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STATE EMPLOYMENT SERVICES INSTRUCTION NUMBER: 12-10

TO: Area Directors
DEW Staff Managers
TAA Workforce Specialists
LWIA Administrators

SUBJECT: TAA Participant Source Document Management

ISSUANCE DATE: January 25, 2013

EFFECTIVE DATE: February 1, 2013

PURPOSE: To issue State policy concerning the management of source documents for Trade Adjustment Assistance (TAA) Program participants. This policy rescinds the TAA Memorandum 11-02 (TAA Participant File Management) issued on March 21, 2011.

POLICY: Effective February 1, 2013, it is no longer required for TAA participants to have a hard file record. All new TAA source documents must be scanned into a legible and compatible format and uploaded into the SC Works Online Services (SCWOS) Electronic Document Management System (EDMS). Consequentially, hard files no longer need to be shared between the WIA and TAA programs. However, TAA Workforce Specialists will occasionally need to access documents of current participants.

Required source documents for all TAA Participants:

All required documents should be complete, properly filled out, dated, and signed by the participant and TAA Workforce Specialist, 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)
- Law Benefits Election Form
- 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
- Bona Fide Application for Training (only for ≤ 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)
- Healthcare Provider Attestation (For Interruption of Training)
- TRA Benefits Waiver (Refusal of Training)
- ATAA/RTAA Application
- Job Search Allowances Benefit Rights, Obligations, and Application
- Relocation Allowance Application
- Relocation Allowance Reconciliation

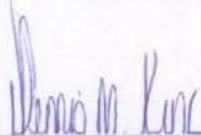
Old hard copy case files for the TAA Program should be retained for the following timeframes:

- Enrolled TAA Participants – Five (5) years from the end of the fiscal year (FY) based on the year the participant exited 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 hard copy case folder, in a separate, locked file cabinet.

ACTION: TAA Workforce Specialists are responsible for the appropriate maintenance of TAA Participants' source documents and hard copy case files.

INQUIRIES: Questions regarding this State Instruction Letter may be directed to Silvia Middleton at (803) 737-2583 or smiddleton@dew.sc.gov.



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