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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 $\leq 69,999$ 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

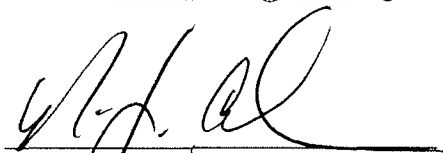
Hard copy case files for the TAA Program should be retained for the following timeframes:

- 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.



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