


U.S. Department of Labor

Employment and Training Administration
Office of Trade Adjustment Assistance

ETA Form-9189, TAA Administrative
Collection of States

OMB No. : 10

Expires: MM  YY

The purpose of this collection is to collect data on state organization and operations to facilitate the identification of best practices in the TAA program. Unless otherwise specified, responses should be limited to staff, benefits, and processes used in the TAA program. However, the TAA program should include all TAA-funded staff, benefits, and processes including, but not limited to, Trade Readjustment Allowances (TRA) and Reemployment Trade Adjustment Assistance (RTAA).

Paperwork Reduction Act Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is mandatory under Section 239(c) of Title II, Chapter 2 of the Trade Act of 1974, as amended (19 USC § 2271 et seq.). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, 200 Constitution Avenue, N-5428, Washington, D.C. 20210, and reference the OMB Control Number. Note: Please do not return the completed TAA Administrative Collection of States (TAAACS) to this address.

Privacy Statement

The U.S. Department of Labor will protect the privacy of the information you provide to the full extent of the law, in accordance with the Trade Act, 19 USC § 2272 (e)(3)(c), the Trade Secrets Act, 18 USC § 1905, the Freedom of Information Act, 5 USC § 552, and 29 CFR Parts 70 and 90.

Definitions

TaOA - Training and Other Activities (TaOA) is one of three grant types that support the TAA program with the other two funding Trade Readjustment Allowance (TRA) and Reemployment Trade Adjustment Assistance (RTAA) benefits. The TaOA grant is three year funds and has components of administration, case management, job search and relocation, and training funds. Cost classification requirements are described in 20 CFR 618.860(b).

FTE - Full-Time Equivalent workers. Staff who work less than full time or split their time between the TAA program and other programs should be recorded by the portion of time they spend on the TAA program. For example, a staff member who is full time but only spends half their time on TAA should be recorded as 0.5 FTE. FTE should be counted if they are funded by a current TaOA grant. If the state does not currently have an applicable TaOA grant, they should report based on who be funded by such a grant.

TAA Merit FTE - TAA Merit FTE are the subset of FTE (above) that meet the definition of merit staffing under 5 CFR 900.604, which are generally state employees hired through a merit-based hiring system and meeting certain standards of training and fair treatment.

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

Region - A sub-state group of local offices or geographic area for administrative purposes for the TAA program. This may or may not be the same as regional designations under other programs.

Fiscal - This is the state unit or office that generates fiscal reporting such providing information to be entered on the ETA-9130 form.

| # | Questions | Response | | |
|------|--|--------------------------------|---------------|-------------------|
| | | Total FTE | TAA Merit FTE | TAA Non-Merit FTE |
| | Calculated Total FTE: | 0 | 0 | 0 |
| 1 | How many FTE are employed for the purpose of state administration such as policy and other staff ? Excludes those counted in Questions #2, #3, #4, and #5. FTE in Questions #1 through #3 should represent FTE classified as administrative expenditures. | 0 | | |
| 2 | How many FTE are employed for the purpose of performance reporting and data analysis ? Excludes those counted in Questions #1, #3, #4, and #5. FTE in Questions #1 through #3 should represent FTE classified as administrative expenditures. | 0 | | |
| 3 | How many FTE are employed for the purpose of fiscal reporting ? Excludes those counted in Questions #1, #2, #4, and #5. FTE in Questions #1 through #3 should represent FTE classified as administrative expenditures. | 0 | | |
| 4 | How many FTE are employed for the purpose of providing indirect participant support such as supporting local offices? Excludes those counted in Questions #1, #2, #3, and #5. FTE in Questions #4 and #5 should represent FTE classified as case management expenditures. | 0 | | |
| 5 | How many FTE are employed for the purpose of providing direct participant support such as case managers? Excludes those counted in Questions #1, #2, #3, and #4. FTE in Questions #4 and #5 should represent FTE classified as case management expenditures. | 0 | | |
| 6 | How many local offices does your state have? | | | |
| 7 | If your local offices set up into regions that group local offices for the purposes of support and administration, how many regions does your state have? If not, specify zero. | | | |
| 8.1 | Estimate the distribution of experience for TAA staff involved in state administration of TAA (percentage of staff): | % Expert | | |
| 8.2 | | % Intermediate | | |
| 8.3 | | % Novice | | |
| 9.1 | Estimate the distribution of experience for local staff involved in TAA case management (percentage of staff): | % Expert | | |
| 9.2 | | % Intermediate | | |
| 9.3 | | % Novice | | |
| 10 | Is new client intake conducted by state merit staff or non-merit staff? | | | |
| 11 | Are the case managers most closely working with TAA participants state merit staff or non-merit staff? | | | |
| 12 | Are TAA case managers centrally organized or locally managed? | | | |
| 13 | Is the creation of standardized operating procedures or similar products done centrally or locally? | | | |
| 14 | Does your state use standardized TAA forms (eligibility, individualized employment plans, training plans, etc.) across local areas? | | | |
| 15 | What is your cost allocation methodology for American Jobs Center infrastructure costs? | | | |
| 16 | What unit develops public information materials (not forms) for TAA in your state? | | | |
| 17.1 | For each method for identifying layoffs, select the best description of its role in your state's process for determining when to file petitions. (Systematized indicates a process with a clear protocol and schedule. It may or may not include electronic automation.) | Warn Notices | | |
| 17.2 | | UI Records | | |
| 17.3 | | Direct Notice from Companies | | |
| 17.4 | | Notice from Workers | | |
| 17.5 | | Notice from Union Officials | | |
| 17.6 | | News Articles or Media Reports | | |
| 17.7 | | Social Media | | |
| 17.8 | | Workforce Program Partners | | |
| 18.1 | For each group, select the most appropriate description of their responsibility for filing a TAA petition. | TAA State Staff | | |
| 18.2 | | TAA Local Staff | | |
| 18.3 | | Rapid Response State Staff | | |
| 18.4 | | Rapid Response Local Staff | | |

| | | | |
|------------------------|--|--|--|
| | 44 | Rate the level of integration between TAA and WIOA Dislocated Worker (None 0 to High 3): | |
| | 45 | Are TAA and WIOA Dislocated Worker administered by the same agency? | |
| | 46 | Are the same front-line staff (case managers / counselors) providing TAA and WIOA Dislocated Worker services? | |
| | 47 | Rate the level of integration between TAA and WIOA Adult (None 0 to High 3): | |
| | 48 | Are TAA and WIOA Adult administered by the same agency? | |
| | 49 | Are the same front-line staff (case managers / counselors) providing TAA and WIOA Adult services? | |
| | 50 | Rate the level of integration between TAA and RESEA (None 0 to High 3): | |
| | 51 | Are TAA and RESEA administered by the same agency? | |
| | 52 | Are the same front-line staff (case managers / counselors) providing TAA and RESEA services? | |
| | 53 | Is the RESEA program providing early intervention or follow-up services? | |
| | 54 | Does the RESEA program have specific procedures it uses when serving trade-affected workers? | |
| | 55 | Rate the level of integration between TAA and the Local Workforce Development Boards (None 0 to High 3): | |
| | 56 | Rate the level of integration between TAA and Business Services (None 0 to High 3): | |
| | 57 | Rate the level of integration between TAA Remedial Training and Adult Basic Education (None 0 to High 3): | |
| | 58 | Rate the level of integration between TAA and Adult Education (None 0 to High 3): | |
| | 59 | Rate the level of integration between TAA and Apprenticeship (None 0 to High 3): | |
| | 60 | Rate the level of integration between TAA and JVSG/Veterans (None 0 to High 3): | |
| | 61 | Rate the level of integration between TAA and Vocational Rehab (None 0 to High 3): | |
| | 62 | Rate the level of integration between TAA and SNAP 50/50 (None 0 to High 3): | |
| | 63 | Does your state currently utilize a common exit policy? | |
| | 64 | What is your state co-enrollment policy for TAA participants and WIOA Adult? | |
| | 65 | What is your state co-enrollment policy for TAA participants and WIOA Dislocated Worker? | |
| | 66 | Does your state have a performance reporting or data analysis unit that incorporates TAA? | |
| | 67 | Are there designated staff specializing in TAA data? | |
| | 68.1 | That unit provides data and analysis to: | DOL |
| | 68.2 | | State Stakeholders |
| | 68.3 | | Local Stakeholders |
| | 69 | How many different IT systems are used in the generation of the TAA PIRL? | |
| | 70 | What type of system is your current case management system? | |
| | 71 | What is your primary case management vendor (if any)? | |
| | 72 | Has your state used TAA case management funds for IT upgrades in the last 3 years? | |
| | 73 | Date of last major IT upgrade to TAA Case Management System(s) completed? | |
| | 74 | Estimated completion date of next expected major IT upgrade to TAA Case Management System(s), if known? | |
| | 75 | Date of last major IT upgrade to UI System(s) completed? | |
| | 76 | Estimated completion date of next expected major IT upgrade to UI System(s), if known? | |
| | 77 | Date of last major IT upgrade to Financial System(s) completed? | |
| | 78 | Estimated completion date of next expected major IT upgrade to Financial System(s), if known? | |
| | 79 | What best describes the current use of electronic files by your Case Managers? | |
| | 80 | What best describes how signatures are collected from participants? | |
| | 81.1 | Select the best category for what IT solutions are provided to conduct each task. Refer to the following definitions: | Participant job search? |
| | 81.2 | | Provide contact information for case managers? |
| | 81.3 | Integrated System: State provided system for conducting multiple tasks, including this one. Separate System: State provided system with the primary purpose of completing this specific task. | Direct asynchronous communication (like email) between participants and case managers? |
| | 81.4 | Non-Integrated Commercially Available Tools: standard tools such as email, basic websites, and meeting software. Not Available: the State does not provide IT solutions. | Direct synchronous communication (like real-time chat) between participants and case managers? |
| | 81.5 | | Provide information on the TAA Program? |
| | 81.6 | | Provide participants information on their individual TAA eligibility? |
| | 81.7 | | Provide participants information on their eligibility for individual benefits? |
| | 81.8 | | Participant completion of required forms? |
| | 82 | What best describes the electronic completion of TAA forms? | |
| | 83 | Does your state currently utilize a common exit policy? | |
| | 84 | Is your TAA case management system shared with other Workforce Programs? | |
| | 85 | What is your IT cost allocation methodology? | |
| | 86 | How centralized is the management of your IT systems? | |
| Training for TAA Staff | 87.1 | How is training delivered to state and local staff? | Handbook |
| | 87.2 | | Conferences (Select Frequency) |
| | 87.3 | | Webinars (Select Frequency of New Webinars Created) |
| | 87.4 | | Regular Conference Calls (Select Frequency) |
| | 87.5 | | Online Forums or Similar |
| | 87.6 | | Document Depot |
| | 87.7 | | New Employee Orientation |
| | 87.8 | | Other |
| | 88.1 | For the following challenges, select the appropriate description of the significance of this barrier: | Companies Not Informed About TAA Program |
| | 88.2 | | Identifying Potentially TAA Eligible Layoffs |
| | 88.3 | | Difficulties Filing TAA Petitions |
| | 88.4 | | TAA Petition Processing Time |
| | 88.5 | | Difficulties Determining Individual Program Eligibility |
| | 88.6 | | Difficulties Determining Individual Benefit Eligibility |
| | 88.7 | | Difficulties Understanding TAA Guidance/Regulations/Law |
| | 88.8 | | Reaching Affected Workers |
| 88.9 | | Workers Not Informed About TAA Program | |
| 88.10 | | Worker Disinterest in Program | |
| 88.11 | | Worker Unwillingness to Complete Paperwork | |
| 88.12 | | Language Barriers | |
| 88.13 | | Difficulties Obtaining Information from Other State Agencies | |
| 88.14 | | Staffing | |
| 88.15 | | Funding | |
| 88.16 | | IT Resources for TAA-Related System Upgrades | |
| 89.1 | Indicate your level of interest in being further connected with similar or peer states (similarly sized, organized, or with similar challenges): | Sharing of Contact Information and Strengths or Challenges | |
| 89.2 | | Establishment of Email Groups or Similar for Exchanging Information | |
| 89.3 | | Participation in Regularly Occurring Meetings or Subgroups | |

| | | | |
|-------|--|---|--|
| 90.1 | Indicate your level of interest in being further connected with neighboring states: | Sharing of Contact Information and Strengths or Challenges | |
| 90.2 | | Establishment of Email Groups or Similar for Exchanging Information | |
| 90.3 | | Participation in Regularly Occurring Meetings or Subgroups | |
| 91.1 | Strengths Assessment: For each subject area, please indicate if you believe your state has a promising practice, urgent technical assistance need, non-urgent technical assistance want, or none of the above: | Pre-Layoff Outreach to Companies | |
| 91.2 | | Rapid Response and TAA Orientations | |
| 91.3 | | Petition Filing | |
| 91.4 | | Collection of Worker Lists | |
| 91.5 | | Worker Notifications | |
| 91.6 | | Outreach to Adversely Affected Workers | |
| 91.7 | | Outreach to Adversely Affected Incumbent Workers | |
| 91.8 | | Worker Eligibility Determinations | |
| 91.9 | | Worker Intake | |
| 91.10 | | Co-Enrollment and Workforce Integration | |
| 91.11 | | Employment and Case Management Services | |
| 91.12 | | Participant Engagement | |
| 91.13 | | Participant Assessments | |
| 91.14 | | Individualized Employment Plans | |
| 91.15 | | Training Eligibility | |
| 91.16 | | Training Completion | |
| 91.17 | | Training Flexibilities | |
| 91.18 | | Work-Based Learning | |
| 91.19 | | TRA Eligibility Determinations | |
| 91.20 | | RTAA Eligibility Determinations | |
| 91.21 | | Job Search Allowances | |
| 91.22 | | Relocation Allowances | |
| 91.23 | | Staff Training | |
| 91.24 | | Monitoring | |
| 91.25 | | Participant Reporting | |
| 91.26 | | Financial Reporting | |
| 91.27 | | TAA Data Integrity (TAADI) | |
| 91.28 | | Data Validation | |
| 91.29 | | Efforts to Improve Outcomes | |
| 91.30 | | Data Analysis | |
| 91.31 | | Leveraging Data for External Stakeholders | |
| 91.32 | | Leveraging Data for Program Improvement | |
| 92 | Would you like your strengths assessment in Question #84 to be shared with other states to facilitate technical assistance? | | |
| 93.1 | With what frequency do you utilize the following technical assistance resources? | Guidance such as TEGLs and TENs | |
| 93.2 | | Live WorkforceGPS Webinars | |
| 93.3 | | Recorded WorkforceGPS Webinars | |
| 93.4 | | WorkforceGPS Blog Posts | |
| 93.5 | | Practitioner Resources Webpage for Petition Filing | |
| 93.6 | | Practitioner Resources Webpage for Benefits and Services | |
| 93.7 | | Practitioner Resources Webpage for Participant Reporting | |
| 93.8 | | TAA Reporting FAQ Sheets | |
| 93.9 | | WIOA Reporting Resources | |
| 93.10 | | Practitioner Resources Webpage for Financial Reporting | |
| 93.11 | | TAA Reporting and TAADI Ask Me Anything (AMA) Sessions | |
| 93.12 | | TAA Financial Ask Me Anything (AMA) Sessions | |
| 93.13 | | TAA Policy Office Hours | |
| 93.14 | | Communication with TAA Regional Contacts | |
| 93.15 | | Communication with TAA National Office Contacts | |

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Affirmation of Information

Knowingly falsifying any information on this form is a Federal offense (18 USC § 1001) and a violation of the Trade Act (19 USC § 2316). By signing below, you agree to the following statement:
"Under penalty of law, I declare that to the best of my knowledge and belief the information I have provided is true, correct, and complete."

| | |
|--|------------------------|
| | |
| Name | Title |
| | |
| Email | State Workforce Agency |
| | |
| Signature (may be electronically signed with /s/ Name) | Date |

This table should be completed for all worker notifications sent during the prior fiscal year (Oct 1st through S

- The petition number should include the numeric and suffix letters (if applicable) such as 95000A.
- The date of first worker list request, is the date in which any initial contact with the company requesting the list.
- Did the company provide the worker list should be marked as Yes if the company provided any worker list, even if it was incomplete.
- The number of workers notified consists of a count of all workers notified of potential eligibility through any in-person or written notification.
- Notes are optional, but allow states to share information explaining the numbers such as difficulty obtaining the list, or other factors.

| Petition Number (with Suffix) | Date of First Worker List Request | Did the Company Provide the Worker List? | # on Worker List | Date of First Worker Notification | # of Workers Notified |
|----------------------------------|---|---|---------------------|---|--------------------------|
| Total | - | | 0 | - | 0 |
| | | | | | |

ept 30th).

st was made.
en if incomplete.
individualized method.
re worker list, explanations

Notes
(Optional)