



## I. Purpose

The purpose of this guidance is to provide instruction on the policy and procedures required under the Workforce Innovation and Opportunity Act (WIOA) regarding data validation. Data validation framework requires a consistent review across programs to ensure that all data consistently and accurately reflect the performance of each grant recipient. Data validation procedures:

- Verify that the performance data reported by WIOA grant recipients to the United States Department of Labor (USDOL) are valid, accurate, reliable, and comparable across programs;
- Identify anomalies in the data and resolve issues that may cause inaccurate reporting;
- Outline source documentation required for common data elements; and
- Improve program performance accountability through the results of data validation efforts.

## II. Background

WIOA mandates that each Local Workforce Development Area (LWDA) or a Local Workforce Development Board (LWDB) receiving an allotment under WIOA to establish and maintain a procedure for WIOA data validation. Data Validation is a series of internal controls/quality assurance techniques to verify the accuracy, validity, and reliability of data.

## III. Instructions

### Frequency of Data Validation:

Data Validation will be conducted by both the Southeast Tennessee Local Workforce Development Board (STLWDB) and the Service Provider staff. The frequency will be done on a quarterly basis, culminating in an annual review.

#### A. Quarterly Data Validation:

Both STLWDB and Service Provider staff will be responsible to conduct data validation on WIOA programs. Below are the quarterly responsibilities for each party.

1. The STLWDB will be responsible for conducting a quarterly review of each WIOA program for which they are a sub-recipient of program funds. The results of their data validation must be submitted quarterly to the State Workforce Development Board (SWDB) along with the quarterly monitoring report.

During the validation process, any files that contain data errors will be expected to be corrected within 30 business days after submission of the quarterly monitoring report.

2. The service provider staff will be responsible for conducting quarterly reviews on all WIOA programs. The results of the data validation from each WIOA program will be sent to the STLWDB Performance and Compliance Specialist within twenty (20) days of the end of each quarter.

The specific steps on conducting the review of each WIOA program will be listed in the attachments, using the data elements required by the PIRL. Service provider staff must conduct a quality review of the WIOA program files.

During the validation process, any files that contain data errors will be expected to be corrected within 30 business days after the submission of the quarterly monitoring if it is not past the allowable editable period.

**B. Annual Data Validation:**

At the end of each program year after the submission of the certified annual report, state annual data validation classes are scheduled. These classes will consist of various staff members from each LWDA to include service providers, one-stop operator managers, and LWDB staff. The annual data validation process is a four (4) week period.

The submitted annual report will be utilized to pull samples for these classes based on the established sample size for each program. Each record is sorted vertically with the DEV sample tool established by TDLWD Performance staff. It includes the data element number that corresponds to the PIRL, a listing of appropriate documents and a list of the applicable programs for each data element.

**IV. Staff Training for Data Validation:**

All staff that conducts data validation throughout the year must receive training on how they are to validate each program's data. This training is conducted, at a minimum, one (1) time per year by WIR2ED staff and program leads. The training is conducted in-person at the TDLWD Central Office, unless travel restrictions prevent staff from attending. Otherwise, training will be conducted in a virtual setting utilizing video conferencing technology.

**V. Annual Report Validation:**

The annual report must be validated before it is submitted to USDOL. The report is validated through two methods as described below.

**A. Quarterly and Annual Data Validation:**

The first method for validating the annual reports is through the records of the validation that has taken place quarterly and annually by program and LWDB staff.

**B. Quarterly Performance Reports:**

Before the quarterly submission of performance reports, the reports are processed, and run through a process of checks including valid values edit checks and logical rules edit checks in WIPS. If any records come back that need to be corrected, those errors are identified and assigned to the appropriate staff for correction. The responsible staff will then review and make corrections within five (5) calendar days. After errors are corrected, the file is then re-processed and submitted in WIPS.

**VI. Corrective Action:**

Any issues identified through data validation will follow the established corrective action process for monitoring and compliance.

**Attachments:**

Attachment A: ETA 9170 WIOA PIRL

**AUTHORIZED BY:**

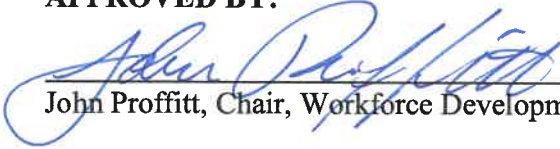


Michele Holt, Director, Workforce Development

3/10/2021

Date

**APPROVED BY:**



John Proffitt, Chair, Workforce Development Board

3/10/2021

Date

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