

Department of Workforce Services Informational Memorandum PY10-10

From: **Artee Williams, Director**

Date: **February 2, 2011**

Re: **PY 2009 Data Validation Results**

1. **Purpose:** To notify Local Workforce Investment Areas (LWIA) of PY 2009 Data Element Validation (DEV) results.
2. **Background:** The U.S. Department of Labor initiated WIA data element validation in August 2003. Data element validation involves on-site reviews of a sample of participant records against source documentation to ensure the accuracy of WIA performance reporting. The sample of files is selected by U.S. Department of Labor (USDOL) software from data submitted by the state for its annual report. Data elements are selected for validation based on three factors:

Feasibility - ETA can validate data elements only when it is practical and efficient to locate and examine supporting evidence within the state records. Therefore, such items as race, ethnicity, and gender will not be validated because these data elements are self-reported by participants, and it is not efficient to locate the participant to document these characteristics. It is also not practical to validate for data entry errors.

Risk - The process for validating data elements is based partly on the likelihood that the data element may 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 more likely to be in error than determination of employment from wage records.

Importance - Data elements are selected for validation based primarily on their importance to the integrity of the Annual Report. The software automatically selects samples from the records for each group: adults, dislocated workers, NEG, older youth, and younger youth, and displays the sampled data on a validation worksheet. Records are oversampled if they are important for the calculation of performance measures and if they have a higher risk of error.

The Data Validation software provides the Department of Labor with an estimate of the error rates for the data that states report.

In order to evaluate the accuracy of these elements, the software calculates two error rates for each data element selected for validation: an "overall error rate" and a "reported error rate". The "overall error rate" equals the number of records in error divided by the total number of records sampled for that funding stream, weighted to account for the over- and under-sampling of particular types of records. Because certain data elements may not be present in every sampled record, the software also calculates a "reported error rate". This reported error rate includes in the denominator only those records for which the particular data element was validated. In this situation, the error rate equals the number of records

in error divided by the total number of records for which the particular data element was validated, weighted to account for the over- and under-sampling of particular records.

For data element validation, the Department of Labor has a 5% provisional threshold accuracy standard for each data element.

3. **General Information:** The Department of Workforce Services has completed the Workforce Investment Act DEV reviews for PY 2009. The software provided by the Department of Labor to enter and track data element validation results only reports statewide results and does not have the capability to report results by LWIA. Attached are the summary reports of the PY 2009 DEV reflecting the number and the percent of errors for each data element. A separate report is provided for each funding stream: adult, dislocated worker, National Emergency Grants, older youth and younger youth. Table 1 reflects a summary of data elements with high error rates by funding stream. A description of the data element and acceptable source documentation may be found in Training and Employment Notice 08-09, Program Year 2008/Fiscal Year 2009 Reporting and Data Validation Guidelines.

Table 1. Summary of Data Elements with High Error Rates by Funding Stream

National Emergency Grants	Adult	Dislocated Worker
Veteran Status Employment Status (CN) Dislocation Date (SA) Other Exit Reasons (CN)	Other Exit Reasons (CN) Veteran Status Employment Status (CN)	Veteran Status Employment Status (CN) Other Public Assistance Status Dislocation Date (SA)

Younger Youth	Older Youth
Other Public Assistance Status Homeless/Runaway (SA/REG) Offender Indicator (SA/REG) Employment Status (CN) Additional Assistance (SA, CN, REG) School Participation (SA, REG) Needy Family Status Pre-test Education Indicator Other Exit Reasons (CN) Goal Attainment (CN) Goal Type (CN) Date Goal Set (CN) Date Goal Attained (CN) Degree/Certificate Date Degree/Certificate Attained Exit School Status (CN) Youth Placement (CN) Youth Retention (CN)	Employment Status (CN) Date of Birth Other Public Assistance Status Homeless/Runaway Indicator (SA/REG) Additional Assistance (SA, CN, REG) School Participation (SA, REG) Low Income Status Summer Employment (CN) Credential Type (CN) Degree/Certificate & Date Literacy Skills (CN) Exit School Status (CN) Youth Placement (CN) Youth Retention (CN) Pre/Post-test Date Year 1 Pre-test Score Post Test Score Post Test Educational Level Year 1 Other Exit Reasons (CN) Functional Area Pre-test Educational Level 1

Many source documents may be difficult or time consuming to obtain, but in some instances a case note, self attestation form, or signed WIA intake/registration form may satisfy the source documentation requirement.

Self-attestation occurs when a participant states his or her status for a particular data element, such as pregnant or parenting youth, and then signs and dates a form acknowledging this status. The key elements for self-attestation are: (a) the participant identifying his or her status for permitted elements and (b) signing and dating a form attesting to this self-identification.

Case notes refer to either paper or electronic statements by the case manager that identify, at a minimum, a participant's status for a particular data element, the date on which the information was obtained, and the case manager who obtained the information. Detailed case notes are an invaluable tool to collect pertinent information that describes what has transpired throughout the participant's involvement with the Workforce Investment Act programs.

Data elements in Table 1 above have been identified where a case note (CN), self-attestation (SA), or WIA intake/registration (REG) form would satisfy the source documentation requirement for certain exiters who received intensive or training services. However, every effort should be made to obtain the optimal source documentation requirements. For example, for the employment status at participation data element, a pay stub may be a better option than a case note, but either would satisfy the source document requirement as long as the case note contained similar information that would be obtained from a pay stub. Also, if an adult, dislocated worker, youth, or NEG participant did not receive intensive or training services, then certain data elements only require state MIS, self-attestation, or case notes as source documentation.

Whether electronic or paper, the purpose of source documentation is to have an auditable trail that documents eligibility, services delivered, and outcomes received. It's about accountability.

4. **Action Required:** Please communicate this information to staff. LWIAs are responsible for the review of participant files for appropriate source documentation.
5. **Inquiries:** Direct questions regarding this memorandum to Sandy Monaco at 501-682-3131 or sandy.monaco@arkansas.gov.
6. **Attachments:** Data Element Validation Summary Reports
7. **Expiration Date:** Continuing

WIA Summary/Analytical Report - Adult

Report Validated: PY 2009
 Number Records Validated: 251
 Wrong SSNs: 0
 Invalid Records: 0
 Missing Records: 0
 Unable to Locate Records: 0

<u>Data Element</u>	<u>Element #</u>	<u># Records With Element</u>	<u>Number of Errors</u>	<u>Overall Errors Rate</u>	<u>Reported Errors Rate</u>
Date of Birth	3	251	12	4.68%	4.68%
Veteran Status	12	9	4	1.61%	45.77%
Employment Status	16	100	30	11.29%	29.56%
Low Income Status	20	184	5	2.08%	2.89%
Needy Family Status	21	7	0	0.00%	0.00%
Other Public Assistance Status	22	121	5	2.08%	4.42%
Program Participation Date	34	251	0	0.00%	0.00%
Program Exit Date	35	251	2	0.77%	0.77%
Other Exit Reasons	61	4	2	1.03%	53.23%
First Core Service Date	66	225	0	0.00%	0.00%
First Intensive Service	68	249	0	0.00%	0.00%
Date Enter Training	69	218	0	0.00%	0.00%
Date Exit Training	70	218	0	0.00%	0.00%
Training Service 1	74	251	0	0.00%	0.00%
Exit Employed 1	84	241	0	0.00%	0.00%
Exit Employed Match 1	85	241	0	0.00%	0.00%
Exit Employed 2	89	236	1	0.39%	0.43%
Exit Employed Match 2	90	236	1	0.39%	0.43%
Exit Employed 3	91	236	1	0.39%	0.43%
Exit Employed Match 3	92	236	3	1.11%	1.21%
Prior Wages 3	95	251	0	0.00%	0.00%
Prior Wages 2	96	251	1	0.41%	0.41%
Exit Wages 1	98	251	0	0.00%	0.00%
Exit Wages 2	99	251	0	0.00%	0.00%
Exit Wages 3	100	251	0	0.00%	0.00%
Credential Type	102	186	7	2.65%	3.70%

WIA Summary/Analytical Report - Dislocated Workers

Report Validated: PY 2009
 Number Records Validated: 144
 Wrong SSNs: 0
 Invalid Records: 0
 Missing Records: 0
 Unable to Locate Records: 0

<u>Data Element</u>	<u>Element #</u>	<u># Records With Element</u>	<u>Number of Errors</u>	<u>Overall Errors Rate</u>	<u>Reported Errors Rate</u>
Date Of Birth	3	144	2	1.34%	1.34%
Veteran Status	12	11	2	1.29%	17.79%
Employment Status	16	7	3	1.99%	43.13%
Needy Family Status	21	0	0	0.00%	0.00%
Other Public Assistance Status	22	16	1	0.96%	8.63%
Displace Homemaker Indicator	24	2	0	0.00%	0.00%
Dislocation Date	25	141	13	8.87%	9.08%
Program Participation Date	34	144	0	0.00%	0.00%
Program Exit Date	35	144	2	1.34%	1.34%
Other Exit Reasons	61	2	0	0.00%	0.00%
First Core Service Date	66	132	0	0.00%	0.00%
First Intensive Service	68	144	0	0.00%	0.00%
Date Enter Training	69	133	0	0.00%	0.00%
Date Exit Training	70	133	0	0.00%	0.00%
Training Service 1	74	144	0	0.00%	0.00%
Exit Employed 1	84	134	1	0.64%	0.71%
Exit Employed Match 1	85	134	2	1.29%	1.42%
Exit Employed 2	89	133	1	0.64%	0.71%
Exit Employed Match 2	90	133	2	1.29%	1.43%
Exit Employed 3	91	135	1	0.64%	0.70%
Exit Employed Match 3	92	135	2	1.29%	1.40%
Prior Wages 3	95	144	0	0.00%	0.00%
Prior Wages 2	96	144	0	0.00%	0.00%
Exit Wages 1	98	144	1	0.64%	0.64%
Exit Wages 2	99	144	1	0.64%	0.64%
Exit Wages 3	100	144	1	0.64%	0.64%
Credential Type	102	115	1	0.67%	0.86%