



# **The 2012 Trade Activity Participant Report**

## Data Preparation and Reporting Handbook

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## PREFACE

This **2012 Trade Adjustment Assistance Trade Activity Participant Report (TAPR) Data Preparation and Reporting Handbook** contains important reporting and record keeping instructions for use by all Cooperating State Agencies (CSAs) administering the Trade Adjustment Assistance (TAA) program, and related programs, financially assisted by the United States Department of Labor (Department).

### Contents of the Guideline

This guide contains both general reporting and record keeping instructions for use by CSAs administering workforce programs, and specific quarterly report formats to support the collection, maintenance, and reporting of customer information to the Department.

- I. Purposes of the document: Describes the underlying rationale for CSAs use of the Handbook.
- II. General Reporting Guidance: Provides additional instructions concerning the TAA elements covered by the guideline, due dates for the submission of all quarterly reports and records, and common submission procedures for use by all CSAs. It also provides foundational context for changes in TAA reporting, and a conceptual description of the new reporting model.
- III. Program Items Reported: Contains a general introduction to assist CSAs in understanding how to read the individual record layout, relevant specifics about each section of the record layout and associated expectations of the timing of report elements reported.
- IV. Appendix: Contains standardized report record layout.

### PUBLIC BURDEN STATEMENT

**OMB No. : 1205-0392 OMB Expiration Date: 06/30/2016**

**Average Response Time: 45 Hours**

Response is required to obtain or retain benefits under the Trade Adjustment Assistance program (20 CFR 617. 61). Public reporting burden for this collection of information, which is to assist with planning and program management and to meet Congressional and statutory requirements, includes time to review instructions, search existing data sources, gather and maintain the data needed, and complete and review the collection of information. Send comments regarding this burden estimate, or any other aspect of this collection, including suggestions for reducing burden, to the U. S. Department of Labor, Employment and Training Administration, Office of Trade Adjustment Assistance, Room N-5428, 200 Constitution Avenue, NW, Washington, DC 20210.

## **I. PURPOSES OF THE HANDBOOK**

The primary purpose of the TAPR is to:

1. Establish a standardized set of data elements, definitions, and specifications that will be used to describe the characteristics, activities, and outcomes of TAA participants;
2. Facilitate the collection and reporting of valid, consistent, and complete information on TAA participants in order to support the overall management, evaluation, and continuous improvement of the TAA program at the local, state, and federal levels;
3. Combine data reported for the TAA program into one source, instead of, as previously, recording on three different reports (ETA- 563 Quarterly Activity Report, TAPR, and Alternative Trade Adjustment Assistance Activity Report), and allow for better tracking of participant activity based upon individual and petition information.

The Department ensures accuracy, uniformity, and comparability in the reporting of statistical data derived from state and local workforce agency operations through grantee adherence to federal definitions of reporting items, use of standardized report formats, observance of reporting due dates, and regular validation of reporting items. The reporting and record keeping requirements contained within this Handbook will support budget development activities by the Department, the Administration, and Congress, especially with regard to the impact of different levels of financial assistance on program services and outcomes.

The use of a standard set of reporting specifications at all levels of the workforce system helps improve the quality of services by reconciling conflicting administrative requirements and procedures and facilitating meaningful evaluation, realistic planning, and effective management of workforce development programs. When customer data are collected, maintained, and reported consistently at a basic level (e.g., CSA field office or One-Stop Career Center), performance information can be aggregated from each program and reported to higher levels with greater confidence that the data are comparable from customer to customer, from program to program, and from year to year.

Accurate and comprehensive management information on job seekers served through the one-stop delivery system is needed to make appropriate, cost-effective, and timely decisions about state and federal investments in workforce development activities. The performance information available through the TAPR is useful to One-Stop Career Center managers, public and private workforce agencies, service providers, state program administrators engaged in policy development and program planning, and evaluation researchers involved in the analysis of the TAA program. This information will also be useful to elected officials at all levels of governance and members of the public interested in the management and accountability of workforce program investments.

## **II. GENERAL REPORTING GUIDANCE**

### **A. REPORTING STRUCTURE OF THE TAPR**

The reporting and record keeping requirements contained in the TAPR provides a streamlined data collection on TAA program activities and outcomes into a single streamlined reporting structure. This comprehensive reporting structure features a set of uniform quarterly report formats for capturing the full universe of TAA applicants, including TAA participants who receive benefits and services across programs. A standardized set of data elements that includes information on participant demographics, types of services received, and performance outcomes is a key component of this reporting structure.

As the TAPR is intended to track information on TAA activity on a “real time” basis for individuals from the point of TAA eligibility determination through post-participation outcomes, the data will be used to respond more quickly and effectively to the management information needs of Congress, the Administration, and a variety of stakeholders who develop and implement TAA program design. In addition, data collected in this report will be made available to the public based on industry, state and national aggregates through a query-able search feature on the TAA website located at [www.doleta.gov/tradeact](http://www.doleta.gov/tradeact) , providing an unprecedented level of transparency about TAA participation.

### **B. DUE DATES**

All reports and records contained within the TAPR are due no later than 45 days after the end of each report quarter. The table below shows the expected due dates for each reporting quarter.

<b>Report Quarter</b>	<b>Due Dates</b>
January - March	May 15
April - June	August 14
July - September	November 14
October - December	February 14

Should the due date of the report fall on a Saturday, Sunday, or a Monday holiday, the quarterly report is due the Friday before.

### **C. SUBMISSION PROCEDURES**

Grantees are required to submit all quarterly TAPR reports and records directly to ETA’s Enterprise Business Support System (EBSS) via technical instructions available through the appropriate Regional Office, the ETA Performance Website ([www.doleta.gov/performance](http://www.doleta.gov/performance)), or the TAA Website ([www.doleta.gov/tradeact](http://www.doleta.gov/tradeact)).

## D. DATA RECORD LAYOUT

CSAs administering TAA funds must use the report formats, individual record specifications, and submission procedures documented in these instructions to report application, determination, and participation activities, as well outcomes for TAA applicants and participants on a quarterly basis.

Data elements contained within the TAPR are separated into section headings and categories that represent logical groupings. For each data element there is a definition or reporting instruction, coding values, data type and field size. Figure 1 provides a graphical representation of how the TAPR is organized for data collection.

Figure 1

No.	DATA ELEMENT NAME	DATA TYPE/ FIELD LENGTH	DATA ELEMENT DEFINITION/ REPORTING INSTRUCTIONS	CODE VALUE
<b>Section I: Identification and Participant Characteristics</b>				
1	State FIPS Code	AN 2	Record the two - letter FIPS alpha code for the reporting state. For example, the state of Alabama would be recorded as "AL."	XX

**Section** - A Section title is typed in bold letters, and has an alphabetic designation (e.g., **Section A**). A section represents a major grouping of one or more categories of data. The following four sections have been identified:

- Section A = Individual Information**
- Section B = One-Stop Program Participation Information**
- Section C = One-Stop Services and Activities**
- Section D = Program Outcomes Information**

Under the Section title, each section has one or more categories containing data elements. Generally, the data elements are displayed so that the Section begins with the data elements needed for all participants followed by information for participants receiving additional services from two or more ETA programs. Finally, those data elements needed for just one particular program or group of participants within a program appear at the end of each section.

**Category** - Within each section, data elements are divided into Categories. The category name is typed in bold, upper and lower case letters. Each category has

a sequence number (e. g., "01") and describes a group of related data elements. For example, the category under Section A labeled *A. 01: Identifying Data* in the record layout includes the data elements *Unique Participant Identifier*, *State FIPS Code of Residence*, *Zip Code of Residence*, and: *County Code of Residence*. Categories have been assigned to provide a method of organizing groups of related, or similar, data elements.

**Data Element** - The Data Elements are units of data that can be measured and/or uniquely defined. In the TAPR record layout, data elements are located in the second column and are typed using upper and lower case letters. Examples of data elements are *Gender*, *Ethnicity Hispanic/Latino*, and *Date of Birth*. Each data element has a unique, sequential data element number, 3-digits long, which is located in the first column of the record layout. The data elements have been assigned these numbers for identification purposes.

Some of the data elements included in the TAPR layout, particularly those identified under Section A, represent primary source information collected directly from the participant. Computations may also be required to derive the contents for some data elements. For example, data element for *Wages 1<sup>st</sup> Quarter after Exit Quarter* contains a value that is the sum of total earnings an individual receives during the relevant quarter. The required computations are that the participant's total earnings figure is accumulated over time and is computed by merging at least two data source files external to the local case management system, such as wage records from the state's Unemployment Insurance (UI) database or the national Wage Record Interchange System (WRIS) that facilitates the exchange of interstate UI wage records.

**Data Type/Field Length** - For each data element there is a Data Type/Field Length (listed in the third column). The data element types that are available include:

- **Alpha-Numeric (AN)** - This is a data element for which letters and numbers can be used in any combination. Generally, this data type is used when no standard code list exists, or where descriptive information is desired.
- **Integer Numeric (IN)** - This is a data element that must be a numeric value. The values entered into these data elements can include an *implied* decimal (i.e., the decimal is not shown in the data field but it is assumed). The implied decimal also includes an assumption about the number of places to the right of the decimal.
- **Decimal (DE)** - This data element type is a special numeric type. The decimal must be included in the value that appears.
- **Date (DT)** - This data element type is specifically defined as a date. The format that must be used is provided in the definition specified in the data element.

The maximum field length is included in the individual record layouts. For numeric data elements that contain a decimal, the number of places to the right of the decimal is included in the field length. Thus, data element *Wages 1<sup>st</sup> Quarter After Exit Quarter* has a field length of 8. 2, indicating that there should be a total of ten (10) numbers with eight numbers to the left of the decimal and two numbers to the right of the decimal. If the amount included in this data element is rounded to the nearest dollar, then the final two numbers will be zeroes.

**Coding Values** - Coding Values are typed in lower-case letters with the first letter capitalized and are provided for each data element. Coding values provide options or responses for the data element. For the most part, values have assigned code numbers and are listed in a logical sequence. For example, the data element *Gender* has the following three code values: 1 = Male, 2 = Female and 9 = Participant did not self-identify. Although the coding values listed are mandatory, grantees have flexibility on several data elements to include additional coding values to meet their program management needs.

## **E. SPAN OF INDIVIDUAL RECORD REPORT CYCLE**

Reporting under TAPR is designed to track individuals from the first report quarter where a determination of TAA eligibility is made that the TAA applicant is part of a TAA eligible worker group, through nine quarters following the quarter in which the *Date of Exit* occurs. Note that the requirement to report ten quarters after exit replaces the previous requirement of six quarters after exit. This will allow updated performance measures to be calculated for a full year through a single quarterly TAPR file.

However, there are several exceptions that can occur where a participant may cease participation suddenly without any objective expectation of positive employment outcomes. These reasons are coded 1-6 in the data element for *Other Reasons for Exit* under the previous and revised TAPR; they include ill health, death, family care, being called to active duty, etc. In these instances, the record should not continue beyond the quarter in which the exit quarter is reported.

Three coding values (7, 8, and 9) have been identified in *Other Reasons for Exit*. In instances where these coding values apply, there are also special rules regarding the treatment of the *Date of Exit* field.

- 1. Individual records for TAA applicants who are denied eligibility for TAA benefits and services.** Records for these individuals should only appear in the report quarter in which the eligibility determination is made. No *Date of Exit* should be entered in these instances.
- 2. Individual records for TAA applicants who are determined eligible for TAA, but do not receive a TAA benefit or service for a reasonable period following the quarter that established eligibility. In establishing a timeframe in these instances states are given the discretion to wait one quarter (90 days), or two quarters (180 days), in order to terminate the record.** In these



instances, the individual would be reported for two or three report quarters in order to allow for a reasonable period for participant triggering activities to activate the record. No *Date of Exit* should be entered in these instances.

**3. TAA participants who access TAA benefits and services under multiple certifications in succession and without interruption; this may occur if:**

- the participant is reemployed during the course of participation;
- the reemployment results in a second TAA certification; and
- the individual becomes individually eligible under a subsequent certification prior to their exit from participation.

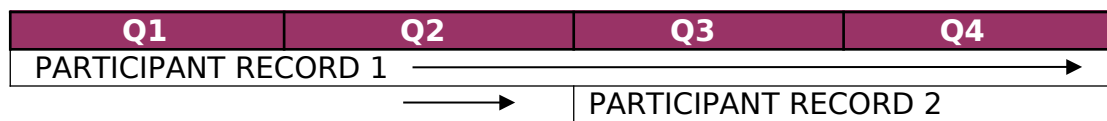
If an individual accesses more than one petition certification as a result of the conditions described, a participant record should be generated for each petition certification that is relevant to the individual’s participation. In this instance, multiple record tracking should begin in the quarter when the individual receives a benefit or service from the subsequent petition certification, and continue throughout the remainder of the reporting cycle.

Example:

- In the first quarter, an individual is determined eligible for TAA under a petition certification for a worker group at firm A.
- In that same quarter, he begins to receive Alternative Trade Adjustment Assistance (ATAA) while employed at firm B (participant record 1).
- Beginning in the third quarter, the participant begins receiving TAA approved training as part of a second TAA petition certification stemming from TAA group eligibility through firm B (participant record 2).

In this situation, the individual’s participation would be tracked on the TAPR as displayed in Figure 2 below.

Figure 2



Further, the two-record tracking for the individual, which begins in the third quarter, would continue until the participant’s exit.

If this scenario occurs, the following data tracking protocol should be observed for each record within the period of common participation:

- Data in each record should be replicated for data elements concerning:
  1. *Unique Identifier*
  2. *Date Of Participation/Date of First Case Management and Reemployment Service*
  3. *Date Of Exit*

4. All services provided by programs other than TAA that participate in common measures reporting as defined in TEGL 17-05.
5. Training services, whether they are provided through TAA or other partner programs.

- Data should be unique in each record concerning:
  1. *Petition Number*, and
  2. All TAA financially assisted benefits and services (including *Date Of First TAA Benefit Or Service*)

In these instances, the quarterly participant records that precede the final petition certification record for the individual would be excluded from performance calculations through code value '9' in *Other Reasons for Exit*. In contrast, the quarterly participant records for the individual that reflects the final petition certification would be coded as appropriate to the individual in *Other Reason For Exit*.

## **F. EFFORTS MADE TO IMPROVE OUTCOMES**

For each quarterly submission of individual records, states will be asked to provide a single narrative summary of efforts to improve outcomes for TAA participants.

A text field will be provided for states to provide this information as part of the quarterly submission process. This submission requirement is designed to address program improvements performed on behalf of all TAA participants, and not on an individual basis.

Efforts described may include those related to improving or increasing outreach, program information provided to workers, case management services, selection of training programs, co-enrollment, follow-up services, or any other efforts the state has made during the reporting quarter to improve outcomes. The narrative should describe the effort and why it is expected to result in improved outcomes.

## **III. PROGRAM ITEMS REPORTED (INCLUDING COLLECTION TIMING AND CLARIFICATIONS)**

This section contains relevant clarification regarding report elements by sections, including timing of data in the report record.

### **SECTION A: INDIVIDUAL INFORMATION**

#### **A. 01 Identifying Data**

Data in this section includes the unique identifier that should correspond to the identifier used in tracking participation in partner program services. In cases where individuals meet the definition of an applicant but do not actually receive a service, a similarly formatted unique identifier must be entered.

This section also includes information regarding the location where the participant is served.

The data in this section should be populated in the first quarter of the individual's application or program service, depending on what is required by the data element.

## **A. 02: Equal Opportunity Information**

As has been the case with previous versions of the TAPR, CSAs are required to request, maintain, and report equal opportunity information, including sex/gender, age, disability, ethnicity, and race, regarding all individuals who apply for benefits or services financially assisted by the TAA program. This requirement is in accordance with 29 CFR Part 37, "Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998." These regulations are applicable to the TAA program. For reference, sections 37.37(b)(1), (b)(2) and (d) of 29 CFR Part 37 mandate the following:

*(b)(1) Each recipient [of Federal financial assistance as defined in 29 CFR 37.4] must collect such data and maintain such records, in accordance with procedures prescribed by the Director [Director of the Civil Rights Center, Office of the Assistant Secretary for Administration and Management, DOL], as the Director finds necessary to determine whether the recipient has complied or is complying with the nondiscrimination and equal opportunity provisions of WIA or this part. The system and format in which the records and data are kept must be designed to allow the Governor and CRC [Civil Rights Center, Department of Labor] to conduct statistical or other quantifiable data analyses to verify the recipient's compliance with section 188 of WIA and this part;*

*(b)(2) Such records must include, but are not limited to, records on applicants, registrants, eligible applicants/registrants, participants, terminees, employees, and applicants for employment[ as these terms are defined in 29 CFR 37.4]. Each recipient must record the race/ethnicity, sex, age, and where known, disability status, of every applicant, registrant, eligible applicant/registrant, participant, terminee, applicant for employment, and employee;*

*(d) Where designation of individuals by race or ethnicity is required, the guidelines of the Office of Management and Budget must be used.*

Other sources of authority for this requirement include 29 CFR 31.5(b), in the Department's regulations implementing Title VI of the Civil Rights Act of 1964; and 29 CFR 32.44(b), in the Department's regulations implementing Section 504 of the Rehabilitation Act of 1973 (Section 504). CRC, which has authority to enforce the above-cited laws, has determined that collection of the equal

opportunity information sought by this section of the reporting system is necessary in order to determine whether recipients of Federal financial assistance under the TAA program have complied, or are complying, with applicable legal requirements related to nondiscrimination and equal opportunity.

The collection of equal opportunity information is to be self-reported by the individual and is voluntary. Unless required for a determination of eligibility to participate in the program, the participant is not required to answer these questions to receive services. If the participant chooses not to disclose this information, the state should record a "9" in the required fields in the TAPR submission for the participant.

Before being asked to provide the above demographic information, individuals must be made aware of the reason for the request (see discussion of disability requirements below), as well as of the parties to whom disclosure may be made. Information collected from the individual will be used to monitor compliance of recipients with the equal opportunity and nondiscrimination requirements enforced by CRC. It will also be used to assist the recipient and the Department in evaluating and improving efforts to conduct outreach to diverse population groups, including (but not limited to) racial and ethnic minorities and persons with disabilities, as required by 29 CFR 37.42.

Personally identifiable information (i.e., equal opportunity information by SSN) will not

be included in the tabulation or transfer of data to the Department under this information collection. The Department will use the data supplied by the grantees to

determine how many applicants are from different groups and how many of these applicants are determined eligible to receive services financially assisted by the program

in question. The Department will then assess compliance with nondiscrimination and

equal opportunity requirements, as well as the effectiveness of specific outreach efforts

and means of communication in light of this information.

The collection of ethnicity and race information described in these reporting instructions is in accordance with the Office of Management and Budget's (OMB's) Statistical Directive 15 (as adopted October 30, 1997, at [http://www.whitehouse.gov/omb/fedreg\\_1997standards/](http://www.whitehouse.gov/omb/fedreg_1997standards/)). The categories were developed in cooperation with Federal agencies to provide consistent data on race and ethnicity throughout the Federal Government. They represent a social-political construct designed for collecting data on the race and ethnicity of broad population groups in this country, and are not anthropologically or scientifically based.

OMB has determined that a two-question format should be used in all cases involving self-identification of ethnicity and race. Therefore, ethnicity information (i.e., identity as Hispanic or Latino) must be collected separately from race information, and individuals who indicate that they are Hispanic or Latino should also have the opportunity to select one or more racial categories. Information on an individual's ethnicity must also be collected before information on race. When

completing race information, individuals must be offered the option of selecting one or more racial designations. Recommended forms for the instruction accompanying the race information should instruct the individual to read each racial designation carefully and then “Mark one or more ...” or “Select one or more ...” races to indicate what the individual considers him/herself to be.

The collection of disability related information, which is to be requested from all individuals who apply for benefits or services financially assisted by the TAA program, is not in conflict with Section 504 of the Rehabilitation Act of 1973 or the Americans with Disabilities Act of 1990 (the ADA), as long as there is no evidence of denial of services as a result of providing the information, or of a customer declining to identify a disability. Nothing in the Department of Justice’s regulations implementing Titles II and III of the ADA (28 CFR parts 35 and 36) prohibits the collection of disability-related information.

In addition, although the Equal Employment Opportunity Commission’s regulations implementing Title I of the ADA generally forbid pre-employment or pre-selection inquiries about disability, those regulations provide that a covered entity may raise as a defense the fact that its actions are required by another Federal law or regulation. 29 CFR 1630.15(e).

DOL’s regulations implementing Section 504 (29 CFR part 32) permit pre-employment or pre-selection inquiries about disability only where certain conditions are met. Those conditions include providing the customer with the following information:

- that the information requested will be used only to support the Department of Labor’s efforts to collect information about the employment and training needs of people with disabilities;
- that the information is being requested on a voluntary basis;
- that the information will be kept confidential;
- that refusal to provide the information will not result in any adverse treatment; and
- that the information will be used only in accordance with the law.

29 CFR 32.15(b)(1) and (b)(2). If all of this information is provided to the customer, the collection of disability-related information is permissible.

Unless disability is an eligibility criterion for the specific benefit or service for which the individual is applying, s/he must not be asked or required to provide documentation demonstrating that s/he has a disability.

For the purposes of the requirements in this section of the reporting system, disability means, with respect to an individual, a physical or mental impairment that substantially limits one or more of the major life activities of such individual.

The definition of “disability” in 29 CFR 37. 4 provides further clarification of the term. Relevant portions of this definition have been included below for reference:

- (1)(i) The phrase physical or mental impairment means—*
  - (A) Any physiological disorder or condition, cosmetic disfigurement, or anatomical loss affecting one or more of the following body systems: neurological, musculoskeletal, special sense organs, respiratory (including speech organs), cardiovascular, reproductive, digestive, genitourinary, hemic and lymphatic, skin, and endocrine;*
  - (B) Any mental or psychological disorder such as mental retardation, organic brain syndrome, emotional or mental illness, and specific learning disabilities.*

In addition, the definition section of the ADA includes more-recent language defining other aspects of the term “disability.” See 42 U.S.C. § 12102. This definition, which is incorporated by reference into WIA (see 29 U.S.C. § 2801(17) (A)), was amended by the Americans with Disabilities Act Amendments Act of 2008 (ADAAA). Relevant portions of the amended definition have been included below for reference:

- (2) Major life activities*
  - (A) In general*

*. . . [M]ajor life activities include, but are not limited to, caring for oneself, performing manual tasks, seeing, hearing, eating, sleeping, walking, standing, lifting, bending, speaking, breathing, learning, reading, concentrating, thinking, communicating, and working.*
  - (B) Major bodily functions*

*. . . [A] major life activity also includes the operation of a major bodily function, including but not limited to, functions of the immune system, normal cell growth, digestive, bowel, bladder, neurological, brain, respiratory, circulatory, endocrine, and reproductive functions.*

*\* \* \**

- (4) Rules of construction regarding the definition of disability*

*The definition of "disability". . . shall be construed in accordance with the following:*

*\* \* \**

*(C) An impairment that substantially limits one major life activity need not limit other major life activities in order to be considered a disability.*

*(D) An impairment that is episodic or in remission is a disability if it would substantially limit a major life activity when active.*

*(E)(i) The determination of whether an impairment substantially limits a major life activity shall be made without regard to the ameliorative effects of mitigating measures such as -*

*(I) medication, medical supplies, equipment, or appliances, low-vision devices (which do not include ordinary eyeglasses or contact lenses), prosthetics including limbs and devices, hearing aids and cochlear implants or other implantable hearing devices, mobility devices, or oxygen therapy equipment and supplies;*

*(II) use of assistive technology;*

*(III) reasonable accommodations or auxiliary aids or services; or*

*(IV) learned behavioral or adaptive neurological modifications.*

*(ii) The ameliorative effects of the mitigating measures of ordinary eyeglasses or contact lenses shall be considered in determining whether an impairment substantially limits a major life activity.*

*(iii) As used in this subparagraph -*

*(I) the term "ordinary eyeglasses or contact lenses" means lenses that are intended to fully correct visual acuity or eliminate refractive error; and*

*(II) the term "low-vision devices" means devices that magnify, enhance, or otherwise augment a visual image.*

Equal Opportunity Data Elements should populate by the quarter in which a participant receives his or her first TAA service or benefit and repeat through the end of the report cycle.

### **A. 03: Veteran Characteristics**

The Jobs for Veterans Act of 2002 (P. L. 107-288) calls for an increased emphasis by the One-Stop delivery system on providing employment services to Transitioning Service Members (TSM), and authorizes this target group as eligible to receive employment services from DVOP and LVER staff. Effective implementation of this new statutory emphasis and authority will require coordination in delivering One-Stop services to this target group.

The Jobs for Veterans Act also calls for increased attention to the reporting of characteristics, services, and outcomes for TSM participants. Since the members of this target group are not yet veterans, they occupy a unique status for reporting purposes. Accordingly, accurate reporting of information on those TSMs served by the One-Stop system will require careful application of reporting specifications that are unique to this target group.

*Covered Person Entry Date* and *Date 45 Days Following Covered Person Entry Date* should be populated by the quarter of the *Date of Participation/Date of First Case Management and Reemployment Service* and should repeat through the end of the reporting cycle.

*TAP Workshop in 3 Prior Years*

Data collected in TAP workshop 3 prior years should be collected exclusively through self-attestation

#### **A. 04: Employment and Education Information**

Data in this section tracks the participant's educational achievement and employment status at the point of TAA participation.

All of the data elements in this section should be tracked from the quarter in which the *Date of Participation/Date of First Case Management and Reemployment Service* occurs and repeat to the end of the reporting cycle.

#### **A. 06: Public Assistance Information**

Data elements in this section are designed to track whether TAA participants received public assistance services and benefits, including General Assistance (provided through state or local government), Temporary Assistance to Needy Families (TANF), Refugee Cash Assistance, Supplemental Nutrition Assistance Program, Supplemental Security Income, Social Security Disability Insurance, and Pell Grants.

All of the data elements in this section should be tracked by the quarter in which the *Date of Participation/Date of First Case Management and Reemployment Service* occurs and repeat to the end of the reporting cycle.

#### **A. 07: Additional Reportable Characteristics**

These data elements (*Limited English Proficiency*, *Most Recent Date of Qualifying Separation*, and *Tenure with Employer at Separation*) contain information that is gathered at the point of participation.

In almost all instances, data elements in this section will be tracked from the quarter in which the *Date of First TAA Benefit or Service* occurs. The only exception exists if TAA approved training begins prior to the TAA qualifying separation; in this scenario, *Most Recent Date of Qualifying Separation* and



*Tenure with Employer at Separation* will be populated in the quarter in which the trade qualifying separation occurs.

Once populated, all data elements in this section will repeat to the end of the reporting cycle.

## **SECTION B: ONE STOP PROGRAM PARTICIPATION INFORMATION**

### **B. 01: One-Stop Participation Data**

This section tracks three categories of data, as follows:

- TAA-specific:
  - o *Petition Number*
  - o *TAA Application Date*
  - o *Date of First TAA Benefit or Service*
  - o *Liable/Agent State Identifier*
  - o *Date of Eligibility Determination*
  - o *Determined Eligible*
- Related to co-enrollment in partner programs or discretionary grants that contribute to benefits and services provided to the individual during his or her participation:
  - o *Adult (local formula)*
  - o *Dislocated Worker (local formula)*
  - o *Rapid Response*
  - o *Rapid Response (additional assistance)*
  - o *Rapid Response Event Number*
  - o *NDWG Project ID*
  - o *Special ETA Project ID*
  - o *Veterans' Programs*
  - o *Vocational Education*
  - o *Vocational Rehabilitation*
  - o *Wagner Peyser Act*
  - o *Other WIOA or Non WIOA Programs*
- Track information concerning the start and end of participation
  - o *Date of Participation/Date of First Case Management and Reemployment Service*
  - o *Date of Exit*
  - o *Other Reasons for Exit*

All of these data elements should be reported by the *Date of First TAA Benefit or Service*, except where otherwise noted.

For some of the elements in this section, additional clarification is provided as needed below.

Date of Participation/Date of First Case Management and Reemployment Services Information

This data element should track the first service for the participant whether the services are TAA financially assisted or assisted through other federally assisted partner programs.

The first service may be defined by Date of Participation as defined in Training and Employment Guidance Letter (TEGL) No. 17-05 or by Case Management and Employment Services as defined in TEGL No. 22-08, whichever is first.

This date should be reported in the relevant report quarter and repeat through the end of the report cycle.

#### Date of First TAA Benefit or Service and Partner Program Co-enrollment Information

These data elements are designed to track:

- The initial date of a TAA financially assisted benefit or service (including TAA assisted case management and TRA), and
- Whether the TAA participant received services through specified partner programs on or after *Date of Participation/Date of First Case Management of Reemployment Service* through *Date of Exit*.

*The Date of First TAA Benefit or Service* will be reported in the quarter in which it occurs and remain fixed for remainder of reporting cycle.

The Date of Participation/Date of First Case Management and Reemployment Service should reflect the first date that the individual receives:

- Their first case management service and reemployment services as defined in §235 of the Trade Act, as amended, or
- The date at which they become enrolled in a partner program, as defined in TEGL 17-05, “Common Measures Policy for the Employment and Training Administration (ETA) Performance Accountability System and Related Performance Issues”, or
- The *Date of First TAA Benefit or Service*;

whichever comes first.

These data elements should be consistent from the point it is first reported through the last quarter of the reporting cycle.

Special ETA Project ID contains a specified coding value of “TACT” to track *TAACCCT Funded Training Programs*, which determines whether TAA participants received a benefit or service funded or developed under TAACCCT, and should be tracked by the quarter in which the *Date of Participation/Date of First Case Management and Reemployment Service* occurs and repeat to the end of the reporting cycle.

### Program Exit Information

The *Date of Exit* is applied retroactively after no benefit or service is provided to the participant for 90 days, and if no future service is scheduled. In the case of records that regarding TAA applicants that do not receive TAA benefits or services (see coding values '7' and '8' in *Other Reasons for Exit* ), and therefore do not become TAA participants, no date should be entered in *Date of Exit*.

*Other Reasons for Exit* provide for reasons that records may be excluded for the purpose of performance calculations. Three new coding values for Other Reasons for Exit have been explored in Section E of this Handbook.

Data elements in this section will be recorded in quarter that they occur and repeat through the end of the report cycle.

### Liabile/Agent State Information

This data element is designed to track instances where the participant is eligible for Unemployment Insurance in one state, but may be provided TAA-related services in another state.

This element should appear in the quarter where the first TAA financially assisted program benefit or service occurs and repeat through the end of the reporting cycle.

### Determination of Eligibility Information

These data elements should reflect both a date of eligibility and a determination of eligibility for all individuals who apply for TAA on an individual basis as defined in the definition for *Date of TAA Application*. If an applicant is established as part of a TAA certified worker group, the determination should be "yes." If the applicant does not meet this condition, the determination should be "no." These records will include individuals who never receive a TAA financially assisted service or benefit.

In cases where the individual is deemed ineligible for any TAA service, or does not receive a TAA service, the individual's record will include the following data at a minimum, in the report quarter in which the defining date of eligibility occurs:

- *Unique Identifier*
- *TAA Application Date*
- *Date of Eligibility Determination*
- *Determination of Eligibility*
- *Petition Number*
- *LWIB Code (optional)-five digit code for other state*
- *Zip Code of Residence*
- *County Code*
- *State Code*

### Received Benefits Under a Prior Certification Last 10 Years

This data element is designed to track whether the participant received a benefit or service as part of a previous certification within the last ten fiscal years (e.g., a certification that is distinct from the certification relevant to the current participation.) This data element must be collected through self-attestation.

## **SECTION C: ONE STOP SERVICES AND ACTIVITIES**

### **C. 03: Intensive and Training Services**

These elements should be reported in the first quarter in which they occur and repeat through the end of the reporting cycle.

#### Training Service Types and Durations

This section is designed to track a variety of training program elements for individuals who are enrolled in TAA approved training.

The inclusion of fields for multiple training activities allows information to be collected on training plans that include multiple types of training such as remedial training plus occupational training, or classroom training plus an on-the-job component. Data elements in this subsection are designed to track:

- The duration of up to three categories of training types,
- Occupational Skills Training Codes of up to three associated training types, and
- Whether the training participant successfully completed each type of training or withdrew.

Note that, for reporting purposes on training durations in cases where multiple types of training types occur:

- The start date of the first training type tracked should document the first day of the participant's TAA approved training within the period of participation, and
- The end date of the last training type should document the conclusion of the participant's TAA approved training.

*Date Entered Training* and *Date Completed Training* elements should first appear in the report quarter in which they occur and repeat through the end of the reporting cycle.

*Occupational Skills Training Codes* should first appear in the report quarter that corresponds with the relevant *Date Entered Training* data element.

Information on whether the participant successfully completed the training type will be documented in the same report quarter where the relevant *Date Completed Training* occurs.

### Waivers Information

Two fields in this section are designed to track whether:

- *Waiver from Training Requirement -Current Quarter* is designed to track whether a waiver was issued the report quarter (yes/no), and
- *Waiver from Training Requirement -Type* reports the type of waiver that was issued, if applicable.

The first waiver field will be reported for the report quarter only, while the second will be entered in the quarter that the waiver was issued, and repeat through the end of the report cycle.

### Accrued Training Expenditures and Overpayment Cost Information

Data elements in this subsection are designed to track:

- Quarterly accrued expenditures for the participant's TAA financially assisted training,
- Cumulative accrued expenditures for the participant's TAA financially assisted training, culminating in a total training cost at the point of participant's training completion
- Amount of training cost related overpayments, and
- Whether an overpayment waiver applies to the participant in instances where a training cost overpayment is identified.

Note that amounts entered for quarterly accrued expenditures may be aggregated in the quarter for each state and added to corresponding state aggregate of quarterly costs reported for Job Search and Job Relocation Costs within the same quarterly TAPR report submission. The sum of these aggregated state expenditures should equal the amount of accrued expenditures reported by the state for the relevant quarterly submission on the ETA-9130 Fiscal Report for TAA Training and TRA.

Quarterly expenditures should provide for expenditures accrued in the report quarter only and should not repeat. Cumulative expenditures should be updated on a quarterly basis and become fixed from the quarter in which *Date of Completed Training #3* occurs, through the end of the reporting cycle.

### Adversely Affected Incumbent Worker, Associate's Degree, Distance Learning, and Part Time Training

These data elements are designed to track whether training participants are incumbent workers or had courses that included either part time training or distance learning as a curriculum component, or that will result in the receipt of an associate's degree.

With regard to the data element *Adversely Affected Incumbent Worker*, note that the term “incumbent worker” as defined in the TAPR is distinct from the term “incumbent worker” as it may be defined elsewhere. Specifically, an adversely affected incumbent worker in TAA reflects:

- a worker who has been certified as part of a group as eligible to apply for TAA,
- is threatened with dislocation from his or her trade-affected employment, and
- secures TAA-approved training that commences in advance of his or her actual dislocation from the trade affected employment.

*Adversely Affected Incumbent Worker and Associate’s Degree* should be tracked in the quarter in which training enrollment commences through the remainder of the report cycle.

*Part Time Training* and *Distance Learning* should be tracked as quarterly counts and therefore should only occur in the relevant report quarter.

#### Type of Recognized Credential

This report provides for up to two types of training credential that document the educational achievements of the participant in the course of the TAA approved training participation.

These data elements should appear in the report quarter in which they occur and repeat through the end of the report cycle.

### **C. 05: Other Related Assistance and Support Services**

This section tracks a wide array of TAA and partner program benefits and services that may be provided to the TAA participant, including:

- financial benefits for eligible TAA training participants including:
  - o TAA-specific benefits such as travel and subsistence subsidies, as well as
  - o partner program benefits financially assisted by partner programs but potentially available to co-enrolled TAA participants, including supportive services and needs related payments ,
- trade readjustment allowance (TRA) data, including benefit durations, and costs paid on a quarterly and cumulative basis,
- job search and relocation benefits,
- Alternative Trade Adjustment Assistance (ATAA) and Reemployment Trade Adjustment Assistance (RTAA) wage subsidy payments and other elements associated with the administration of these benefits,
- overpayments and associated overpayment waivers that may be assessed in connection with TRA, ATAA, and RTAA.

#### Job Search and Relocation Information

These elements should report the following information for the participant:

- The total number, if any, of job search allowances that were approved and paid to the participant,
- In cases where a job search allowance was paid to the participant, how much was paid
- Within the specific report quarter, and
- Over the course of participation,
- Whether a relocation allowance was approved and paid in the quarter, and
- In cases where a relocation allowance is identified, the amount of the payment that was made
  - o Within the specific report quarter, and
  - o Over the course of participation.

As multiple job search allowances might be approved in the course of an individual's participation, a number value is used to track the number of allowances that may occur in the course of participation, to be updated for each quarterly submission as needed. The allowance costs could also update on a quarterly basis. The values provided for these elements should become fixed beginning in the report quarter where the exit date is reported through the end of the report cycle.

No more than one relocation may be approved under a single certification (although the costs associated with the relocation may be paid out over more than one report quarter). As a result, once a relocation allowance is identified, this data element is tracked as a yes/no element in the quarter where it occurs, although the element tracking the cost of the allowance may be updated as needed to allow for the potential dispersal of the benefit across more than one report quarter. Values in relocation allowance data elements should also become fixed at the quarter where the exit date is reported to repeat through the end of the report cycle.

#### Training Related Benefits (except for TRA)

These data elements are designed to track receipt of different types of benefits that may be available to TAA participants that are enrolled in TAA approved training, including travel subsidies, subsistence subsidies, supportive services, and needs-related payments.

In instances where these benefits are provided to the participant, the associated data elements should be reported no later than the quarter in which the participant's *Date of Exit* occurs, and repeat through the end of the report cycle.

#### TRA Benefit Data

In the TAPR report, TRA data is tracked for all four distinct types of TRA (basic, additional, remedial, and completion) as follows:

- First payment date that the benefit is received by the participant,
- Number of weeks that each benefit type is received by the participant in the report quarter

- Cumulative number of weeks that each benefit type is received by the participant that may aggregate through the report cycle,
- Quarterly cost information on each benefit type paid to the participant within the report quarter,
- Cumulative cost information on each benefit type paid to the participant that may aggregate through the report cycle,
- Yes/no report element on whether a TRA overpayment was identified in the report quarter,
- Amount of TRA overpayments attributed to the participant which should be updated through the course of participation as needed,
- Identification of whether a TRA cost overpayment waiver is established within the course of participation.

First TRA payment dates will be recorded in the report quarter that they occur and remain fixed through the end of the reporting cycle.

Cumulative TRA weeks and cumulative TRA cost information may be updated as needed in each quarterly submission. In the quarter of exit, these cumulative data elements should become fixed from the quarter in which *Date of Exit* occurs and repeat through the end of the report cycle.

#### ATAA and RTAA information

Information on the ATAA wage subsidy and RTAA wage subsidy may be tracked through the same data elements, even though the benefit levels and conditions for eligibility differ. This is because the petition number associated with the participant's record will indicate whether the reported data elements for ATAA/RTAA allow for ATAA eligibility or RTAA eligibility. Because petitions certified before May 18, 2009 have a petition number below 70,000 and petitions certified on or after May 18, 2009 will have a number above 70,000, it is possible to identify which benefit is applied to the participant, and so both benefit types may be tracked through the same data elements.

ATAA/RTAA information will be tracked primarily on a quarterly basis and these data elements track benefit activity that may occur within the report quarter, with the following exceptions:

- First payment date that the benefit is received should appear in the report quarter that it occurs and remain fixed through the end of the reporting cycle.
- Cumulative number of weeks and cumulative costs may be updated as needed in each quarterly submission. In the quarter of exit, these cumulative data elements should become fixed through the end of the report cycle.

## **SECTION D: PERFORMANCE OUTCOMES INFORMATION**

### **D. 01: Employment and Job Retention Information**

This section tracks performance-related outcomes for the participant, including:



- Whether the participant was employed in the first, second, third and fourth quarter after exit,
- Type of verification used to identify participant's reemployment status in the first, second, third and fourth quarter after exit,
- The type of employment that the participant may have obtained after exit,
- Whether the participant was recalled by their trade affected employment.

Data elements that report information in this section should appear within six months following the report quarter referenced in the data element.

#### **D. 02: Wage Record Information**

This section tracks information that is used to track the participant's performance outcomes in the program, including:

- Wage data for three quarters prior to participation, and
- Wage data for four quarters after program exit.

Data elements that report information in this section should appear within six months following the report quarter referenced in the data element.