



Policy

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TITLE: TAA- Employment and Case Management Services		EFFECTIVE DATE: 3.18.2021
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PURPOSE: To provide a policy that clearly outlines the requirements for providing employment and case management services under the Trade Adjustment Assistance (TAA) program.

BACKGROUND: The TAA program was first established at the Department of Labor by the Trade Act of 1974, and has been amended several times with the intent to assist workers who have been laid off or whose jobs have been threatened because of foreign trade or competition (trade-affected workers). Individual workers who are members of the certified worker group apply for benefits and services at a one-stop center(s). Individual workers who meet the qualifying criteria may receive job training; income support in the form of Trade Readjustment Allowances (TRA); job search and relocation allowances; etc.

In addition, all workers covered by a certification are eligible for employment and case management services including Basic and Individualized Career Services either through TTA program or through and in coordination with Workforce Innovation Opportunity Act (WIOA) and Wagner Peyser as discussed in WIOA TEGL No. 3-15.

POLICY:

Outlined in this policy are the described employment and case management services trade-affected workers who are covered under a petition are ensured to have access to.

A. TAA Informational Session

When a petition is certified by USDOL, the State Trade Program Coordinator will notify the LWDB that is responsible for the county within which the trade-affected employer is located. The notification will include a copy of the certified trade petition, the contact information for the trade-affected employer and instructions to 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, CSTB must coordinate with the employer to offer the trade-affected workers the opportunity to attend a TAA informational session conducted by CSTB's Local TAA Coordinator.

The informational session will review the benefits and services offered by the TAA program. When twenty (20) or more trade-affected workers are covered under a certified petition, then the TAA Coordinator must 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 the information session has been scheduled, the TAA Coordinator must provide the date(s), time(s) and location(s) of all group TAA information sessions to the State Trade Program Office by emailing TAA@deo.myflorida.com. If a trade-affected worker(s) is unable to attend, or for groups fewer than twenty (20) trade-affected workers, the opportunity to schedule an individual session with the TAA Coordinator must be afforded.

Trade-affected workers who reside in a different geographic location within the work site location of the trade-affected employer may choose to receive services from the LWDB of their choice, regardless of geographical location with regards to residence. The trade-affected worker may be referred to a closer location for the worker's convenience but cannot be refused services if the worker declines to use another LWDB.

B. TAA Eligibility Review

The TAA Coordinator must schedule a one-on-one, in-person meeting with each trade-affected worker who is interested in receiving services following the informational session. This meeting is allowed to be conducted immediately following the informational session if time permits. The TAA Coordinator is encouraged to have all trade-affected workers who are interested in receiving services complete an Employ Florida registration prior to the meeting. During the initial meeting, the TAA Coordinator must verify that the worker's name is recorded on the affected workers list provided by the employer or the State Trade Program Coordinator. Once eligibility is verified, the TAA Coordinator must create a Wagner-Peyser program application, followed by a TAA program application in Employ Florida for the trade-affected worker.

If a trade-affected worker's name is not present on the affected workers list, the TAA Coordinator must contact the employer to determine the individual's eligibility. If the employer is unable to be contacted, the TAA Coordinator must 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 TAA Coordinator must update the affected workers list and notify the State Trade Program Coordinator. If the individual is determined ineligible for TAA services, the TAA Coordinator must ensure the appropriate Wagner-Peyser services to assist the individual with securing employment are provided.

C. Initial TAA Program Participation

Once the TAA application has been created and the trade-affected worker has been identified as eligible to apply for the TAA services and benefits, the TAA Coordinator must 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). The TAA Coordinator must upload the completed forms to the trade-affected worker’s Employ Florida Staff Document folder.

The TAA Coordinator must 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. The State Trade Program Office will review the worker’s request form and issue a determination for TRA benefits. Once completed, a Employ Florida service code TR0 (Eligibility Review “Local TAA Coordinator Use”) must be recorded under the worker’s TAA program application. This service code reflects the initial eligibility activity that will establish the individual’s participation in the TAA program. The TR0 service code must be entered in accordance with [DEO Memorandum: Trade Adjustment Assistance TR0 and TA1 Employ Florida Service Code Changes.](#)

D. Employment and Case Management Services

CSTB is required to ensure the following employment and case management services are available to all TAA participants (outlined in Section 235 of the Trade Act of 1974 and as amended by the TAARA of 2015):

- 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 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.

The TAA Coordinator must document employment and case management services in the participant’s Employ Florida TAA program application by recording the service code and corresponding case note 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
T09	TAA- Follow-up Services

There may be additional services provided, however the services indicated in the table 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 must 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. Also, this assessment must determine if the TAA participant is job ready or will require training to gain the necessary work skills to become reemployed.

The comprehensive assessment serves as the foundation and justification for all TAA participants receiving TAA-funded training services and should guide the development of the IEP. The assessment must 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 participant's:

- 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

The comprehensive assessment can be created using the Employ Florida Objective Assessment Summary or a locally developed assessment tool. The comprehensive assessment must be recorded in Employ Florida using service code T01 (TAA- Comprehensive Assessment) and include the corresponding required documentation/ case note.

Information about TAA participant health issues, if any, and sensitive/personal and confidential information must not be documented in Employ Florida nor stored in the participant's electronic or hard-copy case file.

When determination is made that a TAA participant has no barriers to employment, possesses marketable employment skills and suitable employment is available, he/she must be provided the appropriate Wagner-Peyser services, to include service 114 (Staff-Assisted 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 TAA Coordinator should ensure the information in the comprehensive assessment is addressed in the participant's IEP.

Note: If a comprehensive or initial assessment has already been completed by a CSTB staff member through a partner program, the TAA Coordinator may use the results from that assessment. The TAA Coordinator must administer any missing elements, if any, 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 TAA Coordinator may 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. 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 outcome of these assessments must be recorded in Employ Florida using service code T02 (TAA- Specialized Assessment) and include a corresponding case note.

These services may be provided through the Workforce Innovation and Opportunity Act (WIOA) program, which will require the TAA Coordinator to assist the participant with scheduling the assessment(s). When referring a TAA participant to WIOA for specialized assessments, this service must be recorded by the TAA Coordinator in Employ Florida using service code 211 (Referral to WIOA Assessment (TABE/CASAS testing)).

3. Labor Market Information (LMI)

LMI must be used by the TAA Coordinator when assisting TAA participants in selecting appropriate occupational skills training and/or developing an IEP. 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

The provision of this service must be recorded in Employ Florida using service code T03 (TAA- Provision of Labor Market Information) and include a corresponding case note.

4. Individual Career Counseling

Individual career counseling must be provided by the TAA Coordinator following the comprehensive assessment to assist 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 an occupation of the participant's interest.
- d. Providing specific information about job duties, working conditions, and hiring requirements of occupational areas of interest.
- e. Helping a participant explore and select occupational skills training opportunities.

This service must be recorded in Employ Florida using T04 (TAA-Individual Career Counseling) and include a corresponding case note.

5. Individual Employment Plan (IEP)

The IEP is a negotiated agreement between the TAA participant and the TAA program that outlines in detail what the participant will do in return to suitable employment and what the TAA program will do to support the participants efforts. The IEP must include a clear employment goal, outline the steps necessary (objectives) to achieve the goal, disclose any barriers that may prohibit the participant from achieving the goal and the supportive services and steps necessary (objectives) to overcome any barriers.

The IEP must be 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

IEPs are created using the Employ Florida IEP/ Service Strategy wizard. The IEP must be signed by the participant and retained in the participant's file. If the

participant is going to receive TAA-funded training, the IEP must be completed prior to the date of the first date of training or waiver of training requirement.

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 concise and applicable. 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 breakdown 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. Consequential review dates should be connected to the objectives outlined within the IEP to ensure satisfactory progress.

c. Reviewing the IEP

The IEP must be treated as a living document and reviewed on a regular basis (at least every 60 days) with the participant by the TAA Coordinator. The IEP must be amended 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 accompanied by a case note and service code T05 (TAA-Individual Employment Plan (IEP)).

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 TAA Coordinator must provide individual counseling to determine suitable training, offer information on available training programs, and provide guidance on how to apply for such training.

The TAA Coordinator must provide the TAA participant information on how to apply for financial aid, which 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 (20U.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 must be recorded in EF with a case note and using service code T06 (TAA-Provision of Training Information).

7. Supportive Service Information

TAA participants must be provided with information relating to the availability of supportive services from the TAA Coordinator, which includes services related to childcare, 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 must be recorded in EF with a case note and using service code T07(TAA-Provision of Supportive Service Information).

8. Short-term Prevocational Services

Short-term prevocational services must be provided by the TAA Coordinator to help trade-affected workers attain employment or successfully participate in training, which can include providing counseling on workplace expectations, professional conduct and personal maintenance, when appropriate. Short-term prevocational skills include communication and interviewing skills, punctuality, study skills, professional conduct, and basic computer literacy and competencies.

The provision of short-term prevocational services must be recorded in EF with a case note and using service code T08 (TAA-Short-term Prevocational Services).

9. Follow-up Services

TAA Coordinators must maintain consistent communication by following up with TAA participants to ensure the successful completion of objectives in the IEP. Follow-up services include the following, 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.

The provision of follow-up services must be recorded in EF with a case note and using service code T09 (TAA-Follow-up Services).

E. State and Local Monitoring

CSTB conducts programmatic monitoring throughout the Program (PY) by our internal Program Monitors under the direction of the Special Projects Manager. CSTB establishes an Annual Quality Check Programmatic Monitoring plan that outlines the schedule for internal programmatic monitoring. We utilize the established DEO Programmatic Monitoring Tools as a baseline to conduct our reviews.

REFERENCES:

- CareerSource Florida Administrative Policy #108 Employment and Case Management Services: http://www.floridajobs.org/docs/default-source/lwdb-resources/policy-and-guidance/guidance-papers/2020-guidance-papers/adminpolicy108_taa-employment-andcasemgmtsvcs---final.pdf?sfvrsn=634a49b0_2
- Trade Adjustment Assistance Act of 1974, as amended: <https://www.dol.gov/sites/dolgov/files/ETA/tradeact/pdfs/amd2002.pdf>
- Higher Education Act of 1965 (20 U.S.C. 1087tt): <https://www.govinfo.gov/app/details/USCODE-2011-title20/USCODE-2011-title20-chap28-subchapIV-partE-sec1087tt>
- Trade Adjustment Assistance Reauthorization Act (TAARA) of 2015: <https://www.dol.gov/agencies/eta/tradeact/benefits/2015-amendments>
- TEGL 05-15 Operating Instructions for Implementing the Amendments to the Trade Act of 1974 Enacted by the TAARA of 2015: https://wdr.doleta.gov/directives/attach/TEGL/TEGL_05-15_Acc.pdf

- TEGL 15-12 Delivery of Benefits and Services to TAA Program Recipients through the American Job Center Network Delivery System:
https://wdr.doleta.gov/directives/attach/TEGL/TEGL_15_12_Acc.pdf

INQUIRIES: Any questions about this policy should be directed to the Chief Executive Officer, Chief Policy & Performance Officer, DEO Jobs & Benefits Supervisor and/or their designee.