

APPENDIX D. DATA COLLECTION INSTRUMENTS

This Appendix is part of the following report:

Rapid Response under the Workforce Investment Act: An Evaluation of Management, Services, and Financing

**Prepared by: Social Policy Research Associates, Oakland, CA
For the Employment and Training Administration, US Department of Labor**

APPENDIX D. DATA COLLECTION INSTRUMENTS

LIST OF INSTRUMENTS:

RAPID RESPONSE - SITE VISIT MASTER PROTOCOL

SITE VISIT - EVENT OBSERVATION PROTOCOL

SITE VISIT - EMPLOYER-UNION PROTOCOL

INNOVATIVE PRACTICES - CASE STUDY TELEPHONE PROTOCOL

STATE RAPID RESPONSE SURVEY INSTRUMENT

RAPID RESPONSE - SITE VISIT MASTER PROTOCOL

The objectives of this evaluation are to understand (1) state and local structure, including strategic alliances that facilitate an integrated early-intervention system that draws on all appropriate Federal, state, regional, and local resources to support economic growth; (2) state and local practices in providing rapid response services, (3) states' use of rapid response funds, (4) the relationship between rapid response activities and outcomes, and (5) their integration with other programs in the One-Stop system.

Site visitors must review the following information about their state before going on site to amplify their knowledge of the state rapid response system and prepare the key questions.

- Rapid response section of the state WIA plan
- Survey responses. Some survey responses should eliminate the need for some protocol questions and set the basis for probing into the underlying reasons for a practice or decision.
- Mass layoff statistics from BLS at <http://data.bls.gov/PDQ/outside.jsp?survey=ml>. Basic data on number of overall dislocations will be extracted by an AA, but the site visitor should look at key industries for the state.
- Overall allocations and expenditures.

Organization/Administrative structure

In this section, we want to identify models for rapid response delivery systems (such as “Integrated System”, “Early Intervention System” or “Stand-alone System”). We also want to assess 1) whether and to what extent the state/locals have an integrated rapid response system and 2) to comment on the implications of that integration or lack thereof for employer and worker outcomes. The questions in this section have these larger issues in mind.

1. Review state structure
 - a. What state agency is Rapid Response in?
 - b. What unit within that agency?
 - c. What other responsibilities, if any, does the RR coordinator have?
 - d. Where do the following programs or entities sit at the state level?

- i. Economic Development
 - ii. ES
 - iii. WIA Title IB
 - iv. Title II (Perkins education funding)
 - v. Community and Technical Colleges
- e. What is the governance structure for these programs/entities? How independent from the state are these entities?
- f. What formal or informal connections exist between the state rapid response unit and these other programs or entities? Provide details (how often meetings occur, who attends; if informal, under what circumstances is information shared, provide examples).
- g. How are these entities involved in planning or providing rapid response services?
- h. How is RR staffed (# of state staff & responsibilities; regional staff)?
- i. What are staff qualifications (One-Stop service, business, or other experience, degree, etc)?
2. What is the balance between state and local responsibility in the rapid response system?
- a. Are there local or regional RR staff?
 - b. What other responsibilities do regional or locally-sited rapid response staff have?
 - c. Who (what programs, administrators or front-line) is on the team?
 - d. What factors determine whether the state rapid response unit provides the early intervention services or whether the locals provide it (e.g. # of workers)?

Partnership

	<u>State</u>	<u>Local</u>
3. What type of agencies most commonly partner with Rapid Response?		
Labor		
Business		
Other state agencies		
Other community-based or non-profit agencies		
4. What are the characteristics of the rapid response partnership at the state and local levels? <i>Note to site visitors: The answers to this question and the next will help us determine "successful models."</i>		

- a. Communication (method, frequency, quality)
- b. Work (who's in charge, how is work is chosen and implemented, etc.)
- c. Politics
- d. Relationships (how deep, do partners work on other efforts together)
5. What factors contribute most to successful partnerships and to challenges? Discuss these factors at both the state and local levels?
 - a. What are promising practices?
 - b. Does a highly integrated model pay off in reaching more customers, providing better service, or both?
 - c. Are there costs associated with maintaining certain partnerships?
 - d. Are there costs associated with missing certain partners?
 - e. Are there partners the state/local area would like to engage that it hasn't—because of funding, willingness, etc?
6. If the state has strong partnerships, how did the state achieve this situation (for example, leadership from governor or staff, agency head, etc, collective effort)?
7. At what point in the process do partners get involved in Rapid Response? Why?
8. What are the roles of partners in Rapid Response? What resources do they bring?
 - a. In strategic planning
 - b. Layoff/closure aversion
 - c. Early placement
 - d. On site adjustment centers
 - e. Links to One-Stop services
9. How do you accomplish the partnerships you have?
10. How do Rapid Response teams interact with outplacement firms?
11. In what circumstances are union representatives members of the rapid response team? How is the rapid response different when union representatives are involved versus when they are not involved?
12. Are rapid response teams linked to any regional or industry-skill initiatives? Why did state rapid response decide to participate? How does this type of collaboration affect rapid response planning and activities?
13. Do you ever—or routinely use—community-based approaches (CBOs or FBOs) or labor-based approaches (labor-management committees) in conducting rapid response?
 - a. Describe the key features of each approach.
 - b. When and why they used?

- c. What do you think makes these different approaches effective or ineffective?
14. Give a few examples of recent rapid response activity where strategic planning was present or lacking.

Financial Systems/Funding

There are two major issues here: large carry-forward amounts in some states and spending on sub-contracts. The first has long been a concern at DOL regarding some states that seem to leave a large amount of funds in rapid response unspent. The reasons for low rates of expenditure are a key research objective. This leads to the following research steps

- *Understand the expenditure pattern by comparing your state's expenditures over all 6 years of WIA operation to the national average and to patterns in comparable states. Understand the expenditures reported in the survey. If the expenditures question was not answered, you want to get the basic information on site. We should distinguish between any carry forward and any money that is lost after the 3rd year.*
- *Although it is unlikely in most states, find out if there are any external contributions in cash or in kind to the rapid response team. If so, provide detail.*
- *Get a complete understanding of how the state manages its funds by following the questions below.*

The second is the sub-contracting issue and what organizations typically receive rapid response funds. This is straightforward. We want to know how much is going to various types of organizations, what the state typically contracts for, the reasons that the state uses certain subcontractors, how the state monitors and evaluates the quality of services provided when subcontracts are used (questions for latter are under partnership). We want to make sure that we are discussing these issues from an evaluation perspective, not an oversight perspective. For example, we would expect that some organizations might be viewed as having more credibility with rapid response customers and thus lead to increased uptake of program services or other adjustment paths. See the research questions.

15. Are the rapid response funds adequate to run the system?
 - a. Are there activities the rapid response team cannot conduct due to lack of funds?
 - b. Have changes in funding levels in recent years affected the services that are provided?
16. How does the state decide how funds should be spent (e.g. does the rapid response team or others review the previous year's expenditures; are a certain amount of funds set aside for each dislocation)?

17. Are local rapid response team members involved in rapid response financial planning?
18. What factors affect the way that the rapid response set aside is managed? (Any other factors besides size and number of dislocations?)
 - a. Is additional financial assistance used as an alternative to NEG's?
 - b. What are the methods for distributing additional financial assistance?
 - c. What factors affect the distribution of additional financial assistance?
 - d. When is an NEG preferable?
19. How does the likelihood of TAA certification and additional funding for training affect rapid response?
20. What organizations receive rapid response funds from the state through a sub-grant or contract? What is the procurement vehicle (*grant or contract*) and process?
 - a. ES, other state agencies, organized labor, business associations, universities, F/CBOs, economic development associations?
 - b. Do some organizations routinely get funds each year? Are these funds provided even if there is no specific dislocation event?
 - c. What role do the contractors or sub-grantees play in rapid response?
 - d. From a strategic or tactical perspective, what does rapid response gain from any contracts or sub-grants?
 - e. Are funds usually provided in a competitive process?
 - f. How does the rapid response team oversee its contracts or sub-grants?
21. Describe any financial contributions, in cash or in-kind staff time towards the rapid response function? (e.g. ES staff assigned to RR team)
 - a. From other public agencies
 - b. From employers, through on-site adjustment centers and time off for workers and managers (consider a single event)

Strategic Vision/System Goals

22. Does the state engage in strategic planning for rapid response? If so, how often? What does strategic planning look like (e.g., annual meeting, written plan with articulated goals)?
 - a. If the state develops specific goals for rapid response, what are the current ones?
 - b. What entities are involved in strategic planning at the state level? (WIA, ES, TAA, Economic Development, Labor, etc.)
 - c. How does strategic planning at the state level fit in with local planning?

23. In general, what are the system-level outcomes you look for because of your rapid response efforts? (e.g., improved connection of workers to the One-Stop; increased # of employers who have a relationship with the state workforce system, etc.)

Services

In this section, we are looking to identify service models, and to evaluate the strengths and weaknesses of various models.

Outreach and Notice

24. Does outreach to employers occur prior to specific dislocations? If so, what outreach activities are conducted?
 - a. At the state level, who is involved in outreach?
 - b. At the local level, who is involved in outreach?
 - c. If no outreach is conducted, why not?
25. How do states typically learn of a dislocation event?
 - a. WARN notice
 - b. Alternative sources. If so, describe.
26. Are there any differences in ability to respond based on how you get notice or how early?

Service Strategy

The emphasis in this section should be to understand 1) how states developing resources to implement its broader partnerships or other strategies and 2) how they are organized to apply those resources as they plan and address specific dislocations.

27. How does the rapid response team develop technical resources to implement strategic goals?
 - a. Use of LMI or other business intelligence to 1) understand the economic context for dislocations and 2) identify potential career paths for dislocated workers
 - b. Use of the public workforce system (recruiting, retraining, incumbent worker services)
 - c. Use of economic development and related organizations
 - d. Relationships with public and private professional services (bankers and other lenders; general management, HR or organization development consultants; specialized consultants who do pre-feasibility buyout studies) that may be useful in aversion strategies
28. How do you apply the technical resources to specific dislocations?

29. How does the rapid response team decide where to hold rapid response events? (What are the possibilities? How common is each?)
30. Does the rapid response team select from among different service strategies when delivering rapid response services?
 - a. If so, what are the options?
 - b. If not, what is the standard service strategy?
31. How does the presence of strategic goals affect the service strategy (or strategies)?
32. What factors lead to a quick rapid response?
 - a. Well-organized team
 - b. Cooperative employer
33. What are the key factors that determine the appropriate service strategy?

Job Seeker Services

Key issues in this section are to find out 1) how and why strategies differ by industry or worker characteristics (or some other variable that we are not expecting), 2) what services the rapid response provides directly, and 3) how the rapid response team works with the One-Stop system?

34. To what extent are rapid response services integrated with the One-Stop system?
35. How do early intervention services differ when delivered by state or local teams?
 - a. Is the speed of response affected?
 - b. Are different groups of partners called on?
36. How does the rapid response team get information about workers? (e.g., worker survey, employer or union records, etc.)
37. Does the rapid response team provide pre-layoff outplacement? (e.g., is the RR team able to access local LMI to get workers jobs at other plants, if the industry is still viable in the region?)
38. What is provided to workers at rapid response meetings (e.g., what information, what services, what referrals, etc.)?
39. Do certain types of customers tend to receive specific sets of services? What types/which services? Consider differences across skill level, age, gender, race/ethnicity.
40. Define the service strategy and actual services provided for the following adjustment paths:
 - a. Job search and outplacement without program enrollment
 - b. Program enrollment
 - c. Layoff aversion or intra-company transfers

- d. Retirement planning
- 41. How do the services that workers need differ by:
 - a. Industry of dislocation
 - b. Geographic location
 - c. Demographics (race/ethnicity, age, gender)
 - d. Job type/skill level
- 42. How do the services that workers actually receive differ by:
 - a. Industry of dislocation
 - b. Geographic location
 - c. Demographics (race/ethnicity, age, gender)
 - d. Job type/skill level
- 43. Are you able to deliver better rapid response services in LWIAs with more integrated services?
- 44. How does the transition from rapid response services to ongoing One-Stop services occur?

Employer Services

A key question for employer services, relating to the worker services, is whether the employer willingness or prior knowledge of rapid response and other workforce investment services affects the take-up of employer services and whether these services are successful. It seems like a key variable in explaining job seeker services and outcomes. For example, we want to write about whether prior familiarity or cooperation provides a critical threshold for more advance notice, quicker response times, greater access to workers, and better outcomes.

- 45. Is rapid response conceived as a predominantly business service?
- 46. What services are provided to employers?
 - a. Does the rapid response unit develop relationships with employers (or employer groups such as trade associations)?
 - b. If aversion strategies are used (at least once in a while), describe these in detail, especially connections to economic development, loans, HR and other organizational consulting, incumbent worker training)
 - c. Does the rapid response unit scan the business environment (for example, background research on key industries) to improve its capacity to serve employers?
- 47. How do states and local areas ensure that services are provided in a way that meets the needs of local-area employers for skilled labor in demand occupations?

48. Do employers tend to have a pre-existing relationship with the state workforce system? The economic development system?
49. Does the rapid response team at the state/local level have a strategy for improving relationships with different types of employers:
 - a. Employers who have no previous relationship to the public workforce system
 - b. Employers who do not give timely notice or who are uncooperative

Data Management/Administrative Data

50. What do you do with the data you collect (manage the rapid response function)?

Outcomes

Job Seeker

51. How much does the state/local know about the outcomes of individual workers receiving rapid response services? *(If the interviewee indicates the state/local does know something specific about outcomes, ask the remaining questions on impacts. If not, skip to the next section.)*
52. What are the characteristics of individuals receiving rapid response services by industry of dislocation, geographic location, demographics, and types of services received?
53. How do outcomes differ across these categories?
54. What services contribute to good outcomes for workers?
55. How do you measure whether you have reached a successful outcome?

Employer

56. What are “good outcomes” for employers (e.g. layoff aversion, maintained production prior to/during layoff, etc.)?
57. What are the characteristics of employers receiving rapid response services by industry of dislocation, geographic location, and types of services received?
58. How do outcomes differ across these categories? For example, do manufacturing employers who receive rapid response services have better outcomes than non-manufacturing employers?
59. What employer services contribute to good outcomes?

System/State

60. What is the desired outcome for each rapid response event from the perspective of workers, employers, and the system (expected answers in process such as timely response and meetings or worker/employer processes, such as worker outcomes such as re-employment or avoiding UI benefits)?

	<u>Workers</u>	<u>Employers</u>
61. How do you measure successful outcomes? For example, does the rapid response team conduct customer satisfaction surveys?		
Used or not (why not)		
Methods (why selected)		
What is done with information		
If customer satisfaction surveys are used, how do customers view rapid response services generally?		
62. How has the rapid response team evolved in recent years (in response to budget factors, strategic decisions, changing economic or other external factors)?		
a. Have new entities become involved? Have some members dropped off?		
b. How has this evolution affected worker and employer outcomes?		
63. Do you use the rapid response data management system/MIS or MIS from One- Stop programs to evaluate the rapid response system and services to customers (workers and employers)? If not, what are the obstacles?		
64. How does the amount of notice that the rapid response team receives from employers affect the ability of the rapid response team to mobilize? How does the ability to mobilize help the rapid response team to meet state goals?		
65. What are the most promising practices in rapid response and early intervention (Make sure to get contact information on any specific site.)?		
66. Compare one of your most successful rapid response events to one of your most challenging? What factors contributed to the success or the problems (e.g. cooperative/uncooperative employers, partners, adequate staffing from local rr team members, union presence, community college involvement, involvement of faith-based groups, etc.)?		
67. What are the implications of a successful or problematic rapid response for job seeker customers? For employer customers?		

SITE VISIT EVENT OBSERVATION PROTOCOL

Site Visitor: _____ Event Date: _____

State: _____ Site: _____

Type of Event: ___ **Employer meeting** ___ **Worker meeting** ___ **Other** _____

Describe the dislocation underlying the meeting.

Industry _____

Company _____

Size _____

Union _____

Worker group _____

Closure or layoff _____

Notice period _____

Describe any background leading up to this event (context, previous meetings or contacts, timeliness, previous decisions about service, etc.). _____

What organizations participate on the rapid response team at the meeting?

State		Local One-Stop		Strategic Partners	
WIA	<input type="checkbox"/>	WIA	<input type="checkbox"/>	Labor	<input type="checkbox"/>
ES	<input type="checkbox"/>	ES	<input type="checkbox"/>	Employer organization	<input type="checkbox"/>
TAA	<input type="checkbox"/>	TAA	<input type="checkbox"/>	Economic development	<input type="checkbox"/>
UI	<input type="checkbox"/>	Adult Ed.	<input type="checkbox"/>	Community college	<input type="checkbox"/>

State	Local One-Stop	Strategic Partners
LMI <input type="checkbox"/>	VR <input type="checkbox"/>	Faith-based organizations <input type="checkbox"/>
Other: _____ <input type="checkbox"/>	Other: _____ <input type="checkbox"/>	Outplacement, employment, or staffing agencies <input type="checkbox"/>
Other: _____ <input type="checkbox"/>	Other: _____ <input type="checkbox"/>	Tribal governments or Native corporations <input type="checkbox"/>
		Federal Agencies <input type="checkbox"/>
		Other: _____ <input type="checkbox"/>

Is there anything notable about the team's staffing? _____

Describe the physical setting for the meeting (location, etc.). _____

What are the objectives of the meeting? _____

Describe the presentation(s) by the members of the rapid response team:

Presenter	Role	Quality	Fulfills Objective
1.			
2.			
3.			
4.			

Presenter	Role	Quality	Fulfills Objective
5.			

Does the meeting succeed in meeting the state's tactical and strategic objectives for the event? _____

Describe the reaction of the workers to the information or proffer of services?

Additional Notes

SITE VISIT - EMPLOYER-UNION PROTOCOL

Select an employer and union official, preferably from the same dislocation. The dislocation and the relationship with the employer and union should typify the state's rapid response system: that is, from an important industry in the local area, have a typical notice period, and not present any excessively contentious labor-management issues.

Context

- Describe the basic facts of the dislocation.

Industry

Company

TAA or NEG

Size

Union

Worker group

Worker characteristics

Closure or layoff

Notice period

Severance agreement

- Describe any rapid response background leading up to this event (context, previous meetings or contacts, timeliness, previous decisions about service, etc.).
- If the outcomes of the rapid response effort are known, describe.

Services

- What were the goals that you had for assisting workers before you were contacted by the rapid response team?
 - Did the rapid response presentations affect your goals?
- Do you have a labor-management committee? If so, describe how the committee was established and how it operates?

- What role do you play in deciding on the basic path that the adjustment effort has taken (re-employment, training, retirement, transfers, etc)?
- What services did the rapid response team provide to workers?
- Did the services meet your expectations?
- What kinds of services do you provide directly to workers (for example, transfers, on-site employment center, equipment, time off, outplacement firm)?
 - How do those services fit together with the rapid response services?
- What role do you play in the early intervention services:
 - Decide on policies to be followed?
 - Work with individual workers to promote their adjustment efforts, including participation in WIA or TAA?
 - Work on directly on intra-company transfers or with the local labor market to facilitate outplacement?
- Have you helped directly in outplacement efforts?

Employer-Specific Questions

- What services, if any, have been provided to you as employer by the rapid response team?
 - How did these services meet your needs
- Had the rapid response team—or any other component of the public workforce system—contacted you before notice was given to offer any workforce services?
- Have there been any difficulties over the way in which services are delivered (for example, between worker adjustment and maintaining production during the notice period)?

INNOVATIVE PRACTICES - CASE STUDY TELEPHONE PROTOCOL

The table below lists the selected states and the promising practice for which they were chosen to be a case study state. The key principle of the interview is to explore the promising practice through the lens of one or two recent dislocations/closures. The respondent should have been instructed to select the case study examples prior to the actual phone interview.

State	Category	Promising Practice
ME	Organization	Community Response Team
TN	Aversion	Aversion
NC	Outplacement	Outplacement
MS	Enrollment	Mobile unit
CO	Outplacement	Outplacement
MI	Aversion Outplacement	Multiple practices
IL	Duration	Rapid response stays responsible
	Enrollment	Enrollment-peer counseling

All Practices

Background on the Structure and the Case

68. Obtain basic information about the structure of the Rapid Response team. [This should involve simply confirming information that we have from the survey.]
 - Organization: #1-3 agencies represented on Rapid Response team
 - Funding: #4-7
69. Have the respondent provide basic event information about the layoff (or layoffs) they have chosen to feature:

Company

Industry

Location (city)

Layoff or closure

of workers laid off

Layoff all at once or in waves

Date notified (WARN or other)	
Date employer presentation	
Date(s) worker presentation(s)	
Date rapid response ended	
Primary services provided to employer	
Primary services provided to workers	

70. Please describe the rapid response with particular emphasis on the promising practice as it was deployed during the selected example.
- a. Who initiated the practice?
 - b. If the practice involves coordination with partners:
 - i. Which partners were involved?
 - ii. What was the nature of partner involvement (do partners contribute time, resources—cash or in kind, staff, etc.)?

Economic Development

71. At any point in the process of the layoff did economic development get involved in the rapid response? If yes,
- What entity or entities became involved?
 - Why did involvement start when it did?
 - How did the presence of economic development partners on the team affect services to job seekers? To employers?
 - Did economic development partners help with:
 - ~ Training opportunities for an expanding or new company moving in?
 - ~ Immediate or later employment for an expanding or new company moving in?
 - ~ Layoff aversion expertise (with the help of LMI?) for the layoff company?
 - ~ Help establish industry commission to monitor local/state industries—outgoing and incoming?
 - ~ Help ensure that services are provided that meet the needs of local-area employers or regional industries for skilled labor in demand occupations?
 - ~ Orchestrate customized training or incumbent worker training for potential dislocated workers (or other aversion techniques)?
72. Are rapid response teams linked to any regional or industry-skill initiatives? Does this have any bearing on the promising practice/dislocation in question? If yes, give examples.

73. *Ask this question of states that have a WIRED grant: (ME, TN, NC, MS, CO, MI):*
Is rapid response in DOL's WIRED initiative? To what degree? Does this have any bearing on the promising practice/dislocation in question? If yes, give examples.
74. In general, do partnerships (economic development and others) help with business customer acquisition?

Specific Practices

The following sub-sections refer to one of five categories of promising practice that we identified. Match the category to the state and ask the respondent only those questions that pertain to the category for which the state has been selected.

Aversion

75. How much rapid response money has the state planned for aversion purposes?
76. How much WIA (specify rapid response or other) or other funds are spent on incumbent worker training to avoid a layoff?
77. Did the rapid response team counsel work share or employee ownership?
78. Are there other layoff-aversion strategies?

Organization

79. How does the community transition team contribute to a successful rapid response effort?
80. How would the team be less effective if any one partner was not represented? Give examples.
81. What role did each member of the team play during the dislocation in question?
82. Did the rapid response team do anything to create job openings and revitalize local communities in the wake of a layoff or plant closure (such as help establish "community renewal response teams" to generate revolving loan or capital funds, or community development finance institutions)?

Outplacement

Outplacement is defined as placing people before they get laid off or very early after layoff.

83. What partnerships facilitate high rates of outplacement?
84. What specific method did the Rapid Response team use to accomplish outplacement in this example (e.g. provide connections to outplacement firms)?
85. What was the result?
 - a. How many/what percentage of workers were placed?
 - b. What relationships were formed with employers?

- c. How much money did outplacement save the UI system?
86. Did the rapid response team do anything to create job openings and revitalize local communities in the wake of a layoff or plant closure (such as help establish “community renewal response teams” to generate revolving loan or capital funds, or community development finance institutions)?

Duration

87. How did the transition team stay involved with individual workers for the duration of their transition when there are so many workers transitioning at so many different rates?

Enrollment

88. What is the goal of enrollment (the One-Stop system in general; program-specific, such as WIA or TAA; coenrollment in more than one program)?
89. What practices or strategies from the rapid response team promoted enrollment in the example in question?
90. Does the method work better for some kinds of enrollment than others? Did the Rapid Response teams assess the needs and select a method based on the assessment results? (Alternatively, is the method always used?)
91. If the method is peer workers, how does their role differ from that of the rapid response team or other workforce investment system staff? Describe their specific roles and responsibilities and what they accomplished. For example, are they responsible for planning the workshop schedule, creating flyers advertising the different kinds of services, or do they just hand out flyers?

Lessons Learned

92. How did you evaluate whether use of the practice was successful in this example?
93. Are there things about the practice that you plan to do differently next time (or that have been made since this example)?
94. Did the use of the promising practice in the selected example lead anywhere? Did it change the Rapid Response or workforce development system?
95. How does the filling of jobs contribute to the workforce development system? Does it create new customers?
96. Are there any other respondents who might be able to provide other details that would be essential to our understanding about the practice?

STATE RAPID RESPONSE SURVEY INSTRUMENT

The U.S. Department of Labor's Employment and Training Administration (ETA) has contracted with Social Policy Research Associates (SPR) to study the rapid response system. [Training and Employment Notice 23-06](#), issued February 23, 2007, describes the overall research project. This study includes a survey of the rapid response coordinators in each state. Your responses will provide essential information on the operation of the nation's rapid response system. SPR will also conduct site visits to 9 states (including a local portion of the visit) and collect administrative data on rapid response from 9 states. The information collected will go into a report that is due to ETA in March 2008.

The survey has 27 questions covering the full range of topics in rapid response. We estimate that it will take you 75 minutes to complete. There is no capacity to save your work, so you should allow enough time to complete the survey in one sitting. It may be prudent to print out the survey and obtain any necessary information or ask a clarifying question before beginning. Click the submit button when finished.

If you do not know the answer to a question immediately or cannot obtain the answer with very quick research, an estimate is acceptable. If you cannot provide a reasonable estimate, skip to the next question.

Thank you for taking this survey. If you have any questions about specific issues in the survey instrument or about the research project as a whole, please call Jeff Salzman at 510-763-1499, ext. 629 or email Jeff_Salzman@spra.com.

Contact Information

State*:

Name*:

Position:

Agency:

Division:

Phone Number: - - ext.

Email Address:

* - indicates required field

Organization

1. What conditions trigger a state-level rapid response deployment? (Check all that apply.)

- a) No size limitation, state leads all rapid response
- b) Size limitation (select one)
 - i. Layoff of 50 or more
 - ii. Layoff of to 49
- c) Significant economic impact on the local community
- d) Other, describe:

Please limit your response to 50 words (300 characters).

2. For dislocations that are a state-level responsibility, which statement best describes the level of local involvement by WIA, ES, or other One-Stop staff in the rapid response function in your rapid response system? (Select the statement that best applies.)

- a) Local staff play no direct role on rapid response teams until One-Stop services begin
- b) Local staff participate on state-led rapid response teams
- c) Local staff are jointly responsible with state staff for organizing the rapid response
- d) Local staff are wholly or primarily responsible for rapid response
- e) Other, describe:

Please limit your response to 50 words (300 characters).

3. Check the agencies represented on the rapid response team for the required rapid response function. (You can check both columns.)

•Check “Col. 1: Participates in Planning and Rapid Response” if staff are

involved (full- or part-time) in both planning (on a strategic or tactical basis) and in rapid response events.

- Check “Col.2: Participates in Rapid Response Events Only” if one or more staff members only represent their program in rapid response events.
- Enter the number of staff who have Full-Time Equivalents (FTEs) that are involved in Col. 1: Planning and Rapid Response Events..

	Participates in		Number of FTEs Involved in Planning & Rapid Response (Col. 1)
	Col.1: Planning & Rapid Response Events	Col. 2: Rapid Response Events Only	
One-Stop Partners			
a) Dislocated Worker Unit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
b) Other WIA: <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
c) ES	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
d) UI	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
e) TAA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
f) Vocational Rehabilitation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
g) Adult Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
h) Economic Development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
i) Labor Market Information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Others			
j) Labor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
k) Employer-Business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
l) CBO-FBO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
m) Other: <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
n) Other: <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>

Funding

For the questions that require a dollar amount, estimates are acceptable.

4. How does the state manage its rapid response funds? (Check all that apply.)

- a) Sets aside the maximum of 25 percent every year

Below are potential scenarios that raise financial management issues:

- b) Beginning-of-the-year strategies

- i. Manage funds at the beginning of the year to ensure that funds remain at the end of the year or are available to carry into the following year
- ii. Spend funds as dislocations occur and rely on NEG's to meet subsequent needs
- iii. Other, describe:

Please limit your response to 50 words (300 characters).

- c) End-of-the-year strategies if the number of dislocations is relatively low and funds remain available
 - i. Carry the money forward to the next year
 - ii. Use the money for additional financial assistance to LWIAs (including any mid-year awards)
 - iii. Use the money for optional rapid response activities (including mid-year activity)
 - iv. Transfer the money to another WIA activity
 - v. Other, describe:

Please limit your response to 50 words (300 characters).

- d) Any other scenario that reflects a situation that has affected your state. Describe the circumstances and your management response:

Please limit your response to 50 words (300 characters).

5. What is the baseline amount that is needed to finance the required rapid response and early intervention services in an average year (for example, the typical number of dislocations of typical complexity and cost)?

\$ in average year

6. Funds Available for Rapid Response:

What is the total amount of money available for rapid response from all sources?

- Enter “0” if there are no funds available on that line.

- Rough estimates of non-WIA funds are expected. If a rough estimate is not feasible, enter “NA.”

WIA State Reserve Funds	PY 05	PY 04
a) Amount of rapid response funds set aside from the allotment, (including unexpended funds from preceding years)	<input type="text"/>	<input type="text"/>
b) Governor's 15% reserve from dislocated worker funding stream obligated for a rapid response activity	<input type="text"/>	<input type="text"/>
c) Any other WIA funds available for rapid response through transfers or waivers	<input type="text"/>	<input type="text"/>
d) Rapid response funds transferred to support other WIA activities (If applicable, enter a negative number)	<input type="text"/>	<input type="text"/>
Other Sources		
e) Cash obligated from other state agencies for rapid response activities	<input type="text"/>	<input type="text"/>
f) Other funds:	<input type="text"/>	<input type="text"/>
<div style="border: 1px solid gray; height: 80px; width: 100%;"></div>		
Total:	<input type="text"/>	<input type="text"/>

7. Sub-Grants and Sub-Contracts:

If you sub-contract or sub-grant rapid response funds, please fill in the table below.

If not, [click here to skip to question 8.](#)

- Use amount of funds obligated to a sub-contract or sub-grant.
- Do not enter information for other agencies with staff that charge their time directly to the state's rapid response fund.
- States that delegate rapid response to their LWIAs do not have to report these grants.

	Name of Organization <small>(for example, State Labor Federation or State Chamber of Commerce)</small>	Amount Obligated in PY 05	Responsibility of Recipient <small>Please limit your response to 35 words (200 characters)</small>	Method of Oversight
a) ES	<input type="text"/>	<input type="text"/>	<input type="text"/>	- select one - <input type="button" value="v"/>
b) Other State Agencies	<input type="text"/>	<input type="text"/>	<input type="text"/>	- select one - <input type="button" value="v"/>
c) Organized Labor and Affiliates	<input type="text"/>	<input type="text"/>	<input type="text"/>	- select one - <input type="button" value="v"/>
d) Business Associations	<input type="text"/>	<input type="text"/>	<input type="text"/>	- select one - <input type="button" value="v"/>
e) Universities or other Research Organizations	<input type="text"/>	<input type="text"/>	<input type="text"/>	- select one - <input type="button" value="v"/>
f) Community-based or Faith-based Organizations	<input type="text"/>	<input type="text"/>	<input type="text"/>	- select one - <input type="button" value="v"/>

g) UI	<input type="text"/>	<input type="text"/>	<input type="text"/>	- select one -
h) Economic Development Organizations	<input type="text"/>	<input type="text"/>	<input type="text"/>	- select one -
i) Other :	<input type="text"/>	<input type="text"/>	<input type="text"/>	- select one -
Total:			<input type="text"/>	

8. Expenditures:

What percentage of the total amount of rapid response funds available (from question # 6) were spent (accrued expenditures) on the following activities in PY 05?

	Percent Expended in PY 05	Percent in PY 05 is
a) State-level staff salaries and other ongoing expenses (such as travel, space, computers, etc.)	<input type="text"/> %	- select -
b) Support LWIA rapid response activity through sub-grants or sub-contracts	<input type="text"/> %	- select -
c) Sub-grants and sub-contracts (amount from question 7)	<input type="text"/> %	- select -
d) Operating labor-management committees, peer counseling, on-site adjustment centers, pre-feasibility studies and other activities to support specific dislocations	<input type="text"/> %	- select -
e) Additional financial assistance to LWIAs (grants for specific dislocations or added to formula funds)	<input type="text"/> %	- select -
<input type="checkbox"/> Check if any funds are transferred to the LWIAs or reported as part of the LWIA formula allocation		
f) Support for rapid response strategic goals. [Rapid response strategic goals include—but are not limited to—sector initiatives, industry or regional layoff aversion (not including specific plants where notice has already been given), and promoting local or regional economic development.]	<input type="text"/> %	- select -
g) Other required and allowable statewide activities	<input type="text"/> %	- select -
Total:		<input type="text"/> 100 %

System Goals

9. Do you generally engage in strategic planning (for example, engagement with economic development or business groups, coordination with another agency, extensive use of LMI) for rapid response?

Yes, the state does **if** check all the agencies involved in strategic planning and identify their role:

strategic planning (check either or both): **yes,**

<input type="checkbox"/> On system wide basis	<input type="checkbox"/> a) Regional economic development	Role Played in Rapid Response a)
<input type="checkbox"/> For specific dislocations	<input type="checkbox"/> b) Industry-skill initiatives (for example, health care, high-tech manufacturing, etc.)	b)
	<input type="checkbox"/> c) Labor market information	c)
	<input type="checkbox"/> d) Trade associations	d)
	<input type="checkbox"/> e) Staffing or employment agencies	e)
	<input type="checkbox"/> f) Other:	f)
	<input type="text"/>	
	<input type="checkbox"/> g) Other:	g)
	<input type="text"/>	

No, the state does not generally initiate strategic planning. **If no,** check the box that best describes the state's strategic planning situation:

<input type="checkbox"/> a) The state is developing its strategic planning capability for rapid response.
<input type="checkbox"/> b) Any strategic planning occurs on a local basis
<input type="checkbox"/> c) No state strategic planning effort is envisioned

10. This question concerns strategic goals.

If the state has no strategic goals or its sole goal is to facilitate locally-developed strategies, [click here to skip to question 11.](#)

Please rank your strategic goals for rapid response from 1 to 7 (to 8 or 9 if other goals pertain), with 1 being most important.

In determining relative importance, consider the effective priorities that might occur when these goals may conflict with one another (for example, pre-layoff outplacement may conflict with the employer's desire to maintain the workforce during a notice period).

a)	<input type="text" value="- select one -"/>	Averting the layoff through assistance to the employer, facilitating a buyout, or other means
b)	<input type="text" value="- select one -"/>	Increasing the employment and earnings of dislocated workers
c)	<input type="text" value="- select one -"/>	Reducing the receipt of UI benefits
d)	<input type="text" value="- select one -"/>	Assisting the layoff employer in maintaining production during a

notice period

e) Promoting local or regional economic development through outplacement or re-training

f) Promoting workforce policies in key industries

g) Facilitating enrollment in One-Stop programs

h) Other:

i) Other:

11. Some rapid response teams try to promote early re-employment when they know of an imminent job loss. Describe briefly how your rapid response team facilitates any local response to promote early re-employment of dislocated workers before they become unemployed.

Please limit your response to 165 words (1000 characters).

12. Do you commonly use other resources in a community, besides those directly within the workforce investment system, to support a rapid response deployment? (Check all that apply.)

Role Played in Rapid Response
Please limit your response to 50 words
(300 characters)

a) <input type="checkbox"/>	Labor organizations	<input type="text"/>
b) <input type="checkbox"/>	Business organizations (for example, chamber of commerce or industry associations)	<input type="text"/>
c) <input type="checkbox"/>	Community-based organizations	<input type="text"/>
d) <input type="checkbox"/>	Elected officials	<input type="text"/>
e) <input type="checkbox"/>	Regional or other economic development organizations	<input type="text"/>
f) <input type="checkbox"/>	Faith-based organizations	<input type="text"/>

- g) Outplacement, employment, or staffing agencies
- h) Tribal governments or Native corporations
- i) Federal Agencies
- j) Other:

Early Intervention Services

13. What is the typical number of days of advance notice that companies provide, regardless of WARN?
 days *If you have already calculated an average, please enter it.*
If not, enter a number that best represents the situation in your state.

14. What percentage of all companies to which the state has provided rapid response (regardless of WARN) provides advance notice of a layoff or closing?

Of All Companies

Some notice:	<input type="text"/>	%
No notice:	<input type="text"/>	%
Total:	100	%

Of companies providing some notice, percent giving

a) 60 days or more notice	<input type="text"/>	%
b) 1 to 59 days notice	<input type="text"/>	%
Total:	100	%

15. Is the typical notice that you receive sufficient to achieve the goals of your rapid response system?
 Yes No

16. How many rapid response deployments did you conduct over the last three program years?

	PY 05	PY 04	PY 03
State	<input type="text"/>	<input type="text"/>	<input type="text"/>
Local	<input type="text"/>	<input type="text"/>	<input type="text"/>

17. On average, how quickly does rapid response occur?
 a) Typical number of calendar days from notice to the initial meeting with the employer: days
 b) Typical number of calendar days from the initial employer meeting to the first meeting with workers: days

c) Typical number of weeks for which the rapid response team is responsible for coordinating adjustment efforts: weeks

18. Describe the use and success you have had with the following services during rapid response:

Workers	Frequency of Use	Typically Successful
a) Aversion	- select one - <input type="button" value="v"/>	- select one - <input type="button" value="v"/>
b) Worker survey	- select one - <input type="button" value="v"/>	- select one - <input type="button" value="v"/>
c) Pre-layoff outplacement	- select one - <input type="button" value="v"/>	- select one - <input type="button" value="v"/>
d) Labor-management committees	- select one - <input type="button" value="v"/>	- select one - <input type="button" value="v"/>
e) Peer counseling	- select one - <input type="button" value="v"/>	- select one - <input type="button" value="v"/>
f) On-site adjustment center	- select one - <input type="button" value="v"/>	- select one - <input type="button" value="v"/>
g) Referral to One-Stop services by scheduling an appointment for orientation or with a counselor	- select one - <input type="button" value="v"/>	- select one - <input type="button" value="v"/>
h) Other: <input type="text"/>	- select one - <input type="button" value="v"/>	- select one - <input type="button" value="v"/>
Employers		
i) Aversion	- select one - <input type="button" value="v"/>	- select one - <input type="button" value="v"/>
j) Incumbent-worker training	- select one - <input type="button" value="v"/>	- select one - <input type="button" value="v"/>
k) Human-resource consulting	- select one - <input type="button" value="v"/>	- select one - <input type="button" value="v"/>
l) Connections to other management consulting	- select one - <input type="button" value="v"/>	- select one - <input type="button" value="v"/>
m) Other: <input type="text"/>	- select one - <input type="button" value="v"/>	- select one - <input type="button" value="v"/>

19. Is rapid response effective in facilitating worker services through the following adjustment paths?

a) Job search and outplacement (without program enrollment)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> No effect
b) Program enrollment	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> No effect
c) Intra-company transfers	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> No effect
d) Retirement planning	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> No effect

20. What do employers cite as the most important aspect of rapid response?

Please limit your response to 165 words (1000 characters).

21. What industries are most effected by dislocations in your state ?

	PY 05	PY 04
a) Trade-related manufacturing	<input type="text"/> %	<input type="text"/> %
b) Non-trade manufacturing	<input type="text"/> %	<input type="text"/> %
c) Military base realignment or closures	<input type="text"/> %	<input type="text"/> %
d) <input type="text"/> other industry 1	<input type="text"/> %	<input type="text"/> %
e) <input type="text"/> other industry 2	<input type="text"/> %	<input type="text"/> %
f) All other dislocations	<input type="text"/> %	<input type="text"/> %
Total:	100 %	100 %

Data Management

22. What information do you maintain in your rapid response management information system?

(Check all that apply and indicate how the information is maintained.)

	Check if collected	Paper or Computerized (mark P or C)	
a) Rapid response event and employer contact information	<input type="checkbox"/>	<input type="checkbox"/> P	<input type="checkbox"/> C
b) Number of workers affected	<input type="checkbox"/>	<input type="checkbox"/> P	<input type="checkbox"/> C
c) Type of industry (NAICS or descriptive)	<input type="checkbox"/>	<input type="checkbox"/> P	<input type="checkbox"/> C
d) Unionized facility	<input type="checkbox"/>	<input type="checkbox"/> P	<input type="checkbox"/> C
e) General description of worker characteristics (for example, high proportions of workers with barriers (LEP, disabled, older workers, literacy)	<input type="checkbox"/>	<input type="checkbox"/> P	<input type="checkbox"/> C
f) TAA petition filed or expected	<input type="checkbox"/>	<input type="checkbox"/> P	<input type="checkbox"/> C
g) First meeting date with employer	<input type="checkbox"/>	<input type="checkbox"/> P	<input type="checkbox"/> C

- h) First meeting date with workers P C
- i) Services provided during rapid response P C
- j) Expected or actual number of workers to be served P C
- k) Individually-identifiable participants served by particular a rapid-response deployment (including records maintained in a Wagner-Peyser system) P C

23. Will you permit SPR to collect and analyze recent data for this project?

Yes No

System Outcomes

24. How do you evaluate the effectiveness of individual rapid response deployments? (Check all that apply.)

If you **do not** evaluate deployments, check here and [go to question 25.](#)

- a) Surveys of employer customers or local union officers
- b) Surveys of dislocated worker customers
- c) Review of rapid response case files or administrative data
- d) Review of administrative data (for example, UI, Wagner-Peyser, WIA, TAA)
- e) Interviews with employer and local union officers
- f) Interviews with LWIA and local economic development officials
- g) Analysis of labor market and other economic information
- h) Through a formal process with established goals and metrics. Please describe:

- i) Other:

25. Do you expect any significant change in the delivery and receipt of rapid response services? If so, what factors are causing the change?

No [If no, go to question 26.](#)

Yes Expected change:



Please limit your response to 165 words (1000 characters).

Factor responsible :



Please limit your response to 165 words (1000 characters).

26. What is the most significant challenge affecting the state's rapid response program?



Please limit your response to 165 words (1000 characters).

27. What can ETA do to assist you in administering the rapid response program in your state (for example, develop more products, provide on-site technical assistance, additional funding)?

Please limit your response to 165 words (1000 characters).

END. Please click the “submit” button below to complete this survey.

Thank you for completing this survey.