**Slide 1**

Welcome to the Trade Adjustment Assistance (TAA) Reporting Overview. This webcast will go over the basic structure of TAA reporting. I hope this is both helpful for those new to this area and a resource for those trying to keep organized.

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My name is Robert Hoekstra and I work on data reporting for the office of Trade Adjustment Assistance in DOL’s national office.

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The objectives for today are just to orient you to how TAA reporting is organized, including what reports we use, the purposes of those reports, when those reports need to be submitted, and where to find additional resources as you delve deeper into TAA reporting.

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This slide has a lot going on and we will dive into the particular reports as we go through, but I wanted to start with a broad outline of the kinds of data that we use in TAA.

* The first category is participant reporting. This section is the most intensive for states as it includes reporting of participant data as well as mechanisms for ensuring that data is accurate. We will talk about the PIRL, our TAA Data Integrity – or TAADI – process, and state data validation requirements a bit more later.
* Secondly, financial reporting has some particular nuances for the TAA program and we work directly with this data more than many programs. We will briefly touch on the different kinds of grants states receive and how their reporting is different.
* The third category that I listed here is Petition Data. You’ll notice that I didn’t list out any reports in this section because states don’t need to submit anything to us. However, I put it on here because we heavily utilize information on the petitions and the determinations that we generate to quantify TAA activity in the states.
* Finally, we really want to know what states are doing to operate the TAA program. So, we both require states to tell us about the great things you are working on each quarter and do a discrete data collection each year about how your state operates.

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The most obvious take away from that last slide is that TAA works with a lot of data and a lot of reports. We do this for a variety of reasons including having specific reporting requirements in our statute that require us to have data that other programs do not. We also use this data heavily to make sure that the program is being correctly administered and that good state practices can be identified. However, the most important reason we collect this information is to tell the story of the TAA program – particularly through data. This is a great program that provides great benefits for some of those who are in most need of retraining, but with that comes some additional scrutiny. We need to be able to tell the TAA program story and we use this data to do that, and that data needs to be robust.

Historically, GAO and others have criticized the program because data unreliability has made it hard to demonstrate the benefits to the participants. These processes are a key way for us to be able to clearly show the program benefits.

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Alright, let’s jump into participant reporting.

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The first report to talk about is the PIRL, or Participant Individual Record Layout. This is a large file that documents data points for every participant that your state is serving or has served in the last 10 quarters. It is submitted through the Workforce Integrated Performance System, or WIPS, on the 15th day of the second month in the subsequent quarter. For example, for the quarter ending March 31st the report will be due on May 15th. States often submit this as a joint file with other programs, particularly WIOA programs. In fact, much of the data we collect is the same as what is reported under WIOA programs so integration can create efficiencies.

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While much of our data on participation such as demographics and training is the same as WIOA reporting, we do have a number of program-specific reporting elements. Some of the major things we collect that WIOA does not includes information on the TAA petition and eligibility and information on the specific benefits and services provided under TAA such as case management, TRA, and RTAA.

I want to specifically call out TRA and RTAA because these are benefit payments that are provided under Unemployment Insurance grants, even though they are benefits provided in the TAA program. As such, a participant will need to be reported as a TAA participant in PIRL as soon as they receive one of these benefits or any other TAA services.

Also, unlike all other ETA programs, we require accrued expenditures to be reported on the PIRL for training expenditures, benefit payments, job search, and relocation expenditures. This is to meet statutory reporting requirements and plays a big role in TAADI, which we will talk about shortly.

Finally, by law, the TAA program runs on a fiscal year starting October 1st rather than on the WIOA program year that starts July 1st. This means that we finish out our year during the WIOA first quarter of reporting.

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Alright! Before we move on to our next topic, I want to point you to some of the essential resources for TAA PIRL reporting. The first one is our own practitioners page for participant reporting. This is a hub for finding all your resources for TAA and is organized by topic and includes tools, links to webinars, and even a number of frequently asked question sheets covering detailed topics and specific scenarios.

The next three resources are primarily WIOA focused, but you can find a lot of great information on the reporting structure, creating accounts, and other important questions. The Joint PIRL Online Learning Resource not only includes an extensive handbook to how PIRL reporting works across programs, but also includes an e-learning module that steps people through reporting in the PIRL.

Finally, we hold two ask me anything sessions in the couple of weeks leading up to the reporting deadline every quarter specifically for TAA participant reporting where states can bring their questions, talk about changes, or just listen in to find out what other states are struggling with.

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The second part of TAA data reporting is the TAA Data Integrity – which is usually just referred to as TAADI. This is a mechanism that we have been using since 2012 to ensure proper data reporting and use data to see if states are outliers in meeting various expectations and requirements.

Every quarter, approximately three weeks after you submit your PIRL data, you will receive TAADI results. States need to respond to any measures they do not pass. These calculations compare financial data, identify places where data accuracy might be an issue, or places where there might be gaps in program administration. The goal here is to improve data quality over time.

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The quarterly response on missed targets for TAADI is the core feature of TAADI. However, we really see this as a process where states can check their TAADI results on their own even before they submit data. Our official results and your responses are meant as an ongoing conversation to help us identify any technical assistance that might be needed.

Finally, after the 4th quarter of each fiscal year, we conduct a review that might result in areas of concern or findings if the state has not meaningfully taken steps to improve.

Note that as TAADI rolls over into a new fiscal year, we take this opportunity to update measures and targets, as deemed necessary.

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There is a lot more to learn about our TAADI process, so the next step to learn more is to check out these resources to learn more. The most important resource is the Today’s TAADI webcast that Susan Manikowski updates every year to talk in detail about TAADI and really everything you need to know.

There are also important resources on our participant reporting page. You can find our self-check files, our annual review process, and other really great resources.

Finally, in addition to the eight reporting ask me anything sessions each year, we do another two ask me anything sessions just for TAADI every quarter while you are reviewing your results. This allows you to get on the spot technical assistance, provide feedback, or just ask questions.

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The final participant reporting piece is Data Validation. This has been substantially changed in the last couple of years, but is now largely up to states. States are required to have a review process to ensure that the information they submit is accurate and they have some flexibility on what that process looks like. Nothing in data validation is submitted to the Department normally, but it can be subject to monitoring.

The Department does provide information on what specific elements need to be validated and what documentation is sufficient to validate that data. It can be found in TEGL 23-19.

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Let’s move on to financial reporting. Like almost all programs, TAA requires financial reporting on a form called the ETA-9130. That reporting is done on both our program funds and our benefits. These reports are due about the same time as the PIRL, but always due on the 15th of the month for quarterly reporting.

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Training and Other Activities (or TaOA) funds pay for things like training TAA participants, providing them with case management or job search and relocation allowances. It is also the funding that pays for the administration of the TAA program.

This data is reported with the total spent on the grant each quarter and there are specific line items for the four above categories.

By statute, funds can be spent in the year we provide it and the two subsequent years, so most states have 3 grants active at any one time.

To validate this data we use TAADI. We look at the quarterly change in expenditures and compare against what is reported in the PIRL.

The big takeaway is that TAA requires substantial communication between the program staff and the financial reporting staff to ensure that data is accurately reported.

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The other side of TAA funding consists of two grants, one for the Trade Readjustment Allowances, or TRA, that provide funds to participants generally when they are in training and one for the Reemployment Trade Adjustment Allowance, or RTAA, that provides funds for some older workers whose reemployment wages are lower than their prior wage.

These two grants are one-year funds, which means that there is only one grant occurring at any time.

Like our TaOA funds, we compare the aggregate 9130 reports to the quarterly totals in the PIRL through our TAADI process.

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Here are a couple of financial resources. This includes a TEGL that specifies the major requirements around TAA financial reporting, a webinar that addresses common issues such as grant information, cost allocation, and common reporting problems, and a practitioner resources page specifically for financial reporting which includes a TAADI self-check for financial data, webinars, and other important information on things like funding.

The Department also has a financial reporting page that gives copies of forms, details on financial reporting requirements, and information on deadlines.

We include some analysis along with TAADI including spending trends and calculated amounts.

And finally, probably unsurprisingly, we also host ask me anything sessions on financial questions. This only occurs twice a year – generally in January and July, but these questions can also be brought to the 16 other ask me anything sessions on reporting or TAADI.

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Next, let’s talk a little about petition data.

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Okay, so this one is unique because you don’t need to submit anything to us at all! But, we want to make you aware of this data set that we post online that provides information on what groups of workers can be served by TAA.

This is one of our most-used datasets and is incorporated into checking petition numbers reported in PIRL. There is also a lot of other data we make public on our website, so take some time to take a look.

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Lastly, we try to get some information about what states are doing. This allows us to identify interesting and successful practices, identify needs for technical assistance, and better figure out which are your peer states.

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The first way we collect state practices is simply to ask you to tell us about them. When you certify your PIRL file of participant data each quarter, we require the state to enter Efforts to Improve Outcome in the comment box. This is a short narrative just about what your state is working on to make the TAA program better. Data notes should not be included in this field as it is reserved for your Efforts to Improve Outcomes.

We post these responses publicly so that you can also highlight these great things you are doing.

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To learn more about what makes a good response and what should or shouldn’t be included, we have a couple of resources. I am sure you can see the trend here, but you can find all of these resources on the TAA practitioner’s participant reporting site. For Efforts to Improve Outcomes we have both a webinar and a FAQ sheet to talk through all you need to know about what and how to submit this.

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And our final collection is the TAA Administrative Collection of States, or TAAACS. This is a simple, fillable excel sheet that states fill out between the beginning of October and the end of November each year. It provides a snapshot of discrete data about how the state is operating the TAA program for analysis across a bunch of areas from staffing to outreach methods. We can use this data for identifying promising practices, see how states differ, or better pair states with peers.

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We have a couple of webinars about the TAAACS collection including one covering how to fill it out and one on some of our initial findings from our first collection. As always, feel free to reach out with any questions.

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So let’s talk a little about the timeline so we can get our head wrapped around how these pieces come together.

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After the end of a report quarter, states have approximately 6 weeks until the reporting deadline. During this time, there is a lot to do. The PIRL participant report, 9130 financial reports, and Efforts to Improve Outcomes narrative all need to come together to meet that deadline. While preparing these reports, the vast majority of states take advantage of the TAADI Self-Check so they can identify issues and clean up data before submitting.

About three weeks after the reporting deadline, TAADI results will go out and states will need to respond to missed measures.

Finally, States have two obligations once a year, the TAADI annual review and the TAA Administrative Collection.

States also have an ongoing obligation under data validation to have a review process and train on data quality.

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Here is a quick calendar by month of all the deadlines for TAA reporting. Note that the due date for your PIRL, Efforts to Improve Outcomes, and ETA-9130 reports is the 15th of the month irrelevantly of whether that falls on a weekend or holiday.

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Before we finish, I want to call out a couple of things that actually make TAA simpler than other programs such as those that make up WIOA.

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Unlike WIOA programs, the TAA program does not have a separate annual participant report as we put the focus on getting accurate quarterly data though TAADI. We lean on the very small Efforts to Improve Outcomes and the TAAACS to avoid large narrative reports like WIOA’s annual narrative report. We don’t do state negotiation of performance measures or require any reports on training providers.

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Thank you for learning about TAA reporting. We have included a number of resources for each topic throughout this webcast, but there will always be more questions.

Your first point of contact for questions should be your regional lead, which you can find at this link here.

You can also contact me directly or my colleague Susan Manikowski, who is the primary contact on TAADI, but please include your regional contact as well whenever possible.

Thank you!