



2-E IV Trade Customer File Desk and On-Site Review

v39_2023-

12-31

0/128

Incomplete

Submit

Save

Close

Debugger

Customer Name

SSN Last 4

County

Career Planner

Center No:

Employer Name

Employer Location:

Petition Number:

Petition Originating Entity:

ATAA Certified:

Agent/Liable Customer

Petition Impact Date

Petition Certification Date:

Petition Expiration Date

Date 8 weeks from Petition Certification:

Date 16 weeks from Customer Qualifying separation:

Date 210 days/30 weeks from date of customer qualifying separation:

Customer Date of Employment:

Customer Qualifying Separation Date:

Date of BRO signature:

Date Waiver Issued:


First TAA approved training start date:

**Petition Certification Date:
(Date 26 weeks from Petition Certification)**


Date 26 weeks from Customer Qualifying Separation:

Customer Eligibility / Required Activities

1. Trade Participant file was present for review


Select an answer 

2. There is documentation in the file that supports the customer was eligible for the Trade Program:

Select an answer 

- For TAA (2002) Program: Customer Met 8/16 or 45 Day Requirement / Equitable Tolling Requirements.
- For TGAAA (2009) Program: Customer Met 26/26 or 45/60 Day / State Good Cause Requirements / Equitable Tolling Requirements.
- For TAAEA (2011) Program: Customer Met 26/26 or 45/60 Day / Federal Good Cause Requirements / Equitable Tolling Requirements.
- For 2014-R/2015 TAARA Program: Customer Met 26/26 (10/22/2015) or 45/60 Day / Federal Good Cause Requirements / Equitable Tolling Requirements.

3. There is documentation in the file that the customer met enrollment requirements by the following:

Select an answer 

- (Enrollment requirements can be met by a Waiver, Enrollment in Training, or Customer did not meet the enrollment deadline, but is part of the worker group and eligible for TAA services)

4. There is documentation in the file that supports the customer's attachment to the certified worker group:

Select an answer 

- Must include IDES documentation of TRA eligibility (IBIS printout of Qualified Separation, Lack of Work and BPE/TRA Basic Screen print/Name on Worker List

and the IBIS dates match with Standard App; IWDS Additional Info Screen and Employment History)

5. Customer attended Trade Rapid Response.

Select an answer 

6. A copy of the petition is in customer file

Select an answer 

7. The file includes documentation verifying the customer's United States citizenship or legal authorization to work in the United States

Select an answer 

8. The Customer is co-enrolled in WIOA (All WIOA Eligibility met for co-enrollment).

Select an answer 

9. There is documentation in the file that supports the customer is compliant with Selective Service requirements (for WIOA co-enrollment).

Select an answer 

10. The file contains a picture ID of the customer.

Select an answer 

11. There is documentation in the file that the customer's qualifying separation date falls between the impact date and the

Select an answer 

expiration date of the certification.

12. The Customer's file contains a DCEO Form #001 TAA Benefits, Rights and Obligations Form that is properly signed and dated by all required on the form.

Select an answer 

13. The Customer's file contains a DCEO Form #002 Trade Adjustment Assistance Standard Application or IWDS Application equivalent that is complete, signed, dated, and contains correct dates for impact, petition certification, expiration, qualifying separation, and the application date that matches the IWDS application date.

Select an answer 

14. The TAA Additional Info screen dates match dates on the DCEO Form #002 Trade Adjustment Assistance Standard Application and Form #001 TAA Benefits, Rights and Obligations.


Select an answer 

15. The qualifying separation date as it appears on IWDS


Select an answer 

matches the qualifying separation date on the IDES IBIS system


16. Test dates and scores recorded in IWDS are supported by hard copy tests in the participant file.

17. If applicable, the file contains a completed and signed DCEO Form #004 TAA Bona Fide Application for Training (2002/2014R Trade customers only).

18. The file contains a completed and signed DCEO Form #014 Individual Employment Plan (IEP)

- Includes documentation that the 8 required case management services were offered.
- TRADE customers only, the original approval of IEP must include a training component that will result in an Industry Recognized Credential (Unless customer utilizing ATAA or RTAA only).
- Any changes in the IEP require documentation of DCEO Merit Staff approval (e-mail print out) and an update to the IEP Status Record in IWDS (Check-Form and IWDS).

Customer Eligibility Additional Results Letter Text:

Additional Results Letter Text

Waiver

19. The file contains a completed, signed and approved DCEO Form #003 Illinois Waiver from Training (requires original State approval signature and documented waiver criteria).

Select an answer 


20. The file contains a completed and signed DCEO Form #003e Illinois Waiver from Training Fact Sheet.

Select an answer 

21. The file contains a completed, signed and approved DCEO Form #016 Illinois Waiver Approval Affidavit.

Select an answer 


22. The Waiver Status approval/denial by DCEO State Merit Staff and Waiver Service record are entered in IWDS.

Select an answer 


23. There are 28 Day Reviews in IWDS for the entire waiver period (Check IWDS for valid review).

Select an answer 


24. The file contains State merit staff approval e-mails attached to the DCEO Form #003 for any changes to the waiver (extend the waiver, change the waiver criteria, revoke the waiver, waiver denial (form shows denied and reason for denial).

Select an answer 

25. If the customer is non-compliant, the Entity properly documented the 28-day waiver review non-compliance procedures with DCEO Form #3b Letter to customer and documented case notes.

Select an answer 

26. If a revocation of the waiver was necessary, DCEO Form #3d was issued notifying the customer, and it was properly recorded in IWDS and State Merit Staff approval was obtained.

Select an answer 

Waiver Additional Results Letter Text:

Additional Results Letter Text

Training

27. The file contains a completed DCEO Form #005 Eligibility Determination for TAA Transportation and Subsistence Assistance for each location customer attending and each time rate changes.

Select an answer 

28. The file contains documentation for distance traveled for TAA Transportation/subsistence for each training location customer is attending (Currently 10 miles and Google Maps).

Select an answer 

29. If Customer is eligible for Trade Transportation, a Travel In Training Service Record is entered in IWDS.

Select an answer 

30. The file contains a completed and signed DCEO Form #006 - Verification of TAA Training Enrollment for each training institution/program.

Select an answer 

31. The Training started within 30 days from the

Select an answer 

latest signature on DCEO Form #006 or Merit Staff approval in IWDS.

32. The file contains a completed and signed DCEO Form #006b-Trade Training Requirements Fact Sheet.

Select an answer 

33. If applicable, the file contains a completed and signed DCEO Form #006c – Trade Training Benchmark Warning Letter."

Select an answer 

34. The file contains a completed and signed DCEO Form #006d Trade Training Program Tracking Form (Form is for entire training program including required remedial, pre-requisites, and occupational classes).


Select an answer 

35. The file contains a completed, signed and updated DCEO Form #006e Trade Training Program Course Tracking Form (Form is for individual IT, Management, Administrative Management, Project Management, Health


Select an answer 

Information Technology,
and Medical Device
Manufacturing/Pharmaceutical
Manufacturing/Pharmaceutical
Regulatory Affairs type
classes).


36. The file contains a completed, signed and updated DCEO Form #006a - Verification of TAA Training Attendance.


37. The file contains a completed and signed DCEO Form #007 - Individual Training Account Projection.


38. The file contains a completed and signed DCEO Form #017 - Illinois Trade Training Approval Affidavit.


39. The 6 Training Conditions are documented and recorded in IWDS.

40. Merit Staff approval of the training was recorded in IWDS prior to the start of training.

41. If training cost exceeded soft cap, Merit Staff approval is

documented in IWDS and the customer file.

42. Training is full-time as defined by the training institution and meets the requirement of completion within 104 Weeks or up to 130 weeks, if remedial training is included.

Select an answer 


43. Customer completed the training program within 104 weeks or up to 130 weeks, if remedial training was included.

Select an answer 


44. The IWDS training record has been closed out with the proper training end date, if applicable

Select an answer 

45. The Training Service Record(s) is attached to an active TAA Grant or Paid for by Another Source.

Select an answer 

46. The Training Service Record(s) is attached to a valid Training Provider.

Select an answer 

47. The file contains Labor Market Information for both the Trade dislocation Job and for Condition 1 – No

Select an answer 

**Suitable Employment
and Suitability of
Proposed Training.**

48. The file contains documentation of training program requirements, prerequisites, full-time policy, academic probation policy, Required Equipment, Tools and Supplies, etc.

Select an answer 

49. Class Schedules and grades for each semester/quarter are present in the customer file.

Select an answer 

50. A Ceased Participation has been entered in IWDS for each class missed/form not turned in.

Select an answer 

51. 60 Day Benchmarks are properly recorded under TAA Status in IWDS.

Select an answer 

52. End of Semester/Quarter Benchmarks are properly recorded under TAA Status in IWDS.


Select an answer 

53. Potential Suspensions were


Select an answer 

properly recorded in IWDS (if Applicable).


54. All Scheduled Breaks in Training have been recorded in IWDS.


55. The LWIA has properly recorded training as part-time or distance learning in IWDS (if applicable) (Part Time may require Merit Staff approval if it affects eligibility).

56. Credentials are Entered in IWDS upon completion of training or receipt of a credential.

57. Training denial letter was preapproved by State Merit Staff (if applicable).


 

Training Additional Results Letter Text:

Additional Results Letter Text

Agent / Liable

58. All Pre-Approvals were made by the

appropriate Agent/Liable State for this customer and documented in the file.

Agent / Liable Additional Results Letter Text:

Additional Results Letter Text

OJT

59. The file contains a completed and signed DCEO Form #005 - Eligibility Determination for TAA Transportation and Subsistence Assistance and documentation for distance traveled.

Select an answer 


60. The file contains a completed, dated, and signed DCEO Form #008 - TAA On-The-Job Training Agreement.

Select an answer 


61. The OJT agreement meets all requirements.

Select an answer 


62. The file contains a completed DCEO Form #009 - TAA Invoice (OJT).

Select an answer 

63. Reimbursement is at the appropriate rate.

64. The file contains a completed, dated and signed DCEO Form #010 TAA Monitoring (OJT).


 

OJT Additional Results Letter Text:


Additional Results Letter Text

Customized Training

65. The customer was enrolled in customized training and there is documentation that the customized training plan is in compliance with DCEO Trade Program Policy.

66. The customer's attendance and progress are being monitored.

Customized Training Additional Results Letter Text:**Additional Results
Letter Text****ATAA/RTAA**

67. The file contains a completed, signed and IDES approved DCEO Form #011 - ATAA /RTAA Application – Approval/Denial for each ATAA/RTAA Job.

Select an answer 

68. The six Criteria for Approval of Training are answered "No", and the ATAA/RTAA question is answered "Yes" on the TAA training criteria screen in IWDS.

Select an answer 

69. There is an ATAA/RTAA service recorded in IWDS.

Select an answer 


70. IWDS Work History is completed for each ATAA/RTAA job.

Select an answer 

71. A Return to Work Status is entered in IWDS.

Select an answer 

72. There is an IEP Status Approval for RTAA in IWDS.


 

ATAA/RTAA Additional Results Letter Text:


Additional Results Letter Text

Out-of-Area Job Search


73. The file contains a completed, signed, and approved DCEO Form #012 – Application for TAA Job Search Allowance.


74. The file contains a completed DCEO Form #012a – Reconciliation for Trade Out-of-Area Job Search Allowance.


75. State Merit Staff approval is documented in the file and in IWDS.

76. The file contains a completed DCEO Form #012b - Job Interview Confirmation Letter.


 

77. The file contains copies of receipts for


 

lodging, meals, and transportation expenses.


78. The file contains a completed DCEO Form #012c – Trade Out-of-Area Job Search Job Fair Activity Verification (if applicable).


79. The file contains a completed DCEO Form #012d Trade Out-of-Area Job Search Activities LWIA Workshops Verification (if applicable).

80. There is an Out-of-Area Job Search properly recorded for each job search conducted in IWDS.

81. The Out-of-Area Job Search reimbursement did not exceed the allowable maximum.

Out-of-Area Job Search Additional Results Letter Text:

Additional Results Letter Text

Out-of-Area Relocation

82. The file contains a completed, signed and approved DCEO Form #013 - Application for Trade Out-of-Area Relocation Allowance.

Select an answer 

83. The file contains a completed, signed and approved DCEO Form #013a – Reconciliation of Trade Out-of-Area Relocation Allowance.

Select an answer 

84. State Merit Staff approval is documented in the file and in IWDS.

Select an answer 

85. The file contains a completed, signed and approved DCEO Form #013b – New Employment Confirmation Letter.

Select an answer 

86. There is an Out-of-Area Relocation properly recorded for each job search conducted in IWDS.

Select an answer 

87. The Out-of-Area Relocation reimbursement did not exceed the allowable maximum.

Select an answer 

Out-of-Area Relocation Additional Results Letter Text:

**Additional Results
Letter Text**

Customer Exit

88. The customer has received a TAA funded service or services funded by WIOA or other partner program for 90 consecutive calendar days and/or is scheduled for future services.

Select an answer

89. All services and status records have been appropriately recorded (ended) in IWDS.

Select an answer

Customer Exit Additional Results Letter Text:

**Additional Results
Letter Text**

Notes: