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**MATHEMATICA**  
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**Technical Guidance for  
Welfare to Work  
Reporting and Validation**

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## I. INTRODUCTION

This guidance proscribes a methodology for States and Welfare-to-Work (WtW) competitive and formula grantees to use to generate and to validate the Federal Participant Summary section of the WtW Competitive and Formula Grant Quarterly Financial Status Reports. The guidance contains the information necessary to collect data, to generate the required report counts and performance calculations, and to validate the accuracy of the data. The guidance consists of two parts, Chapter II, Reporting Guidance and Chapter III, Validation Guidance. Chapter II, Reporting Guidance, consists of three sets of specifications.

- The data element specifications (section A) identify and define each data element that grantees must collect and maintain to develop the report.
- The report specifications (section B) show the calculations required for each report item and performance measure on the WtW quarterly report using the data elements defined in section A.
- Section C presents a discussion of how grantees can obtain and use Unemployment Insurance (UI) wage records to measure performance outcomes.

Chapter III, Validation Guidance, instructs grantee staff on how to build a file consisting of a record for each participant served who is reported on the quarterly report, in order to validate the report. The file is imported into the WtW Data Validation Software, which allocates each participant served to a performance outcome category and generates each of the counts on the Federal Participant Summary section of the quarterly report. The software then selects samples of participants served for grantee staff to use to validate the accuracy of the data on the file.

The WtW data validation software is included with this guidance. Complete instructions for building and loading the data file and using the application are provided in this guidance.

## **II. REPORTING GUIDANCE**

Chapter II provides the data elements and reporting specifications necessary to produce the quarterly report.

### **DATA ELEMENT SPECIFICATIONS**

The data element specifications list and define the data elements that are required to be captured and stored by each grantee to produce the quarterly report. Each grantee must capture the required information, though it may be stored with other names in their system. Section A of this chapter contains the complete data element specifications.

### **REPORT ELEMENT SPECIFICATIONS**

The report element specifications list the following:

- Each report element and performance measure on the Federal Participant Summary section of the quarterly report
- The definition of the report element
- The reporting specification that provides instructions to programmers for calculating the reported count or performance measurement using the data elements listed in the Data Element Specifications. All data elements are printed in upper case in the reporting specifications.

Section B of this chapter contains the complete report element specifications.

### **OBTAINING AND USING UI WAGE RECORDS**

The WtW program presumes the use of UI wage record data to determine retention outcomes after placement in unsubsidized employment, to determine employment at program entry, and to calculate earnings gain rates. Grantees who do not have access to UI wage records, and who use alternate data sources to document employment, retention, and earnings outcomes, may use these alternate data sources to complete the WtW quarterly report and calculate the

WtW performance measures. Prior to calculating the performance measures, grantees must create a data set that includes wage record information. The grantees are not required to calculate the performance measures in order to complete the WtW quarterly report. Each grantee may have its own preference for which data to include on the quarterly file sent to obtain wage records. A field designating the SSN of the participant must be included if the grantee is going to include the wage record merge for the participant with other programs. Section C of this chapter provides further information on how to perform these tasks.

## **KEY REPORTING GUIDELINES**

Grantees should consider six key reporting guidelines when preparing the Federal Participant Summary section of the WtW Quarterly Financial Status Report for Competitive and Formula Grants.

### **1. Cumulative Reporting**

The Quarterly Financial Status Report is a cumulative report and tracks participants on an accrual basis. The majority of the data will be cumulative from the inception of the grant and should represent the cumulative aggregate number of all participants served.

### **2. Becoming a “Participant Served”**

An individual is not reported as a participant until he or she receives one of the WtW allowable services or case management, development of an individualized service strategy, or in-depth assessment.

### **3. Terminations**

Grantees should have two records for participants who are terminated and who then later re-enroll and receive additional services. There should be one record for each “spell” of participation.

### **4. Placement in Unsubsidized Employment**

If a participant is initially reported as employed at entry and later receives a promotion or career upgrade, the participant may be removed from the employed at entry count and reported in the placed in unsubsidized employment count.

Placement in unsubsidized employment supercedes employment at entry. Therefore, the report needs to be run using the cumulative file each quarter. Some participants who were previously reported in item 13 (item 27 for Formula grantees) will only be reported in item 12 (item 26 for Formula grantees) after they are placed.

#### 5. Establishing the Base Quarter

The grantee should determine the base quarter as follows:

- If the participant was employed at entry, the base quarter is the quarter of the first service date.
- If the participant was not employed at entry, the base quarter is the quarter of the initial date placed in unsubsidized employment.

#### 6. Placement, Retention, and Earnings Gain Reporting

Data on placement rate, retention, and earnings gain are only reported once for each participant unless the participant is terminated and later re-enrolled in the program and again achieves those outcomes in a second spell of participation.

## **A. DATA ELEMENT SPECIFICATIONS**

# Welfare To Work Data Element Specifications

## Element No. Data Element

## Definition

01 Individual Identifier  
Record the participant's Social Security Number. If the applicant has no SSN or refuses to provide it, a substitute number may be assigned during intake. (If a substitute number is generated, begin the 9-digit number with 99.) Grantees should make efforts to obtain a valid SSN prior to termination and record transmittal. NOTE: Possession of a Social Security Number is not a prerequisite for participation.

02 First Service Date  
Date the individual is classified as a "participant served" by receiving one or more of the WtW allowable services for the first time.

NOTE: An individual is classified as a "participant served" when the participant receives one of more of the WtW allowable services (vocational educational training or job training, community service, work experience, job creation through public or private sector employment wage subsidies, on-the-job training, job readiness, job placement, post-employment services, job retention or support services, and individual development accounts). Also included as services which constitute "participant served" status are "in-depth" assessment (e.g. assessment beyond that which is required for intake and eligibility determination purposes), development of an individualized service strategy, and case management services. Intake, initial assessment, and eligibility determination do NOT constitute "participant served" status for an individual.

***Element No. Data Element***

***Definition***

03 Long-Term TANF Recipient

An individual who is currently receiving TANF assistance under a State TANF program, and who has received assistance under TANF or its predecessor program for at least 30 months, although the months don't have to be consecutive; or

An individual who is currently receiving TANF assistance under a State TANF program, and who will become ineligible for TANF assistance within 12 months due to either Federal or State-imposed time limits on the receipt of TANF assistance. This includes individuals (as well as children of noncustodial parents) exempted from the time limits due to hardship under section 408(a)(7)(C) of the Act or due to a waiver because of domestic violence under section 402(a)(7) of the Act, who would become ineligible for assistance within 12 months without the exemption or waiver.

For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.

For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.

04 Noncustodial Parents

An individual who is a parent of a minor child and is:

- (1) unemployed, underemployed, or having difficulty paying child support, and
- (2) in compliance with the terms of a written or oral personal responsibility contract; and
- (3) at least one of the following applies:
  - (a) the minor child (or custodial parent) meets the long-term TANF receipt requirements; or
  - (b) the minor child is receiving or eligible for TANF benefits and services; or
  - (c) the minor child received TANF benefits and services during the preceding year; or
  - (d) the minor child is receiving or eligible for assistance under the Food Stamp program, Supplemental Security Income Program, Medicaid, or Children's Health Insurance Program.

For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.

For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.

***Element No. Data Element***

***Definition***

05	TANF Exhaustee	<p>An individual who is no longer receiving TANF assistance because s/he) has reached either the Federal five-year limit or a State-imposed time limit on receipt of TANF assistance.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
06	TANF Dependence	<p>An individual who has characteristics associated with, or predictive of, long-term welfare dependence, such as having dropped out of school, teenage pregnancy, or having a poor work history. States, in consultation with the operating entity, may designate additional characteristics associated with or predictive of long-term welfare dependence.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
07	TANF Barriers	<p>An individual who has significant barriers to self-sufficiency, under criteria established by the local board or alternate administering agency.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
08	Foster Care	<p>Individuals who were in foster care under the responsibility of the State before 18 years of age and who are between the ages of 18 - 24 at the time of applying for the WtW program.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>

***Element No. Data Element***

***Definition***

09	Custodial Below 100%	Custodial parents with family incomes below 100% of the poverty line, determined in accordance with the most recent HHS Poverty Guidelines, and custodial parents with disabilities whose own income is below 100% of the poverty line but who are members of families whose income does not fall below 100% of the poverty line. Income is defined as total family income for the last six months exclusive of unemployment compensation, child support payments, and old-age survivors benefits.  For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
10	General Eligibility/Noncustodial Parents Category (Former 70% Provision)	For Competitive Grantees: Participants served who enrolled before 1/1/2000 in the 70% category.  For Formula Grantees: Participants served who enrolled before 7/1/2000 in the 70% category.
11	Other Eligibles Category (Former 30% Provision)	For Competitive Grantees: Participants served who enrolled before 1/1/2000 in the 30% category.  For Formula Grantees: Participants served who enrolled before 7/1/2000 in the 30% category.
12	Termination Date	Date participant is terminated from the WtW program.
13	Unsubsidized Hours Worked	Number of hours the participant worked per week at placement.
14	Subsidized Hours Worked	Number of hours the participant worked per week at placement.
15	Entry Hours Worked	Number of hours the participant worked per week at program entry for those already employed in unsubsidized employment at entry.

**Element No. Data Element****Definition**

16	Initial Unsubsidized Placement Date	Date the participant is placed in an unsubsidized job for the first time, i.e. the Social Security Number is linked with the job placement, while receiving WtW services. Grantees may not report a placement for a participant more than once unless the participant is terminated from the WtW program and comes back after not receiving WtW services for at least 90 days. Exclude participants who are placed in any job for which the employer receives a wage subsidy. Also exclude participants who are placed in on-the-job training until after the OJT is completed and the participant is retained in an unsubsidized job.
17	Initial Subsidized Placement Date	Date the participant is placed in a subsidized job for which the wage subsidy is less than 100% of the participant's total income and for which the subsidized job placement is not workfare, i.e. the total amount paid to the individual exceeds the amount of the subsidy.
18	Employed at Entry	An individual who was employed when becoming a participant in WtW.
19	Wages Base Quarter	Sum of earnings of the participant in the base quarter, obtained from wage records.
20	Other Source Base Quarter	Sum of earnings of the participant in the base quarter, obtained from other sources.
21	Wages Base Quarter +1	Sum of earnings of the participant in the first quarter following the base quarter, obtained from wage records.
22	Other Source Base Quarter +1	Sum of earnings of the participant in the first quarter following the base quarter, obtained from other sources.
23	Wages Base Quarter +2	Sum of earnings of the participant in the second quarter following the base quarter, obtained from wage records.
24	Other Source Base Quarter +2	Sum of earnings of the participant in the second quarter following the base quarter, obtained from other sources.
25	Date of Birth	The participant's date of birth.  For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.

***Element No. Data Element***

***Definition***

26	Gender	Male or Female  For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
27a	American Indian or Alaskan Native	A person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.  For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
27b	Asian	A person having origins in any of the original people of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.  For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
27c	Black or African American	A person having origins in any of the black racial groups of Africa.  For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.

***Element No. Data Element***

***Definition***

27d	Native Hawaiian or Other Pacific Islander	A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.  For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
27e	White	A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.  For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
28	Hispanic or Latino	A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race.  For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
29	Individual With Disability	Participant has a physical (motion, vision, hearing) or mental (learning or developmental) impairment which substantially limits one or more of such person's major life activities and has a record of such an impairment.  For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
30	Grantee Type	Type of WtW grantee, Competitive or Formula.

## **B. REPORT ELEMENT SPECIFICATIONS**

# Office of National Programs

## Welfare-to-Work Report Elements

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	010	024	Total Participants Served	Number of participants served under this grant. If a client ceases to be served under the program and then returns for additional services, the client is to be counted again.	For Competitive Grants: Sum of 10.a plus 10.b.  For Formula Grants: Sum of 24.a plus 24.b.
WTW Cumulative Quarterly Financial Status Report	010.a	024.a	General Eligibility/Noncustodial Parents Category (Former 70% Provision)	Number of participants served who met the following criteria:  (1) Long-term TANF recipients & TANF exhaustees (10.a.1/24.a.1) ("long-term TANF recipients"). (2) Noncustodial parents (10.a.2/24.a.2).	For Competitive Grants: Sum of 10.a.1 and 10.a.2 plus count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is before 1/1/2000 and GENERAL ELIGIBILITY/NONCUSTODIAL PARENTS CATEGORY (Former 70% Provision) is Yes.  For Formula Grants: Sum of 24.a.1 and 24.a.2 plus count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is before 7/1/2000 and GENERAL ELIGIBILITY/NONCUSTODIAL PARENTS CATEGORY(Former 70% Provision) is Yes.

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	010.a1	024.a1	Long-term TANF recipients and TANF exhaustees	<p>Number of participants served who met the following criteria:</p> <p>(1) An individual who is currently receiving TANF assistance under a State TANF program, and who has received assistance under TANF or its predecessor program for at least 30 months, although the months don't have to be consecutive; or</p> <p>(2) An individual who is currently receiving TANF assistance under a State TANF program, and who will become ineligible for TANF assistance within 12 months due to either Federal or State-imposed time limits on the receipt of TANF assistance. This criterion includes individuals (as well as children of noncustodial parents) exempted from the time limits due to hardship under section 408(a)(7)(C) of the Act or due to a waiver because of domestic violence under section 402(a)(7) of the Act, who would become ineligible for assistance within 12 months without the exemption or waiver; or</p> <p>(3) An individual who is no longer receiving TANF assistance because s(he) has reached either the Federal five-year limit or a State-imposed time limit on receipt of TANF assistance.</p>	<p>For Competitive Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 12/31/1999 and LONG-TERM TANF RECIPIENT is Yes or TANF EXHAUSTEE is Yes.</p> <p>For Formula Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 6/30/2000 and LONG-TERM TANF RECIPIENT is Yes or TANF EXHAUSTEE is Yes.</p>

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	010.a2	024.a2	Noncustodial parents	<p>Number of participants served who met the following criteria:</p> <p>(1) An individual who is a parent of a minor child and is:</p> <p>(a) unemployed, underemployed, or having difficulty paying child support, and</p> <p>(b) in compliance with the terms of a written or oral personal responsibility contract; and</p> <p>(c) at least one of the following applies:</p> <p>(i) the minor child (or custodial parent) meets the long-term TANF receipt requirements; or</p> <p>(ii) the minor child is receiving or is eligible for TANF benefits and services; or</p> <p>(iii) the minor child received TANF benefits and services during the preceding year; or</p> <p>(iv) the minor child is receiving or is eligible for assistance under the Food Stamp program, Supplemental Security Income Program, Medicaid, or Children's Health Insurance Program.</p>	<p>For Competitive Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 12/31/1999 and NONCUSTODIAL PARENTS is Yes.</p> <p>For Formula Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 6/30/00 and NONCUSTODIAL PARENTS is Yes.</p>
WTW Cumulative Quarterly Financial Status Report	010.b	024.b	Other Eligibles Category (Former 30% Provision)	<p>Number of participants served who met the following criteria:</p> <p>(1) TANF recipients with characteristics of long-term welfare dependence or barriers to self-sufficiency (10.b.1/24.b.1), and are either:</p> <p>(2) Former State foster care recipients aged 18-24 at WtW application (10.b.2/24.b.2) ("former foster care recipients") or,</p> <p>(3) Custodial parents with incomes below 100% of the poverty line (10.b.3/24.b.3).</p>	<p>For Competitive Grants: Sum of 10.b.1, 10.b.2 and 10.b.3 plus count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is before 1/1/2000 and OTHER ELIGIBLES CATEGORY (Former 30% Provision) is Yes.</p> <p>For Formula Grants: Sum of 24.b.1, 24.b.2 and 24.b.3 plus count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is before 7/1/2000 and OTHER ELIGIBLES CATEGORY (30%) is Yes.</p>

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	010.b1	024.b1	TANF recipients with characteristics of long-term welfare dependence or barriers to self-sufficiency	Number of participants served who met the criteria for TANF recipients who have: (1) characteristics associated with, or predictive of, long-term welfare dependence, such as having dropped out of school, teenage pregnancy, or having a poor work history. States, in consultation with the operating entity may designate additional characteristics associated with, or predictive of, long-term welfare dependence; or (2) significant barriers to self-sufficiency, under criteria established by the local board or alternate administering agency	For Competitive Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 12/31/1999 and TANF DEPENDENCE or TANF BARRIERS is Yes.  For Formula Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 6/30/2000 and TANF DEPENDENCE or TANF BARRIERS is Yes.
WTW Cumulative Quarterly Financial Status Report	010.b2	024.b2	Former foster care participants	Number of participants served who were in foster care under the responsibility of the State before 18 years of age and are between the ages of 18 - 24 at the time of applying for the WtW program (10.b.2/24/b/2)	For Competitive Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 12/31/1999 and FOSTER CARE is Yes.  For Formula Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 6/30/2000 and FOSTER CARE is Yes.
WTW Cumulative Quarterly Financial Status Report	010.b3	024.b3	Custodial parents with incomes below 100% of poverty	Number of custodial parents with family incomes below 100% of the poverty line, determined in accordance with the most recent HHS Poverty Guidelines, and custodial parents with disabilities whose own income is below 100% of the poverty line but who are members of families whose income does not fall below 100% of the poverty line (10.b.3/24.b.3)	For Competitive Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 12/31/1999 and CUSTODIAL BELOW 100% is Yes.  For Formula Grants: Count of INDIVIDUAL IDENTIFIERS where the FIRST SERVICE DATE is after 6/30/00 and CUSTODIAL BELOW 100% is Yes.

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	011	025	Total Participants Terminated	Number of participants terminated under this grant. If a client is terminated, then returns to the program for additional services, and is later terminated again, the client is to be counted as a termination again.	For Competitive Grants: Sum of 11.a plus 11.b.  For Formula Grants: Sum of 025.a plus 025.b.
WTW Cumulative Quarterly Financial Status Report	011.a	025.a	General Eligibility/Noncustodial Parents Category (Former 70% Provision)	Number of participants terminated under the grant who met the criteria for "General Eligibility/Noncustodial Parents" as defined in Section 403(a)(5)(C)(ii) of the Act. This is the cumulative number of participants terminated under the grant who had been served by the expenditures reported in report Item 6.a/8.a.	Count of INDIVIDUAL IDENTIFIERS where GENERAL ELIGIBILITY/NONCUSTODIAL PARENTS CATEGORY (Former 70% Provision) is Yes, or LONG-TERM TANF RECIPIENT is Yes, or TANF EXHAUSTEE is Yes, or NONCUSTODIAL PARENTS is Yes, and TERMINATION DATE is not blank.
WTW Cumulative Quarterly Financial Status Report	011.b	025.b	Other Eligibles Category (Former 30% Provision)	Number of participants terminated under the grant who met the criteria for the "Other Eligible" category, as defined in Section 403(a)(5)(C). This is the cumulative number of participants terminated under the grant who had been served by the expenditures reported In report Item 6.b./8.b.	Count of INDIVIDUAL IDENTIFIERS where OTHER ELIGIBLES CATEGORY (Former 30% Provision) is Yes, or TANF DEPENDENCE is Yes, or TANF BARRIERS is Yes, or CUSTODIAL BELOW 100% is Yes, or FOSTER CARE is Yes, and TERMINATION DATE is not blank.
WTW Cumulative Quarterly Financial Status Report	012	026	Placed in Unsubsidized Employment	Number of participants who are placed in unsubsidized jobs for the first time, i.e. the Social Security Number is linked with the job placement, while receiving WtW services. Grantees may not report a placement for a participant more than once unless the participant is terminated from the WtW program and comes back after not receiving WtW services for at least 90 days. Exclude participants who are placed in any job for which the employer receives a wage subsidy. Also exclude participants who are placed in on-the-job training until after the OJT is completed and the participant is retained in an unsubsidized job.	For Competitive Grants: The sum of items 12.a and 12.b.  For Formula Grants: The sum of items 26.a and 26.b.

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	012.a	026.a	Greater than or equal to 30 hours per week at placement	Number of participants who entered unsubsidized employment of 30 or more hours per week at placement.	Count of INDIVIDUAL IDENTIFIERS where INITIAL UNSUBSIDIZED PLACEMENT DATE is not blank and UNSUBSIDIZED HOURS WORKED is >=30.
WTW Cumulative Quarterly Financial Status Report	012.b	026.b	Less than 30 hours per week at placement	Number of WtW participants who entered unsubsidized employment of less than 30 hours per week at placement.	Count of INDIVIDUAL IDENTIFIERS where INITIAL UNSUBSIDIZED PLACEMENT DATE is not blank and UNSUBSIDIZED HOURS WORKED is <30.
WTW Cumulative Quarterly Financial Status Report	013	027	Employed in Unsubsidized Employment when Entering WtW	Number of WtW participants who were already employed in an unsubsidized job when becoming a "participant served" by the WtW program. Please refer to the definition of "participant served" in Item 10/24 of the reporting specifications. Individuals should not be counted in this entry until they meet the "participant served" status.	For Competitive Grants: The sum of items 13.a and 13.b.  For Formula Grants: The sum of items 27.a and 27.b.
WTW Cumulative Quarterly Financial Status Report	013.a	027.a	Greater than or equal to 30 hours per week at program entry	Number of participants who were employed in unsubsidized employment of 30 or more hours per week when becoming a participant served by the WtW program.	Count of INDIVIDUAL IDENTIFIERS where INITIAL UNSUBSIDIZED PLACEMENT DATE is blank and EMPLOYED AT ENTRY is Yes and ENTRY HOURS WORKED is >=30.
WTW Cumulative Quarterly Financial Status Report	013.b	027.b	Less than 30 hours per week at program entry	Number of participants who were employed in unsubsidized employment of less than 30 hours per week when becoming a participant served by the WtW program.	Count of INDIVIDUAL IDENTIFIERS where INITIAL UNSUBSIDIZED PLACEMENT DATE is blank and EMPLOYED AT ENTRY is Yes and ENTRY HOURS WORKED is < 30.
WTW Cumulative Quarterly Financial Status Report	014	028	Placed in Subsidized Employment	Number of WtW participants who are placed in subsidized jobs for which the wage subsidy is less than 100% of the participant's total income and for which the subsidized job placement is not workfare, i.e. the total amount paid to the individual exceeds the amount of the subsidy.	For Competitive Grants: The sum of 14.a and 14.b.  For Formula Grants: The sum of 28.a and 28.b.

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	014.a	028.a	Greater than or equal to 30 hours per week at placement	Number of participants who entered subsidized employment of 30 or more hours per week at placement.	Count of INDIVIDUAL IDENTIFIERS where INITIAL SUBSIDIZED PLACEMENT DATE is not blank and SUBSIDIZED HOURS WORKED is >= 30.
WTW Cumulative Quarterly Financial Status Report	014.b	028.b	Less than 30 hours per week at placement	Number of participants who entered subsidized employment of less than 30 hours per week at placement.	Count of INDIVIDUAL IDENTIFIERS where INITIAL SUBSIDIZED PLACEMENT DATE is not blank and SUBSIDIZED HOURS WORKED is <30.
WTW Cumulative Quarterly Financial Status Report	015	029	Retained 6 Months (2 Quarters) in Unsubsidized Employment	<p>Number of participants who were placed in unsubsidized employment in the base quarter (Item 12/26), plus the number of participants who were employed in unsubsidized employment when first receiving WtW services (Item 13/27), who remained in the workforce for six months after the base quarter, with earnings in both of the two consecutive quarters following the base quarter.</p> <p>NOTE: Retention is defined as when an eligible individual is placed in unsubsidized employment and remains in the workforce for 6 months with earnings in the two consecutive quarters following the base quarter. For those individuals reported in Item 13/27 (employed in unsubsidized employment when entering the WtW program), the base quarter from which retention is measured is the quarter in which WtW services were first provided, and thus the quarter in which an individual was first counted in Item 13/27.</p>	Count of INDIVIDUAL IDENTIFIERS where WAGES BASE QUARTER +1 or OTHER SOURCE BASE QUARTER +1 are >0 and WAGES BASE QUARTER +2 or OTHER SOURCE BASE QUARTER +2 are >0 AND where INITIAL UNSUBSIDIZED PLACEMENT DATE is not blank OR where INITIAL UNSUBSIDIZED PLACEMENT DATE is blank and EMPLOYED AT ENTRY is Yes.
WTW Cumulative Quarterly Financial Status Report	016	030	Earnings Gained in 6 Months (2 Quarters) Following Placement in Unsubsidized Employment		Row Heading

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	016.a	030.a	Sum of Earnings of those retained in 2nd quarter following base quarter	Sum of earnings in the second quarter of those individuals who remained in the workforce in the second quarter following the base quarter (those participants identified in Item 15).	Sum of WAGES BASE QUARTER +2 or OTHER SOURCE BASE QUARTER +2 where WAGES BASE QUARTER +1 or OTHER SOURCE BASE QUARTER +1 are >0 and WAGES BASE QUARTER +2 or OTHER SOURCE BASE QUARTER +2 are >0 for INDIVIDUAL IDENTIFIERS where INITIAL UNSUBSIDIZED PLACEMENT DATE is not blank OR INITIAL UNSUBSIDIZED PLACEMENT DATE is blank and EMPLOYED AT ENTRY is Yes.
WTW Cumulative Quarterly Financial Status Report	016.b	030.b	Sum of earnings of same group in base quarter	Sum of the earnings of those participants identified in Item 15/29 in the base quarter).	Sum of WAGES BASE QUARTER or OTHER SOURCE BASE QUARTER for INDIVIDUAL IDENTIFIERS where WAGES BASE QUARTER +1 or OTHER SOURCE BASE QUARTER +1 are >0 and WAGES BASE QUARTER +2 or OTHER SOURCE BASE QUARTER +2 are >0 AND INITIAL UNSUBSIDIZED PLACEMENT DATE is not blank OR where INITIAL UNSUBSIDIZED PLACEMENT DATE is blank and EMPLOYED AT ENTRY is Yes.
WTW Cumulative Quarterly Financial Status Report	017	031	Gender	Gender of the participant is male or female.	Row Heading

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	017.a	031.a	Male	Number of male participants.	Count of INDIVIDUAL IDENTIFIERS where GENDER is male.  For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
WTW Cumulative Quarterly Financial Status Report	017.b	031.b	Female	Number of female participants.	Count of INDIVIDUAL IDENTIFIERS where GENDER is female.  For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
WTW Cumulative Quarterly Financial Status Report	018	032	Age	Total of participants in each age range. Grantees should report participant's age at the time of participant's enrollment in the program.	Row Heading
WTW Cumulative Quarterly Financial Status Report	018.a	032.a	14-17		Count of INDIVIDUAL IDENTIFIERS where DATE OF BIRTH is 14 to 17 years prior to the FIRST SERVICE DATE.  For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	018.b	032.b	18-35		<p>Count of INDIVIDUAL IDENTIFIERS where DATE OF BIRTH is 18 to 35 years prior to the FIRST SERVICE DATE.</p> <p>For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
WTW Cumulative Quarterly Financial Status Report	018.c	032.c	36-50		<p>Count of INDIVIDUAL IDENTIFIERS where DATE OF BIRTH is 36 to 50 years prior to the FIRST SERVICE DATE.</p> <p>For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
WTW Cumulative Quarterly Financial Status Report	018.d	032.d	51-64		<p>Count of INDIVIDUAL IDENTIFIERS where DATE OF BIRTH is 51 to 64 years prior to the FIRST SERVICE DATE.</p> <p>For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	018.e	032.e	65 and older		Count of INDIVIDUAL IDENTIFIERS where DATE OF BIRTH is 65 years or more prior to the FIRST SERVICE DATE.  For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
WTW Cumulative Quarterly Financial Status Report	019	033	Race and Ethnicity	Number of participants identified in each category. Multi-racial/ethnic participants may select more than one category. For instance, a participant identified as both "Hispanic or Latino" and "White" would be counted in both Items 19.d/33.d and 19.f/33.f.	Row Heading
WTW Cumulative Quarterly Financial Status Report	019.a	033.a	American Indian or Alaskan Native	A person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.	Count of INDIVIDUAL IDENTIFIERS where AMERICAN INDIAN OR ALASKAN NATIVE is Yes.  For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
WTW Cumulative Quarterly Financial Status Report	019.b	033.b	Asian	A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.	Count of INDIVIDUAL IDENTIFIERS where ASIAN is Yes.  For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	019.c	033.c	Black or African American	A person having origins in any of the Black racial groups of Africa.	<p>Count of INDIVIDUAL IDENTIFIERS where BLACK OR AFRICAN AMERICAN is Yes.</p> <p>For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
WTW Cumulative Quarterly Financial Status Report	019.d	033.d	Hispanic or Latino	A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race.	<p>Count of INDIVIDUAL IDENTIFIERS where HISPANIC OR LATINO is Yes.</p> <p>For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>
WTW Cumulative Quarterly Financial Status Report	019.e	033.e	Native Hawaiian or Other Pacific Islander	A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.	<p>Count of INDIVIDUAL IDENTIFIERS where NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER is Yes.</p> <p>For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>

<i>Report</i>	<i>Number - Competitive Grant</i>	<i>Number - Formula Grant</i>	<i>Report Element</i>	<i>Definition</i>	<i>Report Specification</i>
WTW Cumulative Quarterly Financial Status Report	019.f	033.f	White	A person having origins in any of the peoples of Europe, the Middle East, or North Africa.	Count of INDIVIDUAL IDENTIFIERS where WHITE is Yes.  For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.
WTW Cumulative Quarterly Financial Status Report	020	034	Participants with Disabilities	Enter the number of participants who voluntarily self-disclose as having disabilities. Grantees may not ask participants for their disability status, and participants may not be forced to disclose it.  NOTE: An individual with a disability is defined as any individual who has a physical (such as motion, vision, or hearing) or mental (such as learning or developmental) impairment which substantially limits one or more of such person's major life activities and who has a record of such an impairment, or is regarded as having such an impairment.	Count of INDIVIDUAL IDENTIFIERS where INDIVIDUAL WITH DISABILITY is Yes.  For Competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For Formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.

## **C. USING UI WAGE RECORDS FOR WELFARE-TO-WORK REPORTING**

Welfare to Work grantees may use State UI wage records to establish employment and earnings for participants for reporting purposes. There are numerous access, timing, and data issues to consider when using wage records. This section describes the wage record collection and matching process and how it applies to WtW.

### **1. Timing of Wage Record Availability**

Grantees may not have complete wage data on participants until two full quarters after the quarter of wage activity. The reasons for this include:

- Wage record submissions to State Employment Security Agencies (SESAs) are due from employers, in general, 30 days after the end of the quarter in which the wages were earned.
- The processing of 90 to 95 percent of wage record data normally takes 60 days beyond the report due date.

Because the WtW reports are cumulative, grantees are encouraged to collect additional wage record data each quarter on participants whose performance has already been reported. As additional wage data become available, cumulative performance may change.

Table II.1 shows the activities that occur in the base quarter and each of the five subsequent quarters (base quarter +1, base quarter +2, base quarter +3, base quarter +4 and base quarter +5). The top row shows the activities of the program and the participant for each quarter; the bottom row shows the corresponding data processing activity needed to capture and report the required information.

Table II.2 shows the quarters for which wage records are required for each base quarter through the fourth quarter of 2002.

The schedules in Tables II.1 and II.2 indicate that grantees should receive wage record data from States for at least two quarters (the fourth and fifth quarters after the base quarter) to ensure that all necessary wage record data have been captured.

## **2. Matching Wage Records and Reporting**

Grantees must assemble a file on a quarterly basis to send to the State to obtain the wage records. At the end of each quarter, the grantee should create an extract file containing a short record for every participant served with a base quarter three quarters prior (see Tables II.1 and II.2). The file only needs to contain two data elements for each participant:

1. SSN
2. Base Quarter Identifier (for example, 2001-2 indicating April 1-June 30, 2001, the 2nd calendar quarter in 2001)

The grantee should determine the base quarter as follows:

- If the participant was employed at entry, the base quarter is the quarter of the first service date
- If the participant was not employed at entry, the base quarter is the quarter of the initial date placed in unsubsidized employment

Each grantee may have its own preference for additional data to include on this file. A field designating SSN must be included if the grantee is going to include the wage record merge for the participant with other programs.

The State matches the SSN to the wage record file and retrieves the information for the base quarters and the two subsequent quarters. The State is not able to perform this match until the beginning of the fourth quarter following the base quarter. This still gives the grantee time to obtain the data from the State and to prepare the report on time, 45 days into the fourth quarter following the base quarter.

TABLE II.1

TIMING OF PARTICIPANT/PROGRAM ACTIVITIES AND DATA/MATCHING ACTIVITIES FOR ENTERED EMPLOYMENT, RETENTION, AND EARNINGS GAIN MEASURES

Quarter/ Participant/ Program Activity	Base Quarter (For example 1/1/2001-3/31/2001)	Base Quarter +1 (4/1/2001- 6/30/2001)	Base Quarter +2 (7/1/2001- 9/30/2001)	Base Quarter +3 (10/1/2001- 12/31/2001)	Base Quarter +4 (1/1/2002- 3/31/2002)	Base Quarter +5 (4/1/2002- 6/30/2002)
	<p>When the participant is first served, the grantee determines whether or not the participant is employed at that point.</p> <p>If the participant is employed, the first service date is used to establish the base quarter.</p> <p>If the participant is not employed on the first service date but is placed in unsubsidized employment after the first service date, the date placed in unsubsidized employment establishes the base quarter.</p>	If the participant is employed, the wages are used to determine retention.	If the participant is employed, the wages are used to determine retention and also to determine earnings gain.	NA	NA	NA
Internal Data Capturing/ Matching Activity	<p>Earnings used to measure earnings change</p> <p>Capture</p> <ol style="list-style-type: none"> <li>1. First Service Date</li> <li>2. Employed at Entry (Y/N)</li> <li>3. Initial Date Placed in Unsubsidized Employment</li> <li>4. Base Quarter Earnings (if not using wage records)</li> </ol>	NA	NA	Send SSN and base quarter identifier to State to capture earnings for base quarter, base quarter +1, and base quarter +2 earnings.	Merge wage record data with participant data file and calculate Retention and Earnings Change.	Merge wage record data with participant data file <i>again</i> and recalculate and report Retention and Earnings Change.

TABLE II.2  
 QUARTERS OF WAGES REQUIRED FOR SPECIFIED BASE QUARTERS

Base Quarter	Quarters for Which Earnings are Required														
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
99-4	99-4	2000-1	2000-2	2000-3	2000-4	2001-1	2001-2	2001-3	2001-4	2002-1	2002-2	2002-3	2002-4	2003-1	2003-2
2000-1															
2000-2															
2000-3															
2000-4															
2001-1															
2001-2															
2001-3															
2001-4															
2002-1															
2002-2															
2002-3															
2002-4															

- Base Quarter, Base Quarter +1, Base Quarter +2 Wages Required
- Send SSNs to State
- ▨ Receive wage data from State, calculate and submit report
- ▩ Receive additional wage record data and recalculate and submit report using the new data

Once the correct wage records have been collected and matched to the SSNs, several other steps must be taken before the performance measures can be calculated. Presumably these steps are performed by the State, but the WtW grantee should be aware of them. If the grantee does not provide a “clean” file, the grantee should perform the following steps.

### **3. Aggregating Wage Records from Multiple Employers**

One characteristic of UI wage data is that multiple UI wage records exist for participants who work for more than one employer during a particular wage quarter. These records have duplicate SSN's, but the employer code and earnings amounts vary. Occasionally, the employer code will be unavailable (null). In cases where the employer code is unavailable, it is appropriate to eliminate duplicate records where the SSN and wage value *for that particular quarter* are identical. Records with multiple wage values for participants who work for more than one employer during a particular wage quarter must be added together to arrive at total earnings for the participant in that quarter. For example, if participant A earns \$1,000 at job 1 in quarter 3 and \$2,000 at job 2 in quarter 3, the total earnings for participant A in quarter 3 should be \$3,000.

### **4. Removing Erroneous Data**

Data entry errors in the UI wage file must be identified and excluded, which can be done as an exclusion rule or by another method. For example, the grantee should exclude all records with earnings greater than \$40,000 in any one quarter.

Exact duplicate wage records should be eliminated. For example, duplicate wage records for the same SSN, the same employer, and the same dollar amount should be eliminated. As mentioned, in cases where the employer code is unavailable, it is appropriate to eliminate duplicate records where the SSN and wage value *for that particular quarter* are identical.

### **III. VALIDATION GUIDANCE**

The WtW validation guidelines describe the procedures for grantees to follow in reviewing the accuracy of their WtW Quarterly Performance Report. The validation process is intended to accomplish the following goals:

- Detect and identify specific problems with a grantee's WtW reporting process, including software and data problems, to enable the grantee to correct the problems.
- Ensure that critical performance data used to meet ETA's GPRA goals are reasonably accurate, by calculating an error rate for each data element validated.
- Provide tools that help grantees analyze the causes of their performance successes and failures by displaying participant data organized by performance outcomes.
- Minimize the burden validation imposes on grantees by providing standardized software that reads WtW participant records and performs all of the processing required to perform the validation.
- Further minimize the burden imposed on grantees by selecting the smallest possible validation samples needed to compute valid error rates.

Validation consists of two separate functions: report validation and data element validation. Because there are two basic sources of reporting error, two validation methods are required. Even if the data for each participant are correct, the grantee's reporting software could calculate the wrong performance outcomes. If the software is correct, some of the data the software uses could be in error. Report validation checks the accuracy of the software used to calculate the WtW report. Data element validation checks the accuracy of the data used by the software to perform the calculations.

#### **REPORT VALIDATION**

Report validation reviews the accuracy of the counts reported in each item of the WtW report. For example, if a grantee reports a numerator of 100 in the retention rate, the validation

method builds and analyzes a file of participants served who were employed two quarters after the quarter in which they were placed. If the grantee can produce 100 participant records that meet the specified criteria, the grantee software that calculates the performance reports is determined to be accurate. Report validation also involves the use of standardized software that analyzes the grantee's participant files to verify the accuracy of the grantee's reported counts.

One benefit of the report validation process for grantees is the ability to analyze performance outcomes and to determine what factors impact performance. For example, grantee staff can view the individual wage records for participants who were employed in both the second and third quarters after placement. Staff may be able to determine that changes in performance, particularly with regard to earnings change and retention rate, are due to wage record patterns that may be unrelated to program performance. There are numerous other ways in which viewing the files can help staff analyze changes in performance over time and across participant groups.

Section A of this chapter contains the procedures for conducting report validation. Appendix A presents the different performance outcomes to which the validation software assigns each participant record in order to analyze the accuracy of the WtW report. Appendix B contains the record layout that the grantee follows to build the participant file to be imported into the software. Appendix C presents the Report Validation Summary produced by the software, which compares the grantee's quarterly report with the validation counts.

## **DATA ELEMENT VALIDATION**

Data element validation confirms the accuracy of the participant data used by the software by examining samples of participant records to assess whether the information is correct. For example, if a participant record is selected for validation, grantees compare the record against the

source documentation for each selected data element, and record on a worksheet whether or not the information is accurate.

Data element validation is critical to ensure that WtW grantees are following established procedures for recording participant data. This approach is necessary to establish that the performance results of the WtW system are reasonably accurate.

Data element validation is conducted for all participants served who are included on the report being validated. Procedures for conducting data element validation are found in section B of this chapter. Appendix D contains the data element validation instructions for validators to follow. Appendix E contains the Data Element Validation Worksheet that is generated by the software for use by the validator. Appendix F presents the Summary and Analytical Report generated by the software, showing the overall results of the data element validation process. Finally, Appendix G details the sampling and error rate estimation methods used for data element validation.

## **A. REPORT VALIDATION**

Report validation is designed to assess the accuracy of the grantee software used to generate the WtW report. The process requires the grantee to create a participant file containing selected data elements for each participant served who is included on the report being validated. The specifications for developing the participant file are contained in the record layout in Appendix B.

### **1. Procedures**

Once the participant file has been created, the grantee imports the file into the WtW validation software. The software then reads the participant records and assigns them to a

performance outcome group. Having determined the performance outcome for each participant, the software calculates the counts for each of the reported items on the WtW report.

The grantee then enters into the software the counts from the WtW report that it submitted to ETA. Once the reported counts have been entered, the software compares the validation counts developed from the participant file to the reported counts and generates the Report Validation Summary. The Report Validation Summary shows the comparison of each count and the percentage of error, if any. Federal quality standards for determining unacceptable error rates will be developed after sufficient data have been collected on the validation results.

Grantees are responsible for producing the validation files according to the following tasks.

## **2. Tasks**

### **Task 1: Grantees Produce Report Validation Extract File**

Grantees produce a report validation extract file containing the participant records for all participants served. See Appendix B for the record layout used to create the participant files.

The extract file is then imported into the data validation software, which processes each file and builds the subgroups based on the performance outcomes specified in Appendix A. For example, participants in subgroup 3 have been placed in unsubsidized employment of greater than or equal to 30 hours per week, and were retained six months after placement based on supplemental data.

The grantee programs that generate the validation files must be run at the same time as the federal reporting programs to eliminate differences caused by changes in the database over time.

### **Task 2: Install Software and Import Extract File**

See the software's user guide for detailed instructions on installing the software and loading the extract files.

### **Task 3: Examine Error Reports and Reload Extract If Necessary**

When the extract file is loaded, the software reads each record to ensure that all fields are valid. Any records with invalid data, that are missing mandatory data, or that appear to be duplicates are rejected, and an error report is produced. The front-end error-checking program produces an error report when data fields are not in the format specified in the record layout (such as dates in the wrong format). The record layout in Appendix B specifies the criteria that must be met for the records to be successfully loaded.

After reviewing any error reports that are generated, grantees should determine whether the extract file is correct or whether it must be regenerated or reformatted and reloaded into the software.

### **Task 4: Enter or Download Quarterly Federal Participant Reported Data**

To calculate the error rate, the software must have the grantee's reported values. Therefore, the ADP staff or validator must download or enter the item totals from the ETA quarterly report into the reported count input form. If grantees use the validation software to prepare the quarterly report, then this step is not necessary.

### **Task 5: Report Validation Summary Report**

After the reported counts from the ETA quarterly report have been downloaded or entered into the reported count input form, the software calculates the difference between the validation and reported counts and calculates an error rate. The software then produces the Report Validation Summary. If grantees use the validation software to prepare the quarterly report, then the Report Validation Summary will not show reported count and percent differences.

### **3. Examples**

The following figures are examples of:

1. WtW Performance Measures File Specifications (Figure III.1)
2. Sample Records for Participants Served (Figure III.2)
3. Report Validation Summary (Figure III.3)

FIGURE III.1

WTW PERFORMANCE MEASURES FILE SPECIFICATIONS

Group	1 Unsubsidized Placement	2 Employed At Entry	3 Base Quarter	4a	4b	5 Unsubsidized Placement		6 Retention		7 Included in Earnings
				Source of Wages Base Q+1	Source of Wages Base Q+2	Numerator	Denominator	A	B	
								Numerator	Denominator	
1	No	No	NA	NA	NA	1	1	NA	NA	NA
2	Yes	No	Suppl.	Suppl.	Suppl.	1	1	1	1	1
3	Yes	No	Wage	Wage	Wage	1	1	1	1	1
4	Yes	No	Wage	Wage	Suppl.	1	1	1	1	1
5	Yes	No	Wage	Suppl.	Wage	1	1	1	1	1
6	Yes	No	Wage	Suppl.	Suppl.	1	1	1	1	1
7	Yes	No	Suppl.	Wage	Wage	1	1	1	1	1
8	Yes	No	Suppl.	Wage	Suppl.	1	1	1	1	1
9	Yes	No	Suppl.	Suppl.	Wage	1	1	1	1	1
10	Yes	No	Wage	Wage	None	1	1	NA	1	NA
11	Yes	No	Wage	Suppl.	None	1	1	NA	1	NA
12	Yes	No	Suppl.	Wage	None	1	1	NA	1	NA
13	Yes	No	Suppl.	Suppl.	None	1	1	NA	1	NA
14	Yes	No	Suppl.	None	NA	1	1	NA	1	NA
15	Yes	No	Wage	None	NA	1	1	NA	1	NA
16	Yes	Yes	Suppl.	Suppl.	Suppl.	1	1	1	1	1
17	Yes	Yes	Wage	Wage	Wage	1	1	1	1	1
18	Yes	Yes	Wage	Wage	Suppl.	1	1	1	1	1
19	Yes	Yes	Wage	Suppl.	Wage	1	1	1	1	1
20	Yes	Yes	Wage	Suppl.	Suppl.	1	1	1	1	1
21	Yes	Yes	Suppl.	Wage	Wage	1	1	1	1	1
22	Yes	Yes	Suppl.	Wage	Suppl.	1	1	1	1	1
23	Yes	Yes	Suppl.	Suppl.	Wage	1	1	1	1	1
24	Yes	Yes	Wage	Wage	None	1	1	NA	1	NA
25	Yes	Yes	Wage	Suppl.	None	1	1	NA	1	NA
26	Yes	Yes	Suppl.	Wage	None	1	1	NA	1	NA
27	Yes	Yes	Suppl.	Suppl.	None	1	1	NA	1	NA
28	Yes	Yes	Suppl.	None	NA	1	1	NA	1	NA
29	Yes	Yes	Wage	None	NA	1	1	NA	1	NA
30	No	Yes	Suppl.	Suppl.	Suppl.	NA	NA	1	1	1

Group	1	2	3	4a	4b	5		6		7
	Unsubsidized Placement	Employed At Entry	Base Quarter	Source of Wages Base Q+1	Source of Wages Base Q+2	Unsubsidized Placement		Retention		Included in Earnings
						Numerator	Denominator	A	B	
31	No	Yes	Wage	Wage	Wage	NA	NA	1	1	1
32	No	Yes	Wage	Wage	Suppl.	NA	NA	1	1	1
33	No	Yes	Wage	Suppl.	Wage	NA	NA	1	1	1
34	No	Yes	Wage	Suppl.	Suppl.	NA	NA	1	1	1
35	No	Yes	Suppl.	Wage	Wage	NA	NA	1	1	1
36	No	Yes	Suppl.	Wage	Suppl.	NA	NA	1	1	1
37	No	Yes	Suppl.	Suppl.	Wage	NA	NA	1	1	1
38	No	Yes	Wage	Wage	None	NA	NA	NA	1	NA
39	No	Yes	Wage	Suppl.	None	NA	NA	NA	1	NA
40	No	Yes	Suppl.	Wage	None	NA	NA	NA	1	NA
41	No	Yes	Suppl.	Suppl.	None	NA	NA	NA	1	NA
42	No	Yes	Suppl.	None	NA	NA	NA	NA	1	NA
43	No	Yes	Wage	None	NA	NA	NA	NA	1	NA

Figure III.2  
Sample Records for Participants Served

WTW Data Validation System. - [U002 - Source Data Table]														
File Import Data Change Reporting Params Report Validation Data Element Validation Utilities Window Help														
OBS	GranteeTyp	SSN	DOB	Gender	AmericanIn	Asian	AfricanAme	PacificIslan	White	Ethnicity	Disability	LongTerm1	TANFExhau	TANFDe
0	F	15	7/13/1976	m	Y						Y			
3	F	56	12/4/1971	F			Y			Y				Y
4	F	191	12/5/1971	M				Y					Y	
4	F	83	12/11/1971	M					Y			Y		
5	F	8	3/4/1962	M				Y			y			
6	F	205	10/5/1984	M		Y					y			
7	F	140	10/2/1935	M			Y			Y				
7	F	180	3/25/1950	m					Y		Y			
8	F	147	12/3/1971	M					Y					
10	F	132	12/6/1971	F		Y								
10	F	75	9/25/1957	F	Y									
11	F	138	10/3/2023	F		Y								
12	F	123136	12/11/1971	M					Y			Y		
13	F	126	10/5/1984	M		Y					y			
13	F	209	10/3/2023	F		Y								
14	F	448925	10/6/1952	F	Y									
15	F	3	12/4/1971	F			Y			Y				Y
15	F	134	10/5/1984	M		Y					y			
15	F	23	12/7/1971	M	Y					Y				
15	F	130	3/10/1972	m		y								
16	F	135	10/3/2023	F		Y								
17	F	75	12/10/1971	F				Y						
20	F	716371	12/9/1971	M			Y					Y		
21	F	21	12/6/1971	F		Y								
21	F	155	3/10/1972	f			y							
21	F	168	12/4/1971	F			Y			Y				Y
22	F	93	12/6/1971	F		Y								
22	F	11	10/3/2023	F		Y								
23	F	4	12/11/1971	M					Y			Y		
24	F	41	3/10/1972	m				y						
24	F	127	12/4/1971	F			Y			Y				Y
30	F	30	5/11/1966	F			Y							
30	F	69	12/9/1971	M			Y					Y		
30	F	171	9/25/1957	F	Y									

Exit

Number of Records in Population: 195      Reporting Period - 1/1/1995 - 2/22/2002      DB: WTWDV      3/11/2002

Figure III.3

Report Validation Summary

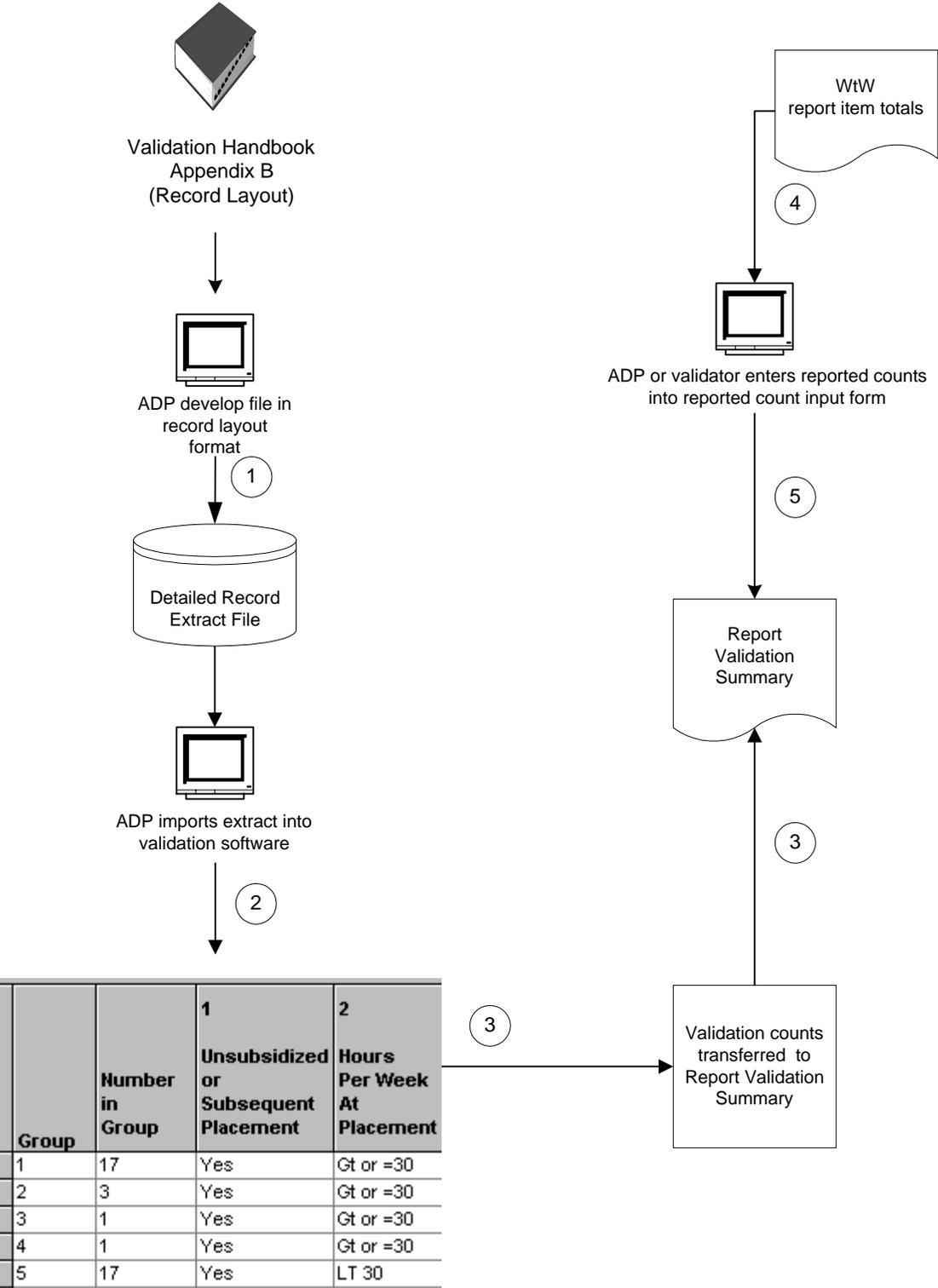
RptCell	Description	Validation Count	Reported Count	Count Difference	Count % Diff
1	Unsubsidized Placement	0 %	47 %	47	Diff
1a	Unsubsidized Num		61		
1b	Unsubsidized Denom		129		
2	Retention Rate	0 %	64 %	64	Diff
2a	Retention Num		81		
2b	Retention Denom		127		
3	Earnings Gained	0 %	0 %	0	0.0
3a	Earnings Num		-51		
3b	Earnings Denom		48,281		
10/24	Total Participants Served	0	178	178	Diff
10a/24a	GE/Noncust. Parents	0	92	92	Diff
10a1/24a1	LT TANF	0	26	26	Diff
10a2/24a2	Noncust. Parents	0	24	24	Diff
10b/24b	Other Eligibles	0	86	86	Diff
10b1/24b1	TANF Recpt. w/barriers	0	24	24	Diff
10b2/24b2	Foster Care Recipients	0	18	18	Diff
10b3/24b3	Cust. Parents < 100 %	0	10	10	Diff
11/25	Total Part. Terminated	0	16	16	Diff
11a/25a	GE/Noncust. Parents	0	10	10	Diff
11b/25b	Other Eligibles	0	6	6	Diff
12/26	Unsubsidized Employ	0	61	61	Diff
12a/26a	>=30	0	30	30	Diff
12b/26b	<30	0	31	31	Diff
13/27	Employ Unsub at Entry	0	82	82	Diff
13a/27a	>=30	0	20	20	Diff
13b/27b	<30	0	62	62	Diff
14/28	Placed Sub Employ	0	0	0	0.0
14a/28a	>=30	0	0	0	0.0
14b/28b	<30	0	0	0	0.0
15/29	Retained 6 Months		81		
16a/30a	Earnings Gained 6 Mo		48,230		
16b/30b	Earnings Base Quarter		48,281		
17a/31a	Male	0	52	52	Diff
17b/31b	Female	0	50	50	Diff
18a/32a	14-17	0	0	0	0.0
18b/32b	18-35	0	98	98	Diff
18c/32c	36-50	0	4	4	Diff
18d/32d	51-64	0	0	0	0.0
18e/32e	>=65	0	0	0	0.0
19a/33a	American Indian	0	10	10	Diff
19b/33b	Asian	0	24	24	Diff
19c/33c	Black or African-American	0	26	26	Diff
19d/33d	Hispanic or Latino	0	24	24	Diff
19e/33e	Native Hawaiian	0	16	16	Diff
19f/33f	White	0	28	28	Diff

TABLE III.1

OVERVIEW OF REPORT VALIDATION (FIGURE III.4)

Figure III.4 Step No.	Description of Step	Who Performs Step
1	ADP staff develop a file using the record layout (see Appendix B) that contains the participant records for each participant included on the quarterly report.	ADP Staff
2	The validation software categorizes the records in the extract file into the performance outcome groups specified in Appendix A.	Validation Software
3	From the subgroups, the software calculates the validation counts for each reported item. The software then displays the validation counts on the report validation summary.	Validation Software
4	Either the ADP staff or the validator download or data-enter the ETA quarterly item totals into the reported count input form.	ADP Staff or Validator
5	Once the reported counts have been entered and/or downloaded into the reported count input form, the software calculates the difference between the validation and reported counts and the percentage of error.	Validation Software

**FIGURE III.4  
OVERVIEW OF REPORT VALIDATION PROCESS**



## **B. DATA ELEMENT VALIDATION**

The data element validation process involves examining a sample of participant records to determine the accuracy of the data elements used to calculate the quarterly report.

### **1. Procedures**

Data element validation results in an estimate of the error rate for each data element on the quarterly report that has been selected for validation. The error rate is computed by examining a sample of participant records to determine whether the accuracy of selected data elements is supported by documentation in the case file or by other sources (such as wage record files).

Not all data elements are subject to 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 grantee records. Therefore, such items as race, ethnicity, and gender are not validated because these data elements are self-reported by participants.
- **Risk**—The process for validating data elements 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 quarterly report. Data elements that play a significant role in generating performance outcomes are the most important.

The validation software automatically selects samples from the participant groups and displays the sampled data on a validation worksheet. Users can select particular date parameters on the sign-in screen to sample from a particular time period. Appendix G includes a description of the sampling specifications. Participant subgroups are oversampled if they are determined to be important for calculating performance outcomes and to have a higher risk of

error. Participant records are randomly sampled within all the subgroups. The software weights the results of the validation to correct for the over and under-sampling so that the final results represent the overall error rate in the grantee's files.

Because WtW formula grantees are designated at the State level, participants are selected from a sample of offices within the State, rather than from every office. This sampling approach ensures that the results represent the overall quality of the grantee's data. Because the samples are selected from a relatively small number of offices, it is more practical for grantee staff to conduct the validation on-site.

For both competitive and formula grantees, the software automatically selects the sampled cases from the validation file based on the total number of participants served. For small grantees, the sample represents a larger proportion of participants than for larger grantees. Otherwise, the sample size for smaller grantees is insufficient to determine whether the report is accurate. To reduce the relative burden on smaller grantees as much as possible, the sample size for smaller grantees is set to yield a less precise error rate than for larger grantees.

In the data element validation process, the validator applies a series of validity criteria to each sampled record. These validity criteria, which are based on federal requirements that determine how to report data, instruct the validator to locate specified source documentation and to verify that the grantee's data record is correct. For example, wage record information must be checked against the State wage record files.

Appendix D contains the data element validation instructions, and Appendix E contains the worksheets the validator uses to record the results of the validation for each sampled case. The worksheets include a structure for recording comments and definitional problems that enables

grantees to track federal report and data validation issues. This is important for documenting issues that may affect validation in the future and for explaining inconsistencies.

## **2. Tasks**

### **Task 1: Assemble Worksheets and Arrange Visits to Offices**

The first task is to identify the offices (for formula grantees) that contain the records for the sampled participants served and to assemble the worksheets. This will be unnecessary for competitive grantees with only one office. Appendix E provides formats for the worksheets to be generated by the validation software. The worksheets contain the data for the sampled observations and a total row for total errors.

The worksheets are sorted by office, so that the validator has a group of worksheets to complete when visiting each sampled office. The worksheets can be used online on a laptop computer, or they can be printed and completed by hand. If the worksheets are completed by hand, the information must later be transcribed onto the automated worksheet.

### **Task 2: Assemble Supporting Documentation and Complete the Worksheets**

The validator requests the case files for the selected cases at the site. The validator reviews the case file for each data element present on the worksheet. Many of the data elements will be blank because not every data element applies to each participant. For example, if employment was established through wage records, the data element for supplemental employment will be blank on the worksheet.

The validator then validates all the data elements present on the worksheet, using the validation instructions in Appendix D. In addition, wage records must be validated even if blank. There is a separate instruction for each data element; data elements are presented in the order in which the elements appear on the worksheet. Each instruction specifies the source for

documents used to validate the data element. If the validator locates equivalent sources that are not specified in the instructions, the validator should record the source on the worksheet.

After reviewing the source documentation and following the validation instructions, the validator records the results in either the Pass or Fail checkbox on the worksheet for each element. Possible outcomes are that the source document supported/matched the data element (Pass), or the source document did not support/match the data element or no source document was found (Fail).

The validation files, including the completed worksheets, summary and analytical reports and copies of supporting documentation, should be retained on-site for a year for monitoring purposes.

### **Task 3: Examine Summary and Analytical Reports**

Appendix F contains the format of the summary and analytical reports that summarize and evaluate errors identified through the data element validation process. The software calculates the error rate for each element and produces the summary and analytical report. The grantee submits the summary report to ETA via the Internet.

Federal quality standards for determining unacceptable error rates will be developed after sufficient data have been collected on the validation results. Because of the sampling process, however, the results of the validation are not precise; they represent only an estimate of the error. Appendix G explains the sampling and error rate estimation.

### **3. Examples**

The following figures are examples of:

1. Data Element Validation Worksheet (Figure III.5)
2. Data Element Validation Summary and Analytical Report (Figure III.6)

Figure III.5

Data Element Validation Worksheet

**Welfare to Work Sample Validation.**

Summary of Samples Taken

Worksheet

Clustered Number samples inspected: 0

	OBS	Office	SubPop	SSN	Pass/Fail	Disability	Pass/Fail	LongTer
1	3237	11	1.21	55...	✗		✗	
2	1115	11	1.43	30...	☐		☐	
3	667	11	1.29	30...	☐	Y	☐	
4	1475	11	1.1	31...	☐		☐	
5	3290	11	1.26	59...	☐		☐	
6	1076	11	1.1	30...	☐		☐	
7	1278	11	1.1	30...	☐		☐	
8	2245	11	1.1	31...	☐		☐	
9	1193	11	1.1	30...	☐		☐	
10	1139	11	1.28	30...	☐		☐	
11	2667	11	1.12	31...	☐		☐	
12	152	11	1.1	28...	☐		☐	
13	3171	11	1.2	46...	☐	Y	☐	

Match Errors	Disability	LongTermTANF	TANFDepend	TANFExhaust	TANFBarriers	NonCustodi
1	1					

Refresh Counts

Exit

**WTW Sample Validation.**

OBS

Validation Field 1-16

Validation Field 17-32

SSN

Data Elements	Reported Value	Pass	Fail	Data Elements	Reported Value	Pass	Fail
OBS	<input type="text" value="3237"/>			Custodial100pct	<input type="text" value="Y"/>	☐	☐
Office	<input type="text" value="11"/>			TermDate	<input type="text"/>	☐	☐
SSN	<input type="text" value="555277679"/>	☐	☑	70pctEligible	<input type="text"/>	☐	☐
Disability	<input type="text"/>	☐	☑	30pctEligible	<input type="text"/>	☐	☐
LongTermTANF	<input type="text"/>	☐	☐	DatePlaced	<input type="text" value="8/2/2000"/>	☐	☐
TANFDepend	<input type="text"/>	☐	☐	FirstServiceDate	<input type="text" value="8/7/2000"/>	☐	☐
TANFExhaust	<input type="text"/>	☐	☐	HoursWorked	<input type="text"/>	☐	☐
TANFBarriers	<input type="text"/>	☐	☐	EmpAtEntry	<input type="text" value="Y"/>	☐	☐
NonCustodial	<input type="text"/>	☐	☐	EntryHours	<input type="text" value="40"/>	☐	☐
FosterCare	<input type="text"/>	☐	☐				

Save

Print

Exit

Figure III.6

Data Element Validation Summary and Analytical Report

**WTW Data Element Validation Summary and Analytical Report**

<b>Grantee:</b>		<b>Competitive</b>	<b>Period:</b>	<b>1/1/1998</b>	<b>Number of Cases:</b>	<b>271</b>
<b>Data Element</b>	<b>Ref. #</b>	<b># of Errors</b>	<b>% Error</b>	<b>% Error 2</b>		
SSN	02	1	0.22 %	100.00%		
Disability	22	1	0.22 %	100.00%		
LongTermTANF	04	0	0.00 %	0.00%		
TANFDepend	06	0	0.00 %	0.00%		
TANFExhaust	07	0	0.00 %	0.00%		
TANFBarriers	08	0	0.00 %	0.00%		
NonCustodial	05	0	0.00 %	0.00%		
FosterCare	08	0	0.00 %	0.00%		
Custodial100pct	10	0	0.00 %	0.00%		
TermDate	11	0	0.00 %	0.00%		
70pctEligible	12	0	0.00 %	0.00%		
30pctEligible	13	0	0.00 %	0.00%		
DatePlaced	15a	0	0.00 %	0.00%		
FirstServiceDate	03	0	0.00 %	0.00%		
HoursWorked	14a	0	0.00 %	0.00%		
EmpAtEntry	16	0	0.00 %	0.00%		
EntryHours	14b	0	0.00 %	0.00%		
PlacedSubDate	15b	0	0.00 %	0.00%		
SubHoursWorked	14a	0	0.00 %	0.00%		
BaseAmt	17a	0	0.00 %	0.00%		
BaseOtherAmt	17b	0	0.00 %	0.00%		
Wages1Amt	17c	0	0.00 %	0.00%		
Wages2Amt	17e	0	0.00 %	0.00%		
Wages1OtherAmt	17d	0	0.00 %	0.00%		
Wages2OtherAmt	17f	0	0.00 %	0.00%		

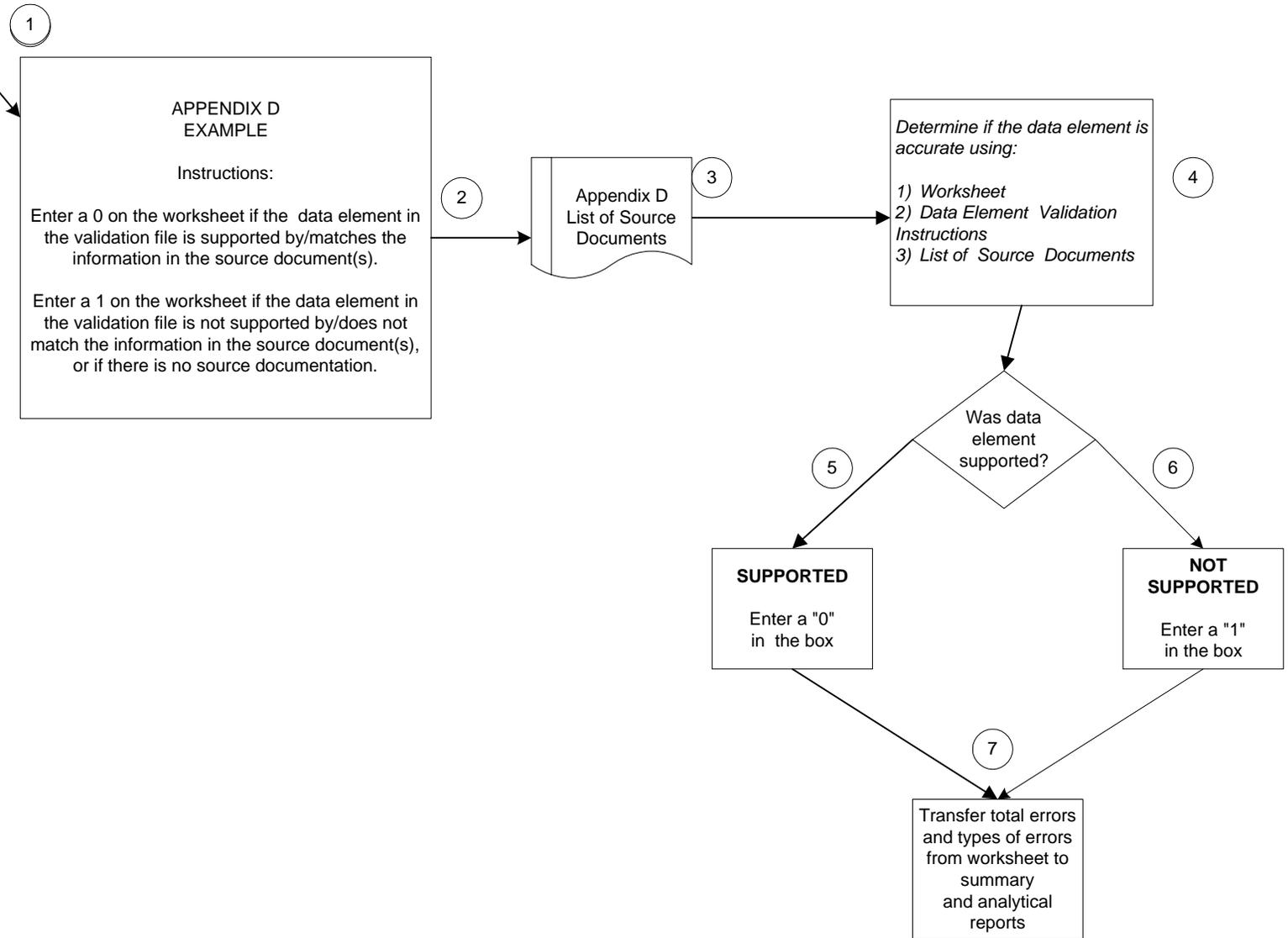
TABLE III.2

OVERVIEW OF DATA ELEMENT VALIDATION (FIGURE III.7)

Step No.	Step Description	Who Performs Step
1	The validation software automatically selects samples from the participant subgroups. For competitive grantees, the samples are randomly selected from participants who were served after January 1, 2000. For formula grantees, the validation samples are randomly selected from participants served after July 1, 2000. For formula grantees, participants are selected from a sample of offices within the State, rather than from every office.	Software
2	Once the case records are assembled, the validator uses the worksheet to locate the first relevant step in Appendix D. For each sampled record, certain data elements are printed on the worksheet. For elements where data are present, the validator locates the reference number. The reference number points to the location of the instruction in Appendix D that is used to validate that data element. The validator proceeds through each of the data elements for each sampled record in the same manner. Each data element in Appendix D provides a list of acceptable documentation and validation instructions.	Validator
3	The validator locates one or more of the listed source documents needed to validate the element.	Validator
4	Following the instructions to validate the element in Appendix D, the validator determines whether the data element meets the validation criteria, based on the information in the source document(s).	Validator
5	If the data element is supported by/matches the source document(s), then the validator enters a checkmark in the Pass box on the worksheet for that data element.	Validator
6	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, then the validator enters a checkmark in the Fail box on the worksheet for that data element, to indicate an error.	Validator
7	After each of the data elements has been validated for every sampled record, the validator views the Report Validation Summary and prints the final report.	Validator

SubPop	SSN	Pass /Fail	Disability	Pass /Fail	LongTermTANF	Pass /Fail
1.13	21					
1.13	170					
1.13	93					
1.14	105					
1.17	83				Y	
1.16	12					
1.15	160				Y	
1.13	163					
1.9	123					

**FIGURE III.7**  
**OVERVIEW OF DATA ELEMENT VALIDATION**  
 Method for validating each data element (column) for each sampled record on the worksheet



## **APPENDIX A**

### **REPORT VALIDATION SPECIFICATIONS**

## **APPENDIX A**

### **REPORT VALIDATION SPECIFICATIONS**

This appendix provides the specifications used by the software to calculate the performance measures for WtW. The programming specifications show in tabular form how participants are counted in the numerator or denominator, based on the operational definitions of the performance measures.

#### **I. REPORTING FILE SPECIFICATIONS FOR PERFORMANCE MEASURES**

Exhibit A.1. shows 17 possible measurement outcomes for WtW participants for the combination of unsubsidized placement, employed at entry, retention, and earnings. These possible performance outcomes are based upon the combination of (1) placed in unsubsidized employment, (2) retention, (3) source of wages, and (4) earnings gain. These performance outcomes lead to 17 mutually exclusive participant groups based on the possible combinations of seven conditions: participant's employment status prior to registration, number of hours worked, participant wages in the two quarters following the base quarter, and the source of the participant wages.

Figure III.1 shows how WtW participants served are organized into groups based on performance outcomes and sampling for data element validation. The groups are organized as follows:

Group 1 contains participants served who were not employed when they were first served and who have not been placed .

Groups 2-9 contain participants served who were not employed when first served, but who have been placed and retained, documented by various combinations of wage records and supplemental employment data.

Groups 10-13 contain participants served who were not employed when first served, but who have been placed but not retained for two full quarters, documented by various combinations of wage records and supplemental employment data.

Groups 14-15 contain participants served who were not employed when first served, but who have been placed but not retained for one quarter, documented by various combinations of wage records and supplemental employment data.

Groups 16-29 contain participants served who were employed when first served, but who have been subsequently placed. It is important to note that the retention data (base quarter, base quarter plus 1 and base quarter plus 2) are determined by the date of first service and not the subsequent placement date for these participants.

Groups 16-23 contain participants served who were employed when first served, but who have been subsequently placed and retained, documented by various combinations of wage records and supplemental employment data. .

Groups 24-27 contain participants served who were employed when first served, but who have been subsequently placed but not retained for two full quarters, documented by various combinations of wage records and supplemental employment data.

Groups 28-29 contain participants served who were employed when first served, but who have been placed, but not retained, for one quarter documented by various combinations of wage records and supplemental employment data.

Groups 30-37 contain participants served who were employed when first served who were not subsequently placed, who have been retained, documented by various combinations of wage records and supplemental employment data.

Groups 38-41 contain participants served who were employed when first served who were not subsequently placed, who have not been retained for two quarters, documented by various combinations of wage records and supplemental employment data.

Groups 42-43 contain participants served who were employed when first served who were not subsequently placed, who have not been retained for one quarter, documented by various combinations of wage records and supplemental employment data.

FIGURE A.1

WTW PERFORMANCE MEASURES FILE SPECIFICATIONS

Group	1 Unsubsidized Placement	2 Employed At Entry	3 Base Quarter	4a	4b	5 Unsubsidized Placement		6 Retention		7 Included in Earnings
				Source of Wages Base Q+1	Source of Wages Base Q+2	Numerator	Denominator	A	B	
								Numerator	Denominator	
1	No	No	NA	NA	NA	NA	1	NA	NA	NA
2	Yes	No	Suppl.	Suppl.	Suppl.	1	1	1	1	1
3	Yes	No	Wage	Wage	Wage	1	1	1	1	1
4	Yes	No	Wage	Wage	Suppl.	1	1	1	1	1
5	Yes	No	Wage	Suppl.	Wage	1	1	1	1	1
6	Yes	No	Wage	Suppl.	Suppl.	1	1	1	1	1
7	Yes	No	Suppl.	Wage	Wage	1	1	1	1	1
8	Yes	No	Suppl.	Wage	Suppl.	1	1	1	1	1
9	Yes	No	Suppl.	Suppl.	Wage	1	1	1	1	1
10	Yes	No	Wage	Wage	None	1	1	NA	1	NA
11	Yes	No	Wage	Suppl.	None	1	1	NA	1	NA
12	Yes	No	Suppl.	Wage	None	1	1	NA	1	NA
13	Yes	No	Suppl.	Suppl.	None	1	1	NA	1	NA
14	Yes	No	Suppl.	None	NA	1	1	NA	1	NA
15	Yes	No	Wage	None	NA	1	1	NA	1	NA
16	Yes	Yes	Suppl.	Suppl.	Suppl.	1	1	1	1	1
17	Yes	Yes	Wage	Wage	Wage	1	1	1	1	1
18	Yes	Yes	Wage	Wage	Suppl.	1	1	1	1	1
19	Yes	Yes	Wage	Suppl.	Wage	1	1	1	1	1
20	Yes	Yes	Wage	Suppl.	Suppl.	1	1	1	1	1
21	Yes	Yes	Suppl.	Wage	Wage	1	1	1	1	1
22	Yes	Yes	Suppl.	Wage	Suppl.	1	1	1	1	1
23	Yes	Yes	Suppl.	Suppl.	Wage	1	1	1	1	1
24	Yes	Yes	Wage	Wage	None	1	1	NA	1	NA
25	Yes	Yes	Wage	Suppl.	None	1	1	NA	1	NA
26	Yes	Yes	Suppl.	Wage	None	1	1	NA	1	NA
27	Yes	Yes	Suppl.	Suppl.	None	1	1	NA	1	NA
28	Yes	Yes	Suppl.	None	NA	1	1	NA	1	NA
29	Yes	Yes	Wage	None	NA	1	1	NA	1	NA
30	No	Yes	Suppl.	Suppl.	Suppl.	NA	NA	1	1	1

Group	1	2	3	4a	4b	5		6		7
	Unsubsidized Placement	Employed At Entry	Base Quarter	Source of Wages Base Q+1	Source of Wages Base Q+2	Unsubsidized Placement		Retention		Included in Earnings
						Numerator	Denominator	A	B	
31	No	Yes	Wage	Wage	Wage	NA	NA	1	1	1
32	No	Yes	Wage	Wage	Suppl.	NA	NA	1	1	1
33	No	Yes	Wage	Suppl.	Wage	NA	NA	1	1	1
34	No	Yes	Wage	Suppl.	Suppl.	NA	NA	1	1	1
35	No	Yes	Suppl.	Wage	Wage	NA	NA	1	1	1
36	No	Yes	Suppl.	Wage	Suppl.	NA	NA	1	1	1
37	No	Yes	Suppl.	Suppl.	Wage	NA	NA	1	1	1
38	No	Yes	Wage	Wage	None	NA	NA	NA	1	NA
39	No	Yes	Wage	Suppl.	None	NA	NA	NA	1	NA
40	No	Yes	Suppl.	Wage	None	NA	NA	NA	1	NA
41	No	Yes	Suppl.	Suppl.	None	NA	NA	NA	1	NA
42	No	Yes	Suppl.	None	NA	NA	NA	NA	1	NA
43	No	Yes	Wage	None	NA	NA	NA	NA	1	NA

**APPENDIX B**  
**RECORD LAYOUT**

## ***Welfare-to-Work Record Layout***

Extract file type is - ASCII, comma delimited columns. The record layout should be used to create a reconstruction file of all Welfare-to- Work participants served in the report period being validated. Data must be in the order and format listed in the Data Type/Format column. The Data Type/Format column also indicates the generic values for text fields. All fields listed as mandatory are required fields.

<i><b>Number</b></i>	<i><b>Field Name</b></i>	<i><b>Field Description</b></i>	<i><b>Data Type/Format</b></i>
1	OBS	Sequential number, Starting at 1	Number (Mandatory)
2	Grantee Type	Indicate the grantee type as formula or competitive.	Text – C;F (Mandatory)
3	SSN	Social Security Number	Number – 000000000
4	Date of Birth	Date of birth of participant.	Date – MM/DD/YYYY (Mandatory)
5	Gender	Male or Female	Text – M;F
6	American Indian or Alaskan Native	A person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.	Text – Y(or blank)
7	Asian	A person having origins in any of the original people of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.	Text – Y(or blank)
8	Black or African American	A person having origins in any of the black racial groups of Africa.	Text – Y(or blank)
9	Native Hawaiian or Other Pacific Islander	A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.	Text – Y(or blank)
10	White	A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.	Text – Y(or blank)
11	Hispanic/Latino	A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race.	Text – Y(or blank)
12	Individual with a Disability	Participant has a physical (motion, vision, hearing) or mental (learning or developmental) impairment which substantially limits one or more of such person's major life activities and has a record of such an impairment.	Text – Y(or blank)

<i>Number</i>	<i>Field Name</i>	<i>Field Description</i>	<i>Data Type/Format</i>
13	Long-Term TANF Recipient	<p>An individual who is currently receiving TANF assistance under a State TANF program, and who has received assistance under TANF or its predecessor program for at least 30 months, although the months don't have to be consecutive; or</p> <p>An individual who is currently receiving TANF assistance under a State TANF program, and who will become ineligible for TANF assistance within 12 months due to either Federal or State-imposed time limits on the receipt of TANF assistance. This includes individuals (as well as children of noncustodial parents) exempted from the time limits due to hardship under section 408(a)(7)(C) of the Act or due to a waiver because of domestic violence under section 402(a)(7) of the Act, who would become ineligible for assistance within 12 months without the exemption or waiver.</p>	Text – Y(or blank)
14	TANF Exhaustee	An individual who is no longer receiving TANF assistance because s(he) has reached either the Federal five-year limit or a State-imposed time limit on receipt of TANF assistance.	Text – Y(or blank)
15	TANF Dependence	An individual who has characteristics associated with, or predictive of, long-term welfare dependence, such as having dropped out of school, teenage pregnancy, or having a poor work history. States, in consultation with the operating entity, may designate additional characteristics associated with or predictive of long-term welfare dependence.	Text – Y(or blank)
16	TANF Barriers	An individual who has significant barriers to self-sufficiency, under criteria established by the local board or alternate administering agency.	Text – Y(or blank)
17	Noncustodial Parents	<p>An individual who is a parent of a minor child and is:</p> <p>(1) unemployed, underemployed, or having difficulty paying child support, and</p> <p>(2) in compliance with the terms of a written or oral personal responsibility contract; and</p> <p>(3) at least one of the following applies:</p> <p>(a) the minor child (or custodial parent) meets the long-term TANF receipt requirements; or</p> <p>(b) the minor child is receiving or eligible for TANF benefits and services; or</p> <p>(c) the minor child received TANF benefits and services during the preceding year; or</p> <p>(d) the minor child is receiving or eligible for assistance under the Food Stamp program, Supplemental Security Income Program, Medicaid, or Children's Health Insurance Program.</p>	Text – Y(or blank)

<i>Number</i>	<i>Field Name</i>	<i>Field Description</i>	<i>Data Type/Format</i>
18	Foster Care	Individuals who were in foster care under the responsibility of the State before 18 years of age and who are between the ages of 18 - 24 at the time of applying for the WtW program.	Text – Y(or blank)
19	Custodial Below 100%	Custodial parents with family incomes below 100% of the poverty line, determined in accordance with the most recent HHS Poverty Guidelines, and custodial parents with disabilities whose own income is below 100% of the poverty line but who are members of families whose income does not fall below 100% of the poverty line. Income is defined as total family income for the last six months exclusive of unemployment compensation, child support payments, and old-age survivors benefits.	Text – Y(or blank)
20	Termination Date	Date participant is terminated from the WtW program.	Date – MM/DD/YYYY
21	General Eligibility/Noncustodial Parents (70%)	For Competitive Grantees: Participants served who enrolled before 1/1/2000 in the 70% category.  For Formula Grantees: Participants served who enrolled before 7/1/2000 in the 70% category.	Text – Y(or blank)
22	Other Eligibles (30%)	For Competitive Grantees: Participants served who registered before 1/1/2000 in the 30% category.  For Formula Grantees: Participants served who registered before 7/1/2000 in the 30% category.	Text – Y(or blank)
23	Initial Unsubsidized Placement Date	Date the participant is placed in an unsubsidized job for the first time, i.e. the Social Security Number is linked with the job placement, while receiving WtW services. Grantees may not report a placement for a participant more than once unless the participant is terminated from the WtW program and comes back after not receiving WtW services for at least 90 days. Exclude participants who are placed in any job for which the employer receives a wage subsidy. Also exclude participants who are placed in on-the-job training until after the OJT is completed and the participant is retained in an unsubsidized job.	Date – MM/DD/YYYY
24	First Service Date	Date the individual is classified as a "participant served" by receiving one or more of the WtW allowable services for the first time.	Date – MM/DD/YYYY (Mandatory)
25	Hours Worked	Number of hours the participant worked per week at placement in unsubsidized employment.	Number – 00
26	Employed at Entry	An individual who was employed in unsubsidized employment when becoming a participant in WtW.	Text – Y(or blank)

<i>Number</i>	<i>Field Name</i>	<i>Field Description</i>	<i>Data Type/Format</i>
27	Entry Hours Worked	Number of hours the participant worked per week at program entry for those already employed in unsubsidized employment at entry.	Number – 00
28	Initial Subsidized Placement Date	Date the participant is placed in a subsidized job for which the wage subsidy is less than 100% of the participant's total income and for which the subsidized job placement is not workfare, i.e. the total amount paid to the individual exceeds the amount of the subsidy.	Date – MM/DD/YYYY
29	Subsidized Hours Worked	Number of hours the participant worked per week at placement in subsidized employment.	Number – 00
30	Wages Base Quarter	Sum of earnings of the participant in the base quarter, obtained from wage records.	Number – 00000.00 (Either Wages Base Quarter or Other Source Base Quarter must have wages if the participant is either employed at entry or has an initial unsubsidized placement date. A dummy value of 1 can be used if wages are not yet known.)
31	Other Source Base Quarter	Sum of earnings of the participant in the base quarter, obtained from other sources.	Number – 00000.00 (Either Wages Base Quarter or Other Source Base Quarter must have wages if the participant is either employed at entry or has an initial unsubsidized placement date. A dummy value of 1 can be used if wages are not yet known.)
32	Wages Base Quarter +1	Sum of earnings of the participant in the first quarter following the base quarter, obtained from wage records.	Number – 00000.00
33	Wages Base Quarter +2	Sum of earnings of the participant in the second quarter following the base quarter, obtained from wage records.	Number – 00000.00
34	Other Source Base Quarter +1	Sum of earnings of the participant in the first quarter following the base quarter, obtained from other sources.	Number – 00000.00
35	Other Source Base Quarter +2	Sum of earnings of the participant in the second quarter following the base quarter, obtained from other sources.	Number – 00000.00

<i>Number</i>	<i>Field Name</i>	<i>Field Description</i>	<i>Data Type/Format</i>
36	Sampling Unit	Indicate the sampling unit number of the office from which the participant was provided services.	Number (Mandatory for formula grantees)
37	WIB Name	Indicate the WIB name of the office from which the participant was provided services..	Text
38	Office Name	Indicate the office name from which the participant was provided services.	Text
39	Case Manager	Indicate the case manager from which the participant was provided services	Text
40	Fiscal Year	Indicate fiscal year of report being validated.	Date - YYYY
41	User Field/Name	User-defined field.	Text

## **APPENDIX C**

### **REPORT VALIDATION SUMMARY**

## Report Validation Summary

RptCell	Description	Validation Count	Reported Count	Count Difference	Count % Diff
1	Unsubsidized Placement	0 %	47 %	47	Diff
1a	Unsubsidized Num		61		
1b	Unsubsidized Denom		129		
2	Retention Rate	0 %	64 %	64	Diff
2a	Retention Num		81		
2b	Retention Denom		127		
3	Earnings Gained	0 %	0 %	0	0.0
3a	Earnings Num		-51		
3b	Earnings Denom		48,281		
10/24	Total Participants Served	0	178	178	Diff
10a/24a	GE/Noncust. Parents	0	92	92	Diff
10a1/24a1	LT TANF	0	26	26	Diff
10a2/24a2	Noncust. Parents	0	24	24	Diff
10b/24b	Other Eligibles	0	86	86	Diff
10b1/24b1	TANF Recpt. w/barriers	0	24	24	Diff
10b2/24b2	Foster Care Recipients	0	18	18	Diff
10b3/24b3	Cust. Parents < 100 %	0	10	10	Diff
11/25	Total Part. Terminated	0	16	16	Diff
11a/25a	GE/Noncust. Parents	0	10	10	Diff
11b/25b	Other Eligibles	0	6	6	Diff
12/26	Unsubsidized Employ	0	61	61	Diff
12a/26a	>=30	0	30	30	Diff
12b/26b	<30	0	31	31	Diff
13/27	Employ Unsub at Entry	0	82	82	Diff
13a/27a	>=30	0	20	20	Diff
13b/27b	<30	0	62	62	Diff
14/28	Placed Sub Employ	0	0	0	0.0
14a/28a	>=30	0	0	0	0.0
14b/28b	<30	0	0	0	0.0
15/29	Retained 6 Months		81		
16a/30a	Earnings Gained 6 Mo		48,230		
16b/30b	Earnings Base Quarter		48,281		
17a/31a	Male	0	52	52	Diff
17b/31b	Female	0	50	50	Diff
18a/32a	14-17	0	0	0	0.0
18b/32b	18-35	0	98	98	Diff
18c/32c	36-50	0	4	4	Diff
18d/32d	51-64	0	0	0	0.0
18e/32e	>=65	0	0	0	0.0
19a/33a	American Indian	0	10	10	Diff
19b/33b	Asian	0	24	24	Diff
19c/33c	Black or African-American	0	26	26	Diff
19d/33d	Hispanic or Latino	0	24	24	Diff
19e/33e	Native Hawaiian	0	16	16	Diff
19f/33f	White	0	28	28	Diff

## **APPENDIX D**

### **DATA ELEMENT VALIDATION INSTRUCTIONS**

## APPENDIX D

### DATA ELEMENT VALIDATION INSTRUCTIONS

Appendix D outlines each data element required for the validation of all participant groups.

The data element validation instructions have the following components:

**Data Elements:** Characteristics of the participant being validated. Refers to the data element on the record layout that is being validated.

**Reference No.:** Number that corresponds to the data element on the worksheet.

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

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

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

The validator begins the validation by looking at the first data element on the worksheet and then locating the corresponding data element in the data element instructions using the worksheet reference number. The validator then follows the instructions for validating each individual data element using the required sources.

Even though the instructions are similar for each data element, the validator should carefully read the instructions. For some data elements a blank means that the data element is not validated, but for wage records, a blank data element must be validated.

## ***WtW Data Element Validation Instructions***

*Please note: “participant file documentation,” “documented in file,” etc. requires that the WtW staff person make a case note entry describing the activity or eligibility criterion in detail, and sign and date the entry.*

*“Participant self-certification/self-attestation” requires that the participant sign and date a self-certification/attestation form. Self-certification/attestation forms should include a description of the elements the participant is self-certifying. WtW staff should sign and date all participants’ self-certification/attestation forms.*

<i><b>Data Element</b></i>	<i><b>Ref. #</b></i>	<i><b>Definition</b></i>	<i><b>Sources</b></i>	<i><b>Instructions</b></i>
Individual Identifier	01	Record the participant's Social Security Number. If the applicant has no SSN or refuses to provide it, a substitute number may be assigned during intake. (If a substitute number is generated, begin the 9-digit number with 99.) Grantees should make efforts to obtain a valid SSN prior to termination and record transmittal. NOTE: Possession of a Social Security Number is not a prerequisite for participation.	Social security card or documentaiaon of the substitute number asssigned, if participant has no SSN or refuses to provide it	Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file.

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
First Service Date	02	<p>Date the individual is classified as a "participant served" by receiving one or more of the WtW allowable services for the first time.</p> <p>NOTE: An individual is classified as a "participant served" when the participant receives one of more of the WtW allowable services (vocational educational training or job training, community service, work experience, job creation through public or private sector employment wage subsidies, on-the-job training, job readiness, job placement, post-employment services, job retention or support services, and individual development accounts). Also included as services which constitute "participant served" status are "in-depth" assessment (e.g. assessment beyond that which is required for intake and eligibility determination purposes), development of an individualized service strategy, and case management services. Intake, initial assessment, and eligibility determination do NOT constitute "participant served" status for an individual.</p>	(1) File documentation or Individualized Service Strategy (ISS) documenting the date and type of first service received (any of the activities listed at 20 CFR 645.220, or in-depth assessment, case management, or development of an ISS)	Enter a checkmark on the worksheet in the box marked pass if the date on the worksheet matches the date in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the date on the worksheet matches the date in the source document(s), or if there are no source document(s) for this data element in the case file.

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
Long-Term TANF Recipient	03	<p>An individual who is currently receiving TANF assistance under a State TANF program, and who has received assistance under TANF or its predecessor program for at least 30 months, although the months don't have to be consecutive; or</p> <p>An individual who is currently receiving TANF assistance under a State TANF program, and who will become ineligible for TANF assistance within 12 months due to either Federal or State-imposed time limits on the receipt of TANF assistance. This includes individuals (as well as children of noncustodial parents) exempted from the time limits due to hardship under section 408(a)(7)(C) of the Act or due to a waiver because of domestic violence under section 402(a)(7) of the Act, who would become ineligible for assistance within 12 months without the exemption or waiver.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>	<p>(1) Current TANF receipt: documentation, certification, or notification from the TANF agency (e.g. TANF record print-out, TANF eligibility determination form, TANF award letter, signed certification from TANF staff, etc.) that the participant is a current recipient of TANF assistance (throughout this document, "TANF assistance" includes receipt of both TANF-funded benefits --cash assistance -- and services -- non-cash assistance) at the time of WtW eligibility determination.</p> <p>AND</p> <p>(2) Length of TANF receipt: Documentation, certification, or notification from the TANF agency (e.g. TANF record print-out, TANF eligibility determination form, TANF award letter, signed certification from TANF staff, etc.) current at the time of WtW eligibility determination, that the participant has received TANF assistance (or assistance under its predecessor program AFDC) for at least 30 months; or is within 12 calendar months of reaching a federal or state-imposed TANF time limit; or has 12 months or less left on their total federal or state-imposed lifetime allowance on TANF</p>	<p>Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s).</p> <p>Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file.</p> <p>Leave the worksheet blank if the data element on the worksheet is blank.</p>

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
Noncustodial Parents	04	<p>An individual who is a parent of a minor child and is:</p> <p>(1) unemployed, underemployed, or having difficulty paying child support, and</p> <p>(2) in compliance with the terms of a written or oral personal responsibility contract; and</p> <p>(3) at least one of the following applies:</p> <p>(a) the minor child (or custodial parent) meets the long-term TANF receipt requirements; or</p> <p>(b) the minor child is receiving or eligible for TANF benefits and services; or</p> <p>(c) the minor child received TANF benefits and services during the preceding year; or</p> <p>(d) the minor child is receiving or eligible for assistance under the Food Stamp program, Supplemental Security Income Program, Medicaid, or Children's Health Insurance Program.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>	<p>(1) Noncustodial Status: court documents, child support documents, custody documents, other documents indicating noncustodial status, or NCP's self-certification of his/her noncustodial status.</p> <p>AND</p> <p>(2) Employment/Child Support Payment Status: documentation in the participant file that the NCP is unemployed, underemployed (as defined by the state, or by the local grantee, if state chose not to define), or having difficulty making child support payments (as defined by the state, or by the local grantee, if state chose not to define): notice of layoff or termination, unemployment compensation records, paycheck stubs, notice of late or no payment from child support enforcement entity or prosecutor's office, participant's self-certification.</p> <p>AND</p> <p>(3) Minor Child's/Custodial Parent's Receipt of or Eligibility for Public Assistance: documentation or certification from the TANF, Food Stamps, SSI, Medicaid, SCHIP, or child support enforcement agency that the minor child (or custodial parent, as applicable) is receiving one of the specified types of assistance, or is eligible for one of the specified types of assistance based on the custodial parent's income; or file documentation that the minor child was determined to be eligible for TANF, Food Stamps, SSI,</p>	<p>Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s).</p> <p>Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file.</p> <p>Leave the worksheet blank if the data element on the worksheet is blank..</p>

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
			<p>Medicaid, or SCHIP using a documented proxy determination based on the custodial parent's income; or a statement signed by the NCP certifying that the custodial parent or minor child is receiving one of the specified types of assistance. Documentation of custodial parent's income may include: alimony agreement, award letter from Veterans Administration, child support documents, bank statements, compensation award letter, court award letter, farm or business financial records, Housing Authority verification, pay stubs, pension statement, public assistance records, tax records, quarterly estimated tax for self-employed persons, social security benefits, unemployment insurance compensation documents and/or printouts, base wage file (unemployment insurance employer tax file), employer statement/documentated contact, custodial parent's signed statement, or NCP's signed statement indicating that the custodial parent/minor child would likely meet the income requirement for this eligibility criterion.</p> <p>AND</p> <p>(4) Personal Responsibility Contract: a written or documented oral personal responsibility contract (PRC), entered into by the NCP within 90 days of his/her enrollment date, which contains all of the following elements: the NCP's commitment to establish paternity, establish and pay on a child support order, and participate in WtW</p>	

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
			activities in order to meet child support obligations; a description of the WtW services to be provided to the NCP; the date the NCP enrolled in the program; the date the NCP entered into the PRC; and the signatures of the NCP, the WtW grantee, and the child support enforcement entity (or file documentation that all three were parties to the PRC if the PRC is oral). In some cases the child support enforcement entity does not sign each individual PRC. Rather, child support may sign an MOU or send a letter to all of the WtW grantees in the area stating that it becomes a party to the PRC upon receipt of the PRC from the WtW grantee. In these cases, child support's letter, and its receipt of the PRC from the WtW grantee, constitutes adequate documentation that the child support entity is a party to the PRC.	
TANF Exhaustee	05	<p>An individual who is no longer receiving TANF assistance because s(he) has reached either the Federal five-year limit or a State-imposed time limit on receipt of TANF assistance.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>	(1) Eligibility for TANF if Time Limit had not already been reached: documentation, certification, or notification from the TANF agency (TANF record print-outs, signed certifications from TANF staff, etc.) current at the time of WtW eligibility determination, that the participant would meet the TANF eligibility criteria, but is no longer eligible to receive TANF because s/he has already reached a federal or state-imposed TANF time limit.	<p>Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s).</p> <p>Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file. Leave the worksheet blank if the data element on the worksheet is blank.+ .</p>

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
TANF Dependence	06	<p>An individual who has characteristics associated with, or predictive of, long-term welfare dependence, such as having dropped out of school, teenage pregnancy, or having a poor work history. States, in consultation with the operating entity, may designate additional characteristics associated with or predictive of long-term welfare dependence.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>	<p>(1) Current TANF Receipt: Documentation, certification, or notification from the TANF agency (e.g. TANF record print-out, TANF eligibility determination form, TANF award letter, signed certification from TANF staff, etc.) that the participant is a current recipient of TANF assistance at the time of WtW eligibility determination.</p> <p>AND</p> <p>(2) Characteristics Associated with or Predictive of Long-term Welfare Dependence: file documentation of the participant's characteristic(s) associated with, or predictive of, long-term welfare dependence, as defined by the grantee(documentation of characteristics must have been collected within the 6 months prior to WtW eligibility determination, and may come from the WtW or TANF entity, or participant may self-certify, as appropriate)  Examples:high school drop-out: self-attestation, documented by WtW staff, teenage pregnancy: hospital records, birth certificate, adoption documents, poor work history: documented through work history portion of intake/assessment documentslimited English proficiency: observed and documented by WtW staff, language proficiency assessment, ESL class enrollment documentsoffender/felon: court documents, legal documents</p>	<p>Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s).  Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file.  Leave the worksheet blank if the data element on the worksheet is blank.</p>

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
TANF Barriers	07	<p>An individual who has significant barriers to self-sufficiency, under criteria established by the local board or alternate administering agency.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>	<p>(1) Current TANF Receipt: documentation, certification, or notification from the TANF agency (e.g. TANF record print-out, TANF eligibility determination form, TANF award letter, signed certification from TANF staff, etc.) that the participant is a current recipient of TANF assistance at the time of WtW eligibility determination.</p> <p>AND</p> <p>(2) Significant Barriers to Self-Sufficiency: file documentation of the participant's significant barrier(s) to self-sufficiency, as defined by the local workforce investment board (documentation of barriers must have been collected within the 6 months prior to WtW eligibility determination, and may come from the WtW or TANF entity, or participant may self-certify, as appropriate)  Examples:high school drop-out: self-attestation, documented by WtW staff, teenage pregnancy: hospital records, birth certificate, adoption documents, poor work history: documented through work history portion of intake/assessment documentslimited English proficiency: observed and documented by WtW staff, language proficiency assessment, ESL class enrollment documentsoffender/felon: court documents, legal documents.</p>	<p>Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s).</p> <p>Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file.</p> <p>Leave the worksheet blank if the data element on the worksheet is blank.</p>

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
Foster Care	08	<p>Individuals who were in foster care under the responsibility of the State before 18 years of age and who are between the ages of 18 - 24 at the time of applying for the WtW program.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>	<p>(1) Youth (18-24) at Time of Application: Date of birth documentation indicating that the participant was 18 – 24 at the time of application to WtW (see data element #25)</p> <p>AND</p> <p>(2) Previous Foster Care Receipt: Documentation or certification from the foster care system that the participant was in foster care prior to reaching age 18</p>	<p>Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file. Leave the worksheet blank if the data element on the worksheet is blank.</p>

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
Custodial Below 100%	09	<p>Custodial parents with family incomes below 100% of the poverty line, determined in accordance with the most recent HHS Poverty Guidelines, and custodial parents with disabilities whose own income is below 100% of the poverty line but who are members of families whose income does not fall below 100% of the poverty line. Income is defined as total family income for the last six months exclusive of unemployment compensation, child support payments, and old-age survivors benefits.</p> <p>For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.</p> <p>For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.</p>	<p>(1) Custody Status: Custody agreement, child support order, adoption documents, guardianship documents, birth certificates, hospital records, school records, TANF records, other documents indicating legal custody, or parent's self-certification of custody.</p> <p>AND</p> <p>(2) Poverty Status: Documentation of the family's annual income, the applicable HHS poverty guideline for the family size, and file documentation that the family's income falls below the applicable poverty guideline; or documentation or certification, from the appropriate assistance or service agency, that the participant is the recipient of a type of assistance that is provided only to individuals with incomes below the poverty line.</p> <p>"Family" means two or more persons related by blood, marriage, or decree of court, who are living in a single residence, and are included in one of the following categories: (a) a husband, wife, and dependent children, or (b) a parent or guardian and dependent children.</p> <p>Documentation for family size may include: IRS tax forms, custody or guardianship documents, child support orders, birth certificates, adoption documents, or signed participant self-certification.</p> <p>Family's annual income should be determined by doubling the family's last six months of income, excluding cash payments made under a federal, state, or local public assistance programs; unemployment</p>	<p>Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s).</p> <p>Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file.</p> <p>Leave the worksheet blank if the data element on the worksheet is blank.</p>

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
			<p>compensation; child support payments; and old age and survivors benefits. Documentation of family's income may include: alimony agreement, award letter from Veterans Administration, bank statements, compensation award letter, court award letter, farm or business financial records, Housing Authority verification, pay stubs, tax records, pension statement, quarterly estimated tax for self-employed persons, base wage file (unemployment insurance employer tax file), employer statement/documented contact, or participant's signed statement. A disabled custodial parent whose family income is above the poverty line, but whose own individual income is below the poverty line, can be considered a family of one, and all other family members' income can be excluded from the poverty line calculation. Acceptable documentation for disability includes: file statement documenting observed disability, letter from drug or alcohol rehabilitation agency, letter from child study team stating disability, medical records, physician's statement, psychologist's or psychiatrist's diagnosis, rehabilitation evaluation, school records, sheltered workshop evaluation, social service records or referral, Social Security Administration Disability records, Veteran's Administration letter or records, Vocational Rehabilitation letter, Workers Compensation letter, applicant's statement.</p>	

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
General Eligibility/Noncustodial Parents Category (Former 70% Provision)	10	<p>For Competitive Grantees: Participants served who enrolled before 1/1/2000 in the 70% category.</p> <p>For Formula Grantees: Participants served who enrolled before 7/1/2000 in the 70% category.</p>	<p>(1) For TANF Recipients:            (1a) Enrollment Prior to Effective Date of 1999 Amendments: File documentation (dated application or eligibility form) that the participant was first enrolled prior to 1/1/00 for competitive grantees, and prior to 7/1/00 for formula grantees.</p> <p>AND</p> <p>(1b) Current TANF Receipt: Documentation, certification, or notification from the TANF agency (e.g. TANF record print-out, TANF eligibility determination form, TANF award letter, signed certification from TANF staff, etc.) that the participant is a current recipient of TANF assistance at the time of WtW eligibility determination.</p> <p>AND</p> <p>(1c) Length of TANF Receipt: Documentation, certification, or notification from the TANF agency (e.g. TANF record print-out, TANF eligibility determination form, TANF award letter, signed certification from TANF staff, etc.) current at the time of WtW eligibility determination, that the participant has received TANF assistance (or assistance under its predecessor program AFDC) for at least 30 months; or is within 12 calendar months of reaching a federal or state-imposed TANF time limit; or has 12 months or less left on their total federal or state-imposed lifetime allowance on TANF.</p> <p>AND</p>	<p>Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s).            Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file.            Leave the worksheet blank if the data element on the worksheet is blank.</p>

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
			<p>(1d) Barriers to Employment: File documentation of the participant's two of three required barriers to employment (documentation of barriers must have been collected within the 6 months prior to WtW eligibility determination, and may come from the WtW or TANF entity, or participant may self-certify, as appropriate) no high school diploma or GED: participant self-attestation, documented in file, low reading and math skills: TABE or similar assessment test results requires substance abuse treatment for employment: assessment results, drug test, proof of treatment, or participant self-attestation, documented in file as a poor work history: documented through work history portion of intake/assessment documents, or participant self-attestation, documented in file.</p> <p>(2) TANF Exhaustees:            (2a) Enrollment Prior to Effective Date of 1999 Admendments: File documentation (dated application or eligibility form) that the participant was first enrolled prior to 1/1/00 for competitive grantees, and prior to 7/1/00 for formula grantees.</p> <p>AND</p> <p>(2b) Eligibility for TANF if Time Limit had not Already Been Reached: Documentation, certification, or notification from the TANF agency (TANF record print-outs, signed certifications from TANF staff, etc.), current at the time of WtW eligibility determination, that the participant would meet the TANF eligibility</p>	

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
			<p>criteria, but is no longer eligible to receive TANF because s/he has already reached a federal or state-imposed TANF time limit.</p> <p>AND</p> <p>(2c) Barriers to Employment: File documentation of the participant's two of three required barriers to employment (documentation of barriers must have been collected within the 6 months prior to WtW eligibility determination, and may come from the WtW or TANF entity, or participant may self-certify, as appropriate) no high school diploma or GED: participant self-attestation, documented in file low reading and math skills: TABE or similar assessment test results requires substance abuse treatment for employment: assessment results, drug test, proof of treatment, or participant self-attestation, documented in file has a poor work history: documented through work history portion of intake/assessment documents, or participant self-attestation, documented in file.</p> <p>(3) Noncustodial Parents:  (3a) Enrollment Prior to Effective Date of 1999 Admndments: File documentation (dated application or eligibility form) that the participant was first enrolled prior to 1/1/00 for competitive grantees, and prior to 7/1/00 for formula grantees.</p> <p>AND</p> <p>(3b) Noncustodial Status: Court documents, child support</p>	

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
			documents, custody documents, other documents indicating noncustodial status, or NCP's self-certification of his/her noncustodial status.	
			AND	
			(3c) Length of Custodial Parent's/Minor Child's TANF Receipt: Documentation, certification, or notification from the TANF agency (e.g. TANF record print-out, TANF eligibility determination form, TANF award letter, signed certification from TANF staff, etc.), current at the time of WtW eligibility determination, that the custodial parent/minor child has received TANF assistance (or assistance under its predecessor program AFDC) for at least 30 months; or is within 12 calendar months of reaching a federal or state-imposed TANF time limit; or has 12 months or less left on their total federal or state-imposed lifetime allowance on TANF.	
			AND	
			(3d) NCP's Barriers to Employment: File documentation of the participant's two of three required barriers to employment (documentation of barriers must have been collected within the 6 months prior to WtW eligibility determination, and may come from the WtW entity or other relevant program, or participant may self-certify, as appropriate) no high school diploma or GED: participant self-attestation, documented in file, low reading and math skills: TABE or similar	

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
			assessment test results requires substance abuse treatment for employment: assessment results, drug test, proof of treatment, or participant self-attestation, documented in file, has a poor work history: documented through work history portion of intake/assessment documents, or participant self-attestation, documented in file.	

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
Other Eligibles Category (Former 30% Provision)	11	<p>For Competitive Grantees: Participants served who enrolled before 1/1/2000 in the 30% category.</p> <p>For Formula Grantees: Participants served who enrolled before 7/1/2000 in the 30% category.</p>	<p>(1) TANF Recipients (1a) Enrollment Prior to Effective Date of 1999 Amendments: File documentation (dated application or eligibility form) that the participant was first enrolled prior to 1/1/00 for competitive grantees, and prior to 7/1/00 for formula grantees.</p> <p>AND</p> <p>(1b) Current TANF Receipt: Documentation, certification, or notification from the TANF agency (e.g. TANF record print-out, TANF eligibility determination form, TANF award letter, signed certification from TANF staff, etc.) that the participant is a current recipient of TANF assistance at the time of WtW eligibility determination.</p> <p>AND</p> <p>(1c) Characteristics Associated with or Predictive of Long-term Welfare Dependence: File documentation of the participant's characteristic(s) associated with, or predictive of, long-term welfare dependence, as defined by the grantee grantee (documentation of characteristics must have been collected within the 6 months prior to WtW eligibility determination, and may come from the WtW or TANF entity, or participant may self-certify, as appropriate) Examples: high school drop-out: self-attestation, documented by WtW staff, teenage pregnancy: hospital records, birth certificate, adoption documents, poor work history: documented through work history portion of</p>	<p>Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file. Leave the worksheet blank if the data element on the worksheet is blank.</p>

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
			<p>intake/assessment documents, limited English proficiency: observed and documented by WtW staff, language proficiency assessment, ESL class enrollment documents, offender/felon: court documents, legal documents.</p> <p>(2) TANF Exhaustees            (2a) Enrollment Prior to Effective Date of 1999 Amendments: File documentation (dated application or eligibility form) that the participant was first enrolled prior to 1/1/00 for competitive grantees, and prior to 7/1/00 for formula grantees.</p> <p>AND</p> <p>(2b) Eligibility for TANF if Time Limit had not already been reached: Documentation, certification, or notification from the TANF agency (TANF record print-outs, signed certifications from TANF staff, etc.), current at the time of WtW eligibility determination, that the participant would meet the TANF eligibility criteria, but is no longer eligible to receive TANF because s/he has already reached a federal or state-imposed TANF time limit.</p> <p>AND</p> <p>(2c) Characteristics Associated With or Predictive of Long-term Welfare Dependence: File documentation of the participant's characteristic(s) associated with, or predictive of, long-term welfare dependence, as defined by the grantee (documentation of characteristics may come from WtW, TANF, or other relevant program, or</p>	

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
			<p>participant may self-certify, as appropriate) Examples:high school drop-out: self-attestation, documented by WtW staff, teenage pregnancy: hospital records, birth certificate, adoption documents, poor work history: documented through work history portion of intake/assessment documents, limited English proficiency: observed and documented by WtW staff, language proficiency assessment, ESL class enrollment documents, offender/felon: court documents, legal documents.</p> <p>(3) Noncustodial Parents:  (3a) Enrollment Prior to Effective Date of 1999 Amendments: File documentation (dated application or eligibility form) that the participant was first enrolled prior to 1/1/00 for competitive grantees, and prior to 7/1/00 for formula grantees.</p> <p>AND</p> <p>(3b) Noncustodial Status: Court documents, child support documents, custody documents, other documents indicating noncustodial status, or NCP's self-certification of his/her noncustodial status.</p> <p>AND</p> <p>(3c) NCP's Characteristics Associated With or Predictive of Long-term Welfare Dependence: File documentation of the participant's characteristic(s) associated with, or predictive of, long-term welfare dependence, as defined by the</p>	

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
			<p>grantee grantee (documentation of barriers must have been collected within the 6 months prior to WtW eligibility determination, and may come from the WtW entity or other relevant program, or participant may self-certify, as appropriate)  examples:high school drop-out: self-attestation, documented by WtW staff, teenage pregnancy: hospital records, birth certificate, adoption documentspoor work history: documented through work history portion of intake/assessment documents, limited English proficiency: observed and documented by WtW staff, language proficiency assessment, ESL class enrollment documents, offender/felon: court documents, legal documents.</p> <p>AND</p> <p>(3d) Length of Custodial Parent's/Minor Child's TANF Receipt: Documentation, certification, or notification from the TANF agency (e.g. TANF record print-out, TANF eligibility determination form, TANF award letter, signed certification from TANF staff, etc.), current at the time of WtW eligibility determination, that the custodial parent is receiving TANF assistance.</p>	

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
Termination Date	12	Date participant is terminated from the WtW program.	File notes documenting the date the participant was terminated, in accordance with grantee's written termination policy.	Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file.
Unsubsidized Hours Worked	13	Number of hours the participant worked per week at placement.	Pay stubs; employer payroll records; written statement from employer; verbal verification from employer, documented in writing in file.	Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file.
Subsidized Hours Worked	14	Number of hours the participant worked per week at placement.	Records or written statement from funding source paying the subsidy; pay stubs; employer payroll records; written statement from employer; verbal verification from subsidy funding source or employer, documented in writing in file.	Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file.

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
Entry Hours Worked	15	Number of hours the participant worked per week at program entry for those already employed in unsubsidized employment at entry.	Pay stubs; employer payroll records; written statement from employer; verbal verification from employer, documented in writing in file.	Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file.
Initial Unsubsidized Placement Date	16	Date the participant is placed in an unsubsidized job for the first time, i.e. the Social Security Number is linked with the job placement, while receiving WtW services. Grantees may not report a placement for a participant more than once unless the participant is terminated from the WtW program and comes back after not receiving WtW services for at least 90 days. Exclude participants who are placed in any job for which the employer receives a wage subsidy. Also exclude participants who are placed in on-the-job training until after the OJT is completed and the participant is retained in an unsubsidized job.	UI wage records; pay stubs; employer payroll records; written statement from employer; verbal verification from employer, documented in writing in file.	Enter a checkmark on the worksheet in the box marked pass if the date on the worksheet matches the date in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the date on the worksheet matches the date in the source document(s), or if there are no source document(s) for this data element in the case file.
Initial Subsidized Placement Date	17	Date the participant is placed in a subsidized job for which the wage subsidy is less than 100% of the participant's total income and for which the subsidized job placement is not workfare, i.e. the total amount paid to the individual exceeds the amount of the subsidy.	Records or written statement from funding source paying the subsidy; pay stubs; employer payroll records; written statement from employer; verbal verification from subsidy funding source or employer, documented in writing in file.	Enter a checkmark on the worksheet in the box marked pass if the date on the worksheet matches the date in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the date on the worksheet matches the date in the source document(s), or if there are no source document(s) for this data element in the case file.

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
Employed at Entry	18	An individual who was employed when becoming a participant in WtW.	UI wage records; pay stubs; employer payroll records; bank statement showing direct deposit of payroll; written statement from employer; verbal verification from employer, documented in writing in file.	Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file. .
Wages Base Quarter	19	Sum of earnings of the participant in the base quarter, obtained from wage records.	UI wage records	Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file. .
Other Source Base Quarter	20	Sum of earnings of the participant in the base quarter, obtained from other sources.	Pay stubs; bank statement showing direct deposit of payroll; employer payroll records; written statement from employer; verbal verification from employer, documented in writing in file.	Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file. .

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
Wages Base Quarter +1	21	Sum of earnings of the participant in the first quarter following the base quarter, obtained from wage records.	UI wage records	Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file. .
Other Source Base Quarter +1	22	Sum of earnings of the participant in the first quarter following the base quarter, obtained from other sources.	Pay stubs; bank statement showing direct deposit of payroll; employer payroll records; written statement from employer; verbal verification from employer, documented in writing in file.	Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file. .
Wages Base Quarter +2	23	Sum of earnings of the participant in the second quarter following the base quarter, obtained from wage records.	UI wage records	Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file. .

<i>Data Element</i>	<i>Ref. #</i>	<i>Definition</i>	<i>Sources</i>	<i>Instructions</i>
Other Source Base Quarter +2	24	Sum of earnings of the participant in the second quarter following the base quarter, obtained from other sources.	Pay stubs; bank statement showing direct deposit of payroll; employer payroll records; written statement from employer; verbal verification from employer, documented in writing in file.	Enter a checkmark on the worksheet in the box marked pass if the data element on the worksheet is supported by the information in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the data element on the worksheet is not supported by the information in the source document(s), or if there are no source document(s) for this data element in the case file.
Date of Birth	25	The participant's date of birth.  For competitive grants: This element is reportable only for individuals enrolled and served after 12/31/99.  For formula grants: This element is reportable only for individuals enrolled and served after 6/30/00.	Photocopy of driver's license or other government-issued ID; Birth certificate; passport; baptismal records; DD-214 form, report of transfer, or discharge paper; hospital record of birth; school ID card; public assistance or social services ID or records; work permit; Social Security Administration NUMI printout	Enter a checkmark on the worksheet in the box marked pass if the date on the worksheet matches the date in the source document(s). Enter a checkmark on the worksheet in the box marked fail if the date on the worksheet matches the date in the source document(s), or if there are no source document(s) for this data element in the case file.

**APPENDIX E**

**DATA ELEMENT VALIDATION WORKSHEET**

Summary of Samples Taken

Worksheet  
Number samples inspected: 0

**Clustered**

	OBS	Office	SubPop	SSN	Pass/Fail	Disability	Pass/Fail	LongTer
1	3237	11	1.21	55...	✗		✗	
2	1115	11	1.43	30...	<input type="checkbox"/>		<input type="checkbox"/>	
3	667	11	1.29	30...	<input type="checkbox"/>	Y	<input type="checkbox"/>	
4	1475	11	1.1	31...	<input type="checkbox"/>		<input type="checkbox"/>	
5	3290	11	1.26	59...	<input type="checkbox"/>		<input type="checkbox"/>	
6	1076	11	1.1	30...	<input type="checkbox"/>		<input type="checkbox"/>	
7	1278	11	1.1	30...	<input type="checkbox"/>		<input type="checkbox"/>	
8	2245	11	1.1	31...	<input type="checkbox"/>		<input type="checkbox"/>	
9	1193	11	1.1	30...	<input type="checkbox"/>		<input type="checkbox"/>	
10	1139	11	1.28	30...	<input type="checkbox"/>		<input type="checkbox"/>	
11	2667	11	1.12	31...	<input type="checkbox"/>		<input type="checkbox"/>	
12	152	11	1.1	28...	<input type="checkbox"/>		<input type="checkbox"/>	
13	3171	11	1.2	46...	<input type="checkbox"/>	Y	<input type="checkbox"/>	

Match Errors	Disability	LongTermTANF	TANFDepend	TANFExhaust	TANFBarriers	NonCustodi
1	1					

Refresh Counts

OBS

SSN

### WTW Sample Validation.

Validation Field 1-16      Validation Field 17-32

Data Elements	Reported Value	Pass	Fail	Data Elements	Reported Value	Pass	Fail
OBS	<input type="text" value="3237"/>			Custodial100pct	<input type="text" value="Y"/>	<input type="checkbox"/>	<input type="checkbox"/>
Office	<input type="text" value="11"/>			TermDate	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
SSN	<input type="text" value="555277679"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	70pctEligible	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="text"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	30pctEligible	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
LongTermTANF	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	DatePlaced	<input type="text" value="8/2/2000"/>	<input type="checkbox"/>	<input type="checkbox"/>
TANFDepend	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	FirstServiceDate	<input type="text" value="8/7/2000"/>	<input type="checkbox"/>	<input type="checkbox"/>
TANFExhaust	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	HoursWorked	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
TANFBarriers	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	EmpAtEntry	<input type="text" value="Y"/>	<input type="checkbox"/>	<input type="checkbox"/>
NonCustodial	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	EntryHours	<input type="text" value="40"/>	<input type="checkbox"/>	<input type="checkbox"/>
FosterCare	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>				

**APPENDIX F**

**DATA ELEMENT VALIDATION SUMMARY AND ANALYTICAL REPORT**

## WTW Data Element Validation Summary and Analytical Report

Grantee: Competitive Period: 1/1/1998 Number of Cases: 271

Data Element	Ref. #	# of Errors	% Error	% Error 2
SSN	02	1	0.22 %	100.00%
Disability	22	1	0.22 %	100.00%
LongTermTANF	04	0	0.00 %	0.00%
TANFDepend	06	0	0.00 %	0.00%
TANFExhaust	07	0	0.00 %	0.00%
TANFBarriers	08	0	0.00 %	0.00%
NonCustodial	05	0	0.00 %	0.00%
FosterCare	08	0	0.00 %	0.00%
Custodial100pct	10	0	0.00 %	0.00%
TermDate	11	0	0.00 %	0.00%
70pctEligible	12	0	0.00 %	0.00%
30pctEligible	13	0	0.00 %	0.00%
DatePlaced	15a	0	0.00 %	0.00%
FirstServiceDate	03	0	0.00 %	0.00%
HoursWorked	14a	0	0.00 %	0.00%
EmpAtEntry	16	0	0.00 %	0.00%
EntryHours	14b	0	0.00 %	0.00%
PlacedSubDate	15b	0	0.00 %	0.00%
SubHoursWorked	14a	0	0.00 %	0.00%
BaseAmt	17a	0	0.00 %	0.00%
BaseOtherAmt	17b	0	0.00 %	0.00%
Wages1Amt	17c	0	0.00 %	0.00%
Wages2Amt	17e	0	0.00 %	0.00%
Wages1OtherAmt	17d	0	0.00 %	0.00%
Wages2OtherAmt	17f	0	0.00 %	0.00%

## **APPENDIX G**

### **DATA ELEMENT VALIDATION SAMPLING AND ERROR RATE ESTIMATION**

## **DATA ELEMENT VALIDATION SAMPLING AND ERROR RATE ESTIMATION**

The primary data element validation objective is to compute error rates for each Welfare to Work (WtW) performance measure. Further objectives are (1) to identify the sources of error (that is, which data elements or which kinds of cases are more prone to error) and (2) to provide information on error for selected data elements whether or not they are used to measure performance.

Because WtW uses two types of grants—competitive and formula—two types of sampling strategies are used. Sampling for competitive grant recipients uses a stratified random sample to select participant records for data element validation. Sampling for formula grant recipients, on the other hand, uses a clustered, stratified sample.

This appendix discusses the general approach to data validation and error rate estimation (section A), the sampling approach for competitive grants (section B), and the sampling approach for formula grants (section C).

### **A. GENERAL APPROACH**

The sample design for WtW is a stratified random sample. The software randomly selects records with differential sampling rates by the type of record. 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, to reduce the burden on smaller States, precision requirements are relaxed.

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

Because particular data elements may not be present in every record, the second method for calculating error rates includes in the denominator only those records for which a particular data element was validated. With this method of calculation, the error rates equal the total number of records in error divided by the number of records for which the particular data element was validated, weighted to account for the over- and under-sampling of particular records.

Sample sizes vary by the size of the sampled grantee, with smaller grantees having smaller samples than larger grantees for two reasons.<sup>1</sup> First, to achieve a given level of precision, smaller grantees require smaller sample sizes than larger grantees. Second, to reduce the burden on smaller grantees, precision requirements are relaxed.

The sample design for formula grant sampling involves clustering the sample in a small number of offices and differential sampling rates by type of record. This design yields estimates that have a variance that exceeds the variance of a simple random sample. Currently, we assume

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<sup>1</sup> For formula grants, the grantees are States.

that the variance is twice that of a simple random sample (a “design effect” of 2). After data validation is piloted an analysis will be conducted to estimate the true design effect and to determine how much it varies from current estimates. The results of the analysis will be used to refine the sample design. The validation software uses information on the distribution of participants by office to select offices and samples of participants. Finally, the software uses information from validation of the sampled records to produce error rate estimates.

The sample design for competitive grants is a stratified random sample. The software randomly selects records with differential sampling rates by the type of record. The software uses information from validation of the sampled records to produce error rate estimates.

## **B. SAMPLING FOR DATA ELEMENT VALIDATION OF COMPETITIVE GRANT RECIPIENTS**

Sampling for data element validation of competitive grant recipients is straightforward. First, the software weights the records. The weights are based on the risk that the data are incorrect and the importance for measuring performance. Employment and the source of employment information are the variables with the most risk and importance. Supplemental sources for wages are the riskiest data, followed by wage records for wage data. Data that indicate an individual is unemployed present the least risk. Based upon this risk assessment, records that use supplemental sources to demonstrate an individual’s employment 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.

Next, the software selects the individual records to validate. The probabilities of selection are proportional to the weights assigned to each record. Consequently, a greater proportion of records that use supplemental data are selected than would be selected in a simple random sample.

Table G.1 illustrates how the software determines the sample size. Column A provides ranges for the number of participants. Depending upon the number of participants, the software selects a level of precision, shown in Column B.<sup>2</sup> Column C provides a range for the number of records to be sampled for data validation. For example, as can be seen in Row 2 of the table, if a State has 800 participants, the software selects a sample of between 160 and 169 records to validate to provide a level of precision of 3 percent.

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

**Table G.1**

**Competitive Grant Sampling**

	<b>A</b>	<b>B</b>	<b>C</b>
	# of Participants	Confidence Interval <sup>3</sup>	Range of Sample
1	1,000 or greater	2.5%	226-500 <sup>4</sup>
2	750-999	3%	160-169
3	400-749	3.5%	109-124
4	0-399	4%	0-89

After the sampled records of participants are validated, the software determines the error rates for the data elements for the sampled records by subgroup. Because the software stratifies the samples, it must weight the validation results. Using these weights, the software determines the weighted error rate.

In addition, the software calculates an error rate for the performance measures. It uses the error rates for the data elements to determine the proportion of records that were included in the calculations for the performance measures that ought not to have been included, and the proportion of records that were not included in the performance measures that ought to have been included.

**C. SAMPLING FOR DATA ELEMENT VALIDATION OF FORMULA GRANT RECIPIENTS**

To limit the burden that validation of formula grant recipients imposes on States, while also providing sufficiently precise results, participant records are sampled to measure error rates for performance and for data elements. The software selects samples of participants by creating a clustered, stratified sample.<sup>5</sup> The software first selects a sample of offices.<sup>6</sup> From the sampled

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<sup>3</sup>Several factors must be incorporated into the calculation of the confidence interval. Because of the small sample size, the finite population correction (fpc) must be incorporated into the calculations. Assumptions about the accuracy of the error estimate also must be incorporated into the software. For the software, we assume a confidence interval is at a 0.05 level for a two-tail test.

<sup>4</sup>No competitive grantee is required to sample more than 500 participants.

<sup>5</sup>Clustering involves first sampling an aggregate unit and then selecting the units being studied only from within the selected aggregate units. In this case, we want to study the records of individuals. Because of the potential burden imposed by traveling to every office, the software will first select a sample of offices and then select records from those offices.

Stratification involves grouping all the units being studied into strata and sampling randomly from each group. Each stratum, however, is not necessarily sampled in equal proportions.

<sup>6</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, the software selects a sample of participant records. The size of the samples vary 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 the same as those presented in section B. Records that use supplemental sources to demonstrate an individual’s employment 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 weighted values. The number of offices selected (n) is a function of the number of offices in the entire State (N). The more offices sampled, the greater the accuracy of the estimates. However, the more offices sampled the greater the burden that validation imposes on the State. Table G.2 shows the sampling rule the software uses to determine the number of offices sampled. 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 Table G.2. For a medium sized State with 80 offices, the software selects 15 offices, as shown in Row 4 of Table G.2.

**Table G.2**

**Office Sampling**

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

The software automatically selects any single office that accounts for 1/n or more of the State’s total weight.<sup>7</sup> For example, if a State is to select 10 offices, any office that accounts for one-tenth—that is, 10 percent—or more of the State’s total weight is automatically included in the sample. The remaining offices will be randomly selected based on their weighted value.

Next, the software selects the individual records to validate. The probabilities of selection are proportional to the weights assigned to the records. Consequently, a greater proportion of

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<sup>7</sup> The initial weights and number of offices are estimates. The pilot studies 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 that use supplemental data are selected than would be selected in a simple random sample.

Table G.3 illustrates how the software determines the sample size. Column A provides ranges for the number of participants. Depending upon the number of participants, the software selects a level of precision, as shown in Column B. Column C provides a range for the number of records to be sampled. For example, as shown in Row 2 of the table, if a State has 1,250 participants, the software selects a sample of between 369 and 452 records to validate to provide a level of precision of 2.5 percent.

**Table G.3**  
**Formula Grant Sampling**

	<b>A</b>	<b>B</b>	<b>C</b>
	# of Participants	Confidence Interval <sup>8</sup>	Range of Sample
1	2000 or greater	2%	627-800 <sup>9</sup>
2	1,000-1,999	2.5%	369-452
3	500-999	3%	224-288
4	250-499	3.5%	136-187
5	0-249	4%	0-119

After the sampled records are validated, the software determines the error rate for the data elements. Because the software stratifies the samples, it must weight the validation results. Using these weights, the software determines the weighted error rate.

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<sup>8</sup>To calculate the confidence interval several factors must be incorporated. First, because of the effects of clustering, it is necessary to account for the design effect. Second, because of the small sample size, the finite population correction (fpc) must be incorporated into the calculations. Third, assumptions about the accuracy of the error estimate must be incorporated into the software. For the software, we assume a confidence interval is at a 0.05 level for a two-tail test.

<sup>9</sup>No State will be required to sample more than 800 participants.

In addition, the software calculates an error rate for the performance measures. It uses the error rates for the data elements to determine the proportion of records that were included, in the calculations for the performance measures that ought not to have been included and the proportion of records that were not included in the performance measures that ought to have been included.