Lower Savannah Council of Governments

Lower Savannah Workforce Investment Area

Workforce Development Board / Workforce Development Department

onestop Lower Savannah Workforce System

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TAA LSWIA INSTRUCTION NUMBER: 08-03

TO: See Distribution Below
ISSUANCE DATE: May 5, 2008
EFFECTIVE DATE: IMMEDIATELY
EXPIRATION DATE:

SUBJECT: TRADE PARTICIPANT FILE MANAGEMENT

PURPOSE:

The purpose of this Instruction is to issue State policy concerning file management and record retention of Trade Adjustment Assistance (TAA) Program participant paper files.

POLICY:

Effective **MAY 5, 2008**, for transition Trade participants registered in TAA prior to February 1, 2008, separate TAA and WIA files can be maintained. For new Trade participants registered in TAA February 1, 2008 and forward, efforts should be made to maintain one file that includes separate compartments for WIA and TAA. Trade files should be maintained per TAA Application Identification (APPID). For Trade participants who are co-enrolled in WIA, the TAA APPID and the WIA APPID should BOTH be written on the outside of the file. TAA participants may have more than one period of participation for the same petition and therefore would have more than one TAA APPID for that petition. Each TAA APPID will have a different participation date and exit date.

NEW TRADE PARTICIPANTS *(registered in TAA February 1, 2008 and forward)*

All forms and printouts should include the Signature of the Customer and a TAA/WIA Staff member, unless otherwise noted. The TAA file should contain the following **ORIGINAL** forms:

- TAA Referral Form
- TAA/TRA Determination (copy)
- Benefit Rights and Obligations (BRO)
- TAA Application (VOS screens along with required verifications)
- Waiver of Training Requirements
- Bona Fide Application for Training
- Next Step Case Notes (VOS case notes should document the next waiver review date and the required re-employment activities/assignments due by the next waiver review date, along with the participant's signature. If the waiver review was not conducted in person, do not print the case note. Staff signatures are not required on case notes.)

- Revocation of Waiver Warning Letters, if applicable (copy; participant's signature not required)
- Revocation of Waiver Letter (copy; participant's signature not required)

For Trade participants assessed for training, the file should also include the following additional signed **ORIGINAL** forms:

- Transportation Assistance Application (complete even if customer travels less than 51 miles one-way for training)
- Training Approval Criteria (the initial Training Approval Criteria and all amended forms)
- TAA & WIA Customer Scholarship Budget (participant's signature not required)
- TAA Weekly Attendance (copy)

*Additional signed **ORIGINAL** forms*, as applicable, that should be included in the file:

- Job Search Allowance Application
- Relocation Allowance Application
- Relocation Allowance Reconciliation
- Alternative Trade Adjustment Assistance (ATAA) Application (copy)
- Appeal Application (copy)
- Appeal Decision from Employment Security Commission (ESC) (copy)

RECORD RETENTION

Hard copy case files for Trade should be maintained for the following timeframes:

- Enrolled Trade Participants – five (5) years from the end of the fiscal year (FY) based on the year the participant exited from the Trade Program.
- Partial/Applied but Never Enrolled – three (3) years from the end of the FY based on the date of the application.

TRANSITIONED TRADE PARTICIPANTS *(Registered in TAA prior to February 1, 2008)*
The following ESC forms, where applicable, should be included in Trade participants' files:

ESC FORM NUMBER	ESC FORM NAME	DESCRIPTION
TAA-4 or 4B	Training waiver/revocation of waiver	Used to issue waivers and document waiver reviews. Also used as the waiver revocation.
ETA-857 TAA/TRA	Entitlement Determination to TAA & TRA	Determination of eligibility for TAA, TRA, and ATAA. Also gives the weekly TRA allowance amount; referred to as the "857" or the "Determination".
ETA-857 TRA	Entitlement Determination to TRA, as Amended	Used to amend determinations and to indicate ineligibility to TRA. Also used to indicate weeks of Additional TRA.
ETA-858 (to include any amended forms)	Request for Occupational Training & Allowances while in Training	Training Approval form, the bona fide application, and transportation request all in one form
ATAA-1	Request for Determination of Entitlement to ATAA	Application to apply for ATAA participation
UCB-264	ES-UI Communication – Approved Training	Used when participant dropped out of training; did not meet training requirements (e.g., unsatisfactory progress); or completed training.

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 on this Instruction to the Lower Savannah WIA Workforce Development Staff, Lower Savannah Council of Governments, Post Office Box 850, Aiken, South Carolina 29802-0850, telephone 803-649-7981, fax 803-649-2248, or e-mail Sam Jordan at sjordan@lscog.org, Sally Sharpe at ssharpe@lscog.org, or Les Johnson at ljohnson@lscog.org.

Samuel "Sam" R. Jordan
Workforce Development Administrator

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