Lower Savannah Council of Governments

LOWER SAVANNAH WORKFORCE INVESTMENT AREA

SC WORKS LOWER SAVANNAH

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LSWIA TAA INSTRUCTION: **FY'11-01**
ISSUANCE DATE: **FEBRUARY 8, 2012**
EFFECTIVE DATE: **IMMEDIATELY**
SUBJECT: **TAA PARTICIPANT HARD COPY CASE FILES**

PURPOSE: To adopt and issue the State's revised policy concerning file management and record retention of Trade Adjustment Assistance (TAA) Program Participant Hard Copy Case Files.

POLICY: Effective JANUARY 30, 2012 AND FORWARD, the TAA Participant Hard Copy Case Files shall be managed according to the attached State Instruction, as adopted in full by the Lower Savannah Region.

ACTION: All applicable Lower Savannah Workforce Investment Area (LSWIA) sub-recipients, contractors, service providers, one-stop workforce/career center operators, and other applicable organizational elements **will** implement and comply with these instructions, as well as any related instructions contained in applicable contractual agreements.

Please copy and distribute this information appropriately within your agency.

INQUIRIES: Direct all inquiries regarding this Instruction to the Lower Savannah Council of Governments' Workforce Development Staff, Post Office Box 850, Aiken, South Carolina 29801-0850; telephone (803) 649-7981; fax (803) 649-2248; or e-mail sjordan@lscog.org.

Samuel "Sam" R. Jordan
Workforce Development Administrator

SRJ/dabh

Attachments: E & T State Instruction #11-07

Distribution: Placed on LSWIA Website under TAA Instructions

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Nikki R. Haley
Governor

Abraham J. Turner
Executive Director

EMPLOYMENT AND TRAINING STATE INSTRUCTION NUMBER: 11-07

TO: TAA Case Managers

SUBJECT: TAA Participant File Management

ISSUANCE DATE: October 21, 2011

EFFECTIVE DATE: October 21, 2011

PURPOSE: To revise the State policy concerning file management and record retention of Trade Adjustment Assistance (TAA) Program participant hard copy case files.

POLICY: TAA participants may have more than one period of participation per petition and, therefore, would have more than one TAA Application ID Number (APPID). Each APPID will have a different Participation Date and Exit Date.

One file per participant per APPID should be maintained. Both the TAA APPID and State ID are to be documented on the file label. Additional information may be included, if deemed necessary; however, Social Security Numbers are not to be used for identification purposes.

It is recommended that only one file containing both TAA and WIA information be maintained for WIA co-enrolled participants.

Required source documents for all TAA Participants:

All required forms and printouts should be complete, properly filled out, dated, and signed by both the participant and TAA Case Manager, unless noted otherwise. Applications and determinations must be maintained whether approved or denied.

- TAA Eligibility Determination
- Amended TAA Eligibility Determination
- Benefit Rights and Obligations Form (BRO)
- Proof of Selective Service registration when www.sss.gov is not used
- Copy of Participant's Driver's License (or other State-issued ID)
- Copy of Disability Documentation
- Citizenship/Alien Status Verification
- Veteran or Eligible Spouse Documentation

- ETA-857, Entitlement Determination (original and all amended):
  - TRA
  - RTAA
  - ATAA
- Bona Fide Application for Training (only for ≤ 69,999 and 80,000+)
- Basic TRA Deadline Extension Request Form
- Waiver of Training Requirements
- TAA Approved Training Application (incl. all possible revisions)
- TAA Transportation Assistance Application (incl. all revisions)
- Commuting Distance Self-Attestation
- Training Information Packet & Release of Information
- Participant Attestation (For Interruption of Training)
- Health Care Provider Attestation (For Interruption of Training)
- TRA Benefits Waiver (Refusal of Training)
- ATAA/RTAA Application
- Job Search Allowance Application
- Job Search Allowance Reconciliation
- Relocation Allowance Application
- Relocation Allowance Reconciliation

Hard copy case files for the TAA Program should be retained for the following timeframes:

- Enrolled TAA Participants – Five (5) years from the end of the fiscal year (FY) based on the year the participant exited from the TAA program.

- TAA Applicants (Partial Applications, Applied but Never Enrolled, and Denied Applications) – Three (3) years from the end of the FY based on the date of the application.

Confidential information, such as medical records, documents pertaining to criminal history, etc. will continue to be kept in a separate folder, in a separate, locked file cabinet.

ACTION: You are responsible for the appropriate maintenance and retention of TAA Participants' hard copy case files.

INQUIRIES: Questions regarding this instruction may be directed to Silvia Middleton at (803) 737-2583 or smiddleton@dew.sc.gov.

Nicholas J. Anderson, PhD
Assistant Executive Director
Employment and Training