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Workforce Development Agency (WDA)

Policy Issuance (PI): 14-10

E-mailed: 10/09/14 (pv)

Date: October 9, 2014

To: Michigan Works! Agency (MWA) Directors

From: Gary Clark, Director, Office of Talent Development Services
SIGNED

Subject: Trade Adjustment Assistance (TAA) Program Data Element Validation (DV)

Programs Affected:

- Trade Adjustment Assistance of 2002 (TAA of 2002)
- Trade and Globalization Adjustment Assistance Act of 2009 (TGAAA of 2009)
- Trade Adjustment Assistance Extension Act of 2011 (TAAEA of 2011)
- TAA Reversion 2014

References:

- Trade Act of 1974, Public Law (PL) 93-618, as amended
- Trade Act of 2002, PL 107-210
- The Trade and Globalization Adjustment Assistance Act (TGAAA) of 2009 (Division B, Title I, Subtitle I of the American Recovery and Reinvestment Act (ARRA) of 2009, PL No. 111-520 CFR Part 617)
- Trade Adjustment Assistance Extension Act (TAAEA) of 2011 (PL) 112-40
- Training and Employment Guidance Letter (TEGL) 31-09



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TEGL 7-13

TEGL 6-14

Rescissions: Workforce Development Agency State of Michigan (WDASOM) PI 10-15 Change 1

Background: The U.S. Department of Labor, Employment and Training Administration (USDOL/ETA) mandates annual TAA DV to maintain and demonstrate system integrity, ensure completeness of data, and assess the accuracy of participant data records.

Accordingly, the WDA, Office of Talent Development Services (OTDS), TAA Section will conduct DV for the TAA program on an annual basis (unless canceled by the USDOL). This policy provides local areas with the guidelines and procedures associated with the TAA DV process.

Policy: For the purpose of this policy, TAA DV will cover the TAA Reform Act of 2002, the TGAAA of 2009, the TAAEA of 2011 and Reversion 2014. The TAA DV process is conducted by comparing participant records collected by the One-Stop Management Information System (OSMIS) against source documentation collected and maintained in the participant's case file. Participant records will be validated against source documentation maintained in the participant's case files to ensure compliance with federal definitions and data collection standards for source documentation.

Detailed Information Regarding the DV Process

The following processes will be followed when administering TAA DV:

Timelines

The annual TAA DV process will commence during the first quarter of the Fiscal Year (October 1, 2014 through December 31, 2014) and will conclude no later than January 31, 2015.

Selection Process

All MWAs are subject to selection for TAA DV. The WDA will use software provided by USDOL/ETA in combination with the OSMIS to randomly select MWAs that will be subject for review in accordance with the federally mandated TAA DV process.

The software will also randomly select the number and composition of participants and elements selected for each MWA. Participants that exited

from the TAA program during previous Fiscal Years are subject to selection for TAA DV.

Notification

The WDA will utilize a two-step notification process when informing MWAs they have been selected for review:

- Step 1: MWAs selected for review under TAA DV will be electronically notified of their selection and the date of the review. Participant records will be reviewed on-site at the MWA unless otherwise noted.
- Step 2: As required by USDOL/ETA, MWAs with 49 or fewer files selected for DV will be permitted four (4) business days to collect all selected files into a central location for on-site review. MWAs with 50 or more files selected for data validation will be permitted five (5) business days to collect all selected files into a central location for on-site review.

Should an MWA not be selected for on-site review, one additional day will be allowed to ship the records to the WDA office in Lansing. Additional information will be provided when the MWA is notified of their selection for DV.

Data Element Validation

Participant records must meet the federal definitions for source documentation for all elements selected. **NOTE:** If any one of the selected elements fail to meet the federal definitions for source documentation, the entire record fails the DV process. The remaining elements are still subject to validation and will be included in the statewide DV results.

At the conclusion of the DV process, cumulative error rates for each element, by program, will be calculated based on all of the participant records reviewed by the WDA. This data will be provided to the USDOL/ETA, as mandated under the federal TAA DV requirements.

The WDA will also calculate the error rate for each element for each of the selected MWAs. Local results will be provided, along with a written summary of trends and observations no later than 45 days after the conclusion of the DV process.

Technical Assistance/Corrective Action

MWAs who fail to demonstrate an appropriate use of the federal definitions and data collection standards for source documentation when generating participant data records will be subject to technical assistance and/or corrective action, as determined by the WDA.

Action:

All MWAs must electronically submit the names and e-mail addresses of all staff that should receive communications regarding TAA DV. This includes notification of selection for DV, potential scheduling instructions, and the list of specific participant files selected for review.

DV contacts should be submitted electronically to Ms. Tammy Flynn, TAA Manager at flymnt@michigan.gov within 10 days from the issue date of this policy issuance.

It is the responsibility of the MWAs to notify the WDA of any changes or updates made to the names or e-mail addresses provided.

Inquiries:

Questions regarding this policy issuance should be directed to your TAA state coordinator.

The information contained in this policy issuance will be made available in alternative format (large type, audio tape, etc.) upon special request to this office.

Additional resources regarding TAA DV, including applicable TEGs and TENS, can be found at www.doleta.gov/performance/reporting.

Expiration

Date:

Continuing

GC:TF:pv
Attachment

TAA DATA ELEMENT VALIDATION FOR FY 20 14

TAA DEV Elements	TAPR Data Element No. #	Coding Value Definition	Source Documentation	Pre 2010 TAPR format	"Positive" Values
Eligible Veteran Status	301	<p>Record 1 if the individual is a person who served in the active U.S. military, naval, or air service for a period of less than or equal to 180 days, and who was discharged or released from such service under conditions other than dishonorable.</p> <p>Record 2 if the participant served on active duty for a period of more than 180 days and was discharged or released with other than a dishonorable discharge; or was discharged or released because of a service connected disability; or as a member of a reserve component under an order to active duty pursuant to section 167(a), (d), or (g), 673 (a) of Title 10, U.S.C., served on active duty during a period of war or in a campaign or expedition for which a campaign badge is authorized and was discharged or released from such duty with other than a dishonorable discharge.</p> <p>Record 3 if the participant is: (a) the spouse of any person who died on active duty or of a service-connected disability; (b) the spouse of any member of the Armed Forces serving on active duty who at the time of application for assistance under this part, is listed, pursuant to 38 U.S.C 101 and the regulations issued there under, by the Secretary concerned, in one or more of the following categories and has been so listed for more than 90 days: (i) missing in action; (ii) captured in the line of duty by a hostile force; or (iii) forcibly detained or interned in the line of duty by a foreign government or power; or (c) the spouse of any person who has a total disability permanent in nature resulting from a service-connected disability or the spouse of a veteran who died while a disability so evaluated was in existence.</p> <p>Record 0 if the participant does not meet any one of the conditions described above or is not a TAA participant.</p> <p>Leave "blank" if this data is not available. NOTE: "blank" option is available on this data element through the report quarter ending September 30, 2010.</p>	DD-214, Cross-match with Veterans' Data, Letter from Veterans' Administration	Veteran Status (TAA DEV Reference #1)	1,2,3,0
Most Recent Date of Qualifying Separation	707	<p>Record the participant's most recent date of separation from trade-impacted employment that qualifies the individual to receive benefits and/or services under the Trade Act.</p> <p>Leave "blank" if the individual is not a participant and the information is not available.</p>	Verification from employer, Rapid response list, Notice of layoff, Public announcement with follow-up cross-match with UI	Most recent qualifying separation (TAA DEV Reference #2)	Not null

Date of Exit	901	Record the date on which the last service financially assisted by the program or a partner program is received by the participant. Once a participant has not received any services financially assisted by the program or a partner program for 90 consecutive calendar days and has no gap in service and is not scheduled for future services, the date of exit is applied retroactively to the last day on which the individual received a service financially assisted by the program or a partner program.	Documentation in case notes, State MIS	Date of Exit (TAA DEV Reference #3)	Not null
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TAA DATA ELEMENT VALIDATION FOR FY 2013

TAA DEV Elements	TAPR Data Element No. #	Coding Value Definition	Source Documentation	Pre 2010 TAPR format	"Positive" Values
Petition Number	920	Record the petition number of the certification which applies to the individual's group. If there is more than one petition number e.g., certifications under both the TAA and NAFTA-TAA programs), record the petition number of the program from which the training is paid, unless a waiver was issued. Do NOT include any alphanumeric suffix; record the petition number ONLY.	Employer Worker List, Determination of Eligibility Form, DOLETA Website, Federal Register	Petition Number (TAA DEV Reference #4)	Not null
TAA Application Date	950	Record the date on which the individual first applied for Trade Act services/benefits under the applicable certification.	State MIS, TAA Application Form, Determination on Eligibility Form	Date of Application (TAA DEV Reference #5)	Not null
Date Entered Training #1	1208	Record the date on which the participant's first training service actually began. Leave "blank" if the individual did not receive training services, or if the individual is not a participant.	Cross-match between dates of service and vendor training information, Vendor training documentation, State	Date Entered Training (TAA DEV Reference #6)	Not null
Training Completed #1	1211	Record the appropriate coding value: 1=Yes, completed approved training course 0 =No, did not complete (withdrew) Leave "blank" if the data element does not apply to the individual.	Vendor training documentation in case file, State MIS, case notes about communications with program, Self attestation	Training Completed (TAA DEV Reference #7)	1,0
Date Completed, or Withdrew from, Training #1	1212	Record the date when the participant completed training or withdrew permanently from training. Leave "blank" if the data element does not apply to the individual.	Cross-match between dates of service and vendor training information in case file, Vendor training documentation, State MIS, case notes	Date Completed, or Withdrew from, Training #1 (TAA DEV Reference #8)	Not null
Waiver from Training Requirement-Type	1225	Record the code that indicates the reason the participant received a waiver from the training requirement issued. 1 = Recall 2 = Marketable Skills 3 = Retirement 4 = Health 5 = Enrollment Unavailable 6 = Training Not Available 0 = No Leave "blank" if the data element does not apply to the individual.	Case file documentation that includes initial approval and renewals at 30 day intervals, State UI records of TRA checks, Form from employment counselor	Waiver from Training Requirement (TAA DEV Reference #9)	1,2,3,4,5,6,0

TAA DATA ELEMENT VALIDATION FOR FY 2013

TAA DEV Elements	TAPR Data Element No. #	Coding Value Definition	Source Documentation	Pre 2010 TAPR format	"Positive" Values
Employed in 1st Quarter After Exit Quarter	1500	Record 1 if the participant was employed in the first quarter after the quarter of exit. Record 0 if the participant was not employed in the first quarter after the quarter of exit. Record 3 if information on the participant's employment status in the first quarter after the quarter of exit is not yet available. Leave "blank" if the individual is not a participant. Leave "blank" if the data element does not apply to the individual.	UI Wage Records, WRIS, State MIS, Supplemental Data Sources as defined in TEGL 17-05	Employed in first quarter after exit (TAA DEV Reference #11)	0, 1, 3
Employed in 3rd Quarter After Exit Quarter	1509	Record 1 if the participant was employed in the third quarter after exit. Record 0 if the participant was not employed in the third quarter after exit. Record 3 if the participant has exited but employment information is not yet available. Leave "blank" if the participant has not yet exited or if the individual is not a participant.	UI Wage Records, WRIS, State MIS, Supplemental Data Sources as defined in TEGL 17-05	Employed in third quarter after exit (TAA DEV Reference #12)	0, 1, 3
Wages 3rd Quarter Prior to Participation Quarter	1600	Record total earnings from wage records for the third quarter prior to the quarter of participation. Leave "blank" if this data element does not apply to the participant or if the individual is not a TAA participant.	UI Wage Records, WRIS, Federal Wages Database, Other state wage records	Wages three quarters prior to participation quarter (TAA DEV Reference #13)	Not null OR 9999999
Wages 2nd Quarter Prior to Participation Quarter	1601	Record total earnings from wage records for the second quarter prior to the quarter of participation. Leave "blank" if this data element does not apply to the participant or if the individual is not a TAA participant.	UI Wage Records, WRIS, Federal Wages Database, Other state wage records	Wages two quarters prior to participation quarter (TAA DEV Reference #14)	Not null OR 9999999
Wages 1st Quarter After Exit Quarter	1603	Record total earnings from wage records for the first quarter after the quarter of exit. Leave "blank" if data element does not apply to the participant.	UI Wage Records, WRIS, Federal Wages Database, Other state wage records	Wages 1st quarter after Exit (TAA DEV Reference #15)	Not null OR 9999999
Wages 2nd Quarter After Exit Quarter	1604	Record total earnings from wage records for the second quarter after the quarter of exit. Leave "blank" if data element does not apply to the participant.	UI Wage Records, WRIS, Federal Wages Database, Other state wage records	Wages 2nd quarter after Exit (TAA DEV Reference #16)	Not null OR 9999999
Wages 3rd Quarter After Exit Quarter	1605	Record total earnings from wage records for the third quarter after the quarter of exit. Leave "blank" if this data element does not apply to the participant.	UI Wage Records, WRIS, Federal Wages Database, Other state wage records	Wages 3rd quarter after Exit (TAA DEV Reference #17)	Not null OR 9999999