

**PA Department of Labor & Industry**  
**Bureau of Workforce Development Partnership**  
**WORKFORCE INVESTMENT INFORMATION NOTICES NO. 2-07**  
**June 27, 2008**

**TO** ALL UNEMPLOYMENT COMPENSATION SERVICE CENTERS  
ADMINISTRATION  
ALL PA CAREERLINK ADMINISTRATORS  
ALL WIA TITLE 1 PROGRAM OPERATORS  
ALL WIA FISCAL AGENTS  
ALL SECTION CHIEFS

**CC:** BUREAU OF WORKFORCE DEVELOPMENT PARTNERSHIP  
REGIONAL DIRECTORS  
BUREAU OF WORKFORCE DEVELOPMENT PARTNERSHIP  
RAPID RESPONSE COORDINATION SERVICES STAFF  
BUREAU OF WORKFORCE DEVELOPMENT PARTNERSHIP  
TRADE COORDINATION SERVICES STAFF

**FROM:** Christine Enright  
Director  
Bureau of Workforce Development Partnership

**SUBJECT:** Rapid Response Process, Roles and Responsibilities

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**1. Purpose**

This Workforce Investment Information Notice (WIIN) explains Pennsylvania's rapid response process and clarifies the requirements and activities of Rapid Response Coordination Services. Included are: the statutes mandating rapid response, information about rapid response practices, and highlights of staff responsibilities associated with early intervention and other rapid response services.

**2. References:**

Workforce Investment Act (WIA) Public Law 105-220, dated August 7, 1998, Section 101 (38) (29 USC 2801 (38) and Section 134 (a) (2)(A)(i) (29 USC 2964(a) (2)(A)(i)).

WIA Regulations published in the Federal Register, at Vol. 65, No. 156, August 11, 2002, Sections 665.300 through 665.340, Pages 49416 and 49417 and Subpart C (20 CFR §§665.300 through 665.340)

Worker Adjustment and Retraining Notification Act (WARN), Public Law 100-379, dated August 4, 1998, (29 USC 2107(a))

Trade Act of 1974, as amended, Subchapter 2 with amendments from the Trade Act of 2002, 19 USC §§ 2271-2331, § 2271 (a)(2)

Training and Employment Guidance Letter (TEGL) 11-02 dated October 10, 2002, page 11 Section B (2)

TEGL 16-03 Change 5 dated April 27, 2007, Regional Response Principals

Training Employment Information Notice (TEIN) 3-01 issued October 3, 2001, Quality Rapid Response Principals

Workforce Investment Information Notice (WIIN) 12-99 Change 2 - WIA Dislocated Worker Rapid Response Additional Assistance at <http://www.paworkforce.state.pa.us/>

WIIN 12-03 Change 1 - Rapid response when a Trade Act Petition is filed and certified

WIIN 14-02 – Integration and coordination of services provided under Trade Act with the provisions of Workforce Investment Act

WIIN 2-06 – Dislocated Worker Transition Teams

### **3. Discussion**

Section § 665.300 and § 665.300(a) of the WIA Regulations defines rapid response activities and who is responsible for providing them:

#### **§ 665.300 What are rapid response activities and who is responsible for providing them?**

**(a)** Rapid response activities are described in §§665.310 through 665.330 of this subpart. They encompass the activities necessary to plan and deliver services to enable dislocated workers to transition to new employment as quickly as possible, following either a permanent closure or mass layoff, or a natural or other disaster resulting in a mass job dislocation.

**(b)** The State is responsible for providing rapid response activities. Rapid response is a required activity carried out in local areas by the State, or an entity designated by the State, in conjunction with the Local Board and chief elected officials. The State must establish methods by which to provide additional assistance to local areas that experience disasters, mass layoffs, plant closings, or other dislocation events when such events substantially increase the number of unemployed individuals.

**(c)** States must establish a rapid response dislocated worker unit to carry out statewide rapid response activities. (WIA secs. 101(38), 112(b)(17)(A)(ii) and 134(a)(2)(A).) The regulations state that rapid response encompasses the activities necessary to plan and deliver services to enable dislocated workers to transition to new employment as quickly as possible, following either a permanent closure or mass layoff, or a natural or other disaster resulting in a mass job dislocation. The WIA assigns the responsibility for providing rapid response activities to the state that is carried out in local areas by the state, or an entity designated by the state, in conjunction with the local boards and chief elected officials. The state must establish methods by which to provide additional assistance to local areas that experience disasters, mass layoffs, plant closings, or other dislocation events when such events substantially increase the number of unemployed individuals. In addition, the WIA

requires states to establish a rapid response dislocated worker unit to carry out statewide rapid response activities. In Pennsylvania, that unit is the Rapid Response Coordination Services of the Bureau of Workforce Development Partnership, within the Department of Labor & Industry.

**§ 665.310 What rapid response activities are required?**

Rapid response activities must include:

**(a)** Immediate and on-site contact with the employer, representatives of the affected workers, and the local community, which may include an assessment of the:

**(1)** Layoff plans and schedule of the employer;

**(2)** Potential for averting the layoff(s) in consultation with State or local economic development agencies, including private sector economic development entities;

**(3)** Background and probable assistance needs of the affected workers;

**(4)** Reemployment prospects for workers in the local community; and

**(5)** Available resources to meet the short and long-term assistance needs of the affected workers.

**(b)** The provision of information and access to unemployment compensation benefits, comprehensive One-Stop system services, and employment and training activities, including information on the Trade Adjustment Assistance (TAA) program and the NAFTA-TAA program (19 U.S.C. § 2271 et seq.);

**(c)** The provision of guidance and/or financial assistance in establishing a labor-management committee voluntarily agreed to by labor and management, or a workforce transition committee comprised of representatives of the employer, the affected workers and the local community. The committee may devise and oversee an implementation strategy that responds to the reemployment needs of the workers. The assistance to this committee may include:

**(1)** The provision of training and technical assistance to members of the committee;

**(2)** Funding the operating cost of the committee to enable it to provide advice and assistance in carrying out rapid response activities and in the design and delivery of WIA-authorized services to affected workers. Typically, such support will last no longer than six months; and

**(3)** Providing a list of potential candidates to serve as a neutral chairperson of the committee.

**(d)** The provision of emergency assistance adapted to the particular closing, layoff or disaster.

**(e)** The provision of assistance to the local board and chief elected official(s) to develop a coordinated response to the dislocation event and, as needed, obtain access to state

economic development assistance. Such coordinated response may include the development of an application for National Emergency Grant under 20 CFR part 671. (WIA secs. 101(38) and 134(a)(2)(A).)

**§ 665.320** May other activities be undertaken as part of rapid response?

Yes. A State or designated entity may provide rapid response activities in addition to the activities required to be provided under § 665.310 of this subpart. In order to provide effective rapid response upon notification of a permanent closure or mass layoff, or a natural or other disaster resulting in a mass job dislocation, the State or designated entity may:

**(a)** In conjunction with other appropriate Federal, State and Local agencies and officials, employer associations, technical councils or other industry business councils, and labor organizations:

**(1)** Develop prospective strategies for addressing dislocation events, that ensure rapid access to the broad range of allowable assistance;

**(2)** Identify strategies for the aversion of layoffs; and

**(3)** Develop and maintain mechanisms for the regular exchange of information relating to potential dislocations, available adjustment assistance, and the effectiveness of rapid response strategies.

**(b)** In collaboration with the appropriate State agency (ies), collect and analyze information related to economic dislocations, including potential closings and layoffs, and all available resources in the State for dislocated workers in order to provide an adequate basis for effective program management, review and evaluation of rapid response and layoff aversion efforts in the State.

**(c)** Participate in capacity building activities, including providing information about innovative and successful strategies for serving dislocated workers, with local areas serving smaller layoffs.

**(d)** Assist in devising and overseeing strategies for:

**(1)** Layoff aversion, such as prefeasibility studies of avoiding a plant closure through an option for a company or group, including the workers, to purchase the plant or company and continue it in operations;

**(2)** Incumbent worker training, including employer loan programs for employee skill upgrading; and

**(3)** Linkages with economic development activities at the Federal, State and local levels, including Federal Department of Commerce programs and available State and local business retention and recruitment activities.

**§ 665.330** Are the NAFTA-TAA program requirements for rapid response also required activities?

The Governor must ensure that rapid response activities under WIA are made available to workers who, under the NAFTA Implementation Act (Pub. L. 103-182), are members of a group of workers (including those in any agricultural firm or subdivision of an agricultural firm) for which the Governor has made a preliminary finding that:

(a) a significant number or proportion of the workers in such firm or an appropriate subdivision of the firm have become totally or partially separated, or are threatened to become totally or partially separated, and either:

(b)(1) the sales or production, or both, of such firm or subdivision have decreased absolutely; and

(b)(2) imports from Mexico or Canada of articles like or directly competitive with those produced by such firm or subdivision have increased; or

(c) there has been a shift in production by such workers' firm or subdivision to Mexico or Canada of articles, which are produced by the firm or subdivision.

#### **4. Rapid Response Structure in Pennsylvania**

The Pennsylvania Department of Labor & Industry, Deputy Secretary for Workforce Development is responsible for the executive oversight of Pennsylvania's rapid response program under the Workforce Investment Act. Rapid Response Coordination Services within the Bureau of Workforce Development Partnership is responsible for the development of the policies and implementation of Pennsylvania's rapid response program.

Pennsylvania uses a regional approach in the delivery of rapid response assistance. Rapid Response Coordination Services staff is assigned to geographic areas comprised of one or more Local Workforce Investment Areas. For a directory of staff see **Attachment A**. Rapid Response Regional staff work closely with the PA CareerLink staff, the Local Workforce Investment Boards (LWIB) and/or Chief Elected Officials, meeting periodically to share information on layoffs and dislocations in order to plan an appropriate response.

#### **5. Goals and Philosophy of Rapid Response**

Most people experience a sequence of emotional responses when they lose a job. The response typically begins with denial, followed by anger, grief, depression and eventually acceptance. In addition to their income being temporarily affected, workers also lose their benefits, daily structure, attachment to co-workers, feelings of productivity, and the sense of dignity and self-esteem that come with being employed. For some workers, these negative emotions are so overwhelming that they can become obstacles to their job search and re-employment. As a consequence, these workers may need additional support dealing with the anger, stress and pessimism associated with job loss. When developing a plan to work with dislocated workers, it is important for the team of workforce development professionals to keep in mind the different emotional stages of the transition process. Workers who have not moved into the acceptance stage may not be receptive to dislocated worker outreach efforts. For this reason, plans should include more than one intervention opportunity to participate in services. It is also important to maintain realistic expectations and to treat dislocated workers with respect. The goal is to structure services to address the overall effects of job loss and customize them to the individual's needs.

The Pennsylvania's rapid response program aims to provide timely, relevant services to dislocated workers. Pennsylvania has incorporated the ten quality principles of rapid response found in Technical Employment and Information Notice (TEIN) 3-01 titled "Quality Rapid Response Principles" which is available in **Attachment B**.

In order to organize a broad-based response to dislocation events the Rapid Response staff must form a core Rapid Response Team that includes local agencies and organizations. The Rapid Response staff mobilizes agencies and community resources to create a seamless, integrated service strategy that assists the workers in their transition to re-employment.

With this in mind, the preferred model is to establish a core Rapid Response Team in each local workforce area or group of PA CareerLinks with a cadre of speakers that can represent any PA CareerLink in that area. Each PA CareerLink will provide a qualified staff person who will act as a spokesperson for all PA CareerLink services. The core Rapid Response Team include a representative from the Unemployment Compensation Service Center, PA CareerLink, Children's Health Insurance Program, United Way, and Consumer Credit Counseling. Additionally, the Rapid Response staff is responsible for forming a network of agencies and organizations that forms a second tier of Rapid Response Team members that can be mobilized to address a specific need of the employer/job seekers, such as PA Dept. of Public Welfare, Social Security Administration, Employee Benefits Security Administration, etc. The Rapid Response staff leads the core team and ensures that there is regular communication among Rapid Response team members concerning dislocation events in the area.

The Department of Labor & Industry has identified layoff aversion and business and job retention as important components of workforce development. The Rapid Response Regional staff is charged with expediting linkages between at risk companies and local and state economic development entities. To this end, Pennsylvania's rapid response program includes support of the Strategic Early Warning Network (SEWN) operated by the Steel Valley Authority in conjunction with Local Workforce Boards. Through SEWN, early warning mechanisms are established to identify firms at risk of leaving or closing prior to the actual decisions by companies to shut down or move. The services include timely identification of at risk businesses; initial viability assessments; key services delivery and prefeasibility studies.

While most layoffs cannot be averted, early intervention in a dislocation or closure event is critical to ensure that the local workforce systems have the ability to ensure that there is a service strategy tailored to the dislocation event and that there are sufficient resources to execute this strategy and that workers have ample opportunity to develop a re-employment strategy.

## **6. Trigger and Notification**

The WIA Final Regulations discusses what triggers rapid response activities. The preamble states, "Rapid response activity may be triggered by a variety of information sources such as public announcements or press releases by the employer, and other less formal information developed by early warning networks, individual phone calls or other sources. A rapid response contact with an employer may confirm a planned plant layoff or closing. "Public knowledge" is, however, a very elusive concept and public funds are limited. It is important to have a credible source of information or confirmation from the employer or some other clearly credible evidence of an imminent dislocation event before triggering rapid response."

In Pennsylvania, rapid response is triggered when the Rapid Response Coordination Services staff become aware of a potential substantial layoff or company closure, whether or not advance notice is received. Substantial layoff is addressed in **Attachment C**. The Rapid Response staff initiates rapid response activities upon receipt of (1) a WARN (2) Trade Act petition filing or (3) after they confirm a public announcement or rumor of a closing or layoff.

The Rapid Response staff is required to develop and maintain a network of contacts within their regions to secure leads on possible dislocation events in order to have the lead-time necessary to activate a layoff aversion process and to initiate an early intervention process to assist workers, their families, and their communities.

## **7. Fact-Finding – Initial Company Contact**

Upon receiving first notice of a layoff or closure, the Rapid Response staff verifies the layoff through contact with employer representatives. Contact is made with the employer and union(s) to market rapid response activities, to gather essential facts and to establish a date for a rapid response service-planning meeting.

The Rapid Response staff attempt to secure these essential facts during the first telephone contact with the company representative. Each situation is different and there are times that the fact-finding will be incorporated into the rapid response service-planning meeting. The goal is to gather the information at the earliest point possible.

The Rapid Response staff will gather the following information:

- Verify the report of dislocation activity and reason for the dislocation.
- Determine the cause, size and timing of dislocation. If the dislocation has already occurred, request worker contact information.
- Offer the Trade Act program information and petition if the cause of the layoff is due to a shift in production to another country or the impact of imports.
- Obtain the names of the union president(s) and other union officials at the facility.
- Determine whether the company has been working with local or state economic development agencies in order to retain the business in Pennsylvania. If so, determine the status of those discussions. If no, determine whether the company would entertain a referral for layoff aversion.
- Ask about any disputes between the employer and the union to avoid exacerbating the labor-management rift.
- Inquire about what the company does, what products it makes or services it provides and the types of occupations and skills group(s) that are being affected.
- Request a skills list or job descriptions and a list of impacted workers.
- Determine the names of local companies that have been their competitors for workers. Ensure that there is follow up with the competitors to market the existing workers.
- Determine if there are local suppliers/finishers that may be impacted by the closure or related to the layoff.
- Schedule an on-site rapid response service-delivery planning meeting. It is important to inform the employer that the union representative will be contacted and asked to participate in the initial meeting. If the employer objects, let the employer know that a meeting will be held separately with the union.

- Determine scope of the response based on PA thresholds for rapid response (see **Attachment C**). Contact appropriate partner agency representatives for participation in the fact-finding meeting.

## **8. Rapid Response Service Planning Meeting**

Rapid response service planning is a three-part process. Because of economic volatility and business cycles this process may not flow in the exact sequence. However, the goal is to develop a specific timely service plan to help manage worker's transition.

The first part takes place when the Rapid Response staff shares information about specific needs gathered during the fact-finding with the Rapid Response Team members in order to make a preliminary assessment of resource availability and staff capacity.

The second part takes place with the Rapid Response Team, the company and the union. At this juncture, the worker information meeting(s) are scheduled, ideally on company site and company time. Additionally, Rapid Response staff will request that the employer and/or union distribute dislocated worker surveys prior to the information meetings to gather critical information for the service planning process. A standard dislocated worker survey has been developed and a copy can be found in **Attachment D**. The survey can be customized to meet the needs of the impacted worker group. The survey results will be shared with appropriate Rapid Response Team staff and the Dislocated Worker Transition Team. While it is not preferable, the survey can be completed at the information meeting if the employer or union is unwilling to distribute the survey.

The third part of service delivery planning takes place after the meeting with the company and union. The character of this meeting depends on the size of the layoff, the layoff timeframe; and special needs or opportunities presented by the dislocation event. A service-planning guide has been developed that the Rapid Response staff will use to facilitate the service planning process. A copy of the Service Planning Guide can be found in **Attachment E**. Rapid Response staff will remain involved through this process to ensure that appropriate services are provided.

Regardless of the sequence of events, communication and planning in collaboration with the company, unions, LWIAs, core Rapid Response Team members, etc. is needed to assess the needs of the affected workers and begin the development of the service strategy. The Rapid Response staff will ensure that these entities take responsibility for service plan execution.

## **9. Rapid Response Information Meeting(s) Coordination**

Ideally the Rapid Response Team should provide worker information meetings at the company site and on company time. Multiple sessions can be held over the course of a day in order to accommodate all work shifts, keeping the number of participants at a session at a manageable level, and provide flexibility to accommodate different languages and professional levels.

Since dislocated workers may be stunned by the layoff announcement and may have trouble recalling information presented at the meeting, written materials summarizing the information presented along with a list of the names, addresses, email addresses, websites and phone numbers of relevant agencies should be distributed to participants. Partner agency presentations should include schedules of programs, workshops and other resources the workers may need.

During the meeting workers are provided with information about a wide range of community assistance and associated topics including but not limited to:

- Unemployment Compensation (UC).
- PA CareerLink services and sites.
- Agency coordination with employer-contracted outplacement firms when appropriate and provided.
- Early information about what to expect emotionally and financially from being laid off.
- Presentations on coping with job loss.
- Availability of credit counseling.
- Overview of local labor market opportunities.
- Alternative health care products (Children's Health Insurance Program (CHIP), Adult Basic).
- Prescription drug programs and free clinics.

A summary of the types of jobs available in the market, training needed to obtain employment, jobs paying similar wages, and where to look for jobs in industries that are hiring is also very important. Such information may help dislocated workers begin to think realistically about their future employment opportunities. Although worker orientations may include information about welfare, food stamps and other social services, this information must be handled carefully as workers may become even more frightened about their financial future, further contributing to their stress levels.

Unfortunately for both the impacted workers and the community, employer cooperation with the Rapid Response Team is neither guaranteed nor required under the law during a mass layoff and/or company closure. If the company prefers to limit or refuses to allow access to the impacted employees on their property and time, there are other effective strategies that can be used to notify dislocated workers of the services available to them. These include: arranging a meeting through the local union (if applicable), distributing flyers at the company entrance and gates on the adjacent public property, working with community organizations that assist with layoffs, providing outreach at PA CareerLink and using Unemployment Compensation data to develop a mailing list of all company workers.

It should be emphasized that using these strategies is not in the best interest of the dislocated worker and should only be considered when the employer refuses to cooperate. Every good faith effort should be pursued in order to gain the assistance of the employer for the benefit of the workers.

## **10. Dislocated Worker Transition Teams**

The Workforce Investment Act requires states to promote the formation of labor-management committees to devise and oversee an implementation strategy that responds to the reemployment needs of workers in the event of a permanent closure or mass layoff, or a natural or other disaster resulting in a mass job dislocation. Pennsylvania uses the term "Dislocated Worker Transition Team"(DWTT) rather than the term "Labor-Management Committee" to ensure that all parties understand that the team has no collective bargaining role.

The DWTT is a group of workers and managers organized on behalf of the entire affected workforce to advocate for access to services and to reduce the effects of worker dislocation. Ideally, a DWTT includes a cross-section of all affected employees selected by their coworkers.

The transition team's purpose is to join with service providers and other stakeholders to develop and implement a transition plan for the impacted workers. The intent is that individuals facing layoffs will be informed of available federal, state, and local public resources plus any contributions from employers, organized labor, and other community organizations in order to transition more easily into reemployment. DWTTs have been very successful informing and encouraging workers to use agency services. DWTTs have also been instrumental in assisting in the creation or revision of services to meet specific needs of a workforce. Access to information about these resources will help dislocated workers move to new and self-sustaining jobs. Pennsylvania's policy on Dislocated Worker Transition Teams is contained in WIIN 2-06 that can be accessed by logging onto the PA Workforce website at [www.paworkforce.state.pa.us](http://www.paworkforce.state.pa.us), see **Attachment F**.

## **11. Record-Keeping**

At the time of notification of a company closure or layoff, Rapid Response staff establishes a record on each dislocation event. The Bureau of Workforce Development Partnership maintains the Rapid Response WARN/ Public Notice database on the Department's intranet server. In addition to the electronic file contained in the Rapid Response WARN/PN database, each Rapid Response staff maintains paper files with significant documents concerning the case.

## **12. Additional Funding Resources**

During the service delivery-planning stages Rapid Response staff will be involved with the LWIAs impacted to determine the need for additional funds to serve the workers. If these entities determine they do not have funds through regular dislocated worker formula funds to design and implement the services, Rapid Response staff can guide them through the process of requesting additional funding. Additional funding resources can be accessed through Rapid Response Additional 25% Funds, Regional Innovative Grants (RIG) and National Emergency Grants (NEG).

States can reserve up to 25 percent of formula-allotted WIA dislocated worker funds for rapid response activities. Once the state has reserved adequate funds for rapid response activities described in WIA Sec. 665.310 and 665.320, the remainder of the funds may be used by the state to provide funds to local areas that experience increased numbers of unemployed individuals due to natural disasters, plant closings, mass layoffs or other events, for provision of direct services to participants, intensive, training, and other services, if there are not adequate local funds available. Pennsylvania's policy on the criteria for awarding rapid response funds can be found in WIIN 6-99 change 2 that can be found by logging on the PA Workforce website at [www.paworkforce.state.pa.us](http://www.paworkforce.state.pa.us).

Under WIA, National Emergency Grants (NEGs) provide supplemental dislocated worker funds to states, local boards and other eligible entities in order to respond to the needs of dislocated workers and communities affected by major economic dislocations and other worker dislocation events that cannot be met with other funding. These funds are awarded to states on a case-by-case basis through a grant application process.

Instructions for submitting applications for NEGs are published in the Federal Register. The Rapid Response Supervisor makes a recommendation to the Rapid Response-Trade Section Chief on the necessity to apply for a NEG using service plan developed by the Rapid Response Team and the analysis of the availability of funds at the state and local level.

Also utilizing NEG funding, Regional Innovative Grants (RIG) may be available to develop strategic and transformative regional plans that, when implemented, will shorten or eliminate the time from worker dislocation to reemployment. Prerequisites of a successful RIG application include a pending or current dislocation event, along with a plan for staff assisted core, intensive and training services in collaboration with the rapid response process.

Rapid Response staff must also determine the possibility of trade impact on a dislocation and provide a Trade Act petition and information, if needed, and explore impact on secondary firms. The Trade Adjustment Assistance (TAA) provides aid to workers who lose their jobs or whose hours of work and wages are reduced as a result of increased imports or a shift in production to another country. TAA offers a variety of benefits and reemployment services to assist unemployed workers prepare for and obtain suitable employment. Workers may be eligible for training, job search and relocation allowances, income support, Health Coverage Tax Credit and other employment services. Such Trade Act program services complement and enhance WIA dislocated worker services and is offered in unison, to provide one comprehensive wrap-around service strategy for the worker. For more information on rapid response services when there is a Trade petition filing/certification and integration of WIA and Trade Act services please refer to WIIN 12-03 and WIIN 13-02 on the PA Workforce website at: [www.paworkforce.state.pa.us](http://www.paworkforce.state.pa.us).

### **13. Action Required**

All Rapid Response staff, PA CareerLinks, and Local Workforce Investments Areas are to refer to this issuance as clarification of requirements and activities associated with rapid response services.

### **14. Attachments**

- Attachment A: Rapid Response staff directory
- Attachment B: TEIN 3-01 Quality Rapid Response Principals
- Attachment C: Threshold of Rapid Response in Pennsylvania
- Attachment D: Dislocated Worker survey
- Attachment E: Fact-finding service planning checklist
- Attachment F: Dislocated Worker Transition Team WIIN 2-06

### **15. Expiration Date**

Ongoing.

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Equal Opportunity Employer/Program***

**PENNSYLVANIA DEPARTMENT OF LABOR & INDUSTRY**  
**Bureau of Workforce Development Partnership - Rapid Response Coordination Services**  
**Directory – July 14, 2008**

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<b>U. S. Department of Labor</b> <b>Employment and Training Administration</b> <b>Washington, D.C. 20210</b>	<b>CLASSIFICATION</b> Rapid Response
	<b>CORRESPONDENCE SYMBOL</b> OAS
	<b>DATE</b> October 3, 2001
<b>RECISIONS – None</b>	<b>EXPIRATION DATE - Continuing</b>

**TRAINING AND EMPLOYMENT INFORMATION NOTICE NO. 3-01**

TO : ALL STATE WORKFORCE LIAISONS  
ALL STATE WORKER ADJUSTMENT LIAISONS  
ALL ONE-STOP CENTER SYSTEM LEADS  
ALL STATE WORKFORCE AGENCIES

/s/

FROM : EMILY STOVER DeROCCO  
Assistant Secretary

SUBJECT : Quality Rapid Response Principles

1. **Purpose.** To provide the workforce development system with a set of Quality Principles for Rapid Response.
2. **Background.** In December 1997, the Employment and Training Administration (ETA) launched an initiative to improve the delivery of Rapid Response assistance and early intervention services. As a result, a National Rapid Response Workgroup was formed. The Workgroup, now known as the National Dislocated Worker Workgroup, is comprised of State and local area representatives identified as experienced practitioners of effective Rapid Response, as well as ETA National and Regional Office representatives from several programs, and a representative from the AFL-CIO Working for America Institute.  
  
The Workgroup and ETA have explored various means of disseminating effective Rapid Response practices. Conferences in 1999 and 2000 were attended by over 1200 practitioners engaged in dislocated worker services. Other efforts include development and publication of documents and resources materials. The foundation of all Workgroup activities and Rapid Response technical assistance activities and products is the following principles.
3. **Quality Rapid Response Design Principles.** During discussions with Rapid Response practitioners participating in the National Rapid Response Workgroup, ten quality Rapid Response design principles were identified as being essential to continuous improvement and enhancement of services. Incorporating these principles into Rapid Response activities can enhance the experience of workers, employers and communities involved in any type of dislocation. The principles are attached.
4. **Action Required.** State Workforce Agencies and Liaisons are requested to share these principles with all State Rapid Response Dislocated Worker Unit staff, local Workforce Investment Boards, One-Stop program operators, and other partner agencies involved in coordination efforts related to provision of Rapid Response and early intervention services.
5. **Inquiries.** Questions regarding the Quality Rapid Response Design Principles should be directed to your Regional Office.
6. **Attachment.** Ten Quality Rapid Response Principles.

Office of Adult Services  
Division of Adult and Dislocated Workers  
National Dislocated Worker Workgroup

**Quality Rapid Response Principles**

**1. Timeliness** - The more quickly Rapid Response is begun, the more time is available for workers to overcome their fears and begin their re-entry into the workforce. Early intervention allows employers and workers to communicate about worker concerns, to take advantage of worker transition committee opportunities, to initiate peer worker projects, and to identify, design and oversee layoff aversion and incumbent worker strategies.

Having time available to undertake these activities can lead to improved morale and productivity and lower worker absenteeism due to reduced stress. There may also be fewer problems associated with workplace sabotage. In addition, the workers may be able to begin services, including training, before they are laid off. The sooner this process is begun, the sooner it can be completed and the more likely that the full array of needed services can be provided to help dislocated workers obtain re-employment. It is beneficial to conduct as much of the process as possible while workers are still employed or while unemployment insurance benefits, severance payments or other financial resources are available.

It is important as well to link Rapid Response with the Trade Act programs to deliver timely benefits and services to trade-affected workers.

Including Trade Act representatives or staff trained in Trade Act programs on Rapid Response teams can benefit workers through earlier filing of Trade Adjustment Assistance or

North America Free Trade Act-Transitional Adjustment Assistance petitions, thereby increasing the likelihood that the petitions will be approved by the time of the layoff. The Rapid Response team should also gather information from the employer that would assist in early identification of firms whose workers might be secondarily affected.

**2. Convenience** - Affected workers are better served when meetings and other Rapid Response events are provided on-site rather than off-site, and when individuals are not required to accommodate their working schedules to One-Stop Center regular operating hours. "On-site" means at a convenient place for the workers. This can be at a work site, when the employer permits and there is space available; at a site close to the workplace; or at a local community center or union hall. On-site promotes convenience and ease of access for the workers. Also, the workers are in familiar surroundings and near their coworkers. Ongoing services may or may not be provided on-site depending on various factors including logistics and how many workers are involved. Special hours outside of regular operating hours of the One-Stop may be needed to assure optimal access to early intervention services.

**3. Customer Choice** - The State Rapid Response Dislocated Worker Unit (DWU), in collaboration with local Boards and One-Stop operators, ensures that as many Rapid Response strategies are available and used as are appropriate to the event. The DWU and One-Stop, in consultation with the employer, the worker and worker representative (and the union if present), will determine which services will be made available. Customization of

services for the specific population being laid off enhances the success of Rapid Response in helping people transition back to employment.

It is recommended that Rapid Response practitioners administer a worker survey prior to or during orientation sessions. A survey can provide a snapshot of worker interests and profiles and is one of many pieces of information that need to be gathered. The usefulness of the survey data will depend on the information available on the dislocation at that point, and how the workforce is facing the reality of the layoff. It is important that every worker voices his or her needs.

**4. Consistent and Accurate Information** - Rapid Response practitioners provide information to workers, employers, worker representatives, and the community. The information concerns the availability of services such as unemployment compensation, labor market information and strategies for re-employment, as well as Trade Act program information where appropriate. In order to maximize the utility of the information, it needs to be consistent, accurate, locally-driven and timely. Also, in the best situations, information will be specific to the work site and will include non-job specific referrals to services and agencies. Rapid Response staff and their partners at the state and local level must engage in an ongoing information gathering process and establish contacts that can provide information for dislocated workers.

**5. Leveraging Resources** - State Rapid Response resources, combined with other available resources, should provide workers with services they need to ease the adjustment process and return to productive employment. These should include services that are provided by the employer, union, community (including volunteer, religious, and service organizations) and other partners. Resources can be in-kind (equipment, staff time, space and so on) or cash. The foundation for leveraging resources for a specific layoff should be laid in advance by identifying all the resources available and thinking through the needs of dislocated workers. When learning about a specific layoff, these resources can be fine-tuned and organized to meet the needs of that group of workers. By leveraging and coordinating resources, a wider range of assistance can be directed at the effort to help workers and their families adjust to job loss and help the workers re-enter the workforce. Also, leveraging resources shows the workers that there is a support network for them beyond Rapid Response activities and the local One-Stop.

Early intervention and a timely certification of Trade Act petitions provide an additional resource to One-Stop operators to design individual service strategies for trade-affected workers that may include job search and relocation allowance, training, and income support in addition to the mix of core and intensive services provided to all dislocated workers in a One-Stop center. Through cooperative arrangements with One-Stop partners, as well as with company and union officials, community-based organizations, and agencies with federal, State and local funding, a more effective and efficient use of available resources is possible.

The delivery of services provided by different agencies, programs or groups needs to be seamless; that is, the differences in programs or source of funding should be invisible to the customer. In order for this to occur, thorough coordination among partners and stakeholders is essential. The basis of coordination is a solid understanding of one another's goals and practices, and a willingness to work together so the customers (the workers and employer) have a smooth and productive experience. Written agreements, procedures, and common information systems can all help. These agreements can be based on a master state-developed agreement that is similar to an MOU or can be based on a standard framework that

is customized to each dislocation event. A good communication system among all parties is also essential.

Fully integrating the Trade Act programs into the One-Stop service delivery system ensures that trade-affected workers have access to the same comprehensive services as all dislocated workers. Providing services to trade-affected workers through One-Stop outreach, intake and assessment processes should ensure a seamless delivery of services where the various programs are invisible to the customer and opportunities for increased performance outcomes are maximized.

**7. Active Promotion** - Active promotion means having a strategy for making employers, workers and others aware that Rapid Response exists and is available to help. It can involve the dissemination of information through brochures, presentations at meetings with employer groups (Chambers of Commerce and others) and unions, public service announcements, and networking activities. A comprehensive marketing and promotion approach is necessary to ensure that employers, workers, and others (organized labor, community groups, etc.) involved in dislocation events are aware and take full advantage of the wide range of reemployment services available to all dislocated workers. When promotion is an ongoing activity, Rapid Response is more likely to be successful.

**8. Layoff Aversion** - Layoffs should be averted through the use of strategies that help retain or save jobs, if possible. With a range of tools and relationships with other programs and organizations, the Rapid Response team is in an ideal position to coordinate aversion strategies. In many cases, the Rapid Response staff may refer companies to other entities that can help to avert a layoff. The aim of the aversion could be to help the company make changes so that layoffs are reduced or completely avoided. In other cases, the strategy will be to find a buyer so that the layoffs are averted in that way.

**9. Measures of Success** - Measurable goals established by State and local programs will provide valuable feedback to allow staff to determine whether Rapid Response activities are successful and to identify potential problems. By determining whether a goal has been met, Rapid Response staff will have the information necessary to make changes that will ensure continuous improvement of Rapid Response activities.

**10. Partnerships** - Partnerships help communities pull together during a dislocation because they can lead to the allocation of additional resources and information to address a dislocation. Some common partners that are involved in Rapid Response events are the local One-Stop operator, Unemployment Insurance, Trade Adjustment Assistance (TAA), and local economic development agencies. Other groups that are also sometimes involved in dislocation events include a variety of One-Stop partners such as vocational rehabilitation, childcare agencies, mental health services, and community-based organizations. The involvement of additional partners in a particular Rapid Response event is flexible to reflect the needs of that unique workforce.

For more information on Rapid Response and on other Dislocated Worker issues, visit the U.S. DOL's Dislocated Worker website at [www.doleta.gov/layoff](http://www.doleta.gov/layoff)

September 2001

## THRESHOLD OF RAPID RESPONSE IN PENNSYLVANIA

The Workforce Investment Act, Final Rules 20 CFR §665 C states: “Rapid Response assistance begins at the dislocation site as soon as a state has received a WARN notice, a public announcement or other information that a mass dislocation or plant closing is scheduled to take place.” WIA allows states to set thresholds lower than those in the WARN Act, allowing for regional differences, and recognizing local economic conditions.

In the Preamble to the Workforce Investment Act, Final Rules, the Department of Labor explains: “We believe that the definition of “substantial layoff” for WIA purposes is best left to State and local areas to decide in light of their particular economic conditions”. The Rapid Response Coordination Services (RRCS) regional representatives are the point of contact for all of these sources to confirm the facts in each case, to gather the information to determine if there is a Rapid Response event, and, coordinate with partner agencies to provide services.

The following policy meets the requirements and spirit of the Workforce Investment Act; building on the best practices and lessons we have learned over the preceding decade. Therefore, RRCS regional representatives will consult with the appropriate representative of the Local Workforce Investment Board to establish the thresholds for Rapid Response in local areas. To ensure they reflect current economic outlook and labor market conditions, these policies should be reviewed regularly.

### **Policy:**

Rapid Response Assistance will be initiated whenever one of the following occurs:

- An employer files a notice with the Director of the Bureau of Workforce Development Partnership (BWDP) pursuant to the Worker Adjustment Retraining Notification (WARN) Act.
- The Department of Labor and Industry, (BWDP) RRCS regional representatives certify that a “public notification” of a dislocation event has been given. The dislocation event may be caused a mass layoff, plant closure, or natural disaster.
- When a petition under the Trade Act is filed.

A non-WARN dislocation event will be certified, and Rapid Response will be initiated, whenever the following conditions occur.

- A plant closing with an employment loss of at least 50 employees in any 30 day period, excluding part-time employees, resulting from a permanent or temporary shutdown at a single site of employment, or one or more facilities or operating units with in a site of employment.
- A mass layoff which involves a business enterprise which employees 100 or more “full time” employees has a reduction in force which is not the result of a plant closing at a single site of employment during any 30-day period for:
  - At least 33% of the employees, with a minimum of 50 employees, excluding part-time employees; or
  - At least 500 employees, excluding part time employees.
  - The 33% determination is affected by the 90 day aggregation rule which allows the combination of groups smaller than 50 when the layoffs are caused by the same factors.

**Note:** All facilities of the same employer are added together to determine whether the 100-employee limit is met. Full time is defined as 20 or more hours per week.

Rapid Response assistance may be provided when a plant closing or layoff with an employment loss of less than 50 employees occurs. In these instances, RRCS staff will consult with the local Rapid Response team to determine the appropriate level of response. Factors to be considered include:

- Local unemployment rate
- Demand for services
- Economic impact of the dislocation in the local area

It may be determined that a modified response is appropriate such as when:

- Local PA CareerLink staff drops off or distributes RR information packets to the workers.
- A limited Information meeting is provided using minimal agency staff and distributing the RR information packets to the workers.
- Local PA CareerLinks invite the workers to the local PA CareerLink office for information and services.

***Auxiliary aids and services are available upon request to individuals with disabilities.  
Equal Opportunity Employer/Program***

**Dislocated Worker INFORMATION SURVEY**

**ATTACHMENT D**

The Rapid Response Coordination Services surveys each group of workers to find out their special characteristics. Please take a few minutes to answer the following questions. The results will be used to design appropriate services.

Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ County: \_\_\_\_\_ State: \_\_\_\_\_ Zip \_\_\_\_\_  
Phone (\_\_\_\_) \_\_\_\_\_ e-mail: \_\_\_\_\_

\*\*The information requested here will be kept confidential, however it may be shared with agencies that provide services in which you have indicated an interest. Your specific responses will not be used to determine eligibility for available programs and services.\*\*

**Employer Name** \_\_\_\_\_ **Current Job Title:** \_\_\_\_\_  
**How long have you worked for this employer?** \_\_\_\_\_ **Rate of Pay** \_\_\_\_\_ **hourly or annual**

Do you have a High School Diploma or GED? Yes \_\_\_\_\_ No \_\_\_\_\_  
Do you have a college degree? Yes \_\_\_\_\_ No \_\_\_\_\_  
- If yes, please check degree type: associates \_\_\_\_\_ bachelors \_\_\_\_\_ other \_\_\_\_\_  
- College Major: \_\_\_\_\_  
- If not, have you completed any college courses? Yes \_\_\_\_\_ No \_\_\_\_\_  
What are your computer skills? \_\_\_\_\_ none \_\_\_\_\_ basic \_\_\_\_\_ intermediate \_\_\_\_\_ advanced

Do you have transportation on a regular basis? Yes \_\_\_\_\_ No \_\_\_\_\_  
Are you a military Veteran? Yes \_\_\_\_\_ No \_\_\_\_\_

**What types of programs would be of most help to you? (Check all that apply)**

*On the reverse side of this form you will find the definitions for programs and services*

- |   |  |
|---|--|
| <input type="checkbox"/> Basic Computer Skills  | <input type="checkbox"/> Intermediate/Advance Computer                       |
| <input type="checkbox"/> Basic Reading/Writing or Math  | <input type="checkbox"/> Budget Planning/Counseling                          |
| <input type="checkbox"/> English as a Second Language   | <input type="checkbox"/> Financial Planning                                  |
| <input type="checkbox"/> GED Courses and/or Testing   | <input type="checkbox"/> Stress Management                                   |
| <input type="checkbox"/> Resume Preparation or Critiquing   | <input type="checkbox"/> Starting a Business                                 |
| <input type="checkbox"/> Job Search Skills Workshop   | <input type="checkbox"/> Health Care Options                                 |
| <input type="checkbox"/> Interviewing Skills Workshop   | <input type="checkbox"/> Childcare Information                               |
| <input type="checkbox"/> Identifying Skills, Aptitude, Interest   | <input type="checkbox"/> *Skills Training to Upgrade/Update                  |
| <input type="checkbox"/> Labor Market Information   | <input type="checkbox"/> *College Course(s)                                  |
| <input type="checkbox"/> *Training for licensure/certification or Other Info<br>(please specify): _____ | <input type="checkbox"/> Information on applying for government job openings |

Have you ever used the PA CareerLink Web-site for a job search? Yes \_\_\_\_\_ No \_\_\_\_\_  
If yes, are you enrolled on the Web-site: ([www.pacareerlink.state.pa.us](http://www.pacareerlink.state.pa.us))? Yes \_\_\_\_\_ No \_\_\_\_\_

**Comments about the Rapid Response Informational Meeting**

Was the meeting helpful to you? \_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Unsure \*\*Did not attend Meeting \_\_\_\_\_

Please provide your comments regarding what was or was not helpful, or suggestions on how future presentations could be improved.

*Definitions of programs and services listed on the front of this form:*

**Basic Computer Literacy or Intermediate/Advanced Computer Skills Training** – Group instruction or self-directed on-line tutorial in a computer-training program.

**Basic Reading/Writing/Math Skills** – Referral to an agency for Adult Basic Education training.

**G.E.D. Classes** – Training to assist with preparation for the General Equivalency Diploma tests.

**English as a Second Language** - Referral to an agency that teaches English to limited or non-English speaking individuals.

**Resume Preparation (Resume Writing Workshop)** – Group instruction on designing a resume. This workshop may include **Resume Critiquing** - a one-on-one review of current resume.

**Job Search workshop** – Group instruction on how to network, search for work, etc.

**Interviewing Skills Workshop** – Group instruction on how to interview.

**Identifying Skills, Aptitude, & Interest Skills** – May be group, individual, or computerized assessment of current interests, skills, and aptitudes to assist in career choices and decision-making.

**Labor Market Information** – Information on industries and occupations within the area, along with growth and decline; available jobs and potential wages; and skills needed for available jobs.

**\*\*Skills Training/College Course(s)** – Training to gain marketable skills, at an approved school for eligible individuals. From the front of form this defines: Skills Training to Upgrade/Update, College Courses, and Training for Licensure or Certification.

**Obtain an Occupational Certification/License** – Training for certification or license at an approved school for eligible individuals.

**Budget Planning Workshop** – Group instruction on general household budgeting principals.

**Financial Planning** – Group instruction, which can include a number of critical areas: retirement planning, insurance, tax planning, investment management, cash management, budgeting, and educational funding and planning for long-term care

**Stress Management** – Referral to an agency providing this service.

**Starting a Business** - Informational workshop on how to start a new business.

**Healthcare Information** – Literature on applying for healthcare insurance program.

**Childcare Information** –Information on subsidy and childcare facilities.

**Information on Applying for Government Job Openings** – Learn how to locate information on federal, state, and local government positions and information on the application and testing process.

**Other** – If you have an interest in anything other than what is listed, please specify.

## Service Planning Guide

### Determine needs of workers based on employer fact-finding and DW surveys:

1. Multiple or single site(s)
2. Staggered lay off or specific layoff date
3. Multiple employers
  - Action items:
    - Survey workers
    - Determine worker needs based on gathered information
    - Develop a timeline for services

### Identify resources for services:

1. Employer/union contributions
2. RRCS information and BRI sessions
3. WIA(s) involved – Identify the lead WIA
4. PA CareerLink(s) involved – Identify the lead PA CareerLink
5. Partner agencies in the PA CareerLink(s)
6. Community agencies

### Determine the location for service delivery, Pre and Post layoff

#### Staffing needs based on timelines and demographics

1. Add staff in the PA CareerLink, long term or short term
2. Temporary staff hired – who will fund the staff

#### Develop a project budget

- |  |  |
|--|--|
| <ol style="list-style-type: none"> <li>1. Funding source           <ol style="list-style-type: none"> <li>a. WIA               <ol style="list-style-type: none"> <li>(1) Formula</li> <li>(2) RR Additional</li> <li>(3) NEG</li> </ol> </li> <li>b. NEG</li> <li>c. Trade</li> <li>d. Other</li> </ol> </li> </ol> | <ol style="list-style-type: none"> <li>2. Create a preliminary estimate of costs           <ol style="list-style-type: none"> <li>a. Services costs, remediation, LEP, classroom, training, OJT, supportive services, etc. for number to be served</li> <li>b. Staff</li> <li>c. Sites and equipment for services</li> <li>d. Office supplies, faxes, mailings, phones, copying, etc.</li> <li>e. Other costs</li> </ol> </li> </ol> |
|--|--|

PLANNING ACTIVITY	WHO	MONTH/WEEK											
<b>Determine the location for service delivery</b>													
Identify if the employer is providing space for onsite service delivery													
Identify the most appropriate PA CareerLink office based on worker residence and/or location of worksite													
Determine if an alternate sites is needed to deliver early intervention services such as recruitment, orientation, and core and intensive workshops for a short term period													
Based on the schedule of layoffs, determine if the local PA CareerLink can accommodate the expected customer demand throughout the project													
Identify need to establish a permanent project specific transition center (not donated by the employer)													
Estimate cost of maintaining alternate sites													
I. Determine staffing needs													
Determine if the staffing at the one-stop is sufficient to provide service													
If current staff is not sufficient will additional staff be needed for ramp up period or entire project													
Can staff from other PA CareerLinks be temporarily assigned to accommodate the provision of early intervention services													
If PA CareerLink staff are not sufficient, identify sources for temporary staffing assistance													
Determine contracting process for temporary staff													
Develop Project Budget													
Identify the resources: (1) company/union provided (2) Trade Programs (3) WIA (4) Other													
Make a preliminary estimation of the need for training based on the skills sets of the workers and the local labor market and associated cost													
Estimate project costs and check Local resource levels to determine if additional funds should be requested from the State or U.S.DOL													



**PA Department of Labor & Industry**  
**Workforce Investment Center**  
**Bureau of Workforce Development Partnership**  
**WORKFORCE INVESTMENT INFORMATION NOTICE NO. 02-06**  
**July 6, 2007**

July 6, 2007

**TO:** ALL UNEMPLOYMENT COMPENSATION SERVICE CENTERS  
ADMINISTRATION  
ALL PA CAREERLINK ADMINISTRATORS  
ALL WIA TITLE I PROGRAM OPERATORS  
ALL WIA FISCAL AGENTS  
ALL RAPID RESPONSE REGIONAL REPRESENTATIVES  
ALL BUREAU OF WORKFORCE DEVELOPMENT REGIONAL STAFF AND  
ALL SECTION CHIEFS

**CC:** ALL WORKFORCE INVESTMENT BOARD DIRECTORS

**FROM:** JOHN C. VOGEL, Director  
Bureau of Workforce Investment

**SUBJECT: DISLOCATED WORKER TRANSITION TEAM POLICY**

**INQUIRIES** If you have questions concerning this issuance, please direct inquiries to:

Sharon Burk                      [shburk@state.pa.us](mailto:shburk@state.pa.us)                      (814) 940-6232

Terri Zimmerman                [tezimmerma@state.pa.us](mailto:tezimmerma@state.pa.us)                (570) 963-4814

1. **Purpose**

The purpose of this Dislocated Worker Transition Team Policy is to provide direction and guidance for the formation and operation of Dislocated Worker Transition Teams in Pennsylvania.

2. **Reference**

Workforce Investment Act Section 101(38)(c).

3. **Discussion**

The Workforce Investment Act of 1988 requires that Rapid Response Activities include “assistance in establishing a labor-management committee, voluntarily agreed to by labor and management, with the ability to devise and implement a strategy for assessing the employment and training needs of dislocated workers and obtaining services to meet such needs.”

Pennsylvania uses the term “Dislocated Worker Transition Team” rather than the term “Labor-Management Committee” to ensure that all parties understand that the team has no collective bargaining role. Regardless of its name, the Dislocated Worker Transition Team’s purpose is to join with other stakeholders in plan development and implementation with the intent that individuals facing layoffs are able to use available federal, state, and local public resources, plus any contributions from employers, organized labor and other community organizations.

The Dislocated Worker Transition Team (DWTT) is usually made up of both hourly and salaried workers affected by a specific dislocation event. DWTT member recruitment can be accomplished through labor unions, the employer, or by asking for volunteers at the employee information meetings. The DWTT serves as an advocate for the entire affected workforce to ensure access to services and reduce the impact of the dislocation. The DWTT utilizes a self-help approach that involves affected workers in the planning of transition activities. The workers and/or their union, the company, and the community can all benefit by working cooperatively to implement a plan that will maximize available resources and lead to earlier reemployment.

When member selection is complete and the chair is in place, it is important for the Rapid Response Representative to facilitate committee orientation and training sessions. Performing committee tasks often requires new skills in group dynamics, group problem-solving and decision-making techniques, meeting planning and agenda setting, and exploring/developing various strategies for successful program designs. Orienting DWTT members to their tasks ranges from basic information on committee responsibilities, to extensive training in group dynamics. Typically, orientation sessions should cover discussion of the purpose of the DWTT’s work, tasks, ground rules, and the support available from the State, Employer, Union, community and the PA CareerLink system. During training, the DWTT considers various ways to carry out its activities such as keeping in touch with co-workers, creating a “communications” system, developing worker adjustment service procedures, helping workers find new jobs and services which lead to those jobs, etc. These activities occur while most of the DWTT members are themselves in the midst of job dislocation. Small DWTTs can be all-purpose in nature; larger committees may decide to organize themselves into subcommittees, which concentrate on specific tasks such as “newsletters” or “special events.”

See Attachment A – Dislocated Worker Transition Team Fact Sheet

In layoff events that total 50 or more Dislocated Workers, the Rapid Response Representative will promote the formation of a Dislocated Worker Transition Team (DWTT). The Rapid Response Representative’s primary responsibility is to serve as a technical advisor. If a layoff event affects less than 50 workers, promotion of a team is at the discretion of the Rapid Response Representative. Community agency representatives, including PA CareerLink and Unemployment Compensation Service Center staff, may support workers’ efforts by serving as “ex officio” members on the team.

The DWTT is guided by an impartial chairperson who facilitates meetings and activities. An impartial chairperson is not a company or union representative. During the initial team formation, the Rapid Response Representative may serve as the chairperson until the team selects an official chairperson. Candidates for chairperson may be nominated by the Rapid Response Representative and/or team members.

See Attachment B – Duties of an Impartial Chair

A DWTT's activities are supported financially by the PA Department of Labor & Industry's, Bureau of Workforce Development Partnership, which can provide \$1500 to reimburse team expenses. However, the company and/or union are asked to either match this amount or contribute in-kind resources. The Rapid Response Representative will suggest an appropriate community-based financial agent to administer these funds. The DWTT financial agent can be chosen from a business organization, industry, or community agency. In the past, Local Workforce Investment Areas and United Ways have taken this role, but the DWTT is not limited to these entities. These funds may be used to:

1. Provide committee effectiveness training and technical assistance to members of the team;
2. Cover operation costs of the DWTT to enable it to provide advice and assistance in carrying out rapid response activities; and
3. Design and deliver customized services to affected workers.

The financial agent, the impartial chairperson, and the Director of the PA Labor & Industry Bureau of Workforce Development Partnership will execute a formal agreement for the reimbursement of DWTT expenses. Responsibility for completion and submission of this agreement lies with the Rapid Response Representative. The original fully executed agreement will be filed with the Bureau of Workforce Development Partnership and copies retained by the impartial chairperson, the financial agent, and the Rapid Response Representative.

Requests for expense reimbursement must be documented and submitted to the impartial chairperson for approval. In the absence of the impartial chairperson, the Rapid Response Representative may approve and submit expense reimbursement requests.

See Attachments    C - Financial Agreement  
                              D - Instructions for Financial Agents  
                              E - Mileage Report  
                              F - Expense Report

The DWTT will develop a plan including goals and anticipated length of operation. Activities of the team will include communication with affected workers to share information on employment and training opportunities, supportive services, and to update status of workers who may benefit from assistance. These goals will be documented in a DWTT plan, to be signed by the impartial chairperson. The Rapid Response Representative retains the original signed plan document and copies are distributed to all team members. The DWTT's existence will cease when stated goals are met or by mutual consent of the DWTT members, as stated in the plan. Typically, the DWTT support will last no longer than 6 months after the layoff/closure, or until a percentage (agreed upon by the DWTT) of affected workers have transitioned into new jobs or entered into approved training.

See Attachment    G – Dislocated Worker Transition Team Plan (generic)

**4. Action Required.**

All CareerLink staff and partners are to regard this issuance as clarification of the criteria and process for Dislocated Worker Transition Teams.

**5. Attachments.**

Attachment A – Dislocated Worker Transition Team Fact Sheet

Attachment B – Duties of an Impartial Chair

Attachment C – Financial Agreement

Attachment D – Instructions for Financial Agents

Attachment E – Mileage Report

Attachment F – Expense Report

Attachment G – Dislocated Worker Transition Team Plan (generic)

**6. Expiration Date.**

Ongoing.

***Auxiliary aids and services are available upon request to individuals with disabilities.  
Equal Opportunity Employer/Program***

## **RAPID RESPONSE COORDINATION SERVICES DISLOCATED WORKER TRANSITION TEAM FACT SHEET**

### **Main Premise of the Dislocated Worker Transition Team:**

The employees in a business closing are best served when a cross section of those affected are involved in service strategies.

### **DWTT Definition/Makeup:**

The DWTT ideally consists of employees from a cross section of departments, including both blue and white-collar management/clerical/technical employees. Selection can be made on an employee volunteer basis, or by union leadership if workers are represented by collective bargaining.

The DWTT members serve as liaisons to the rest of the affected workers; their primary task is to ensure that the needed services and benefits reach the workers affected by this specific closing or layoff. If the DWTT encounters issues with service delivery or the provision of services to the affected worker group, RRCS is responsible for reviewing the issues and for initiating contact with the appropriate parties who can assist in problem resolution. Also, if systemic issues are encountered the RRCS staff will address the issues with appropriate parties for problem resolution.

The DWTT can be formed as soon as possible after notification that a layoff or plant closing will occur. The size of the industry determines the size of the DWTT, but a typical DWTT will include at least 5 affected workers. Typically, the DWTT support will last no longer than 6 months after the layoff/closure, or until a percentage (agreed upon by the DWTT) of affected workers have transitioned into new jobs or entered into approved training.

### **DWTT Administration:**

An impartial chairperson, mutually agreed upon by the group, guides the DWTT activities.

A financial agent in the community is also selected to administer DWTT expense funds.

The Rapid Response program representative facilitates the formation of the DWTT and continues to supply technical assistance during the whole team process.

### **DWTT Activities:**

Distribution, collection, and review of an employee survey/questionnaire to determine an action plan that would best suit that particular group of workers.

Tracking of co-workers and their concerns.

Creation and circulation of a DWTT newsletter to keep employees informed of events pertinent to reemployment and training opportunities, such as job/career fairs and job search workshops.

## **DISLOCATED WORKER TRANSITION TEAM IMPARTIAL CHAIR**

### **DUTIES AND RESPONSIBILITIES**

- Coordinates scheduling of Dislocated Worker Transition Team (DWTT) meetings as needed
- Assists the DWTT in preparing a budget of anticipated expenditures, including postage, travel, printing, office supplies, and other reasonable costs to support the DWTT work
- Develops a cohesiveness among the DWTT members by surfacing their common interests in meeting the goals and objectives of the DWTT
- Facilitates DWTT discussions, helping to keep the DWTT on track and helping it to reach consensus
- Guides the DWTT in undertaking difficult or unfamiliar tasks, e.g., preparing a newsletter
- Focuses the attention of the DWTT on all individuals requesting help, thereby preventing any dislocated workers from being overlooked
- Approves expenditures incurred by the DWTT
- Provides for continuation of DWTT activities, especially when members are transferred or find new jobs

Prepares and submits to the PA Rapid Response Coordination Services, Bureau of Workforce Development Partnership a final report that assesses the work performed by the DWTT relative to meeting its goals in assisting dislocated workers

**DISLOCATED WORKER TRANSITION TEAM AGREEMENT NO. \_\_\_\_\_****Financial Agreement**

THIS AGREEMENT, which is effective upon final execution by all parties, made and executed between the Commonwealth of Pennsylvania, Department of Labor and Industry, Bureau of Workforce Development Partnership, Rapid Response Coordination Services, (hereafter known as the "Rapid Response Coordination Services"), \_\_\_\_\_ Financial Agent for the Dislocated Worker Transition Team (hereafter known as the "Financial Agent") and \_\_\_\_\_ the Impartial Chair of the Dislocated Worker Transition Team (hereafter known as the "Impartial Chair"):

**WITNESSES THAT:**

WHEREAS, the Congress of the United States has enacted the Workforce Investment Act (WIA) of 1998 (P.L. 105-220) which requires states to establish a rapid response dislocated worker unit to carry out statewide rapid response activities;

WHEREAS, the Commonwealth of Pennsylvania has designated the Rapid Response Coordination Services as the responsible entity to provide the required rapid response within the Commonwealth;

WHEREAS, the Workforce Investment Act requires the state rapid response dislocated worker units to provide guidance and financial assistance in establishing a labor-management committee voluntarily agreed to by labor and management, or a workforce transition committee comprised of representatives of the employer, the affected workers and the local community to devise and oversee an implementation strategy that responds to the reemployment needs of the workers; and

WHEREAS, the Rapid Response Coordination Services has designated that the term "Dislocated Worker Transition Team" (hereafter known as the "Team") will be used in lieu of the terms labor-management committee and workforce transition committee identified in the Workforce Investment Act;

**NOW THEREFORE, it is agreed that in response to the permanent closing/mass layoff of the workforce employed by \_\_\_\_\_, the Rapid Response Coordination Services recognizes that a Team has been established under the following terms and conditions.**

**OBJECTIVE AND CONDITIONS**

Under the terms of this financial agreement, the members of the \_\_\_\_\_ Team will use funds provided hereunder (1) to provide committee effectiveness training and technical assistance to members of the Team; (2) to operate costs of the Team to enable it to provide advice and assistance in carrying out rapid response activities; and (3) to design and deliver customized services to affected workers.

The Impartial Chair will provide continuity from the start-up phase of the Team, throughout the layoff or closure, until the end of the dislocation event. Specifically, the Impartial Chair:

- Provides guidance to the Team members and assists them in providing quality services to the impacted workforce;
- Plans, chairs, and records the results of each Team meeting;
- Collects and records data on employment and training activities of the affected workers;
- Serves as a liaison between the Team and the community;
- Provides continuity through every facet of the worker adjustment process;
- Prepares a final report on the activities of the Team and on the placement rate of the dislocated workers.

Nothing in this agreement shall affect the rights or duties owing to a collective bargaining agreement or to collective bargaining obligations.

III. TERMS

The designated Financial Agent for the Team is:

Name: \_\_\_\_\_ Phone No.: \_\_\_\_\_

Address: \_\_\_\_\_

Subject to its other provisions, and the availability of State and Federal funds, the terms of this Agreement shall commence on the \_\_\_\_ day of \_\_\_\_\_, 20\_\_ and end on \_\_\_\_ day of \_\_\_\_\_, 20\_\_.

The parties agree that the cost of operating the Team to oversee an implementation strategy that responds to the reemployment needs of the workers shall not exceed \$1,500 which will be paid by the Rapid Response Coordination Services. The Impartial Chair shall document the Team expenses and submit them to the Financial Agent on a monthly basis. The Financial Agent shall pay the expenses and submit a properly documented invoice to the Rapid Response Coordination Services for reimbursement. These costs may include:

1. Out-of-pocket expenses; i.e., travel and subsistence of Team members while engaged in Team business, as certified by the Impartial Chair and consistent with state travel regulations.
2. Office supplies, postage, printing, meeting space rental, telephone costs for Team business.
3. Compensation for persons or organizations carrying out goals established by the Team, subject to approval of Pennsylvania Rapid Response Coordination Services.

IV. TERMINATION

The Impartial Chair shall file a final report with the Rapid Response Coordination Services at the conclusion of its activities. The report shall include a description of the Team’s activities, outcomes, its expenditures, and recommendations for future programs. The report will become public information, except for any proprietary or personal information, which should be placed in a separate section of the report and marked “confidential.” The Team and this agreement shall terminate after the former has met its goals and filed its final report.

Director, Bureau of Workforce Development Partnership	Date
Financial Agent	Date
Impartial Chair	Date

**A. Instructions for Dislocated Worker Transition Team Financial Agents**

1. Records - The financial agent is paying the expenses of the individual. Therefore, they should keep the original records for auditing purposes. These original records would include such items as the mileage logs and receipts. The best backup for reimbursement will include a copy of the issued check(s) plus photocopied records to support each check. Where the Financial Agent supplied materials, records to show purchases, photocopy charges and so forth should be maintained.
2. Timeliness – Because the financial agent is paying expenses in advance for the DWTT, it is advised that the agent maintain a timetable to ensure proper reimbursement. The financial agent should make every effort to reimburse team members for expenses as quickly as possible, at least within thirty days of submission of the expense or mileage reports with receipts. Usually a standard monthly or quarterly invoicing to the Commonwealth is sufficient. Financial agents may need to consider that processing time at the Commonwealth may take over a month. All final contract expenses should be invoiced within a month of the closure of the DWTT.
3. Cover Letter Template - Enclosed is a cover letter template that can be used to request payment. While other methods are possible, please ensure that any billing statement includes the following information:
  - a. Dislocated Worker Transition Team
  - b. Dislocated Worker Transition Team Number
  - c. Amount requested
  - d. Financial agent contact information - Letterhead with phone/fax/email is sufficient.
  - e. What type of expenses are being reimbursed – the sample shows mileage, postage, and long distance; this will vary according to the expenses.
  - f. (If necessary) Extenuating circumstances for abnormal charges – discuss with the Rapid Response Representative if there are questions.

Financial Coordination Services  
Bureau of Workforce Development Partnership  
12<sup>th</sup> Floor, Labor & Industry Building  
7<sup>th</sup> & Forster Streets  
Harrisburg, PA 17120

RE: (Name of Dislocated Worker Transition Team)

Agreement Number \_\_\_\_\_

Dear Sir,

Enclosed are copies of checks written as reimbursement for mileage, postage and long distance phone calls incurred by members of the above referenced Dislocated Worker Transition Team. Verification supporting these payments is attached.

Pennsylvania Rapid Response Coordination Services owes (this financial agent) a reimbursement of \$\_\_\_\_\_ for monies expended under agreement #\_\_\_\_\_.

Thank you.

Sincerely,

Financial Agent

\_\_\_\_\_ Dislocated Worker Transition Team

Mileage Report

Date: \_\_\_\_\_

Payee Name: \_\_\_\_\_

Payee Address: \_\_\_\_\_

\_\_\_\_\_

Date	Traveled From	Traveled To	Mileage
Submitted by: (Signature)		Total Mileage 	
Approved by: (Impartial Chair)		Agreement #	Amount  (Total Mileage X \$_____) at Commonwealth Rates

Financial Agent Information

Name of Organization: \_\_\_\_\_

Name of Contact Person: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Phone Number: (\_\_\_\_) \_\_\_\_\_ Fax: (\_\_\_\_) \_\_\_\_\_

e-mail address: \_\_\_\_\_

Rev. 06-2004

Dislocated Worker Transition Team  
Expense Report

Date: \_\_\_\_\_

To: \_\_\_\_\_  
(Financial Agent's Name)

Please issue check to: \_\_\_\_\_  
(Payee Name – Please Print or Type)

\_\_\_\_\_  
(Payee Address, City, Zip)

For reimbursement of expenses incurred in carrying out his/her official duties connected with the \_\_\_\_\_.

Description of Expenses:	Amount

**TOTAL** \_\_\_\_\_

I certify that the above expenses are correct and proper:

\_\_\_\_\_  
(Payee's Signature)

Submitted and Approved by:

\_\_\_\_\_  
(Impartial Chair's Signature)

**Receipts are attached**

Return to:  
Financial Coordination Services  
Pennsylvania Department of Labor and Industry, BWDP  
12<sup>th</sup> Floor, Labor and Industry Building  
Seventh and Forster Streets  
Harrisburg, PA 17120  
Phone: (717) 783-8042  
Fax: (717) 783-7115

Dislocated Worker Transition Team  
for Furloughed Employees of  
(**Enter** Employer Name)

**Plan**

As a result of the (**Enter** reduction in force or closure) of the (**Enter** Company Name) located at (**Enter** Company Address), a Dislocated Worker Transition Team (DWTT) shall be organized to assist all employees of the (**Enter** Company Name), with the Transition into new employment and/or job retraining. The DWTT may be comprised of peer representatives of (**Enter** Company Name) (co-workers), including hourly and salaried, who will work as volunteers.

It shall be the intent of the Dislocated Worker Transition Team to:

1. Provide information to all affected workers about services and resources that are available, e.g., re-employment services, unemployment compensation insurance, retraining leading to re-employment, and marketing existing skills to new employers; also, personal human services such as personal or family counseling, skill assessment, veterans benefits, income assistance (to include food stamps, medical assistance, energy assistance), stress counseling, and any other support service necessary during the transition from unemployment to re-employment.
2. Publicize the work and effort of the team via the media and/or newsletter sources.
3. Conduct surveys of furloughed employees to determine services needed to facilitate re-employment.
4. Track status of furloughed workers, and act as a liaison for any worker experiencing difficulty, linking that individual with any appropriate agency or resource to provide the required assistance.
5. Sponsor workshops (if there is sufficient interest) on specialized areas of need such as the job search process, interviewing techniques, resume preparation; workshops on credit management/financial counseling, family stress counseling, or any other area of demonstrated need.

General: The DWTT shall be comprised of volunteers from the affected worker group of (**Enter** Company Name), including management, and shall be guided in its activities by the leadership of an Impartial Chair, with guidance from Pennsylvania Department of Labor & Industry Rapid Response Coordination Services.

This team support will last no longer than 6 months after the layoff/closure, or sooner, or until \_\_\_\_\_% of the affected workers have transitioned into new jobs, entered into approved training, retired, or no longer need reemployment assistance.

\_\_\_\_\_  
CHAIRPERSON

\_\_\_\_\_  
DATE