TAA Administrative Collection of States (TAAACS) Reporting FAQ

Last Updated: 9/20/2024

Contents

Introduction

Q1. What is this FAQ?

This document provides resources on how to answer questions on the TAA Administrative Collection of States (TAAACS), Form ETA-9189 (OMB 1205-0540). It is organized by TAAACS section.

Q2. When is the TAAACS Completed?

The TAAACS is completed annually. The submission window begins on October 1st and ends on November 30th.

Q3. The TAA Program is currently not performing some of these activities, how do I answer the questions?
If the question is designed to collect a number (e.g., how many) and there is no activity in the period, indicate N/A. If the question is asking about "how" the state performs an activity that was not performed in the period, then the answer should provide how the state "would" perform the activity based on state policy or historical practice.

Q4. Is TAAACS Data Released?
Yes. Almost all of the data are available for download or via dashboard on our TAA State Administration Data page. However, a few fields are suppressed from release, as follows:

- Rating Numbers for Level of Integration with Other Programs (Questions 38, 40, 42, 44, 47, 50, 55, 56, 57, 58, 59, 60, 61, and 62)
- Comments (Question 93)
- Affirmation (Name, Title, Email, State Workforce Agency, Signature, Signature Date), but note that the submitting state is included as metadata in the public release.

Q5. If I have questions about the TAAACS, where do I send those?
There are two options. First, state staff are encouraged to present questions during the live Ask Me Anything (AMA) sessions in October and November for states workforce agencies to get any questions addressed. The benefit of this option is that the question and answer may educate other state peers. Outside of the AMA sessions, questions can be emailed to taa.reports@dol.gov with a copy to your Regional TAA Coordinator.

State Organization

Q6. Do staffing numbers in Questions 1 through 5 count every person who works with TAA?
These questions look at Full-Time Equivalent (FTE) numbers. This means that everyone is included, but some staff members may not equate to 1 FTE. For example, if someone spends 10% of their time on TAA then they should be included in the number as 0.1 FTE. If a state has one full time person plus two half time people working on TAA then it should list 2 FTE (1 + 0.5 + 0.5).

Q7. Should staffing numbers include FTE working with TRA and A/RTAA?
Yes! These staff work on the TAA Program and should be included.

Q8. What is the difference between indirect and direct participant support in Questions 4 and 5?
This is the difference between a case manager who is working with the individual participant (direct) versus a staff member supporting one or more case managers. For example, Jane is working with a participant on enrolling in training. Jane is unsure about how to provide funding for books and works with Claire to figure out

the best approach that meets state policy. Jane has provided direct support and Claire has provided indirect support.

Q9. I am having trouble figuring out how many FTE a person works as they straddle multiple programs or multiple categories. How can I figure that out?

One common resource to look at is how your organization accounts for the person's time. For example, what portion of their time is spent on WIOA or TAA activities? This can also be helpful in determining how to split a person's FTE across roles. When calculating, please keep in mind the funding sources for the following roles:

- State Administration is funded by TaOA Administrative funds.
- Performance Reporting and Data Analysis is funded by TaOA Administrative funds.
- Fiscal Reporting is funded by TaOA Administrative funds.
- Indirect Participant Support is funded by TaOA Case Management Funds.
- Direct Participant Support is funded by TaOA Case Management Funds.

Q10. There are numerous people across our local offices that support TAA participants. How do I count them?

These staff need to be included in the FTE count but be aware that this needs to be based on Full-Time Equivalent staff. For example, if you had 20 staff work on TAA during the year, and each only spent 5 percent of their time on TAA, they would be reported as 1 FTE (0.05 x 20).

Q11. Staffing numbers have changed during the fiscal year. What FTE numbers do I report?

The Department is looking for average staffing levels over the course of the year. For example, if a staff member worked on TAA 100 percent for six months, but only 50 percent for the other six months, then they would count as .75 of an FTE. Similarly, if you have 4 FTE working 100 percent on TAA for nine months, and then reduced to three staff that worked full time on TAA for the last 3 months, then the total FTE for the year would be 3.75.

Q12. What does it mean to have "regions" in Question 7?

Some states have an administrative intermediary layer between their state-wide administration and their local boards. If your state has this layer, please tell how many divisions the state is split out by for this layer of administration. If your state does not have this layer, please report zero.

Outreach

Q13. What does it mean for a process to be systematized in Question 17?

If a process is formalized as a standard operating procedure and conducted on a scheduled basis, it is considered systematized. While electronic tools and automation may be part of this process, it is not a requirement for being considered systematized. For example, if there is a standing policy to review the prior week's WARN notices every Monday to determine if there is a Trade layoff, this would be considered a systematized process.

However, if staff only sporadically review WARN notices as part of an ad hoc process for determining whether to file a petition, it would be considered non-systematized.

Q14. What is the difference between a Primary and Secondary Method?
Primary methods represent a method used in all cases, while use of Secondary occurs only if the Primary is unsuccessful. For example, if you contact workers by phone and send a letter by mail whenever possible, both would be primary methods. If you contact workers by phone and only send a letter by mail if you were unable to reach them by phone, then the letter would be considered a secondary method.

Eligibility and Program Benefits

Q15. Eligibility determinations of a particular type may be made by different staff (across units or different administrative levels). How do I answer questions on which group?
If your state allows for different groups to make eligibility determinations, such as allowing both UI or TAA units to determine eligibility or both state and local staff to determine eligibility, please select the appropriate answer for the most common process/group in your state. If there are complexities around who and when those determinations are made, please add comments (see Question 93).

Q16. For training amounts in Questions 30 and 31, we do not have a requirement for a particular threshold but encourage staff to discuss the circumstances when the amounts are large. How do I complete these answers?
In the scenario described above, there is no specific threshold or requirement; in this instance, Question 30 should be “No” and Question 31 should be left blank.

Q17. On Question 34, are you looking for the names of specific tools?
Yes! This section is designed to collect what tools are commonly used in states. As a free-text field, please feel free to add context here or in the Comments (Question 93) if certain tools are only used in specific circumstances.

Q18. What is the difference between a Major, Moderate, and Minor barrier (Questions 37 and 87)?
Barriers that consistently affect whether the activity occurs or is successful count as major barriers (e.g., a barrier that consistently blocks or interferes with the ability to complete the task). Moderate barriers typically are determinative of a meaningful subgroup of occurrences (these barriers may block or interfere with ability to complete the task, but only in some instances). Minor barriers have some effect but are rarely determinative (it is an annoyance but does not block or significantly interfere with the ability to complete the task). DOL recognizes that responses may be subjective.

Integration

Q19. Are the ratings of integration levels made public?
No. Please see the response to Q4. Is TAAACS Data Released?

Q20. When rating the level of integration, what do we mean by None (0) through High (3)?
None (0) indicates that there is zero or negligible integration or coordination between these groups. If you are unfamiliar with a group on the list, then the rating is a zero (0). High (3) indicates that you are working to coordinate administration and services on an ongoing and regular basis and have a solid, consistent working relationship with that other program. If you have only sporadic communications, have difficulty coordinating administration and services, or often make decisions and changes without consultation, then integration ratings would generally be a 1 or 2.

Q21. For a common exit policy (Question 63), our state submits a joint file, but does not actually have a written common exit policy. How do I answer this question?
If you submit a joint PIRL file, but there is no formal common exit policy, please answer the question with “No.” If state practice deviates from your state policy, please work with your regional contact to better comply with aligning state practice with state policy.

Q22. Is the co-enrollment policy with WIOA Dislocated Worker (Question 65) still meaningful after the implementation of 20 CFR 618.325?
Yes. This question addresses provides essential information on where states are in updating their state policies and how co-enrollment operates in the state.

IT Systems and Reporting

Q23. What is a major upgrade of an IT system (Questions 73 -78)?
A major upgrade is typically one that requires substantial retraining of staff on how to utilize the system or use new features.

Q24. I do not know the upgrade date because our system has not had any major upgrades in years, what do I list?
If the actual date is not known, please provide an estimate. For context, the Department uses this information to understand the age of systems being used, so even the year can be helpful.

Q25. For our primary case management vendor (Question 71), what name should we enter?
If you have a specific vendor or company that provides your case management solution, please enter the name of the vendor. For example, if the state of Cascadia has a system called CascadiaWorks! that is provided by

Acme Workforce Solutions, then "Acme Workforce Solutions" should be entered as the response. This will allow us to understand use of common vendors across states. The response is free-text since the choice of vendors is not limited, but common responses include "AJLA," "Deloitte," "GeoSol," "Monster," and others.

Q26. What is the difference between asynchronous and synchronous communications (Questions 81.3, 81.4)?
If the form of communication requires both/all of the people talking to have the conversation at the same time, then it is considered synchronous. Some examples of synchronous communications are phone calls, video chats, actual meetings, or real-time chats. Asynchronous communications are ones where the people can respond and come back to the conversation later such as discussion of email, message boards, or letters.

Training for TAA Staff

Q27. Some of these questions ask for a frequency (Questions 86.2, 86.3, 86.4) what does this mean?
Whether the state workforce agencies conduct these kinds of trainings on a regular schedule (for example, every month) or under a less formal schedule (as topics come up), please select the number of instances that you generally would expect in a year. For example, if you conduct a webinar once a month, please select "Yes – 11 to 20 per year."

Barriers and Technical Assistance

Q28. What is the difference between a Major, Moderate, and Minor barrier (Questions 37 and 87)?
Please see Q18. What is the difference between a Major, Moderate, and Minor barrier (Questions 37 and 87)?

Q29. How are the level of interest in being connected in Questions 88 and 89 different?
Question 88 relates to coordinating with states based on similar size, organization, or types of challenges. Question 89 relates to states that are close geographically.

Q30. Some forms of technical assistance resources are not listed in Question 92, what should I do?
Please respond to the options provided. If you regularly use a technical assistance format not listed, feel free to make a Comment (see Question 93).

Affirmation

Q31. Does this need to be signed?
Yes. This is needed to verify it as an official state submission. However, we highly encourage states to use a digital signature by typing the certifiers name (i.e. /s/ Robert Hoekstra) into the signature block. If a signature is provided in another form, the document must still be returned as a Microsoft Excel file.

Q32. Who needs to sign the TAAACS collection?
This is typically signed by the TAA Coordinator or other representative that has had the primary responsibility for filling out the collection. However, any authorized agent of the state workforce agency may sign it.

Worker Lists (Tab 2)

Q33. Where did this tab go for the FY 2025 collection?
Due to the TAA Program status, OTAA is not collecting this outreach information this year.