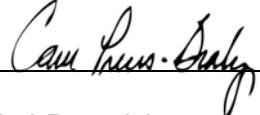


<b>Department of Community Colleges and Workforce Development</b>	Number: 589-50.1
	Revised: 09/06/06
	Page 1 of 6
SUBJECT: Workforce Investment Act Title IB Participant Data Collection, Transmission and Reconciliation	Approved: 

Purpose: To ensure that the required Workforce Investment Act (WIA) Title I-B participant and services information is provided in a timely and accurate manner by Local Workforce Investment Areas (LWIAs) to the Department of Community Colleges and Workforce Development (CCWD) in order to meet the reporting requirements established by the U. S. Department of Labor (DOL), the Oregon Workforce Investment Board (OWIB) and CCWD.

Reference: WIA Section 185(a)  
20 CFR 667.300  
Training & Employment Guidance Letter 14-00, Change 1  
CCWD MIS Manual

Background: CCWD is required to collect information on adult, dislocated worker, youth, and National Emergency Grant participants and the services they are receiving through the WIA Title I-B programs and to report this information to its funding and oversight authorities such as the DOL and the OWIB. These reports must be accurate and timely to assure that they:

1. Share program performance results with consumers, taxpayers, Congress and others with an interest in the program;
2. Compare results among WIA Title I-B service providers, States and with other federally funded programs; and,
3. Evaluate and continuously improve services.

It is essential, therefore, that CCWD be able to transmit data for special purposes and to produce the required reports in a timely and accurate manner including:

1. Monthly transmission of participant data to the customer satisfaction contractor in order to meet the participant customer satisfaction performance measure requirements;
2. Monthly transmissions of data to the Workforce Performance Matters™ contractor;
3. Monthly transmissions of data to the Program Report of Information System (PRISM) database operated by the Employment Department;
4. Quarterly transmissions of data to the Employment Department for wage record matching purposes;
5. Quarterly performance reports required by the DOL (the DOL performance report is due to DOL by the 45<sup>th</sup> day of the month following the report quarter); and, Annual WIA Title I-B report required by the DOL.

SUBJECT: Workforce Investment Act Title IB Participant Data Collection, Transmission and Reconciliation	Number: 589-50.1
	Page 2 of 6

Cumulative data for the current program year must be transmitted to CCWD on the 30<sup>th</sup> day following the last day of the report. Cumulative data that applies to the previous program year, transmitted to CCWD by September 1, will be used to produce the Annual Report and to calculate each LWIA's performance for local incentive awards, and the State's performance.

Policy:

Each LWIA is responsible for the validity of its data which is expected to be complete and without error.

Data elements required to be collected and reported by the LWIAs to CCWD are specified in the CCWD MIS Manual.

Each LWIA will transmit all pertinent cumulative data to CCWD in accordance with the following schedule:

1. Weekly: On a schedule that is developed in coordination with CCWD.
2. Monthly: By the 15<sup>th</sup> day of the month following the report month, all cumulative data that applies through the last day of the report month. All required data must be in a format specified by CCWD for those participant records that have been updated, added or deleted from the local LWIA's MIS.
3. Quarterly: By the 30<sup>th</sup> day of the month following the report quarter, all cumulative data that applies through the last day of the report quarter. All required data must be in a format specified by CCWD for those participant records that have been updated, added or deleted from the local LWIA's MIS.
4. Annually: By September 1, all cumulative data that applies to the previous program year.

CCWD will transmit to the LWIA a participant characteristics and a data error summary report after each weekly transmission from the LWIA. LWIAs must reconcile discrepancies between CCWD's participant characteristics report and local MIS reports. It is expected that any errors shown on these reports will be corrected before the next weekly transmission. LWIAs must notify the CCWD MIS Manager if errors cannot be corrected prior to the next weekly transmission.

CCWD will work with LWIAs to resolve data errors as quickly as possible. When problems cannot be resolved through an informal process and data errors interfere with CCWD's ability to perform its administrative reporting requirements, a MIS Problem Resolution/MIS Improvement Plan to correct the data error and will be required within 30 days.

SUBJECT: Workforce Investment Act Title IB Participant Data Collection, Transmission and Reconciliation	Number: 589-50.1
	Page 3 of 6

Procedures:

Responsibility

Action

- |             |   |
|-------------|---|
| LWIA Staff: | <ol style="list-style-type: none"> <li>1. Collects and enters data into the local MIS on a regular basis so that data are entered in a timely manner for transmission to CCWD within the required timeframes for weekly, quarterly and annual data transmissions. Data collected and entered shall include, at a minimum, all data elements listed in the CCWD MIS Manual. Each LWIA is responsible for entering <b>all</b> pertinent cumulative participant data (registration, service, outcome and exit.)</li> <li>2. Transmits the CCWD required data for those participant records that have been updated, added, or deleted from the local LWIA system through the end of the report month on the 15th of the month after the end of the report month in a format specified by CCWD.</li> </ol>   |
| CCWD Staff: | <ol style="list-style-type: none"> <li>3. On a weekly basis, executes a program that checks the validity of LWIA transmitted data after receipt of the data and generates a participant characteristics report and a data validation summary report that identifies invalid and/or inconsistent data by key record information. These reports are emailed to the LWIAs.</li> </ol>  |
| LWIA Staff: | <ol style="list-style-type: none"> <li>4. Reconciles the participant characteristics and the data validation summary reports with the local data and correct inconsistencies prior to the next data transmission.</li> <li>5. Notifies CCWD if data errors cannot be corrected prior to the next data transmission.</li> </ol>  |
| CCWD Staff: | <ol style="list-style-type: none"> <li>6. Reviews the CCWD Transmit Audit Report and the LWIA participant characteristics and data validation summary reports. If these reports show any one of the following situations, contacts the appropriate LWIA staff to resolve cooperatively the identified problem(s): <ol style="list-style-type: none"> <li>a. LWIA data transmissions are consistently late;</li> <li>b. Specific data validation errors are made repeatedly;</li> <li>c. Validation errors are not corrected by the LWIA in a timely manner.</li> </ol> </li> <li>7. Initiates informal resolution of the problems when they are identified after any of the data transmissions. CCWD may request that the LWIA repeat the data transmission after the LWIA has corrected the reported discrepancies.</li> <li>8. Initiates an MIS Problem Resolution/MIS Improvement Plan, if problems cannot be solved.</li> </ol> |

SUBJECT: Workforce Investment Act Title IB Participant Data Collection, Transmission and Reconciliation	Number: 589-50.1
	Page 4 of 6

**MIS PROBLEM RESOLUTION/MIS IMPROVEMENT PLAN PROCEDURES**

Responsibility

Action

CCWD MIS Staff  
or Subrecipient:

1. Identifies a problem with LWIA submission of timely and/or accurate data to CCWD that is necessary to produce the required reports.

a. If CCWD identifies the problem:

Notifies the LWIA MIS supervisor (by phone) that a problem has been identified that could potentially impact CCWD's ability to perform its mandated reporting. CCWD will describe the problem(s) and offers any available technical assistance to help in its resolution.

b. If the LWIA identifies the problem:

Notifies CCWD MIS Manager (by phone) that a problem has been identified that could potentially impact the State's ability to perform its mandated administrative reporting. The LWIA should describe the problem(s) and discuss what technical assistance, if any, is needed to assist in its resolution.

2. Negotiates time frames for problem resolution. Acceptable time frames will be driven by CCWD's need for accurate data to meet its reporting functions and time frames.

Negotiated time frames must be set well in advance of CCWD report date(s) that may be impacted by the problem(s) identified. This is necessary to allow for resolution of the problem through more formal process if informal resolution fails to produce the necessary outcome.

CCWD MIS Staff:

3. Submits a written request to the LWIA MIS staff for an MIS Improvement Plan (MIP) if the problem, at no fault of CCWD (e.g., CCWD provided requested technical assistance in a timely manner), is not resolved within the negotiated time frame. The written request will include:

a. Description of the identified problem and what formal steps have been taken towards its resolution.

b. Identification of the CCWD reporting requirement that will be impacted by the problem.

c. Identification of the required time frames for correcting the problem. The specified time frames depend on CCWD reporting dates.

d. Suggestions, if any, which may assist the LWIA with resolving the problem.

Subrecipient:

4. Prepares a written MIP for submission to the CCWD MIS staff within seven working days upon receipt of written request by CCWD.

SUBJECT: Workforce Investment Act Title IB Participant Data Collection, Transmission and Reconciliation	Number: 589-50.1
	Page 5 of 6

The MIP shall include the following:

- a. LWIA Identification.
- b. Description of the problem(s) encountered.
- c. Technical assistance that is requested, if any, for resolution of the identified problem(s), including time frames.
- d. Plan for resolution of the identified problem(s), if the plan can be provided without CCWD technical assistance, including time frames.

- CCWD MIS Staff:
5. Reviews the MIP and makes a determination as to whether or not the plan:
    - a. Appropriately addresses the means to resolve the problem(s) identified, and
    - b. Proposes a reasonable time period for the corrective action to be completed.
  6. Contacts the responsible LWIA MIS staff upon receipt of the MIP:
    - a. If it is determined that the above issues are appropriately addressed, informs him/her of the determination. Corrective action will be monitored by CCWD to insure proper resolution of the identified problem(s) within the specified time frames.
    - b. If it is determined that the improvement plan does **not** appropriately address a solution, the CCWD Information Team Manager contacts the LWIA MIS Supervisor and informs him/her of the determination. Modification to the corrective action may then be informally negotiated by phone.
- CCWD MIS Staff or Subrecipient:
7. If informal negotiations lead to an agreement on how the problem may be resolved, and do not require modifications to the original improvement plan, the LWIA proceeds with the agreed corrective action.
    - a. If negotiations lead to an agreement on how the problem may be resolved, and require modifications to the original improvement plan, the LWIA makes the appropriate plan modifications and resubmits the MIS Improvement Plan to CCWD within three working days.
    - b. If informal negotiations do not lead to an agreement on how the problem may be resolved, the process continues with step 2
- CCWD MIS Staff:
8. Monitors LWIA corrective action to insure proper resolution of the Staff identified problem(s) within the specified time frames.
    - a. If the LWIA completes the actions described within the plan, and the identified problems are resolved, the process ends.

SUBJECT: Workforce Investment Act Title IB Participant Data Collection, Transmission and Reconciliation	Number: 589-50.1
	Page 6 of 6

- b. If the LWIA completes the actions described within the plan, and the identified problems are **not** resolved, the process returns to step 2.
9. If the LWIA fails to complete the actions described within the plan (at no fault of CCWD), CCWD sends written notification describing the current circumstances and the prior events leading to the present situation to the LWIA Director. The Commissioner of CCWD receives a copy of this correspondence.

The notification requires the LWIA Director to address the identified problem(s) immediately.
10. If the problem(s) is not resolved prior to the required CCWD reporting date impacted by the problem, CCWD will schedule a targeted review of the LWIA's MIS system.