

<b>EMPLOYMENT AND TRAINING ADMINISTRATION</b> <b>ADVISORY SYSTEM</b> <b>U.S. DEPARTMENT OF LABOR</b> <b>Washington, D.C. 20210</b>	<b>CLASSIFICATION</b> WIA/Perf Accountability
	<b>CORRESPONDENCE SYMBOL</b> OWS
	<b>DATE</b> November 25, 2001

**TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 7-01**

TO: ALL STATE WORKFORCE LIAISONS  
ALL STATE WORKER ADJUSTMENT LIAISONS  
ALL STATE WORKFORCE AGENCIES  
ALL ONE-STOP CENTER SYSTEM LEADS

/s/  
FROM: EMILY STOVER DeROCCO  
Assistant Secretary

SUBJECT: Performance Reporting Submission Procedures for  
the Workforce Investment Act Standardized Record  
Data (WIASRD) and the Annual Report under Title 1B  
of the Workforce Investment Act (WIA)

1. Purpose. To transmit guidance and instruction for submitting state performance reports required under the Act. Final submissions must be received by December 1, 2001. Contents of these reports will be released to the appropriate Congressional committees and the public in both print format and on ETA's Website.

2. References. Workforce Investment Act of 1998 (WIA), section 185(d)(2) and 188; and Training and Employment Guidance Letter (TEGL) 14-00, Change 1.

3. Background. Pursuant to 20 CFR 667.300, "All States and other direct grant recipients must report financial, participant, and performance data in accordance with instructions issued by DOL." TEGL 14-00 implemented the participant reporting requirements for WIA. This guidance letter provides specific, detailed information on submission procedures for the WIA Annual Report and the individual record data (WIASRD).

States are required to submit both the PY 2000 Annual Report and the WIASRD by December 1, 2001. There will not be an opportunity to revise these submissions after this date. Compliance with this deadline is essential for providing data to support the budget process and for timely distribution of incentive awards.

RESCISSIONS None	EXPIRATION DATE Continuing
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4. Annual Report. Submission procedures are as follows:

A) Send three hard copies to your ETA Regional Administrator. The Regional Administrator will forward two copies to the National Office. Because copies of the report will be provided to the appropriate Congressional committees, states are encouraged to send additional copies of their formal submission to:

U.S. Department of Labor  
Employment and Training Administration  
ATTN: WIA Performance Team, Room S-4231  
Washington, DC 20210

B) States are **required** to submit an electronic copy to the National Office via e-mail: [WIA-AR@doleta.gov](mailto:WIA-AR@doleta.gov). This electronic copy must be received not later than close of business on **December 3, 2001**, and will be posted on ETA's website for public access. It is important to keep in mind that performance outcomes reported in the tabular section of this electronic copy will be the official numbers used to determine states' eligibility for incentive awards. States will not be permitted to modify or change reports after the initial submission is received. States not submitting their Annual Report by the due date may be excluded in the incentive award process. States failing to submit a report within 45 days of the due date may have sanctions imposed.

NOTE: States may send the electronic copy as a single file, such as an Acrobat™ (pdf) file, which includes all text, graphics and appendices in same order that they should be printed. Other acceptable file formats include WordPerfect™ and Microsoft Word™ files (these must also be a single file). Before sending the file, please print out a copy to verify that it includes all the information in the hard copy Annual Report.

5. WIA Standardized Record Data (WIASRD). These individual records are to be submitted as follows:

A) Send WIASRD data to ETA's contractor, Social Policy Research Associates (SPR). (see Attachment A for instructions.)

B) SPR will receive and process WIASRD submissions, provide help to states on WIASRD submissions, conduct data quality reviews on submitted data, and provide feedback to states on the quality of the data. SPR will also answer questions that states may have regarding the new WIASRD system.

C) In order to allow states to revise submissions based on the data quality review, **states are strongly encouraged to send preliminary (but incomplete) submissions to SPR** beginning prior to December 1, 2001.

D) WIASRD submissions must include all characteristics and service information and available outcome information for individuals who exited from WIA in PY 2000. States that implemented WIA before July 1, 2000 must also include individuals who exited WIA during PY 1999. The WIASRD individual records must be consistent with the numerical data submitted in the tabular sections of the annual report. Note that even though some JTPA exiters are included in the performance measures in the Annual Report, it is not necessary to include JTPA exiters in the WIASRD submission.

E) The WIASRD record format and edit specifications are included in Attachment B. Instructions for converting the WIASRD data format used by early implementing states for PY 1999 to WIASRD format are provided in Attachment C. Instructions for converting JTPA SPIR data to WIASRD format are included in Attachment D.

F) SPR has provided states with software that conducts edit checks on the WIASRD records and calculates many of the numerical data items in the required tables in the Annual Report from data in WIASRD format. States are encouraged to use this software to compute annual report items for comparison with their own calculations before submitting the annual report. Assistance in resolving discrepancies can be obtained from SPR.

6. Action Required. States are required to immediately implement these procedures.

7. Inquiries. Questions concerning the annual report should be directed to Ms. Candice Graham Young, WIA Performance Team, (202)693-3189 or [cgraham@doleta.gov](mailto:cgraham@doleta.gov) or to your Regional Office. Questions concerning the submission of the WIASRD should be directed to Mr. David Wright, SPR, (510)763-1499 or [david\\_wright@spra.com](mailto:david_wright@spra.com).

8. Attachments.

- A) Workforce Investment Act Standardized Record Data  
(WIASRD) Submission Instructions
- B) WIASRD Edit Checks and Coding Instructions - PY 2000
- C) Conversion Procedures - PY 1999 WIASR to PY 2000  
WIASRD
- D) WIA Reporting for Individuals Carried over from JTPA

Attachment A

## **WIASRD Submission Instructions**

### **General Instructions**

ETA has contracted Social Policy Research Associates (SPR) to receive and process submissions of WIASRD data. In order to ensure data integrity, it is suggested that the data for all the WIBs and for Statewide programs in a State should be transmitted in the same format (fixed field or delimited field). If delimited fields are used, use a comma as the delimiter. In addition, data can be sent encrypted by password protecting the compressed (zipped) file. If for any reason the data submitted is incomplete (i.e., data for one or more WIB(s) has not been received), indicate on the transmittal form that the data is incomplete and specify what is missing. A transmittal form should be included with each submission to provide for accountability.

### **Method of Transmission**

Data may be sent by e-mail, diskette, CD, or FTP.

**E-mail:** The preferred submission method is by e-mail. Send to [WIASRD@spra.com](mailto:WIASRD@spra.com). Compress (zip) the file if over 1 megabyte. You may also include transmittal information (see below) in your e-mail. The filename should be of the form XXPY\_n.txt, where XX is the two letter postal abbreviation for the State, PY is the PY year, and "n" is the submission number (in case there is more than one submission). For example, PR00\_2 is Puerto Rico's second submission.

**Diskette (or CD):** Label each diskette with the State name, date, file name, submission number and preferably contact information. Label each disk in sequence (Disk 1 of 20, Disk 2 of 20, etc.). Record the total number of diskettes being submitted on the transmittal form.

Send diskettes or CDS to:

**WIASRD Processing  
Social Policy Research Associates  
1330 Broadway, Suite 1426  
Oakland, CA 94612**

**FTP:** Call for instructions and allow a few days for procedures to be developed. Point of contact at SPR is David Wright at (510) 763-1499, x627 or [wright\\_david@spra.com](mailto:wright_david@spra.com) for assistance regarding any problems you may be having regarding the WIASRD data.

**PY 2000 WIASRD Submission Form**

1. State: \_\_\_\_\_
  
2. Contact Person: \_\_\_\_\_  
    Phone: \_\_\_\_\_  
    Address: \_\_\_\_\_
  
3. Date Sent: \_\_\_\_\_
  
4. Submission Type:
  - ~ Preliminary (data are not final)
  - ~ Final (data are consistent with Annual Report)
  
5. Is the submission a sample?
  - ~ Yes: Sampling percentage: \_\_\_\_\_
  - ~ No
  
6. Submission Method
  - ~ Disk(s) Number of Disks: \_\_\_\_\_
  - ~ E-mail Transmission (send to [WIASRD@spra.com](mailto:WIASRD@spra.com))
  - ~ CD
  - ~ FTP
  
7. Filename: \_\_\_\_\_
  
8. Password (if applicable): \_\_\_\_\_
  
9. What file format are you using?
  - ~ Fixed Field
  - ~ Comma Delimited Field
  
10. Total Number of Records in File: \_\_\_\_\_
  
11. Any additional information (e.g. incomplete data submission):  
  
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