

PY 24 Trade Adjustment Assistance (TAA) Program DEV Scope of Review

1. Prior to each WorkSource Office monitoring entrance, Labor Market Information Research (LMIR) Data Integrity Team provides the Employment Security Department's Monitoring Unit (ESD's Monitoring Unit) with a participant record table that assigns a random number to each record in the "rnum" field. The table includes the PIRL data values to be validated against source documentation.
2. The table is filtered by the Enrollment Start Date field to encompass a timeframe that includes all new enrollments since the last monitoring review up to the last day of the last quarter to ensure all records have data values on the current PIRL to validate. Using the "rnum" field to create a random sort of filtered results, the first five unduplicated participant records are selected, or the number of records needed to reach the desired sample size detailed below.
3. Sample size and methodology:
 - a. Due to the program status being in a phased termination and a reduction in state-wide records available for review, an annual target sample of 80 records will not be possible due to an insufficient number of records available for a DEV review, therefore less than 80 records will be reviewed this program year. Of the available records, a sample of the records will be distributed across four quarters and will cover five regions of the state within a calendar year. Records sampled may total 20 records reviewed for each quarter and cover at least two Trade certifications.
 - b. Due to cuts in resources and a state-wide, truncated approach to programmatic monitoring, Trade Act DEV Monitoring sampling will consist of:
 - 1) A total of at least 5 records will be randomly selected.
 - 2) If less than 5 records appear in the table then all available records will be sampled. (Note: Records will be recorded on one state-wide Trade Act Program DEV Worksheet, as identified from a combination of the DEV report for each local WorkSource Office.)
 - 3) If less than 5 records are required to reach the total sample size of 20 records for the quarter, then the number of records needed to reach 20 will be sampled.
 - c. The sample size methodology is based on a fixed number of participant records with all required data elements being reviewed, per the resources available. The sample includes a mix of active and exited participant records.

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4. The LMIR Data Integrity Team samples and validates the following data elements: 1600-1607; 1614-1618 (1610, 1612, and 1613 elements are not being populated at this time); 1700-1706 through their own process. ESD's Monitoring Unit validates all other data elements as identified in each program's DEV Worksheet.
5. Timelines and documentation of error resolution:
 - a. ESD's Monitoring Unit utilizes the DEV Worksheet for the review process to identify passes and failures, at the state-wide level for the Workforce Services Division (WSD) TAA Program Operations, Unemployment Insurance Customer Support (UICS) TRA Unit, and Labor Market Information Research (LMIR) Data Integrity Team. ESD's Monitoring Unit will summarize the results on a Data Element Validation (DEV) Worksheet.

Standardized language to explain record failure for an element:

- 1) No source documentation located
- 2) Documentation located, unallowable source
- 3) Documentation located, unreadable
- 4) Documentation located, inaccurately recorded data
- 5) Documentation located, data was not recorded
- 6) Documentation located, inconsistent with other documentation
- 7) MIS system issue

Actions required to correct errors by type of failure:

- 1) Locate or attempt to collect missing source documentation
 - 2) Locate or attempt to collect allowable source documentation
 - 3) Locate or attempt to collect a readable copy of source documentation
 - 4) Correct the inaccurately recorded data
 - 5) Record the missing data
 - 6) Resolve the inconsistency and ensure accuracy of data and/or source documentation appropriately
 - 7) ESD's LMIR Data Integrity Team will investigate the root cause and work towards resolution of the MIS system issue.
- b. The appropriate leadership in each division (WSD's TAA Program Operations, UICS TRA Unit, and LMIR's Data Integrity Team) will have 30 business days from the day they receive their DEV worksheet to respond. DEV failures are outlined in a state-wide DEV Worksheet. The respective worksheet is used to document and communicate resolutions, reasons for failure to resolve an element. Trending items may require a corrective action plan.

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- c. On a quarterly basis, an informal review of overall DEV element pass/fail results will be provided to the WSD, UICS, and the LMIR's Data Integrity Team. The data Element Pass/Fail column in the DEV worksheet indicates whether each data element passed or failed based on exceeding the 20% programmatic pass/fail ratio as prescribed in ESD Policy 1003, Rev. 6. Trending items may require a corrective action plan. If any element fails across the first two quarters of the program year, the owner of the respective failure will be required to develop and submit a corrective action plan for those element failures that exceeded the 20% programmatic pass/fail ratio.
 - d. On a bi-annual and annual basis, overall DEV pass/fail results will be provided to WSD's TAA Program Operations, UICS TRA Unit, and LMIR's Data Integrity Team. If any element fails across the period, the owner of the respective failure will be required to develop and submit a corrective action plan for any element failures that exceed the 20% programmatic pass/fail ratio as prescribed in ESD Policy 1003, Rev 6. DEV failures are outlined in a state-wide DEV Worksheet. The respective worksheet is used to document and communicate resolutions, reasons for failure to resolve an element. A required corrective action plan will be submitted to ESD's Monitoring Unit within 30 business days from the date received. Existing/Historical Corrective Action Plans for known element failures will require an update rather than a new plan.
6. On an annual basis, following completion of the Trade Act Program Data Element Validation review, ESD's Monitoring Unit will review the results of the full sample to identify what elements exceeded the error rate. Those elements identified will be included as technical assistance in the Trade Act Program's annual DEV training apart from MIS system failures. Currently, MIS systems failures are being addressed in the WorkSource Information Technology System (WIT) replacement process.