



Category/Subject:	Guidance on Providing and Documenting Case Management Services to All TAA Participants
Colorado Policy Guidance Letter#:	TAA-2010-01 (prior #10-15-TAA)
Revise/Replace PGL#:	N/A
Date:	August 20, 2010
Distribution:	CDLE Management/Finance, State/Local Workforce Directors & Staff, Partners

- I. REFERENCE (S):** Public Law 107-210 Section 114 and 115; ETA Training and Guidance Letter 11-02; ETA Training and Guidance Letter (TEGL) 11-02, Change 3; Public Law 111-5; ETA Training and Guidance Letter 22-08; ETA Training and Guidance Letter (TEGL) 22-08, Change 1
  
- II. PURPOSE:** To advise Workforce Center TAA Counselors of the requirement under the Trade and Globalization Adjustment Assistance Act (TGAAA) of 2009 to make case management services available to all TAA participants, and to provide instructions to TAA Counselors for documenting and recording case management services
  
- III. BACKGROUND:** The Trade Act of 2002 required State Agencies to “make every reasonable effort to provide (through other programs)” adversely affected workers employment services including:
  - (1) Comprehensive and specialized assessment of skill levels and service needs, including through—
    - (A) diagnostic testing and use of other assessment tools; and
    - (B) in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals,
  - (2) Development of an individual employment plan to identify employment goals and objectives, and appropriate training to achieve those goals and objectives,
  - (3) Information on training available in local and regional areas, information on individual counseling to determine which training is suitable training, and information on how to apply for such training
  - (4) Information on how to apply for financial aid, including referring workers to educational opportunity centers described in section 402F of the Higher Education Act of 1965 (20 U.S.C. 1070a–16), where applicable, and notifying workers that the workers may request financial aid administrators at institutions of higher education (as defined in section 102 of such Act (20 U.S.C. 1002)) to use the administrators’ discretion under section 479A of such Act (20 U.S.C. 1087tt) to use current year income data, rather than preceding year income data, for determining the amount of need of the workers for Federal financial assistance under title IV of such Act (20 U.S.C. 1070 et seq.)
  - (5) Short-term prevocational services, including development of learning skills, communications skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct to prepare individuals for employment or training

(6) Individual career counseling, including job search and placement counseling, during the period in which the individual is receiving a trade adjustment allowance or training under this chapter, and after receiving such training for purposes of job placement

(7) Provision of employment statistics information, including the provision of accurate information relating to local, regional, and national labor market areas, including—

(A) job vacancy listings in such labor market areas;

(B) information on jobs skills necessary to obtain jobs identified in job vacancy listings described in subparagraph (A);

(C) information relating to local occupations that are in demand and earnings potential of such occupations; and

(D) skills requirements for local occupations described in subparagraph (C).

(8) Information relating to the availability of supportive services, including services relating to child care, transportation, dependent care, housing assistance, and need-related payments that are necessary to enable an individual to participate in training.

**The TGAAA of 2009 requires the State agency (through the One-Stop System) to make these services available to all TAA Applicants and to “demonstrate that it has provided or offered these services either in a paper-based case file or in an electronic case management system, which must be available for review.”**

#### IV. POLICY/ACTION:

a. The case file of every TAA participant must include the following:

1. The record of the initial assessment, including but not limited to:

- Participant’s name
- Date of the initial assessment
- Veteran status
- Education, including degrees, certificates, licenses, and certifications earned on the job
- Work History, including skills learned on the job;
- participant’s career interests and immediate employment goal
- participant’s health, including medical issues that could affect re-entry to employment
- Legal issues that may affect the participant’s re-entry to employment
- Financial issues, including need for supportive services
- Personal or financial barriers that may hinder the participant’s re-entry to employment
- Other barriers to re-employment
- Barriers that could hinder the participant’s ability to enroll in and attend training
- Signed attestation by the TAA Counselor or other appropriate intake staff that the participant was made aware of the availability of the employment services listed above and acknowledgement of same by the participant

2. The results and analysis of comprehensive assessment, including, but not limited to:

- Name of each skills assessment test, date administered, and rationale for administering the test based upon the initial assessment
- Interview and/or case management notes clarifying barriers to employment and other issues identified in the initial assessment

3. An individual employment plan (IEP) guided by the results of the comprehensive assessment including:

- Agreed-upon strategy for achieving the participant’s immediate employment goals, including:

- Timelines for completing specified activities leading to job readiness
- Services to be provided through the One-Stop
- Actions required of the participant
- Signatures of the participant and the Case Manager signifying and stating acceptance of the IEP by both parties

**b.** For the purpose of this Guidance, “participant” is defined as *an individual who is determined TAA eligible and who accesses one or more of the following TAA services:*

1. Vocational training designed to achieve the participant’s immediate occupational objective, as defined in the regulations at 20CFR617.22(a)
2. Customized worksite training, as defined in ETA TEGL 22-08
3. Remedial training, when comprehensive assessment indicates that the individual possesses marketable skills as defined in the regulations at 20CFR617.22(a) and that remediation of other barriers, such as language, can be addressed through training.
4. Waiver of the TRA requirement to participate in training because:
  - The IEP indicates the need for retraining, however such training was not approved because it cannot be procured on behalf of the individual, or
  - The IEP specifies the training required to achieve the individual’s employment goal, and training is approved and will commence within 60 days, or
  - The IEP indicates training is not required to return the individual to employment because the individual possesses marketable skills for suitable employment (as defined in the regulations at 20CFR617.22(a)) and there is a reasonable expectation of employment at equivalent wages in the foreseeable future, or the individual will be recalled by the previous employer, and has notice of same, or
  - The IEP indicates training is not appropriate due to health issues identified in initial assessment that hinders the individual’s participation in training, or the individual will, within two years, meet the age requirement for social security retirement or for a private or public pension program

NOTE: refer to [PGL 10-14-TRA](#) for additional guidance and instruction for issuing TRA Waivers
5. TAA Job Search Allowance, when the individual has indicated the intent to seek interviews with employers located outside the “commuting radius” (50 miles from the individual’s residence), or the initial assessment indicates the individual is willing to relocate outside the commuting radius to accept employment.

**c.** The completion of activities in paragraph **a.** must be marked in the participant’s database record by an appropriate service entry and, if necessary, case notes in the client database. The IEP must be reviewed periodically and a revised document that reflects changes in the participant’s employability profile must be prepared. Likewise, a change in the participant’s employment goal, and/or review of the reemployment strategy requires a revised IEP. Case notes and service entries in the client database must also refer to the revised IEP.

**V. IMPLEMENTATION DATE:** Effective immediately.

**VI. INQUIRIES:** Direct all inquiries to Melissa Pratt, Workforce Development Programs, (303) 318-8841.

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Elise Lowe-Vaughn, Director  
Workforce Programs, Policy, and Strategic Initiatives