

# U.S. Department of Labor

Employment and Training Administration  
Office of Trade Adjustment Assistance

ETA Form-9189, TAA Administrative  
Collection of States  
OMB No. 0  
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 is 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 <b>state administration such as policy and other staff</b> ? 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 <b>performance reporting and data analysis</b> ? 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 <b>fiscal reporting</b> ? 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 <b>indirect participant support</b> 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 <b>direct participant support</b> 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		



		Informal	
43.10			
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 Participant job search?	Participant job search?	
81.2	conduct each task. Refer to the following definitions:	Provide contact information for case managers?	
81.3	<b>Integrated System:</b> State provided system for conducting multiple tasks, including this one.	Direct asynchronous communication (like email) between participants and case managers?	
81.4	<b>Separate System:</b> State provided system with the primary purpose of completing this specific task.	Direct synchronous communication (like real-time chat) between participants and case managers?	
81.5	<b>Non-Integrated Commercially Available Tools:</b> standard tools such as email, basic websites, and meeting software.	Provide information on the TAA Program?	
81.6	<b>Not Available:</b> the State does not provide IT solutions.	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?		
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	

IT Systems and Reporting

Training for TAA Staff

89.3	with similar challenges):	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	<b>Strengths Assessment:</b>	Pre-Layoff Outreach to Companies	
91.2	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:	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	

94

**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 about why there may be particular gaps between worker list and number notified, 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

Sept 30th).

st was made.

in if incomplete.

dividualized method.

re worker list, explanations

Notes  
(Optional)