

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION WIA/Performance Reporting
	CORRESPONDENCE SYMBOL OPDR-OWI
	DATE August 28, 2013

ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 4-13

TO: STATE WORKFORCE AGENCIES
 STATE WORKFORCE ADMINISTRATORS
 STATE WORKFORCE LIAISONS

FROM: GERRI FIALA /s/ for ERIC M. SELEZNOW
 Acting Assistant Secretary

SUBJECT: Workforce Investment Act (WIA) Performance Reporting System

1. **Purpose.** To provide guidance on the modifications to the WIA Performance Reporting System

2. **References.**

- WIA Section 136;
- WIA regulations at 20 CFR Part 666 and Part 661;
- *Workforce Investment Act Annual Report: General Reporting Instructions and ETA Form 9091*, Revised 2010;
- *ETA 9002 and VETS 200 Data Preparation Handbook*, ET Handbook No. 406, released in August 2012;
- Training and Employment Guidance Letter (TEGL) No. 14-00, TEGL No. 14-00, Change 1, TEGL No. 14-00, Change 2, and TEGL No. 14-00, Change 3, *Guidance on the Workforce Investment Act (WIA) Management Information and Reporting System*;
- TEGL No. 14-03 and TEGL No. 14-03, Change 1, *Performance Reporting Submission Procedures for the Workforce Investment Act Standardized Record Data (WIASRD), the Annual Report, and the Quarterly Reports under Title IB of the Workforce Investment Act (WIA) for Program Year (PY) 2003 and 2004*;
- TEGL No. 17-05, *Common Measures Policy for the Employment and Training Administration's (ETA) Performance Accountability System and Related Performance Issues*;
- TEGL No. 14-08, *Guidance for Implementation of the Workforce Investment Act and Wagner-Peyser Act Funding in the American Recovery and Reinvestment Act of 2009 and State Planning Requirements for Program Year 2009*;
- Office of Management and Budget (OMB) Circular No. A-94, *Revised Guidelines and Discount Rates for Benefit-Cost Analysis of Federal Programs*;
- TEGL No. 17-09, *Quarterly Submission of Workforce Investment Act Standardized Record Data (WIASRD)*;

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- TEGL No. 28-11, Change 1, Program Year 2011/Fiscal Year 2012 Performance Reporting and Data Validation Timelines.

3. Background. Since its inception, the WIA Reporting System was designed to facilitate reporting on the characteristics, services received, and outcomes of program participants. Collectively, the WIASRD, the ETA 9090 (Quarterly Report), and the ETA 9091 (Annual Report) comprise the data and reports necessary for satisfying Federal WIA reporting requirements. These data are necessary for tracking and reporting information to stakeholders on the usage, services provided, and performance of WIA programs. These data are used to monitor the core purpose of the programs – chiefly, tracking how many people found jobs; did those people stay employed; and what were their earnings.

ETA’s statutory and regulatory authority to administer job training and employment programs includes provisions allowing for the requirement of performance reporting from States and grantees. WIA of 1998 (P.L. 105-220) includes provisions that require each State agency to furnish to the Secretary such information and reports and conduct such studies as the Secretary determines are necessary or appropriate for carrying out the purposes of the Act.

- WIA Section 136 establishes the performance and accountability requirements for WIA Adult, Dislocated Worker, and Youth programs. The purpose of Section 136 is to establish a comprehensive performance accountability system, comprised of the activities described in the section, to assess the effectiveness of States and local areas in achieving continuous improvement of workforce investment activities funded under the subtitle, in order to optimize the return on investment of Federal funds (Section 136(a)).
- WIA Section 172 directs the Secretary to provide for the continuing evaluation of programs and activities authorized under Title I, including demonstration grants.
- WIA Section 185 broadly addresses reports, recordkeeping, and investigations across programs authorized under Title I of the Act.
- WIA Section 189 requires the Secretary to prepare and submit to Congress an Annual Report regarding the programs and activities carried out under Title I of WIA. States and grantees receiving funding under WIA Title IB are required to maintain and report accurate program and financial information (WIA Section 185 (29 U.S.C. 2935) and WIA Regulations 20 CFR 667.300(e)(2)). Further, all States and grantees receiving funding from ETA are required to submit reports or participant records and attest to the accuracy of these reports and records.

The WIA Reporting System was initially announced in March 2001. Guidance on the reporting system was further refined and clarified through November 2003. In September 2002, the Department’s Office of Inspector General (OIG) released an audit of performance data from July 2000 through October 2001. The audit found that, “Because of insufficient local, State, and Federal oversight, the Employment and Training Administration (ETA) has little assurance that the State-reported WIA performance outcomes data are either accurate or verifiable.” The OIG recommended that States should validate reported data using a rigorous validation methodology. To address the concerns raised by the OIG and to meet the Agency’s goal for accurate and reliable data, ETA implemented a data validation requirement in 2004 in order to ensure the accuracy of data collected and reported on program activities and outcomes.

Under the data validation requirements, States were responsible for uploading a WIASRD file to the Data Reporting and Validation System (DRVS) to either confirm the accuracy of the WIA Annual Report data (ETA 9091) or to generate the ETA 9091 output data which could then be uploaded directly into the Department's reporting software, the Enterprise Business Support System (EBSS). States also had the option to generate the WIA Quarterly Report (ETA 9090) using this software. States would have to independently submit an annual WIASRD file to ETA and, beginning in the third quarter of Program Year (PY) 2009, a quarterly WIASRD file. However, data element validation was conducted using the WIASRD file uploaded into DRVS.

In an effort to consolidate the reporting requirements into a more streamlined system, ETA has developed the Enterprise Data Reporting and Validation System (EDRVS) for use for WIA reporting beginning the first quarter of PY 2013. Under this system, States are responsible only for uploading four quarterly WIASRD files into EDRVS annually. The system will automatically generate the ETA 9090 (Quarterly Report) and ETA 9091 (Annual Report), which States will be responsible for certifying. These quarterly submissions will also constitute a consolidated quarterly WIASRD submission in that individual record files will no longer be required to be uploaded into both DRVS and EBSS. The fourth quarter submission will constitute the previous annual WIASRD submission and will be used to compute the Annual Report (ETA 9091) and the data element validation sample.

4. Summary of the Changes to the WIA Reporting System

Three important changes have been made to the WIA Reporting System.

- Modifications to the WIASRD record layout;
- Additional information reported on the Quarterly (ETA 9090) and Annual Report forms (ETA 9091); and
- The manner in which the Quarterly and Annual Reports are generated and submitted.

The primary change to the WIA Reporting System is the change to the WIASRD record layout. The entire layout of the record file has changed and, as described below, new information is collected. These changes were based on the Workforce Investment Streamlined Performance Reporting System (WISPR) that has been piloted for a number of years. The fundamental purpose of the changes to the WIASRD is to begin consolidating the various forms of individual record layouts used for reporting. The ultimate goal is to standardize the manner in which individual record information is collected across programs. By aligning the WIASRD to the individual record layout to that used under WISPR, WIA programs will be using a record layout that is completely compatible with the layouts used by the Trade program. This will facilitate more efficient and cost effective future consolidation amongst the various individual record datasets used by ETA (such as the Labor Exchange Reporting System), thus, consolidating reporting requirements across multiple programs into one individual record file submission used to generate all the necessary Quarterly and Annual Reports and data validation efforts. Please refer to Attachment A of this document for the updated WIASRD record layout and edit checks.

Important Note: As indicated in TEGl 14-00, States are strictly prohibited from using the Social Security Number (SSN) anywhere in the individual records submitted to ETA. States must utilize a unique participant record number but this cannot be done with an SSN.

In addition to the changes to the quarterly WIASRD record layout, both the Quarterly (ETA 9090) and Annual (ETA 9091) reports have been modified to include additional required information. The elements that have been added are summarized below. However, it is important to note that States will no longer be required to produce these reports, as the EDRVS will generate the reports based on the information contained in the quarterly WIASRD submissions. As a result, the States single quarterly WIASRD submission will satisfy all federal reporting requirements under WIA. These submissions will facilitate: edit and error checking, Quarterly and Annual Report submissions, as well as both report and data element validation. States will still have to certify their results and submit the final reports to EBSS. Please refer to Attachments B and C of this document for the new WIASRD Quarterly and Annual Report specifications.

Additional 9090 report items:

- Veterans' participant breakouts.
- Veterans' entered employment, employment retention and six months average earnings outcomes breakouts.
- Credential attainment outcomes by program.
- Veterans' priority of service information.
- Participants and exiters that have received training.

Additional 9091 report items:

- Table D. Adult program outcomes by service intensity (core, intensive, and training services).
- Table G. Dislocated Worker program outcomes by service intensity (core, intensive, and training services).
- Table H.1.A. Youth special populations' breakouts.
- Table P. Veterans' priority of service (identical to that included in the latest 1205-0240 LERS PRA).
- Table Q. Veterans' special populations' breakouts.

5. Due Dates. Quarterly WIASRD submissions for all four quarters are due **45** days following the end of the quarter, with an additional **15** days provided for the purpose of addressing any errors. States have the option to resubmit the fourth quarter WIASRD file for **75** days following the end of the quarter. The additional 30 days for the fourth quarter file provides States with more time to verify the accuracy of the WIASRD data that underlies the WIA Annual Report and Annual Report Narrative, which is due 90 days following the end of the fourth quarter. It is important to note that EDRVS will regenerate the WIA Quarterly Report when States make use of the fourth quarter resubmission option to correct the WIA Annual Report. States that have already drawn their Data Element Validation (DEV) sample will also have to redraw that sample based on the revised quarterly WIASRD submission. Should the due dates fall on a Saturday, Sunday or Federal Holiday, the due date will be the following Monday.

6. Training and Technical Assistance. States and grantees are encouraged to request technical assistance on the submission of the modified WIASRD including concerns about how the report elements are computed and any technical issues with EDRVS.

7. **Action Requested.** Distribute this TEGl to those personnel responsible for federal WIA reporting, including personnel responsible for the WIASRD submissions, and to all local areas responsible for administering the WIA programs.

8. **Inquiries.** Questions regarding performance reporting should be directed to the appropriate ETA regional office or to the Office of Policy Development and Research at ETAperforms@dol.gov.

9. **Attachments.**

Attachment A: [WIASRD Record Layout and Edit Checks](#)

Attachment B: [WIA Quarterly Report Specifications](#)

Attachment C: [WIA Annual Report Specifications](#)