Employment and Case Management Services Policy 14-02

Action Item Checklist

Client Name: Click or tap here to enter text. CTHires #Click or tap here to enter text.

INTAKE

1. Was client determined eligible for TAA benefits and a copy of the application and decision letters in the worker's electronic file? Yes ☐ No☐

2. Did client sign the acknowledgement form attesting to reading the Participant's Guide and is there a copy of the form saved to the electronic file? Yes☐ No☐

3. Was the TAA application within CTHires completed? Yes ☐ No☐

4. Was a Benefits Rights Interview (BRI) provided and recorded in CTHires?
Yes ☐ No☐
This can include a review of the Participant's Guide, the BRI PowerPoint presentation, an onsite BRI and answering specific client questions.

5. If a Rapid Response orientation session listed in CTHires for the company, did the worker attend either in-person, virtually or receive printed materials? If so, was the RR activity recorded in the CTHires application? Yes ☐ No☐

Co-enrollment

Was the client co-enrolled with WIOA DLW? Yes ☐ No☐. If no, was the reason documented in CThires case file? Yes ☐ No☐

ASSESSMENTS

1. Was the worker provided with an initial assessment to include forms DOL-128 Yes ☐ No☐, 128A Yes ☐ No☐, DOL-130 Yes ☐ No☐, DOL-54 Yes ☐ No☐, Suitable Employment Worksheet Yes ☐ No☐.

2. As part of the initial assessment process, was a review of local labor market conditions completed to determine if any jobs are available in the local area for which the worker could apply. Yes ☐ No☐. Was this documented in case notes? Yes ☐ No☐. How long has the worker searched for work without any job offers:Click or tap here to enter text.

3. If, after the initial assessment process has been completed and found that there is suitable work available for the worker and no barriers to employment exist, was it explained to the worker that training could not be approved? Yes ☐ No☐.

4. Was the initial assessment activity recorded in CTHIres? Yes ☐ No☐.

5. Where any specialized assessments conducted, including but not limited to COPS? Yes ☐ No☐. Activity code entered in CTHires Yes ☐ No☐.
If yes, was the type of assessment and the reason why the special assessment documented in case notes/electronic file folder? Yes ☐ No☐

6. Was a literacy, numeracy and/or English proficiency assessment provided? If yes, was the reason why it was provided documented in case notes/electronic file folder? Yes ☐ No☐.

7. Were any assessments, including initial, conducted by partner programs, including W/P or WIOA Yes ☐ No☐.

8. Where outcomes/summaries of all assessments, including barriers to employment noted in CTHIres/electronic case file folder? Yes☐ No☐.

9. Was it explained to the client the purpose of assessments? Yes ☐ No☐. If they refused to participate in the assessment process, was it documented in case notes/ electronic file folder and explained that the client will need to provide any necessary information outside the assessment process to make benefit eligibility decisions? Yes ☐ No☐.

Individual Employment Plan

1. Was an IEP and the advantages of developing an IEP made available to the client? Yes☐ No☐.

2. If the client refused to participate in the development in an IEP, was it explained and documented in the case file that they would need to provide sufficient information for the State to make a determination on the six criteria of training approval or the job-search allowance application criteria and that failure to do so will result in denial of the training program or allowance. Yes ☐ No☐.

3. Were both the results of the assessment and a service strategy to provide the client with needed services for reemployment documented in the case file? Yes ☐ No☐.

4. Were all the required elements (below) included in the IEP? Yes ☐ No☐.

- Employment goal
- Type of training proposed, if any
- Services, if any, needed to obtain suitable employment
- Supplemental assistance that may be needed
- Barriers

5. As the TAA counselor to this client, you understand the worker's progress toward meeting the IEP's elements must be monitored and modified as necessary including when there is a change to the approved training program or revisions to receipt of subsistence and transportation payments? Yes☐ No☐. Any modifications and reviews of the IEP must be documented in the client's case file.

Financial Aid Information

1. Was the worker provided with information on how to apply for financial aid and documented in the case file? Yes ☐ No☐

2. Was the worker provided with referral information to educational opportunity centers under the Higher Education Act of 1965 aid and documented in the case file? Yes ☐ No☐.

3. Was the worker notified that they may request financial aid administrators use current year income data, rather than preceding year income data, to determine financial need and documented in the case file? Yes ☐ No☐.

Certain Services to Trade Affected Workers

1. Where specific services, including short-term, prevocational services, including development of learning skills, communications skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct to prepare workers for employment or training offered to the client and entered into CTHires with appropriate service activity codes and case notes if appropriate? Yes ☐ No☐.

Counseling

Was individual and/or group counseling, including job search and placement counseling offered to the client and recorded with the appropriate activity code in CTHires with case notes if appropriate? Yes ☐ No☐.

Labor Market Information

Were employment statistics, including local, regional, and national labor market information provided to the client and documented in the case file? Yes ☐ No ☐.

Supportive Services

Was information about supportive services available through partner programs provided to the client and recorded with the appropriate activity code(s) in CTHires with case notes if appropriate? Yes ☐ No ☐.

Follow-up Services

Was the client provided with follow-up services by TAA and/or partner staff after the completion of training to assist in finding re-employment and documented in CTHires with the proper activity codes and case notes? Yes ☐ No ☐. If no, was the reason explained in the case notes? Yes ☐ No ☐.

Clients should be contacted before training actually ends to begin planning a job search strategy, update resume, provide updated LMI, etc.