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STATE INSTRUCTION NUMBER 18-04

To: WED Area Directors
WED Regional Managers
TAA Workforce Consultants
TAA Regional Coordinators
Local Workforce Area Administrators

Subject: TAA Participant Source Document Management

Issuance Date: August 10, 2018

Effective Date: Immediately

Purpose: This guidance provides updated information concerning the management of source documents for Trade Adjustment Assistance (TAA) program participants. **This policy rescinds State Instruction 14-01.**

Background: TAA regulations require source documents pertaining to the administration of the TAA program to be properly completed and maintained. Source documents are original records that substantiate the data reported to the Department of Labor as required by the Trade Act, its amendments, federal regulations, and Employment and Training Administration (ETA) guidance. Maintaining TAA participant and applicant records as required by this policy is necessary to ensure the validity of TAA program data reported by the State.

Policy: All required source documents must be properly completed, dated, and signed by both the participant and TAA Workforce Consultant, unless noted otherwise. All applications and determinations must be maintained whether approved or denied. All TAA source documents must be scanned and saved as a legible image document (e.g., PDF, GIF, TIFF), and uploaded to the SC Works Online Services (SCWOS) system within three (3) business days of completion.

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 based on the year the participant exited the TAA program.
- TAA Applicants (Partial Applications, Applied but Never Enrolled, and Denied Applications)—three (3) years from the end of the fiscal year based on the date of the application.

TAA Source Documents

Intake Documents:

- Benefit Rights and Obligations Form (BRO)
- Bona Fide Application for Training (only for participants covered under the 2002 and 2014 Amendments)
- Citizenship/Alien Status Verification
- Copy of Disability Documentation*
- Copy of Participant's Driver's License (or other State-issued ID)
- Law Benefits Election Form (only for participants covered under the 2011 Amendment)
- Proof of Selective Service Registration (when www.sss.gov is not used)
- TAA Eligibility Determination (incl. all amendments)
- Veteran or Eligible Spouse Documentation

Interruption of Training/Training Hold Documents:

- Healthcare Provider Attestation (For Interruption of Training)*
- Participant Attestation (For Interruption of Training)

Job Search and Relocation Allowance Documents:

- Job Search Allowances Benefit Rights, Obligations, and Application
- Relocation Allowance Application
- Relocation Allowance Reconciliation

On-the-Job Training (OJT) Documents:

- TAA OJT Benefit Rights and Obligations Form
- TAA OJT Contract, incl. Attachments A – C (incl. all modifications)
- TAA OJT Progress Report and Invoice forms (incl. all supportive documentation)

Training Documents:

- Commuting Distance Self-Attestation
- Copy of Approved Occupational Skills Training Curriculum (incl. prerequisites)
- Online Training Justification Form
- Progress Reports and/or Grades for Classroom Training
- TAA Approved Training Application (incl. all revisions)
- TAA Transportation Assistance Application (incl. all revisions)
- Training Attendance Form Instructions
- Training Information Packet & Release of Information
- Training Justification and Recommendation Form

Waiver Documents:

- Basic TRA Deadline Extension Request Form
- TRA Benefits Waiver (Refusal of Training)
- Waiver of Training Requirements

Other Documents:

- ATAA/RTAA Application
- Individual Employment Plan (IEP)
- Warning and Revocation Letters

***Confidential information, such as medical records, documents pertaining to criminal history, and documents pertaining to disabilities must be kept in a separate hard copy case folder, and the folder maintained in a separate, locked file cabinet.**

Action: TAA Workforce Consultants are responsible for the appropriate maintenance of TAA source documents and participants' hard copy case files. Please ensure that all appropriate staff receive and understand this policy.

Inquiries: Questions may be directed to Policies and Procedures at PolnPro@dew.sc.gov.



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