



Local Operating Procedure

SECTION: Operations/TAA	PROCEDURE#: LOP03	PAGE 1 of 11
TITLE: Employment and Case Management Services	EFFECTIVE DATE: 3.18.22	

DISTRIBUTION: CareerSource North Central Florida Staff

PURPOSE: To establish guidance for CareerSource North Central Florida (CSNCFL) staff, volunteers, interns, and DEO employees located in CSNCFL facilities, whether they are on CSNCFL property or off-site; partner agency staff located within CSNCFL facilities; program contractors; and other authorized users for TAA Employment and Case Management Services

BACKGROUND: CSNCFL adheres to the Trade Act of 1974 that established the Trade Adjustment Assistance for Workers Program, referred to as the TAA Program, to assist workers who have been laid off or whose jobs have been threatened because of foreign trade or competition (trade-affected workers). The TAA program has been amended several times in the last forty years, most significantly in 2002, 2009, 2011, and 2015. The 2015 amendment, known as the Trade Adjustment Assistance Reauthorization Act of 2015 (TAARA 2015), reauthorized TAA and is the most current. Provisions from prior versions of the Act remain applicable in limited cases based on the petition number. To be eligible for TAA benefits, a group of workers will establish that they were separated from their employment either because their jobs moved outside the United States or because of an increase in directly competitive imports. To establish eligibility, a group of three or more workers (or their representative) will file a petition with the United States Department of Labor (USDOL). Upon receipt of the petition, USDOL conducts an investigation to verify the role of foreign trade in the workers' job losses. If USDOL determines that the workers meet TAA requirements, it will issue a certification that renders the workers covered eligible to apply to a local career center for individual services and benefits, which include employment and case management services.

POLICY: It is the policy of CSNCFL that all TAA employment and case management services shall be consistent, clear, and professional and shall be coordinated through the Management Team and/or the CEO.

Procedure

Upon determination of TAA eligibility under the TGAAA of 2009, TAAEA of 2011, or TAARA of 2015, CSNCFL LOP-03 3.18.22

2015 law, LWDBs are required to ensure trade-affected workers who are covered under a petition have access to employment and case management services as described in this procedure.

A. TAA Informational Session

When a petition is certified by USDOL, upon notification of the certification the local office will obtain a copy of the trade petition. The TAA coordinator will contact the trade-affected employer, and secure a list of the trade-affected workers from the employer within 10 business days and provide the list to the State Trade Program Office. Upon receipt of this notification, LWDB 09 will coordinate with the employer to offer the trade-affected workers the opportunity to attend a TAA informational session conducted by the Local TAA Coordinator. The informational session will review the benefits and services offered by the TAA program. When 20 or more trade-affected workers are covered under a certified petition, LWDB 09 will coordinate with the employer to afford the workers the option to attend the informational session at the employer's location or the career center nearest to the employer's location. Once scheduled, the Local TAA Coordinator will provide the date(s), time(s), and location(s) of all group TAA informational sessions to the State Trade Program Office by emailing TAA@deo.myflorida.com. For those trade-affected workers who are unable to attend, or for groups with fewer than 20 trade-affected workers, the opportunity to schedule an individual session with the Local TAA Coordinator will be afforded.

Trade-affected employers may have affected workers who reside in a different geographic location than the worksite location. Trade-affected workers may choose to receive services from the LWDB of their choice, regardless of geographical location with regards to residence. LWDB 09 may refer the trade-affected worker to a closer location for the worker's convenience but may not refuse to provide services if the worker declines to use another LWDB.

B. TAA Eligibility Review

Following the group or individual informational session, the Local TAA Coordinator will schedule a one-on-one, in-person meeting with each trade-affected worker who is interested in receiving services. The meeting may be conducted immediately following the informational session if time permits. The Local TAA Coordinators will encourage all trade-affected workers who are interested in receiving services to complete an Employ Florida registration prior to the meeting. During the initial meeting, the Local TAA Coordinator will verify that the worker's name is recorded on the affected worker's list provided by the employer or the State Trade Program Coordinator. Once eligibility is verified, the Local TAA Coordinator will create a Wagner-Peyser program application, followed by a TAA program application, in Employ Florida for the trade-affected worker. If the trade-affected worker's name is not present on the affected worker's list, the Local TAA Coordinator will contact the employer to determine the individual's eligibility. If the employer is unable to be contacted, the Local TAA Coordinator will coordinate with the State Trade Program Office to determine the trade-affected worker's eligibility. If the individual is determined to be trade-affected, the Local TAA Coordinator will update the affected worker's list and notify the State Trade Program Coordinator. If the individual is determined ineligible for TAA services, the Local TAA Coordinator will ensure the appropriate Wagner-Peyser services to assist the individual with securing employment are provided.

C. Initial TAA Program Participation

1. Once the TAA application has been created and the trade-affected worker has been identified as eligible to apply for TAA services and benefits, the Local TAA Coordinator will assist the trade-affected worker with completing the Request for Determination of Entitlement to Trade Readjustment Allowance (TRA) form (TRA ETA 855) and the acknowledgment of TRA Eligibility Deadlines form (TRA 345).
2. Additionally, the Notice of Trade Benefits contains updated language that instructs trade-affected workers to submit their TRA Application (DEO ETA 855) and Acknowledgement of TRA Eligibility Deadlines (UCB TRA 345) form directly to their Local TAA Coordinator. **The Local TAA Coordinator will upload the completed forms to the trade-affected worker's Employ Florida Staff Document folder.**
3. The Local TAA Coordinator will contact the State Trade Program Office at TRA@deo.myflorida.com to provide notification that the trade-affected worker's information is available in Employ Florida and ready for review.
4. The State Trade Program Office will review the worker's request form and issue a determination for TRA benefits.
5. Once completed, a service code TR0 (Eligibility Review "Local TAA Coordinator Use") will be recorded under the worker's TAA program application.
6. The TR0 service will be entered and the Local TAA Coordinator will ensure the **TR0 service code is recorded with a projected end date that matches the TAA participant's deadline to apply for Trade Readjustment Allowance (TRA), which is 26 weeks from the petition certification date or layoff date, whichever is later.**
7. Additionally, the Local TAA Coordinator will submit the TRA Application and the Acknowledgement of TRA Eligibility Deadlines form to the Trade Program Unit via the TRA Mailbox at TRA@deo.myflorida.com: This service code reflects the initial eligibility activity that will establish the individual's participation in the TAA program.
 - TR0 - Eligibility Review "Local TAA Coordinator Use"
 - TR1 - Initial TRA Application Review/Determination "Central Trade Staff Only"

D. Employment and Case Management Services

In accordance with Section 235 of the Trade Act of 1974, as amended by the TAARA of 2015, LWDBs are required to ensure the following employment and case management services are available to all TAA participants:

- Comprehensive assessments
- Specialized assessments
- Provision of labor market information
- Individual career counseling
- Development of an Individual Employment Plan (IEP)
- Information on available training and financial aid
- Short term pre-vocational services
- Information relating to the availability of supportive services

The purpose of these services is to provide trade-affected workers the necessary information and support throughout their participation in the TAA program for obtaining suitable employment. Case management services assist TAA participants by establishing goals to overcome barriers to employment; providing guidance through occupational training to overcome a skill deficiency or increase participant marketability, and by establishing a plan to increase wages for those participants that have secured employment at a lesser wage than his/her trade-affected employment and will receive wage subsidies through the Reemployment Trade Adjustment Assistance (RTAA) program. LWDB 09 Local TAA Coordinators will document employment and case management services in the participant's Employ Florida TAA program application by recording the service code which corresponds to the service provided, as follows:

Service Code

Service Code Description

- T01 TAA - Comprehensive Assessment
- T02 TAA - Specialized Assessment
- T03 TAA - Provision of Labor Market Information
- T04 TAA - Individual Career Counseling
- T05 TAA - Individual Employment Plan (IEP)
- T06 TAA - Provision of Training Information
- T07 TAA - Provision of Supportive Service Information
- T08 TAA - Short-term Prevocational Services
- 211 WP -Referral to WIOA
- T09 TAA - Follow-up Services

All service codes and corresponding case notes will be entered in accordance with the requirements prescribed in the Employ Florida Service Code Guide. http://www.floridajobs.org/docs/default-source/lwdb-resources/programs-and-resources/wioa/2020-wioa/service-code-guide-update_june2020.pdf?sfvrsn=aa1a46b0_2

Note: There may be other services that are provided, but the services listed above, except for follow-up services, are required for all trade-affected workers who are interested in participating in TAA-funded training.

1. Comprehensive Assessment

Each TAA participant will be provided a comprehensive assessment to determine the appropriate service level and path to obtain suitable employment. The comprehensive assessment is performed using in-depth interviewing and evaluation to identify barriers and appropriate employment goals. This assessment will also determine if the TAA participant is job-ready or will require training to gain the necessary work skills to become reemployed.

When it is determined that a TAA participant has no barriers to employment, possesses marketable employment skills and suitable employment is available, he/she will be provided the appropriate Wagner-Peyser services, to include service code 114 (StaffAssisted Job Search), to facilitate the TAA participant obtaining employment as soon as possible. When the TAA participant has barriers

to employment, lacks the required skills to obtain suitable employment, and/or suitable employment is not available, the Local TAA Coordinator will ensure the information in the comprehensive assessment is addressed in the participant's individual employment plan(IEP). The comprehensive assessment will serve as the foundation and justification for all TAA participants receiving TAA-funded training services and should guide the development of the IEP. The assessment will include a detailed examination of the TAA participant's qualifications, skills, and capabilities and explore any relevant barriers that may hinder the participant's ability to secure suitable employment. This examination may include but is not limited to, a review of the TAA participants:

- a. Educational background
- b. Employment history
- c. Financial situation
- d. Emotional and physical health (including disabilities)
- e. Attitude towards work
- f. Motivation
- g. Supportive service needs

LWDB 09 Local TAA Coordinator will use the objective assessment template that is located in the Employ Florida template section of Employ Florida (EF). The comprehensive assessment will be recorded in Employ Florida using service code T01 (TAA - Comprehensive Assessment) and include the required documentation/case note that aligns with the requirements prescribed in the Employ Florida Service Code Guide. Information about TAA participant health issues, if any, and sensitive/personal and confidential information will not be documented in Employ Florida nor stored in the participant's electronic or hard-copy case file.

- Exception: If a comprehensive or initial assessment has already been completed by LWDB staff through a partner program, the Local TAA Coordinator may use the results from that assessment. If any elements of that assessment are missing, the Local TAA Coordinator will administer the missing elements and document the results in a case note.

2. Specialized Assessments

Specialized assessments help establish a TAA participant's skill levels and service needs. The Local TAA Coordinator will use a multi-faceted approach to the specialized assessment process by using the following assessment tools and techniques:

- Interest inventories, aptitude and skill tests, career guidance instruments, and basic skill tests. These services will be provided by the LWDB 09 Assessment Coordinator which will require the Local TAA Coordinator to assist the TAA participant with scheduling the assessment(s).
- Specialized assessments may include, but are not limited to, a review of the following:
 - a. Basic literacy in math, reading, or writing
 - b. Occupational skill levels
 - c. Transferable skills
 - d. Interests and aptitude
 - e. English language proficiency

The outcomes of these assessments will be recorded in Employ Florida using service code T02 (TAA–Specialized Assessment) and include a case note that aligns with the

requirements prescribed in the Employ Florida Service Code Guide

3. Labor Market Information

The Labor Market Information (LMI) service involves the provision of workforce and labor market employment statistical information, including the delivery of accurate information relating to local, regional, and national labor market areas, such as

- a. Job vacancy listings
- b. Information on job skills necessary to obtain listed jobs
- c. Information relating to local high-demand occupations and the earnings, skill requirements, and opportunities for advancement in those jobs

LMI will be used by Local TAA Coordinators when assisting TAA participants in selecting appropriate occupational skills training and/or developing an IEP. The provision of LMI will be recorded in Employ Florida using service code T03 (TAA - Provision of Labor Market Information) and include a case note that aligns with the requirements prescribed in the Employ Florida Service Code Guide.

4. Individual Career Counseling

Individual Career Counseling will be provided by the Local TAA Coordinator following the comprehensive assessment to assist the participant in making informed educational, training, and occupational choices and may include the following:

- a. Assisting in developing a participant's knowledge of educational and occupational opportunities, and/or the steps involved in career planning;
- b. Assisting in developing career goals by using sound information including appropriate assessments and career explorations that focus on the talents, knowledge, transferable skills, interests, values, and aptitudes of the participant;
- c. Interpreting the local job market(s) and providing the steps necessary for the TAA participant to obtain and retain suitable employment in occupation of the participant's interest;
- d. Providing specific information about job duties, working conditions, and hiring requirements of occupational areas of interest; and
- e. Helping a participant explore and select occupational skills training opportunities. Individual career counseling will be recorded in Employ Florida using T04 (TAA - Individual Career Counseling) and include a case note that aligns with the requirements prescribed in the Employ Florida Service Code Guide.

5. Individual Employment Plan

The IEP is a negotiated agreement between the TAA participant and the TAA program detailing what the TAA participant will do to return to suitable employment and what the TAA program will do to support his/her efforts.

The IEP will include a clear employment goal, outline the steps necessary (objectives) to achieve the goal, any barriers that may prohibit the TAA participant from achieving the goal, and the supportive services and steps necessary (objectives) to overcome any barriers. The Local TAA Coordinator will ensure that an IEP is recorded for TAA participants who require assistance in overcoming employment barriers in order to return to suitable employment, lack the skills necessary

to secure suitable employment in the existing labor market and will be entering TAA-approved training, or secured employment at a lesser wage than their trade-affected employment and will receive wage subsidies through the Reemployment Trade Adjustment Assistance (RTAA) program.

a. Developing the IEP

TAA participant IEPs will be created using the Employ Florida IEP/Service Strategy wizard. The IEP service will be recorded in Employ Florida using service code T05 (TAA – Individual Employment Plan (IEP)) and include the required documentation/case note that aligns with the requirements prescribed in the Employ Florida Service Code Guide. The IEP will be signed by the TAA participant as well as the TAA Local Coordinator or the staff that assisted with the creation of the IEP and retained in the participant's file. If the participant is going to receive TAA-funded training, the IEP will be completed prior to the date of the first date of training or a waiver of the training requirement.

- Participant's IEP is completed and recorded in Employ Florida prior to the participant entering into TAA-funded training.
- IEP is being reported by entering the Employ Florida service code T05 (Individual Employment Plan), in the participant's TAA module. The plan will be completed prior to the start date of the training.
- Service code T05 is accompanied by documentation that meets the requirements set forth in the Employ Florida Service Code Guide, either in a case note format or using the Plan feature in Employ Florida. A case note is not required if the Local TAA Coordinator has used the Employ Florida Plan feature.

b. Establishing Goals and Objectives

Each IEP should have one employment goal that drives the plan. The description of the employment goal should be written in a manner that is succinct and pertinent. The Local TAA Coordinator will use the IEP/Service Strategy wizard in Employ Florida, and additional details can be added in the Goal Details text box.

The term of a goal can be identified as long term (12+ months), intermediate (3-12 months), or short-term (0-3 months).

- The objectives of the IEP break down the larger goal into comprehensive steps required to reach the goal.
- Effective objectives will include dates for achievement and identify an individual responsible for completing the objective.
- Ensuing review dates should be connected to the objectives outlined within the IEP to ensure satisfactory progress.

c. Reviewing the IEP

The IEP will be treated as a living document and reviewed by the Local TAA Coordinator on a regular basis with the participant.

- At a minimum, the IEP will be reviewed every 30 days.
- The IEP will be amended, as appropriate, when additional needs are identified, or objectives are achieved.
- When new objectives are added, the IEP should be reviewed and signed by the TAA participant and the Local TAA coordinator and accompanied by service code T05 (TAA -

Individual Employment Plan (IEP)) and include a case note that aligns with the requirements prescribed in the Employ Florida Service Code Guide.

6. Provision of Training Information

If the results of the comprehensive assessment reveal that the TAA participant requires training, and the participant is interested in training, the Local TAA Coordinator will provide individual counseling to determine suitable training, offer information on available training programs, and provide guidance on how to apply for such training.

Additionally, the Local TAA Coordinator will provide information on how to apply for financial aid. This includes informing the participant that he/she may request the training institution's financial aid administrator to use the administrators' discretion under Section 479A of the Higher Education Act of 1965 (20 U.S.C. 1087tt) to use current year income data, rather than preceding year income data, for determining the amount of need for federal financial assistance.

The provision of training information will be recorded in Employ Florida using service code T06 (TAA – Provision of Training Information) and include a case note that aligns with the requirements prescribed in the Employ Florida Service Code Guide.

If training is determined to be necessary in order to assist the TAA participant with their return to work all participants will meet the six criteria which are:

- a) There is no suitable employment available for the worker;
- b) The worker would benefit from appropriate training;
- c) There is a reasonable expectation of employment following completion of such training;
- d) Training is reasonably available to the worker from either governmental agencies or private sources;
- e) The worker is assessed and qualified to undertake and complete such training; and
- f) The training is suitable for the worker (based upon the worker's capabilities, background, and experience) and available at a reasonable cost.

The Trade Act requires that LWDB 09 will approve training for a trade-affected worker if the six (6) program criteria are met:

Once approved and documented in the participant's Employ Florida TAA Program Application, training may be paid on the participant's behalf directly to the service provider or through a voucher system using TAA program funds at the local level. There is no federal or state limit on the amount of program funding that can be expended on training for a trade-affected worker so long as the cost is determined to be reasonable. Reasonable means that the costs of the training are not unreasonably high in comparison with the average cost of training of other workers in similar occupations at other providers.

LWDB09 can expend program funds on the following TAA training services (and all allowable benefits that accompany the services):

- classroom training,
- registered apprenticeship,
- on-the-job training,

➤ and customized training.

Examples of allowable costs accommodating training services include, but are not limited to:

- ❖ books,
- ❖ required supplies,
- ❖ course fees,
- ❖ registration fees,
- ❖ travel and subsistence costs for training outside the local commuting area of 10 miles from their residence
- ❖ and other items or services deemed necessary by the training institution for the completion of training.

Training funds are primarily used to directly fund training expenditures for eligible TAA participants. TAA participants who lack the education and skills to return to suitable employment may be eligible for training. If the results of the comprehensive assessment reveal that the TAA participant requires training, and the participant is interested in training, the Local TAA Coordinator will provide individual counseling to determine suitable training, offer information on available training programs, and provide guidance on how to apply for such training. Eligible trade-affected workers request training services through the appropriate LWDB.

7. Supportive Service Information

The LWDB 09 Local TAA Coordinator will provide TAA participants with information relating to the availability of supportive services, including services related to child care, travel assistance, dependent care, housing assistance, and needs-related payments that are necessary to enable the participant to successfully participate in TAA-funded training. The provision of supportive service information will be recorded in Employ Florida using service code T07 (TAA – Provision of Supportive Service Information) and include a case note that aligns with the requirements prescribed in the Employ Florida Service Code Guide.

8. Short-term Prevocational Services

The LWDB 09 Local TAA Coordinators will provide short-term prevocational services to help trade-affected workers attain employment or successfully participate in training. Short-term prevocational skills include communication and interviewing skills, punctuality, study skills, professional conduct, and basic computer literacy and competencies. Short-term prevocational services also include providing counseling on workplace expectations, professional conduct, and personal maintenance, when appropriate. The provision of short-term prevocational services will be recorded in Employ Florida using service code T08 (TAA - Short-term Prevocational Services) and include a case note that aligns with the requirements prescribed in the Employ Florida Service Code Guide.

9. Referral to WIOA

The LWDB 09 Local TAA Coordinator will refer all TAA participants to Workforce Investment Opportunity Act (WIOA). LWDB 09 Local TAA Coordinator will co-enroll all TAA participants in

WIOA in order to increase their success in the TAA program. Trade-affected dislocated workers may be co-enrolled with other partner programs such as WIOA Adult. However, Training and Employment Guidance Letter (TEGL) 01-19 encourages co-enrollment between the TAA and WIOA Dislocated Worker programs because the programs are complementary in nature, provide an additional funding source for dislocated worker services, and an analysis conducted by DOL indicated that TAA participants who were co-enrolled with the WIOA Dislocated Worker program consistently displayed superior results compared to those that were not co-enrolled. These results include significantly improved performance outcomes, earlier intervention such as reduced time to participant training enrollment, and increased access to supportive services facilitating training completion, credential attainment, and obtaining suitable employment. DOL studies indicated co-enrollment leads to higher employment rates second and fourth quarter post- program exit and higher wages post- program exit. The Local TAA Coordinator will enroll all TAA participants into the WIOA program or get a

Co-Enrollment

Co-enrollment occurs when an eligible participant is enrolled in more than one workforce program. Co-enrollment supports and optimizes the participant's success. In accordance with federal requirements, co-enrollment includes simultaneous enrollment in the WIOA Dislocated Worker program and the TAA programs. Co-enrollment requires that the WIOA Dislocated Worker program fund a minimum of one service or activity that meets the needs of the participant as determined by both workforce program partners and the participant. All steps, courses, workshops, certifications, etc. towards suitable employment, whether provided by TAA or WIOA, shall be documented in the participant's Individual Employment Plan. Co-enrollment across funding streams helps leverage limited resources to meet the needs of all participants working towards suitable employment. When eligible, all trade-affected workers will be co-enrolled with WIOA Dislocated Worker. Co-enrollment necessitates a high level of communication and coordination amongst program staff to maximize effectiveness and avoid the duplication of services. If the TAA participant is not eligible for the WIOA program or if they elect not to participate in the partner program then they will sign the Right to Decline Dislocated Worker Benefits & Services Form and be placed in Employ Florida documenting that the participant was considered but not eligible for co-enrollment or declined the co-enrollment into both programs..

10. Follow-up Services Local

The LWDB 09 Local TAA Coordinators will maintain consistent communication by following up with TAA participants to ensure the successful completion of objectives in the IEP. Follow-up services include but are not limited to, discussing the status of objectives with the participant, securing documentation for reimbursement of travel costs while in training, and reviewing training benchmarks. Follow-up will be completed by the Local TAA Coordinator at least once every 30 days. The provision of follow-up services will be recorded in Employ Florida using service code T09 (TAA - Follow-up Services) and include a case note that aligns with the requirements prescribed in the Employ Florida Service Code Guide.

DEFINITIONS

1. Affected Workers List:

A list of trade-affected workers, typically provided by the trade impacted employer, who were separated or threatened with separations during the period beginning one year before the petition was filed and ending two years after the date of the certification.

2. Local TAA Coordinator:

A merit-staff employee designated by the LWDB 09 to determine TAA eligibility and to provide TAA case management and employment services with the goal of leading participants to suitable employment.

3. Petition:

A request submitted to USDOL to certify an employer as adversely impacted by global trade or competition.

4. Suitable Employment: Work of a substantially equal or higher skill level than the trade-affected worker's past trade-affected employment, with wages no less than 80 percent of the trade-affected worker's average weekly wage from the trade-affected employment.

5. TAA Participant: Any trade-affected worker who completes the initial TAA application and is enrolled in the TAA program by a Local TAA Coordinator by receiving a staff-assisted service.

6.Trade-Affected Worker:

An individual who has been totally or partially separated from employment in a firm or subdivision of a firm that has been certified under TAA.

OFFICIAL SIGNATURE

PHYLLIS MARTY
Chief Executive Officer