

# Alabama Workforce Investment System

Office of Workforce Development  
401 Adams Avenue  
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August 17, 2004

GOVERNOR'S WORKFORCE DEVELOPMENT DIRECTIVE NO. PY2004-03,  
Change 3

**SUBJECT:** Training and Employment Guidance Letter (TEGL)

1. **Purpose.** This transmits the following TEGL:

<u>Number</u>	<u>Date</u>	<u>Subject</u>
14-03, Change 1	8/11/2004	Performance Reporting Submission Procedures for the Workforce Investment Act Standardized Record Data (WIASRD), the Annual Report, and the Quarterly Reports under Title IB of the Workforce Investment Act (WIA) for Program Year (PY) 2003 and 2004

2. **Discussion.** TEGL No. 14-03, Change 1 is to clarify adjustments made to the PY 2003 and PY 2004 WIA Annual Report and WIASRD reporting cycles in Training and Employment Guidance Letter (TEGL) 14-03, highlight existing submission procedures related to these reports, and align quarterly reports with the Annual Report time frames.

TEGL No. 14-03 and TEGL 14-03, Change 1 outline modifications in WIA reporting procedures which have the goal of more closely aligning the WIA reporting cycle with the October 1-September 30 Fiscal Year.

These changes are effective with the Program Year 2004 First Quarter reports, due to USDOL/ETA November 14, 2004.

Note that Part 4.A.5 of TEGL 14-03, Change 1 provides that States may elect to calculate Section 134(a)(2) LWIA incentive fund awards according to existing WIA reporting time frames, while reporting WIA performance for the State overall according to the adjusted time frames outlined in Attachment 2.

**The State will not do this.** There are insufficient available staff time and resources to render such a dual WIA reporting system feasible.

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3. **Action.** Copies of TEGL No. 14-03, Change 1, are provided for informational purposes.
4. **Contact.** Please direct any questions regarding this information to the Regional Office.



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Steve Walkley, Division Director  
Workforce Development Division

Attachment

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION Reporting/WIASRD & Annual Report
	CORRESPONDENCE SYMBOL PRO
	DATE August 11, 2004

**TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 14-03, Change 1**

**TO:** ALL STATE WORKFORCE LIAISONS  
ALL STATE WORKFORCE AGENCIES

**FROM:** EMILY STOVER DeROCCO   
Assistant Secretary

**SUBJECT:** Performance Reporting Submission Procedures for the Workforce Investment Act Standardized Record Data (WIASRD), the Annual Report, and the Quarterly Reports under Title IB of the Workforce Investment Act (WIA) for Program Year (PY) 2003 and 2004

**1. Purpose.** To clarify adjustments made to the PY 2003 and PY 2004 WIA Annual Report and WIASRD reporting cycles in Training and Employment Guidance Letter (TEGL) 14-03, highlight existing submission procedures related to these reports, and align quarterly reports with the Annual Report timeframes.

**2. References.** Workforce Investment Act of 1998 Section 136; 20 Code of Federal Regulations 667.300; TEGL 7-01 and TEGL 7-01, Change 1 “Performance Reporting Submission Procedures for the Workforce Investment Act Standardized Record Data (WIASRD) and the Annual Report under Title IB of the Workforce Investment Act (WIA);” TEGL 14-00, Change 1 “Guidance on the Workforce Investment Act (WIA) Management Information and Reporting System;” TEGL No. 7-99, “Core and Customer Satisfaction Performance Measures for the Workforce Investment System;” TEGL No. 8-99, “Negotiating Performance Goals; and Incentives and Sanctions Process under Title I of the Workforce Investment Act (WIA);” TEGL No. 11-01 “Guidance on Revising Workforce Investment Act (WIA) State Negotiated Levels of Performance;” and TEGL No. 14-03 “Performance Reporting Submission Procedures for the Workforce Investment Act Standardized Record Data (WIASRD) and the Annual Report under Title IB of the Workforce Investment Act (WIA).” These documents are available for review at [www.doleta.gov](http://www.doleta.gov).

**3. Background.** Each year, the Secretary of Labor issues an annual performance report to highlight Department-wide achievements. As a flagship program administered by ETA, WIA title I results are particularly important to the Department’s annual report. Deadlines associated with the publishing of the Department’s report were adjusted to coincide with the beginning of the federal fiscal year. Thus, ETA has adjusted the timeframes for reporting on WIA results in order to present the most complete and accurate picture of the program for this report.

RESCISSIONS	EXPIRATION DATE Continuing
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#### **4. Clarifications to WIA Annual Report and WIASRD submission requirements.**

The following two sections provide clarifications to guidance set forth in TEGL 14-03, as well as additional information related to the WIA Annual Report and WIASRD submissions.

##### **A. WIA Annual Report submissions.**

1. The due dates for the PY 2003 and PY 2004 WIA Annual Reports are October 1, 2004, and October 1, 2005, respectively.
2. Because of the shift in timeframes associated with the WIA annual report, the PY 2003 annual performance outcomes will overlap outcomes reported as part of the PY 2002 annual performance reports. Regardless of this overlap, states will be held accountable for outcomes reported in the PY 2003 annual report. ETA will analyze these data to determine an individual state's status in terms of incentives and sanctions.
3. States may update PY 2003 outcomes that were previously included in the PY 2002 annual report by including additional outcomes that were not available at the time the PY 2002 annual report was submitted. Outcome information that is part of the "overlap" data mentioned in item 2 above can be updated with information that has become available since that data was submitted as part of the PY 2002 annual report.
4. ETA has not changed policy regarding the negotiation of performance levels and requests to revise those levels.
5. The shift in timeframes associated with the report that states submit to ETA does not affect the discretion that Governors have to award incentives to local areas. (See WIA section 134(a)(2)(B)(iii) and 20 CFR 666.400(b).) States do not have to change the time periods they use to award incentives to local areas unless deemed necessary by the governor.

##### **B. WIASRD submissions.**

1. The due dates for the PY 2003 and PY 2004 WIASRD are October 15, 2004, and October 15, 2005, respectively.
2. The group of exiters reported through the WIASRD is updated from that described in TEGL 14-03. The PY 2003 WIASRD submission must contain records for all exiters from PY 2001, PY 2002 and PY 2003. The PY 2004 WIASRD submission must contain records for all exiters from PY 2002, PY 2003 and PY 2004.
3. States must follow the completeness requirements on Attachment I. These requirements generally follow what is required for states to submit the PY 2003 Annual Report. This attachment will apply for the PY 2004 WIASRD submission—all dates should be advanced by one year.
4. ETA is aware of confusion about the reporting of individuals served by National Emergency Grants. As stated previously in Attachment E to TEGL 14-00, Change 1, the universe of WIASRD submissions includes all individuals served by National Emergency Grants who have exited the program. Whether or not these individuals are co-enrolled in WIA, states that

provide services to individuals with NEG funds must report on the characteristics, services and outcomes of those individuals through the WIASRD.

5. ETA's Enterprise Information Management System (EIMS) contains edit checks to ensure that all WIASRD records submitted include the following required elements:
  - a. the individual identifier (item 101),
  - b. WIB/statewide code (item 301),
  - c. registration date (item 302),
  - d. exit date (item 303), and
  - e. AT LEAST one funding stream code must be populated. That is, at least one of the following fields must contain a "1" ("yes") code: adult (local), dislocated worker (local), youth (local), displaced homemaker (statewide), other (statewide), rapid response- additional assistance, or national emergency grant (items, 304, 305, 306, 307, 308, 310, 312, or 313a, 313b, or 313c).

C. Data Validation and the WIA Annual Report.

1. There are two components to Data Validation: Reports Validation and Data Element Validation.
2. States should complete the Reports Validation report prior to submitting the annual report. Data report validation for PY 2003 is due October 1, 2004. Software reflecting the annual report timeframes for the PY 2003 report will be available in August.
3. Data Element Validation is due February 1, 2005.

**5. Changes to the WIA quarterly report.** In order to address concerns raised by states currently challenged to provide ETA a set of quarterly performance reports that reflect different time periods than the annual performance reports due for PY 2003 and PY 2004, ETA is announcing changes to align the quarterly reporting timeframes with those of the PY 2004 annual reports. These changes will become effective with the reports due to ETA on November 14, 2004, and will ensure that the report due August 14, 2005, most closely resembles the annual report that will be due October 1, 2005. Please see Attachment II, which shows the reportable timeframes for each measure that will be included in the quarterly reports that are due starting in November 2004.

**6. Action Required.** States are requested to distribute this information to the appropriate state and local staff.

**7. Inquiries.** Questions concerning this issuance may be directed to your regional performance specialists or the Performance and Results Office ([ETAperforms@dol.gov](mailto:ETAperforms@dol.gov) or 202-693-3031).

**8. Attachments.**

- I. Required Completeness for PY 2003 WIASRD Items
- II. Aligning the Quarterly Reports with the PY 2004 Annual Report

**Attachment I**  
**Required Completeness for PY 2003 and PY 2004 WIASRD Items**

Item #	Item Description	PY 2003 Should be complete for all individuals who exited on or before:	PY 2004 Should be complete for all individuals who exited on or before:
345	Received follow-up services for 12 months	June 30, 2003	June 30, 2004
601	Employed in quarter after exit quarter	September 30, 2003	September 30, 2004
602	Source of supplemental data, quarter after exit quarter	September 30, 2003	September 30, 2004
603	Occupational code	September 30, 2003	September 30, 2004
604	Occupational code type	September 30, 2003	September 30, 2004
605	Entered training-related employment	September 30, 2003	September 30, 2004
606	Method used to determine training-related employment	September 30, 2003	September 30, 2004
607	Entered non-traditional employment	September 30, 2003	September 30, 2004
608	Employed in third quarter after exit quarter	March 31, 2003	March 31, 2004
609	Source of supplemental data, third quarter after exit quarter	March 31, 2003	March 31, 2004
610	Employed in fifth quarter after exit quarter	September 30, 2002	September 30, 2003
611	Source of supplemental data, fifth quarter after exit quarter	September 30, 2002	September 30, 2003
612	Total earnings from wage records for the third quarter prior to registration	March 31, 2003 <sup>i</sup>	March 31, 2004 <sup>ii</sup>
613	Total earnings from wage records for the third quarter prior to dislocation	March 31, 2003 <sup>1</sup>	March 31, 2004 <sup>1</sup>
614	Total earnings from wage records for the second quarter prior to registration	March 31, 2003 <sup>1</sup>	March 31, 2004 <sup>1</sup>
615	Total earnings from wage records for the second quarter prior to dislocation	March 31, 2003 <sup>1</sup>	March 31, 2004 <sup>1</sup>
616	Total earnings from wage records for the first quarter following the exit quarter	September 30, 2003	September 30, 2004
617	Total earnings from wage records for the second quarter following the exit quarter	March 31, 2003	March 31, 2004
618	Total earnings from wage records for the third quarter following the exit quarter	March 31, 2003	March 31, 2004
619	Total earnings from wage records for the fourth quarter following the exit quarter	September 30, 2002 <sup>1</sup>	September 30, 2003 <sup>1</sup>

Item #	Item Description	PY 2003 Should be complete for all individuals who exited on or before:	PY 2004 Should be complete for all individuals who exited on or before:
620	Total earnings from wage records for the fifth quarter following the exit quarter	September 30, 2002	September 30, 2003
621	Type of recognized educational/ occupational certificate/credential/ diploma/degree attained	September 30, 2003	September 30, 2004
622	Other reasons for exit	March 31, 2004 <sup>1</sup>	March 31, 2005 <sup>1</sup>
623	In postsecondary education or advanced training in quarter after exit	September 30, 2003	September 30, 2004
624	In postsecondary education or advanced training in the third quarter after exit.	March 31, 2003	March 31, 2004
625 to 672	Younger Youth Goal Information	March 31, 2004	March 31, 2005
673	Attained Secondary School Diploma	March 31, 2004	March 31, 2005
674	Date of high school diploma or GED attainment	March 31, 2004	March 31, 2005
675	Youth placement information	September 30, 2003	September 30, 2004
676	Youth retention information	March 31, 2003	March 31, 2004

NOTE: Items not included in the table should be complete for all exiters included in the WIASRD.

<sup>i</sup> Please provide for additional quarters of exiters if the information is available.

<sup>ii</sup> Please provide for additional quarters of exiters if the information is available.

**Attachment II**  
**Aligning the Quarterly Reports with the PY 2004 Annual Report**

Reporting Item	Period Over Which to Cumulate	Report Quarter (report due date)			
		Jul-Sep (11/14/04)	Oct-Dec (2/14/05)	Jan-Mar (5/15/05)	Apr-June (8/14/05)
Total participants	July 1, 2004 – June 30, 2005	1 (July 1, 2004 – Sept 30, 2004)	2 (July 1, 2004 – Dec 31, 2004)	3 (July 1, 2004 – Mar 31, 2005)	4 (July 1, 2004 – June 30, 2005)
Total exiters	April 1, 2004 – March 31, 2005	1 (Apr 1, 2004 – June 30, 2004)	2 (Apr 1, 2004 – Sept 30, 2004)	3 (Apr 1, 2004 – Dec 31, 2004)	4 (Apr 1, 2004 – Mar 31, 2005)
Youth diploma or equivalent rate	April 1, 2004 – March 31, 2005	1 (Apr 1, 2004 – June 30, 2004)	2 (Apr 1, 2004 – Sept 30, 2004)	3 (Apr 1, 2004 – Dec 31, 2004)	4 (Apr 1, 2004 – Mar 31, 2005)
Skill attainment rate	April 1, 2004 – March 31, 2005	1 (Apr 1, 2004 – June 30, 2004)	2 (Apr 1, 2004 – Sept 30, 2004)	3 (Apr 1, 2004 – Dec 31, 2004)	4 (Apr 1, 2004 – Mar 31, 2005)
Employer customer satisfaction	January 1, 2004 – December 31, 2004	1 (Jan 1, 2004 – Mar 31, 2004)	2 (Jan 1, 2004 – June 30, 2004)	3 (Jan 1, 2004 – Sept 30, 2004)	4 (Jan 1, 2004 – Dec 31, 2004)
Participant customer satisfaction	January 1, 2004 – December 31, 2004	1 (Jan 1, 2004 – Mar 31, 2004)	2 (Jan 1, 2004 – June 30, 2004)	3 (Jan 1, 2004 – Sept 30, 2004)	4 (Jan 1, 2004 – Dec 31, 2004)
Entered employment rate	October 1, 2003 – September 30, 2004	1 (Oct 1, 2003 – Dec 31, 2003)	2 (Oct 1, 2003 – Mar 31, 2004)	3 (Oct 1, 2003 – June 30, 2004)	4 (Oct 1, 2003 – Sept 30, 2004)
Credential and employment (A/DW) or Credential rates (Y)	October 1, 2003 – September 30, 2004	1 (Oct 1, 2003 – Dec 31, 2003)	2 (Oct 1, 2003 – Mar 31, 2004)	3 (Oct 1, 2003 – June 30, 2004)	4 (Oct 1, 2003 – Sept 30, 2004)
Six month retention rate	April 1, 2003 – March 31, 2004	1 (Apr 1, 2003 – June 30, 2003)	2 (Apr 1, 2003 – Sept 30, 2003)	3 (Apr 1, 2003 – Dec 31, 2003)	4 (Apr 1, 2003 – Mar 31, 2004)
Six month earnings change or earnings replacement rate	April 1, 2003 – March 31, 2004	1 (Apr 1, 2003 – June 30, 2003)	2 (Apr 1, 2003 – Sept 30, 2003)	3 (Apr 1, 2003 – Dec 31, 2003)	4 (Apr 1, 2003 – Mar 31, 2004)
Younger youth retention rate	April 1, 2003 – March 31, 2004	1 (Apr 1, 2003 – June 30, 2003)	2 (Apr 1, 2003 – Sept 30, 2003)	3 (Apr 1, 2003 – Dec 31, 2003)	4 (Apr 1, 2003 – Mar 31, 2004)