

TRADE ADJUSTMENT ASSISTANCE FOR WORKERS PROGRAM

FY 2021 ANNUAL REPORT



Employment and Training Administration

U.S. Department of Labor



Website: <https://www.dol.gov/agencies/eta/tradeact>

REPORT TO THE COMMITTEE ON FINANCE OF THE SENATE AND THE COMMITTEE ON WAYS AND MEANS OF THE HOUSE OF REPRESENTATIVES

The Department of Labor (Department) submits the following report on the Trade Adjustment Assistance (TAA) for Workers Program to the Committee on Finance of the Senate and the Committee on Ways and Means of the House of Representatives. Section 249B(d) of the Trade Act of 1974, as amended (19 U.S.C. 2323(d)), requires the Department to submit an annual report which, among other things, summarizes data collected by the Department on the TAA Program for the preceding Fiscal Year (FY). This report reflects data reported for FY 2021 and includes supplemental data from FY 2017 through FY 2020.

Table of Contents

Executive Summary	4
Success Stories	5
I. Program Description	9
General Description of TAA Program.....	9
Worker Group Eligibility for Petitions Filed in FY 2021.....	11
II. Program Background	15
Petition Processing in FY 2021.....	15
Industry Sectors in FY 2021.....	18
Profile of New TAA Participants in FY 2021.....	21
III. Benefits and Services	25
Benefits and Services Provided During FY 2021.....	25
Enrollment in Training Waivers Issued in FY 2021.....	27
IV. Performance Outcomes	31
V. Program Guidance	38
VI. Funding	39
Distributions of FY 2021 Program Funds to States.....	42
Process for Providing Funds to States for TRA, ATAA, and RTAA.....	44
VII. Conclusion	47
<i>Appendix A</i>	48
<i>Appendix B</i>	51
<i>Appendix C</i>	53
<i>Table of Contents: Tables</i>	71-72
<i>Table of Contents: Figures</i>	73

EXECUTIVE SUMMARY

TAA FOR WORKERS:

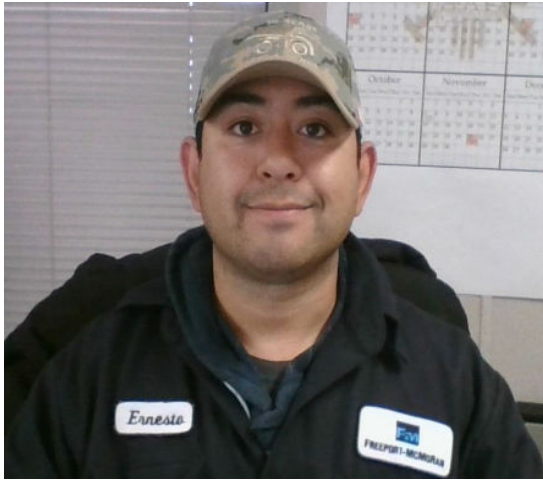
TRANSITIONING WORKERS TO NEW CAREERS

The TAA for Workers Program provides federal assistance to workers who are adversely affected by foreign trade. TAA includes resources and opportunities for trade-affected workers to obtain the skills, credentials, and support necessary for successful reemployment. Any member of a worker group certified by the Department as trade-affected is potentially eligible to receive TAA Program benefits and services through a local American Job Center (AJC), such as employment services and case management, training, income support in the form of Trade Readjustment Allowances (TRA), job search allowances, relocation allowances, and a Health Coverage Tax Credit (HCTC). The Reemployment TAA (RTAA) benefit is also available and provides wage supplements for eligible reemployed workers, age 50 and over, whose reemployment resulted in lower wages than those earned in their trade-affected employment.

In FY 2021 (October 1, 2020 – September 30, 2021), 801 petitions were certified, a nearly 4-percent increase from FY 2020. An estimated 107,454 workers became eligible to apply for TAA, up approximately 12 percent from the previous year. Due to COVID-19 pandemic related labor market effects, performance declined in FY 2021 from its previous 5-year high levels, with approximately 67 percent of TAA participants obtaining new employment within 6 months of completing the program. While 75 percent of FY 2021 TAA certified petitions were from the manufacturing industry, only 33 percent of participants who exited the program were re-employed in manufacturing industry sectors, consistent with the general U.S. economic trend of growth in non-manufacturing industry employment.

Of the 5,296 TAA exiting participants, or “exiters”, who received training in FY 2021, approximately 79 percent (4,156) completed training, the highest level in five years. More than 72 percent of training participants received a credential within a year of exiting the program, which is also the highest level in five years. The fourth quarter employment rate of those participants who completed training was higher than that of participants who did not, continuing a multi-year trend. These performance results demonstrate that even during a global pandemic, the TAA Program is an especially important part of the workforce system and continues to provide important benefits and services to help trade-affected workers obtain reemployment.

SUCCESS STORIES



Ernesto was a truck driver and maintenance repairman at a mining company in New Mexico for ten years but was laid off by the company in 2020. Prior to his layoff, Ernesto decided to go to school and registered, on his own, at an online university, majoring in Information Technology. When his TAA petition was certified, Ernesto attended the TAA orientation and decided to utilize the TAA benefits he was eligible for to enroll in school and continue with his education.

With the help of TAA, Ernesto was ready to move on from truck driving and maintenance and embark on a new career in Information Technology. Despite the pandemic and no in-person classes, Ernesto was able to take online courses, which gave him the flexibility to attend classes while remaining at home with his children. Upon completion of his training, Ernesto received an Associate Degree in Information Technology. A position became available in his chosen field while Ernesto was in the midst of completing his studies and he was hired for an Infrastructure Services Technician position. Using the knowledge from his training, Ernesto is now earning more than he was in his previous career and is excited for the future.



In October of 2019, Lorea was laid off from her job at a manufacturing plant in North Carolina. Several months later, in January of 2020, with the help of the TAA Program, she started taking courses at Wayne Community College in its Early Childhood Program. On December 15, 2021, Lorea graduated. Lorea summed up in her own words how the benefits of the TAA Program changed her life and put her on a path to employment: “I want to thank you all for the support and the opportunity to attain a degree after trying college for the third time.” Lorea is currently working with special needs children at a Montessori Preschool in the Wayne County Public School system. She continues, “I did it!! We did it!! Without this program I would not have been able to afford to go to college. That’s why I say “We did it!!”.

James was employed with a multinational company in Roanoke, Virginia, and held a position as Manufacturing Lead until he laid off in 2019 due to a lack of work resulting from a trade impact. James completed comprehensive assessments, and his TAA case manager recommended that a management credential would enhance his on-the-job experience and give him many more opportunities within the labor market. James, along with his case manager and other advisors at



Virginia Western Community College, worked on a training plan to achieve that goal, and James obtained his credential in May of 2021. After graduation, James initially acquired a position in the aluminum industry as an Account Specialist; however, he continued exploring job opportunities that would best utilize his new credential and he ultimately accepted a new position as a Sourcing Specialist/Procurement Department with an engineering company. James shared that he would not have been able to attain such a position without the assistance of the TAA Program.



Lori's story is about a journey that many people have been forced to take due to the impacts of foreign trade. Lori lost her job of 10+ years in March of 2020 when her employer decided to transfer her job to another country. Lori found herself unemployed, scared, and unsure about what to do during an emerging global pandemic. She received a letter from the American Job Center in Tullahoma, Tennessee that informed her about how additional training at a tech school would help her be better prepared to get a job. In August of 2020, through the TAA program, Lori started the 12-month Administrative Office Technology program at the Tennessee College of Applied

Technology, and graduated with a 3.97 GPA. Immediately after graduating, Lori began sending out her resume, which now included the certifications and credentials she had earned. It wasn't long before she was able to find suitable employment that utilized her new skill set. She states, "Always remember, it's never too late to learn something new."

George was laid off in April of 2020 from a shipping company in Milford, Connecticut where he worked as a receiver for five years. During his initial assessment, George's case manager identified a transportation barrier: a vision problem had prevented George from obtaining a driver's license. He was referred to the Board of Education and Services for the Blind, which assisted him with getting an eye exam and corrective glasses that enabled him to obtain a Connecticut driver's license.



George's case manager provided case management services to him via TAA/Workforce Innovation and Opportunity Act (WIOA) program co-enrollment, while he continued to apply and interview for local warehouse/shipping-and-receiving positions. However, George became interested in applying his mechanical aptitude and attention to detail to the Precision Machining field. He decided to embark on a career change to Advanced Manufacturing Machine Technology and enrolled in TAA-approved training at the local community college. George's TAA case manager collaborated with the college to make sure he completed all necessary steps including applying, taking additional assessments, developing a plan of study, completing TAA paperwork, and obtaining requisite supplies. The TAA Program also made sure he had a computer so that he could fully participate in TAA online training during the COVID-19 pandemic. George completed training and graduated in December of 2021 with a GPA of 3.88.

Upon graduation, George immediately obtained employment and started working as a full-time CNC Machine Set-Up Operator in the Fabricated Metal Product Manufacturing industry in Milford, Connecticut at \$18 per hour, with benefits. As a result of his participation in the TAA Program, George was able to resolve his vision issues, obtain a driver's license, enroll in college for the first time, complete a post-secondary certificate program that prepared him for a new in-demand occupation, and obtain suitable employment--on the day he graduated – all during a pandemic.

COVID-19 STATE SUCCESS STORY

Resiliency in Navigating the Pandemic

Florida TAA Program

Following statewide COVID-19 shelter-in-place orders, the Florida TAA Program swiftly converted all TAA Program materials, including flyers, handout materials, and other guidance and outreach materials, to online resources, to support their Local Workforce Development Board staff who had temporarily transitioned to remote working environments, due to COVID-19, and were unable to provide TAA informational sessions and one-on-one participant meetings in-person at their local career centers. Prior to the pandemic, the common practice was to conduct TAA informational sessions at the employer's worksite or a local career center. Local TAA Coordinators would conduct similar one-on-one meetings with participants for assessments, training benchmarks, and more. In response to the pandemic, both the central office and local TAA staff used video capabilities to transition to virtual meetings with both employers and adversely affected workers.

The Florida TAA Program also created new webpages, increased outreach, and improved communication with local staff and trade-affected employers. Outreach work included increasing the program's social media presence through the Florida Department of Economic Opportunity's (DEO) Facebook page; updating fact sheets, forms, and program-related handouts; and developing an interactive Frequently Asked Questions sub-webpage designed for both local staff and program participants. The Florida TAA Program also posted new presentations and other training materials to the DEO website, including a co-enrollment job aid and help center to accommodate local staff during work-from-home conditions. The virtual co-enrollment help center webpage has been welcomed by local staff as a great tool to educate staff and customers alike on the benefits of co-enrollment between TAA and the WIOA program.

I. PROGRAM DESCRIPTION

General Description of the TAA Program

The Trade Act of 1974, Title II, Chapter 2, as amended (the Act) (codified at 19 U.S.C. § 2271 *et seq.*), established the TAA for Workers, Alternative Trade Adjustment Assistance (ATAA), and the later Reemployment Trade Adjustment Assistance (RTAA) programs. These programs, collectively referred to as the TAA Program, provide assistance to workers who have been adversely affected by foreign trade. The Trade Adjustment Assistance Reauthorization Act of 2015 (TAARA 2015 or 2015 Program), (Pub. L. No. 114-27, Title IV), was the last reauthorization of the TAA Program and changed key provisions of the Act.

New TAA Program regulations were codified at 20 CFR part 618 and became effective on September 21, 2020. FY 2021 is the first full fiscal year the TAA program has operated under these new regulations, which modernized the administration of the program, including creating clearer definitions, articulating state flexibilities, and incorporating program improvements identified since 2002. Pursuant to TAARA 2015 statutory requirements, on July 1, 2021, the TAA Program entered a one-year phase known as Reversion 2021, which is a slightly modified version of the 2002 Program applicable to petitions filed and certified on or after July 1, 2021 through June 30, 2022. Under current law, as of July 1, 2022 termination provisions would take effect.

During FY 2021, due in part to TAARA 2015 requirements, the Department continued to concurrently administer five versions of the TAA Program: the 2002 Program, the 2009 Program, the 2011 Program, the 2015 Program, and Reversion 2021. A detailed description of the differences between these iterations of the TAA Program is provided in *Appendix A*.

TAARA 2015 retained the expanded group eligibility provisions and TAA Program benefits and services available under the 2011 Program. However, as is detailed in *Appendix A*, there are differences between the 2011 and 2015 programs, both in the funding level for Training and Other Activities and in performance and reporting requirements. TAARA 2015 revised reporting requirements to align performance accountability for the TAA Program with that of partner programs under WIOA. Training and Employment Guidance Letter (TEGL) No. 5-15,^[1] and TEGL

^[1] https://wdr.doleta.gov/directives/corr_doc.cfm?docn=3863

No. 5-15, Change 1,^[2] were initially issued to provide operating instructions to states for administration of benefits and services under the 2015 Program. The 2020 TAA Program regulations replaced these TEGLS.

In FY 2021, the TAA Program overall participation duration averaged 498 days, down from 519 days in FY 2020, while the duration of training averaged 443 days, up slightly from 439 days in FY 2020 (illustrated in *Table 16*). Nearly all “exiting” participants for the fiscal year were from the 2015 Program (illustrated in *Table 1*), making up 98.7 percent of the total. The term “program exit” means a participant has not received a service funded by the program or certain other services funded by a partner program for 90 consecutive calendar days following the last service and is not scheduled for future services. The exit date is the last date of service and is reported by states on a quarterly basis.

As mentioned previously, the Department is currently administering five versions of the TAA Program: the 2002 Program, the 2009 Program, the 2011 Program, the 2015 Program, and Reversion 2021. A participant certified under the 2015 Program receives benefits and services available under that version of the program. A participant who is a member of a worker group covered by an existing certification issued under the 2002 or 2009 Program continues to receive benefits and services available under the eligibility criteria applicable to those respective programs. Reversion 2021 only applies to participants covered by petitions filed on or after July 1, 2021; as such, no Reversion 2021 participants exited the Program in FY 2021. *Table 1* below shows the percentage for exiting TAA participants by Program.

Table 1: FY 2021 Percentage of Exiting TAA Participants by Program

TAA Exiters by Program	Total Count	Percentage of Total
2002 Program	38	0.4%
2009 Program	37	0.4%
2011 Program	52	0.5%
2015 Program	9,896	98.7%

In FY 2021, states continued to report on a quarterly basis through the Participant Individual Record Layout (PIRL). The petition activity, detailed in *Section II*, shows that the scope of the TAA

^[2] https://wdr.doleta.gov/directives/corr_doc.cfm?docn=8845

Program includes numerous affected employers, industries, communities, and regional economies. An estimated 107,454 workers became eligible to apply for TAA benefits and services in FY 2021.

Worker Group Eligibility for Petitions Filed in FY 2021

For a worker to be eligible to apply for TAA Program benefits and services during FY 2021, the worker must have been part of a group of workers that was the subject of a petition filed with and certified by the Department. Two workers from a company, a company official, a union or other duly authorized representative, a state workforce official, or an operator of an American Job Center (AJC) may file a petition simultaneously with both the Department and the Governor of the state in which the workers' firm is located. In response to the filing, the Department initiates an investigation into whether, in accordance with the statutory criteria, foreign trade contributed importantly to the workers' job loss or threat of job loss.

There are different group eligibility requirements under the 2015 Program and Reversion 2021. The following two tables provide a description of the eligibility pathways. In general, to meet the worker group eligibility requirements of the TAA Program, there must be total or partial separations or a threat of separations in a worker's firm along with a trade-related impact.

1. Increased Imports (2015)

- Sales or production, or both, of such firm have decreased absolutely; and

Imports of



- articles or services like or directly competitive with articles produced or services supplied by such firm have increased; or
- articles like or directly competitive with articles into which one or more component parts produced by such firm are directly incorporated have increased; or
- articles like or directly competitive with articles which are produced directly using services supplied by such firm have increased; or
- articles directly incorporating one or more component parts produced outside the U.S. that are like or directly competitive with imports of articles incorporating one or more component parts produced by such firm have increased;

- And, the increase in imports contributed importantly to such workers' separation or threat of separation and to the decline in the sales or production of such firm.

2. Shifts to a Foreign Country (2015)

- There has been a shift by the workers' firm to a foreign country in the production of articles or the supply of services like or directly competitive with articles which are produced or services which are supplied by such firm;

- And the shift of articles or services contributed importantly to such workers' separation or threat of separation.

3. Acquisitions from a Foreign Country (2015)

- The component parts that the workers' firm supplied to the firm whose workers received a TAA certification of eligibility under option 1, 2, 3, or 6, accounted for at least 20 percent of the production or sales of the workers' firm – OR – a loss of business by the workers' firm with the firm described in option 1, 2, 3, or 6, contributed importantly to the workers' separation or threat of separation.

4. Secondary Component Supplier (2015)

- The workers' firm is a supplier to a firm that employed a group of workers who received a TAA certification of eligibility under option 1, 2, 3, or 6, and such supply or production is related to the article or service that was the basis for each certification.

5. Downstream Producer (2015)

- The workers' firm is a downstream producer to a firm that employed a group of workers who received a TAA certification of eligibility under option 1, 2, 3, or 6, and such supply or production is related to the article or service that was the basis for such certification;
- And a loss of business by the workers' firm with the firm described in option 1, 2, 3, or 6, contributed importantly to the workers' separation or threat of separation.

6. International Trade Commission (ITC) (2015)

- The workers' firm is publicly identified by name by the ITC as a member of a domestic industry in an investigation resulting in A, B, or C

A. An affirmative determination of serious injury or threat thereof.

B. An affirmative determination of market disruption or threat thereof.

C. An affirmative final determination of material injury or threat thereof.

- And, a petition is filed during the 1-year period beginning on the date on which: If A, a summary of the ITC report submitted to the President is published in the *Federal Register*; If B or C, the notice of an affirmative determination is published in the *Federal Register*
- And, the workers have become totally or partially separated from the workers' firm within the 1-year period from the Federal Register publication, or during the 1-year preceding that period.

Reversion 2021 Group Eligibility
<ul style="list-style-type: none"> • Sales and/or production decreasing absolutely with increased imports of like or directly competitive articles contributing importantly to worker separations;
<ul style="list-style-type: none"> • Shifts in production to a foreign country that is a party to a free trade agreement with the U.S. or a beneficiary country under the Andean Trade Preference Act, African Growth and Opportunity Act, or the Caribbean Basin Economic Recovery Act, unless there has been or is likely to be an increase in imports;
<ul style="list-style-type: none"> • The workers' firm supplying component parts to a firm whose workers are primarily TAA-certified, comprising of at least 20 percent of the workers' firm's sales or the loss of business contributing importantly to worker separations;
<ul style="list-style-type: none"> • The workers' firm providing value-added production to a firm whose workers are primarily TAA-certified based upon a trade impact from Canada or Mexico or the loss of business contributing importantly to worker separations or threat thereof.

Upon reaching an affirmative determination (called a “certification”) based on the above investigation criteria, the Department promptly issues a notice that identifies the worker group whose members are eligible to apply for TAA benefits and services. The notice of affirmative determination is sent to the states, the petitioner(s), and the workers' firm. The Department also promptly publishes a summary of the affirmative determination, along with the reasons for making such a determination, in the *Federal Register* and on the Department's website.

Once a state receives the notice of affirmative determination, it obtains a list of individual workers in the group covered by the certification and notifies them that they may apply to the state for benefits and services under the TAA Program through their local AJC. An individual worker must meet separate statutory eligibility criteria in order to qualify for the TAA benefits or services.

II. PROGRAM BACKGROUND

Petition Processing in FY 2021

In FY 2021, the Department received 731 new petitions. The Department certified 801 petitions (78.7 percent), which included petitions filed during the previous fiscal year, and denied 217 petitions.^{1 2} The certified petitions covered an estimated 107,454 workers from various industries.

Table 2 shows the number of petitions filed in recent years, the number of denied petitions, and the number of workers affected under those petitions. *Table 2* also shows that the number of petitions filed in FY 2021 decreased slightly from FY 2020, while the number of petitions certified and the estimated number of workers covered under a certified petition increased.³ TAA staff are largely state merit staff; in response to the pandemic and the massive increase in Unemployment Insurance (UI) claim activities, states shifted TAA staff to perform UI functions. Since states file approximately four-fifths of the petitions, the shift of state-level TAA staff to non-TAA functions resulted in a decrease of state TAA outreach to workers. It is also likely that firms were more likely to see negative impacts as being related to COVID-19 rather than foreign trade, and thus did not file petitions, even when foreign trade adversely affected workers. Petition activity by state is provided in *Appendix B*, and petition activity by Congressional District is provided in *Appendix C*.

Table 2: FY 2017 – FY 2021 Estimated Number of Workers Covered by Petitions Certified and Denied

Fiscal Year	Petitions Filed	Petitions Certified	% of Petitions Certified	Est. # of Workers	Petitions Denied ²	% of Petitions Denied	Est. # of Workers' Petitions Denied
2017	1,091	848	79.0%	95,505	226	21.0%	31,763
2018	1,279	906	81.0%	77,745	213	19.0%	16,389
2019	1,353	804	71.8%	90,305	315	28.2%	21,875
2020	1,245	772	71.9%	96,202	301	28.1%	25,973
2021	731	801	78.7%	107,454	217	21.3%	31,573

Note: During any fiscal year, the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

Estimated number of workers covered by a certified petition.

¹ TAA petitions must be properly completed and filed with the appropriate state and federal offices in order to be deemed eligible.

² The percentage of 78.7 is determined by the ratio of certified petitions (801) to the sum of certified and denied petitions (1,018).

Table 3 shows the median processing times for each category of determination: certifications; denials; and terminations. From FY 2020 to FY 2021, there was an increase in the median processing time from 80 to 83 days. COVID-19 impacted investigations by causing significant delays in the collection of relevant data due to business closures and company shutdowns.

Table 3: FY 2017 – FY 2021 Median Time for Processing Petitions

Fiscal Year	Median Processing Time (Days)			
	Certifications	Denials	Terminations ¹	Total
2017	63	120.5	47	69
2018	43	83	56	50
2019	51	100	58	61
2020	61	139.5	78	80
2021	71	153	84	83

Note: Median processing times do not include statutory reconsiderations.

¹ Petitions may be terminated because the petitioner requests withdrawal, the petition is deemed invalid, the existing certification has already been issued, another duplicate investigation is in process, or a negative determination was recently issued, among other reasons.

Table 4, on the next page, shows certifications differentiated by product or service and sorted by certification type, number of certifications by type, estimated number of adversely affected workers, and percentage of total certifications by type.

Table 4: FY 2021 Certified Petitions, Classified by the Basis for Certification

Type	Certification Type	Statutory Provision Section 222	# of Certs	Est. # of Workers ¹	% of Total
Product	Shift in Production to a Foreign Country	(a)(2)(B)(i)(I)	238	41,257	38.4%
	ITC Determination	(e)	120	13,547	12.6%
	Customer Imports of Articles	(a)(2)(A)(ii)(I)	65	12,076	11.2%
	Secondary Component Supplier	(b)(2) & (b)(3)(A)/(b)(3)(B)	40	3,954	3.7%
	Company Imports of Articles	(a)(2)(A)(ii)(I)	29	3,645	3.4%
	Acquisition of Articles from a Foreign Country	(a)(2)(B)(i)(II)	23	2,387	2.2%
	Downstream Producer	(b)(2) & (b)(3)(B)	19	388	0.4%
	Increased Aggregate Imports	(a)(2)(A)(ii)(I)	15	1,821	1.7%
	Shift in Production to an FTA Country or Beneficiary	(a)(2)(B)(ii)(II)	7	1,266	1.2%
	Imports of Finished Articles Containing Like or Directly Competitive Components	(a)(2)(A)(II)(aa)	7	1,627	1.5%
	Imports of Finished Articles Containing Foreign Components	(a)(2)(A)(III)	3	116	0.1%
	Actual/Likely Increase in Imports following a Shift Abroad	(a)(2)(B)(ii)	3	475	0.4%
	Upstream Supplier	(b)	1	11	0.0%
	Increased Company Imports	(a)(2)(A)	1	69	0.1%
	Service	Shift in Services to a Foreign Country	(a)(2)(B)(ii)(I)	144	16,292
Acquisition of Services from a Foreign Country		(a)(2)(B)(i)(II)	64	5,102	4.8%
Secondary Service Supplier		(b)(2) & (b)(3)(B)	15	1,392	1.3%
Customer Imports of Services		(a)(2)(A)(ii)(I)	7	2,029	1.9%
Total			801	107,454	100.0%

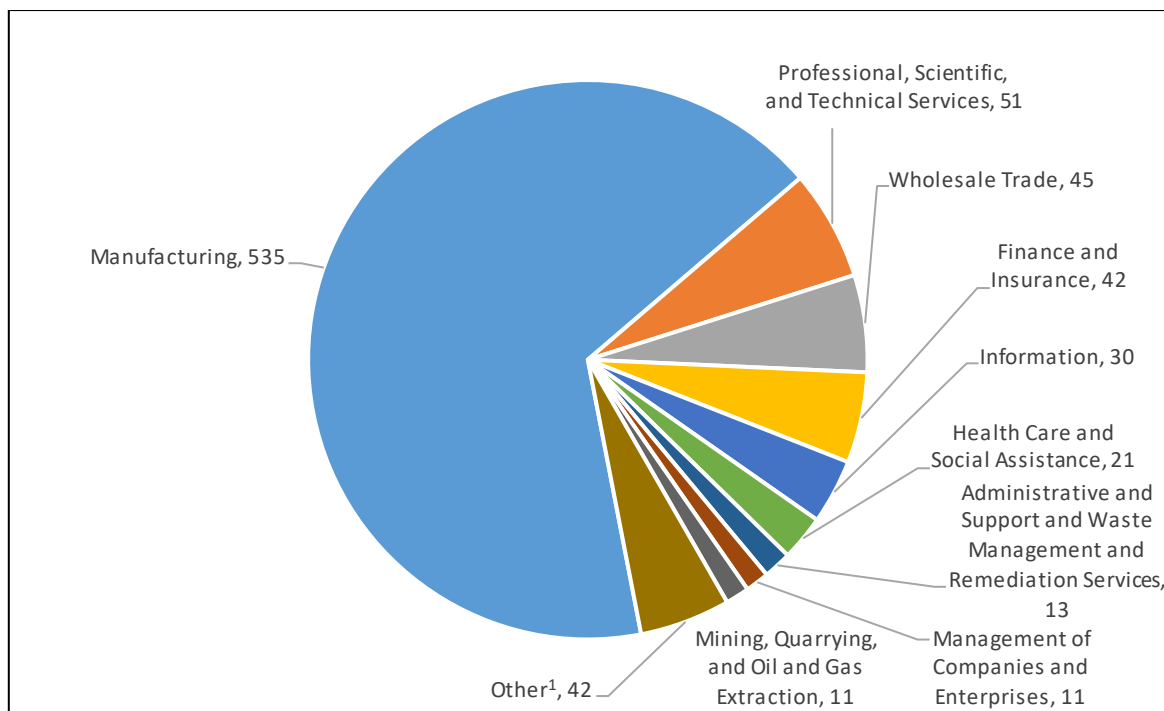
¹ Estimated number of workers covered by a certified petition in FY 2021.

Industry Sectors in FY 2021

In FY 2021, the Department issued 801 TAA certifications that covered 19 industry sectors. As in prior years, the largest industry sector was manufacturing, with 535 certifications covering an estimated 80,588 workers, nearly 45 percent higher than FY 2020 (55,723). Professional, Scientific, and Technical Services represented the second largest industry sector with 51 certifications covering an estimated 5,812 workers.

Figure 1 illustrates the industry sectors with petition certifications during FY 2021.

Figure 1: FY 2021 Petition Certifications by Industry



Note: See Table 5 for FY2021 petitions certified or denied by industry sector.

¹*Other- Represents all the industries with less than 10 certifications.*

Table 5 shows the number and percentage of petitions certified and denied, identified by the North American Industry Classification System (NAICS) sectors in which the trade-affected workers were employed. Manufacturing sector certifications increased from 366 certifications in FY 2020 to 535 certifications in FY 2021. The manufacturing sector made up 67 percent of total certifications in FY 2021, significantly more than the 53.1 percent in FY 2020.

Table 5: FY 2021 Petitions Certified and Denied by Industry Sector

Industry Sector	Certifications				Denials			
	# of Petitions		Est. # of Workers		# of Petitions		Est. # of Workers	
Manufacturing	535	66.8%	80,588	75.0%	108	49.8%	13,604	43.1%
Professional, Scientific, and Technical Services	51	6.4%	5,812	5.4%	11	5.1%	1,011	3.2%
Wholesale Trade	45	5.6%	3,422	3.2%	6	2.8%	996	3.2%
Finance and Insurance	42	5.2%	2,876	2.7%	15	6.9%	968	3.1%
Information	30	3.8%	2,227	2.1%	12	5.5%	2,446	7.8%
Health Care and Social Assistance	21	2.6%	3,978	3.7%	1	0.5%	1	0.0%
Administrative and Support and Waste Management and Remediation Services	13	1.6%	3,390	3.2%	12	5.5%	4,560	14.4%
Management of Companies and Enterprises	11	1.4%	60	0.1%	1	0.5%	1	0.0%
Mining, Quarrying, and Oil and Gas Extraction	11	1.4%	1,809	1.7%	12	5.5%	1,352	4.3%
Retail Trade	10	1.3%	701	0.7%	17	7.8%	4,809	15.2%
Transportation and Warehousing	9	1.1%	587	0.6%	9	4.2%	460	1.5%
Other Services (except Public Administration)	6	0.8%	234	0.2%	2	0.9%	6	0.0%
Utilities	5	0.6%	1,206	1.1%	5	2.3%	848	2.7%
Construction	4	0.5%	359	0.3%	4	1.8%	492	1.6%
Agriculture, Forestry, Fishing and Hunting	3	0.4%	61	0.1%	0	0.0%	0	0.0%
Educational Services	2	0.3%	33	0.0%	1	0.5%	4	0.0%
Real Estate and Rental and Leasing	2	0.3%	101	0.1%	0	0.0%	0	0.0%
Public Administration	1	0.1%	10	0.0%	0	0.0%	0	0.0%
Accommodation and Food Services	0	0.0%	0	0.0%	1	0.5%	15	0.1%
Total	801	100.0%	107,454	100.0%	217	100.0%	31,573	100.0%

Table 6 shows the top five industry sectors for post-participation employment in FY 2021. The manufacturing industry continues to be the largest industry sector for reemployment.

Table 6: FY 2021 Top Five Industry Sectors for Post-TAA Participation Employment

Industry Sector of Reemployment	Total Count	
Manufacturing	2,435	32.5%
Administrative, Support, Waste Management and Remediation Services	837	11.2%
Health Care and Social Assistance	743	9.9%
Retail Trade	501	6.7%
Professional, Scientific, and Technical Services	445	5.9%

Note: Industry Sector of Reemployment is based on TAA participants employed in the second quarter after exit as documented four quarters after exit to allow for time to collect and report data. The FY 2021 Industry Sector of Reemployment is for participants who exited between October 1, 2019, and September 30, 2020, inclusively.

Table 7 lists the top five subsectors for reemployment in the manufacturing and service industries in FY 2021.

Table 7: FY 2021 Top Five Subsectors for Reemployment in Manufacturing and Service Industries

Manufacturing	Service
Automobile Manufacturing	Temporary Help Services
All Other Plastics Product Manufacturing	General Medical and Surgical Hospitals
Secondary Smelting and Alloying of Aluminum	Elementary and Secondary Schools
General Warehousing and Storage	Offices of Physicians (except Mental Health Specialists)
Wood Kitchen Cabinet and Countertop Manufacturing	Nursing Care Facilities (Skilled Nursing Facilities)

Note: Industry Sector of Reemployment is based on TAA participants employed in the second quarter after exit as documented four quarters after exit to allow for time to collect and report data. The FY 2021 Industry Sector of Reemployment is for participants who exited between October 1, 2019, and September 30, 2020, inclusively. In addition, it is highly likely that workers reported under Temporary Help Services may actually be reemployed in the manufacturing sector. However, since staffing firms are reported under the NAICS code for services, this cannot be validated against the current data set.

Profile of New TAA Participants in FY 2021

The demographic characteristics of new TAA participants who enrolled in the program during FY 2021 were largely unchanged from FY 2020, except for the variance in reported gender - which shows a significant change from 57 percent male to 64 percent male.

Table 8: FY 2020 – FY 2021 Demographics of New TAA Participants by Gender, Race, Pre-Program Educational Level, Age, and Employment Tenure

Demographic Description		TAA	TAA
		Participants	Participants
		FY 2020	FY 2021
Gender	Male	57.0%	63.9%
	Female	42.5%	34.9%
Race	White	64.6%	64.5%
	Black or African American	16.9%	13.1%
	Hispanic/Latino	11.3%	10.5%
	Asian	6.6%	9.4%
	American Indian or Alaska Native	1.4%	1.8%
	Native Hawaiian or Other Pacific Islander	0.5%	0.6%
Education	High School Diploma, GED or less	50.9%	49.5%
	Some Post-Secondary, Associate's	30.2%	31.4%
	Bachelor's & Beyond Bachelor's	18.8%	18.9%
Age (Years)	Average (Mean)	48.9	48.1
	Median	51.0	51.0
Tenure of Trade	Average (Mean)	11.3	10.8
Affected Employment (Years)	Median	7.7	7.2

Note: This chart reflects new participants in FY2020 and FY2021. Race is self-identified and a participant may identify as more than one race. As such, the total of race-identified percentages may be greater than 100 percent.

Table 8, on the previous page shows that, compared to FY 2020, new TAA participants are shorter-tenured and less likely to be Black or Hispanic. The historical trend of TAA participants being more educated continued as the percentage of new TAA participants who were high school graduates remained at high levels decreasing only slightly from 50.9 percent in FY 2020 to 49.5 percent in FY 2021. Remaining near multi-year high levels, new TAA participants who are college graduates increased from under 10 percent in FY 2009 to 18.9 percent in FY 2021, slightly up from 18.8 percent in FY 2020.

Table 9 compares the FY 2021 population served under the TAA Program with the American Civilian Labor Force (ACLF), which is based on data provided by the Department's Bureau of Labor Statistics (BLS). BLS defines the ACLK as:

“All persons in the civilian non-institutional population (Persons 16 years of age and older residing in the 50 states and the District of Columbia, who are not inmates of institutions (e.g., penal and mental facilities, homes for the aged), and who are not on active duty in the Armed Forces) classified as either employed or unemployed.”

As shown in *Table 9*, new TAA participants continue to have significantly less higher education experience compared to the ACLK. While 68.9 percent of the ACLK had post-secondary education, 50.3 percent of TAA participants entered the program with post-secondary education. Another significant distinction between the ACLK and new TAA participants is their median tenure of employment. In FY 2021, new TAA participants had a median of 7.2 years of experience in their adversely affected employment, significantly higher than the 4.1 years median tenure of employment for ACLK.

TAA Program participants continue to be older, more diverse, and less likely to have obtained a higher education than the ACLK at large. These distinctions play a critical role in the design and implementation of TAA benefits and services. With relatively limited pre-program higher educational attainment and long tenures out of the job market, many TAA participants require extensive case management and employment services to assist them to become reemployed.

Table 9: FY 2021 Demographics of New TAA Participants Compared to the American Civilian Labor Force, by Gender, Race, Educational Level, Age, and Tenure

Demographic Description	American Civilian Labor Force	TAA Participants FY 2021
Gender ¹ : Male	53.0%	63.9%
Race ¹ : White	77.4%	64.5%
Education ² : Some College, Associate's Degree, Bachelor's Degree, or More	68.9%	50.3%
Median Age (Years) ³	42.5	51.0
Median Tenure of Employment (Years) ⁴	4.1	7.2

Note: for all of these, used "Civilian labor force, not "Civilian non-institutional population."

<https://www.bls.gov/emp/tables/civilian-labor-force-summary.htm>

² <http://www.bls.gov/cps/cpsaat07.pdf>

³ <http://www.bls.gov/cps/cpsaat11b.pdf>

⁴ <https://www.bls.gov/news.release/pdf/tenure.pdf>

When TAA participants enrolled in the program during FY 2021, many of them entered after benefiting from Rapid Response services. Authorized under WIOA, Rapid Response is a proactive, business-focused strategy designed to respond to layoffs and plant closings by quickly coordinating services and providing immediate aid to companies and their affected workers. Rapid Response services ensure that workers affected by a layoff are given the best opportunity to return to work as soon as possible and that employers can obtain the required talent or workforce solutions to remain competitive. Each year, states reserve a portion of their funds for WIOA Dislocated Worker activities to support Rapid Response. Under Section 221(a)(2)(A) of the Trade Act (19 U.S.C. 2271(a)(2)(A)), as amended, states are required to ensure that Rapid Response and appropriate career services (as described in Section 134 of WIOA, 29 U.S.C. 3174) are made available to workers for whom a petition for TAA has been filed.

As shown in *Table 10*, Rapid Response was provided to 82.1 percent of petitions associated with FY 2021 new participants. *Table 10* further illustrates that from FY 2017 to FY 2021, there was a nearly 10 percentage point increase in the number of new participants receiving Rapid Response (84.4 percent in FY 2021 compared with 75.3 percent during FY 2017).

Since Rapid Response is a crucial component of providing TAA benefits and services, the Department works closely with states and AJCs to encourage cross-training of TAA staff and Rapid Response teams on implementing legislative or policy updates. The Department also encourages states to become familiar with TAA investigation forms and ensure Rapid Response teams are aware of information requested during the TAA investigation process. Further, the Department provides guidance to affected states during significant mass layoff events to coordinate efforts and determine any difficulties with the provision of TAA services.

Table 10: FY 2017 – FY 2021 Rapid Response Rates

Fiscal Year	Participant Rapid Response Rate ¹	Petition Rapid Response Rate ²
2017	75.3%	73.1%
2018	80.7%	79.5%
2019	83.1%	80.8%
2020	85.1%	78.3%
2021	84.4%	82.1%

¹ Percentage of new participants who received Rapid Response services.

² Percentage of petitions associated with new participants for which Rapid Response services were provided.

While Rapid Response provides for immediate services, TAA certification allows for trade-affected workers to obtain TAA Program-specific benefits and services. *Section III* will discuss the benefits and services provided to TAA participants during FY 2021.

III. BENEFITS AND SERVICES

Benefits and Services Provided During FY 2021

The TAA Program includes a range of benefits and services available under the different versions of the program. *Appendix A* provides details on the benefits and services available under each program.

Table 11 shows the number of FY 2021 participants receiving each type of TAA benefit or service. Employment and case management services reached an all-time high, with 94.9 percent of participants receiving these services during FY 2021, a slight improvement over FY 2020's 94.3 percent. Distance learning increased from 32.5 percent in FY 2020 to 33.7 percent in FY 2021, both years dramatically higher than the 4.2 percent reported in FY 2019. This increase is likely due to COVID-19.

Occupational training remains the type of training most commonly received with 40.9 percent of participants receiving occupational training. ATAA/RTAA participation fell to 11.3 percent of participants receiving this TAA benefit in FY 2021 compared to 13.9 percent in FY 2020.

Similar to FY 2020, only a small number of TAA participants were involved in an apprenticeship opportunity or on-the-job training. Since Registered Apprenticeship is a critical and successful component of America's workforce strategy, the Department is continuing to help TAA participants find apprenticeship opportunities and to work with states to identify best practices that may lead to the establishment of additional apprenticeship and other work-based learning opportunities.

Table 11: FY 2021 Participants Receiving Each Type of TAA Benefit or Service

Participant Benefit or Service	Number of Participants FY 2021	Percentage of Participants FY 2021
TAA (All)	21,286	-
Employment and Case Management	20,211	94.9%
Training	10,937	51.4%
Occupational	8,714	40.9%
Remedial	552	2.6%
Prerequisite	136	0.6%
Customized	31	0.1%
On the Job	180	0.8%
Apprenticeship	7	0.0%
Pre Layoff Training	76	0.4%
Training Leading to an Associate's Degree	2,966	13.9%
Distance Learning	7,180	33.7%
Part Time Training	334	1.6%
TRA	5,460	25.7%
Basic	2,592	12.2%
Additional	3,376	15.9%
Remedial	36	0.2%
Completion	497	2.3%
Job Search Allowances	46	0.2%
Relocation Allowances	66	0.3%
ATAA/RTAA	2,410	11.3%
Previous Certification ¹	622	2.9%

Note: TAA participants may receive more than one benefit listed.

¹ *Previous certification is not a benefit or service provided, but describes those served this year in compliance with Sec. 249B(b)(2)(E) of the Trade Act, as amended.*

Table 12 shows the training participation rate from FY 2017 to FY 2021. During FY 2021, the training participation rate increased to 51.4 percent.

Table 12: FY 2017 – FY 2021 Training Participation Trend

Fiscal Year	Current Participants	Training Participants	Training Participation Rate
2017	38,223	21,849	57.2%
2018	34,053	18,345	53.9%
2019	28,308	13,935	49.2%
2020	23,704	11,685	49.3%
2021	21,286	10,937	51.4%

Note: TAA participants may receive more than one benefit listed.

Enrollment in Training Waivers Issued in FY 2021

The Trade Act, as amended, authorizes the states to grant waivers, under certain conditions, of the requirement that a TAA participant be enrolled in training by a certain deadline in order to receive TRA.

There are (3) three different bases for participant waivers:

1. **Health** – The worker is unable to participate in training due to the health of the worker, except that a waiver shall not be construed to exempt a worker from requirements relating to availability for work, active search for work, or refusal to accept work under Federal or state UI laws.
2. **Enrollment Unavailable** – The first available enrollment date for the approved training of the worker is within 60 days after the date of the determination, or, if later, there are extenuating circumstances for the delay in enrollment.
3. **Training Not Available** – Approved training is not reasonably available to the worker from either governmental agencies or private sources, no training that is suitable for the worker is available at a reasonable cost, or no training funds are available.

See *Appendix A* for more information on the different bases for waivers and applicable deadlines for obtaining the waivers under the 2002, 2009, 2011, 2015, and Reversion 2021 Programs.

Since FY 2015, the total number of waivers issued by states has been steadily declining due to the elimination of the Recall, Marketable Skills, and Retirement bases for waivers for 2011 and 2015 Program participants. This trend has continued from FY 2020 to FY 2021 with total waivers issued by states decreasing from 1,986 in FY 2020 to 1,776 in FY 2021, as seen in *Table 13*. Most

notably, Enrollment Not Available waivers went down considerably, and total participant waivers are down nearly 60 percent since FY 2017.

Table 13: FY 2017 – FY 2021 Training Waivers Granted, Classified by Type of Waiver

Training Waiver Type	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Recall ¹	3	1	0	0	0
Marketable Skills ¹	30	0	0	0	0
Retirement ¹	1	5	0	0	0
Health	46	55	39	24	24
Enrollment Unavailable	3,215	1,462	1,562	1,404	1,185
Training Unavailable	1,077	836	521	558	567
Waiver Participants (Total)²	4,361	2,359	2,122	1,986	1,776

¹ Recall, Marketable Skills, and Retirement waiver types were eliminated for 2011 and 2015 Program participants.

² The total waiver participants may be less than the sum of the individual waivers granted in a fiscal year because a participant's waiver type may have changed during the time period.

Note: The percentage of participants receiving a waiver went up slightly in FY2020 and FY2021. The largest increase was in Training not Available, which is not surprising given the impacts of COVID-19 on training providers.

Table 14 shows the number of TAA training exiters and average training costs by level of training completion. In FY 2021, 78.5 percent of TAA exiters who participated in training completed their training program, which is up from 75.6 percent FY 2020. The average training cost per participant was \$13,724 in FY 2021, up slightly from \$13,623 in FY 2020.

Table 14: FY 2021 Training Exiters and Average Training Cost by Completion

Training Exiters	Number of Participants	Percentage of Participants	Average Training Cost
	FY 2021	FY 2021	
Training Participants	5,296	-	\$13,724
Training Completed	4,156	78.5%	\$15,213
Training Not Completed	1,142	21.6%	\$8,319
Part Time Training Completed	131	2.5%	\$11,386
Pre Layoff Training Completed	58	1.1%	\$14,229

Note: The number of participants who completed training and the number of participants who did not complete training may be larger than the total training participants due to individuals having more than one participation in the period. The average training cost is per participant who exits the TAA Program and it includes their entire time in the TAA program.

Table 15 indicates that 78.5 percent of participants completed training during FY 2021, 72.3 percent of whom earned a post-secondary credential, including an industry-recognized credential or a secondary school diploma or equivalent.

Table 15: FY 2017 – FY 2021 Credentialing Rate of Participants Who Completed Training

Fiscal Year	Completed Training (Exiters)	Credential Attainment Rate (Performance)
2017	69.6%	69.1%
2018	72.0%	63.8%
2019	76.1%	66.4%
2020	77.5%	71.3%
2021	78.5%	72.3%

Figure 2 further illustrates the five-year trend on training completion and the credential attainment rate.

Figure 2: FY 2017 – FY 2021 Rate of Credentialing for Participants Who Completed Training

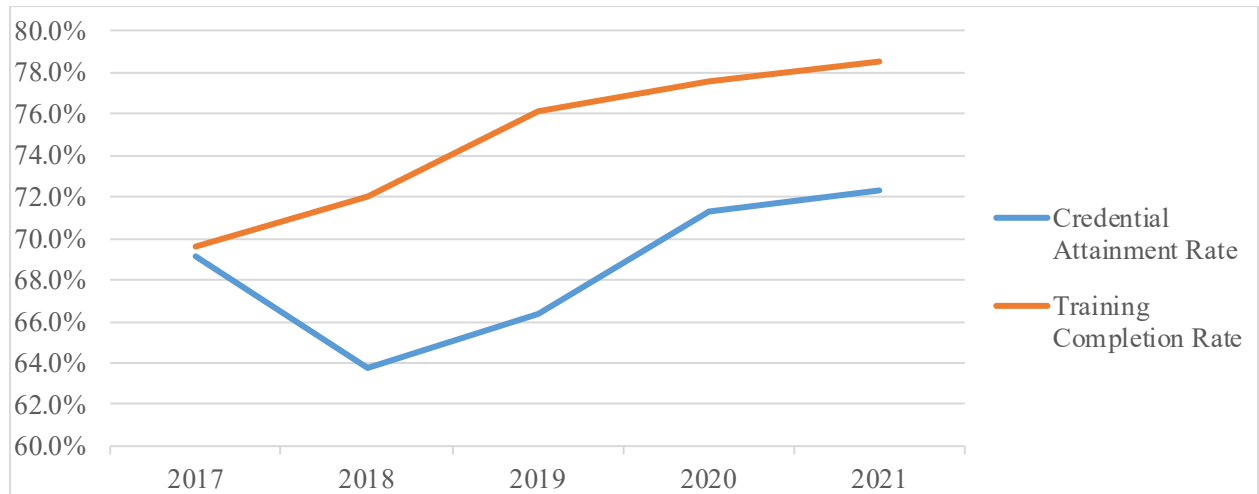


Table 16 shows the average duration of participation in the TAA Program, as well as the average duration of training, TRA, and employment and case management services. Table 16 identifies that the average duration for all TAA benefits and services decreased by 21 days in FY 2021, as compared to FY 2020.

Table 16: FY 2020 – FY 2021 Average Duration of TAA Benefits and Services

Benefit or Service	FY 2020 Average Duration (Days)	FY 2021 Average Duration (Days)
TAA Training (All Training)	439	443
TAA Training (No Remedial or Prerequisite)	439	446
TAA Training (Completed)	468	466
TAA Training (Not Completed)	340	359
Trade Readjustment Allowance (TRA)	350	351
Employment and Case Management	513	486
TAA Participation (All)	519	498

Table 17 shows the percentage of TAA participants exiting in FY 2021 who received either ATAA or RTAA. In FY 2021, RTAA exiters decreased slightly to 15 percent. Appendix A illustrates the differences between ATAA and RTAA.

Table 17: FY 2017 – FY 2021 ATAA and RTAA Participant Trends

Fiscal Year	Total Exiters	ATAA Exiters ¹	RTAA Exiters ²	Percentage of Exiters Receiving ATAA or RTAA
2017	17,209	24	2,396	14.1%
2018	16,763	1	2,555	15.2%
2019	14,729	0	2,348	15.9%
2020	12,267	0	2,066	16.8%
2021	10,023	0	1,507	15.0%

¹ ATAA is available to participants served under the 2002 and Reversion 2021 Programs.

² RTAA is available to participants served under the 2009, 2011, and the 2015 Programs.

The following section, *Section IV*, provides greater detail about the performance outcomes of these participants and examines the credential attainment rate in more detail, as well as reemployment outcomes for participants who exited the TAA Program in FY 2021.

IV. PERFORMANCE OUTCOMES

The Department analyzes participant outcomes to assess the primary indicators of performance established by Section 239(j) of the Trade Act, as amended, in addition to other outcomes and measures used by the Department to assess the TAA Program. The performance measures are the following:

1. *Employment Rate* in the second quarter after program exit (ERQ2);
2. *Employment Rate* in the fourth quarter after program exit (ERQ4);
3. *Median Earnings* in the second quarter after exit (MEQ2);
4. *Credential Attainment (CA)*, which reflects the percentage of exiters who receive a post-secondary credential within one year of program exit; and
5. *Measurable Skills Gains (MSG)*, which reflects the percentage of participants enrolled in training who are achieving measurable progress towards a recognized post-secondary credential or employment.

From FY 2015 through FY 2018, the Department used state reports submitted through the Trade Act Participant Report (TAPR) to calculate outcomes. Beginning with FY 2019, the Department now uses reports submitted through the Participant Individual Record Layout (PIRL) to calculate outcomes on Employment Rate in the second quarter after program exit, Employment Rate in the fourth quarter after exit, and Median Earnings in the second quarter after exit. As seen in *Table 18*, all three measures remained steady until the COVID-19 pandemic affected performance results in FY 2021.

Table 18: FY 2017 – FY 2021 Performance Results for ERQ2, ERQ4, and MEQ2

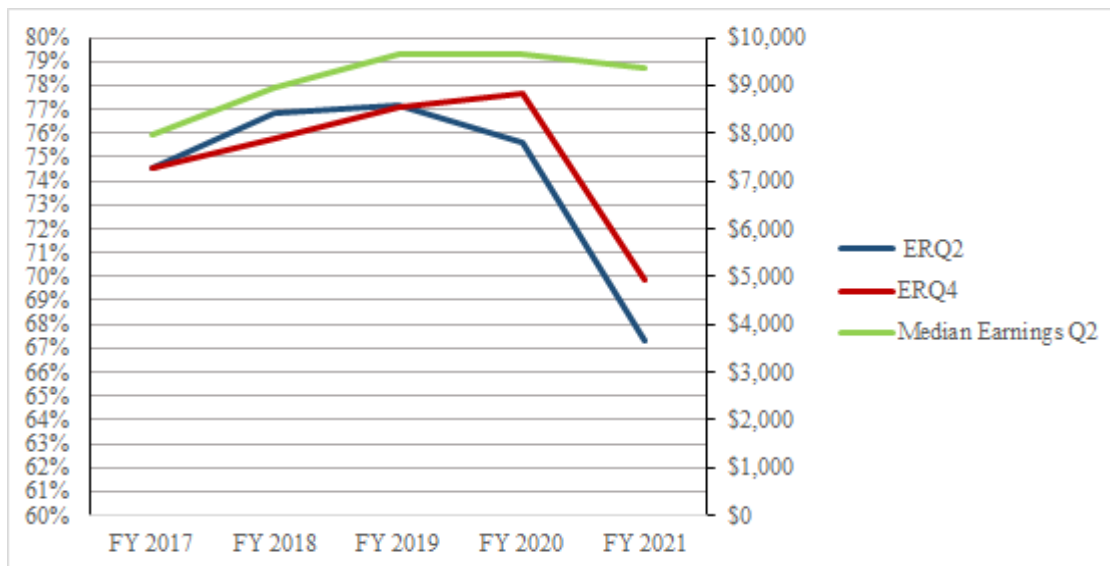
Fiscal Year	Performance Results		
	ERQ2	ERQ4	MEQ2
2017	74.5%	74.5%	\$7,977
2018	76.8%	75.8%	\$8,952
2019	77.2%	77.1%	\$9,669
2020	75.6%	77.7%	\$9,654
2021	67.3%	69.9%	\$9,348

Note: Employment Rate Quarter 2 (ERQ2) is the percentage of TAA participants employed in the second quarter after program exit as reported in the fourth quarter after exit. FY 2021 ERQ2 is for participants who exited between October 1, 2019, and September 30, 2020, inclusively.

Employment Rate Quarter 4 (ERQ4) is the percentage of TAA participants employed in the fourth quarter after program exit as reported in the sixth quarter after exit. FY 2021 ERQ4 is for participants who exited between April 1, 2019, and March 31, 2020, inclusively.

Median Earnings Quarter 2 (MEQ2) is the three-month median earnings of TAA participants employed in the second quarter after program exit based on data collected four quarters after exit to allow for time to collect and report data. For FY 2021, this represents participants who exited between October 1, 2020, and September 30, 2021, inclusively.

Figure 3 highlights that the FY 2021 performance results for ERQ2, ERQ4, and MEQ2 fell off the five-year highs, which can be explained by dramatic effect the COVID-19 pandemic had on the American labor force during FY 2021.



In order to provide a more in-depth look at program outcomes, results are further analyzed in Tables 19-24 by age, pre-program educational level, and services provided.

As with prior years, the FY 2021 post-participation employment rates are higher for younger groups of workers. Table 19 details the employment rates, measurable skills gains, and credential attainment by age at the time of pre-participation (before enrollment in the TAA Program) separation.

Table 19: FY 2021 Employment Rates, Measurable Skills Gains, and Credential Attainment by Age at Pre-participation Separation

Age	Percentage of Exiters ¹	ERQ2	ERQ4	MSG	CA
Under 30	6.8%	77.9%	81.2%	43.0%	74.7%
30 39	14.8%	75.7%	79.9%	46.7%	76.2%
40 49	21.1%	72.9%	77.9%	49.7%	74.9%
50 59	39.1%	70.9%	72.6%	47.1%	69.2%
60+	18.2%	42.3%	41.8%	47.5%	66.7%
All Exiters	100.0%	67.3%	69.9%	47.2%	72.3%

¹ Percentage of Exiters is based on ERQ2 Exiters.

Table 20 shows pre-participation and post-participation earnings by age. As in prior years, FY 2021 wage replacement is higher for younger age groups because pre-participation wages are substantially lower. Wage replacement rates for groups under age 30 exceed their pre-participation earnings. Furthermore, wage replacement rates for groups under 40 exceed 90 percent, but fall sharply after age 40. As a whole, the wage replacement percentage for all TAA participants remains strong at 80.4 percent, proving that TAA Program participation helps participants substantially replace their pre-participation wages.

Table 20: FY 2021 Earnings at Pre-Participation and Post-Participation by Age at Pre-participation Separation

Age	Quarterly Earnings Before Participation	Quarterly Earnings After Participation (MEQ2)	Wage Replacement Percentage
Under 30	\$8,489	\$8,592	101.2%
30 39	\$10,898	\$9,868	90.6%
40 49	\$12,129	\$9,996	82.4%
50 59	\$12,091	\$9,373	77.5%
60+	\$12,538	\$7,696	61.4%
All Exiters	\$11,625	\$9,348	80.4%

As shown in Table 21, TAA participants entering with some post-secondary education continue to have the highest employment rates in FY 2021. Participants entering with a high school education or less continue to make up the largest percentage of entrants for the TAA Program.

Table 21: FY 2021 Employment Rates, Measurable Skills Gains, and Credential Attainment by Education Level at Program Entrance

Pre participation Education Level	Percentage of Exiters	ERQ2	ERQ4	MSG	CA
High School & Less than High School	52.2%	67.7%	70.3%	46.1%	70.6%
Associates, Post Secondary Certification, Some Post Secondary	29.1%	69.2%	71.5%	47.9%	75.2%
Bachelor's & Beyond Bachelor's	18.7%	63.1%	66.5%	48.9%	72.1%
Unknown	0.0%	100.0%	100.0%	0.0%	100.0%
All Exiters	100.0%	67.3%	69.9%	47.2%	72.3%

Table 22 illustrates that workers with higher pre-program education levels have higher earnings both before and after participation. However, Table 22 also illustrates that the wage replacement rate is the lowest for the workers with the highest level of pre-program education.

Table 22: FY 2021 Earnings by Education Level at Program Entrance

Pre participation Education Level	Quarterly Earnings Before Participation	Quarterly Earnings After Participation (MEQ2)	Wage Replacement Percentage
High School & Less than High School	\$10,351	\$8,668	83.7%
Associates, Post Secondary Certification, Some Post Secondary	\$11,710	\$9,204	78.6%
Bachelors & Beyond Bachelors	\$18,286	\$13,562	74.2%
Unknown	\$11,892	\$9,180	77.2%
All Exiters	\$11,625	\$9,348	80.4%

Table 23 demonstrates how the FY 2021 employment rates and measurable skills gains vary based on the training services received. TAA participants who receive a credential through training have the highest employment rates and skills gains. The Department has worked to ensure participants are enrolled in training that results in credentials and provides long-term employment benefits.

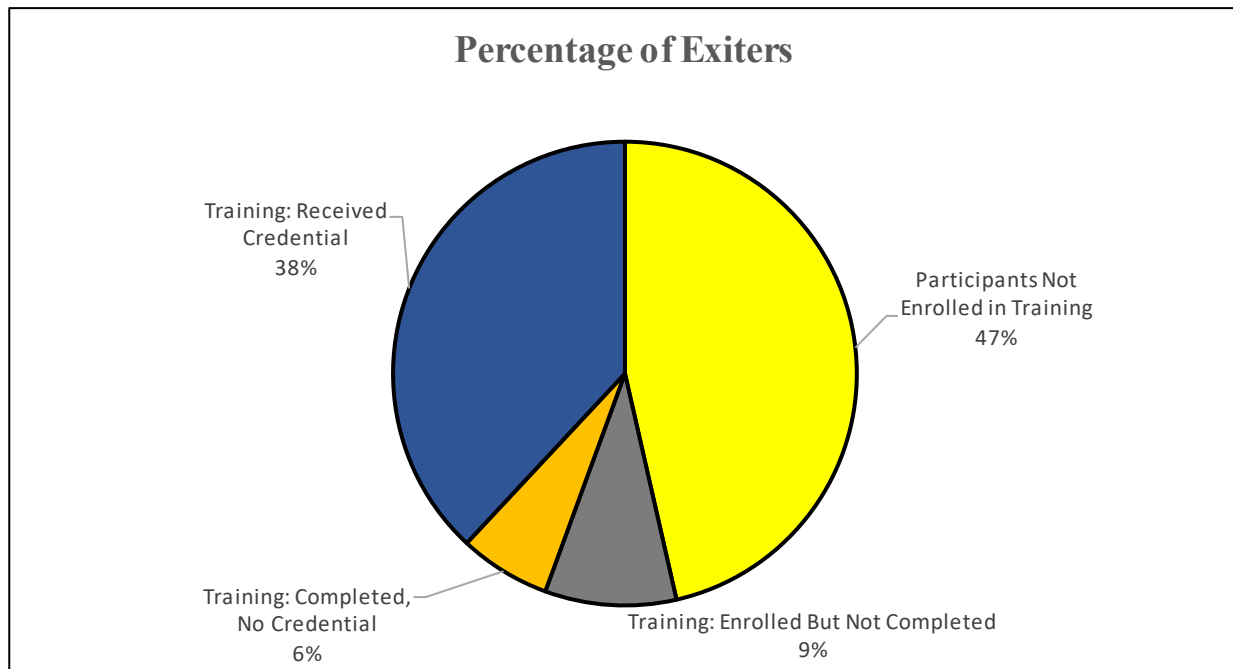
Table 23: FY 2021 Employment Rates and Measurable Skills Gains by Training Received

Training Received	Percentage of Exitters	ERQ2	ERQ4	MSG
Participants Not Enrolled in Training	46.4%	69.0%	69.3%	13.3%
Training: Enrolled But Not Completed	9.2%	59.9%	64.9%	39.5%
Training: Completed, No Credential	6.4%	62.8%	65.3%	40.1%
Training: Received Credential	38.1%	67.7%	72.7%	62.7%
All Exitters	100.0%	67.3%	69.9%	47.2%

Note: Percentage of Exitters is based on ERQ2.

Figure 4 shows the percentage of TAA exitters by training services received. In FY 2021, the percentage of exitters who received a credential surpassed the participants who enrolled but did not complete training and participants who completed training but did not receive a credential.

Figure 4: FY 2021 Percentage of Exitters by Training Received



Note: Percentage of Exitters is based on ERQ2.

Figure 5 shows the post-participation employment rates by training services received; as expected, those who completed training and earned credentials have the highest employment rates.

Figure 5: FY 2021 Post-Participation Employment Rates by Training Received

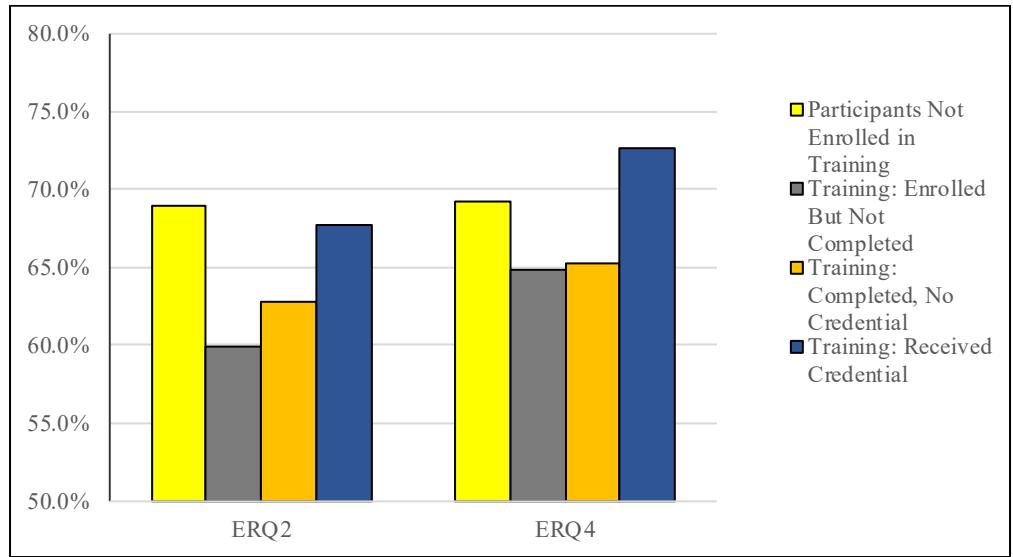


Table 24 shows the FY 2021 earnings and wage replacement rate by training services received. The wage replacement rate among all exiters was 80.4 percent.

Table 24: FY 2021 Earnings and Wage Replacement by Training Received

Training Received	Quarterly Earnings Before Participation	Median Earnings Q2 (MEQ2)	Wage Replacement Percentage
Participants Not Enrolled in Training	\$11,087	\$9,012	81.3%
Training: Enrolled But Not Completed	\$10,543	\$9,334	88.5%
Training: Completed, No Credential	\$11,679	\$10,795	92.4%
Training: Received Credential	\$12,298	\$9,624	78.3%
All Exiters	\$11,625	\$9,348	80.4%

V. PROGRAM GUIDANCE

The Department provides oversight and monitoring for the state delivery of TAA benefits and services through six Employment and Training Administration (ETA) Regional Offices. The Office of Trade Adjustment Assistance provides overall direction and technical assistance to the regions and the states, to ensure the consistent and timely delivery of these benefits and services nationwide. The Department, through ETA, issues guidance relating to funding and other salient topics to states in the form of TEGLs and Training and Employment Notices (TENs). In FY 2021, the Department issued nine guidance documents, as shown in *Table 25*. Although not issued in FY 2021, the Final Rule at 20 CFR 618 became effective on September 21, 2020, just before the start of FY 2021.

Table 25: FY 2021 Guidance Documents

Date	Directives
July 12, 2021	TEGL 02-21: Second Distribution of Fiscal Year (FY) 2021 Trade Adjustment Assistance (TAA) Training and Other Activities (TaOA) Funds and Process for Requesting TAA Reserve Funds
July 1, 2021	TEN 01-21: Frequently Asked Questions Relating to Trade Adjustment Assistance Program Reversion 2021
June 4, 2021	TEGL 24-20: Operating Instructions for Implementing the Reversion Provisions of the Amendments to the Trade Act of 1974 Enacted by the Trade Adjustment Assistance Reauthorization Act of 2015
April 26, 2021	TEGL 18-20: Trade Adjustment Assistance (TAA) Financial Reporting Alignment and Clarifications
January 19, 2021	TEGL 14-20: Initial Allocation of Fiscal Year (FY) 2021 Trade Adjustment Assistance (TAA) Program Training and Other Activities (TaOA) Funds and Process for Requesting TAA Reserve Funds
January 19, 2021	TEGL 13-20: Fiscal Year (FY) 2021 Trade Adjustment Assistance (TAA) Training and Other Activities (TaOA) Grant Management Guidance
January 7, 2021	TEGL 11-20: Guidance on Trade-Affected Workers' Withdrawal from Approved Training under the Trade Adjustment Assistance (TAA) Program
January 7, 2021	TEN 10-20 Change 1: Extension of the Health Coverage Tax Credit (HCTC) Program for Eligible Trade Adjustment Assistance (TAA) Recipients and Eligible Alternative TAA and Reemployment TAA (ATAA/RTAA) Recipients or Eligible Pension Benefit Guaranty Corporation (PBGC) Recipients
October 29, 2020	TEGL 04-20: Guidance on Integrating Services for Trade-Affected Workers under the Trade Adjustment Assistance Program (TAA Program) with the Workforce Innovation and Opportunity Act (WIOA) Title I Dislocated Worker (DW) Program

VI. FUNDING

Under Section 239 of the Trade Act, as amended, the states provide benefits and services to eligible workers in the TAA Program. The Department provides funding to the states to provide the benefits and services to adversely affected workers. Each state provides these benefits through one or more state agencies, one of which is designated as the Cooperating State Agency (CSA) in an agreement between the state's Governor and the Secretary of Labor, known as the Governor-Secretary Agreement.

Congress appropriates funds to the Federal Unemployment Benefits and Allowances (FUBA) account for the TAA Program, and the Department apportions the FUBA appropriation into three separate budget activities: (1) Training and Other Activities (TaOA), which includes funds for training, job search allowances, relocation allowances, employment and case management services, and related state administration; (2) Trade Benefits, which includes funds for TRA payments; and (3) ATAA and RTAA. Congress separately appropriates discretionary funds to cover the states' administrative costs of providing TRA, ATAA, and RTAA from the State Unemployment Insurance and Employment Security Operations (SUIESO) appropriation. The Department apportions these funds through the UI Annual Funding Agreement with each state.

The Consolidated Appropriations Act of 2021 (Pub. L. 116-260) (2021 Appropriations Act), enacted on December 27, 2020, appropriated \$633.6 million within the Department's FUBA account, which was appropriated to carry out the TAA program as follows: TaOA (\$406.6 million), TRA (\$208 million), and ATAA/RTAA (\$20 million). However, this amount was subject to a 5.7 percent sequestration reduction (\$36.1 million) required by the Balanced Budget and Emergency Deficit Control Act of 1985 (BBEDCA), as amended (Pub. L. 99-177). Accordingly, the total amount of FUBA funds available to states in FY 2021 for all TAA benefits and services was \$597.48 million. The Department applied the full sequestration reduction to the TaOA budget activity, which resulted in a FY 2021 national aggregate amount of \$370.48 million available for distribution to states for TaOA. The Department did not apply any reduction to funds appropriated for TRA or ATAA/RTAA benefits. Table 26 lists the total amount of funds distributed for TaOA in FY 2021 (\$370.48 million) by type of distribution and by state.

Table 26: FY 2021 Funds for Training and Other Activities Distributed to States

State	Initial Allocation	Reserve Fund Distribution	Second Distribution	Final Distribution	Total FY 2021 TaOA Funds
AL	\$3,510,738	\$0	\$1,632,935	\$834,979	\$5,978,652
AK	\$0	\$282,845	\$0	\$0	\$282,845
AZ	\$1,269,888	\$0	\$479,753	\$145,580	\$1,895,221
AR	\$3,290,640	\$0	\$1,261,244	\$617,944	\$5,169,828
CA	\$20,163,992	\$0	\$7,683,506	\$2,485,851	\$30,333,349
CO	\$1,744,907	\$0	\$593,680	\$373,273	\$2,711,860
CT	\$3,021,880	\$0	\$1,138,733	\$448,835	\$4,609,448
DE	\$0	\$200,000	\$0	\$0	\$200,000
DC	\$0	\$0	\$0	\$0	\$0
FL	\$2,594,800	\$0	\$859,812	\$422,397	\$3,877,009
GA	\$4,041,504	\$0	\$1,883,810	\$720,771	\$6,646,085
HI	\$104,924	\$0	\$36,432	\$13,089	\$154,445
ID	\$1,280,321	\$0	\$448,609	\$159,935	\$1,888,865
IL	\$9,831,763	\$0	\$4,161,702	\$1,634,556	\$15,628,021
IN	\$10,153,478	\$0	\$4,332,215	\$1,818,903	\$16,304,596
IA	\$3,374,642	\$0	\$1,195,824	\$582,224	\$5,152,690
KS	\$8,759,024	\$0	\$3,237,854	\$1,597,350	\$13,594,228
KY	\$4,913,320	\$0	\$1,912,535	\$463,746	\$7,289,601
LA	\$854,281	\$0	\$208,405	\$86,130	\$1,148,816
ME	\$356,626	\$0	\$139,317	\$53,640	\$549,583
MD	\$2,570,407	\$0	\$1,082,236	\$426,554	\$4,079,197
MA	\$7,387,244	\$0	\$2,968,124	\$1,161,566	\$11,516,934
MI	\$5,150,548	\$0	\$3,489,413	\$1,235,319	\$9,875,280
MN	\$8,436,919	\$0	\$3,361,887	\$1,298,212	\$13,097,018
MS	\$339,601	\$0	\$80,783	\$20,053	\$440,437
MO	\$5,647,301	\$0	\$2,087,089	\$755,668	\$8,490,058

Table 26: FY 2021 Funds for Training and Other Activities Distributed to States

State	Initial Allocation	Reserve Fund Distribution	Second Distribution	Final Distribution	Total FY 2021 TaOA Funds
MT	\$205,261	\$0	\$26,767	\$3,399	\$235,427
NE	\$1,063,187	\$0	\$437,977	\$220,438	\$1,721,602
NV	\$571,553	\$0	\$143,480	\$37,469	\$752,502
NH	\$575,168	\$0	\$203,480	\$72,479	\$851,127
NJ	\$2,060,278	\$0	\$2,091,610	\$780,853	\$4,932,741
NM	\$3,677,056	\$0	\$1,300,265	\$564,392	\$5,541,713
NY	\$8,184,693	\$0	\$3,022,234	\$1,438,858	\$12,645,785
NC	\$3,730,608	\$0	\$1,403,839	\$546,319	\$5,680,766
ND	\$332,857	\$0	\$86,749	\$18,570	\$438,176
OH	\$17,063,555	\$0	\$3,910,341	\$1,269,612	\$22,243,508
OK	\$2,505,273	\$0	\$786,704	\$317,566	\$3,609,543
OR	\$15,771,209	\$0	\$7,793,222	\$2,954,074	\$26,518,505
PA	\$18,492,624	\$0	\$6,985,553	\$2,831,815	\$28,309,992
PR	\$0	\$0	\$0	\$0	\$0
RI	\$299,148	\$0	\$91,607	\$25,381	\$416,136
SC	\$4,916,766	\$0	\$1,536,609	\$561,275	\$7,014,650
SD	\$1,494,792	\$0	\$552,005	\$227,208	\$2,274,005
TN	\$3,923,276	\$0	\$1,412,834	\$523,832	\$5,859,942
TX	\$11,611,351	\$0	\$4,856,832	\$2,044,702	\$18,512,885
UT	\$4,874,007	\$0	\$1,217,461	\$285,604	\$6,377,072
VT	\$392,371	\$0	\$138,236	\$44,496	\$575,103
VA	\$5,636,904	\$0	\$1,891,754	\$843,732	\$8,372,390
WA	\$16,289,212	\$0	\$5,193,812	\$1,971,107	\$23,454,131
WV	\$4,218,922	\$0	\$1,370,490	\$650,870	\$6,240,282
WI	\$4,126,301	\$0	\$1,891,441	\$823,053	\$6,840,795
WY	\$0	\$151,956	\$0	\$0	\$151,956
Total	\$240,815,120	\$634,801	\$92,621,200	\$36,413,679	\$370,484,800

Distributions of FY 2021 Program Funds to States

In accordance with existing regulations (20 CFR 618.910 through 20 CFR 618.940), which provide both the timing of the distributions and the formula used for calculating each state's amount, the Department made three distributions of TaOA funds to states using the funding formula and one distribution of funds using the reserve funds process.

The Department issued TEGL No. 14-20 to explain the Initial Allocation of TaOA funds, described in 20 CFR 618.910, and TEGL No. 02-21 to explain the Second Distribution of TaOA funds, described in 20 CFR 618.930. The amounts set out in these TEGLs totaled 90 percent of the full amount of the FY 2021 TaOA funding. The Department allocated the remaining 10 percent of FY 2021 funds in a Final Distribution. The regulations as explained below describe the formula by which the Department determined each state's share of the TaOA funds:

1. Sixty-five percent of the fiscal year funds are to be distributed by formula when the appropriation for the full fiscal year is available to the Department with 35 percent of the funds held in reserve for distribution later in the fiscal year (or to be provided to a state in need of reserve funds at any time during the fiscal year);
2. A *hold harmless* provision requiring a minimum allocation for the initial distribution is applied to ensure that a state receives at least 25 percent of the Initial Allocation that was made available to that state for the previous fiscal year;
3. By July 15 of each fiscal year, at least 90 percent of the funds appropriated for the entire year must be allocated (in FY 2021, steps 1 and 3 of the funding allocations were combined and issued simultaneously.); and
4. Formula factors determine each state's share of funds appropriated for TaOA. Each state's dollar amount of TaOA funding was determined using the most recent data available for the following formula factors, as described in 20 CFR 618.910 (f):
 1. The trend in number of workers covered by certifications;
 2. The trend in number of workers participating in training;

3. The number of workers estimated to be participating in training during the fiscal year; and
4. The estimated amount of funding needed to provide approved training to such workers during the fiscal year.

Once each of the four factors was determined for each state, under 20 CFR 618.910 (f)(3), all four factors were assigned an equal weight of 25 percent. Then, the *hold harmless* provision was applied to ensure a state's Initial Allocation was at least 25 percent of the amount the state received in its Initial Allocation for the prior fiscal year. Using this information, each state's share of the allocation was determined. Following 20 CFR 618.910 (c) through (e), allocations under \$100,000 were removed and the statutory 25 percent *hold harmless* provision was applied, resulting in an adjusted FY 2021 Initial Allocation for the remaining states. In instances when the formula approach gave a state less than \$100,000, in accordance with 20 CFR 618.910 (e)(2)(i), the state did not receive any Initial Allocation but could receive TAA funding by submitting a request for reserve funds.

As shown in *Table 26*, Alaska, Delaware, the District of Columbia, Nevada, Puerto Rico, and Wyoming did not receive an Initial Allocation. Alaska, Delaware, and Wyoming applied for reserve funds, and the department awarded TaOA funds to these states in the amounts of \$282,845, \$200,000, and \$151,956, respectively.

In addition to the reserve funds provided to states mentioned above, a summary of FY 2021 TaOA funds distributions to states includes:

1. The Department issued the Initial Allocation of \$240.8 million in January 2021;
2. The Department issued the Second Distribution of \$92.62 million in July 2021; and
3. The Department issued a Final Distribution of \$36.4 million in September 2021. This amount encompassed the remaining 10 percent of FY 2021 TaOA funding, minus the reserve funding. In accordance with 20 CFR § 618.930, the Department provided funds in the Second and Final Distributions only to states that received an Initial Allocation.

Process for Providing Funds to States for TRA, ATAA, and RTAA

Funding for TRA and ATAA/RTAA (wage supplements) is neither determined by formula nor distributed in accordance with the other provisions of TAA regulations codified at 20 CFR § 618.900 to 20 CFR § 618.940. Wage supplements are provided in the form of ATAA under the 2002 Program and Reversion 2021 Program and RTAA under the 2009, 2011, and 2015 Programs. The Department's Office of Unemployment Insurance (OUI) manages these funds, and states request them from OUI on an as-needed basis. As noted above, discretionary funds to cover the state administrative costs of providing TRA, ATAA, and RTAA are provided by the SUIESO appropriation through each state's UI Annual Funding Agreement.

Table 27 provides, by state, the amounts of funds distributed for TaOA (\$370.5 million), funds obligated for TRA (\$58 million), and funds obligated for ATAA/RTAA (\$12.9 million) in FY 2021. The first column in *Table 27* corresponds to the total amount of TaOA program funds listed for each state in *Table 26*.

Table 27: The Total Amount of Payments to the States in FY 2021 Used to Carry Out TaOA, TRA, and ATAA/RTAA

State	Training and Other Activities	TRA	ATAA / RTAA	Total TAA
AL	\$5,978,652	\$1,100,000	\$450,000	\$7,528,652
AK	\$282,845	\$0	\$0	\$282,845
AZ	\$1,895,221	\$20,000	\$95,000	\$2,010,221
AR	\$5,169,828	\$915,000	\$385,000	\$6,469,828
CA	\$30,333,349	\$4,250,000	\$260,000	\$34,843,349
CO	\$2,711,860	\$300,000	\$75,000	\$3,086,860
CT	\$4,609,448	\$700,000	\$45,000	\$5,354,448
DE	\$200,000	\$22,500	\$0	\$222,500
DC	\$0	\$0	\$0	\$0
FL	\$3,877,009	\$250,000	\$180,000	\$4,307,009
GA	\$6,646,085	\$1,500,000	\$245,000	\$8,391,085
HI	\$154,445	\$7,000	\$0	\$161,445
ID	\$1,888,865	\$700,000	\$100,000	\$2,688,865
IL	\$15,628,021	\$900,000	\$250,000	\$16,778,021
IN	\$16,304,596	\$900,000	\$1,250,000	\$18,454,596
IA	\$5,152,690	\$1,250,000	\$230,000	\$6,632,690
KS	\$13,594,228	\$3,000,000	\$300,000	\$16,894,228
KY	\$7,289,601	\$1,200,000	\$650,000	\$9,139,601
LA	\$1,148,816	\$20,000	\$125,000	\$1,293,816
ME	\$549,583	\$80,000	\$10,000	\$639,583
MD	\$4,079,197	\$650,000	\$450,000	\$5,179,197
MA	\$11,516,934	\$4,800,000	\$250,000	\$16,566,934
MI	\$9,875,280	\$1,100,000	\$350,000	\$11,325,280
MN	\$13,097,018	\$1,250,000	\$625,000	\$14,972,018
MS	\$440,437	\$15,000	\$40,000	\$495,437
MO	\$8,490,058	\$900,000	\$250,000	\$9,640,058

Table 27: The Total Amount of Payments to the States in FY 2021 Used to Carry Out TaOA, TRA, and ATAA/RTAA

State	Training and Other Activities	TRA	ATAA / RTAA	Total TAA
MT	\$235,427	\$155,000	\$20,000	\$410,427
NE	\$1,721,602	\$180,000	\$40,000	\$1,941,602
NV	\$752,502	\$20,000	\$2,500	\$775,002
NH	\$851,127	\$65,000	\$40,000	\$956,127
NJ	\$4,932,741	\$1,500,000	\$60,000	\$6,492,741
NM	\$5,541,713	\$580,000	\$20,000	\$6,141,713
NY	\$12,645,785	\$1,200,000	\$525,000	\$14,370,785
NC	\$5,680,766	\$1,100,000	\$800,000	\$7,580,766
ND	\$438,176	\$200,000	\$5,000	\$643,176
OH	\$22,243,508	\$2,700,000	\$300,000	\$25,243,508
OK	\$3,609,543	\$700,000	\$95,000	\$4,404,543
OR	\$26,518,505	\$5,000,000	\$160,000	\$31,678,505
PA	\$28,309,992	\$3,500,000	\$1,600,000	\$33,409,992
PR	\$0	\$15,000	\$65,000	\$80,000
RI	\$416,136	\$40,000	\$10,000	\$466,136
SC	\$7,014,650	\$1,000,000	\$120,000	\$8,134,650
SD	\$2,274,005	\$290,000	\$95,000	\$2,659,005
TN	\$5,859,942	\$400,000	\$700,000	\$6,959,942
TX	\$18,512,885	\$1,500,000	\$65,000	\$20,077,885
UT	\$6,377,072	\$250,000	\$52,500	\$6,679,572
VT	\$575,103	\$150,000	\$20,000	\$745,103
VA	\$8,372,390	\$2,322,101	\$475,000	\$11,169,491
WA	\$23,454,131	\$6,550,000	\$125,000	\$30,129,131
WV	\$6,240,282	\$1,500,000	\$200,000	\$7,940,282
WI	\$6,840,795	\$1,350,000	\$700,000	\$8,890,795
WY	\$151,956	\$0	\$0	\$151,956
Total	\$370,484,800	\$58,096,601	\$12,910,000	\$441,491,401

VII. CONCLUSION

During FY 2021, the Department certified 801 TAA petitions, which resulted in an estimated 107,454 workers becoming eligible to apply for TAA benefits and services. The TAA Program served 21,286 individuals in FY 2021. Of those, over half received training, including nearly three percent of participants who received remedial training and one percent of participants who engaged in on-the-job training. The employment rates of those who completed training were higher than those who did not, continuing a multi-year trend.

Data for FY 2021 once again shows a significant variance in performance outcomes by age group, with exiters under 30 years of age continuing to have better performance outcomes than those over 50 years of age. This is important as the median age of TAA participants remained at 51 years old. In FY 2021, 84.4 percent of participants received Rapid Response, among the highest reported levels since the inception of the program. Providing services soon after layoff leads to better employment outcomes.

Nearly 79 percent of training exiters completed training and about 72 percent of those who were trained received a credential – both five-year highs. The importance of training and credentials is vital considering a large number of participants receive a credential in order to change industry sectors. While two-thirds of FY 2021 TAA petitions were from the manufacturing industry, only one-third of participants who exited the program were re-employed in manufacturing industry sectors, consistent with the general U.S. economic trend of growth in non-manufacturing industry employment.

During FY 2021, a year of a pandemic and economic crisis, over two-thirds of TAA workers found employment in the second quarter after exiting the program. Wage replacement rates in the second quarter after exit have remained near 5-year highs at over 80 percent wage replacement with those aged under 30 earning over 100 percent wage replacement. Although overall program duration decreased from 519 days to 498 days, the duration of training increased slightly from 439 days to 443 days.

These FY 2021 performance results demonstrate that even during a global pandemic, the TAA Program is an especially important part of the workforce system and continues to provide important benefits and services to help trade-affected workers obtain reemployment.

APPENDIX A (1 OF 3)

Table 28: Side-by-Side Comparison of TAA Program Benefits under the 2002 Program, 2009 Program, 2011 Program, 2015 Program, and Reversion 2021

Program Element	2002 Program	2009 Program	2011 Program 2015 Program	Reversion 2021
<p>Group Eligibility: Defines the worker group that is eligible to apply for and potentially receive benefits through the TAA program.</p>	<p>Manufacturing sector workers ONLY</p> <p>-----</p> <p>Workers who have lost their jobs because their company's decline in production and/or sales was due to increased imports or to the outsourcing of jobs to a country with which the U.S. has a Free Trade Agreement</p>	<p>Manufacturing sector workers Service sector workers Public sector workers</p> <p>-----</p> <p>ITC workers (those who work for a firm that has been identified by the International Trade Commission as a domestic industry that has been injured/is a party to a market disruption)</p> <p>-----</p> <p>Workers who have lost their jobs because their company's decline in production and/or sales was due to increased imports or to outsourcing to ANY country</p>	<p>Manufacturing sector workers Service sector workers</p> <p>-----</p> <p>ITC workers (those who work for a firm that has been identified by the International Trade Commission as a domestic industry that has been injured/is a party to a market disruption)</p> <p>-----</p> <p>Workers who have lost their jobs because their company's decline in production and/or sales was due to increased imports or to outsourcing to ANY country</p>	<p>Manufacturing sector workers ONLY</p> <p>-----</p> <p>Workers who have lost their jobs because their company's decline in production and/or sales was due to increased imports or to outsourcing to a country with which the U.S. has a Free Trade Agreement</p>
<p>Trade Readjustment Allowances (TRA): Income support available in the form of weekly cash payments to workers who are enrolled in a full-time training course.</p>	<p>Up to 104 weeks of TRA available to workers enrolled in full-time training</p> <p><i>OR</i></p> <p>Up to 130 weeks of TRA available to workers enrolled in remedial training</p> <p>Must enroll in training within 8 weeks of certification or 16 weeks of layoff.</p>	<p>Up to 130 weeks of TRA available to workers enrolled in full-time training</p> <p><i>OR</i></p> <p>Up to 156 weeks of TRA available to workers enrolled in remedial training</p> <p>Must enroll within 26 weeks of either certification or layoff</p>	<p>Up to 130 weeks of TRA available to workers enrolled in full-time training, the last 13 of which are only available if needed for completion of a training program and training benchmarks are met</p> <p>Must enroll within 26 weeks of either certification or layoff</p>	<p>Up to 130 weeks of TRA available to workers enrolled in full-time training, the last 13 of which are only available if needed for completion of a training program and training benchmarks are met</p> <p>Must enroll within 8 weeks of certification or 16 weeks of layoff</p>

APPENDIX A (2 OF 3)

Table 28: Side-by-Side Comparison of TAA Program Benefits under the 2002 Program, 2009 Program, 2011 Program, 2015 Program, and Reversion 2021

Program Element	2002 Program	2009 Program	2011 Program 2015 Program	Reversion 2021
<p><u>Training Waivers:</u> Basic TRA is payable if an individual participates in TAA training OR is under a waiver of the requirement to participate in training. Training may be determined not feasible or appropriate and waived as a requirement for basic TRA eligibility for the following reasons:</p>	<ol style="list-style-type: none"> 1. The worker will be recalled to work reasonably soon 2. The worker has marketable skills for suitable employment and a reasonable expectation of employment in the foreseeable future 3. The worker is within two years of eligibility for a pension or social security 4. The worker is unable to participate in or complete training due to a health condition 5. No training program is available 6. An enrollment date is not immediately available 	<ol style="list-style-type: none"> 1. The worker will be recalled to work reasonably soon 2. The worker has marketable skills for suitable employment and a reasonable expectation of employment in the foreseeable future 3. The worker is within two years of eligibility for a pension or social security 4. The worker is unable to participate in or complete training due to a health condition 5. No training program is available 6. An enrollment date is not immediately available 	<ol style="list-style-type: none"> 1. The worker is unable to participate in or complete training due to a health condition 2. No training program is available 3. An enrollment date is not immediately available 	<ol style="list-style-type: none"> 1. The worker is unable to participate in or complete training due to a health condition 2. No training program is available 3. An enrollment date is not immediately available
<p><u>Funding:</u> <u>Training Funding:</u> Funds to states to pay for TAA training.</p> <p><u>State Administration Funding:</u> Funds to states to pay for state administration of TAA benefits, not administration of TRA or ATAA/RTAA (covered by UI Funding Agreement).</p> <p><u>Job Search and Relocation Allowances Funding:</u> Funds to states to pay allowances.</p> <p><u>Case Management Funding:</u> Funds to states to pay for TAA case management and employment services.</p>	<p>\$220 Million Statutory Cap Applies to Training Funds Only</p> <p>An additional 15% above the amount provided for training is available for State Administration</p> <p>Additional funds are available for Job Search and Relocation Allowances</p> <p>No funds are available for TAA Case Management and Employment Services</p>	<p>\$575 Million Statutory Cap Applies to Training Funds Only</p> <p>An additional 15% above the amount provided for training is available for State Administration, and Case Management and Employment Services</p> <p>Additional funds are available for Job Search and Relocation Allowances</p> <p>At least 1/3 of these funds must be used for TAA Case Management and Employment Services</p> <p>States also receive \$350,000/year for TAA case management and employment services</p>	<p>2011 \$575 Million Statutory Cap</p> <p>2015 \$450 Million Statutory Cap Applies to Training, Job Search and Relocation Allowances, Case Management and Employment Services, and related State Administration</p> <p>No more than 10% of the amount provided may be spent for State Administration</p> <p>No less than 5% of the amount provided must be spent for TAA Case Management and Employment Services</p> <p>DOL may recapture and distribute unobligated funds.</p>	<p>\$220 Million Statutory Cap Applies to Training, Job Search and Relocation Allowances, and related State Administration</p> <p>No more than 10% of the amount provided may be spent for State Administration</p> <p>No funding for Employment and Case Management Services.</p> <p>DOL may recapture and distribute unobligated funds.</p>

APPENDIX A (3 OF 3)

Table 28: Side-by-Side Comparison of TAA Program Benefits under the 2002 Program, 2009 Program, 2011 Program, 2015 Program, and Reversion 2021

Program Element	2002 Program	2009 Program	2011 Program 2015 Program	Reversion 2021
<p><u>Job Search Allowances:</u> A cash allowance provided to workers who cannot find an available job within the commuting area (e.g. 50 miles). Used to cover transportation costs, etc.</p>	90% of allowable job search costs, up to a maximum of \$1,250	100% of allowable job search costs, up to a maximum of \$1,500	90% of allowable job search costs, up to a maximum of \$1,250, available if state elects to provide the benefit	90% of allowable job search costs, up to a maximum of \$1,250, available if state elects to provide the benefit
<p><u>Relocation Allowances:</u> A cash allowance provided to workers who have to accept a job outside of their commuting area and relocate.</p>	90% of allowable relocation costs, plus an additional lump sum payment of up to \$1,250	100% of allowable relocation costs, plus an additional lump sum payment of up to \$1,500	90% of allowable relocation costs, plus an additional lump sum payment of up to \$1,250, available if state elects to provide the benefit	90% of allowable relocation costs, plus an additional lump sum payment of up to \$1,250, available if state elects to provide the benefit
<p><u>Alternative Trade Adjustment Assistance/Reemployment Trade Adjustment Assistance:</u> A wage supplement provided to eligible workers over the age of 50 that supplements a portion of the wage difference between their new wage and their old wage (up to a specified maximum amount).</p>	<p><u>Alternative Trade Adjustment Assistance:</u> Requires a separate group certification</p> <p>Available to workers earning less than an annual salary of \$50,000</p> <p>Maximum total ATAA benefit of up to \$10,000</p> <p>Reemployed within 26 weeks of separation</p> <p>Reemployed in full time employment</p> <p>Training benefit NOT available</p>	<p><u>Reemployment Trade Adjustment Assistance:</u> Does not require a separate group certification</p> <p>Available to workers earning less than an annual salary of \$55,000</p> <p>Maximum total income support (RTAA and TRA) benefit of \$12,000</p> <p>Reemployed with no deadline</p> <p>Reemployed in full-time or part-time employment in combination with approved training</p> <p>Training benefit is also available</p>	<p><u>Reemployment Trade Adjustment Assistance:</u> Does not require a separate group certification</p> <p>Available to workers earning less than an annual salary of \$50,000</p> <p>Maximum total income support (RTAA and TRA) benefit of \$10,000</p> <p>Reemployed with no deadline</p> <p>Reemployed in full-time or part-time employment in combination with approved training</p> <p>Training benefit is also available</p>	<p><u>Alternative Trade Adjustment Assistance:</u> Requires a separate group certification</p> <p>Available to workers earning less than an annual salary of \$50,000</p> <p>Maximum total ATAA benefit of up to \$10,000</p> <p>Reemployed within 26 weeks of separation</p> <p>Reemployed in full time employment</p> <p>Training benefit NOT available</p>
<p><u>Health Coverage Tax Credit:</u> A tax credit offered to eligible TAA recipients to help pay for qualified health insurance premiums</p>	<p>72.5% of qualifying health insurance premium costs</p> <p>http://www.irs.gov/Individuals/HCTC</p>			

APPENDIX B (1 OF 2)

Table 29: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers by State

State	Petitions Filed ¹	Petitions Certified	Est. # of Workers ² Certified	Petitions Denied	Est. # of Workers ³ Denied
Alabama	3	4	1,231	2	204
Alaska	12	1	59	2	41
Arizona	7	5	650	3	203
Arkansas	12	16	1,658	1	301
California	30	41	3,117	6	212
Colorado	22	19	3,803	8	1,854
Connecticut	19	19	1,420	5	178
Delaware	5	3	156	1	190
District of Columbia	1	0	0	0	0
Florida	18	15	2,153	3	1,521
Georgia	6	5	910	3	866
Hawaii	3	1	2	2	261
Idaho	2	1	8	1	466
Illinois	35	43	5,770	8	1,119
Indiana	26	37	6,548	13	1,575
Iowa	11	11	1,543	1	28
Kansas	13	21	1,693	8	816
Kentucky	4	7	1,010	1	129
Louisiana	2	1	112	0	0
Maine	2	2	44	0	0
Maryland	6	6	1,177	2	512
Massachusetts	13	17	1,357	4	955
Michigan	21	24	4,273	9	2,499
Minnesota	17	23	3,112	8	883
Mississippi	14	11	1,902	2	277
Missouri	21	16	2,987	13	2,060

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX B (2 OF 2)

Table 29: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers by State

State	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Montana	1	0	0	0	0
Nebraska	8	9	877	0	0
Nevada	0	0	0	0	0
New Hampshire	5	2	24	2	268
New Jersey	12	12	1,200	1	639
New Mexico	0	2	234	0	0
New York	35	41	3,727	9	314
North Carolina	12	11	1,963	2	4
North Dakota	4	1	120	1	6
Ohio	33	38	3,760	5	1,211
Oklahoma	4	7	1027	0	0
Oregon	55	56	11,012	26	2,043
Pennsylvania	33	56	4,381	14	550
Puerto Rico	3	3	309	0	0
Rhode Island	5	1	2	5	116
South Carolina	9	6	1,649	2	549
South Dakota	5	4	819	1	37
Tennessee	11	18	1,447	3	452
Texas	61	68	12,638	22	5,675
Utah	6	6	1490	0	0
Vermont	7	3	232	2	495
Virginia	42	51	6,010	12	1,392
Washington	20	26	2,081	0	0
West Virginia	8	9	2355	1	286
Wisconsin	21	22	3,402	3	386
Wyoming	6	0	0	0	0
Total	731	801	107,454	217	31,573

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (1 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Alaska	1	12	1	59	2	41
Alabama	1	0	0	0	0	0
	2	0	0	0	0	0
	3	0	1	207	0	0
	4	2	2	909	1	185
	5	0	1	115	0	0
	6	0	0	0	0	0
	7	1	0	0	1	19
Arkansas	1	4	7	493	0	0
	2	3	3	645	0	0
	3	2	2	28	0	0
	4	3	4	492	1	301
Arizona	1	0	1	432	0	0
	2	1	0	0	0	0
	3	1	1	42	1	135
	4	0	0	0	0	0
	5	0	0	0	0	0
	6	1	1	34	0	0
	7	3	1	134	1	35
	8	0	0	0	0	0
	9	1	1	8	1	33

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (2 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
California	1	4	4	347	0	0
	2	0	1	4	0	0
	3	2	2	29	0	0
	4	0	0	0	0	0
	5	0	1	31	0	0
	6	1	0	0	0	0
	7	0	0	0	0	0
	8	0	0	0	0	0
	9	0	0	0	0	0
	10	0	0	0	0	0
	11	1	1	34	0	0
	12	0	0	0	0	0
	13	0	0	0	0	0
	14	0	0	0	0	0
	15	0	1	136	0	0
	16	0	0	0	0	0
	17	2	4	186	0	0
	18	1	1	336	0	0
	19	0	0	0	0	0
	20	0	0	0	0	0
	21	0	0	0	0	0
	22	1	0	0	0	0
	23	0	0	0	0	0
	24	0	0	0	0	0
	25	1	1	143	0	0
	26	0	0	94	1	47

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (3 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
California	27	0	0	0	0	0
	28	0	1	21	0	0
	29	0	0	0	0	0
	30	0	0	0	0	0
	31	0	0	0	0	0
	32	1	0	0	2	66
	33	0	1	21	0	0
	34	0	0	0	0	0
	35	3	2	388	1	1
	36	0	0	0	0	0
	37	1	1	70	1	70
	38	1	1	125	1	28
	39	0	1	28	0	0
	40	2	4	239	0	0
	41	2	2	62	0	0
	42	0	0	0	0	0
	43	0	0	0	0	0
	44	1	2	14	0	0
	45	2	2	53	0	0
	46	0	0	0	0	0
	47	2	2	159	0	0
	48	1	4	220	0	0
	49	1	1	377	0	0
	50	0	0	0	0	0
	51	0	0	0	0	0
	52	0	0	0	0	0
	53	0	0	0	0	0

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (4 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Colorado	1	4	1	438	3	650
	2	2	4	326	1	256
	3	4	4	981	0	0
	4	5	4	1,212	1	229
	5	1	2	598	1	1
	6	5	3	205	1	102
	7	1	1	43	1	616
Connecticut	1	6	6	442	1	36
	2	0	1	7	1	98
	3	4	4	313	0	0
	4	3	4	277	1	10
	5	6	4	381	2	34
District of Columbia	1	1	0	0	0	0
Delaware	1	5	3	156	1	190
Florida	1	1	1	507	0	0
	2	1	0	0	0	0
	3	2	4	585	0	0
	4	1	0	0	1	234
	5	0	1	99	0	0
	6	1	0	0	0	0
	7	1	1	3	0	0
	8	0	0	0	0	0
	9	1	0	0	1	87
	10	2	1	232	0	0
	11	0	0	0	0	0
	12	0	0	0	0	0
	13	1	1	31	0	0
	14	1	1	4	0	0

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (5 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Florida	15	1	1	143	0	0
	16	1	1	378	0	0
	17	0	0	0	0	0
	18	0	0	0	0	0
	19	0	0	0	0	0
	20	1	1	74	0	0
	21	0	0	0	0	0
	22	0	0	0	0	0
	23	0	0	0	0	0
	24	1	0	0	0	0
	25	2	1	96	1	1200
	26	0	0	0	0	0
	27	0	1	1	0	0
Georgia	1	0	0	0	0	0
	2	0	0	0	0	0
	3	0	0	0	0	0
	4	1	1	108	0	0
	5	3	0	0	2	859
	6	1	1	21	1	7
	7	0	0	0	0	0
	8	0	0	0	0	0
	9	1	2	682	0	0
	10	0	0	0	0	0
	11	0	0	0	0	0
	12	0	0	0	0	0
	13	0	0	0	0	0
	14	0	1	99	0	0

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (6 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Hawaii	1	3	1	2	2	261
	2	0	0	0	0	0
Iowa	1	3	3	541	0	0
	2	4	4	663	1	28
	3	2	2	124	0	0
	4	2	2	215	0	0
Idaho	1	0	0	0	0	0
	2	2	1	8	1	466
Illinois	1	2	2	22	0	0
	2	0	0	0	1	19
	3	3	3	1,780	1	450
	4	1	2	15	0	0
	5	4	5	297	1	13
	6	2	7	597	0	0
	7	3	4	477	1	82
	8	3	1	10	1	15
	9	0	0	0	0	0
	10	3	4	365	1	4
	11	1	2	148	0	0
	12	1	2	495	1	450
	13	3	3	442	0	0
	14	3	2	90	0	0
	15	0	1	688	0	0
	16	1	0	0	0	0
	17	1	1	79	0	0
	18	4	4	265	1	86

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (7 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Indiana	1	0	2	919	0	0
	2	4	4	735	3	349
	3	4	6	2,216	1	305
	4	7	7	757	0	0
	5	3	2	249	0	0
	6	3	6	485	2	140
	7	0	2	266	5	484
	8	2	3	137	1	30
	9	3	5	784	1	267
Kansas	1	2	2	214	1	56
	2	0	2	110	2	193
	3	2	2	108	2	293
	4	9	15	1,261	3	274
Kentucky	1	0	2	295	1	129
	2	1	1	128	0	0
	3	0	1	37	0	0
	4	0	1	314	0	0
	5	0	0	0	0	0
	6	3	2	236	0	0
Louisiana	1	0	0	0	0	0
	2	1	0	0	0	0
	3	1	1	112	0	0
	4	0	0	0	0	0
	5	0	0	0	0	0
	6	0	0	0	0	0

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (8 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Massachusetts	1	1	1	56	0	0
	2	0	0	0	2	762
	3	3	5	639	0	0
	4	1	1	193	0	0
	5	1	3	13	0	0
	6	3	4	158	0	0
	7	2	1	36	1	3
	8	1	1	8	0	0
	9	1	1	254	1	190
Maryland	1	0	0	0	0	0
	2	1	1	260	0	0
	3	2	1	2	0	0
	4	1	1	83	0	0
	5	0	0	0	0	0
	6	2	2	707	1	62
	7	0	0	0	1	450
	8	0	1	125	0	0
Maine	1	2	1	34	0	0
	2	0	1	10	0	0

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (9 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Michigan	1	1	1	9	0	0
	2	2	2	201	1	201
	3	4	3	208	0	0
	4	2	4	511	0	0
	5	1	2	503	0	0
	6	2	1	211	1	618
	7	2	3	216	0	0
	8	1	1	46	1	450
	9	0	0	0	1	174
	10	1	1	141	0	0
	11	3	4	1,041	4	1004
	12	1	1	332	1	52
	13	1	0	0	0	0
	14	0	1	854	0	0
Minnesota	1	4	3	219	1	48
	2	0	1	307	0	0
	3	5	5	210	3	188
	4	2	4	69	0	0
	5	3	2	138	1	177
	6	2	5	1,859	0	0
	7	1	1	68	0	0
	8	0	2	242	3	470

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (10 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Missouri	1	5	2	724	4	594
	2	3	2	25	2	21
	3	0	3	157	0	0
	4	1	1	72	0	0
	5	5	2	1,482	3	39
	6	2	0	0	1	4
	7	5	4	323	3	1,402
	8	0	2	204	0	0
Mississippi	1	10	10	1,638	0	0
	2	2	1	264	1	128
	3	1	0	0	1	149
	4	1	0	0	0	0
Montana	1	1	0	0	0	0
North Carolina	1	0	0	0	0	0
	2	1	1	31	0	0
	3	0	0	0	0	0
	4	0	0	0	0	0
	5	3	3	617	0	0
	6	2	1	165	1	4
	7	0	0	0	0	0
	8	0	0	0	0	0
	9	1	0	0	0	0
	10	0	0	0	1	0
	11	2	2	534	0	0
	12	1	0	0	0	0
	13	2	4	616	0	0
North Dakota	1	4	1	120	1	6

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (11 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Nebraska	1	1	2	340	0	0
	2	5	4	241	0	0
	3	2	3	296	0	0
New Hampshire	1	3	1	14	1	120
	2	2	1	10	1	148
New Jersey	1	1	1	258	0	0
	2	0	0	0	0	0
	3	1	0	0	0	0
	4	0	0	0	0	0
	5	3	2	84	1	639
	6	1	0	0	0	0
	7	1	3	399	0	0
	8	3	3	62	0	0
	9	2	1	268	0	0
	10	0	0	0	0	0
	11	0	1	4	0	0
	12	0	1	125	0	0
New Mexico	1	0	2	234	0	0
	2	0	0	0	0	0
	3	0	0	0	0	0
Nevada	1	0	0	0	0	0
	2	0	0	0	0	0
	3	0	0	0	0	0
	4	0	0	0	0	0

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (12 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
New York	1	1	0	0	0	0
	2	1	0	0	0	0
	3	2	4	34	0	0
	4	0	0	0	0	0
	5	0	0	0	0	0
	6	0	0	0	0	0
	7	0	1	7	1	4
	8	0	0	0	0	0
	9	0	0	0	0	0
	10	2	5	163	1	19
	11	0	0	0	0	0
	12	6	5	92	2	76
	13	0	0	0	0	0
	14	0	0	0	0	0
	15	0	0	0	0	0
	16	0	0	0	0	0
	17	6	5	1,980	1	1
	18	1	4	237	0	0
	19	1	1	28	0	0
	20	1	2	75	0	0
	21	1	2	78	0	0
	22	0	0	0	1	1
	23	4	5	696	1	50
	24	3	3	178	1	1
	25	0	1	97	0	0
	26	5	2	12	1	162
	27	1	1	50	0	0

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (13 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Ohio	1	3	2	74	1	3
	2	5	4	413	1	178
	3	1	1	160	0	0
	4	2	4	233	0	0
	5	1	1	7	1	450
	6	4	5	334	0	0
	7	0	1	29	0	0
	8	3	3	283	0	0
	9	0	1	245	0	0
	10	1	0	0	0	0
	11	2	2	172	1	450
	12	3	4	469	0	0
	13	2	3	867	1	130
	14	3	2	49	0	0
	15	1	1	43	0	0
	16	2	4	382	0	0
Oklahoma	1	0	1	711	0	0
	2	0	1	52	0	0
	3	1	1	70	0	0
	4	2	2	36	0	0
	5	1	2	158	0	0
Oregon	1	10	11	611	5	789
	2	10	7	1,724	3	128
	3	15	12	3,781	6	371
	4	14	14	1,792	7	525
	5	6	12	3,104	5	230

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (14 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Pennsylvania	1	0	0	0	0	0
	2	0	1	4	0	0
	3	0	0	0	0	0
	4	0	1	18	0	0
	5	1	1	9	0	0
	6	3	3	92	0	0
	7	4	4	647	1	31
	8	3	2	237	1	0
	9	0	3	266	0	0
	10	2	3	394	0	0
	11	0	0	0	0	0
	12	2	5	805	0	0
	13	1	2	23	1	114
	14	6	8	406	2	59
	15	1	4	138	3	80
	16	5	11	378	2	195
	17	3	7	937	3	46
	18	2	1	27	1	25
Puerto Rico	1	3	3	309	0	0
Rhode Island	1	2	0	0	2	10
	2	3	1	2	3	106
South Carolina	1	1	0	0	0	0
	2	1	1	249	0	0
	3	1	1	464	0	0
	4	1	1	73	1	147
	5	1	1	460	0	0
	6	3	2	403	0	0
	7	1	0	0	1	402

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (15 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
South Dakota	1	5	4	819	1	37
Tennessee	1	5	7	1,120	0	0
	2	0	0	0	0	0
	3	1	0	0	0	0
	4	0	0	0	0	0
	5	2	2	69	0	0
	6	0	0	0	0	0
	7	0	1	135	0	0
	8	2	8	123	0	0
	9	1	0	0	3	452
Texas	1	2	2	19	2	103
	2	3	4	605	0	0
	3	3	4	1,162	1	80
	4	2	3	1,232	1	103
	5	0	2	93	0	0
	6	1	3	290	0	0
	7	3	3	658	0	0
	8	0	0	0	0	0
	9	1	0	0	1	11
	10	1	1	1,301	0	0
	11	0	0	0	6	401
	12	2	1	39	1	113
	13	1	2	265	1	139
	14	3	3	175	0	0
	15	0	0	0	0	0

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (16 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Texas	16	7	8	124	0	0
	17	1	2	470	0	0
	18	4	4	182	1	33
	19	3	2	199	1	80
	20	0	0	0	0	0
	21	1	0	0	1	1,049
	22	1	1	87	0	0
	23	2	4	283	0	0
	24	2	3	89	0	0
	25	0	0	0	0	0
	26	2	1	36	2	225
	27	1	1	43	0	0
	28	2	0	0	2	1,471
	29	2	2	45	0	0
	30	2	4	3,598	1	113
	31	2	1	259	0	0
	32	1	0	0	0	0
	33	1	1	151	0	0
	34	0	0	0	0	0
	35	3	1	4	1	1,754
36	2	5	1,229	0	0	
Utah	1	2	2	373	0	0
	2	1	1	95	0	0
	3	2	1	806	0	0
	4	1	2	216	0	0

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (17 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Virginia	1	0	1	1	0	0
	2	4	3	66	0	0
	3	9	8	1,287	1	55
	4	4	5	542	1	28
	5	7	5	462	1	62
	6	3	5	820	2	48
	7	3	3	513	2	83
	8	1	1	49	0	0
	9	6	15	1,811	1	23
	10	2	3	400	1	450
	11	3	2	59	3	643
Vermont	1	7	3	232	2	495
Washington	1	3	3	215	0	0
	2	5	6	530	0	0
	3	0	1	54	0	0
	4	4	4	324	0	0
	5	2	5	387	0	0
	6	1	0	0	0	0
	7	0	0	0	0	0
	8	0	0	0	0	0
	9	4	7	571	0	0
	10	1	0	0	0	0

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

APPENDIX C (18 OF 18)

Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District

State	District	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Wisconsin	1	3	3	307	0	0
	2	0	0	0	0	0
	3	4	4	539	2	182
	4	5	3	303	1	204
	5	4	5	1,417	0	0
	6	4	4	664	0	0
	7	1	1	114	0	0
	8	0	2	58	0	0
West Virginia	1	2	3	1,725	0	0
	2	4	3	326	1	286
	3	2	3	304	0	0
Wyoming	1	6	0	0	0	0
Total		731	801	107,454	217	31,573

¹ During any fiscal year the number of petitions filed will not necessarily be the same as the number of determinations issued for a variety of reasons: 1) the processing time for petitions may overlap fiscal years; and 2) petitioners may withdraw a petition once it has been filed, which results in the termination of an investigation. (Data is inclusive of workers added to petitions after amendments were filed.)

² Estimated number of workers covered by a certified petition.

³ Estimated number of workers covered by a denied petition.

Table of Contents: Tables

Table 1: Percentage of Exiting TAA Participants by Program.....	10
Table 2: Estimated Number of Workers Covered by Petitions Certified and Denied.....	15
Table 3: FY 2017 – 2021 Median Time for Processing Petitions.....	16
Table 4: FY 2021 Certified Petitions, Classified by the Basis for Certification.....	17
Table 5: FY 2021 Petitions Certified and Denied by Industry Sector.....	19
Table 6: FY 2021 Top Five Industry Sectors for Post-TAA Participation Employment.....	20
Table 7: FY 2021 Top Five Subsectors for Reemployment in Manufacturing and Service Industries.....	20
Table 8: FY 2020 – FY 2021 Demographics of New TAA Participants by Gender, Race, Pre-Program Educational Level, Age, and Employment Tenure.....	21
Table 9: FY 2021 Demographics of New TAA Participants Compared to the American Civilian Labor Force, by Gender, Race, Educational Level, Age, and Tenure.....	23
Table 10: FY 2017 – FY 2021 Rapid Response Rates.....	24
Table 11: FY 2021 Participants Receiving Each Type of TAA Benefit or Service..	26
Table 12: FY 2017 – FY 2021 Training Participation Trend.....	27
Table 13: FY 2017 – FY 2021 Training Waivers Granted, Classified by Type of Waiver.....	28
Table 14: FY 2021 Training Exiters and Average Training Cost by Completion....	28
Table 15: FY 2017 – FY 2021 Credentialing Rate of Participants Who Completed Training.....	29
Table 16: FY 2020 – FY 2021 Average Duration of TAA Benefits and Services....	30
Table 17: FY 2017 – FY 2021 ATAA and RTAA Participant Trends.....	30
Table 18: FY 2017 – FY 2021 Performance Results for ERQ2, ERQ4, and MEQ2	32
Table 19: FY 2021 Employment Rates, Skills Gains, and Credential Attainment by Age at Separation.....	33
Table 20: FY 2021 Earnings at Pre-Participation and Post-Participation by Age....	33
Table 21: FY 2021 Employment Rates, Skills Gains, and Credential Attainment by Education Level at Program Entrance.....	34
Table 22: FY 2021 Earnings by Education Level at Program Entrance.....	34

Table 23: FY 2021 Employment Rates and Skills Gains by Training Received.....	35
Table 24: FY 2021 Earnings and Wage Replacement by Training Received.....	37
Table 25: FY 2021 Guidance Documents.....	38
Table 26: FY 2021 Funds for Training and Other Activities Distributed to States...	40-41
Table 27: The Total Amount of Payments to the States in FY 2021 Used to Carry Out TaOA, TRA, and ATAA/RTAA.....	45-46
Table 28: Side-by-Side Comparison of TAA Program Benefits under the 2002 Program, 2009 Program, 2011 Program, and 2015 Program.....	48-50
Table 29: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers by State.....	51-52
Table 30: FY 2021 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State and Congressional District.....	53-70

Table of Contents: Figures

Figure 1: FY 2021 Petition Certifications by Industry.....	18
Figure 2: FY 2017 – FY 2021 Rate of Credentialing for Participants Who Completed Training.....	29
Figure 3: FY 2017 – FY 2021 ERQ2, ERQ4, and MEQ2.....	32
Figure 4: FY 2021 Percentage of Exiters by Training Received.....	35
Figure 5: FY 2021 Post-Participation Employment Rates by Training Received.....	36