



INDIANA
WORKFORCE
DEVELOPMENT

TrackOne - Technical Guidance Bulletin
TTGB – 2007-01 (Amended*)

TO: Regional Operators
Indianapolis Private Industry Council
Regional Coordinators

FROM: Amy L. Smith-Rubbeck, MA, LMHC
Director of Strategic Initiatives

DATE: July 18, 2007

SUBJECT: Supplemental Data

Background

The Indiana Department of Workforce Development procured an electronic case management system for the delivery of workforce development services effective July 1, 2006. The system was operational on July 1, 2006 for the Workforce Investment Act (WIA) and Trade Adjustment Assistance (TAA) funding sources. The system will become operational for the Wagner-Peyser and Veterans programs in 2007.

Purpose

The purpose of this Bulletin is to provide information and clarification on the collection and usage of Supplemental Data following the implementation of common measures and the TrackOne Electronic Case Management System.

Effective July 1, 2006, Indiana shifted from a reporting system (defined structure which outlined the minimum data elements necessary to satisfy reporting requirements – PMIS) to an integrated case management system designed to track all transactions necessary to serve the client (reporting requirements are met from information contained in these transaction records).

During the system conversion, information contained in four PMIS text files was converted to a complex relational database comprised of over 200 tables. Additionally, as a result of common measures and program integration objectives, WIA case records were merged with corresponding TAA case records to create single case files for clients served by both programs and uniform periods of participation.

The implementation of common measures and the common participation/exit dates resulted in exits in one program being vacated as a result of active service delivery in another program.

****An additional notation in bold italic has been added on page 4 under Validation of Supplemental Data Sources.***

Guidance

System users who review supplemental data and performance information are strongly encouraged to research a client's participation in a second funded program when attempting to calculate post-exit employment quarters contained in conversion records. Any questions regarding supplemental data maintained on conversion records should be forwarded to the TrackOne Help Desk.

The following parameters defined the system programming with regard to supplemental data:

1. Unemployment Insurance Wage Records are the "primary" source for employment and wage data. Supplemental is a "secondary" source and is allowable for a specific few measures (per TEG 17-05).
2. The service delivery model is built around real-time data entry. If supplemental employment data is to be used, it will be gathered at the time of the planned exit and at post-exit follow-up contacts.
3. Service Providers should have the ability to use supplemental employment data when they choose.

Supplemental Employment Data in TrackOne

1. **Unemployment Insurance Wage Records are the "primary" source for employment and wage data. Supplemental is a "secondary" source and is allowable for a specific few measures.**

The Performance Report extracts, utilized by TrackOne, are programmed to retrieve supplemental data from the "Follow-Up Contact" records in the case management system that fall within the post-exit quarters. On these records, there are two places for employment information: an employment status pick list and an attached work history record. If *either* the pick list has "employed" *or* there is an attached work history, then the employment status reported is "Yes, Employed" and the source is "Supplemental."

The extract from TrackOne is then merged with the Unemployment Insurance (UI) wage information. The merge routine overwrites the "supplemental" data from TrackOne where UI wage information is present. In the absence of UI information, the supplemental data from the Follow-Up Contact records or attached work histories are used.

Originally, the performance reports extract took the approach of looking only for an attached work history record. The belief was that the detailed work history information was supporting documentation. As it turned out, this approach could not be used since the historical S1 and Q1 records did not always include work history detail information. In an effort to bring over the information in the "S" and "Q" codes without employment detail information, the Technicians created follow-up contact records in TrackOne and marked the employment status pick list as "employed." Now, as stated above, the performance reports extract query uses *either* the pick list *or* attached work histories to generate supplemental employment status for post-exit quarters.

2. The service delivery model is built around real-time data entry. If supplemental employment data is to be used, it will be gathered at the time of the planned exit and at post-exit follow-up contacts.

TrackOne is a case management system built around a service delivery model. It satisfies reporting requirements, but it is very different from the reporting systems used in the past. A “reporting system” is a defined structure which outlines the minimum data elements necessary to satisfy reporting requirements. Often times, reporting systems are just the “distilled-down” or the minimum data requirements for compliance.

A “case management” system tracks all day-to-day transactions necessary to serve a client. TrackOne provides an interface for staff to record detailed services in real-time which mirrors the day-to-day flow of client transactions. Reporting requirements are met and reports are generated from the data extracted from the case management system.

In regard to outcomes and employment status, the service delivery model is built around case managers identifying a “planned exit” and then making monthly and/or quarterly contact with the client to see if further services are needed. Employment status is collected at this time and entered as follow-up information. This follow-up contact is a date specific point in time. If the exit date moves, there is still a follow-up contact record which identifies the status that point in time. If necessary, this data can be used for whatever post-exit quarter is applicable.

“S” or “Q” line codes no longer exist in TrackOne. The employment status at post-exit milestone dates is now gathered and reported in real-time at the planned exit and the post-exit follow-up contacts. This mirrors the new service delivery model which is supported by the case management system. Since the information is collected at specific points in time and entered into the system on a real-time basis, there is no need to report S1 or Q1 for performance reporting long after the exit has occurred.

3. Service Providers should have the ability to use supplemental employment data when they choose.

Service providers no longer have “S” or “Q” line codes to report supplemental employment data; however, this information has been collected and entered into the system during follow-up. Regional Operators and the Indianapolis Private Industry Council still have the ability to report supplemental employment data. The difference is that the data has already been collected through the work history and follow-up contact records. This data will be used and included in both the quarterly and annual reports, and the WIASRD file.

Validation of Supplemental Data Sources

The U. S. Department of Labor has specified the requirements surrounding supplemental data as documented below.

Common Measures Requirements - TEGL 17-05 specifies the following:

“Supplemental data will be used for program management purposes and to gain a full understanding of program performance and activities. Although a majority of employment situations will be covered by wage records, certain other types of employment, particularly self-employment, are either excluded from the sources of data identified under Subsection A above or very difficult for grantees to access due to confidentiality issues. . . . Therefore, in order to convey full and accurate information on the employment impact of ETA programs, grantees may use supplemental sources of data to document a participant’s entry and retention in employment for those participants not covered by wage records.

Allowable sources of supplemental information for tracking employment-related outcomes include case management notes, automated data base systems, One-Stop operating systems’ administrative records, surveys of participants, and contacts with employers. All supplemental data and methods must be documented and are subject to audit.”

The presence of detailed employment information (employer name, wage and start date) in TrackOne will be used for documentation. Inclusion of this detailed information in the client record satisfies the DOL documentation requirements. The information gathered is self-disclosed by the client and entered into work history records attached to planned exits or follow-up contacts in TrackOne. The data is stored in the system and is present for audit/review.

The Performance Report extracts will submit employment status of “yes” with the source listed as “supplemental.” If there is no work history record *or follow-up contacts*, then Performance Report extracts leave the employment status as unknown and no source identified. The client must then appear in the UI wage records in order to be counted in the performance calculations.

Issues with Historical Supplemental Data

Old PMIS “S” codes were not date specific as to employment status.

In the old “reporting system”, users had the ability to record “S” line codes. There was a specific line code for each post-exit quarter (S1, S2, S3, etc.). The line code itself identified the quarter it was to be used for and that the appropriate documentation was on file. During conversion, a problem was encountered making these fit with the new service delivery model and the case management system. The problem occurred because the begin dates attached to these service records were the dates within the post-exit quarter the line code reported or a much later date.

One result of common measures and program integration objectives was that WIA case records were merged with corresponding TAA case records to create single case files for clients served by both programs and uniform periods of participation. The implementation of common measures and the common participation/exit dates resulted in exits in one program being vacated as a result of active service delivery in another program.

An "S1" in the old PMIS system which denoted supplemental employment data for the first quarter after exit may or may not apply to the individual. The client may still be active and the S1 should be ignored. For this reason, it was decided to use the dates associated with the "S1s." This allowed for the data to be reported in the appropriate post-exit quarter.

For those providers/regions concerned about potential errors/performance implications, the following solution is offered:

Run lists identifying clients not appearing in UI and allow service providers to make corrections.

Since supplemental employment data is a secondary source and only used if no UI wage records are present, then a report can be generated that identifies clients not appearing in UI who do not have supplemental employment data in TrackOne. Service Providers/Regional Operators can update their records accordingly.

Any questions regarding the content of this bulletin may be directed to:

Amy L. Smith-Rubeck, MA, LMHC
Director of Strategic Initiatives
Indiana Department of Workforce Development
10 North Senate Avenue
Indianapolis, IN 46204
Phone: 317-233-6078
Email: arubeck@dwd.IN.gov

2007 TTGB Number	Subject Matter
2007-01 (<i>Amended</i>)	Supplemental Data