for each sampled record in the same manner. The “Comments” section of the worksheet can be used to record notes or to document issues that may be helpful in future validations.
7	After each data element has been validated for every sampled record, the validator reviews the Summary and Analytical Report generated by the software. The validator then e-submits the report to ETA.

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# II. VALIDATION PROCEDURES

FIGURE II.I Flowchart of Data Validation Tasks



### ***III. RECORD LAYOUT***

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Attached is the record layout that should be used to create the extract file of TAA exiters as specified in Section B of Chapter II of this handbook. The file must be in ASCII comma-delimited format or comma separated (CSV) format. Fields must be in the specified order and in the format listed on the record layout. The software will accept files with quotes around all elements or no elements, but not a mix of the two.

The record layout provides the following information:

- Field Number in TAADV validation file
- TAPR field number
- New TAPR data element name
- Old TAPR field number
- Old TAPR data element name
- Valid values – the record will be rejected if the data element does not meet the valid value criteria
- Changes from old TAPR record layout to this new layout
- Edit check logic – the record will be rejected or will receive a warning error if the data element does not meet the edit check logic criteria
- Error type – whether failure to meet the edit check logic results in a warning or reject error
- Error message – the text displayed on the import error report when the data element fails to meet the edit check logic

TAA Edit Checks and Crosswalk

Field No.	New TAPR No.	NEW DATA ELEMENT NAME	Old TAPR No.	OLD DATA ELEMENT NAME	VALID VALUES	CHANGES	EDIT CHECK LOGIC	ERROR TYPE	ERROR MESSAGE
<b>Section I: Identification and Participant Characteristics</b>									
1	OBS		OBS	Sequential number			A. Mandatory Field	<b>A. Reject</b>	A. OBS number is missing.
2	State FIPS Code	1	State Name	XX	Two digit state code in new TAPR replaces full state name in old TAPR.		A. Mandatory Field	<b>A. Reject</b>	A. State code is missing or invalid.
3	Individual Identifier	2	Individual Identifier	XXXXXXXXXX			A. Mandatory Field	<b>A. Reject</b>	A. Individual Identifier is missing or invalid.
4	Date of Birth	3	Date of Birth	YYYYMMDD			A. Mandatory Field	<b>A. Reject</b>	A. Date of Birth is missing or invalid.
5	Gender	4	Gender	1 = Male 2 = Female Blank or 0 = did not self-identify			No additional edit checks		
6	Individual with a Disability	5	Individual with a Disability	1 = Yes 2 = No Blank or 0 = did not self-identify	Two (2) values in new TAPR replaces three (3) values in old TAPR.		No additional edit checks		
7	Ethnicity Hispanic / Latino	6	Ethnicity Hispanic or Latino	1 = Yes 2 = No Blank or 0 = did not self-identify			No additional edit checks		
8	American Indian or Alaska Native	7	American Indian or Alaska Native	1 = Yes Blank or 0 = did not self-identify	One (1) value in new TAPR replaces two (2) values in old TAPR.		No additional edit checks		
9	Asian	8	Asian	1 = Yes Blank or 0 = did not self-identify	One (1) value in new TAPR replaces two (2) values in old TAPR.		No additional edit checks		
10	Black or African American	9	Black or African American	1 = Yes Blank or 0 = did not self-identify	One (1) value in new TAPR replaces two (2) values in old TAPR.		No additional edit checks		
11	Hawaiian Native or other Pacific Islander	10	Hawaiian Native or other Pacific Islander	1 = Yes Blank or 0 = did not self-identify	One (1) value in new TAPR replaces two (2) values in old TAPR.		No additional edit checks		
12	White	11	White	1 = Yes Blank or 0 = did not self-identify	One (1) value in new TAPR replaces two (2) values in old TAPR.		No additional edit checks		
13	Eligible Veteran Status	12	Veteran status	1 = Yes, <= 180 days 2 = Yes, Eligible Veteran 3 = Yes, Other Eligible Person 4 = No	Four (4) values in new TAPR replaces three (3) values in old TAPR.		A. Mandatory Field	<b>A. Reject</b>	A. Eligible Veteran Status is missing or invalid.
14	Employment Status			1 = Employed 2 = Employed, but Received Notice of Termination of Employment or Military Separation 3 = Not Employed	New data element.		A. If TAPR Element #20 (Date of Application) is less than 09/30/2006, then accept "blank" on import. B. If TAPR Element #20 is greater than or equal to 10/01/2006, then reject records that contain a "blank" on import. TAPR Element #13 will essentially become a mandatory field at that point.	<b>A. None. Accept record as long as condition is true.</b> <b>B. Reject</b>	B. Employment Status cannot be blank, if Date of Application (TAPR #20) is on or after 10/1/2006.
15	Limited English Language Proficiency	13	Limited English Language Proficiency	1 = Yes 2 = No			A. Mandatory Field	<b>A. Reject</b>	A. Limited English Language Proficiency must be Yes (1) or No (2).
16	UC Eligible Status	14	Unemployment compensation status	1 = Claimant Referred by WPRS 2 = Claimant Not Referred by WPRS 3 = Exhaustee 4 = Neither Claimant nor Exhaustee	Four (4) values in new TAPR replaces three (3) values in old TAPR.		A. Mandatory Field	<b>A. Reject</b>	A. UC Eligible Status is missing or invalid.
17	Pell Grant Recipient	15	Pell Grant Recipient	1 = Yes 2 = No			A. Mandatory Field	<b>A. Reject</b>	A. Pell Grant Recipient must be Yes (1) or No (2).

TAA Edit Checks and Crosswalk

Field No.	New TAPR No.	NEW DATA ELEMENT NAME	Old TAPR No.	OLD DATA ELEMENT NAME	VALID VALUES	CHANGES	EDIT CHECK LOGIC	ERROR TYPE	ERROR MESSAGE
18	17	Highest School Grade Completed	16	Highest School Grade Completed	00 = No school grades completed 01 - 12 = Number of elementary/secondary school grades completed 13 - 15 = Number of college, or full-time technical or vocational school years completed 16 = Bachelor's degree or equivalent 17 = Education beyond the Bachelor's degree 87 = Attained High School Diploma 88 = Attained GED or Equivalent 89 = Attained Certificate of Attendance/Completion 90 = Attained Other Post-Secondary Degree or Certification 91 = Attained AS/AA Degree or Diploma	87 in new TAPR replaces 12 in old TAPR. 89, 90, 91 are added in new TAPR.	A. Mandatory Field  Note: The TAPR on-line submission module will accept values with and without the field being padded with "0s". For example, the system will accept values of "01" or "1" for the number of elementary/secondary school grades completed.	A. <b>Reject</b>	A. Highest School Grade Completed is missing or invalid.
19	18	Most Recent Date of Qualifying Separation	17	Most Recent Qualifying Separation	YYYYMMDD		A. Mandatory Field B. Must be less than or equal to TAPR Element #42 (Date of Exit)	A. <b>Reject</b> B. <b>Reject</b>	A. Most Recent Date of Qualifying Separation is missing or invalid. B. Most Recent Date of Qualifying Separation is after the Date of Exit (TAPR #42).
20	19	Tenure with Employer at Most Recent Qualifying Separation	18	Tenure with Employer at Qualifying Separation	000		A. Mandatory Field  Note: The TAPR on-line submission module will accept values with and without the field being padded with "0s". For example, the system will accept values of "060" or "60" for the number of months employed with the employer.	A. <b>Reject</b>	A. Tenure with Employer at Most Recent Qualifying Separation is missing or invalid.
21	20	Date of Application	19	Date of Application	YYYYMMDD		A. Mandatory Field	A. <b>Reject</b>	A. Date of Application is missing or invalid.
22	21	Petition Number	20	Petition Number	00000000		A. Mandatory Field  Note: The TAPR on-line submission module will accept values with and without the field being padded with "0s".	A. <b>Reject</b>	A. Petition Number is missing or invalid.
23	22	Program Type	21	Program of participation	1 = TAA 2 = NAFTA-TAA 3 = Both TAA and NAFTA-TAA		A. Mandatory Field	A. <b>Reject</b>	A. Program Type is missing or invalid.
24	23	Date of Program Participation	22	Date of Participation	YYYYMMDD		A. Mandatory Field	A. <b>Reject</b>	A. Date of Program Participation is missing or invalid.



TAA Edit Checks and Crosswalk

Field No.	New TAPR No.	NEW DATA ELEMENT NAME	Old TAPR No.	OLD DATA ELEMENT NAME	VALID VALUES	CHANGES	EDIT CHECK LOGIC	ERROR TYPE	ERROR MESSAGE
<b>Section II: Activity and Service Record</b>									
25	24	Date Entered Training	23	Date Entered Training	YYYYMMDD Blank = did not receive training services		A. Must be blank or less than or equal to TAPR Element #42 (Date of Exit). B. Must have a valid date if either TAPR Element #30 or #31 or #32 or #33 is value 1.	A. <b>Reject</b> B. <b>Reject</b>	A. Date Entered Training is after the Date of Exit (TAPR #42). B. On-the-Job (TAPR #31), Remedial (TAPR #32), or Customized (TAPR #33) Training is indicated, but no Date Entered Training is given.
26	25	Date Completed, or Withdrawn from, Training	24	Date Completed, or Withdrawn from, Training	YYYYMMDD Blank = did not receive training services		A. Must be blank if TAPR Element #24 (Date Entered Training) is blank. B. Must be greater than or equal to TAPR Element #24 if TAPR Element #24 has a valid date. C. Must be less than or equal to TAPR Element #42 (Date of Exit) if a valid date exists.	A. <b>Reject</b> B. <b>Reject</b> C. <b>Reject</b>	A. Date Completed or Withdrawn From Training is specified, but no Date Entered Training (TAPR #24) is given. B. Date Completed or Withdrawn From Training is before the Date Entered Training (TAPR #24). C. Date Completed or Withdrawn From Training is after the Date of Exit (TAPR #42).
27	26	Training Completed	25	Training Completed	1 = Yes 2 = No Blank or 0 = did not receive training services		A. Must be 1 or 2 if TAPR Element #24 (Date Entered Training) has a valid date.	A. <b>Reject</b>	A. Training Completed must be Yes (1) or No (2) if a Date Entered Training (TAPR #24) is specified.
28	27	Travel While in Training	26	Travel While in Training	1 = Yes 2 = No Blank or 0 = did not receive training services		A. Must be 1 or 2 if TAPR Element #24 (Date Entered Training) has a valid date.	A. <b>Reject</b>	A. Travel While in Training must be Yes (1) or No (2) if a Date Entered Training (TAPR #24) is specified.
29	28	Subsistence While in Training	27	Subsistence While in Training	1 = Yes 2 = No Blank or 0 = did not receive training services		A. Must be 1 or 2 if TAPR Element #24 (Date Entered Training) has a valid date.	A. <b>Reject</b>	A. Subsistence While in Training must be Yes (1) or No (2) if a Date Entered Training (TAPR #24) is specified.
30	29	Occupational Skill Training Code	28	Occupational Skill Training Code	00000000 Blank = code is not available or did not receive training service		A. Must be blank or 00000000 if TAPR #24 (Date Entered Training) is blank Note: The TAPR on-line submission module will accept values with and without the field being padded with "0s".	A. <b>Reject</b>	A. Occupational Skill Training Code is specified, but no Date Entered Training (TAPR #24) is given.
31	30	Received Occupational Skills (classroom) Training	29	Occupational code system	1 = Yes 2 = No Blank or 0 = did not receive training services		A. Must be 1 or 2 if TAPR Element #24 (Date Entered Training) has a valid date.	A. <b>Reject</b>	A. Received Occupational Skills Training must be Yes (1) or No (2) if a Date Entered Training (TAPR #24) is specified.
32	31	Received On-the-Job Training	31	Received On-the-Job Training	1 = Yes 2 = No Blank or 0 = did not receive training services		A. Must be 1 or 2 if TAPR Element #24 (Date Entered Training) has a valid date.	A. <b>Reject</b>	A. Received On-the-Job Training must be Yes (1) or No (2) if a Date Entered Training (TAPR #24) is specified.
33	32	Received Remedial Training	32	Received Remedial Training	1 = Yes 2 = No Blank or 0 = did not receive training services		A. Must be 1 or 2 if TAPR Element #24 (Date Entered Training) has a valid date.	A. <b>Reject</b>	A. Received Remedial Training must be Yes (1) or No (2) if a Date Entered Training (TAPR #24) is specified.
34	33	Received Customized Training	33	Trade Readjustment Allowances (TRA)	1 = Yes 2 = No Blank or 0 = did not receive training services		A. Must be 1 or 2 if TAPR Element #24 (Date Entered Training) has a valid date.	A. <b>Reject</b>	A. Received Customized Training must be Yes (1) or No (2) if a Date Entered Training (TAPR #24) is specified.
35	34	Basic Trade Readjustment Allowances (TRA)	33	Trade Readjustment Allowances (TRA)	1 = Yes 2 = No		A. Mandatory Field	A. <b>Reject</b>	A. Basic Trade Readjustment Allowances must be Yes (1) or No (2).
36	35	Additional Trade Readjustment Allowances (TRA)	33	Trade Readjustment Allowances (TRA)	1 = Yes 2 = No		A. Mandatory Field	A. <b>Reject</b>	A. Additional Trade Readjustment Allowances must be Yes (1) or No (2).
37	36	Remedial Trade Readjustment Allowances (TRA)	33	Trade Readjustment Allowances (TRA)	1 = Yes 2 = No		A. Mandatory Field	A. <b>Reject</b>	A. Remedial Trade Readjustment Allowances must be Yes (1) or No (2).

TAA Edit Checks and Crosswalk

Field No.	New TAPR No.	NEW DATA ELEMENT NAME	Old TAPR No.	OLD DATA ELEMENT NAME	VALID VALUES	CHANGES	EDIT CHECK LOGIC	ERROR TYPE	ERROR MESSAGE
38	37	Waiver from Training Requirement	34	Waiver from Training Requirement	1 = Recall 2 = Marketable Skills 3 = Retirement 4 = Health 5 = Enrollment Unavailable 6 = Training Not Available 7 = Reason Unknown/Served Prior to 2002 Amendments 0 = did not receive training waiver	Seven (7) values in new TAPR replaces two (2) values in old TAPR.	A. Mandatory Field	A. <b>Reject</b>	A. Waiver from Training Requirement is missing or invalid.
39	38	Job Search Allowance	35	Job Search Allowance	1 = Yes 2 = No		A. Mandatory Field	A. <b>Reject</b>	A. Job Search Allowance must be Yes (1) or No (2).
40	39	Relocation Allowance	36	Relocation Allowance	1 = Yes 2 = No		A. Mandatory Field	A. <b>Reject</b>	A. Relocation Allowance must be Yes (1) or No (2).
41	40	Date of WIA Title IB Participation	37	Date of registration	YYYYMMDD Blank = did not receive services funded by a WIA Title IB or National Emergency Grant program		A. Must be less than or equal to TAPR Element #42 (Date of Exit) if a valid date exists	A. <b>Reject</b>	A. Date of WIA Title IB Participation is after the Date of Exit (TAPR #42).
42	41	Other Federal Co-Enrollment	38	Other Federal Co-Enrollment	1 = WIA Dislocated Worker 2 = Nat'l Emergency Grant 3 = Both 1 and 2 above 4 = Other Federal Employment and Job Training Program (in addition to either 1 or 2 or both) 5 = Other Federal Employment and Job Training Program (not including either 1 or 2) 0 = not enrolled in any other Federal program		A. Mandatory Field B. Must be 1, 2, 3, 4, or 5 if TAPR Element #40 (Date of WIA Title IB Participation) has a valid date.	A. <b>Reject</b> B. <b>Reject</b>	A. Other Federal Co-Enrollment is missing or invalid. B. Field value for Other Federal Co-Enrollment must be 1-5 if a Date of WIA Title IB Participation (TAPR #40) is specified.

TAA Edit Checks and Crosswalk

Field No.	New TAPR No.	New DATA ELEMENT NAME	Old TAPR No.	OLD DATA ELEMENT NAME	VALID VALUES	CHANGES	EDIT CHECK LOGIC	ERROR TYPE	ERROR MESSAGE
<b>Section III: Outcomes</b>									
43	42	Date of Exit	39	Date of Exit	YYYYMMDD		A. Mandatory Field B. Must be greater than or equal to TAPR Element #23 (Date of Program Participation)	A. <b>Reject</b> B. <b>Reject</b>	A. Date of Exit is missing or invalid. B. Date of Exit is on or before the Date of Program Participation (TAPR #23).
44	43	Other Reasons for Exit (at time of exit or during 3-quarter measurement period following the quarter of exit)			01 Institutionalized 02 Health/Medical 03 Deceased 04 Family Care 05 Reserve Forces Called to Active Duty 98 Retirement 99 Not a Valid SSN Blank or 00 = exited for a reason other than one of the conditions listed above	New data element.	No additional edit checks		
45	44	Employed in 1st Quarter After Exit Quarter	40	Employed in 1st full quarter after exit	1 = Yes 2 = No		A. Must be 1 if TAPR 45 (Type of Employment Match 1st Quarter After Exit Quarter) is 1-5. B. Must be 2 if TAPR 45 is Blank or 0. C. Mandatory Field	A. <b>Reject</b> B. <b>Reject</b> C. <b>Reject</b>	A. Employed in 1st Quarter After Exit must be Yes (1) if Type of Employment Match is Wage or Employment Records (1-4) or Supplemental (5). B. Employed in 1st Quarter After Exit must be No (2) if Type of Employment Match is Not Employed (blank or 0). C. Employed in 1st Quarter After Exit must be Yes (1) or No (2).
46	45	Type of Employment Match 1st Quarter After Exit Quarter			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 Blank or 0 = was not employed in the first quarter after the exit quarter	New data element.	A. Must be 1-4 if TAPR 54 (Wages 1st Quarter After Exit Quarter) is >0 and <-999999.99. B. Must be 0, 5, or blank if TAPR 54 is 0 or blank.	A. <b>Reject</b> B. <b>Reject</b>	A. Type of Employment Match 1st Quarter After Exit Quarter must be Wage or Employment Records (1-4) if Wages > 0. B. Type of Employment Match 1st Quarter After Exit Quarter must be Supplemental (5) or Not Employed (blank or 0) if Wages is blank or 0.
47	46	Occupational Code of Employment (if available)	41	Occupational Code (if available)	00000000	Numeric code in new TAPR replaces alphanumeric code in old TAPR.	No additional edits Note: The TAPR on-line submission module will accept values with and without the field being padded with "0s".		
			42	Occupational code system		Deleted in new TAPR.			
48	47	Employed in 2nd Quarter After Exit Quarter			1 = Yes 2 = No	New data element.	A. Must be 1 if TAPR 48 (Type of Employment Match 2nd Quarter After Exit Quarter) is 1-5. B. Must be 2 if TAPR 48 is Blank or 0. C. Mandatory Field	A. <b>Reject</b> B. <b>Reject</b> C. <b>Reject</b>	A. Employed in 2nd Quarter After Exit must be Yes (1) if Type of Employment Match is Wage or Employment Records (1-4) or Supplemental (5). B. Employed in 2nd Quarter After Exit must be No (2) if Type of Employment Match is Not Employed (blank or 0). C. Employed in 2nd Quarter After Exit must be Yes (1) or No (2).

TAA Edit Checks and Crosswalk

Field No.	New TAPR No.	New DATA ELEMENT NAME	Old TAPR No.	OLD DATA ELEMENT NAME	VALID VALUES	CHANGES	EDIT CHECK/LOGIC	ERROR TYPE	ERROR MESSAGE
49	48	Type of Employment Match 2nd Quarter After Exit Quarter			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 Blank or 0 = was not employed in the second quarter after the exit quarter	New data element.	A. Must be 1-4 if TAPR 55 (Wages 2nd Quarter After Exit Quarter) is >0 and <-999999.99. B. Must be 0, 5, or blank if TAPR 55 is 0 or blank.	A. <b>Reject</b> B. <b>Reject</b>	A. Type of Employment Match 2nd Quarter After Exit Quarter must be Wage or Employment Records (1-4) if Wages > 0. B. Type of Employment Match 2nd Quarter After Exit Quarter must be Supplemental (5) or Not Employed (blank or 0) if Wages is blank or 0.
50	49	Employed in 3rd Quarter After Exit Quarter	43	Employed in 3rd full quarter after exit	1 = Yes 2 = No	Two (2) values in new TAPR replaces three (3) values in old TAPR.	A. Must be 1 if TAPR 50 (Type of Employment Match 3rd Quarter After Exit Quarter) is 1-5. B. Must be 2 if TAPR 50 is Blank or 0. C. Mandatory Field	A. <b>Reject</b> B. <b>Reject</b> C. <b>Reject</b>	A. Employed in 3rd Quarter After Exit must be Yes (1) if Type of Employment Match is Wage or Employment Records (1-4) or Supplemental (5). B. Employed in 3rd Quarter After Exit must be No (2) if Type of Employment Match is Not Employed (blank or 0). C. Employed in 3rd Quarter After Exit must be Yes (1) or No (2).
51	50	Type of Employment Match 3rd Quarter After Exit Quarter			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 Blank or 0 = was not employed in the third quarter after the exit quarter	New data element.	A. Must be 1-4 if TAPR 56 (Wages 3rd Quarter After Exit Quarter) is >0 and <-999999.99. B. Must be 0, 5, or blank if TAPR 56 is 0 or blank.	A. <b>Reject</b> B. <b>Reject</b>	A. Type of Employment Match 3rd Quarter After Exit Quarter must be Wage or Employment Records (1-4) if Wages > 0. B. Type of Employment Match 3rd Quarter After Exit Quarter must be Supplemental (5) or Not Employed (blank or 0) if Wages is blank or 0.
52	51	Wages 3rd Quarter Prior to Participation Quarter	44	Three quarters prior to most recent qualifying separation	000000.00 Blank = element does not apply	Eight (8) digit figure in new TAPR replaces seven (7) digit figure in old TAPR.	A. Must be >=0 and <-999999.99 or blank. B. Must not be > 100000.00 and <-999999.99.	A. <b>Reject</b> B. <b>Warning</b>	A. Wages 3rd Quarter Prior to Participation are invalid. B. Wages 3rd Quarter Prior to Participation cannot be > 100000.
53	52	Wages 2nd Quarter Prior to Participation Quarter	45	Two quarters prior to most recent qualifying separation	000000.00 Blank = element does not apply	Eight (8) digit figure in new TAPR replaces seven (7) digit figure in old TAPR.	A. Must be >=0 and <-999999.99 or blank. B. Must not be > 100000.00 and <-999999.99.	A. <b>Reject</b> B. <b>Warning</b>	A. Wages 2nd Quarter Prior to Participation are invalid. B. Wages 2nd Quarter Prior to Participation cannot be > 100000.
54	53	Wages 1st Quarter Prior to Participation Quarter			000000.00 Blank = element does not apply	New data element.	A. Must be >=0 and <-999999.99 or blank. B. Must not be > 100000.00 and <-999999.99.	A. <b>Reject</b> B. <b>Warning</b>	A. Wages 1st Quarter Prior to Participation are invalid. B. Wages 1st Quarter Prior to Participation cannot be > 100000.
55	54	Wages 1st Quarter After Exit Quarter	46	First quarter following exit	000000.00 Blank = element does not apply	Eight (8) digit figure in new TAPR replaces seven (7) digit figure in old TAPR.	A. Must be >=0 and <-999999.99 or blank. B. Must not be >50000.00 and <-999999.99.	A. <b>Reject</b> B. <b>Warning</b>	A. Wages 1st Quarter After Exit Quarter are invalid. B. Wages 1st Quarter After Exit Quarter cannot be > 50000.
56	55	Wages 2nd Quarter After Exit Quarter	47	Second quarter following exit	000000.00 Blank = element does not apply	Eight (8) digit figure in new TAPR replaces seven (7) digit figure in old TAPR.	A. Must be >=0 and <-999999.99 or blank. B. Must not be >50000.00 and <-999999.99.	A. <b>Reject</b> B. <b>Warning</b>	A. Wages 2nd Quarter After Exit Quarter are invalid. B. Wages 2nd Quarter After Exit Quarter cannot be > 50000.
57	56	Wages 3rd Quarter After Exit Quarter	48	Third quarter following exit	000000.00 Blank = element does not apply	Eight (8) digit figure in new TAPR replaces seven (7) digit figure in old TAPR.	A. Must be >=0 and <-999999.99 or blank. B. Must not be >50000.00 and <-999999.99.	A. <b>Reject</b> B. <b>Warning</b>	A. Wages 3rd Quarter After Exit Quarter are invalid. B. Wages 3rd Quarter After Exit Quarter cannot be > 50000.

TAA Edit Checks and Crosswalk

Field No.	New TAPR No.	NEW DATA ELEMENT NAME	Old TAPR No.	OLD DATA ELEMENT NAME	VALID VALUES	CHANGES	EDIT CHECK LOGIC	ERROR TYPE	ERROR MESSAGE
58	57	Recalled by Layoff Employer	49	Recalled by Layoff Employer	1 = Yes 2 = No		A. Mandatory Field	A. Reject	A. Recalled by Layoff Employer must be Yes (1) or No (2).
59	58	Participated in ATAA			1 = Yes 2 = No	New data element.	A. Mandatory Field	A. Reject	A. Participated in ATAA must be Yes (1) or No (2).
60		Sampling Unit			Number		No additional edit checks		
61		WIB Name			Text		No additional edit checks		
62		Office Name			Text		No additional edit checks		
63		Case Manager			Text		No additional edit checks		
64		User Field			Text		No additional edit checks		

## **APPENDIX A**

### **PERFORMANCE MEASURE SPECIFICATIONS**

This appendix provides the specifications used by the software to assign the TAA exiters to performance outcome groups and to calculate the entered employment, retention, and average earnings measures. Performance is calculated using the common performance measure calculation specifications used by the WIA and Employment Service programs.

## I. PERFORMANCE OUTCOME GROUP SPECIFICATIONS

As described in Chapter I, participants who exit the TAA program after receiving employment and training services are included in three performance measures:

- The *Entered Employment* measure calculates the percentage of exiters in the fiscal year TAPR file who were employed in the first full quarter after the exit quarter. This measure is calculated as follows:

*Of those who are not employed at the date of participation:*

$$\frac{\text{\# of participants who are employed in the first quarter (qtr) after the exit qtr}}{\text{\# of participants who exit during the qtr}}$$

- The *Employment Retention* measure calculates the percentage of those exiters in the entered employment rate numerator who were still employed in the second and third full quarters after exit. This measure is calculated as follows:

$$\frac{\text{\# of participants who are employed in both the second and third qtrs after the exit qtr}}{\text{\# of participants who are employed in the first quarter after the exit qtr}}$$

- The *Average Earnings* measure is the total post-program earnings from wage records in the second plus third quarters after exit divided by the number of adults in the employment retention numerator for whom wage records are available. This measure is calculated as follows:

[Total earnings in the second quarter plus total earnings in the third quarter after the exit quarter]

---

# of participants who are employed in the first, second, and third quarters after the exit qtr

The Performance Measure report generated by the TAADV software lists the three TAA performance measures as well as the numerators and denominators used to calculate each measure. The numerators and denominators are derived from the number of participants assigned to each of the corresponding performance outcome groups by the TAADV software.

Figure A.1 shows how the individual records in the TAPR file are assigned by the software to one of 25 outcome groups based on the participants' pre- and post-program employment status, employment retention status, and the source used for recording participant earnings. The TAADV determines the number of participants who fit each outcome group and computes the three performance measures based on the number of participants in each group.

Organizing the records into outcome groups serves two purposes. First, it provides the numerical counts used in calculating the performance outcome measures (see Appendix B for the detailed specifications). Second, it serves as a useful tool for analyzing performance outcomes and factors that may influence performance.

Columns 6 through 10 of Figure A.1 show how the count of participants in each group, or the sum of their earnings for the average earnings measure, is used in the calculation of each performance measure. For example, participants in group 1 are included in the numerators and denominators of the entered employment and retention rates, and their earnings are included in numerator of the average earnings measure.



EXHIBIT A.1

25 GROUPS OF TAA EXITERS USED TO CALCULATE  
ENTERED EMPLOYMENT, RETENTION AND AVERAGE EARNINGS

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Group	Emp Status	Emp Qtr+1	Type Match Qtr+1	Emp Qtr+2	Type Match Qtr+2	Emp Qtr+3	Type Match Qtr+3	Other Reasons for Exit	EER Num	EER Den	Ret Num	Ret Den	Earn
1	UnEmp	Emp	Wage	Emp	Wage	Emp	Wage	No	Yes	Yes	Yes	Yes	Yes
2	UnEmp	Emp	Wage	Emp	Wage	Emp	Supp	No	Yes	Yes	Yes	Yes	No
3	UnEmp	Emp	Wage	Emp	Supp	Emp	Wage	No	Yes	Yes	Yes	Yes	No
4	UnEmp	Emp	Wage	Emp	Supp	Emp	Supp	No	Yes	Yes	Yes	Yes	No
5	UnEmp	Emp	Supp	Emp	Wage	Emp	Wage	No	Yes	Yes	Yes	Yes	No
6	UnEmp	Emp	Supp	Emp	Wage	Emp	Supp	No	Yes	Yes	Yes	Yes	No
7	UnEmp	Emp	Supp	Emp	Supp	Emp	Wage	No	Yes	Yes	Yes	Yes	No
8	UnEmp	Emp	Supp	Emp	Supp	Emp	Supp	No	Yes	Yes	Yes	Yes	No
9	UnEmp	Emp	NA	Emp	NA	UnEmp	NA	No	Yes	Yes	No	Yes	No
10	UnEmp	Emp	NA	UnEmp	NA	Emp	NA	No	Yes	Yes	No	Yes	No
11	UnEmp	Emp	NA	UnEmp	NA	UnEmp	NA	No	Yes	Yes	No	Yes	No
12	UnEmp	UnEmp	NA	NA	NA	NA	NA	No	No	Yes	No	No	No
13	Emp	Emp	Wage	Emp	Wage	Emp	Wage	No	No	No	Yes	Yes	Yes
14	Emp	Emp	Wage	Emp	Wage	Emp	Supp	No	No	No	Yes	Yes	No
15	Emp	Emp	Wage	Emp	Supp	Emp	Wage	No	No	No	Yes	Yes	No
16	Emp	Emp	Wage	Emp	Supp	Emp	Supp	No	No	No	Yes	Yes	No
17	Emp	Emp	Supp	Emp	Wage	Emp	Wage	No	No	No	Yes	Yes	No
18	Emp	Emp	Supp	Emp	Wage	Emp	Supp	No	No	No	Yes	Yes	No
19	Emp	Emp	Supp	Emp	Supp	Emp	Wage	No	No	No	Yes	Yes	No
20	Emp	Emp	Supp	Emp	Supp	Emp	Supp	No	No	No	Yes	Yes	No
21	Emp	Emp	NA	Emp	NA	UnEmp	NA	No	No	No	No	Yes	No
22	Emp	Emp	NA	UnEmp	NA	Emp	NA	No	No	No	No	Yes	No
23	Emp	Emp	NA	UnEmp	NA	UnEmp	NA	No	No	No	No	Yes	No
24	Emp	UnEmp	NA	NA	NA	NA	NA	No	No	No	No	No	No
25	NA	NA	NA	NA	NA	NA	NA	Yes	No	No	No	No	No

## II. PERFORMANCE MEASURE CALCULATION SPECIFICATIONS

The following specifications detail how ETA calculates the three TAA performance measures using the TAPR submission. These specifications are also used by the TAADV software to calculate the three TAA measures.

**Entered  
Employment Rate**

**Numerator:**

Count of unique RECORDS where (EMPLOYMENT STATUS AT PARTICIPATION = 2 or EMPLOYMENT STATUS AT PARTICIPATION = 3) and ((EMPLOYED 1ST QUARTER AFTER EXIT QUARTER = 1 and TYPE OF EMPLOYMENT MATCH 1ST QUARTER AFTER EXIT QUARTER = 5) or (WAGES 1ST QUARTER AFTER THE EXIT QUARTER > 0 and WAGES 1ST QUARTER AFTER THE EXIT QUARTER < 999999)) and DATE OF EXIT is within the report period and (OTHER REASONS FOR EXIT = 00 or OTHER REASONS FOR EXIT = 98 or OTHER REASONS FOR EXIT is null).

**divided by**

**Denominator:**

Count of unique RECORDS where EMPLOYMENT STATUS AT PARTICIPATION is 2 or 3 and DATE OF EXIT is within the report period and (OTHER REASONS FOR EXIT = 00 or OTHER REASONS FOR EXIT = 98 or OTHER REASONS FOR EXIT is null).

**Employment  
Retention Rate**

**Numerator:**

Count of unique RECORDS where ((EMPLOYED 1ST QUARTER AFTER EXIT QUARTER = 1 and TYPE OF EMPLOYMENT MATCH 1ST QUARTER AFTER EXIT QUARTER = 5) or (WAGES 1ST QUARTER AFTER THE EXIT QUARTER > 0 and WAGES 1ST QUARTER AFTER THE EXIT QUARTER < 999999)) and ((EMPLOYED 2ND QUARTER AFTER EXIT QUARTER = 1 and TYPE OF EMPLOYMENT MATCH 2ND QUARTER AFTER EXIT QUARTER = 5) or (WAGES 2ND QUARTER AFTER THE EXIT QUARTER > 0 and WAGES 2ND QUARTER AFTER THE EXIT QUARTER < 999999)) and ((EMPLOYED 3RD QUARTER AFTER EXIT QUARTER = 1 and TYPE OF EMPLOYMENT MATCH 3RD QUARTER AFTER EXIT QUARTER = 5) or (WAGES 3RD QUARTER AFTER EXIT QUARTER > 0 and WAGES 3RD QUARTER AFTER EXIT QUARTER < 999999)) and DATE OF EXIT is within the report period and (OTHER REASONS FOR EXIT = 00 or OTHER REASONS FOR EXIT = 98 or OTHER REASONS FOR EXIT is null).

**divided by**

**Denominator:**

Count of unique RECORDS where ((EMPLOYED 1ST QUARTER AFTER EXIT QUARTER = 1 and TYPE OF EMPLOYMENT MATCH 1ST QUARTER AFTER EXIT QUARTER = 5) or (WAGES 1ST QUARTER AFTER THE EXIT QUARTER > 0 and WAGES 1ST QUARTER AFTER THE EXIT QUARTER < 999999)) and DATE OF EXIT is within the report period and (OTHER REASONS FOR EXIT = 00 or OTHER REASONS FOR EXIT = 98 or OTHER REASONS FOR EXIT is null).

**Average Earnings Numerator:**

Sum of (WAGES 2nd QUARTER AFTER THE EXIT QUARTER and WAGES 3rd QUARTER AFTER THE EXIT QUARTER) where (WAGES 1ST QUARTER AFTER EXIT QUARTER > 0 and WAGES 1ST QUARTER AFTER EXIT QUARTER < 999999.99) and (WAGES 2nd QUARTER AFTER EXIT QUARTER > 0 and WAGES 2nd QUARTER AFTER EXIT QUARTER < 999999.99) and (WAGES 3rd QUARTER AFTER EXIT QUARTER > 0 and WAGES 3rd QUARTER AFTER EXIT QUARTER < 999999.99) and DATE OF EXIT is within the reporting period and (OTHER REASONS FOR EXIT is null or OTHER REASONS FOR EXIT = 00 or OTHER REASONS FOR EXIT = 98)

**divided by**

**Denominator:**

Count of unique RECORDS where (WAGES 1ST QUARTER AFTER EXIT QUARTER > 0 and WAGES 1ST QUARTER AFTER EXIT QUARTER < 999999.99) and (WAGES 2nd QUARTER AFTER EXIT QUARTER > 0 and WAGES 2nd QUARTER AFTER EXIT QUARTER < 999999.99) and (WAGES 3rd QUARTER AFTER EXIT QUARTER > 0 and WAGES 3rd QUARTER AFTER EXIT QUARTER < 999999.99) and DATE OF EXIT is within the reporting period and (OTHER REASONS FOR EXIT is null or OTHER REASONS FOR EXIT = 00 or OTHER REASONS FOR EXIT = 98).

## **APPENDIX B**

### **DEV SAMPLING AND ERROR RATE ESTIMATION**

The primary data validation objective is to identify the sources of error (that is, which data elements or which kinds of cases are more prone to error) and to provide error information for selected data elements irrespective of whether or not they are used to measure performance. This appendix discusses the general approach to error rate estimation (Section A) and detailed sampling specifications for TAA (Section B).

## **A. GENERAL APPROACH**

The sample design for TAA is a stratified sample. The software randomly selects records with differential sampling rates by the type of record. Participant subgroups are over-sampled if they are determined to be very important for calculating performance outcomes, and if they have a higher risk of error. Records are randomly sampled within the subgroups. Sample sizes vary by state, with smaller states having smaller samples than larger states for two reasons. First, to achieve a given level of precision, smaller states require smaller sample sizes than larger states. Second, precision requirements are relaxed to reduce the relative burden on smaller states of validating data. The sample design also clusters the sample in a small number of offices.

This design yields estimates that have a variance that exceeds the variance of a simple random sample. Currently, we assume the variance to be twice that of a simple random sample (a “design effect” of 2). After data validation has been implemented for a sufficient period of time, an analysis will be conducted to estimate the true design effect and to determine how much it varies from current estimates. The results of this analysis will be used to refine the sample design.

After the records are validated, the software uses the validation results to generate error rate estimates using two methods. With the first method (Overall Error Rate), the error rates equal the total number of records in error for a particular data element divided by the number of records sampled, weighted to account for the over- and under-sampling of particular types of records.

As particular data elements may not be present in every record, the second method (Reported Data Error Rate) includes in the denominator only those records for which that particular data element was validated. With this method of calculation, the error rates equal the total number of records in error for a particular data element divided by the number of records for which that data element was

validated, weighted to account for the over- and under-sampling of certain types of records.

For example, if 100 records are sampled, only 50 have a particular data element, and there are 5 errors in that data element, the first method results in an error rate of 5 divided by 100, or 5 percent, while the second method results in an error rate of 5 divided by 50, or 10 percent.<sup>1</sup> The Data Validation Summary and Analytical Report uses both methods to list the percent error for each data element validated.

## **B. SAMPLING SPECIFICATIONS**

As described in Section A, the software selects a sample of exiters by creating a clustered, stratified sample in order to minimize the burden that data validation imposes on states and local offices and still provide sufficiently precise results. The software first selects a sample of offices.<sup>2</sup> From the sampled offices, the software selects a sample of records of exiters. The size of the samples varies by state with precision estimates for small states reduced to minimize the burden validation imposes on them.

To decide which offices to sample, the software weights the records for each office. The weights are based on the risk that the data may be incorrect and the importance of the record for measuring performance. Data elements related to employment and source of employment information are subject to the greatest risk of error and are the most important for calculating performance. Supplemental sources for wages are the riskiest data, followed by wage records. Data that indicate an individual is unemployed present the least risk. Based upon these risk assessments, records that use supplemental sources to demonstrate an individual's employment in the first and/or third quarter after exit receive a weight of 3, records that use wage records to demonstrate an individual's employment receive a weight of 2, and records for individuals who are unemployed receive a weight of 1.

The software creates a weight for each office by summing the weights of each of the office's records. The software then selects specific offices based on the

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<sup>1</sup>Weighting for over- or under-sampling was not considered in this example.

<sup>2</sup>Some states may receive data by Workforce Investment Boards (WIBs), not by offices. In this case, the software selects WIBs as the primary sampling unit instead of offices.

offices' weighted values. The number of offices (n) selected is a function of the number of offices in the entire state (N). The more offices sampled, the greater the accuracy of the estimates. As more offices are sampled, the burden that validation imposes on the state increases.

Table B.1 below shows the sampling rule the software uses to determine the number of offices to sample. Column A provides ranges for the number of offices in a state. Column B provides the number of offices selected. Thus, for a large state with 250 or more offices, the software selects 30 offices, as shown in Row 1 of the table. For a medium size state with 80 offices, the software selects 15 offices, as shown in Row 4 of the table.

TABLE B.1 Office Sampling

	<b>A</b>	<b>B</b>
	Number of Offices in State (N)	Number of Offices Sampled (n)
<b>1</b>	250 or more	30
<b>2</b>	200-249	25
<b>3</b>	100-199	20
<b>4</b>	75-99	15
<b>5</b>	30-74	10
<b>6</b>	7-29	7
<b>7</b>	Fewer than 7	All

The software automatically selects any office(s) that accounts for  $0.8 \times 1/n$  or more of the state's total weight.<sup>3</sup> The remaining offices are randomly selected based on their weighted value.

Next, the software selects the individual records to validate, selecting a sample of records from the sampled offices. The probabilities of selection are proportional to the weights assigned to each record. Consequently, a greater proportion of

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<sup>3</sup>The initial weights and number of offices are estimates. The pilot validation and early implementation will provide data to determine if the estimates are correct. If the information gained from these studies suggests that the estimates are incorrect, they will be adjusted accordingly.



records with supplemental wage data will be selected than would be in a simple random sample.

Table B.2 below illustrates how the software determines the sample size. Column A gives ranges for the number of exiters. Depending upon the number of exiters, the software selects a level of precision, shown in Column B.<sup>4</sup> Column C provides a range for the number of records to be sampled for validation. For example, if a state has 480 exiters, the software selects a sample of between 100 and 150 records to validate, providing a precision level of 3.5 percent.

TABLE B.2

EXITER RECORD SAMPLING

	A	B	C
	# of Exiters	Confidence Interval <sup>5</sup>	Range of Sample
1	300 or greater	3.5%	100-150 <sup>6</sup>
2	0-299	4%	0-83

After the sampled records are validated, the software determines error rates for each of the data elements specified. Because the software clusters and stratifies the samples, it must weight the results yielding final weighted error rates for each data element.

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<sup>4</sup>Precision is determined by the confidence interval. Confidence intervals measure the accuracy of the estimate. For example, a data element with a 7 percent error rate might have a +/- 2 percent degree of accuracy. The +/- 2 percent is the confidence interval. In this example, the confidence interval means that while the error rate is given as 7 percent, the actual error rate is between 5 and 9 percent.

<sup>5</sup>Several factors must be incorporated into the calculation of the confidence interval. Because of the small sample size, a finite population correction (fpc) needs to be incorporated into the calculations. Assumptions about the accuracy of the error estimate are also incorporated; the calculations assume a confidence interval at a 0.05 level for a two-tail test.

<sup>6</sup>The sample size will not exceed 150 participants per group.

## **APPENDIX C**

### **DEV INSTRUCTIONS**

Appendix C provides instructions for validating each data element listed on the data validation worksheets. The instructions have the following components:

**Data Element:** The participant characteristic to be validated, as listed on the record layout and validation worksheet.

**Reference #:** The number corresponding to each data element on the validation worksheet.

**Format:** The format in which each data element value should be recorded in the imported TAPR file.

**Definition:** Definition of the data element being validated.

**Federal Sources:** The definitive federal sources of information for validating each data element.

**State Version of Sources:** The state version of the sources of information for validating each data element. Some state sources may be directly available to state staff, while other documentation may be stored at the local level. States have flexibility to determine the most efficient source to use for validation when more than one source is available.

**Instructions:** Rules that instruct the validator on how to validate each data element listed on the worksheet.

The validator identifies each data element on the worksheet and then locates the corresponding instructions for that data element using the reference number listed on the validation worksheet. The validator then follows the instructions for validating that particular data element.

Although the instructions for different data elements may be similar, the validator should read each instruction carefully because in some cases a blank data element is *not* validated, while in others (such as wage records) a blank data element *must be* validated.

Please refer to Chapter II, Section D—Data Element Validation—for detailed information on using these instructions to conduct 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.*

<b>Data Element</b>	<b>Number</b>	<b>Ref #</b>	<b>Format</b>	<b>Definition</b>	<b>Federal Sources</b>	<b>State/Grantee</b>	<b>Instructions</b>
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

<b>Data Element</b>	<b>Number</b>	<b>Ref #</b>	<b>Format</b>	<b>Definition</b>	<b>Federal Sources</b>	<b>State/Grantee</b>	<b>Instructions</b>
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

<b>Data Element</b>	<b>Number</b>	<b>Ref #</b>	<b>Format</b>	<b>Definition</b>	<b>Federal Sources</b>	<b>State/Grantee</b>	<b>Instructions</b>
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

<b>Data Element</b>	<b>Number</b>	<b>Ref #</b>	<b>Format</b>	<b>Definition</b>	<b>Federal Sources</b>	<b>State/Grantee</b>	<b>Instructions</b>
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



## **APPENDIX D**

### **TAADV SOFTWARE INSTALLATION**

This appendix provides instructions on how to install the TAADV software.

### **Task 1—Uninstall the Prior Version of TAADV**

Before you install a new version of the TAA software, it is recommended that you uninstall the existing version of the software. Please follow the normal process for uninstalling software on your computer.

To uninstall the TAA software using Windows 2000 or Windows XP, select Start, then Settings, then Control Panel. In the Control Panel, double click on Add/Remove Programs. Click on TAA. Then, click on Change/Remove. Follow the InstallShield instructions to remove the software.

Users may need to contact their system administrator to uninstall the application.

### **Task 2—Download Software**

Before starting installation of the software, quit any other programs that may be running. Download the software to your PC from the Internet at [http://www.doleta.gov/performance/reporting/tools\\_datavalidation.cfm](http://www.doleta.gov/performance/reporting/tools_datavalidation.cfm). Do not download the software to your C:\Program Files folder as this is the default installation location.

Click on “setup.exe”. The InstallShield Wizard window will pop up. Click on the “Next” button. Complete the Customer Information window as necessary, and click on “Next.” Users may need to contact their system administrator in order to install the application.

### **Minimum system requirements:**

Operating System - Microsoft Windows 2000 or better  
RAM - 256 megabytes  
Disk Space - 500 megabytes  
Processor - 100 mhz Pentium III (or equivalent processor)  
Suggested screen area - 800x600

### **Task 3—Restart Computer**

After completing installation of the TAADV, reboot your computer before continuing any further.

### **Task 4—Fix Database/Data Source Errors During Installation**

For some users of Windows 2000, XP and NT, the data source may not be linked to the correct database or to any databases, which prevents the application from functioning.

To determine if the correct database is selected, select the Data Sources (ODBC) in the Control Panel—Administrative Tools, User DSN tab. Check that the TAADV is linked to the right database. To do this, double click on the TAADV Data Source (ODBC) and check the path under the “database” section. If the application was saved to the C:\ drive then the database should be in the C:\Program Files\TAA folder. If the software was saved to another location, check to make sure that the data source points to this other folder and database.

Some users of Windows 2000, XP, and NT may also need to set up the ODBC in the System DSN tab under Administrative Tools. Users should try this solution if the application freezes on the initial splash screen. This setup procedure is identical to the procedure used for the User DSN tab.

If you are still experiencing difficulties accessing the software after checking the data source, you should consult your system administrator.

## Task 5—Manually Register Files

While installing the TAA data validation software, users may get an error message stating that a file is not registered or cannot be found. In certain cases, users may get this error message after the software has been installed instead of during the installation process.

These error messages can be resolved by manually registering the specific files that failed to register. First, users should check for the unregistered file on their hard drive. The file should be located in C:\program files\TAA, in C:\winnt\system32 or in a different directory if the software was not installed in the default directory. If the file is on the hard drive, users should follow the steps outlined below to manually register the file. If the file cannot be found, users should contact TAATA@mathematica-mpr.com.

To manually register the files, go to the Start menu and select Run. In the Run box, in the Open field, type in the regsvr32 command in the following format:

```
regsvr32 "PathName"
```

where “Pathname” is the full location of the file including the file name given in the error message. Type in the entire pathname and filename with quotes around it.

For example, users with Windows 2000 or XP would type the following in response to an error message noting that the file crviewer.dll is not registered:

```
regsvr32 "c:\program files\TAA\crviewer.dll"
```

Windows NT users would type in:

```
regsvr32 "C:\winnt\system32\crviewer.dll"
```

After typing in the regsvr32 command click “OK”. This manually registers the file that did not register during the batch installation process.

Users should see a regsvr32 message that the manual registration succeeded. Repeat this process for each unregistered file.

## **Task 6—Database Setup for Multi-User Access**

The following instructions apply to states that want to provide multi-user access to a pre-loaded database.

### Definitions:

In the instructions, the term *local* is used to describe when a change is made on the user's machine, and

the term *central* is used to describe when a change is made to a database not located on the user's machine.

### Instructions:

1. One user loads the extract file to be validated to user's local machine.
2. Compact the database (under the Utilities Menu) and close out the software.
3. Find the local TAA software directory (note the default directory is C:\Program Files\TAA).
4. Find the TAA database called "TAA.mdb" (or the database into which the extract was loaded); note that this database contains the extract file that was imported in addition to the DV worksheets that will be completed for validation.
5. Save the local TAA database to a central location where other users can access it in order for them to individually complete the validation worksheets. Typically, this location will be a drive on a network server.

Users who are completing the validation worksheets using the database on the server must know where the database is stored and the name of the database. They must also have the TAA software loaded locally on their machines (note that all of the users will need to have the same version of the software).

## **APPENDIX E**

### **TAADV SOFTWARE REFERENCE GUIDE**

This appendix provides a condensed list of all of the software menus and functions for quick reference.

## **A. FILE MENU**

The first menu on the toolbar is called “File.” Options in this menu include:

### **1. New**

Users can create a new database in which to load their extract file.

### **2. Open**

Users can open an existing database.

### **3. Save As**

Users can save the database that they are currently using under a new name, and continue working with this new database.

### **4. Show Tips at Start-Up**

Users can choose whether or not the tips appear at start-up.

### **5. Exit**

Select this to exit the program.



## **B. IMPORT DATA MENU**

The second menu on the toolbar is called “Import Data.” Options in this menu include:

### **1. Import From Extract File**

Select this tab to import data into the application. See the source table record layout for the appropriate data record format.

### **2. View Latest Error Report**

This function displays a report that lists records that were rejected after importing a file.

### **3. View Duplicates**

This function displays a report that lists duplicates that the software identifies and rejects when importing the extract file.

### **4. Source Table Record Layout**

This function displays the record layout used to develop the validation file. The record layout is in the TAPR format with the addition of six fields. A copy of the record layout can be found in Chapter III of this handbook.

### **5. View Source Table**

This function displays all of the records that were imported into the software.

## **C. CHANGE REPORTING OPTIONS MENU**

The third menu on the toolbar is called “Change Reporting Options.” The only option in this menu is:

### **1. Change Reporting Options**

This function opens an expanded version of the Sign In pop-up window, where the user can change the fiscal year and the period start and end dates. The user can also select a WIB Name, Office Name, and/or Case Manager filter to view subsets of records and to generate substate reports for management purposes.

## **D. REPORT VALIDATION MENU**

The fourth menu on the toolbar is called “Report Validation.” Options in this menu include:

### **1. View Performance Outcome Groups**

This function provides a window where you can see a summary of each performance outcome group and totals of records and dollar amounts, where applicable, for each group. By clicking on the arrow in the far left column next to a performance outcome group, the user can view the detailed records in that group.

### **2. View Performance Report**

This function displays a report that calculates the values for the three performance measures for the TAA program. The report may be printed by clicking the printer icon on the tool bar.

### **3. Export Performance Outcome Groups**

This function allows users to export the performance outcome groups into individual text files. These files are saved in the c:\Program Files\TAA\Participant Extract directory.

## **E. DATA ELEMENT VALIDATION MENU**

The fifth menu on the toolbar is called “Data Validation.” Options in this menu include:

### **1. Edit Worksheets**

#### **a. Detailed Summary of TAA Validation Worksheets**

This window displays a list of the records sampled. Double click on the relevant record to view the online version of the worksheet. Any worksheets shaded in purple have been completely validated. To search for a record with specific data in a field, right click on the field name that you wish to search, and fill out the Find box.

#### **b. Online Worksheet**

The online validation worksheet allows users to enter pass or fail for the data elements for the sampled record. The worksheet is tabbed to allow the user to easily navigate through all of the data elements.

### **2. Print Worksheets**

This function enables the user to print the worksheets in batch mode.

### **3. Print Summary/Analytical Report**

This function displays a report that is generated after the worksheets are completed. The report calculates two types of error rates for each applicable data element.

#### **4. Print Sampled Counts Report**

This function displays a report showing the distribution of sampled cases by WIB Name, Office Name, and Sampling Unit.

#### **5. Summary/Analytical Comments**

This opens a data entry screen where users can enter in comments related to their data validation results. The comments then appear on the Summary and Analytical Report.

#### **6. Export Summary/Analytical Report**

This function exports the Summary/Analytical Report into an XML file and opens a web browser so that users can e-submit their validation results to ETA.

## **F. UTILITIES MENU**

The sixth menu on the toolbar is called “Utilities.” This menu includes:

### **1. Compact Database**

Eliminates the temporary memory storage by compacting the database. This feature removes unnecessary files remaining in temporary memory storage after an import has been completed, without deleting files required for analysis and validation. In order for the software and database to function properly and efficiently during the import of large files, the user should compact the database prior to every import. Otherwise, errors may result even if the underlying source file is properly formatted. These overload errors may show up in both the error counter on the import screen and as database “overload” errors in the import.txt file. This function is only applicable to Access users. Users should exit the application after compacting and then reopen the application for further use.

## **G. WINDOW MENU**

The seventh menu on the toolbar is called “Window.” Options in this menu include:

### **1. Cascade**

Realigns open windows to appear in a cascade from the top left corner of the screen.

### **2. Tile Horizontal**

Realigns open windows horizontally.

### **3. Tile Vertical**

Realigns open windows vertically.

This menu also indicates the names of the open windows, with a check next to the dominant window.

## **H. HELP MENU**

The eighth menu on the toolbar is called “Help.” Options in this menu include:

### **1. Help Contents**

This feature is under development.

### **2. Contacting Mathematica Policy Research, Inc.**

This feature provides contact information for users who would like additional assistance with installing or using the software. Users should e-mail [TAATA@mathematica-mpr.com](mailto:TAATA@mathematica-mpr.com), and specify the software version being used, the specific question, and the user’s contact information.

### **3. About**

This feature provides the software version number and product development information for the application.