

Washington State Trade Adjustment Assistance Policy

Policy Number: 3070 (2021)

Policy Title: Assessments

Effective Date: July 1, 2021

1. Purpose:

To provide case managers that assist Trade Adjustment Assistance (TAA) participants with assessment standards to support early intervention and reemployment services for petitions certified under Reversion 2021 rules.

2. Background:

The U.S. Department of Labor (DOL) published the TAA Program reversion provisions of the Trade Adjustment Assistance Reauthorization Act of 2015 (TAARA 2015) that apply to the program benefits applicable to workers covered by petitions filed on or after July 1, 2021. Case managers must ensure effective strategies are used in assisting adversely affected workers in obtaining employment as quickly as possible. This will require developing comprehensive service delivery strategies that are tailored to the employment objectives of the customer.

Work-based learning is the preferred method of training under Reversion 2021 and must be considered before any other training can be approved.

3. Policy:

a. **Initial Assessment**

TAA case managers will provide each participant with an initial assessment as part of the enrollment requirement to determine the best service strategy and decide if the worker is job ready or in need of training that will return the participant to suitable employment. Initial assessments must take the following into consideration:

1. Prevailing local labor market conditions, including the unemployment rate, employer skill demands and hiring requirements;
2. Knowledge, skills and abilities from education and previous employment;
3. Transferable skills;
4. Evaluation of worker's skill levels (including literacy, numeracy, and English language proficiency), aptitudes, skill gaps and supportive service needs; and
5. Any barriers to reemployment.

When it is determined that a participant has marketable employment skills and suitable work is available, they should be referred to the appropriate case management services available through the TAA program and partner programs.

b. Comprehensive and Specialized Assessment

A comprehensive assessment and specialized assessment expand on the initial assessment and are the foundation and justification for all participants' receiving benefits and services offered through TAA. They serve as a guide in the development of the participant's individual employment plan and the six criteria for approval of training. A major reason for conducting a comprehensive assessment and specialized assessment is to demonstrate that participants have a realistic and obtainable employment goal, and to determine whether training is an option to achieve that goal.

Comprehensive assessments are detailed examinations of the participants' qualifications, skills and capabilities and should explore any relevant factors that may negatively impact successful completion of the individual employment plan and ultimately their ability to find appropriate employment. The comprehensive assessments must take the following into consideration:

- educational background
- employment history
- information about basic literacy (math, reading, and writing)
- occupational skill levels
- transferable skills
- English language proficiency
- interests
- aptitudes
- family and financial situation
- interest in relocation; and
- supportive service needs

Exception: If a co-enrollment partner has already performed assessments, the case manager must use the results from those assessments. If any elements of the TAA assessments are missing the case manager must administer the missing elements.

c. Waiver Assessment

The case manager must conduct a waiver assessment and determine if there is an immediate need for training or if a training waiver is necessary. The case manager must review the waiver deadline date with the participant, include it in the Individual Employment Plan and document it in the case file.

Participants must be enrolled in training or have a training waiver issued by the later of:

- 8 weeks from certification date, or
- 16 weeks from separation date

Participants must also file a bona fide request for training within 210 days after the certification date or separation date, whichever is later, to be eligible for Additional TRA support.

Review the TAA Procedure Manual for waiver reasons and directions on how to issue and review a waiver. Review 2021 TRA Policy for the waiver policy.

d. **Individualized Employment Plan**

The Individualized Employment Plan (IEP) must be developed jointly with participants as they have an active role and responsibility in the process and must be documented in the case management system. To reduce duplication of services, you must use an IEP that was developed by a partner program. If any TAA elements are missing, it can be supplemented to include the required TAA elements. Results from the assessments should be used to help create an IEP.

The IEP must include:

- Employment Goal (targeted occupation and industry)
- Proposed training program, if applicable
- Services needed to obtain suitable employment
- Services provided by partner programs
- Post training services, if applicable
- Transportation or Subsistence payments, if applicable
- Identify workers responsibilities for the plan

e. **Required Services**

Case managers must inform participants of the required services, provide requested services that are appropriate, and document in the case management system all services that are offered, any that were not offered, and why those services were not offered.

The required services are:

1. Comprehensive and specialized assessments
2. Development of an individual employment plan (IEP)
3. Information on how to apply for financial aid
4. Short-term prevocational services
 - a. Learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, professional conduct, etc.
5. Individual and group career counseling
6. Provision of employment statistics and other labor market information
7. Information about supportive services available by partner programs

f. **Co-Enrollment in WIOA Dislocated Worker**

TAA participants must be co-enrolled in the WIOA Title I-B DW program if they are determined eligible, unless they decline. For details on co-enrollment review the TAA Procedure Manual. There is also information in Policy 5617 Revision 1 Co-Enrollment of TAA participants into WIOA Title I-B Dislocated Worker program.

g. **Approach**

Case managers should use a multifaceted approach to the assessment process and possess the following knowledge, skills and abilities:

- Knowledge of the local labor market;
- Knowledge of local employer and occupation skill demands and hiring prerequisites, such as educational requirements and professional certifications;
- Ability to identify transferable skills that would be of interest to other occupations;
- Ability to evaluate the workers' self-directed job search and provide guidance;
- Ability to identify barriers to employment that could be overcome with training or

- other services, and
- Ability to translate the specialized assessment for the participant.

h. Documentation Requirements

All assessments and IEP will be documented in the management information system. Case notes that document and track information about the participant's intake, program services and activities will also be annotated in the management information system. Case note documentation will begin with the initial assessment and end at the time of program exit. Information about participant health issues and sensitive personal and confidential information will not be documented in the management information system.

4. Definitions:

Suitable Employment - Work of a substantially equal or higher skill level than the worker's past adversely affected employment (as described for the purposes of the Trade Act of 1974, P.L 93-618), and wages for such work that are not less than 80 percent of the worker's average weekly wage. Part-time, temporary, short-term, or threatened employment is not suitable employment.

5. References:

- [20 CFR Part 618](#)
- [Training and Employment Guidance Letter \(TEGL 24-20\)](#)
- [Training and Employment Guidance Letter \(TEGL\) 19-16](#)

6. Supersedes:

None.

7. Website:

[Workforce Professionals Center](#)

8. Action:

Employment Security Department Regional Directors and WorkSource Administrators must distribute this policy broadly throughout the system to ensure that WorkSource System staff are familiar with its content and requirements.

Direct Inquiries To:

*Employment System Administration and Policy
Employment System Policy and Integrity Division
Employment Security Department
P.O. Box 9046
Olympia, WA 98507-9046
SystemPolicy@esd.wa.gov*