

## TAAC Transmittal Letter

Date

William P. Kittredge, Ph.D.  
Director National Programs and Performance Evaluation  
Economic Development Administration  
United States Department of Commerce  
1401 Constitution Avenue, NW, HCHB Room 7009  
Washington, DC 20230

Dear Dr. Kittredge:

**Re: Adjustment Proposal –Firm Name**

- ❖ Purpose:
  - Authenticate TAAC endorsement of proposal
  - State firm involvement in the proposal's preparation
  - Summarize type of assistance
  - Confirm that the proposal meets the statutory requirements
- ❖ Content:
  - This proposal was developed by the TAAC in close cooperation with the TAA certified firm.
  - This Adjustment Proposal calls for: (list the projects, including cost share)
  - (TAAC's name) Trade Adjustment Assistance Center finds that this Adjustment Proposal meets the three legal requirements of the legislation. (Confirm that the AP is 1. reasonably calculated, 2. Makes full use of the firm's resources, and 3. Gives adequate consideration to the firm's separated workers).
- ❖ Format:
  - Standard letter format on TAAC's letterhead
  - One page
  - Signed by TAAC Director

Sincerely,

XXX  
Director

## Firm Transmittal Letter

Date

William P. Kittredge, Ph.D.  
Senior Program Analyst  
Economic Development Administration  
United States Department of Commerce  
1401 Constitution Avenue, NW, HCHB Room 7009  
Washington, DC 20230

Dear Dr. Kittredge:

- ❖ Purpose:
  - State firm's involvement in plan preparation
  - State management's endorsement of the plan
  - Summarize type of assistance
  - Transmit proposal
- ❖ Content:
  - (Firm name) is requesting (list projects, including cost share)
  - (Extent to which the firm was involved in the proposal's preparation)
  - The management at (firm name) is fully committed to carrying out this recovery program
- ❖ Format:
  - Standard letter format on firm's letterhead
  - One page
  - Signed by authorized senior official of the firm

Sincerely,

XXX  
Title of authorized official

**Trade Adjustment Assistance for Firms Program  
Adjustment Proposal Coversheet**

ITEM 1- IDENTIFYING INFORMATION				
Firm Name: Address: City: _____ State: _____		Certification Date:	Petition ID:	NAICS (5-digits):
Name and Title of the Firm's Contact Person Last Name: _____ First Name: _____			E-mail: Title: _____	
Trade Adjustment Assistance Center:	TAAC Project Manager:	TAAC Phone:	TAAC E-mail:	
Figures for the Two Most Recent Years <u>Period</u> <u>Period Ending Employment</u> <u>Sales</u> <u>Gross Profit</u>				NAFTA Impacted:

ITEM 2- ADJUSTMENT PROPOSAL OUTCOMES MATRIX				
Project Timeframe	Firm Weakness or Strength Enhancement	Proposed Consulting	Projected Outcome	Cost (\$)

ITEM 3- ADJUSTMENT ASSISTANCE					
	Total Consulting (\$)	Consulting Cost Share (%)	Post Certification (\$)	Post Certification Cost Share (%)	Total Assistance (\$)
Firm Share				25%	
Government Share				75%	
Total Amount Requested	\$0.00	0%	\$0.00	100%	\$0.00

## Table of Contents

*(Electronic bookmarking on Adobe can substitute for a Table of Contents)*

Statement of Need and Market Analysis.....	3
Industry Information.....	3
Marketing and Sales Review.....	3

Operations Overview.....	3
SWOT.....	3
Recovery Plan.....	3
Implementation Plan.....	3
Adjustment Proposal Timeline & Milestones.....	3
Financial Reports.....	3

## **Statement of Need and Market Analysis**

Brief Firm History

Industry Information

Management Review

Financial Review

Marketing and Sales Review

Operations Overview

SWOT

- Firms shall assess their strengths and weaknesses (Strengths, Weaknesses, Opportunities, and Threats analysis [SWOT]) in contrast to its prime market competitors and its estimated market share and sales. The firm must address each of the following areas: Industry position, Management, Finance, Marketing and sales, Manufacturing and Management Information Systems.
- In addition, firms must specify the tasks that will improve the weaknesses highlighted in the SWOT analysis.

Adjustment Proposal SWOT Analysis			
Weaknesses	Strengths	Opportunities	Threats
Ex:			

**Recovery Strategy**

- Identification of objectives/goals and overall approach or method for achieving objectives.
- Explanation of why the projects were chosen and how the projects will assist the firm in becoming more competitive in the global market. Make the link between the weaknesses that need to be addressed and/or the strengths that can be enhance and the chosen projects.
- Can take the format of an executive summary.

**Implementation Plan/ Plan of Action (or Scope of Work)**

Plan Content

- Purpose:
  - To help the TAAC and firm take the recovery plan from the theoretical stage to the implementation stage.
  - To confirm that assistance consists of knowledge-based services and not expenditures for capital improvements or purchase of business machinery or supplies.

- 0 The firm must clearly describe the scope and detail of a plan of action that discusses: the specific tasks that will be undertaken to improve firm position and the rationale for the proposed task and projected outcomes.
- 0 Provide quantitative monthly or quarterly projections of the accomplishments to be achieved for each function or activity. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates. An implementation plan that shows the timing and interrelationships of the major events or benchmarks necessary to implement the recovery plan and realize its objectives must be presented.

Please Note

- 0 Project outcomes
  - 0 Intended to help analyze which projects are most effective for which firms
  - 0 Should be Specific, Measurable (when possible), Achievable, Relevant, Results-Oriented, and Timely
- 0 Outcomes should be specific to the project. Some examples are provided below:
  - 0 The website redesign is expected to increase the number of visits to the firm's website by at least 5%
  - 0 The new sales plan is expected to reach at least four new customers
  - 0 The lean manufacturing efforts are expected to increase productivity
- 0 Outcomes should be achievable
  - 0 Are the necessary resources and human capital available to carry out the projects?
- 0 Outcomes should be relevant
- 0 Do the outcomes remedy the firm's weaknesses and enhance their individual strengths?
  - 0 Outcomes should be results-oriented
  - 0 What are the expected results of the projects?
  - 0 Do the projects' outcomes assist the firm in becoming more competitive in the global market?
- 0 Outcomes should be timely
  - 0 Can the projects be achieved within the five year deadline?
- 0 Outcomes should be measurable when possible
  - 0 What are the key performance indicators for the projects?
  - 0 Attempt to minimize arbitrary quantitative measures by using the market and firm analysis to estimate expected outcomes.
  - 0 Again, TAACs will not be punished for missing projected outcomes. They are simply used to evaluate the effectiveness of common projects.

## Implementation Plan Option 1: Chart Format

Adjustment Assistance Implementation Plan			
Identified Weakness or Strength Enhancement	Task Details	Output/ Deliverables	Anticipated Outcome (Specific, Measurable, Achievable, Relevant, Timely)
Ex: Firm has no formal marketing plan.	<ul style="list-style-type: none"> <li>- -Research existing customers, potential customers, competitors, and potential competitors.</li> <li>- -Evaluate customer needs, market segments, value drivers, and potential areas of growth and decline.</li> <li>- -Estimate and forecast sales of current and potential target markets.</li> <li>- -Identify specific target markets.</li> <li>- -Develop strategic marketing plan.</li> <li>- -Develop a tactical plan.</li> <li>- -Provide lead generation services including script preparation, pre-qualifying calls and data collection.</li> </ul>	Marketing plan	Diversify markets and increase sales
Ex: Very experienced top management nearing retirement and owner will retire soon.	<ul style="list-style-type: none"> <li>- Evaluate current business family financial positions.</li> <li>- Develop plan for continued business operation.</li> <li>- Develop plan for wealth transfer to ownership.</li> </ul>	Business Succession Plan and Family Succession Plan that satisfactorily address issues of operational management structure for the company and ownership and wealth transfer.	Smooth ownership transition, better business decision making and direction for business strategy
Ex: Building and equipment are fully depreciated and must compete with manufacturers in low cost countries.	<ul style="list-style-type: none"> <li>- Review current documents and practices.</li> <li>- Perform gap analysis between current documents/processes and those required by ISO 9000 standards.</li> <li>- Advise personnel on corrective actions and perform the necessary personnel training.</li> <li>- Assist mgmt. with documentation and other required certification, verification and audit steps.</li> <li>- Register firm as ISO 9000 certified.</li> <li>- Identify QA curriculum and enroll selected personnel.</li> </ul>	<ul style="list-style-type: none"> <li>-Certification for ISO 9000.</li> <li>- Documentation of procedures.</li> <li>- Trained Quality Assurance personnel.</li> </ul>	<ul style="list-style-type: none"> <li>-Reduction in costs</li> <li>-improved quality</li> </ul>

## Implementation Plan Option 2: Scope of Work Format

### Management

#### Project 1

Objectives/ Anticipated Outcomes  
Weakness or Strength Enhancement Addressed  
Tasks to Be Completed  
Deliverables/Output

#### Project 2

Objectives/ Anticipated Outcomes  
Weakness or Strength Enhancement Addressed  
Tasks to Be Completed  
Deliverables/Output

### Financial

#### Project 3

Objectives/ Anticipated Outcomes  
Weakness or Strength Enhancement Addressed  
Tasks to Be Completed  
Deliverables/Output

### Marketing/ Sales

#### Project 4

Objectives/ Anticipated Outcomes  
Weakness or Strength Enhancement Addressed  
Tasks to Be Completed  
Deliverables/Output

### Manufacturing/ Operations

#### Project 5

Objectives/ Anticipated Outcomes  
Weakness or Strength Enhancement Addressed  
Tasks to Be Completed  
Deliverables/Output

### Support Systems

#### Project 6

Objectives/ Anticipated Outcomes  
Weakness or Strength Enhancement Addressed  
Tasks to Be Completed  
Deliverables/Output

## Timeline/ Schedule

- 0 Purpose:
  - 0 Illustrate the timely relationship between the projects.



- Illustrate whether the projects are expected to be completed within two to five years of implementation.
- Provide a timely basis on which to track the progress of the projects.
- The format of the timeline can vary as long as the relationship between the projects and the time-span of the projects are illustrated clearly. Microsoft Project or Excel, among other software tools, can be used for project timelines.

Adjustment Proposal Timeline & Milestones																								
Task	Timeframe (Months/Quarters/ Years)																							
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24

**Consideration for separated workers**

- Firm's policy of rehiring preferences for such workers, making efforts to find new work for a number of such workers, or assisting workers in obtaining benefits under available programs.

**Use of firms own resources**

- Indication of efforts to use own resources
  - Firm's commitment to TAA cost share
  - Previous investments the firm has made
  - under certain circumstances resources of related firms or stockholders will also be considered

**Financial Reports**