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# **Trade Act Participant Report (TAPR): General Reporting Instructions and Specifications**

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Prepared By  
Performance and Technology Office  
Employment and Training Administration

This reporting requirement is approved under the Paperwork Reduction Act of 1995, OMB Control No. 1205-0392, expiring 09/30/2005. Persons are not required to respond to this collection of information unless it displays a currently valid OMB number. Public reporting burden for this collection of information is estimated to average 2.8 hours per quarterly report per state, including time for reviewing instructions, searching existing data sources, gathering and reviewing the collection of information. Respondent's obligation to reply is mandatory. The reason for the collection of information is general program oversight, evaluation and performance assessment. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden, to the U. S. Department of Labor, Performance and Technology Office, Room S-5206, Washington, D.C. 20210 (Paperwork Reduction Project 1205-0392).

## **I. GENERAL INSTRUCTIONS**

States are required to maintain standardized individual records containing characteristics, activities and outcomes information for all individuals who receive services or benefits financially assisted by the Trade Adjustment Assistance (TAA) program (Trade Adjustment Assistance Reform Act of 2002 (P.L. 107-210) 20 CFR 617.57 and 617.61)).

These individual records are collectively known as the Trade Act Participant Report (TAPR). The primary purposes of the TAPR are to:

1. Establish a standardized set of data elements, definitions, and specifications that can be used to describe the characteristics, activities, and outcomes of individuals served by the TAA program;
2. Facilitate the collection and reporting of valid, consistent, and complete information on an individual in order to support the overall management, evaluation, and continuous improvement of the programs at the local, state, and federal levels; and
3. Share program performance results with consumers, taxpayers, Congress and others with an interest in the TAA program.

Standardized data collection also makes performance information more useful for supporting DOL budget development activities for consideration by the Congress, especially with regard to the impact of different funding levels on program services and outcomes. A common language is used to describe changes and improvements in programs over time, to identify effective strategies for meeting the needs of participants, and to record significant program accomplishments.

In developing the TAPR layout, every effort has been made to establish common data definitions and formats with minimum burden to states. This standardized individual record layout provides states with the opportunity to better inform the Administration, Congress and other stakeholders about the types of individuals served, mix of services received, and the employment-related outcomes of former TAA participants. The TAPR establishes a core set of data that must be collected and maintained by states. These records are comprised of client information that is matched to outcome information obtained from Unemployment Insurance (UI) and other administrative wage records, or from other supplemental data sources as appropriate.

## II. RECORD LAYOUT SPECIFICATIONS

The TAPR follows a comma-delimited format. See **Appendix A** for details regarding data elements, definitions, and coding values. TAPR elements are separated into section headings and categories that represent logical groupings. For each data element there is a definition or reporting instruction, coding values, and, where appropriate, data type/field size indicator.

It is also important to note that states are not required to report actual Social Security Numbers (SSNs) with their TAPR file submissions. The OMB terms of clearance prohibit the disclosure of SSNs and many state UI agencies will not allow wage record data to be reported in other Federal databases if the wage record data is identified by SSN. Therefore, the second field of each TAPR file must be an individual identifier, created by the state, to conceal the actual identity of the exiter whose data are being reported.

These unique individual identifiers must be created by the state in such a way that they identify the same individual in every period of participation and in every local area and statewide program. In particular, unique identifiers contained with each TAPR file must be the same as unique identifiers contained within the Workforce Investment Act Standardized Record Data (WIASRD) files, referring to exactly the same person in both systems.

A TAPR file should be opened on an individual when he/she begins receiving a service funded by the TAA program following a determination of eligibility to participate in the program. At that time, the participant characteristics should be entered and the pre-program wage record data obtained. Additional guidance regarding the collection and reporting of equal opportunity information, including sex, age, disability, ethnicity, and race, can be found under **Appendix B**. As the participant receives TAA benefits and services, those should be entered in his/her record. Finally, once the participant is determined to have exited, the outcomes data and post-program wage records should be obtained and entered. At this point, the record should be ready for submission to ETA.

### III. DUE DATE & SUBMISSION PROCEDURES

Electronic TAPR files are due to ETA no later than 45 calendar days after the end of each quarter of reporting. Should the due date of the report fall on a Saturday or Sunday, the TAPR files are due the Friday before. Each TAPR file must consist of individual records for all TAA participants who have exited during a particular quarter. Because of lags that are caused by the use of wage record data in reporting outcomes, there may be some confusion between the “quarter of exit” and the “quarter of reporting,” which have different meanings.

The term “quarter of exit” means the calendar quarter in which the participant’s date of exit is recorded. The “quarter of reporting” means the fifth calendar quarter after the quarter of exit, and is the quarter during which the TAPR file for the exiters should be prepared for submission to ETA.

The following table shows the expected due dates for state TAPR files.

<b>Quarter of Exit</b>	<b>Quarter of Reporting</b>	<b>Due Dates</b>
July – September, 2004	October – December, 2005	February 14 <sup>th</sup> , 2006
October – December, 2004	January – March, 2006	May 15 <sup>th</sup> , 2006
January – March, 2005	April – June, 2006	August 14 <sup>th</sup> , 2006
April – June, 2005	July – September, 2006	November 14 <sup>th</sup> , 2006
July – September, 2005	October – December, 2006	February 14 <sup>th</sup> , 2007
October – December, 2005	January – March, 2007	May 15 <sup>th</sup> , 2007
January – March, 2006	April – June, 2007	August 14 <sup>th</sup> , 2007
April – June, 2006	July – September, 2007	November 14 <sup>th</sup> , 2007
July – September, 2006	October – December, 2007	February 14 <sup>th</sup> , 2008
October – December, 2006	January – March, 2008	May 15 <sup>th</sup> , 2008
January – March, 2007	April – June, 2008	August 14 <sup>th</sup> , 2008
April – June, 2007	July – September, 2008	November 14 <sup>th</sup> , 2008

Information contained in the TAPR files must be submitted directly to ETA’s Enterprise Business Support System (EBSS) (formerly called the Enterprise Information Management System (EIMS)) via technical instructions available through the appropriate Regional Office or the ETA performance website. The submission process is a simple file transfer over the Internet



**APPENDIX A**  
**TRADE ACT PARTICIPANT REPORT (TAPR)**  
**DATA ELEMENT SPECIFICATIONS**





**APPENDIX B**

**ADDITIONAL GUIDANCE FOR COLLECTING  
FEDERAL EQUAL OPPORTUNITY INFORMATION**



## COLLECTION OF FEDERAL EQUAL OPPORTUNITY INFORMATION

Beginning on the effective date of this reporting system, states are required to collect, maintain, and report equal opportunity information, including sex, age, disability, ethnicity, and race, for all individuals who apply for benefits or services financially assisted by the program. This requirement is in accordance with 29 CFR Part 37, "Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998." For reference, sections 37.37(b)(1), (b)(2) and (d) of title 29 CFR mandate the following:

*(b)(1) Each recipient must collect such data and maintain such records, in accordance with procedures prescribed by the Director [Director of the Civil Rights Center, Office of the Assistant Secretary for Administration and Management, DOL], as the Director finds necessary to determine whether the recipient has complied or is complying with the nondiscrimination and equal opportunity provisions of WIA or this part. The system and format in which the records and data are kept must be designed to allow the Governor and CRC [Civil Rights Center, Department of Labor] to conduct statistical or other quantifiable data analyses to verify the recipient's compliance with section 188 of WIA and this part;*

*(b)(2) Such records must include, but are not limited to, records on applicants, registrants, eligible applicants/registrants, participants, terminees, employees, and applicants for employment. Each recipient must record the race/ethnicity, sex, age, and where known, disability status, of every applicant, registrant, eligible applicant/registrator, participant, terminee, applicant for employment, and employee;*

*(d) Where designation of individuals by race or ethnicity is required, the guidelines of the Office of Management and Budget must be used.*

Other sources of authority for this requirement include 29 CFR 31.5(b), in DOL's regulations implementing Title VI of the Civil Rights Act of 1964, and 29 CFR 32.44(b), in DOL's regulations implementing Section 504 of the Rehabilitation Act of 1973. The CRC Director has determined that collection of the equal opportunity information sought by this section of the reporting system is necessary in order to determine whether recipients have complied, or are complying, with the nondiscrimination and equal opportunity provisions of WIA and other applicable statutes.

The collection of equal opportunity information is to be self-identified by the individual and is voluntary. Individuals should be made aware of the reason for the request of such information as well as the parties to whom disclosure may be made. Information collected from the individual will be used to monitor compliance of recipients with the equal opportunity and nondiscrimination requirements enforced by the CRC. It will also be used to assist the grantee and the Department in evaluating and improving efforts to conduct outreach to diverse population groups, including racial and ethnic minorities and persons with disabilities.

The collection of ethnicity and race information contained within these reporting instructions are in accordance with the Office of Management and Budget (OMB) Statistical Directive 15 (as adopted October 30, 1997 at <http://www.whitehouse.gov/omb/fedreg/ombdir15.html>). The ethnicity and racial categories in this classification are social-political constructs and should not be interpreted as being scientific or anthropological in nature. They are not to be used as determinants of eligibility for participation in any Federal program. The standards have been developed to provide a common language for uniformity and comparability in the collection and use of data on race and ethnicity by Federal agencies.

OMB has determined that a two-question format should be used in all cases involving self-identification of ethnicity and race. Therefore, ethnicity information (i.e., Hispanic or Latino) must be collected separately from race information, and individuals who indicate that they are Hispanic or Latino should also have the opportunity to select one or more racial categories. Information on an individual's ethnicity must also be collected before information on race. When completing race information, individuals must be offered the option of selecting one or more racial designations. Recommended forms for the instruction accompanying the race information should instruct the individual to read each racial designation carefully and then "Mark one or more . . ." or "Select one or more . . ." races to indicate what the individual considers him/herself to be.

For the purposes of the requirements in this section of the reporting system, disability means, with respect to an individual, a physical or mental impairment that substantially limits one or more of the major life activities of such individual. 29 CFR 37.4 provides further clarification of the term "disability"; relevant portions of the definition have been included below for reference

*(1)(i) The phrase physical or mental impairment means—*

- (A) Any physiological disorder or condition, cosmetic disfigurement, or anatomical loss affecting one or more of the following body systems: neurological, musculoskeletal, special sense organs, respiratory (including speech organs), cardiovascular, reproductive, digestive, genitourinary, hemic and lymphatic, skin, and endocrine;*
- (B) Any mental or psychological disorder such as mental retardation, organic brain syndrome, emotional or mental illness, and specific learning disabilities.*

*(ii) The phrase physical or mental impairment includes, but is not limited to, such contagious and noncontagious diseases and conditions as orthopedic, visual, speech and hearing impairments, cerebral palsy, epilepsy, muscular dystrophy, multiple sclerosis, cancer, heart disease, diabetes, mental retardation, emotional illness, specific learning disabilities, HIV disease (whether symptomatic or asymptomatic), tuberculosis, drug addiction, and alcoholism. The phrase "physical or mental impairment" does not include homosexuality or bisexuality.*

*(2) The phrase major life activities means functions such as caring for one's self, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, and working.*



Information collected from the individual will be used to monitor compliance of recipients with the equal opportunity and nondiscrimination requirements enforced by the CRC. It will also be used to assist the grantee and the Department in evaluating and improving efforts to conduct outreach to diverse population groups, including racial and ethnic minorities and persons with disabilities.

Personally identifying information (i.e., equal opportunity information by SSN) will not be included in the tabulation or transfer of data to the Department. The Department will use the data supplied by the individual to determine how many applicants are from different groups and how many of these applicants are determined eligible to receive services financially assisted by the program in question. The Department will then assess compliance with nondiscrimination and equal opportunity requirements, as well as the effectiveness of specific outreach efforts and means of communication in light of this information.

