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

Trade Adjustment Assistance Data Element Validation Instructions

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

VALIDATION RULES

Two types of validation rules exist:

1. If the validation instruction says MATCH: Enter a checkmark in the box in the pass column if the data on the worksheet match the data in the source documentation. Enter a checkmark in the box in the fail column if the data on the worksheet do not match the data in the source documentation or if no source documentation is found.
   To match, the data on the worksheet must be the same as the data in the source documentation. For example, if the worksheet says a participant's date of exit is July 1, 2002, then the source documentation must also have July 1, 2002 as the exit date.

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

2. If the validation instruction says SUPPORT: Enter a checkmark in the box in the pass column if the data on the worksheet are supported by the data in the source documentation. Enter a checkmark in the box in the fail column if the data on the worksheet are not supported by the data in the source documentation or if no source documentation is found.
   To support, the data on the source documentation must provide evidence that the data on the worksheet are correct. This instruction is used when information must be interpreted or processed before it can be used to assess the accuracy of the data on the participant records. For example, source documentation can support waiver from training requirement.

MISSING AND INVALID RECORDS

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

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

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

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

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

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

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

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

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

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

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