

POST OFFICE BOX 5719
 FLORENCE, SOUTH CAROLINA 29502
 TEL. 843-669-3138
 FAX. 843-679-3743



PEE DEE LWIA INSTRUCTION NUMBER: WIA 09-003

TO: Pee Dee Local Workforce Investment Area Grantees

SUBJECT: Monitoring from VOS Ad Hoc Reports

EFFECTIVE DATE: December 1, 2009

ISSUANCE DATE: November 12, 2009

Purpose: The purpose of this instruction is to establish revised monitoring requirements for internal monitoring of Workforce Investment Act (WIA) and Trade Adjustment Assistance Reform Act (TAA) grants, using selected Virtual One Stop (VOS) Ad Hoc reports.

Background: The Virtual One Stop System was launched in October 2002 as a state-of-the-art online, real-time system for monitoring and tracking Workforce Investment Act participants. VOS generates a variety of reports which are very useful for program management purposes. The Pee Dee LWIA has incorporated a number of ad hoc reports in its monitoring policy for Program Year 2009. Others will be reviewed on a periodic basis by the VOS Coordinator, with corrective action requested as needed. Others, as applicable and listed below, should be reviewed by the Project Manager or his/her designee in accordance with the instructions outlined in this policy.

Policy: VOS Ad Hoc reports will be reviewed by the WIA or TAA Program Manager in accordance with the following guidelines:

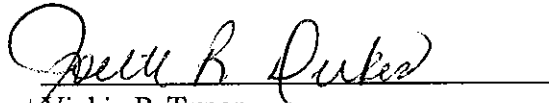
<i>Report</i>	<i>Review by Grantee Required (at a minimum)</i>
WIA Grantees	
Monthly Case Note	Monthly
Monthly Case Note – Youth In Follow Up	Monthly
Dislocation Report	Quarterly
Extended Participants	Quarterly
FollowUp 1, FollowUp 2, and FollowUp 3 (Select PY)	Quarterly
Youth – Follow-up Rpt	Quarterly
Youth – LitNum – No Open 414/433	Quarterly
Youth – LitNum – No PreTests	Monthly
Youth – LitNum – Post Test Due under 90 Days	Monthly
System Closed Activities	Monthly
TAA Grantees	
Participants on Waiver – Review Due	Monthly
Participants on Waiver – Review Overdue	Monthly

Drop-Outs on Waivers	Monthly
ESL on Waivers	Monthly
No Record Review Date	Quarterly
Waiver Activity Open-Training Activity Open	Quarterly
Waiver Open – Waiver Activity Closed	Quarterly
Waiver Activity Open – Waiver Closed	Quarterly
Approved Training Application	Monthly
Basic TRA Deadline	Monthly
Past Due Assessment	Monthly
Projected Start Date	Monthly
System Closed Activities	Monthly

Brief descriptions of the types of information contained in the reports and the action required are included as attachments to this instruction letter. Grant Managers should review all reports applicable to their programs, make corrections as required, and be prepared, upon request, to report to Pee Dee Regional Council of Governments the corrective action taken.

Action: To ensure proper implementation of this directive, please distribute this instruction to all staff responsible for its implementation. Judy Gaymon, Performance and Reporting Specialist, and Tracey Washington, Workforce Development Specialist, will periodically review and request corrective action/explanations for exceptions on these reports as deemed necessary. Continued exceptions which are not corrected or explained when requested will be noted in the grantee's monitoring report as programmatic findings.

Inquiries: Questions pertaining to this instruction should be directed to Judy Gaymon at (843) 669-3138.


 Vickie P. Tyner
 for Workforce Development Director

WIA Ad Hoc Reports Revised 11/05/09

Adults Potentially Eligible as ARRA Youth: List of current WIA adult and dislocated worker applicants and participants aged 22 through 24 who are low income.

Purpose: Youth eligibility defined in the American Recovery and Reinvestment Act (ARRA) includes participants aged 14 through 24. This report identifies individuals who may be eligible for the ARRA Youth program. The report calculates current age. However, all individuals identified for ARRA youth participation must also be age eligible at the time of first youth service. The youth barrier requirement was not determined at intake for this age population, and is therefore, not reflected on the report.

ARRA Enrollments: List of participants to date who have been served with ARRA funds. The report is broken down into the following specific fund streams: ARRA-Adult, ARRA-DW, ARRA-Youth, and ARRA-Local and Statewide.

Purpose: To identify participants and their associated ARRA fund stream.

Case Manager Inactive: List of active WIA participants with an inactive case manager assigned.

Action Needed: Reassign these participants to an active case manager.

Case Manager Not Assigned: List of active WIA participants with no case manager assigned.

Action Needed: Assign these participants to a case manager.

Caseload Report: Provides the enrollment data for all WIA and TAA participants by LWIA. This report lists the LWIA, WIA case manager, participant's name, StateID, WIA AppID, WIA Participation Date, Appropriate WIA Fund Stream (Adult, Dislocated Worker, Youth), Youth Educational Status at application, TAA case manager, TAA /AppID, and TAA Participation Date.

Purpose: Used by state and local administrators to manage and evaluate the WIA and TAA programs. This report may be used to determine the following:

The number/percentage of participants assigned to each case manager.

The number/percentage of TAA participants who are not co-enrolled in WIA.

The number/percentage of co-enrolled individuals who have two different case managers.

DOE Statewide Grant Participation: List of participants to date who are or have been enrolled in the DOE Statewide Grant Program.

Purpose: To identify participants and the high school associated with the grant.

Dislocation Report - Select PY: List of lay-off information (Employer, Date, Reason, Event Number, Participation Date and Exit Date) for each dislocated worker where the participation date is within the range of the program year selected. This report is sorted by LWIA and Dislocation Employer Name. Please note that the Dislocation Employer Name may be spelled in several different ways and one employer may have multiple Event Numbers.

Purpose: Used by state and local administrators to manage and evaluate the DW Program. This report is used to determine take-up rates by Dislocation Employer and/or Event Number.

Action Needed: Review this report for the following:

If the Dislocation Employer and/or Dislocation Date are missing, please update this information on the WIA Application. Exception: If the Dislocation Reason is 6, Displaced Homemaker, then the Dislocation Employer and Dislocation Date will remain blank. If the Dislocation Reason is 7, not a dislocated worker, review the WIA Application and make necessary corrections. **Extended Participants:** List of active participants who have been in WIA for three or more years.

Action Needed: Review these records in VOS and close Activity Records as needed.

Follow Up 1- Select PY: List of WIA Adult and Dislocated Worker participants who have no wages or supplemental employment data reported for the 1st quarter after exit. Lists the LWIA, Office of Responsibility, Case Manager, Participant's Name, StateID, AppID, Participation Date, Exit Date, and First Quarter (ex. 20081 means that follow-up is due for the quarter January through March 2008).

Action Needed: Conduct first quarter follow-up and complete the 1st Quarter Follow-up screen in VOS.

Documentation of employment in the 1st Quarter Follow-up Screen will improve the Entered Employment Rate for the applicable customer group (Adult or DW).

Follow Up 2- Select PY: List of WIA participants who have no wages or supplemental employment data reported for the second quarter after exit. These participants have wages or supplemental data reported for the first quarter after exit. Lists the LWIA, Office of Responsibility, Case Manager, Participant's Name, StateID, AppID, Participation Date, Exit Date, Source for the First Quarter (Wages or Supplemental Data), and Second Quarter (ex. 20081 means that follow-up is due for the quarter January through March 2008).

Action Needed: Conduct second quarter follow-up and complete the 2nd Quarter Follow-up screen in VOS.

Documentation of employment in the 2nd Quarter Follow-up Screen will be counted in the calculation of the applicable Employment Retention Rate (Adult or DW).

Follow Up 3- Select PY: List of WIA participants who have no wages or supplemental employment data reported for the third quarter after exit. These participants have wages or supplemental data reported for the first and second quarters after exit. Lists the LWIA, Office of Responsibility, Case Manager, Participant's Name, StateID, AppID, Participation Date, Exit Date, Source for the First and Second Quarters (Wages or Supplemental Data), and Third Quarter (ex. 20081 means that follow-up is due for the quarter January through March 2008).

Action Needed: Conduct third quarter follow-up and complete the 3rd Quarter Follow-up screen in VOS.

Documentation of employment in the 3rd Quarter Follow-up Screen will improve the applicable Employment Retention Rate (Adult or DW).

Hold Codes: List of participants who have been placed in **Hold, Activity Code (001)**. Collects the Actual Begin Date, Projected End Date, Projected Number of Days in Hold, Actual End Date and Actual Number of Days in Hold Status.

Action Needed: Check these 001, Hold Activity Records for the following:

- Projected End Dates must be 91-180 days from the Actual Start Date.
- Actual End Dates cannot be greater than 180 days from the Actual Start Date.
- The reason for the Hold must be documented in Comments and/or Case notes, and must include the participant's intent to return to complete program services and the date of the planned return. The only valid reasons for a Hold Activity are the following:
 - Delay before the beginning of training (must have acceptance letter from training institution including start date of training); or
 - Health/medical condition or providing care for a family member with a health/medical condition; or
 - Temporary move from the area that prevents the individual from participating in services, including National Guard or other related military service.

Make corrections as necessary for those who have not exited WIA. Hold Activity Records should be voided if not documented as required or if both the Projected End Date and Actual End Date are less than 91 days from the Actual Start Date.

Improper Activity End Dates: List of activity records where the Actual End Date is prior to the Actual Start Date, and the Actual Start Date is during or after PY2006.

Action Needed: Correct the Actual Start and/or Actual End Dates on these Activity Records.

Monthly Case Note: List of active participants, by local area and case manager, who have no case note (TAA, WIA or WP) in the last 30 days. The last column gives the total number of days since the last case note was created.

Action Needed: Depends on local area policy.

Monthly Case Note-Youth in Follow-up: List of WIA youth participants in follow-up status, by local area and case manager, who have not had a case note (TAA, WIA or WP) in the last 30 days. Also collected is the number of days left in the follow-up period.

Action Needed: Depends on local area policy.

Needs-Related Payments for DWs: List of active dislocated workers who are currently enrolled in either WIA or TAA training activities. In order to be potentially eligible to receive a needs-related payment, the participant must be enrolled in training on or before the Saturday of the 13th week after dislocation.

Purpose: To identify participants who are potentially eligible for needs-related payments (NRPs) and to identify participants currently receiving NRPs.

Participants Excluded from Performance - Select PY: List of exited participants who have one of the global exclude reasons on the Outcome, 1st Quarter Follow-up, 2nd Quarter Follow-up, or 3rd Quarter Follow-up record **and** have wages in one of the first 3 quarters after exit. The reason is listed, and, if wages were found, a "Yes" is indicated under a separate column for the applicable quarter(s). N/A means that the wages are not yet available.

Action Needed:

If Q1, Q2 and Q3 Wage columns are "yes", remove all Exclude reasons from the exit record, 1st, 2nd, and 3rd Q follow-up screens (if applicable). This will improve the Entered Employment and Retention Measures for Adults and DWs.

If there are Q1 wages, you may want to consider removing all of the exclude reasons from exit and follow-up forms if the individual was not employed at participation. This would help the Entered Employment measure for Adults and DWs, and also the Youth Placement in Employment or Education measure. However, if they do not have wages in all 3 exit quarters, it would add to your Retention denominator for Adults and DWs. It would not change your Average Earnings measure. You may want to remove the exclude reasons for Reservists called to Active Duty. We get FEDES wages for these participants. Counting these individuals should increase all three Adult and DW performance measures. Be sure that the individual was a reservist called to active duty, not someone who joined the military.

Look at each quarter to determine if the exclude reason was recorded appropriately for the applicable time frame. For example, if the participant has an exclude reason recorded on the exit record or the 1st Q Follow-up, and then has wages in the 1st Q after Exit, and wages are N/A for 2nd and 3rd Quarters after Exit, remove the exclude reason because it was not valid at exit or 1st Quarter Follow-up. During one of the later follow-ups, you may be able to document a valid exclude reason. Relocated to a Mandated Residential Program is valid only for youth. If an adult or DW has this exclude reason, it must be removed from VOS.

Review all entries on this report to ensure that appropriate documentation of the exclude reason is in the case file and/or case notes. If appropriate documentation is not available, remove the exclude reasons from all applicable screens.

Exclude reasons must exist for more than 90 days and must preclude the individual from working and/or participating in the program. If the exclude reason lasted less than 90 days or does not preclude the individual from working and/or participating in the program, it must be removed from VOS.

Participants In Training: Lists participants in WIA who are currently in training. Lists LWIA, Office of Responsibility, Case Manager, Participant's Name, StateID, AppID, Customer Group, Activity Code, Provider, Program, Begin Date and Projected End Date.

Purpose: Used by state and local administrative staff to manage and evaluate the Adult, DW and Youth Programs.

Missing Work Readiness Goal: Lists participants with Activity Code 400, Summer Employment who are missing the youth ARRA Work Readiness Goal. All participants with Activity Code 400 associated to the ARRA youth fund stream will be counted in the denominator for the ARRA Youth Work Readiness measure.

Action Needed: Review the list, and create the required ARRA Work Readiness goal.

Quick Skills GED Training: This report is applicable to the LWIAs who administer the Quick Skills program under the Federal Incentive grant and lists WIA individuals who are current participants or have exited Quick Skills GED training.

Purpose: Used by state and local staff to review and evaluate Quick Skills program status and participation.

Quick Skills Occupational Training: This report is applicable to the LWIAs who administer the Quick Skills program under the Federal Incentive grant and lists WIA individuals who are current participants or have exited Quick Skills occupational training.

Purpose: Used by state and local staff to review and evaluate Quick Skills program status and participation.

Summer Youth Activities (ARRA/OY/YY): List of all summer youth program participants with associated summer youth activities. The report identifies specific activities, which are coded either formula (OY/YY) or stimulus (ARRA-local and statewide). The prefix identifies the fund stream. The prefix "Stm" indicates "Youth - ARRA (Stimulus)". The prefix "Yth" indicates either the "Younger Youth" or "Older Youth".

Purpose: Used by state and local staff to evaluate the summer youth program. This report may be used to monitor the following:

Number of youth served only with ARRA funds.

Number of youth who count in the Work Readiness and the Summer Employment Completion Measures.

Proper coding of the customer group (ARRA/OY/YY) on activity records.

Participants meeting the following criteria will be counted only in the ARRA Work Readiness and Summer Employment Completion measures:

All activities begin no earlier than May 1, 2009 and end no later than September 30, 2009, and

All activities are coded as "Youth - ARRA (Stimulus)", and

The participant has Summer Employment Activity Code 400.

Action required: Individuals with activity code 425 beginning prior to October 1, 2009 will count in all applicable youth common measures. If all activities are coded to ARRA youth funds and you wish to exclude those individuals from the youth common measures, void activity code 425 and add activity code 400 associated to the ARRA Youth fund stream.

Summer Youth Program and Work Experience Participation: List of all ARRA summer youth program participants and their associated goals and activities for planning purposes. The last seven fields are defined with a prefix to indicate the assigned fund stream. The activity should have the prefix "Stm" to define the activity as "Youth-ARRA (Stimulus) or "Statewide Youth-ARRA (Stimulus). This report may be used to monitor the following:

% of ARRA-funded youth who are out-of-school.

% of ARRA-funded youth who are not low income.

Number of ARRA-funded participants.

Action required: Review the report to identify any youth who does not have one ARRA work readiness goal. Add the goal if necessary. If more than one ARRA work readiness goal exists, remove the extra goal. Activity code 400 (May 1-September 30, 2009) associated with the ARRA Youth fund stream will allow individuals to count only in the Work Readiness performance measure.

Summer Youth Work Experience Completion Errors: List of participants with an ARRA-funded Summer Employment (Activity Code 400) activity record with an Actual End Date prior to the Projected End Date and a completion status of "successful completion" for that activity. Summer Employment Work Experience should have predetermined start and end dates. For example, if the summer work experience is a six-week program, the Projected End Date should be six weeks after the Actual Start Date. DOL has defined "successful completion" of the Summer Employment Work Experience Activity as the completion of the work experience component without dropping out prior to the projected end date.

Action required: Review these records. Make the following corrections for the ARRA-funded Summer Employment (Activity Code 400) activity records:

If the Actual End Date is prior to the Projected End Date, change the Completion Status to "unsuccessful completion".

If the Projected End Dates and/or Actual End Dates are incorrect, these dates must also be corrected.

System Closed Activities - List of participants with activity records that have a completion status of "system closed." This status is triggered by open activity records that have no final completion status after more than 15 days past their projected end date. Participants with no activity after 90 days will eventually soft exit, so this report can be used to ensure staff are properly updating and monitoring their caseloads and to monitor data entry issues.

Action required: Review these records and enter the proper completion status in VOS.

Time Frames - DWs Only - Select PY: List of participants served as Dislocated Workers by LWIA. It includes the dates of Dislocation, Eligibility, Participation, and Exit, Employment Status at Registration and UI Status at Registration, the number of days between Participation and Eligibility, and the number of days between Dislocation and Participation.

Purpose: Used by state and local administrators to manage and evaluate the DW Program.

Youth - 5 Per Cent - Select PY: List of youth, by local area and case manager, and the code that was entered for eligibility. This report only applies to participants who have been served as youth in WIA.

Purpose: Used by state and local administrators to manage and evaluate the Youth Program.

Youth Applicants Not Enrolled: List all WIA youth applicants without a WIA participation record.

Purpose: This report may assist staff in reviewing the status of youth recruitment for ARRA by county.

Youth - Attained Degree or Certificate - Select PY: List of all youth participants who exited during the report period and attained a diploma, GED, or Certificate by the end of the 3rd Qtr after Exit. Information is collected on the Activity Record, Outcome Record, 1st Qtr, 2nd Qtr, or 3rd Qtr Follow-Up.

Purpose: Used by state and local administrators to manage and evaluate Youth performance. These participants will be included in the numerator for the Youth Attained Degree or Certificate Measure.

Youth Employed at Participation - Select PY: List of all youth participants who were employed at participation and exited during the report period.

Purpose: Used by state and local staff to manage and evaluate Youth performance. These participants are excluded from the *Placement in Employment or Education* measure.

Youth – Follow-Up Report: List of youth who have exited and the status of each follow-up (Done, Not Done, N/A). The youth will not be listed if the 4th quarter follow-up was due more than two quarters prior to the current quarter.

Purpose: Used by state and local administrators to manage and evaluate Youth performance. Supplemental data contained in follow-up screens are used in the calculation of the Placement in Employment or Education Measure (by the end of the 1st Quarter after Exit) and the Attainment of a Degree or Certificate Measure (by the end of the 3rd Quarter after Exit).

Youth - LitNum PY07 List: List of participants, by LWIA, Office of Responsibility, and Case Manager, who will be included in the PY07 Literacy and Numeracy Gains Measure denominator. The last column of the report indicates if the participant will count in the PY07 Literacy and Numeracy Gains Measure numerator.

Action Needed: Check the records of those who are not counted in the numerator to determine if a successful post-test was administered to these participants within one year of the Date of First Youth Service. If successful test results are found, enter the post-test results into the Literacy/Numeracy screens in VOS.

Youth - LitNum PY08 List – Select Report Period: List of participants, by LWIA, Office of Responsibility, and Case Manager, who will potentially be included in the PY08 Literacy and Numeracy Gains Measure denominator. The column labeled “Part Yr” is the Participation Year for the youth Participation Year is measured from the Date of First Youth Service. The last column of the report indicates if the participant will count in the PY08 Literacy and Numeracy Gains Measure numerator. All results for Participation Year 1 will count in the denominator. Please note that if the participant is in the second participation year, then the participant must stay active in WIA (no Exit Date) until the second anniversary of the Date of First Youth Service in order to count in the measure for the second year.

Action Needed: Check the records of those who are not counted in the numerator to determine if a successful post-test was administered to these participants within the applicable participation year based on the Date of First Youth Service. If successful test results are found, enter the post-test results into the Literacy/Numeracy screens in VOS. The date the post-test was administered will automatically determine the year that the results will count.

Youth - LitNum-Bad Scores: List of all pre-tests with an invalid test score.

Action Needed: The raw scores must be recorded in the Literacy/Numeracy screens. Raw scores for the TABE and CASAS will be 3-digit numbers. The minimum valid test score for WorkKeys is 75.

Youth - LitNum -No Open 414/433: Lists the active out-of-school youth participants who are Basic Skills Deficient (based on latest test results), but are not currently enrolled in Activity Code 414 (Basic Skills Training) or Activity Code 433 (GED Training or Adult Ed High School). These individuals will count in the Literacy/Numeracy measure.

Action Needed: Update the VOS records as needed.

- Enter all progress and post test scores in the Literacy/Numeracy screens. New test results may indicate that the individual is no longer Basic Skills Deficient.
- The activities/services provided to youth should address the individual's barriers.
- If no additional test scores are available or the new test scores indicate that the individual is still Basic Skills Deficient, the individual should be referred to an appropriate provider and enrolled in the appropriate activity.
 - If the individual has a high school diploma or a GED, Activity Code 414 (Basic Skills Training) is the appropriate activity code.
 - If the individual does not have a high school Diploma or a GED, Activity Code 433 (GED Training or Adult Ed High School) is the appropriate activity code.
 - Update the IEP if needed, and add case notes related to this issue.

Youth- LitNum - No Pre-Test: All basic skills deficient out-of-school youth must be pre-tested within 60 days of the Date of First Youth Service. This report lists only the youth who have not had a pretest score entered for Reading and/or Math. Both reading and math pre-tests are required. There is also an indication of the number of days that have passed since the date of the first youth service.

Action Needed: Staff should review the records of each participant on the list. Review the test results used to determine the participant was basic skills deficient at application.

If the test is on the DOL-approved list (TABE, CASAS, WorkKeys, etc.) and the test date was not more than 6 months prior to the Date of First Youth Service, enter the actual test information on the Literacy/Numeracy Screens in VOS. Some pre-test scores may be recorded only in the Assessment Tab under Basic Skills Assessment Tests or in Case Notes or a copy of test results may be in the case file.

If you find an approved pre-test (TABE, CASAS, WorkKeys, etc.) that was administered on or after the Date of First Youth Service, enter that testing information on the Literacy/Numeracy screens in VOS. Note: VOS will not allow you to enter a test date more than 60 days past the Date of First

Youth Service, so you must enter a date the system will accept, and complete a Change Request to your VOS Coordinator to correct the test date.

- Please note that for WorkKeys to be considered a valid pre-test, the minimum scale score must be 75.
- The DRVS (federal reporting) software has been updated to allow null values for individuals who failed to take the pre-test as required. Therefore, if no approved pre-test is found, the Literacy/Numeracy screens should not be completed.
- If the participant has not exited WIA, staff should continue to contact the participant in an effort to schedule the participant for the pre-test. If the participant reports for testing, enter the actual test information for both reading and math into the Literacy/Numeracy screens. Note: VOS will not allow you to enter a test date more than 60 days past the Date of First Youth Service, so you must enter a date the system will accept, and complete a Change Request to correct the test date.
- The results of the pre-test scores must match the Basic Skills Deficient data field on the WIA Youth Application.
 - If **any** pre-test score (from the approved test) is marked Basic Skills Deficient=Yes, then the Basic Skills Deficient field on the WIA Youth Application must be "Yes".
 - If **all** pre-test scores (from the approved test) are all marked Basic Skills Deficient =No, then the Basic Skills Deficient field on the WIA Youth Application must be "No".
 - Changes to the WIA Application must be made as needed once the pre-test scores are received. Please note that if Basic Skills Deficient changes from "Yes" to "No" on the Application, it may affect eligibility. If Basic Skills Deficient was the only barrier marked on the Application, and this field is changed to "No", the individual will not

be eligible to be served as a youth. Depending on age and other factors (self-sufficiency, priority of service, etc.), the individual may be eligible to be served as an adult.

○ If no approved pre-test was given, then the results of the unapproved assessment tool (WRAT, for example) must be used to complete the Basic Skills Deficient field on the WIA Youth Application. These test results cannot be entered in the Literacy/Numeracy screens, but must be entered in the Assessment Tab on the Basic Skills Assessment Tests screen.

Youth - LitNum - Conflicting Info: List of youth where Basic Skills Deficient on the WIA Youth Application indicates the following:

“Yes” while test results indicate that the participant is not deficient in any area, or

“No” while test results indicate that the participant was deficient on one or more pre-tests.

Action Needed: The results of the pre-test scores must match the Basic Skills Deficient data field on the WIA Youth Application. Make the necessary corrections as outlined below:

If **any** pre-test score (from the approved test) is marked Basic Skills Deficient=Yes, then the Basic Skills Deficient field on the WIA Youth Application must be “Yes”.

If **all** pre-test scores (from the approved test) are all marked Basic Skills Deficient =No, then the Basic Skills Deficient field on the WIA Youth Application must be “No”.

Please note that if Basic Skills Deficient changes from “Yes” to “No” on the Application, it may affect eligibility. If Basic Skills Deficient was the only barrier marked on the Application, and this field is changed to “No”, the individual will not be eligible to be served as a youth. Depending on age and other factors (self-sufficiency, priority of service, etc.), the individual may be eligible to be served as an adult.

Youth- - LitNum-Post Test Due under 90 Days: List of out-of-school, basic skills deficient youth who need a post-test within the next 90 days.

Action Needed: Post-test these participants as soon as possible. The post-test must be administered by the date due in order to count in the calculation for the applicable participation year (1st, 2nd, or 3rd) based on the individual’s Date of First Youth Service.

Youth - Lit/Num - Test Results: Lists information on youth who have a Date of First Youth Service after 6/30/2006 and are still active in WIA. The results display the pre-test EFL (educational functioning level). If the EFL is below 7, the record is displayed with adequate space for 3 years of progress-tests and post-tests. It displays the EFL of the latest progress test for the year and the EFL of the post-test, if applicable. If the EFL is 7 or more, “N/A” is displayed for the remaining fields on the record, indicating that no further testing is required for this test type. Remember that the year is based on the Date of First Youth Service.

Action Needed: Review the test scores provided.

If the progress-test increased by one or more EFLs when compared to the pre-test (or the post-test for the previous year), then the progress-test must be changed to a post-test.

If a post-test has been recorded, but there was no increase in the EFL as compared to the pre-test (or post-test for last year), change the post-test to a progress-test if there is time to retest the individual before the year runs out.

If a progress-test and/or post-test have not been recorded, check the participant file to see if a test was given, but the results have not yet been recorded in the Literacy/Numeracy screens in VOS.

Youth - Lit/Num - Test Results - Exiters: Lists information on youth who had a Date of First Youth Service after 6/30/2006 and have a WIA exit date. The results display the pretest EFL (functioning level). If the EFL is below 7, the record is displayed with adequate space for 3 years of information. It displays the EFL of the latest progress test for the year and the EFL of the post-test, if applicable. If the EFL is 7 or more, “N/A” is displayed for the remaining fields on the record, thus indicating that no further testing is required on this test type. A blank in the score

column(s) means that the test was not given and/or the test scores were not recorded in VOS on the Literacy/Numeracy Screens.

Purpose: Used by state and local administrators to manage and evaluate the Youth Program.

Youth - Placement at Follow-Up - Select PY: List of all youth participants who exited during the reporting period (10/01 and 9/30 for the program year selected). The report indicates those who are in post-secondary education, advanced training or employment in the 1st quarter after exit. The report also indicates the school status and employment status at participation.

Purpose: Used by state and local administrators to manage and evaluate the Youth Program. Those in employment, post-secondary education or advanced training in the 1st Quarter after Exit (excluding those in Employment or post-secondary education at participation) will count in the numerator for the Placement in Employment or Education Measure.

Action Needed: Review the records and enter employment (not needed if wages column is marked “yes”) and education/advanced training information, if applicable, into the 1st Quarter Follow-up screens.

Youth - School Status at Participation - Select PY: Lists all youth participants who exited during the program year selected. Indicates School Status listed at Application and School Status listed at Participation. The School Status at Application and School Status at Participation should be the same, and it should also agree with the highest grade completed.

Action Needed: Review the records to ensure that the correct codes were entered into VOS based on the definitions below.

1=In-school, HS or less (has not received a secondary school diploma or GED and is attending any secondary school, whether full or part-time, or is between school terms and intends to return to school)

2=In-school, Alternative School (has not received a secondary school diploma or GED and is attending an alternative high school or an alternative course of study approved by the local educational agency, whether full or part-time.) **Note: The local education agency is your local school district. The local school district may approve Adult Education as an alternative course of study for participants under the age of 17 when there is no alternative high school in the area. Your local school district and adult education agency will be able to identify these participants. Most individuals attending adult education will not qualify as “in-school, alternative school”.**

3=In-school, Post HS (the participant has received a secondary school diploma or equivalent and is attending a post-secondary school or program whether full or part-time, or is between school terms and intends to return to school.)

• Therefore, if you have a participant who does not have a HS diploma or GED, but is enrolled in post-secondary education, select 4, not attending school, HS Drop-out.

○ Post-secondary Education (defined in TEGL17-05)—a program at an accredited degree-granting institution that leads to an academic degree (e.g., AA, AS, BA, BS). Programs offered by degree-granting institutions that do not lead to an academic degree (e.g., certificate programs, etc.) do not count as post-secondary education.

• If you have a participant who is attending advanced training/occupational skills training (e.g., certificate programs, etc.) on the date of participation, select 4, not attending school, HS drop-out or 5, not attending school, HS graduate.

4=Not attending school, HS Drop-out

5=Not attending school, HS Graduate

Individuals in Post-Secondary Education at Participation do not count in the Placement in Employment or Education Measure.

Individuals in High School, Alternative School, or Post-Secondary School at Participation will count in the Attainment of a Degree or Certificate Measure.

Youth Barriers -- Select PY: Lists all youth participants and common youth barriers based on age and income. Youths barriers are defined by three categories:

“BOTH” - The barrier applies to both low income and 5% window youths.

“LI Only” – The barrier applies to only low income youths.

“5% Only” – The barrier applies to only 5% window youths .

Key: A value of one (1) means the youth meets the criteria or has the indicated barrier. A value of zero (0) means the youth does not meet the criteria or does not have the indicated barrier. Due to the length of the report, printing from MS Internet Explorer is not recommended, but instead should be copied and pasted into Excel.

Purpose: Used by state and local administrative staff to review youth barriers and youth eligibility. *Action Needed:* Review the records to ensure that the correct codes were entered into VOS based on eligibility requirements.

WIA Aggregate Reports:

Purpose: Aggregate reports are used by state and local administrators to manage and evaluate the WIA Adult, Dislocated Worker and Youth Programs.

DOE Statewide Grant Participation: Provides the number of participants to date and current participants by location enrolled in the DOE Statewide Grant Program.

Youth - LitNum - PY07 (LWIA): Provides the number of participants in the numerator and denominator, as well as the percentage, for the PY 07 Literacy and Numeracy Gains Measure by LWIA.

Youth - LitNum - PY07 (Office): Provides the number of participants in the numerator and denominator, as well as the percentage, for the PY 07 Literacy and Numeracy Gains Measure by LWIA and Office of Responsibility.

Youth - LitNum PY 08 (LWIA) - Select Report Period: Provides the number of participants in the numerator and denominator, as well as the percentage, for the PY08 Literacy and Numeracy Gains Measure by LWIA.

Youth - LitNum PY 08 (Office) - Select Report Period: Provides the number of participants in the numerator and denominator, as well as the percentage, for the PY08 Literacy and Numeracy Gains Measure by LWIA and Office of Responsibility.

Low Income Adults or ARRA-Adults – Select PY: Provides, by LWIA, the following: Total number of Adults or ARRA Adults served, and the corresponding number and percent considered low income. This informational report reflects the number of low income participants served in your area.

Participation Levels (LWIA) - Select PY and Customer Group: Provides, by region, the number of carry-overs and the number of new participants by quarter for the requested program year and customer group. The report also provides the total of new participants year-to-date and the total year-to-date, including carry-overs.

Participation Levels (Office) - Select PY and Customer Group: Provides, by region and office, the number of carry-overs and the number of new participants by quarter for the requested program year and customer group. The report also provides the total of new participants year-to-date and the total year-to-date, including carry-overs.

Received Training (Adults/ARRA-Adults) – Select PY: Provides, by LWIA, the following: Total participants served based on three classifications (Adults, ARRA-Adults, and Adults or ARRA-Adults), then within each classification, a count and percentage for the number of individuals who received any training during the PY based upon the indicated fund source. Due to co-enrollment in other programs, training may occur outside the Adult or ARRA-Adult program. Therefore, the column labeled as “Training Regardless of Fund Source” considers both WIA or TAA training activities.

Received Training (DWs/ARRA-DWs) - Select PY: Provides, by LWIA, the following: Total participants served based on three classifications (Formula DWs, ARRA-DWs, and DWs or ARRA-

DWs), then within each classification, a count and percentage for the number of individuals who received any training during the PY based upon the indicated fund source. Due to co-enrollment in other programs, training may occur outside the Adult or ARRA-Adult program. Therefore, the column labeled as "Training Regardless of Fund Source" considers both WIA or TAA training activities.

Summer Youth Program and Work Experience Participation Summary: Provides the number of stimulus and formula funded participants in the Summer Youth Program and the Work Experience participants as of May 1, 2009. Total of the Summer ARRA Youth Program is reported to DOL.

Time Frames: Provides, by region, the average number of days between dislocation and participation for dislocated workers. State totals are also reported. This report covers five program years.

Youth - Five Percent Aggregate - Select PY: Provides, by local area, the number of youth served, the number of 5% youth, and the percentage of 5% youth served in the selected program year.

Youth - School In/Out - Select PY: Provides, by area, the totals for in-school and out-of-school youth, as well as the new youth participant totals and the percentage of the total for each region.

TAA Ad Hoc Reports Revised 11/05/2009

Basic TRA Deadline: List of TAA participants who are within 30 days of reaching their 8/16 or 26/26 week deadline (depending upon their petition number) and are *not* enrolled in training or on a waiver from training. A participant *must* be enrolled in training or on a waiver from training when this deadline is reached as a condition for receiving TRA. All participants on this list have neither A) an actual start date associated with a TAA-approved training activity nor B) a waiver from training.

Action Needed: Complete a comprehensive assessment of these participants and, based upon the results of that assessment, either A) enroll the participant in the appropriate training activity with an actual start date by the deadline or B) issue the participant a qualified waiver from training by the deadline.

Approved Training Application: List of TAA approved training applicants with no actual begin date for training.

Action Needed: When necessary, assign these applicants an actual begin date or training activity.

Case Manager Inactive: List of active TAA participants with an inactive case manager assigned.

Action Needed: Reassign these participants to an active case manager.

Case Manager Not Assigned: List of active TAA participants with no case manager assigned.

Action Needed: Assign these participants to a case manager.

Drop-outs on Waivers: Lists TAA participants who are high school drop-outs and are currently on waivers (based on the Highest Grade Completed on the TAA Participation Record).

Action Needed: Please review this report for the following:

A number of these participants show the highest grade completed as 00. Please review and make corrections to the Personal Profile, the TAA Application and TAA Participation Record in VOS.

A preliminary review of these individual records indicates a need for GED training. Please review the assessments of these individuals to ensure they are scheduled for appropriate training. Participants should be engaged in training early to maximize the available income support.

ESL on Waivers: Lists TAA participants where English as a Second Language is marked as a barrier on the Personal Profile and/or the TAA Application and these participants are currently on waivers.

Action Needed: Please review this report for the following:

It appears that several of these individuals are incorrectly coded. Please review and make corrections to the Personal Profile and the TAA Application if needed.

A preliminary review of these individual records indicates a need for ESL training. Please review the assessments of these individuals to ensure they are scheduled for appropriate training. Participants should be engaged in training early to maximize the available income support.

Improper Activity End Dates: List of participants who have an Activity Record where the Actual End Date precedes the Actual Start Date. This report provides the LWIA, Office of Responsibility, Case Manager, Participant Last Name, Participant First Name, Stateid, Appid, Participation Date, Exit Date, Activity Code, Actual Start Date, and Actual End Date for any activities beginning on or after 03/01/2008 with an Actual End Date prior to the Actual Start Date.

Action Needed: Correct the Actual Start and/or Actual End Dates for these Activity Records.

Multi Waiver Activities Found: Lists all active TAA participants who have more than one Waiver Activity Record.

Action Needed: Review these records for the following:

- TAA participants should only have one waiver activity record per petition.
 - Exception: If the TAA participant was recalled to the trade-affected employer and subsequently laid off with a new “Most Recent Qualifying Separation Date”, then an additional waiver activity record is needed. The new “Most Recent Qualifying Separation Date” must be documented on a new TAA Referral Form and then verified via a new ETA-857.
- Please note that only one Waiver Entry Screen per petition is currently allowed in VOS. We will re-program VOS to account for recalls with new qualifying separation dates. Until the reprogramming has been completed, call me for assistance in entering Waiver Entry Screens for participants with new Most Recent Qualifying Separation Dates following a recall.
- Review this report and void any additional Waiver Activity Records that are not the result of a recall to the Trade-affected employer.

No Bona Fide App: Lists individuals with a TAA Application (created 02/01/2008 or later) but no Bona Fide Application has been entered into VOS.

Action Needed: The TAA intake procedure requires that the Bona Fide Application for Training be completed in VOS during the first customer visit.

Please complete the Bona Fide Application for Training in VOS during the next customer visit. Participant and staff signatures are required on the Bona Fide Application for Training.

Notice that some of the participants on this list have TAA Participation Dates prior to 2/1/08. These individuals were not converted into VOS; therefore, the Individual Membership in VOS was created by staff after 1/31/08. The Bona Fide application for Training must be completed for these individuals on the next customer visit, even if the participant has missed the 210-day deadline.

Exception: Do not create a Bona Fide Application for training if the participant is not eligible for TRA (see the completed ETA-857 and Step 8 of the TAA Intake Process Handout).

No Record Review Date: List of TAA applicants whose TAA Application Date is 2/1/08 and forward and no Record Review Date or Met Quality Requirements information is completed on the TAA Application.

Action Needed: Review the ETA-857 and complete the Review Date and Met Review Requirements fields on the TAA Application. See the TAA Intake Process Handout, Step 8 for more information.

If no ETA-857 is in the file, request a copy from the South Carolina Employment Security Commission.

No Waiver Issued: Lists individuals with a TAA Application (created 02/01/2008 or later) who do not have a Waiver Entry Screen saved in the system.

Action Needed: Review these records for the following:

The TAA intake procedure requires that the Waiver Entry Screen be completed during the first customer visit to issue the waiver.

Please complete the Waiver Entry Screen on the next customer visit. The Waiver must be printed and signed by the participant and staff.

The completion of the Waiver Entry Screen is the action that notifies state ESC that a waiver has been issued.

Exception: Do not create a Bona Fide Application for training if the participant is not eligible for TRA (see the completed ETA-857 and Step 8 of the TAA Intake Process Handout).

Participants by Petition Number List: Provides the number of participants by LWIA who are being served under each petition number. This report lists the participants by Petition Number in descending order. For each Petition, the participants are listed in alphabetical order. The report includes the LWIA, Office of Responsibility, case manager,

participant's name, StateID, AppID, Petition number, Employer Name, Certification Date, Impact Date, Expiration Date, Participation Date, Qualifying Separation Date, and Exit Date.

Participants in Training: Lists TAA participants who are currently enrolled in TAA-Approved Training. The report provides the LWIA, Office of Responsibility, Case Manager, Participant Last Name, Participant First Name, Stateid, Appid, Activity Code, Name of Provider, Program of Study, Actual Begin Date of training, and Projected End Date of training.

Action Needed: Please note the following:

Many of the converted training activity records have not been updated.

Individuals will be listed more than once if more than one TAA-Approved training activity record is open.

Example: In Remedial and Occupational Training, or in Occupational Training and Travel in Training.

Staff should update records as outlined by the TAA-Approved Training Process Handouts. There is one handout for new TAA participants who **do not** have a TAA-Approved Training Form 858 with state approval dated prior to 2/1/08, and another handout for TAA participants who **do** have a TAA-Approved Training Form 858 with state approval dated prior to 2/1/08.

Participants on Waivers-Review Due (Now): This report lists all participants who have a waiver due and the date of the next Waiver Review.

Purpose: *State and local area administrators, TAA coordinators and case managers may use this report to assess workload.*

Participants on Waivers – Review Overdue (All): This report list all the Waiver Reviews that are overdue.

Action Needed: Please review the participant files for the following:

- Check to see if the Waiver Review was completed, but staff failed to document the review on the correct Waiver Entry Review Screen. There must be other evidence that the participant did participate in the review (in person or via telephone). For example, case notes may exist to document the review. In some cases, staff may have created additional Waiver Activity Records instead of completing the applicable Waiver Entry Review Screen.
- If you determine that the review was completed:
 - Edit the applicable Waiver Entry Review Screen.
 - Void any waiver activity records that were created in error.
 - Participants should have only one waiver activity record per petition. Exception: If a participant was recalled to the TAA Employer, then you may have one Waiver Activity Record for each Subsequent Qualifying Separation Date.
- **Do not complete or edit the applicable wavier review screen if the waiver review was not completed.**
- Some waivers may need to be revoked due to the participant's entry into training.
- Some individuals failed to report for waiver reviews. Warning letters must be sent to individuals who have missed waiver review appointments. See the Waiver Reviews and Revocations Handout for more information regarding warning letters and revocations.
- Please note that some individuals on this report may also be on the Participants on Waivers-Review Due (Now) Report.

Participants on Waivers – Current Review Overdue: This report list the Waiver Review that is currently overdue.

Action Needed: *(same as above)*

Past Due Assessment–List of applicants who applied for TAA on or after August 1, 2009, who have not been assessed within 60 days of their qualifying separation date as recommended by the new TAA service delivery plan. An assessment of the individual's employment and training needs establishes whether the individual goes into

training or is issued a waiver from training. Assessments also ensure individuals meet critical deadlines and maximize benefits and services under the old 8/16 or the new 26/26 deadline.

Action Needed: Complete a comprehensive assessment of the applicant's training and reemployment needs and assign the Activity Code 203.

Projected Start Date – This report lists participants who are planning to start training. The report includes the projected start date and excludes anyone who has an actual begin date.

Purpose: State and local area administrators, TAA coordinators and case managers may use this report to track participants waiting to start training.

Action Needed: Review report quarterly to identify any individual waiting to start training.

System Closed Activities - List of participants with activity records that have a completion status of "system closed." This status is triggered by open activity records that have no final completion status after more than 15 days past their projected end date. Participants with no activity after 90 days will eventually soft exit, so this report can be used to ensure staff are properly updating and monitoring their caseloads and to monitor data entry issues.

Action required: Review these records and enter the proper completion status in VOS.

Waiver Open-Activity Record Closed: Lists the LWIA, Office of Responsibility, Case Manager, Participant Last Name, Participant First Name, Stateid, Appid, Exit Date, and Last Activity End Date for each participant found to have an open Waiver Entry Screen without a matching open Waiver Activity Record.

Action Needed: Review these records and make corrections to the Waiver Entry Screens and/or the Waiver Activity Record. The Actual End Date of the Waiver Activity Record must match the Revocation Date (or Expiration Date) on the Waiver Review Screen.

Waiver Activity Open-Training Activity Open: List of TAA participants with open waiver activities and open training activities.

Action Needed: Review these records and make corrections by closing waivers which should be closed due to an open training activity with an actual begin date.

Waiver Activity Open-Waiver Closed: Lists the LWIA, Office of Responsibility, Case Manager, Participant Last Name, Participant First Name, Stateid, Appid, and Exit Date for each participant found to have a closed Waiver Entry Screen without a matching closed Waiver Activity Record.

Action Needed: Review these records and make corrections to the Waiver Entry Screens and/or the Waiver Activity Record. The Actual End Date of the Waiver Activity Record must match the Revocation Date (or Expiration Date) on the Waiver Review Screen.

Waivers Issued - Select FY: List of all the waivers issued for the fiscal year selected. The report includes the LWIA, Office of Responsibility, Case Manager, Participant Last Name, Participant First Name, Stateid, Appid, Qualifying Separation Date, Waiver Issue Date, Waiver Create Date and Waiver Reason. Please note that VOS used the Issuance Date to set all of the Waiver Review Dates.

Purpose: State and local area administrators may use this report to assess workload, as well as to manage and evaluate the TAA Program.

Waivers Revoked - Select FY: List of all the waivers revoked for the fiscal year selected. The report includes the LWIA, Office of Responsibility, Case Manager, Participant Last Name, Participant First Name, Stateid, Appid, Qualifying Separation Date, Exit Date, Waiver Issue Date, Revocation Date, Edit Date, and Reason for Revocation.

Purpose: State and local area administrators may use this report to assess workload, as well as to manage and evaluate the TAA Program.

TAA Aggregate Reports:

Purpose: Aggregate reports are used by state and local administrators to manage and evaluate the TAA Program.

Drop-outs on Waivers (Office): Provides the number of participants with less than 12 years of education at participation who are currently being served. The report includes the LWIA, Office of Responsibility, and the number of participants who are drop-outs.

Currently in Training (LWIA): Provides the number of participants currently in training by LWIA. The report includes the LWIA, total in Training (distinct individuals with one or more of the activities listed), number in each activity listed separately (Travel, Subsistence, Remedial, Occupational-Agent, Occupational, OJT, Customized, GED, Remedial-Agent, GED-Agent), and the total number of Training Activity Records.

Currently in Training (Office): Provides the number of participants currently in training by LWIA and Office of Responsibility. The report includes the LWIA, Office of Responsibility, total in Training (distinct individuals with one or more of the activities listed), number in each activity listed separately (Travel, Subsistence, Remedial, Occupational-Agent, Occupational, OJT, Customized, GED, Remedial-Agent, GED-Agent), and the total number of Training Activity Records.

Petition Number Report: Provides the aggregate information on the number of participants by LWIA who are served under each petition number. This report lists each Petition Number, Employer Name, Employer City, Employer State, Certification Date, Impact Date and Expiration Date. Totals for each petition are given at the end of each row.

Received Training (LWIA) - Select FY: Reports, by LWIA, the number of participants who received training during the fiscal year selected. The reports are broken down by the type of training received. The report includes the LWIA, total in Training (distinct individuals with one or more of the activities listed), number in each activity listed separately (Travel, Subsistence, Remedial, Occupational-Agent, Occupational, OJT, Customized, GED, Remedial-Agent, GED-Agent), and the total number of Training Activity Records.

Received Training (Office) - Select FY: Reports, by LWIA and Office of Responsibility, the number of participants who received training during the fiscal year selected. The reports are broken down by the type of training received. The report includes the LWIA, Office of Responsibility (on the Office version of the report), total in Training (distinct individuals with one or more of the activities listed), number in each activity listed separately (Travel, Subsistence, Remedial, Occupational-Agent, Occupational, OJT, Customized, GED, Remedial-Agent, GED-Agent), and the total number of Training Activity Records.

Waivers Due (LWIA): This report shows the number of participants who have a waiver review due by LWIA.

Waivers Due (Office): This report shows the number of participants who have a waiver review due by LWIA and Office of Responsibility.

Waivers Issued (LWIA) - Select FY: This report shows the total number of waivers issued during each month, and the total for the fiscal year by LWIA.

Waivers Issued (Office) - Select FY: This report shows the total number of waivers issued during each month, and the total for the fiscal year by LWIA and Office of Responsibility.

Waivers Revoked (LWIA) - Select FY: This report shows the total number of waivers revoked during each month, and the total for the fiscal year by LWIA.

Waivers Revoked (Office) - Select FY: This report shows the total number of waivers revoked during each month, and the total for the fiscal year by LWIA and Office of Responsibility.