

<b>TRAINING AND EMPLOYMENT NOTICE</b>	<b>NO.</b> 32-11
	<b>DATE</b> March 1, 2012

**TO:** STATE WORKFORCE AGENCIES  
STATE WORKFORCE ADMINISTRATORS  
STATE AND LOCAL WORKFORCE INVESTMENT BOARD CHAIRS  
and DIRECTORS  
STATE LABOR COMMISSIONERS  
STATE RAPID RESPONSE COORDINATORS

**FROM:** JANE OATES   
Assistant Secretary

**SUBJECT:** Rapid Response Self-Assessment Tool

1. **Purpose.** To announce the availability of a Rapid Response Self-Assessment Tool that allows states to examine various elements of their Rapid Response systems, assess performance, take an inventory of Rapid Response service delivery, and identify areas for self-improvement.

2. **References.**

- Workforce Investment Act (WIA) Final Rules, 20 CFR parts 665.300 – 665.320
- Training and Employment Notice (TEN) 3-10
- Training and Employment Guidance Letter (TEGL) 30-09
- Training and Employment Notice (TEN) 31-11

3. **Background.** Every worker dislocation is unique, each with different dynamics related to economies, communities, workers, and employers. The Employment and Training Administration (ETA) recognizes that state Rapid Response systems are as unique as the layoffs to which they respond, and that there is no best, single nationwide model for service delivery; instead, programs are tailored to be flexible and responsive to specific regional and local needs of workers and employers. While Rapid Response systems may differ, the process of planning for and responding to dislocations can produce consistent outcomes across impacted workers, employers, and communities.

In early 2009, when General Motors and Chrysler entered bankruptcy, Secretary of Labor Hilda L. Solis publicly expressed her goal to see all affected workers receive quality, consistent services from the workforce system. In order to promote an approach to Rapid Response consistent with the Secretary's vision, ETA launched the National Rapid Response Initiative in 2010. The Initiative has consisted of an intensive two-year plan for outreach, engagement, and collaboration between Federal, state, and local Rapid Response practitioners, as well as customers and other stakeholders. One of the primary outcomes of this collaboration was the identification of areas where additional training and technical

assistance would assist states and local areas to better respond to the needs of their communities through enhanced Rapid Response.

As part of that call for additional technical assistance, the attached Self-Assessment Tool was developed to assist states in assessing how well their efforts compare against a series of elements that may be considered fundamental or enhanced benchmarks of a Rapid Response framework. The Self-Assessment Tool is organized to allow states to examine various elements of their Rapid Response systems, assess their performance, take an inventory of how they deliver Rapid Response services, and identify areas for self-improvement.

ETA published a Rapid Response Framework in TEN 31-11. The Rapid Response Framework provides context and strategic analysis for how each of the elements in the tool may be better understood. The Rapid Response Self-Assessment aligns with this framework, providing states with a tool to examine state systems within the framework.

- 4. Developing the Rapid Response Self-Assessment Tool.** The Rapid Response Self-Assessment Tool was developed by Federal, state and local workforce representatives through a process facilitated by ETA. The Self-Assessment Tool provides a structure for State Workforce Agency leaders to have focused statewide discussions with Rapid Response practitioners and partners. It is designed to focus attention on the Workforce Investment Act of 1998 (WIA) requirements for Rapid Response and associated fundamental practices, as well as on how to provide enhanced, high quality services to workers, employers and communities. It helps state leadership and Rapid Response teams identify areas where improvement is needed and highlights areas of high performance worthy of sharing with the workforce system.

ETA encourages State Workforce Agency leaders to use the Self-Assessment Tool by engaging state administrators, program directors, and Rapid Response practitioners to discuss the state Rapid Response system and share experiences in order to capture an informed assessment of how Rapid Response delivery effectively works or could be improved in your state.

The Self-Assessment Tool is a voluntary opportunity for states to self-evaluate their Rapid Response system and use of Rapid Response funds. It is not a mandatory review, and there is no requirement that states complete or share the results from the Self-Assessment Tool. The Self-Assessment Tool is flexible and states can customize it to respond to unique state needs. States can use the Self-Assessment Tool to develop an understanding of state strengths and weaknesses; to provide guidance and training to Rapid Response practitioners; to identify and cultivate partnerships, ideas, and conversations; and to discuss state needs for technical assistance from ETA. The results of such actions could improve a state's ability to respond to the needs of each unique dislocation event and the workers affected. ETA strongly encourages states to discuss the outputs and knowledge gained by using the Self-Assessment Tool among state agencies, between regional and peer states, and with the appropriate ETA Regional Office.

- 5. Organization of the Self-Assessment Tool.** The Self-Assessment Tool is organized into ten elements, and it is designed to allow states to assess how well they execute these elements and to create their own improvement plan. The Self-Assessment Tool organizes these



elements within three cross-cutting headers: Planning and Preparation; Providing Customized, Collaborative Solutions, and Consistent, Quality Results; and Ensuring Comprehensive Reemployment Solutions.

### Planning and Preparation

Elements 1 through 5 of the Self-Assessment Tool involve activities that establish a Rapid Response infrastructure. Given the dynamic context within which Rapid Response works, and that quick and decisive action is often needed for early intervention, it is essential that states be positioned to respond. This section of the Self-Assessment Tool is designed to examine whether a statewide Rapid Response unit is in place, and that it is organized to plan and deliver services that enable dislocated workers to transition into new employment as quickly as possible.

#### *Element 1: Establishing a Rapid Response Infrastructure*

This element captures the fundamentals of establishing and funding a Rapid Response system and provides a general overview of Rapid Response administration and organization from the top down.

#### *Element 2: Building and Maintaining Relationships with Stakeholders*

This element captures the building of dynamic relationships between stakeholders and system partners. It is a process that seeks to identify the critical connections that have been made and what actions occur that are active on an ongoing basis and contribute to strategic planning.

#### *Element 3: Documenting Policies and Procedures*

This element captures how states provide effective, long-term solutions through established policies and procedures, including plans for staff training, provision of pre-layoff services, and contingency plans for when major dislocations occur.

#### *Element 4: Gathering Intelligence*

This element captures how data collection occurs and continually moves forward and how state systems are aligned to produce and disseminate good intelligence.

#### *Element 5: Promoting the Effectiveness of Rapid Response Services*

This element captures how states have developed relationships with employers, and how they communicate what is available through the workforce system to best assist their workers.

### Providing Customized, Collaborative Solutions and Consistent, Quality Results

Elements 6 through 8 are designed to examine and assess performance related to the collaborations that are necessary to assess potential dislocations prior to the event; gather and analyze information on impacted workers; provide customized and consistent solutions and services to employers, workers and the community; and to ensure strong connections to One-Stop Career Centers. These elements are process-oriented and involve rapid, time-sensitive exchanges of information that could lead to critical strategic decisions.

#### *Element 6: Assessing Potential Dislocations*

This element captures how the Rapid Response system assesses potential layoffs and develops an intervention plan prior to responding to a dislocation event in order to ensure that each Rapid Response event is timely, comprehensive, and accessible.

*Element 7: Collecting and Analyzing Worker Survey Data*

This element captures how data is collected that will help understand the needs of the impacted workers, as well as how the data is used to speed up reemployment.

*Element 8: Providing Information, Solutions, and Services to Employers, Workers, and the Community*

This element captures how information is delivered so that it is heard, understood, and inspires a response; and how employers and impacted workers are connected with service providers, trainers, and other stakeholders to begin the reemployment process.

Ensuring Comprehensive Reemployment Solutions

Elements 9 and 10 are designed to focus on how local boards, One-Stop Career Center leaders, community and economic development entities, and employers are engaged with Rapid Response events in order to align strategies and resources.

*Element 9: Connecting Affected Workers to the Workforce System and One-Stop Career Centers*

This element captures how the connection to the workforce system is made during the Rapid Response meeting, in order to ensure that workers' transition to One-Stop Career Center services is smooth.

*Element 10: Providing Services to Employers*

This element captures how Rapid Response serves employers.

6. **Completing the Self-Assessment Tool.** The Self-Assessment Tool has a column of benchmarks representing "Fundamental" operations and a column of benchmarks representing "Enhanced" operations; within each benchmark section individual indicators are included. The "Fundamental" performance levels are a combination of statutory and regulatory requirements. The "Enhanced" performance levels are a combination of effective practices observed by Federal and state monitors. These indicators are not all-inclusive, and practices that do not appear may be added by states to more accurately represent their customized program delivery system.

A rating scale is located between the benchmark columns. States should compare each benchmark to their existing operations and agree on a rating of 1 to 4.

- If current operations do not have the capacity to meet the benchmark, the benchmark the rating is 1.
- If all components of the benchmark are met on a basic level, the rating is 2,
- A rating of 3 indicates that all components of the benchmark have been met, and the state has built the level of capacity so that the delivery of the benchmark goes beyond the basic level.
- If all components of the benchmark are delivered at full capacity, and there is evidence that the enhancements have had positive results in the delivery of services to dislocated workers, employers, and/or other stakeholders, then the rating is 4.

States are encouraged to provide comments on their selected ratings in the comments section of the Self-Assessment Tool. Helpful comments may include descriptions of how each benchmark is achieved in a particular state or local area, explanations of how ratings were

determined at each level, and discussions of how a benchmark not currently in place can be adopted for use in the state. Additionally, comments provided at the time of completing the Self-Assessment Tool on system strengths and areas of improvement could aid in future discussions of best practices and requests for technical assistance, training, and capacity-building funds.

7. **Incorporating the Results.** Due to the economic conditions of the past few years, many states have had extensive experience in providing Rapid Response without necessarily having the time and opportunity to reflect on the lessons learned. This Self-Assessment Tool provides opportunity to document, reflect and share lessons learned, as well as to thoughtfully consider strategies for moving forward as new economic realities emerge. A completed Self-Assessment Tool provides a point-in-time snapshot, which allows for future assessments and identification of strategies to continue to improve states' Rapid Response systems.
8. **Inquiries.** Any questions about the Self-Assessment Tool, or requests for technical assistance, should be addressed to the appropriate ETA Regional Office.
9. **Attachment.** Rapid Response Self-Assessment Tool.



# ELEMENT 1: Establishing a Rapid Response (RR) Infrastructure

FUNDAMENTAL Benchmarks	Rating	ENHANCED Benchmarks	COMMENTS								
<b>(A) STATE RAPID RESPONSE (RR) TEAM IS IN PLACE</b>											
<ul style="list-style-type: none"> <li>The state has a RR dislocated worker unit that carries out statewide rapid response activities</li> <li>The state's RR activities are carried out in every local area with local boards and elected officials</li> <li>Designated RR team members include or represent UI, One-Stop services, Wagner-Peyser/UI reemployment, TAA, TRA, and other support services and benefits</li> </ul>	<table border="1" style="width: 100%;"> <tr> <td style="width: 25px; height: 25px;"></td> <td style="width: 25px; height: 25px;"></td> <td style="width: 25px; height: 25px;"></td> <td style="width: 25px; height: 25px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>Representatives from organized labor, employer organizations, and other first-responder agencies are included in the RR structure</li> <li>Additional stakeholders have been identified and are regularly included as part of the team, depending on local needs, such as representatives of downsizing or growing industries, special interest or advocacy groups</li> </ul>	
1	2	3	4								
<b>(B) STATE PROCESS AND ROLES ARE ESTABLISHED</b>											
<ul style="list-style-type: none"> <li>The state has issued policy guidance establishing the state's process requirements for conducting RR activities</li> <li>Roles and responsibilities of RR team members, state and local agencies, and other service providers are clearly understood</li> </ul>	<table border="1" style="width: 100%;"> <tr> <td style="width: 25px; height: 25px;"></td> <td style="width: 25px; height: 25px;"></td> <td style="width: 25px; height: 25px;"></td> <td style="width: 25px; height: 25px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>Up to date roles and responsibilities of participating state and local agencies are clearly identified and stated in Memoranda of Understanding (MOUs) when applicable</li> </ul>	
1	2	3	4								
<b>(C) WARN NOTIFICATION SYSTEM IS READY</b>											
<ul style="list-style-type: none"> <li>A WARN notification and processing system is in place; notices are communicated among coordinating partners</li> </ul>	<table border="1" style="width: 100%;"> <tr> <td style="width: 25px; height: 25px;"></td> <td style="width: 25px; height: 25px;"></td> <td style="width: 25px; height: 25px;"></td> <td style="width: 25px; height: 25px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>The state has its own WARN requirements that drill down to smaller employers smaller than the federal law requires</li> </ul>	
1	2	3	4								
<b>(D) RR FUNDING MECHANISMS IS COMMITTED AND READY</b>											
<ul style="list-style-type: none"> <li>A funding mechanism is established that commits specific state and/or local funds to support RR activities</li> <li>Ensures all required and other necessary and allowable activities are supported with RR funding</li> </ul>	<table border="1" style="width: 100%;"> <tr> <td style="width: 25px; height: 25px;"></td> <td style="width: 25px; height: 25px;"></td> <td style="width: 25px; height: 25px;"></td> <td style="width: 25px; height: 25px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>The state has sub-grants with labor and/or employer organizations to assist in planning and providing services to workers and employers</li> </ul>	
1	2	3	4								
STRENGTHS / THREATS / ACTION STEPS / TIMELINE											

## Planning and Preparation

Ratings Key: 1 = Needs Improvement, 2 = Meets Benchmark  
 3 = Meets benchmark + Enhancements  
 4 = Meets Benchmark + Enhancements Have Proven Effective

## ELEMENT 2: Building and Maintaining Relationships with Stakeholders

FUNDAMENTAL Benchmarks	Rating	ENHANCED Benchmarks	COMMENTS								
(A) STAKEHOLDER RELATIONSHIPS ARE IN PLACE AND BEING CULTIVATED											
<ul style="list-style-type: none"> <li>RR team members make connections with critical stakeholders for standard size dislocation events as well for disasters, mass layoffs, plant closings, or other events that substantially increase the number of unemployed workers</li> </ul>	<table border="1" style="margin: auto; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>RR team members continue to proactively network, identify, and recruit additional stakeholders to participate throughout the life cycle of dislocation events</li> </ul>	
1	2	3	4								
(B) RR PARTNERSHIPS ARE ESTABLISHED AND ACTIVE											
<ul style="list-style-type: none"> <li>RR team members develop and maintain mutually beneficial partnerships with:                             <ul style="list-style-type: none"> <li>state, regional, and local workforce and economic development agencies and stakeholder groups</li> <li>training institutions and service providers</li> <li>One-Stop career centers and employment agencies</li> <li>community leaders and community organizations</li> <li>registered apprenticeship programs</li> </ul> </li> </ul>	<table border="1" style="margin: auto; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>RR team members routinely meet with employers and develop relationships in order to earn their trust and ensure they understand the full range of RR services offered</li> <li>RR team members actively maintain mutually beneficial partnerships with Business Service Team members</li> <li>There is an organized system to quickly alert all RR team members and stakeholders of news, impending needs, and/or action items</li> </ul>	
1	2	3	4								
STRENGTHS / THREATS / ACTION STEPS / TIMELINE											

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# ELEMENT 3: Documenting Policies and Procedures

FUNDAMENTAL Benchmarks	Rating	ENHANCED Benchmarks	COMMENTS								
<b>(A) STAFF TRAINING AND SUCCESS MEASURES ARE ESTABLISHED</b>											
<ul style="list-style-type: none"> <li>The state provides ongoing capacity building and training for state (and regional, if applicable) and local staff</li> </ul>	<table border="1" style="width: 100%; height: 30px;"> <tr> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>The state procedures identify measurable standards of success, with a feedback mechanism for improving RR services</li> </ul>	
1	2	3	4								
<b>(B) PRE-LAYOFF PROCEDURES ARE ESTABLISHED</b>											
<ul style="list-style-type: none"> <li>The state has established procedures for coordinating responses to layoffs before the layoff occurs and workers disperse</li> </ul>	<table border="1" style="width: 100%; height: 30px;"> <tr> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>The state has conducted an emergency preparedness assessment of RR capacity and has developed a contingency plan to respond to a dislocation of unusual impact or size</li> </ul>	
1	2	3	4								
<b>(C) POLICIES AND CONTINGENCY PLANS ARE COMPREHENSIVE AND DETAILED</b>											
<ul style="list-style-type: none"> <li>The state has developed and implemented RR policies and procedures that establish:                             <ul style="list-style-type: none"> <li>A well coordinated and joint effort by the RR teams in the state and local workforce areas</li> <li>Clearly defined roles and responsibilities for all parties</li> <li>Timelines for initiating and completing action steps and achieving key RR milestones</li> <li>A defined communication strategy between state and local staff, as well as employer, labor representatives, and other participating stakeholders</li> </ul> </li> <li>State policies and procedures include contingency plans for layoffs exceeding normal capacity</li> <li>Fiscal matters are in order, and procurement and contracting procedures allow for timely access to needed resources</li> </ul>	<table border="1" style="width: 100%; height: 30px;"> <tr> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>The state's contingency planning for dislocations exceeding normal capacity includes specific provisions for:                             <ul style="list-style-type: none"> <li>Cross-training of staff</li> <li>Additional facilities</li> <li>Backup assistance in processing large numbers of UI claims</li> <li>Additional provision of case management and other RR services</li> <li>Emergency procurement policies</li> </ul> </li> <li>The state has contingency plans or policies for dislocations that may warrant an RR event, even if it is smaller than what is required by policy</li> <li>State procedures reflect the statutory requirement to deliver RR services to workers covered by every petition for TAA that is filed, regardless of the size of the layoff</li> </ul>	
1	2	3	4								
<p>STRENGTHS / THREATS / ACTION STEPS / TIMELINE</p>											

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## ELEMENT 4: Gathering Intelligence

FUNDAMENTAL Benchmarks	Rating	ENHANCED Benchmarks	COMMENTS								
<b>(A) RR COMMUNICATION NETWORK IS ACTIVE</b>											
<ul style="list-style-type: none"> <li>• An active network that includes state and local RR team members and stakeholders is maintained for:                             <ul style="list-style-type: none"> <li>○ Ongoing communication and consultation</li> <li>○ Gathering and sharing field intelligence about potential dislocations or new business development</li> <li>○ Strategic planning for state RR capacity and activities</li> </ul> </li> </ul>	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>• An active network that includes state and local RR team members and stakeholders is maintained for:                             <ul style="list-style-type: none"> <li>○ Continuous scanning of economic and market trends for signs that may require layoff aversion tactics, or for signs of new business development</li> <li>○ Gathering and sharing field intelligence about potential dislocations before a WARN notice is issued</li> </ul> </li> </ul>	
1	2	3	4								
<b>(B) INTELLIGENCE-GATHERING IS MULTI-SOURCED AND ROBUST</b>											
<ul style="list-style-type: none"> <li>• The RR team members have a good understanding of national and regional economic trends, current labor market information, employer and worker needs, and regional assets and resources, including available training</li> <li>• The RR team members gather intelligence through a variety of sources, including published media, individuals in the workforce and economic development system, or job seekers and employers</li> <li>• RR team members actively maintain mutually beneficial partnerships with Labor Market Information state agencies or staff</li> </ul>	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>• RR team members actively maintain mutually beneficial partnerships with industry and employer groups, economists, and other knowledgeable sources</li> </ul>	
1	2	3	4								
STRENGTHS / THREATS / ACTION STEPS / TIMELINE											

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## ELEMENT 5: Promoting the Effectiveness of Rapid Response Services to Employers

FUNDAMENTAL Benchmarks	Rating	ENHANCED Benchmarks	COMMENTS								
(A) PROMOTION EFFORTS ARE COMPREHENSIVE AND EFFECTIVE											
<ul style="list-style-type: none"> <li>RR team members use innovative and effective strategies to promote the effectiveness of RR to employers by providing information about statutory requirements (such as WARN) as well as information tailored to employers' needs</li> </ul>	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>RR team members use tools and technology to promote and enhance the effectiveness of RR services such as though the use of web sites, brochures (in other languages where relevant), PSAs, job fairs, and/or public presentations</li> </ul>	
1	2	3	4								
(B) RR TEAM-EMPLOYER RELATIONSHIPS ARE ESTABLISHED AND MEDIATED											
<ul style="list-style-type: none"> <li>The state designates state and/or local RR staff as points of contact for employers, and assigns them responsibility for building and maintaining dynamic relationships</li> </ul>	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>The state has effective relationships with employers through an integrated partnership of RR team and Business Service Team members</li> </ul>	
1	2	3	4								
STRENGTHS / THREATS / ACTION STEPS / TIMELINE											

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## ELEMENT 6: Assessing Potential Dislocations

FUNDAMENTAL Benchmarks	Rating	ENHANCED Benchmarks	COMMENTS								
<b>(A) RR IS IMMEDIATE AND COMPREHENSIVE</b>											
<ul style="list-style-type: none"> <li>• RR team members make immediate contact and work with employers, representatives of affected workers, and the local community to:                             <ul style="list-style-type: none"> <li>○ Gain information on employer layoff plans and schedule</li> <li>○ Obtain a list of affected workers</li> <li>○ Determine if potential layoff is trade-impacted and, if appropriate, begin the trade petition process</li> <li>○ Determine the viability of various layoff aversion options</li> <li>○ Identify special needs requirements and provide accommodations, such as language interpretation or handouts, hearing-impaired services, services for people with disabilities</li> <li>○ Provide guidance and/or financial assistance in establishing a Labor Management Committee or a workforce transition committee</li> <li>○ Establish linkages between firms that are reducing their workforce and firms that are expanding their workforce</li> </ul> </li> </ul>	<table border="1" style="width: 100%; height: 40px;"> <tr> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>• RR team members provide ongoing information on layoff aversion options such as:                             <ul style="list-style-type: none"> <li>○ WIA-funded incumbent worker training</li> <li>○ Employer loan programs for employee skill upgrading</li> <li>○ State layoff aversion policy</li> <li>○ Alternative business ownership options</li> <li>○ Shared work programs</li> <li>○ Pre-feasibility studies</li> <li>○ Employee Shared Ownership Plan (ESOP)</li> <li>○ TAA for firms</li> </ul> </li> </ul>	
1	2	3	4								
<b>(B) RR EVENT SITES ARE ACCESSIBLE</b>											
<ul style="list-style-type: none"> <li>• The RR event is provided onsite at the employer's location or, if the employer does not provide the space, at the union hall or other nearby facility at a time that allows each work shift to attend</li> </ul>	<table border="1" style="width: 100%; height: 40px;"> <tr> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>• For remote areas, the state uses mobile units, and/or remote meeting technology to enable direct communication between the state office, One-Stop centers, employers, and workers</li> </ul>	
1	2	3	4								
<ul style="list-style-type: none"> <li>• Employers, workers, labor organizations, dislocated worker service providers, One-Stop center representatives, Unemployment Insurance, TAA and TRA representatives, and RR coordinators participate in the RR event</li> <li>• Bankers, financial advisors, drivers' license staff, interpreters, DOL Benefits and Security Administrations, and other relevant resources participate</li> </ul>	<table border="1" style="width: 100%; height: 40px;"> <tr> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>• RR team members link employers with Federal, state, and local agencies that finance economic development activities, business loans, and business retention programs</li> <li>• RR team members work with employers and other stakeholders determine the extent to which suppliers and other second- and third-tier employers might be affected in order to plan for any additional layoffs</li> </ul>	
1	2	3	4								
<p>STRENGTHS / THREATS / ACTION STEPS / TIMELINE</p>											

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## ELEMENT 7: Collecting and Analyzing Worker Survey Data

FUNDAMENTAL Benchmarks	Rating	ENHANCED Benchmarks	COMMENTS								
<b>(A) RR WORKER SURVEY IS IN PLACE</b>											
<ul style="list-style-type: none"> <li>• The RR team has a survey that collects, at the first RR session, each worker’s contact information, demographic data, work history, skills sets, educational level, short- and long-term goals, and training needs</li> <li>• The state tabulates and evaluates survey data to review the service strategies and assess the capacity of local resources to carry them out</li> </ul>	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>• The RR team uses a machine-readable survey instrument or other technology that enables immediate compilation of survey results</li> </ul>	
1	2	3	4								
<b>(B) DATA ANALYSIS LEADS TO INSIGHT AND ACTION</b>											
<ul style="list-style-type: none"> <li>• The survey results are used to:                             <ul style="list-style-type: none"> <li>○ Assess the extent to which the skills of affected workers match the skill needs of growing occupations in the local area</li> <li>○ Estimate the number of workers needing training and other services, and the cost of providing those services</li> <li>○ Support the preparation of fully documented applications for NEG funding, when applicable</li> <li>○ Assist case management staff in performing initial WIA individual assessments</li> </ul> </li> </ul>	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>• The survey results are used to:                             <ul style="list-style-type: none"> <li>○ Produce a systematic array of worker skill sets for economic development agencies and employer organizations to match workers to available jobs</li> <li>○ Prepare a labor market impact analysis that maps current commuting patterns for affected workers and the employment prospects within that commuting range</li> </ul> </li> <li>• The state or local area uses available tools to calculate the secondary impact of the layoff event on the regional economy in terms of the number of other workers and occupations likely to be affected, personal income and government tax losses, and other impacts</li> <li>• States addressing layoffs with statewide industry impact have NEGs approved and funded to provide services to affected workers on a statewide basis</li> </ul>	
1	2	3	4								
<p>STRENGTHS / THREATS / ACTION STEPS / TIMELINE</p>											

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# ELEMENT 8: Providing Information, Solutions, and Services to Employers, Workers, and the Community

FUNDAMENTAL Benchmarks	Rating	ENHANCED Benchmarks	COMMENTS								
<b>(A) COMMUNICATION AND INTERFACE WITH WORKERS IS CLEAR AND ORDERLY</b>											
<ul style="list-style-type: none"> <li>• The RR team provides affected workers with an information packet on available services and benefits, general eligibility criteria, and contact information for relevant service agencies</li> <li>• Affected workers complete the surveys and return them immediately</li> <li>• RR team members clearly explain services and benefits and are knowledgeable about:                             <ul style="list-style-type: none"> <li>○ Filing a UI claim</li> <li>○ Trade Adjustment Assistance (TAA), including Trade Readjustment Allowances (TRA), if applicable</li> <li>○ COBRA and other health insurance coverage/tax credits</li> <li>○ Labor market information and employment opportunities</li> <li>○ Reemployment services</li> <li>○ Job training opportunities</li> <li>○ Severance and retirement pay issues</li> </ul> </li> </ul>	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>• The state uses a survey used by several states with questions individualized for each state as well as common questions across states, allowing for regional analysis</li> <li>• Staff and equipment are available at or near the RR meeting site for workers to immediately file UI claims and applications for other services</li> <li>• Case managers for WIA or TAA are available to assist affected workers at or near the RR meeting site</li> </ul>	
1	2	3	4								
<b>(B) SOCIAL SERVICE NEEDS ARE ADDRESSED</b>											
<ul style="list-style-type: none"> <li>• Information from social service and other agencies is made available during the RR event to assist with health insurance, financial management, child care, mental health, housing, or legal issues</li> </ul>	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>• Representatives from social services and other agencies are present during the RR event to assist with health insurance, financial management, child care, mental health, housing, or legal issues</li> </ul>	
1	2	3	4								
<b>(C) TRANSITION TO WORKFORCE SYSTEM IS IN PLACE</b>											
<ul style="list-style-type: none"> <li>• The RR team encourages affected workers to identify their “next step” and are assisted in making appointments or other arrangements for doing so</li> </ul>	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4		
1	2	3	4								
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# ELEMENT 9: Connecting Affected Workers to the Workforce System and One-Stop Career Centers

FUNDAMENTAL Benchmarks	Rating	ENHANCED Benchmarks	COMMENTS								
<b>(A) ONE-STOP STAFF ACTIVELY PARTICIPATE</b>											
<ul style="list-style-type: none"> <li>Local One-Stop staff participate in the RR event and explain available services</li> </ul>	<table border="1" style="width: 100px; height: 30px;"> <tr> <td style="width: 25px;"> </td> <td style="width: 25px;"> </td> <td style="width: 25px;"> </td> <td style="width: 25px;"> </td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4		
1	2	3	4								
<b>(B) ONE-STOP STAFF ARE PREPARED AND ACCESSIBLE</b>											
<ul style="list-style-type: none"> <li>One-Stop centers are adequately staffed and prepared to handle the surge in applicants due to large dislocations</li> </ul>	<table border="1" style="width: 100px; height: 30px;"> <tr> <td style="width: 25px;"> </td> <td style="width: 25px;"> </td> <td style="width: 25px;"> </td> <td style="width: 25px;"> </td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>A transition center or One-Stop satellite office is established at or near the employer site or union hall, or mobile units are used to maintain a continuing presence at the employer site</li> <li>The transition center is staffed to provide access to the full range of workforce services available from all workforce partners</li> <li>The transition center is open during the times when workers begin and end their shifts, for ease of access</li> </ul>	
1	2	3	4								
<b>(C) ONE-STOP SERVICES AND REFERRALS ARE CUSTOMIZED AND COMPREHENSIVE</b>											
<ul style="list-style-type: none"> <li>One-Stop staff members prepare individual worker service and training strategies, based on worker survey results and other worker information</li> <li>One-Stop centers provide the following services to affected workers:                             <ul style="list-style-type: none"> <li>WIA and TAA eligibility determination,</li> <li>Case management</li> <li>Skills assessment</li> <li>Resume writing and interview techniques</li> <li>Labor market information</li> <li>Job fairs and other job matching services</li> <li>Marketing workers to area employers</li> <li>Occupational training</li> <li>Other One-Stop services as needed</li> </ul> </li> </ul>		<ul style="list-style-type: none"> <li>Peer counselors, who are more likely to gain the trust of their co-workers, assist them in navigating through the social services network</li> </ul>									
STRENGTHS / THREATS / ACTION STEPS / TIMELINE											

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## ELEMENT 10: Providing Services to Employers

FUNDAMENTAL Benchmarks	Rating	ENHANCED Benchmarks	COMMENTS								
<b>(A) RR TEAM WORKS CLOSELY WITH EMPLOYERS</b>											
<ul style="list-style-type: none"> <li>The RR team members provide the employer with an information packet tailored to the employer's needs</li> <li>The RR team links the employer with federal, state, and local agencies to assist with RR efforts that occur across state lines, or with national layoffs in which the employer is headquartered in the state</li> <li>The RR team links the employer with federal, state and local agencies that finance economic development activities, business loans, and business retention programs</li> </ul>	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>The state has an early warning system in place to identify and assist employers in declining industries before a WARN is announced, and initiates contact with potentially affected employers</li> </ul>	
1	2	3	4								
<b>(B) LAYOFF AVERSION STRATEGIES ARE PURSUED AND PROMOTED</b>											
<ul style="list-style-type: none"> <li>RR team members discuss layoff aversion strategies with employers, and reaches out to include layoff aversion strategies with secondary and/or tertiary layoffs, if identified</li> </ul>	<table border="1" style="margin: auto;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> </table>					1	2	3	4	<ul style="list-style-type: none"> <li>There is an ongoing effort to provide employers with information on layoff aversion options</li> </ul>	
1	2	3	4								
<p>STRENGTHS / THREATS / ACTION STEPS / TIMELINE</p>											

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