U.S. Department of Labor
Employment and Training Administration
Office of Trade Adjustment Assistance

The purpose of this collection is to collect data on state organization and
responses should be limited to staff, benefits, and processes used in the
including, but not limited to, Trade Readjustment Allowances (TRA) and

FTE - Full-Time Equivalent workers. Staff who work less than full time or
spend on the TAA program. For example, a staff member who is full time

Local Office - A comprehensive or affiliate one-stop center.

Region - A sub-state group of local offices or geographic area for adminis
programs.

COTS - Commercial Off The Shelf System

Fiscal - This is the state unit or office that generates fiscal reporting such

#	Que
1	How many TAA Merit Staff do you employ? (FTE - see definition ab (FTE for all merit staff supporting the TAA program including state,
2	How many FTE are employed at the state-level? (FTE for all merit and non-Merit staff supporting the TAA program
3	How many state-level FTE do you employ for the purpose of provid allowed. Includes merit and non-merit staff, staff grouped into "re; supporting TAA such as Rapid Response. Excludes local staff such : support local offices such as reporting staff and finance staff.)
4	How many FTEs are employed by local offices (includes case manaj (Estimates allowed. Includes merit and non-merit staff and case m
5	How many local offices does your state have?
6	Regions group local offices for the purposes of support or administ offices. Are your local offices set up into regions?
7	If so, how many regions does your state have?

State Organization	8	How many total FTEs are associated with regions in the state
	9.1	Rank which group is most likely to file a TAA petition (1= most common and 5 is the least common. Leave blank if not used)?
	9.2	
	9.3	
	9.4	
	9.5	
	10.1	Estimate the distribution of experience for TAA staff involved in state administration of TAA (percentage of staff):
	10.2	
	10.3	
	11.1	Estimate the distribution of experience for local staff involved in TAA case management (percentage of staff):
	11.2	
	11.3	
	12	Is new client intake conducted by state merit staff or non-merit sta Intake?
	13	Are the case managers most closely working with TAA participants Case Managers?
	14	Would you categorize your state as centralized or localized? This is a broad generalization based on the balance of centralized c answer may consider, but is not limited to, whether state or local s forms are standardized across the state or locally created, who cre are integrated or decentralized.
Determinations for Eligibility and Participant Training	15	Does your State use UI wage records to determine TAA eligibility?
	16	Does your State use Federal Employer Identification Numbers (FEII
	17	What Unit Contacts Employers to get the Worker List?
	18	What Unit Determines initial TAA Eligibility (in the certified worker
	19	Which Staff Determine initial TAA Eligibility (in the certified worke
	20	Which Staff make TAA Training Eligibility Determinations?
	21	Which Staff make TRA Eligibility Determinations?
	22	Which Staff make A/RTAA Eligibility Determinations?
	23	Is there a training amount threshold over which additional approva
	24	If so, what is that amount?
	25	Does the state approve stand-alone remedial training without the
	26	Does the state require training plans to include credential attainme
	27	Rate the level of integration between TAA and Rapid Response (1 i
	28.1	TAA and Rapid Reponse Coordination is done through (select all that apply):
	28.2	
	28.3	
	28.4	
	28.5	
	28.6	
	28.7	
	28.8	
	28.9	

Integration

28.10		
29	Rate the level of integration between TAA and TRA (1 is low, 5 is hi	
30.1	TAA and TRA Coordination is done through (check all that apply):	
30.2		
30.3		
30.4		
30.5		
30.6		
30.7		
30.8		
30.9		
30.10		
31	Rate the level of integration between TAA and Fiscal (1 is low, 5 is	
32.1	TAA and Fiscal Coordination is done through (check all that apply):	
32.2		
32.3		
32.4		
32.5		
32.6		
32.7		
32.8		
32.9		
32.10		
33	Rate the level of integration between TAA and WIOA Title 1 (1 is lo	
34	Rate the level of integration between TAA and Business Services (1	
35	Rate the level of integration between TAA Remedial Training and t	
36	Rate the level of integration between TAA and Adult Education (1 i	
37	Rate the level of integration between TAA and Apprenticeship (1 is	
38	Rate the level of integration between TAA and JVSG (1 is low, 5 is h	
39	Rate the level of integration between TAA and Vocational Rehab (1	
40	Does your state currently utilize a common exit policy?	
41	What is your state co-enrollment policy for TAA participants and W	
42	What is your state co-enrollment policy for TAA participants and W	
43	Does your state have a performance reporting or data analysis unit	
44	How many FTE work on performance reporting or data analy	
45	Are there designated staff specializing in TAA data?	
46.1	That unit provides data and analysis to: (check all that apply)	
46.2		
46.3		
47	How many different IT systems are used in the generation of the TA	
48	What type of system is your current case management system?	

	49	What is your primary case management vendor (if any)?
	50	Has your state used TAA case management funds for IT upgrades ir
	51	Date of last major IT upgrade to TAA Case Management System(s)
	52	Estimated completion date of next expected major IT upgrade to T
	53	Date of last major IT upgrade to UI System(s) completed?
	54	Estimated completion date of next expected major IT upgrade to U
	55	Date of last major IT upgrade to Financial System(s) completed?
	56	Estimated completion date of next expected major IT upgrade to F
IT Systems and Reporting	57	What best describes the current use of electronic files by your Case
	58	Does your state have an online portal for participants?
	59	Can users search for jobs on that system?
	60	Are users directed to case manager contact information in that sys
	61	Can users communiate with case managers through that system?
	62	Can users do real-time communication with case managers throug
	63	Can users get information on the TAA program on that system?
	64	Can users get information on their individual TAA eligibility in that
	65	Can users get information on their individual TAA benefits in that s
	66	Can users complete required forms for receiving TAA benefits and If no, skip to question 75.
	67	Can an application for TAA be completed?
	68	Can an application for Training be completed?
	69	Can an application for TRA be completed?
	70	Can an application for A/RTAA be completed?
	71	Can an application for Job Search Allowance be completed?
	72	Can an application for Relocation Allowance be completed?
	73	Are there other forms that can be completed online?
	74.1	How are signatures addressed? (select all that apply)
	74.2	
	74.3	
Training for TAA Staff	75.1	How is training delivered to state and local staff? (check all that apply)
	75.2	
	75.3	
	75.4	
	75.5	
	75.6	
	75.7	
	75.8	
	76	Are public information materials for TAA developed by your state?
	77	If so, what unit develops those materials?
	78	In your State, what portion of potentially TAA eligible worker grou
	79	Do you have a process for evaluating WARN Notices to determine i

	80	Do you have a process for evaluating layoffs not requiring a WARN
	81	Total number of workers notified of group eligibility to apply for TA
Outreach	82	What percentage of TAA certified workers acknowledged the notif Acknowledgement is any action the worker takes that indicates the This may be a returned email, a returned call, a system access, or a
	83	What percentage of TAA certified workers apply for TAA benefits o
	84.1	What methods are used to contact workers? (for all that apply, please rank based on how frequently they are used with 1 being most frequently used)
	84.2	
	84.3	
	84.4	
	84.5	
	84.6	
	84.7	
	84.8	
	84.9	
	85.1	What sources are used for identifying worker contact information? (for all that apply, please rank based on how frequently they are used with 1 being most frequently used)
	85.2	
	85.3	
	85.4	
	85.5	
	85.6	
	85.7	
JSR	86.1	When are job search and relocation allowances offered? (select all that apply)
	86.2	
	86.3	
	86.4	
	86.5	
Barriers	87.1	Rank the following challenges to TAA program operation (for all that apply, please rank with 1=Most Significant Barrier)
	87.2	
	87.3	
	87.4	
	87.5	
	87.6	
	87.7	
	87.8	
	87.9	
	87.10	
	87.11	
	87.12	
	87.13	
	87.14	

Commen

88

Affirmation

Knowingly falsifying any information on this form is a Federal offen
By signing below, you agree to the following statement:
"Under penalty of law, I declare that to the best of my knowledge
complete."

Name

Email

Signature

operations to facilitate the identification of best practices in the TAA program. Unless otherwise specified,
TAA program. However, the TAA program should include all TAA-funded staff, benefits, and processes
Reemployment Trade Adjustment Assistance (RTAA).

Paperwork Reducation Act Statement

red to respond to a collection of information unless such collection displays a valid OMB control number. Public
ge 5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and
on of information. The obligation to respond to this collection is mandatory under Section 239(c) of Title II,
Send comments regarding the burden estimate or any other aspect of this collection of information, including
00 Constitution Avenue, N-5428, Washington, D.C. 20210, and reference the OMB Control Number. Note:

Confidentiality Statement

mation you provide to the full extent of the law, in accordance with the Trade Act, 19 USC § 2272 (e)(3)(c), the
§ 552, and 29 CFR Parts 70 and 90.

Definitions

split their time between the TAA program and other programs should be recorded by the portion of time they
but only spends half their time on TAA should be recorded as 0.5 FTE.

trative purposes for the TAA program. This may or may not be the same as regional designations under other

providing information to be entered on the ETA-9130 form.

estions	Response
ove) local, case managers, reporting, fiscal, and other staff.)	
at the state level including program, reporting, fiscal, and other staff.)	
ding support to local offices on TAA-related issues? (Estimates gions" to support local offices, as well as staff in other units as TAA case managers. Excludes state staff who do not directly	
gers)? anagers directly supporting TAA participants).	
ration and generally have staff specific to support that group of local	

?	
TAA State Staff	
TAA Local Staff	
Rapid Response State Staff	
Rapid Response Local Staff	
Other Local Staff	
% Expert	
% Intermediate	
% Novice	
% Expert	
% Intermediate	
% Novice	
~~aff?What is the State Merit Status of Staff Conducting New Client~~	
~~state merit staff or non-merit staff?What is the State Merit Status of~~	
decision-making and coordination vs. localized autonomy. The staff determine procedures for approving TAA benefits, whether ates policies such as co-enrollment policy, and whether IT systems	
N) in whole or in part to determine TAA eligibility?	
group, not for individual benefits)?	
rgroup, not for individual benefits)?	
als must be obtained?	
goal of subsequent credential attainment?	
ent?	
s low, 5 is high):	
Same Department	
Same Unit	
Same Administrator or Manager	
Shared Meetings	
Shared Trainings	
Cross Attendance of Unit Meetings	
Systematized Process (Electronic)	
Email	
Other Formal Process	

Informal	
gh):	
Same Department	
Same Unit	
Same Administrator or Manager	
Shared Meetings	
Shared Trainings	
Cross Attendance of Unit Meetings	
Systematized Process (Electronic)	
Email	
Other Formal Process	
Informal	
high):	
Same Department	
Same Unit	
Same Administrator or Manager	
Shared Meetings	
Shared Trainings	
Cross Attendance of Unit Meetings	
Systematized Process (Electronic)	
Email	
Other Formal Process	
Informal	
w, 5 is high):	
. is low, 5 is high):	
he Adult Basic Education program (1 is low, 5 is high):	
s low, 5 is high):	
s low, 5 is high):	
high):	
l is low, 5 is high):	
WIOA Adult?	
WIOA Dislocated Worker?	
t that incorporates TAA?	
sis (including contract staff)?	
DOL	
State Stakeholders	
Local Stakeholders	
AA PIRL?	

n the last 3 years?	
completed?	
AA Case Management System(s), if known?	
JI System(s), if known?	
inancial System(s), if known?	
e Managers?	
tem?	
h that system?	
system?	
ystem?	
services through that system? (1 = No, 5 = All TAA Forms)	
Electronic Signature or Certification	
Upload Scanned Signed Documents	
Signatures in Person	
Handbook	
Conferences (Select Frequency)	
Webinars (Select Frequency of New Webinars Created)	
Regular Conference Calls (Select Frequency)	
Online Forums or Similar	
Document Depot	
New Employee Orientation	
Other	
ps have petitions filed?	
if a petition should be filed?	

Notice to determine if a petition should be filed?	
AA in the last year? (estimates allowed)	
ication? (estimates allowed) e notification was received. anything similar.	
or services? (estimates allowed)	
Employer/Union/Peer Counselor as Intermediary	
Emails	
Phone Calls	
Newspaper Notices	
Online Notices	
Social Media	
Text Message	
Mailed Letters	
Other Method	
Employers	
Union Officials	
State Records (UI, Coenrollment, etc.)	
Other Workers	
Worker Self-Identification	
Rapid Response Surveys / Sign-Up Sheets	
Other Sources	
During Initial Discussion of Potential TAA Benefits	
At Case Manager Discretion	
At Training Completion	
At a Required Specific Follow-Up Time	
When Informed About Job Search/Placement Progress	
Companies Not Informed About TAA Program	
Identifying Potentially TAA Eligible Layoffs	
Difficulties Filing TAA Petitions	
TAA Petition Processing Time	
Difficulties Determining Individual Program Eligibility	
Difficulties Determining Individual Benefit Eligibility	
Difficulties Understanding TAA Guidance/Regulations/Law	
Reaching Affected Workers	
Workers Not Informed About TAA Program	
Worker Disinterest in Program	
Worker Unwillingness to Complete Paperwork	
Language Barriers	
Difficulties Obtaining Information from Other State Agencies	
Staffing	

Funding

ts (Optional)

of Information

se (18 USC § 1001) and a violation of the Trade Act (19 USC § 2316).

and belief the information I have provided is true, correct, and

Title

State Workforce Agency

Date

From Margaret Vanwagner (Iowa):
Does this include finance staff? Does this include reporting staff? Are you
including local office staff or just state office staff?

OTAA RESPONSE:
This one is intended to be total including finance staff if they are TAA Meri
Will clarify the question by saying Merit staff supporting TAA.

From Kathy Nesmith (Idaho):
What is the intent of Question #1 compared to Q #3? Are they asking for
vs Admin staff? The questions seem the same.

OTAA RESPONSE:
Q1 is intended to get a total while Q3 is just looking at state-level staff. A
clarifying statements to these staff counts.

From Margaret Vanwagner (Iowa):
All state level FTEs (agency-wide) or only TAA? If only TAA, does this include fin

OTAA RESPONSE:
This is specific to TAA staff, but does include reporting, fiscal, and other staff. V
clarifying statement.

From Margaret Vanwagner (Iowa):
Does this include finance staff?

OTAA RESPONSE:
Adding a clarifying statement that fiscal staff are excluded, but they generall
sup From Margaret Vanwagner (Iowa):
Does this include all staff or TAA related staff only? Does this include only
state merit staff, or non-merit staff as well?
Comment: Capturing non-merit staff supporting TAA participants may
provide a more accurate picture of FTEs supporting the program.

OTAA RESPONSE:
All staff supporting TAA and both merit and non-merit staff. Adding clari
langu From Joan Kilian-Ikeler and Sarah Simonson (Wisconsin):
how should we differentiate between a region and a local office?
From J Workforce development areas?
allow
includ OTAA RESPONSE:
From Kathy Nesmith (Idaho):
2. Only under the "State Organization" section is there options for group mos
likely to file a TAA petition. Are "companies" and "unions" considered in the

likely to file a TAA petition. Are "companies" and "unions" considered in the overall data collection?

OTAA RESPONSE:
This collection is specific to how states administer the program and what bod

From Myra Huhmann (Missouri):
2) In my opinion, it will be very difficult for states to gauge the experience of lo involved in TAA case management. With the TAA program, there is a high turno ratio and those deemed to be intermediate to expert TAA case managers may always have high TAA activity in their areas. If you have knowledge and you do apply it, you may lose the knowledge over time.

OTAA RESPONSE:
Noted. Estimates are allowed in the distribution. It is not assumed that local s only increase their expertise over time.

From Joan Kilian-Ikeler and Sarah Simonson (Wisconsin):
is this asking whether merit staff conduct new client intake?

OTAA RESPONSE:

From Joan Kilian-Ikeler and Sarah Simonson (Wisconsin):
is this asking whether case managers are merit staff?

OTAA RESPONSE:

From Joan Kilian-Ikeler and Sarah Simonson (Wisconsin):
additional definitions/descriptions would be helpful

OTAA RESPONSE:
Adding clarifying language.

From Myra Huhmann (Missouri):
1) The "purpose" of the TAA State Survey references Trade Readjustment Allow (TRA) and Reemployment Trade Adjustment Assistance (RTAA). In my state, for instance, TAA functions and TRA/RTAA functions are handled by two separation agencies. There are multiple questions that ask which unit or what staff make determinations on a variety of functions, but it may need to clarify first, which Department/Division before determining which unit, etc.

OTAA RESPONSE:
This is definitely something we want to collect, but that is covered in the integr section when we ask if TAA and TRA are part of the same unit.
However, we will add a question on whether they are part of the same departm

From Joan Kilian-Ikeler and Sarah Simonson (Wisconsin):
should these specify local staff instead of state-level?

OTAA RESPONSE:
Breaking out questions to be granular about where the integration would be overly burdensome on states. If only local or only state staff are integrated it would probably receive a middle value for level of integration as it is only partially integrated.

Hoekstra, Robert - ETA:
Internal discussion of collecting information on Common Exit Policy and potentially co-enrollment.

Does your state currently utilize a common exit policy?
1. No
2. Yes, including TAA, Title I, and Title III.
3. Yes, including TAA and Title I but not Title III.
4. Yes, including TAA and Title III but not Title I.
5. Yes, but TAA is not included.

From Joan Kilian-Ikeler and Sarah Simonson (Wisconsin):
more info needed: do you want functionality, info gathered, or do you want just the name?

OTAA RESPONSE:

OTAA RESPONSE:
The field drop down provides the options, but added the clarifying
language

From Kathy Nesmith (Idaho):
What is the purpose/relevance of questions 50 and 51 - UI IT upgrades
the system?

OTAA RESPONSE:
As far as 50 and 51, these give us an idea on state workload (going thr
IT upgrades), how up to date they are with regard to new requirements
the system was designed around previous program iterations that oper
differently, etc. Mostly though, it will help us try to figure out if there i
optimal frequency with which to do upgrades. I would expect that both
out of date systems are no great, and ones that are constantly undergo

From Joan Kilian-Ikeler and Sarah Simonson (Wisconsin):
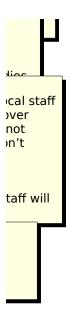more info needed: best describes it how?

OTAA RESPONSE:
Options are in the drop down, but re-worded to make the question clearer.

From Myra Huhmann (Missouri):
3) Regarding the question, "When are job search and relocation allowances offered?", in my opinion, there should be another answer available that indicates during the initial review of benefits and services.

OTAA RESPONSE:
Added.

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Program

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Will add a

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No

Yes, including TAA, Title I, and Title III.

Yes, including TAA and Title I but not Title III.

Yes, including TAA and Title III but not Title I.

Yes, but TAA is not included.

No Co-Enrollment

Case Manager Discretion

Referral Required

Co-Enrollment Required

Varies by Local Area

Operate Exclusively in Paper

Work Primarily in Paper

Maintain both an Electronic and a Paper Case File

Work Primarily Electronically with Some Processes Still Paper

Work Electronically with All Paper Documents Uploaded to the Electronic System

Work Electronically with All Documents in Electronic Format

Yes - More than 30 per year

Yes - 21 to 30 per year

Yes - 11 to 20 per year

Yes - 3 to 10 per year

Yes - 1 to 2 per year

Yes - Less than Annually

No