



Indiana Department of Workforce Development

Dislocated Worker Unit (DWU)

Trade Adjustment Assistance (TAA) Technical Guidance

February 21, 2017

Technical Guidance#: DWU 2017-01

Topic: TAA Electronic Document Storage

The following Trade Adjustment Assistance forms and associated documents are to be uploaded into the State's case management system for purposes of participant appeal rights, monitoring, and data validation:

- ✓ USDOL Petition
- ✓ I-9 Documentation
- ✓ Signed TAA Application
- ✓ Benefits Rights and Responsibilities Acknowledgement (*signature page only*)
- ✓ 855
- ✓ TRA Initialization/Discontinuation form
- ✓ TAA Waiver from Training
- ✓ RTAA Application
- ✓ Job Search Allowance
- ✓ Relocation Allowance
- ✓ Signed IEP (*initial and all update/reviews*)
- ✓ TAA Training Plan Submission Packet
- ✓ TAA Training Plan Modification
- ✓ Student Handbook Acknowledgement (*signature page only*)
- ✓ Attendance forms (*including schedules, midterm, and final grades*)
- ✓ Training Credential/Degree
- ✓ Student Reimbursement Request
- ✓ Student Travel Reimbursement Request
- ✓ Warning Letter (*series*)
- ✓ TAA Training Exit form
- ✓ TAA Successful Exit letter

The DWU is requesting that the TAA documents listed above to be scanned and attached to the customer's record within the state's case management system. Hard files may be kept at the local level at the discretion of each region. However, all case management TAA documents must be electronically accessible to DWD leadership and DOL/DWD monitors.

Case managers should follow the naming convention provided in the Activity Document and Case Note Guide provided by the DWU with the ICC guides in October 2016. The "Guide" can be located on the Field Operations Resource portal, TAA Program, TAA Documents and Forms section at:

<https://webapps.dwd.in.gov/fieldOps/>.

Any questions regarding this technical guidance should be directed to the Dislocated Worker Unit through the DWD Trade Act – Training Plans email box (TAATrainingPlans@dwd.in.gov).

Required Documentation	Related ICC Activity	Name of Form/Document for Upload	Naming Convention for Scanned Document
USDOL Petition	Eligibility Determination; Objective Assessment	USDOL Petition	USDOL Petition: Last Name_Last 4 SSN_ Petition
I-9 Documentation	Eligibility Determination; Objective Assessment	<i>See Acceptable I9 Documentation</i>	I-9 Documentation: Last Name_Last 4 SSN_I9 Docs
TAA Program Application	Eligibility Determination; Objective Assessment	Program Application from ICC	Signed TAA Application: Last Name_Last 4 SSN_ TAA Program App
Benefit Rights and Responsibilities	TAA Next Steps	Benefits Rights and Responsibilities	Benefits Rights and Responsibilities Attestation: Last Name_Last 4 SSN_ BRR
855 Series	TAA Next Steps	ETA 855	855 Series Documentation: Last Name_Last 4 SSN_855
Individual Employment Plan (IEP)	TAA IEP Development Session; IEP Review Session	All signed Initial and Review/Update IEP documents from ICC	Initial IEP: Last Name_Last 4 SSN_IEP Development IEP Review Session: Last Name_Last 4 SSN_IEP Review
TRA Initialization/Discontinuation Form	TAA TRA-B (Basic); TAA TRA-A (Additional) TAA TRA-C (Completion)	TRA Initialization and Discontinuation Form	TRA Initialization: Last Name_Last 4 SSN_ TRA [Enter Basic, Additional, Completion] Initialization TRA Discontinuation: Last Name_Last 4 SSN_ TRA [Enter Basic, Additional, Completion] Discontinuation
TAA Waiver of Training	"Create Waiver Entry" section in ICC as well as TAA Waiver Poor Health; TAA Waiver Training Not Available; TAA Waiver Enrollment Unavailable	Request for Waiver of Training Requirement	Initial Waiver: Last Name_Last 4 SSN_Initial Waiver Waiver Extension: Last Name_Last 4 SSN_Waiver Extension Waiver Revocation: Last Name_Last 4 SSN_Waiver Revocation
RTAA Application	TAA Reemployment Trade Assistance (RTAA)	Trade Adjustment Assistance Wage Subsidy Application	RTAA Application: Last Name_Last 4 SSN_RTAA App
Job Search Allowance	TAA Job Search Allowance	Request for Job Search Allowance	Job Search Allowance: Last Name_Last 4 SSN_JS Allowance MMYYYY
Relocation Allowance	TAA Relocation Allowance	Request for Relocation Allowance	Relocation Allowance: Last Name_Last 4 SSN_Relocation Allowance
TAA Training Plan Submission Packet	TAA Training Plan Development	TAA Training Plan Application	TAA Training Plan Submission: Last Name_Last 4 SSN_ TAA Training Plan
Researching the Occupation/ Training Provider Packet	TAA Training Plan Development	Training Research Packet	Researching the Occupation/Training Provider: Last Name_Last 4 SSN_Training Research
Student Handbook	TAA Training Plan Development	TAA Student Handbook	TAA Student Handbook: Last Name_Last 4SSN_Stud Hndbk
TAA Training Plan Modification	TAA Training Plan Review Session	TAA Training Plan Modification Request	TAA Training Plan Modification: Last Name_Last 4 of SSN_Modification_MMYYYY (adding the month and year will allow for multiple modifications to be scanned and identified individually)

Required Documentation	Related ICC Activity	Name of Form/Document for Upload	Naming Convention for Scanned Document
Attendance Form	Monthly Check-in/Follow Along During Participation	TAA Attendance Verification Form	Attendance Form: Last Name_Last 4 SSN_MMYYYY Attendance
Class Schedule	Monthly Check-in/Follow Along During Participation	Class schedule from training provider	Class Schedule: Last Name_Last 4 SSN_ Semester Name YYYY Schedule (Example: Smith_1234_Fall2016_Schedule)
Midterm/Final Grades	Monthly Check-in/Follow Along During Participation	Grade report or transcript from training provider	Semester Grades: Last Name_Last 4 SSN_ Semester Name YYYY Grades (Example: Smith_1234_Fall2016_Grades)
Credential	Training Services	Credential received from training provider or other acceptable documentation	Credential: Last Name_Last 4 SSN_Credential <i>(if more than one credential received indicate a number for each credential. Example: Smith_1234_Credential1; Smith_1234_Credential2)</i>
Student Reimbursement Request	TAA Student Reimbursement	Student Reimbursement Request	Student Reimbursement: Last Name_Last 4 SSN_Reimbursement MMYYY <i>(adding the month and year will allow for multiple reimbursements to be scanned and identified individually)</i>
Student Travel Reimbursement	TAA Travel Allowance while in Training or TAA Subsistence Allowance while in Training	Student Travel Reimbursement Request	Student Travel Reimbursement: Last Name_Last 4 SSN_Travel_MMYYY <i>(adding the month and year will allow for multiple reimbursements to be scanned and identified individually)</i>
First Warning Letter	TAA 1st Warning Letter	3-Step Warning Letter System; Copy of 1st Warning Notice	First Warning Letter: Last Name_Last 4 SSN_First Warning_MMYYYY <i>(adding the month and year will allow for multiple warning letters to be scanned and identified individually)</i>
Second Warning Letter	TAA 2nd Warning Letter	3-Step Warning Letter System; Copy of 2nd Warning Notice	Second Warning Letter: Last Name_Last 4 SSN_Second Warning_MMYYYY <i>(adding the month and year will allow for multiple warning letters to be scanned and identified individually)</i>
Third Warning Letter	TAA 3rd Warning Letter	3-Step Warning Letter System; Copy of 3rd Warning Notice	Third Warning Letter: Last Name_Last 4 SSN_Third Warning_MMYYYY <i>(adding the month and year will allow for multiple warning letters to be scanned and identified individually)</i>
TAA Training Exit Form	Training Services	Request for TAA Training Exit	Training Exit: Last Name_Last 4 SSN_Request for Training Exit
TAA Successful Exit Letter	Training Services	Successful Completion Letter	Successful Completion Letter: Last Name_Last 4 SSN_Successful Completion

Service Code	Activity Description	Provider Name	Service, Course or Contract	Open or Closed Service?	Activity Definition	Case Note Template? (Yes/No)	Name of Case Note Template/Subject Line for Case Note	Scanned Document Required? (Yes/No)
148	TAA Orientation/Rapid Response	DWD	TAA Orientation/Rapid Response	Closed	Service to be entered for TAA Orientation, if not previously entered, to be entered at enrollment into TAA	Yes	TAA Orientation/Rapid Response Template; TAA Orientation/Rapid Response	No
132	Eligibility Determination	DWD	Eligibility Determination	Closed	Service to be entered at enrollment into TAA	Yes	TAA Objective Assessment; Objective Assessment/TAA Program Application	Yes
157	TAA Next Steps	DWD	TAA Next Steps	Closed	Service to be entered when a Next Steps session is conducted	Yes	TAA Next Steps Template; TAA Next Steps <i>Note: Enrollment in Training Deadline case note and TAA Employment and Case Management Services case note are also required when a Next Steps is provided</i>	Yes
203	Objective Assessment	DWD	Objective Assessment	Closed	Service used to initiate a TAA program application	Yes	TAA Objective Assessment; Objective Assessment/TAA Program Application	Yes
125	Job Search/Placement Assistance	DWD	Job Search/Placement Assistance	Closed	Service should be used when conducting staff assisted job search activities	No	NA	No
159	TAA IEP Development Session	DWD	TAA IEP Development Session	Closed	Service to be entered when an IEP is developed for the customer	Yes	TAA Individual Employment Plan (IEP) Development Session Template; TAA IEP Development	Yes
160	TAA IEP Review Session	DWD	TAA IEP Review Session	Closed	Service to be entered when an IEP is updated or reviewed	Yes	TAA IEP Review Session Template; TAA IEP Review	Yes
202	Career Guidance and Planning	DWD	Career Guidance and Planning	Closed	Service to be entered when a counseling and career planning session has been completed	No	NA	No

Service Code	Activity Description	Provider Name	Service, Course or Contract	Open or Closed Service?	Activity Definition	Case Note Template? (Yes/No)	Name of Case Note Template/Subject Line for Case Note	Scanned Document Required? (Yes/No)
147	TAA Training Plan Development	DWD	TAA Training Plan Development	Closed	Service should be entered when a case manager develops a TAA training plan with a customer	Yes	TAA Training Plan Development Template; TAA Training Plan Development Session	Yes
158	TAA Training Plan Review Session	DWD	TAA Training Plan Review Session	Closed	Service to be entered when a TAA training plan is being reviewed for a TAA training plan modification	No	NA	Yes; if Mod. was submitted to DWU
230	TAA Waiver Subject to Recall	DWD	TAA Waiver Subject to Recall	Left Open for duration of initial waiver	Service entered when a waiver for Subject to Recall is issued (Available for 2002 and 2009 law only)	No	It is not anticipated that the DWU will receive any ATAA requests at this time, for additional guidance please contact the DWU.	NA
232	TAA Waiver Marketable Skills	DWD	TAA Waiver Marketable Skills	Left Open for duration of initial waiver	Service entered when a waiver for Marketable Skills is issued (Available for 2002 and 2009 law only)	No	It is not anticipated that the DWU will receive any ATAA requests at this time, for additional guidance please contact the DWU.	NA
233	TAA Waiver Retirement	DWD	TAA Waiver Retirement	Left Open for duration of initial waiver	Service entered when a waiver for Retirement is issued (Available for 2002 and 2009 law only)	No	It is not anticipated that the DWU will receive any ATAA requests at this time, for additional guidance please contact the DWU.	NA
234	TAA Waiver Poor Health	DWD	TAA Waiver Poor Health	Left Open for duration of initial waiver	Service entered when a waiver for Health is issued	Yes	TAA Waiver From Training Template; TAA Waiver From Training	Yes
235	TAA Waiver Delay for Training	DWD	TAA Waiver Delay for Training	Left Open for duration of initial waiver	Service entered when a waiver for a Delay in Training (Enrollment Unavailable) is issued	Yes	TAA Waiver From Training Template; TAA Waiver From Training	Yes

Service Code	Activity Description	Provider Name	Service, Course or Contract	Open or Closed Service?	Activity Definition	Case Note Template? (Yes/No)	Name of Case Note Template/Subject Line for Case Note	Scanned Document Required? (Yes/No)
236	TAA Waiver Training Not Available	DWD	TAA Waiver Training Not Available	Left Open for duration of initial waiver	Service entered when a waiver for Training Not Available is issued	Yes	TAA Waiver From Training Template; TAA Waiver From Training	Yes
342	TAA 28 Day Waiver Review Session	DWD	TAA 28 Day Waiver Review Session	Closed	Service to be entered when a customer completes a 28-day Waiver Review Check-in	No	NA	No
153	TAA 1st Warning Letter	DWD	TAA 1st Warning Letter	Closed	Service to be entered when a 1st Warning Letter is sent to the customer	Yes	TAA Warning Letter Template; TAA 1st Warning Letter	Yes
154	TAA 2nd Warning Letter	DWD	TAA 2nd Warning Letter	Closed	Service to be entered when a 2nd Warning Letter is sent to the customer	Yes	TAA Warning Letter Template; TAA 2nd Warning Letter	Yes
155	TAA 3rd Warning Letter	DWD	TAA 3rd Warning Letter	Closed	Service to be entered when a 3rd Warning Letter is sent to the customer	Yes	TAA Warning Letter Template; TAA 3rd Warning Letter	Yes
300	Occupational Skills Training - Approved Provider (ETPL/ITA)	Choose from available provider to match approved TAA training plan	Choose course of study/certification for approved training	Left Open for Duration of approved training	Service entered when a customer begins an approved TAA Training Plan at a school that is on the approved training provider list	Yes	TAA Occupational Skills Training Template; TAA Occupational Skills Training	Yes (See Credentials or Training Exit on Scanned Document Guide)

Service Code	Activity Description	Provider Name	Service, Course or Contract	Open or Closed Service?	Activity Definition	Case Note Template? (Yes/No)	Name of Case Note Template/Subject Line for Case Note	Scanned Document Required? (Yes/No)
328	Occupational Skills Training - Non Approv Provider (No ITA)	DWD	Choose course of study/certification for approved training	Left open for duration of approved training	Service entered when a customer begins an approved TAA Training Plan at a Non-NTA school	Yes	TAA Occupational Skills Training Template; TAA Occupational Skills Training	Yes (See Credentials or Training Exit on Scanned Document Guide)
335	TAA Occupational Skills Training - Approved by Other State	DWD	Choose course of study/certification for approved training	Left open for the duration of approved training (Indiana Agent State plans only)	Service to be entered when a customer begins approved training when Indiana is Agent State and the Liable State has approved the TAA training plan	Yes	TAA Occupational Skills Training Template; TAA Occupational Skills Training	Yes (See Credentials or Training Exit on Scanned Document Guide)
301	On-The-Job Training	DWD	Choose course of study/certification for approved training	Left Open for Duration of approved training plan	Service entered when a customer begins an approved TAA OJT Training Plan	Yes	TAA On The Job Training Template; TAA On The Job Training	Yes (See Credentials or Training Exit on Scanned Document Guide)

Service Code	Activity Description	Provider Name	Service, Course or Contract	Open or Closed Service?	Activity Definition	Case Note Template? (Yes/No)	Name of Case Note Template/Subject Line for Case Note	Scanned Document Required? (Yes/No)
324	Adult Educ w/ Occ. Skills Training - Approved Provider (ETPL/ITA)	Choose from available provider to match approved TAA training plan	Choose course of study/certification for approved training	Left open for duration of approved training	Service to be entered when a customer begins an approved TAA Pre-Requisite training (ESL/ELL/ABE/HSE)	Yes	TAA Pre-Requisite w/OST Training Template; TAA Prerequisite w/OST Training	Yes (See Credentials or Training Exit on Scanned Document Guide)
333	TAA Remedial Training (for those with GED/HS Diploma)	DWD	Choose course of study/certification for approved training	Left open for the duration of approved training	Service to be entered when a customer begins an approved Remedial training	Yes	TAA Remedial Training Template; TAA Remedial Training	Yes (See Credentials or Training Exit on Scanned Document Guide)
303	Distance Learning	DWD or Choose from available provider to match approved TAA training plan	Choose course of study/certification for approved training	Left Open for duration of Distance Learning courses	Service entered when a customer begins classes in a distance education (online) format	Yes	TAA Distance Learning Template; TAA Distance Learning	Yes (See Credentials or Training Exit on Scanned Document Guide)

Service Code	Activity Description	Provider Name	Service, Course or Contract	Open or Closed Service?	Activity Definition	Case Note Template? (Yes/No)	Name of Case Note Template/Subject Line for Case Note	Scanned Document Required? (Yes/No)
304	Customized Training	DWD or Choose from available provider to match approved TAA training plan	Choose course of study/certification for approved training	Left Open for Duration of approved training plan	Service entered when a customer begins an approved TAA Customized Training plan	Yes	TAA Customized Training Template; TAA Customized Training	Yes (See Credentials or Training Exit on Scanned Document Guide)
314	Apprenticeship Training	DWD or Choose from available provider to match approved TAA training plan	Choose course of study/certification for approved training	Left Open for Duration of approved training plan	Service entered when a customer begins an approved TAA Apprenticeship Training Plan	Yes	TAA Apprenticeship Training Template; TAA Apprenticeship Training	Yes (See Credentials or Training Exit on Scanned Document Guide)
109	Monthly Check-in / Follow Along During Participation	DWD	Monthly Check-in/Follow Along During Participation	Closed	Service should be used when conducting monthly check-in's (including student check-in's) with customer	No	NA	Yes
331	TAA Travel Allowance while in Training	DWD	TAA Travel Allowance while in Training	Left open for duration of approved travel	Service entered when travel has been approved as part of the approved TAA training plan	Yes	TAA Travel Allowance Template; TAA Travel Allowance	Yes

Service Code	Activity Description	Provider Name	Service, Course or Contract	Open or Closed Service?	Activity Definition	Case Note Template? (Yes/No)	Name of Case Note Template/Subject Line for Case Note	Scanned Document Required? (Yes/No)
332	TAA Subsistence Allowance while in Training	DWD	TAA Subsistence Allowance while in Training	Left open for duration of approved subsist.	Service entered when subsistence has been approved as part of the approved TAA training plan	Yes	TAA Subsistence Allowance Template; TAA Subsistence Allowance	Yes
163	TAA Student Reimbursement	DWD	TAA Student Reimbursement	Closed	Service to be entered when a Student Reimbursement is requested	Yes	TAA Student Reimbursement Template; Request for TAA Student Reimbursement	Yes
156	TAA Tutoring	DWD	TAA Tutoring	Left open for duration of Tutoring	Service to be entered when a customer is participating in paid or free tutoring as part of the TAA approved training plan	Yes	TAA Tutoring Template; TAA Tutoring	Yes (See Attendance Verification on Scanned Document Gудie)
149	TAA TRA-B (Basic)	DWD	TAA TRA-B (Basic)	Left open for duration of TRA-B Eligibility	Service to be entered when initializing a TRA-B (Basic) claim	Yes	TRA Initialization Template; TRA [ENTER BASIC, ADDITIONAL, COMPLETION] Initialization	Yes
150	TAA TRA-A (Additional)	DWD	TAA TRA-A (Additional)	Left open for duration of TRA-A Eligibility	Service to be entered when initializing a TRA-A (Additional) claim	Yes	TRA Initialization Template; TRA [ENTER BASIC, ADDITIONAL, COMPLETION] Initialization	Yes

Service Code	Activity Description	Provider Name	Service, Course or Contract	Open or Closed Service?	Activity Definition	Case Note Template? (Yes/No)	Name of Case Note Template/Subject Line for Case Note	Scanned Document Required? (Yes/No)
151	TAA TRA-C (Completion)	DWD	TAA TRA-C (Completion)	Left open for duration of TRA- C Eligibility	Service to be entered when initializing a TRA-C (Completion) claim	Yes	TRA Initialization Template; TRA [ENTER BASIC,ADDITIONAL, COMPLETION] Initialization	Yes
152	TAA Reemployment Trade Assistance (RTAA)	DWD	TAA Reemployment Trade Assistance (RTAA)	Left open for duration of RTAA Eligibility Period	Service to be entered when an RTAA Application is submitted	Yes	RTAA Application; RTAA Application	Yes
161	TAA Alternative Trade Adjustment Assistance (ATAA)	DWD	TAA Alternative Trade Adjustment Assistance (ATAA)	Closed	Service to be entered with ATAA is requested for the customer (Available under 2002 law only)	No	It is not anticipated that the DWU will receive any ATAA requests at this time, for additional guidance please contact the DWU.	NA
237	TAA Job Search Allowance	DWD	TAA Job Search Allowance	Closed	Service entered when a TAA Job Search Allowance is Requested	Yes	TAA Job Search Allowance; TAA Request for Job Search Allowance <i>Note: If customer is requesting a pre-notification for Job Search; Case manager must use the TAA Job Search Allowance Pre-Notification Template</i>	Yes
334	TAA Relocation Allowance	DWD	TAA Relocation Allowance	Closed	Service to be entered when TAA Relocation Allowance is requested for the customer	Yes	TAA Relocation Allowance Template; TAA Relocation Allowance <i>(Note: If customer is requesting a pre-notification for Relocation; Case manager must use the TAA Relocation Allowance Pre-Notification Template)</i>	Yes