

REGION 12 RWIB/CEO MEETING

Location: Western Iowa Tech Community College

Date: 5/21/15

PRESENT - RWIB MEMBERS				ABSENT - RWIB MEMBERS			
Neal Adler	X	Rick Moon	X	Neal Adler		Rick Moon	
Cathie Bishop	X	Dan Moore	X	Cathie Bishop		Dan Moore	
John Hamm	X	James O'Donnell	X	John Hamm		James O'Donnell	
Janet Hansen	X	Judy Peterson	X	Janet Hansen		Judy Peterson	
Bridget Hoefling	X	Dr. Robert Rasmus	X	Bridget Hoefling		Dr. Robert Rasmus	
Geri Johnson	X	Marcia Rosacker	X	Geri Johnson		Marcia Rosacker	
Teresa Miller		Jeff Simonsen	X	Teresa Miller	X	Jeff Simonsen	

PRESENT - CEO MEMBERS							
Craig Anderson	X	Mark Monson	X	Craig Anderson		Mark Monson	
Tom Brouillette		Robert Paulsrud		Tom Brouillette	X	Robert Paulsrud	X
Pete Groetken	X	Jeff Simonsen	X	Pete Groetken		Jeff Simonsen	

PRESENT - MOU PARTNERS		PRESENT-Youth Advisory Council Members		GUESTS:	
Shawn Fick-Job Training Partners	X				
Janet Gill-Job Training Partners	X	Ashley Diediker-WITCC			X
Lori Knight-Job Training Partners	X	Anna Trotman- Dept. for the Blind			X
Sara DeAnda-Iowa Workforce Development	X	Sunnie Ludwigs-ABE/HiSET			X
Todd Spencer-Iowa Workforce Development	X	Kerry Ogden-ABE/ELL			X
Maggie Wilcox-Iowa Workforce Development	X				

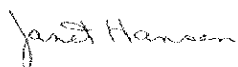
Agenda Items

1. Call to Order & Roll Call – RWIB @ 4:04 / CEO @ 4:05
2. RWIB/CEO Approval of Amended Agenda to include Carry In Attachments I1, J1, J2, J3, K1
3. RWIB Approval of 3/19/15 RWIB Minutes; CEO Approval of 1/22/15 Joint RWIB/CEO Minutes
4. New Business: CEO PY14 WIA and One-Stop Quality Assurance Review – October 22 & 23, 2015; Memo# 15-02: WIA Credentials; Memo# 15-03: Youth, Adult and Dislocated Worker Carryover Policy; Training and Employment Guidance Letter (TEGL)# 19-14: Vision for the Workforce System and Initial Implementation of the Workforce Innovation and Opportunity Act of 2014 New Business: RWIB/CEO Approval of Letter of Support for Western Iowa Tech Community College Adult Education and Literacy Program; Approval of RWIB/CEO 2015-2016 Meeting Dates; RWIB & CEO Officer Elections; Training for RWIB members June 5, 2015 in Johnston, Iowa; Approval of WIOA Transition Funds for Regional Partners & Managers Training on June 4 & 5, 2015; Approval of WIOA Transition Funds for Iowa Adult Education and Literacy 2015 Conference July 15-17, 2015 in Ames; RFP for Youth; Adult/DW Programs
5. Old Business: Follow up to Data Effectiveness Question; Financial Grants Management Conference Report for April 7 to April 9, 2015 in Chicago; Tyson Update
6. IowaWORKS Region 12 Managers' Report – Sara DeAnda & Shawn Fick
7. RWIB Chair Report – Judy Peterson
8. Policy/Field Memo Updates – Summary of Memos, Training and Employment Notices (TEN) and Training and Employment Guidance Letters (TEGL) Memo# 13-04 Change 1: Transfer of Funds Between the Workforce Investment Act (WIA) Adult and Dislocated Worker Programs WIOA Fact Sheets: Governance and Leadership, One-Stop Career Centers and Youth Program TEN# 29-14: Announcing the release of the Workforce Innovation and Opportunity Act (WIOA) Notices of Proposed Rulemaking (NPRMs) on Federal Register Public Inspection TEN# 29-14 Change 1: Announcing the Publication of the Workforce Innovation and Opportunity Act (WIOA) Notices of Proposed Rulemaking (NPRMs) in the Federal Register TEN# 31-14: Early Operating Guidance for Implementation of the Workforce Innovation and Opportunity Act (WIOA or Opportunity Act) TEGL# 27-14: Workforce Innovation and Opportunity Act Transition Authority for Immediate Implementation

of Governance Provisions			
10. Report from State Representative – Todd Spencer & Maggie Wilcox			
11. Report from Individual RWIB/CEO Members			
12. Adjournment			
Motions Taken - Decisions Reached			
APPROVALS	1ST	2ND	Motion Carried
2. Amended Agenda-RWIB	Dan Moore	Neal Adler	X
2. Amended Agenda-CEO	Mark Monson	Pete Groetken	X
3. March 19, 2015 RWIB Minutes-RWIB	Rick Moon	Bridget Hoefling	X
3. January 22, 2015 Joint RWIB/CEO Minutes-CEO	Jeff Simonsen	Pete Groetken	X
4a. Letter of Support Adult Education & Literacy Program – RWIB	Geri Johnson	Cathie Bishop	X
4a. Letter of Support Adult Education & Literacy Program – CEO	Mark Monson	Pete Groetken	X
4b. RWIB/CEO 2015-2016 Meeting Dates – RWIB	Dr. Robert Rasmus	Rick Moon	X
4b. RWIB/CEO 2015-2016 Meeting Dates – CEO	Pete Groetken	Mark Monson	X
4c. Officer Elections RWIB Chair- Bridget Hoefling RWIB Vice Chair- Teresa Miller RWIB Secretary- Janet Hansen	Neal Adler	Dan Moore	X
4c. Officer Elections CEO Chair Jeff Simonsen CEO Vice Chair- Craig Anderson	Mark Monson	Pete Groetken	X
4d. WIOA Transition Funds for Regional Partners & Managers Training on June 4 & 5, 2015 – RWIB	Neal Adler	Rick Moon	X
4d. WIOA Transition Funds for Iowa Adult Education and Literacy 2015 Conference July 15-17, 2015 in Ames – RWIB	Bridget Hoefling	Dan Moore	X
4e. RFP for Youth Extension of Agreement with WITCC to provide WIA Youth Services from 7/1/15 to 6/30/16- RWIB	Dan Moore	Geri Johnson Abstained Dr. Robert Rasmus & Neal Adler	X
4e. RFP for Youth Extension of Agreement with WITCC to provide WIA Youth Services from 7/1/15 to 6/30/16- CEO	Mark Monson	Pete Groetken	X
11. Adjournment-RWIB @ 5:52 P.M.	Cathie Bishop	Dan Moore	X
11. Adjournment-CEO @ 5:53 P.M.	Mark Monson	Pete Groetken	X
Meeting Notes			
Reports/discussion:			
Shawn Fick reviewed the letter from the One-Stop Quality Assurance review conducted on October 22 and 23, 2014, the Workforce Development Field Information Memo No: 15-02 on WIA Credentials, the Workforce Development Field Information Memo No: 15-03 on Youth, Adult and Dislocated Worker Carryover Policy, and the Training and Employment Guidance Letter No: 19-14 on the Vision for the Workforce System and Initial Implementation of the Workforce Innovation and Opportunity Act of 2014.			
The letter of support for Western Iowa Tech Community College Adult Education and Literacy Program was explained by Kerry Ogden & Sunnie Ludwigs. HSED (High School Equivalency Diploma) has replaced the GED.			

<p>Shawn Fick and Todd Spencer gave input on the upcoming Regional Partners & Managers Training focusing on WIOA and its impact on Regional Workforce Investment Board Members on June 5, 2015 in Johnston, Iowa. Approval was made to send Shawn Fick to the training on June 4 and 5, 2015; Ashley Diediker on June 4, 2015 and Bridget Hoefling on June 5 and to use WIOA Transition Funds to cover the costs of travel, lodging and per diem.</p>
<p>Approval was made to send Shawn Fick to the Adult Education and Literacy 2015 Conference July 15-17, 2015 in Ames and to use WIOA Transition Funds to cover the costs of travel, lodging and per diem</p>
<p>Judy Peterson read letter concerning the Youth RFP. Todd Spencer stated it is not recommended that any regions do a RFP right now because of the WIPA changes.</p>
<p>Old Business: Follow up to data effectiveness question – Shawn Fick reported on Performance Levels for Quarters 2 & 3 and on the One-Stop Customers Integration Statistics (Attachments J, J1, J2, J3, K, and K1). Todd Spencer gave further explanation and stated that Sioux City is the third to fifth busiest office in the state.</p>
<p>Ashley Diediker reported on the Financial Grants Management Conference that was held in Chicago on April 7 to April 9, 2015 which was put on by DOL.</p>
<p>Tyson Update – Classes and workshops such as OSHA Certification, ServSafe, Computer, ELL and HISED have been held in Cherokee and Sioux City.</p>
<p>Shawn Fick and Sara DeAnda reviewed the IowaWORKS Region 12 Managers' Report. Soo Tractor is closing and Wilson Trailer issued a WARN notice to permanently lay off their night shift of welders which will affect 40 to 44 people. There could be some money for apprenticeship partnerships and there is a new pork processing plant coming to Sioux City. Pete Groetken talked about pork plant coming to Sioux City and the City Council approved the 30 day resolution on the land purchase. There is information on the www.sioux-city.org website. Unemployment claims and rates are down. The Governor and Lt. Governor visited Cherokee on April 21 to award 12 communities with the Skilled Iowa Designation. The Governor came to Sioux City to award the City of Sioux City with the Home Base Iowa Designation.</p>
<p>Judy Peterson expressed thanks for the support she received while serving as the RWIB Chair.</p>
<p>Shawn Fick reviewed Field Memos, Training and Employment Notices (TEN) and Training and Employment Guidance Letters (TEGL).</p>
<p>Todd Spencer reviewed the two action item handouts that were passed out. One hand out was on the designation of local WIOA areas. The other handout was on the designation of local board members. Todd stated that the Governor recommended that the state adopt both of these action items. Local areas can choose to adopt the new designations or if eligible can request to be grandfathered in with their current area and board structure. The RWIB and CEOs can request to maintain their current status because Region 12 was in place before 1998 and sustained fiscal integrity for the two years preceding the enactment of the WIOA legislation. The boards need to give their intent by September 15. Discussion took place on these options. The consensus of both boards was to set up teleconferences to vote on the two action items of the geographical area and board structure.</p>
<p>Todd Spencer spoke on the changeover to WIOA. Adoption of local boards is the first step. After September 15 will put out guidance. There will be extra emphasis on board responsibilities. Will need to have a draft of the new local plan by July 1st. The state is hiring a project coordinator and business writer to help with the state plan. Policy and procedures not required to be in place until 3rd year.</p>
<p>Maggie Wilcox spoke on the risk assessment monitoring tool for anyone who receives federal funds. IWD financial has done risk assessment in the past. Maggie reviewed TEGL# 12-14 on allowable uses and funding limits of Workforce Investment Act (WIA) Program Year (PY) 2014 funds for Workforce Innovation and Opportunity Act (WIOA) Transitional Activities and TEGL# 23-14 on the Workforce Innovation and Opportunity Act (WIOA) Youth Program Transition.</p>
<p>Meeting Adjourned.</p>

RESPECTIVELY SUBMITTED



Janet Hansen
Date: 5/21/15

“The Mission of our group is to fully engage the Region 12 community in strengthening the economy through workforce development making it a better place to live, work, and grow.”

**CHIEF ELECTED OFFICIALS
Teleconference Meeting Minutes
Monday, July 20, 2015**

CEO Members Present: Jeff Simonsen, Craig Anderson, Mark Monson, Tom Brouillette

CEO Members Absent: Bob Paulsrud, Pete Groetken

Staff Present: Shawn Fick-JTP, Lori Knight-JTP, Sara DeAnda-IWGS

I. CEO call to order, roll call, approval of agenda — Jeff Simonsen, Chair

Jeff Simonsen, Chair called the meeting to order at 3:32 P.M.

Jeff Simonsen asked for a motion to approve the CEO agenda for July 20, 2015; Craig Anderson made the motion to approve the agenda; Tom Brouillette seconded the motion; **the motion was carried.**

II. Regional composition: Maintain the current 5 counties in the region or consider other options

Discussion took place on the current region 12 composition of the 5 counties of Cherokee, Ida, Monona, Plymouth and Woodbury. Under the new WIOA legislation, each region has to vote on whether to maintain the current structure.

Mark Monson made the motion to continue to maintain the current 5 county structure of Cherokee, Ida, Monona, Plymouth and Woodbury; Craig Anderson seconded the motion; **the motion was carried.**

III. RWIB composition: Maintain/grandfather in the current board structure or move to meet the requirements as set forth in the legislation

Iowa is one of about 5 states that had the legislation in place that allows the current RWIB structure to be grandfathered in. Grandfathering in would keep the current 14 voting board member structure that includes (5) Business, (5) Labor, (1) Community College, (1) School District, (1) City Elected and (1) County Elected. The board can appoint ex-officio, nonvoting members that do not have to go before the Governor.

At a minimum, the RWIB structure under the new WIOA legislation includes 19 members from the following (10) Business Representatives, (2) Representatives of Labor, (1) Representative of a joint labor management, or union affiliated, registered apprenticeship program, (1) Representative from either 107(b)(2)(B)) organizations or joint labor management/union affiliated/registered apprenticeship program or community-based organizations, (1) one eligible provider administering adult education, (1) one representative from an institution of higher education providing workforce investment activities, including community colleges, (1) Economic and community development entities, (1) Employment Service Office under the Wagner-Peyser Act, and (1) programs carried out under title I of the Rehabilitation Act of 1973. The structure will also have at least 3 ex-officio members which includes (1) one county elected official, (1) city official and (1) representative of a school district.

Discussion was held on the two RWIB structures.

Mark Monson made the motion to continue to maintain the current RWIB structure with the 14 members; Tom Brouillette seconded the motion; Jeff Simonsen asked for the vote; (3 Ayes) in favor and (1 no) opposed; **the motion was carried.**

IV. WIOA Partners

- a. Potentially adding the WIOA required partners listed above (ABE, IWD, Voc Rehab, CBO, etc.) as ex-officio (non-voting members) of the current RWIB structure
or
- b. Moving forward to fill the WIOA required partners listed above as full members according to the new required RWIB structure with final approval from the Governor's office

The Chief Elected Officials will add the necessary WIOA partners as ex-officio non-voting members to the RWIB.

V. Updated information from Kelly Taylor related to WIOA Financial Handbook Sections

Kelly Taylor wants to stress to the boards their financial responsibility. The Chief Elected Officials are an agent responsible for disallowing costs.

VI. Future meetings

Due to upcoming approval items and important updates the Chief Elected Officials will be meeting with the RWIB for the 5 meetings this next year. The meeting dates are September 24, 2015, November 12, 2015, January 21, 2016, March 17, 2016 and May 19, 2016.

VII. Other

Discussion took place on RWIB representation for the Chief Elected Officials. Jeff Simonsen informed the other Chief Elected Officials that he has been on the RWIB for many years representing the CEOs and he would be fine having another CEO be the RWIB representative. The Chief Elected Officials asked Jeff Simonsen to continue representing the CEOs with the RWIB group.

VIII. Adjournment

Jeff Simonsen adjourned the meeting at 4:07 P.M.

**REGION 12
REGIONAL WORKFORCE INVESTMENT BOARD
Tuesday, September 1, 2015
Teleconference Meeting Minutes**

RWIB Members Present: Bridget Hoefling, Teresa Miller, Judy Peterson, Janet Hansen, Neal Adler, Dr. Robert Rasmus, John Hamm, Dan Moore, Marcia Rosacker, Rick Moon

RWIB Members Absent: Jeff Simonsen, Cathie Bishop, James O'Donnell, Geri Johnson

Staff Present: Shawn Fick-JTP, Lori Knight-JTP, Janet Gill-JTP

I. RWIB call to order, roll call, approval of agenda — Bridget Hoefling, Chair

Bridget Hoefling, Chair called the meeting to order at 3:33 P.M.

Bridget Hoefling asked for a motion to approve the RWIB agenda for September 1, 2015; Rick Moon made the motion to approve the agenda; Dr. Robert Rasmus seconded the motion; **the motion was carried.**

II. Update from Chief Elected Officials (CEO) Meeting – July 20, 2015

A quick summary was given on the CEO meeting held on July 20, 2015.

III. Regional composition: Maintain the current 5 counties in the region or consider other options

Information was presented on the options for the regional composition.

Teresa Miller made the motion to continue to maintain the current 5 county structure of Cherokee, Ida, Monona, Plymouth and Woodbury; Rick Moon seconded the motion; **the motion was carried.**

IV. RWIB composition: Maintain/grandfather in the current board structure or move to meet the requirements as set forth in the legislation

Grandfathering in the RWIB composition would maintain the current 14 voting board member structure.

Rick Moon made the motion to continue to maintain the current RWIB structure with the 14 members; Marcia Rosacker seconded the motion; **the motion was carried.**

V. WIOA Partners

a. Potentially adding the WIOA required partners listed above (ABE, IWD, Voc Rehab, CBO, etc.) as ex-officio (non-voting members) of the current RWIB structure

or

b. Moving forward to fill the WIOA required partners listed above as full members according to the new required RWIB structure with final approval from the Governor's office

The state recommends the regions which are moving ahead with the grandfathering of the current RWIB composition have the WIOA partners be ex-officio members.

The ex-officio members do not need to maintain political, gender and representation balance and do not need to be sent to the Governor. The ex-officio members would serve in an advisory capacity.

The Chief Elected Officials will appoint the necessary WIOA partners as ex-officio non-voting members to the RWIB.

VI. Other

Due to upcoming approval items and important updates the Chief Elected Officials will be meeting with the RWIB for the 5 meetings this next year. The meeting dates are September 24, 2015, November 12, 2015, January 21, 2016, March 17, 2016 and May 19, 2016.

On October 29, 2015 there will be training to provide RWIB members information on their roles and responsibilities for making decisions.

VII. Adjournment

Bridget Hoefling asked for motion to adjourn; Marcia Rosacker made the motion to adjourn the meeting; Rick Moon seconded the motion; **the motion was carried.** The meeting was adjourned at 3:51 P.M.



Region 12
Chief Elected Official Board
Regional Workforce Investment Board

June 11, 2015

Ms. Donna Kelly, Grant Officer
U.S. Department of Labor
Employment and Training Administration, Office of Grants Management
Reference FOA-ETA-15-08
200 Constitution Avenue, NW, Room N4716
Washington, DC 20210

Dear Ms. Kelly,

Region 12 Workforce Investment Board (RWIB) has been a pilot region for the Disability Employment Initiative grant since December 2012. It is our belief that this pilot project has expanded the effectiveness of the employment system for Iowans with significant disabilities in the following ways:

- Enhanced Partnerships
- Use of "Integrated Resource Teams"
- Expansion of Financial Literacy and Asset Development Strategies.

The Region 12 RWIB is committed to the continued success of this initiative and agrees to:

- Continue to bring together a local leadership team consisting of representatives of the RWIB, One-stop partner agencies and other representatives determined important in guiding the DEI activities by the board.
- Provide guidance regarding regional priorities.
- Address sustainability of DEI practice through Ticket to Work.
- Support a disability resource coordinator through the local one-stop agency.
- Direct the co-enrollment of job seekers with disabilities in WIA services and collaborating community services agencies.
- Participate in evaluation with the national evaluator and the Iowa State Agency Partners.
- Report progress of the DEI activities to the DEI Project Coordinator.

WIA resources provide valuable tools to assist our region's workforce in finding and developing careers. We will use those resources to provide additional services to Iowans with disabilities.

The Region 12 Workforce Board is proud to support the State of Iowa in this endeavor. Please consider their application for the grant award.

Sincerely,

A handwritten signature in cursive script that reads "Judith K. Peterson".

Judith Peterson
Region 12 RWIB Chair

**REGIONAL WORKFORCE INVESTMENT BOARD
SERVICE DELIVERY-REGION 12**

CHAIR, RWIB: BRIDGET HOEFLING
CHAIR, CEO'S: JEFF SIMONSEN

September 24, 2015

Linda Rouse
Program Coordinator
Iowa Workforce Development
150 Des Moines Street
Des Moines, IA 50309

Dear Linda,

The Region 12 Workforce Investment Board is participating in the Iowa Workforce Partners Employment Network, through the Social Security Administration's Ticket to Work Program. The Region 12 RWIB has established Goodwill of the Great Plains as its fiscal agent to handle the Ticket to Work funds coming to this region. This applies to funds generated during PY14. This entity will invest the resources generated to enhance our region's ability to include individuals with disabilities in employment.

Sincerely,

Bridget Hoefling
Regional Workforce Investment Board Chair
Region 12

"The Mission of our group is to fully engage the Region 12 community in strengthening the economy through workforce development making it a better place to live, work, and grow."

WIOA REGIONAL PARTNERS & MANAGERS TRAINING CONFERENCE

Save the Date

October 29, 2015
9:00 a.m. - 4:30 p.m.

Registration begins
at 8:00 a.m.



Stoney Creek Inn
5291 Stoney Creek Court
Johnston, IA 50131
515-334-9000

Iowa Workforce Development has reserved a block of rooms at the Stoney Creek Inn for the conference for \$99.00 per night. Please reserve your rooms by October 9, 2015.

ABOUT

This conference will feature specific training opportunities, including breakout sessions for board members in the areas necessary to meet Workforce Innovation and Opportunity Act (WIOA) implementation deadlines.

WHO

Workforce Development Board members, One-Stop manager/directors and Core Partner agencies who are involved in WIOA implementation are encouraged to attend.

REGISTRATION

Registration information will be available soon.



www.iowaworkforcedevelopment.org/workforce-innovation-and-opportunity-act

RWIB/CEO MEETING DATES 2015-2016

**SEPTEMBER 24, 2015 — WESTERN IOWA TECH
COMMUNITY COLLEGE, SIOUX CITY — 4:00 PM
JOINT RWIB/CEO MEETING**

**NOVEMBER 12, 2015 — WESTERN IOWA TECH
COMMUNITY COLLEGE— 4:00 PM
JOINT RWIB/CEO MEETING**

**JANUARY 21, 2016 — WESTERN IOWA TECH
COMMUNITY COLLEGE, SIOUX CITY — 4:00 PM
JOINT RWIB/CEO MEETING (POSSIBLY W/YOUTH STANDING
COMMITTEE)**

**FEBRUARY 18, 2016 — WESTERN IOWA TECH
COMMUNITY COLLEGE, SIOUX CITY — 4:00 PM
JOINT RWIB/CEO MEETING**

**MARCH 17, 2016— WESTERN IOWA TECH
COMMUNITY COLLEGE, SIOUX CITY— 4:00 PM
JOINT RWIB/CEO MEETING**

**APRIL 21, 2016 — WESTERN IOWA TECH COMMUNITY
COLLEGE, SIOUX CITY—4:00PM
JOINT RWIB/CEO MEETING**

**MAY 19, 2016 — WESTERN IOWA TECH COMMUNITY
COLLEGE, SIOUX CITY—4:00 PM
JOINT RWIB/CEO MEETING**

"The Mission of our group is to fully engage the Region 12 community in strengthening the economy through workforce development making it a better place to live, work, and grow."



To: RWIB and CEO Members

From: Shawn Fick, WIOA Director *SF*

Date: September 21, 2015

Re: RWIB/CEO Administrative Function Budget

In an effort to remain in compliance with federal guidelines and any hint of conflict of interest, IWD fiscal is asking each regional RWIB and CEO board to considering and approve their own budget. These funds should be set aside for expenses directly related to board functions. In an email from Kelly Taylor from the first part of August to all of the regions he stated:

Every board every board should have a budget of their own from the WIOA funds. At an absolute minimum, this budget should support any and all costs related to board meetings. None of those costs should be paid for with funds dedicated to the local service provider. That in and of itself, gives the appearance of a conflict of interest.

Following a discussion of the Executive Boards for the RWIB and CEO boards, the amount of \$2,500 was suggested be set aside for the use of the boards. The expenses of the boards would include items such as travel reimbursement, copies, snacks, and any other costs deemed appropriate by the boards.

A separate line item budget will be established under the WIOA Administrative Budget to cover these expenses. Based on the current budget amounts it is suggested that \$500 be allocated from the current budget amount available to the region with the remaining \$2,000 coming from the nine (9) month budget which is available to the region after October 1st. This will total \$2,500 for use during the year.

If you funds are needed in another area or if additional funds are needed for the board expenditures, changes to the total amount can be made during the year up until the usual transfer cut-off date which has varied from March 15th up to May 15th.

WITCC will still serve as the fiscal agent for the funds, however, all expenditures related to the RWIB and CEO board budget will need to be signed off by either the RWIB Chair, CEO Chair, or both depending on the situation and expenses.

If you have any questions, you may contact either Maggie Wilcox, our regional IWD Fiscal Representative at 515-281-5340 or me at 712-274-8733 ext. 2207 or 712-233-9030 ext. 46021.

CUSTOMER SERVICE PLAN MODIFICATION TRANSMITTAL FORM

To Be Completed by Region: Region Number: 12 Date Submitted: 9/14/15 Effective Date: 9/24/15	For State Use Only: Date Received: Date Approved: Effective Date:
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Workforce Investment Act Region 12 Budget Summary below:	Expended SFY 16, 7-1-15 to 6-30-16
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I. PY14 Carryover (July 1st-June 30th)	
Administration	\$ 0.00
Adult Program Svs, Formula	\$ 0.00
Youth Program Svs, Formula	\$ 0.00
Dislocated Worker Prg Svs, Formula	\$ 0.00
RWIB Fiscal Agent Funds	\$ 0.00
<i>Total</i>	\$ 0.00
II. FY15 Carryover (Oct 1st – June 30th)	
Administration	\$ 0.00
Adult Program Svs, Formula	\$ 0.00
Dislocated Worker Prg Svs, Formula	\$ 0.00
WIOA Transition Funds	\$ 0.00
<i>Total</i>	\$ 0.00
WORKFORCE INNOVATION & OPPORTUNITY ACT	
III. PY14 (July 1st – June 30th)	
Admin Adult	\$ 1,204.00
Admin Youth	\$ 18,025.00
Admin Dislocated Worker	\$ 4,094.00
Adult Program Svs, Formula	\$ 10,836.00
Youth Program Svs, Formula	\$ 162,232.00
Dislocated Worker Prg Svs, Formula	\$ 36,850.00
RWIB Fiscal Agent Funds	\$ 0.00
<i>Total</i>	\$ 233,241.00
IV. PY15 (Oct 1st – June 30th)	
Admin Adult	\$ 0.00
Admin Dislocated Worker	\$ 0.00
Adult Program Svs, Formula	\$ 0.00
Dislocated Worker Prg Svs, Formula	\$ 0.00
Rapid Response Dislocated Workers Shortfall	\$ 0.00
<i>Total</i>	\$ 0.00
OVERALL TOTAL	\$ 233,241.00

Regional Customer Service Plan Certification

I certify that the attached has been reviewed and approved by the Regional Workforce Investment Board and the Chief Elected Officials Board, and that I am authorized to sign on behalf of the group I represent.

RWIB Chair Signature / Date

CEO Chair Signature / Date

The 2014-2015 program year in Region 12-IowaWORKS Greater Siouxland has been very busy and exciting as we move forward with the transition from the Workforce Investment Act (WIA) to the Workforce Innovation and Opportunity Act (WIOA). The four key partners in WIOA, including WIOA-Title I, Wagner-Peyser, Adult Basic Education, and Vocational Rehabilitation continue to work to develop and strengthen the relationships that were already in place prior to the passage of the WIOA legislation. Prior to the legislation being signed in to law most of the partners in and around the region began to develop a better understanding of what services were available and how the partners could better serve customers in the region in the best way possible. The passage of the legislation made the process already under way more formal with specific expectations and roles. Although there are many more success stories and partnerships that exist in the community than can be put in writing for a formal report, the following information is a summary of how the partnerships in our region work together to help everyone we work with be successful.

Ex-Offender Outreach Efforts

In the fall of 2014 staff and management from IowaWORKS Greater Siouxland completed the 160 hour Offender Workforce Development Specialist (OWDS) training program conducted by the National Institute of Corrections. The training and certification are intended to help staff and management better understand the needs of offenders and work with them to immediately begin efforts to keep offenders from falling back in to old habits. Partnerships in around the community are vital to assist offenders with employment options and overcoming their barriers to successful reentry.

As a result of this training IowaWORKS Greater Siouxland is now partnering with the Iowa Department of Corrections Regional Treatment Facility (RTF) and Dismas Charities which is the federal reentry service provider. As a result of the partnership both state and federal probation officers are referring their clients to IowaWORKS Greater Siouxland. As many of the clients suffer from barriers and challenges to employment, our office is utilizing resources from the Disability Reemployment Initiative (DEI) grant awarded to the region to provide bus passes to individuals looking for reemployment assistance and services. Referrals from these two agencies went from seldom or never to an average of 5-6 per month.

Ex-Offender Success Story

A job seeker walked in for work search assistance earlier this summer. He disclosed to a member of the Membership Team that he had completed the NCRC assessments in the past and earned a Gold Certificate. After a brief assessment he was handed off to a Goodwill Partner staff/ Skill Team member and after he completed registration and job search he was given three job referrals. He then completed two applications, one being an application with a local food production facility as a Cookhouse Chill Operator. He self-disclosed that he a resident at the local RTF (state correction facility) and one of his many barriers was transportation. Due to the newly created Offender program we were able to provide bus passes for his job search. The next day an HR representative from the local food production facility was in our office for a hiring event that was previously scheduled. The Goodwill Partner/ Skill Team member suggested to the Human Resource Representative that this particular job seeker would be a good fit for this higher skilled position since he had completed the NCRC Assessment and earned a Gold Certificate he met the skill level required for the position. The staff member also made the comment to the HR Representative that she herself had earned a Gold Certificate and was very proud of her Gold Status so she knows how valuable the assessment is when making hiring decisions. After their conversation the HR representative interviewed the job seeker and offered him the position of a Cookhouse Chill Operator starting wage of \$12.00 with a full benefit

package and the potential to earn up to \$16.00. He later returned to share his success story and thanked the staff member for her assistance in getting hired in the position. This story shows how quickly and effectively working in a team can result into a success story for a job seeker even with the ones that we consider a hard sell to employer due to his criminal background!

Veteran's Outreach Efforts and Successes

With regards to the services available to veterans we continue to partner in order to provide the best services possible. During the past year IowaWORKS Greater Siouxland and its partners continue to advise veterans and community/regional agencies about the changes in place due to the Refocusing Program. IowaWORKS Greater Siouxland continues to be the center for Priority of Service for all veterans and the veteran's representative continues to serve veterans with the most significant barriers.

During the past year there were several significant events related to our efforts to work with veterans including:

- On April 20, 2015 Gov. Terry E. Branstad announced that Sioux City had met the criteria to become designated as a Home Base Iowa (HBI) Community in conjunction with Western Iowa Tech Community College (WITCC) being designated as a Home Base Iowa Certified Higher Academic Military Partners (CHAMP). At the time Sioux City was only one of thirteen HBI communities and remains the largest city in Iowa to receive the designation.
- Following an information meeting for Veterans Treatment Court, the veteran's representative was asked to serve on the committee who will work with veterans dealing with criminal issues. "Local volunteers hope (this) will be a program that helps local military veterans in trouble with the law get their lives in order rather than end up in prison.
- During the year there were two Veterans' Job Fairs held on July 18 and November 1, 2014. The first event had approximately 100 veterans in attendance with about 35 businesses participating. One veteran is known to have been hired from this event. (See the first success story below)

Veteran's Success Stories

A service connected disabled veteran was terminated from his manager's job unexpectedly and was surprised by the dismissal. During his time at the company, he received an excellent performance rating and 3 bonuses. Family circumstances dictated that he would be the sole provider and needed a new job quickly. The veteran had a degree in Business Administration and a certification in Project Management. We reviewed his employment options and informed him of a Veteran's Job Fair at the 185th Air Refueling Wing on July 18, 2014 which the veteran attended. A Social Security Representative was present at the job fair and seeking potential candidates for a Veteran Preference Placement. We advised the veteran of the potential placement and was introduced to and screened by the representative. The representative liked his qualifications and scheduled an interview with the Regional Manager.

After some delays in the interview and hiring process, permission was given to fill the veteran's position. He was offered a GS-5 job, he accepted, and began his job on September 22, 2014. If he progresses as required, he will be elevated to the GS-8 level over a 3 year period. To the Regional Manager's knowledge, this was the first person to be hired in the Sioux City Office in 6 years. The veteran sent an email to us stating "Just wanted to let you know that I got the job

with the Social Security office; I start on Sept. 22. Thanks for all your help; I would not have known about this without your help.”

A disabled veteran was referred to our office by the Veteran Affairs Office to provide assistance with finding employment. The veteran had a Bachelor’s degree in Business and was taking on-line classes to earn a certificate in Nutrition. She earned her National Career Readiness Certificate (NCRC) prior to her visit. She was working two part-time jobs doing security and as a food sampler but the jobs were not providing the income she needed. The veteran said she was not receiving any job offers after job interviews. While conducting her initial assessment, Interbake Foods was conducting a hiring session in our office. She had experience as a Quality and Food Safety Coordinator so it was suggested she apply for the Lab Technician job with the company. As she completed her job application, we reviewed her job history and qualifications with the HR representative. The employer felt her skills and experiences was a good fit for the Quality Assurance and Food Safety position. The employer waited an extra 20 minutes to get her application and resume. The HR person stated she would pass the vet’s application and resume to the hiring manager for that job. In the end, the veteran was offered the job as a Lab Technician with Interbake Foods by the hiring manager. The job started at \$14.85 an hour.

IowaWORKS Greater Siouxland Center Success Stories

Jaime came into the office on May 14, 2015, in the afternoon. She stated that she was graduating from WITCC (Western Iowa Tech Community College) that evening, with a degree as an RN (Registered Nurse). She wanted to thank the RES (Re-employment Services) program for encouraging her to go to school 2 years prior.

Jaime was in the RES class after losing her job, during which the RES advisor gave the class her experience concerning a 2-year degree and how it opened doors for her during time of recession in the workforce. Jaime spoke with the RES advisor after class and indicated that her dream was always to be a nurse but she had kids and school didn’t seem like a good option for her. The RES advisor challenged her and the mentality of age as a barrier, and encouraged her to at least TRY school. If it didn’t work out for her, she could put her mind to rest that nursing was not a good fit for her. With that challenge, she enrolled at WITCC.

So on the day of her graduation, she came into the office to request a mock interview. She had several amazing opportunities as a nurse, and a month later she had her RN license. Her words to the RES advisor, “I would never have thought I could have done this had it not been for the encouraging words to at least try. And I’ve learned that I am a very good nurse, and I love what I’m doing.” Jamie is now enrolled working full time as an RN at a medical facility in the local region.

A recent collaboration between Vocational Rehabilitation (VR) and the business services team (BSR) involved a VR customer, “Robert,” being able to find permanent employment at a large regional food production company. Earlier this summer, Robert came to IowaWORKS Greater Siouxland and, as part of his up-skilling efforts, took the National Career Readiness Certificate (NCRC) earning a platinum certificate. Robert worked with his VR counselor and applied at the company but was not able to get an interview. The VR counselor talked with the BSR team and explained her challenges with the company and trying to get at least an interview for Robert.

A BSR member spoke with the HR office at the company and reiterated the challenges involved with earning a platinum certificate and the talents of someone who earned such a high level. A short time later the company interviewed and hired Robert. The partnerships in the IowaWORKS Greater Siouxland office helped overcome the barriers faced by Robert and his goal of working for this particular company.

State Emergency Grant Budget Template

Project Name: Tyson Deli, Inc.
 Project Operator: Job Training Partners

Expenditures to
 Date: 06/30/2015

Notes	Expenditure Item	Cost Category		Total Planned	For Final Reporting Total Actual
		Administrative	Program		
	Staff Salaries		20,320	20,320	6374
	Fringe Benefits		11,905	11,905	1466
	Travel-within project area		2,296	2,296	1292
	Travel-outside project area			0	
	Communications			0	
1	Facilities			0	
	Office Supplies		200	200	120
	Printing		300	300	50
2	Core/Staff Assisted Core Services		13,389	13,389	4295
3	Intensive Services		12,867	12,867	695
4	Support Services (SS)		5,000	5,000	1061
	Audit		500	500	
5	Other Costs			0	
	Other Costs			0	
	Other Costs			0	
	Other Costs: Indirect	3,223	0	3,223	784
	Total	3,223	66,777	70,000	16,137
6	Cost Category Percentage	4.60%	95.40%		
Notes					
1	Cannot supplant expenses currently covered by formula or other projects				
2	To reflect the anticipated costs for Product Box E services				
3	To reflect the anticipated costs for Product Box T services less Support Services				
4	To reflect the anticipated costs for Support Services				
5	To reflect the anticipated costs for those items not categorized - specify item				
6	Cannot exceed 10% Administration				

Quarterly Expenditure/Implementation Schedule Template

Project Name: Tyson Foods - Cherokee
 Project Operator: Job Training Partners
 Project Start Date: January 8, 2015

Performance Factor/Q	1st Q	2nd Q	3rd Q	4th Q	5th Q	6th Q	7th Q	8th Q
Planned								
Total Participants	12	31	50	50	50	50	50	50
Receiving PBE**	5	30	50	50	50	50	50	50
Receiving PBT***	2	10	20	20	20	20	20	20
Exited	0	0	5	10	20	30	40	50
Employed	0	2	5	15	20	25	30	34
Planned Expenditures	12750	10750	9750	8750	8750	7750	6750	4750
Administration	403	403	403	403	403	403	403	403
Program	12347	10347	9347	8347	8347	7347	64347	4347
Cumulative Total	12750	23500	33250	42000	50750	58500	65250	70000

Product E&T

* 9th Quarter added, if necessary

** Product Box E

*** Product Box T

Performance Factor/Q	1st Q	2nd Q	3rd Q	4th Q	5th Q	6th Q	7th Q	8th Q
Actual								
Total Participants	34	75						
Receiving PBE**	53	73						
Receiving PBT***	5	27						
Exited	0	0						
Employed	0	0						
Actual Expenditures	2281	16137						
Administration	190	784						
Program	2091	15353						
Cumulative Total	2281	16137						

Terry E. Branstad, Governor

Kim Reynolds, Lt. Governor

Beth Townsend, Director



July 31, 2015

Dr. Terry Murrell
President, Administration A511
Western Iowa Tech Community College
4647 Stone Avenue
PO Box 5199
Sioux City, IA 51102-5199

FINAL SPRING MONITORING REPORT

Dear Dr. Murrell:

I am in receipt of Western Iowa Tech Community College's (WITCC's) responses to my Spring 2015 monitoring report. The original finding(s), their response, and my final decision, are attached to this letter. Please note that the scope of a financial monitoring review is significantly less than a financial and compliance audit. Therefore, we cannot express an opinion as to whether the financial statements reviewed present fairly the financial position for the period reviewed nor whether all disbursements were made in compliance with the terms of the contract(s) monitored. I would like to thank Western Iowa Tech Community College for their assistance.

Any questions regarding this letter may be directed to Margaret Wilcox at (515) 281-5340.

Sincerely,

Kelly Taylor
Bureau Chief, Financial Management
Iowa Workforce Development

cc: Jeff Simonsen, CEO Chair
Bridget Hoefling, RWIB Chair
Shawn Fick, Co-Director IowaWORKS Greater Siouxland
Todd Spencer, IWD



Reporting

Financial Status Reports (FSRs) are reviewed to determine if expenditures and revenues reported can be reconciled to the books of account.

Finding #1

The June 2015 Financial Status Report (FSR) Youth In-School funds received figure (\$42,466.65) did not reconcile with WITCC's Financial Summary or Iowa Workforce Development (IWD) records (\$45,466.65).

Corrective Action

Make the necessary correction(s) on the Final FSR submitted to IWD.

Grantee Response

The Staff Accountant agreed to make the necessary correction(s) on the Final FSR submitted to IWD.

IWD Determination

No further response needed at this time.

Participant Payments

A total of one-hundred nine (109) payments were included in the sample. The review included determining if costs were charged to the appropriate program, completeness of time and attendance records, adequate levels of obligations, and whether payments were calculated accurately. Also, a determination is made as to whether costs incurred are consistent with the Region 12's Customer Service Plan (CSP). There were not findings noted.

Staff Overhead Payments

Staff overhead claims were sampled in order to ensure that payments are reasonable, allowable and allocable to the programs charged. There were no findings noted.

Cost Limitations

Cost limitations are reviewed to determine if there are any possible compliance issues in relation to meeting the budget requirements as imposed in federal regulations and the terms of the contracts. There were no findings noted.

Other Issues from IWD Questionnaire

There are other tests conducted during the visit that cannot be appropriately classified with the sections outlined above. There were no findings noted.

Date: September 17, 2015

To: RWIB Board

Re: Summary of Field Memos & Training and Guidance Letters

Field Memo 15-03 – Youth, Adult, and Dislocated Worker Carryover Policy

The 20% carryover limitation at the end of a program year is no longer in effect. This memo gives Regions the flexibility to carry over the amount that is needed to meet the needs of the region. The recapture of unexpended funds will occur at the end of the 2nd quarter of the 2nd program year.

Field Memo – 15-05 – 2015 Poverty Guidelines and 2015 Lower Living Standard Income Level

Annual update of income guidelines from Health and Human Services and the Secretary of Labor. These guidelines are used to establish eligibility for certain programs and determine allowable expenditure amounts.

Field Memo – 15-06 – Instructions – Regional Annual Report for WIA – PY14

Instructions for the submission of the PY14 Regional Annual Report including instruction on the submission of: success stories, performance measures, waiver utilization, discretionary grants and funding, veteran programming, partnerships, and transition strategy.

Field Memo – 15-07 – WIOA Title I Adult Priority of Service

Priority of service for Adult program eligibility will now include individuals who are basic skill deficient regardless of funding levels. This is an effort to serve those with barriers to employment. Local Regions are required to ensure there are strategies to identify and serve these individuals and develop criteria to provide career and training services with WIOA funds.

Field Memo – 15-08 – Key WIOA Transition and Implementation Steps

Guidance, steps, and activities to ensure a smooth transition to WIOA and the utilization of the GSAP (Quick Start Action Planner) assessments to prepare for WIOA implementation and action plans.

Field Memo – 15-09 – Local Service Plan Modifications as a Result of the Federal Consolidated Review

Every Region will be required to define Follow-Up Services. This information will become a permanent part of each Region's Local Service Plan.

TEGL 41-14 – Workforce Innovation and Opportunity Act Title I Training Provider Eligibility Transition

Operating guidance and procedures to determine eligible training providers, eligible training programs, and eligible apprenticeship programs, as well as the process to disseminate this information to local boards and the public.

TEGL 4-15 – Vision for the One-Stop Delivery System under WIOA

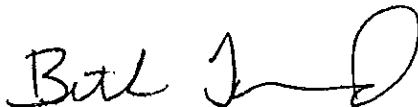
Operating guidance provided to implement a fully integrated system of services through One-Stop Centers to seamlessly serve job seekers, workers, and businesses. Collaborative processes via the establishment of robust partnerships and integrated case management systems is key to this service model. Policies and procedures that support integrated services should be incorporated into local service plans.

~~February 6, 2015~~ Revised: August 13, 2015

WORKFORCE DEVELOPMENT FIELD INFORMATION MEMO NO: 15-03, Chg 1
Change 1 – August 13, 2015

TOPIC: Youth, Adult and Dislocated Worker Carryover Policy.

- 1. Purpose:** To establish new policy in the allowable carryover dollars in a Region's youth, adult, and dislocated worker budgets.
- 2. Background:** Historically, the State has made provisions for local Regions to carry over 20% of their youth, adult and dislocated worker budget from the current Program Year to the following Program Year. This allowance was made to facilitate budgeting and planning for the following program year given participant obligations or potential budget fluctuations. It has also been State policy to recapture any remaining unexpended allotment from all programs at the end of the second program year. These funds are expended / distributed per State discretion.
- 3. Substance:** In order to facilitate the maximum Regional flexibility with budgets, the Regions will be allowed to carry over any percentage of their budgets deemed necessary to provide maximum customer service in the Region. Any remaining unexpended funds from all programs (Youth, Adult, and Dislocated Worker) will henceforth be recaptured per established fiscal procedures by the State at the end of the second quarter of the second Program Year **due to WIOA transition planning efforts.**
- 4. Action:** This Field Memo rescinds all previous Field Memos or email communications on carryover, specifically Field Memos 11-11 and 14-07. This information should be shared with RWIB and CEO Board members and appropriate One-Stop staff.
- 5. Effective Date:** This policy will be effective with the date of this memo.
- 6. Contact:** If there are any questions related to the information in this issuance, contact the Program Coordinator or Budget Analyst assigned to the Region.



Beth Townsend, Director
Iowa Workforce Development

July 7, 2015

WORKFORCE DEVELOPMENT FIELD INFORMATION MEMO NO: 15-05

TOPIC: 2015 Poverty Guidelines and 2015 Lower Living Standard Income Level (LLSIL)

1. **Purpose:** To transmit the 2015 Poverty Guidelines and the 2015 Lower Living Standard Income Level (LLSIL).
2. **Background:** Under Title I of the Workforce Investment Act (WIA) of 1998, the Secretary of Labor annually determines the Lower Living Standard Income Level (LLSIL) for uses described in the Law.

WIA defines the term "low income individual" as one who qualifies under various criteria, including an individual who received income for a six-month period that does not exceed the higher of the poverty line or 70 percent of the LLSIL. The LLSIL was published in the Federal Register on March 27, 2015.

The Department of Health and Human Services (HHS) updates the Poverty Guidelines annually. The 2015 Poverty Guidelines were published in the Federal Register on January 22, 2015.

3. **Substance:** Field Memo 14-02 shall be Archived upon issuance of this Field Memo. This field memo provides the 2015 Poverty Guidelines provided by HHS and the Secretary of Labor's annual LLSIL for 2015. Since "low-income individual," "disadvantaged adult" and "disadvantaged youth" may be determined by family income at 70 percent of the LLSIL, those figures are listed as well. Finally, up to 40 percent of WIA funds may be used for individuals whose family income does not exceed 150 percent of the LLSIL.

2015 Poverty Guidelines for the 48 Contiguous States

<u>Family Size</u>	<u>Poverty Guideline</u>
1	11,770
2	15,930
3	20,090
4	24,250
5	28,410
6	32,570
7	36,730
8	40,980

For family units with more than 8 members, add \$4,160 for each additional member.

70% of the 2015 LLSIL

<u>Family Size</u>	<u>Non-Metro</u>	<u>Metro</u>
1	9,006	9,328
2	14,752	15,291
3	20,252	20,988
4	24,998	25,910
5	29,505	30,574
6	34,504	35,763
7	(1)	(2)

- (1) For each additional family member, add 4,999.
(2) For each additional family member, add 5,189.

2015 Lower Living Standard Income Level (100%)

<u>Family Size</u>	<u>Non-Metro</u>	<u>Metro</u>
1	12,866	13,326
2	21,074	21,844
3	28,931	29,983
4	35,711	37,014
5	42,150	43,677
6	49,291	51,090
7	(1)	(2)

- (1) For each additional family member, add \$7,141.
(2) For each additional family member, add \$7,413.

4. **Action:** This information should be shared with all WIA staff.
5. **Effective Date:** The LLSIL tables in this field memo became effective on March 27, 2015. The HHS Poverty Guidelines were effective on January 22, 2015.
6. **Contact:** If there are questions regarding this field memo, contact the Program Coordinator assigned to the Region.



Mike Wilkinson, Chief Operations Officer

July 31, 2015

WORKFORCE DEVELOPMENT FIELD INFORMATION MEMO NO: 15-06

TOPIC: Instructions – Regional Annual Report for WIA – PY14

1. **Purpose:** To provide instructions for the submittal of the PY14 Regional Annual Report for the Workforce Investment Act covering the service time period of July 1 of the prior program year through June 30.
2. **Substance:** The Workforce Investment Act requires that each State receiving an allotment under the Act submit an annual report of performance progress to the Secretary of Labor. TEGL 09-14 is the point of reference for this field memo until such time as Workforce Investment Act (WIA) Program Year (PY) 2014 Annual Report Narrative guidance is published by the Department of Labor.

The Department of Labor is requesting unique programs, innovation and recent accomplishments including strategies for serving veterans reported in the annual report narrative. The report should highlight your accomplishments in a manner that is presentable to all stakeholders and partners, including Congress, Governors, state legislators and workforce investment boards. Please highlight "success stories" that focus attention on successful programming for participants, employers and communities. Also include information pertaining to your enrollments and programming for any National Emergency Grant (NEG). Focus should be placed on any activities around or affiliated with high growth/high demand industries, green industries, the outcomes expected, and the outcomes received. If you did not achieve outcomes expected, what evaluation measures did you implement to discover the reasons for the unexpected outcomes? What were your best practices?

Additional Information (if applicable):

- A. How have you used the existing waivers to improve performance? How did the waiver change the activities at the local level and how activities carried out under the waiver have directly or indirectly affected local area performance? Please provide the number of individuals that were served under the waiver.

The approved waivers for the State of Iowa are the following:

- Waiver of provision at 20 CFR 663.530 that prescribes a time limit on the period of initial eligibility for training providers.
 - Waiver of 20 CFR 667.140(a) transfer of Adult and Dislocated Worker Funds with the transfer authority limited to 50%.
 - Waiver of 20 CFR 661.420(c) reporting on common measures.
- B. Did your region receive any of the discretionary (this will include early intervention grants and SEGs) funding from the formula program in the prior program year? What activities did the region undertake with these funds? What targeted population was served? How did those activities directly or indirectly affect performance?
 - C. A discussion of the programs, initiatives and strategies for serving veterans at the local level.

D. A discussion of programs and strategies for serving employers at the local level. Effects on major industries may also be included.

E. Has your region participated in any of the following activities:

- Building a demand-driven system within a regional economic development context;
- Implement system reform, with streamlined governance and alignment of economic and workforce development regions
- Enhance an integrated service delivery system that focuses on services rather than programs. If you are in integrated Center, how has this affected your service delivery?
- Highlight innovative service delivery strategies, including program activities that support dislocated workers, low-skilled/low-income adults and disadvantaged youth, the outcomes expected as well as the actual outcomes for their major customer segments;
- Advance a vision for serving youth most in need;
- Strengthen partnerships with community and faith-based organizations;

Any narrative addressing any of the activities listed above should include a discussion on how this affected performance. What worked and what did not work. Please take note that there is continued emphasis on performance and what activities each region used to affect performance and whether or not the performance was evaluated. Describe what methods were used to evaluate the performance?

The State will provide all performance information for formula funding.

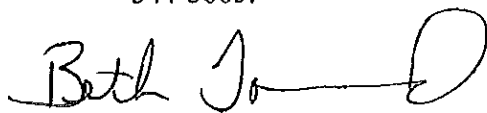
F. With the passage and implementation of Workforce Innovation and Opportunity Act of 2014, describe efforts undertaken in the preceding program year:

- a. WIOA transition planning
- b. Early implementation efforts
- c. Transition strategy for the Youth program

3. **Effective Date:** This information should be shared with the Regional Workforce Investment Board (RWIB) and with all individuals who will participate in developing the regional report.

An electronic copy of the report should be e-mailed to: Michaela.Rotert@iwd.iowa.gov no later than August 21, 2015.

4. **Contact:** If there are questions regarding this field memo, please contact the appropriate WIA Regional Representative or Todd Spencer at Todd.Spencer@iwd.iowa.gov or 641-344-3665.



Beth Townsend, Director
Iowa Workforce Development

August 31, 2015

WORKFORCE DEVELOPMENT FIELD INFORMATION MEMO 15-07:

TOPIC: WIOA Title I Adult Priority of Service

1. **Purpose:** This policy discusses priority of service requirements for Workforce Innovation and Opportunity Act (WIOA) Title I Adults for both Career Services and Training Services. Priority applies for low-income individuals, participants on public assistance and individuals who are basic skills deficient. Veterans continue to receive priority of service for all DOL-funded training programs under 38 U.S.C. 4215 and 20 CFR 1010.
2. **Background:** The Workforce Investment Act (WIA) required that if funds allocated to a local area for adult employment and training activities were limited, priority of service was to be provided to recipients of public assistance and other low-income individuals for intensive and training services.

Veterans and eligible spouses continue to receive priority of service for all DOL funded programs amongst all participants. These requirements were not affected by the passage of WIOA and must still be applied in accordance with guidance previously issued by DOL.

3. **Substance:** WIOA made several changes to the priority of service requirement by adding individuals who are basic skills deficient as a priority population, changing intensive services to individualized career services, and removing the provision stating priority of service is only applied if funding is limited.

WIOA Title I Section 134(c)(3)(E) requires that priority of service be given to "recipients of public assistance, other low income individuals, and individuals who are basic skills deficient for receipt of career services...and training services." As indicated in the Notice of Proposed Rule Making (NPRM) Preamble, "WIOA builds on the priority given under WIA to providing training services to low-income individuals receiving public assistance." Further, unlike WIA where priority was required only when funds were limited, "priority must be given regardless of funding levels" in WIOA. As described in the Act, WIOA is meant to increase need, "*particularly those with barriers to employment.*"

Section 194(1) requires that services be provided to those who can benefit from "*and who are most in need of such opportunities.*" The addition of Temporary Assistance for Needy Families (TANF) as a mandatory partner and the inclusion of Adult Education as a core partner in the one-stop delivery system highlight federal intent to bring the populations served by those programs into the opportunities provided by WIOA.

"Priority of service" status is established at the time of eligibility determination for WIOA Title I Adult registrants and does not change during the period of participation. Priority does *not* apply to the dislocated worker population. For purposes of this policy guidance, Priority of Service applies to Adults. Youth priority of service will be addressed separately.

WIOA Title I Adult Priority of Service

Page 2

Proposed rule 680.650 re-affirms that veterans continue to receive priority of service in ALL DOL-funded training programs but that a “veteran must still meet each program’s eligibility criteria.” Thus for WIOA Title I Adult services, the program’s eligibility and priority considerations must be made first, and then veteran’s priority applied.

Local areas must give priority of service to participants that fall into one of the below priority categories (Proposed § 679.560(b)(21)):

- 1) Recipients of public assistance
- 2) Other low-income individuals. The term “low income individuals” is defined in WIOA Law—Definitions; Section 3(36) means an individual who:
 - Receives, or in the past 6 months has received, or is a member of a family that is receiving or in the past 6 months has received, assistance through the Supplemental Nutrition Assistance Program (SNAP), TANF, Supplemental Security Income (SSI) under Title XVI of the Social Security Act, or state or local income-based public assistance program; **or**
 - Receives an income or is a member of a family receiving an income that in relation to family size, is not in excess of the current U.S. DOL 70 percent Lower Living Standard Income Level and U.S. Department of Health and Human Services Poverty Guidelines **or**
 - Is a homeless individual, **or**
 - Is an individual with a disability whose own income meets the income requirements above, but who is a member of a family whose income does not meet this requirement.
- 3) Individuals who are basic skills deficient. The term “basic skills deficient” is defined in Section 3(5) to mean a youth or adult who is unable to compute or solve problems, or read, write, or speak English at a level necessary to function on the job, in the individual’s family, or in society. Iowa Workforce Development(IWD) is providing guidance for making this determination by defining it as an individual who meets ANY ONE of the following:
 - Lacks a high school diploma or equivalency and is not enrolled in secondary education; **or**
 - Scores below 9.0 grade level (8.9 or below) on the TABE; CASAS or other allowable assessments as per National Reporting System (NRS) developed by the U.S. Department of Education’s Division of Adult Education and Literacy **or**
 - Is enrolled in Title II adult education (including enrolled for ESL); **or**
 - Has poor English language skills (and would be appropriate for ESL even if the individual isn’t enrolled at the time of WIOA entry into participation.

The career planner makes observations of deficient functioning and records those observations as justification in the data management system or as a case note.

4) Individuals (non-covered persons) who do not meet the above priorities may be enrolled on a case by case basis with documented managerial approval. The WIOA eligible adult must meet one or more of the following categories of an individual with a barrier to employment:

- Displaced homemakers;
- Individuals with disabilities;
- Older individuals;
- Ex-offenders;
- Eligible migrant and seasonal farm workers;
- Single parents (including single pregnant women)

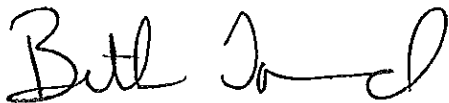
4. **Action:** Regional Workforce Development Boards (RWDBs) are to ensure One-Stop Operators and service providers recruit individuals in the priority of service categories and develop and provide appropriate services to meet those populations' needs. Local areas must establish written policies and procedures to ensure priority for the populations described in this guidance for participants served in the WIOA Adult program for eligibility determinations beginning on July 1, 2015.

Local Boards must establish criteria for providing priority to individualized career and training services with WIOA adult funds. Criteria may include other resources and funds for providing career and training-related services in the workforce area, as well as the needs of specific groups in the local workforce area and other factors the Board determines appropriate. Additionally, based on local policy, the Boards may:

- Establish a process that also gives priority to other individuals; and
- Choose to provide individualized career and training services to adults whose income is above the WIOA income guidelines requirement but below the Board-established self-sufficiency wage level.

5. **Effective Date:** Immediately.

6. **Contact:** Direct any questions to Todd Spencer at: Todd.Spencer@iwd.iowa.gov or Michaela Malloy-Rotert: Michaela.Malloy-Rotert@iwd.iowa.gov.



Beth Townsend, Director
Iowa Workforce Development

August 31, 2015

WORKFORCE DEVELOPMENT FIELD INFORMATION MEMO: 15-08

TOPIC: Key Workforce Innovation and Opportunity Act (WIOA) Transition & Implementation Steps

1. **Purpose:** This guidance discusses steps /activities that local areas can undertake to ensure a smoother transition to WIOA and local plan development. As local areas analyze and begin implementing the steps outlined, we encourage you to identify areas where technical assistance is needed to plan future trainings.
2. **Background:** WIOA presents an extraordinary opportunity for the public workforce system to transform and improve the quality of life for job seekers and workers through an integrated, job-driven system that links diverse talent to our nation's businesses.

In order to assist with transition activities, WIOA allows for the use of up to two percent (shared between the state and local area) of the state's Program Year 2014 Workforce Investment Act allocations to support transition costs. Local areas are encouraged to use transitional funding to move forward in the transition from WIA to WIOA. Unless otherwise indicated, local areas shall immediately begin addressing the items outlined in this field memo.

3. **Substance:** The U.S. Department of Labor has developed an assessment tool to help leaders at all levels of the public workforce system plan for WIOA transition and prepare for the implementation of WIOA. The Quick Start Action Planner (QSAP) helps workforce leaders identify areas of strength and targets for improvement in their workforce system and connect to targeted resources to prepare and plan effectively.

The WIOA QSAP is comprised of a series of assessments on critical topics for WIOA implementation:

- Partnerships- strategic partnerships and program alignment across workforce, education, economic development, business, social services and other key programs/ systems.
- Governance and Leadership- The critical role of strategic Local Boards in providing leadership and governance for the public workforce system.
- One-Stop service design- Customer-centered and integrated service delivery through one-stop centers that provide high quality services to job seekers and businesses.
- Youth strategies- Service delivery strategies that emphasize work-based learning opportunities and build career pathways for youth.

The assessments can be used in multiple ways to prepare for the implementation of WIOA and identify the changes needed to transform the public workforce system:

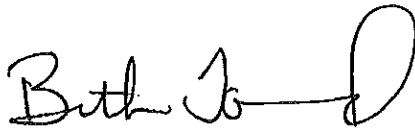
- *Individual Results and Team Discussion*- Individuals take the QSAP and then share their results in a group setting- team discussion helps to align around current conditions and areas for action.
- *Facilitated Group Discussion*- A facilitator leads your team through the QSAPs as part of a strategic planning session to collectively identify priorities for change
- *Create a WIOA Action Plan*- An Action Plan Template is available in Word or PDF to develop a plan to implement WIOA. On the WIOA QSAP page at <https://wioa.workforce3one.org/page/planner>

4. **Action:** Local leaders are encouraged to complete all of the relevant QSAPs in the series. Transition dollars can be used to support a facilitated group discussion/ creation of priorities in an action plan.

A team of core partner programs/mandatory partners should review current local plans and gather the necessary information to update, based upon the required elements defined in WIOA. Local areas are encouraged to go through a comprehensive asset mapping process in order to address the gaps in service delivery.

5. **Effective Date:** Immediately.

6. **Contact:** Direct any questions to Todd Spencer at: Todd.Spencer@iwd.iowa.gov.



Beth Townsend, Director
Iowa Workforce Development

September 9, 2015

WORKFORCE DEVELOPMENT FIELD INFORMATION MEMO: 15-09

TOPIC: Local Service Plan Modification as a Result of the Federal Consolidated Review.

1. **Purpose:** To provide clarification in all Local Service Plans (LSP) or Regional Plans regarding Follow-up Services.
2. **Background:** During the week of May 11-15, 2015, the U.S. Department of Labor (DOL), Employment and Training Administration, conducted a consolidated review in the State of Iowa. As a result of this review, U.S. DOL Region 5 delivered their report to Iowa Workforce Development on June 30, 2015. This report contained a finding regarding Follow-up Services as follows:

“The Customer Service and Workforce Development Plans for Region 11 and 14 did not contain Follow-up Service Policies for Adults and Dislocated Workers. Iowa’s WIA Handbook required regions to include a definition of Follow-up Services in their Regional Customer Service Plans.”

The State Response to this finding is as follows:

“Iowa agrees with the finding and will be issuing a detailed guidance to local regions no later than September 30, 2015. The DOL Regional Office will be notified via email when this occurs and the notification will include a copy of the guidance statement. In addition, Iowa’s monitoring team will begin reviewing this with each individual region during our annual review process.”

3. **Substance:** The State’s response requires every Region will define Follow-up Services to be provided in the region. See:

a. WIA Handbook, Section 14,

<http://portal.iowaworkforce.org/regions/WIA%20Handbook/Sec%2014%20Applicant%20and%20Participant%20Process%20-%20Apr%202014.pdf>;

b. Workforce Innovation and Opportunity Act,

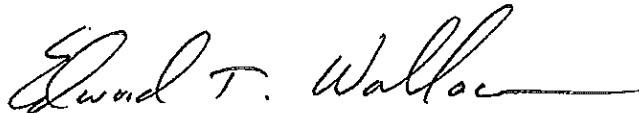
<https://www.congress.gov/113/bills/hr803/BILLS-113hr803enr.pdf>

c. WIOA Notice of Proposed Rule Making, <http://www.gpo.gov/fdsys/pkg/FR-2015-04-16/pdf/2015-05530.pdf>

4. **Action:** This information should be shared with Local Workforce Development Board (RWDB, formerly known as RWIB) and Chief Elected Officials (CEO) Board members as well as appropriate One-Stop staff. The current LSP shall be modified per Field Memo 13-05 dated December 13, 2013, to reflect the **Substance** section of this Field Memo. The modification will become a permanent part of the LSP.

5. Effective Date: This procedure is effective with the date of this memo and the required action shall be completed by November 1, 2015.

6. Contact: If there are any questions related to the information in this issuance, contact Todd Spencer, : Todd.Spencer@iwd.iowa.gov. WIA / TAA State Administrator.

A handwritten signature in cursive script that reads "Edward T. Wallace". The signature is written in black ink and includes a long horizontal flourish at the end.

Edward Wallace, Deputy Director
Iowa Workforce Development

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION WIOA
	CORRESPONDENCE SYMBOL OWI
	DATE June 26, 2015

ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER WIOA NO. 41-14
OPERATING GUIDANCE for the WORKFORCE INNOVATION AND
OPPORTUNITY ACT (referred to as WIOA or the Opportunity Act)

TO: STATE WORKFORCE AGENCIES
STATE WORKFORCE ADMINISTRATORS
STATE WORKFORCE LIAISONS
STATE AND LOCAL WORKFORCE BOARD CHAIRS AND DIRECTORS

FROM: PORTIA WU /s/
Assistant Secretary

SUBJECT: Workforce Innovation and Opportunity Act (WIOA or Opportunity Act) Title I
Training Provider Eligibility Transition

- Purpose.** In accordance with WIOA sec. 122, this guidance explains the requirements and timelines for determining training provider eligibility in order to utilize WIOA title I-B training funds and for publicly disseminating the eligible training provider list.

WIOA was signed into law on July 22, 2014. WIOA is designed to help job seekers access employment, education, training, and support services to succeed in the labor market and to match employers with the skilled workers they need to compete in the global economy. WIOA supersedes titles I and II of the Workforce Investment Act of 1998, and amends the Wagner-Peyser Act and the Rehabilitation Act of 1973.

The Departments of Labor and Education published a set of regulations for implementing WIOA through the posting of five Notice of Proposed Rulemaking (NPRMs) documents. These NPRMs were open for public comment until June 15, 2015, and several hundred comments were received by both Departments. The Federal agencies will review, analyze and consider the comments received. The Final WIOA rules will be issued in 2016.

In order to continue implementation prior to the final rule, a series of WIOA Operating Guidance documents are being issued in the form of Training and Employment Guidance Letters (TEGLs). These Operating Guidance documents on WIOA will inform the workforce system on how to begin the important planning and organizational work necessary to comply with the WIOA statutory requirements. The Operating Guidance TEGLs will

RESCISSIONS None	EXPIRATION DATE Continuing
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provide a framework for program activities until the regulations are finalized. This TEGL is one in a series of WIOA Operating Guidance.

2. **References.** See Attachment I.
3. **Background.** Under both WIA title I and WIOA title I-B, participants in need of training services to enhance their job readiness or career pathway may access career training through a list of state-approved training providers and their state-approved training programs. Participants can select from the list of eligible training provider (ETP) programs that meet their needs. WIOA title I-B builds upon and modifies the system in place under WIA title I. This guidance highlights and clarifies those changes to assist State and Local Workforce Development Boards in adjusting their processes to comply with WIOA requirements.

The workforce development system established under WIOA emphasizes informed consumer choice, job-driven training, provider performance, and continuous improvement. The quality and selection of providers and programs of training services, including Registered Apprenticeship programs and others, is vital to achieving these core principles. As required by WIOA sec. 122, States, in partnership with Local Boards, must identify eligible training providers that are qualified to receive WIOA title I-B funds to train adults and dislocated workers, including those with disabilities. Therefore, WIOA requires that each State must maintain a list of eligible training providers and their eligible training programs. The list must be accompanied by relevant performance and cost information and must be made widely available, including in electronic formats, and presented in a way that is easily understood, in order to maximize informed consumer choice and serve all significant population groups. Governors and boards are required to implement the ETP provisions of WIOA by July 22, 2015 (not later than 12 months after the enactment of WIOA).

The State plays a leadership role in ensuring the success of the eligible training provider system in partnership with Local Boards, the one-stop system, and its partners. The approved list of eligible training providers should serve as an important tool for participants seeking training to identify appropriate providers, and relevant information such as cost and program outcomes. Using the list of eligible training providers, case managers in one-stop career centers can assist participants in identifying training and training providers in high demand industries that result in positive outcomes and recognized credentials.

This operating guidance addresses the requirements for the provisions that go into effect in the first year implementation of the WIOA. States should be aware of future requirements, such as performance reporting, beyond the first year of implementation that will be addressed in separate guidance in the future.

4. **Eligible providers of training services.** Only providers that the State determines to be eligible, as required in WIOA sec. 122, may receive training funds under WIOA title I-B to provide training for participants who enroll in a WIOA-funded program of training services, except as discussed in Section 5 of this TEGL.

Eligible training providers include:

- Post-secondary education institutions;
- Registered Apprenticeship programs;
- Other public or private providers of training, which may include joint labor-management organizations and eligible providers of adult education and literacy activities under title II if such activities are provided in combination with occupational skills training;
- Local Boards, if they meet the conditions of WIOA sec. 107(g)(1); and
- Community Based Organizations (CBOs) or private organizations of demonstrated effectiveness that provide training under contract with the Local Board.

Eligible training providers are subject to the equal opportunity and nondiscrimination requirements contained in Section 188 of WIOA. The types of eligible training providers for WIOA are substantively the same as those under WIA. However, under WIOA, Registered Apprenticeship programs must be included and maintained on the list for as long as the program remains registered under the National Apprenticeship Act. Section 8 of this guidance further discusses inclusion of Registered Apprenticeships as eligible providers.

5. **Eligible programs of training services.** A program of training services is defined as one or more courses or classes, or a structured regimen that leads to a recognized post-secondary credential, secondary school diploma or its equivalent, employment, or measurable skill gains toward such a credential or employment. These training services could be delivered in person, on-line, or in a blended approach. The types of eligible training services under WIOA title I-B are similar to those approved under WIA title I with expanded options for incumbent workers, and the use of Local Board contracts for training services.

Not all allowable types of training services are subject to the requirements of the eligible training provider provisions in WIOA title I-B. Training services exempt from the Section 122 eligibility requirements include:

- On-the-job training; customized training; incumbent worker training; transitional employment; or
- The circumstances described at WIOA sec. 134(c)(3)(G)(ii), where the Local Board determines that:
 - There are insufficient providers, or
 - There is a training services program with demonstrated effectiveness offered in the local area by a community-based organization or other private organization to serve individuals with barriers to employment, or
 - It would be most appropriate to award a contract to an institution of higher education or other eligible provider of training services in order to facilitate the training of multiple individuals in in-demand industry sectors or occupations, and such contract does not limit customer choice; or
- When the Local Board provides training services through a pay-for-performance contract.

For training programs exempted from the training provider eligibility requirements, the Governor may require one-stop operators in a local area to collect performance information and determine whether the providers meet the Governor's performance criteria. Providers that meet the criteria are considered eligible providers of training services.

6. **Procedure for establishing training provider eligibility.** Generally, the Governor, in consultation with the State Board, must develop procedures for determining provider eligibility. Procedures must be in place by July 22, 2015 to determine the initial eligibility of "new" training provider programs that were not eligible under WIA title I. These procedures do not apply to Registered Apprenticeship programs, which are discussed below in section 8 of this TEGL.

The requirements to become an eligible provider of training services apply to all organizations providing WIOA title I-B- funded training to adults and dislocated workers, with the specific exception of Registered Apprenticeship programs. For Registered Apprenticeship programs, WIOA makes a change from WIA in that Registered Apprenticeship programs must be included and maintained on the list of eligible training providers for as long as the program remains registered. The Governor, in consultation with the State Board, must establish procedures for determining the initial eligibility of new providers, procedures for reviewing and renewing eligibility for all providers at least every two years, and procedures for transitioning existing WIA providers to WIOA.

- a. **Initial eligibility for new providers under WIOA title I-B.** States must implement the initial eligibility procedures under WIOA by July 22, 2015. For all programs that have not previously been eligible, except for Registered Apprenticeship programs, providers must submit required information for the programs to be considered for initial eligibility in accordance with the Governor's procedures. Programs that become eligible under these procedures receive initial eligibility for only one year. In establishing the initial eligibility procedures and criteria, the Governor may establish minimum performance standards, and the Department encourages Governors to do so.

The Governor must require providers seeking initial eligibility under WIOA title I-B to provide verifiable program specific performance information. The State's initial eligibility criteria must require applicant providers to, at a minimum:

- Describe each program of training services to be offered;
- Provide information addressing a factor related to the indicators of performance, as described in WIOA sec. 116(b)(2)(A)(i)(I)-(IV), which include: unsubsidized employment during the second quarter after exit, unsubsidized employment during the fourth quarter after exit, median earnings, and credentials attainment;
- Provide information concerning whether the provider is in a partnership with business. This could include information about the quality and quantity of employer partnerships;
- Provide other information the Governor may require in order to demonstrate high quality training services, including a program of training services that leads to a recognized post-secondary credential; and,

- Provide information that addresses alignment of the training services with in-demand industry sectors and occupations, to the extent possible.
- b. **Continued eligibility application procedure.** The State must establish an application procedure for training providers to maintain their eligibility and the eligibility of their programs. Continued eligibility requirements apply to training providers transitioning to WIOA title I-B who were previously eligible under WIA title I and newly eligible training providers that were determined to be initially-eligible under WIOA title I-B. Providers previously eligible under WIA title I will be subject to the application procedure for continued eligibility at the end of the transition period which may extend up to December 31, 2015, or an earlier date as determined by the Governor. The Governor's procedure for continued eligibility must be implemented in a timely way so that provider eligibility is established by the end of the transition period for these providers. Newly eligible training providers that were determined to be initially-eligible under WIOA title I-B will be subject to the application procedure for continued eligibility before their initial year of eligibility expires. The continued eligibility procedure should be implemented in a timely way so that continued provider eligibility is established by the end of their initial year of eligibility. All providers are subject to review and renewal of their eligibility at least every two years, according to the Governor's procedure. The Governor's application procedure for continued eligibility must be described in the State Plan, and outline the roles of the State and local areas in receiving and reviewing provider applications, and in making eligibility determinations.

In establishing criteria for continued eligibility, the Governor must take into account the following factors:

- The performance of providers of training services on the performance accountability measures described in WIOA sec. 116(b)(2)(A)(i)(I)-(IV). The Governor may establish minimum performance standards, and the Department encourages Governors to do so. Until the performance data for each accountability measure is available, the Governor may take into account alternate factors related to performance for that accountability measure. In considering alternate factors related to performance the Governor may set minimal performance criteria, use existing available data, or develop other proxies as appropriate. Once training providers have two years of performance outcomes using the WIOA performance indicators specified in section 116, Governors will be expected to take them into account;
- Access to training services throughout the State including rural areas and through the use of technology;
- Information reported to State agencies on Federal and State training programs other than programs within WIOA title I-B, including one-stop partner programs;
- The degree to which training programs relate to in-demand industry sectors and occupations in the State;
- State licensure requirements of training providers, and licensing status of providers of training services, if applicable;
- The provider's ability to offer industry-recognized certificates and/or credentials;
- The ability of providers to offer programs that lead to post-secondary credentials;

- The quality of the program of training services including a program that leads to a recognized post-secondary credential;
 - The ability of the providers to provide training services that are physically and programmatically accessible for individuals who are employed and individuals with barriers to employment, including individuals with disabilities;
 - The timeliness and accuracy of the eligible training provider's performance reports; and,
 - Other factors that the Governor determines are appropriate in order to ensure: the accountability of providers; that one-stop centers in the State will meet the needs of local employers and participants; and that participants will be given an informed choice among providers. States are responsible for ensuring the quality and value of eligible training providers for WIOA program participants. Examples of additional factors that the Governor may consider include: the ability of a provider to partner with employers and to provide job placement services; the dropout rate of the training provider, and the student loan default rate of the provider.
- c. Transition opportunities for currently eligible WIA training providers.** Providers previously eligible under WIA title I may remain eligible through a transition period, which may extend to December 31, 2015, or to an earlier date as determined by the Governor. These existing WIA providers are not subject to the initial eligibility procedures but are subject to the continued eligibility procedures under WIOA title I-B. The Governor's procedure for continued eligibility must be implemented in a timely way so that provider eligibility is established by the end of the transition period for these existing WIA providers. These procedures do not apply to Registered Apprenticeship programs, which are discussed below in section 8 of this TEGP.

7. Role of State and Local Areas in Developing and Disseminating the List of Eligible Training Providers.

- a. The Role of the State:** The Governor must establish eligibility criteria and procedures for initial determination and renewals of eligibility for training providers and training programs to receive funds under WIOA title I-B. In doing so, the Governor may establish minimum performance levels for eligibility and the Department encourages Governors to do so. The Department anticipates that most States will work through a designated State agency or appropriate State entity to administer the ETPL requirements. The Governor or State agency has explicit responsibility for managing and disseminating the approved list of eligible training providers. The State must perform the following required roles:
- Establishing eligibility procedures and clarifying State and Local Board roles and responsibilities;
 - Establishing a mechanism for adding Registered Apprenticeship programs to the list and verifying registered status at least every two years;
 - Consulting with the State Board when establishing these procedures;
 - Providing an opportunity for interested members of the public to make recommendations and submit comments regarding the eligibility procedure including Local Boards;

- Determining whether the provider submitted accurate information, and take enforcement actions as needed;
- Disseminating the list to the Local Boards, the one-stop system, its partner programs, and the public;
- Determining if state-established minimum performance levels for eligibility are met;
- Removing programs that do not meet State-established program criteria or performance levels for eligibility; and,
- Establishing an appeals procedure for providers to appeal a denial of eligibility under this section.

b. **Role of Local Boards.** The Local Boards have statutorily required responsibilities related to eligible training providers, roles that the Governor may assign the Local Board, and additional options for their local area.

- Local Boards must work with the State to ensure that:
 - There are sufficient numbers and types of providers of career services and training services (including eligible providers with expertise in assisting individuals with disabilities and eligible providers with expertise in assisting adults in need of adult education and literacy activities) serving the local area and providing the services involved in a manner that maximizes consumer choice and leads to competitive integrated employment for individuals with disabilities; and
 - The State's eligible training provider list is disseminated publicly through the local one-stop system, and its partner programs;
- The Governor may also assign specific responsibility to Local Boards such as determining the initial eligibility of entities providing a program of training services, renewing the eligibility of providers, and considering the possible termination of an eligible provider due to the provider's submission of inaccurate eligibility and performance information or the provider's substantial violation of WIOA; and
- The Local Board may set additional eligibility criteria, information requirements, and minimum performance levels for local providers beyond what is required by the Governor's procedure. Local Boards may also provide comment and input into the Governor's development of the eligible provider procedure through the public comment process. Any additional requirements established by the Local Board will only affect a program's eligibility and performance level eligibility requirements within the local area.

8. **Registered Apprenticeship.** This section describes how States may integrate Registered Apprenticeship programs onto the list of eligible training providers. Pre-apprenticeship programs do not have the same automatic ETP status under WIOA title I-B as do Registered Apprenticeship programs. Information on the Registered Apprenticeship program is found at <http://www.dol.gov/apprenticeship/>.

- a. **Registered Apprenticeship Requirements for ETP Status.** Under WIOA title I-B, Registered Apprenticeship program sponsors that request to be ETPs are automatically included on the list and will remain as long as the program is registered or until the program sponsor notifies the State that it no longer wants to be included on the list.

Registered Apprenticeship programs are not subject to the same application and performance information requirements or to a period of initial eligibility or initial eligibility procedures as other providers because they go through a detailed application and vetting procedure to become a Registered Apprenticeship program sponsor with the United States Department of Labor or the State Apprenticeship Agency (SAA).

- b. **Registered Apprenticeship program sponsors.** All Registered Apprenticeship programs are eligible to be included on the State list of eligible training providers. Registered Apprenticeship can take many forms and the sponsors are diverse, including:
- **Employers who provide related instruction.** A number of employers with Registered Apprenticeship programs provide formal in-house instruction as well as on-the-job training at the work site.
 - **Employers who use an outside educational provider.** Under this model Registered Apprenticeship program sponsors do not provide the related instruction or educational portion of the apprenticeship, but rely upon an outside educational entity to deliver instruction. Employers can use two- or four-year post-secondary institutions, technical training schools, eligible providers of adult education and literacy activities under title II, or on-line courses for related instruction. The employer is the ETP and must identify their instructional provider as defined locally.
 - **Joint Apprenticeship Training Programs.** These programs are made up of employers and unions. They have an apprenticeship training school where the instructional portion of the Registered Apprenticeship program is delivered. The training schools are usually administered by the union.
 - **Intermediaries.** Intermediaries can serve as program sponsors when they take responsibility for the administration of the apprenticeship program. They can also provide expertise such as curriculum development, classroom instruction and supportive services, as appropriate. The intermediary is the ETP and must identify the instructional provider if an outside organization is providing the educational portion of the apprenticeship. Intermediaries include:
 - Educational institutions including two- and four-year post-secondary institutions, technical schools, or eligible providers of adult education and literacy activities under title II. In this model the educational institution administers the program, works with employers to hire apprentices and provides classroom or on-line instruction for the apprenticeship program;
 - Industry associations administer the program and work with employer/members and educational entities to implement the apprenticeship program; and,
 - Community based organizations administer the program and work with employers, educational entities and the community to implement the apprenticeship program.
- c. **Adding Registered Apprenticeship programs to the State list of Eligible Training Providers.** Registered Apprenticeship program sponsors must indicate their interest in being an ETP according to procedures established by the Governor. The Governor must work with the federal Office of Apprenticeship (OA) state director, or if the State

oversees the apprenticeship system, with the SAA to develop a mechanism to contact all Registered Apprenticeship programs within the State in order to allow them to indicate interest (Federal OA and SAA state contact information is at <http://www.doleta.gov/oa/contactlist.cfm>).

When developing the procedures, the State must consider that new Registered Apprenticeship programs are constantly added to the federal and SAA databases and may want to become ETPs. Therefore, data collection on new Registered Apprenticeship programs should be conducted on a timely basis (quarterly or bi-annually). All Registered Apprenticeship programs should be required to include the following information for the State:

1. Occupations included within the Registered Apprenticeship program;
2. The name and address of the Registered Apprenticeship program sponsor;
3. The name and address of the Related Technical Instruction provider, and the location of instruction if different from the program sponsor's address;
4. The method and length of instruction; and,
5. The number of active apprentices.

Registered Apprenticeship program sponsors that do not provide the Related Technical Instruction portion of the apprenticeship program (as outlined above) may be required to provide additional information about their education provider, including the cost of the instruction.

d. Verifying Registered Apprenticeship Program ETP Status.

The Governor is required to develop a procedure to verify the status of Registered Apprenticeship programs as part of the State's review of the State list of eligible training providers at least every two years. The State will need to work with the federal OA or the SAA to obtain a list of all Registered Apprenticeship programs that are either voluntarily or involuntarily deregistered. This process can be part of the procedures outlined in Section 8c of this Guidance.

9. Required Provider Information. All eligible training providers must submit accurate and timely performance data and cost information at least every two years, according to procedures established by the Governor. While the statute requires providers to supply information at least every two years, States may update the information in the State list more frequently, so that participants considering training have the most current information. The Governor must take this information into account when establishing continued eligibility and as part of the State's biennial review and renewal of eligibility for a particular provider.

- a. The program-specific performance information submitted to the State must include the following information, disaggregated by the local area being served, as applicable:
 - Performance outcome information for the indicators described in WIOA sec. 116(b)(2)(I-IV) ;
 - Information identifying the recognized post-secondary credentials received by WIOA participants;

- Program cost information, including tuition and fees, for WIOA participants in the program, and;
 - Information on the program completion rate for WIOA participants.
- b. The Governor may require any additional performance information that the Governor determines to be appropriate to determine and maintain eligibility.
- c. Governors must establish a procedure by which a provider can demonstrate that providing information required under this section would be unduly burdensome or costly. If the Governor determines that providers have demonstrated such extraordinary costs or undue burden:
- The Governor must provide access to cost-effective methods for the collection of the information;
 - The Governor may provide additional resources to assist providers in the collection of the information from funds for statewide workforce investment activities reserved under WIOA secs. 128(a) and 133(a)(1); or
 - The Governor may take other steps to assist training providers in collecting and supplying required information such as offering technical assistance.
- d. In addition to the information requirements for development of the list of eligible training providers, which are described above, WIOA sec. 116(d) requires providers to submit performance information for the State's Eligible Training Provider Performance Reports, which are disseminated publicly similarly to the list of eligible training providers. ETA will issue separate guidance addressing the requirements for State Eligible Training Provider Performance Reports.

10. Dissemination of the State list of eligible training providers. WIOA requires that the Governor or State agency disseminate the State list of eligible training providers and accompanying performance and cost information to Local Boards in the State and to members of the public online including through Web sites and searchable databases and through whatever means the State uses to disseminate information to consumers, including the one-stop delivery system and its program partners throughout the State. The Employment and Training Administration will continue to maintain lists of Eligible Training Providers on CareerOneStop.Org, and Workforce Agencies are encouraged to also make this information available on state websites through a web service or other application programming interface (API).

- a. **Ease of use and accessibility.** Because the purpose of the list of eligible training providers is to support participants seeking training in making informed choices regarding providers that meet their needs, the list should be made easily available to partners, stakeholders, and those participants interested in training. It should also be presented in a format that is searchable, user friendly, facilitates comparisons, accessible to individuals with disabilities, and easily understood by individuals seeking information on training outcomes, as well as participants in employment and training activities funded under WIOA, and other programs.

- b. **Accompanying information.** The State eligible training provider list must be accompanied by appropriate information to assist participants in choosing employment and training activities. Such information must include the following, disaggregated by local areas served, as applicable:
- Recognized post-secondary credential(s) offered;
 - Provider information supplied to meet the Governor's eligibility procedure;
 - Performance and cost information aligned with the time periods; and,
 - Additional information as the Governor determines appropriate, such as the number of units (for example, credits, hours or semesters) needed to earn the credentials offered.
- c. **Privacy Considerations.** Accompanying information must not reveal personally identifiable information about an individual participant. In addition, disclosure of personally identifiable information from an education record must be carried out in accordance with the Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99) including the circumstances relating to prior written consent.
- d. **Additional Local Board information.** Local Boards may supplement the criteria and information requirements established by the Governor in order to support informed consumer choice and the achievement of local performance measures. These additional informational requirements may include:
- Information on programs of training services that are linked to occupations in demand in the local area;
 - Performance and cost information, including program-specific performance and cost information, for the local outlet(s) of multi-site eligible providers;
 - Information that shows how programs are responsive to local requirements; and,
 - Other appropriate information related to the objectives of WIOA such as participant satisfaction or other LWIB determined factors.
- e. **Eligible training provider exceptions.** Providers of on-the-job training, customized training, incumbent worker training, internships, paid or unpaid work experience, or transitional employment are not subject to the ETP requirements discussed in Section 6. For these training programs, one-stop operators in a local area must collect such performance information as the Governor may require and determine whether the providers meet the Governor's performance criteria. The Governor may require one-stop operators to disseminate a list of providers that have met the performance criteria, along with the relevant performance information about them, through the one-stop delivery system. Providers that meet the criteria are considered eligible providers of training services.
- f. **Eligible training providers outside the Local Area or State.** An individual may choose a training provider located outside the local area, and, in some instances, in other States. States may enter into reciprocity agreements with other States under which providers of training services are allowed to accept individual training accounts provided by another State. Providers of training services that are located outside the local area may not be subject to State eligibility procedures if the provider has been determined eligible by

another State with such an agreement. The option to enter into reciprocity agreements diminishes the burden on States and providers of training services to be subject to duplicative procedures and is allowable under WIOA sec. 122(g). This provision also expands the array of training options available for individuals seeking training.

- g. **Dissemination of Registered Apprenticeship program providers.** The Governor is responsible for disseminating information on Registered Apprenticeship Program ETPs to Local Boards. This includes updating new Registered Apprenticeship Program ETPs, removing programs that no longer want to remain on the list, and eliminating deregistered programs. The Governor is authorized to designate a State agency to carry out this requirement. The Department urges the State agency to work directly with the federal Office of Apprenticeship state director or if the State oversees the apprenticeship system, the SAA, to obtain the information.

11. Deeming Providers Ineligible. A training provider must deliver results and provide accurate information in order to retain its status as an eligible training provider under WIOA title I-B. The State may revoke a provider's eligibility and remove the provider from the list of approved providers for false reporting, for substantially violating a provision of title I of WIOA or its implementing regulations, or for failure to meet required performance outcomes (if established). Eligible training providers are subject to the equal opportunity and nondiscrimination requirements under WIOA Section 188. The State must establish procedures for removing a provider from the list. Such procedures must also identify which entity is responsible for revoking a provider's eligibility (Local Board or State Agency). Revocation must be for a period not less than two years. A provider who has been removed from the list of eligible training providers is liable to repay all adult and dislocated worker training funds received during the period of noncompliance. States and Local Areas should work together to ensure that any participants currently enrolled in that training program experience minimal disruption.

- a. **WIOA requires a biennial review of providers on the State list.** This document provides supporting guidance for the implementation of the ETP provisions prior to the release of WIOA regulations. However, states should be aware that a review of provider eligibility is required under WIOA title I-B at least every two years and providers failing to meet performance, reporting, or other requirements may be removed from the list as a result of that review. Additional detail will be provided in future guidance.
- b. **Appeals process for providers removed from the State or Local list.** Providers removed from the statewide list of eligible training providers, or from a particular local area list of eligible training providers, must be afforded the opportunity to appeal the removal. Therefore, the Governor must establish an appeals procedure for providers of training to appeal a denial of eligibility. The procedure must explain the appeals process for denial or termination of eligibility of a provider of training services. Likewise, Local Boards must establish an appeals procedure for providers of training to appeal a denial of eligibility from the local list of eligible training providers which explains the appeals process for denial or termination of eligibility of a provider of training services.

12. **Training Providers Serving Participants in the Trade Adjustment Assistance Program (TAA)**. The TAA program established under the Trade Act of 1974, Public Law 93-618, as amended, does not contain the WIOA sec. 122 requirement that only providers that the State determines to be eligible, including apprenticeship programs, may receive training funds. TAA participants may select a training program offered by a provider on the State list of eligible training providers, and the cooperating state agency administering TAA for the state may approve that training if it meets the criteria for TAA training approval for that participant. If a participant is co-enrolled in a WIOA program and TAA, the TAA program also may fund training by a provider that is not on the State list of eligible training providers. However, if a co-enrolled participant receives training under WIOA, the requirements under WIOA sec. 122 apply.
13. **Action Requested**. States must proceed with the actions outlined in this guidance.
14. **Inquiries**. Questions regarding this guidance should be directed to the appropriate ETA regional office.
15. **Attachment(s)**.
 - Attachment I: References
 - Attachment II: Eligible Training Provider “Quick Reference Guide”

Attachment I

WIOA Operating Guidance TEGL References

- WIOA (Pub. L. 113-128) Title I;
- TEGL No. 19-14, *Vision for the Workforce System and Initial Implementation of the Workforce Innovation and Opportunity Act*;
- WIA (Pub. L. 105-220), Title I; and
- TEGL No. 27-14 and TEGL 27-14, Change 1, *Workforce Innovation and Opportunity Act Transition Authority for Immediate Implementation of Governance Provisions*.

Attachment II

Eligible Training Provider “Quick Reference Guide”

<u>Initial Eligibility</u>	<u>To become eligible:</u>	<u>When:</u>	<u>Duration:</u>	<u>Criteria:</u>
<p>Applies to:</p> <p>Training providers that were not eligible under sec 122 of either WIA or WIOA (except for Registered Apprenticeship programs).</p>	<p>Must apply for initial eligibility according to the Governor’s procedures.</p>	<p>Procedures must be in place no later than 12 months after enactment. Providers may apply for initial eligibility any time after July 22, 2015.</p>	<p>One year.</p> <p>The period of initial eligibility is one year. These providers are subject to Governor’s procedure for continued eligibility in order to maintain eligibility beyond one year.</p>	<p>Governor must require providers seeking initial eligibility to provide information, as described at Section 6a.</p>
<p>Applies to:</p> <p>WIA-eligible training providers after transition period ends.</p> <p>Also, applies to initially-eligible providers under WIOA in order to maintain eligibility after the period of initial eligibility expires after one year.</p>	<p>In order to continue to be eligible under WIOA, providers are subject to Governor’s continued eligibility application procedure and criteria.</p> <p>Eligible providers are subject to review and renewal of eligibility at least every two years.</p>	<p>The transitional period extends to December 31, 2015 or to an earlier date determined by the Governor.</p> <p>The Governor’s procedure for continued eligibility must be implemented in a timely way so that provider eligibility is established by the end of the transition period or initial eligibility period for these providers.</p>	<p>Two years.</p> <p>The Governor’s procedure must provide for review and renewal of eligibility at least every two years.</p>	<p>The Governor’s procedure takes into account 10 required factors and any other factors the Governor considers appropriate.</p> <p>Required criteria are described in this guidance at Section 6b.</p>

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION VISION FOR THE ONE-STOP SYSTEM
	CORRESPONDENCE SYMBOL ETA OWI
	DATE August 13, 2015

ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER WIOA NO: 4-15
OPERATING GUIDANCE for the WORKFORCE INNOVATION AND
OPPORTUNITY ACT (WIOA or Opportunity Act)

TO: STATE AND LOCAL STAKEHOLDERS IN THE WORKFORCE
INNOVATION AND OPPORTUNITY ACT
STATE WORKFORCE ADMINISTRATORS
STATE WORKFORCE LIAISONS
STATE AND LOCAL WORKFORCE BOARD CHAIRS AND DIRECTORS
AMERICAN JOB CENTER DIRECTORS
SECTION 166 INDIAN AND NATIVE AMERICAN GRANTEEES

FROM: PORTIA WU /s/
Assistant Secretary

SUBJECT: Vision for the One-Stop Delivery System under the Workforce Innovation and
Opportunity Act (WIOA)

- Purpose.** This Training and Employment Guidance Letter (TEGL) lays out the vision for the one-stop delivery system under the Workforce Innovation and Opportunity Act (WIOA) and links to key technical assistance resources to support states and local areas as they integrate this vision into their one-stop delivery system (<http://www.doleta.gov/wioa>). This guidance is also being issued by the Department of Education's Office of Career, Technical, and Adult Education and Office of Special Education and Rehabilitation Services. It was developed in collaboration with these agencies, as well as the Department of Health and Human Services, Administration for Children and Families. The Employment and Training Administration (ETA) will soon issue additional guidance to other programs administered by DOL that covers governance, operational, and service delivery topics related to the one-stop delivery system.

WIOA was signed into law on July 22, 2014. WIOA is designed to help job seekers access employment, education, training, and support services to succeed in the labor market and to match employers with the skilled workers they need to compete in the global economy.

WIOA supersedes titles I and II of the Workforce Investment Act of 1998 (WIA), and amends the Wagner-Peyser Act and the Rehabilitation Act of 1973.

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The Departments of Labor and Education published a set of proposed regulations for implementing WIOA through the posting of five Notice of Proposed Rulemaking (NPRMs) documents. These NPRMs were open for public comment until June 15, 2015, and thousands of comments were received by both Departments. The Federal agencies will review, analyze, consider, and respond to the comments received. The Final WIOA rules will be issued in 2016.

In order to continue implementation prior to the final rule, a series of WIOA Operating Guidance documents are being issued in the form of Training and Employment Guidance Letters (TEGLs). These Operating Guidance documents on WIOA will inform the workforce system on how to begin the important planning and organizational work necessary to comply with the WIOA statutory requirements. The Operating Guidance TEGLs will provide a framework for program activities until the regulations are finalized. This TEGL is one in a series of WIOA Operating Guidance.

2. **References.** See Attachment.
3. **Background.** The vision for the one-stop delivery system contained in this TEGL reflects the long-standing and ongoing work of dedicated workforce professionals around the country to align a wide range of publicly- and privately-funded education, employment, and training programs while also providing high-quality customer service to job seekers, workers, and businesses through the one-stop delivery system.

The creation of one-stop centers (currently branded as American Job Centers) was a cornerstone of WIA when it passed in 1998. In the years between the passage of WIA and WIOA—and longer for those communities that piloted one-stop centers under the Job Training Partnership Act of 1982—the workforce system has tested a variety of approaches to maximize the benefits of one-stop centers to its direct customers and their communities. In the last 10 years, technological advancements have opened up new avenues of service delivery, and the increased availability of evidence-based models has strengthened our shared understanding of the best of these approaches. In addition, the Obama Administration worked intensively with federal agencies in 2013 and 2014 to reform federal employment, education, and training programs to create a more integrated, job-driven service delivery system. A job-driven service delivery system is one that results in linking our nation's diverse talent with employers and businesses. As a result of this work, one-stop centers continue to be a valued community resource, known both locally and nationally as an important source of assistance for those looking for work or workers, and those looking for opportunities to grow their careers.

WIOA recognizes the value of the one-stop delivery system, and provides the workforce system with important tools to enhance the quality of its one-stop centers. The law strengthens the ability of States, regions, and local areas to align investments in workforce, education, and economic development to regional in-demand jobs. It also places greater emphasis on achieving results for job seekers, workers, and businesses. Finally, it reinforces the partnerships and strategies necessary for one-stop centers to provide job seekers and workers with the high-quality career services, education and training, and the supportive services they need to obtain good jobs and stay employed; and to help businesses find skilled

workers and access other supports, including education and training for their current workforce.

Since the one-stop delivery system was established, technology has made lasting changes to our economy and society. Mobile workers and businesses with regional and national footprints that cross municipal borders are much more common. For that reason, there is an increased customer demand for consistent, high-quality education, employment, and training services across the country. The passage of WIOA supports the workforce system in meeting that demand, and the adoption of a national vision for the one-stop delivery system and its one-stop centers is an important first step in that work.

4. **Vision for the One-Stop Centers under WIOA.** The publicly funded workforce system envisioned by WIOA is quality-focused, employer-driven, customer-centered, and tailored to meet the needs of regional economies. It is designed to increase access to, and opportunities for, the employment, education, training, and support services that individuals need to succeed in the labor market, particularly those with barriers to employment. It aligns workforce development, education, and economic development programs with regional economic development strategies to meet the needs of local and regional employers, and provide a comprehensive, accessible and high-quality workforce development system. This is accomplished by providing all customers access to high-quality one-stop centers that connect them with the full range of services available in their communities, whether they are looking to find jobs, build basic educational or occupational skills, earn a postsecondary certificate or degree, or obtain guidance on how to make career choices, or are businesses and employers seeking skilled workers.

Under WIOA, partner programs and entities that are jointly responsible for workforce and economic development, educational, and other human resource programs collaborate to create a seamless customer-focused one-stop delivery system that integrates service delivery across all programs and enhances access to the programs' services. The one-stop delivery system includes six core programs (Title I adult, dislocated worker, and youth programs; Title II adult education and literacy programs; Title III Wagner-Peyser program; and Title IV vocational rehabilitation program), as well as other required and optional partners identified in WIOA¹. Through the one-stop centers, these partner programs and their service providers

¹ In addition to the core programs, required partners include the Senior Community Service Employment Program; job counseling, training, and placement services for veterans authorized under chapter 41 of title 38; career and technical postsecondary education programs authorized under the Carl D. Perkins Career and Technical Education Act of 2006; Trade Adjustment Assistance Programs; employment and training activities carried out under the Community Services Block Grant; U.S. Department of Housing and Urban Development (HUD) employment and training programs; Unemployment Compensation programs; programs authorized under the Second Chance Act of 2007, Section 212 (reintegration of ex-offenders); and programs authorized under the Social Security Act Title IV, Part A (TANF), unless the Governor determines that TANF is not a required partner.

Optional partners may include, with the approval of the local board and chief elected officials, the U.S. Social Security Administration (SSA) employment and training program (i.e. Ticket to Work programs); Supplemental Nutrition and Assistance Program (SNAP) employment and training programs; the Vocational Rehabilitation Client Assistance Program; National and Community Service Act Programs; and other employment, education or training programs such as those operated by libraries or in the private sector.

ensure that businesses and job seekers—a shared client base across the multiple programs identified above—have access to information and services that lead to positive employment outcomes. Under WIOA, one-stop centers and their partners:

- provide job seekers with the skills and credentials necessary to secure and advance in employment with family-sustaining wages;
- provide access and opportunities to all job seekers, including individuals with barriers to employment, such as individuals with disabilities, to prepare for, obtain, retain, and advance in high-quality jobs and high-demand careers;
- enable businesses and employers to easily identify and hire skilled workers and access other supports, including education and training for their current workforce;
- participate in rigorous evaluations that support continuous improvement of one-stop centers by identifying which strategies work better for different populations;
- ensure that high-quality integrated data inform decisions made by policy makers, employers, and job seekers.

The management of the one-stop delivery system is the shared responsibility of States, local boards, elected officials, the core WIOA partners, other required partners, and one-stop center operators. The Departments encourage all of these entities to integrate the characteristics below into their work, including developing state, regional, and local strategic plans; establishing one-stop center certification criteria; examining the state, regional, and local footprint of one-stop centers; conducting competitions for selecting one-stop center operators; developing local Memoranda of Understanding (MOUs); updating other one-stop center policies and procedures; and operating and delivering services through the one-stop centers.

5. **Characteristics of a High-Quality One-Stop Center.** The characteristics identified below, consistent with the purpose and authorized scope of each of the programs, are designed to reflect elements that the Departments believe contribute to a high-quality one-stop delivery system. They demonstrate the spirit and intent of WIOA, and the Departments believe they will strengthen the successful integration and implementation of partner programs in one-stop centers. For clarity and readability the characteristics have been grouped into three functional categories: (a) Customer Service; (b) Innovation and Service Design; and (c) Systems Integration and High-Quality Staffing.

- a. **One-Stop Centers Provide Excellent Customer Service to Job Seekers, Workers and Businesses.** Meeting the needs of job seekers, workers and businesses is important in developing thriving communities where all citizens succeed and businesses prosper. High-quality one-stop centers:

- **Reflect a welcoming environment to all customer groups who are served by the one-stop centers.** All one-stop center staff are courteous, polite, responsive, and helpful to job seekers, businesses, and others who visit the one-stop centers, either in person or by telephone or e-mail. Moreover, one-stop center staff are sensitive to the unique needs of individuals with disabilities and are prepared to provide necessary accommodations.

- **Develop, offer, and deliver quality business services** that assist specific businesses and industry sectors in overcoming the challenges of recruiting, retaining, and developing talent for the regional economy. To support area employers and industry sectors most effectively, one-stop center staff identify and have a clear understanding of industry skill needs, identify appropriate strategies for assisting employers, and coordinate business services activities across one-stop center partner programs, as appropriate. This includes the incorporation of an integrated and aligned business services strategy among one-stop center partners to present a unified voice for the one-stop center in its communications with employers. Additionally, one-stop centers use the forthcoming performance measure(s) on effectiveness in serving employers to support continuous improvement of these services.
 - **Improve the skills of job seeker and worker customers.** One-stop centers offer access to education and training leading to industry-recognized credentials through the use of career pathways, apprenticeships, and other strategies that enable customers, including those with disabilities, to compete successfully in today's global economy. They provide businesses with access to the quantity and quality of talent they need and support upskill/backfill strategies that expand job opportunities in the community.
 - **Create opportunities for individuals at all skill levels and levels of experience** by providing customers, including those with disabilities, as much timely, labor market, job-driven information and, choice as possible related to education and training, careers, and service delivery options, while offering customers the opportunity to receive both skill-development and job placement services.
 - **Provide career services that motivate, support and empower customers,** including individuals with disabilities, to make informed decisions based on local and regional economic demand and effectively attain their personal employment and education goals.
 - **Value skill development** by assessing and improving each individual's basic, occupational, and employability skills.
- b. One-Stop Centers Reflect Innovative and Effective Service Design.** High-quality one-stop centers:
- **Use an integrated and expert intake process for all customers entering the one-stop centers.** Frontline staff are highly familiar with the functions and basic eligibility requirements of each program, and can appropriately assist customers and make knowledgeable referrals to partner programs, as needed and as appropriate given the authorized scope of the program.
 - **Design and implement practices that actively engage industry sectors** and use economic and labor market information, sector strategies, career pathways,

Registered Apprenticeships, and competency models to help drive skill-based initiatives.

- **Balance traditional labor exchange services with strategic talent development within a regional economy.** This includes use of market-driven principles and labor market information that help to define a regional economy, its demographics, its workforce and its assets and gaps in skills and resources.
 - **Ensure meaningful access to all customers.** One-stop centers must be physically and programmatically accessible to all customers, including individuals with disabilities. In so doing, one-stop centers use principles of universal design and human-centered design, such as flexibility in space usage; the use of pictorial, written, verbal and tactile modes to present information for customers with disabilities or limited English proficiency; providing clear lines of sight to information for seated or standing users; providing necessary accommodations; and providing adequate space for the use of assistive devices or personal assistants. One-stop centers use assistive technology and flexible business hours to meet the range of customer needs.
 - **Include both virtual and center-based service delivery for job seekers, workers, and employers.** Both methods of delivery support the talent needs of the regional economy, although each may better serve different customers with different levels of service needs at any given time. The one-stop delivery system can expand its reach by delivering robust virtual services; and increasing the accessibility of those services through community partners, such as libraries, community and faith-based organizations, and other partners.
 - **Incorporate innovative and evidence-based delivery models** that improve the integration of education and training, create career pathways that lead to industry-recognized credentials, encourage work-based learning, and use state-of-the-art technology to accelerate learning and promote college and career success.
- c. **One-Stop Centers Operate with Integrated Management Systems and High-Quality Staffing.** High-quality one-stop centers:
- **Reflect the establishment of robust partnerships among partners.** The one-stop center operator facilitates an integrated, co-located partnership that seamlessly incorporates services of the core partners and other one-stop center partners.
 - **Organize and integrate services by function** (rather than by program); when permitted by a program's authorizing statute and as appropriate, and by coordinating staff communication, capacity building, and training efforts. Functional alignment includes having one-stop center staff who perform similar tasks serve on relevant functional teams, e.g. Skills Development Team, Business Services Team. Service integration focuses on serving all customers seamlessly (including targeted

populations) by providing a full range of services staffed by cross-functional teams, consistent with the purpose, scope, and requirements of each program.

- **Develop and maintain integrated case management systems** that inform customer service throughout the customer's interaction with the integrated system and allow information collected from customers at intake to be captured once. Customer information is properly secured in accordance with personally identifiable information guidelines, and facilitated as appropriate, with the necessary memoranda of understanding or other forms of confidentiality and data sharing agreements, consistent with federal and state privacy laws and regulations. Data, however, would be shared with other programs, for those programs' purposes, within the one-stop system only after the informed written consent of the individual has been obtained, where required.
 - **Develop and implement operational policies** that reflect an integrated system of performance, communication, and case management, and use technology to achieve integration and expanded service offerings.
 - **Use common performance indicators** to ensure that federal investments in employment and training programs are evidence-based, labor market driven, and accountable to participants and taxpayers. Center performance is transparent and accountable to the communities and regions served; data entry staff are trained and understand the importance of data validation, data collection processes, and the importance of accurate reporting.
 - **Train and equip one-stop center staff** in an ongoing learning process with the knowledge, skills, and motivation to provide superior service to job seekers, including those with disabilities, and businesses in an integrated, regionally focused framework of service delivery. Center staff are cross-trained, as appropriate, to increase staff capacity, expertise, and efficiency. Cross-training allows staff from differing programs to understand every program and to share their expertise about the needs of specific populations so that all staff can better serve all customers. Center staff are routinely trained and are keenly aware as to how their particular function supports and contributes to the overall vision of the local board.
 - **Staff the center with highly trained career counselors**, skilled in advising job seekers of their options, knowledgeable about local labor market dynamics, aware of available services inside and outside the one-stop center, and skilled in developing customers' skills for employment success.
6. **Resources.** Along with the resources provided at the WIOA collections page at <http://wioa.workforce3one.org>, the following technical assistance tools are currently available as part of the Departments' ongoing effort to support state and local areas in the adoption of the vision for the one-stop centers under WIOA.

a. Provide Excellent Customer Service to Job Seekers, Workers and Employers.

- Opening Doors for Everyone: Providing Outstanding Customer Service at One-Stop Career Centers: This toolkit is designed to provide one-stop center staff members an enhanced level of comfort when providing service to customers with a diverse array of backgrounds and needs.
<https://wioa.workforce3one.org/view/2001501480321360042/info>
- Expanding Business Engagement: WIOA makes significant changes to the nation's workforce development system, expressly incorporating the sector strategies approach throughout and requiring regional planning and alignment with local labor market needs for in-demand sectors and occupations. The Expanding Business Engagement (EBE) - Technical Assistance (TA) Initiative will support the strategic planning and implementation of revitalized or enhanced business engagement activities within states, regions, and local areas.
<http://businessengagement.workforce3one.org/>

b. Reflect Innovative and Effective Service Design.

- One-Stop Service Design: The resources section contains a variety of curated technical assistance tools, best practices, replicable models, implementation plans, recorded webinars, videos, research documents, and data reports to support innovative and effective one-stop center service design.
<https://wioa.workforce3one.org/ws/wioa/pages/resources.aspx?pparams=1001501462393639983>
- Legacy Disability Training: Understanding Disability: The purpose of this introductory course is to provide practical learning experience toward acquiring the knowledge and skills needed to provide quality workforce development services to persons with disabilities.
<https://wioa.workforce3one.org/view/4011507054815454755/info>

c. Integrated Administrative Systems and High Quality Staffing.

- Integrated Service Delivery Toolkit: This toolkit provides ideas, strategies and resources for integrating service delivery in the public workforce system.
<https://wioa.workforce3one.org/view/2001508963127430705/info>
- Effective Case Management: This site contains resources and tools designed to help system administrators, local leaders and staff to support high-quality case management in the workforce system.
<https://effectivecasemanagement.workforce3one.org/index.aspx>

d. Other One-Stop Vision Technical Assistance Tools.

- **One-Stop Career Centers Fact Sheet:** Provides highlights of WIOA reforms for one-stop centers. <https://wioa.workforce3one.org/view/2001507734890961606/info>
- **Quick Start Action Plan (QSAP) for One-Stop Centers:** An interactive, self-paced assessment tool designed to help leaders at all levels of the public workforce system prepare for implementation of WIOA. The QSAP helps identify areas of strength and focused areas for improvement in a state or local workforce system and connects to targeted resources that can help leaders to prepare and plan effectively. <http://qsap.workforce3one.org/page/planner/OneStop/Questionnaire>

7. **Action Requested.** As WIOA core programs and partners at the state and local level implement WIOA in program year 2015, the Departments encourage states to adopt this vision and build it into the policies and procedures related to the management of the one-stop delivery system. This includes developing regional and local strategic plans; establishing certification criteria for one-stop centers and the one-stop delivery system; examining the state, regional, and local footprint of one-stop centers; conducting competitions for selecting one-stop center operators; developing the local MOU; and updating other one-stop center policies and procedures.
8. **Inquiries.** Please direct questions regarding this guidance to the appropriate ETA Regional office or through the ETA email address established for this purpose: DOL.WIOA@dol.gov. ETA monitors this account daily, and may respond to inquiries directly or through general communications such as official guidance, webinars, and public Q&A documents.
9. **Attachment.** References for the One-Stop Vision TEGL

Attachment

References for the One-Stop Vision TEGL

- WIOA (Pub. L. 113-128);
- WIA (Pub. L. 105-220), Title I;
- TEGL No. 3-14, *Implementing a Job-Driven Workforce System*, dated July 30, 2014 http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5483;
- TEN No. 5-14, *WIOA Announcement and Initial Informational Resources*, dated July 22, 2014 http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3556;
- TEN No. 6-14, *Information for Stakeholder Engagement for Workforce Innovation and Opportunity Act Implementation*, dated August 15, 2014 http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=8186;
- TEGL No. 12-14, *Allowable Uses and Funding Limits of WIA Program Year 2014 Funds for Workforce Innovation and Opportunity Act Transitional Activities*, dated October 28, 2014 http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3475;
- TEGL No. 15-14, *Implementation of the New Uniform Guidance Regulations*, dated December 19, 2014 http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5740;
- TEGL No. 19-14, *Vision for the Workforce System and Initial Implementation of the Workforce Innovation and Opportunity Act* dated February 19, 2015 http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7353;
- WIOA implementation dates, http://wdr.doleta.gov/directives/attach/TEN/WIOA-Key-Implementation-Dates_Acc.pdf.
- Notice of Proposed Rulemaking (NPRM) with the Departments of Education and Labor). *Workforce Innovation and Opportunity Act; Joint Rule for Unified and Combined State Plans, Performance Accountability, and the One-Stop System Joint Provisions.* Pages 20573-20687 [FR DOC# 2015-05528] (joint).
- *Workforce Innovation and Opportunity Act; Notice of Proposed Rulemaking* Pages 20689-20966 [FR DOC# 2015-05530] (Labor only, for review and public comment).
- Notice of Proposed Rulemaking (NPRM) with the Departments of Education and Labor). *Programs and Activities Authorized by the Adult Education and Family Literacy Act;* (Title II of the Workforce Innovation and Opportunity Act). Pages 20967-20987 [FR DOC# 2015-5540] (Education only).
- Notice of Proposed Rulemaking (NPRM) with the Departments of Education and Labor). *State Vocational Rehabilitation Services Program; State Supported Employment Services Program; Limitations on Use of Subminimum Wage;* Pages 21059-21146 [FR DOC# 2015-05538] (Education only).
- Notice of Proposed Rulemaking (NPRM) with the Departments of Education and Labor). *Workforce Innovation and Opportunity Act, Miscellaneous Program Changes;* Pages 20988-21058 [FR DOC# 2015-05535] (Education only).