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| **1. ELIGIBILITY** |
| **1-a. Liable & Agent state** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **1-b. NOTIFICATION OF DETERMINATIONS &** **APPEALS** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **1-c. petition number, certifications** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **1-D. taa APPLICATION DATE** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **1-e. Immigration Status/Alien**  **Verification** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **1-F. ELIGIBLE VETERAN STATUS** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **1-G. DATE OF ACTUAL DISLOCATION**  | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **2. Program Services and Outcomes**  |
| **2-A. CONCURRENT PROGRAM ENROLLMENT** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **2-B. EMPLOYMENT & CASE MANAGEMENT**  **SERVICES** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **2-C. HEALTH CARE TAX CREDIT (HCTC)** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **2-D. ASSESSMENT** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **2-E. INDIVIDUAL EMPLOYMENT PLAN (IEP)** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |

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| **2-F. JOB SEARCH ALLOWANCE** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |

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| **2-G. SUBSISTENCE & TRANSPORTATION** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **2-H. RELOCATION ALLOWANCE** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **2-I. WIOA SUPPORTIVE SERVICES** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **2-J. WIOA BASIC CAREER SERVICES** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **2-K. WIOA INDIVIDUALIZED CAREER SERVICES** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3. Training services** |
| **ELIGIBILITY**TAA-funded training is allowed for adversely affected incumbent workers (workers who are covered by a certification before their separation from employment);**Part-time & Full-time Training*** **Part-time training** can be approved for Trade Act Petitions 70,000 and above, but without TRA
* **Full-time training***.* Individuals in TAA approved training shall attend training full time, and when other training is combined with OJT attendance at both shall be not less than full-time. The hours in a day and days in a week of attendance in training shall be full-time in accordance with established hours and days of training of the training provider.

**SIX REQUIRED TRAINING CRITERIA****(1) There is no suitable employment** *(which may include technical and professional employment) available for an adversely affected worker.***(2) The worker would benefit from appropriate training.** **(3) There is a reasonable expectation of employment following completion of such training***.* **(4) Training approved is reasonably available to the worker from either governmental agencies or private sources (which may include area vocational technical education schools and employers).** **(5) The worker is qualified to undertake and complete such training.** **(6) Such training is suitable for the worker and available at a reasonable cost.*** The 2015 Act encourages CSAs to approve the use of TAA training to obtain two-year certificates or degrees, or to complete a four-year (or more) degree that has been started and can be completed in **130 weeks** of approved training.
 | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-A. PRE-SEPARATION TRAINING** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-B. PART-TIME TRAINING** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-C. ON-THE-JOB TRAINING (OJT)** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-D. REGISTERED APPRENTICESHIP** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-E. CUSTOMIZED TRAINING** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-f. DATE ENTERED TRAINING** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-g. TRAINING BENCHMARKS** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-h. TRAINING LEAVE OF ABSENCE** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-i. DATE ENTERED TRAINING** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-j. TYPE OF TRAINING SERVICE** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-k. DATE OF MOST RECENT MEASURABLE**  **SKILL GAINS** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-l. DATE COMPLETED OR WITHDREW FROM**  **TRAINING** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-m. DATE ATTAINED DEGREE OR CERTIFICATE**  **OR CREDENTIAL** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **3-n. TYPE OF RECOGNIZED CREDENTIAL** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |

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| **4. TRADE READJUSTMENT ALLOWANCES (TRA)** |
| **Trade Readjustment Allowance (TRA)** means a weekly allowance payable to an adversely affected worker with respect to such worker's unemployment.**3 Types of TRA (2015)*** **26 WKS Basic TRA** is payable if the participant is either enrolled in TAA approved training or looking for work and has either not yet reached the waiver of training deadline or has obtained a waiver of training requirement. Basic TRA can also be paid to participants who are conducting a work search following the completion of TAA approved training.
* **65 WKS Additional TRA** is payable only if the participant is actively attending TAA approved training and has exhausted all rights to Basic TRA. Additional TRA cannot be paid during a break from training that is more than 30 days.
* **13 WKS Completion TRA** is payable only if the participant is attending TAA approved training, has exhausted all rights to Additional TRA and has met specific training benchmarks. Completion TRA cannot be paid for any week the participant isn’t attending training.

TAA eligible workers who are not eligible for TRA benefits because they **did not** meet the qualifying requirements are still eligible to apply for training, job search allowances, relocation allowances, Reemployment Trade Adjustment Assistance (RTAA) wage subsidy for older workers program and reemployment services.**TRA Ineligible*** TRA is not available for individuals participating in OJT
* TRA is not available for individuals while in “break status” from school if break lasts more than 30 days.
* A worker participating in part-time training may not receive a trade readjustment allowance
* An individual who, without justifiable cause, fails to begin participation in an approved training program or ceases to participate in such training, or for whom a waiver is revoked, shall not be eligible for basic TRA, or any other payment under this part 617, for the week in which such failure, cessation, or revocation occurred, or any succeeding week thereafter until the week in which the individual begins or resumes participation in an approved training program.

The 2015 Act provides the **total maximum number of weeks of TRA** for which a worker may be eligible **is 130 weeks** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A**Example documentation may include:*** Case notes documenting contact between the worker, TAA and TRA staff regarding the worker’s participation and continuing eligibility for TAA/TRA services.
* Petition Determination (ETO/Form 57):

Date Applied: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Date Mailed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Wks. from Sep/Cert. to App: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_TAA Eligible: YES or NOTRA Eligible: YES or NO26/26 OR 8/16?Petition #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Certification Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Separation Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Impact Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Expiration Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_TRA Basic Eligibility Timeline: \_\_\_\_\_\_\_\_\_\_\_to\_\_\_\_\_\_\_\_\_\_\_\_Waiver Deadline: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Det. Site UI Appeal Rights?  YES or NODate Applied for TRG: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_If TRG beyond TRA, payment of living expenses explained: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Days from App to TRG Dec.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_TRG Start Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_TRG End Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_TRG Wks. Duration: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  | [ ]  No Action Required[ ]  The Following Action is Required: |

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| **4-A. TRAINING WAIVERS****Waiver Conditions** The 2015 amendments kept three training waiver conditions. An individual must meet one of the three waiver conditions before being issued a waiver of training. If a participant qualifies under more than one reason, only select the one, most applicable reason for issuing a waiver. Participants on waiver must still be able, available and actively seeking work using an EB work search criteria. The three conditions are: 1. **Health** - Training can be waived if an individual is unable to participate in training due to health issues. A letter from a doctor or other appropriate medical documentation is required. 2. **Enrollment unavailable** – When an individual is seriously considering a specific training plan but they cannot enroll in the program right away, or if training will begin later than 60 days after the date of waiver approval, the reason for the delay in enrollment must be noted. 3. **Training not available** – When an individual is not able to find training at a reasonable cost, distance learning options may be available and should be explored; but are not appropriate for all individuals or training programs. **Reviewing & Duration Of Waivers** The first waiver review is done within 90 days of the waiver issue date and subsequent reviews are done every 30 days thereafter. Waivers are effective for not more than 6 months from the date issued. To preserve the participant’s eligibility for TRA, the state TRA Coordinator may approve extending the waiver for another 6 months and for the time necessary to protect the participant’s eligibility for Basic TRA. **Revoking A Waiver** Waivers from training **must be** revoked anytime the conditions of the waiver are no longer applicable. Participants must be notified of the revocation in writing. To be eligible for Additional TRA, participants must be in TAA approved training by the Monday of the first week occurring 30 days after the date of the revocation. **Waiver Expiration** At the end of the 6 month waiver period, if a reassessment of the participant’s case does not indicate a need to extend the waiver period, the waiver will expire and must be revoked. | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/AThe following is documented in either ETO or Client’s paper file regarding a participant’s training waiver: * Deadline date \_\_\_\_\_\_\_\_\_\_\_\_\_\_
* Condition: 1 2 3
* Initially Issued date \_\_\_\_\_\_\_\_\_\_
* 90 Day Review date\_\_\_\_\_\_\_\_\_\_
* Max 3-30 Day Reviews
* Approval to Extend YES or NO
* Denied YES or NO
* Revoked & Notified YES or NO
* Expired YES or NO
* Assessment: Initial, Comprehensive and WOWI were completed:

YES or NO* Waiver is signed and dated by the TAA Counselor and participant: YES or NO
* If not in training when TRA Basic starts, is the EB form (Work Search Directive) signed and dated by the TAA counselor and participant: YES or NO
* Were the Waiver policy and procedures followed?

 YES or NO |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **4-b. MILITARY SERVICE & TRA ALLOWANCE** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **4-C. BASIC TRA** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **4-D. DATE RECEIVED FIRST BASIC TRA**  **PAYMENT** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **4-E. ADDITIONAL TRA** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **4-F. COMPLETION TRA** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **4-g. REEMPLOYMENT TRADE ADJUSTMENT** **ASSISTANCE PROGRAM (RTAA)** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **4-h. DATE & REASON FOR PROGRAM EXIT** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **4-I. DATE ENROLLED IN POST EXIT EDUCATION** **OR TRAINING PROGRAM LEADING TO A**  **RECOGNIZED POST SECONDARY**  **CREDENTIAL** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **4-j. FOLLOW-UP SERVICES** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |

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| **5. Data Validation, Data Integrity** |
| **5-A. ETO** | [ ]  No Data Validation Issues[ ]  Data Validation Issues |  | [ ]  No Action Required[ ]  The Following Action is Required: |
| **5-b. CASE NOTES** | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues |  | [ ]  No Action Required[ ]  The Following Action is Required: |

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| **6. OVERPAYMENTS; PENALTIES FOR FRAUD****Waiver of Recovery of Overpayment****Statute:** Section 243(a)(1) of the 2015 Act reads:*(a)(1) If a cooperating State agency, the Secretary, or a court of competent jurisdiction determines that any person has received any payment under this chapter to which the person was not entitled, including a payment referred to in subsection (b), [on receipt of payments where fraud is involved], such person shall be liable to repay such amount to the State agency or the Secretary, as the case may be, except that the State agency or the Secretary shall waive such repayment if such agency or the Secretary determines that—* *(A) the payment was made without fault on the part of such individual, and* *(B) requiring such repayment would cause a financial hardship for the individual (or the individual’s household, if applicable) when taking into consideration the income and resources reasonably available to the individual (or household) and other ordinary living expenses of the individual (or household),*As under the 2011 Act, and the 2009 Act, Section 243(1) of the 2015 Act requires the Secretary or the CSA to waive recovery of an overpayment of TRA and any other TAA payment under chapter 2 of title II of the Trade Act if “the payment was made without fault” on the worker’s part, and requiring the repayment would cause a financial hardship. Therefore, **20 CFR 617.55(a)(1)(ii) and 20 CFR 617.55(a)(2)(ii) have been superseded by statute and do not apply to the recovery of non-fault overpayments under the 2015 Program (or the 2009 Program or the 2011 Program).** To administer the “financial hardship” waiver criterion, CSAs **must** provide workers determined to have received TAA overpayments a reasonable opportunity to demonstrate that they were without fault and are unable to repay their TAA overpayments and, therefore, are eligible for waivers of overpayments. The determinations granting or denying waivers of overpayments **must** be made in accordance with the requirements of Section 243(a)(1) of the 2015 Act, 20 CFR 617.55(a)(2)(i)(A), and 20 CFR 617.55(a)(3) (in response to a request for a waiver determination). CSAs must develop or use existing procedures under State UI law that substantiate that a financial hardship exists for the individual before issuing a determination that waives the overpayment. CSAs should consider all sources of income, including pensions, UI, social security, disability, rental income, etc. Such items should be measured and compared to existing living expenses such as mortgage or rent, ordinary living expenses such as outstanding debts (including medical debts or credit card debt), and all other expenses (food, utilities, insurance, etc.), and **must determine that both conditions, lack of fault and inability to pay, exist before waiving an overpayment.** Therefore, it is not sufficient to determine agency error and rely on unfairness to waive the recovery of the overpayment. In accordance with 20 CFR 617.51, waiver determinations must be subject to review in the same manner and to the same extent as determinations under the applicable state law. | [ ]  Element Met[ ]  Element Not Met[ ]  Data Validation Issues[ ]  N/A |  | [ ]  No Action Required[ ]  The Following Action is Required: |