

APPENDIX D
PROTOCOLS FOR PROCESS ANALYSIS SITE VISITS

STATE PROTOCOL

Instructions to the site visitor are italicized. Shaded cells in tables indicate that information will be provided to the site visitor by the research team from administrative data we will have on hand; i.e., these are NOT data collection items, but, rather, the information is provided for the site visitor's own information. Cross-hatched cells indicate that data are not applicable or available.

Site Visit Goals. *This site visit has two general goals: 1) provide a general understanding of how the program currently operates and 2) impart knowledge of the program as it affects TAA participants during the intake period of the impact study (April 2004-March 2005). We will visit the states during the last quarter of the intake period, or shortly thereafter, so we can expect that information about program operations will be pertinent to the impact-study period. Regardless of timing of the site visits, site visitors should advise each respondent at the beginning of the interview to note any changes that may have occurred earlier in the intake period (or since the intake period ended). The protocol contains a number of key questions (highlighted in the protocol) pertaining to any differences between the current state and that which pertained during the intake period. If differences occur for these or other issues, be sure to follow up.*

Tabular Material *in this protocol has two uses. First, tables with shaded cells are intended to be filled in by the research team from administrative data we will have on hand; these informational tables are intended for the field researcher's own information and are NOT data collection items. Second, other (non-shaded) tables or cells represent quantitative or qualitative information that should be obtained on site. Responses can be entered either in the tables themselves (for questions requiring very short answers) or in the field researcher's notebook (for questions requiring longer answers); the tables are provided as a tool to the field researchers in ensuring specificity and completeness.*

Previously Visited Sites. *For states we visited during the Initial Implementation Study, some of the questions may only require the site visitor to check for any updates.*

Time Period. *Unless otherwise indicated, the relevant time period for most questions is the current program state, or the most recent period for which respondents have current information. For the most part, that is likely to be FY 04.*

Required Respondents

1. TAA Coordinator
2. TAA Data/Reporting Staff
3. TAA Finance Staff
4. TRA Coordinator
5. ES Director or Operations Manager
6. ES or UI Reemployment Services Manager
7. Rapid Response Team Leader
8. WIA Director or Dislocated Worker Program Official

Respondents if both time and respondent available:

9. Union official
10. Employer affected by trade dislocation

Observations if available:

11. Rapid response event

I. UNDERSTANDING THE TAA CONTEXT

Much information in this section should be obtained before going on site. For the states visited during the implementation study, information should be available in the write-up. Thus, site visitors need only check for updates. For new states, some information should be obtained during the telephone interviews to set up the site visit.

A. GENERAL ECONOMIC/LABOR MARKET BACKGROUND

- Provide a brief description of the state in terms of geography (urban/rural), economy (key industries), other special characteristics.
- Describe the types of impacts that trade has on the state economy and labor market:
 - Types of manufacturing industries (check for any agricultural products affected by trade or oil and natural gas exploration and drilling if affected). Discuss primary/secondary, size, industrial classification.
 - Workers impacted (discuss jobs, skill levels, characteristics)
 - Regions and communities (impacts on local economy)
 - How important are these trade-impacted industries and areas and their workers to the state's overall economy?
- Describe labor market conditions affecting employment prospects of TAA participants and non-trade-affected dislocated manufacturing employees?
 - What are the principal growth or emerging industries?
 - What are the key demand occupations
 - Are there any significant changes in economic or labor market conditions since the intake period?

B. FEDERAL CONTEXT: POLICY AND OVERSIGHT

1. Current Policy and Oversight

- What types of guidance, in addition to formal directives, do you receive from USDOL?

- Do you request any interpretation of the statute, regulations, or directives (for example, TEGs or UIPLs from the national or regional USDOL offices?)
- Describe the role that the regional office trade coordinator plays in conveying federal policy.
- Does the regional office play any monitoring or other oversight role?
- What training has been provided regarding program regulations, goals, or objectives?
- Describe the clarity of guidance and training. Are they viewed as adequate?

2. Legislative or Other Policy Changes

- What legislative and/or regulatory changes might improve the TAA or TRA programs?
- Describe any expected impact of WIA reauthorization on the TAA program.

C. STATE TAA/TRA STRUCTURE

1. Organizational Structure and State Policies

- Describe the different agencies and departments (WIA, UI, ES, others) concerned with TAA/TRA,
 - State administration (get org chart if available).
 - How the program is delivered at the local level?
 - Get a list of the local offices or areas with the number of petitions and TAA participants in each, including contact information.
- Does the state have an overall vision or philosophy regarding TAA services? If so, describe. How does this vision compare to its vision for WIA dislocated worker services?
 - Is it expected that most customers will receive training?
 - Are there any processes or requirements that attempt to ensure that only those who need training receive it? If so, describe.

- Describe the extent to which the state altered its basic approach to administering TAA in response to the 2002 amendments and the consequences of that change.
- Compare the level of state versus local control in:
 - Program design (for example, types of training allowed, assessments required, etc)
 - Training decision-making (who makes the effective decision to approve a training plan)?
- How much difference is there across regions or local areas within the state in how the TAA/TRA programs are administered, or in how services are delivered?
 - What drives these differences?
- What training, technical assistance, or other support does the state provide to local staff in the administration of the program?
- Have there been significant changes in how the TAA or TRA programs are administered or operated within the state since the intake period? If so, why?

2. Staffing

- How many staff serve TAA/TRA participants? Estimates by FTE are preferable. Otherwise, approximate estimates of number of staff are acceptable.

Staff charging:	#/FTEs	Responsibilities
TAA/TRA		
Wagner-Peyser		
WIA		
Other programs		

3. TAA in the One-Stop System

a) One-Stop Background

- What are the key challenges in the state's One-Stop system (for example, level of service integration, branding, infrastructure, funding, One-Stop operating system, etc).
- How do the workforce programs coordinate (e.g. state WIB, governor's task force, super agency, comprehensive state policy board)
- How does the One-Stop design and implementation affect TAA services?

b) TAA Coordination with Other One-Stop Programs

These questions focus on organizational coordination between programs. Specific services will be discussed below.

- At the state level, how does the TAA program operate in conjunction with other One-Stop system programs? In what agency is TAA housed at the state and local level?
- How are TAA staff involved in policy or budget discussions with their counterparts from other programs regarding potential effects on TAA (consider WIA, Wagner-Peyser, UI, adult education, vocational rehabilitation, or other)?
- Can you characterize generally the extent and nature of local partnerships (including One-Stop cost-sharing arrangements) for areas with significant TAA activity (consider WIA, Wagner-Peyser, UI, adult education, vocational rehabilitation, or other)?
 - How do local partnerships influence the TAA program?
 - What are obstacles to effective partnerships involving TAA?
- What percentage of local TAA customers are co-enrolled in the One-Stop programs?

% TAA co-enrolled in:	State %
WIA	
Adult education	
ES	
Vocational rehabilitation	

% TAA co-enrolled in:	State %

- What factors affect the rate of co-enrollment? Why don't TAA participants co-enroll?
- **Has the overall level of coordination with other One-Stop programs changed since the intake period began?**

c) TRA in the UI System

How TAA participants apply for and receive TRA and connections to reemployment services are discussed in Sections III.

- Are all UI initial claims taken remotely or can an individual file at a local office or One-Stop center?
 - If entirely remote, have there been any adverse effects on the ability of manufacturing workers to file an initial claim?
- Benefit structure for UI and TRA

	TAA/TRA participants	Avg for separated mfg claimants
Max weekly benefit		
Avg weekly benefit		
Avg claim duration		
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information. Cross-hatched cells are not applicable.</i>		

- Describe the operation of TRA in the context of the UI system.
 - How are staff deployed to assist TRA customers?
 - Are TRA appeals/adjudications handled through the UI adjudication system? Is the process the same?

d) Rapid Response: Background

- How is rapid response organized?
 - What are state and local responsibilities?

- Who serves on a typical rapid response team?
- What is the role for TAA staff?
- How do you learn about potential plant closings or other potential trade-related dislocations?
 - Do you identify in advance whether a firm may be trade-affected when planning rapid response?
- Besides dislocations that trigger WARN notices, what other criteria (size, local impact, etc) are used to determine whether the state will conduct a rapid response?
- How speedily does rapid response occur?
- What is the number of Rapid Response deployments in FY 04? Of these, how many were potentially trade related?

e) Rapid Response and Early Intervention Services

- Describe the types of services provided during rapid response and the typical period in which they are delivered.
 - Do rapid response services vary by type and size of dislocation?
 - Does rapid response for trade-related dislocations differ materially from the response to other types of dislocations?
 - Have there been any significant changes in the delivery and receipt of rapid response services? If so, what factors caused the change?
- What are the criteria for establishing on-site adjustment centers?
 - How often are on-site centers established?
 - Are there any significant differences in access to TAA or services received in such on-site centers?
 - How do these services differ from services available to other customers at the One-Stop center?
- How much do rapid response services vary by local area or region?
- Have aversion strategies been effective in preventing or mitigating a trade-related impact?

f) Rapid Response and Coordination with TAA

- Does rapid response play a role in triggering the TAA program:

- Filing of petitions?
- Encouraging certified workers to apply for TAA and TRA?
- What evidence is there that rapid response activities eliminate the need for subsequent TAA services?
- What information do you provide to workers and others about the TAA program?
- Do you handle outreach to potentially affected workers differently if trade is suspected or known as a cause of the dislocation?
- Are services delivered early enough to facilitate worker adjustment (job search, program enrollment, intra-company transfers, retirement planning, etc.) generally, and to help workers meet the training-entry and job-finding requirements of the TAA and ATAA programs?
- Does rapid response promote good TAA outcomes and program impacts? Explain.
- Is there any change in the rapid response since the intake period that might affect the TAA program?

II. TAA ELIGIBILITY

A. FILING TAA PETITIONS FOR WORKER-GROUP ELIGIBILITY

Review the number of petitions filed in the impact-study intake period and certified compared to the national average. Any discrepancies between state and national data should inform discussions of state outreach and notification and the filing process.

	State	national
# TAA petitions filed		
# TAA petitions certified		
Petition success rate	%	%
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.</i>		

1. Outreach and Notifications

a) Primary Workers

- Describe the outreach and notification efforts of One-Stop centers, unions, CBOs, local officials, or others to encourage the filing of a petition.
- Does the state assist worker groups, unions, firms, communities, or LWIAs to file a TAA petition?
 - What is the state objective in outreach: broad awareness or encouraging specific filing?
 - How often is any assistance provided? What type of assistance?
 - Is there any difference in the types of dislocations or the potential applicants for which the state offers help?

b) Secondary Workers

Ask the respondents to explain their role in notification and filing for secondary workers and how this may differ from its outreach and notification for primary workers:

- How does the state determine whether secondary workers may be affected?
- How does the state notify workers about filing a petition?
- Does outreach to secondary workers differ from outreach to primary workers?
- How often do secondarily-affected workers file petitions? How many such petitions were filed in FY 04? FY 03?

2. Petition-Filing Process

- Describe how petitions are filed (consider who files, timing, coordination).
- Under what circumstances does the state file a petition itself? Describe the state's role in filing such petition through a specific example.
- What role does the state play in providing any information to USDOL in the petition-certification process?
- What role do unions play in the petition process?

3. Outcomes of Petition Process

- How does the state inform workers of the success for failure of a petition? For unsuccessful petitions, what does the state typically do?
- How often are petitions filed in response to “threatened separations” that never result in actual layoffs?
- How long does it take between filing and a determination by USDOL?
 - What effect does the time have on worker responsiveness to services?
 - What effect does the time have on program administration?

B. WORKER ELIGIBILITY

1. Outreach and Notifications

- Once a petition is certified, how are covered workers notified of their eligibility for TAA/TRA benefits?
 - How does the state obtain lists of names and contact information for these workers? Do the number of workers on these lists match the number of workers certified in the petitions?
 - Are these lists complete? Are they updated with new waves of layoffs?
 - What methods are used in notifying workers? (mailing or phone banks from worker lists, transition/labor-management committees, mass media, unions, CBOs, etc)
 - What information is provided during outreach? (Discuss form and content)?
 - What practices seem most effective?
 - Are there differences by industry or region?
- What percentage of workers never receive any notification? Does this vary by industry or occupation?
- Describe any TAA-specific orientations.
- What accommodations are made to notify disabled or limited-English-proficient workers?

- Has there been any significant change in the outreach, notification, or orientation processes since the intake period?

2. Worker Application and Processing Eligibility

- Describe how an individual applies for eligibility:
 - Application process (who conducts, location, documentation required from worker or firm)
 - Decision-making (any additional state criteria)
 - Notification of eligibility
 - Appeals
- How much local variability is allowed in the eligibility process and how much actually occurs?
- If a firm has gone out of business or is unresponsive in providing information about hours worked and wages, how does the state determine eligibility?
- In what areas is the eligibility process particularly effective or hard to administer?
- How has the eligibility process changed since 2002 TAA Reform Act?

3. Outcomes of the Worker Eligibility Process

	State		National	
	No.	Pct.	No.	Pct.
Workers certified				
Workers applying for TAA				
Workers enrolled in TAA				
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information. Data in cross-hatched cells are not applicable.</i>				

- What factors affect take-up rates (TAA enrollees/certified workers) overall, and among subgroups of trade-affected dislocated workers? *(Consider the effects of state procedures such as rapid response, notifications, notices in UI claims. Also consider external factors such as union or CBO participation.)*

- What are the common reasons why workers covered by certified petitions do not apply?
- What are the common reasons why workers from certified firms who do apply prove ineligible?
- What assistance/services are typically offered to workers who do not apply for TAA or to ineligible workers?
- What have been the challenges related to take up and eligibility?

III. SERVICES FOR TAA PARTICIPANTS

Sections A and B separate customers into training and non-training tracks for analytic purposes, although some customers have not made a training or non-training decision when they begin services. Throughout this section, consider services to TAA participants from non-TAA sources regardless of whether they are co-enrolled or registered in those programs.

	<u>State</u>	<u>Nation al</u>
% TAA participants in training		
% TAA participants not in training (including ATAA)		
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.</i>		

A. GENERAL

- Is it expected that most customers will receive training?
- Are there any processes or requirements that attempt to ensure that only those who really need training receive it? If so, describe.
- What distinguishes TAA customers who seek reemployment services from those who seek training?

B. REEMPLOYMENT SERVICES FOR NON-TRAINING CUSTOMERS

- What are the characteristics and occupational backgrounds of those who decide against training?
- Why do they decide against training?
- Describe the typical services that the state provides, prescribes, or recommends for customers who are not planning on training, such

as ATAA, job search/relocation recipients. For each of the services listed below, please report:

- The percentage of non-training TAA customers who receive the service
- Who provides the service (e.g., ES staff, WIA staff, self-services, etc.) and how
- Whether the service is provided in an individual or group setting
- The typical content, quality, and frequency of the service.

	% of non-trng who get it	Provider	Indiv or Group	Typical Content/quality/frequency
Assessment				
LMI				
Counseling				
Case management				
Supportive services				
Job search or placement services				

- What are the challenges in placing TAA non-training customers?
- Has there been any increase in the use of non-training services since the Reform Act?

C. SERVICES FOR CUSTOMERS IN TRAINING

1. Training Market

- Describe the adequacy of the training markets (as to numbers, variety of types, quality, etc.) in the areas of the state with significant TAA activity?
 - Is the quality of the providers sufficient to provide participants with good quality training and promote good outcomes?
 - Are all or most providers of interest to TAA customers on the state eligible training provider list? *(Questions on use of the ETPL are under Making Training Decisions below.)*

- Is there a sufficient number of providers to offer a reasonable choice?
- Are there enough training slots in occupations of interest to TAA participants to meet the demand?
- If participants use providers (including Internet) outside the local area:
 - Is it because there are insufficient local providers, personal choice, or other reason?
 - Do you provide transportation or subsistence expenses for training at distant locations?

2. Making Training Decisions

- Describe the typical ancillary services that the state prescribes or recommends to help TAA customers make training decisions. For each of the services listed below, please report:
 - The percentage of TAA training customers who receive the service
 - Who provides the service (e.g., ES staff, WIA staff, self-services, etc.) and how
 - Whether the service is provided in an individual or group setting
 - The typical content, quality, and frequency of the service.

	% of trainees who get it	Provider	Indiv or Group	Typical Content/quality/frequency
Assessment				
LMI				
Counseling				
Case management				

- Is a written training plan prepared (*get a copy of the form*)?
 - Describe its content, timing, and method of preparation.
 - Who develops these plans?
 - How is the process funded?

- How are these plans connected to a formal assessment?
- Describe the counseling process, including the extent of customer choice and how counselors deal with a poor training choice.
 - Do counselors help customers make training choices? How?
 - Are assessment results used? LMI? How?
 - Do counselors consider how likely customers are to complete training?
 - How much flexibility do customers have to choose programs that are not recommended by their counselors?
- Must customers select training vendors from the state eligible training provider list? What is the rationale for use or non-use?
- Is there is a state credential requirement (nationally-recognized, state-recognized, local)? What is the rationale?
- Are there any other state restrictions on training choices? Do local staff ever place additional restrictions?
- How does the 8/16 deadline for TRA affect training decisions (for example, do participants rush decisions, drop out)?
- Describe One-Stop services TAA participants get without co-enrollment:
- Does the current decision-making process differ in any way from the process during the intake period?

3. Approving Training Plans

- Is there any requirement that only customers who need training to obtain a job can receive it? If so, how is the need for training established?
- Describe the process by which training plans are approved.
 - What are the roles for front-line ES or WIA staff, local supervisors, and state staff?
 - What are the approval criteria? Are staff aware of the statutory criteria for approving training
 - What are the common reasons for rejecting plans?
 - How often are training plans rejected and for what reasons? If customers appeal, what are the typical outcomes?

- How often do customers change their training plans after approval? What approvals are required?
- Is there a limit or cap on the amount of training costs per participant?
 - What is the rationale for the cap?
 - Is this cap set statewide or locally determined?
 - Are there ever exceptions to this limit? For what reasons?
- Does exhaustion, or near exhaustion, of the annual allocation change the approval process (for example, change waiver process, create waiting list)?
- Does the current approval process differ in any way from the process during the intake period?

4. **Training Selection**

- What types of occupational training do customers typically select?
 - Who are the most common providers?
 - What are the most common types of programs?
 - What is the average duration of training?
- What types of remediation (basic skills) do TAA customers receive?
 - Who provides remediation?
 - What is the typical duration of remediation? What is the effect of the additional 26 weeks for remediation?
 - How does remediation affect occupational choice?
 - Do remediation participants have sufficient time for remediation and the occupational programs they want?
- Discuss the use of employer-based training (OJT or customized):
 - How often is it used? By whom? Under what circumstances is it used?
 - Why is it not used more often?
 - How has elimination of the requirement that employers retain workers for 26 weeks after the training influenced use of OJT or customized training?

	# Participants	Increase since FY 02 (Y/N)	Reasons
Customized			
OJT			

- Is there variation in types of training, use of remediation, or use of employer-based training by:
 - Region?
 - Worker group (for example, industry or occupation)?
 - Have training selections changed since the intake period?

5. Supporting Training and Post Training Job Search/Placement

- Describe the services available and used to support participants while they are in training. For each of the services listed below, please report:
 - The percentage of TAA training customers who receive the service
 - Who provides the service (e.g., WP/ES staff, WIA staff, self-services, etc.) and how
 - The typical content, quality, and frequency of the service.

	% of trainees who get it	Provider	Typical Content/quality/frequency
Case management			
Supportive services			

- What percentage of those in training receive subsistence or travel payments?
 - What is the average amount of such payments?
 - Are some requests denied? Why?

- Describe job search/placement services available and used by TAA participants once they complete training.
 - How do these services differ from what is provided to WIA trainees? From non-training TAA customers?
 - Please note any differences in job search/placement provided to training completers and non-completers. Why?
 - Consider the extent to which parties outside the workforce development system (for example, vendors, labor-management committees, unions, CBOs) play any role.
 - Are training vendors expected to provide placement assistance? How is this expectation communicated to them?
 - What roles do unions typically play in reemployment services?
 - Do CBOs or other local organizations ever play a role comparable to unions

	% of trainees who get it	Provider	Typical Content/quality/frequency
Job search or placement services			

- What are the challenges in providing job search and placement services to TAA trainees?

D. JOB SEARCH AND RELOCATION ALLOWANCES

Ask the following questions about both job search and relocation allowances:

- What percent of TAA/TRA recipients receive allowances?
 - What factors explain extent of usage (for example, notification or help in applying, lack of worker interest)?
 - Who receives allowances (for example, occupation, industry, characteristics)? Explain.
- What is the typical size of an allowance?
- Are some requests denied? Why?

- Do recipients typically go out of state or to another in-state labor market?
- Do allowances contribute to good outcomes?

E. TRA

1. Administration

- Describe the TRA notification process.
 - Is TRA notification separate from notification of TAA eligibility? If so, describe.
 - Is notification general to all UI claimants?
- Describe how customers apply for TRA benefits.
- Describe how staff determine TRA eligibility?
- What challenges does the state encounter in administering the TRA program?

2. Benefits

	State #	State %	National %
receiving basic TRA only			
receiving additional TRA			
receiving TRA for remediation			
Avg duration for all TRA			
Avg weekly benefit			

Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.

- What are the take-up rates (TRA recipients/certified workers) for TRA?
- What factors explain any changes or departures from national rates?
- What are the main reasons why customers are ineligible for TRA?
- What percentage of TRA recipients exhaust benefits before completing training?
 - Do exhaustees continue with training?
 - How do you counsel or otherwise assist exhaustees?

- How does exhaustion affect their program status in TAA?
- For recipients who are not in training, what is the work-search test and how is it applied?

3. Training waivers and extensions

- Describe the overall policy on use of waivers to address delays and other reasons.
 - What guidance does the state provide on waivers?
 - Are automatic waivers given to all participants to preserve eligibility for HCTC? If so, which type is used?
- Describe the numbers of waivers issued (by type) used and their duration:

Waiver types	# received	Avg Duration
Worker will be recalled reasonably soon;		
Worker has marketable skills for suitable employment and a reasonable expectation of employment in the foreseeable future;		
Worker is within two years of eligibility for a pension or social security;		
Worker is unable to participate in or complete training due to the health of the worker;		
Immediate enrollment is not available		
No training program is available.		
45-day extension for extenuating circumstances		

- Are customers enrolling early enough and meeting the 8/16 deadline so that they have UI/TRA to complete services, especially long-term training?
 - If not, do they receive a waiver that immediate enrollment is not available? What are the underlying reasons for such waivers? (Examples might be customer decision whether to undertake training, assessment or approval processes, program research, or vendor-related reasons such as start dates or capacity.)

- What percentage of customers miss the 8/16 and 45-day-extenuating-circumstances deadlines and did not get a waiver? What happens to these customers?
- Does waiver-receipt vary between different occupational groups or industries or across areas of the state?
- Describe the roles of front-line staff, supervisors, and state-level officials in approving training waivers:
 - Who approves waivers? How quickly? How often they are rejected? Appealed? On what basis?
 - If a waiver is rejected, describe the types of participant responses.
- How are training waivers used with the 45 day extensions for “extenuating circumstances?”
 - Who approves these extensions?
 - For what reasons?
- Do customers ever receive more than one waiver?
- How easy is it for someone to receive a waiver? To receive a second waiver?
- Are there any differences in waiver policy or usage since the intake period?

F. ATAA

1. Administration

- Describe ATAA administration. If it is separate from TAA/TRA, what was the rationale for this decision?
- Describe the program design and identify any unique features.
 - What goals does the state have for the demonstration?
 - Has the state developed guidance or training on ATAA eligibility or benefit issues, such as what constitutes full-time employment?

2. Petitions, Notification, Eligibility, and Enrollment

	State	National
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1. # of ATAA petitions		
2. # ATAA certifications		
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.</i>		

- Has the state added anything to its outreach efforts to facilitate ATAA the petition process to certification?
- How do you notify ATAA-eligible workers?
 - Do you use the same process as regular TAA or a separate process? If separate, describe method (rapid response, mail notice, UI insert, orientation meeting, etc.).
 - Describe the adequacy of the notice, especially if workers understand the program?
- Describe the customer eligibility process for ATAA, including typical reasons for why individual customers are determined ineligible.

	State	National
# workers certified for ATAA		
# workers selecting ATAA		
% workers selecting ATAA		
% of all TAA participants in ATAA		
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.</i>		

- What explains any discrepancies in take-up rate from national levels:
 - ATAA enrollees/ATAA certified?
 - ATAA enrollees/all TAA enrollees?
- If take-up for ATAA remains low, what factors explain this phenomenon (for example, easy waiver availability, notification problems, worker lack of interest, workers consider but reject)?

3. ATAA Program Services and Outcomes

	State	National
# workers receiving ATAA		
Avg. monthly benefit		
Total avg. benefit received		
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are</i>		

for the site visitor's information.

- Are workers issued a waiver to allow them to maintain eligibility for TRA benefits while searching for a full-time job? If so, what is the basis for the waiver?
- What job search assistance does the program provide to ATAA job seekers?
- Do ATAA recipients also use the job search/relocation allowances or HCTC?
- Why do ATAA customers elect this program?
 - Have they also considered regular TAA/TRA?
- What types of jobs do ATAA participants take?
 - Do many workers find jobs with salaries above the maximum allowed (\$50,000/year)?
- How many weeks after separation does it take for a TAA participant to find an-ATAA qualified job?
 - How does this compare to other job seekers?
 - Do many workers have difficulty finding employment by the 26-week deadline?
- What challenges are there to ATAA implementation?

G. HCTC

- What is the state's role in implementing the HCTC?
- What agency administers the relevant HCTC functions?
 - Sends lists of eligible customers to the IRS?
 - Certifies health plans?
 - Other functions?
- What additional infrastructure was needed for HCTC implementation?
 - How did the state fund this infrastructure? Has the state used NEG funding?
- What guidance has been developed by the state regarding HCTC?
 - What training has been provided to state staff regarding HCTC?

- How have potentially eligible customers been notified of this program?
 - What percentage of potentially eligible customers is knowledgeable about HCTC?
- What percentage of TAA/ ATAA recipients have applied for these benefits?
 - What percentage of potentially eligible customers actually receives benefits?
 - Why do others choose not to participate?
- What have been the major challenges in implementing HCTC? How has the state overcome these challenges?
 - Transmitting daily and monthly files?
 - Determining eligibility?

IV. REEMPLOYMENT SERVICES FOR COMPARISON GROUPS

In this section we discuss the services provided to potential members of the comparison group (UI claimants with similar characteristics to those of the TAA/TRA samples in the state). If respondents can make a distinction between all claimants and dislocated manufacturing workers, ask them about the latter (as it is a better proxy for the comparison group than all claimants). Questions about effectiveness and outcomes of these services are quite general. If respondents are knowledgeable about service duration and frequency, service quality, or links, please probe further.

A. UI OFFERS/REQUIRES REEMPLOYMENT SERVICES

1. General Notifications to All Claimants

- How are initial claimants advised of their work-search requirements?
- What information do initial claimants get about the reemployment services in the One-Stop system? How is this information conveyed?

2. Use of Program Services

- What percent of claimants (mfg claimants) fall into the following groups?
 - Are profiled through WPRS as needing services?

- Are asked to come in for an eligibility review? Claimant placement?
- For each of the services listed below, please report:
 - The percentage of claimants (mfg claimants) who are likely to receive the service
 - Who provides the service (e.g., ES staff, WIA staff, etc.) and how
 - Whether the service is provided in an individual or group setting or is a self-service activity? Are they delivered as a workshop?
 - The typical content, quality, and frequency of the service.

	% of claimants who get it	Provider	Indiv or Group	Typical Content/quality/frequency
Orientation				
Assessment				
LMI				
Counseling				
Reemployment plan				
Case management				
Referral to jobs				
ES registration				
WIA registration				
<i>Note: Cross-hatched cells are not applicable.</i>				

3. WPRS

- Does the profiling model (or characteristics screen) select participants with similar characteristics to the TAA participants?
- What percentage of profiled claimants (mfg claimants) are called in for reemployment services?
 - Does this percentage vary substantially from local area to local area?
- Describe WPRS services.

- How effective are WPRS services in assisting workers to obtain reemployment?
- Are the services standardized across the state? If not, what services do they receive in a typical area?
- What outcomes do dislocated manufacturing workers typically get from WPRS services?

4. Eligibility Review/Claimant Reemployment Programs (if pertinent to comparison group)

- What is the specific goal of any review or program?
- At what point in the claim period does the system bring claimants in for review/services?
- What percentage of dislocated manufacturing workers are called in for the review/program?
- What reemployment services are offered to these claimants? Describe.
- Are the services standardized across the state? If not, what services do they receive in a typical area?
- What outcomes typically occur from these programs?

B. ES

- Is ES registration mandatory for all claimants?
- Describe the standard services or, if they vary from area to area, typical services received by claimants in our comparison group who are ES registrants?
 - How effective are these services?
- Describe staff-assisted services. Who gets them?
- If services vary, identify any areas with notable services.
- What outcomes derive from ES registration?

C. WIA

- What percentage of dislocated manufacturing worker claimants register for WIA?
- What services do such claimants who register for WIA typically receive?

- What outcomes do dislocated manufacturing workers typically get from WIA services?

D. STATE PROGRAMS FOR TRAINING (GRANTS OR EDUCATIONAL LOANS, ETC)

- Does the state have any program to support training for dislocated workers? If so, describe the program's objectives, eligibility requirements, benefits, and target groups.
- How many dislocated manufacturing workers enroll in this program?
- What types of training are typically pursued by dislocated manufacturing workers?
- What outcomes obtain from participation in this program?

V. FUNDING AND FINANCIAL REPORTING

A. TAA ALLOCATION

	FY 05		FY 04		FY 03	
	Allocation	Expenditures to date	Allocation	Expenditure	Allocation	Expenditure
TAA						
ATAA						

Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.

	FY 04 funds
TAA carry-in from FY02-03	
TAA allocation	
TAA additional	\$
Total TAA	\$
NEG dual enrollment	\$
TRA payments	\$
TRA admin	\$
Job search/relocation allowances	\$

- How does the state use its funds?
 - Does the state allocate any money to local offices by a formula or other means?
 - How does the state use its 15% administrative funds?
 - Does the state manage funds to ensure availability over the full period of the fiscal year? If so, explain.
- Has the funding pattern shifted from year-to-year?
 - Describe the effects of shortfalls or carryover on program operations? For example, do you alter number of participants, use waiting lists, change caps, shift to/away from WIA, etc.)? What is the rationale your response?
 - Does the state request additional funds from USDOL? If so, how was this request developed? What was the outcome?

- How has the state adapted to the use of a funding formula? Any problems?
- How has the state adapted to the use of accrued expenditures as the basis for funding?
 - How much of the FY 05 allocation is already obligated? For what periods?
 - Has the state adopted an annualized funding methodology?
- Are there any other challenges related to TAA and TRA funding?

B. OTHER FUNDING SOURCES

- What was the total funding available to support TAA customers in FY 04 (PY 03 for WIA and Wagner-Peyser)? *Approximate estimates for funds from other programs are sufficient if specific data are not available. Also, try to account for the difference between PY and FY. The goal is to get a sense of the extent of staff and funds available to support the program rather than a precise cost accounting. If respondent is unable to measure program support in dollars, use data collected in Section I.C.2. on staffing.*

	FY 04 funds	Use for funds
TAA (total from above)	\$	
One-Stop partners		
WIA LWIA allocation		
WIA Governor's reserve		
WIA NEG		
Wagner-Peyser		
Adult education		
Vocational rehabilitation		
Additional funds		
General state dislocated worker or layoff aversion training funds		
General state training grants		
Loan guarantees		

	FY 04 funds	Use for funds
Total of all funds available	\$	

- What effects do One-Stop partner and additional funds have on the program?
- For any additional funds available to support TAA, how is the funding level determined?

C. FINANCIAL MIS AND REPORTING

- Describe the system and process you use to manage available funds or to determine when to seek TAA reserve funds, state WIA reserve funds or an NEG grant?
 - Is the financial reporting system adequate to manage the program?
- Is financial data and reporting integrated with participant data?

VI. PARTICIPANT DATA

A. COLLECTING OUTCOME DATA

1. UI Wage Records

- Describe the process of obtaining UI wage records and any differences from comparable WIA process?
- What percentage of TAA participants do not show up in UI wage records? What are the most common reasons?
- What percent of TAA customers are employed out-of-state?
 - Are you using the Wage Record Interchange system (WRIS) to access UI wage data on TAA or WIA customers employed out of state?
 - Explain differences in WRIS data acquisition between TAA and WIA?

2. Supplemental Data

- Do you use supplemental data to capture employment/retention outcomes for those absent from the UI wage records?
 - What triggers the supplemental data process?

- What sources of data do you use (e.g. information from other programs, follow-up phone calls, mail surveys, Federal-government systems)?
- If follow-up is used to collect supplemental data, who provides it? What information is collected? When?
- Explain any differences in supplemental data acquisition between TAA and WIA?

B. MIS

- Describe the MIS used for the TAA program:
 - System design:
 - ~ Is it statewide or local system?
 - ~ How does the system link to other workforce systems? Is the MIS part of a broader workforce MIS or One-Stop operating system? If not an integrated system, how does the TAA system link to other programs (ES, UI, WIA) in which TAA customers are enrolled? Are TAA participants co-enrolled with WIA?
 - What data (characteristics, case notes, assessment results, services received, outcomes, funds obligated and expended) is captured for TAA customers?
 - How do front-line and state TAA staff use the MIS in program operations or management?
 - Who is responsible for data entry and validation?
 - Reporting capabilities (discuss in next section)
- Discuss the successful and challenging elements of the MIS.

C. PARTICIPANT REPORTING

- What action (approval of worker's eligibility application, receipt of a reemployment service, or other) causes an eligible worker to be included in the TAPR? Are TAA participants ever not included?
- How have reporting requirements (quarterly participant information, expenditures, annual TAPR) affected the design of the state's MIS and the data collected?
- How does the state report training waivers? Have there been any challenges related to this new reporting requirement?

- Describe the process of preparing the TAPR, including data validation and typical sources of error?
- How accurate are the quarterly and annual reports?

VII. OUTCOMES AND PROGRAM IMPACTS

A. PERFORMANCE ACCOUNTABILITY

1. Current TAA Measures-General

	TAA FY 02		TAA FY 03	
	Natl. Std.	Actual	Natl. Std.	Actual
Entered employment rate				
Retention rate				
Wage Replacement				
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.</i>				

- What performance goals have been established for this state? How were they established?
- What factors best explain actual versus the national performance standard?
- Does the state establish any additional performance goals or standards for TAA or TRA? Are goals set for particular local regions or areas?
 - What was the impetus for these additional goals/standards?
 - When were they implemented?
 - Are there incentives or sanctions related to these goals?

2. Comparison to WIA Dislocated Worker Program Measures

- Compare state performance between TAA and the WIA dislocated worker program on the three measures? For WIA dislocated workers who are co-enrolled in TAA?
 - Are time periods comparable?

- What substantive reasons explain differences (for example, exit strategies, reporting problems, different collateral services)?

	All TAA (from above)	WIA DW (all)	WIA/TAA co-enrolled
Entered employment rate			
Retention rate			
Wage Replacement			

3. Managing for Performance

- Are performance expectations communicated to local staff? How?
- Do local staff have performance targets?
- What state guidance has been developed regarding when customers are exited from the program?
 - Was this guidance developed in conjunction with WIA or other workforce programs?
 - How much local variability is allowed and occurs?
- When does exit typically occur?
- Is there any state guidance or training on appropriate placements (e.g. placements that will achieve positives and will last into the required measurement periods)? Describe.
- What follow-up services, if any, are typically provided after exit (for example, job search, retention counseling, etc)?
 - Who provides these services or funds them?
 - How much local variability is allowed and occurs?
 - What percentage of TAA participants receives follow-up services?
 - Do these follow-up services have an impact on outcomes? Describe.

4. Common Measures

- What program changes may be needed to accommodate the Common Measures?
 - MIS design/reporting capabilities?
 - Changes to program administration or service delivery?

- Additional training or state guidance?
- What effects do you think that the common measures will bring (for example, improved collaboration with ES and WIA since all programs will have the same measures; more difficulty in meeting the earnings (absolute increase in earnings rather wage replacement) or retention (both second and third quarters after exit) measures)?
- What effect do you think the efficiency measure will have?

B. PROGRAM IMPACTS

- What impact does the TAA program have on building skills among those who participate?
 - What is the training completion rate?
 - What distinguishes completers from non-completers? What are the reasons?
 - Do you have any information on credentials received? If so, how does it compare to the credential rate under WIA?
- Do you believe that the TAA program has a favorable impact on:
 - Training participants' long-term earnings and employment?
 - Job-seekers earnings and employment and unemployment spell?
- Do any of these favorable program impacts vary with:
 - Different demographic characteristics or previous occupations or industries or other baseline characteristics?
 - Specific program services?
 - Whether TAA participants are co-enrolled with WIA?
- What practices and approaches seem particularly effective? What challenges have been encountered?
- What problems in implementation or administration do states and local areas encounter? How can they be addressed?

C. SYSTEM-LEVEL OUTCOMES

- Has integration or coordination improved between TAA and other programs in the One-Stop system?
 - What factors contributed to improved coordination/integration?

- Does improved integration/coordination affect take-up rates (TAA enrollees/ certified workers), services to participants, or TAA outcomes?
- Is there any effect on efficiency, administrative or otherwise?
- Besides employer-based training, does the TAA program attempt to link its services to workers in a way that meets the needs of local-area employers for skilled labor in demand occupations?
- How do program administrators manage TAA to promote continuous improvement?
 - Is there a formal continuous improvement program? What are the goals, measures?
 - If no formal program, describe informal strategies.
- Describe the strategy for program management:
 - What measures, besides the required measures, are particularly effective for purposes of program management and system accountability?
 - How do you ensure that local staff are adequately carrying out the program-management strategy?
 - How can overall performance and program management be improved?

LOCAL-SITE PROTOCOL

Instructions to the site visitor are italicized. Shaded cells in tables indicate that information will be provided to the site visitor by the research team from administrative data we will have on hand; i.e., these are NOT data collection items, but, rather, the information is provided for the site visitor's own information. Cross-hatched cells indicate that data are not applicable or available.

Site Visit Goals. *This site visit has two general goals: 1) provide a general understanding of how the program currently operates and 2) impart knowledge of the program as it affects TAA participants during the intake period of the impact study (April 2004-March 2005). Because all local visits occur after the intake period, site visitors should advise each respondent at the beginning of the interview to note any changes that may have occurred since the intake period began. The protocol contains a number of key questions (highlighted in the protocol) pertaining to any differences between the current state and that which pertained during the intake period. If differences occur for these or other issues, be sure to follow up.*

Tabular Material *in this protocol has two uses. First, tables with shaded cells are intended to be filled in by the research team from administrative data we will have on hand; these informational tables are intended for the field researcher's own information and are NOT data collection items. Second, other (non-shaded) tables or cells represent quantitative or qualitative information that should be obtained on site. Responses can be entered either in the tables themselves (for questions requiring very short answers) or in the field researcher's notebook (for questions requiring longer answers); the tables are provided as a tool to the field researchers in ensuring specificity and completeness.*

Time Period. *Unless otherwise indicated, the relevant time period for most questions is the current program state, or the most recent period for which respondents have current information. For the most part, that is likely to be FY 04.*

List of Respondents

12. /TAA program manager (Local ES office manager)
13. Local TAA Coordinator
14. ES/TAA front-line staff who counsel/case manage TAA participants

- 15. LWIA director/operations manager
- 16. Local lead for Rapid Response (ES or WIA)
- 17. ES Director or Operations Manager

Respondents if available:

- 18. Union official
- 19. Employer affected by trade dislocation

Observations if available:

20.TAA orientation

21.TAA counseling/case management/follow-up session

22.Rapid Response event

UNDERSTANDING THE TAA CONTEXT

GENERAL ECONOMIC/LABOR MARKET BACKGROUND

- Provide a brief description of the local area in terms of geography (urban/rural), economy (key industries), other special characteristics.
- Describe the types of impacts that trade has on the local economy and labor market:
 - Types of manufacturing industries (check for any agricultural products affected by trade or oil and natural gas exploration and drilling if affected). Discuss primary/secondary, size, industrial classification.
 - Workers impacted (discuss jobs, skill levels, characteristics)
 - Regions and communities (impacts on local economy)
 - How important are these trade-impacted industries and areas and their workers to the area's overall economy?
 - Describe the types of impacts that trade has on the local economy.
- Describe labor market conditions affecting employment prospects of TAA participants and non-trade-affected dislocated manufacturing employees?
 - What are the principal growth or emerging industries?
 - What are the key demand occupations
- Are there any significant changes in economic or labor market conditions since the intake period?

STATE CONTEXT: POLICY AND OVERSIGHT

- Overall, what guidance has been received from the state regarding policy goals? How has this information been conveyed? Has it been adequately explained?
 - Guidance regarding federal rules and requirements, including the 2002 Amendments.
 - Guidance to promote policies consistent with state priorities for workforce system.

- Discuss the balance between state and local authority for decision-making, regarding:
 - Policies
 - Service priorities

TAA/TRA OPERATIONS AND SERVICE DELIVERY

Structure and Operations

- Name of office administering local TAA program? Affiliate or comprehensive One-Stop Career Center?
- If local customization of the program is allowed, describe any local practices or policies.
- What is the state role in guiding local planning and providing TAA and TRA services and benefits?
- Have there been significant changes in how the TAA or TRA programs are administered or operated within the state since the intake period? If so, why?

Staffing

- How many staff at the local levels serve TAA participants? Estimates by FTE are preferable. Otherwise, approximate estimates of number of staff are acceptable.
- What other duties do TAA staff perform?

Staff charging:	#/FTE Local	Responsibilities
TAA/TRA		
Wagner-Peyser		
WIA		
Other programs		

TAA Program in a One-Stop System

One-Stop Background

- Describe the history and organization of the local One-Stop system.

- Who operates local One-Stop centers?
- Who are primary One-Stop partners? What is the extent of collaboration and co-location for each of those partners, including TAA?
- How does TAA participate in One-Stop governance and policy-making?

TAA Coordination with Other One-Stop Programs

- What is the extent and nature of local partnerships? *Cost sharing is discussed in Section V.* Consider the partners below:

	Role in local One-Stop partnership
Wagner-Peyser	
UI	
WIA (formula and NEG)	
Adult Education	
Vocational Rehabilitation	
State training programs	

- Describe the extent of TAA coordination/integration with other programs and partners in terms of the following elements: staff co-location or cross-training; common intake, orientation, and reception; multi-agency teams, referrals?
- What state-level guidance and support is provided to the local level regarding linking TAA with the One-Stop system? How has this influenced linkages?
- What is the role of ES in the local One-Stop system? Does this impact the role of TAA in the One-Stop system? How?
- What are the challenges to TAA integration in the One-Stop system?
- What percentage of local TAA customers are co-enrolled in other programs? Explain substantial variance from state levels.

% TAA co-enrolled in:	Local %	State %
ES		
WIA		

Adult Education		
Vocational Rehabilitation		
State training programs		
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.</i>		

- Do TAA participants take advantage of partners' services without co-enrolling? In what way?
- Have there been recent changes in the extent or quality of co-enrollment of TAA customers in other programs? Why?
- What are the obstacles to effective partnerships?
 - In general
 - With respect to co-enrollment

TRA in the UI System

- Describe any local role in UI/TRA?

Connections to Reemployment Services are discussed in Sections III and IV.

Rapid Response: Background

- What local staff serve on a typical rapid response team?
- What is the role for TAA staff?
- How do you learn about potential plant closings or other potential trade-related dislocations?
 - Do you identify in advance whether a firm may be trade-affected when planning rapid response?
- Besides dislocations triggering WARN notices, what other dislocation criteria (size, local impact, etc.) trigger rapid response?
- How speedily does rapid response occur?
- What is the number of local Rapid Response deployments in FY 04? Of these, how many were potentially trade related?

Rapid Response and Early Intervention Services

- Describe the types of services provided during rapid response and the typical period in which they are delivered.
 - Do rapid response services vary by type and size of dislocation?
 - Does rapid response for trade-related dislocations differ materially from the response to other types of dislocations?
 - Have there been any significant changes in the delivery and receipt of rapid response services? If so, what factors caused the change?
- What are the criteria for establishing on-site adjustment centers?
 - How often are on-site centers established?
 - Are there any significant differences in access to TAA or services received in such on-site centers?
 - How do these services differ from services available to other customers at the One-Stop center?
- Have aversion strategies been effective in preventing or mitigating a trade-related impact?
 - How do these services differ from services available to other customers at the One-Stop center?
- What role do unions or other third parties (CBOs, local elected officials, faith-based organizations, etc.) play in rapid response?

Rapid Response and Coordination with TAA

- Does rapid response play in role in triggering the TAA program:
 - Filing of petitions?
 - Encouraging certified workers to apply for TAA and TRA?
- Is there any evidence that rapid response activities eliminate the need for subsequent TAA services? Describe.
- What information do you provide to workers and others about the TAA program during rapid response?
- Do you handle outreach to potentially affected workers differently if trade is suspected or known as a cause of the dislocation?

- Are services delivered early enough to facilitate worker adjustment (job search, program enrollment, intra-company transfers, retirement planning, etc.) generally, and to help workers meet the training-entry and job-finding requirements of the TAA and ATAA programs?
- Is there any change in the rapid response since the intake period that might affect the TAA program?

TAA ELIGIBILITY

FILING TAA PETITIONS FOR FIRM ELIGIBILITY

Review the number of petitions filed in the impact-study intake period and certified compared to the state average.

	Local	State
# TAA petitions filed		
# TAA petitions certified		
Petition success rate	%	%

Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.

Outreach and Notifications

Primary Workers

- Describe the outreach and notification efforts of unions, and local officials, to encourage the filing of a petition.
- Do local staff assist worker groups, unions, firms, or One-Stops to file a TAA petition?
 - What is the local objective in outreach: broad awareness or encouraging specific filing?
 - How often is any assistance provided?
 - Is there any difference in the types of dislocations or the potential applicants for which local staff offer help?

Secondary Workers

Ask the respondents to explain their role in notification and filing for secondary workers and how this may differ from its outreach and notification for primary workers:

- How does the local staff determine whether secondary workers may be affected?
- How do you notify workers, unions, or firms about filing a petition?
- Does outreach to secondary workers differ from outreach to primary workers?
- How often do secondarily-affected workers file petitions? How many such petitions were filed in FY 04? FY 03?

Petition-Filing Process

- Describe how petitions are filed (consider who files, timing, coordination).
- Under what circumstances does the One-Stop operator file a petition? If this has occurred, describe the local role.
- What role do unions play in the petition process?

Outcomes of Petition Process

- What local steps, if any, do you take to notify workers about the petition results?
- How often are petitions filed in response to “threatened separations” that never result in actual layoffs?
- How long does it take between filing and a determination by USDOL?
 - What effect does the time have on worker responsiveness to services?
 - What effect does the time have on program administration?

WORKER ELIGIBILITY

Outreach and Notifications

- What notification role do local staff play:
 - Updating the firm’s worker list?
 - Describe procedures for notifying workers of TAA/TRA.
 - What accommodations are made to notify disabled or limited-English-proficient workers?
- Discuss form and content for the TAA orientation? What practices seem most effective?

- What percentage of workers do you believe never receive any notification? Does this vary by industry or occupation?
- Has there been any significant change in the outreach, notification, or orientation processes since the intake period?

Worker Application and Processing Eligibility

- Describe how an individual applies for eligibility?
 - Application process (who conducts, location, documentation required from worker or firm)
 - Decision-making (any additional state criteria)
 - Notification
 - Appeals
- If a firm has gone out of business or is unresponsive in providing information about hours worked and wages, are local staff involved in data gathering to determine eligibility?
- In what areas is the process particularly effective or hard to administer?
- Is there any special provision to assist workers with limited English proficiency or with a disability?

Outcomes of the Worker Eligibility Process

	Local		State	
	No.	Pct.	No.	Pct.
Workers certified				
Workers applying for TAA				
Workers enrolled in TAA				
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information. Data in cross-hatched cells are not applicable.</i>				

- What factors affect take-up rates (TAA enrollees/certified workers) overall, and among subgroups of trade-affected dislocated workers? (Consider the effects of state procedures such as rapid response, notifications, notices in UI claims. Also consider external factors such as union or CBO participation.)

- What are the common reasons why workers covered by certified petitions do not apply?
- What are the most common reasons why workers from certified petitions who do apply prove ineligible?
- What assistance/services are typically offered to workers who do not apply for TAA or to ineligible workers?
- Have there been any other challenges related to take up and eligibility?

SERVICES FOR TAA PARTICIPANTS

Sections A and B separate customers into training and non-training tracks. It should be understood that some customers have not made a training or non-training decision when they begin services. Throughout this section, consider services to TAA participants from non-TAA sources regardless of whether they are co-enrolled or registered in those programs.

GENERAL

- Is it expected that most customers will receive training?
- Are there any processes or requirements that attempt to ensure that only those who really need training receive it? If so, describe.
- What distinguishes TAA customers who seek reemployment services from those who seek training?

REEMPLOYMENT SERVICES FOR NON-TRAINING CUSTOMERS

- What are the characteristics and occupational backgrounds of those who decide against training?
- Why do they decide against training?
- Describe the typical services that the state provides, prescribes, or recommends for customers who are not planning on training, such as ATAA, job search/relocation recipients. For each of the services listed below, please report:
 - The percentage of non-training TAA customers who receive the service
 - Who provides the service (e.g., ES staff, WIA staff, self-services, etc.) and how

- Whether the service is provided in an individual or group setting
- The typical content, quality, and frequency of the service.

	% of non-trng who get it	Provider	Indiv or Group	Typical Content/quality/frequency
Assessment				
LMI				
Counseling				
Case management				
Supportive services				
Job search or placement services				

- What are the challenges in placing TAA non-training customers?
- Has there been any increase in the use of non-training services since the Reform Act?

TRAINING SERVICES

- How do local staff respond when the state has used up (or is close to using up) its TAA allocation (for example, waivers, waiting list, enroll in WIA)?

Training Market

- Describe the adequacy of the training market (as to numbers, variety of types, etc.)?
 - Is the quality of the providers sufficient to provide participants with good quality training and promote good outcomes?
 - Are all or most providers of interest to TAA customers on the state eligible training provider list? *(Questions on use of the ETPL are under "Making Training Decisions" below.)*
 - Is there a sufficient number of providers to offer a reasonable choice?
 - Is there a sufficient number of training slots in occupations of interest to TAA participants to meet the demand?

- If participants use distant providers:
 - Is it because there are insufficient local providers, personal choice, or other reason?
 - Do you provide transportation or subsistence expenses for training at distant locations?

Making Training Decisions

- Describe the typical ancillary services that the state prescribes or recommends to help TAA customers make training decisions. For each of the services listed below, please report:
 - The percentage of TAA training customers who receive the service
 - Who provides the service (e.g., ES staff, WIA staff, self-services, etc.) and how
 - Whether the service is provided in an individual or group setting
 - The typical content, quality, and frequency of the service.

	% of trainees who get it	Provider	Indiv or Group	Typical Content/quality/frequency
Assessment				
LMI				
Counseling				
Case management				

- Is a written training plan prepared? Obtain a copy if training plan form was not obtained at state level or if local form differs.
 - Describe its content, timing, and method of preparation.
 - Who develops these plans?
 - How are these plans connected to the assessment process?
- Describe the counseling process, including the extent of customer choice and how counselors deal with a poor training choice.
 - Do counselors help customers make training choices? How?
 - Are assessment results used? LMI? How?

- Do counselors consider how likely customers are to complete training?
- How much flexibility do customers have to choose programs that are not recommended by their counselors?
- What use do TAA participants make of the state eligible training provider list?
 - Must customers select training vendors from the list? What is the rationale for use or non-use?
- If there is a state credential requirement, how is that implemented (for example, locally-approved versus nationally-recognized)? If no state requirement, do you use a local credential requirement? If so, describe.
- Are there any other local restrictions on training choices?
- How does the experience of a TAA-only participant differ from that of a TAA participant who is co-enrolled in WIA?

Approving Training Plans

- Is there a requirement that only customers who need training to obtain a job can receive it? If so, how is the need for training established?
- Describe the process by which training plans are approved.
 - Would you characterize the role of front-line staff in guiding customers as highly directive, facilitative, negotiating, or other?
 - Are decisions of front-line ES or WIA staff subject to local supervisory and state review? If so, how often does higher-level review change a decision?
 - What are the approval criteria? How closely do you follow the statutory criteria for approving training?
 - What are the common reasons for rejecting plans?
 - How often are training plans rejected and for what reasons? If customers appeal, what are the typical outcomes?
 - How often do customers change their training plans after approval?
- If there is a state or local cap on training costs? Describe

- What is the rationale for the cap?
- How was the cap set?
- Are there ever exceptions to this limit? For what reasons?
- Do local staff ever place additional restrictions on choice?

Training Selection

- What types of occupational training do customers typically select?
 - Who are the most common providers?
 - What are the most common types of programs?
 - What is the average duration of training?
- What types of remediation do TAA customers receive?
 - Who provides remediation?
 - What is the typical duration of remediation?
 - How does remediation affect occupational choice?
 - Do remediation participants have sufficient time for the occupational programs they want?
- Discuss the use of employer-based training (OJT or customized):
 - How often is it used? By whom? Under what circumstances is it used?
 - Why is it not used more often?
 - How has elimination of the requirement that employers retain workers for 26 weeks after the training influenced use of OJT or customized training?

	# Participants	Increase since FY 02 (Y/N)	Reasons
Customized			
OJT			

- Besides employer-based training, does the TAA program attempt to link its services to workers in any ways that meet local employers' needs?

Supporting Training and Post Training Job Search/Placement

- Describe the services available and used to support participants while they are in training. For each of the services listed below, please report:
 - The percentage of TAA training customers who receive the service
 - Who provides the service (e.g., ES staff, WIA staff, self-services, etc.) and how
 - The typical content, quality, and frequency of the service.

	% of trainees who get it	Provider	Typical Content/quality/frequency
Case management			
Supportive services			

- What percentage of those in training receive subsistence or travel payments?
 - What is the average amount of such payments?
 - Are some requests denied? Why?
- Describe job search/placement services available and used by TAA participants once they complete training.
 - How do these services differ from what is provided to WIA trainees? From non-training TAA customers?
 - Please note any differences in job search/placement provided to training completers and non-completers. Why?
 - Consider the extent to which parties outside the workforce development system (for example, vendors, labor-management committees, unions, CBOs) play any role.
 - Are training vendors expected to provide placement assistance? How is this expectation communicated to them?
 - What roles do unions typically play in reemployment services?

- Do CBOs or other local organizations ever play a role comparable to unions

	% of trainees who get it	Provider	Typical Content/quality/frequency
Job search or placement services			

- What are the challenges in providing job search and placement services to TAA trainees?
 - Are there any differences in job search/placement between training completers and non-completers? Why?
 - What are the challenges in providing job search and placement services to TAA trainees?

Role of Unions and other parties

- What roles do unions typically play in the reemployment services process?
- Do CBOs or other local organizations ever play a role comparable to unions

JOB SEARCH AND RELOCATION ALLOWANCES

Ask the following questions about both job search and relocation allowances:

- What percent of TAA/TRA recipients receive allowances?
 - What factors explain extent of usage (for example, staff notification or help in applying, lack of worker interest)?
 - Who receives allowances (for example, occupation, industry, characteristics)? Explain.
- What is the typical size of an allowance?
- Are some requests denied? Why?
- Do recipients typically go out of state or to another in-state labor market?
- Do allowances contribute to good outcomes?

- Are there any differences in services (either reemployment services or training) since the intake period?

TRA

Administration

- Do you find that notification to potential recipients is adequate (lists of eligibles, inserts with claims checks or benefit information, other)?
- If claimants apply for UI/TRA locally, are there any specific procedures that you use that depart from standard state practices?

Benefits

	Local #	Local %	State %
receiving basic TRA only			
receiving additional TRA			
receiving TRA for remediation			
Avg duration for all TRA			
Avg weekly benefit			
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.</i>			

- What are the take-up rates (TRA recipients/certified workers) for TRA in your area?
- What factors explain any changes departures from state rates?
- What are the main reasons why customers are ineligible for TRA?
- What percentage of TRA recipients exhausts benefits before completing training?
 - Do exhaustees continue with training?
 - How do you counsel or otherwise assist exhaustees?
 - How does exhaustion affect their program status in TAA?
- For recipients who are not in training, what is the work-search test and how is it applied?

Training waivers and extensions

- Describe the overall policy on use of waivers to address delays and other reasons.

- What are the causes of delay? (For example, decision-making reasons such as assessment, approval; vendor-related reasons such as start dates or capacity)
- Does timing vary between different occupational groups or industries?
- Are automatic waivers given to all participants to preserve eligibility for HCTC?
- Describe the extent and duration of waivers:

Waiver types	# Received	Average duration
Worker will be recalled reasonably soon;		
The worker has marketable skills for suitable employment and a reasonable expectation of employment in the foreseeable future;		
The worker is within two years of eligibility for a pension or social security;		
The worker is unable to participate in or complete training due to the health of the worker;		
Immediate enrollment is not available; or		
No training program is available.		
45-day extension for extenuating circumstances		

- Are customers enrolling early enough and meeting the Reform Act deadlines so that they have UI/TRA to complete services, especially long-term training?
 - If not, do they receive a waiver that immediate enrollment is not available? What are the underlying reasons for such waivers? (Examples might be customer decision whether to undertake training, assessment or approval processes, program research, or vendor-related reasons such as start dates or capacity.)

- Does waiver-receipt vary between different occupational groups or industries?
- Describe the roles of front-line staff, supervisors, and state-level officials in approving training waivers?
 - How often do they reject waiver requests?
 - If a waiver request is rejected, describe typical participant responses (for example, appeal, drop out, etc)
 - Describe the appeal process if a waiver request is rejected.
- How are training waivers used with the 45 day extensions for “extenuating circumstances?”
 - Who approves these extensions?
 - For what reasons?
- Are there any differences in waiver usage since the intake period?

ATAA

Administration-No Questions

Petitions, Notification, Eligibility, and Enrollment

	Local	State
3. # of ATAA petitions		
4. # ATAA certifications		
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.</i>		

- If the number of ATAA petitions remains low, what factors explain this phenomenon (for example, petitions not filed or rejected, workers believed not eligible)?
- Are local staff involved in the ATAA notification process? If so, describe any activities that may depart from statewide notification.

	Local	State
1. # workers certified for ATAA		
2. # workers selecting ATAA		
3. % workers selecting ATAA		
4. % of all TAA participants in ATAA		
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information</i>		

- What explains any discrepancies in take-up rate from state levels:
 - ATAA enrollees/ATAA certified?
 - ATAA enrollees/all TAA enrollees?
- If take-up for ATAA remains low, what factors explain this phenomenon (for example, easy waiver availability, notification problems, worker lack of interest, workers consider but reject)?

ATAA Program Services and Outcomes

	Local	State
# workers receiving ATAA		
Avg. monthly benefit		
Total avg. benefit received		

Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information; cross-hatched cells are not applicable.

- Are workers issued a waiver to allow them to maintain eligibility for TRA benefits while searching for a full-time job? If so, what is the basis for the waiver?
- What job search assistance does the program provide to ATAA job seekers?
- Do ATAA recipients also use the relocation allowance or HCTC?
- Why do ATAA customers elect this program?
 - Have they also considered regular TAA/TRA?
- What types of jobs do ATAA participants take?
 - Do many workers find jobs with salaries above the maximum allowed (\$50,000/year)? What factors
- How many weeks after separation does it take for a TAA participant to find an-ATAA qualified job?
 - How does this compare to other job seekers?
 - Do many workers have difficulty finding employment by the 26-week deadline?

HCTC

- Is there any local role in implementing the HCTC? If so describe?
- Have any TAA workers signed up for HCTC in your area? If so, what were the circumstances that favored this decision?

REEMPLOYMENT SERVICES FOR COMPARISON GROUPS

In this section we discuss the services provided to potential members of the comparison group (UI claimants with similar characteristics to those of the TAA/TRA samples in the state). If respondents can make a distinction between all claimants and dislocated manufacturing workers, as them about the latter (as it

is a better proxy for the comparison group than all claimants). Questions about effectiveness and outcomes of these services are quite general. If respondents are knowledgeable about service duration and frequency, service quality, or links, please probe further.

UI OFFERS/REQUIRES REEMPLOYMENT SERVICES

General Notifications to All Claimants

- How do you present reemployment services to unemployed workers who come into a One-Stop center to file (if on-site filing allowed) an initial claim or because they were referred to the One-Stop center by the UI system?

Use of Program Services

- What percent of claimants (mfg claimants) fall into the following groups?
 - Are profiled through WPRS as needing services?
 - Are asked to come in for an eligibility review? Claimant placement?
- For each of the services listed below, please report:
 - The percentage of claimants (mfg claimants) who are likely to receive the service
 - Who provides the service (e.g., ES staff, WIA staff, etc.) and how
 - Whether the service is provided in an individual or group setting or is a self-service activity? Are they delivered as a workshop?
 - The typical content, quality, and frequency of the service.

	% of claimants who get it	Provider	Indiv or Group	Typical Content/quality/frequency
Orientation				
Assessment				
LMI				
Counseling				
Reemployment plan				
Case				

	% of claimants who get it	Provider	Indiv or Group	Typical Content/quality/frequency
management				
Referral to jobs				
ES registration				
WIA registration				
<i>Note: Data in cross-hatched cells are not applicable.</i>				

WPRS

- Does the profiling model (or characteristics screen) select participants with similar characteristics to the TAA participants?
- What percentage of profiled claimants (mfg claimants) are called in for reemployment services
- Describe WPRS services?
- How effective are these services in assisting workers to obtain reemployment?
- What outcomes do dislocated manufacturing workers typically get from WPRS services?

Eligibility Review/Claimant Reemployment Programs (if pertinent to comparison group)

- If there is any local discretion, describe any local goals for the eligibility review or claimant placement program?
- At what point in the claim period does the system bring claimants in for review/services?
- How effective are these services in assisting workers to obtain reemployment? If respondents are knowledgeable about service duration and frequency or service quality, please probe further.
- What outcomes do dislocated manufacturing workers typically get from eligibility review or claimant reemployment programs?

ES

- Is ES registration mandatory for all claimants?

- Describe the standard services or, if they vary from area to area, typical services received by claimants in our comparison group who are ES registrants?
- Describe staff-assisted services. Who gets them?
- What outcomes do dislocated manufacturing workers typically get from ES services?

WIA

- What percentage of dislocated manufacturing worker claimants register for WIA?
- What services do such claimants who register for WIA typically receive?
- What outcomes do dislocated manufacturing workers typically get from WIA services?
- What services do dislocated manufacturing workers who register for WIA typically receive?

STATE PROGRAMS FOR TRAINING

- If the state has any program to support training for dislocated workers in your area?
 - Describe the program's objectives, eligibility requirements, benefits, and target groups.
 - Estimate the percentage of dislocated manufacturing workers who are served by the program?
- What types of training are typically pursued by dislocated workers?
- What percentage of dislocated manufacturing workers enroll in this program?
- What outcomes do dislocated manufacturing workers typically get from the state training program?

FUNDING AND FINANCIAL REPORTING

TAA ALLOCATION

- Does the state allocate funds to your local area or account for costs by area? If so,

	FY 05		FY 04		FY 03	
	Allocation	Expenditures to date	Allocation	Expenditure	Allocation	Expenditure
TAA						
ATAA						

Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.

- Can you identify the approximate amount of total funds available for TAA in your area? If so, can you detail or estimate by source? *If the area had no activity in FY 04, ask about FY 03 money.*

	FY 04 funds
TAA	\$
NEG dual enrollment	
NEG structural investment	
Total	\$

- How has the local area adapted to variation in the federal allocation or state changes in funding methodology (for example, change number of participants, waiting lists, enrollment in WIA, cap, etc.)?
- Is TAA funding generally sufficient to support all needed program activities? If not, what are the reasons for the shortfall? Describe specifically for the current fiscal year.
- Are any of the 15% administrative funds made available to the local area? How are they used?
- Are there any other challenges related to TAA and TRA funding?

OTHER FUNDING SOURCES

- What is the funding available to support TAA customers in FY 04 (PY 03 for WIA and Wagner-Peyser) in your area? *Approximate estimates for funds from other programs are sufficient. Also, try to account for the difference between PY and FY. The goal is to get a sense of the funds available to support the program rather than a precise cost accounting.*

	FY 04 funds	Use
TAA and related (from above)	\$	
One-Stop partners		
WIA LWIA allocation		

WIA Governor's reserve		
WIA other NEG		
Wagner-Peyser		
Adult Education		
Vocational Rehabilitation		
Community colleges		
Additional funds		
General state dislocated worker or layoff aversion training funds		
General state training grants		
Loan guarantees		
Total of all funds available	\$	

- What have any additional funds been used for?
- How do any additional funds affect the program?

FINANCIAL MIS AND REPORTING

- Is the financial MIS adequate to assist local staff in managing local finances?
- Is financial data and reporting integrated with participant data?

PARTICIPANT DATA

COLLECTING OUTCOME DATA

UI Wage Records-No Questions

Supplemental Data

- If supplemental data is used, do local staff play any role capturing employment/retention outcomes for those absent from the UI wage records? If so, describe:
 - What sources of data do you use (e.g. information from other programs, follow-up phone calls, mail surveys)?

- Explain any differences in the local role in supplemental data acquisition between TAA and WIA?

MIS

- Is the participant MIS, whether state or local, adequate to support front-line local staff in carrying out their responsibilities?
- If there is a local MIS, describe its capabilities (types of data recorded, reporting, integration with other programs) and whether it is adequate to support front-line staff in carrying out their responsibilities?
 - Is the MIS part of a broader workforce MIS or workforce or One-Stop operating system?
 - If not an integrated system, how does the TAA system link to other programs (ES, UI, WIA) in which TAA customers are enrolled?
- Describe any local role in preparing the TAPR?

PARTICIPANT REPORTING-NO QUESTIONS

OUTCOMES AND PROGRAM IMPACTS

PERFORMANCE ACCOUNTABILITY

Current TAA Measures-General

	TAA FY 04		TAA FY 04	
	State Std	Actual	State Std.	Actual
Entered employment rate				
Retention rate				
Wage Replacement				

Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.

- Have performance expectations been conveyed to you.
- If so, how does local performance compare to that of the state for the three measures? What factors best explain any deviation?
- How do you consider performance in carrying out your TAA responsibilities?

- Does the state establish any local performance goals or sanctions/incentives for TAA or TRA?
- What was the impetus for these additional goals or sanctions/incentives?
- What performance expectations are communicated to local staff? How?
- Do you pursue any strategy on exiting participants, appropriate placements (e.g. placements that will achieve positives and will last into the required measurement periods), other elements of a performance strategy? If so, explain the source (state guidance, local initiative).

Comparison to WIA Dislocated Worker Program Measures

- Compare performance between TAA and the WIA dislocated worker program for TAA participants who are co-enrolled in WIA. What explains differences (for example, exit strategies, reporting problems, different collateral services)?

	All TAA (from above)	WIA DW (all)	WIA/TAA (co-enrolled)
Entered employment rate			
Retention rate			
Wage Replacement			
<i>Note: Data in shaded cells will be provided to the site visitor by the research team and are for the site visitor's information.</i>			

Managing for Performance

- How is performance expectation communicated to front-line staff?
- How are outcomes considered by front-line staff in working with TAA participants (for example, suitable training, high-wage placements, jobs with career ladders or benefits, etc.)?
- When do you exit a TAA participant?
- What follow-up services, if any, are typically provided after exit (for example, job search, retention counseling, etc)?
 - Who provides these services or funds them?
 - What percentage of TAA participants receives follow-up services?

- Do these follow-up services have an impact on outcomes? Describe.

Common Measures

- Do you anticipate any changes in the MIS/reporting once common measures are adopted?
- What effects do you think that the common measures will bring (for example, improved collaboration with ES and WIA to improve since all programs will have the same measures; more difficulty in meeting the earnings (absolute increase in earnings rather wage replacement) or retention (both second and third quarters after exit) measures)?
- What effect do you think the efficiency measure will have?

PROGRAM IMPACTS

- What impact does the TAA program have on building skills among those who participate?
 - What is the training completion rate?
 - What distinguishes completers from non-completers? What are the reasons?
 - Do you have any information on credentials received? If so, how does it compare to the credential rate under WIA?
- Do you believe that the TAA program has a favorable impact on:
 - Training participants' long-term earnings and employment?
 - Job-seekers earnings and employment and unemployment spell?
 - ATAA participants?
- Do any of these favorable program impacts vary with:
 - Different demographic characteristics or previous occupations or industries or other baseline characteristics?
 - Specific program services?
 - If applicable, with co-enrollment with WIA? With integration of services with WIA?
- What practices and approaches seem particularly effective? What challenges have been encountered?

- What problems in implementation or administration do states and local areas encounter? How can they be addressed?

SYSTEM-LEVEL OUTCOMES

- Has integration/coordination improved between TAA and other programs in the One-Stop system? To what extent is TAA integrated into the One-Stop Career Center system?
 - What factors contributed to improved integration/coordination?
 - What effects has improved coordination had on take-up (TAA enrollees/certified workers) rates, services to participants, TAA outcomes?
 - Is there any effect on efficiency, administrative or otherwise?
 - What would help to improve integration and coordination of services of TAA with other One-stop programs and partners, in particular with WIA adult and dislocated worker services?
- How do local staff manage TAA to promote continuous improvement?
 - If there a formal TAA continuous improvement program or a local One-Stop program, what are the goals, measures?
 - If no formal program, describe informal strategies.
 - What performance measures are particularly effective for purposes of continuous improvement and system accountability?

How might overall performance and program management be improved?

CASE FILE REVIEW PROTOCOL

Site Visitor: _____ Site: _____

Participant Name: _____

PARTICIPANT CHARACTERISTICS AT INTAKE:

1. Age (at registration): _____
2. Gender: _____
3. Highest education level completed: _____
4. Family Status: Parent in 2-parent family Single parent
 Other _____ (describe)
5. Race and Ethnicity _____
6. List any barriers to training participation or employment:

7. Summarize work history (previous occupation and earnings, including occupation and wage at layoff, date of layoff, etc.)

8. Special skills or vocational credentials

SERVICES RECEIVED THUS FAR

(Record services that have been received, with dates, paying special attention to any assessment and counseling related to the training decision, as well as job search assistance)

Orientations _____

Assessment

Which of the following are included in the file (circle; if yes, show results):

- ~ Basic skills yes no Results _____ Date_____
- ~ Occupational skills yes no Results _____ Date_____
- ~ Occupational aptitudes yes no Results _____
Date_____

Other assessment results: _____

Meetings with Counselor/Case Manager Before Training Begins

Date_____ Content_____

Date_____ Content_____

Date_____ Content_____

Date_____ Content_____

Service Plan

~ Has a plan been developed? yes no (if yes)
Date_____

Describe_____

~ Is training called for in the plan? yes no
(if yes) How is the need for training established?

Service Plan (cont'd)

How are assessment results or LMI used? _____

Training Services Received, including remediation (program of study, including dates, with duration, costs, and outcomes, if available):

Program 1

Describe _____

Institution _____

Date Started _____ Date Ended (if ended) _____

~ (if ended) Successful completion? yes no

~ Credential/certificate earned? yes no (if yes)

Describe _____

Program 2

Describe _____

Institution _____

Date Started _____ Date Ended (if ended) _____

~ (if ended) Successful completion? yes no

~ Credential/certificate earned? yes no (if yes)

Describe _____

Program 3

Describe _____

Institution _____

Date Started _____ Date Ended (if ended) _____

~ (if ended) Successful completion? yes no

~ Credential/certificate earned? yes no (if yes)

Describe _____

Contact with Counselor/Case Manager Since Assigned to Training

Date_____ Content_____

Date_____ Content_____

Date_____ Content_____

Placement Assistance before or after Training

Date_____ Content_____

Date_____ Content_____

Date_____ Content_____

1. Co-enrollment

Is participant co-enrolled in WIA, ES, or other partner program? If yes, describe

Describe evidence of services received by partner programs, including case management

COUNSELING OBSERVATION PROTOCOL

Site Visitor: _____ **Site:** _____

Participant Name: _____

Nature of Activity: _____

PROGRAM OPERATIONS: IMPLEMENTING THE MODELS

Describe the physical setting for the activity (location, etc.)?

What are the objectives of the meeting? What is occurring?

What information is being provided? By whom?

What information is the participant providing?

What assessments, if any, are being conducted?

What guidance is being provided? _____

Describe the quality of the interaction (e.g., degree of rapport, etc.)

Describe the reaction of the participant to the information being provided (receptivity, etc.)

Is there any discussion of support or advice that could be (or is being) provided from another program?

(If applicable) Describe any agreements reached regarding training occupation or vendor? Include the basis for the decision (e.g., information provided by staff, consumer report system, other).

Does the decision appear to satisfy the participant and the counselor?

(IF APPLICABLE) ADDITIONAL INFORMATION TO COLLECT FROM COUNSELOR BEFORE OR AFTER THE COUNSELING SESSION

How did the session come about (e.g., regularly scheduled, by appointment, etc.)? _____

Describe what counseling sessions came before. What did they cover? Note frequency of sessions

