

**Alabama Workforce Investment System**

**Alabama Department of Economic and Community Affairs  
Workforce Development Division  
401 Adams Avenue  
Post Office Box 5690  
Montgomery, Alabama 36103-5690**

November 21, 2002

**GOVERNOR'S WORKFORCE DEVELOPMENT DIRECTIVE NO. PY2002-01, Chge. 5**

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

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

<u>Number</u>	<u>Date</u>	<u>Subject</u>
7-01, Change 1	11/14/02	Performance Reporting Submission Procedures for the Workforce Investment Act Standardized Record Data (WIASRD) and the Annual Report under Title IB of the Workforce Investment Act (WIA)

2. **Background.** TEGL No. 7-01, Change 1 provides States with information regarding procedures for the submission of their respective PY 2001 WIA Section 136(d) Annual Reports.

3. **Information.** Copies of TEGL No. 7-01, Change 1 are provided for informational purposes.

4. **Contact.** Please direct any questions regarding this information to the USDOL Regional Office.



Steve Walkley, Division Director  
Workforce Development Division

Attachment

<b>Employment and Training Administration Advisory System</b> U.S. Department of Labor Washington, D.C. 20210	<b>CLASSIFICATION</b> WIA/Performance Reporting
	<b>CORRESPONDENCE SYMBOL</b> PRO
	<b>DATE</b> November 14, 2002

**TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 7-01, CHANGE 1**

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

/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 notify states that in accordance with the Paperwork Reduction Act, OMB has extended approval of the current reporting packet to allow for the collection of data for quarterly reports, annual reports, and the WIASRD through August 31, 2005. To transmit guidance and instruction for submitting state annual performance reports and WIASRD data for Program Year 2001 (period ending 6/30/2002) as required under the Act.

**2. References.** Workforce Investment Act of 1998 (WIA), sections 136, 185(d)(2) and 188; Training and Employment Guidance Letter (TEGL) 14-00 "Workforce Investment Act (WIA) Performance Reporting System," TEGL 14-00, Change 1 "Guidance on the Workforce Investment Act (WIA) Management Information and Reporting System," TEGL 7-01 "Performance Reporting Submission Procedures for the Workforce Investment Act Standardized Record Data (WIASRD) and the Annual Report under Title IB of the Workforce Investment Act (WIA)"; OMB Circular No. A-94 Revised "Guidelines and Discount Rates for Benefit-Cost analysis of Federal Programs;" and OMB Notice of Action 1205-0420, August 23, 2002.

<b>RESCISSIONS</b>	<b>EXPIRATION DATE</b>
	Continuing

**3. Background.** In TEGL Nos. 14-00, 14-00 Change 1, and 7-01, the Department issued technical guidance to states for use in reporting participant and outcome information. Since that time, ETA has continued to work on automating the annual reporting requirements, and making other minor changes that are intended to simplify submission of the required reports for the states. This TEGL Change No. 1 outlines adjustments made to the procedures described in previous TEGL on this subject.

**4. Automated Submission of the WIA Annual Report.** New procedures outlined in this document supplement those set forth in Attachment G of Change 1 to TEGL 14-00. ETA is now able to collect all Annual Report performance data (Tables A through O) through the on-line Enterprise Information Management System (EIMS). Other required narrative portions of the reports, which include those that describe the cost relative to the effect of WIA programs and the status of state evaluations of workforce investment activities, and the optional portions that make up the "Report to Stockholders," should be submitted in hard copy and electronic copy as described below.

a. **Required Data.** For Program Year 2001, ETA is requesting that states submit the required data portions of the WIA Annual Reports to reflect four quarters of performance activity as specified in Attachment G to TEGL 14-00, Change 1. These will be shown on Tables A through O, (outlined in Attachment G of TEGL 14-00, Change 1) and submitted electronically this year, via the EIMS. Submitting data through EIMS will meet the reporting

requirement, and hard copies of that data are not necessary this year. The procedures for electronically submitting state annual report data (Tables A-O) will mirror the procedures for submitting state WIA Quarterly Reports. Instructions for submitting the table data, either by manual data entry or by automatic upload, will be released in a subsequent notice and prior to the system's availability on November 25.

In order to ensure the accuracy of annual report data, the automated system will have built-in edit checks throughout Tables A through O. Once a state submits its annual report data, the EIMS will send a notification to the state if it has not met all of the requirements set forth by the edit checks. States will then be able to return to the data submission site to correct these problems.

States will be able to download the table data for their own use, but do not need to attach the tables to the narrative portion of their annual reports. ETA will make this data available to the public through its Web site and will attach it to the states' annual reports when transmitting these reports to Congress.

The Department will assume that the individuals designated to submit their states' quarterly performance data will submit the annual report data. If this is not the case, please contact Amanda Ahlstrand at 202-693-3052 or aahlstrand@doleta.gov by November 20, 2002, to designate the person who will submit and certify the state's annual report. This individual will have to be granted password access to the EIMS.

b. **Required Narrative and the "Report to Stockholders."** The other two required portions of the Annual Report describe the cost relative to the effect of WIA programs and an update on the status of state evaluations of workforce investment activities. There is no specific required format for these portions of the report. With regard to the cost relative to effect portion, states may use the format found in Attachment H to TEGL 14-00 Change 1 to submit this information.

Attachment G to Change 1 of TEGL 14-00 describes annual report information, beyond that required by law, as the "Report to Stockholders." These reports are valuable tools that the state and the Department can use to showcase success stories and describe the year's events in the workforce system. The Department will post these narratives, along with data submitted to EIMS, to its public Web site in order to share experiences and the best practices described in the reports, and the performance of states as described in Tables A through O.

c. **Due Date.** Due to the proximity of December 1, 2002, to the Thanksgiving holiday, all portions of the annual report for 2001 must be submitted to ETA by Friday, December 6, 2002.

a. **Submission Procedures.** These procedures supersede TEGL 7-01 as Change 1. The sequence for submitting WIA 2001 annual report data will be as follows:

1. All states must submit the required Tables A through O to EIMS, as well as the evaluation, cost relative to effect information, and narrative report by December 6, 2002. The Department will provide Congress with a copy of the Annual Report submitted by each state and publish each state's report on an Internet Web site. States should provide ETA with three copies of the narrative portions of the report.

Send these copies to:

U.S. Department of Labor  
Employment and Training Administration  
Attn: Eric Johnson, Performance and Results Office  
200 Constitution Avenue, NW  
Room S-4231  
Washington, DC 20210

In addition to the hard copies, an electronic copy of the report will be needed for posting on ETA's Web site. Acceptable formats include WordPerfect, Microsoft Word, Acrobat, and other commonly used formats. States should send the single annual report file as an email attachment to [WIA-AR@doleta.gov](mailto:WIA-AR@doleta.gov) or by mail on a disk to the above address.

2. By **December 13, 2002**, ETA will publish on its public Web site a list of the states that have submitted their annual report data by the deadline.

3. States will have until midnight Eastern time on January 21, 2003, to access their annual performance data and rectify any errors in it. This date is 45 days after the original due date for annual performance data. Data that exist in EIMS on January 22, 2003 will be considered final data. States that meet the edit checks on the tables that directly reflect performance on the required performance measures (Tables A, B, E, H and J), and also meet the required performance criteria for incentives, will be considered for incentive awards. States that have not met data

requirements by that date will not be eligible for incentive awards and may face sanctions.

**5. Update on Submission of WIASRD.** States have been provided WIASRD edit check software by Social Policy Research Associates (SPR). Revised edit software (Version 3.0) on CD-ROM were sent directly to states in early November. The revised software will include outlier checks designed to detect problems found in PY 2001 submissions.

WIASRD data for Program Year 2001 is also due by **December 6, 2002**, and should be submitted to SPR according to the revised submission instructions in Attachment A. Once received, SPR will review the data for errors within 30 days. SPR will then contact the state with specific questions or problem areas to address. The state will have until January 31, 2003, to submit revised data to SPR. The state will not be able to make changes to the data after January 31, 2003. Any problem areas that still remain after the second submission of WIASRD data will be considered "missing" data.

**6. Action Required.** State contacts are requested to distribute this information to the appropriate state representatives as quickly as possible.

**7. Inquiries.** Questions concerning this issuance may be directed to the appropriate Regional Office.

**8. Attachments.**

**A. WIASRD Submission Instructions (November 1, 2002).**



Address: \_\_\_\_\_

\_\_\_\_\_

E-mail: \_\_\_\_\_

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

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):

\_\_\_\_\_  
\_\_\_\_\_