

# Practitioner's Guide to RAPID RESPONSE

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Helping People & Communities Manage Economic Transitions

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## Foreword

The Rapid Response Practitioner's Guide (Guide) has been, and will continue to be, developed for active Rapid Response practitioners by experienced and knowledgeable colleagues engaged in delivering high-quality and consistent Rapid Response services. Whether you are a Rapid Response coordinator for a WIB in the rural North Coast of California working with a lumber mill closure, a state Rapid Response manager in the Midwest facilitating solutions for downsizing at a large manufacturing plant, or a DOL Administrator dealing with a region-wide industry crisis, the goal of this publication is to provide a platform from which to learn from and share with your fellow Rapid Responders from across the nation.

You understand the vital roles Rapid Response plays in the workforce system. From being first on-site to meet and support the needs of American workers who have just learned they are losing their jobs, to being a vital tool for disaster recovery; Rapid Response is there to serve workers, businesses, and communities.

### A Living Document

This Guide has been developed as a living document. It was, and will continue to be, written by many hands. You may hear different voices in each chapter and solutions described from varying perspectives. This is the strength of the document; it is neither top-down nor bottom-up, but rather written from the viewpoint of experienced Rapid Response practitioners throughout the workforce system.

Rapid Response is continually evolving, despite that the laws and regulations that govern Rapid Response were incorporated 15 years ago, and derived from older pieces of legislation such as the Job Training Partnership Act. With your help, this resource will continue to evolve as we transition to the Workforce Investment and Opportunity Act (WIOA) and beyond.

*Because of the dynamic nature of the Rapid Response Practitioner's Guide, not all sections are fully developed. In order to both provide what information is available and to notify the system of the need for additional content, you will see an Under Construction banner, like the one depicted on the right, to notify you that a section is not complete and that there is an opportunity to provide information and/or examples.*



## Disclaimer

This document does not represent a policy directive of the U.S. Department of Labor. Instead, this Guide serves as a technical assistance tool for Rapid Response practitioners to utilize in understanding and applying the full range of the services allowable under the Rapid Response provisions of the Workforce Investment Act. Wherever possible, citations are provided to statutes, regulations and guidance that support the content of this Guide. Specific questions not addressed in this Guide should be referred to the appropriate Regional Office of the Employment and Training Administration.

Any reference contained in this document regarding a specific product, process, or service does not constitute or imply an endorsement by the United States Department of Labor or the United States Government of the product, process, or service, or its producer or provider.

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## INTRODUCTION

# Scope & Purpose of This Resource

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**R**apid Response initiatives play a vital role in our nation’s workforce investment system. Effective practitioners of Rapid Response must possess an extensive array of skills, knowledge, and abilities with the ability to build a broad network of engaged partners within the public and private sectors. Because Rapid Response fills a unique niche—with boundaries that encompass the entire economic cycle, including periods of growth and decline—it is perfectly situated to bring effective solutions to a wide range of issues.

Your job as a Rapid Responder is challenging and can, at times, be daunting. The sheer magnitude of knowledge required, and networks needed to be created and maintained, can be overwhelming. However, your job is essential to facilitating the solutions necessary for a successful economic transition for workers and businesses. Truly successful Rapid Response encompasses the full scope of what is allowed under the legislation – far beyond worker orientation meetings. When you are needed most, you have to be there... because nobody else will be. You—the Rapid Responder—are the only one who does the job you do.

This Guide provides a comprehensive overview of a fundamental resource for managing economic transition in the United States—Rapid Response. It will continue to expand over time as it increasingly delves into various aspects of Rapid Response from layoff aversion through rapid reemployment. So be sure to bookmark this site, and come back often—members of the National Rapid Response Workgroup are hard at work developing materials and resources to help you do the critical job that you do every day, helping our workers and businesses succeed and our communities thrive.



Whether you are new to Rapid Response or are a seasoned veteran of the transition management world, this Guide is for you. This guide will have everything you need to know, whether you are brand new to the field or an experienced practitioner, this guide will facilitate your job and set you up for success.

| Value of the Practitioners' Guide  |  |
|--|--|
| Your Role  | Benefit  |
| New Rapid Responder  | Will serve as a comprehensive nuts and bolts guide to Rapid Response                               |
| Experienced Rapid Responder  | Will refresh your knowledge and provide access to resources  |
| Non-Rapid Responder – Leadership, Partner, or Representative of a Funding Organization | Will provide instruction on Rapid Response and how it can benefit your community, region, or state |

**Want to Help Improve the Practitioner's Guide?**

*Do you have resources, materials, techniques, success stories to share? Is any of the content not clear or could you use more explanation? Use the comment fields, the resource upload areas to comment or share.*

*The more you share the better the Practitioner's Guide becomes for everyone.*

Visit the Community of Practice at:  
<http://rapidresponse.workforce3one.org/>

Under Construction

## **The Foundation of Rapid Response**

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Rapid Response exists to assist workers and businesses through the inevitable periods of economic transitions that will occur throughout the business cycle. Fundamentally, its goal is straightforward: to prevent layoffs when possible, limit their impact on workers should they occur, and help dislocated workers transition to new employment **as quickly as possible**. This deceptively simple statement is the foundational principle of Rapid Response. Its goals are clear, yet there exists numerous variations of methods to achieve these objectives. This is purposeful. A field practitioner faces a plethora of variables during economic transition. Factors such as location,—urban, suburban, rural—industry, available services and partners, funding mechanisms, education and skill-level of impacted workers, and others all weigh into how to address a specific situation. So, Rapid Responders and their network of partners need the opportunity to explore a wide range of options in devising solutions that will benefit workers and business. In order to build an innovative, proactive Rapid Response system that provides you with the ability to explore creative solutions, a sound foundation is needed. By establishing a solid foundation—or framework—you and your organization are better able to focus on the issues at hand without having to “re-invent the wheel” with each new event. This section provides a baseline for establishing that foundation.

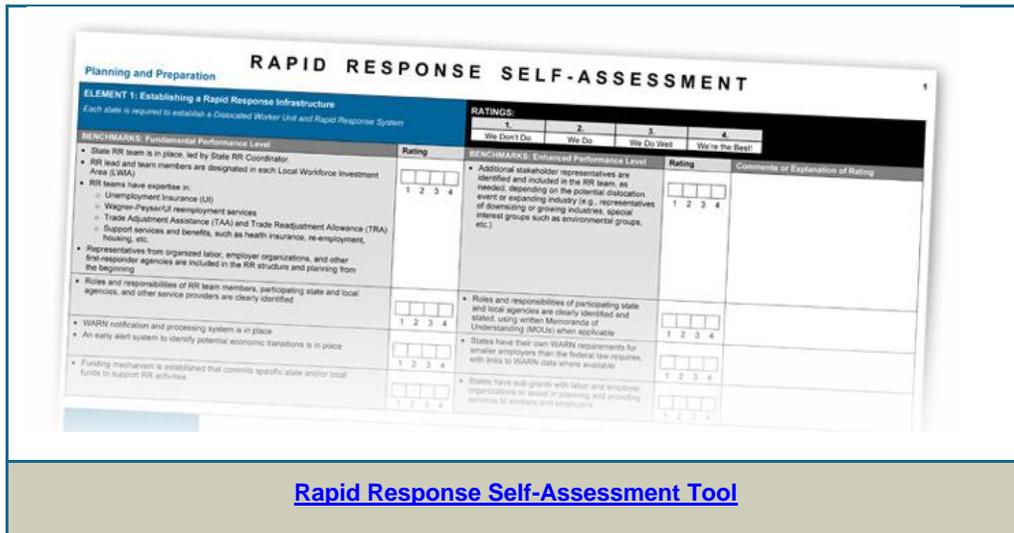
### **A Gateway to the Nation’s Workforce Development System**

For businesses and dislocated workers, Rapid Response is often the entryway to the tools and resources of the public workforce system. Traditionally, workers often first learn about Rapid Response at a layoff meeting, and businesses are usually made aware of Rapid Response services in the midst of a pending layoff. More often, however, Rapid Response is raising its profile as an ongoing business service. Rapid Responders are building strong and sustainable relationships with businesses and offering assistance throughout the business cycle. By building long term-relationships with business, including business leaders, industry groups and elected officials, Rapid Response allows the workforce system to play an important proactive role in a community’s and/or region’s economic development efforts.

Innovative, proactive Rapid Response requires a sound foundation. To meet our goal and realize our full potential, both State and local practitioners need to take a comprehensive approach Rapid Response. To highlight the full scope of Rapid Response and support continuous improvement, the USDOL issued Training and Employment Notice (TEN) 31-11 [The Rapid Response Framework](#). This document establishes a clear baseline for the role of Rapid Response, the details of which are described below.

## Rapid Response Framework

Over the past few years, ETA has engaged in extensive dialogue with state and local Rapid Response practitioners in an effort to identify the critical components of successful Rapid Response. ETA, through extensive conversation with Rapid Response practitioners, has identified 10 elements that are intended to encompass the goals and practice of Rapid Response. These elements correspond to the 10 elements that comprise the [Rapid Response Self-Assessment Tool](#), which is the focus of [TEN 32-11](#).



The Rapid Response Framework depicts these elements and provides both context and strategic analysis for how these elements may be better understood and ultimately incorporated into every Rapid Response unit's strategies and operations. Given the dynamic nature of Rapid Response, a state can use the framework and tool in its entirety or look across certain elements to assess the quality of execution. States can also add their own improvement plans and benchmarks.

## ■ Planning & Preparation

The first five elements are grouped under the thematic heading, “Planning and Preparation,” and involve activities that establish a Rapid Response infrastructure. This section includes longer-term objectives such as: cultivating important relationships with a wide array of stakeholders; creating written policies and procedures; building and maintaining an economic and market intelligence-gathering network; and working closely with employers to promote Rapid Response.



It is notable that half of the 10 elements of the Self-Assessment Tool refer to activities that should be taking place whether or not a layoff is impending or in process, reflecting the view that much of Rapid Response is about doing work where the timeline is measured in months or years, as opposed to only weeks or days.

This difference may require a conscious shift in the way Rapid Response practitioners are accustomed to thinking about their role. Workforce experts agree that being proactive in planning and preparation ahead of any specific layoff event is time well-spent and pays significant dividends when a Rapid Response team does need to act.

### Element 1 Establishing a Rapid Response Infrastructure

Under the Workforce Investment Act (WIA), each state is required to have a Rapid Response system and a state-level Dislocated Worker Unit. Rapid Response systems manage economic transitions by working with key stakeholders to develop strategies and solutions for regional economic stability and growth.

Though Rapid Response is administered differently across the country, each state is required to have a state Rapid Response coordinator in place to serve as the primary contact for Rapid Response activities and ensure that state processes are established and roles are defined. The coordinator works closely with a team of stakeholder representatives.

A sound Rapid Response infrastructure should include early warning systems, which are necessary to ensure a timely response to worker dislocations. Layoffs can be identified in a variety of ways, including discussions with employer representatives or employees, meetings with organized labor, increased Unemployment Insurance (UI) claims, press attention, or, more formally, with a public announcement or Worker Adjustment and Retraining Notification (WARN) Act notice. Systems should be in place to regularly and proactively monitor all of these notification channels.

Finally, effective Rapid Response systems must establish funding mechanisms that commit specific state and/or local funds to support at least the required Statewide Rapid Response Activities identified in [20 CFR 665.310](#). Other resources should also be leveraged, and sub-grants to labor and employer organizations could be awarded to enhance Rapid Response activities.

## Element 2 Building and Maintaining Relationships with Stakeholders

It is critical that Rapid Response teams build relationships with stakeholders and system partners such as businesses, labor organizations, workforce and economic development agencies, training institutions, service providers, and communities. This is an on-going process that begins far in advance of a dislocation event. Established relationships enable Rapid Response providers to effectively respond to business and worker needs, gain intelligence on economic transitions, ensure ownership by all stakeholder groups, and work together to develop solutions. Building a stakeholder network that can be expanded or streamlined depending on the type of dislocation begins with identifying the critical connections that need to be made, making those connections, and maintaining them over time.



## Element 3 Developing Policies and Procedures

To ensure the Rapid Response system provides effective, long-term solutions, it is essential for each state to establish policies and procedures, including plans for staff training, provision of pre-layoff services, and contingency plans for atypical dislocations.

Systems are most effective when the staff that administers and delivers Rapid Response services is guided by procedures that are clearly defined; however, it is also important that policies and procedures allow and encourage flexibility. Established fiscal procedures, communication strategies, and timelines for responses are recommended. They should embrace both a variety of dislocations as well as a forward-thinking, proactive vision to continually improve the system's effectiveness.

Contingency planning is also a way to improve the effectiveness of the Rapid Response system. In preparing a contingency plan, states may implement policies to ensure that flexible responses are in place to handle large or unusual dislocations that have an extraordinary impact, whether statewide or locally. Contingency planning can also contribute to long-term sustainability and succession planning, which in turn enables smooth transitions when staff changes occur.

#### Element 4 Gathering Intelligence

Proactive Rapid Response systems rely on good intelligence. Their value to economic development efforts can be increased by providing readily consumable information regarding available talent. States gain a competitive edge when they can leverage accurate information about national and regional economic trends, current and long-range labor market information, new business development and impending layoffs, regional assets, services, and education and training resources. Rapid Response providers can gather information from published data and information sources, but an active communication network should be integrated into a stakeholder network. Regular conversations with employer contacts, training and service providers, and workforce and economic development contacts can produce valuable early information and create beneficial partnerships.



## Element 5 Promoting the Effectiveness of Rapid Response Services

A method of gaining access to good information is to have successful and productive relationships with businesses that invest, and operate, in a Rapid Response team's state or community. Employers must be educated about their responsibilities to issue notifications of layoffs and closures. This conversation could be a starting point for a relationship long before a dislocation occurs. States are encouraged to build ongoing relationships with employers by engaging them in business-focused contexts such as Chambers of Commerce, civic clubs, or industry meetings and conventions, in order to solicit their input. Employers who are approached in this manner will be more open to working together at all points during the business life cycle to achieve the best outcomes for their workforce.

During the relationship-building process with stakeholders, Rapid Response providers should use a variety of strategies and tools to promote the potency of Rapid Response. Effective strategies include the provision of workforce information tailored to employer needs, assisting employers with information on Federal and state requirements or laws, and linking employers with entities that can assist with layoff aversion. State and local workforce investment boards could be called upon to create opportunities, such as workshops, presentations, meetings, or other venues where this kind of interaction can take place.

Experienced practitioners agree that it is often too late to implement important Rapid Response strategies, such as layoff aversion, at the time a closure is announced. Pre-existing relationships can build the trust needed to share information and to create a dialogue with employers to encourage them to seek assistance before it is too late.

### ■ Providing Customized, Collaborative Solutions, & Consistent, Quality Results

Another important theme that is woven throughout discussions on effective Rapid Response is that services and strategies should be customized, yet consistent. This dual attribute is most relevant to the way Rapid Response is carried out with respect to specific layoff events, and is

strongly correlated with elements six through eight, which are organized under the heading, “Providing Customized, Collaborative Solutions, and Consistent, Quality Results.”

Certainly no two layoffs are identical. The needs of businesses and affected workers will differ, as will the type and scale of need for services, the impact on the local economy, and the availability of job opportunities. While Rapid Response must be consistent across all layoffs with respect to the quality, effectiveness, and timeliness of service delivery, it must be customized and responsive to each specific event.

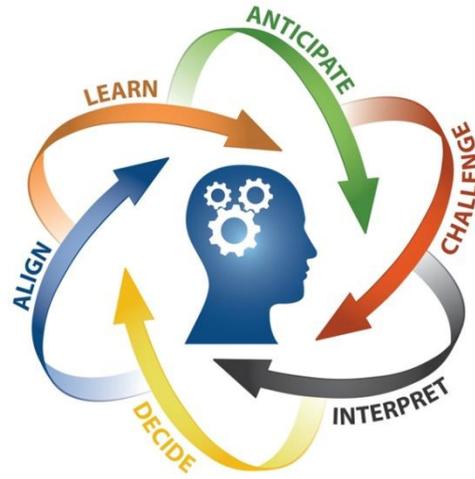
For example, layoffs can differ across industries, in terms of the demographics of the workforce, or by the presence or absence of organized labor. A Rapid Response strategy for a large layoff at a manufacturing company will be different from a smaller layoff at a pharmaceutical company. The timing of layoffs may also differ from event to event; some layoffs may be phased or staggered, others may occur all at once.

Despite the differences that exist among layoffs, Rapid Response must be consistent. Workers in one place should receive the same quality of services as workers in any other; employers should receive consistent information from one layoff event to another. Rapid Response, in all cases, should begin well before a potential layoff whenever possible. Rapid Response services should always be carried out according to standard operating procedures or other written policies that have already been developed. The underlying reasons for calling attention to the value of consistency are fairness and trust. Workers and employers are justifiably frustrated by inconsistency in the quality and timeliness of service delivery. It is difficult to serve a worker or employer, or build trust, when information is inconsistently conveyed.

Consistency can only be achieved when all stakeholders are in agreement as to how Rapid Response should be delivered, and when they act in concert to achieve it. Attaining customized consistency, the ability to tailor Rapid Response to the specific needs of any layoff while delivering services in a predictable, consistent manner, requires strong collaboration among Rapid Response stakeholders.

## Element 6 Assessing Potential Dislocations

A proactive Rapid Response system assesses potential layoffs and develops an intervention plan prior to the dislocation event in order to ensure that Rapid Response is timely, comprehensive, and accessible. As early as possible, Rapid Response staff should work together with employers, representatives of affected workers, including unions if applicable, as well as with the local community to anticipate potential dislocations and their impact on the community. If the Rapid Response team is able to intervene prior to a layoff – through the use of short time compensation (workshare) programs, for example – it increases the likelihood of layoff aversion, a strategic effort that can lead to reduction or even avoidance of impending layoffs.



The Rapid Response team may also explore the possibility of the impending layoff being trade-related and, if appropriate, begin the Trade Adjustment Assistance (TAA) petition process. Early filing allows workers to access TAA services prior to, or shortly after, a layoff. Similarly, early intervention also enables the team to begin information-gathering for a strong National Emergency Grant (NEG) application if the dislocation is one that cannot be accommodated within the state's existing formula-based Dislocated Worker and Wagner-Peyser resources.

Practitioners agree that it is best to conduct the employee meeting at the employer site whenever possible; however, meetings may also be held at a nearby facility. To provide Rapid Response services in remote areas, the use of remote meeting technology or mobile units can be deployed to ensure effective communication among the Rapid Response team, stakeholders, employers and workers. It is important that the team remains flexible and customizes its approach so that employers and affected workers can all be accommodated.

## Element 7 Collecting and Analyzing Worker Survey Data

States are accustomed to collecting data on workers affected by layoffs to help inform their reemployment strategies. With a wide array of information on the demographics, skill sets, and training needs of the workforce, Rapid Response systems must be strategic in assessing what kinds of information are needed to structure service delivery. With this in mind, it is important to remember that Rapid Response meetings are critical opportunities to gather dislocated worker data in person. These face-to-face opportunities may not be repeatable; therefore, Rapid Response teams and stakeholders must have survey methodology and design prepared well in advance of such meetings, so that information can be gathered efficiently and consistently. Data gathered at Rapid Response meetings should be thoroughly analyzed and shared, as appropriate, using applications that can quickly aggregate data or produce customized analysis and reports. It should be noted that NEG applications require such data.

## Element 8 Providing Information, Solutions, & Services to Employers, Workers, & the Community

Rapid Response events are not only critical opportunities to collect worker information; they are also critical opportunities to convey information to both workers and employers. It is important, therefore, that Rapid Response practitioners focus on how to deliver information so that it is heard, understood, and ultimately inspires action. Rapid Response entails a great deal of information about services and benefits, including unemployment insurance, health insurance, severance and retirement pay, and potentially social services related to financial management, child care, housing, or legal issues. This volume of information can be disclosed through multiple modes: in person, in writing, even electronically, and, when taken together, can be overwhelming and ineffective if it is not delivered in a meticulous manner.

## ■ Ensuring Recovery & Comprehensive Reemployment Solutions

Businesses have a significant stake in the welfare and productivity of dislocated workers who constitute the talent pool for jobs in every community. Rapid Response also provides a service to the workforce system and the regional economy. Elements 9 and 10 ensure that linkages with employers and American Job Centers (AJC)—formerly One-Stop Career Centers—are comprehensive and move beyond present and future potential layoffs toward reemployment for workers and even economic development.



Rapid Response is often framed as an approach to planning for and managing economic transitions. If seen as playing a role in an economic transition, employers and workforce partners become an integral part of the local or regional economy. Rapid Response then becomes a bridge for workers to transition from one role to the next in a changing economic environment.

Rapid Response requires access to quality information, much of which is held by the employers and service providers. Economic and market intelligence gathering is more robust if there are positive working relationships with business and industry groups that are developed outside of specific dislocations. The development of these long-term relationships may be an ideal role for state or local workforce investment boards.

By the same token, reemployment solutions can be better targeted if all the resources of the AJCs and their partners are well-known and relationships are well-developed. This includes AJC partners who assist job seekers with resume writing and interview skills, remedial/basic skills training, job fairs, as well as information on registered apprenticeship programs and other education and training opportunities. Rapid Response is just a first step for many workers and employers whose needs can be addressed by the larger public workforce system.

## Element 9

## Connecting Affected Workers to the Workforce System & American Job Centers

Once the initial information about worker benefits and opportunities is provided, Rapid Response providers can focus on connecting workers to the public workforce system. AJC staff can prepare individual worker service and training strategies, based on worker survey results and other information, and provide a comprehensive array of services to offer accelerated reemployment. The connection to the workforce system is best made during Rapid Response meetings so that the duration of unemployment is minimized and that dislocated workers receive the skills training needed for available jobs. To ensure that the transition to AJC services is smooth, it is important that AJCs are prepared to handle dislocations of any size, and that the capability exists to establish transition centers or AJC satellite offices as needed.



While most of the effort is usually expended in the early stages of a dislocation event or an impending dislocation, it is important to continue Rapid Response services until all worker and employer needs are met. This may require transition centers to continue many months beyond the dislocation event, with a full range of workforce services, including personal and peer counseling services.

## Element 10

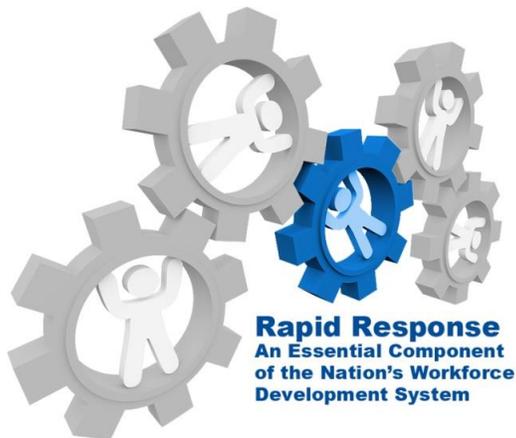
## Providing Services to Employers

Many employers recover, re-hire or re-engineer their operations in a way that leads to new opportunities. There is a natural cycle in business, and employers should expect consistent customer services by the public workforce system so that they can engage it at any time. Companies should be comfortable approaching Rapid Response staff and other workforce system personnel to seek assistance and resources.

The Rapid Response Framework establishes a baseline-level of service that workers and businesses across the Nation can expect. It serves a launch point for States and local Rapid Responders to create innovative solutions for the workforce transition needs of their local and regional economies.

**PART 2****Essential Rapid Response**

Rapid Response is a required state function under the WIA, funded by reserving up to 25 percent of the state's WIA Dislocated Worker (DW) allotment. Rapid Response acts as both a provider of direct reemployment services and as a facilitator of additional services and resources. It is carried out by states and local workforce development organizations in partnership with AJCs. Rapid Response includes arranging for the provision of support services such as unemployment insurance, health care, home heating assistance, legal aid, financial advice, and other forms of critical assistance to affected workers and communities.



As mentioned above, Rapid Response is a primary gateway to the workforce system for both dislocated workers and businesses. Over the years, Rapid Response has focused primarily on serving workers at the time of layoff announcement and providing information and resources that help them transition to new employment. More recently, there has been greater emphasis on more proactive Rapid Response approaches focused on layoff aversion.

Rapid Response provides immediate on-site services for workers and employers upon notice of layoffs and plant closures, and works to minimize the impacts of those layoffs by helping workers quickly obtain new employment.

To achieve the ultimate goal of enabling affected workers to return to work as soon as possible following a layoff, or to prevent their layoff all together, Rapid Response must take an ongoing comprehensive approach to identifying, planning for, and responding to layoffs, and preventing or minimizing their impacts wherever possible. To ensure high quality and maximum effectiveness, successful Rapid Response programs should include at least the following:

- Informational and direct reemployment services for workers;
- Solutions for businesses in transition (growth and decline);
- Convening, facilitating and brokering connections, networks and partners; and
- Strategic planning, data gathering and analysis designed to anticipate, prepare for, and manage economic change.

## ■ Benefits of Rapid Response for Businesses and Workers

The ultimate goal of Rapid Response is to prevent unemployment entirely. Failing that, Rapid Response strives to enable workers who have been, or will be, affected by layoffs to return to work as soon as possible by serving workers at a critical point – at the time of layoff announcement. Rapid Response should provide immediate on-site customized services for workers upon notice of layoffs and plant closures, and work to avert or minimize the impacts of those layoffs by helping workers obtain new employment as quickly as possible. The Rapid Response regulations allow for a wide array of services to be provided, and ETA encourages all Rapid Response teams to provide the widest array of services possible based on the needs of the workers and the employer to eliminate or reduce the length of unemployment experienced by the dislocated workers.

*The ultimate goal of Rapid Response is to avert layoffs entirely.*

## ■ Solutions for Businesses in Transition (Growth and Decline)

Rapid Response should also benefit businesses by helping them prepare for and manage economic transition and related workforce challenges. Rapid Response realizes its full potential when it is managed as a business engagement activity that includes building and maintaining relationships with employers across the business cycle. Meeting the needs of the workers requires meeting the needs of their employers. The best Rapid Response systems are proficient in utilizing terminology associated to business practices, such as return on investment, which showcases a profound understanding of the business world. This skillset, in turn, highlights Rapid Response as a critical partner with employers and fosters a stronger relationship.



Rapid Response *should not* be a single on-site visit to an employer in response to the filing of a WARN notice. Optimal application of Rapid Response as a transition management service allows the workforce investment system to remain relevant across the entire business cycle—during times of growth and times of decline. When Rapid Response is viewed solely as a reactive service to individuals affected by layoffs, much of its inherent value is lost. While working to reduce the effects of a layoff on individuals is a valuable service, the scope is limited and often fails to meet the greater challenges facing a region's economy. Rapid Response allows states and local area to fully integrate themselves into their communities.

The USDOL regulations emphasize the importance of Rapid Response in talent recapture—keeping a skilled workforce engaged in the existing regional economy or industry—and talent redeployment—retraining a proven workforce to meet a region's changing economic needs. The flexible programmatic options available through Rapid Response allow states and local areas to play an active role in shaping and maintaining a competitive, resilient regional workforce. When used to its full potential, Rapid Response provides significant value to the business community, allowing the workforce investment system to play a pivotal role in the regional economy and fulfilling the promise of a robust and proactive workforce investment system.

## ■ **Convening, Facilitating, & Brokering Connections, Networks, & Partners**

While delivering direct services to customers through Rapid Response is critical, being a broker of solutions for a range of customers is equally important. Effective Rapid Response teams develop and maintain a comprehensive set of partnerships designed to provide customers—dislocated workers, incumbent workers, organized labor and employee representatives, growing and downsizing employers, other components of the workforce investment system, and outplacement firms—the services, resources, and benefits they need and for which they are eligible. To do this, Rapid Response teams must develop and maintain effective strategic partnerships at the state, regional, and local levels.



Effective strategic planning is made possible by gathering and analyzing data from a number of sources. Rapid Response teams have access to real-time information on layoffs and growth, as well as information on available skilled workers for growing companies. They also have a comprehensive partnership that provides a wide array of additional information and data. Developing early warning networks and systems to understand economic transition trends within industries, communities, or at specific employers, and planning strategies for intervention are important activities for Rapid Response teams. Strategic planning and data gathering and analysis are critical to high quality Rapid Response activities.



*Rapid Response is an ongoing process to help sustain workforce participation and foster a robust economy.*

## ■ History and Legislation of Rapid Response

It's helpful to understand the history and legislation behind Rapid Response; as Rapid Response practitioners, having some basic knowledge about its origins provides perspectives for advancing the evolution of Rapid Response. Once we know more about how Rapid Response came to fruition, we will be in a better position to shepherd the types of refinements and advancements needed to continue to address the Nation's ever-changing economy.



From the earliest Private Industry Councils, established by the Comprehensive Employment Training Act (CETA) programs in the late 1970s, there has been an understanding that the workforce investment system must be able to respond *quickly* and effectively to plant closures and mass layoffs. Early intervention is critical to maximizing the benefits to effected workers and their families and communities. The commitment has been that someone will be there when businesses and workers are most in need.

### **Rapid Response Under Job Training Partnership Act (JTPA)**

The realization that the workforce investment system needed to organize services to more adequately address economic dislocations began to emerge in the 1950s, but the first systematic efforts to provide dislocated worker assistance came to life through the enactment of the Job Training Partnership Act of 1982 (JTPA).<sup>1</sup> The JTPA, passed during the Reagan Administration, was federal legislation designed for the purpose of establishing programs that would prepare youth and adults with serious barriers to employment for the labor force.<sup>2</sup> This was the first systematic effort to provide dislocated worker assistance.<sup>3</sup> These programs were intended to improve the quality of the workforce, decrease welfare dependency, and

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1 Jeffrey Salzman, "Rapid Response and TAA," Social Policy Research Associates (July 2009), p. 3, [http://wdr.doleta.gov/research/FullText\\_Documents/Rapid%20Response%20and%20TAA%20-%20Final%20Report.pdf](http://wdr.doleta.gov/research/FullText_Documents/Rapid%20Response%20and%20TAA%20-%20Final%20Report.pdf)

2 Job Training Partnership Act (Public Law 97-300), § 2.

3 Jeffrey Salzman, "Rapid Response and TAA," Social Policy Research Associates (July 2009), p. 3, [http://wdr.doleta.gov/research/FullText\\_Documents/Rapid%20Response%20and%20TAA%20-%20Final%20Report.pdf](http://wdr.doleta.gov/research/FullText_Documents/Rapid%20Response%20and%20TAA%20-%20Final%20Report.pdf)

enhance the productivity and competitiveness of the Nation<sup>4</sup> – three goals that subsequently drove the creation of the Workforce Investment Act of 1998.

Title III of the JTPA mandated that each state designate or create an identifiable dislocated worker unit staffed with Rapid Response specialists capable of providing rapid onsite assistance in response to permanent closures and substantial layoffs.<sup>5</sup> Allowable Rapid Response activities included:

- onsite contact with the employer and employee representatives in order to provide information on and facilitate access to available public programs and services and provide emergency assistance tailored to the particular closure or layoff;
- assistance with the establishment of a labor-management committee;
- collection of information related to the dislocations and available dislocated worker resources, to be shared with the Governor and state job training coordinating council;
- partnering with economic development and other organizations to avert worker dislocations;
- statewide dissemination of information on the availability of dislocated worker services and activities; and
- assistance to the local community with the development of its own coordinated response to a dislocation event

In 1985, then Secretary of Labor, William E. Brock, appointed members to the Task Force on Economic Adjustment and Worker Dislocation. The 21-member task force comprised business, labor, academic, economic, and government representatives was launched to devise policy recommendations that would help transition dislocated workers to new employment following a plant closing or mass layoff. In carrying out these efforts, the task force examined the practices of other industrialized countries in facilitating the adjustment of dislocated workers.

In December 1986, the task force issued its final report concluding, among other things, that employers be required to provide early notification of layoffs to a designated public agency with Rapid Response capabilities so the delivery of dislocated worker adjustment programs could begin well before a shutdown or layoff. It provided ten recommendations, including an initial \$900 million in funding to provide Rapid Response assistance to dislocated workers.

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4 Id § 2

5 Id § 311(b)(2) & § 314(b)

The taskforces recommendations were prompted by findings that dislocated workers tended to endure significantly longer periods of unemployment compared to others unemployed and that approximately 50 percent of dislocated workers subsequently reemployed had to make a major change in occupations, compared with only five percent for other unemployed persons.

Title III of JTPA was viewed as a, “relatively unstructured program, with the design of the administrative and service delivery system left almost entirely to the discretion of the states.”<sup>6</sup> Many states had highly centralized programs and from a Rapid Response perspective may have lacked the capacity to provide adequate services.<sup>7</sup> To correct for these and other observed deficiencies, Congress passed the Economic Dislocation and Worker Adjustment Assistance Act of 1988 (EDWAA) which was primarily based on the recommendations set forth by U.S. Secretary of Labor Brock’s task force.<sup>8</sup> EDWAA amended Title III of JTPA to include some significant changes with respect to program operation. Among other things, EDWAA established a stronger local role in the program administration and service delivery for dislocated workers, emphasized the importance of early Rapid Response in limiting the debilitating effects of worker dislocations, and designated the state’s dislocated worker unit as the recipient of written notices filed pursuant to the WARN Act.<sup>9</sup>

### **Worker Adjustment Retraining Notification Act of 1988**

In August 1988, less than two years after Secretary Brock’s task force issued its final report, Congress passed the Worker Adjustment Retraining Notification (WARN) Act. The bill was introduced by Democratic Senator Howard Metzenbaum from Ohio, with 23 cosponsors offering bipartisan support.<sup>10</sup>

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6 Study of Implementation of the Economic Dislocation and Worker Adjustment Assistance Act <http://wdr.doleta.gov/opr/fulltext/92-edwaa.pdf>, p. S-1.

7 Id.

8 Economic Dislocation and Worker Adjustment Assistance Act. Joint Hearings on S. 538 to Implement the Recommendations of the Secretary of Labor’s Task Force on Economic Adjustment and Worker Dislocation, <http://files.eric.ed.gov/fulltext/ED288039.pdf> at 8.

9 Worker Adjustment Assistance: A Guide to Local Options. <http://files.eric.ed.gov/fulltext/ED310264.pdf> at 20; U.S. Department of Labor Employment and Training Administration Fact Sheet: Economic Dislocation and Worker Adjustment Assistance Act (EDWAA), <http://www.doleta.gov/programs/factsht/edwaa.htm>.

10 <http://thomas.loc.gov/cgi-bin/bdquery/z?d100:SN02527:@@@P>

The WARN Act, which went into effect on February 4, 1989, provides that, with certain exceptions, employers with at least 100 full-time workers are required to give 60-days advance notice of a closing or mass layoff if at least 50 workers at a single site of employment will be affected within any 30-day period. Notice must be provided to the affected workers or their representatives, to the State dislocated worker unit, and to the appropriate local government official.<sup>11</sup> The intent behind the new advance notice requirement was to put a process in place to “provide workers with sufficient time to prepare for the transition between the jobs they currently hold and new jobs.”<sup>12</sup>



**For Employers:**  
The WARN Guide to Advance Notice of Closings and Layoffs

**Link:**  
[www.doleta.gov/layoff/pdf/EmployerWARN09\\_2003.pdf](http://www.doleta.gov/layoff/pdf/EmployerWARN09_2003.pdf)

### The Workforce Investment Act (WIA) (Public Law 105-220)

**The Workforce Investment Act...**  
enacted on August 7, 1998, represented a bipartisan effort to significantly reform and revitalize the Nation's job training system...

Enacted on August 7, 1998, the WIA represented a bipartisan effort to significantly reform and revitalize the Nation's job training system, creating a more integrated workforce investment system focused on improving the quality of the workforce, enhancing the Nation's productivity and competitiveness, and reducing welfare dependency.<sup>13</sup> The creation and design of the WIA legislation was driven by the recognition that workers need information, advice, job search assistance, and training to attain and retain good jobs.<sup>14</sup> Through WIA, Congress introduced the “One-Stop” delivery system (now the AJC system) – an innovative concept which entailed integrating numerous state and local partners into a single, accessible, customer-friendly system, so that individuals could access a full menu of education and

<sup>11</sup> US Department of Labor. Employment and Training Administration. "Compliance Assistance By Law - The Worker Adjustment and Retraining Notification Act (WARN) - Preamble to the 1989 Final Rule." *Compliance Assistance By Law - The Worker Adjustment and Retraining Notification Act (WARN) - Preamble to the 1989 Final Rule*. N.p., n.d. Web.

<sup>12</sup> US Department of Labor. Employment and Training Administration. "WARN:Employer's Guide to Advance Notice of Closings and Layoffs." *WARN* (n.d.): 1-45. Web. [http://www.doleta.gov/layoff/pdf/EmployerWARN09\\_2003.pdf](http://www.doleta.gov/layoff/pdf/EmployerWARN09_2003.pdf)

<sup>13</sup> "Workforce Investment Act," 1205-AB20, 65 Federal Register 156 (11 Aug 2000), pp. 49294.

<sup>14</sup> Department of Labor. (1999). *DOL white paper on Implementing the Workforce Investment Act of 1998* [White paper]. Retrieved from <http://www.doleta.gov/usworkforce/documents/misc/wpaper3.cfm>

employment services tailored to the needs of the local community.<sup>15</sup> The WIA legislation went into full effect on July 1, 2000, replacing the Economic Dislocation and Worker Adjustment Assistance Act (EDWAA).

### **The Workforce Investment Act ([WIA](#)) & Rapid Response**

The legislation establishing the WIA and the accompanying federal regulations combine to form the foundation of Rapid Response. The driving force behind Rapid Response is the need to “assist dislocated workers in obtaining reemployment as soon as possible.” [WIA Section 101(38)] The state is ultimately responsible for the provision of Rapid Response activities when there is a mass layoff at, or closure of a business location, though it may designate an entity to carry out those functions. [WIA Section 101(38)] The state is to designate an identifiable Rapid Response Dislocated Worker unit to carry out statewide Rapid Response activities. [WIA Section 112(b)(17)(A)(ii)]

The fundamental purpose of Rapid Response, as delineated by the WIA, is to assist dislocated workers from permanent business closures and mass layoffs “in obtaining reemployment as soon as possible.” [WIA Section 101 (38)]

Required Rapid Response activities are to be adapted to the particular dislocation event and include:

- Immediate onsite contact with the affected employer and, if applicable, employee representatives
- The provision of information and access to available employment and training activities
- Assistance in establishing a voluntarily agreed upon labor-management committee formed to devise and implement a strategy for assessing the affected workforce’s employment and training needs and obtaining services to meet those needs
- Assistance to the local community in developing a coordinated response and obtaining access to economic development assistance. [WIA Section 101(38)]

Rapid Response activities are described in Federal regulations at [20 CFR 665.310](#) through 20 CFR 665.330. These are the activities necessary to plan and deliver services to enable dislocated workers to transition to new employment as quickly as possible following a permanent closure or mass layoff or other event resulting in mass job dislocation. The creation and design of the WIA was driven by the recognition that workers need information, advice, job search assistance, and

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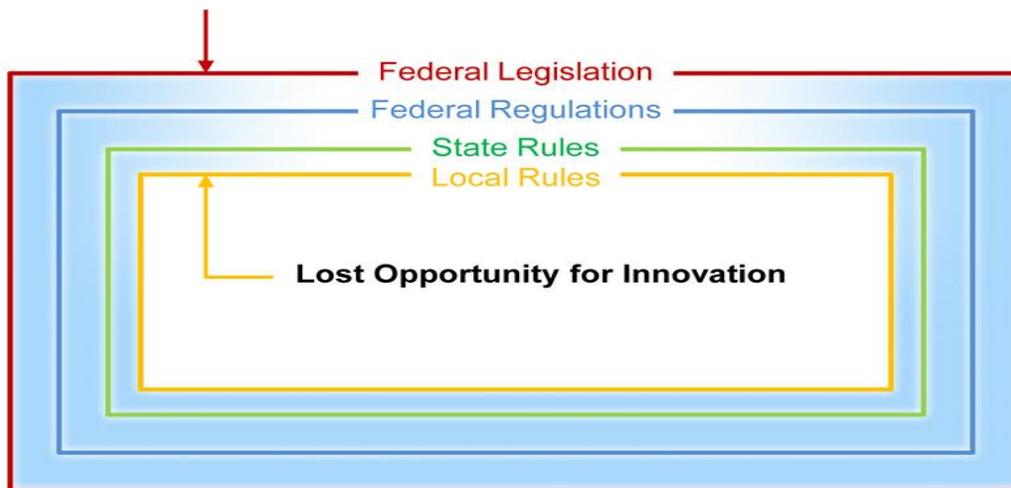
<sup>15</sup> Id.

training to attain and retain good jobs.<sup>16</sup> Through WIA Title I, Congress established the “One-Stop” delivery system – an innovative concept which entailed integrating numerous state and local partner programs into a single, accessible, customer-friendly system so individuals could access a full menu of education and employment services, under one roof, tailored to the needs of the local community.<sup>17</sup> Rapid Response was intended to become the primary entrance point for most dislocated workers in to the AJC system.

## The Regulations

The following section outlines Rapid Response legislation and associated regulations. Rapid Response practitioners need to be familiar with both to understand the parameters in which to work; however, it is important to note that regulations should be viewed as a foundation of our work **not limitations**. Although the legislation lists required and prohibited tasks, for the most part, there is a remarkable amount of discretion available in interpreting the legislation.

With this broad discretion in interpretation come new challenges and adaptations to solving complex issues. The illustration below (The Incredible Shrinking Envelope of Opportunity) depicts how legislation/regulation, as it filters through various levels of government, can become restrictive. But the better you understand the regulations, the better able you are to find a way to work within them to be creative and deliver outstanding service.



*The Incredible Shrinking Envelope of Opportunity*

<sup>16</sup> Department of Labor. (1999). *DOL white paper on Implementing the Workforce Investment Act of 1998* [White paper]. Retrieved from <http://www.doleta.gov/usworkforce/documents/misc/wpaper3.cfm>

<sup>17</sup> Id.

## **WIA & Accompanying Regulations– all relevant sections**

The USDOL issued 20 CFR 652 and Parts 660 through 671 – the Final Rule implementing provisions of Titles I, III, and V of the Workforce Investment Act.

### **Rapid Response Services**

[20 CFR 665.310](#) - Immediate onsite contact with the affected employer, representatives of the affected workforce, and the local community, which may include the following activities:

- Layoff plans and schedule,
- Potential for averting the layoffs in consultation with state or local economic development agencies, including private sector economic development entities,
- Background and probable assistance needs of the affected workforce,
- Reemployment prospects for the workers in the local community,
- Available resources to meet the short and long-term assistance needs of the affected workforce,
- The provision of information and access to unemployment compensation benefits, comprehensive AJC services, and employment and training activities, including information on the TAA program and the NAFTA-TAA program, and
- The provision of guidance and/or financial assistance establishing a voluntarily agreed upon labor-management committee or workforce transition committee that may devise and oversee an implementation strategy that responds to the reemployment needs of the workers.



In providing effective Rapid Response, other activities may be provided, including: developing prospective strategies for addressing dislocation events, identifying layoff aversion strategies, developing and maintaining mechanisms for the regular exchange of information relating to potential dislocations, available adjustment assistance, collecting and analyzing information related to economic dislocations and all available resources, participating in capacity building activities, devising and overseeing layoff aversion strategies, and evaluating the effectiveness of Rapid Response strategies.

[20 CFR 665.200](#) – WIA Section 170 provides that the Secretary may reserve up to 5 percent of the amounts pursuant to WIA Section 132(a)(2) to provide technical assistance to States that do not meet the State performance measures with respect to employment and training activities for dislocated workers. Using these funds, the Secretary may provide such assistance to other States, local areas, and other entities involved in providing assistance to dislocated workers, to promote continuous improvement of assistance to dislocated workers. Amounts may be used to provide for the training of staff, including specialists, who provide Rapid Response services, including training instruction in proven methods of promoting, establishing, and assisting labor-management committees. Such projects are administered through the dislocated worker office described in WIA Section 174(b).

[20 CFR 665.300\(c\)](#) – WIA requires a State to establish a Rapid Response dislocated worker unit to carry out statewide Rapid Response activities. Rapid Response assistance is important for the development of requests for national emergency funds. USDOL sets a high priority on the early collection of information about workers being laid off, so that requests for funds will be made promptly when it is determined that there are insufficient State and local formula funds available to meet the needs of workers being laid off. This process ensures that there are funds available in the local area when the workers first need the assistance. Early intervention to assist workers being dislocated is critical to enable them to find or qualify for new jobs as soon as possible after the dislocation occurs.

[20 CFR 665.320](#) – WIA provides funds to perform Rapid Response at Section 134(a)(1)(A). The Governor must reserve a portion of the dislocated worker funds for statewide Rapid Response activities as described in WIA Section 134(a)(2)(A) and 20 CFR 665.310 through 665.330. In making this reservation, the Governor may reserve up to 25 percent of the dislocated worker funds. [WIA section 667.130(b)(2)].

[20 CFR 665.340](#) - Once the State has reserved adequate funds for Rapid Response activities, the remainder may be used by the State to provide funds to local areas that experience increased numbers of unemployed individuals due to dislocations for the provision of direct services to participants if there are not adequate local funds to assist dislocated workers [WIA section 665.340].

**WIA Section 112** - Requires that the state receiving funding under section 127 or 132 or financial assistance under the Wagner-Peyser Act [29 U.S.C. 49 et seq.] submit to the Secretary of the Department Labor a plan for approval outlining a 5-year strategy for the statewide workforce investment system. The State is to include in the plan how it will provide Rapid Response activities from funds reserved under section 133(a)(2). [WIA



Section 112(b)(17)(A)(ii)] Likewise, section 118 of WIA provides that each local board, in partnership with the appropriate chief elected official, shall submit to the Governor a comprehensive 5-year local plan, consistent with the State plan. [WIA Section 118(a)] The local plan is to include a description of how the local board will coordinate workforce investment activities carried out in the local area with statewide Rapid Response activities. [WIA Section 118(b)(5) & section 661.350(a)(6)]

**WIA Section 134** - Provides that the funds reserved by the Governor under WIA Section 133(a)(2) are to be used to carry out employment and training activities which include statewide Rapid Response activities described in WIA Section 134(a)(2)(A). Activities under WIA Section 134(a)(2)(A) are required statewide employment and training activities, which include statewide Rapid Response activities.

- The provision of Rapid Response activities, carried out in local areas by the State or an entity designated by the State, working in conjunction with the local boards and the chief elected officials in the local areas.
- The provision of additional assistance to local areas that experience disasters, mass layoffs or plant closing, or other events that precipitate substantial increases in the number of unemployed individuals, carried out in local areas by the State or by an entity designated by the State, working in conjunction with the local boards and chief elected officials in the local areas.

The State is ultimately responsible for the provision of Rapid Response activities in **20 C.F.R. 665.300**. Rapid Response is a required workforce investment activity carried out in the local areas by the State or an entity designated by the State, in conjunction with the Local Board and chief elected officials.

**20 CFR 665.300(b)** - 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.

**Summary and Explanation of the Final Rules** – This section contains USDOL’s response to comments received on the Interim Final Rule during the comment period. The regulations are to clarify or explain how USDOL intends to interpret the WIA statute, to provide context for interpretations or to provide a clear statement of the Act’s requirements. Consistent with the Act, the Final Rule provides the States and local governments with the primary responsibility to initiate and develop program implementation procedures and policy guidance regarding WIA administration. Maximum flexibility is afforded to the State and local areas. 20 CFR 661.120 formalizes this flexibility in the regulations.

Rapid Response activity may be triggered by a variety of information sources such as public announcements or press releases by the employer or its representatives, as well as other less formal information developed by early warning networks, individual phone calls, or other sources. This information must come from a credible source or confirmation from the employer of an imminent dislocation.

Early intervention strategies and policies are best implemented through quality Rapid Response assistance which includes comprehensive core services, and the provision of other reemployment assistance, including intensive and training services, as soon as the need can be identified, preferably before layoff. The statute authorizes all levels of assistance under Title I of WIA to workers six months before layoff or at least as soon as the layoff notice is received. It is paramount that workers be provided with access to quality information regarding all adjustment assistance available and necessary deadlines.

**Subpart C** – Rapid Response assistance begins at the dislocation site as soon as a State has received credible notice of a potential significant dislocation event. Collaboration between the State, local boards, AJC partners and other appropriate entities is critical to enabling workers to minimize the duration of unemployment following layoff. States and local boards are encouraged to implement processes that allow core services to be an integral part of Rapid Response assistance, preferably onsite, if the circumstance warrants it. WIA defines “dislocated worker” in WIA Section 101(9) in a manner that permits funds to be used for both intensive and training

services for workers (1) as soon as they have layoff notices or (2) up to six months (180 days) before layoff if employed at a facility that has made a general announcement that it will close. This is a critical time for determining if workers' needs can be adequately addressed through WIA formula funds or if national emergency grant funds [WIA Section 173; 20 CFR part 671] should be requested in a timely manner.

## ■ Creating an Effective and Quality Rapid Response Program:

Rapid Responders have long recognized that, although there is very little formal guidance included in the WIA law and regulations, the job of Rapid Response itself is enormous. In 1998, the original Rapid Response Workgroup, a team of federal, state, and local Rapid Response experts convened by the Employment and Training Administration (ETA) began to

consider how to create tools and resources to enable their peers across the country to fully implement a comprehensive Rapid Response system. Due to the complex nature of this activity, the group decided to identify core “principles” in lieu of a standard definition upon which successful Rapid Response systems would be built. The group subsequently identified a set of ten “Quality Rapid Response Principles” which continue to form the core meaning of quality Rapid Response systems. Over time, an 11<sup>th</sup> principle was added; these Quality Rapid Response Principles continue to provide a comprehensive lens through which to view the entirety of the function of Rapid Response.





## 10 Rapid Response Quality Principles... Plus “Innovation!”

### 1 TIMELINESS

*The Sooner the Better (and Before is Best)*

Rapid Response lives by the motto, “When you need us most, we’ll be there.” This is more than just a saying—in Rapid Response, your effectiveness hinges on providing solutions when they are needed. Early intervention allows opportunities to establish layoff aversion and incumbent worker strategies, to communicate about worker concerns, to take advantage of worker transition committee opportunities, to initiate peer support projects, and much more. Rapid Response is an early intervention activity, requiring effective early warning networks, partnerships, strategies, policies, procedures and more to be in place prior to action.

### 2 LAYOFF AVERSION

*Preventing, or Minimizing the Duration of, Unemployment*

As we have stated on numerous occasions, layoff aversion is the act of preventing or minimizing the duration of unemployment. Layoff aversion is as much a mindset or a philosophy as it is a set of approaches or activities. A Rapid Response system built on the tenets of layoff aversion will be more prepared, organized, creative, proactive, and offer more solutions.

### 3 PARTNERSHIPS

*Develop Relationships Necessary to Deliver Solutions*

The bad news: you can’t do it alone. The good news: you don’t need to (and, indeed, shouldn’t want to). Comprehensive Rapid Response requires an array of knowledge and abilities to provide necessary solutions to your customers. Many solutions your customers may need are provided by organizations outside of the Rapid Response team, so effective partnerships are critical to effective Rapid Response. Partnerships can be leveraged to yield additional resources and

information to workers and employers to facilitate transition. The challenge is creating and maintaining partnerships that add value to your solutions and ensuring partners who follow through on their commitments—because you may be accountable for their failure to follow through.

It is important to remember that just because a particular solution is not paid for directly by Rapid Response funds does not mean it is not a service you provide to your customer. Facilitating solutions for your customers requires meeting their needs often through your relationships with service providers, other government agencies, and other public and private entities. Meeting your customers' needs will raise the likelihood that they will turn to you for assistance in the future.

#### 4 LEVERAGE RESOURCES

*Know Where the Money Is & How to Put It to Effective Use*

Through leveraging and coordinating both public and private sources and organizations, more resources can be directed towards creating the solutions that businesses and workers need. Meeting your customers' needs enhances your value to them, and helps ensure that businesses work more closely with you and workers are able to access critical services at a critical time.

#### 5 CONVENIENCE

*When You're Needed, You're There... Wherever, Whenever and Whatever!*

This principle was initially titled “Onsite Rather than Offsite,” and that concept of course remains true today. All other things being equal, affected workers are better served when meetings and other Rapid Response events are provided on-site rather than off-site, or requiring individuals to accommodate their working schedules to AJC regular operating hours. But this principle should also apply to your business customers—making it easy and valuable for them will help ensure they are willing to participate in the Rapid Response process.

## 6 SEAMLESS SERVICE DELIVERY

*Deliver Solutions – Show Customer **Results**, Not Processes*

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. Coordination between partners and stakeholders is critical to ensure seamless delivery of services. 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 employers) have a smooth and productive experience. Remember, what matters most is that customers get good outcomes and have their needs met.

## 7 CONSISTENT & ACCURATE INFORMATION

*Know Your Stuff & How to Explain it to Your Customers*

Layoffs and plant closure are difficult times for everyone involved. With that in mind, information needs to be clear, consistent and, above all, accurate. In order to maximize the utility of your message, you need to provide customers, both workers and employers, with information they can rely on. The information needs to be consistent, accurate, locally-focused and timely. Information should be as specific to the work site as possible. Rapid Response staff and their partners at the state and local level must engage in an ongoing information gathering and sharing process making sure that the entire team remains well informed.

## 8 CUSTOMER CHOICE

*Meet Customer Needs – Provide What They Want, Not What's Available Now*

Customizing services for the specific population being laid off will ensure the success of Rapid Response in assisting people transition back to employment. It serves as a catalyst for the utilization of numerous Rapid Response strategies pertinent to the event. Rapid Responders and AJCs, in consultation with the employer, the worker and worker representative (and the union if present), will determine which services will be made available.

Customer Choice requires customer input. Customer input is also a critical component of a well-informed transition plan. Surveys can provide a profile of the worker and a snapshot of their interests. Surveys should be the first step in gathering the information needed for a successful career transition.

## 9 MEASURES OF SUCCESS

*Measurable Goals Enhance Continuous Improvement & Outreach Effectiveness*

Understanding the results of your solutions and strategies provides critical information for two primary purposes:

- Continuous improvement, and
- Messaging, outreach, and telling your story (see Active Promotion).

Collecting an array of data on a variety of measures helps to determine the strengths and weaknesses of your Rapid Response system and allows for improvements. Understanding the many ways Rapid Response is effective can help you with the value proposition—being able to demonstrate the ways Rapid Response adds value to your economy. Determining what information to gather and analyzing that information to streamline efficiency, coupled with facilitating your message, is extremely important. An example of a measure would be to determine the percentage of workers who are reemployed without ever filing a claim or Unemployment Insurance and calculation of the resulting cost-savings to the Unemployment Insurance Trust Fund.

## 10 ACTIVE PROMOTION

*Tell Your Story & Share Your Successes!*

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 or other promotional materials, presentations at meetings with business groups (e.g., Chambers of Commerce) and unions, public service announcements, and networking activities. It can involve social networking through an array of strategies and sites (e.g., Facebook, Twitter, Linked-In). Promotion can take many forms, but it has to be intended to showcase your value and increase participation.

Businesses and partners are not required to work with Rapid Response; therefore, part of your challenge is to prove to them that it is in their best interest to do so. As such, you must have a comprehensive outreach and messaging strategy designed to tell your story. Understanding your value proposition and using it to develop wide-ranging promotion strategies is a critical step.



## INNOVATION

### As the Economy Evolves, You MUST Keep Pace

The best Rapid Response teams all have characteristics that embody agility and idealize continuous improvement. This involves broadening program awareness, continuous relationship building, developing new strategies to meet employer and worker needs, as well as addressing these challenges to ensure regional economic stability and growth. Rapid Response efforts should embrace certain core qualities: timeliness, consistency, and high-quality solutions. However, you must not stop there—in an increasingly complex economy, Rapid Response must continue to grow and innovate to remain valuable and relevant.

## PART 3

# The Vision: Managing Economic Transition

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### ■ Introduction:

In this section, we present an image of Rapid Response that reveals a fundamental component of the workforce investment system, a proactive vibrant and comprehensive set of solutions that meets the needs of our dynamic economy while supporting our diverse workforce. Our goal is to describe an “ideal blueprint” for Rapid Response—a framework that is the result of collaboration between federal, state, and local practitioners, policy makers, and partners. In this section, and throughout this Guide, methods and concepts have been gleaned from the collective experience of Rapid Response professionals from across the country, including members of the National Rapid Response Workgroup. It aims to ensure that all state and local leaders and practitioners understand the full array of solutions and activities that can, and should be carried out by designated Rapid Response Teams.



The concepts, methods and practices that are explained throughout this document are rooted in the Rapid Response Quality Principles. These Principles provide a foundation for the development and delivery of services that meet the needs of all customers—workers and business alike—in the greater workforce system.

Rapid Response is both a strategic and an operational activity that reaches its full potential when both aspects have equal prominence. Because operational components are situation-dependent, this section will focus on an overarching framework for comprehensive Rapid Response, with an emphasis on the strategic aspects, though it will also touch on the operational aspects as necessary.

## ■ The Vision

Rapid Response is at the heart of the **promise of the workforce system**. It is flexible and responsive to the needs of the working public, our nation's employers, and the communities in which they reside.



To keep this promise, and to ensure high-quality, consistent, and timely services, Rapid Response teams must focus on preventing or minimizing the impact of layoffs. **The ultimate goal of Rapid Response is to enable affected workers to return to work as quickly as possible following a layoff or to avoid unemployment altogether.** To do so, Rapid Response teams must take an ongoing, comprehensive approach to identifying, planning for, and responding to layoffs, and preventing or minimizing their impacts wherever possible. To meet this goal, a successful Rapid Response strategy should include at least the following:

***Strategic Planning:*** Data gathering and analysis, including state, local and regional labor market intelligence, cataloging training assets, and tracking economic development initiatives.

***Solutions For Business:*** A range of services that assist businesses throughout the business cycle. This is the key to transition management: providing workforce solutions for companies in growth and decline.

***Brokering and Facilitation:*** The capacity to convene, facilitate and broker connections, networks, and partnerships. This is often the most valuable tool Rapid Response can bring to communities in economic upheaval, and also the least expensive.

***Strategic Reemployment Solutions:*** Provision of direct reemployment services for workers including, on-site job fairs, instant labor exchange, registered apprenticeships and connection to job search tools.

**Resource Management:** Assessment of available resources and strategies to leverage those resources, and to develop additional resources.

**Layoff Aversion:** Assistance to businesses to help avert layoffs and/or minimize unemployment, including the capacity to facilitate prefeasibility studies, ESOPs/employee buyouts, direct labor exchange, succession planning, business management or process improvement services (such as those provided by Manufacturing Extension Partnership (MEP) organizations and others).

Programs that can help assist workers in getting back to work quickly include:

- **Self-Employment Assistance (SEA):** Offers UI claimants the opportunity to create their own jobs by starting their own small businesses. Under these programs, States can pay a self-employed allowance, instead of regular unemployment insurance benefits, to help unemployed workers while they are establishing businesses and becoming self-employed. Participants receive weekly allowances while they are getting their businesses off the ground.
- **Short-time compensation (STC):** Also known as work-sharing or shared work, this service preserves employees' jobs and employers' trained workforces during disruptions to regular business activity by reducing hours of work for an entire group of affected employees rather than laying off some employees while others continue to work full time. STC provides a portion of a weekly unemployment compensation (UC) payment to certain individuals whose work weeks have been reduced. STC cushions the adverse effect of the reduction in business activity on workers and ensures that these workers will be available to resume prior employment levels when business demand increases.
- **Reemployment Eligibility Assessments (REA):** Provides funds for states to better link the unemployed with the overall workforce system by bringing individuals receiving UI benefits into an AJC for personalized assessments and referrals to reemployment services. The goal is to provide unemployed workers who receive UI benefits with early access to strategies that can assist them in getting back into the workforce more quickly.

## ■ A Solutions-Based Approach to Managing Transition in an Evolving Economy

Economies, whether national, regional, or local, are always in transition—growing, declining, and otherwise evolving. Successful Rapid Response teams exist at the epicenter of this

*Managing transition is not simply a reaction to a layoff notice or the provision of services; it is an active, continuous effort, providing long-term solutions...*

transition, which is the confluence of growth and decline.

They play a critical role in ensuring that economic transition benefits as many people as possible, but that it also provides a lifeline into the workforce system for those not readily able to meet the challenges of these transitions. To succeed in this environment, Rapid Response needs to utilize a solution-based approach to managing transition. Managing transition is not simply a reaction to a layoff notice or the provision of services;

it is an active, continuous effort, providing long-term solutions which lead to a thriving economy. This involves:

- Building and maintaining a vibrant Rapid Response infrastructure ([TEN 31-11](#));
- Developing an awareness of the global, national, regional, local and industry-specific economic trends;
- Building relationships with employers, service providers, and other stakeholders;
- Understanding the needs and challenges of the employers and workers; and
- Developing a vision and associated strategies that address the challenges facing your economy and workforce and fosters long-term workforce and economic stability and growth.

Solutions-based Rapid Response is not event-driven; it is a pro-active approach to planning for and managing economic and workforce transition. This changes the image of Rapid Response from an old perception of responding to plant closings and mass layoffs with a meeting and a menu of stock services, to managing economic transitions through a series of tailored solutions. To accomplish this, Rapid Response teams will need to build and maintain relationships with a host of relevant stakeholders as well as establish networks and share information among all the stakeholder groups. When effectively deployed, Rapid Responders should be well positioned to manage the dynamic interplay between the workers, affected businesses and the community, hastening economic recovery for all.

Among its many roles, Rapid Response is a primary gateway into the workforce system for both dislocated workers and businesses. For individuals who have just been notified of a job loss, effectively placing their livelihoods in jeopardy, Rapid Response is a link to the

workforce system and a pathway to their next job. Rapid Response also provides critical services to businesses by helping them manage their workforce in times of transition. It is important to understand that this is a more dynamic position than simply being the outreach arm of the AJC system. Rapid Response is a vital service in and of itself, critical to workers and businesses.

*Rapid Response is a primary gateway into the workforce system for both dislocated workers and employers.*

At its heart, Rapid Response is a straightforward transaction—it connects a worker in jeopardy of, or affected by a layoff, to a new job... a good new job. Unfortunately, making this transaction happen can be a very difficult thing to do. It requires extensive planning,

preparation, partnerships, broad understanding of the local, regional, or state economy, and access to employers who are downsizing and hiring. Rapid Response, when effectively deployed, holds a unique position in the economy, situated at the cross road between supply and demand.

## ■ What Is Going On At Your Company?

Great Rapid Response begins with the question: “What’s going on at your company?” The answer to this question provides the Rapid Response team with an indication of the challenges or opportunities confronting the company and the solutions that may be successful for each particular situation. The idea is to solve problems, rather than just deliver a static list of services. The value of Rapid Response is its ability to gather and deploy a unique array of solutions that meet the challenges of a particular event.

Rapid Response teams are able to provide assistance through a broad range of activities. Laws and regulations have established a framework and describe boundaries, but do not prescribe a specific set of services. As Rapid Responders, we are encouraged to seek out the most appropriate solution to the problem at hand. We are allowed to reach across organization and regional boundaries to build partnerships and establish unique strategies in order to meet the goal of getting people back to work as quickly as possible.

## ■ A Conversation with Company Representatives/Leadership

Successful Rapid Response depends on the ability to identify business and workforce needs, and to work together with employers to develop strategies and resources addressing the challenges facing their workers, including access to additional service providers.

Categories of needs and solutions may include:

- Personal needs, such as financial management, health insurance, housing, or childcare;
- Training for new or updated skill sets, or for certifications and credentials;
- Reemployment, such as access to available jobs, modern job search methods, assistance with resume writing, or interviewing. Programs that can assist in reemployment efforts include:
  - [Self-Employment Assistance \(SEA\)](#)
  - [Short-time compensation \(STC\)](#)
  - [Reemployment Eligibility Assessments \(REA\)](#)
- Skill sets, including talent, technology, and soft skills;
- Providing business and process management consulting, such as that which is available from [MEP](#) organizations;
- Layoff prevention, including succession planning and options for employee ownership; and
- Navigating the complexities of the unemployment insurance system.



### **Building relationships and preparedness are key elements of success.**

Rapid Response providers need to have a core capacity, which enables them to facilitate the connections and provision of resources. Developing that capacity includes building relationships and strategies in advance of a dislocation, including connections to programs such as Wagner-Peyser, training such as job search workshops, and access to services, such as health insurance. It also includes knowledge of and working relationships with available resources and programs, such as Unemployment Insurance, Trade Adjustment Assistance and supportive services.

Under the WIA, state governments are required to carry out Rapid Response activities designed to assist workers affected by a layoff in getting quickly connected to public workforce assistance benefits and services, such as unemployment insurance, career counseling, and job search assistance.

The WIA regulations state that Rapid Response teams may—and perhaps more accurately should—work with business and industry councils, labor organizations, and Federal, state, and local agencies – including economic development – to develop a range of proactive strategies for addressing potential dislocation events. These options include layoff aversion and regular exchange of information among employers, state governments, labor unions, and community officials.

Rapid Response teams also provide information to employers on state and Federal requirements, as well as laws for notification, such as the WARN Act, and other services that help avert or minimize layoffs.

Rapid Response additionally provides access to related programs such as [Unemployment Insurance](#), [National Emergency Grants](#), and [Trade Adjustment Assistance](#).

## ■ Proactive Approach

A proactive approach requires a year round, daily commitment to Rapid Response. Great Rapid Response is the result of continuous engagement with business, ongoing labor market research and maintenance of a comprehensive network of partners.



Rapid Response need not—and *should not*—remain a single, onsite visit to an employer in response to the filing of a WARN notice. Optimal application of Rapid Response as a transition management service allows the workforce system to remain relevant across the entire business cycle—during times of growth and times of decline. When Rapid Response is viewed solely as a reactive service to individuals affected by layoffs, much of its inherent value is lost. While working to reduce the effects of a layoff on individuals is a valid, valuable and core service, the scope is limited and often fails to meet the greater challenges facing the region's economy. Another way to view this is, saving a tree and losing the forest is not much of a victory.

Proactive means being prepared. The best image of this model may be a fire truck. It doesn't make much sense to buy the fire truck only after you smell smoke. It doesn't make any more sense to roll out Rapid Response only after receiving a WARN notice. A fully optimized Rapid Response Team would be:

### **Actions**

- Delivered through a well-developed service infrastructure
- Well trained staff
- An assessment of systems capacity and a working understanding a scalability
- Written policies and procedures which are understood by all team members
- Fully integrated Layoff Aversion strategy, in place (this is difficult, if not impossible, to do on the run)
- Understanding the value proposition (an “elevator speech”)
- A system to continually evaluate, enhance, and improve

### **Organizations/Partners**

- Early Intervention Team:
  - Engaged with the regional economy including: State a local LMI and industry trends
  - Local WIBs and America Job Centers
- Labor (i.e.: State Labor Federation, Building Trade Council)
- Economic Development including: State and Local, Small Business Development Centers, and Chambers of Commerce
- Business Community including Industry Groups (i.e.: manufacturing and hospital associations)
- Education, including: community colleges, K-12, and vocational and technical education schools and other higher education institutions

## **■ Customized Yet Consistent**

Effective Rapid Response needs to be both customized and consistent. While this seems, at first glance, to be a contradictory statement, it is the key to providing quality solutions. Just as no two layoffs are the same, no two service strategies should be the same, yet all service strategies must be based on the same commitment to consistent, high-quality solutions.

The needs of employers and dislocated workers vary with each event. The closure of a large manufacturing plant in a small town will call for one set of solutions; a small reduction in force at a software company in a large urban area will call for another. The effect on

communities can range from minor to devastating depending on the size of the layoff and the vitality of the region's economy, demographics and economic resources. Another factor is the timing of the layoff; for example, a sudden, unexpected closure or layoff would require a different response than a layoff that is phased over weeks or months.

Workers and businesses across the nation should receive the same quality of service. Rapid Response, in all cases, should begin as early as possible. Rapid Response should be conducted in accordance with the [Quality Principles](#). To ensure consistent quality service, written standard operating procedures should be developed in advanced and frequently reviewed. Procedures should be seen as a foundation that quality programs are built upon.

Consistency can only be achieved when all stakeholders are in agreement as to how Rapid Response should be delivered and when and how they will work to achieve it. Meeting the goal of customized consistency, the ability to tailor quality Rapid Response to the specific needs of any layoff, any time and in any location, requires proactive planning, established networks and communication and a commitment to [effective quality service](#).

## ■ Layoff Aversion: As a Philosophy

Rapid Response and layoff aversion are inseparable; good Rapid Response **is** layoff aversion. Layoff Aversion should be considered as an essential component of both your infrastructure and strategic planning. This Practitioners Guide describes the philosophical underpinnings of a layoff aversion mindset, and provides some specific activities that can be employed to help prevent job loss or minimize its impacts wherever possible. ***Through layoff aversion, a Rapid Responder can save jobs.***

For a more extensive look at Layoff Aversion, turn to Part 6, *Layoff Aversion*.

For a practical how-to resource, use the Layoff Aversion Tool Kit found at:

***URL and site under development.***



## ■ Expanding your Timeline

Through the full practice of layoff aversion and implementation of business service strategies, rapid responders are able to expand their timeline for intervention. By the time a 60 day WARN notice is received, little can be done to save a company; Rapid Responders must spring to action. It is common practice that layoff notices are erratic and do not adhere to the 60 day warning requirement, Rapid Responders must be prepared. Innovative Rapid Responders have been, in some cases, able to push back the clock and engage with companies six months, a year or even two years prior to a proposed closing or dislocation. The following is a list of some of the tools Rapid Responders are using to expand that timeline.

- Development of partnerships and strategies, established in advance of major layoffs, that can yield vital intelligence for an effective Rapid Response system;
- Succession Planning for small and family-owned businesses;
- Mapping skill sets of employees in declining industries, prior to layoff events, and identifying:
  - Jobs requiring similar skills in growing sectors of the state’s economy, with the goal of creating instant labor exchange, or
  - Potential career pathways and appropriate short-term training opportunities for at-risk workers;
- Working with the MEP to provide business and process improvement consultation and training;
- Reading the signs of a pending business facility closure or mass layoff <http://www2.calaborfed.org/userfiles/doc/2010/legislative/RRToolkit.pdf>; and
- Conducting a prefeasibility assessment:
  - Form a joint labor-management committee with community input,
  - Conduct a layoff aversion study – an internal examination of the business and a review of external resources that might alleviate the danger of a plant closure or mass layoff, and
  - Develop a program with a set of actions that can be taken to avert a plant closure or mass layoff:
    - Work sharing
    - Management reorganization
    - Operations and cost reviews
    - Financial restructuring
    - Modernization and upgrades of equipment
    - Conversion to new products
    - Incumbent worker retraining

## ■ Brokering Connections & Partnerships

Delivering direct services to customers through Rapid Response is critical; equally important, Rapid Response must be a broker of solutions for a range of customers. The most effective Rapid Response Teams develop and maintain a comprehensive set of partnerships designed to provide customers—dislocated workers, incumbent workers, organized labor and employee representatives, growing and downsizing employers, other components of the workforce investment system, and outplacement firms to name a few—the services, resources, and benefits they need, or for which they are eligible.



The strength of a Rapid Response Teams solutions exist in the wealth of services and resources provided through its partner network to plan for and address economic transitions that impact employers and workers. The Rapid Response partner network includes:

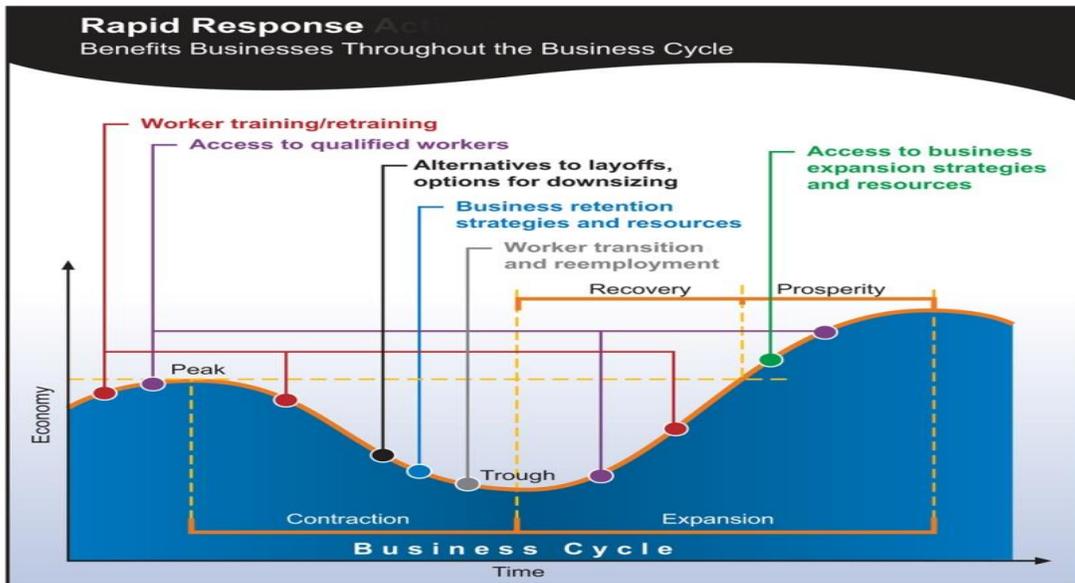
- Workforce Investment Boards (WIBs)
- American Job Centers
- Businesses and Industry Groups
- Organized Labor
- Education/Training/Community Colleges
- Unemployment Insurance
- Health Insurance Providers
- Healthcare Service Providers
- Childcare Services
- Insurance Companies
- Employment/Job Networks
- Mental Health/Counseling Small Business Administration
- Entrepreneurial Organizations
- Financial/Banking/Mortgage Companies
- Economic Development Agencies
- Manufacturing Extension Partnership
- Workforce Development Agencies
- Non-profit Organizations
- Utility Companies
- State and local elected officials
- State and local government agencies
- Community- and faith-based organizations
- Libraries
- Others

## ■ Private Outplacement Firms

While Rapid Response and private outplacement firms are seen as some to be competitive in nature, we encourage Rapid Response teams to collaborate with outplacement firms.

Collaboration allows for a broader range of services and resources to be provided to those

workers and helps conserve limited resources. A coordinated service strategy allows for a clean hand-off from the outplacement firm's service to the AJC system. This coordination can be critical for those who need assistance beyond the outplacement firm's scope of service or time limit. And just as two heads are better than one, two teams should be able provide even more solutions by combining networks, skills and resources.



## ■ Serving Business, Workers and Communities

Rapid Response realizes its full potential as a business service, allowing relationships with employers to be maintained and enriched-throughout the business cycle. By building long term relationships with business, and, more importantly, business leaders, Rapid Response as a component of the workforce system plays a central role in a region's economic development efforts. Rapid Response is one of the few government-funded programs whose direct mission is to serve the needs of employers, workers and communities. The planning and information gathering necessary for effective Rapid Response also establish awareness of, and familiarity with, the talent needs of a region. The direct connection between Rapid Response and business service allows the workforce community to strategically meet the needs of both hiring employers and dislocated workers.

By sourcing talent during peak/growth phases, and facilitating solutions for both business and workers during times of decline and recovery, Rapid Response plays a valuable and on-going

role **across the business cycle**. This means the WIB and its AJCs are prepared to support local business when they are:

- Expanding
- Down-sizing
- Merging
- Relocating
- Reorganizing
- Closing

Rapid Response and business services combine to form a continuum of services to businesses and the workforce. This service model relies on active relationships with all the stakeholders in the region's economy. It is an integrated approach to the economic well-being of a region.

**Rapid Response is a critical component in the commitment by the government to support business in an evolving economy.**

It is important to establish strong relationships with employers to exchange information and maintain awareness of potential economic transitions. Establishing a dynamic relationship between employers and Rapid Response providers helps ensure:

- Understanding of full array of available services;
- Accurate information about state and Federal laws and regulations, such as the WARN Act;
- Information about alternatives that may help avoid or reduce layoffs;
- Coordination of services and resources, such as linkages to WIBs, AJCs, the US Department of Commerce, or Manufacturing Extension Partnerships, a nationwide network of non-profit centers that support manufacturers;
- Positive labor-management relations;
- Higher productivity, better worker morale, and lower absenteeism during impending layoffs;
- Lower unemployment insurance costs as workers are retrained and/or re-employed more quickly when services begin prior to layoffs;
- Decreased likelihood of sabotage or work disruptions;
- Media and rumor management;
- Better public relations for employers;
- Trade Adjustment Assistance for Firms;
- Help with exporting goods and services (Department of Commerce);
- Connecting employers to a range of federal, state, or local benefits for which they may be eligible, including:
  - Low-cost state loans or economic development funding

- On-the-Job Training funds
- Other customized training funds including incumbent worker funding

Rapid Response as business service is an active, continuous effort to provide long-term solutions that lead to a thriving economy.

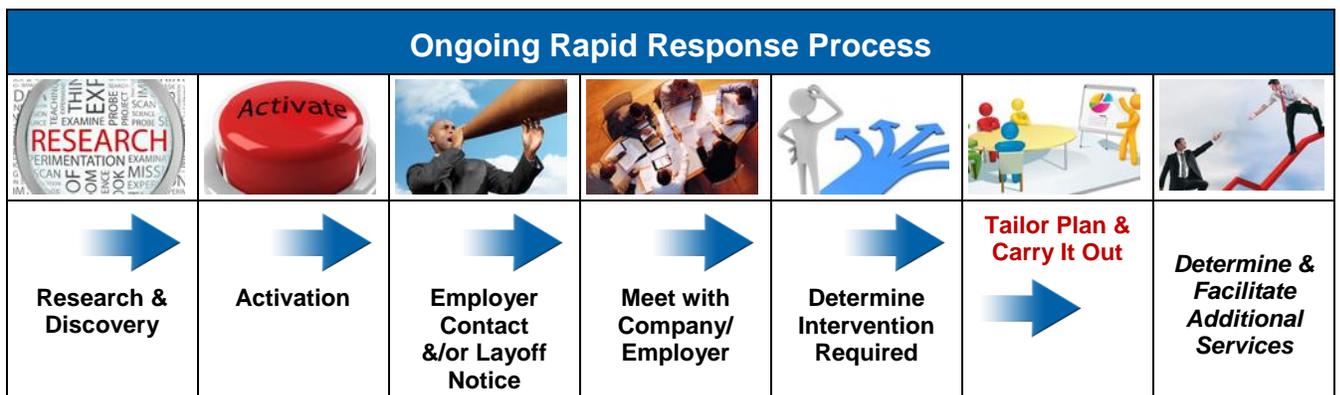
**PART 4**

**Doing the Job**

**Introduction**

This section of the Practitioner’s Guide is organized based upon the Rapid Response Conceptual Process, which consists of seven key “phases.” These seven phases act as the organizing principle for this section of the Guide, although the Guide also provides specific detail on aspects of the job of a Rapid Responder that do not correspond precisely to those phases.

It is important to note that though we use the term “phases” here, the components of this conceptual process do not always fit cleanly into separate steps—several of the steps may overlap each other and the process itself may not be totally linear. The seven phases are designed to provide a good lens through which to view the Rapid Response conceptual process—the conceptual process is intended as training or learning a mechanism, or an academic look at the complex job of Rapid Response. Learning about Rapid Response through the mechanism of this conceptual process will allow Rapid Responders to better understand the ideal model before applying that knowledge to the concrete aspects of the real job.



## **Research and Discovery**

This initial step includes building systems, networks, and partnerships designed to make optimal use of a range of data and indicators. These data and indicators will be used for early warning networks and systems, to identify opportunities for proactive approaches, or to implement layoff aversion strategies. Some useful partnerships in this phase include organized labor, economic development, Chambers of Commerce, and local workforce boards.

## **Activation**

Activation involves turning your research and planning into action. It includes at least four components: 1. becoming aware of a pending event, 2. assessing the situation, 3. customizing your strategy to the specific situation based upon your assessment, and 4. engaging or connecting with the local WIB (for state-level Rapid Response systems). To accomplish all of these in a timely manner, all tools, systems, relationships, policies and processes must already be in place.

## **Employer Contact and/or Layoff Announcement**

By whatever method you received information about impending layoffs (early warning network, employer outreach, through a partner, from a WARN notice, etc.) or that an employer is growing, your outreach to the employer initiates the development of strategies that will lead to effective solutions and successful outcomes. The goal of this stage is a face-to-face meeting with representatives of the company who have decision-making authority. Whether preparing for layoff or helping an employer grow, your relationship with the company very likely begins here—you only have one chance to make a first impression.

## **Meet with Company/Employer**

Great Rapid Response starts with asking one question: “What’s happening in your company?” It continues with a follow-up: “What can I do to help?” Your meeting with the company allows you to address several major concerns:

- you can request workforce demographic data;
- begin exploring layoff aversion strategies (including short-time compensation, incumbent worker training, labor exchange with growing businesses);
- determine and coordinate with company resources including outplacement firms;
- determine severance packages and their impact on UI benefits (and begin working with your UI office to mitigate impacts);
- coordinate with labor representatives if applicable;
- alert likely partners that they may be called on for action; and

- begin to determine if the layoff may be trade impacted or require a National Emergency Grant (NEG)

At this phase, you begin to demonstrate your value to the company and the employees, identify the conditions that determine which of your own or partner resources could be needed, and continue to develop your relationship with the employer.

### **Determine Intervention Required**

Following your meeting with the company as described above, it is time to determine the specific intervention required for the particular scenario. Intervention is where you align your team, your strategy, and your plan. It can entail somewhat of a fork in the road: is it time to develop a **transition plan** or are there conditions favorable to a **layoff aversion plan**? Both of these plans require you to determine other workforce programs that may need to be involved or notified including Trade Adjustment Assistance, NEG, UI, local AJCs, and more, and determine the funding likely needed and its source. For transition plans, you should also assess whether an onsite transition center, peer counselors, or other programs may be useful. An important goal of a transition plan is to leverage as much time as possible onsite prior to the layoff and provide as many services to the business and the workers as possible.

For aversion plans, outside partners are critical as well, including economic development, TAA for Firms, organized labor, and MEP organizations. There may even be an opportunity to conduct a prefeasibility study to determine whether a company could be bought out by employees or could shift production to new products or locate new customers. It is also an important time to start developing an “instant labor exchange” plan to facilitate the movement of laid off workers to other industries/businesses that are growing in the area.

It is critical that whatever plans are made, they remain fluid and flexible because the situation may change rapidly and you need to be agile enough to meet whatever needs arise.

### **Tailor Plan and Carry It Out**

Tailoring a plan and intervention efforts can blend together in many ways, this step of the process is all about customizing the plan to meet the needs of both the company and workers. Is there an opportunity or a need for labor and management to be involved jointly in the planning and delivery of services through a formal or informal labor/management committee? Have you coordinated with other service providers to ensure that you maximize the resources

available to the company or workers? Do you have a strategy for connecting onsite services to those provided through the AJCs and a mechanism to make this transition as seamless as possible for workers? Have you thought through and explored all options to successfully manage the transition?

Once you have created the optimal plan for the current scenario, you will need to carry it out. It is important to deliver on what you promise—your credibility and reputation is at stake.

When you carry out the plan, you must also coordinate any partners who may be providing services or resources or supporting your activities in other ways, including as part of layoff aversion strategies. Maintaining good communication with the company during this entire phase is critical in ensuring that you are meeting their needs.

### **Determine and Facilitate Additional Services**

It is critical to establish ongoing service and support; it provides an opportunity to cement the relationships you have developed through the engagement with the employer. It allows you to continue to provide talent management to a company across the business cycle, because in many cases a company downsizing today is growing tomorrow (or even growing today in another branch or section). It requires you to continue to seek out opportunities to work together. And it brings home the true value of Rapid Response to the employer—your value to them regardless of the situation. It allows you to meet this critical goal: **to make it so they cannot imagine doing business without you.**

#### ***Ongoing Efforts: Tracking and Evaluation***

Throughout the process you must also create mechanisms by which you can track your activities and evaluate your success. Good information matters, for it allows you to prove the value of Rapid Response and to tell a compelling story. And evaluating your partnerships, systems, policies, processes, staff, and more is critical in ensuring continuous improvement and identifying opportunities for innovation.

#### ***Follow-Through and Follow-Up***

As we know, companies are not required to work with Rapid Response. Therefore, credibility and the ability to provide solutions are your currency; they are what ensure Rapid Response is seen as a valuable resource. So ensuring delivery on all promises and providing excellent customer service are critical. Always circle back and follow up

with customers to ensure their needs were met and with partners to ensure they were delivering what they promised. Avoid the stigma of being looked down on as a “government” program by being flexible, responsive, and supportive.

Implementing this conceptual process, which is described here as an idealized framework, in your state or local area will require an understanding of the broad vision for Rapid Response, and will also require:

- A bias towards prevention, strategic planning, and getting workers into new jobs;
- A clear understanding of the value of Rapid Response and ways to express this value;
- In depth knowledge and understanding of all rules and regulations (federal, state, local) to create a foundation from which innovation springs;
- The establishment and maintenance of deep and broad partnerships;
- Established, disseminated, and well-understood procedures and policies;
- Leadership that creates an environment that encourages innovation, creativity; and,
- Staff who are properly trained with incentives for behaviors that promote all of these broad goals.

## ■ Research & Discovery

The Rapid Response Conceptual Framework begins with “Research & Discovery”: this phase is the foundation of highly effective Rapid Response mechanisms. Your ability to enter this first phase requires a significant amount of preparation—before you can gather information, you need to have the people, processes, systems and strategies in place to enable effective collection and ultimately the ability to turn information into action. Spending the time and resources to build this foundation will help ensure that Rapid Response system meets its full potential.

Effectively managing this phase allows Rapid Response to bring to bear the full range of solutions to any given situation—the earlier any intervention begins the better chance Rapid Response has of ensuring effective outcomes, including a wide array of layoff aversion outcomes. Identify impending situations before they occur, and prevent them or minimize their impacts. This is done through the development of early warning systems.

### **Early Warning: Purpose & Systems**

Before Rapid Response teams can effectively prepare for and respond to economic change, they must have information. Information can



come from a wide variety of sources, both formal and informal, and Rapid Response systems require significant amounts of information. However, what sets great Rapid Response systems apart is their ability to turn information into “intelligence”—that is, to be able to sift through vast amounts of data and information, identify that which is of value, and turn it into something **actionable**. Information without a mechanism to make it actionable is a bit like drinking from a fire hose—not terribly effective, and possibly causes more problems than it solves. Turning information into intelligence is the purpose of early warning systems. High-functioning early warning systems can become a key factor in ensuring your Rapid Response team develops strategies and specific intervention plans that are customized to the needs of the customers and provide the best solutions for everyone involved.

The function of early warning mechanisms is to identify firms at risk of closing or leaving prior to actual decisions by companies to shut down or move. The logical networks of early warning “informants” include, at the very least, the following stakeholders: local mayors and council members, local unions, civic and religious institutions, Chambers of Commerce, utility firms, industry groups, and other institutions. Effective early warning systems utilize comprehensive networks of partners and stakeholders to gather information through both formal (such as through business visitation programs or other direct work with struggling firms or industries) and informal means (including rumors of potential impacts).

Just as there is an array of information to be gathered from networks and partnerships, there are also many sources of data that should feed into any early warning system. One source of information for early warning activities is labor market information. **Labor market information (LMI)** is the science of collecting, analyzing, reporting, and publishing data on economic activities to describe and predict the relationship between labor demand and supply.

Labor market information includes the following types of data:

- Labor force and unemployment data
- Current and projected employment data by industry and occupation
- Population and related demographic data
- Local economic trends and characteristics, including cost-of-living
- Occupational data by gender and race
- Occupational wage rates and earnings data by



industry and geographical area

In addition to formal LMI, there are numerous other sources of data that can be used in early warning systems, including:

- WARN Act notifications, which can be developed into listings useful for analyzing layoff activity within a state or region.
- Layoff data from unemployment claim filings, which can be analyzed for distinctive patterns of layoffs in a sector or firm.
- Defaults on public loans (development loans), which are often mirrored by bank defaults and other financing problems.
- Dun and Bradstreet (D&B) reports, which provide information on firms and industries under stress. The D&B Alert tracks sudden changes in firms.
- Moody's Industrial Manual and Standard & Poors, which provide basic information on major companies, such as facilities by location, and company performance data.
- Utility companies' reports of drops in utility usage.
- Information obtained from representatives of a company's customers and suppliers who learn if a company is in trouble through reduced products, services or payments.
- U.S. Industrial Outlook, published by the U.S. Department of Commerce (DOC), which analyzes current and forecast trends for U.S. industries by four-digit NAICS code.
- Major business magazines, regional business journals, or local and regional newspapers, which report changes in management or markets; strengths and weaknesses of products; legal, labor, and compliance issues; etc.
- Company annual reports, which provide financial information on specific firms.

If a firm or industry is experiencing decline, it may be due to several causes. As it declines, financing, long-term investment, operating cash flow, availability of loans, and so on may become a serious problem. The following are some early warning signs stemming from causes of firm decline:

- Managers, skilled workers, or machinery move to new plant
- New plant is opened in low-cost location
- Research and development are cut back
- Fewer product lines are produced
- Parent corporation has major problems
- Corporate merger/acquisition creates excess capacity
- Profit, market targets or distribution systems change
- Local subsidiary is milked for other investment

- Hours and overtime are eliminated
- Managers are frequently replaced
- Management practices become weak
- Work or production schedules become irregular
- Workforce training, and upgrading, is lacking or training is cutback
- Sales staff/marketing are cut
- Owners are aging and a succession plan may not be in place
- Shifts are reduced
- Number of subcontractors, temporary workers increases
- Management and engineering talent is lacking

### **From Early Warning to Actionable Intelligence**

As we have said, early warning systems are in essence action-focused data collection mechanisms which gather information from a wide variety of sources. Where early warning systems differentiate from information gathering systems is in their ability to turn data and information into “intelligence”—information from which action is generated. To be effective in using the vast amounts of information that exist today, Rapid Response systems must be structured in a way to pull together all sources of information, digest what is being identified or learned, and turn it into action.

Turning “**information**” into “**intelligence**” requires existing structures, policies, procedures; it also requires highly trained staff that can understand the data being gathered and are able to distill this into intelligence. And because so much of the information required to create effective early warning systems comes from relationships with stakeholders, it requires Rapid Response to develop and maintain effective partnerships across the entire spectrum of the economy. Information can come from anywhere, so it is important for Rapid Responders to cultivate partnerships from all conceivable sources. Remember, any source of information that may be useful is a good source—informal sources often provide just as valuable information as formal sources. Whether formalized partnerships or conversations with neighbors at a Little League game, be prepared to identify information and turn it into intelligence that helps Rapid Response more effectively serve all customers.

### **WARN Act**

Let’s talk for a moment about the WARN Act. The WARN Act is an important source of information on pending layoff situations. Because the [WARN](#) Act is the only formal

notification of layoffs that is required by federal law, it is therefore critical that Rapid Responders know and understand this law; however, relying on WARN notification alone to drive your Rapid Response system is an excellent way to miss the vast majority of layoffs. WARN allows numerous loopholes and exceptions to notice, and only applies to large layoffs. WARN is just one of thousands of types of information that can be used to identify potential layoffs or layoff aversion opportunities; and it should never be the only trigger for Rapid Response intervention in a given situation.

Remember, WARN does not equal Rapid Response—the two are not synonyms. ***Do not make the mistake of equating WARN to Rapid Response.***

### **Effective Partnerships**

Partnerships are critical throughout the lifecycle of Rapid Response, and this User's Guide will cover partnerships in many different contexts related to the lifecycle. To be able to provide comprehensive solutions to the many needs of customers, Rapid Response teams must develop partnerships to enhance service delivery, provide additional resources, connect customers to benefits to which they may be eligible, create early warning networks, avert layoffs or minimize unemployment, and promote reemployment.

A great deal of the value of Rapid Response lies in its ability to facilitate, or ensure, the delivery of solutions to its customers, rather than directly delivering the necessary solutions themselves. Rapid Response does not have the budget, size, or skill set to meet all customer needs, nor should Rapid Response try to. Rather, ensuring a comprehensive network of partners will allow Rapid Response to meet needs that may arise.

Identifying, establishing, maintaining and growing effective strategic and operational partnerships are critical to the success of Rapid Response, but it is also difficult, effort-intensive, and time-consuming. Partnerships, like any relationships, require nurturing and mutual benefit (so answering the question “what’s in it for me?” is a driving factor in successful partnerships). Successful Rapid Responders constantly evaluate need for additional partnerships, and re-evaluate existing partnerships.

### **Layoff Aversion (strategies/mechanisms)**

Layoff aversion is situation-dependent, and potential options and successful outcomes depend on a variety of factors. One of the important factors is time—the more time until a layoff or

potential layoff, the more options are likely to exist for comprehensive layoff aversion opportunities. Because not all possible strategies or activities make sense to consider at all times or in all scenarios, it may be helpful to organize the likely solutions around certain timeframes. The following is a breakdown of a range of possible layoff aversion examples across this general “intervention timeline”—state and local Rapid Response teams are encouraged to think about developing similar ideas based on specific conditions. It is important to remember when reviewing these examples that layoff aversion is not just about prevention, but in those instances when a layoff cannot be prevented, layoff aversion is also about minimizing the duration of unemployment.

**LAYOFF AVERSION**  
**Requires Strong Partnerships**

Successful layoff aversion strategies and activities require engagement of the full range of programs and resources of the public workforce system and effective partnerships with a wide range of organizations. Rapid Response partnerships established across the economic spectrum can directly provide, or facilitate the provision of, an array of benefits to address the challenges presented by specific circumstances.

**COMING SOON**

For a more extensive look at Layoff Aversion turn to Part 6 of this Guide: *Layoff Aversion*.

For a practical how-to resource use the Layoff Aversion Tool Kit found at:

***URL and site under development.***



| Partner(s)  | Activities/Resources Provided   |
|---|---|
| <b>Manufacturing Extension Partnership (MEP) Centers, Trade Adjustment Assistance (TAA) for Firms, International Trade Administration</b> | <ul style="list-style-type: none"> <li>● Prefeasibility/valuation studies</li> <li>● Lean manufacturing, six sigma, and quality improvements</li> <li>● Support for new product development, scouting and implementing new technologies, and export assistance</li> </ul> |
| <b>Business Community (including individual employers and aggregators such as industry associations and Chambers of Commerce)</b>         | <ul style="list-style-type: none"> <li>● Company matching/instant labor exchange</li> <li>● Layoff forecasting</li> <li>● Early access to potentially struggling businesses</li> <li>● Productive referrals</li> </ul>  |
| <b>Small Business Development Centers</b>   | <ul style="list-style-type: none"> <li>● Succession planning</li> <li>● Loan programs</li> </ul>  |

| Partner(s)  | Activities/Resources Provided  |
|---|--|
| <b>Non-Governmental Layoff Aversion-focused Organizations</b>   | <ul style="list-style-type: none"> <li>• Early layoff warning systems and data</li> <li>• Prefeasibility study support</li> <li>• Training and technical assistance</li> </ul>   |
| <b>Organized Labor</b>  | <ul style="list-style-type: none"> <li>• Early warning intelligence</li> <li>• Training</li> <li>• Reemployment</li> <li>• Peer counselors</li> </ul>  |
| <b>Registered Apprenticeship</b>                                | <ul style="list-style-type: none"> <li>• Customized training</li> <li>• On-the-Job Training (OJT)</li> </ul>   |
| <b>Educational Institutions</b>                                 | <ul style="list-style-type: none"> <li>• Targeted training</li> <li>• Incumbent worker training</li> <li>• Short-term training</li> <li>• Customized training</li> </ul>   |
| <b>Local Workforce Boards</b>                                   | <ul style="list-style-type: none"> <li>• Incumbent worker training</li> <li>• Customized training</li> <li>• OJT</li> </ul>  |
| <b>Community- and Faith-Based Organizations</b>                 | <ul style="list-style-type: none"> <li>• Early layoff warning data</li> <li>• Other direct services</li> </ul>   |
| <b>Unemployment Insurance</b>                                   | <ul style="list-style-type: none"> <li>• Data gathering/early warning systems</li> <li>• Short-Time compensation (STC) (also known as work sharing)</li> <li>• Self-Employment Assistance (SEA)</li> </ul>               |
| <b>Banks, Accountants, and Associated Industry Associations</b> | <ul style="list-style-type: none"> <li>• Early warning data</li> <li>• Connections to businesses</li> <li>• Business development ideas and funding, including those for entrepreneurs</li> </ul>                         |
| <b>Private Outplacement/Staffing Firms</b>                      | <ul style="list-style-type: none"> <li>• Early layoff warning systems and data</li> <li>• Enhanced services to workers</li> <li>• Strong connections to business sector</li> <li>• Reemployment opportunities</li> </ul> |

At its heart, Rapid Response is a simple transaction—to connect a worker threatened or affected by layoff to a new job, that come as close as we can come to maintaining their income. Unfortunately, making this transaction happen is a very difficult thing to do. It requires extensive research, planning, partnerships, broad understanding of the local, regional, or state economy, and access to employers both those who are downsizing and those who are hiring. A well informed Rapid Response unit should find itself at the center these workforce transitions.

## ■ Activation

Activation is the first step in response to verifiable notice of layoff or closure. This is where the foundation framework and planning are organized and put into action before the first contact with the employer. First impressions are critical; activation is where you verify the facts and determine the resources available. The goal is to be prepared and make the most of the initial contact.



***Summon Your Inner Boy Scout  
"Be Prepared"***

### **Components**

- Awareness of a pending event
  - Layoff announcement, WARN, or information provided through the media, partners or early warning mechanism
- Assess the Situation
  - Gather information/facts, prepare materials, contact company and identify potential tactics for layoff aversion, expansion, or layoff minimization (PROACTIVE vs. Reactive)
- Customize strategy for specific event
  - Begin to tune your response to the customer's needs and your service strategy.
- Engage/Connect with partners
  - (if confidentiality is an issue, be careful who you include as a partner and when)

## ■ Company Contact / Layoff Announcement

Once the Dislocated Worker Unit (DWU) receives notification of a layoff or closure that meets either the WARN Act criteria or state- or locally-determined criteria for public announcement, arrangements should be made for an on-site planning meeting with the employer and the labor organization or employee representatives, as appropriate. The state or local Rapid Response practitioner should lead the meeting.

The goals of this meeting are to:

- Obtain preliminary worker demographic information such as number and gender, educational levels, and ages of workers;
- Determine the immediate needs of the affected workers, such as Unemployment Insurance, financial management courses, and ongoing medical insurance needs; and
- Arrange for the delivery of early intervention services, such as workshops to address specific worker needs.<sup>18</sup>

Ideally, the initial contact with the employer and union(s), if applicable, should occur as soon as possible, preferably within 24 hours. This first contact should verify the layoff or closure and establish a date and time for the meeting with representatives of the business. If the notification has resulted from a WARN notice, less than 60 days may be available for critical early intervention services. Time is of the essence. Sufficient planning time is one key to effective service delivery.<sup>19</sup>

### **Employer Cooperation**

Employer cooperation is often the key to providing effective early intervention services. Not only is an employer's cooperation important for obtaining information about layoffs, but employers who provide access to the affected workers and additional resources to the reemployment activities also contribute considerably to the reemployment strategy. With employer cooperation, Rapid Response services may be provided on-site and on company time, thereby increasing the opportunity to provide early intervention services to all affected workers.<sup>20</sup>

The benefits of cooperation between employers and the Rapid Response team are:

- Identification of affected workers—including their names, addresses, and telephone numbers—in order to recruit these workers into workforce investment and supportive services.
- Identification of characteristics of the affected workers—age, language barriers, education levels, etc.—and their skills and the likely transferability of those skills to other industries or occupations.
- Provision of on-site pre-layoff services, such as interviewing skills classes or résumé writing, including providing meeting space for those services and release time for attending such services.

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<sup>18</sup> Early intervention services are discussed at length in Chapter 7.

<sup>19</sup> See Appendix 6.1 for a Worker vs. Employer Needs Chart.

<sup>20</sup> See Appendix 6.2 for an information sheet for strategies on the initial employer contact and setting up a meeting.

- Participation as a partner providing a variety of assistance, including cash or assistance for some services such as tuition reimbursement and stress management workshops, and/or providing in-kind contributions, including assistance from human resource personnel.
- Assistance in placing workers, by identifying potential employers (e.g., customers, suppliers or competitors) and in “selling” the skills of their workers.
- It is important to overcome employers’ suspicions that the Rapid Response team is investigating compliance with government regulations, promoting union goals, or offering welfare to the workers. Some strategies that are typically used to increase cooperation include:
  - Emphasizing the benefits of cooperation to the employer. When workers understand that their employer is engaged in helping them obtain services needed to gain reemployment, it improves worker morale, increases productivity on the job, reduces absenteeism, and decreases destructive behavior such as workplace sabotage.
  - Furthermore, when workers are helped to obtain reemployment, it can improve the employer’s relationship with the community and create good will for future needs. It could also reduce UI claims against the employer, possibly affecting their insurance rate.
  - Emphasizing the flexibility of services provided, giving the employer choices about the types of pre-layoff services appropriate for the workers involved. All Rapid Response services should be tailored to the specific needs of the employer and the workers.

### **Pre/On-Site Meeting Strategies<sup>21</sup>**

The Rapid Response team should have the capacity to respond quickly to a notification of layoff, both via electronic and verbal communication.

All written notification (WARN, public announcements, etc.) from employers should receive an immediate response in writing. This document should be emailed and/or faxed to avoid any delay. This will provide the opportunity to:

- Acknowledge the receipt of the notice.
- Let the employer know who will be contacting him/her.
- Provide other information, such as the Trade programs petitions (if trade impact is suspected) and initial procedural information about application for UI benefits.
- Assure the employer that the information gathered will be treated as confidential at his/her request.

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<sup>21</sup> See the appendix for this chapter for Frequently Asked Questions (FAQs) concerning pre- on-site and on-site employer meetings.

The initial phone contact is very important. It is usually the first opportunity to make an impression with the employer. Be prepared, know the objectives, and be persistent and persuasive in order to achieve them.

The telephone contact should be brief and to the point. The main objectives are to verify the layoff and obtain an agreement on the date and time to conduct an on-site meeting with all affected parties.

At a minimum, the following key information should be covered during the initial phone contact:

- Verify layoff/closure to determine when the layoff or closure is going to occur, or if, in fact, it has already occurred. Is there a likelihood of recall? If so, when?
- Inquire about the reason for the layoff. Be mindful of any potential Trade Act issues, as they will impact what suite of services is offered to workers going forward.
- Note any possible layoff aversion opportunities, especially whether the employer is considering alternative ownership.<sup>22</sup>
- Verify the number of impacted workers—verify if all affected workers will be laid off on the same date, or whether it will be a phased layoff.
- Inquire about the presence of unions and collective bargaining agreements, including any bumping rights provisions (the rights of an employee to displace another employee due to a layoff or other employment action as defined in a collective bargaining agreement or other binding agreement). Obtain name of the union president and other high-ranking union officials at the facility. Ask about the existence of any disputes between the employer and the union. A meeting may not be appropriate until full consultation with the labor union is held to ascertain the nature of the dispute.
- It is important to inform the employer that the union representative will be contacted and asked to participate in the initial meeting. It may be challenging to overcome any of the employer's objections to this, but if he/she continues to have concerns, let the employer know that a meeting will be held separately with the labor union. Generally, a better level of trust is established when both parties hear the same information at the same time.
- Inquire about industry and impacted occupations—What does the company do? What are the products the company makes and the types of occupations and skills group(s) that are being affected? Use the information obtained at the meeting to research the labor market and prepare for the on-site meeting.

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<sup>22</sup> Some layoff aversion tactics are discussed at length in Chapter 10: Layoff Aversion.

- Inquire about a source for worker information (age, possible barriers to other employment such as limited English proficiency, limited literacy, workplace injuries, etc.).
- Explain why this information is important. Be clear about the practitioner's role with regard to dislocated workers.

### **Establishing a Company Record**

Another consideration when conducting on-site intervention planning is to establish a company record at the time of notification. This will be a record of what events have occurred to date, as well as those planned in the future. It also serves as an audit trail of conversations that have transpired between state and/or local Rapid Response members and the various parties, such as:

- The employer,
- The employee representative or union representative,
- Other state and local agencies that may be involved,
- US DOL Employee Benefits Security Administration staff



Some States have a company database in place to capture all companies that are being contacted and served by the State Rapid Response team.<sup>23</sup> The use of a web-based MIS to accomplish this task is highly recommended.

## **■ Employer Meeting**

Scheduling an employer meeting immediately upon notification of a layoff is imperative. Employer meetings are intended to provide an opportunity for a face-to-face review of the layoff. Early intervention before or immediately after a layoff notice is critical to alleviating long-term unemployment, improving employee morale, maintaining productivity and lowering business costs. An important first step in this process is meeting with the employer to educate them about available workforce system services and promoting Rapid Response services. Use this time to demonstrate the value of Rapid Response Services to the company and the

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23 See Appendix 6.6 and 6.7 for sample forms to include in a Company File folder.

employees, identify the conditions that determine which resources are necessary and continue to develop a relationship with the employer. Options should be presented to the employer regarding when and how information can be presented to the employees so that Rapid Response material can be tailored to the affected employee's needs.

If layoffs have not yet occurred, the employer meeting is an opportunity to determine if they can be avoided. Several options can be explored such as prefeasibility studies, incumbent worker training, or the development of a shared work plan. If layoffs are inevitable, this meeting should be used as an opportunity to obtain pertinent layoff information (i.e. worker lists, schedules, types of occupations, employee characteristics, etc.) and to schedule a worker orientation meeting, preferably on-site and during company time, thereby increasing the opportunity to provide early intervention services to 100 percent of the affected workers. The employer can present information regarding the layoff or closure timeframes, production schedules and other needs to ensure an effective transition. In turn, the employer should be provided information regarding the following topics (at a minimum): UI; on-site early intervention services; AJCs; TAA (if applicable); labor/union information; worker transition committee; layoff aversion; and company contributions. Other important information includes:

- Obtain labor's perspective: What impacts on the affected workers are they concerned about? Attempt to assess the relationship between the union and management, including the trust factor and other cooperation issues. Discuss or have the labor representative discuss any additional services and resources it plans to provide
- If appropriate, and the timing of the layoff allows, promote the formation of a Worker Transition Committee as a way to increase worker involvement.
- Determine whether there are any steps that can be taken (or were taken) by the company to avert the layoffs. Suggest, if appropriate, resources that may be available at the state or local level to assist the employer with maintaining operations and averting the layoff. Layoff aversion strategies such as prefeasibility studies might be discussed at this meeting or arranged to be discussed in more detail at another meeting with economic development representatives in attendance.
- Determine if the employer is in a position to offer financial support for dislocated worker services. Suggest in-kind contributions such as:
  - Space for on-site worker transition center plus utilities and equipment (computers, internet access, workshop space).
  - Human resource staff to assist with typing resumes, helping with job fair arrangements, or providing coaching on interviewing skills.

- Paid time off for job search activities. Also consider if a severance package is available or if other benefits such as on-site retraining or tuition assistance could be made available.

Employers are most likely to cooperate and provide employees with access to services if they are assured of:

- Confidentiality with business-sensitive issues. The Rapid Response team can present options to employers regarding when and how information can be presented to the employees.
- Rapid Response staff credibility (state and local). It is helpful to cite other similar layoffs that benefited from Rapid Response services and with their permission, refer the employer to the appropriate company contact for a customer satisfaction report.
- Rapid Response services and activities enhancing the company's positive image with workers and the community.

### **Worker Transition Committees**

A worker transition committee is a group formed with representatives of the company and impacted workers. The committee is charged with coordinating the Rapid Response efforts with all impacted parties: workers, labor, company, state and local service agencies. The ideal size is between three to five members each from the impacted workers and the company. State and local agencies may participate, but only as ex-officio members.

For more details, see: <http://www.iowaworkforce.org/layoffs/rapidresponse/meeting.htm>

## **■ Determine Intervention Required**

On-site early intervention services are crucial to the success of any Rapid Response event. Studies show that early entry into training for dislocated workers who require it is a key factor in reducing the period of unemployment during the adjustment process. Providing workers access to quality information regarding all assistance available in the community and any deadlines that must be met is critical for workers to make intelligent reemployment choices.

The two major activities conducted by the Rapid Response practitioners are the worker orientation meeting and the early intervention services provided to workers prior to referral to an AJC.

### **Worker Orientation Meeting**

After the meeting with the employer has occurred and initial plans have been made concerning the layoff (or closure), it is time to turn the attention and energy to the dislocated workers.

The worker orientation meeting is critically important because it allows affected workers to learn about valuable services to get them back to work or into necessary training. An effective worker orientation meeting quickly brings hope to dislocated workers and allows them to begin to focus on the future.

The worker orientation sessions should also be customized to the workers impacted by the dislocation event. When planning the worker orientation meetings, the needs of the workforce, the timeline of the layoff and the environment in which the layoffs will occur should all be considered. It would be ideal for the worker orientation meeting to be conducted on-site; however, this is not always possible. If a closure occurs with no notice, then it is quite possible the building is already shut down, the space available may not be conducive to a large meeting, or an employer may not cooperate and allow on-site services. In cases where on-site meetings are not feasible, a suitable alternative should be found. A few examples of an appropriate venue to conduct the meetings are: a union hall, a public school auditorium/gymnasium after school hours, a public library, or a nearby church social hall. Rapid Response funds could also be used to pay for space at an alternative venue or to rent a tent if a lot is available to use. It is important to select the most convenient location for the workers during the initial contact meeting with the employer.

### **Worker Reactions**

Rapid Response practitioners should anticipate the workers' initial reaction towards the impending layoff to ensure that the information is customized to the layoff situation and worker needs. Workers are likely to demonstrate their reaction to the news of the layoff or closure in one or more of three types of reactions:

- **Denial** - Workers often do not believe that the layoff is permanent or think it will not happen to them. They may be saying to themselves that if they increase productivity, the layoff will not happen. They do not ask questions and show no signs of being engaged in the meeting. As a practitioner, the communications challenge is to give

information in a straightforward, concise way while reinforcing that the dislocation event will, in fact, occur. Rapid Response practitioners and AJC partners need a collaborative effort to help these workers through this process. Peer counseling, beginning with the worker orientation meeting, is the preferred method.<sup>24</sup> On-site service delivery is an ideal way to reach these workers, because, as the workers begin to consider the future, there is someone with whom they can talk.

- **Panicked Reaction** - The second type of reaction will demonstrate a panic response towards the news of the layoff. They feel victimized, so they blame others and they may display outward anger. Effective Rapid Response practitioners need to “read” the behaviors to identify these workers and should be prepared to deal with expressions of anger in employee meetings and on-site service provision.<sup>25</sup> Destructive behaviors may include family abuse, substance abuse, and mental/emotional depression. The communications challenge is to provide these workers with timely and relevant information about taking positive steps towards planning their future careers. This goes a long way in helping to resolve their immediate suspicions. They need to acknowledge that their fears are consistent with the other workers’ fears and receive reassurance that their experiences are common and shared by other dislocated workers. In addition, it is important to have developed appropriate linkages with local mental health providers or the employer’s Employee Assistance Program (EAP) provider for referral when appropriate.
- **Acceptance** - The third type of reaction is of acceptance. These workers are either prepared to move forward with their careers, have a feeling of relief, or have been planning to leave the workforce. Some may have taken advantage of educational opportunities the employer offered in the past. Therefore, they may only need specific information on how to focus their efforts in a job search, customize their résumé or hone their interviewing skills. These workers should be given a referral to an AJC early in the worker orientation process, so they can begin self-directed job search activities if their work schedule permits. This type of worker will have specific questions and will request specific information. The communications challenge here might be that these workers may become impatient with their peers in the group orientation. These workers are likely to find employment before the layoff occurs, start a business or leave the labor force.

A general understanding of workers reactions towards their job loss should help with the planning and the delivery of the worker orientation meeting. The challenge is to demonstrate to the dislocated workers that the information communicated to them directly relates to the situation at hand, and that it is meaningful in terms of their future work plans. To do this, it is

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<sup>24</sup> Peer counseling is discussed in Chapter 8: Worker Involvement in Dislocation Planning.

<sup>25</sup> Anger management and stress management workshops are discussed later in this chapter.

critical to establish trust among the workers to ensure worker acceptance of the information being presented.

### **The Worker Orientation Meeting<sup>26</sup>**

The on-site worker orientation meeting allows Rapid Response to present a wide array of information about reemployment services available to the workers being laid off. Generally, meetings are held onsite and on company time and typically last from one to two hours. Multiple sessions may be necessary in order to accommodate work shifts and/or keep the number of participants at a manageable level.

Rapid Response staff must ensure the team possess or obtain the capacity and flexibility to accommodate different professional levels, language barriers and all work shifts. (Employees that work third shift should not be expected to attend a meeting during the first shift.) The goal is to provide professional Rapid Response solutions that meet the needs of the business and workers within the parameters of each layoff or closure situation.

It is important to make a good first impression so that everyone accepts the program and wants to get involved. The presenters' credibility and their area(s) of expertise will go a long way toward building meaningful partnerships among employers, dislocated workers, the Rapid Response team and other state and local agencies. The worker orientation speakers should present cohesive and comprehensive information in a professional and planned manner, so the audience will respond positively to the presentation. The audience tends to have a positive reaction when the Rapid Response team members and its partners follow through on all activities discussed in the meeting.

These meetings should, at minimum, include presentations about UI and the local AJC. When appropriate, Rapid Response teams should coordinate with employer-contracted outplacement firms. This coordination both ensures all customers are provided the most complete array of service possible and reduces duplication of efforts and resources. Worker orientations may include information about the Supplemental Nutrition Assistance Program (SNAP), Temporary Assistance for Needy Families (TANF) and other social services; however, such presentations must be carefully considered and offered with discretion. We do not want to further increase worker stress levels by frightening the workers about their financial future.

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<sup>26</sup> See Appendix 7.1 for tips for a successful worker orientation meeting.

Social services information is more appropriately provided later, in most circumstances, in a workshop setting or during individual counseling.

Including a brief overview of local labor market opportunities may be overwhelming for the orientation meeting. In most areas, this information is detailed enough to merit a separate meeting, perhaps a week or so later. In areas where workers will have difficulty replacing their relatively high wage rates, it may be wise to begin to provide a reality check so that there is plenty of time to make decisions about training. These presentations should include a summary of the types of jobs available and the types of training needed to obtain employment and jobs paying similar wages, as well as where to look for jobs in industries that are hiring.

It critical to develop written materials summarizing the information presented along with a list of names, addresses and phone numbers of relevant agencies is important. In many cases, affected workers may be stunned by the layoff announcement and may have trouble recalling information presented at the meeting. The written materials will help them recall necessary information as they process their individual situation.

### **Worker Orientation Meeting Tools**

These are a few suggestions of items that might be used in conjunction with the orientation meeting. It is by no means all-inclusive.

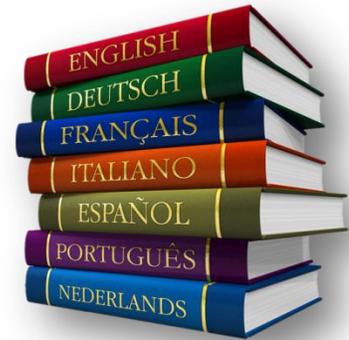
- Rapid Response fliers announcing the date(s) and time(s) of the worker orientation meeting(s)
- Rapid Response brochure for dislocated workers
- List of key Rapid Response contacts
- Pens and paper (pens and writing pads from the local AJC for example)
- Folders to begin case records or collect initial information for later use
- Mechanism for recording attendance.
- Social service office locations and other agency resources information (i.e., mental health services, consumer credit counseling, local food banks - including a list of Web sites for this information)
- Appropriate health insurance handouts from the company's health insurance provider and/or information on coverage available under the Affordable Care Act
- TAA and TRA information, if applicable
- Calendars of on-site and/or off-site services, if being provided
- Directions to and/or information about AJCs
- Education and career interest assessments

- Any employer information regarding unique company situations
- Employee Benefits Security Administration (EBSA) publications<sup>27</sup>
- WARN Act brochure for workers available from US DOL ([www.doleta.gov](http://www.doleta.gov))
- Meeting evaluation form for attendees to fill out at the conclusion of the meeting

Many of these forms and services will be explained in detail later on in this chapter.

## Language Barriers

If language barriers exist,<sup>28</sup> the practitioner will need to coordinate assistance from the foreign language speaking staff at the AJC or bilingual workers from the company to translate the worker orientation meeting presentation and assist in completing any forms. Other members of the community with necessary language skills may need to be identified. Some practitioners have found it useful during the initial presentation meeting to spend extra time with employees with limited English proficiency.



Administration of ESL assessments early in the intervention process has proven especially helpful in planning service activities. Additionally, very low reading levels should also be noted, even when English is spoken. Models of worker surveys in other languages are frequently available by contacting other Rapid Response colleagues.<sup>29</sup>

## Affected Worker Survey

Quality, real-time information is critical to providing great Rapid Response. Effective planning and program development relies on high-quality data and information. One of the most effective methods for gathering this information is an **Affected Worker Survey**, especially when combined with an effective process to assemble and utilize the information gathered. First and foremost, surveys are an excellent way to gather the information you need to best serve affected workers. High-quality surveys also provide workers with an opportunity to tell you what's needed from their perspective, which may include training, job search

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<sup>27</sup> These publications explain individuals' rights to pension portability and access to extended health care insurance, available at [www.dol.gov/dol/ebsa](http://www.dol.gov/dol/ebsa) or by calling 1-800-998-7542 (TDD 1-800-326-2577).

<sup>28</sup> See Department of Labor policy guidance on prohibition against national origin discrimination as it affects persons with limited English proficiency in the *Federal Register*, January 17, 2001, pp. 4595-4605. Managers should be sure that no one's access to information about, and therefore participation in, programs is constrained because of lack of language resources.

<sup>29</sup> The *Rapid Response Peer Expert Directory* may be helpful in identifying colleagues with such experience, as well as translated resources.

assistance, supportive services or any of the dozens of other services you can provide to help them get back to work as quickly as possible. A well designed survey also provides you the data needed to build a successful Governor’s Reserve or NEG application. High-quality data can also help integrate the Rapid Response intervention with broader efforts like sector strategies, career pathways efforts, and other strategies.

Most Rapid Response teams collect information from affected workers at some point in the layoff process, typically at a worker orientation session. While we recommend collecting important data and information, we also caution against collecting data for the sake of collecting data. It is important to use the information you collect and to collect only the information that you need, so consider the following as you read this section:

- What the purpose of the data being collected during the Rapid Response process?
- Does the data you collect tie directly to service delivery, planning, or other activities?
- Periodically evaluate the information you collect vs. what information is necessary.

### *Elements of a Survey*

There is no one “correct” survey design. When designing surveys it is important to consider both short- and longer-term data requirements. That said, there are three guiding principles and a few core data points you should consider.

#### **Guiding Principles**

1. Understand what your information needs are. Are you going to use it for contacting individuals, program or training development, WIA registrations, or some combination of all of these? Answering these questions will help you in the development of your survey.
2. Gather only the information you need. You only have just so much time and patience—do not waste it on data that you either don’t really need or can easily get elsewhere; keep it as short as you can while still keeping it useful.
3. Data security is critical. Due to the increasing occurrence of identity theft and security breaches of computer networks, you need to make sure the data you collect is secure. This also relates back to gathering only the data you need: you don’t have to protect information you don’t have.

### Core Data Points

- **Company Name:** If you are customizing your surveys (see below for more on this idea) this information can be pre-populated.
- **Name and Contact information:** Even this simple goal has options. Are you going use snail mail or email? Are you going to call? If you are never going to send a letter, perhaps you do not have a need to collect street addresses, for example.
  - Zip Codes, Town/City: Even if you never plan to mail another letter, zip codes and town names can be valuable in the planning process, particularly if you are mapping commuting patterns or using other geographic information systems (GIS)
  - Phone Numbers, both home and mobile numbers
- **Interests:** Some workers, for a variety of reasons, may not wish to be contacted or be a part of the reemployment effort that you are planning. Your survey may wish to allow workers to opt in or opt out of being part of the process going forward.
- **Layoff or Closure Date:** This is surprisingly tricky. In most cases you will already know, so don't ask again. But in some cases—such as if there are rolling layoffs or multiple layoff dates—you may not know the specific date a worker will be affected. Knowing when services are needed is important for both planning and a worker's eligibility determination.
- **Veterans Status and/or Disability:** Always ask. The Wagner-Peyser Act and other legislation mandate the AJC partners and state employment service agencies provide priority of service to veterans. Since these individuals may be eligible for additional services, it is important identify them early in the process.
- **Additional Information:** Depending on how you plan to respond and/or the nature of layoff, you may need to gather more information. The Commonwealth of Massachusetts, for example, uses its affected worker survey to pre-populate the workers' registration in the state's workforce development MIS. Massachusetts asks a lot questions, but for a good reason: better client service. And once a client provides this information on a Rapid Response survey, they are never asked to provide it again as they move through additional services provided by ES, WIA, TAA, and others. The information collected during this process is also used in case of an application for a National Emergency Grant.

Some additional information you may wish to consider:

- **Education Level:** Whether you are doing job match or planning training options this can be valuable but be discrete. A good approach is the use ranges.
- **Training:** This is another tricky one. Simply by asking, you can establish expectations. If you do not have sufficient training funds and are not going to apply for an NEG, you might want to avoid this. If you are attempting to acquire an NEG, this is crucial information to have.
- **Career or Job Preference:** This is important for job match or instant labor exchange projects.

- **Skills:** Good for job match of instant labor exchange projects and builds a skill inventory for your economic development partners.
- **Job Title:** Job titles can help with job development, but are not as valuable as actual duties or skills.
- **Wage Level:** This is always a sensitive question but knowing the wage levels of affected workers can be useful for both job development and grant writing. You may want to ask for ranges rather than exact wages to decrease any reluctance on the part of respondents.
- **Support Services for Workers and their Families:** If you have an established list of social services, list the actual service provided, not just the provider.
- **Relocation or Acceptable Commuting Distance:** Important to know for labor exchange, job development and training options.
- *And, any other data points that help you provide quality service and tell the story of what you plan to do, and nothing more.*

### Social Security Numbers

*In general, you can ask, but you cannot require an individual's Social Security number. If you request it, you are responsible for caring for it. If you have a Social Security number on a document, storage and disposal become much more complicated. A safer option might be to develop a system using unique identifier numbers that are not associated with an individual's Social Security number.*

### Customizable

With the desktop publishing and web-based tools available today, it is possible to build event-specific surveys. Based on information you can gather at the initial on-site meeting, you can build a survey to specifically meet your planning and service delivery needs. The process of developing a customized survey can be used to engage employers and union representatives. Even if you are using a standardized survey, with the tools available today, you could provide forms/websites with the company name, address, and dates already printed. Using customized surveys demonstrates a commitment to service.

### Deployment

Traditionally, an affected worker survey is administrated at the end of the first worker orientation, but there is no hard and fast rule on this practice. You can hand them out when and how you see fit. The survey could be provided during follow-up sessions or delivered online. Timeliness is the driver. You need to make sure you get the information

in a timely manner in order to do something with it. If the layoff is in a year, you have time to gather all the data you need to develop an extensive service plan. If, on the other hand, the gates close tomorrow, you need contact information now. In any case, you need to have a process in place to develop, deliver and analyze worker surveys.

### *Telling Our Story*

As you can see, affected worker surveys play a vital role in delivering Rapid Response services. But there is one more important role surveys play; they help us tell our story. The raw data collected in these surveys allow us to report what we do. These surveys allow us quantify the work we do in very understandable terms. Based on data gathered in these surveys, we can show the number of companies or workers assisted in a year and other important information. As you build out your survey process, don't forget the value of aggregated data.

### **Developing a Worker Orientation Agenda**

Workers should not be inundated with so much information they cannot remember it or apply it to their situation. It is better to offer information in smaller increments during the orientation and provide more in-depth information during subsequent workshops.<sup>30</sup>

Presenters play a key role in the success or failure of the meeting. It is important that presenters have positive attitudes, and, as mentioned before, are credible in the information they impart and the expertise they provide. Presenters must convey to dislocated workers that there is "life after layoff." Frequently, one presenter can provide an overview of a number of services. The dislocated workers need to understand how these services will be of direct benefit to them. Extraneous information will likely be viewed negatively.

The following represents a partial list of possible presenters at a worker orientation meeting. It may be useful to select topic areas to be covered first, and then request the appropriate presenters.

- Members of the Rapid Response team, including the State Rapid Response representative
- UI representative
- AJC representative

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<sup>30</sup> Workshops are discussed at length later in this chapter.

- Trade Act Coordinator<sup>31</sup>
- Labor/Union representative(s)
- Worker Transition Committee or Peer Support/Counselor representative(s)
- Employer/human resource staff
- Community organization(s) representative(s)

## **Conducting the Worker Orientation Meeting**

Once the time, date, and place of the worker orientation meeting have been announced and a solid agenda is in place with a time limit attached to it, it is time to conduct the meeting. The following represents some of the information and activities that should be shared with the workers and others who are attending the meeting.

### ***Introductions***

Everyone needs to be introduced by name, including the workers if numbers are manageable. Using a “warm up” exercise that allows participants to mingle and get acquainted may build trust between presenters and workers. If a warm-up exercise is used, it *must not* be seen as trivial. The trust-building factor is of primary importance, so the workers should not be left with the impression that their time is being wasted.

Begin by thanking the employer for allowing the Rapid Response team and other agencies to come on-site to help dislocated workers find new employment. Be generous in showing appreciation for the employer. Additionally, if the employer is allowing Rapid Response services to be performed during company time, this should be noted as well. There is no rule that says an employer has to provide an on-site meeting at the cost of anticipated productivity. Simple recognition of these facts can help keep relationships between workers and the employer civil during this difficult time for both parties.

### ***Purpose of the Orientation***

Workers need to know what they can expect to learn and do with the information that the Rapid Response team and other agencies are providing. They should be able to

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<sup>31</sup> Complete information on TAA and TRA is contained in Chapter 4.

raise questions, even if the answer will not be available until later, possibly at a different time and date. If feasible, have either a white board or a flip chart available to record questions that will need to be answered at a later time. This is not only an effective audit trail for the team, it also shows workers that their questions and concerns are being listened to and that someone will follow up with answers. Follow up on a group or individual basis with the answers, as workers will be testing the Rapid Response practitioners' credibility and honesty at every turn. If the company publishes a worker newsletter as a communications tool, use this medium to provide answers to these questions in a timely manner.

### ***Local Labor Market Information***

Practitioners should come to the meeting prepared to briefly discuss the local area job availability and related industry information. This helps workers identify the types of jobs for which they may be suited. Also, it is standard Rapid Response practice to offer a workshop on local labor market information. This is generally scheduled for a time other than the worker orientation meeting and allows greater detail to be given about the local labor market and how that information can help get workers back to work.

### ***UI Information***

UI information is important to workers. They need to know when UI will take effect, how long it will last, and how much assistance they will be receiving. UI is a financial and emotional safety net during such uncertain times. Where appropriate, a separate question and answer period for UI information is recommended. Because of these factors and the complexity of filing for UI, it is important to let workers know that a separate workshop will be held to discuss all the issues and answer specific questions. Consider whether to offer UI information at the beginning of the meeting or hold it until the end so workers are assured of hearing other pertinent information first.

The workers can fill out UI forms with assistance from practitioners at the worker orientation meeting. If a representative from UI is in attendance, he or she can assist workers with this task and can answer specific questions at that time. In some states and local areas, a Memorandum of Understanding (MOU)<sup>82</sup> or an interagency agreement outlines when on-site UI applications will be taken. Although most states now rely on telephone/Internet claims procedures for initial UI applications, some state

UI management officials have chosen to continue to provide on-site personnel for claims taking in large layoffs and closure situations.

It is important to remember that UI laws and benefits vary from state to state. It should be noted that workers living in one state and working in another generally apply for UI in the state in which they have worked. While special provisions may be made for workers who live far from the state in which they worked, the advent of telephone and Internet claims procedures has lessened the travel burden when applying for benefits.<sup>32</sup>

### ***American Job Centers***

As the local policy-making body, it is important that the Local Workforce Investment Board (WIB) understands Rapid Response and the value of early intervention services. Participation of the local program operators is essential to the transition of services from Rapid Response to local AJC. After the dislocation event, workers, especially those experiencing denial and panic, will need the support of the local AJC staff who understands dislocated worker service needs. Ongoing services for dislocated workers include information services, other assisted core services, intensive services and training services as determined necessary for reemployment, such as:

- Job matching and other labor exchange services
- Skills, aptitude and interest assessment
- Career counseling, including detailed labor market information
- Job search assistance, including a wide variety of workshops, job clubs and individual job referrals
- Training, including classroom training, customized training, on-the-job training, skill upgrading and entrepreneurial training
- Veterans services
- Services to persons with disabilities
- Other social services as available

### ***Plans for Early Intervention Services***

A negotiation occurred with the employer at the initial on-site meeting as to what types of services would be offered to the dislocated workers. One of the discussion points

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<sup>32</sup> See the glossary for a definition of MOUs.

was the number and types of workshops to be offered on company time to the employees about to be dislocated.

During the worker orientation meeting, the presenters should explain what workshops and other services, such as the establishment of an Employee Transition Center (ETC),<sup>33</sup> will be offered to the affected worker population and a schedule should be provided to the workers. A range of topics may be offered to help the workers manage the variety of issues they may be facing. The Rapid Response team should customize the workshops offered to meet the needs of these workers. The needs may include:

- Résumé and interview preparation (together or separate)
- Job search assistance
- Financial management (including pension issues, debt management, and access to and portability of company health insurance)
- Services available under the Trade Act, if appropriate
- Computer skills
- Labor market information
- Stress and/or anger management
- Company human resources meetings, focusing on issues such as retirement options or other company benefits including training reimbursements

A schedule of these workshops and the hours of operation for an ETC, including services offered, should be provided at the worker orientation meeting.

### ***Next Steps for Workers***

At such an uncertain and frightening time, knowing the next steps to take and understanding how these steps will aid in obtaining reemployment in the shortest time can be encouraging to workers. These steps can be as simple as signing up for services, such as workshops, to making appointments or visiting the ETC or the AJC. Regardless of the sequence of events, workers will be reassured they have some control over their lives and destiny by doing something constructive that will aid their reemployment goals. Where workers are empowered through involvement in self-

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<sup>33</sup> Sample Frequently Asked Questions (FAQs) handouts on UI are available in English and Spanish in Appendices 7.6 and 7.7. Complete DOL information on UI can be viewed by visiting [www.doleta.gov/programs/uibene.htm](http://www.doleta.gov/programs/uibene.htm).

directed activities, they are more likely to follow through with the Rapid Response services being offered.

Workers should be asked to write down the next three actions/activities they will undertake to achieve their plan. They should keep a copy of their plan so they can cross off an action/activity when it has been completed. Workers should be encouraged to continue to add to the list as the initial actions have been accomplished. In this way, workers will have concrete evidence that life is moving forward in a positive way.

### ***Time for Questions and Answers***

Presenters dealing with worker orientations should be prepared to answer countless questions and provide referrals to participants. The questions workers ask will provide insight into their needs for information and services. Personal notes can be taken, or, as suggested earlier, questions can be put on a white board for the entire group to see. If the team of presenters does not have a readily available answer, the lead Rapid Response presenter should take the initiative to gather the appropriate information and respond to the questioner as soon as possible. It is imperative for this person to follow through with this information quickly.



Presenters should be mindful of the unique challenges of the workers in the group and be prepared to present information slower or through additional mediums. Some participants may not be comfortable or familiar with computer based technology or search engines, further assistance may be required or an adaptive mindset. Providing a list of frequently asked questions and answers may help these workers before they have fully framed their concerns into questions. Remember, there are no inappropriate questions—every question is important to the inquirer.

### Internet-based Resources

A Rapid Response practitioner may want to refer dislocated workers to DOL, state, and local websites for additional information on Rapid Response and dislocated worker services.<sup>34</sup> Information on programs for all dislocated workers helps them identify with a large group people affected by layoffs and dislocations. If workers do not have personal access to a computer to access the Internet, it should be suggested that they visit a local AJC, the ETC if one is planned, or their local library. Some Rapid Response activities include bringing computers to the work site so that workers can easily access additional information either before or after work, on their lunch or break time, or on release time from their employer.



### Priority Contact for Workers

At the meeting, presenters should hand out business cards and contact information to participants. This solidifies the foundation for building a solid rapport with the workers. Workers need to understand the future roles of the presenters and how they can contact these presenters with questions or concerns.

### Early Intervention Services

After the meetings have concluded, the Rapid Response practitioner must be prepared to implement the services promised.

On-site services are delivered in a variety of ways depending on the design of a state's Rapid Response delivery system and its relationship with the local AJCs. DOL strongly urges states and local WIBs to implement processes that allow core services to be an integral part of Rapid Response assistance, preferably on-site, if the size of the dislocation or other factors warrants it.

<sup>34</sup> See Chapter 1 Appendix for a list of relevant federal Web sites.

A variety of on-site services can be offered to the affected workers. These services may include:

- Workshops tailored to the specific dislocation event
- Access to TAA
- Career counseling
- Initial career assessments
- Basic education classes (generally provided by the Adult Basic Education AJC partner)
- Job and training fairs
- Employee Benefits Security Administration (EBSA)<sup>35</sup> information regarding the continued access to health care insurance (ACA, COBRA and HIPAA), as well as the tax implications of withdrawing pension and IRA funds
- Exit interviews and referral process to AJCs (if services provided at ETC)

If an on-site or off-site ETC is available to workers, all of these services should be available at that location. Otherwise, arrangements should be made with the local AJC to provide the appropriate early intervention services.

### ***Workshops***

Generally, a selection of workshops is offered to dislocated workers if the company is agreeable and time allows. As mentioned earlier, many workers begin their job search prior to the layoff, and workshops provide them with the job search skills needed to secure new employment. The suite of workshops offered will have been determined during the initial on-site visit with the employer and union representative, as applicable,<sup>36</sup> or by the Worker Transition Committee.

Workshops may be held in the company conference room(s) or cafeteria or a similar venue. Be sure to keep the number of workers attending at a reasonable level, usually no more than 15 participants at a time so that they receive the necessary attention from the workshop presenter. It is imperative to maintain a detailed and updated list of

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<sup>35</sup> See the glossary for a definition of EBSA.

<sup>36</sup> See Chapter 6: On-Site Intervention Planning for more information.

participants and the workshops they attended. Also, following the progress of participants serves as an audit trail for Rapid Response service tracking and for later AJC case management.<sup>37</sup>

There are several scheduling options for workshops, including:

- The workshop/services schedule is given to company department heads/shift supervisors who sign up workers in their department for workshop dates and times.
- Sign-up sheets are posted in an employee message/board area, and the workers sign up themselves.
- Sign-up sheets are kept in the company's Human Resources (HR) office, where workers notify the HR staff of their workshop preferences.
- HR staff can do all planning and scheduling for all workers for workshops.

In general, most workshops will have handouts that detail the information discussed during that session. Because workers may still be in denial of their employment situation, it is vital that they have the opportunity to review materials at a later time. Customization to the event at hand is the key to a successful Rapid Response intervention. Rapid Response practitioners will need to review the completed worker surveys<sup>38</sup> to identify other workshop topics that may be needed in addition to the customary offerings.

### **Résumé Writing**

A current résumé is the cornerstone of a successful job search; for this reason, this workshop is frequently the first one scheduled. By producing a solid, professional résumé, workers can greatly enhance their employability. Since significant one-on-one coaching is very helpful, this workshop is most effective when done in small groups of five to seven workers.

This workshop is often a self-esteem builder. Workers are pleasantly surprised to discover that they have acquired many skills over the years.

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<sup>37</sup> An additional chapter on tracking and evaluation of Rapid Response services will be provided at a later date.

<sup>38</sup> A discussion of worker surveys can be found early in this chapter.

When “building” their résumés, request that workers bring the following:

- A portfolio of their overall work history
- A list of their skill sets
- Education
- Special certificates of training
- Awards (i.e., safety, perfect attendance, team productivity awards)

There are various styles of résumés, and it is important to use the most effective résumé type for each individual’s circumstances. Appropriate support should be readily available (i.e.: printers, copiers, etc.)

If the HR department has résumés on file, then workers may simply need to add the new relevant information to the existing document. The HR department may also have a list of company-provided training (safety training, team training, etc.) that workers may not realize could be pertinent to potential new employers.

### **Interviewing Techniques**

Workers who have been on the job for more than five years and have not interviewed for other employment may benefit from the opportunity to review interviewing skills. Workers must market themselves as capable and skillful to potential employers. To that end, effective interviewing skills help workers showcase themselves as poised and confident, thereby improving their employment opportunities. Experience indicates this workshop is most effective when done in small groups of 10-12 workers. Where possible, use a video camera to record mock interviews for group critiques or self-evaluation. Other materials to be used may include videos on interviewing skills that can be presented in a larger group setting prior to small group activity. Such videos may also be available in Spanish.

### **Stress Management**

Multiple studies show that losing a job is one of the top five most stressful events in a person’s life. To lessen the negative impact of job loss on individuals, tips on managing stress will assist workers during the emotional stages of job loss. Local mental health professionals, through partnerships with the appropriate local

government or a United Way agency, represent a valuable resource for teaching this workshop.

### **Job Search Strategies**

Finding the right job requires a plan of action that includes goal setting, job market research, networking, and the ability to be persistent. Topics such as networking and job market research could be addressed in separate workshops to allow more time for discussion. In such cases, the actual application of a search strategy would be more individualized. Here workers will learn of the importance of making a daily plan of activities that moves them closer to employment. The plan could include making a specified number of cold calls each day, looking up information on a particular company, updating one's résumé and/or cover letter to more closely match a job opening or perhaps learning a new skill. Typically, this workshop would accommodate up to 25 workers. Workers will complete a personalized job search plan that outlines their daily steps towards reemployment.



### **Financial Management**

Financial management is of critical importance to dislocated workers, as money-related issues such as budgeting for reduced income, debt management, financial support during extended training, and maintaining insurance and advisability of mortgage refinancing can be extremely stressful during these uncertain times. Consumer credit counseling agencies, banks and other community organizations historically offer their services at no cost to the community. Having these money experts available is a distinct advantage to the dislocated workforce. And, because these agencies come from the local area, they are keenly aware of local market conditions and circumstances that may impact budget and financial issues. Generally, these workshops would accommodate up to 25 workers. In the case of large layoffs, the DOL (EBSA) staff may be available to speak about pensions and 401k benefits and continuation of health

insurance.<sup>39</sup> Frequently, this workshop is offered in the evening or on weekends so that interested spouses can attend.

## Unemployment Insurance

It is possible that a representative from UI was on hand during the worker orientation; however, because there are so many variables involved, such as eligibility, registration, and length of coverage, it is strongly recommended that this topic be the source of a separate workshop. Due to the complex nature of the subject, a veteran Rapid Response practitioner or a UI representative should lead this session. This workshop should be offered prior to actual termination to allow workers to begin appropriate financial planning.

## Labor Market Information

A Labor Market Information workshop speaks to local economic conditions and job opportunities in the immediate area. Dislocated workers need to know how robust the local economy is so they can realistically plan for their reemployment in the area. Information regarding the types of industries that are hiring, types of job skills that are in demand, plans for bringing in other businesses into the local area, and other pertinent information should be disseminated to workers during this time.

Rapid Response practitioners and local service providers should keep abreast of local market conditions by reading local newspapers, searching related websites, and watching local newscasts. This should be an ongoing task as local labor market conditions can be affected very quickly, especially in the event of a disaster, mass layoff, or closure of a key employer in the area. It is important to look at



<sup>39</sup> EBSA has also published “Pension and Health Care Coverage...Questions and Answers for Dislocated Workers” which can be found on the EBSA Web site at [www.dol.gov/dol/ebsa](http://www.dol.gov/dol/ebsa).

the broad effect of such events including other unintended consequences such as the impact on suppliers, need for service personnel for clean-up, etc. There may be other community members, such as Local Elected Officials, economic development staff, or Chamber of Commerce officials who can add information to the discussion, so it is important to seek those players out prior to presenting this workshop.

### **Access to Trade**

If the initial meeting with the employer reveals that the workforce is likely to be eligible for trade-related benefits and services, some preliminary information about this eligibility and the opportunity for income support while in extended training should be provided to the workers at the orientation meeting. This information may be provided briefly by the Rapid Response practitioners or by a local AJC trade representative.

(See Chapter 4 for more information on these programs.)

Though not all dislocation events are affected by foreign trade competition, a separate orientation is advisable when the workers are likely to qualify for TAA. These trade benefit programs have strict timelines that must be adhered to for workers to maintain their eligibility for extended income maintenance payments during training. It may be necessary to assist workers through the application process to maximize their benefits.<sup>40</sup>

Written material should be provided to workers due to the complexity of the program. It is important that the presentation help the workers to understand the status of the filing and disposition of the trade petition and the expected time frame for the certification decision.

### **Adult Basic Education**

Depending upon the educational levels and skills of the workers at a specific dislocation event, it may be necessary to provide some Adult Basic Education (ABE) training. It is important to coordinate with the local ABE service provider to bring Basic Education Services, High School Equivalency, and/or English as a Second

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<sup>40</sup> See Chapter 4 for more information concerning TAA petition filing, training opportunities, and other information as it relates to TAA

Language (ESL) to the workers in such a way that will enable them to continue with class instruction after the layoff or transition to other adult education programs in the community. This instruction should focus on the worker's job search needs and the improvement of their basic skills in math, reading, and English, as applicable. It may be useful to use this opportunity to diagnose more specifically each individual's needs and knowledge gaps to prepare them to quickly enter ABE programs after termination, with all preliminary assessment information already gathered. English language proficiency levels may also be assessed during this time.

### **Career Counseling**

Depending upon the specific dislocation event and the workers who are affected by the dislocation, it may be necessary to offer individual career counseling to some, if not all, of the workers. Since timing is of the essence for the entry points to many educational programs, layoffs occurring within six weeks to a new academic year or set of course offerings require a more immediate approach to this service, so as not to delay entry by several months. Career counseling is comprised of one-on-one consultation with a Rapid Response practitioner or the staff of a local service provider stationed part-time at the site of early intervention service provision. The counseling should discuss career choices and options workers might have based upon their skill sets, training and work history. This individualized counseling allows a practitioner to suggest other career opportunities that may be available locally to those workers who may not find employment in their current field.

Initially, counseling appointments require approximately 30 minutes and should be scheduled in advance so as not to disrupt normal workflow at the company.

Appointments and their outcomes should be well documented for the benefit of workers, the employer, and the AJC case manager who may need to continue services to the individual, as well as for inclusion in the Rapid Response tracking system.

### **Initial Career Assessments**

Depending upon the specific dislocation event (especially where obsolete skills have been identified as a potential barrier to reemployment), it may be prudent to offer initial career interest assessments to workers. Coordination with the local AJC service

providers may result in the decision to register certain workers and begin more in-depth assessment. Local service providers should have a broad variety of assessment tools available to them that workers can use to identify their skill sets, strengths and career interests. Based on the outcomes of those assessments, workers can begin a self-directed career search or pursue research into training opportunities through an Individual Training Account (ITA)<sup>41</sup> or other avenues.

Time requirements to complete assessments will vary depending on worker needs. This can be either a group or individualized activity. The sophistication of the tools should be appropriate to the affected group of workers. Assessment services may differ depending on skill, educational and technological proficiency levels.

### **Job and Training Fairs<sup>42</sup>**

When local economic conditions warrant, job fairs conducted on-site can be an effective way to give workers encouragement and confidence that there are other jobs available to them. Having representatives from the local labor market on company grounds targeting the occupational interests of the workers will give workers ownership of their own future, and it shows them that they are valued for the skills they possess. Where management reports an extremely good safety record or attendance pattern, other employers should be made aware of these valuable employee traits.



Training fairs are another way to get workers engaged in finding reemployment. Training fairs provide dislocated workers with the opportunity to quickly obtain information and possibly sign up for some skills enhancement (upgrading) or computer literacy. Once those skills have been mastered, workers will have an opportunity to seek employment in fields for which they previously did not qualify.

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<sup>41</sup> See glossary for a definition of an Individual Training Account.

<sup>42</sup> See Chapter 12: ETCs for more information on Job and Training Fairs.

If job and/or training fairs have been identified as a service to be offered to workers at the initial on-site intervention planning meeting with the employer, work should begin on the fairs as soon as Rapid Response services begin. Both job and training fairs are very labor-intensive from an organizational standpoint. Additionally, they can take considerable time to coordinate with all the entities that might be interested in participating in the fairs. Funding may be an issue as well.

### **Maintaining Pension Benefits and Health Insurance Coverage**

The Employee Retirement Income Security Act of 1974 (ERISA) is the nation's major pension law. Workers need to protect their pension benefit rights. EBSA is responsible for working with employers and pension plan officials to ensure they meet their legal responsibilities to their employees.<sup>43</sup>

As with UI, dislocated workers will immediately want to know the status of their health coverage, pension plan information, and other benefits-related information. To that end, brochures, frequently asked questions and other information pertaining to [EBSA](#) should be available to workers not only at the worker orientation meeting but also in more detail at the transition center or AJC.<sup>44</sup>

### **Exit Interviews and Referral to American Job Centers**

The actual layoff event or the establishment of a stand-alone ETC may signal the end of Rapid Response services. At that time, exit interviews with the affected workers and the employer should be conducted to assess the level of service provided by the Rapid Response delivery system; a customer satisfaction survey could also be used. This data, whether collected formally or informally, then becomes part of the evaluation and reporting process for Rapid Response project management.

During this transitional time, the local AJC staff, if not already involved, is often invited to meet the workers. The AJC staff will take this opportunity to explain services offered to dislocated workers. Plans for the workers to transition to these

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<sup>43</sup> See the glossary for a definition of ERISA.

<sup>44</sup> These publications explain individuals' rights to pension portability and access to extended health care insurance, available at [www.dol.gov/ebsa](http://www.dol.gov/ebsa) or by calling 1-800-998-7542 (TDD 1-800-326-2577).

services have been developed while Rapid Response early intervention services are taking place. This meeting provides closure to the on-site Rapid Response project and ensures that all affected workers know what next steps need to be taken in order to ensure reemployment. A scheduled tour of a local AJC might also be arranged.

### **Acknowledgement and Recognition Awards**

In concluding Rapid Response on-site services, it is important to give recognition to the human resource managers, workers, employers, community leaders and others who contributed to the success of the project. This acknowledgement can come in the form of verbal praise, certificates of recognition and thanks, or a myriad of other ways. Doing so provides closure to the Rapid Response campaign of getting dislocated workers back in the workplace.

## **■ Determine & Facilitate Additional Services: Connect Customers to Services/Benefits Provided by Partners**

The main goals of Rapid Response are to connect dislocated workers to reemployment opportunities and to assist employers during periods of transition. Determining and facilitating services to help connect both sets of customers to services/benefits requires a comprehensive approach. Comprehensive Rapid Response requires an array of knowledge and abilities to provide necessary solutions to customers. Many solutions customers may need are provided by organizations outside of the Rapid Response team. Therefore, effective partnerships are critical to effective Rapid Response. Partnerships can be leveraged to yield additional resources and information to workers and employers to facilitate transition. Creating and maintaining partnerships that add value to Rapid Response solutions can be challenging. Ensuring that partners follow through on commitments is important to avoid being held accountable for a partner's failure to follow through. More importantly, the customer may miss out on opportunities in their transition to reemployment.

Even though a particular solution is not supported directly by Rapid Response funds, the customer still needs services provided by partners. Facilitating solutions for customers requires meeting their needs, often through relationships with service providers, other government agencies, and other public and private entities. The more employers' needs are

met, the more value Rapid Responders will have to them, and the more likely they will be to turn to Rapid Response services in the future.

The determination and facilitation of additional services to dislocated workers and employers is a critical component of a high-functioning Rapid Response system. Without the knowledge of services provided by partners, Rapid Response teams will not have the necessary tools to provide rapid reemployment and transition management services.

Connecting customers to services provided by partners allows Rapid Responders to continue to provide talent management while supporting talent development. This requires seeking out win/win opportunities to work together to facilitate the reemployment of dislocated workers. Through job fairs and relationships with employers who are growing, Rapid Responders can provide companies across the business cycle with a service because, in many cases, a company downsizing today is growing tomorrow.

A critical component of an effective Rapid Response system is building dynamic relationships among employers, workers, training institutions, workforce and economic development, service providers, and the community at large and is an on-going process that begins far in advance of a dislocation event. Building dynamic relationships includes:

- Developing and maintaining relationships with local and regional stakeholders of the workforce, economic development, chambers of commerce, businesses, industry associations, labor organizations, banks, tax offices, elected officials, and the community at large. Relationships must be built with partners to ensure dislocated workers have access to training and service providers including health, UI, housing, SNAP, financial counseling, child support, and other special needs (language, disabilities, etc.).
- Developing a plan to transition dislocated workers to workforce system service providers. This can be done through building and maintaining strong relationships with AJCs, temporary agencies, Community and Faith Based Organizations, and other employment agencies.
- Maintaining an awareness of all the services that are accessible to the dislocated workers through state and local partners, providers, and potentially federal discretionary dollars.

- Connecting dislocated workers not only to in-person services, but also virtual partner services. This can be done through social networking, pamphlets, and PowerPoint just to name a few. Dislocated workers should be aware of the USDOL's and the state's free reemployment tools. These include, but are not limited to: [mySkills myFuture](#), [My Next Move](#), and the [AJC Reemployment Portal](#).

Program linkages must be in place with state and local agencies in advance of any initiation of Rapid Response. Agreements outlining the commitment of staff and resources and the time period of such a commitment should be carefully developed and understood by all parties. The funding source or sources to be used should also be included, as well as information on how long (after notification and Rapid Response) the agreed-upon activities will be implemented, and the circumstances for termination of such activities.

## PART 5

# Data Collection

---

Given the fast pace of technology, the possibilities are endless in regards to data collection. Continued strategic planning for progress should be a critical component of the Rapid Response process. Data collection, as it relates to Rapid Response, can deliver useful insight from the past, present and future with the ultimate, or pinnacle of, success resulting in layoff aversion. Effective collection garners a number of useful bi-products, such as tools for developing strong planning, and partnerships leading to quality services for the employer, affected worker, community, and overall economic growth.

In this section, Data Collection fundamentally addresses the workforce professional as the user. The workforce professional is ultimately responsible for ensuring that the data entry is complete. It is critical to enter and update data on a timely basis, which avoids inaccurate or incomplete reports, also known as "Garbage in...Garbage out." States with a proactive agenda are developing guidelines for data collection and entry, which they incorporate into policy and procedures, and then make formal assignment of that responsibility. This process encourages partnerships and results in an available resource of valuable reporting information to all stakeholders associated with workforce development.

As we all know, performance is critical. Without the ability to verify performance via data, any results are unproven and do not support robust program and grant planning. A comprehensive and organized collection of Rapid Response data provides a foundation upon which to build a proven, robust, customizable, and sustainable Rapid Response delivery system. Armed with accurate data, decision makers can feel confident about meeting the fundamental needs of Rapid Response stakeholders and can better understand the impact of Rapid Response services on workers, employers and their communities.

This section discusses data collection both for states planning and/or building new systems, and for states upgrading and/or fine-tuning existing systems. It discusses the workforce professional's application of that data to layoff aversion through a continued process of planning, service delivery, and information analysis to foster partnerships and to strive for a significant reduction—or prevention—of layoffs.

## ■ STATES BUILDING DATA COLLECTION SYSTEMS

As states become more proactive in their workforce and economic agendas, data collection becomes more important. States are often looking to empower Economic Development Representatives as they work with a potential or growing business to identify the available workforce. States are looking with a more critical eye at grant and program planning and so they need a dislocation database by industry, occupation, and geography. States are asking themselves questions such as: What data should we be collecting? Where do we get this data? Who are the users? What purpose will this data serve? Perhaps the best way to answer these questions is within a data collection matrix spanning the seven phases of Rapid Response.

## ■ Data Collection Matrix

When starting or upgrading your data collection efforts, building a matrix helps document the data elements selected, sources of data, users of data, and purpose or expected use (why you collect these particular elements). You can also use a matrix to help collect suggestions, gain consensus, promote understanding of why a data element is included, and streamline the number of collected elements to those that users can justify.

### **Example**

An example of a data collection matrix follows (next page):

| Rapid Response Phase                                       | Examples of Data Elements  | Sources of Data   | Users of Data  | Why Collect?  |
|--|--|---|--|---|
| <b>Research and Discovery – Early Warning</b>              | <ul style="list-style-type: none"> <li>• Company name</li> <li>• Location</li> <li>• Reason for layoffs</li> <li>• Status of layoffs</li> <li>• Cause of dislocation</li> <li>• # employees expected to be dislocated</li> <li>• # estimated to be eligible for Rapid Response services</li> <li>• Target layoff dates</li> <li>• Names of unions if applicable</li> <li>• Union contact info</li> <li>• # of union employees</li> <li>• Bumping rights applicable</li> <li>• Contact Info for key contacts (internal and external)</li> </ul> | <ul style="list-style-type: none"> <li>• WARN Letter</li> <li>• Media</li> <li>• Workers</li> <li>• Union Membership</li> <li>• Union Organization</li> <li>• Trade Notification</li> </ul> | <ul style="list-style-type: none"> <li>• Rapid Response Representative</li> <li>• LWIA</li> <li>• Workforce Partners</li> <li>• LMI Representative</li> <li>• State Employment Office</li> <li>• State Economic Development Team</li> <li>• Media</li> </ul> | <ul style="list-style-type: none"> <li>• Company Database</li> <li>• Target Industries</li> <li>• Target Occupations</li> <li>• State Economic Development Team</li> <li>• Media</li> <li>• New Employers</li> <li>• Economic Trending</li> </ul> |
| <b>Activation – WARN and Other Notification Mechanisms</b> | <ul style="list-style-type: none"> <li>• Local Area Responsible</li> <li>• Company Identification #'s (FEIN, Event Tracking number, O*Net Codes)</li> </ul>  | <ul style="list-style-type: none"> <li>• WARN Letter</li> <li>• State Representative</li> <li>• State Dislocated Worker and Fiscal Units</li> <li>• LWIA</li> </ul>                         | <ul style="list-style-type: none"> <li>• LWIA</li> <li>• Workforce Partners</li> <li>• Rapid Response Representative</li> </ul>  | <ul style="list-style-type: none"> <li>• Starting Point for Rapid Response Data Collection System Entry</li> <li>• Skills Database</li> </ul>   |
| <b>Company Contact/Layoff Announcement</b>                 | <ul style="list-style-type: none"> <li>• Company Contacts</li> <li>• Union Information</li> <li>• Worker Demographics</li> <li>• Layoff Information</li> <li>• Initial Meeting Setup</li> </ul>  | <ul style="list-style-type: none"> <li>• Company</li> <li>• Union</li> </ul>  | <ul style="list-style-type: none"> <li>• Rapid Response Representative</li> <li>• LWIA</li> <li>• Workforce Partners</li> <li>• State Employment Office</li> </ul>   | <ul style="list-style-type: none"> <li>• Customizing Pre-Layoff Workshop</li> <li>• Skills Database</li> </ul>  |

| Rapid Response Phase                            | Examples of Data Elements  | Sources of Data   | Users of Data  | Why Collect?                             |
|---|--|---|--|--|
| <b>Company Meeting</b>                          | <ul style="list-style-type: none"> <li>• Contacts confirmed</li> <li>• Worker demographics confirmed</li> <li>• Layoff details confirmed</li> <li>• Union details confirmed</li> <li>• Workshop details confirmed</li> </ul>   | <ul style="list-style-type: none"> <li>• Rapid Response Team</li> <li>• Company</li> </ul>  | <ul style="list-style-type: none"> <li>• LWIA</li> <li>• Workforce Partners</li> <li>• Dept. Employment Security</li> <li>• Rapid Response Reps</li> </ul> | Company Meeting                          |
| <b>Determine Intervention Required</b>          | <ul style="list-style-type: none"> <li>• Additional LWIAs affected</li> <li>• Layoff Schedules</li> <li>• Survey of worker needs</li> <li>• Workers not needing Rapid Response services</li> <li>• Special Project info as applicable</li> <li>• Trade Info as applicable</li> <li>• Documentation, schedules</li> </ul> | <ul style="list-style-type: none"> <li>• Rapid Response Team</li> <li>• Company</li> <li>• State Dislocated Worker Unit</li> <li>• DOL Trade determination</li> </ul> | <ul style="list-style-type: none"> <li>• LWIA</li> <li>• Workforce Partners</li> <li>• Dept. Employment Security</li> </ul>                                | Determine Intervention Required          |
| <b>Service Implementation</b>                   | <ul style="list-style-type: none"> <li>• Core/intensive/training services</li> <li>• ITAs</li> <li>• Supportive Services</li> <li>• Needs related payments</li> <li>• Exiters</li> <li>• Entered employment</li> <li>• 1st quarter services begin</li> </ul>   | <ul style="list-style-type: none"> <li>• Rapid Response Team</li> <li>• Dislocation Event System</li> </ul>   | <ul style="list-style-type: none"> <li>• LWIA</li> <li>• Workforce Partners</li> </ul>   | Service Implementation                   |
| <b>Service Delivery Management and Planning</b> | <ul style="list-style-type: none"> <li>• Event summary information</li> </ul>  | <ul style="list-style-type: none"> <li>• LWIA</li> <li>• State Dislocated Worker Unit</li> <li>• Company</li> <li>• US DOL</li> </ul>                                 | <ul style="list-style-type: none"> <li>• LWIA</li> <li>• State Dislocated Worker &amp; Fiscal Units</li> <li>• Economic Development Units</li> </ul>       | Service Delivery Management and Planning |

## ■ Research and Discovery—Early Warning

The media is often the first to get the news of a dislocation event, followed by unions and the workers themselves. Typical data elements collected in the Research and Discovery Phase include the following:

- Company Name
- Location
- Reason for layoffs
- Status of layoffs
- Cause of dislocation
- # employees expected to be dislocated (initial estimate)
- # employees expected to be dislocated (later revision)
- # estimated to be eligible for Rapid Response services
- target layoff dates,
- names of unions if applicable
- union contact info
- # of union employees
- bumping rights applicable
- Contact Info for key contacts (internal and external)

The sources of Phase 1 data include the following:

- WARN Letter
- Media (*often the first to get the news*)
- Workers
- Trade Determination
- Union Membership
- Union Organization

The users of Phase 1 data include the following:

- Rapid Response Representative
- LWIA
- Workforce Partners
- LMI Representative (*staff dedicated to LMI*)
- Dept. Employment Security
- State Economic Development Team
- Media

The purpose/expected use of Phase 1 data (Why Collect?) include the following:

- Company Database
- Target Industries
- Target Occupations
- State Economic Development Team
- Media
- New/Existing Employers
- Economic Trending

Rapid Response data collection systems differ in assigning fields for data elements to specific Rapid Response phases. Often, when you plan to collect Data Element "X" in Phase Y, it may not be available for collection in a specific event until the next phase. As a result, collection procedures frequently specify collecting key elements as early in the process as possible.

### Example

What follows is a typical Phase I screenshot taken from Illinois' Dislocation Event Tracking System (DETS) which is the State's repository for Rapid Response data. Sensitive information has been removed.

**Basic Information**

Reason:

\* Report Date:  Source:

Status:

Cause #1:

Cause #2:

Cause #3:

---

# Employees:  Est. Eligible:

Expected Layoffs: 118 Layoff Date: 05/02/2009 (Expected)

Revised Layoffs: 114 Layoff Date: 5/2009 (Revised)

---

WARN Notice:

Notify Date:  Date LWA Notified:

Confirm Date:

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## ■ Activation – WARN and Other Notification Mechanisms

In the Activation-WARN Phase, some states assign an important data element—the dislocation event tracking number. This number links the dislocation event, the employer, and the worker. Typical data elements collected Phase 2 include the following:

- Local Area Responsible
- Event Tracking Number
- Company ID #'s (FEIN, UI Account code)
- Date LWIA notified
- SIC codes
- Occupation/Job Title/O\*Net Codes
- Union Employees
- Bumping Rights

The sources of Phase 2 data include the following:

- WARN Letter
- State Representative/Senator/Mayor
- Media
- Additional LWIAs Affected
- Additional LWIAs Affected
- State Dislocated Worker and Fiscal Units
- LWIA

The users of Phase 2 data include the following:

- LWIA
- Workforce Partners
- Rapid Response Representative
- State Dislocated Worker and Fiscal Unit

The purpose/expected use of Phase 2 data include the following:

- Develop Skills Database
- Starting Point for Rapid Response Data Collection System Entry

### Example

A typical Phase 2 screenshot follows, as taken from Illinois' Dislocation Event Tracking System (DETS). Sensitive information has been removed.

Additional Information - Windows Internet Explorer

http://iwds.cmf.state.il.us/iwds/ISM0999?command=LNDETS

McAfee

Additional Information

**IWDS** Illinois Workforce Development System **Dislocation Event Tracking System**

**Additional Event Information**

**Menus**

- Staff Menu
- Dislocation Event
  - Event Menu
  - Event Summary
  - Basic Info
  - Addtl Info
- Documentation
  - Phase Info
  - Contacts
  - Layoff Schedule
  - Term Benefits
  - Peer Outreach
  - Wkr Not Need Svc
  - Wkr Need Survey
  - Cust Satisfaction
  - Readj Detail
  - Readj Summary
  - Readj Detail TAA
  - Readj Sum TAA
  - Readj Finance
- Spell Check
- FAQs
- I'm Done: Log Off

**ADDITIONAL LWAs AFFECTED**

LWA:  LWA:  LWA:   
 LWA:  LWA:  LWA:

**UNIONS**

Union Involved:  How Many:   
 Union Name(s):

**SPECIAL PROJECT**

Project Type:   
 Date Filed:  Date Awarded:

**TRADE**

Event Type: Trade WARN  
 Petition Date:  Exp/Term Date:   
 Determination:  ATAA Certified:   
 Impact Date:   
 Certification Date:  RR Required:   
 SIC Code:  Search TAW #:  -  [Verify TAW#](#)  
 Product:

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Internet 100%

## ■ Company Contact/Layoff Announcement

The initial company contact affords the opportunity to collect the following data elements. Given the amount of data requested, it can be helpful to provide a list or form, then give the company a couple days to respond, or collect important data initially and the rest at the initial on-site meeting, most often called the "company meeting." Typical data elements collected in Company Contact/Layoff Aversion Phase II include the following:

### COMPANY CONTACT INFORMATION

- Dates of Contact
- Event Phase
- Company Name
- Address
- City
- State
- Zip
- Primary Contact/Title
- Make Event Public (yes/no)
- Phone
- Email
- Fax
- FEIN
- SIC Code
- UI Account Code
- Product or Service

### UNION REPRESENTATION

- Name any unions involved
- Union contact person(s)
- Number of union employees
- Number of non-union
- Number with bumping rights

### WORKER DEMOGRAPHICS

- Counties/State that most employees live in:
  - Out of state employees (other than neighboring states)
- Total number of employees
  - workers affected: Male: \_\_\_\_\_ Female: \_\_\_\_\_
  - Temporary: \_\_\_\_\_
  - On contract: \_\_\_\_\_
  - Retiring: \_\_\_\_\_
  - Transfer/relocate: \_\_\_\_\_
  - Absorbed by new company: \_\_\_\_\_
  - Still in school: \_\_\_\_\_

- Confirmed other employment: \_\_\_\_
- Language barriers: (will you need an interpreter for the workshops?) no / yes / language?
- Physical/Mental Disabilities:
- Average age of workforce:
  - (any over 50 that may find age a barrier? \_\_\_\_\_)
  - (how many, if any, do you anticipate will retire? \_\_\_\_\_)
- Average length of service:
  - Education level:
  - (H.S. diploma or GED is a requirement at the facility?) Y\_\_ N\_\_
- General categories of occupations and skill level of workforce:
- Shifts worked: (exact times)
- Average wage:

### LAY OFF INFORMATION

- First layoff date:
  - Number laid off on that date:
  - Additional layoff dates:
- Type of layoff (closing, partial)
- Additional benefits offered by company: (training, insurance, severance, etc.)
- Outplacement - name of organization:
- Layoff notice provided to employees?
- Master list available?
- Reason for layoffs:
  - Business slowdown
  - Foreign trade/competition
  - Bankruptcy
  - Consolidation
  - Automation
  - Relocation
  - Natural disaster
  - Takeover
  - Buy out
  - Other:

## INITIAL MEETING SETUP

Meeting Accommodations:

- Date:
- Time:
- Location:
- Security:
- Parking:

## ■ Company Meeting

At the company meeting (or "initial on-site" meeting) Illinois collects the data below. Since Illinois collects all data elements in the earliest phase it is available, some of the following elements are often gathered prior to the company meeting. When that is the case, Illinois uses Phase III to confirm the receipt and content of these data fields.

- Date
  - Company Name
  - Company Address
  - Company Phone #
- Union Name
  - Union Address:
  - Union Phone #:
  - Union Contact Person(s)
- Product or Service: Total # of employees at company
- Number of Workers Affected
- Date of Closing or Lay-Off Schedule
- Is this a Lay off or a Company Closure?
- Shifts
- How many employees in each shift?
- Bumping Rights
- Reason For Dislocation
- Occupations
- Average Wage
- Average Age Group
- H.S. Diploma Required
- Beyond High School
- Gender: Male/Female
- Average Length of Service
- Residence Percentage
  - City
  - Suburb
  - Out of State
- Language Barrier
- Severance Package
- Medical Package
- Layoff Notices
- Out Placement Services
- Request Master List
- Workshop Dates

## ■ Determine Intervention Required

In Phase IV, the data elements collected support a determination of the required intervention.

The following are typical data elements collected in this phase.

- Additional LWIAs Affected
- Trade
  - Event Type: (Trade WARN/Trade Local)
  - RR Required: (yes/no)
  - Petition Date:
  - Petition (TAW) #:
  - Button with link to Verify Petition (TAW) # on USDOL website:
  - Determination: (Certified/not Certified)
  - Certification Date:
  - Expiration/Termination Date:
  - Impact Date:
  - ATAA/RTAA Certified:
- SIC/NAICS Code:
- Company Product/Service:

### DOCUMENTATION

As the Dislocation Event investigation, meeting, and workshops proceed, record the documentation collected by date, type, and subject as follows:

| <b>Date</b> | <b>Type</b>                | <b>Subject</b>                      |
|-------------|----------------------------|-------------------------------------|
| 12/21/2011  | Readjustment Plan Approved | --                                  |
| 08/19/2011  | General Information        | Reminder postcards                  |
| 08/17/2011  | General Information        | Additional layoff list              |
| 07/23/2011  | General Information        | Additional layoff list              |
| 04/28/2011  | Pre-Layoff Workshop        | TAA Orientation                     |
| 04/15/2011  | General Information        | Received worker lay off list.       |
| 04/15/2011  | Investigation              | Workshop scheduled for 4-28-2011    |
| 04/08/2011  | On-site Visit              | No visit—employees already laid off |
| 04/01/2011  | Investigation              | Certified company                   |

**Example:**

The screenshot below is an example of recorded Event Documentation from the Illinois DETS system. Sensitive information has been removed.

**IWDS** Illinois Workforce Development System **Dislocation Event Tracking System**

**List Documentation**

Add Documentation Return

|      | Date       | Type                       | Subject   |
|------|------------|----------------------------|---|
| View | 08/02/2010 | General Information        | Reminder postcards                                    |
| View | 06/05/2010 | Readjustment Plan Approved |   |
| View | 04/22/2010 | Pre-Layoff Workshop        | TAA Orientation - already laid off                    |
| View | 04/08/2010 | Pre-Layoff Workshop        | TAA Orientation - already laid off                    |
| View | 03/16/2010 | Pre-Layoff Workshop        | Orientation workshops scheduled                       |
| View | 03/10/2010 | Investigation              | Worker list   |
| View | 03/01/2010 | Investigation              | Trade Notification                                    |
| View | 03/23/2009 | Pre-Layoff Workshop        | 5 Workshops held on 3/17 & 3/18 w/100 in attendance   |
| View | 03/10/2009 | On-site Visit              | On-Site Visit held, Workshops set for 3/17 & 3/18/09  |
| View | 03/06/2009 | Investigation              | Called & talked with Contact, Initial set for 3/10/09 |

Add Documentation Return

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## STAGE INFORMATION

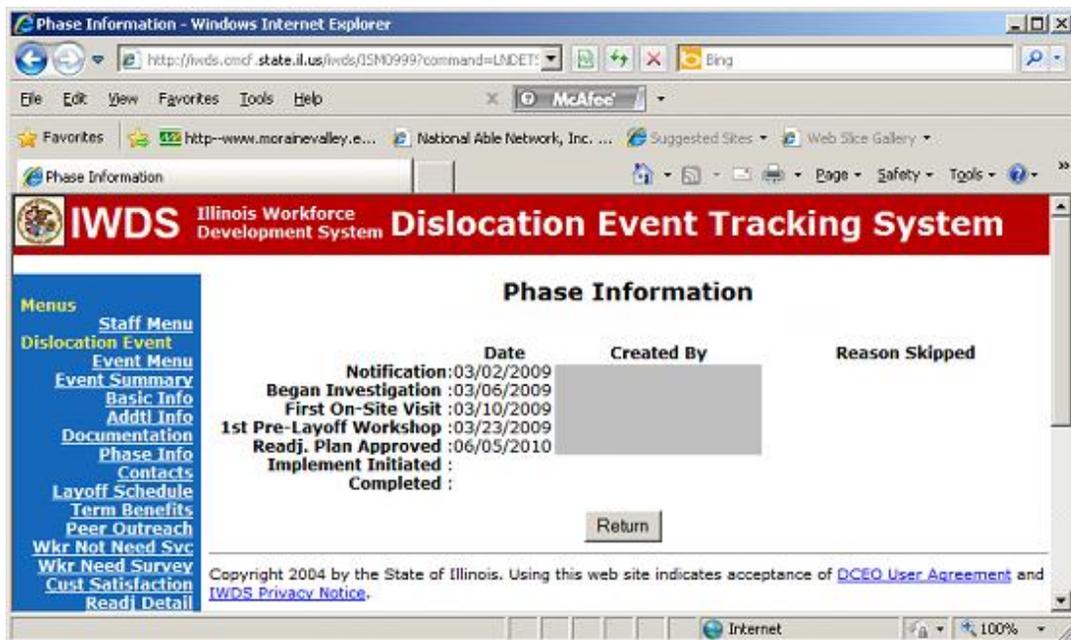
At each major Event Stage, record the Stage, date, creator of the record, and if any were skipped, record the reason skipped. Stage identifiers include the following:

- Notification
- Began Investigation
- Company Meeting/Initial On-site Visit
- First Pre-layoff Workshop
- Readjustment Plan Approved
- Completed

Label this record for the event number, company name, and LWIA.

### Example

The screenshot below is an example of the Event Stage Information as recorded in Illinois' DETS system. Notice that while the Web page title below is "Phase Information," this is not a reference to the same phases as the "Seven Phases of Rapid Response." As a result, the term "Stage" is used above so as to not conflict or confuse the reader. Sensitive information has been removed.



## EVENT CONTACTS

Record the Event Contacts by Name, Organization, Phone, Type (LWIA, RRU Staff, Employer), and whether the contact is Primary (Yes/No). Label the record by Event Number, Company Name, and LWIA as follows:

- Event Number
- Company Name
- LWIA
- Contact Name
- Contact Organization
- Phone
- Contact Type (LWIA / RRU Staff / Employer)
- Primary Contact (Yes/No)

### Example

The following screenshot is an example of an Event Contacts record from Illinois' DETS system. Sensitive information has been removed.

The screenshot shows the 'List DETS Contacts' page in the IWDS system. The page includes a navigation menu on the left with options like 'Staff Menu', 'Dislocation Event', 'Event Menu', 'Event Summary', 'Basic Info', 'Addtl Info', 'Documentation', 'Phase Info', 'Contacts', 'Layoff Schedule', 'Term Benefits', 'Peer Outreach', 'Wkr Not Need Svc', 'Wkr Need Survey', 'Cust Satisfaction', 'Readi Detail', 'Readi Summary', 'Readi Detail TAA', 'Readi Sum TAA', and 'Readi Finance'. The main content area displays a table of contacts with columns for Name, Organization, Phone, Type, and Primary. The table contains five rows of data, with sensitive information redacted. Below the table are buttons for 'Select Staff Contact' and 'Select Entity Contact', and 'Save' and 'Cancel' buttons. The footer includes copyright information for 2004 by the State of Illinois and links to the DCEO User Agreement and IWDS Privacy Notice.

|        | Name       | Organization | Phone      | Type       | Primary |
|--------|------------|--------------|------------|------------|---------|
| Remove | [REDACTED] | LWIA Staff   | [REDACTED] | LWIA Staff | Yes     |
| Remove | [REDACTED] | RRU Staff    | [REDACTED] | RRU Staff  | Yes     |
| Remove | [REDACTED] | [REDACTED]   | [REDACTED] | Employer   | Yes     |
| Remove | [REDACTED] | RRU Staff    | [REDACTED] | RRU Staff  | No      |
| Remove | [REDACTED] | RRU Staff    | [REDACTED] | RRU Staff  | No      |

**LAYOFF SCHEDULE** Record the layoff schedule by the number of layoffs per month and per year over five years and totals. Include the expected date of the layoff. If that date is revised, include the revision date(s) and the date of the last update. Label the record by event number, company name, and LWIA.

- Event Number
- Company Name
- LWIA Expected Layoff Date:                      Expected Layoffs:  
     Date Last Updated:                                Revised Layoffs:  
     Last Updated By:                                    Total Employees:

| Month/Year           | 2009 | 2010 | 2011 | 2012 | 2013 |
|----------------------|------|------|------|------|------|
| January              |      |      |      |      |      |
| February             |      |      |      |      |      |
| March                |      |      |      |      |      |
| April                |      |      |      |      |      |
| May                  | 1    |      |      |      |      |
| June                 | 2    |      |      |      |      |
| July                 | 1    |      |      |      |      |
| August               | 1    |      |      |      |      |
| September            | 5    |      |      |      |      |
| October              |      |      |      |      |      |
| November             |      |      |      |      |      |
| December             |      |      |      |      |      |
| Totals               | 11   | 0    | 0    | 0    | 0    |
| Total for all Years: | 11   |      |      |      |      |

## Example

The following screenshot is an example of a Layoff Schedule record from Illinois' DETS system. Sensitive information has been removed.

**IWDS** Illinois Workforce Development System **Dislocation Event Tracking System**

### Layoff Schedule

Expected Layoff Date: 05/02/2009  
 Date Last Updated: 03/16/2010  
 Last Updated By: [REDACTED]

Expected Layoffs: 118  
 Revised Layoffs: 114  
 Total Employees: 118

| Month/Year    | 2009       | 2010     | 2011     | 2012     | 2013     |
|---------------|------------|----------|----------|----------|----------|
| January       |            |          |          |          |          |
| February      |            |          |          |          |          |
| March         |            |          |          |          |          |
| April         |            |          |          |          |          |
| May           | 105        |          |          |          |          |
| June          | 2          |          |          |          |          |
| July          | 1          |          |          |          |          |
| August        | 1          |          |          |          |          |
| September     | 5          |          |          |          |          |
| October       |            |          |          |          |          |
| November      |            |          |          |          |          |
| December      |            |          |          |          |          |
| <b>Totals</b> | <b>114</b> | <b>0</b> | <b>0</b> | <b>0</b> | <b>0</b> |

Total for all Years: 114

Buttons: Calculate Totals, Save, Cancel

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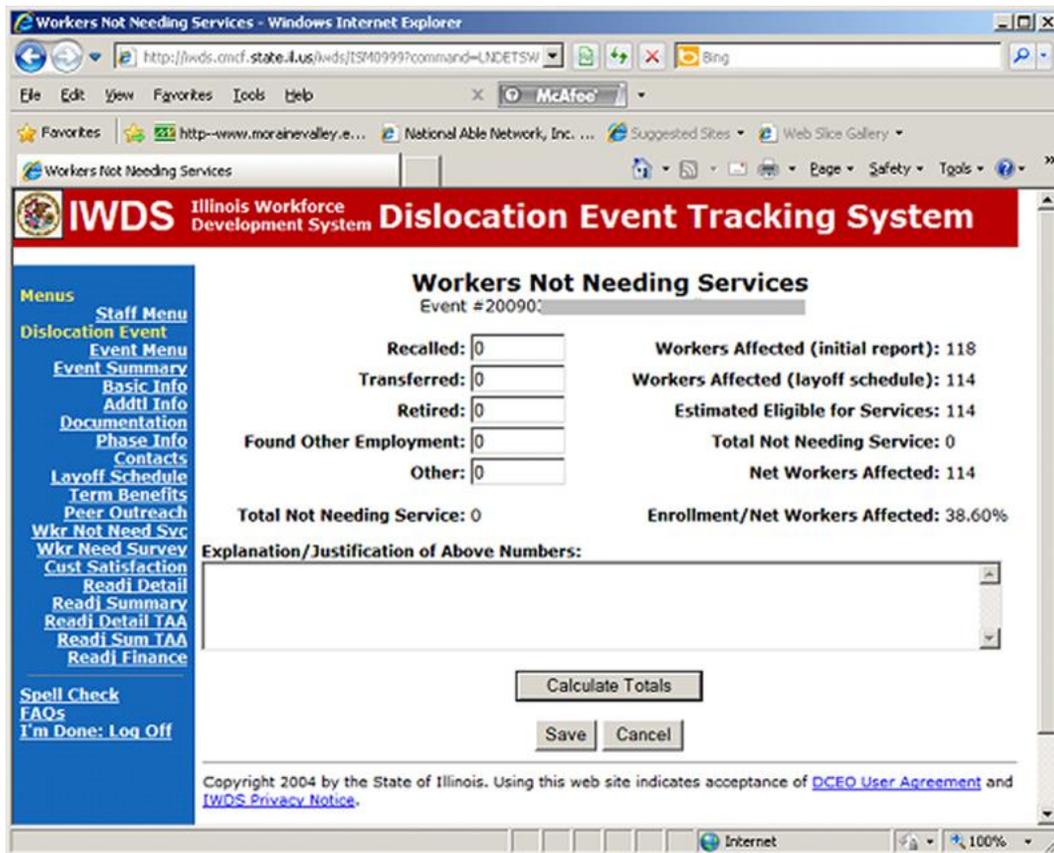
## Workers Not Needing Services

Record the workers recalled, transferred, retired, finding other employment, other workers and total not needing service. Also record the workers affected both in the initial report and on the layoff schedule, subtract the workers not needing service, and compute the Net workers affected. Label this record by event number, company name and LWIA.

Also, record the percent of workers who enroll compared to the net workers affected. This percent can be used to compare program effectiveness and to plan for service utilization levels.

**Example**

The following screenshot is an example of a Workers Not Needing Services record from Illinois' DETS system. Notice the *recalled*, *transferred*, *retired*, and *found other employment* data boxes all contain a "0." This is common in a time when the economy is shedding jobs. At other times, one would expect the sum of these boxes to be ten to sixty percent of the initial total workers affected, and, therefore, would affect program planning. Sensitive information has been removed.



## Worker Needs Survey

At each workshop, record the results of the Rapid Response Worker Needs Survey for each workshop participant and each survey item. Label the record for the event number, company name and LWIA.

Typical survey data elements include the following:

| SURVEYS   | WORKERS PLAN TO...  | AREAS OF RETRAINING   | BASIC READJUSTMENTS   |
|---|---|---|---|
| <ul style="list-style-type: none"> <li>• Form Distribution Date</li> <li>• Number of Surveys Distributed</li> <li>• Number of Surveys Returned</li> </ul> | <ul style="list-style-type: none"> <li>• Look for Another Job</li> <li>• Start Own Business</li> <li>• Retrain for Another Career</li> <li>• Relocate Out of Area</li> <li>• Plan to Retire</li> <li>• Leave Work Force</li> <li>• Not Sure</li> <li>• Other Plans</li> </ul> | <ul style="list-style-type: none"> <li>• Vocational Classroom</li> <li>• GED</li> <li>• Basic/Remedial Education</li> <li>• Academic</li> <li>• Entrepreneurial Training</li> <li>• Literature for Non-English Speaking Individuals</li> <li>• On-the-Job Training</li> <li>• Other Retraining</li> </ul> | <ul style="list-style-type: none"> <li>• Job/Career Counseling</li> <li>• Child Care</li> <li>• Job Placement Assistance</li> <li>• Resume Writing</li> <li>• Transportation Assistance</li> <li>• Interviewing Skills</li> <li>• Labor Market Information</li> <li>• Relocation Assistance</li> <li>• Personal/Stress Counseling</li> <li>• Financial Counseling</li> <li>• Other Basic Readjustments</li> </ul> |

**Example**

The following screenshot is an example of a Worker Needs Survey record from Illinois' DETS system. Sensitive information has been removed.

**Worker Needs Survey**  
Event # 2009

**SURVEYS**  
Form Distribution Date: 03/17/2009  
# Surveys Distributed: 110  
# Surveys Returned: 103

**WORKERS PLAN TO**  
Look for Another Job: 63  
Retrain for Another Career: 45  
Plan to Retire: 0  
Not Sure: 16  
Start Own Business: 9  
Relocate out of Area: 7  
Leave Work Force: 0  
Other Plans: 3

**RETRAINING CATEGORY**  
Vocational Classroom: 12  
Basic/Remedial Education: 2  
Entrepreneurial Training: 4  
Lit for Non-English Speaking: 0  
GED: 1  
Academic: 6  
Other Retraining: 21  
On the Job Training: 17

**BASIC READJUSTMENT CATEGORY**  
Job/Career Counseling: 19  
Job Placement Assistance: 34  
Transportation Assistance: 2  
Labor Market Information: 14  
Personal/Stress Counseling: 2  
Other Basic Readjustments: 5  
Child Care: 2  
Resume Writing: 3  
Interviewing Skills: 3  
Relocation Assistance: 1  
Financial Counseling: 1

Save Cancel

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## ■ Service Implementation

In Illinois, the LWIA tailors a readjustment plan (or a Trade readjustment plan) for the event, based on the Layoff Schedule, Workers Not Needing Services, and the Worker Needs Survey.

### READJUSTMENT PLAN DETAIL

Label the record by event number, company name, and LWIA. In typical readjustment plans, the following data elements are collected:

| DATA COLLECTED                 |                          |
|--------------------------------|--------------------------|
| • First Quarter Services Begin | • Intensive Services     |
| • Date Plan Added              | • Training Services      |
| • Person Adding Plan           | • ITA's                  |
| • Date Plan Updated            | • Supportive Services    |
| • Person Updating Plan         | • Needs Related Payments |
| • Total Registrants            | • Exiters                |
| • Core Services                | • Entered Employment     |

### Example

An example of a Readjustment Plan Detail record from Illinois' DETS system follows:

### TRADE READJUSTMENT PLAN DETAIL

Label the record by event number, company name, and LWIA. In typical Trade readjustment plans, the following data elements are collected:

- First Quarter Services Begin
- Date Plan Added
- Person Adding Plan
- Date Plan Updated
- Person Updating Plan
- Total Customers
- Training Services
- Out-of-Area Job Search
- Out-of-Area Relocation
- Exiters
- Entered Employment
- Employment/Case Management

**Example**

An example of a Trade Readjustment Plan Detail record from Illinois' DETS system follows. Sensitive information has been removed.

**Readjustment Plan Detail TAA**  
Event # 2012

First Available: FFY Q1/2012  
Date Plan Added: 05/24/2012  
Plan Last Updated: 05/24/2012

Added By: [REDACTED]  
Updated By: [REDACTED]

| Quarter/Fed. Fiscal Year                | FFY Q1/2012 | FFY Q2/2012 | FFY Q3/2012 | FFY Q4/2012 | Total |
|---|-------------|-------------|-------------|-------------|-------|
| Total Customers                         | 2           |             |             |             | 2     |
| Training Services                       | 2           |             |             |             | 2     |
| Out-of-Area Job Search                  | 0           |             |             |             | 0     |
| Out-of-Area Relocation                  | 0           |             |             |             | 0     |
| Exiters                                 | 0           |             |             |             | 0     |
| Entered Employment                      | 0           |             |             |             | 0     |
| Employment and Case Management Services | 2           |             |             |             | 2     |

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## ■ Service Delivery Management and Planning

In Phase V, the LWIA uses the Readjustment Plan Summary and Trade Readjustment Plan Summary data for grant planning. This data enables "*Planned vs. Actual*" comparisons for budgeting and forecasting. Data elements collected in this phase support grant planning for WIA formula grants, National Emergency grants, Rapid Response, and Trade grants.

### Readjustment Plan Summary

Label the record by event number, company name, and LWIA. In typical readjustment plan summaries, the following data elements are collected:

- Total Registrants
- Core Services
- Intensive Services
- Training Services
- ITA's
- Supportive Services
- Needs Related Payments
- Exiters
- Entered Employment

### Example

An example of a Readjustment Plan Summary record from Illinois' DETS system follows. Sensitive information has been removed.

**Readjustment Plan Summary**

\* Setup Date:

|                        | Plan        |      | Actual |      |
|------------------------|-------------|------|--------|------|
|                        | Event Total | Thru | As Of  | Thru |
| Total Registrants      | 45          |      | 44     |      |
| Core Services          | 45          |      | 31     |      |
| Intensive Services     | 45          |      | 43     |      |
| Training Services      | 14          |      | 5      |      |
| ITA's                  | 0           |      | 5      |      |
| Supportive Services    | 20          |      | 6      |      |
| Needs Related Payments | 0           |      | 0      |      |
| Exiters                | 8           |      | 26     |      |
| Entered Employment     | 8           |      | 13     |      |

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## Trade Readjustment Plan Summary

Label the record by event number, company name, and LWIA. In a typical Trade readjustment plan summaries, the following data elements are collected:

- Total Customers
- Training Services
- Out of Area Job Search
- Out of Area Relocation
- Exitters
- Entered Employment
- Employment/Case Management Services

### Example

An example of a Trade Readjustment Plan Summary record from Illinois' DETS system follows. Sensitive information has been removed.

**Readjustment Plan Summary TAA**

\*Setup Date:

|   | Plan        |      | Actual |      |
|---|-------------|------|--------|------|
|   | Event Total | Thru | As Of  | Thru |
| Total Customers                         | 7           |      | 53     |      |
| Training Services                       | 7           |      | 16     |      |
| Out-of-Area Job Search                  | 0           |      | 0      |      |
| Out-of-Area Relocation                  | 0           |      | 0      |      |
| Exitters                                | 0           |      | 35     |      |
| Entered Employment                      | 0           |      | 13     |      |
| Employment and Case Management Services | 7           |      | 53     |      |

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## Analyzing Data Effectiveness and Strategic Planning

Having even basic data can help analyze Rapid Response program effectiveness such as whether...

- a company meeting was held,
- workshops were held,
- a readjustment plan is constructed and approved,
- any participants remain active,
- the event is Trade impacted, and
- a union is involved

The Rapid Response team can use this data set as a project status, quality control, and a communication tool for dislocation events.

Good planning helps data collection effectiveness. Adjusting the types of data to collect, and the collection methods, is part of the responsibilities of data collection planning. At the program level, you create policy, procedures, and performance goals for Rapid Response events.

Effective data collection helps strategic planning. You need information as a basis for program funding, staffing, and your overall approach. Data collection is that basis. Through the identification of growth, low growth and declining occupations and industries, data collection assists the Rapid Response team in anticipating, preparing for, and managing economic transitions. Of course this is of keen interest to Job Developers and Economic Developers who need to know "what's hot and what's not" in terms of occupations and industries before targeting their efforts.

Good strategic planners have a sense of program direction and destination. They capitalize on the effective use of grant and staffing resources. They allow the plan they have developed to assist them in decision making and stakeholder communication. They use the plan's vision to obtain political support for new initiatives and bring overall program performance in line with that vision. Data collection serves as the starting point in the process of adapting Rapid Response services and activities to meet the needs of those served.

### **Mining the Collected Data**

States leaning forward in data collection are looking, not only at dislocation events, but also at customer, training provider, performance, and grant information. Optimally, Workforce Managers and Economic Development Representatives work directly with IT staff to define the parameters for reports, including the date range, sorting instructions, and the data elements displayed in the body of the report. They build reports that drill down in the data and answer very specific questions about demand occupations such as, "Can the local workforce support a business needing operators for machines that do silicon chip sawing?"

Data mining and reporting can help us find workers with the right skill set for a specific employer. If we can find them, we can connect them to the job. In the best-case scenario—in the "dream" system we envision—we would have the accurate, up-to-the-minute data, and reports we need to minimize the "time-to-permanent-employment" for workers and employers, as well as the Job Developers and Economic Developers working with them. Other users interested in this capability would be workforce professionals, Chambers of Commerce, and state/federal legislators.

### **Presenting the Collected Data**

It is vital that any system be able to produce the data via a reporting module. These reports should be available in various formats. The report-builder must also provide flexibility for users to generate ad-hoc reports. The flexibility comes in as each pre-formatted report contains three to 18 "filters," or report parameters, each adjustable by the user to generate a report addressing their needs, in PDF or Excel format. A report with 18 user-selectable parameters has 324 variations!

## Making Extra Efforts On-line

Large events can justify making extra on-line efforts to include dislocated workers. When this is the case, Illinois employs its "Illinois **workNet**" which is a soup-to-nuts tool with Web-accessible public and secure zones organized into modules for individuals, businesses, key sectors (Healthcare, IT, Manufacturing, Agriculture, and Transportation/Logistics), disability resources, and workforce professionals, including partner agencies and educators.

Individuals use Illinois **workNet** for "A to Z" information on finding their next job and using the embedded LMI to discover growth occupations. *"Extra effort" stories include* creating a dedicated website within Illinois **workNet** for dislocated workers from the Chrysler Assembly Plant in Belvidere, Illinois to identify benefits and resources on the union, local, state and federal levels.

### Example:

A screenshot of the Chrysler landing page in Illinois **workNet** follows:

The screenshot displays the Illinois workNet website interface. At the top, the logo for the Illinois workNet Center is visible, along with the tagline "TRAINING • CONNECTING DEVELOPING ILLINOIS' WORKFORCE". A search bar and user login options are present in the top right corner. The main content area is titled "Rapid Response for Chrysler Belvidere Plant Layoffs" and provides information for affected individuals, including links to additional resources and instructions on how to set up a My Illinois workNet account. A sidebar on the left offers navigation options such as Home, Step Guides, Prepare, Learn, Find Jobs, and Services. A right sidebar lists various resources, including job fairs, unemployment insurance, and local information. The bottom of the page features a "Recommended Things That You Can Do After You Are Laid Off" section with a list of actionable steps.

**ILLINOIS workNet CENTER** TRAINING • CONNECTING DEVELOPING ILLINOIS' WORKFORCE

Search Governor Pat Quinn Guest

Log into My Illinois workNet Sign-Up

Services

Home Step Guides Prepare Learn Jobs Find Jobs Services

Child Care Health Services Housing Immigrant Professionals Money Management Public Assistance & Support Re-Entry Services Transportation Services Unemployment Insurance Application

Documents Videos Links

**Rapid Response for Chrysler Belvidere Plant Layoffs**

The information and hot links below are for individuals affected by the Chrysler Belvidere plant layoff. To connect to additional information and services, [click here and set up a My Illinois workNet account](#).

Once you set up an account, you can create and store resumes, use the Illinois job search tool, view local information throughout the state, and much more.

**Recommended Things That You Can Do After You Are Laid Off**

- File an [Unemployment Application](#).
- Chrysler workers who filed for unemployment insurance during the October shutdown can activate their existing claim using *Teleserve* at 1-888-337-7234 (Monday - Friday 7:00 AM - 7:00 PM).
- Connect to counseling - locate needed [services](#) by category.
- Research other [benefits and services](#) that may be available to assist in your transition to re-employment.
- Participate with a **Dislocated Worker Program Application Session for Chrysler Employees** to determine eligibility for additional benefits and services.
  - [Click here to see scheduled events](#).
  - For additional information on services and workshops for Belvidere Chrysler employees and suppliers, call 815-921-2200.

Resources

Attend Job Fairs Register for Unemployment Insurance Search Job Listings Prepare Your Resume

Get Local Information

Local Interest

- City of Rockford Department of Human Services
- Financial Counseling
- Illinois Migrant Council
- Pension, Health Insurance, and Social Security Information
- United Way of Rock River Valley

Statewide Interest

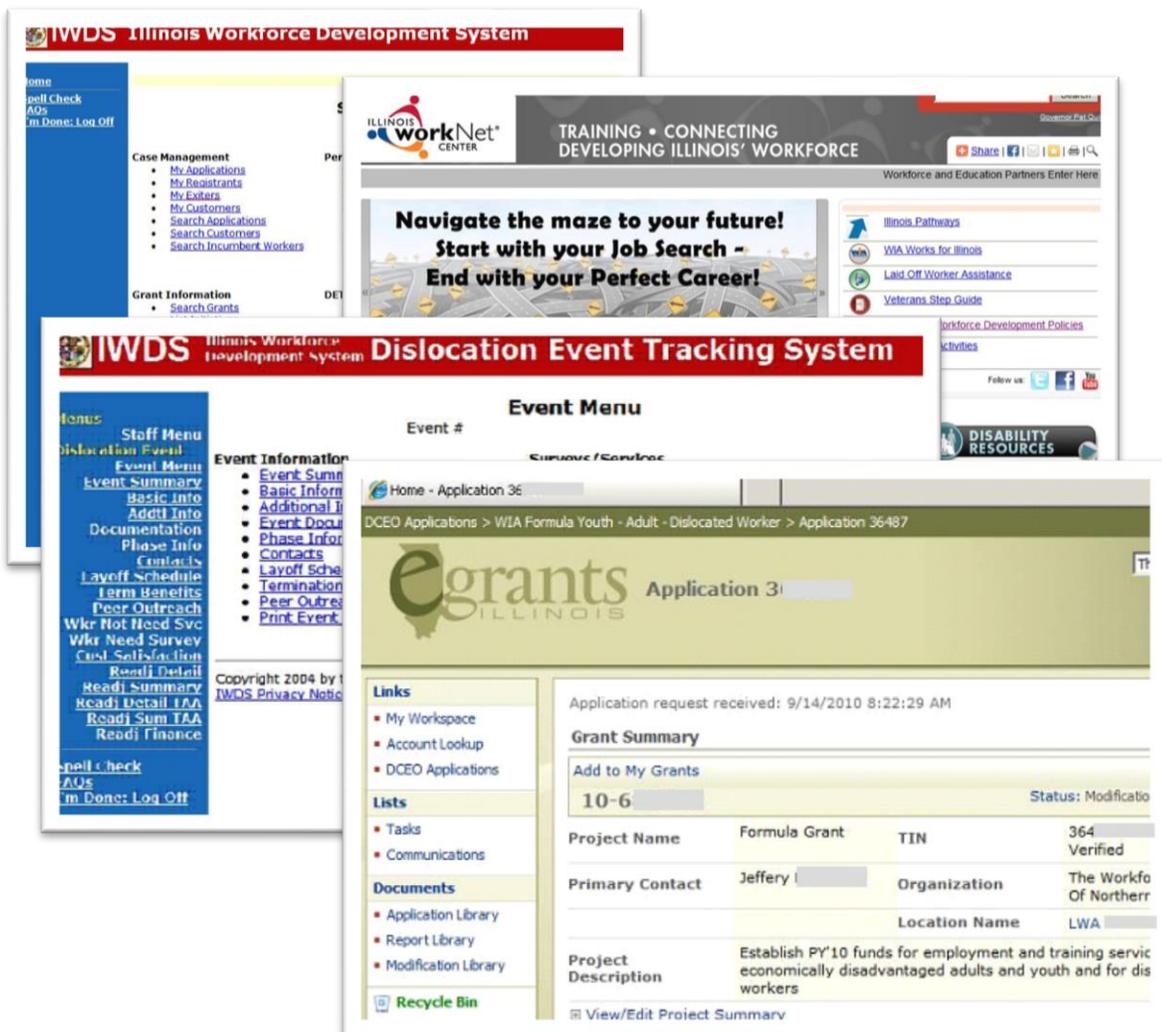
Disability Resources

## Aligning Tools and Focus

Some states have built a Rapid Response data collection system, plus other tools focused on Layoff Aversion. States build these tools at different times and with different technologies, all of which requires periodic alignment of both the tools and focus. Illinois has been enhancing IWDS since 2004 to accommodate changes in WIA and Trade; enhancing eGrants since 2005 for grant submission and management; and enhancing Illinois **workNet** since 2006 as the front door for individuals, businesses, key industries, training providers, and workforce professionals/boards.

### Example

Below are screenshots of IWDS, Illinois **workNet**, eGrants, and DETS. Sensitive information has been removed.



## Ten Examples of Useful Reports

Ten examples of these reports, found below, are taken from a set of 150 pre-formatted IWDS reports. The first nine of these reports come from the DETS system and the eleventh is a Participant Report.

|   | REPORT NAME                                     | PURPOSE  |
|---|---|--|
| 1 | <i>Participant History by DETS ID Report</i>    | Lists all of the individuals from a given DETS event who have been, or are being served in, the WIA program. It is used to monitor services provided to customers who were associated with each DETS event. A sample Participant History by DETS ID Report is contained in the addendum.   |
| 2 | <i>Event Status Listing Report</i>              | Lists information on Illinois' Dislocated Event Tracking System (DETS) events that meet the entered selection criteria. It is primarily used to monitor the current status of the events. A sample Event Status Listing report is contained in the addendum.   |
| 3 | <i>Dislocation Event Master Listing Report</i>  | Lists very basic information on DETS events. It includes a count of workers affected. A sample Dislocation Event Master Listing report is contained in the addendum.   |
| 4 | <i>RRU Quarterly Readjustment Detail Report</i> | Lists information on DETS events for the selected calendar year and quarter broken out by LWIA and RRU staff person. It includes counts of workers affected and workshop information. A sample RRU Quarterly Review Summary report is contained in the addendum.   |
| 5 | <i>RRU Quarterly Review Summary Report</i>      | Lists information on DETS events for the selected calendar year and quarter broken out by LWIA and RRU staff person. It includes counts of workers affected and workshop information. A sample RRU Quarterly Review Summary report is contained in the addendum.   |
| 6 | <i>RRU Staff Report</i>                         | Lists information on DETS events broken out by LWIA and RRU staff person. It includes counts of participants, unions involved and workshop information. The information is used to track DETS Events, assure that the Company Meeting ("Initial On-site Meeting") was held, workshops were held, whether the Readjustment Plan is approved, whether any participants are still active, whether the event is Trade impacted, and to document union information. A sample RRU Staff Report is contained in the addendum.   |
| 7 | <i>DETS WARN Report by SIC</i>                  | Lists information for DETS events by industry (SIC) code. It is used for DETS event analysis by industry. A sample DETS WARN Report by SIC is contained in the addendum.   |
| 8 | <i>TAA DETS Trade Event Information Report</i>  | This report was developed to allow staff to identify Trade DETS Events. The report can be sorted by LWIA or by Petition Number. Users can run the report by a date or date range or by a specific DETS ID number. Standard fields included in this report are: Petition Number, DETS ID, Company Name, Number of Layoffs, Impact Date, Certification Date; Expiration Date; ATAA Certified; Total Number of Participants; Total number of Participants Still Active and SIC code. A sample TAA DETS Trade Event Information report is contained in the addendum. |

|    | REPORT NAME   | PURPOSE  |
|----|---|--|
| 9  | <i>Trade Summary Report</i>                             | This report lists information for Trade DETS events (TAA/NAFTA). It displays Trade petition information. A sample Trade Summary report is contained in the addendum.   |
| 10 | <i>Participants by Grant with Services (Key Report)</i> | The report title does not fully reveal that this is a key report. It documents the history of services provided to a customer served by a specific grant. Illinois uses it for dislocation event analysis and grant monitoring. Sensitive information has been removed including LWIA, grant number, customer last name, and Social Security Number. |

## Layoff Aversion

---

Layoff aversion and business retention are at the very core of Rapid Response. However, for many Rapid Response practitioners, layoff aversion has essentially been reduced to two alternatives: incumbent worker training and ESOPs/employee buyouts. While important tools, this view limits your options and leads to the impression that layoff aversion is difficult and rare. Fully understanding the definition of [layoff aversion](#), and focusing Rapid Response around the principles of aversion, can change the way Rapid Response solutions are provided. Layoff Aversion is the mindset innovative practitioners bring to work each and every day and one they convey to partners and other stakeholders.

*“Layoff aversion is really a state of mind.”*

Operating Rapid Response as a layoff aversion system requires a philosophical shift from the traditional “layoff response” system to one focused primarily on “prevention.” It requires a completely new outlook on the purpose of Rapid Response, and necessarily requires a whole new set of principles by which to operate. Before you can undertake layoff aversion activities through Rapid Response, you need to create an environment which promotes a layoff aversion mindset. Saving jobs needs to be a priority. When you create a transition management mechanism that is focused on aversion first and foremost, you will look for solutions and have opportunities for action that would rarely be possible under a reaction-based Rapid Response system. Establishing an environment that promotes, seeks, and creates opportunities for aversion is not easy—it requires, at the very least, wide-ranging partnerships, effective data collection and early warning systems, substantial strategic planning, and well-trained staff knowledgeable of the range of solutions, which may be needed. But the value and benefits derived from preventing layoffs or minimizing the duration of unemployment are undeniable. Layoff aversion is a continuum; it ranges from avoiding layoffs to minimizing the time that affected workers are out of work. Efforts include devising strategies, building networks, and developing tools to help avoid plant closures or business failures while retaining jobs. The aim of layoff aversion is to help companies and organizations make changes so that layoffs are reduced or completely avoided. Rapid Response is often a critical partner in these activities, not always the lead or

only player, but always important member of the team. 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.

### The Regulation

The WIA Regulations at section [665.310](#) describe required Rapid Response activities; included in this section is the requirement that Rapid Response teams assess “the potential for averting the layoff in consultation with state and local economic development agencies, including private sector economic development entities.” Section [665.320](#) provides additional context for allowable layoff aversion activities. These regulations underscore how crucial layoff aversion is to economic recovery and growth, and provide the basis for developing and pursuing approaches that enable layoff aversion to become an integral part of any Rapid Response plan.

**“Not only is layoff aversion a good idea, but one that Rapid Response teams are required to attempt.”**

In June 2010, ETA issued [TEGL 30-09](#), which described a new, more comprehensive definition for layoff aversion. A “layoff is averted when: 1) a worker’s job is saved with an existing employer that is at risk of downsizing or closing; or 2) a worker at risk of dislocation transitions to a different job with the same employer or a new job with a different employer and experiences no or a minimal spell of unemployment.” In other words, layoff aversion is preventing, or minimizing the duration and impact of, unemployment. This definition opens up a world of opportunity for Rapid Response teams to focus on aversion rather than reaction

### Proactive aversion measures include:

More than any other aspect of Rapid Response layoff aversion requires a proactive approach.

If you are going to save companies and jobs, you will need to expand your event horizon.

Successful layoff aversion begins six months, a year, two years before a potential layoff.

Some of the proactive measures include:

| Timeframe   | Examples of Layoff Aversion Activities  |
|---|---|
| Ongoing, strategic or administrative activities (regardless of proximity to layoff or potential layoff) | <ul style="list-style-type: none"> <li>• Developing, implementing, and maintaining a state or local layoff aversion policy;</li> <li>• Publicizing the policy;</li> <li>• Creating/sustaining effective partnerships with a wide range of organizations that contribute to layoff aversion strategies;</li> <li>• Gathering data and intelligence related to economic transition trends within industries, communities, or specific employers, and planning strategies for intervention;</li> <li>• Developing early warning networks and systems utilizing data and intelligence gathered;</li> <li>• Identifying heavily concentrated industries (Sector Analysis) in geographic areas and training needs of such workforce and businesses;</li> <li>• Engaging in proactive measures such as business visitation programs or layoff forecasting programs to identify indicators of potential economic transition and to identify training needs in either growing industry sectors or expanding individual businesses;</li> <li>• Connecting employers and workers with short-term training, OJT customized training and apprenticeships before or after layoff and prior to new employment;</li> <li>• Implementing and marketing a Short-Time Compensation program;</li> </ul>                           |
| More than a year prior to a layoff or potential layoff  | <ul style="list-style-type: none"> <li>• Working with businesses to conduct comprehensive studies to identify the true costs of running a business, with the goal of encouraging businesses to continue production within the United States rather than off-shoring;</li> <li>• Helping a company spin off an under-performing business unit to focus on core competencies;</li> <li>• Helping companies to practice continuous improvement in their processes and quality, and constantly looking for opportunities for new products, customers, markets, and business models;</li> </ul>  |
| From approximately six months to one year prior to a layoff or potential layoff                         | <ul style="list-style-type: none"> <li>• Partnering or contracting with MEP or other business-focused organizations to assess risks to a company, propose strategies to address those risks, implement services, and measure impacts of services delivered;</li> <li>• Conducting analyses of suppliers to assess risks and vulnerabilities from potential closings of a manufacturing customer;</li> <li>• Conduct prefeasibility or company valuation studies to determine the possibility for employee buyouts or Employee Stock Ownership Plans (ESOPs), or, more commonly, the sustainability of the company with new products, retooled production processes, or new customers and markets;</li> <li>• Facilitating employer loan programs for employee skill upgrading when available;</li> <li>• Examining alternative business ownership options through economic development partners;</li> <li>• Utilizing TAA for Firms to help employers negatively affected by imports remain competitive and prevent or minimize layoffs;</li> <li>• Working with Unemployment Insurance offices to leverage Short-Time Compensation programs (also called workshare) which help offset the wages of a business' employees during a slow period to prevent layoffs and maintain a skilled workforce</li> </ul> |

| Timeframe  | Examples of Layoff Aversion Activities   |
|--|--|
| <p>From approximately six months prior to, up through and following a layoff or potential layoff</p> | <ul style="list-style-type: none"> <li>• Partnering with MEP organizations for activities as mentioned above;</li> <li>• Utilizing incumbent worker training for eligible workers based on state or local rules, including TAA for Workers;</li> <li>• Encouraging use of Short-Time Compensation (shared work) programs in states with such programs incorporated into state UI law;</li> <li>• Ensuring strong connections with reemployment-focused activities within a state or local area;</li> <li>• Holding on-site job fairs or targeted hiring events with nearby business in need of workers with similar competencies or skill sets;</li> <li>• Conducting talent-transfer events or holding reemployment boot camps;</li> <li>• Connecting to labor unions that may be able to assist in accessing skilled workers for other employment, or to help encourage retraining and assessing the training needs of workers before layoffs;</li> <li>• Linking with state or local economic development organizations to match business growth opportunities with available pools of skilled workers, including those currently dislocated or soon to be laid off;</li> </ul> |

### ■ Layoff Aversion Requires Strong Partnerships.

Successful layoff aversion strategies and activities require engagement of the full array of programs and resources available through the public workforce system and effective partnerships with a wide range of organizations. A fully networked Rapid Response Team, with partnerships established across the economic spectrum, can directly provide, or facilitate the provision of an array of benefits to address the challenges presented by specific circumstances.



Layoff aversion is as much a service to business as it is a service to workers. By far the most important partner in any layoff aversion project is a willing, engaged employer. Successful projects almost always require open and frank discussions. Because of the delicate nature of information discussed establishing trust is critical. Employers need to trust you'll keep the conversation confidential and you will need to trust you are getting a clear picture of what is truly going on with the company. Trust is the cornerstone of the partnership and it needs to be reciprocal.

It is important to remember that Rapid Response can ensure valuable layoff aversion activities occur even without directly paying for those activities through the establishment of comprehensive partnership networks. Examples of some of these critical partnerships, along with the activities they engage in or resources they provide, are highlighted below:

| Partner(s)  | Activities/Resources   |
|---|--|
| <b>Manufacturing Extension Partnership Centers, Trade Adjustment Assistance (TAA) for Firms, International Trade Administration</b> | <ul style="list-style-type: none"> <li>• Prefeasibility Studies</li> <li>• Lean Manufacturing or Retooling Manufacturing Processes</li> <li>• Six Sigma</li> <li>• Accessing New Customers or Markets</li> </ul> |
| <b>Business community, including individual employers and aggregators such as industry associations and Chambers of Commerce</b>    | <ul style="list-style-type: none"> <li>• Company Matching/Instant Labor Exchange</li> <li>• Layoff Forecasting</li> <li>• Early Access</li> <li>• Productive Referrals</li> </ul>                                |
| <b>Small Business Development Centers</b>   | <ul style="list-style-type: none"> <li>• Succession Planning</li> <li>• Loan Programs</li> </ul>   |
| <b>Non-governmental layoff aversion-focused organizations</b>   | <ul style="list-style-type: none"> <li>• Early Warning Systems and Data</li> <li>• Prefeasibility Study Support</li> <li>• Training and Technical Assistance</li> </ul>  |
| <b>Organized Labor</b>  | <ul style="list-style-type: none"> <li>• Early Warning Intelligence</li> <li>• Training</li> <li>• New Employment</li> <li>• Peer Counselors</li> </ul>  |
| <b>Registered Apprenticeship</b>  | <ul style="list-style-type: none"> <li>• Customized Training</li> <li>• OJT</li> </ul>   |
| <b>Educational institutions</b>   | <ul style="list-style-type: none"> <li>• Targeted Training</li> <li>• Incumbent Worker Training</li> <li>• Short-Term Training</li> <li>• Customized Classroom Training</li> </ul>                               |
| <b>Local Workforce Boards</b>   | <ul style="list-style-type: none"> <li>• Incumbent Worker Training</li> <li>• Customized Training</li> <li>• OJT</li> </ul>  |
| <b>Community- and Faith-Based Organization</b>  | <ul style="list-style-type: none"> <li>• Early Warning Data</li> <li>• Other Direct Services</li> </ul>  |

| Partner(s)  | Activities/Resources   |
|---|--|
| <b>Unemployment Insurance</b>                                   | <ul style="list-style-type: none"> <li>• Data Gathering/Early Warning Systems</li> <li>• Short-Time Compensation (STC)/Work Sharing</li> </ul>   |
| <b>Banks, Accountants, and associated industry associations</b> | <ul style="list-style-type: none"> <li>• Early Warning Data</li> <li>• Connections To Businesses</li> </ul>  |
| <b>Private Outplacement/Staffing Firms</b>                      | <ul style="list-style-type: none"> <li>• Early Warning Intelligence</li> <li>• Enhanced Services To Workers</li> <li>• Strong Connections To Business Sector</li> <li>• New Employment Opportunities</li> </ul>                  |
| <b>Regional Economic Development</b>                            | <ul style="list-style-type: none"> <li>• Early Warning Date</li> <li>• Real Time LMI</li> <li>• Connection To Regional Economic Development Activities</li> <li>• Leverage Resources Across A Wider Array of Partners</li> </ul> |

One of the most important and valuable partners for layoff aversion can be the [Manufacturing Extension Partnership \(MEP\)](#) program, part of the National Institute of Standards and Technology, an agency of the U.S. Department of Commerce. MEP works with small and mid-sized U.S. manufacturers to help them create and retain jobs, increase profits, and export their goods. Innovation is at the core of what MEP addresses. MEP serves an essential role sustaining and growing America’s manufacturing base, and the MEP assists manufacturers in product, process and market innovations, leading to more customers and new sustainable jobs in the high paying advanced manufacturing sector. The nationwide MEP network provides a variety of services, from innovation strategies to supplier scouting, product commercialization, export assistance, process improvements and green manufacturing. MEP’s field staff is comprised of 1,400 technical experts – located in every state – serving as trusted business advisors, focused on solving manufacturers’ challenges and identifying opportunities for commercial growth, including workforce pipelines and development. MEP has a history of working with the workforce system, including Rapid Response teams, across the country to help manufacturers find and train workers and avoid layoffs.



Additionally, MEP offers its clients a broad range of resources in five key areas:

|   |                         |
|---|-------------------------|
| 1 | TECHNOLOGY ACCELERATION |
| 2 | SUPPLIER DEVELOPMENT    |
| 3 | SUSTAINABILITY          |
| 4 | WORKFORCE               |
| 5 | CONTINUOUS IMPROVEMENT  |

MEP’s relationships with manufacturers and the national network of partners and technical experts provide them with insight into the manufacturing industry. Through these close relationships; MEP representatives are often alerted to early warning signs of a struggling enterprise which could lead to layoffs or even a business closure. This could include information related to financial problems, supply chain issues, ownership challenges and/or mismanagement, declining sales and other matters. Like Rapid Response, MEP’s mission is to address those challenges and avert a situation where there would be a loss of jobs.

MEP, with its network of technical and industry experts, and Rapid Response, with the strength of the workforce system to draw from can form a powerful alliance. All Rapid Response teams can benefit from connecting to their state or local MEP representative. A strong relationship will strengthen your early warning network and provide a wealth of options in devising layoff aversion strategies.

**Link: TEN 38-11**  
[\*Benefits of Collaboration Between State/Local Workforce Investment Boards and the Manufacturing Extension Partnership \(MEP\) Program\*](#)

**Examples of Layoff Aversion Activities.** The following are just a few examples of allowable layoff aversion activities, paid for either thru WIA funds or by leveraging resources from partners. Though not all are paid for through Rapid Response directly, these activities, or those that yield similar results, are critical components to creating a layoff aversion system with the capacity and capability to accomplish layoff aversion goals.

- Developing early warning networks and systems to gather data and intelligence related to economic transition trends within industries, communities, or at specific employers, and planning strategies for intervention;

- Ensuring effective early intervention to link employees being downsized to growing employers in need of skilled workers, eliminating or limiting the duration of unemployment; this may include the need to incorporate short-term training, OJT, customized training, and more, before or after layoff and prior to beginning new employment;
- Engaging in proactive measures such as business visitation programs or layoff forecasting programs to identify indicators of potential economic transition and to identify training needs in either growing industry sectors or expanding individual businesses;
- Developing strategic partnerships;
- Planning for and organizing incumbent worker training programs, especially for companies identified through early warning networks though Rapid Response or local formula funds cannot pay for incumbent worker training directly (without a waiver from ETA), Rapid Response can identify, plan, and develop these programs;
  - Incumbent worker training is allowed under the statewide activities provision of WIA without a waiver;
- Linking to shared work programs where applicable;
- Using on-the-job training projects to help move workers more quickly from downsizing employers to those that are hiring;
- Linking with state or local economic development organizations to match business growth opportunities with available pools of skilled workers, including those currently dislocated or soon to be laid off;
- Connecting to labor unions that may be able to assist in accessing skilled workers;
- Conducting prefeasibility studies to determine the possibility for employee buyouts or Employee Stock Ownership Plans (ESOPs), or more commonly, the sustainability of the company with new products, retooled production processes, or new customers and markets;
- Conducting talent-transfer events or holding reemployment boot camps;

For a more in-depth look at Layoff Aversion, review the Layoff Aversion Tool Kit found at:

***URL and site under development.***





- **Leveraging Resources:** Through the Internet, a world of resources is a click away. Unlike print media and traditional outreach, websites and social media allow you to change content and partnerships and messaging on the fly. Chances are, an employee within your organization or one of your partner agencies can help you develop your online presence for little or no additional cost.
- **Seamless Service Delivery:** From registration to placement, integrating technology, the Internet and various social media sites (notably LinkedIn for employers and job seekers) into your service design is a force multiplier. These tools allow you to provide better services to more customers in more places at a lower cost than traditional brick and mortar delivery methods.
- **Active Promotion:** Social Media is the “killer app” for this. Research suggests that the average person can maintain about 150 close, stable relationships<sup>45</sup>. This is where the power of social media becomes clear. Your 150 “friends” also each have 150 friends. Assuming none of the friends are shared, your first outward social circle extends to 22,500 people. The second circle? More than 3.3 million. You get the idea.
- **Layoff Aversion:** Stay on top of business and industry news on the Internet and social media for indicators of potential layoffs. There are no shortage of industry specific publications and business news sites. These sites are a treasure trove of information that can be mined for early warning of impending layoffs. Set up a Google Alert for “merger” and “acquisition” and then watch the correlation between the timing of these announcements and the beginning of layoffs at the acquired firm.
- **Consistent & Accurate Information:** A website is a 24/365/7 resource that is available to your customers and stakeholders even if you are not. As stated earlier, websites and a social media presence allow you to control your message and brand. Use your online presence to post results, post success stories and ensure your value is seen.

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<sup>45</sup> [Dunbar, R. I. M.](#) (1992). "Neocortex size as a constraint on group size in primates". *Journal of Human Evolution* 22 (6): 469–493.

- **Convenience:** The Internet brings your services home. Dislocated workers can access online services from home, from public libraries, from anywhere there is an Internet connection. This means the services you provide do not need to end when the onsite sessions do.
- **Customer Choice:** The Internet means your services are no longer limited by geography or time. In this on-demand world, services can be, and must be, available in the format of choice on the platform of choice. Websites, podcasts, blogs, videos... all must be included in your services strategy.
- **Measurement of Success:** “Tell us how we’re doing!” You’ve seen it at the bottom of retail and restaurant receipts. Providers want to know how they are doing. Is the customer getting what they want? Will they come back for more? Tools like Survey Monkey ([www.surveymonkey.com](http://www.surveymonkey.com)) provide a free tool available to ask your customers what they thought of the services you provided. What was great? More importantly... what was not?
- **Innovation:** There is no shortage of innovative ways to deliver your message and drive people to specific content. One method is called QR Codes. QR Codes are computer-generated images that are a link to a website or content on the Internet. A QR Code can be a link to a specific site, or even to a specific file, such as a PDF form or a podcast. They look like this:



*(This one will bring you to the Rapid Response page on [www.doleta.gov](http://www.doleta.gov).)*

### **Conscious Social Media Plan (don’t get led by the technology)**

There are, at a minimum, three social media sites that you should consider including in your outreach and services plan:

- Facebook, Twitter and LinkedIn: Each site is slightly different, has a different purpose and a different user community and demographic. These are also the three major sites currently used by employers in their recruitment efforts. Dislocated workers need to understand what these sites are and how they can be used to find their next job. There are entire white papers on the uses of social media so we won’t bore you with too much detail here, other than to say that if your organization doesn’t

already have a social media presence, you don't actually exist to a large section of society.

- If your organization doesn't allow the use of social media or have a social media presence, steps should be taken to remove those restrictions and embrace the most extensive communication tool yet created by humanity.
- To see how USDOL has been using social media, visit [social.dol.gov](https://social.dol.gov) for more!

## PART 8

# Disaster Assistance

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20 CFR 665.300(a) of the Workforce Investment Act defines Rapid Response activities as:

*“...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.”*

20 CFR 665.300(b) requires states to perform these Rapid Response activities and...

*“...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.”*

For states and communities across the nation, these regulations have made all the difference. For entire regions of the country ravaged by hurricanes or communities devastated by tornado, fires or floods this passage has allowed states and WIBs to play a significant role in recovery.

For many of us, this aspect of Rapid Response may come as a bit of a surprise. After all—and thankfully—major natural disasters don’t happen every day. But when they do, and if we are wise well before they do, we need to be prepared to meet this responsibility.

### **Advanced Planning**

If there is one element of Rapid Response that cries out for advanced planning it’s in disaster recovery. When the earthquake hits, you’ll need workable solutions tomorrow... not next program year. Are you connected with FEMA? Does your organization have a plan for its own continued operation? Does your state have a plan for UI registration after disaster? Even when phones and phone lines are down? Would you be able to support public service employment? Do you have the HR capacity? What does emergency procurement look like? Is your own HR

system flexible enough to allow your staff to get the job done? Luckily, many of us have never had to find answers to these questions but luck isn't good planning.

Developing a plan is the first step in disaster preparedness. Rapid Response funds are flexible and permit the use of funds to support disaster planning, including, but not limited to the following activities:

- Devise prospective strategies to provide assistance to local areas experiencing disasters
- Identify strategies for aversion of layoffs
- Mechanisms for regular exchange of information relating to potential dislocations
- Collect and analyze data and information for a number of purposes

This plan should include partner agencies. As mentioned in other sections of this Guide, Rapid Response is expected to partner with other government agencies. Rapid Response should partner with, but not be limited to, disaster response entities to ensure it fulfills its obligation to deliver services and transition workers to new employment as quickly as possible. Some of the external agencies and government organizations Rapid Response should have standing and effective partnerships include:

- Emergency management organizations (i.e., state emergency management agencies and FEMA)
- Chief Elected Officials (CEO)
- Chambers of Commerce
- Economic development organizations
- Labor and industry organizations
- USDOL

Some of the internal agencies Rapid Response should coordinate with for its disaster planning and delivery of services are:

- Unemployment Insurance (UI)
- Workforce Development/ National Emergency Grant contact
- Workforce Investment Boards (WIB)
- American Job Centers (AJC)
- Business Services

Rapid Response can be the key convener to plan a state's response to a disaster and should have a role in the delivery of reemployment and transition services to those impacted by a disaster. This

role is not as clearly defined in the regulations, but Rapid Response is required to deliver services to those unemployed as a result of a disaster as stated in 20 CFR 665.300(b).

State and local Rapid Response teams are already in place to provide transition services to the unemployed as a result of employer layoffs, which most often occur last minute, allowing for little planning. Rapid Response teams are expected to be flexible and responsive. Therefore, it makes sense Rapid Response would have a key role in disaster response in partnership with other internal and external government, non-profit, and private agencies. Although there is not a great deal of guidance related to disaster response, there are some great examples from our states, including:

- Purchase and deployment of mobile units for service delivery in disaster areas
- Support for organizing physical locations for disaster relief centers
- Support to individuals with applying for unemployment insurance (and Disaster Unemployment Assistance (DUA))
- Support sharing information on services available, including temporary jobs through NEG
- Hiring staff to support range of needs of impacted individuals, including counselors
- Job search assistance (i.e., evacuees from Hurricane Katrina served in other states)
- And more!

Based on feedback from states, the disaster dictates the response. Disaster response in a rural area is different than disaster response in a metropolitan area. Also, having previous experience better prepares a state with any current or future disaster; however, this is not the best way to approach disaster response. At ETA, we recommend states use Rapid Response funds to plan for disaster response before a disaster strikes. That said, using other state experiences can help guide a state in developing a disaster plan. In addition, states mentioned staff capacity is a major component of good disaster response. New York State, for example, stated that having a person on their Rapid Response teams who is versed in UI was critical for disaster response and other mass layoff response.

### **New York State Hurricane Sandy Response**

In response to Hurricane Sandy, NYSDOL was awarded a \$27.8 million federal disaster National Emergency Grant (NEG) to hire workers to help clean up impacted communities in 13 counties

(i.e., Bronx, Kings, Nassau, New York, Orange, Putnam, Queens, Richmond, Rockland, Suffolk, Sullivan, Ulster, and Westchester).

NYSDOL immediately began working with impacted communities: CEO's, county executives, and WIB partners to identify where work needed to be done and to deploy temporary NEG workers as soon as possible. New York State's multi-agency task force developed a SWOT team for disaster response. Rapid Response was a member of this SWOT team. Some other key partners included: WIB directors, UI directors, Business Services, NEG contact, and Federal Emergency Management Agency (FEMA). The state led routine conference calls between the partners to ensure efforts were coordinated.

Based on direction by the multi-agency task force, New York City recruitment events were arranged and, within a few weeks of receiving grant funds, the first 800 workers were hired. NYSDOL staff and partners coordinated other recruitment events in impacted counties to hire temporary workers. On the NYSDOL website, there was an application to apply for these temporary jobs. Applicants and AJC customers with relevant backgrounds in the desired skill sets were reviewed for grant hiring eligibility, contacted about recruitment events and referred to host agencies to fill worker needs to perform clean up and humanitarian activities.

In June 2013, DOL received an additional \$23.3 million (bringing the total Hurricane Sandy Disaster NEG award to \$51.1 million). Through March 2015, 3,285 individuals worked on various projects in NYC, Long Island and in the lower Hudson Valley. In NYC alone, over 2,400 individuals were hired under the NEG for disaster recovery and humanitarian services.

New York State's Rapid Response team was involved in the disaster response from the start. Since Rapid Response is already a mobile team it's flexible and ready to respond. The task force determined Rapid Response teams should assist at the Disaster Assistance Centers and other appropriate businesses as well as union events. New York had UI specialists on staff to help with UI claims and DUA claims. Below is a list of events Rapid Response had direct involvement in:

- Breezy Point Disaster Assistance Center on November 2, 2012: Rapid Response assisted five customers with DUA information and other disaster relief resources.
- Red Hook Disaster Assistance Center on November 10, 2012: Rapid Response answered questions from groups of individuals regarding DUA and other disaster relief services.

- Brooklyn Navy Yard on November 14, 2012: Rapid Response met with five businesses in the navy yard affected by the Hurricane. DUA and Short Term Compensation (STC) were discussed.
- Madelaine Chocolates DUA event on November 15, 2012: staff from Rapid Response/Queens and Upper Manhattan Career Centers assisted 24 customers in registering for DUA. Initial assessments completed for those who were already registered.
- Coney Island Recovery Event for Businesses on November 24, 2012: Rapid Response met with six businesses and discussed DUA.
- Belle Harbor Town Hall Meeting on December 5, 2012: Rapid Response set up a table to provide information on DUA.
- SEIU Local 1199 Rockaway Medical Facilities event on December 5, 2012: Rapid Response assisted 27 customers with DUA applications and several other employees came and asked questions about their DUA claims.
- Nathan's DUA Event on December 6, 2012: Rapid Response assisted 21 customers with DUA claims and information given concerning re-employment services.

We know that, following Hurricane Katrina, states along our Gulf Coast developed solutions to many of these questions. Mississippi found a way to get UI to those who needed it, Houston developed tools to support refugees from disaster. From tsunamis on the California coast to tornados in western Massachusetts, state and local Rapid Response teams have meet the challenge.

**This section is still under construction. If you are a Rapid Response Practitioner at the Federal, State or Local level and you have practical advice on Rapid Response disaster preparedness and recovery, let us know and we will incorporate your insights into this guide. We are always seeking to gain awareness and understanding of effective practices.**



# Appendix

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Suggested information to capture on Rapid Response services and activities:

- Company name and location
- Plant Closing Code (PCC)—used by some States for record-keeping and program management purposes to determine the cause of the layoff or closure
- North American Industry Classification System (NAICS)<sup>46</sup> of business
- Layoff dates
- Service dates
- Employee demographics to provide information on the affected workforce. In some cases, the company will provide its own demographics.
- UI and EBSA information.
- Service records at the participant level for employee meetings, workshops, and counseling sessions.
- Copies of all correspondence, newspaper articles, company annual report, and information related to the company or on-site services.

Electronic systems that are remotely accessible via the Internet are highly preferred to paper-based files.

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<sup>46</sup> Coding companies using the North American Industry Classification System (NAICS) may be appropriate at this time. The federal government will have fully converted to using the NAICS by January 1, 2001. See the glossary for a definition.

# Addendum

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## ■ Sample Reports

Sample reports from Illinois' "Dislocation Event Tracking System" (DETS) are attached in the following order:

1. Participant History by DETS ID
2. Event Status Listing
3. Dislocation Event Master Listing
4. RRU Quarterly Readjustment Detail
5. RRU Quarterly Review Summary
6. RRU Staff Report
7. WARN Notification Management Report
8. DETS WARN Report by SIC
9. TAA DETS Trade Event Information
10. Trade Summary
11. Participants by Grant with Services

### NOTE



*Although the following data is in the public domain, Illinois Department of Commerce and Economic Opportunity, DCEO, has changed the names of employers and customers to protect their identity. Report examples are taken from actual dislocation events.*

**Participant History by DETS ID**

Report Date: 03/21/2012  
 Report Time: 10:12:52 AM  
 Report Num: C1SCU022

LWIA: 27  
 DETS ID: 20090305004

| LWIA | SSN         | Customer Name | Reg. Date | Exit Date  | Exit Reason   | Grant Number | Program Code | Activity Code | Funding Title |
|------|-------------|---------------|-----------|------------|---------------|--------------|--------------|---------------|---------------|
| 27   | ***-**-XXXX | John Smith    | 4/7/2010  |            |               |              | 505          | 12A           | TAA           |
| 27   | ***-**-XXXX | John Smith    | 4/7/2010  |            |               |              | 501          | 79            | TAA           |
| 27   | ***-**-XXXX | John Smith    | 3/3/2011  |            |               | 09653027     | 220          | 10            | 1E            |
| 27   | ***-**-XXXX | John Smith    | 3/3/2011  |            |               | 09653027     | 210          | 68            | 1E            |
| 27   | ***-**-XXXX | John Doe      | 3/31/2010 | 11/10/2010 | Program Ended |              | 503          | 12A           | TAA           |
| 27   | ***-**-XXXX | John Doe      | 3/31/2010 | 11/10/2010 | Program Ended |              | 501          | 79            | TAA           |
| 27   | ***-**-XXXX | Jane Doe      | 8/12/2010 |            |               |              | 505          | 12A           | TAA           |
| 27   | ***-**-XXXX | Jane Doe      | 8/12/2010 |            |               |              | 123          | 24A           | TAA           |
| 27   | ***-**-XXXX | Jane Doe      | 8/12/2010 |            |               |              | 123          | 62            | TAA           |
| 27   | ***-**-XXXX | Jane Doe      | 8/12/2010 |            |               |              | 501          | 79            | TAA           |
| 27   | ***-**-XXXX | Jane Doe      | 3/9/2011  |            |               | 09653027     | 220          | 10            | 1E            |
| 27   | ***-**-XXXX | Jane Doe      | 3/9/2011  |            |               | 09653027     | 210          | 68            | 1E            |
| 27   | ***-**-XXXX | Jane Q Doe    | 3/31/2010 | 8/3/2011   | Program Ended |              | 505          | 12A           | TAA           |
| 27   | ***-**-XXXX | Jane Q Doe    | 3/31/2010 | 8/3/2011   | Program Ended |              | 501          | 79            | TAA           |
| 27   | ***-**-XXXX | John Q Doe    | 4/21/2010 | 9/30/2011  | Program Ended |              | 505          | 12A           | TAA           |
| 27   | ***-**-XXXX | John Q Doe    | 4/21/2010 | 9/30/2011  | Program Ended |              | 501          | 79            | TAA           |
| 27   | ***-**-XXXX | John Q Doe    | 3/4/2011  | 9/30/2011  | Program Ended | 09653027     | 220          | 10            | 1E            |
| 27   | ***-**-XXXX | John Q Doe    | 3/4/2011  | 9/30/2011  | Program Ended | 09653027     | 210          | 68            | 1E            |
| 27   | ***-**-XXXX | John Q Smith  | 8/19/2010 | 8/5/2011   | Program Ended |              | 505          | 12A           | TAA           |
| 27   | ***-**-XXXX | John Q Smith  | 8/19/2010 | 8/5/2011   | Program Ended |              | 501          | 79            | TAA           |
| 27   | ***-**-XXXX | John Public   | 4/6/2010  | 12/30/2011 | Cannot Locate |              | 505          | 12A           | TAA           |
| 27   | ***-**-XXXX | John Public   | 4/6/2010  | 12/30/2011 | Cannot Locate |              | 501          | 79            | TAA           |
| 27   | ***-**-XXXX | John Public   | 1/28/2011 | 12/30/2011 | Cannot Locate | 09653027     | 220          | 10            | 1E            |
| 27   | ***-**-XXXX | John Public   | 1/28/2011 | 12/30/2011 | Cannot Locate | 09653027     | 210          | 68            | 1E            |
| 27   | ***-**-XXXX | John Q Public | 5/6/2010  |            |               |              | 505          | 12A           | TAA           |
| 27   | ***-**-XXXX | John Q Public | 5/6/2010  |            |               | 09662007     | 123          | 20            | TAA           |
| 27   | ***-**-XXXX | John Q Public | 5/6/2010  |            |               |              | 501          | 79            | TAA           |
| 27   | ***-**-XXXX | John Q Public | 3/10/2011 |            |               | 09653027     | 220          | 10            | 1E            |
| 27   | ***-**-XXXX | John Q Public | 3/10/2011 |            |               | 09653027     | 210          | 68            | 1E            |

Selection Criteria: LWA: All

Location: All  
Event Num: 20090305004  
Event Type: All  
Event Status: All  
Sort Order: LWA, EventNumber

Last Name: All  
First Name: All  
City: All  
Zip Code: All

Report Init Date: 01/01/1900 To: 12/31/9999  
LWA Notified Date: 01/01/1900 To: 12/31/9999  
County Code: All

### Event Status Listing

Report 03/21/2012  
Report 10:29:29 AM  
Report CISDE007

| LWA Event Number | RRUStaff | Event Type    | Event  | 1st Layoff Date | Event Phase                   | Date       | Reason Skipped |
|------------------|----------|---------------|--------|-----------------|-------------------------------|------------|----------------|
| 27 20090305004   | John Doe | Trade<br>WARN | Active | 05/02/2009      | Investigation                 | 03/06/2009 |                |
|                  |          | Trade<br>WARN | Active | 05/02/2009      | Investigation                 | 03/01/2010 |                |
|                  |          | Trade<br>WARN | Active | 05/02/2009      | Investigation                 | 03/10/2010 |                |
|                  |          | Trade<br>WARN | Active | 05/02/2009      | On-site Visit                 | 03/10/2009 |                |
|                  |          | Trade<br>WARN | Active | 05/02/2009      | Pre-Layoff Workshop           | 03/23/2009 |                |
|                  |          | Trade<br>WARN | Active | 05/02/2009      | Pre-Layoff Workshop           | 03/16/2010 |                |
|                  |          | Trade<br>WARN | Active | 05/02/2009      | Pre-Layoff Workshop           | 04/08/2010 |                |
|                  |          | Trade<br>WARN | Active | 05/02/2009      | Pre-Layoff Workshop           | 04/22/2010 |                |
|                  |          | Trade<br>WARN | Active | 05/02/2009      | Readjustment Plan<br>Approved | 06/05/2010 |                |

Binford Tools  
123 W. Main Street  
Plano, IL 60000

Selection Criteria: LWA 27

Event: All  
 Event Status: Closed  
 Event Type: All  
 Sort Order: State, City, CompanyName

Company: All  
 County: All  
 City: All  
 Zip: All

Report Init Date From: 01/01/1900  
 Report Init Date To: 12/31/9999  
 LWA Notified Date From: 01/01/1900  
 LWA Notified Date To: 12/31/9999

**Dislocation Event Master Listing**

Report Date: 03/21/2012  
 Report Time: 11:26:15 AM  
 Report Num: CISDE005

| LWA | Company Name                | Address           | City          | State | Zip   | Event Number | County      | # Affected | Event Status | Event Type |
|-----|-----------------------------|-------------------|---------------|-------|-------|--------------|-------------|------------|--------------|------------|
| 27  | Winfred-Lauder              | 123 S.Main Avenue | Broadview     | IL    | 60155 | 20080805003  | Cook County | 50         | Closed       | Trade      |
| 27  | Binford Tools               | 3200 N 1st Ave    | Chicago       | IL    | 60618 | 20060831003  | Cook County | 114        | Closed       | Trade      |
| 27  | ACME Corp                   | 350 Quincy Street | Chicago       | IL    | 60654 | 20090803001  | Cook County | 66         | Closed       | Trade      |
| 27  | ACME Corp                   | 350 Quincy Street | Chicago       | IL    | 60654 | 20090803L01  | Cook County | 13         | Closed       | Trade      |
| 27  | Vandelay Industries         | 2200 East Drive   | Chicago       | IL    | 60606 | 20100223L01  | Cook County | 10         | Closed       | Trade      |
| 27  | S-Mart                      | 2400 3rd Avenue   | Chicago       | IL    | 60612 | 20091222L01  | Cook County | 3          | Closed       | Trade      |
| 27  | Primatech Paper             | 900 North Drive   | Chicago       | IL    | 60661 | 20091103L01  | Cook County | 4          | Closed       | Trade      |
| 27  | Global Gym                  | 5100 E 9th Street | Chicago       | IL    | 60614 | 20070118001  | Cook County | 75         | Closed       | Trade      |
| 27  | Play Now                    | 700 West Avenue   | Chicago       | IL    | 60628 | 20080603002  | Cook County | 86         | Closed       | Trade      |
| 27  | Kruger Industrial Smoothing | 1234 North Drive  | Chicago       | IL    | 60633 | 20080602001  | Cook County | 67         | Closed       | Trade      |
| 27  | Dunder-Mifflin              | 8400 85th Street  | Franklin Park | IL    | 60131 | 20060927002  | Cook County | 230        | Closed       | Trade      |
| 27  | Initech                     | 999 Polk Drive    | Tinley Park   | IL    | 60477 | 20090731002  | Cook County | 51         | Closed       | Trade      |
| 27  | Initech                     | 999 Polk Drive    | Tinley Park   | IL    | 60477 | 20090803L02  | Cook County | 14         | Closed       | Trade      |

Selection Criteria: LWA: 27  
Year: 2010

Quarter: 1 Last Name: All

First Name: All

|  |   |
|--|---|
| <b>RRU Quarterly Readjustment Detail</b> | Report Date: 03/21/2012<br>Report Time: 11:38:56 AM<br>Report Num: CISDE003 |
|--|---|

| LWA: 27                     |              | RRU Staff: John Doe |        |      |        |           |        |          |        |       |        | Date        | 03/21/2010 | Year: 2010 | Quarter: 1 |         |        |            |        |
|-----------------------------|--------------|---------------------|--------|------|--------|-----------|--------|----------|--------|-------|--------|-------------|------------|------------|------------|---------|--------|------------|--------|
| Company Name                | Event Number | Registrants         |        | Core |        | Intensive |        | Training |        | ITA's |        | Suprtv Svcs |            | NRP        |            | Exiters |        | Entrd Empl |        |
|                             |              | Plan                | Actual | Plan | Actual | Plan      | Actual | Plan     | Actual | Plan  | Actual | Pla         | Actual     | Plan       | Actu       | Plan    | Actual | Plan       | Actual |
| Winfred-Lauder              | 20060831003  | 12                  | -      | 12   | -      | 12        | -      | 0        | -      | 0     | -      | 2           | -          | 0          | -          | 0       | 4      | 0          | 2      |
| Winfred-Lauder              | 20060927002  | 0                   | -      | 0    | -      | 0         | -      | 0        | -      | 0     | -      | 80          | -          | 0          | -          | 10      | 14     | 10         | 11     |
| Binford Tools               | 20070118001  | 11                  | -      | 0    | -      | 0         | -      | 0        | -      | 0     | -      | 3           | -          | 0          | -          | 0       | 2      | 0          | 2      |
| ACME Corp                   | 20071002001  | 2                   | 1      | 2    | 1      | 2         | -      | 2        | -      | 0     | -      | 1           | -          | 0          | -          | 0       | -      | 0          | -      |
| S-Mart                      | 20080107001  | 2                   | -      | 2    | -      | 2         | -      | 0        | -      | 0     | -      | 11          | 5          | 0          | -          | 3       | 7      | 3          | 6      |
| Initech                     | 20080428002  | 2                   | -      | 2    | -      | 2         | -      | 2        | -      | 0     | -      | 2           | -          | 0          | -          | 1       | 2      | 1          | 1      |
| Whadaburger                 | 20080602001  | 2                   | -      | 2    | -      | 2         | -      | 1        | -      | 0     | -      | 2           | -          | 0          | -          | 0       | 2      | 0          | 1      |
| Vandelay Industries         | 20080603002  | 7                   | -      | 0    | -      | 0         | -      | 0        | -      | 0     | -      | 2           | 1          | 0          | -          | 0       | -      | 0          | -      |
| Global Gym                  | 20080613L02  | 5                   | -      | 5    | -      | 5         | -      | 0        | -      | 0     | -      | 3           | 2          | 0          | -          | 0       | -      | 0          | -      |
| Play Now                    | 20080623003  | 2                   | -      | 2    | -      | 2         | -      | 2        | -      | 0     | -      | 30          | -          | 0          | -          | 0       | 5      | 0          | 4      |
| Sterling Cooper             | 20080717001  | 4                   | -      | 4    | -      | 4         | -      | 3        | -      | 0     | -      | 3           | 1          | 0          | -          | 0       | 3      | 0          | 3      |
| Oceanic Airlines            | 20080805003  | 10                  | -      | 0    | -      | 0         | -      | 0        | -      | 0     | -      | 3           | 1          | 0          | -          | 0       | 3      | 0          | 2      |
| Big Kahuna Burger           | 20080930001  | 10                  | -      | 10   | 2      | 10        | -      | 0        | -      | 0     | -      | 6           | 2          | 0          | -          | 0       | 1      | 0          | 1      |
| Cyberdyne Systems           | 20090305004  | 15                  | 5      | 15   | 2      | 15        | 2      | 5        | -      | 0     | -      | 5           | -          | 0          | -          | 0       | 1      | 0          | 1      |
| Kruger Industrial Smoothing | 20090731002  | 4                   | -      | 4    | -      | 4         | -      | 1        | -      | 0     | -      | 0           | -          | 0          | -          | 0       | -      | 0          | -      |
| Primatech Paper             | 20090803001  | 5                   | -      | 5    | 2      | 5         | 2      | 0        | 2      | 0     | 2      | 3           | -          | 0          | -          | 0       | -      | 0          | -      |
| Primatech Paper             | 20090803L01  | 4                   | -      | 4    | -      | 4         | -      | 1        | -      | 0     | -      | 2           | -          | 0          | -          | 0       | -      | 0          | -      |
| Kruger Industrial Smoothing | 20090803L02  | 4                   | 1      | 4    | -      | 4         | -      | 2        | -      | 0     | -      | 0           | -          | 0          | -          | 0       | -      | 0          | -      |
| Kwik-E-Mart                 | 20091019002  | 5                   | 2      | 5    | 3      | 5         | 2      | 2        | -      | 0     | -      | 3           | -          | 0          | -          | 0       | -      | 0          | -      |
| Zonko's Joke Shop           | 20091019003  | 5                   | -      | 5    | 6      | 5         | 5      | 2        | -      | 0     | -      | 2           | 1          | 0          | -          | 0       | 4      | 0          | 4      |

Selection Criteria: LWA: 27  
 Year: 2010 Quarter: 1 Last Name: All First Name: All

|                                     |                          |
|-------------------------------------|--------------------------|
| <b>RRU Quarterly Review Summary</b> | Report Date: 03/21/2012  |
|                                     | Report Time: 12:43:10 PM |
|                                     | Report Num: CISDE002     |

LWA: 27 RRU Staff: John Doe Date 03/21/2012 Year: 2010 Quarter 1

| Company Name                | Event Number | # Affected | Initial Onsite Date | # Wrkshops | Reason Skipped | # Attending | Planned Date |
|-----------------------------|--------------|------------|---------------------|------------|----------------|-------------|--------------|
| Cyberdyne Systems           | 20100319L01  | 16         | 03/19/2010          | 1          |                | 3           | 06/05/2010   |
| Vandelay Industries         | 20100312L01  | 45         | 06/28/2010          | 1          |                | 3           | 06/05/2010   |
| Primatech Paper             | 20100325L01  | 34         | 05/11/2010          | 4          |                | 43          | 06/05/2010   |
| Kruger Industrial Smoothing | 20100311L01  | 19         | 05/18/2010          | 2          |                | 8           | 06/05/2010   |
| Binford Tools               | 20100222L01  | 8          | 02/23/2010          | 2          |                | 3           | 02/06/2012   |
| Winfred-Lauder              | 20100512L01  | 44         | 02/24/2010          | 5          |                | 73          | 02/06/2012   |

Selection Criteria: LWA: 27

Event Type: All  
Event Status: Closed

First Name: All  
Last Name: All

City: All  
Zip: All

Report Init Date From: 01/01/1900  
Report Init DateTo: 12/31/9999

## RRU Staff Report

Report Date: 03/21/2012  
Report Time: 12:47:05 PM  
Report Num: CISDE004

LWA: 27

RRU Staff: John Doe

| Initial Report Date     | 1st Layoff Date | Event Number | Event  | Company Name                | # Affected | Initial Onsite Date | 1st Wrkshp Date | Pre - Layoff Wrkshp | # Attending Wrkshps | Plan Apprv Date | Parti - cipants | Still Active | Trade Impacted | Unions                                       |
|-------------------------|-----------------|--------------|--------|-----------------------------|------------|---------------------|-----------------|---------------------|---------------------|-----------------|-----------------|--------------|----------------|--|
| 12/07/2009              | 06/22/2008      | 20100223L01  | Closed | Winfred-Lauder              | 10         | 01/27/2009          | 01/27/2009      | 1                   | 1                   | 06/05/2010      | 2               | 2            | Yes            |  |
| 12/03/2009              | 10/07/2009      | 20091222L01  | Closed | Binford Tools               | 3          | 12/22/2009          | 12/22/2009      | 4                   | 5                   | 06/05/2010      | 3               | 1            | Yes            |  |
| 10/28/2009              | 07/30/2008      | 20091103L01  | Closed | Play Now                    | 4          | 11/05/2009          | 11/23/2009      | 2                   | 2                   | 06/05/2010      | 2               | 1            | Yes            |  |
| 07/29/2009              | 05/18/2008      | 20090731002  | Closed | Kruger Industrial Smoothing | 51         | 09/01/2009          | 11/02/2009      | 1                   | 4                   | 06/09/2010      | 4               | 1            | Yes            |  |
| 07/29/2009              | 05/18/2008      | 20090803001  | Closed | Sterling Cooper             | 66         | 10/21/2009          | 11/02/2009      | 1                   | 4                   | 06/05/2010      | 1               | 1            | Yes            |  |
| 07/28/2009              | 05/18/2009      | 20090803L02  | Closed | Kruger Industrial Smoothing | 14         | 09/01/2009          | 11/02/2009      | 1                   | 4                   | 06/09/2010      | 1               | 1            | Yes            |  |
| 07/28/2009              | 05/19/2009      | 20090803L01  | Closed | Sterling Cooper             | 13         | 08/07/2009          | 11/02/2009      | 1                   | 4                   | 06/05/2010      | 1               | 1            | Yes            |  |
| 08/04/2008              | 09/30/2008      | 20080805003  | Closed | Initech                     | 50         | 07/16/2008          | 07/25/2008      | 2                   | 39                  | 11/18/2008      | 26              | 3            | Yes            |  |
| 06/03/2008              | 03/07/2008      | 20080603002  | Closed | Vandelay Industries         | 86         | 02/13/2008          | 05/30/2008      | 2                   | 38                  | 11/18/2008      | 39              | 3            | Yes            | United tradeworkers on behalf of Local 9999. |
| 05/08/2008              | 07/04/2008      | 20080602001  | Closed | Global Gym                  | 67         | 04/28/2008          | 05/16/2008      | 2                   | 38                  | 06/13/2008      | 55              | 2            | Yes            | Teamsters Local 714.<br>UAW Local 100        |
| 01/12/2007              | 03/16/2007      | 20070118001  | Closed | Dunder-Mifflin              | 75         | 01/25/2007          | 02/20/2007      | 8                   | 78                  | 05/17/2007      | 46              | 0            | Yes            | Local 222                                    |
| 09/12/2006              | 11/13/2006      | 20060927002  | Closed | S-Mart                      | 230        | 10/13/2006          | 10/19/2006      | 8                   | 322                 | 12/12/2006      | 277             | 0            | Yes            | Local 111                                    |
| 08/25/2006              | 09/15/2006      | 20060831003  | Closed | Primatech Paper Company     | 114        | 08/11/2006          | 08/22/2006      | 6                   | 118                 | 10/09/2007      | 57              | 0            | Yes            |  |
| <b>Total per Staff:</b> |                 |              |        |                             | <b>783</b> |                     |                 | <b>39</b>           | <b>657</b>          |                 | <b>514</b>      | <b>16</b>    |                |  |
| <b>Total per LWA:</b>   |                 |              |        |                             | <b>783</b> |                     |                 | <b>39</b>           | <b>657</b>          |                 | <b>514</b>      | <b>16</b>    |                |  |
| <b>Grand Total :</b>    |                 |              |        |                             | <b>783</b> |                     |                 | <b>39</b>           | <b>657</b>          |                 | <b>514</b>      | <b>16</b>    |                |  |

Selection Criteria: LWA: 27  
 Company: All  
 Sort Order: County, Company Name

City: All  
 Zip: All  
 County: All

Month: All  
 Calendar Year: 2010

|  |   |
|--|---|
| <b>WARN Notification Management Report</b> | Report Date: 03/07/2012<br>Report Time: 5:43:24PM<br>Report Num: CISDE006 |
|--|---|

Calendar Year: 2010 Month: January

Company Name: S-Mart  
 Company Address: 4200 Main Street  
 City, State, Zip: Bronzeville, IL 60000  
 Location Contact: John Doe  
 Telephone: 847-555-1000  
 LWA: 27  
 SIC Description: Grocery Stores

Type of Event: Trade Local  
 Warn Notified Date: NOT PROVIDED  
 First Layoff Date: 10-18-2008  
 # Workers Affected: 9  
 Event Causes: Trade  
 Location SIC: 5411  
 County: Cook County

Company Name: Primatech Paper  
 Company Address: 900 W 89th Street  
 City, State, Zip: Chicago, IL 61000  
 Location Contact: John Public  
 Telephone: 312-555-8000  
 LWA: 27  
 SIC Description: Commercial Printing

Type of Event: Trade Local  
 Warn Notified Date: NOT PROVIDED  
 First Layoff Date: 05-18-2009  
 # Workers Affected: 16  
 Event Causes: Trade  
 Location SIC: 423  
 County: Cook County

**DETS WARN Report by SIC**

Report Date: 03/21/2012  
 Report 1:45:28 PM  
 Report Num: CISDE009

| Company Name        | Address              | Company Contact | Phone          | L<br>W<br>I<br>A | R<br>e<br>g<br>i<br>o<br>n | Event Reason        | WARN Notify Date | First Layoff Date | Work-ers Affect-ed | Rev. Lay-offs | County      | SIC Cod | U<br>n<br>i<br>o<br>n<br>s | # of Union U Names | Evt. Causes |
|---------------------|----------------------|-----------------|----------------|------------------|----------------------------|---------------------|------------------|-------------------|--------------------|---------------|-------------|---------|----------------------------|--------------------|-------------|
| Winfred-Lauder      | Chicago, IL 60000    | Jon Doe         | (312) 555-0000 | 27               | 4                          | Substanti al Layoff | 3/24/2010        | 5/7/2010          | 34                 | 34            | Cook County | 371 4   | Y                          | 1 Local 700        |             |
| Winfred-Lauder      | Chicago, IL 60000    | John Doe        | (312) 555-0000 | 27               | 4                          | Closing             |                  | 11/14/2010        | 11                 | 11            | Cook County | 371 4   | Y                          | 1 Local 700        | Trade       |
| Cyberdyne Systems   | North Park, IL 61000 | John Public     | (708)555-2000  | 27               | 4                          | Substanti al Layoff |                  | 12/1/2009         | 190                | 60            | Cook County | 364 4   | N                          |                    | Trade       |
| Vandelay Industries | Chicago, IL 60000    | John Smith      | (773)555-8000  | 27               | 4                          | Closing             | 1/17/2007        | 3/16/2007         | 75                 | 75            | Cook County | 206 4   | Y                          | 1 Local 800        | Trade       |

|   |  |
|---|--|
| <b>TAA DETS Trade Event Information</b> | Report Date: 03/21/2012<br>Report Time: 1:57:36 PM<br>Report Num: CISTA003 |
|---|--|

**TAW # : [ 62763 ]**

| Event Number           | Location | # of Layoffs | Impact Date | Certification Date | Petition Expiration Date | ATAA Certified | Total # of Participants | Total # of Participants Still Active | SIC Code                                      |
|------------------------|----------|--------------|-------------|--------------------|--------------------------|----------------|-------------------------|--------------------------------------|---|
| 2008060300<br>LWA : 27 | Initech  | 86           | 1/28/2007   | 3/5/2008           | 3/5/2010                 | Y              | 39                      | 3                                    | [ 7373 ] - Computer Integrated Systems Design |

**Total Number of Events for TAW # [ 62763 ] : 1**

**TAW # : [ 63177 ]**

| Event Number           | Location          | # of Layoffs | Impact Date | Certification Date | Petition Expiration Date | ATAA Certified | Total # of Participants | Total # of Participants Still Active | SIC Code   |
|------------------------|-------------------|--------------|-------------|--------------------|--------------------------|----------------|-------------------------|--------------------------------------|--|
| 2008010700<br>LWA : 27 | Cyberdyne Systems | 134          | 1/28/2007   | 3/5/2008           | 3/5/2010                 | Y              | 193                     | 28                                   | [ 8731 ] - Commercial Physical And Biological Research |

**Total Number of Events for TAW # [ 63177 ] : 1**

**TAW # : [ 63289 ]**

| Event Number           | Location       | # of Layoffs | Impact Date | Certification Date | Petition Expiration Date | ATAA Certified | Total # of Participants | Total # of Participants Still Active | SIC Code                                     |
|------------------------|----------------|--------------|-------------|--------------------|--------------------------|----------------|-------------------------|--------------------------------------|--|
| 2008042800<br>LWA : 27 | Primatch Paper | 220          | 4/29/2007   | 5/2/2008           | 5/2/2010                 | Y              | 167                     | 10                                   | [ 2752 ] - Commercial Printing, Lithographic |

**Total Number of Events for TAW # [ 63289 ] : 1**





