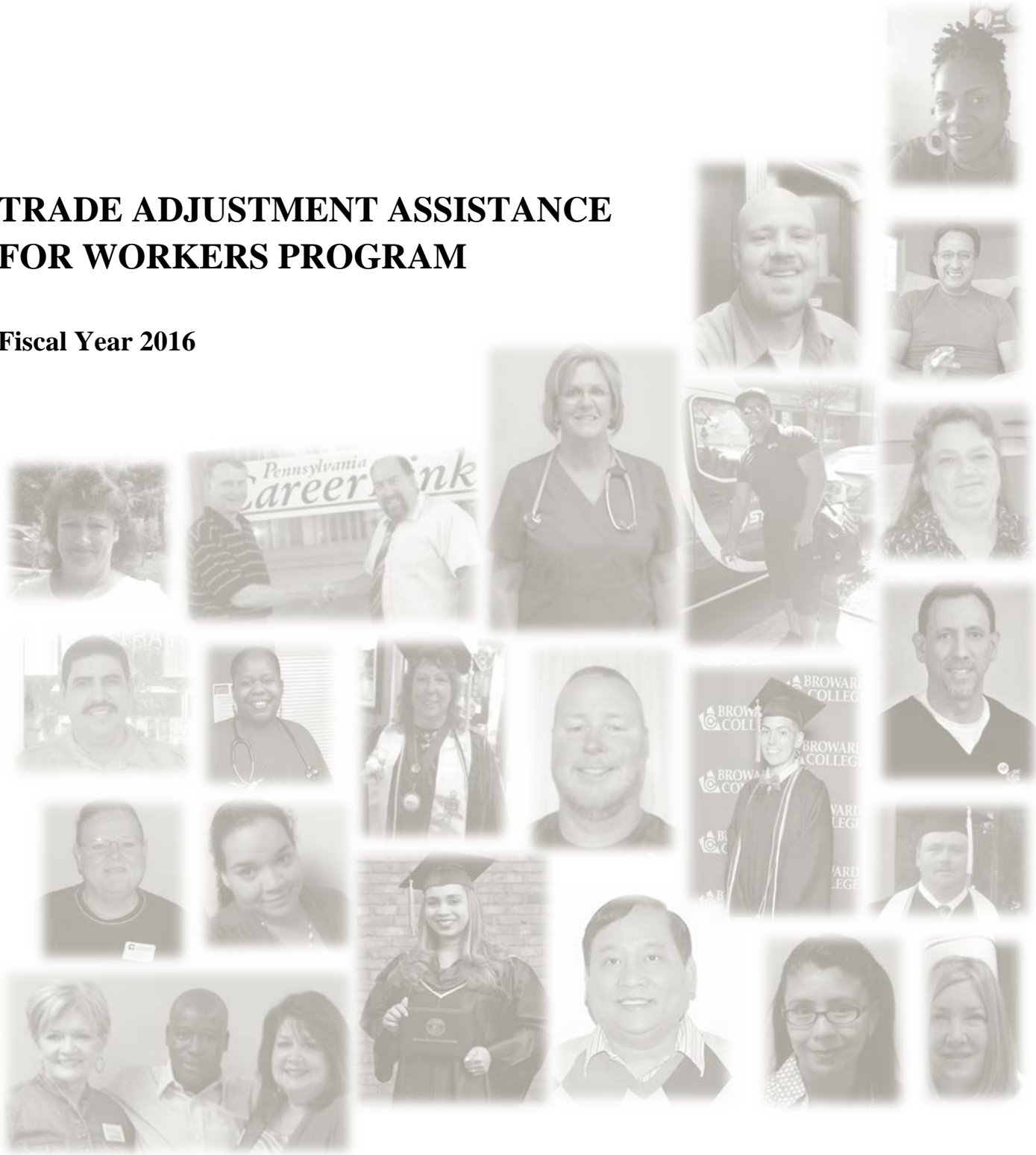


TRADE ADJUSTMENT ASSISTANCE FOR WORKERS PROGRAM

Fiscal Year 2016



EMPLOYMENT AND TRAINING ADMINISTRATION
UNITED STATES DEPARTMENT OF LABOR

**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 (the Department) submits the following report on the Trade Adjustment Assistance (TAA) for Workers Program to the Committee on Finance of the Senate and 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 summarizing data collected by the Department on the TAA Program for the preceding Fiscal Year (FY). This report reflects data reported for FY 2016 and includes supplemental data from FY 2012 through FY 2015.

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EXECUTIVE SUMMARY

TRADE ADJUSTMENT ASSISTANCE:

TRANSITIONING WORKERS TO TOMORROW'S CAREERS

The TAA Program seeks to provide adversely affected workers with opportunities to obtain the skills, credentials, resources, and support necessary to *(re)build skills for future jobs*. Any member of a worker group certified by the Department may be eligible to receive the following benefits and services at a local American Job Center: training, employment and case management services, job search allowances, relocation allowances, and income support in the form of Trade Readjustment Allowances (TRA). Reemployment TAA (RTAA) and Alternative TAA (ATAA), which provide wage supplements for reemployed older workers whose reemployment resulted in lower wages than those earned in their trade-affected employment, may also be available.

In FY 2016 (October 1, 2015 – September 30, 2016), an estimated 126,844 workers became eligible for TAA benefits and services and 45,814 participants were served. Over 53 percent of those participants received training during the year and over 93 percent of those who completed training received a credential. Performance remained high in FY 2016 with nearly 76 percent of TAA participants obtaining employment within six months of completing the program. For those who had received a credential in the program, 77 percent obtained employment within six months with over 79 percent of those employed changing industry sectors.

This report addresses the Department's TAA for workers program, as well as benefits and services provided under the three distinct versions of the TAA Program currently being administered. *Appendix A* provides a comparison of the available benefits offered among the versions of the program being administered by the Department. *Appendices B and C* provide a State-by-State, and an individual Congressional District, (respectively), breakdown of FY 2016 petitions filed, certified, and denied, and number of estimated workers served.

FY 2016 HIGHLIGHTS

Greater Access to Benefits and Services under Reauthorization

- An estimated 126,844 workers became eligible for TAA benefits and services.
- 34 percent of estimated newly eligible workers were from non-manufacturing industry sectors.
- Over 53 percent of TAA participants received training during FY 2016 and over 93 percent of those who completed training received a credential.
- Over 79 percent of participants who received a credential and were employed six months after exit changed industry sectors.
- Nearly 76 percent of TAA participants who exited the program found new employment within six months.

SUCCESS STORIES

Eleanor Gotell

“Ms. Gotell states that she is blessed and grateful for the opportunity that she has been given in her new career and thanks TAA.”



Eleanor Gotell worked for an apparel manufacturing company in Georgia for ten years, making slightly more than the minimum wage until she was laid off on April 15, 2016. After attending a TAA session, Ms. Gotell learned she qualified for certain benefits and services. Ms. Gotell was able to start an on-the-job training program, as an Outreach Specialist. Within less than a year of her layoff date, she has returned to work making a higher wage than she did in her adversely affected employment. Ms. Gotell states that she is thankful to her new employer, who recognized her potential and afforded her the opportunity to shine.

Thresa Jones

“By using the assistance from the TAA Program, Ms. Jones secured a new job in a field that is in demand in her local area and pays a significantly higher wage than her previous employer.”

Thresa Jones worked for an electronics company in Mississippi for 25 years. On November 25, 2014, the company laid her off. After evaluating her options, Ms. Jones enrolled in the TAA program in January 2015 and elected to enroll in an Associate of Applied Science in Healthcare Data Technology degree program. She worked hard to succeed in her classes, graduating in August 2016. Upon completion of an internship, Ms. Jones was offered a permanent position on May 23, 2016, allowing her to work full-time while she completed the final course toward her degree. Ms. Jones noted, “I now have a new full-time job doing what I learned in school. I am so excited!”



Tyler Pickens

“Tyler has stated many times how thankful he is for the TAA Program benefits and that without them he would still be struggling to find employment with a livable wage.”

Tyler Pickens was employed with a food and agricultural company in Idaho when the plant closed. Through the TAA Program, Mr. Pickens went back to school to obtain an Associate degree in Diesel Mechanics. Tyler graduated and has obtained full-time employment in his field of training, making a higher wage. He and his wife recently bought a home.



Alejandro Olarra



“Let me show you what I can do.”

Alejandro Olarra repaired electrical problems of production line robots but when the Oregon based company closed and Mr. Olarra was certified as eligible to apply for TAA he knew he would need to pursue a new career. Having met all the prerequisites, he was accepted into the Polysomnography Technology Certificate program and on March 18, 2016, Mr. Olarra was awarded his certificate and passed the subsequent testing for licensure with the State of Oregon. He had secured an offer of employment even before his final licensure and began working on May 19, 2016, for a wage higher than his former wage.

“I am very appreciative of the TAA program,” smiled Olarra, “and I hope the funds will continue in the future for more people in my same situation.”

Brenda McIntyre

“Armed with only a high school diploma, Brenda quickly realized she would need additional credentials in order to make herself more competitive in the job market.”

At the age of 47, Brenda McIntyre found herself without a job after working as a production worker for almost 25 years. Armed with only a high school diploma, Ms. McIntyre quickly realized she would need additional credentials in order to make herself more competitive in the job market. Initially skeptical, she applied for TAA benefits and services after attending a Workforce Network meeting, and enrolled in the licensed practical nursing program. After completing two years of training and earning Dean’s List status, Ms. McIntyre graduated from school with a certificate in practical nursing, passed the state licensing exam, and is now an official Licensed Practical Nurse (LPN). Shortly after graduating, she was hired as an LPN, and exceeded her wages from her previous production worker position by over 100 percent.



Jolien Eikleberry

“She felt that by completing her degree it would enhance her employment opportunities.”



Jolien Eikleberry worked for an office supplies and furniture company in Illinois for 14 years as a customer service representative. After she was laid off in 2015, Ms. Eikleberry found that she had limited employment opportunities. Through the TAA Program, she was given the opportunity to train towards an Associate of Applied Science (AAS) Business Technology Program at a local community college. Ms. Eikleberry graduated with her AAS in December 2016 and obtained academic honors. She then went on to work full time at a hospital, working as an admitting clerk and making a higher wage than her previous job.

I. PROGRAM DESCRIPTION

Reauthorization Changes and Operating Three Distinct Programs

The Trade Act of 1974 (Pub. L. No. 93-618), as amended (the Act) (codified at 19 U.S.C. §§ 2271 et seq.), Title II, Chapter 2, established the Trade Adjustment Assistance for Workers (TAA), Alternative Trade Adjustment Assistance (ATAA), and Reemployment Trade Adjustment Assistance (RTAA) programs. These programs, collectively referred to as the Trade Adjustment Assistance Program (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), reauthorized and changed key provisions of the Act on June 29, 2015, restoring numerous provisions from the 2011 Amendments to the program.

At the beginning of FY 2016, due in part to new provisions in TAARA 2015, the Department was administering three versions of the TAA program concurrently, referred to as: the 2002 Program, the 2009 Program, and the 2011/2015 Program. A detailed description of the differences between the 2002, 2009, 2011/2015 Programs is provided in *Appendix A* of this report.

The TAARA 2015 reinstated 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 these two programs in the funding level for Training and Other Activities and in performance and reporting requirements. Training and Employment Guidance Letter (TEGL) No. [5-15](#), and TEGL No. [5-15, Change 1](#) were issued to provide operating instructions to states for administration of benefits and services under the 2015 Program.

TAARA 2015 repealed the sunset provision of the Trade Adjustment Assistance Extension Act of 2011, which the more restrictive Reversion 2014 Program had been operating under since January 1, 2014. The certification provisions of Chapter 2 of Title II of the Trade Act under TAARA 2015 were retroactive to January 1, 2014 (when the Reversion 2014 Program took effect and included reversion to the provisions that had been applicable to the 2002 Program), and applied to all petitions filed during that period, which were designated with a series of numbers, from TA-W-85,000 through TA-W-89,999. Individual benefits and services for workers in groups certified under the Reversion 2014 Program were changed to the more flexible provisions previously available under the 2011 Program beginning 90 days after enactment of TAARA 2015 (September 28, 2015).

The Office of Trade Adjustment Assistance (OTAA) investigates new petitions filed after June 29, 2015, under the 2015 Program certification criteria, which are identical to the 2011 Program

criteria, and established a new petition series number beginning with TA-W-90,000. The additional “retroactive” provisions contained in TAARA 2015 were implemented as follows:

- OTAA completed reconsideration of negative determinations (denials) of petitions filed on or after January 1, 2014, and before June 29, 2015 (petition series number beginning with TA-W-85,000 through TA-W-89,999), and conducted a full investigation under the certification criteria of the 2015 Program. If the worker group was found to meet the certification criteria of the 2015 Program, OTAA certified the group as eligible to apply for benefits and services under the 2015 Program.
- OTAA completed investigations of pending petitions filed between January 1, 2014 and June 29, 2015 (while the Reversion 2014 Program was in effect under the series number beginning with TA-W-85,000 through TA-W-89,999) and determinations for those petitions were issued under the certification criteria in effect under the 2015 Program.
- Worker groups that did not submit petitions between January 1, 2014, and June 29, 2015, but wished to be cover members of the worker group who were separated or threatened with separation beginning January 1, 2014, rather than only one year prior to the date the petition was filed, had the opportunity to file a new petition within 90 days after enactment, before September 28, 2015. This included two types of worker groups that were not eligible under the certification provisions of the Reversion 2014 Program but may now be eligible under the certification provisions of the 2015 Program — (1) service sector workers, and (2) worker groups whose jobs were adversely affected by trade from countries that are not parties to Free Trade Agreements (FTAs) with the United States (including China and India). While all petitions filed on and after June 29, 2015, are investigated under the 2015 Program worker group eligibility criteria, TAARA 2015 provided that for petitions filed by midnight September 27, 2015, the certification will cover all members of the worker group who are separated or threatened with separations during the period beginning January 1, 2014, instead of the beginning date of no more than one year before the date of the petition as the law generally provides, and, as with other certifications, generally ending two years after the date of certification. Each of those certifications described the worker group and specified the January 1, 2014, beginning date and the ending dates of the certification period.

A participant who was a member of a worker group covered by an existing certification that was issued under the 2002, 2009, and 2011 Programs continued to receive benefits and services available under the respective program eligibility criteria applicable to those programs. Due to the long duration of participation, which averaged 609 days in FY 2016 (illustrated in *Table 18*), the majority of the “exiting” participants in FY 2016 were served under the 2011 Program.

The term *program exit* means a participant has not received a service funded by the TAA program or certain other services funded by a partner program for 90 consecutive calendar days 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 through the Trade Activity Participant Report (TAPR). The percentage of exiting participants by program and fiscal year is set out in *Table 15* found on page 29.

The petition activity, detailed in Section II, shows that the scope of the TAA Program includes numerous affected industries, employers, regional economies, and communities. An estimated 126,844 workers became eligible to apply for TAA benefits and services in FY 2016 under TAARA 2015 in comparison to only 70,225 in FY 2014 and 58,337 in FY 2015 when the Reversion Program was in operation.

Worker Group Eligibility for Petitions Filed in FY 2016

For a worker to be eligible to apply for TAA during FY 2016, the worker must have been part of a group of workers that is the subject of a petition filed with and certified by the Department. Three workers of a company, a company official, a union or other duly authorized representative, a state workforce official, or an operator of an American Job Center may file a petition, which must be filed simultaneously with 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 the statutory criteria for determination that foreign trade was a contributing cause of the workers' job loss or threat of job loss has been met.

The group eligibility of workers under TAARA 2015 requires that a significant number or proportion of workers of a firm that produces an article or supplies services experience a separation or a threat of separation from employment, and one or more of the following criteria be met:

- That the firm has--
 - Sales and/or production decreasing absolutely;
 - Increased imports of:
 - like or directly competitive articles or services;
 - finished articles for which the workers' firm produces component parts or supplied services; or

- articles directly incorporating foreign components that are like or directly competitive with the component parts made by the workers' firm; and
- Such increased imports contributed importantly to worker separation or threat thereof;
- Shift in production by the firm of articles or supply of services to a foreign country, contributing importantly to worker separations or threat thereof;
 - The firm supplies component parts or services to firms with workers covered by a certification or perform additional, value-added production processes to firms with workers covered by a certification (minus the need for the trade-impact needing to be derived from Canada or Mexico) and the loss of business from those certified firms contributed importantly to worker separations or threat thereof at the supplying firm; or
 - The firm is identified in an U.S. ITC final determination as having been injured, or threatened with injury or having its market disrupted as a result of increased imports.

If the Department issues an affirmative determination (certification) on a TAA petition after an investigation, the certification will identify the worker group whose members are eligible to apply for TAA benefits. A notice of affirmative determination is sent out to the states, the petitioner, the workers' firm, and is published in the Federal Register and on the Department's website.

Once the 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 the American Job Center network. The benefits and services have separate statutory eligibility criteria that an individual worker must meet in order to qualify to receive the benefit or services.

II. PROGRAM BACKGROUND

Petition Processing in FY 2016

A total of 1,453 petitions were filed in FY 2016. In addition to investigating newly filed petitions, the Department worked to reduce the backlog of pending investigations created by the reconsideration of negative determinations issued during Reversion 2014. The Department closed a total of 1,981 petitions in FY 2016. The statutory reconsideration of denied petitions accounted for 359 of those determinations. In FY 2016, 220 petitions were terminated due to invalid petition filings, withdrawal by petitioners, or duplication with other ongoing investigations. In total, the Department certified or denied 1,762 petitions in FY 2016.

The Department certified 1,192 petitions, or 68 percent, covering an estimated 126,844 workers. As can be seen in *Table 1* below, FY 2016 saw the highest number of certifications and estimated workers covered by certified petitions in the last five years. As compared to the previous year, FY 2016 more than doubled the number of certifications and estimated workers. *Table 1* also shows the number of denied petitions and workers affected under those petitions. Petition activity by state is provided in *Table 31* in *Appendix B*, and petition activity by Congressional District is provided in *Table 32* in *Appendix C*.

Table 1: The Number, Percent, and Estimated Number of Workers Covered by Petitions Filed, Certified, and Denied

Fiscal Year	Petitions Filed¹	Petitions Certified	% of Petitions Certified	Est. # of Workers²	Petitions Denied³	% of Petitions Denied	Est. # of Workers⁴
2012	1,469	1,156	86.5%	82,831	180	13.5%	21,715
2013	1,547	1,051	79.3%	106,220	275	20.7%	22,630
2014	991	659	86.9%	70,225	99	13.1%	8,158
2015	1,073	417	99.8%	58,337	1	0.2%	434
2016	1,453	1,192	67.7%	126,844	569	32.3%	60,871

Note: In addition to petitions being certified or denied, petitions may be terminated because the petitioner requests withdrawal, the petition is deemed invalid, an existing certification has already been issued, another duplicate investigation is in process, or a negative determination was recently issued, among other reasons. Terminated petitions are not included in calculating the percentage of petitions certified or denied because no final determination with regard the applicable eligibility criteria.

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) investigations may be terminated for the reasons described above. For example, in FY 2016, the number of determinations exceeds the number of petitions filed as the Department addressed statutorily reconsidered cases and a backlog of pending investigations from FY 2015. (Data is inclusive of workers added to petitions after amendments were filed.)*

² *Estimated number of workers covered by a certified petition.*

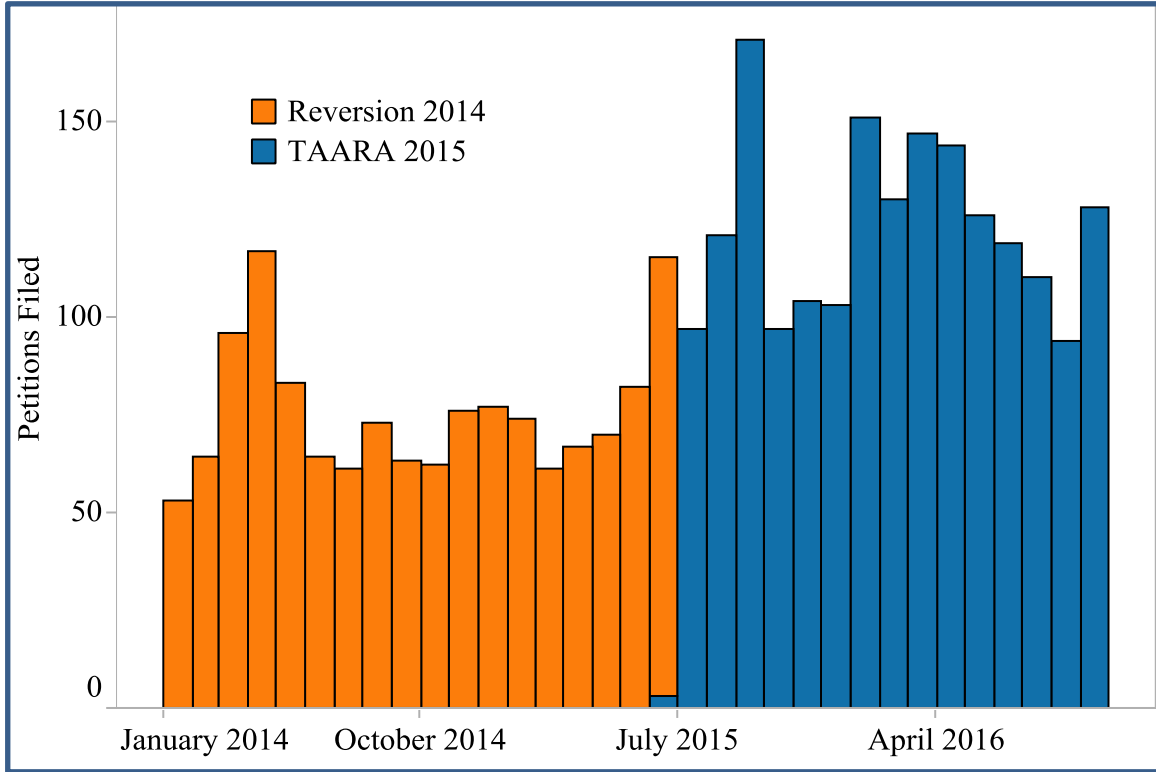
³ *Provisions of TAARA 2015 required petitions filed between January 1st, 2014 and June 28th, 2015 and subsequently denied to be investigated again under the TAARA 2015 eligibility criteria. Most of these reconsiderations were completed in FY 2016. See Table 2 for more details.*

⁴ *Estimated number of workers covered by a denied petition.*

The statutory reconsideration of petitions originally denied in FY 2014 and FY 2015 had substantially reduced the number of denials for those years as the investigations were determined under the TAARA 2015 eligibility criteria in FY 2015 and FY 2016. The results of statutory reconsiderations are detailed in *Table 2*.

As seen in *Figure 1*, the expanded worker group eligibility criteria under TAARA 2015 increased the number of TAA petitions filed.

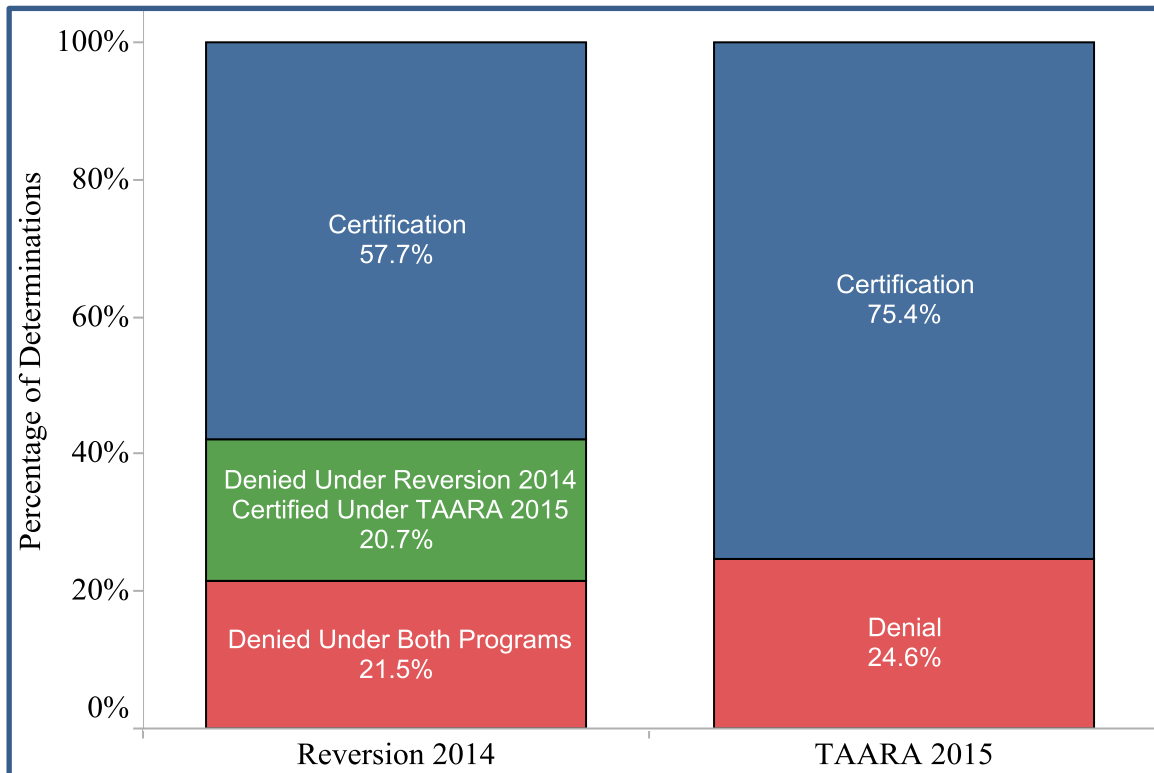
Figure 1: Monthly Petition Filings January 1, 2014 through September 30, 2016



Note: See Table 1 for petitions filed by fiscal year.

A greater portion of TAA petitions are eligible for certification under TAARA 2015 (74 percent) as compared to Reversion 2014 (58 percent) as shown in *Figure 2*.

Figure 2: Percentage of Petitions Certified and Denied under Reversion 2014 and TAARA 2015 – January 1, 2014 through September 30, 2016



Note: See Table 1 for the percentage of petitions certified by fiscal year.

As discussed previously, due to the retroactive provisions of TAARA 2015, OTAA completed statutory reconsiderations of negative determinations (denials) of petitions filed on or after January 1, 2014, and before June 29, 2015 (petition series number beginning with TA-W-85,000 through TA-W-89,999). These cases were automatically reopened and each underwent a full investigation under the expanded certification criteria of the 2015 Program.

OTAA conducted 416 statutory reconsiderations between FY 2015 and FY 2016. Nearly 50 percent of petitions originally denied under Reversion 2014 were certified under the TAARA 2015 criteria. As illustrated in *Table 2*, a certification was reached in 201 of those determinations, covering an estimated 18,229 workers.

Table 2: The Number, Percent, and Estimated Number of Workers Covered by TAARA 2015 Statutory Reconsiderations

Fiscal Year	Petitions Certified	% of Petitions Certified	Est. # of Workers¹	Petitions Denied	% of Petitions Denied	Est. # of Workers²
2015	56	98.2%	2,293	1	1.8%	434
2016	145	41.1%	15,936	208	58.9%	22,819
Total	201	49.0%	18,229	209	51.0%	23,253

Note: Six statutory reconsideration investigations were terminated rather than certified or denied due to their duplication with other filed petitions.

¹ *Estimated number of workers covered by a certified petition.*

² *Estimated number of workers covered by a denied petition.*

Table 3 shows the average processing times for each category of determinations, namely certifications, denials and terminations. The retroactive provisions afforded to petitioners under TAARA 2015 created a backlog of investigations with the statutory reconsideration of 416 decisions under the broader TAARA 2015 criteria and a sharp increase of petition filings during late FY 2015 and throughout FY 2016. As such, FY 2016 saw a sharp increase from 47 average days to 119 average days because of increased new petition filings and the processing of statutory reconsiderations.

Table 3: The Average Time for Processing Petitions

Fiscal Year	Average Processing Time			
	Certifications	Denials	Terminations¹	Total
2012	45.9 Days	67.7 Days	39.7 Days	48.8 Days
2013	41.4 Days	69.4 Days	38.3 Days	46.5 Days
2014	56.5 Days	57.2 Days	35.3 Days	53.7 Days
2015	47.9 Days	46.5 Days	45.8 Days	47.2 Days
2016	104.5 Days	175.5 Days	90.6 Days	118.9 Days

Note: Average processing times do not include statutory reconsiderations.

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

Table 4 shows certifications segregated by product or service and broken down by certification type, number of certifications by type, estimated number of adversely affected workers, and as a percentage of total certifications by type.

Table 4: FY 2016 Certified Petitions, Classified by the Basis for Certification

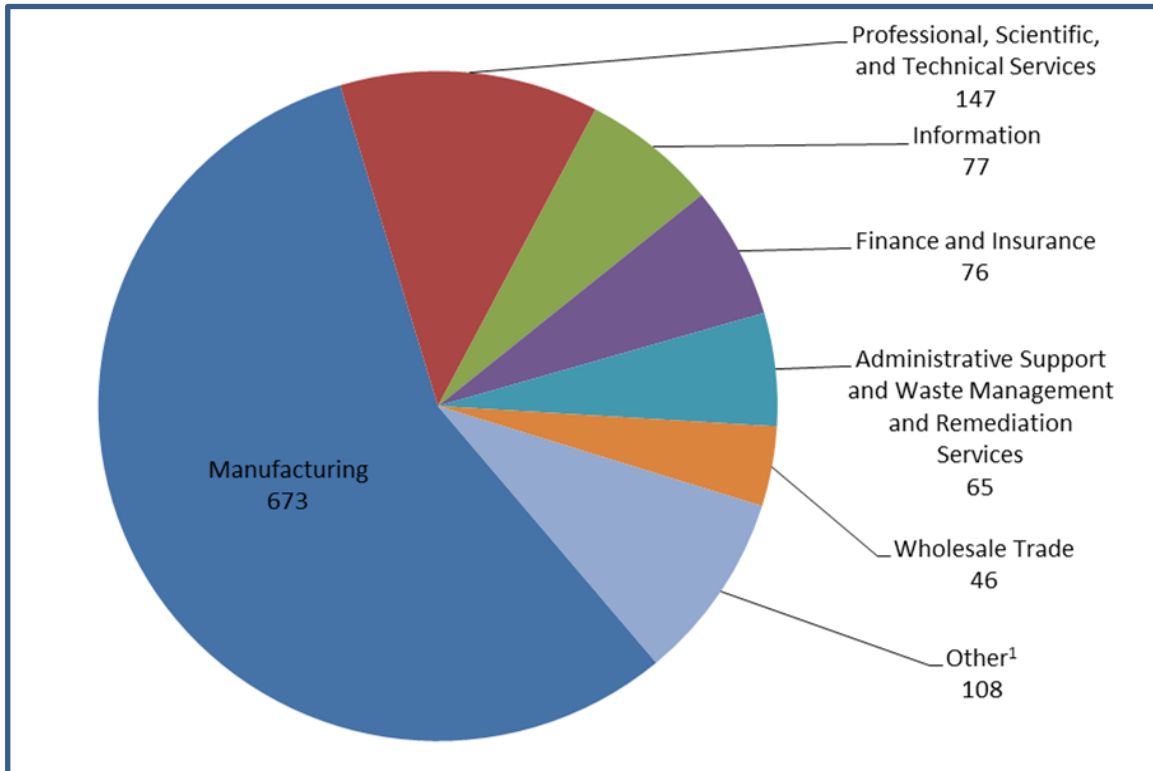
Type	Basis of Certification	Statutory Provision Section 222	# of Certs	Est. # of Workers ¹	% of Total Workers
Product	Shift in Production to a Foreign Country	(a)(2)(B)(i)(I)	370	55,724	43.9%
	Customer Imports of Articles	(a)(2)(A)(ii)(I)	92	12,442	9.8%
	Company Imports of Articles	(a)(2)(A)(ii)(I)	41	6,210	4.9%
	Acquisition of Articles from a Foreign Country	(a)(2)(B)(i)(II)	41	3,925	3.1%
	Increased Aggregate Imports	(a)(2)(A)(ii)(I)	30	3,450	2.7%
	Secondary Component Supplier	(c)(2) & (c)(3)(A)/(c)(3)(B)	38	2,081	1.6%
	ITC Determination	(f)	4	1,058	0.8%
	Imports of Finished Articles Containing Foreign Components	(a)(2)(A)(III)	3	709	0.6%
	Downstream Producer	(c)(2) & (c)(3)(B)	12	499	0.4%
	Imports of Finished Articles Containing Like or Directly Competitive Components	(a)(2)(A)(II)(aa)	4	216	0.2%
Service	Shift in Services to a Foreign Country	(a)(2)(B)(ii)(I)	333	23,823	18.8%
	Acquisition of Services from a Foreign Country	(a)(2)(B)(i)(II)	163	11,889	9.4%
	Secondary Service Supplier	(c)(2) & (c)(3)(B)	31	2,306	1.8%
	Customer Imports of Services	(a)(2)(A)(ii)(I)	25	1,994	1.6%
	Company Imports of Services	(a)(2)(A)(ii)(I)	5	518	0.4%
Total			1,192	126,844	100.0%

¹ Estimated number of workers covered by a certified petition.

Industry Sectors in FY 2016

The industry sectors addressed by TAA determinations were more diverse in FY 2016 than in

Figure 3: Number of Petitions Certified by Industry Sector in FY 2016



Note: See Table 5 for values for all industries.

¹ Other includes all industry sectors listed in Table 5 where fewer than 40 petitions were certified in FY 2016.

FY 2015. Industry sectors expanded from 16 to 19 sectors. Manufacturing sector certifications increased from 320 certifications covering an estimated 49,613 workers in FY 2015 to 671 certifications covering an estimated 83,664 workers in FY 2016. Despite this increase in manufacturing sector certifications, manufacturing sector certifications fell from 77.5 percent of total certifications to 56.5 percent of total certifications because certifications increased in nearly every other industry sector. *Figure 3* illustrates the industry sectors with petition certifications during FY 2016.

Table 5 shows both petitions certified and denied in FY 2016 and includes a breakout by the North American Industry Classification System (NAICS) sectors in which the adversely affected workers were employed.

Table 5: The Number of Petitions Certified and Denied in FY 2016 by Industry Sector

Industry Sector	Certifications				Denials			
	# of Petitions		Est. # of Workers ¹		# of Petitions		Est. # of Workers ²	
Manufacturing	673	56.5%	83,664	66.0%	230	40.4%	25,599	42.1%
Professional, Scientific, and Technical Services	147	12.3%	7,980	6.3%	48	8.4%	2,442	4.0%
Information	77	6.5%	3,981	3.1%	24	4.2%	4,776	7.9%
Finance and Insurance	76	6.4%	3,979	3.1%	24	4.2%	714	1.2%
Administrative and Support and Waste Management and Remediation Services	65	5.5%	9,937	7.8%	25	4.4%	3,586	5.9%
Wholesale Trade	46	3.9%	3,257	2.6%	41	7.2%	2,009	3.3%
Transportation and Warehousing	33	2.8%	3,900	3.1%	17	3.0%	1,093	1.8%
Retail Trade	15	1.3%	3,113	2.5%	16	2.8%	1,630	2.7%
Mining, Quarrying, and Oil and Gas Extraction	13	1.1%	1,720	1.4%	103	18.1%	16,874	27.7%
Construction	11	0.9%	2,004	1.6%	9	1.6%	616	1.0%
Health Care and Social Assistance	10	0.8%	1,036	0.8%	7	1.2%	117	0.2%
Other Services (except Public Administration)	7	0.6%	160	0.1%	10	1.8%	629	1.0%
Real Estate and Rental and Leasing	5	0.4%	307	0.2%	2	0.4%	75	0.1%
Management of Companies and Enterprises	4	0.3%	1,061	0.8%	1	0.2%	233	0.4%
Accommodation and Food Services	3	0.3%	442	0.4%	-	0.0%	-	0.0%
Educational Services	3	0.3%	112	0.1%	2	0.4%	23	0.0%
Utilities	2	0.2%	152	0.1%	4	0.7%	239	0.4%
Agriculture, Forestry, Fishing and Hunting	1	0.1%	7	0.0%	3	0.5%	125	0.2%
Arts, Entertainment, and Recreation	1	0.1%	32	0.0%	2	0.4%	15	0.0%
Public Administration	-	0.0%	-	0.0%	1	0.2%	76	0.1%
Total	1,192		126,844		569		60,871	

¹ Estimated number of workers covered by a certified petition.

² Estimated number of workers covered by a denied petition.

The top five industry sectors for post-participation employment in FY 2016 are listed in *Table 6*. Post-participation employment is based on employment six months after exiting the program and recorded four quarters after program exit. As such, FY 2016 post-participation employment is based on those who exited between October 1, 2014, and September 30, 2015.

Table 6: FY 2016 Top 5 Industry Sectors for Post-TAA Participation Employment

Industry Sector of Reemployment	Total Count	
Manufacturing	4,161	26.4%
Administrative and Support and Waste Management and Remediation Services	2,240	14.2%
Health Care and Social Assistance	1,819	11.6%
Retail Trade	1,119	7.1%
Professional, Scientific, and Technical Services	813	5.2%

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. For example, FY 2016 Industry Sector of Reemployment is for participants who exited between October 1, 2014, and September 30, 2015, inclusively.

Table 7 lists the top five industry manufacturing and service subsectors where TAA participants were reemployed in FY 2016.

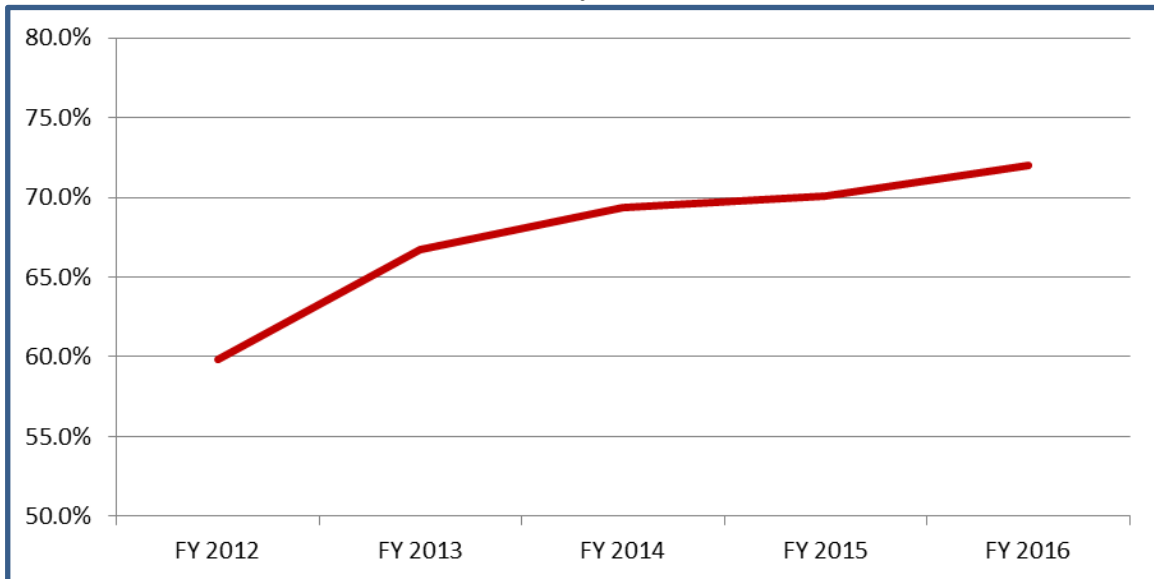
Table 7: The Top 5 Industries for Reemployment by Manufacturing and Service Subsector in FY 2016

Manufacturing	Service
Aircraft Manufacturing	Temporary Help Services
All Other Plastics Product Manufacturing	General Medical and Surgical Hospitals
Machine Shops	Elementary and Secondary Schools
Other Aircraft Parts and Auxiliary Equipment Manufacturing	Offices of Physicians (except Mental Health Specialists)
Iron and Steel Mills and Ferroalloy Manufacturing	Engineering Services

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. For example, FY 2016 Industry Sector of Reemployment is for participants who exited between October 1, 2014, and September 30, 2015, inclusively.

In FY 2016, the portion of TAA participants who changed industry sectors between their pre-participation, trade-affected employment and their post-participation employment reached 72 percent as seen in *Table 8* and *Figure 4*. While those who changed occupations within an industry sector are not included in this percentage and those who changed industries but remained in the same occupation are included, on aggregate, this percentage may be an indicator of labor mobility of TAA participants.

Figure 4: FY 2012 to FY 2016 Percentage of TAA Participants with a Change of Industry Sector



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. For example, FY 2016 Industry Sector of Reemployment is for participants who exited between October 1, 2014, and September 30, 2015, inclusively. A change in industry sector is determined by comparing the two-digit industry prefix of the trade-affected employment against the two-digit industry prefix of the post-participation employment. For specific values, see Table 8.

In FY 2016, like previous years, the percentage of TAA participants changing industry sectors was higher for those who trained and received a credential than those who did not participate in training. As seen in *Table 8*, nearly 80 percent of TAA participants who received an industry-recognized credential and were employed in the second quarter after exit were employed in a different industry sector than their adversely affected position. As shown in *Table 8* and *Figure 4*, the percentage of TAA participants changing industry sectors is the highest of any of the previous five years.

Table 8: The Percentage of TAA Participants who Changed Industry Sectors between Pre-participation, Trade-affected Employment and Post-participation Employment

Service Received	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Participants Not Enrolled in Training	52.1%	56.5%	62.3%	61.1%	62.7%
Training: Enrolled But Not Completed	53.8%	65.7%	69.0%	70.8%	68.5%
Training: Completed, No Credential	68.4%	74.3%	73.1%	73.9%	74.3%
Training: Received Credential	69.6%	73.3%	74.6%	75.9%	79.1%
Total	59.8%	66.7%	69.4%	70.1%	72.0%

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. For example, FY 2016 Industry Sector of Reemployment is for participants who exited between October 1, 2014, and September 30, 2015, inclusively. A change in industry sector is determined by comparing the two-digit industry prefix of the trade-affected employment against the two-digit industry prefix of the post-participation employment.

Profile of New TAA Participants in FY 2016

Data described in this section tracks TAA participants who enrolled in the program during FY 2016.

As shown in *Table 9*, the demographic characteristics of TAA participants who enrolled in the program during FY 2016 are similar to those who enrolled in the program in FY 2015, except that the gap between male and female new TAA participants in FY 2016 has increased; new TAA participants are slightly more likely to self-identify as white; are marginally more educated beyond high school; and on average, are slightly younger.

Table 9: FY 2016 Demographics of New TAA Participants by Gender, Race, Pre-Program Educational Level, Age, and Employment Tenure

Demographic Description		TAA Participants FY 2015	TAA Participants FY 2016
Gender	Male	62.3%	67.1%
	Female	37.4%	32.6%
Race / Ethnicity	White	67.1%	69.9%
	Black or African American	14.6%	14.7%
	Hispanic/Latino	13.6%	10.7%
	Asian	7.6%	5.3%
	American Indian or Alaska Native	1.2%	1.4%
	Native Hawaiian or Other Pacific Islander	0.5%	0.4%
Education	High School Diploma, GED or less	61.0%	59.0%
	Some Post-Secondary, Associate's	25.0%	27.9%
	Bachelor's & Beyond Bachelor's	12.5%	11.6%
Age (Years)	Average (Mean)	48.1	47.7
	Median	50.0	50.0
Tenure of Adversely affected Employment (Years)	Average (Mean)	11.6	11.0
	Median	8.3	7.8

Note: This chart reflects new participants in FY 2015 and FY 2016. Races are self-identified and a participant may identify more than one race. As such, the total of race identified percentages may be greater than 100 percent.

Table 10 compares the population served under the TAA Program with the American Civilian Labor Force (ACLF) using Bureau of Labor Statistics data. The Bureau of Labor Statistics defines the ACLF 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 10, compared with the ACLF, adversely affected workers participating in TAA have significantly less education (based on averages in calendar year 2015). While 65.9 percent of the ACLF had post-secondary education, less than 40 percent of TAA participants entered the program with post-secondary education. Another significant distinction between ACLF and new TAA participants is their median tenure of employment. In FY 2016, new TAA participants entered the TAA Program with a median tenure of 7.8 years of employment with their trade-affected employer, exceeding the median tenure of employment for ACLF of only 4.2 years.

Table 10: FY 2016 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 as of October 2016 ¹	TAA Participants FY 2016
Gender: Male	53.2%	67.1%
Race: White	78.7%	69.9%
Education: Some College, Associate's Degree, Bachelor's Degree, or More ²	65.9%	39.5%
Age ³	42.3	50
Tenure of Employment ⁴	4.2	7.8

¹ BLS Data on employed persons: 2015 Annual Averages data. Source: <https://www.bls.gov/cps/>

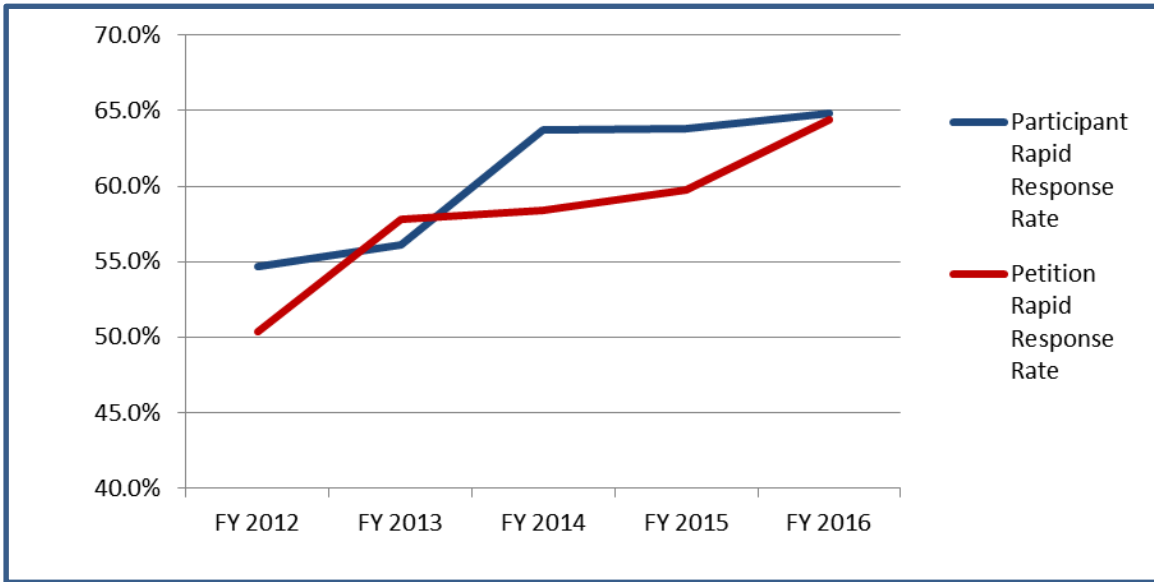
² TAA participant data based on pre-participation educational level.

³ Median Age in Years.

⁴ Median Tenure in Years. TAA participant data is based on the adversely affected employment.

When TAA participants enrolled in the program during FY 2016, many of them entered after receiving Rapid Response services. Rapid Response activities are services and immediate assistance to companies and their affected workers that are funded under title I of WIOA. These activities are operated by each state’s Dislocated Worker Unit. Under section 221(a)(2)(A) of the Trade Act (19 USC 2271(a)(2)(A)), States are required to ensure that Rapid Response activities 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.

Figure 5: FY 2012 to FY 2016 Rapid Response Rates



Note: Participant Rapid Response Rate is the percentage of new participants who received Rapid Response services. Petition Rapid Response Rate is the percentage of petitions associated with new participants for which Rapid Response services were provided. For specific values, see Table 11.

As shown in *Figure 5* and *Table 11*, Rapid Response services were provided relating to more than 64 percent of petitions associated with FY 2016 new participants, the highest reported level to date. These activities reached nearly 65 percent of new TAA participants for FY 2016. *Table 11* and *Figure 5* illustrate how FY 2016 continues a trend of substantial improvement in the provision of Rapid Response services. From FY 2012 to FY 2016, there was a greater than 10 percent increase in the number of new participants receiving Rapid Response services and a 14 percent improvement in the percentage of petitions associated with Rapid Response services.

Table 11: FY 2012 to FY 2016 Rapid Response Rates

Fiscal Year	Participant Rapid Response Rate¹	Petition Rapid Response Rate²
2012	54.7%	50.4%
2013	56.1%	57.8%
2014	63.7%	58.4%
2015	63.8%	59.8%
2016	64.8%	64.4%

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 affected workers to obtain TAA services such as training, employment and case management services, job search allowances, relocation allowances, and income support. Section III will discuss what benefits and services were provided to TAA participants during FY 2016.

III. BENEFITS AND SERVICES

Benefits and Services Provided During FY 2016

The TAA Program includes a range of benefits and services available under the different versions of the program. Details on the benefits and services available under each program are laid out in *Appendix A. Table 12* shows the number of participants receiving each type of TAA benefit or service.

Table 12: FY 2016 Participants Receiving Each Type of TAA Benefit or Service

Participant Benefit or Service	Number of Participants FY 2016	Percentage of Participants FY 2016
TAA (All)	45,814	-
Employment and Case Management Services	41,084	89.7%
Previous Certification ¹	2,198	4.8%
Training	24,433	53.3%
Occupational	21,072	46.0%
Remedial	4,088	8.9%
Prerequisite	480	1.0%
Customized	113	0.2%
On the Job	331	0.7%
Registered Apprenticeship	8	0.0%
Pre-Layoff Training	219	0.5%
Training Leading to an Associate's Degree	6,205	13.5%
Distance Learning	1,431	3.1%
Part Time Training	548	1.2%
TRA	24,742	54.0%
Basic	23,268	50.8%
Additional	14,100	30.8%
Remedial	541	1.2%
Completion	1,105	2.4%
Job Search Allowances	246	0.5%
Relocation Allowances	223	0.5%
ATAA/RTAA	5,648	12.3%

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 who received benefits under a prior certification in compliance with section 249B(b)(2)(E) (19 USC 2323(b)(2)(E)).*

Table 12 shows that nearly 90 percent of participants received employment and case management services, over 53 percent participated in training, and 54 percent received Trade Readjustment Allowances (TRA).

The rate of training participation in FY 2016 stayed consistent with training participation in the previous two years, with slightly more than 53 percent of participants training in the period, as shown in Table 13.

Table 13: FY 2012 to FY 2016 Training Participation Trend

Fiscal Year	Current Participants	Training Participants	Training Participation Rate
2012	103,411	50,693	49.0%
2013	75,458	37,482	49.7%
2014	58,325	30,953	53.1%
2015	47,269	25,373	53.7%
2016	45,814	24,433	53.3%

Enrollment in Training Waivers Issued in FY 2016

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

Under the 2002 Program and the 2009 Program, six different bases for waivers are available to participants:

1. Recall – The worker has been notified that the worker will be recalled by the firm from which the separation occurred.
2. Marketable Skills – The worker possesses marketable skills for suitable employment (as determined pursuant to an assessment of the worker) and there is a reasonable expectation of employment at equivalent wages in the foreseeable future.
3. Retirement – The worker is within two years of retirement.
4. 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 unemployment insurance (UI) laws.
5. Enrollment Unavailable – The first available enrollment date for approved training for the worker is within 60 days, or later, if there are extenuating circumstances to delay enrollment.

6. 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.

Under the 2011 and the 2015 Programs, only three bases for waivers are available: Health, Enrollment Unavailable, and Training Not Available, as described above. For more information on the different bases for waivers and applicable deadlines for obtaining the waivers under all four TAA Programs, see *Appendix A*.

Since FY 2012, 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, and this trend has continued from FY 2015 to FY 2016. *Table 14* shows the substantial decrease in waivers since FY 2012.

Table 14: The Number of Training Waivers Granted, Classified by Type of Waiver

Training Waiver Type	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Recall ¹	1,781	23	6	1	7
Marketable Skills ¹	10,445	2,732	1,103	155	81
Retirement ¹	913	442	94	2	6
Health	81	110	115	55	29
Enrollment Unavailable	5,067	2,220	3,192	3,531	3,369
Training Unavailable	3,168	1,553	1,308	1,176	1,313
Waiver Participants (Total)²	21,411	7,011	5,776	4,858	4,784

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 may have received more than one type of waiver during the time period.

Benefit and Service Information Collected at Program Exit

The data in this section reflects information on workers who exited the program from July 1, 2015 to June 30, 2016. *Table 15* indicates that the majority of participants who exited were covered under either the 2011 Program (58.4 percent) or the 2015 Program (30.3 percent) (combined total of 88.7 percent.)

Table 15: Percentage of Exiting TAA Participants by Program for FY 2012 to FY 2016

TAA Exiters by Program	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
2002	39.6%	17.0%	8.5%	3.9%	2.4%
2009	58.2%	69.1%	49.6%	25.1%	9.0%
2011	2.2%	13.9%	41.7%	61.4%	58.4%
2015 ¹	0.0%	0.0%	0.3%	9.6%	30.3%

¹ 2015 Participants were members of worker groups certified as eligible under the Reversion 2014 Program criteria.

Table 16 shows that in FY 2016, more than 73 percent of TAA exiters who participated in training completed their training plan and 1 percent of participants were adversely affected incumbent workers who entered training prior to separation from work. Furthermore, *Table 16* shows the average training costs by training completion. In FY 2016, the average training cost for a training participant was \$11,987.

Table 16: Training Exiters and Average Training Cost by Completion in FY 2016

Training Exiters	Number of Participants	Percentage of Participants	Average Training Cost
Training Participants	11,405	-	\$11,986.80
Training Completed	8,359	73.3%	\$13,190.25
Training Not Completed	3,046	26.7%	\$8,684.19
Part-Time Training	251	2.2%	\$10,830.66
Pre-Layoff Training	109	1.0%	\$10,856.18

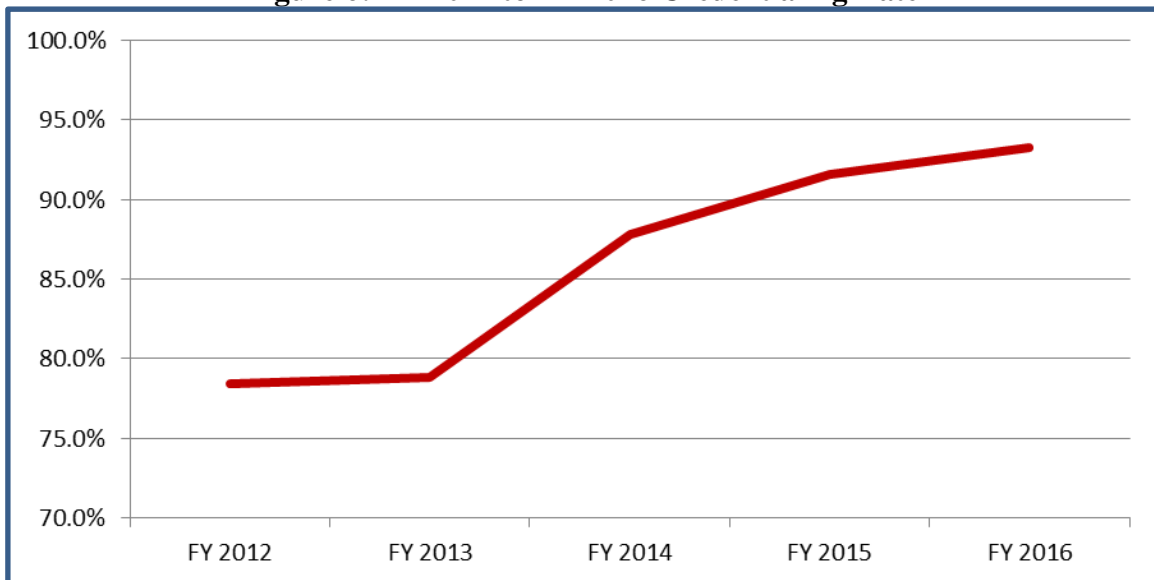
Table 17 indicates that, of the participants who completed training during FY 2016, more than 93 percent earned a post-secondary credential, including an industry-recognized credential, or a secondary school diploma or equivalent. This represents the highest earned credentialing percentage in the program to date.

Table 17: FY 2012 to FY 2016 Credentialing Rate

Fiscal Year	Completed Training (Exiters)	Credentials (Exiters)	Rate of Credentialing
2012	24,702	19,379	78.5%
2013	16,929	13,348	78.8%
2014	12,451	10,927	87.8%
2015	10,685	9,781	91.5%
2016	8,359	7,792	93.2%

Figure 6 illustrates that the five year trend on the rate of credentialing shows a consistently increasing trend. Since FY 2012, the credentialing rate has increased by nearly 15 percent.

Figure 6: FY 2012 to FY 2016 Credentialing Rate



Note: The Credentialing Rate is the Number of TAA exiters who received a Credential as a percentage of the number of TAA exiters who completed training. For specific values, see Table 17.

Table 18 identifies the average duration of participation in the TAA Program, as well as the average duration of receipt of training, TRA, and employment and case management services, respectively. The average duration of TAA participation in FY 2016 was 36 days shorter than FY 2015, and averaged less than two years (609 days or just over 20 months). *Table 18* also shows that the average duration for most TAA benefits and services decreased in FY 2016 as compared to FY 2015, but the average duration of TRA increased by 67 days.

Table 18: Average Duration of TAA Benefits and Services

Benefit or Service	FY 2015 Average Duration (Days)	FY 2016 Average Duration (Days)
TAA Participation (All Services)	645	609
TAA Training (All Training)	496	487
TAA Training (No Remedial or Prerequisite)	455	447
TAA Training (Completed)	515	504
TAA Training (Not Completed)	442	443
TRA¹	278	345
Employment and Case Management	514	491

¹ Average TRA duration was 39 weeks in FY 2015 and was 49 weeks in FY 2016.

For those TAA participants exiting in FY 2016, the proportion who received either ATAA or RTAA has continued to increase as shown in *Table 19*. *Appendix A* illustrates the differences between ATAA and RTAA.

Table 19: FY 2012 to FY 2016 ATAA and RTAA Participant Trends

Fiscal Year	Total Exiters	ATAA Exiters¹	RTAA Exiters²	Percentage of Exiters Receiving ATAA or RTAA
2012	53,970	342	2,247	4.8%
2013	37,278	103	2,930	8.1%
2014	26,140	12	3,070	11.8%
2015	22,308	6	3,499	15.7%
2016	17,266	1	3,034	17.6%

¹ ATAA is available to participants served under the 2002 and Reversion 2014 Programs. Reversion 2014 Program ATAA recipients transitioning to the 2015 Program could access RTAA flexibilities and benefits. If they did not become RTAA recipients, they remained as ATAA recipients ([TEGL No. 5-15, Change 1](#)).

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

Section IV provides greater detail about the performance outcomes of these participants and will examine the credential attainment rate in more detail, as well as reemployment outcomes for participants who exited the program in FY 2016.

IV. PERFORMANCE OUTCOMES

TAARA 2015 revised reporting requirements to align performance accountability for the TAA Program with that of other partner programs in the workforce system under the Workforce Innovation and Opportunity Act (Pub. L. No. 113-128) (WIOA or Opportunity Act). This section both addresses performance outcomes under the previously established core indicators, known as Common Measures, which established performance goals for FY 2016, as well as the new set of program indicators under sections 239(j) and 249B(b)(4) of the Trade Act (19 USC 2311). While the Department is working to implement new data reporting policies to fully comply with the new data reporting requirements, many of the core indicators established in TAARA 2015 are included in this report. Employment rates in the second and fourth quarter, median earnings, wage replacement, and the detailing of these results by age and pre-program educational level are included in this report. Once new data reporting is implemented in FY 2018, the Department will be able to report on the revised credentialing rate under section 239(j)(2)(A)(i)(IV) and the training related employment under section 249B(b)(3)(H).

The data shown in this section are by fiscal year in which the results are reported. Due to a two quarter period for states to obtain employment information and the nature of reporting on activities up to a year after exit, results are for participants who exited in up to six quarters prior to the end of the fiscal year. For example, the rates of employment in the fourth quarter after exit for FY 2016 represent participants who exited between April 1, 2014 and March 31, 2015, inclusively. The specific timeframes for each measure are detailed in the footnotes of *Table 20*, *Table 21*, and *Table 22*.

The Department analyzes participant outcomes to assess core indicators established by the Department, including: (1) Entered Employment Rate (EER), which tracks the proportion of participants who obtained employment in the first quarter after program exit; (2) Employment Retention Rate (ERR), which tracks whether participants who were employed retained employment six months later, and; (3) six-month Average Earnings (AE), which represents total six-month earnings of those same participants who are identified in the ERR. These core indicators, known as Common Measures, are used to assess performance.

Table 20 provides the Department established performance goal and result for each measure from FY 2012 to FY 2016. The time frames for each of these measures are detailed in the footnote to *Table 20*.

Table 20: FY 2012 to FY 2016 Common Measures: Entered Employment Rate (EER), Employment Retention Rate (ERR), and Average Earnings (AE)

Fiscal Year	Performance Goals			Performance Results		
	EER ¹	ERR ²	Six-Month AE ³	EER ¹	ERR ²	Six-Month AE ³
2012	58.0%	83.2%	\$13,248	69.0%	91.3%	\$18,842
2013	58.9%	83.6%	\$13,360	71.6%	91.7%	\$18,104
2014	69.9%	91.1%	\$19,436	72.4%	91.4%	\$17,857
2015	71.1%	91.2%	\$19,799	74.1%	92.4%	\$17,910
2016	71.5%	91.2%	\$20,149	74.0%	92.4%	\$18,754

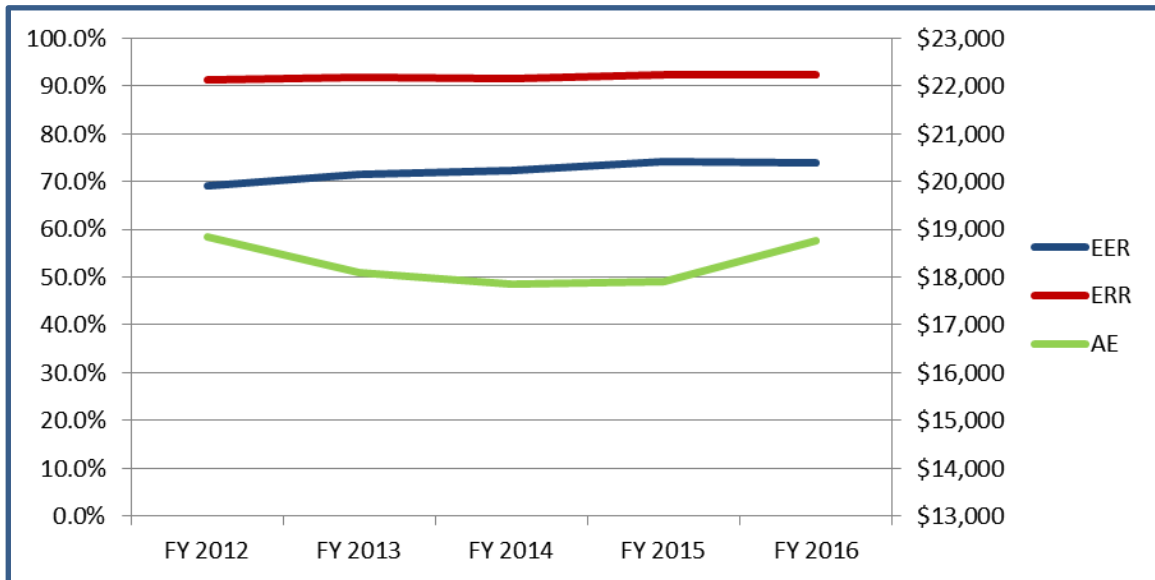
¹ Entered Employment Rate (EER) is the percentage of TAA participants who were employed in the first quarter after exit as reported in the third quarter after exit. For example, FY 2016 EER is for participants who exited between January 1, 2015 and December 31, 2015, inclusively.

² Employment Retention Rate (ERR) is the percentage of TAA participants employed in the first quarter after exit who are still employed in the third quarter after exit. This six-month retention rate is based on data collected five quarters after exit to allow for time to collect and report data. For example, FY 2016 ERR is for participants who exited between July 1, 2013 and June 30, 2014, inclusively.

³ Average Earnings (AE) is the average (mean) earnings for TAA participants in the 2nd and 3rd quarters after exit. As such, this value represents earnings over a six-month period. These earnings are based on data collected five quarters after exit to allow for time to collect and report data. For example, FY 2016 AE is for participants who exited between July 1, 2013 and June 30, 2014, inclusively.

As seen in Table 20, EER has exceeded the established goal in each of the previous five years and has increased during the period. In FY 2016, EER was 74 percent. ERR has also exceeded

Figure 7: FY 2012 to FY 2016 Common Measure Results: Entered Employment Rate (EER), Employment Retention Rate (ERR), and Six-Month Average Earnings (AE)



Note: Represents the performance results for EER, ERR, and AE from FY 2012 to FY 2016. EER and ERR are presented using the scale on the left of the chart. AE is presented using the scale on the right of the chart. For specific values, see Table 20.

the established goal each year and shows a gradual overall increase, reaching over 92 percent in FY 2016. While the six-month AE has shown less consistent results in the last five years, FY 2016 results increased over the previous year to \$18,754.

In order to provide a more in-depth look of program outcomes, results are further analyzed by age, pre-program educational level, and services provided. While Departmental goals are not established for measures other than the common measures discussed above, the Department tracks employment rates in second and fourth quarters after exit, the median income both in the quarter prior to participation and the second quarter after participation, and the corresponding wage replacement rate. Details of these calculations are available in the footnotes for *Table 21* and *Table 22*.

Post-participation employment rates remain higher for younger groups of workers in FY 2016, although the youngest groups of workers still make up a relatively small portion of the program demographic. Re-employment and retention rates by age are detailed in *Table 21*.

Table 21: FY 2016 Employment and Retention Rates by Age

Age ¹	Percentage of Exiters ²	EER Q1 ³	EER Q2 ⁴	EER Q4 ⁵	ERR ⁶
Under 30	8.6%	82.1%	83.9%	84.6%	93.3%
30-39	17.5%	79.8%	81.2%	83.4%	93.1%
40-49	25.4%	78.9%	80.4%	81.4%	93.1%
50-59	38.2%	74.0%	75.8%	73.2%	92.5%
60+	10.2%	45.2%	46.3%	39.4%	85.0%
Total	100.0%	74.0%	75.7%	74.8%	92.4%

¹ Age at the time of pre-participation separation.

² Percentage of Exiters is the percentage of EER Q1 exiters in the particular category. For FY 2016, this represents TAA participants who exited between January 1, 2015 and December 31, 2015, inclusively.

³ Entered Employment Rate for Quarter 1 (EER Q1) is the percentage of TAA participants who were employed in the first quarter after exit as reported in the third quarter after exit. FY 2016 EER Q1 is for participants who exited between January 1, 2015 and December 31, 2015, inclusively. This is the standard measure included in Table 20.

⁴ Entered Employment Rate for Quarter 2 (EER Q2) is the percentage of TAA participants who were employed in the second quarter after exit as reported in the fourth quarter after exit. FY 2016 EER Q2 is for participants who exited between October 1, 2014 and September 30, 2015, inclusively.

⁵ Entered Employment Rate for Quarter 4 (EER Q4) is the percentage of TAA participants who were employed in the fourth quarter after exit as reported in the sixth quarter after exit. FY 2016 EER Q4 is for participants who exited between April 1, 2014 and March 31, 2015, inclusively.

⁶ Employment Retention Rate (ERR) is the percentage of TAA participants employed in the first quarter after exit who are still employed in the third quarter after exit. This six month retention rate is based on data collected five quarters after exit to allow for time to collect and report data. FY 2016 ERR is for participants who exited between July 1, 2013 and June 30, 2014, inclusively.

Table 22 shows pre-participation and post-participation earning by age. Because pre-participation earnings are lower for younger age groups and post-participation earnings are relatively consistent, wage replacement is higher for younger age groups. Replacement rates taper off in groups over age 50 where participants may be eligible for A/RTAA benefits.

Table 22: FY 2016 Earnings by Age

Age¹	Six-Month AE²	Quarterly Earnings Before Participation³	Quarterly Earnings After Participation⁴	Wage Replacement Percentage⁵
Under 30	\$16,884	\$6,906	\$7,192	104.1%
30-39	\$19,191	\$8,414	\$7,929	94.2%
40-49	\$19,564	\$9,775	\$8,068	82.5%
50-59	\$18,808	\$10,148	\$7,758	76.4%
60+	\$16,169	\$10,648	\$5,917	55.6%
Total	\$18,754	\$9,439	\$7,729	81.9%

¹ Age at the time of pre-participation separation.

² Average Earnings (AE) is the average (mean) earnings for TAA participants in the 2nd and 3rd quarters after exit. As such, this value represents earnings over a six-month period. These earnings are based on data collected five quarters after exit to allow for time to collect and report data. FY 2016 AE is for participants who exited between April 1, 2014, and June 30, 2015, inclusively. This is the standard measure included in Table 20.

³ Quarterly Earnings Before Participation represents the median earnings in the first quarter (three-month period) prior to participation. In order to align TAA participants for wage replacement, TAA participants are included in this value four quarters after exit. For FY 2016, this represents participants who exited between October 1, 2014, and September 30, 2015, inclusively.

⁴ Quarterly Earnings After Participation represents the median earnings in the second quarter (three-month period) following participation. These earnings are based on data collected four quarters after exit to allow for time to collect and report data. For FY 2016, this represents participants who exited between October 1, 2014, and September 30, 2015, inclusively.

⁵ Wage Replacement Percentage is the median earnings in the second quarter following participation as a percentage of the median earnings in the first quarter prior to participation.

As shown in *Table 23*, employment and retention rates are highest among those with some post-secondary education with lower employment rates for educational levels either lower or higher.

Table 23: FY 2016 Employment and Retention Rates by Education

Education ¹	Percentage of Exiters	EER Q1	EER Q2	EER Q4	ERR
High School & Less than High School	60.6%	73.6%	75.4%	74.6%	92.3%
Associates, Post-Secondary Certification, Some Post-Secondary	26.3%	76.2%	78.3%	76.6%	92.7%
Bachelors & Beyond Bachelors	12.0%	72.0%	71.1%	71.8%	92.4%
Unknown	1.1%	67.0%	70.4%	70.2%	92.3%
Total	100.0%	74.0%	75.7%	74.8%	92.4%

Note: An explanation for each calculation is available in the footnotes for Table 21.

¹ Pre-program educational level.

As illustrated in *Table 24*, participants with higher pre-participation educational levels have higher both pre-participation and post-participation earnings. Wage replacement is relatively consistent across pre-participation educational categories.

Table 24: FY 2016 Earnings by Education

Education ¹	Six-Month AE	Quarterly Earnings Before Participation	Quarterly Earnings After Participation	Wage Replacement Percentage
High School & Less than High School	\$16,686	\$8,808	\$7,218	82.0%
Associates, Post-Secondary Certification, Some Post-Secondary	\$19,505	\$10,137	\$8,341	82.3%
Bachelors & Beyond Bachelors	\$27,658	\$13,484	\$10,797	80.1%
Unknown	\$19,434	\$6,925	\$6,634	95.8%
Total	\$18,754	\$9,439	\$7,729	81.9%

Note: An explanation for each calculation is available in the footnotes for Table 22.

¹ Pre-program educational level.

Table 25 demonstrates how employment and retention rates vary based on the amount of training services provided. TAA participants who are quickly able to identify new employment

opportunities without training have strong results, but employment rates are highest for participants who train and receive a credential with a second quarter EER of 77 percent in FY 2016. The Department has sought to ensure that participants obtain the skills and credentials for reemployment. In FY 2016, nearly half of all first quarter EER participants had received a credential during participation, as seen in *Table 25*.

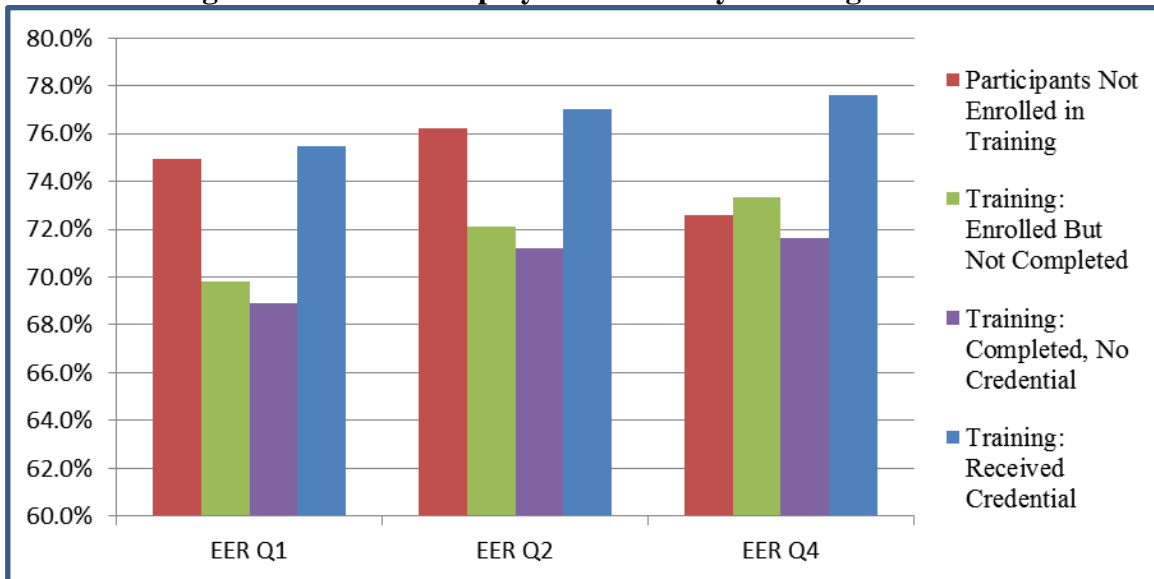
Table 25: FY 2016 Employment and Retention Rates by Training Received

Services Received	Percentage of Exiters	EER Q1	EER Q2	EER Q4	ERR
Participants Not Enrolled in Training	30.6%	74.9%	76.2%	72.6%	91.9%
Training: Enrolled But Not Completed	14.7%	69.8%	72.1%	73.3%	91.7%
Training: Completed, No Credential	7.5%	68.9%	71.2%	71.6%	92.4%
Training: Received Credential	47.2%	75.5%	77.0%	77.6%	93.1%
Total	100.0%	74.0%	75.7%	74.8%	92.4%

Note: An explanation for each calculation is available in the footnotes for Table 21.

Employment rates by training received are also presented graphically in *Figure 8*.

Figure 8: FY 2016 Employment Rates by Training Received



Note: For specific values, see Table 26. An explanation for each calculation is available in the footnotes for Table 21.

Table 26: FY 2016 Earnings by Training Received

Services Received	Six-Month AE	Quarterly Earnings Before Participation	Quarterly Earnings After Participation	Wage Replacement Percentage
Participants Not Enrolled in Training	\$19,833	\$9,314	\$8,050	86.4%
Training: Enrolled But Not Completed	\$18,456	\$9,200	\$7,477	81.3%
Training: Completed, No Credential	\$18,426	\$10,016	\$7,720	77.1%
Training: Received Credential	\$18,084	\$9,502	\$7,615	80.1%
Total	\$18,754	\$9,439	\$7,729	81.9%

Note: An explanation for each calculation is available in the footnotes for Table 22.

As illustrated in *Table 26*, wages are highest for those who are able to find new employment without training, with lower average incomes for those who train and get a credential. While those who train and receive a credential have lower earnings than those who do not train, participants who obtain a credential are more likely to have changed industry sectors and are more likely to find and retain employment as seen in *Table 8* and *Table 25*, respectively.

V. PROGRAM GUIDANCE

States are responsible for directly administering benefits and services under the three distinct versions of the TAA program. As such, the need for program oversight and guidance to states continues. The Department’s Regional Trade Coordinators in the Department of Labor’s Employment and Training Administration (ETA) and other staff in the six ETA regions provide oversight and monitoring for the state delivery of TAA benefits and services. Overall direction and technical assistance for the consistent and timely delivery of these benefits and services nationwide is provided to the regions and the states by the Department through the ETA Office of Trade Adjustment Assistance (OTAA) in Washington, D.C.

The Department, through ETA, issued guidance relating to funding, operating instructions, and other topics to states in the form of Training and Employment Guidance Letters (TEGLs) and Training and Employment Notices (TENs). Specifically, the guidance issued in FY 2016 addressed the operation of the 2015 Program; the reinstatement of the Health Coverage Tax Credit (HCTC); and guidance for routine funding distributions, as seen in *Table 27*.

Table 27: Guidance Documents Issued in FY 2016

Date	Directives
September 23, 2016	TEGL No. 05-15: Change 1, Operating Instructions for Implementing the Amendments to the Trade Act of 1974 Enacted by the Trade Adjustment Assistance Reauthorization Act of 2015 (TAARA 2015) .
July 15, 2016	TEGL No. 03-16: Second Distribution of Fiscal Year (FY) 2016 Trade Adjustment Assistance (TAA) Training and Other Activities Funds and the Process for Requesting TAA Program Reserve Funds .
April 29, 2016	TEGL No. 21-15: Fiscal Year (FY) 2016 State Initial Allocations for Trade Adjustment Assistance (TAA) Training and Other Activities and the Process for Requesting TAA Reserve Funds .
February 16, 2016	TEN No. 25-15: Reinstatement of the Health Coverage Tax Credit (HCTC) for Eligible Trade Adjustment Assistance (TAA) Recipients and Alternative TAA (ATAA) and Reemployment TAA (RTAA) Recipients .

VI. FUNDING

The Department provides funding to the states to provide benefits and services to adversely affected workers. Under section 239 of the Trade Act (19 USC 2311), the states provide benefits and services to eligible workers in the TAA Program as agents of the United States. Each state does so 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 (Secretary), known as the Governor-Secretary Agreement. After the TAARA 2015 reauthorization, the Governor-Secretary Agreements were revised and resigned in FY 2016.

Funds for the TAA Program are apportioned to the Federal Unemployment Benefits and Allowances (FUBA) account into three separate categories: (1) Training and Other Activities, 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; and (3) Alternative/Reemployment Trade Adjustment Assistance (A/RTAA).

In FY 2016, \$861 million was appropriated to the FUBA account. However, this amount was subject to a 6.8 percent sequestration reduction (\$58.5 million) required by the Balanced Budget and Emergency Deficit Control Act (BBEDCA). The Department applied the full sequestration reduction to the Training and Other Activities category of funds, and did not apply reductions to the TRA or A/RTAA benefits categories. Accordingly, \$58.5 million was subtracted from the Training and Other Activities amount of \$450 million, reducing the amount available for Training and Other Services to \$391.5 million. The total amount of FUBA funds provided to states in FY 2016 for all benefits and services was \$626.8 million. *Table 28* lists the total (\$391.5 million) and by state amounts of funds distributed for Training and Other Services in FY 2016.

Table 28: FY 2016 Funds for Training and Other Activities Distributed to the States

State	Initial Allocation ¹	Reserve Requests	Second Distribution	Final Distribution	Total
AL	\$1,913,207	\$0	\$876,490	\$342,207	\$3,131,904
AK	\$0	\$0	\$0	\$0	\$0
AZ	\$1,097,402	\$0	\$825,178	\$243,587	\$2,166,167
AR	\$8,662,003	\$0	\$3,237,458	\$610,355	\$12,509,816
CA	\$9,721,536	\$0	\$4,065,126	\$1,477,330	\$15,263,992
CO	\$2,268,084	\$0	\$812,277	\$337,749	\$3,418,110
CT	\$3,184,789	\$0	\$1,201,762	\$394,686	\$4,781,237
DE	\$235,457	\$0	\$108,022	\$80,044	\$423,523
DC	\$0	\$0	\$0	\$0	\$0
FL	\$2,486,636	\$0	\$1,089,805	\$316,423	\$3,892,864
GA	\$2,971,713	\$0	\$1,540,759	\$456,185	\$4,968,657
HI	\$329,109	\$2,032,503	\$268,109	\$55,967	\$2,685,688
ID	\$1,803,887	\$0	\$992,875	\$315,170	\$3,111,932
IL	\$9,054,061	\$0	\$4,143,616	\$1,703,855	\$14,901,532
IN	\$4,750,136	\$0	\$1,819,125	\$721,527	\$7,290,788
IA	\$6,148,608	\$0	\$2,283,621	\$985,098	\$9,417,327
KS	\$3,290,720	\$0	\$1,353,389	\$488,463	\$5,132,572
KY	\$6,091,353	\$0	\$2,481,563	\$1,162,017	\$9,734,933
LA	\$848,261	\$0	\$236,454	\$63,791	\$1,148,506
ME	\$4,015,715	\$0	\$2,176,774	\$707,944	\$6,900,433
MD	\$2,376,894	\$0	\$696,465	\$169,639	\$3,242,998
MA	\$6,597,371	\$0	\$2,841,769	\$939,379	\$10,378,519
MI	\$11,747,789	\$0	\$4,547,822	\$1,407,727	\$17,703,338
MN	\$11,930,222	\$0	\$3,183,102	\$1,422,593	\$16,535,917
MS	\$743,006	\$0	\$215,461	\$103,204	\$1,061,671
MO	\$7,590,490	\$0	\$3,183,801	\$1,249,241	\$12,023,532

“Training and Other Activities” refers to funds to provide training, job search allowances, relocation allowances, and employment and case management services to adversely affected workers, and to cover TAA Program related state administrative costs.

¹ *In accordance with 20 CFR 618.90(d), if a state’s adjusted Initial Allocation was less than \$100,000, the state received no distribution under the Initial Allocation of funds.*

Table 28: FY 2016 Funds for Training and Other Activities Distributed to the States

State	Initial Allocation ¹	Reserve Requests	Second Distribution	Final Distribution	Total
MT	\$128,357	\$0	\$50,245	\$14,170	\$192,772
NE	\$457,908	\$0	\$159,674	\$178,158	\$795,740
NV	\$220,020	\$0	\$13,319	\$4,449	\$237,788
NH	\$752,353	\$0	\$260,606	\$85,390	\$1,098,349
NJ	\$5,279,766	\$0	\$1,620,891	\$667,543	\$7,568,200
NM	\$2,414,217	\$0	\$1,155,194	\$343,806	\$3,913,217
NY	\$12,445,344	\$0	\$4,677,986	\$1,647,249	\$18,770,579
NC	\$10,074,138	\$0	\$2,447,343	\$984,045	\$13,505,526
ND	\$0	\$0	\$0	\$0	\$0
OH	\$8,554,680	\$0	\$3,494,562	\$1,218,066	\$13,267,308
OK	\$4,476,938	\$0	\$1,429,945	\$745,496	\$6,652,379
OR	\$7,309,767	\$0	\$3,229,407	\$1,328,120	\$11,867,294
PA	\$22,106,759	\$0	\$9,235,660	\$5,040,295	\$36,382,714
PR	\$1,807,281	\$0	\$577,097	\$278,949	\$2,663,327
RI	\$1,067,180	\$0	\$200,063	\$68,653	\$1,335,896
SC	\$10,074,379	\$0	\$4,036,119	\$1,344,684	\$15,455,182
SD	\$183,039	\$0	\$347,808	\$100,131	\$630,978
TN	\$5,699,171	\$0	\$1,107,582	\$300,432	\$7,107,185
TX	\$25,312,648	\$0	\$10,230,759	\$3,568,762	\$39,112,169
UT	\$1,391,911	\$0	\$1,061,027	\$342,134	\$2,795,072
VT	\$838,687	\$0	\$253,679	\$87,006	\$1,179,372
VA	\$2,358,678	\$0	\$581,521	\$272,148	\$3,212,347
WA	\$10,965,332	\$0	\$3,389,468	\$1,402,643	\$15,757,443
WV	\$3,293,002	\$0	\$1,152,162	\$374,781	\$4,819,945
WI	\$7,189,903	\$0	\$2,940,455	\$943,344	\$11,073,702
WY	\$183,893	\$0	\$29,605	\$18,062	\$231,560
Total	\$254,443,800	\$2,032,503	\$97,863,000	\$37,112,697	\$391,452,000

“Training and Other Activities” refers to funds to provide training, job search allowances, relocation allowances, employment and case management services to adversely affected workers, and for related state administrative costs.

¹ In accordance with 20 CFR 618.90(d), if a state’s adjusted Initial Allocation was less than \$100,000, the state received no distribution under the Initial Allocation of funds.

Distributions of FY 2016 Program Funds to States

In FY 2016, the Department made three distributions to states and distributions of reserve funds in accordance with the Trade Adjustment Assistance (TAA) Annual Funding Agreement with each state. This section describes the formula by which the Department determined each state's share of the Training and Other Activities funds. Both the timing of the distributions and the formula used for calculating each state's amount follow the regulations at 20 CFR 618.910 through 618.940. According to these regulations:

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; and
4. Formula factors determine each state's share of funds appropriated for Training and Other Activities. Each state's dollar amount of Training and Other Activities' funding was determined using the most recent data available, to determine the formula factors under the TAA funding formula 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 were 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 that a state's Initial Allocation is 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-e), allocations under \$100,000 were removed and the statutory 25 percent *hold harmless* provision was applied, resulting in an adjusted FY 2016 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 request TAA funds by submitting a request for reserve funds. *Table 28* shows that Alaska, the District of Columbia, and North Dakota did not receive an Initial Allocation. Hawaii was the only state to request and be provided FY 2016 Training and Other Activities funding through a reserve request.

A summary of FY 2016 Training and Other Activities funds distributions to states include:

1. An Initial Allocation to the states on April 29, 2016, in the amount of \$254.4 million. The Department made a single allocation of 65 percent of the full-year appropriation of TAA Program funds, in accordance with the regulations explained above, and found at 20 CFR 618.910, in its Initial Allocation of funds to states;
2. A Second Distribution to the states on July 15, 2016, in the amount of \$97.9 million. This distribution, combined with the Initial Allocation, met the requirement that 90 percent of the full-year appropriation of TAA Program funds for Training and Other Activities be distributed by July 15 (in accordance with the regulations explained above and found at 20 CFR 618.930);
3. A distribution of \$2 million in response to a reserve fund request from Hawaii in FY 2016; and
4. A Final Distribution to states on September 8, 2016, in the amount of \$37 million. This amount encompassed the remaining 10 percent of the FY 2016 Training and Other Activities appropriation, minus the dollar amount of funds used for Reserve Requests. In accordance with the regulation found at 20 CFR 618.930, funds provided in the Second and Final Distributions were distributed only to states that received an Initial Allocation.

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

Funding for TRA and wage supplements (in the form of ATAA under the 2002 Program, and RTAA under the 2009, 2011, and 2015 Programs) are neither determined by the formula nor distributed in accordance with the other provisions of TAA regulations codified at 20 CFR 618.900 to 618.940. These funds, apportioned from the FUBA account appropriation, are managed by the Department's Office of Unemployment Insurance (OUI), and states request them from OUI on an as needed basis. Discretionary funds to cover the administrative cost of providing TRA and ATAA/RTAA through the states' Unemployment Insurance (UI) systems are appropriated to the State Unemployment Insurance and Employment Security Operations (SUIESO) account and provided in accordance with the UI Annual Funding Agreement with each state. *Table 29* provides the total and state amounts of funds distributed for Training and Other Services (\$391.5 million), the amounts of funds obligated for TRA (\$209.4 million), and ATAA/RTAA (\$26 million) in FY 2016. The first column in *Table 29* corresponds to the total program funds listed for each state in *Table 28*.

Table 29: The Total Amount of Payments to the States in FY 2016 Used to Carry Out Training and Other Activities, Trade Readjustment Allowances (TRA), and Alternative Trade Adjustment Assistance/Reemployment Trade Adjustment Assistance (A/RTAA)

State	Training and Other Activities ¹	TRA	A / RTAA	Total TAA
AL	\$3,131,904	\$1,531,000	\$450,000	\$5,112,904
AK	\$0	\$0	\$10,000	\$10,000
AZ	\$2,166,167	\$366,000	\$240,000	\$2,772,167
AR	\$12,509,816	\$7,156,000	\$440,000	\$20,105,816
CA	\$15,263,992	\$8,369,000	\$720,000	\$24,352,992
CO	\$3,418,110	\$970,000	\$180,000	\$4,568,110
CT	\$4,781,237	\$3,598,000	\$260,000	\$8,639,237
DE	\$423,523	\$85,000	\$60,000	\$568,523
DC	\$0	\$0	\$0	\$0
FL	\$3,892,864	\$685,000	\$190,000	\$4,767,864
GA	\$4,968,657	\$2,532,000	\$520,000	\$8,020,657
HI	\$2,685,688	\$5,000	\$5,000	\$2,695,688
ID	\$3,111,932	\$1,495,000	\$730,000	\$5,336,932
IL	\$14,901,532	\$9,206,000	\$1,090,000	\$25,197,532
IN	\$7,290,788	\$2,213,000	\$970,000	\$10,473,788
IA	\$9,417,327	\$3,415,000	\$730,000	\$13,562,327
KS	\$5,132,572	\$3,221,000	\$500,000	\$8,853,572
KY	\$9,734,933	\$8,193,000	\$1,030,000	\$18,957,933
LA	\$1,148,506	\$99,000	\$120,000	\$1,367,506
ME	\$6,900,433	\$3,887,000	\$1,825,000	\$12,612,433
MD	\$3,242,998	\$867,000	\$220,000	\$4,329,998
MA	\$10,378,519	\$6,545,000	\$525,000	\$17,448,519
MI	\$17,703,338	\$8,135,000	\$950,000	\$26,788,338
MN	\$16,535,917	\$13,624,000	\$770,000	\$30,929,917
MS	\$1,061,671	\$163,000	\$370,000	\$1,594,671
MO	\$12,023,532	\$5,981,000	\$990,000	\$18,994,532

¹ "Training and Other Activities" refers to funds to provide training, job search allowances, relocation allowances, and employment and case management services to adversely affected workers, and for related state administrative costs.

Table 29: The Total Amount of Payments to the States in FY 2016 Used to Carry Out Training and Other Activities, Trade Readjustment Allowances (TRA), and Alternative Trade Adjustment Assistance/Reemployment Trade Adjustment Assistance (A/RTAA)

State	Training and Other Activities ¹	TRA	A / RTAA	Total TAA
MT	\$192,772	\$40,000	\$10,000	\$242,772
NE	\$795,740	\$241,000	\$150,000	\$1,186,740
NV	\$237,788	\$12,000	\$40,000	\$289,788
NH	\$1,098,349	\$447,000	\$190,000	\$1,735,349
NJ	\$7,568,200	\$6,577,000	\$50,000	\$14,195,200
NM	\$3,913,217	\$2,027,000	\$90,000	\$6,030,217
NY	\$18,770,579	\$6,348,000	\$1,380,000	\$26,498,579
NC	\$13,505,526	\$3,883,000	\$1,190,000	\$18,578,526
ND	\$0	\$10,000	\$10,000	\$20,000
OH	\$13,267,308	\$10,469,000	\$1,330,000	\$25,066,308
OK	\$6,652,379	\$4,391,000	\$355,000	\$11,398,379
OR	\$11,867,294	\$6,854,000	\$210,000	\$18,931,294
PA	\$36,382,714	\$25,406,000	\$2,450,000	\$64,238,714
PR	\$2,663,327	\$68,000	\$15,000	\$2,746,327
RI	\$1,335,896	\$495,000	\$80,000	\$1,910,896
SC	\$15,455,182	\$6,553,000	\$1,050,000	\$23,058,182
SD	\$630,978	\$89,000	\$195,000	\$914,978
TN	\$7,107,185	\$623,000	\$370,000	\$8,100,185
TX	\$39,112,169	\$21,253,000	\$700,000	\$61,065,169
UT	\$2,795,072	\$833,000	\$320,000	\$3,948,072
VT	\$1,179,372	\$474,000	\$130,000	\$1,783,372
VA	\$3,212,347	\$722,000	\$140,000	\$4,074,347
WA	\$15,757,443	\$10,690,000	\$420,000	\$26,867,443
WV	\$4,819,945	\$2,053,000	\$280,000	\$7,152,945
WI	\$11,073,702	\$6,355,000	\$930,000	\$18,358,702
WY	\$231,560	\$120,000	\$0	\$351,560
Total	\$391,452,000	\$209,374,000	\$25,980,000	\$626,806,000

¹ "Training and Other Activities" refers to funds to provide training, job search allowances, relocation allowances, and employment and case management services to adversely affected workers, and for related state administrative costs.

VII. CONCLUSION

During FY 2016, the Department certified 1,192 TAA petitions, which resulted in an estimated 126,844 workers becoming eligible to apply for TAA benefits and services.

In FY 2016, 65 percent of new participants received Rapid Response services. Of the 45,814 participants served in FY 2016, 53 percent received training during the year. Over 93 percent of those who completed training received a credential. Rapid Response, credential, and ATAA/RTAA recipient rates each represented a record high for the TAA program.

During FY 2016, nearly 76 percent of TAA workers found employment in the second quarter after exiting the program and over 92 percent workers were still employed six months later. FY 2016 employment and retention outcomes maintained the high rates set in FY 2015 while average earnings increased.

During FY 2016, credential attainment increased the percentage employed in the second quarter after exiting the program to 77 percent. Of those, 79 percent changed industry sectors between their trade-affected and post-participation employment.

These results demonstrate that in FY 2016, the reauthorized TAA program provided important benefits and services to help adversely affected workers obtain reemployment.

APPENDIX A

(1 of 3)

Table 30: Side-by-Side Comparison of TAA Program Benefits under the 2002 Program, 2009 Program, 2011 Program, and 2015 Program

	2002 Program	2009 Program	2011 Program	2015 Program
<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 style="text-align: center;">-----</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 style="text-align: center;">-----</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 style="text-align: center;">-----</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 style="text-align: center;">-----</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 style="text-align: center;">-----</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 style="text-align: center;">SAME AS 2011</p> <p>Manufacturing sector workers Service sector workers</p> <p style="text-align: center;">-----</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 style="text-align: center;">-----</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>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 style="text-align: center;"><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 style="text-align: center;"><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 style="text-align: center;">SAME AS 2011</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>

Note: As of June 29th, 2015, all participants being served under the Reversion 2014 Program were automatically converted to the 2015 Program.

APPENDIX A

(2 of 3)

Table 30: Side-by-Side Comparison of TAA Program Benefits under the 2002 Program, 2009 Program, 2011 Program, and 2015 Program

	2002 Program	2009 Program	2011 Program	2015 Program
Training Waivers: 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:	<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 	SAME AS 2011
Funding: Training Funding: Funds to states to pay for TAA training. State Administration Funding: Funds to states to pay for state administration of TAA benefits, not administration of TRA or ATAA/RTAA (covered by UI Funding Agreement). Job Search and Relocation Allowances Funding: Funds to states to pay allowances. Case Management Funding: Funds to states to pay for TAA case management and employment services.	<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>\$575 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>Included in Training Funding</p> <p>No less than 5% of the amount provided may be spent for TAA Case Management and Employment Services</p> <p>DOL may recapture states' Fiscal Year funds that remain unobligated after two or three FYs and distribute such funds to states in need of funds, if authorized under FY appropriation.</p>	NEW AMOUNT \$450 Million Statutory Cap Applies to Training, Job Search and Relocation Allowances, Case Management and Employment Services, and related State Administration No more than 10% of the amount provided may be spent for State Administration Included in Training Funding No less than 5% of the amount provided may be spent for TAA Case Management and Employment Services DOL may recapture states' Fiscal Year funds that remain unobligated after two or three FYs and distribute such funds to states in need of funds, if authorized under FY appropriation.

Note: As of June 29th, 2015, all participants being served under the Reversion 2014 Program were automatically converted to the 2015 Program.

APPENDIX A

(3 of 3)

Table 30: Side-by-Side Comparison of TAA Program Benefits under the 2002 Program, 2009 Program, 2011 Program, and 2015 Program

	2002 Program	2009 Program	2011 Program	2015 Program
<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.	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 -----	SAME AS 2011 90% of allowable job search costs, up to a maximum of \$1,250, available if state elects to provide the benefit -----
<u>Relocation Allowances:</u> A cash allowance provided to workers who have to accept a job outside of their commuting area and relocate.	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
<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).	<u>Alternative Trade Adjustment Assistance:</u> Requires a separate group certification Available to workers earning less than an annual salary of \$50,000 Maximum total ATAA benefit of up to \$10,000 Reemployed within 26 weeks of separation Reemployed in full time employment Training benefit NOT available	<u>Reemployment Trade Adjustment Assistance:</u> Does not require a separate group certification Available to workers earning less than an annual salary of \$55,000 Maximum total income support (RTAA and TRA) benefit of \$12,000 Reemployed with no deadline Reemployed in full-time or part-time employment in combination with approved training Training benefit is also available	<u>Reemployment Trade Adjustment Assistance:</u> Does not require a separate group certification Available to workers earning less than an annual salary of \$50,000 Maximum total income support (RTAA and TRA) benefit of \$10,000 Reemployed with no deadline Reemployed in full-time or part-time employment in combination with approved training Training benefit is also available	SAME AS 2011 <u>Reemployment Trade Adjustment Assistance:</u> Does not require a separate group certification Available to workers earning less than an annual salary of \$50,000 Maximum total income support (RTAA and TRA) benefit of \$10,000 Reemployed with no deadline Reemployed in full-time or part-time employment in combination with approved training Training benefit is also available
<u>Health Coverage Tax Credit:</u> A tax credit offered to eligible TAA recipients to help pay for qualified health insurance premiums of the worker and their family.	72.5% of qualifying health insurance premium costs http://www.irs.gov/Individuals/HCTC			

Note: As of June 29th, 2015, all participants being served under the Reversion 2014 Program were automatically converted to the 2015 Program.

APPENDIX B (1 of 2)

Table 31: FY 2016 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State

State	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Alabama	8	4	503	3	114
Alaska	2	0	0	6	254
Arizona	15	17	2,055	1	80
Arkansas	11	12	1,433	6	380
California	112	106	11,455	37	2,126
Colorado	34	28	2,405	13	2,387
Connecticut	23	20	1,098	8	970
Delaware	1	1	433	1	1
District of Columbia	1	1	4	0	0
Florida	30	23	1,440	5	1,030
Georgia	22	20	2,174	1	0
Hawaii	3	4	1,394	0	0
Idaho	9	12	1,493	6	648
Illinois	70	56	7,266	19	3,409
Indiana	39	32	6,981	11	1,053
Iowa	21	25	3,460	18	1,076
Kansas	20	23	1,434	10	1,670
Kentucky	38	26	3,935	6	410
Louisiana	8	7	1,220	4	97
Maine	17	13	1,182	8	173
Maryland	8	5	830	4	528
Massachusetts	44	33	4,170	10	334
Michigan	52	33	3,125	19	3,629
Minnesota	74	47	3,574	28	1,842
Mississippi	7	6	859	2	46
Missouri	32	33	2,658	6	206

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 31: FY 2016 Petitions Filed, Certified, and Denied and Associated Estimated Number of Workers Covered by State

State	Petitions Filed ¹	Petitions Certified	Est. # of Workers ²	Petitions Denied	Est. # of Workers ³
Montana	3	1	13	1	87
Nebraska	14	6	1,201	6	811
Nevada	4	1	5	2	23
New Hampshire	2	3	68	2	591
New Jersey	28	28	1,501	4	266
New Mexico	7	6	388	9	1,532
New York	75	72	3,920	33	1,829
North Carolina	30	33	4,011	7	594
North Dakota	0	0	0	1	46
Ohio	56	53	5,020	12	1,697
Oklahoma	53	23	2,306	63	11,037
Oregon	99	52	4,743	36	1,879
Pennsylvania	110	90	10,667	65	6,012
Puerto Rico	3	4	452	0	0
Rhode Island	3	3	143	2	1
South Carolina	29	26	2,364	4	96
South Dakota	4	4	1,115	0	0
Tennessee	26	22	1,979	6	1,452
Texas	99	85	9,908	37	3,898
Utah	4	7	2,339	0	0
Vermont	5	7	266	1	47
Virginia	14	9	1,759	12	1,742
Washington	38	32	2,597	19	2,530
West Virginia	10	8	409	4	197
Wisconsin	33	30	3,089	8	1,513
Wyoming	3	0	0	3	528
Total	1,453	1,192	126,844	569	60,871

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 16)

Table 32: FY 2016 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
Alabama	1	1	0	0	0	0
	3	1	1	121	0	0
	4	2	0	0	1	53
	5	0	0	0	1	50
	6	0	1	81	0	0
	7	4	2	301	1	11
Alaska	1	2	0	0	6	254
Arizona	1	1	2	373	0	0
	2	1	1	700	0	0
	6	5	4	330	0	0
	7	2	2	459	0	0
	8	0	1	42	0	0
	9	6	7	151	1	80
Arkansas	1	4	6	817	2	123
	2	2	0	0	1	105
	3	2	5	560	2	110
	4	3	1	56	1	42
California	2	2	1	93	1	22
	3	1	0	0	1	31
	6	1	1	4	0	0
	7	1	1	236	0	0
	8	2	0	0	1	26
	9	2	1	293	0	0
	10	1	1	4	0	0
	11	0	0	0	1	19
12	1	2	39	1	5	

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 16)

Table 32: FY 2016 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 (continued)	13	0	0	0	1	48
	14	0	2	695	0	0
	15	4	1	54	0	0
	16	3	4	379	0	0
	17	6	7	1,271	3	59
	18	0	0	0	3	576
	19	1	3	62	0	0
	20	4	3	337	0	0
	21	1	0	0	1	49
	23	2	0	0	1	29
	24	3	1	4	1	183
	25	4	2	195	0	0
	26	4	4	101	0	0
	27	4	0	0	1	50
	28	2	5	418	0	0
	29	1	2	260	0	0
	30	1	2	111	0	0
	31	1	1	1,782	0	0
	32	4	2	270	1	52
	33	6	5	181	6	132
	34	2	3	209	0	0
	35	5	3	403	0	0
37	0	2	148	1	27	
38	3	2	160	0	0	
39	2	4	110	1	7	
40	7	4	401	2	49	
42	0	3	770	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

(3 of 16)

Table 32: FY 2016 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 (continued)	43	4	4	377	0	0
	44	3	2	105	3	328
	45	2	4	64	1	125
	46	3	4	444	0	0
	47	2	3	104	3	256
	48	2	2	6	0	0
	49	6	4	581	1	0
	50	3	0	0	0	0
	51	0	0	0	1	34
	52	6	9	707	1	19
	53	0	2	77	0	0
Colorado	1	7	5	1,181	3	1,446
	2	9	8	142	4	82
	3	2	2	285	0	0
	4	3	2	71	1	830
	5	6	4	349	2	2
	6	4	5	248	2	23
	7	3	2	129	1	4
Connecticut	1	7	6	347	1	230
	2	3	2	100	1	570
	3	3	4	423	2	40
	4	3	3	80	3	127
	5	7	5	148	1	3
Delaware	1	1	1	433	1	1
District of Columbia	1	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 (4 of 16)

Table 30: FY 2016 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	2	1	1	1	0	0
	3	1	1	29	0	0
	4	4	3	354	0	0
	5	1	1	64	0	0
	6	1	0	0	0	0
	7	1	1	23	0	0
	11	0	1	14	0	0
	12	1	0	0	1	83
	13	3	3	275	0	0
	14	4	3	61	0	0
	16	1	1	4	0	0
	18	1	0	0	1	776
	19	0	1	64	0	0
	20	3	3	363	1	149
	21	1	0	0	0	0
	22	2	0	0	2	22
	23	1	1	13	0	0
	25	2	2	171	0	0
	26	1	1	4	0	0
27	1	0	0	0	0	
Georgia	1	1	0	0	0	0
	2	2	2	8	0	0
	3	0	0	0	1	0
	4	1	1	41	0	0
	5	1	1	22	0	0
	6	5	7	1,203	0	0
	7	4	1	43	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 16)

Table 32: FY 2016 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
Georgia (continued)	8	2	1	225	0	0
	9	2	2	264	0	0
	11	0	1	84	0	0
	12	3	3	279	0	0
	13	1	1	5	0	0
Hawaii	1	0	1	18	0	0
	2	3	3	1,376	0	0
Idaho	1	2	2	107	2	205
	2	7	10	1,386	4	443
Illinois	1	0	1	600	0	0
	2	0	0	0	1	42
	3	2	1	15	0	0
	5	3	2	87	0	0
	6	6	4	827	0	0
	7	8	4	715	1	270
	8	10	10	419	3	122
	9	2	3	252	0	0
	10	8	7	484	2	27
	11	3	3	490	1	1,300
	12	6	4	104	1	158
	13	0	0	0	1	290
	14	1	1	14	1	668
	15	8	4	559	5	171
	16	1	2	350	0	0
	17	5	3	436	1	113
	18	7	7	1,914	2	248

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 16)

Table 32: FY 2016 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	1	49	1	12
	2	4	2	268	0	0
	3	4	7	1,657	0	0
	4	6	6	1,150	2	36
	5	4	3	58	2	35
	6	5	4	1,097	1	129
	7	3	3	1,610	1	150
	8	8	3	704	4	691
	9	5	3	388	0	0
Iowa	1	10	10	1,163	4	277
	2	3	3	585	3	216
	3	3	7	1,331	6	324
	4	5	5	381	5	259
Kansas	1	1	1	33	2	154
	2	0	3	515	1	49
	3	10	10	463	2	1,139
	4	9	9	423	5	328
Kentucky	1	12	7	849	0	0
	2	6	3	952	1	74
	3	3	2	30	1	0
	4	6	5	1,302	0	0
	5	4	3	286	3	334
	6	7	6	516	1	2
Louisiana	1	2	1	86	0	0
	2	3	3	491	2	53
	3	2	1	105	2	44
	5	1	2	538	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

(7 of 16)

Table 32: FY 2016 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
Maine	1	3	2	16	1	6
	2	14	11	1,166	7	167
Maryland	1	1	1	446	1	200
	2	2	1	74	0	0
	3	2	1	254	0	0
	4	0	0	0	1	231
	6	3	1	17	1	85
	7	0	1	39	1	12
Massachusetts	1	1	0	0	1	32
	2	11	3	237	3	100
	3	4	6	697	1	10
	4	8	8	403	1	161
	5	3	1	84	0	0
	6	8	7	1,412	0	0
	7	0	1	1,048	1	0
	8	6	6	276	0	0
	9	3	1	13	3	31
Michigan	1	3	1	10	2	26
	2	2	2	505	4	398
	3	6	6	697	0	0
	4	4	1	46	2	351
	5	5	6	736	0	0
	6	1	0	0	1	50
	7	6	1	58	5	567
	8	6	3	230	1	79
	9	2	2	46	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 16)

Table 32: FY 2016 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 (continued)	10	4	1	223	3	2,150
	11	4	2	71	1	8
	12	5	3	149	0	0
	13	1	0	0	0	0
	14	3	5	354	0	0
Minnesota	1	3	3	815	1	66
	2	1	1	15	3	177
	3	8	10	423	2	820
	4	6	3	419	4	215
	5	4	3	858	0	0
	6	3	3	164	0	0
	7	3	2	115	1	78
	8	46	22	765	17	486
Mississippi	1	3	3	308	0	0
	2	0	0	0	1	0
	3	2	2	547	0	0
	4	2	1	4	1	46
Missouri	1	4	4	37	0	0
	2	3	4	121	0	0
	3	0	2	168	0	0
	4	3	3	280	1	17
	5	6	6	541	0	0
	6	2	2	114	1	84
	7	5	6	810	1	11
	8	9	6	587	3	94

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 16)

Table 32: FY 2016 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
Montana	1	3	1	13	1	87
Nebraska	1	3	2	44	2	392
	2	8	4	1,157	3	388
	3	3	0	0	1	31
Nevada	2	3	1	5	1	22
	3	1	0	0	1	1
New Hampshire	1	2	2	53	1	387
	2	0	1	15	1	204
New Jersey	1	3	3	141	0	0
	3	1	1	37	0	0
	4	1	1	59	0	0
	5	1	3	130	0	0
	6	3	3	314	0	0
	7	4	4	166	0	0
	8	3	3	278	1	3
	9	1	1	51	0	0
	10	0	2	45	1	180
	11	9	5	264	2	83
	12	2	2	16	0	0
	New Mexico	1	2	1	20	2
2		2	2	277	2	369
3		3	3	91	5	608

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 16)

Table 32: FY 2016 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	2	3	3	361	0	0
	3	6	6	218	3	69
	4	0	0	0	4	63
	5	0	0	0	1	178
	7	1	0	0	0	0
	8	1	1	19	0	0
	10	6	6	206	2	109
	12	6	3	59	2	154
	17	5	6	413	0	0
	18	3	3	4	2	2
	19	1	2	282	0	0
	20	4	6	196	1	1
	21	7	2	261	2	18
	22	3	2	109	3	370
	23	6	8	235	1	32
	24	7	5	191	4	355
	25	3	6	498	1	1
	26	7	9	749	4	422
27	6	4	119	3	55	
North Carolina	2	6	3	163	1	275
	3	0	0	0	1	4
	4	2	3	526	0	0
	5	4	3	1,702	1	14
	6	2	3	122	0	0
	7	1	1	203	1	23

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.

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Table 32: FY 2016 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
North Carolina (continued)	9	0	1	43	0	0
	10	4	1	160	1	246
	11	2	3	400	0	0
	12	9	14	687	2	32
	13	0	1	5	0	0
North Dakota	1	0	0	0	1	46
Ohio	1	3	3	285	1	5
	2	3	5	205	1	547
	3	2	1	177	0	0
	4	2	2	92	0	0
	5	2	4	672	1	0
	6	3	1	12	3	142
	7	6	3	555	1	338
	8	0	2	234	0	0
	9	7	10	653	0	0
	10	5	5	625	1	111
	11	3	3	238	1	452
	12	3	2	128	1	35
	13	9	6	645	1	37
	14	2	1	180	1	30
	15	0	1	77	0	0
	16	6	4	242	0	0
Oklahoma	1	21	14	1,474	36	4,982
	2	4	2	218	2	99
	3	7	4	425	12	941
	4	11	1	91	7	478
	5	10	2	98	6	4,537

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.

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Table 32: FY 2016 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
Oregon	1	44	22	2,737	6	759
	2	12	9	668	13	329
	3	18	8	515	7	387
	4	17	9	484	5	126
	5	8	4	339	5	278
Pennsylvania	1	2	1	3	1	318
	2	0	0	0	1	1
	3	21	11	996	8	1,321
	4	2	5	171	2	187
	5	19	18	3,239	11	489
	6	3	3	74	0	0
	7	1	1	38	0	0
	8	2	0	0	0	0
	9	6	6	351	7	689
	10	5	3	226	5	527
	11	5	6	266	3	127
	12	11	10	499	10	819
	13	2	4	1,759	0	0
	14	11	6	451	4	294
	15	3	5	277	2	57
	16	1	2	57	1	65
	17	3	3	279	3	276
	18	13	6	1,981	7	842
Puerto Rico	1	3	4	452	0	0
Rhode Island	1	2	2	95	1	1
	2	1	1	48	1	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.

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Table 32: FY 2016 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 Carolina	1	6	5	725	0	0
	2	1	1	14	0	0
	4	4	5	269	0	0
	5	5	4	168	0	0
	6	3	3	194	0	0
	7	10	8	994	4	96
South Dakota	1	4	4	1,115	0	0
Tennessee	1	4	2	137	2	554
	2	0	0	0	1	1
	3	5	3	254	0	0
	4	2	1	77	0	0
	5	1	2	85	0	0
	6	4	2	434	0	0
	7	6	7	785	0	0
	8	3	2	18	2	247
	9	1	3	189	1	650
Texas	1	3	3	885	2	26
	2	4	4	315	1	484
	3	12	14	1,318	2	23
	4	1	1	22	0	0
	5	0	1	305	1	67
	6	1	0	0	1	18
	7	3	1	143	2	57
	8	3	2	63	2	181
	9	3	3	230	0	0
	10	6	2	240	1	217
	11	2	0	0	4	658

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.

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Table 32: FY 2016 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 (continued)	12	2	3	292	0	0
	13	1	1	18	0	0
	14	1	0	0	1	31
	15	1	0	0	2	258
	16	5	6	195	2	148
	17	2	2	67	0	0
	18	4	2	336	0	0
	19	0	1	100	0	0
	20	3	2	8	0	0
	21	4	3	251	0	0
	22	0	0	0	1	121
	23	1	1	69	2	554
	24	10	9	975	5	225
	26	4	2	615	0	0
	27	4	4	1,768	2	155
	28	0	2	37	0	0
	29	1	1	32	0	0
	30	1	0	0	0	0
	31	5	4	146	1	375
	32	3	4	314	0	0
33	2	3	546	1	117	
34	3	2	303	2	43	
35	0	0	0	2	140	
36	4	2	315	0	0	
Utah	1	0	2	1,446	0	0
	2	1	0	0	0	0
	3	2	3	689	0	0
	4	1	2	204	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.

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Table 32: FY 2016 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
Vermont	1	5	7	266	1	47
	2	1	0	0	0	0
Virginia	3	0	0	0	3	464
	5	1	1	148	1	20
	6	2	2	109	3	255
	9	5	4	555	5	1,003
	10	3	1	142	0	0
	11	2	1	805	0	0
Washington	1	8	6	551	3	122
	2	6	7	390	0	0
	3	4	3	38	3	34
	4	4	1	4	2	5
	5	2	1	170	3	72
	6	4	3	84	4	118
	7	1	1	209	3	828
	8	1	1	450	0	0
	9	4	6	343	0	0
	10	4	3	358	1	1,351
West Virginia	1	5	2	129	2	124
	2	2	2	73	2	73
	3	3	4	207	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.

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Table 32: FY 2016 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	1	1	25	0	0
	2	3	4	234	0	0
	3	4	4	543	2	160
	4	2	3	410	0	0
	5	6	5	720	0	0
	6	10	5	693	4	1,301
	7	4	3	123	1	52
	8	3	5	341	1	0
Wyoming	1	3	0	0	3	528
Total		1,453	1,192	126,844	569	60,871

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.

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