

Overview of RETAIN Data Collection Instruments That Grantees Will Administer During Phase 1

RETAIN grantees are expected to use three key data collection instruments to collect information that will contribute to Continuous Quality Improvement (CQI), Quarterly Progress Reports, and the national RETAIN evaluation. These instruments are:

- Baseline Survey Part 1
- Baseline Survey Part 2
- Appendix A of the Quarterly Progress Report

In addition, the independent evaluator (Mathematica Policy Research) will administer their own data collection instruments during Phase 2, such as surveys and interviews with participants in the selected states. Those data collection activities are not covered in this document, as this document focuses on collections that you as state grantees are expected to administer yourselves during Phase 1.

It is important to note that Appendix A is a revised version of Appendix D from the Phase 1 Funding Opportunity Announcement. Once you receive Appendix A, you will not need to refer to Appendix D. Appendix A will not have any major changes compared to Appendix D – only minor revisions to clarify the data elements DOL is requesting.

You need to track the information in the Baseline Surveys, along with the other required metrics, in your internal data systems in order to complete the data request for Appendix A in the Quarterly Progress Reports (QPRs). These QPRs, including Appendix A, will be sent directly to DOL. We do not expect you to have any data to report in the QPRs until your projects are up and running.

The only data that you are required to report to DOL is included in Appendix A. Some of the information in Appendix A will come from the Baseline Surveys.¹

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¹ Please note that you will be reporting individual-level data to SSA and its contractor, Mathematica, consistent with your evaluation design. Depending on the evaluation design for Phase 2, the individual-level data may include data elements beyond those described in this document.

Data Collection Instrument	Description	Timeline	Lead Agency/Entity
Baseline Survey: Participant Enrollment Form Part 1	This form will be completed by the worker participant. It includes questions about the participant's contact and identifying information, socioeconomic characteristics such as gender, age, education, employment information, health insurance coverage, and public benefit receipt.	<ul style="list-style-type: none"> At the start of pilots and continuous until the end of grant performance period. Grantees will use this data in aggregate form to report to DOL as required by Appendix A of the QPR. Individual-level data will be transferred to SSA and MPR facilitated by a DUA (Data User Agreement) dictating required timelines. 	<ul style="list-style-type: none"> DOL with assistance from AIR. MPR may play an advisory role.
Baseline Survey: Participant Enrollment Form Part 2	This form will be completed by the health care provider and/or RTW coordinator. It includes information on date of injury, date of enrollment, injury/illness type, industry, and occupation.	<ul style="list-style-type: none"> At the start of pilots and continuous until the end of grant performance period. Grantees will use this data in aggregate form to report to DOL as required by Appendix A of the QPR. Individual-level data will be transferred to MPR facilitated by a DUA which will dictate required timelines. 	<ul style="list-style-type: none"> DOL with assistance from SSA and MPR.
Appendix A of the Quarterly Progress Report	Appendix A includes all of the required data reporting elements that you need to submit to DOL as part of the Quarterly Progress Reports. Appendix A is a revised and updated version of Appendix D that was included in the Phase 1 Funding Opportunity Announcement.	<ul style="list-style-type: none"> At the start of pilots and on a quarterly basis to DOL only. The data requested is in aggregate and for the treatment group only – DOL is not requesting any individual-level data on RETAIN participants. 	<ul style="list-style-type: none"> DOL SSA/MPR may assist with definitions.
Appendix D of the Funding Opportunity Announcement	Appendix D of the RETAIN Funding Opportunity Announcement listed the required data reporting elements to DOL. This is replaced by Appendix A and is no longer needed.	<ul style="list-style-type: none"> Not applicable 	<ul style="list-style-type: none"> Not applicable
Table Acronyms: DOL = U.S. Department of Labor, SSA = Social Security Administration, AIR = American Institutes for Research, MPR = Mathematica Policy Research, QPR = Quarterly Progress Report, DUA = Data User Agreement.			