



Central Western Maine Workforce Development Board

February 10, 2021

Topic: Operational Committee Meeting
Time: 8:30-10:00 am
Call: 1 (929) 205 6099
Meeting ID: 856 806 3574
Zoom in: <https://us02web.zoom.us/j/8568063574>
Operational Committee Room

1. Minutes Review
2. Corporate By-laws & Amendment, Chair
3. New DOL **One Workforce System** (and what that means) TEN PY 13-20
4. One Workforce (One Stop Operator) System Coordination
5. MOU & Infrastructure Cost Sharing Agreement
6. Local Plan Update – more new requirements but new reduced timeline
7. Budgetary Additions, Revisions or Updates
8. Update on Programs & Challenges
9. [Annual Schedule on Website, https://cwmwdb.org/aboutus/upcoming-meetings/](https://cwmwdb.org/aboutus/upcoming-meetings/)
10. [New Online Quarterly Reporting https://docs.google.com/document/d/190hm1L_FLscUSN7ZDlayjLgTc_MhcNduc0zFGXPc9sw/edit?usp=sharing](https://docs.google.com/document/d/190hm1L_FLscUSN7ZDlayjLgTc_MhcNduc0zFGXPc9sw/edit?usp=sharing)

Invited: Public Meeting; Craig Nelson, Dale Morrell, Kelly Aho, Razell Ward, Grant Provost, Stacy Kilroy, Paul Karns, Erica McCarthy Susan Cerini, Jon Farley, Tom Fernands, Sara McLaughlin



EC: Operational Second January Meeting Minutes — 1/20/2021

Zoom Meeting <https://us02web.zoom.us/j/8568063574>

Meeting ID: 856 806 3574

The meeting was called to order by the Chair. The ED noted that this was a supplemental meeting to accommodate members who were unable to attend the prior week.

The motion to appoint Kelly Aho as treasurer was advanced and approved. Nelson questioned committee planning and the status of the bylaws. Kilroy clarified that the Youth committee was no longer required by WIOA but agreed that one could be maintained should the Board agree on a need for such.

Program updates were provided by Susan Cerini and Jon Farley. EMDC is currently filling out workforce development staffing with positions filled in Lewiston, Rumford, and Franklin. Vacant positions remain in Kennebec but are expected to be filled soon. Staff are being trained, particularly on compliance and processes, and Tom Fernand is working on staff and system reporting. Cerini also shared ongoing program success stories. According to Farley, programs are meeting or exceeding 12 success markers. Enrollments and expenditures are currently lagging, however, particularly in terms of youth programs.

Stacy Kilroy provided plans for future reporting, possible staffing changes, and fund transfers to Northeastern region to meet statewide programmatic funding requirements. SK also presented the Premier Virtual hiring platform. Brief discussion ensued and ended with board approval of the contract.

SK introduced a motion to expand the board from 21 to 23 members to accommodate an existing board member who wishes to remain on the board. Proposed new board members include Dr. Josh Henry (GO-Labs), Jon Farley (EMDC), and Cathy Witherspoon (Sugarloaf/Boyer). The motion passed.

With no further business, the meeting was adjourned.



Program Milestones

- MOU & IFA
- Local Plan – 4 year
- ✓ Certification of One-Stop System – now called *One Workforce*
- ✓ One-Stop Operator Selection by Bid – now called *One Workforce Operator*
- ✓ Youth Services Procurement
- ✓ Program & Accessibility Assessment
- ✓ Board WIOA Compliance
- ✓ Monitoring Service Provider



One Workforce

The *One Workforce* approach, endorsed and recommended by multiple federal programs, fosters greater collaboration, integrated service delivery, shared data, and leveraged resources that leads to positive employment and training outcomes for customers.



One Workforce Goal

Improved employment and training outcomes through **stronger connections** between the training offered through the workforce system and the training needed by employers. .



One Workforce System

US DOL ONE WORKFORCE GOALS

- Shared data for effective decision making and enhanced data collection and analysis to support program operations;
- Leveraged resources across the programs

LOCAL ACTION

Memorandum of Understanding

- List Partners
- Creates communication channels
- Designates points of contact for
 - Signatory, On the Ground, Budget
- Describes referral process
- Describes services
- Lists access locations
- Benchmarks Coordination

Infrastructure Cost Sharing Agreement

- IFA process provides a way to discuss what resources and be leveraged



One Workforce

US DOL ONE WORKFORCE GOALS

- Systemic collaboration of key workforce system partners to take a comprehensive approach to assessing and **addressing customer needs** and **removing barriers** to employment;
- Integrated service delivery that provides **seamless and comprehensive services** to customers;

LOCAL ACTION

One Workforce Operator Coordination

System Meetings (fka One Stop Operator)

- EMDC Lead Operator role - WIOA required
- EMDC Operator role is required by Federal Government to bid every 3 years

Local Plan

- Advanced workforce data
- Focus Groups
- Customer Satisfaction Surveys
- Business Surveys
- Interviews of key stakeholders
- Travel Pattern Analysis in each area



MOU Minimum - WIOA

Pursuant to 20 CFR 678.500, each local MOU must (at a minimum) include:

1. A description of the services that will be made available through the system and ways services will be coordinated and delivered by the partners
2. Agreement on funding the costs of the services & operating of the system, including:
 - Funding of infrastructure costs of the one-stop comprehensive center and of the shared services and operating costs of the one-stop delivery system.
 - Methods for referring individuals between the one-stop partners for appropriate services and activities;
 - Methods to ensure the needs of workers, youth, and individuals with barriers to employment, including individuals with disabilities, are addressed in providing access to services, including access to technology and materials that are available through the one-stop delivery system;



MOU w/MDOL additions 100 pages

- Local Area Vision/Mission/Goals
- Legal Authority, Components of this MOU, Duration, Amendment Procedures,
- Dispute Resolution, Termination
- System Structure & Services
 - American Job Centers
 - o Comprehensive One-Stop
 - o Affiliate One-Stop
 - o Specialized One-Stop Center
 - One -Stop Operator
 - Partners
 - o Partner Roles & Responsibilities
 - o Partner Commitments
- System Services & System Operating Costs

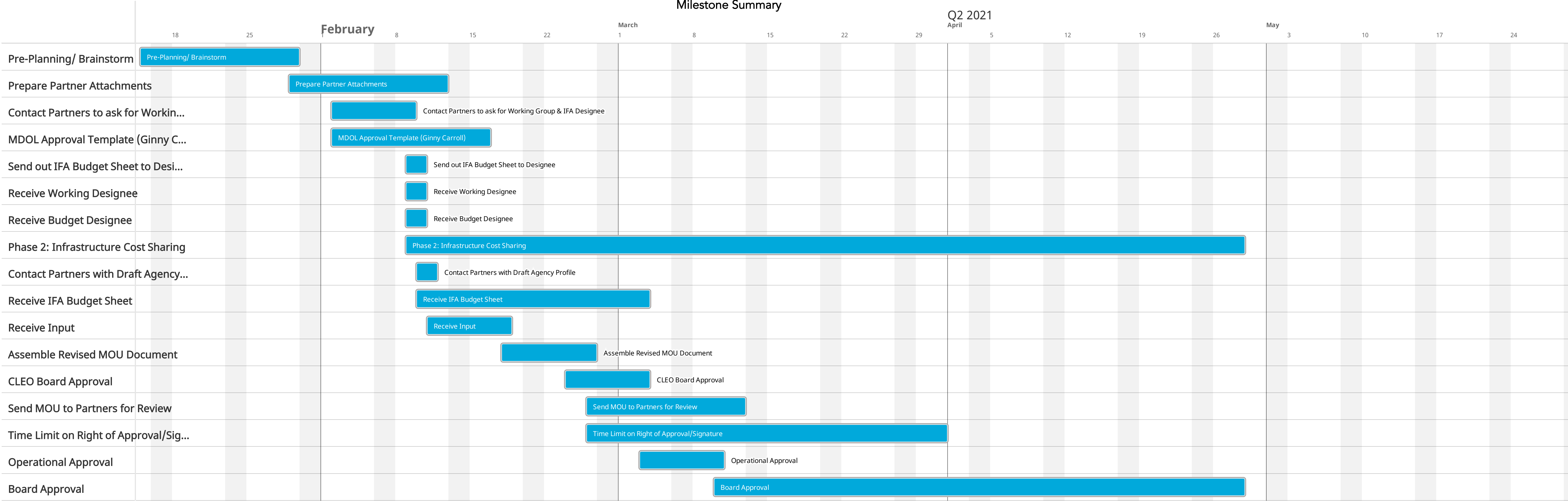
Other Terms and Conditions

- Data Sharing and Protection of Personally Identifiable Information
- Confidentiality
- Accessibility
- Monitoring and Evaluation
- Nondiscrimination and Equal Opportunity Compliance
- Indemnification
- Severability
- Priority of Service
- Governing Law
- System Services by Partner
- Local Areas Operating Costs & Cost Sharing Agreement
- State Workforce Development System Org Chart

CWMWDB 2021 MOU & IFA Milestone Summary

	A Milestone	31 Start Date	31 End date	Status	Group
1	Pre-Planning/ Brainstorm	1/15/2021	1/29/2021	Done	Staff +OSO+ Board members
2	Prepare Partner Attachments	1/29/2021	2/12/2021	In progress	Staff
3	Contact Partners to ask for Working Group & IFA Des...	2/2/2021	2/9/2021	Todo	Staff
4	Receive Budget Designee	2/9/2021	2/10/2021	Todo	Budget Designee Signatory
5	Receive Working Designee	2/9/2021	2/10/2021	Todo	Working Designee Signatory
6	MDOL Approval Template (Ginny Carroll)	2/2/2021	2/16/2021	Todo	Staff
7	Contact Partners with Draft Agency Profile	2/10/2021	2/11/2021	Todo	Staff
8	Receive Input	2/11/2021	2/18/2021	Todo	Staff Working Designee
9	Assemble Revised MOU Document	2/18/2021	2/26/2021	In progress	Staff
10	Send MOU to Partners for Review	2/26/2021	3/12/2021	Todo	Staff Signatory Working Designee
11	CLEO Board Approval	2/24/2021	3/3/2021	Todo	Staff + OSO CLEO
12	Time Limit on Right of Approval/Signature	2/26/2021	3/31/2021	Todo	Signatory
13	Operational Approval	3/3/2021	3/10/2021	Todo	Staff +OSO+ Board members
14	Board Approval	3/10/2021	4/28/2021	Todo	Board Staff + OSO
15	Phase 2: Infrastructure Cost Sharing	2/9/2021	4/28/2021	Todo	Staff + OSO Working Designee Signatory
16	Send out IFA Budget Sheet to Designee	2/9/2021	2/10/2021	Todo	Budget Designee Staff
17	Receive IFA Budget Sheet	2/10/2021	3/3/2021	Todo	Budget Designee Staff

CWMWDB 2021 MOU & IFA
Milestone Summary





Local Plan – New Draft Requirements

Section 1: Strategic Planning / Regional Analysis

1. Elements A to F

Section 2: Local Workforce Development System

2. Elements A to J *D - 4 parts*

Section 3: Local One-Stop Delivery System

3. Elements A to L

Section 4: Title I - Adult, Dislocated Worker & Youth Program

4. Elements A to Q

Section 5: Wagner Peyser Services

5. Elements A to C

Section 6: Title II – Adult Education and Literacy Programs

6. Elements A to D *B - 5 parts*

Section 7: Cooperative Agreements

7. Elements A to B

Section 8: Jobs for Veterans State Grants

8. Elements A to B

Section 9: Fiscal, Performance and Other Functions

9. Elements A to X *I - 7, L - 3, T - 3, W - 5*

Section 10: Performance Accountability

10. Elements 1 to 5



Local Plan – New Draft Requirements

- New DRAFT Policy Just Received from MDOL
- 103 Sections of Data, Analysis & Narrative
- DUE by June 4, 2021 ?????
- Local Plan Committee
 - Input Chosen: Focus Groups, Surveys, Interviews, Data

7/17/2020	Local Plan	Sara Griffin Consultation	
12/1/2020	Local Plan	Local Plan (LP) Advisory Team Selection Complete	
1/13/2021	Local Plan	Kick Off Meeting	
2/10/2021	Local Plan	Outline, Schedule, Detailed Input Forums, Surveys, Interviews Strategy	
2/24/2021	Local Plan	Draft Surveys and Interview Forms	
3/17/2021	Local Plan	Surveys and Interviews Go Live	
3/24/2021	Local Plan	Interview Zoom Sessions	
4/14/2021	Local Plan	Section 1, Subject Matter Expert Data Section 7: Cooperative Agreements, Section 8: Jobs ...	
4/21/2021	Local Plan	Charettes & Input Forums	
4/28/2021	Local Plan	Board Focus Groups	
5/12/2021	Local Plan	Full Draft	
5/19/2021	Local Plan	Full Draft	
6/2/2021	Local Plan	CLEO Approval of Plan	
6/9/2021	Local Plan	Operations Approval of Plan	
7/28/2021	Local Plan	Full Board Approval Plan	

TRAINING AND EMPLOYMENT NOTICE	NO. 13-20
	DATE January 4, 2021

TO: STATE WORKFORCE AGENCIES
STATE WORKFORCE LIAISONS
STATE WORKFORCE DEVELOPMENT BOARDS
LOCAL WORKFORCE DEVELOPMENT BOARDS
ALL AMERICAN JOB CENTER PROGRAMS

FROM: JOHN PALLASCH 
Assistant Secretary

SUBJECT: Advancing a *One Workforce* Vision and Strategy

1. **Purpose.** Promote adoption of a *One Workforce* strategy by State Workforce Agencies, State and Local Workforce Development Boards, American Job Centers (AJCs), and Workforce Innovation and Opportunity Act (WIOA) partner programs and stakeholders.
2. **Action Requested.** Share the *One Workforce* vision broadly with all workforce stakeholders and to promote its adoption.
3. **Summary and Background.**
 - a. Summary – The *One Workforce* approach, endorsed and recommended by multiple federal programs, fosters greater collaboration, integrated service delivery, shared data, and leveraged resources that leads to positive employment and training outcomes for customers. This notice provides details on the vision and suggestions for implementation.
 - b. Background – The Workforce Innovation and Opportunity Act (WIOA) serves as a key driver in the transformation of how workforce development programs working together can provide the best possible integrated service delivery. When enacted in 2014, the vision of WIOA was to redesign the workforce system to increase program collaboration at the federal, state, and local level to ultimately integrate all available programs and services to job seekers and businesses through American Job Centers. WIOA advanced this vision through major system changes such as aligned performance measures, greater opportunities for combined state planning, and further defining one-stop operations. While WIOA has greatly improved many aspects of the nation’s public workforce system, the true vision of WIOA—aligned and seamless service delivery—has not yet fully come to fruition. Many program funding and reporting requirements still vary across programs, which has led to continued fragmentation when it comes to front line services.¹ While states have incorporated more programs into state planning, it has not

¹ See Government and Accountability Office report 19-200 on 43 overlapping programs, available at <https://www.gao.gov/products/GAO-19-200>

significantly changed how services are delivered at the local level, where individual jobseekers are still not able to easily access services from multiple programs in one physical or virtual location and from one case manager. There are examples of innovative information technology (IT) system integration to improve access to customer information and inform decisions on how to best serve each individual, but that progress has been limited. As states and local areas undergo the various stages to re-open their economies and deliver workforce services that will fuel recovery and effectively address acute unemployment challenges due to COVID-19, the public workforce system has an opportunity to further advance the vision of *One Workforce System* – an aligned, flexible, and streamlined state and local-driven system of workforce development services and programs that bring all partners together with a shared goal of enhancing service delivery, leveraging all available resources to help job seekers overcome their barriers, and achieve economic self-sufficiency and mobility for American workers and businesses.

As states and local areas support economic recovery efforts, they must ensure that coordinated services are effectively matched to job seekers and employer customers' specific needs. This is critically important as the demand for these services increases and businesses continue to rebound from the economic downturn brought on by the pandemic. Currently, there are specific workforce development programs available for adults, youth, dislocated workers, persons with disabilities, trade-affected workers, Native Americans, justice-involved individuals, and veterans, and multiple programs that contribute to the economic stability of low-income populations. For instance, in FY 2019 Temporary Assistance for Needy Families (TANF) served over 700,000 work eligible adults in any given month, while the WIOA Adult program served 640,822 participants for the entire program year between 7/1/2018 and 6/30/2019.² Similarly, in FY 2019 SNAP served over 35 million individuals on average every month.³ The *One Workforce* vision of collaboration, cooperation and, ultimately, seamless integration across the spectrum of workforce development programs and services offered at the federal, state and local levels will be paramount as the strengthening of America's economy continues.

4. Program Guidance.

- a. Key Aspects of the One Workforce Vision:** The passage of WIOA offered an opportunity to modernize and establish a workforce system that is customer-centered: where the needs of businesses and workers drive workforce solutions; and where AJCs meet customers' needs in a holistic way that leverages the resources and expertise of all of the workforce system partners. Achieving these goals requires strong partnerships throughout and across the workforce, education, and social services systems at both the state and local levels. A crucial first step was the commitment of multiple Federal agencies including the Departments of Agriculture, Education, Health and Human Services, Housing and Urban Development, and Labor

² TANF Work Eligible Individual counts can be found in the FY 2019 Work Participation Rates tables at: <https://www.acf.hhs.gov/ofa/resource/work-participation-rates-fiscal-year-2019> while WIOA Annual Results can be found at <https://www.dol.gov/agencies/eta/performance/results/annual-results>.

³ SNAP data from SNAP National Level Annual Summary can be found at: <https://www.fns.usda.gov/pd/supplemental-nutrition-assistance-program-snap>

to work in a coordinated fashion to assist states in successfully navigating various program requirements and utilizing available federal resources – in response to participants’ needs.

A total of 32 states submitted Combined State Plans for Program Years 2020 – 2023. A combined plan goes above and beyond the required core WIOA programs to include other programs that support workforce development strategies and related services —such as Career and Technical Education programs authorized by the Carl D. Perkins Career and Technical Education Act, the Temporary Assistance to Needy Families program, and Supplemental Nutrition Assistance Program Education and Training—to create a more holistic and aligned service system for American workers and job creators. While both Unified and Combined WIOA State Plans can move the public workforce system towards the concept of *One Workforce*, expanding to coordinate with as many potential partners in ongoing strategic planning is ideal to achieve the goal of *One Workforce* and increase access to employment and related services for all Americans.

Working together, these partners can advance a shared *One Workforce* vision that encompasses the following key concepts of: 1) systemic collaboration of key workforce system partners to take a comprehensive approach to assessing and addressing customer needs and removing barriers to employment; 2) integrated service delivery that provides seamless and comprehensive services to customers; 3) shared data for effective decision making and enhanced data collection and analysis to support program operations; 4) leveraged resources across the programs; and ultimately: 5) improved employment and training outcomes through stronger connections between the training offered through the workforce system and the training needed by employers.

i. **Systemic Collaboration**

The one-stop delivery system envisioned in WIOA encourages states and local areas to bring together workforce development, educational, and other human resource services in a seamless customer-focused service delivery network that enhances access to services and improves long-term employment outcomes for individuals receiving assistance. While one-stop partners administer separately funded programs, they must be delivered as a set of aligned streamlined services to customers.

The WIOA governance structures of state, regional, and local planning and AJC infrastructure along with the formal processes of required Memorandum of Understanding (MOU) and joint policies enable and enshrine the collaboration. While establishing these formal agreements and partnerships can prove challenging, they serve as critical mechanisms for moving toward the *One Workforce* delivery system. In fact, a shared vision can provide inspiration and motivation for partnerships to more easily form and flourish. Also, governors and local elected officials can make Workforce Board appointments with this objective in mind—to reflect the diversity of programs and customers – to align

service delivery in a cohesive way to achieve greater outcomes for employers and job seekers.

State and local leaders or practitioners are often knowledgeable about their programs and experts on the needs of different populations. At the heart of a *One Workforce* approach is that all of the partner programs acknowledge that they share common customers, many of whom are low income or face challenges to employment, as noted in Training and Employment Guidance Letter (TEGL) 7-20, *Effective Implementation of Priority of Service Provisions for Most in Need Individuals in the Workforce Innovation and Opportunity Act (WIOA) Adult Program*. It is vital for state and local Workforce Development Boards, AJCs, and partners to collaborate in the establishment of integrated systems that build on proven workforce system strategies for effectively connecting jobseekers with employers, training and education providers, and/or associated services that will allow them to retain or return to financial independence.

While workforce development programs may be designed or tailored toward the needs of a specific population or focused on a particular training strategy – such as work-based learning – workforce development programs share the same goals of providing a good job and economic mobility. Federal, state, and local leaders engaged with workforce programs must look for opportunities to align their systems toward meeting those common goals to achieve better, lasting outcomes for their customers.

ii. **Integrated Service Delivery**

WIOA has a clear vision for integrated service delivery. ETA initially laid out this vision in TEGL 19-14: *Vision for the Workforce System and Initial Implementation of WIOA*. Five years into implementing WIOA, state and local Workforce Boards now have the experience necessary to fully embrace this vision and articulate expectations for an integrated service delivery system through policy and planning.

Too often, job training services are siloed, disjointed, and do not work together in an efficient and coordinated manner, and program administration can become focused more on program requirements and services than the ultimate needs of the customer. To deliver integrated services, the workforce system partners must work to align and connect their operations and systems. Further, case managers must not feel constrained by the services available in one program, but must have the training and ability to offer customers the services they need from multiple programs. The system cannot afford siloed programs and funding that limit services to customers.

To move toward integrated service delivery, many state and local workforce development programs are establishing integrated intake systems – “no wrong door”/multiple entry points for customers with the understanding that all partners share responsibility for the customers and will match services to their needs. This

model assumes that all populations – youth, adults, veterans – will receive the necessary services regardless of where they enter the system, such as coming through the AJC (either virtually or in-person) or connecting with a partner program or agency. Designing these types of systems has implications for how workforce development staff working in AJCs and partner agencies are trained and deployed. A *One Workforce* approach supports an integrated workforce staff, so that any customer who walks into any AJC can be served seamlessly by any staff member. The front-line staff will need to understand industry needs and resources available in their area to provide customers with services tailored to their needs. To accomplish this, staff is cross-trained across funding streams and programs to deliver comprehensive services. An example of this described below applies to the Employment Service (ES), WIOA, the Trade Adjustment Assistance (TAA) programs. States and local workforce development boards may create processes and staffing models to deliver these combined services through one team. ETA published two rules earlier this year, one for ES and one for TAA, that both encourage each local area to cross-train staff to provide TAA, ES, and WIOA employment and case management services.

Co-enrollment is another important strategy to provide services to a customer that a specific program might not be able to fund themselves. Co-enrollment of an individual to provide an array of services across multiple funding streams and to share accountability for that individual. Such co-enrollment advances a *One Workforce* system approach that integrates multiple programs to holistically meet the needs of workers and businesses at any point in the economic cycle. Co-enrollment alone may not be sufficient for truly integrated service delivery. To deliver integrated services, jobseekers should receive the supports they need to enter and advance in employment, from the combination of programs and services that is most appropriate for their individual needs through braided funds. The case managers that help jobseekers should have access to information that helps them provide holistic services, e.g., they are aware of and can coordinate with other programs with which a jobseeker is already interacting through data sharing, integrated IT, shared case notes, and other communication methods.

Further, while these resources prove invaluable for many Americans, it is also important that federal and state programs provide quality services that are customized and targeted to match the needs of local employers with the skills of job seekers regardless of the program title that delivers those services. Beyond implementing a *One Workforce* strategy, State and Local Workforce Boards must also be responsive to employers' and customers' needs by providing increased integrated virtual, online, and off-site services. Local workforce areas should document the roles and responsibilities of each workforce partner for working with employers, particularly in one-stop partner program MOUs. Technical assistance on MOUs and aligning services is available at <https://ion.workforcegps.org/resources/2017/08/22/18/16/OneStops-and-AJCs-Other-Key-Resources>.

iii. **Data-Informed Services**

States and local areas can use data and evidence from evaluations to facilitate and inform a *One Workforce* approach to service delivery. A linchpin for integrated service delivery is sharing data across partners to foster greater connectivity across programs. States can establish data systems that allow for sharing of information where it benefits the customer, e.g., assessing customers, sharing case notes, tracking individuals' service and skill needs, providing follow-up services, and tracking employment outcomes. Many IT applications now have options to differentiate data fields for sharing, so states can continue to meet their obligations for protecting the privacy of sensitive data. Data systems that share information can reduce duplication, improve access to services, and reduce the burden on customers who no longer need to repeat themselves when interacting with different programs. The WIOA IT Support Center has published market scans of IT systems that provide a range of data integration functions (see Solutions Marketplace in www.naswa.org/witsc).

As they implement IT systems that support integrated service delivery, states and local areas have an opportunity to analyze individual or aggregated administrative data for program insights, such as whether TANF customers are able to access WIOA title I training and their resultant employment outcomes, or how many customers need the services of multiple programs, and whether there are unintended disparate impacts of services that are not equitably available by geography, race, or disability status. States and local areas can often use simple data tools to conduct basic analysis; ETA also provided tuition for states to learn more advanced data analytics skills and the use of the Administrative Data Research Facility. To maximize their productive use of data and support data analysis, states have leveraged the expertise and skills of State Labor Market Information offices, used in-house evaluators, and/or partnered with universities.

To support transformation to a *One Workforce* system, states and local areas can use data, evidence, and resulting analysis to better inform decisions and policy. For instance, states can review outcomes data for training providers through www.trainingproviderresults.gov coupled with the latest employer demands to determine which providers should remain on eligible training provider lists. Local areas can use data on who has accessed services to inform outreach strategies, and outcomes data to adjust service delivery. States and local areas can also assist workforce system customers and jobseekers to make data-informed career decisions by broadly sharing labor market information about what jobs are available, what skills are in demand, and what training is most likely to have strong employment outcomes.

iv. **Leveraged Resources**

Effectively leveraging resources is one of the hallmarks of an integrated *One Workforce* system. This requires leveraging and braiding an array of public and private financial and in-kind resources to ensure sufficient broad support to meet the service and training needs of all participants. Leveraged resources can come

from a variety of sources, including, but not limited to, businesses, industry associations, labor organizations, community-based organizations, education and training providers, and/or federal, state, and local government programs.

There are a myriad of training and support resources that the public workforce system can weave or braid together to fully meet the needs of individuals seeking services as no one program can address all of their needs. At a minimum, the public workforce system should be aware of other federally-funded workforce training resources from across government, including training funded by WIOA partner agencies, the Departments of Education and Health and Human Services, and employment supports funded by the Supplemental Nutrition Assistance Program (SNAP), as well as resources for job training and job support services from the Departments of Commerce, Defense, Housing and Urban Development, Transportation, and Veterans Affairs.⁴

v. **Outcomes for Business and Jobseeker Customers**

Central to the *One Workforce* vision is the focus on achieving improved outcomes for business and jobseeker customers. This vision not only focuses on measuring the actual outcomes, but on reflecting how well people are served by looking at the contributions of the partners in achieving positive outcomes for individuals. In addition, it is important to look at the broader context of economic mobility to determine whether these services are helping individuals achieve self-sustaining wages and employment. As stated in TEGL 10-16, section 116 of WIOA establishes performance accountability indicators and performance reporting requirements to assess the effectiveness of States and local areas in achieving positive outcomes for individuals served by the workforce development system's six core programs.⁵ These six core programs are the Adult, Dislocated Worker, and Youth programs, authorized under WIOA title I and administered by DOL; the Adult Education and Family Literacy Act (AEFLA) program, authorized under WIOA title II and administered by ED; the Employment Service program authorized under the Wagner-Peyser Act, as amended by WIOA title III and administered by DOL; and the Vocational Rehabilitation (VR) program authorized under title I of the Rehabilitation Act of 1973, as amended by WIOA title IV and administered by ED. WIOA provides a historic opportunity to align performance-related definitions, streamline performance indicators, integrate reporting, and ensure comparable data collection and reporting across all six of these core programs, while also implementing program-specific requirements related to data collection and reporting.

⁴ As a resource, the Department of Labor supports the development of the Braided Funding Toolkit to support state and college teams through the complex process of developing a comprehensive, sustainable funding model for integrated pathways. See http://application.jff.org/braided_funding_toolkit/

⁵ Also published as Program Memorandum 17-2 by the Department of Education's Office of Career, Technical, and Adult Education and as Technical Assistance Circular 17-01 by the Department of Education's Office of Special Education and Rehabilitative Services

To ensure there is not a disincentive to serve low-income individuals and individuals with multiple barriers to employment and to remove the incentive for local programs to “cream” by only serving those that are most likely to succeed, WIOA performance measures incorporate a statistical adjustment model to calculate WIOA outcomes. ETA recently released guidance on effectively prioritizing individuals who are most in need in TEGL 07-20: Effective Implementation of Priority of Service Provisions for Most in Need Individuals in the Workforce Innovation and Opportunity Act (WIOA) Adult Program. In addition to describing the priority of service requirements that apply to the WIOA Adult program, this guidance also provides a variety of strategies, opportunities for system alignment, and available resources for serving low-income individuals and individuals with multiple barriers to employment.

ETA is also working to provide greater transparency and accountability to allow customers to make more informed decisions about which training providers provide in-demand skills that match the customers’ skills. A major part of this effort comes in the form of ETA’s new eligible training provider outcomes website, www.trainingproviderresults.gov. Customers will be able to compare and contrast local training providers by cost, location, and outcomes. This transparency will allow workers to find quality job training while ensuring accountability.

- b. **One Workforce in Action:** The following examples provide a glimpse into how state and local areas are already deploying a *One Workforce* strategy in administering their operations and systems across various funding streams and programs.
 - i. ***UI, RESEA, and WIOA:*** The public workforce system is currently focused on re-employing those laid off due to COVID-19. The Unemployment Insurance (UI) program serves as one of the principal “gateways” to the public workforce system and is often the first workforce program accessed by individuals who need workforce services. However, rarely is one program or service ever sufficient to meet the varying needs a worker who has recently lost his or her job may have. WIOA emphasizes integrating services to better serve workforce customers. All workforce system partners have a shared responsibility to facilitate the reemployment of these individuals, with each partner program contributing services to individuals that meet its criteria. As states work to reopen their state and local economies by providing expanded virtual services or returning to in-person service delivery where possible, states are strongly encouraged to integrate workforce programs, especially those that directly address the reemployment needs of UI claimants, such as the Reemployment Services and Eligibility Assessment (RESEA) Program to help UI claimants return to work faster, into their reopening strategies. In broad terms, integration of these programs should result in UI claimants having full access to the complete range of services offered by the state’s public workforce system. Specific efforts to support this integration may include but are not limited to: integrating data systems; co-enrollment of UI claimants across programs serving dislocated workers; streamlining case

management, intake and assessment; delivering select reemployment services modules online; and ensuring the timely provision of needed job search or training services that reflect the current labor market conditions. Additional information and specific strategies for integrating UI and WIOA programs is provided in Unemployment Insurance Program Letter (UIPL) 14-18: *Unemployment Insurance and the Workforce Innovation and Opportunity Act*.

- ii. ***TAA and WIOA connections:*** With the staffing flexibilities provided in 20 CFR 618.690, ETA envisions states posting jobs (or soliciting contracts) for staff to be cross-trained in ES, WIOA, and TAA programs. States and local workforce development boards may issue contracts for combined services. ETA encourages each local area to cross-train staff to provide TAA, ES, and/or WIOA employment and case management services. There is no longer a need for local staff providing WIOA, state staff providing ES, and separate state staff providing TAA. This model would give states maximum flexibility to plan for changes in workload and shift as workload changes. For example, if a state or local area suffers a major dislocation, they have the utmost ability to react, absorb, and address worker needs. One hundred cross-trained staff are far more nimble and effective than 33 TAA staff, 33 ES staff, and 34 WIOA staff, and represents a model of integrated case management.
- iii. ***Expanding Apprenticeships:*** To ensure that job seekers have access to work and learn opportunities through apprenticeships, ETA is advancing a strategic framework for achieving broad apprenticeship expansion through partnerships that support *One Workforce* System building; strategic investments to help Americans obtain relevant skills and high paying jobs by modernizing Registered Apprenticeship Programs (RAP); and the recently launched Industry-Recognized Apprenticeship Programs (IRAP). ETA's vision for a *One Workforce* System includes greater integration of RAPs and IRAPs within the WIOA delivery system. Current WIOA reporting shows that just over 4,900 apprentices have been served nationwide in the last year. There is a great opportunity for WIOA to incentivize greater adoption of apprenticeship as a partnership broker. Activities can include but are not limited to: 1) Boards that become sponsors of apprenticeship; 2) AJCs that ensure business service representatives are adequately educated to speak to employers and job seekers about apprenticeship opportunities in their area; 3) the cross training of business service representatives with State Apprenticeship staff and Apprenticeship Training Representatives; 4) WIOA funds that support participants in the OJT portion of their apprenticeship, Related Technical Instruction (i.e., classroom training), and supportive services; and 5) Boards that act as strategic leaders and guiding and leverage other apprenticeship investments to reduce duplication of efforts and optimize results (e.g., state apprentices expansion grants; youth apprenticeship grants; and H-1B-funded apprenticeship grants)..
- iv. ***TANF, SNAP, and WIOA connections:*** The TANF program is a required partner in AJCs, and in addition to cash assistance, can provide multiple supports for the

priority populations in the WIOA Adult program. SNAP offers nutrition assistance to millions of eligible, low-income individuals and families while providing economic benefits to communities, and also can provide support to recipients to enter and stay in employment. Within the SNAP program, the SNAP Employment & Training (E&T) program assists SNAP participants in gaining skills, training, work, or experience that will increase their ability to obtain regular employment. By closely partnering with the TANF and SNAP E&T programs, the workforce system can help TANF, SNAP, and WIOA participants obtain the skills they need to achieve self-sufficiency. State and local areas have the opportunity to align and leverage these combined program resources towards the common objective of helping millions of low-income Americans enter and advance in stable employment. Together, these programs can engage unemployed individuals to shorten durations of unemployment and reduce disconnections from the workforce that make it harder for individuals to return; connect those who were not participating in the labor force prior to the pandemic through a comprehensive and coordinated public and private effort; and maximize the effectiveness of these efforts in a post-COVID-19 economic recovery to help more families experience the benefits of work.

- v. ***Alignment of workforce programs in a single state cabinet or department.*** Several states have structured their workforce services at the cabinet level to integrate workforce with economic development or other human services. The State of Utah provides a robust example as Utah became the first state in 1997 to consolidate the administration of 36 employment, job training, and public assistance programs from five agencies under one cabinet agency – the Utah Department of Workforce Services (DWS). This streamlined set of services enables customers’ easy access to a wide array of services at any of the “one-stop” employment centers statewide. Today, DWS also uses an integrated case management system where WIOA partners and state programs share information across programs. Through an application interface, the DWS system can share employment plans, milestones, counselor notes, and customer information between all WIOA programs and TANF, VR, Corrections, Juvenile Justice, and Child and Family Services. Other states have brought WIOA core partners together in a single agency, while other states have focused on aligning human services and workforce programs together. While state organizational decisions are always the purview of governors, states that align programs within an agency have been able to efficiently plan, deliver, monitor, and evaluate multiple programs to the benefit of the ultimate jobseeker customers. ETA Regional Administrators stand ready to assist any state examining options, preparing for, or implementing realignments.
- vi. ***Innovative Use of Funding:*** As ETA makes grant awards through its discretionary funding, we are requiring grant recipients to connect and align those funds with the broader workforce system, such as through our most recent H-1B funded *One-Workforce* Grant program. ETA is also providing greater flexibility

for state and local areas to use its funding in innovative ways through Pay for Performance or the Performance for Partnership (P3) pilots. Examples include:

- **H-1B One Workforce Grants.** These grants will build proof of concepts of innovative training models that can be replicated by the broader workforce system. Applicants must build support for a common vision for responding to the workforce challenges within their state and economic regions, ensuring that their projects complement and leverage, but do not duplicate, existing programs. By forging public-private partnerships—H-1B *One Workforce* Partnerships—applicants will bring together industry and employers, education and training providers, the workforce system, state and local government, and other entities that will work collaboratively to align resources in response to employer demand and to offer novel education and job training solutions that generate positive outcomes and results.
- **Pay for Performance (PFP).** PFP contracting strategies seek to maximize the likelihood that the government pays only for demonstrably effective services, and also seeks to secure performance outcomes at a lower cost than might otherwise occur. WIOA introduced PFP contract strategies as an optional activity for certain services allowable under WIOA title I, subtitle B Adult, Dislocated Worker, and Youth programs. PFP presents an opportunity to only pay for outcomes achieved rather than for services that may or may not result in positive outcomes. Such an approach can remove unintended incentives for “creaming,” and explicitly direct payments towards employment success for disadvantaged populations. ETA published guidance on PFP on December 7, 2020, as TEGL 8-20, *Pay for Performance (PFP) Guidance for WIOA title I, subtitle B*.
- **Performance Partnership Pilots (P3) for Disconnected Youth** offer a unique opportunity to test innovative, cost-effective, and outcome-focused strategies for improving results for disconnected youth. The Consolidated Appropriations Act of 2014 first provided authority for the Departments of Labor, Health and Human Services, and Education, as well as the Corporation for National and Community Service, the Institute of Museum and Library Sciences, and related agencies to establish up to 10 Performance Partnership pilots, which continue to allow states, localities, regions, or federally-recognized Tribes to propose pooling a portion of discretionary funds they receive under multiple federal streams while measuring and tracking specific cross-program outcomes. In order to more effectively serve disconnected youth, pilot sites may blend discretionary funds—formula and competitive grants—from the specified federal agencies into one “pot” that is governed by a single set of reporting and other requirements. To establish the most effective and appropriate set of requirements for each pilot, federal agencies may waive requirements associated with individual programs contributing funds.

This model for pooling funds and obtaining waivers of requirements that impede effective service delivery, combined with strengthened accountability for results, is designed to ease administrative burden and promote better education, employment, and other key outcomes for youth.

In summary, while the workforce system has already made strides toward integrated service delivery, federal, state, and local partners have greater impetus to fully adopt and implement a *One Workforce System* vision and approach. The advantages of increased customer satisfaction and outcomes combined with stretching the reach and efficacy of the funding far exceeds the costs of duplication and inefficiencies of operating in silos.

5. **Inquiries.** Please direct questions and requests for technical assistance to the appropriate ETA regional office. Contact information on ETA's webpage: <https://www.dol.gov/agencies/eta/regions>. ETA staff are available to share promising practices and assistance with implementing a *One Workforce* approach.

6. **References.**

- a. WIOA, Public Law No. 113-128, enacted July 22, 2014, available at <https://www.govinfo.gov/content/pkg/PLAW-113publ128/pdf/PLAW-113publ128.pdf>;
- b. Workforce Innovation and Opportunity Act; Final Rule (WIOA DOL Final Rule) published at 81 FR 56071 (August 19, 2016), specifically 20 C.F.R. parts 680 and 687;
- c. ETA TEGLs and TENs (Training and Employment Notices)
 - i. TEGL 19-14: *Vision for the Workforce System and Initial Implementation of WIOA*;
 - ii. TEGL 10-16, Change 1, *Performance Accountability Guidance for Workforce Innovation and Opportunity Act (WIOA) Title I, Title II, Title III and Title IV Core Programs*, August 23, 2017 (https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3255);
 - iii. TEN 8-16, *Implementation of an Integrated Performance Reporting System for Multiple Employment and Training Administration (ETA) and Veterans' Employment and Training Service (VETS) Administered Programs*;
 - iv. TEGL 07-20, *Effective Implementation of Priority of Service Provisions for Most in Need Individuals in the Workforce Innovation and Opportunity Act (WIOA) Adult Program*;
 - v. TEGL 8-20 *Pay for Performance (PFP) Guidance for WIOA title I, subtitle B; and*
 - vi. *TEN 9-20 Availability of Training Provider Results Website.*
- d. UIPL 14-18, *Unemployment Insurance and the Workforce Innovation and Opportunity Act.*

7. **Attachments.** Not Applicable



JANET T. MILLS
GOVERNOR

STATE OF MAINE
DEPARTMENT OF LABOR
BUREAU OF EMPLOYMENT SERVICES
55 STATE HOUSE STATION
AUGUSTA, MAINE 04333-0055

LAURA A. FORTMAN
COMMISSIONER

MAINE WORKFORCE DEVELOPMENT SYSTEM

Policy: PY20-04 LOCAL AREA PLAN REQUIREMENTS
To: Local Workforce Boards; Chief Elected Officials; WIOA Required Partners.
From: Kimberley Moore, Bureau Director
Issued On: 01-20-2021
Status: DRAFT
Authority: WIOA Sec. 108; 20 CFR §679.500 - §679.580

This policy rescinds and replaces Policy PY16-07 Local/Regional Plan Requirements.

Purpose: to provide guidance to local workforce boards, chief elected officials, and one-stop partners regarding the development and submission of local area workforce development plans.

Background: Maine has three local areas made up of counties that are synonymous with the three workforce regions identified by the State Workforce Board (SWB); as such, the terms “local plan” and “regional plan” shall be interchangeable for the purpose of this guidance and in meeting local/regional plan requirements under the Workforce Innovation and Opportunity Act (WIOA).

The local plan serves as a four-year action plan to develop, align, and integrate service delivery strategies to support the State’s vision and strategic and operational goals. The local plan sets strategy to direct investments in economic, education, and workforce training programs to focus on providing relevant education and training to ensure individuals, including individuals with barriers to employment, have the skills to compete in the job market and employers have a ready supply of skilled workers.

Local areas must align local plans with the objectives of the Maine Unified Plan which is available at: https://www.maine.gov/swb/reports/state_plan/2020-2023_state_plan/2020_WIOA_Maine_Unified_Plan.pdf

Each local area must develop and submit a comprehensive four-year plan that addresses the provisions set forth in this guidance. The four-year plan covers workforce activities to be conducted by the local area between July 1, 2021 through June 30, 2024. Two years into the plan period, local areas must conduct a review of the plan, make any necessary adjustments or revisions to activities proposed for the remainder of the plan period and submit the plan modification using the same process as submittal of the four-year plan, including a public comment period.

Two-year plan modifications must reflect any changes in labor market and economic conditions, financing available to support Title IB and partner provided services, local board structure; and other factors affecting implementation of the local area plan.

Local plans will be evaluated to ensure they address the requirements set forth in this guidance and a recommendation will be made to the Governor regarding local plan approval. Plans will be considered approved 90 days after receipt of the plan, unless the Governor determines in writing that:

- a. There are deficiencies in workforce investment activities that have been identified through audits and the local area has not made acceptable progress implementing plans to address deficiencies;
- b. The plan does not comply with applicable provisions of the Act or regulations, including the required consultations and public comment provisions, and nondiscrimination requirements of 29 CFR 38;
- c. The plan does not align with the State plan; and/or
- d. The plan does not address the requirements put forth in this guidance.

Local Area Four Year Plan Submittal and Approval:

1. Prior to submission, the local board, must make the proposed plan available for public comment through electronic means for a period not to exceed 30 days. Requests for public comment should encourage members of the public, including representatives of business, labor, education, and other workforce stakeholders, to review and comment on the plan.
2. Copies of all public comments received, including copies of comments that represent disagreement with the local plan, must be submitted as an attachment to the plan. Copies of comments received may be scanned into one document for this purpose;
3. Plans must be submitted electronically in both WORD (.doc) and Adobe (.pdf) format to: Christopher.Quint@maine.gov Director, State Workforce Board and Laura.A.Fortman@maine.gov Commissioner, Maine Department of Labor.
4. Submittals must also be copied to Kimberley.Moore@maine.gov Director, Bureau of Employment Services and Virginia.A.Carroll@maine.gov, Director, Division of Policy and Evaluation;
5. The submission must identify the local board and name, title, phone number and email address of the contact person;
6. **Local four-year plans must be submitted on or before June 4, 2021.**
7. **Two-year plan modifications must be submitted on or before September 4, 2023.**
8. Local boards will receive a notification regarding approval status of the local plan within 90 days of submittal.

LOCAL PLAN CONTENTS:

Section 1: Strategic Planning / Regional Analysis

This section must include local area strategic planning elements consisting of:

- A.** An analysis of the regional economic conditions, including existing and emerging in-demand industry sectors and occupations, the employment needs of businesses in in-demand industry sectors, and identification of Local area priority-industries identified via employer and stakeholder input and

other data tools and methods. Plans must describe the data tools and methods used to attain the information used in this analysis;

- B.** An analysis of the knowledge and skills workers need to meet the employment needs of businesses in the local area, including those of businesses that make up in-demand industry sectors in the local area. Plans must describe the data tools and methods used to identify in-demand industry sector knowledge and skill requirements;
- C.** An analysis of the workforce in the local area, including current labor force employment and unemployment data; information on labor market trends and the educational and skill levels of the workforce in the local area, including individuals with barriers to employment. Plans must describe the data tools and methods used to obtain such information;
- D.** An analysis of the workforce development activities (including education and training) in the local area, including an assessment of the strengths and weaknesses of such activities and services and an explanation of any limitations in capacity to provide activities and services necessary to address the skill and employment needs of the workforce in the local area;
- E.** A description of the local board's strategic vision and goals for preparing an educated and skilled workforce (including preparing youth and individuals with barriers to employment) to support regional growth and economic self-sufficiency. Plans must outline goals that support achievement of performance accountability measures identified in Section 116(b)(2)(A) of WIOA and formally negotiated with the State.
- F.** Considering the analyses described in A-D above, explain how the local board will align the resources of and engage the entities that carry out the core programs in the local area in achieving the strategic vision and goals identified in E above.

Section 2: Local Workforce Development System *This section must include:*

- A.** A description of the workforce development system in the local area identifying all the required partner programs that are included in the system and how the local board will work with each program entity in carrying out local workforce development initiatives. The description must explain how the local board will work to align and integrate programs and services to customers.
- B.** A description of how the local board, working with the entities that provide the programs identified above, will expand access to employment, training, education, and supportive services for eligible individuals, particularly eligible individuals with barriers to employment, including how the local board will facilitate the development of career pathways and co-enrollment, as appropriate, and improve access to activities leading to a recognized postsecondary credential (including a credential that is an industry-recognized certificate or certification, and/or that is portable and stackable);
- C.** A description of the steps taken by the local board to engage entities in the formulation of the local plan. Describe the processes the local board (*and any of its subcommittees*) used to convene workforce system stakeholders to assist in development of the local plan. Explain how business and industry, education, social service agencies, economic development partners and all WIOA required partners and other workforce system stakeholders participated in and contributed to the development of the strategic vision for and development of local plan strategies and objectives.

Copies of meeting agendas, attendee names, and meeting minutes of each planning session must be available for review upon request.

- D.** A description of the strategies and services that will be used in the local area to:
 - a. Facilitate engagement of businesses, including small businesses and businesses in in-demand industry sectors and occupations, in workforce development programs;
 - b. Support a local workforce development system that meets the needs of businesses in the local area;
 - c. Better coordinate workforce development programs and economic development; and
 - d. Strengthen linkages between the one-stop delivery system with unemployment insurance programs and other required partner programs.
- E.** A description regarding how the Local area will utilize work-based learning approaches through such programs as registered apprenticeship (RA), on-the-job training (OJT), customized training (CT), industry sector strategies, integrated education and training strategies, career pathways initiatives, utilization of business intermediaries, and other business services and strategies designed to meet the needs of businesses and workers.
- F.** A description of how the local board will coordinate workforce development activities carried out in the local area with economic development activities carried out in the local area to promote entrepreneurial skills training, microenterprise services and training, and placement of participants;
- G.** A description of how the local board will leverage and coordinate supportive services in the delivery of workforce development activities carried out in the local area, including how the local board will work with other community partner providers to deliver supportive services to job seekers;
- H.** A description of how the Local board intends to promote a greater business voice in the delivery of workforce development activities carried out in the local area. This description should include how the board will engage businesses on decisions regarding the type and content of training activities required of the local workforce;
- I.** A description of how the local board will promote and cultivate industry-led partnerships and career pathways in delivery of workforce training opportunities;
- J.** A description of the role of faith-based or community-based organizations in the local one-stop system.

Section 3: Local One-Stop Delivery System

This section must include a description of the local one-stop delivery system, including:

- A.** A list of all the one-stop centers in the local area, indicating those that are comprehensive and affiliated;
- B.** A description of the customer flow process used in the local area. This description should include eligibility determination, assessment, individualized employment plans, training plans, case management and post-exit follow-up and must include an explanation of the flow of customers connected through co-enrollment or coordinated referral.

- C. A description of how the local board will ensure meaningful access to all customers including individuals with disabilities or for whom English is not their primary language.
- D. A description of the process the local board will use to solicit and competitively select a one-stop operator as required under Section 107 of WIOA;
- E. A description of how the local board will ensure the continuous improvement of eligible providers of services throughout the system and ensure that such providers meet the employment needs of local businesses, workers and job seekers;
- F. A description of how the local board will facilitate access to services for those who live in rural and remote areas using technology and other means;
- G. A description of how entities that make up the one-stop system, including one-stop operators and partners, will comply with Section 188 of WIOA, and the applicable provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) regarding the physical and programmatic accessibility of facilities, programs and services, technology, and materials, for individuals with disabilities, including providing staff training and support for addressing the needs of individuals with disabilities;
- H. A description of the roles and resource contributions of the local one-stop system partners;
- I. A description of how the board will use individualized training accounts (ITAs) to address high-demand, difficult to fill, positions identified within local priority industries as stated under Section A;
- J. A description of how the local board will provide priority of service that conforms to the State plan and Policy PY15-03 Adult Priority of Service. This segment should include a description of any additional local requirements or discretionary priorities including data to support the need and how the local requirement or priority will be documented and implemented for the adult program;
- K. A description of how the local board will utilize funding to create incumbent worker training opportunities to avert layoffs or assist employees to retain jobs; and
- L. A description of how the local board will train and equip staff to provide excellent, customer-centric, WIOA-compliant, customer service.

Section 4: Title I - Adult, Dislocated Worker, and Youth Program Services *This section must include:*

- A. A description and assessment of the type and availability of adult and dislocated worker employment and training activities in the local area;
- B. A description of how the local board will mobilize workforce development activities carried out in the local area in response to layoffs and in conjunction with rapid response activities, as described in WIOA Section 134(a)(2)(A);
- C. A description and assessment of the type and availability of youth workforce development activities in the local area, including activities for youth who are individuals with disabilities, which description

and assessment must include an identification of successful models of local area youth workforce investment activities;

- D.** A description of how the local board will coordinate education and workforce development activities carried out in the local area with relevant secondary and postsecondary education programs and activities to coordinate strategies, enhance services, and avoid duplication of services;
- E.** A description of how the local board will coordinate workforce development activities carried out under this title in the local areas with the provision of transportation, including public transportation, and other appropriate supportive services in the local area;
- F.** A description how the local board will utilize adult program funding , based on priority groups as identified in the State plan;
- G.** A description of how the local board will utilize dislocated worker Funding;
- H.** A description of how the local board defines “self-sufficiency” for employed adult and dislocated worker participants;
- I.** A description of the local board’s definition of “unlikely to return to previous industry or occupation” when required for eligibility determination for dislocated worker services, if such policy is in place;
- J.** A description of how the local board will interpret and document eligibility criteria for youth “requires additional assistance to complete an educational program or secure and hold employment” for both in-school and out-of-school youth, as set forth in WIOA Sections 129(a)(1)(B)(iii)(VII) and (a)(1)(C)(iv)(VII);
- K.** A description of the documentation required to demonstrate need for training services;
- L.** A description of how the local board will, assess the need for, and provide the fourteen required program elements for youth program design;
- M.** A description of the steps the local board will take to ensure 20 percent of youth funds are used for work-based training activities, such as work experience, internships, on-the-job training, job shadow or other work experience activities, including how staff time setting up and monitoring such activities are counted in the 20 percent cost category;
- N.** A description of how the board will prioritize out-of-school youth and identify specific steps to ensure that 75 percent of youth funds are dedicated to out-of-school youth;
- O.** If the local area has contracted with youth service providers, provide a list and description of those providers and the specific service elements they provide;
- P.** Describe how the local board will ensure that basic and individualized career services, including follow-up, will be provided to adults and dislocated workers and how such services will be coordinated across programs with required partners;

- Q.** Explain the local board’s “follow-up” policy for adults and youth, including types of services provided, frequency of provision of follow-up services, and required documentation.

Section 5: Wagner Peyser Services *This section must include:*

- A.** Describe the plans, strategies, and assurances regarding maximizing coordination of services provided by the Maine Bureau of Employment Services (BES) under the Wagner Peyser Act (29 U.S.C. 49 et seq.) and services provided in the local area one-stop system to improve service delivery and avoid duplication of services to workers, job seekers and employers;
- B.** Describe how the local board will utilize the Wagner Peyser program to provide access to local workforce development services for unemployment insurance claimants;
- C.** Describe how services will be provided to migrant and seasonal farm workers in the local area;

Section 6: Title II – Adult Education and Literacy Programs *This section must include:*

- A.** A description of how the local board will coordinate workforce development activities in the local area with the provision of Adult Education and literacy activities under Title II of WIOA, including implementation of the career pathways model. The description should explain how the local board will comply with the requirement to review local applications submitted under Title II to the Office of Adult Education and Literacy Services and once the review has been conducted, how the local board will submit documentation of the review and any recommendations for increased alignment to the applicant for Title II services, in a timely manner;
- B.** A description of how the local board will coordinate efforts with Title II providers to align basic skills and English language assessments. Such coordination efforts should include:
 - An outline of the agreed upon steps that will be taken to align basic education skills and English language assessments within the local area, including, but not limited to, any Memoranda of Understanding (MOU) entered into;
 - An identification of how assessment scores will be shared among WIOA Title I and Title II providers (*consideration must be given to the Federal Education Rights and Privacy Act (FERPA)*);
 - An identification of service partners who will conduct approved assessments (*including for trade participants*) and when such assessments will be conducted, consistent with state and local policy;
 - An outline of how the local area will coordinate testing between workforce development and adult education providers; and,
 - An outline of how the local area will ensure that test administrators are trained in accordance with specific assessment test administration requirements;
- C.** A description of how the local board will ensure that the individual appointed to represent Title II services on the board will communicate with the state AEFLA grant recipient and coordinate with all Title II adult education service providers in the local area in a uniform, regular, and consistent manner;
- D.** A description of how adult education services will be provided in the local area one-stop system.

Section 7: Cooperative Agreements *This Section should include –*

- A. A description of any cooperative agreements between the local board or other local entities and as described in section 101(a)(11)(B) of the Rehabilitation Act of 1973 (29 U.S.C. 721(a)(11)(B)) and the designated State agency administering programs carried out under title I of such Act (29 U.S.C. 720 et seq.) with respect to efforts that will enhance the provision of services to individuals with disabilities and to other individuals, such as cross-training of staff, provision of technical assistance, use and sharing of information, cooperative efforts with employers, and other efforts at cooperation, collaboration, and coordination to ensure access to programs and services for individuals with disabilities;
- B. A description of how individuals with disabilities will be served through the local area one-stop system.

Section 8: Jobs for Veterans State Grants *This Section should include –*

- A. A description of how the Local board will provide priority of service to veterans and their eligible spouses;
- B. A description of how the Local board will engage local veteran's employment representatives (LVERs) in connecting with and providing services to local businesses.

Section 9: Fiscal, Performance and Other Functions *This Section must include --*

- A. Identification of the entity responsible for the disbursement of grant funds described in section 107(d)(12)(B)(i)(III), as determined by the chief elected official or the Governor under section 107(d)(12)(B)(i);
- B. A description of the financial sustainability of one-stop services with current funding levels, and a description of the ability to adjust should funding levels change;
- C. A description of the competitive process to be used to award subgrants and contracts in the local area for activities carried out under this title, including describing risk assessment factors reviewed about potential subgrantees and contractors;
- D. A description of the local levels of performance negotiated with the Governor and chief elected official pursuant to section 116(c), to be used to measure the performance of the local area and to be used by the local board for measuring the performance of the local fiscal agent (where appropriate), eligible providers under Title IB, and the one-stop delivery system, in the local area;
- E. A description of the actions the local board will take toward becoming, or remaining, a high-performing board, and consistent with the factors developed by the state board pursuant to Section 101(d)(6) a description of the process used by the local board to review and evaluate performance of local one-stop centers;

- F.** A description, including a copy of, of the local area's individual training account (ITA) policy. The description should include information such as staff-assisted selection processes, dollar limits, duration, etc.;
- G.** A description of how training services under chapter 3 of subtitle B will be provided in accordance with Section 134(c)(3)(G), including, if contracts for the training services will be used, how the use of such contracts will be coordinated with the use of ITAs under that chapter and how the local board will ensure informed customer choice in the selection of training programs regardless of how the training services are to be provided;
- H.** A description of how core partners are working toward transition to an integrated, technology-enabled, common intake and case management system for programs carried out under WIOA by one-stop partners;
- I.** A description of the local board's procedures for conducting oversight and monitoring of its WIOA activities and those of its subgrantees and contractors. The monitoring plan should address the monitoring scope and frequency and shall include the following:
 - The roles and responsibility of staff in facilitating this procedure;
 - A requirement that all subgrantee agreements and contracts be monitored at least annually;
 - Procedures for determining that expenditures have been made against the cost categories and within the cost limitations specified in the Act and WIOA regulations;
 - Procedures for determining compliance with other provisions of the Act and regulations and other applicable laws and regulations, including the method of monitoring to be used for subgrantees and contractors;
 - Provisions for the recording of findings identified during monitoring and how such findings will be explained to the subgrantee or contractor for response and the recording of all corrective actions;
 - Provisions of technical assistance as necessary and appropriate; and
 - Specific local policies developed by the local board for oversight of youth activities and employment and training activities under Title IB of WIOA;
- J.** A description of the local board's policy and procedures regarding the handling of personally identifiable and confidential information (PII);
- K.** A description of the local board's procedures for handling grievances and complaints from Title IB participants and other interested parties affected by the local one-stop system, including partners and service providers;
- L.** Provide a separate description of the process for each of the following :
 - Complaints alleging discrimination on the ground of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and for beneficiaries only, citizenship or participation in any WIOA Title I – financially assisted program or activity;
 - Complaints and grievances not alleging illegal forms of discrimination. This includes grievances from individuals alleging labor standards violations.
 - Remedies that may be imposed for a violation of any requirement under WIOA Title I, limited to, suspension or termination of payments under the title; prohibition of placement of a participant with an employer that has violated any requirement under WIOA Title I; reinstatement of an

employee, payment of lost wages and benefits, and reestablishment of other relevant terms, conditions, and privileges of employment (where applicable); and other equitable relief as appropriate;

- M.** A description of the local board's policy and procedures regarding provision of aid, benefits, services, training, and employment services, including assurance that reasonable accommodation will be provided to qualified individuals with disabilities, unless providing such accommodation would cause undue hardship;
- N.** A description of how the local board will comply with the Americans with Disabilities Act. The description should include how the local board will provide reasonable accommodations regarding materials, technology, and physical and programmatic accessibility of facilities. The description should also include how the local board will provide staff training and support for addressing the needs of individuals with disabilities;
- O.** A description of the local board's policy and procedures in place to ensure that communications with individuals with disabilities, including individuals with visual or hearing impairments, are as effective as communications with others;
- P.** A description of the steps the local board will take to meet the language needs of limited English-speaking individuals who seek services or information. The description should include how the local board proposes that information will be disseminated to limited-English speaking individuals;
- Q.** A description of the local board's procurement system, including a statement of assurance that the procedures conform to the standards in OMB guidance set forth in 2 CFR 200.
- R.** A description of any documentation to demonstrate that the acquisition, management, and disposition of property adhere to property management procedures;
- S.** A description of any policies or procedures the local board adopted to avoid conflicts of interest or the appearance of such conflicts in the exercise of their responsibilities, particularly those related to the awarding of contracts;
- T.** A description of the local board or fiscal agent's accounting procedures, including the procedures used in preparing reports to the state. In addition to the requirement that all financial transactions be conducted in compliance with Generally Accepted Accounting Principles (GAAP), the fiscal management system must include the following in the accounting procedures. This description must address how the fiscal system;
 - Tracks funding types, funding amounts, obligations, expenditures and assets;
 - Permits the tracking of program income, stand-in costs, and leveraged funds; and
 - Is adequate to prepare financial reports required by the State;
- U.** A description of how the local board's (or local fiscal agent's) financial system will permit tracing of funds to a level adequate to establish that funds have not been used in violation of WIOA standards or USDOL regulations;

- V.** A description of the local board's (or local fiscal agent's) cash management system, providing assurance that no excess cash will be kept on hand and that procedures are in place to monitor cash;
- W.** A description of the local board's cost allocation procedures including:
- Identification of different cost pools;
 - Procedures for distribution of staff costs between cost categories (administrative cost, program cost and indirect cost);
 - Procedures used for distribution of funds from each cost pool;
 - Description of funds included in each cost pool;
 - Description of cost allocation plans for one-stop centers;
- X.** A description of the local board's (or local fiscal agent's) procedure for collecting debts involving WIOA funds.

Section 10: Performance Accountability *This section must explain:*

1. How performance information on workforce development programs informs local strategic planning;
2. How local boards will use the Statistical Adjustment Model (SAM) to negotiate local area performance goals;
3. How performance information is used to oversee WIOA title IB programs and inform continuous quality improvements in the day to day management of Title IB programs;
4. How local area performance information is used to conduct performance-based intervention; and
5. How the local board will make local area performance information available to the public on a quarterly basis.

Contact:

Ginny Carroll, Director
Division of Policy & Evaluation
Bureau of Employment Services – Maine Department of Labor
Virginia.A.Carroll@maine.gov

The Maine Department of Labor provides equal opportunity in employment and programs.
Auxiliary aids and services are available to individuals with disabilities upon request.