

**DEPARTMENT OF LABOR****Employment and Training  
Administration****Planning Guidance and Instructions  
for Submission of the Strategic Five-  
Year State Plan for Title I of the  
Workforce Investment Act of 1998 and  
the Wagner-Peyser Act**

**AGENCY:** Employment and Training  
Administration, Labor.

**ACTION:** Notice.

**SUMMARY:** The purpose of this notice is to provide interested parties with the final approved planning guidance for use of States in submitting their Strategic Five-Year State Plan for Title I of the Workforce Investment Act of 1998 and the Wagner-Peyser Act. The Planning Guidance and Instructions provide a framework for the collaboration of Governors, Local Elected Officials, businesses and other partners to design and build workforce investment systems that address customer needs; deliver integrated, user-friendly services; and are accountable to the customers and the public.

**FOR FURTHER INFORMATION CONTACT:** Mr. Eric Johnson, Workforce Investment Implementation Taskforce Office, U.S. Department of Labor, 200 Constitution Avenue, NW, Room S5513, Washington, D.C. 20210, Telephone: (202) 219-0316 (voice) (This is not a toll-free number), or 1-800-326-2577 (TDD). Information may also be found at the website—<http://usworkforce.org>.

**SUPPLEMENTARY INFORMATION:** The Workforce Investment Act (WIA or Act), Pub.L. 105-220 (August 7, 1998) provides the framework for a reformed national workforce preparation and employment system designed to meet the needs of the nation's employers, job seekers and those who want to further their careers. Titles I, III, and V of the Act encourage States to reform existing employment and training programs to reach two important goals: (1) to think broadly about how Federal, state, local resources and the private sector can be brought together to increase the employment, retention, and earnings of participants, and (2) to increase occupational skill levels of customers. This will result in a more qualified workforce, a reduction in welfare dependency, and enhanced productivity and competitiveness for the Nation. The new law makes changes to the current workforce development system in many areas, including: funding streams; target populations; delivery system; performance accountability; long-term planning; and governance structure.

The most important aspect of the Act is its focus on meeting the training, education and employment needs of individuals as well as the needs of businesses for skilled workers. The Act will enable customers to obtain access to the information and services they need through the "One-Stop" system, empower adults with the information and resources to obtain the training they find most appropriate through Individual Training Accounts, establish performance measures and criteria for States, locals and training providers, and enable all State and local programs to more successfully meet customer expectations.

The Act includes several new features to ensure the full involvement of business, labor, and community organizations in designing and ensuring the quality of the new workforce investment system. Such features include the creation of State and Local Workforce Investment Boards, and Youth Councils. The Act requires the Governor to submit a five-year strategic plan to the Secretary of Labor. The State Boards in partnership with the Local Boards, will help the Governor develop the strategic vision and the statewide plan. The plan will describe statewide workforce investment activities, explain how the requirements of the Act will be implemented, and outline how special population groups will be served. States are encouraged to take advantage of the option to submit their plans electronically as indicated in the Plan Submission Requirements section of the attachment.

The Secretary of Labor is authorized to take appropriate actions to ensure an orderly transition from the Job Training Partnership Act (JTPA) to the Workforce Investment Act. The JTPA is repealed effective July 1, 2000. However, States which are ready may implement the WIA beginning July 1, 1999. DOL encourages States who are ready to make broad scale reforms to fully consider the positive gains available with early reform and implementation of the Act.

Signed at Washington, D.C., this 18th day of February 1999.

**Raymond L. Bramucci,**

*Assistant Secretary of Labor, Employment  
and Training Administration.*

**ATTACHMENT: PLANNING GUIDANCE  
AND INSTRUCTIONS FOR SUBMISSION  
OF THE STRATEGIC FIVE YEAR STATE  
PLAN FOR TITLE I OF THE WORKFORCE  
INVESTMENT ACT OF 1998 AND THE  
WAGNER-PEYSER ACT**

OMB Control No. 1205-0398  
Expires August 31, 1999

**State Planning Guidance for Title I of  
the Workforce Investment Act of 1998  
(Workforce Investment Systems) and  
the Wagner-Peyser Act***Statement of Purpose*

The purpose of this document is to provide guidance to States and localities on the development of the five-year strategic Plan for Title I of the Workforce Investment Act and for the Wagner-Peyser Act. The Planning Guidance and Instructions provide a framework for the collaboration of Governors, Local Elected Officials, businesses and other partners to design and build workforce investment systems that address customer needs; deliver integrated, user-friendly services; and are accountable to the customers and the public.

*Background*

Technological change and the global economy have radically changed workers' lives from the lifelong employment they knew just one generation ago. Today's workers, whether new or experienced, must engage in a continuing process of developing their skills and abilities to perform effectively in changing work environments. All must be ready, willing and able to make multiple job changes—either with one employer or with several employers—just as successful businesses often have to make changes in markets or market focus.

The dynamic nature of the global economy requires forward thinking and quick action to take advantage of the opportunities being created. Workers and employers must be increasingly informed about available and emerging employment and training options in order to make decisions that will ensure both their short and long-term success.

The Workforce Investment Act (WIA) of 1998 represents a national consensus on the need to restructure a multitude of workforce development programs into an integrated workforce investment system that can better respond to the employment needs of its customers—current workers, unemployed workers, workers laid-off due to restructuring or downsizing, and new entrants to the labor force, as well as employers. Passage of this legislation completes a four-year bipartisan effort of the Administration and the Congress to design, in collaboration with States and local communities, revitalized workforce investment systems. These locally-operated, demand-driven workforce investment systems will increase the employment, retention, earnings and occupational skill

attainment of participants through improved career information and guidance, job search assistance, and Individual Training Accounts. Employers' needs will be identified and used to help drive decisions of job seekers. Achieving these goals will improve the quality of the workforce, reduce welfare dependency, and enhance the productivity and competitiveness of the Nation.

WIA reflects a strong commitment among managers, providers and investors in the public employment and training system to fundamentally refocus the entire system on customer service and performance accountability. The Act incorporates several key principles that are to guide this redirection:

- Streamlining services through the integration of multiple employment and training programs, including WIA and the Wagner-Peyser Act, at the "street level" through One-Stop service centers;
- Empowering individuals with the information and resources they need to manage their own careers through Individual Training Accounts and better statistics on the performance of service providers, as well as on the skills demanded by employers;
- Universal access for all job seekers to a core set of career decision-making and job search tools;
- Increased accountability of the delivery system to achieve improved results in job placement, earnings, retention in unsubsidized employment, skill gains, and occupational/academic credentials earned;
- Strong role for local boards and the private sector by shifting emphasis from "nitty-gritty" operational details to strategic planning and oversight of the One-Stop delivery system;
- State and local flexibility to ensure that delivery systems are responsive to the needs of local employers and individual communities; and
- Improved youth programs that strengthen linkages between academic and occupational learning and other youth development activities.

#### *Focus on Customer Service*

One-stop partnerships to expand services for adults

Under WIA, workforce investment systems will be the trusted source for training and labor exchange services. Programs will be aligned to provide an extensive menu of demand-driven, high-quality labor market information and services that can be easily accessed.

The cornerstone of this new workforce investment system is One-Stop service delivery, which makes

available numerous training, education and employment programs in a single, customer-focused, user-friendly service system at the local level.

The Act specifies nineteen required One-Stop partners and five optional partners to help maximize customer choice. For example, the unemployment insurance (UI) program is a critical item on the menu of assistance, as the temporary income support component of the larger effort to quickly return unemployed workers to suitable employment. WIA requires coordination among all Department of Labor-funded workforce programs—including the Wagner-Peyser Act programs, unemployment insurance, Veterans Employment and Training Service (VETS), Trade Adjustment Assistance (TAA), North American Free Trade Agreement/Transitional Adjustment Assistance (NAFTA/TAA), and the Welfare-to-Work program—as well as other federal employment and training programs administered by the Departments of Education, and Housing and Urban Development. For example, the Act requires that Individual Training Accounts be offered only when Education-funded Pell grants are insufficient, which will require new mechanisms for coordination between the two programs.

#### *Real World Examples of Existing One-Stop Integration*

- Housed in a 62,000 square foot building, accessible by public transportation, this One-Stop Center offers a fully integrated and consolidated delivery system consisting of 16 partners providing comprehensive employment and training services. The partnership includes agencies administering employment and training programs under JTPA, the Employment Service, child care resources, the technical college, the county human services agency, the local school district, a community action agency, the senior community service employment program, various community-based organizations and a number of private for-profit organizations. The Center has one outreach campaign directed toward job seekers and employers, and one single point of contact for employers, which brokers all available employment and training programs and services, regardless of partner affiliation. This One-Stop Center also has one client/management/financial information system which allows any partner to access and input information. From providing personalized career counseling and employment services that help job seeker establish career goals and update their skills, to

providing businesses with much needed personnel resources and customized action plans to help them locate skilled workers, this One-stop Center has forged a vital link between employers and those seeking employment.

- Another One-Stop partnership includes representatives of 38 programs and organizations, from the Community College districts to the Employment Security Agency to the Department of Social Services. This One-Stop places a high priority on the needs of the employer customer, as well as those of the job seeker. Unlike the first example, this One-Stop system is not housed at just one physical location, but rather includes a number of "no wrong door" Centers or "campuses" that are customized to the needs of different customer groups. These include a One-Stop at the local mall serving youth, a Next Step Center for veterans, and a One-Stop for seniors, with additional entry points through the Community College Districts. The anchor campus focuses on adult job seekers and services to employers. It houses JTPA services, the Employment Service, a job club for professionals, and a state of the art resource center with core job search services for the public. The campus setting encourages collaboration and fosters a growing sense of working together for the benefit of the customer, not the separate agencies. As new partners join the One-Stop, they bring new resources, talents, and options to the table that enable the system to better serve its customers. The strength and commitment of this partnership was a key factor in the PIC's customer satisfaction index rising from 80% in 1995 to 93% in 1998.

The Act also encourages coordination with all other relevant programs, such as those administered by the Departments of Agriculture, Health and Human Services, and Transportation. All of these Departments will be working together to ensure greater communication and collaboration at the federal level. At the local level, the Department expects that the list of partners will be expanded to include a variety of community resources that will help serve One-Stop customers.

The Department also expects that the concept of partnership will move well beyond traditional coordination to operational collaboration, thus making more and better services available to the individual customer. States and local areas should think expansively, working with all partners to develop integrated One-Stop systems with comprehensive, seamless, responsive service delivery to all customers, including recent graduates, new entrants to the labor

force, welfare recipients, incumbent workers, unemployed workers, displaced homemakers, individuals seeking nontraditional training, older workers, workers with disabilities and others with multiple barriers to employment, as well as businesses. For example, collaboration between the workforce investment and welfare systems is critical, since the focus of both is helping people—often the same people—find, keep, and move into progressively better jobs.

In order to better serve our customers, the Act specifically requires that at least one physical location be established in each workforce investment area with access to all required One-Stop services. In addition, satellite offices can be electronically linked to facilitate easy access to services through multiple “no wrong door” entry points for customers. In order to make services available to all customers, the One-Stop system must be accessible by persons with disabilities and should be accessible by those who rely on public transportation.

Intergovernmental partnerships between all three levels of government—federal, state and local—will also be critical to successfully building and implementing this new workforce investment system. The Department intends that its Regional Offices will work in partnership with their State and local partners in designing the new workforce environment, helping to ensure creation of a responsive, locally-driven system characterized by real program integration, sound governance structures, high quality service providers and built-in accountability. Ideally, this intergovernmental partnership will begin in the planning and Plan-writing stages and continue throughout implementation. We see this partnership as essential to the success and continuous improvement of the system.

While the workforce investment system has already taken great strides toward integration and partnership, moving this transition forward will be challenging. But with WIA as the catalyst for change, its planning process becomes the critical opportunity for States and local stakeholders to develop a shared vision and strategy to move their systems forward.

#### The Role of the Employment Service

A State's five-year strategic Plan for WIA Title I will integrate the Wagner-Peyser Act planning requirements, replacing the annual Wagner-Peyser Act Plans. Funding remains distinct, however. As a result, the programs must

remain distinctly accountable to Congress.

Nonetheless, WIA requires the Employment Service to provide services within the One-Stop system so that services appear seamless to customers (both job seekers and employers). In particular, the Employment Service has played and should continue to play a critical role in One-Stop service delivery as the primary job matching resource for employers and job seekers, including unemployment insurance (UI) claimants, in order that they return more quickly to the workforce, as well as for other targeted groups, such as veterans, and migrant and seasonal farmworkers, who may need more intensive services. Customers in need of specialized Wagner-Peyser Act-funded services, such as veterans, should have easy access to all services through the One-Stop system. Furthermore, labor exchange services to employers should be integrated with all other employer services available in the local area.

- Improved Youth Opportunities

WIA also encourages youth programs to be connected to the One-Stop system, as one way to connect youth to all available community resources. Furthermore, the Act envisions improved youth opportunities. This is apparent by the fact that Congress specifically authorized youth councils, as part of local Boards, with authority for developing the youth-related portions of the Local Plans, recommending youth service providers to the local Boards, coordinating youth services, and conducting oversight of local youth programs and eligible providers of youth programs.

These youth councils have been charged with the responsibility to design youth programs that connect youth with the full range of services and community resources that will lead to academic and employment success. To do so, councils must coordinate with all available resources, such as Job Corps, School-to-Work, educational agencies, Youth Opportunity Grants, welfare agencies, community colleges, and other youth-related programs and agencies.

- Meeting Employer and Local Labor Market Needs

The effectiveness of all of these services for adults and youth will be directly proportional to how well they meet the needs of local employers—small, medium and large—in the local labor markets. As a critical customer group, employers should be extensively involved in setting job and skill requirements, which are reflected in job orders as well as the local labor market

information available through the One-Stop delivery system. Thus, local Boards must be led by key employers and have the flexibility and authority to develop systems tailored to current and projected local labor market needs.

#### *Performance Accountability for Programs Under Title I of WIA*

- Individual Training Accounts

Through the One-Stop system, all adults have the opportunity to access core services, which range from job search and placement assistance to labor market information. If needed, the One-Stop delivery system provides access to intensive and training services, including Individual Training Accounts (ITAs) for eligible participants. Along with an ITA, consumer information will be available regarding the performance of each training provider. Eligible participants will select training that best meets their needs from the training provider that has the best outcomes. Furthermore, this provider data will equip local Boards to play a key gatekeeping role, by certifying only those providers with good outcomes. Thus, ITAs will inject increased competition into the public and private training market. Good providers will attract students and flourish in the WIA system; poor providers will not. This market-driven system will ultimately produce better training and greater participant success in the labor market, which will be reflected in local performance.

- Negotiated Performance Indicators

Beyond the required core, intensive and training services, WIA allows considerable flexibility in system design, in exchange for both accountability for a key set of outcomes and improving those outcomes over time. To accomplish this, the Act requires the Secretary of Labor and the Governor of each State to reach agreement on the State's performance levels for the core indicators of performance, and for a customer satisfaction indicator that measures employers' and participants' satisfaction.

Timing such negotiations may be challenging, since the Governor and Secretary must reach agreement prior to approval of the State plan. Thus, early in this process, the Department will work with a broad range of State and local partners to develop guidance on the core performance measures, reporting requirements, and incentive and sanction policies.

The negotiated performance levels for the first three program years must be included in the State's five-year Plan (with levels for the fourth and fifth years to be agreed to before the beginning of the fourth program year). These levels of performance become the basis for sanctions for failed performance and, with additional performance levels under Adult Education and Vocational Education, the basis for incentive grants.

Over the coming months, the Department will begin updating its own strategic plan required under the Government Performance and Results Act (GPRA) to reflect WIA and the changes that accompany its enactment. New national goals will be proposed which will serve as a departure point in negotiating core performance indicators with States. To assist in identifying and negotiating performance levels, the Department will also work with States to provide State and local Job Training Partnership Act (JTPA) performance information.

Although the Act provides for a ninety-day period after Plan submission in which to finalize the performance levels specified in the Plan, the Department expects States to enter into preliminary discussions with the local boards and the Employment and Training Administration's Regional Administrators before submitting the State Plan. States are expected to come to the negotiating table with support from their local boards for the proposed performance goals. Entering into preliminary discussions prior to Plan submission will maximize the time available to States, local areas, and the Department to develop a shared set of goals. ETA Regional Administrators will coordinate with other Department of Labor program administrators, including the Veterans' Employment and Training Service (VETS) Regional Administrators, to assure comprehensive Departmental participation. The Department will provide additional guidance regarding the negotiation process at a later date.

- **Continuous Improvement**

The Act requires that the State's performance goals reflect continuously improving performance over time. Continuous improvement is a cyclical, never-ending process of planning, implementing, evaluating, and improving services. Such improvements may be defined in terms of quantity and quality, and should result in more customers being served; better employment, earnings and skill attainment outcomes; attainment of self-sufficiency; and higher levels of customer satisfaction. There are many

ways to achieve continuous improvement. For example, tracking performance will give States the information needed to evaluate and improve services; enhancing partnerships will expand the Boards' ability to drive good outcomes; and strategic investments in training and technology will increase State and local productivity and effectiveness.

Clearly, the Act is envisioning a workforce investment system comprised of organizations driving toward high performance. This challenge can only be met by building a workforce investment system made up of high performance organizations at the local, State, regional and national levels of that system—one that is grounded on proven quality principles and practices, and that aligns resources to meet and then exceed shared goals. This system-wide deployment of an effective continuous improvement strategy will require not only cultural changes within the workforce investment system at all levels, but also the development of new kinds of skills and knowledge among the individuals who work in that system. The Department is strongly committed to this system-wide continuous improvement approach, and will be providing further technical assistance on its design and implementation based upon consultations with stakeholders at the local, state and national levels.

*Planning for Title I of WIA and The Wagner-Peyser Act*

The strength of the State Plan hinges on the working partnerships in place between the Governor, local elected officials, local boards, and other partners in the workforce investment system. The State planning document should be the culmination of strong collaboration and partnership-building at both the State and local levels. For example, the plan should take into consideration the agreement reached between the Secretary and the State regarding veterans' employment programs, pursuant to Section 322 of WIA. The local elected officials and the local workforce boards, working with the business community, service providers and community-based organization leaders, together play vital roles in shaping the vision and customizing the system to respond to specific local labor market needs. Emphasizing the importance of these relationships during the developmental stages of planning will help ensure that the State's five-year strategic plan is broad enough to encompass differing State and local approaches, yet specific

enough to reflect local visions, needs and economic development strategies.

The planning process, then, spearheaded by the Governor and State Board in collaboration with local elected officials and local boards, becomes the way to secure the partners' full endorsement of the vision, along with performance goals and the critical strategies needed to attain them.

The plan document describes the destination, lays out the strategic roadmap, and identifies the key landmarks that will let the system know it is on track. This five-year strategic plan—with the statewide vision, goals, strategies, policies, criteria and measures—becomes a living document, a management tool that federal, State, and local partners will use to guide the evolution of the workforce investment system and to assess progress toward the State goals.

The Plan will be invaluable because it will allow the Governor and State Board to continually check State and local progress against their long-term goals and vision, and make adjustments as needed. However, for the Plan to be a true management tool, it will also require ongoing modification. Strategies and visions are based on assumptions regarding the economic and operating environments that are, after all, dynamic. Also, WIA encourages experimentation and risk-taking, which will inevitably result in failures as well as successes. Accordingly, State and local partners must view planning as more than simply a one-time event that ends with the submission and approval of the Plan.

The strategies outlined in the State Plan, augmented by local strategies, should lead to continuously improving results for the workforce investment system. Achieving continuous improvements in performance will be a function of the following:

- **Leadership:** The ability of State and local boards to establish a clear vision of how the workforce investment system can be responsive to their customers, to develop critical partnerships, including partnerships with business and community-based organizations, and to mobilize sufficient resources.
- **Services:** The responsiveness of services to varying customer needs.
- **System Infrastructure:** The effectiveness of service and management support systems to achieve quality results and customer service.
- **Performance Management:** The ability to track key measures of success and to use that data to improve performance.

Accordingly, the State Plan should focus on these critical areas, with the

leadership, services, system infrastructure, and performance management systems all supporting continuous progress toward the State's vision and goals. The State Plan must also address all WIA and Wagner-Peyser Act statutory planning requirements.

- The Critical Role of the Boards

Strong State Workforce Investment Boards (SWIBs) will be led by top business executives who can ensure that the system is responsive to current and projected job market realities, will contain a broad range of partners needed to develop a comprehensive vision for the workforce investment system, and will focus on strategic decisions, not operational management. WIA requires a broad range of Board members because having all partners "at the table" is key to developing a comprehensive vision and effective strategies. For this reason, the Planning Instructions require States that use an alternative entity to show how they have involved all the required Board members in planning and implementation.

At the local level, it is equally important that strong, business-led Boards contain key partners who are involved in shaping a clear local vision in a way that is consistent with the State's vision and goals and that is responsive to local needs.

Both Boards take responsibility for making several critical decisions on how to achieve the Plan goals:

- How best to organize the service system to most effectively serve customers, including dislocated workers (including displaced homemakers), low-income individuals (including welfare recipients), individuals training for non-traditional employment, other individuals with multiple barriers to employment (including older workers and individuals with disabilities), veterans, women, and minorities (including persons with limited English speaking ability);

- How best to deploy available resources to achieve desired results and build capacity for continuous improvement; and

- How to expand the resource base and service capability through the development of strategic partnerships and integrated service delivery.

The State Board's actions should increase the ability of the local Boards to respond to local needs and to achieve results in their respective local areas. Correspondingly, the actions of the local Boards should increase One-Stop providers' ability to respond to the needs of their job seeker and employer customers. To do so, local Boards will

need significant flexibility to set policies that will determine what services to make available, how to deliver services, and how to effectively engage local employers. To maximize their value to the system, State and local Boards may want to track the satisfaction of their internal customers (for States, the local Boards; and for local Boards, service providers), to get feedback on their performance and make improvements.

The State Board also plays a critical role in shaping youth services by defining the criteria for membership on local youth councils. These youth councils are essential to ensuring the provision of coordinated services that meet the needs of youth, as well as of the local community. Thus, it is important that they represent a wide range of community resources, including local board members with special interest or expertise in youth services, representatives of youth services agencies, parents, and other individuals and organizations that have experience with youth. The youth councils will be central to developing the portions of the local Plan that pertain to youth, recommending providers of youth services, holding the providers accountable to established performance goals and coordinating youth activities in the area.

All of these responsibilities focus the activities of the State and local Boards and the local youth councils on strategic, not operational, management. Making investments that expand and enhance service and management capacity will be *the* critical and, for many, new role of the State and local Boards and the local youth councils.

#### *State Plan Submission*

- State Readiness

States must complete the transition to WIA no later than July 1, 2000 and submit a complete five-year State Plan by April 1, 2000. Thus, the Department anticipates that Governors and local elected officials will begin as soon as possible to form partnerships, develop plans and begin implementation. Recognizing that States are starting from different points, this guidance provides flexible approaches for all States to begin the process.

The Act requires the Department to approve State Plans that are consistent with WIA (§ 112(c)). A Plan will be considered complete and responsive to the Act if it addresses all of the planning requirements in Attachment A, including such critical elements as:

- State Board, including conflict of interest provisions.

- State criteria for the appointment of local Board members.

- Local Workforce Investment Areas.
- Allocation formulas.

- Procedures for certifying training providers for inclusion on the list of eligible providers.

- Procedures to manage the operation of the Individual Training Account system.

- Procedures to operate the consumer report card system.

- Strategies to coordinate services provided through the local One-Stop system.

- Financial and management information systems.

- Performance measurement systems, including those necessary for wage record follow-up of employment and earnings.

All States must be in compliance with WIA, including all of the elements listed above prior to July 1, 2000 when JTPA expires, and must submit a complete five-year Plan by April 1, 2000. Single workforce investment area States must also submit a Local Plan, instructions for which can be found in Attachment D.

The Department encourages States to move ahead as quickly as possible to implement WIA anytime between July 1, 1999 and July 1, 2000. States intending to implement WIA beginning on July 1, 1999, should submit their State Plans no later than April 1, 1999. States planning to implement WIA sometime between July 1, 1999 and July 1, 2000, may submit their plans at any time, but no later than April 1, 2000. The Department will provide additional transition guidance through regulations, policy issuances, and training to help all States implement WIA as smoothly as possible.

There are four ways a State can develop and submit a Plan to make the transition to WIA.

- Option 1: Full Early Implementation. States that have all of the critical elements in place and can fully address all of the planning requirements (in Attachment A) may submit a complete five-year WIA Plan and request review for full Plan approval.

- Option 2: Transition Plan. States that do not have all of these elements in place may submit a Transition Plan that includes a description of how PY 99 funds will be used during the State's transition to WIA operation by July 1, 2000. This Plan must address all Plan requirements, but where transition is not yet complete, the Plan should describe and include a timeline demonstrating how the State plans to become fully operational by dates

specified in the Plan, but no later than July 1, 2000. Transition Plans will be reviewed for compliance with the planning guidance and statutory requirements. Transition Plans will be approved to authorize expenditure of PY 99 JTPA funds in accordance with the transition provisions of the Plan and will be conditionally approved for full WIA operation on July 1, 2000 or such date specified in the Plan. Full WIA plan approval will be conditioned upon supplemental Plan descriptions, and modifications when necessary, in those areas that were not completely described in the initial Transition Plan. Under this option, in PY 1999, States may transition to WIA even though all policies, procedures and systems are not fully developed. Correspondingly, States may allow local areas to transition to WIA individually as each local area is ready to do so.

- Option 3: July 1, 2000

Implementation. States planning to submit State Plans by April 1, 2000 for WIA implementation beginning on July 1, 2000 may transition to WIA using JTPA authority, existing waiver authority (including Work-Flex waivers), and the authority under WIA to spend up to two percent of JTPA funds for planning WIA implementation. For instance, States may use this flexibility to engage in strategic planning, establish State and local Boards, consult with One-Stop partners, and establish ITA systems and consumer report systems. The Department encourages States to take advantage of this flexibility, and plans to issue further transition guidance and technical assistance. States may also work with their Regional Administrators for an informal "check" on portions of their Plans before they are submitted as part of the formal Plan submission.

- Option 4: Unified Plan. All States, whether they submit a State Plan under Option 1, 2, or 3, may submit the State Plan as part of a Unified Plan in accordance with WIA section 501. The Department will keep States informed about the status of Unified Planning Guidance (developed jointly with the other responsible federal departments).

All States may use up to 2% of their JTPA funds for WIA planning, to begin the transition. States wishing to spend more than 2% of their JTPA funds on transition to and implementation of WIA provisions should consider submitting a Plan under Option 1 or 2.

The amendments to the Wagner-Peyser Act take effect on July 1, 1999. Therefore, States that submit a full Plan or a Transition Plan that covers (at a minimum) the Wagner-Peyser planning requirements prior to May 1, 1999 do

not have to submit a separate Wagner-Peyser Plan. States that opt to submit their full five-year or Transition Plan after May 1, 1999 must submit an annual Wagner-Peyser Plan for PY 99 by May 1, 1999 unless a State waiver has been granted. Further guidance will be forthcoming.

- Plan Submission Requirements

The Secretary of Labor has designated the Employment and Training Administration (ETA) to administer WIA. Plans must have an original signature of the Governor, and the name of the Governor must be typed below the signature. States should submit their State Plan (with an original signature) along with two copies to the U.S. Department of Labor, WIA Task Force as follows: Mr. Raymond L. Bramucci, Assistant Secretary Employment and Training Administration, U.S. Department of Labor, 200 Constitution Ave., NW, Room S-5513, Washington, DC 20210, ATTN: Eric Johnson, Director, WIA Task Force, (wia98tf@doleta.gov).

One copy of the Plan (with an original signature) must also be sent simultaneously to the appropriate ETA Regional Administrator listed in Attachment C.

States may also submit State Plans via diskette or e-mail. In order to transmit electronically, States must have WordPerfect or Microsoft Word format. (Macintosh versions cannot be accepted.) States submitting State Plans electronically should transmit one copy of the plan to the U.S. Department of Labor, WIA Task Force at the address or e-mail address identified above, and one copy to the appropriate ETA Regional Administrator listed in Attachment C. States that submit State Plans electronically will not have to submit additional paper copies, but must submit signature pages with an original signature to both the national and regional offices.

For States wishing to implement WIA beginning on July 1, 1999, the Department must receive their Plans by April 1, 1999. Earlier submissions will also be accepted. States wishing to implement WIA between July 1, 1999 and July 1, 2000 may submit their Plans anytime before April 1, 2000. All States must have their full Plans in no later than April 1, 2000.

Whenever a State submits its Plan, section 404 of WIA (which amends Title I of the Rehabilitation Act of 1973) requires the State to submit its Vocational Rehabilitation State Plan on the same date.

- Plan Review

While the Department expects States to enter into preliminary discussions with the local boards and the Regional Offices on the negotiated levels of performance before Plan submission, State Plans submitted pursuant to section 112 will be formally reviewed for up to ninety days for compliance with the provisions of the Workforce Investment Act and requirements described in section 8(a) of the Wagner-Peyser Act. Plans that are consistent with and meet all provisions of the Acts and that establish acceptable levels of performance will be considered approved.

- Grant Packages

ETA will issue separate grant instruction packages (grant agreement, assurances/ certifications, electronic account forms, etc.) to the States. Sufficient lead time will be provided for the completion of the package and for execution of the grant documents. Grant funds will be provided in accordance with the allotments published in the **Federal Register** for the appropriate Program Year, if the State has met the Plan and Grant Agreement submission requirements pursuant to sections 112 and 189(c) of the Act, respectively.

*Plan Modifications*

Modifications will likely be needed in any number of areas to keep the Plan a viable, living document over its five-year life. The Act gives States authority to modify WIA Plans based on unanticipated circumstances, and the Department expects that States will modify their Plans if changes in economic conditions, or federal or State law or policy seriously affect the Strategic Plan's viability. Accordingly, States should submit a modification if there are substantial changes in State law, the statewide vision, strategies, policies, performance indicators or goals, under either Title I or the Wagner-Peyser Act. For example, changes in the methodology used to determine substate allocations, and reorganizations which change the working relationships with system employees or result in reassigned responsibilities will require a modification. States will also be required to submit a plan modification to adjust their mix of services if performance goals are not met after the first year. States may wish to use the annual report process as an opportunity to review their State Plan and develop modifications as needed. Modifications to the State Plan are subject to the same public review and comment requirements that apply to the

development of the original State Plan. States should direct any questions about the need to submit a plan modification to their Regional Office contact listed in Attachment C.

#### *Description of Attachments*

Attachment A: Planning Instructions.  
Attachment B: Optional Table for State Performance Indicators and Goals.  
Attachment C: Regional Office Addresses.  
Attachment D: Local Planning Guidance for Single Workforce Investment Area States.

#### *Inquiries*

Inquiries should be addressed to the appropriate ETA Regional Office, listed in Attachment C.

#### **Attachment A**

#### **STRATEGIC FIVE-YEAR STATE WORKFORCE INVESTMENT PLAN FOR TITLE I OF THE WORKFORCE INVESTMENT ACT OF 1998 (WORKFORCE INVESTMENT SYSTEMS) AND THE WAGNER-PEYSER ACT**

#### **STATE/Commonwealth of**

For the period of

- Full Plan  
 Transition Plan

#### **State Planning Instructions**

#### **Table of State Plan Contents**

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#### **Preamble**

These instructions are based on the planning requirements of Title I of the Workforce Investment Act, found primarily in sections 111 and 112, and the Wagner-Peyser Act and regulations. These instructions do not follow the order of the requirements found in the Acts; rather, they have been formatted to help States to create viable strategic plans.

States that opt to submit a Transition Plan for conditional approval must address all of the planning requirements outlined in the instructions. For those elements that are still in transition, the Plan should describe their strategies and timeline for implementation by July 1, 2000.

States should develop Plans that are as long or short as needed to address the following requirements; however, the Department suggests that Plans be less than 50 single-spaced pages (without attachments).

#### **Executive Summary**

Enclose a brief summary (e.g., two pages or less) of the State Plan that gives a general overview of the State's workforce investment system. This executive summary should include a discussion of your State's economic and workforce development goals, and how the statewide workforce investment system will support them. It should also include an overview of major accomplishments in the development of your system as it exists today; a brief description of the system as it looks today; a snapshot of how the system (including major partner involvement) will change over the five-year period; and a description of how performance will improve as a result.

#### *I. Plan Development Process*

WIA gives States and local areas a unique opportunity to develop employment and training systems tailored specifically to States' and local areas' needs. Since the State Plan is only as effective as the partnerships that can operationalize it, it should represent a collaborative process among State and local elected officials, Boards and partners (including private sector partners) to create a shared understanding of the State's workforce investments needs, a shared vision of how the workforce investment system can be designed to meet those needs, and agreement on the key strategies to attain this vision. This type of collaborative planning at all stages—from the initial planning discussions through drafting the State Plan document—will enable the State Plan to both drive local system improvements and allow room for strategies tailored to local needs. Plan development must also include an opportunity for stakeholder and public review and comment.

In this section, States will describe their Plan development process, including a discussion of how comments were incorporated wherever possible.

A. Describe the process for developing the State Plan (including a timeline) that ensures meaningful public comment. Include a description of the Governor's and the State Board's involvement in drafting, reviewing and commenting on the Plan. What actions did your State take to collaborate in the development of the State plan with local elected officials, local workforce boards and youth councils, the business community (including small businesses), labor organizations, educators, vocational rehabilitation agencies, and the other interested parties, such as service providers, welfare agencies, community-based organizations, transportation providers and advocates? (§§ 111(g), 112(b)(1), 112(b)(9).)

B. Include all comments received (or a summary), and demonstrate how comments were considered in the plan development process. (§ 112(b)(9).)

#### *II. State Vision and Goals*

A vision creates organizational alignment around a picture of a transformed future. It propels the organization toward achieving difficult but attainable strategic goals. Vision drives systematic improvements and produces outcomes. It is dynamic, not static. Performance indicators and goals are used to track the organization's progress.

WIA envisions broad and dramatic changes that result in a reinvented, integrated workforce investment system that coordinates more resources, serves more people, and achieves better outcomes. States and local areas should work with all required and, where appropriate, optional partners to creatively design integrated One-Stop systems, with seamless services for all customers. For example, collaboration between the workforce investment and welfare systems is critical, since the focus of both is to help people prepare for work, find jobs, retain jobs, and increase earnings. States should take the lead in assuring the maximum use of Individual Training Accounts. States and local boards should also think expansively to design youth programs that broaden and enhance young people's connections to post-secondary education opportunities, leadership development activities, mentoring, training, community service, and other community resources.

In this section, you will identify your State's broad strategic economic and workforce development goals (e.g., "All people who want to work can find jobs. There will be a growing number of business start-ups. Fewer people will rely on welfare assistance.").

You will then describe the shared vision of how the WIA workforce investment system will support attainment of these goals; and finally, performance indicators and goals, which the entire statewide system can use to track its progress toward the strategic goals.

The Act requires States to track the core indicators of performance described in section 136 (e.g., entered unsubsidized employment, retention and earnings, attainment of education or occupational credentials and/or skills, and the customer satisfaction indicator). While the State and local areas may choose to use additional indicators, at a minimum, your State must identify its goals for each of these required indicators for the first three program years.

A. What are the State's broad strategic economic and workforce development goals? (§§ 111(d)(2), 111(d)(6), 112(a), 112(b)(3).)

B. Provide (in a few paragraphs) the State's vision of how the WIA statewide workforce investment system will help the State attain these strategic goals. This vision should address the specific emphases of Title I of the Act and provide a brief description of what the State's workforce investment system will look like at the end of the five-year period covered by this Plan. Some specific questions that should be answered by the vision statement are:

- In five years, how will services be further streamlined?
- What programs and funding streams will support service delivery through the One-Stop system?
- Typically, what information and services will be provided and how will customers

access them? How will the goal of universal access be assured?

- For customers who need training, how will informed customer choice and the use of the Individual Training Accounts (ITAs) be maximized?

- How will Wagner-Peyser Act and unemployment insurance services be fully integrated into the system?

- How will the State's workforce investment system help achieve the goals of the State's welfare, education, and economic development systems?

- How will the youth programs be enhanced and expanded so young people have the resources and skills they need to succeed in the State's economy?

(§§ 111(d)(2), 112(a).)

Summary of WIA's Core Indicators of Performance

- For Adults, Dislocated Workers and Youth 19–21

1. Entry into Unsubsidized Employment

2. 6-Months Retention in Unsubsidized Employment

3. 6-Months Earnings Received in Unsubsidized Employment

4. Attainment of Educational or Occupational Skills Credential by participants who enter unsubsidized employment or by youth who enter postsecondary education, advanced training or unsubsidized employment

- For Youth 14–18

1. Attainment of Basic Skills, Work Readiness and/or Occupational Skills

2. Attainment of Secondary School Diplomas/ Equivalents

3. Placement and Retention in Post-Secondary Education/Advanced Training, Military, Employment, or qualified Apprenticeships

- Customer Satisfaction Indicator for Participants and Employers

C. Identify the performance indicators and goals the State has established to track its progress toward meeting its strategic goals and implementing its vision for the workforce investment system. At a minimum, States must identify the performance indicators required under section 136, and, for each indicator, the State must develop an objective and quantifiable performance goal (the "State-adjusted level of performance") for each of the first three program years. States may want to use a chart such as the one in Attachment B. (Further guidance, including definitions of specific indicators, will be provided separately.) States are encouraged to address how the performance goals for local workforce investment areas and training providers will help them attain their Statewide performance goals. (§§ 112(b)(3), 136.)

*III. Assessment: To achieve your vision, you start by assessing where you are today—your current market realities and your system's readiness. This assessment provides the foundation for mapping out strategies to achieve your vision.*

In this section, you will identify your customers, their needs, and your ability to fulfill them. You will also address the systems and policies you already have in place to achieve the State goals, and identify

strengths to build on, weaknesses to improve on, opportunities for action and challenges to progress.

#### A. Market Analysis

1. Describe the key trends that are expected to shape the economic environment of the State during the next five years. Which industries are expected to grow? Which will contract? What are the economic development needs of the State? What data sources support the State's market analysis? (§ 112(b)(4).)

2. Identify the implications of these trends in terms of overall availability of employment opportunities by occupation, and the job skills necessary in key occupations. (§ 112(b)(4).)

3. Who are the customers of the State's workforce investment system?

States may wish to identify major customer segments. (For example, the adult population might be segmented into dislocated workers, public assistance recipients, older workers, veterans, migrant and seasonal farmworkers, Native Americans, persons with disabilities, women, and minorities. The employer customer might be segmented into growth employers, large and small businesses, employers that currently use the workforce investment system and employers that do not. The youth population might be segmented into in-school and out-of-school youth.) (§§ 112(b)(4), 112(b)(17).)

4. Given the projected job skills needed in the State, identify for each of your customer segments their projected skill development needs. (§ 112(b)(4).)

#### B. State Readiness Analysis

##### 1. Leadership

- a. State Workforce Investment Board.

- i. Describe the organization and structure of the State Workforce Investment Board. Did you create a new Board or did you "grandfather" an alternative entity as the Board? If you "grandfathered" an existing Board, (1) state whether the Board existed on December 31, 1997, (2) state whether the Board was established under the Job Training Partnership Act (as a State Human Resource Investment Council or State Job Training Coordinating Committee under JTPA section 122 or Title VII) or is "substantially similar" to the WIA membership requirements, and (3) describe how the Board includes, at a minimum, representatives of businesses and labor organizations in the State. (§§ 111, 112(b)(1).)

- ii. Identify the organizations or entities represented on the Board. If you are using an alternative entity which does not contain all the members required under section 111(b)(1), describe how each of the entities required under this section will be involved in planning and implementing the State's workforce investment system as envisioned in WIA. How will this alternative entity achieve the State's WIA goals? (§§ 111(a–c), 111(e), 112(b)(1).)

- iii. Describe the process your State used to identify your State Board members. How did you select Board members, including business representatives, who have optimum policy-making authority and who represent diverse regions of the States as required

under WIA? Describe how the Board's membership enables you to achieve your vision described above. (§§ 111(a–c), 112(b)(1).)

- iv. Describe how the State Board will carry out its functions. How will this Board provide direction-setting leadership for the statewide system? (§§ 111(d), 112(b)(1).)

- v. How will the State Board coordinate and interact with the local WIBs? (§ 112(b)(1).)

- vi. How will the State Board ensure that the public (including people with disabilities) has access to Board meetings and information regarding State Board activities, including membership and meeting minutes? (§§ 111(g), 112(b)(1).)

- b. Identify the circumstances which constitute a conflict of interest for any State or local Workforce Investment Board member, including voting on any matter regarding the provision of service by that member or the entity that s/he represents, and any matter that would provide a financial benefit to that member or his or her immediate family. (§§ 111(f), 112(b)(13), 117(g).)

- c. Identify the criteria the State has established to be used by the chief elected official(s) in the local areas for the appointment of local Board members based on the requirements of section 117. (§§ 112(b)(6), 117(b).)

- d. Allocation Formulas.

- i. If applicable, describe the methods and factors (including weights assigned to each factor) your State will use to distribute funds to local areas for the 30% discretionary formula adult employment and training funds and youth funds pursuant to sections 128(b)(3)(B) and 133(b)(3)(B). Describe how the allocation methods and factors help ensure that funds are distributed equitably throughout your State and that there will be no significant shifts in funding levels to a local area on a year-to-year basis. (§§ 112(b)(12)(A–B), 128(b)(3)(B), 133(b)(3)(B).)

- ii. Describe the State's allocation formula for dislocated worker funds pursuant to section 133(b)(2)(B). (§§ 112(b)(12)(C), 133(b)(2)(B).)

- iii. For each funding stream, include a chart that identifies the formula allocation to each local area for the first fiscal year, describe how the individuals and entities represented on the State Board were involved in the development of factors, and describe how consultation with local boards and local elected officials occurred. (§ 112(b)(12)(A).)

- e. Describe the competitive and non-competitive processes that will be used at the State level to award grants and contracts for activities under Title I of WIA, including how potential bidders are being made aware of the availability of grants and contracts. (§ 112(b)(16).)

- f. Identify the criteria to be used by local Boards in awarding grants for youth activities, including criteria used by the Governor and local Boards to identify effective and ineffective youth activities and providers. (§ 112(b)(18)(B).)

- g. If you did not delegate this responsibility to local Boards, provide your State's definition regarding the sixth youth eligibility criterion at section 101(13)(C)(vi)

("an individual who requires additional assistance to complete an educational program, or to secure and hold employment"). (§§ 101(13), 112(b)(18)(A).)

h. State Policies and Requirements. (§ 112(b)(2).)

i. Describe major State policies and requirements that have been established to direct and support the development of a statewide workforce investment system not described elsewhere in this Plan. These policies may include, but are not limited to:

- State guidelines for the selection of One-Stop providers by local Boards;
- The State's process to work with local boards and local Chief Elected Officials to certify existing One-Stop operators;
- Procedures to resolve impasse situations at the local level in developing MOUs to ensure full participation of all required partners in the One-Stop delivery system;
- Criteria by which the State will determine if local WIBs can run programs in-house;
- Performance information that on-the-job training and customized training providers must provide;
- Reallocation policies;
- State policies for approving transfer authority (not to exceed 20%) between the Adult and Dislocated Worker funding streams at the local level;
- Policies related to priority of service for recipients of public assistance and other low-income individuals under WIA, and veterans or other groups under the Wagner-Peyser Act;
- Policies related to displaced homemakers, nontraditional training for low-income individuals, older workers, low-income individuals, disabled individuals and others with multiple barriers to employment and training; and
- Policies limiting ITAs (e.g., dollar amount or duration).

ii. Describe how consultation with local boards and local Chief Elected Officials occurred.

iii. Are there any State policies or requirements that would act as an obstacle to developing a successful statewide workforce investment system?

2. Services: Describe the current status of One-Stop implementation in the State, including:

a. Actions your State has taken to develop a One-Stop integrated service delivery system statewide;

b. The degree of existing collaboration for WIA Title I, the Wagner-Peyser Act, and all other required and optional partners (sections 112(b)(8)(A), 121(b)(1-2), 134(c));

Optional Partners

- Temporary Assistance for Needy Families
- Food Stamps Employment & Training
- National and Community Service Act programs
- Other appropriate federal, State, or local programs (e.g., transportation, child care, community colleges, and economic development)
- Required Partners
- Adult, Dislocated Worker and Youth Activities under WIA Title I (including Veterans Workforce Investment Programs, Migrant and Seasonal Farmworker Programs,

Indian and Native American Programs, Job Corps and youth Opportunity Grants)

• Employment Service

- Adult Education
- Postsecondary Vocational Education
- Vocational Rehabilitation
- Welfare-to-Work
- Title V of the Older Americans Act
- Trade Adjustment
- NAFTA Transitional Adjustment Assistance

• Veterans Employment and Training Programs

- Community Services Block Grant
- Employment and training activities carried out by the U.S. Department of Housing and Urban Development

3. System Infrastructure

a. Local Workforce Investment Areas.

i. Identify the State's designated local workforce investment areas, including those that were automatically designated and those receiving temporary designation. How do these areas compare in size and number with the Service Delivery Areas under JTPA? (§§ 112(b)(5).)

ii. Include a description of the process used to designate such areas. Describe how the State considered the extent to which such local areas are consistent with labor market areas; geographic areas served by local and intermediate educational agencies, post-secondary educational institutions and area vocational schools; and all other criteria identified in section 116(a)(1) in establishing area boundaries, to assure coordinated planning. Describe the State Board's role, including all recommendations made on local designation requests pursuant to section 116(a)(4). (§§ 112(b)(5), 116(a)(1).)

iii. Describe the appeals process used by the State to hear appeals of local area designations. If any appeals were made, identify them and indicate the status of the appeal. (§§ 112(b)(15), 116(a)(5).)

b. Regional Planning (§§ 112(b)(2), 116(c).)

i. Describe any intrastate or interstate regions and their corresponding performance measures.

ii. Include a discussion of the purpose of these designations and the activities (such as regional planning, information sharing and/or coordination activities) that will occur to help improve performance. (For example, regional planning efforts could result in the sharing of labor market information or in the coordination of transportation and support services across the boundaries of local areas.)

iii. For interstate regions (if applicable), describe the roles of the respective governors, SWIBs, and LWIBs.

c. Selection of Service Providers for Individual Training Accounts.

(§§ 112(b)(17)(A)(iii), 122, 134(d)(2)(F).)

i. Identify policies and procedures your State established for determining the initial eligibility of local level training providers, how performance information will be used to determine continuing eligibility (including a grievance procedure for providers denied eligibility), and the agency responsible for carrying out these activities.

ii. Describe how the State solicited recommendations from local boards and training service providers and interested members of the public, including

representatives of business and labor organizations, in the development of these policies and procedures.

iii. How will the State maintain the provider list?

iv. What performance information on training providers will be available at every One-Stop center?

v. Describe the State's current capacity to provide customers access to the statewide list of eligible training providers and their performance information.

vi. Describe the process for removing providers from the list.

d. What is your State's current capacity to deliver high quality employment statistics information to customers—both job seekers and employers—of the One-Stop system? Your response should address the products that have been developed as part of America's Labor Market Information System, the Bureau of Labor Statistics Federal-State cooperative statistical programs, and other State-generated employment statistics. (§§ 111(d)(8), 112(b)(1), 134(d)(2)(E).)

e. Describe how the work test and feedback requirements (under § 7(a)(3)(F) of the Wagner-Peyser Act) for all UI claimants are met. How is information provided to the UI agency regarding claimant registration, claimant job referrals, and the results of referrals? (§ 112(b)(7).)

f. Describe how the Wagner-Peyser Act staff participate (if applicable) in the conduct of the Eligibility Review Program reviews. Describe the follow-up that occurs to ensure that UI eligibility issues are resolved in accordance with section 5(b)(2) of the Wagner-Peyser Act. (§ 112(b)(7).)

### C. Assessment of Strengths and Improvement Opportunities

1. In sum, how closely aligned is your current system to your vision? Assess your current system's ability to meet the customer and economic needs identified above. What are your key strengths? What weaknesses will you need to address to move forward? Describe any opportunities or challenges to achieving your vision, including any economic development, legislative or reorganization initiatives anticipated that could impact on the performance and effectiveness of your State's workforce investment system. (§§ 111(d)(2), 112(a).)

2. In moving your current system towards your vision, what are your State's priorities? (§§ 111(d)(2), 112(a).)

*IV. Strategies for Improvement: Strategies move you from the current state of readiness toward the State vision and enable you to achieve your performance goals. They align your resources and focus energy on services to meet customer needs and systems to ensure continuous improvement*

In this section, you will describe the strategies and tactics you will pursue to move the system toward your vision and achieve the performance goals identified above. While the Act give States wide latitude to develop systems that meet their unique needs, the Act also contains a number of service requirements which must be incorporated into your statewide strategies. Each strategy described should build on

strengths, correct weaknesses, maximize opportunities and deflect challenges, as identified above.

A. Leadership: How will you overcome challenges to align your current system with your vision? How will the State implement WIA's key principles of local flexibility and a strong role for local Boards and for businesses? In your discussion, you must address the following required elements:

1. Describe the steps the State will take to improve operational collaboration of the workforce investment activities and other related activities and programs outlined in section 112(b)(8)(A), at both the state and local level (e.g., joint activities, memoranda of understanding, planned mergers, coordinated policies, etc.). How will the State Board and Agencies eliminate any existing State-level barriers to coordination? (§§ 111(d)(2), 112(b)(8)(A).)

2. Describe how the State will assist local areas in the evolution of existing local One-Stop delivery systems. Include any statewide requirements for One-Stop systems, how the State will help local areas identify areas needing improvement, how technical assistance will be provided, and the availability of state funding for One-Stop development. Be sure to address any system weaknesses identified earlier in the plan. Include any state level activities that will assist local areas in coordinating programs. (§ 112(b)(14).)

3. How will your State build the capacity of Local Boards and youth councils to develop and manage effective programs? (§§ 111(d)(2), 112(b)(14).)

4. Describe how any waivers or workflex authority (both existing and planned) will assist the State in developing its workforce investment system. (§§ 189(i)(1), 189(i)(4)(A), 192(a).)

B. Services: How will you meet the needs of each of the major customer groups identified in Section III? How will the State implement WIA's key principles of streamlined services, empowered individuals, universal access and improved youth services? In your discussion, you must address the following required elements: (§§ 111(d)(2), 112(b)(10), 112(b)(17)(A)(iv), 112(b)(17)(B)), 112(b)(18).)

1. Describe the types of employment and training activities that will be carried out with the adult and dislocated worker funds received by the State through the allotments under section 132. How will the State maximize customer choice in the selection of training activities? (§§ 112(b)(17)(A)(i), 132, 134.)

2. How will the services provided by each of the required and optional One-Stop partners be coordinated and made available through the One-Stop system? Be sure to address how your State will coordinate Wagner-Peyser Act funds to avoid duplication of labor exchange services. (§ 112(b)(8)(A).)

3. Describe how the funds will be used to leverage other federal, State, local and private resources (e.g. shared One-Stop administration costs). Specify how the State will use its 10 percent funds under section 7(b) of the Wagner-Peyser Act. Describe and provide examples of how these coordinated

and leveraged funds will lead to a more effective program that expands the involvement of businesses, employees and individuals. (§ 112(b)(10).)

4. Describe how the needs of dislocated workers, displaced homemakers, low-income individuals such as migrants and seasonal farmworkers, public assistance recipients, women, minorities, individuals training for non-traditional employment, veterans, and individuals with multiple barriers to employment (including older individuals, people with limited English-speaking ability, and people with disabilities) will be met. How will the State ensure nondiscrimination and equal opportunity? (§ 112(b)(17).)

5. Describe the criteria developed by the State for local boards to use in determining that adult funds are limited and that priority of service applies. Describe the guidelines, if any, the State has established for local boards regarding priority when adult funds have been determined to be limited. (§§ 112(b)(17)(A)(iv), 134(d)(4)(E).)

6. Describe how the needs of employers will be determined in the local areas as well as on a statewide basis. Describe how services (e.g., systems to determine general job requirements and list jobs), including Wagner-Peyser Act services, will be delivered to employers through the One-Stop system. How will the system streamline administration of federal tax credit programs within the One-Stop system to maximize employer participation? (20 CFR part 652.3(b), § 112(b)(17)(A)(i).)

7. Describe the reemployment services you will provide to Worker Profiling and Reemployment Services claimants in accordance with section 3(c)(3) of the revised Wagner-Peyser Act. (§ 112(b)(7).)

8. Specifically describe the Wagner-Peyser Act-funded strategies you will use to serve persons with disabilities. (Wagner-Peyser Act § 8(b), WIA § 112(b)(7).)

9. How will Wagner-Peyser Act funds be used to serve veterans? How will your State ensure that veterans receive priority in the One-Stop system for labor exchange services? (§ 112(b)(7).)

10. What role will LVER/DVOPS staff have in the One-Stop system? How will your State ensure adherence to the legislative requirements for veterans staff? How will services under this plan take into consideration the agreement reached between the Secretary and the State regarding veterans' employment programs? (§§ 112(b)(7), 322, 38 U.S.C. Chapter 41 and 20 CFR part 1001-120).

11. Describe how the State will provide Wagner-Peyser Act-funded services to the agricultural community—specifically, outreach, assessment and other services to migrant and seasonal farmworkers, and services to agricultural employers. How will you provide equitable services to this population in the One-Stop system? (20 CFR part 653, § 112(b)(7).)

12. Describe how Wagner-Peyser Act funds will provide a statewide capacity for a three-tiered labor exchange service strategy that includes (1) self-service, (2) facilitated self-help service, and (3) staff-assisted service. Describe your State's strategies to ensure that Wagner-Peyser Act-funded services will be

delivered by public merit staff employees. (§ 112(b)(7), §§ 3(a) and 5(b) of the Wagner-Peyser Act.)

13. Describe how your State will provide rapid response activities with funds reserved under section 133(a)(2), including how the State will use information provided through the WARN Act to determine when to provide such activities.

a. Identify the entity responsible to provide rapid response services.

b. How will your State's rapid response unit's activities involve the local Boards and local Chief Elected Officials? If rapid response functions are shared between your State unit and local areas, identify the functions of each and describe how rapid response funds are allocated to local areas.

c. Describe the assistance available to employers and dislocated workers, particularly how your State determines what assistance is required based on the type of lay-off, and the early intervention strategies to ensure that dislocated workers who need intensive or training services (including those individuals with multiple barriers to employment and training) are identified as early as possible. (§ 112(b)(17)(A)(ii).)

14. Describe your State's strategy for providing comprehensive services to eligible youth, including any coordination with foster care, education, welfare and other relevant resources. Include any State requirements and activities to assist youth who have special needs or barriers to employment, including those who are pregnant, parenting, or have disabilities. Describe how coordination with Job Corps, youth opportunity grants, and other youth programs will occur. (§ 112(b)(18).)

15. Describe how your State will, in general, meet the Act's provisions regarding youth program design, in particular:

- preparation for postsecondary educational opportunities;
- strong linkages between academic and occupational learning;
- preparation for unsubsidized employment opportunities;
- effective linkages with intermediaries with strong employer connections;
- alternative secondary school services;
- summer employment opportunities;
- paid and unpaid work experiences;
- occupational skill training;
- leadership development opportunities;
- comprehensive guidance and counseling;
- supportive services; and
- follow-up services. (§§ 112(b)(18), 129(c).)

C. System Infrastructure: How will the State enhance the systems necessary to operate and manage your workforce investment system? (§§ 111(d)(2), 112(b)(1), 112(b)(8)(B).) In your discussion, you must address the following required elements:

1. How will the locally-operated ITA system be managed in the State to maximize usage and improve the performance information on training providers? How will the State ensure the quality and integrity of the performance data? (§§ 112(b)(14), 112(b)(17)(A)(iii), 122.)

2. How will your State improve its technical and staff capacity to provide services to customers and improve entered

employment outcomes in accordance with section 7(a)(3)(f) of the Wagner-Peyser Act? How will your State use technology such as Jobline, "swipe card" technology, a community voice mail system or other methods to build a mediated and electronic labor exchange network? How will the State use America's Job Bank/State Job Bank Internet linkages to encourage employers to enter their own job orders on the Internet? (§ 112(b)(7).)

3. How will the State improve its employment statistics system to ensure that One-Stop system customers receive timely, accurate and relevant information about local, State and national labor markets? (§§ 111(d)(2), 111(d)(8), 112(b)(1), 134(d)(2)(E).)

#### V. Performance Management

Improved performance and accountability for customer-focused results are central features of WIA. To improve, you not only need systems in place to collect data and track performance, but also systems to analyze the information and modify strategies to improve performance.

In this section, you will describe how you measure the success of your strategies in achieving your goals, and how you use this data to continuously improve the system.

A. For each of the core indicators identified in Section II of these instructions, the customer satisfaction indicator and additional state measures, explain how the State worked with local boards to determine the level of the performance goals. Include a discussion of how the levels compare with the State-adjusted levels of performance established for other States (if available), taking into account differences in economic conditions, the characteristics of participants when they entered the program and the services to be provided. Include a description of how the levels will help you achieve customer satisfaction and continuous improvement over the five years of the Plan. (§ 112(b)(3), 136(b)(3).)

B. Does your State have common data system and reporting processes in place to track progress? If so, describe what data will be collected from the various One-Stop partners (beyond that required by DOL), your use of quarterly wage records, and how the statewide system will have access to the information needed to continuously improve. If not, describe the State's timeframe and plans for transitioning from the JTPA to the WIA tracking system, your planned use of quarterly wage records, and the projected time frame for the system to be operational. (§ 112(b)(8)(B).)

C. Describe the system(s) by which your State measures customer satisfaction for both job seekers and employers (beyond those elements required by the Department). How will customer satisfaction data be evaluated, disseminated locally, and used to improve services and customer satisfaction? Describe any targeted applicant groups under WIA Title I, the Wagner-Peyser Act or Title 38 (Veterans Employment and Training Programs) that your State will track. If no system is currently in place, describe your State's timeframe and plan to collect this information. (§§ 111(d)(2), 112(b)(3), 136(b)(2)(B).)

D. Describe any actions the Governor and State Board will take to ensure collaboration with key partners and continuous improvement of the statewide workforce investment system. (§§ 111(d)(2), 112(b)(1).)

E. How will the State and local Boards evaluate performance? What corrective actions (including sanctions and technical assistance) will the State take if performance falls short of expectations? How will the Boards use the review process to reinforce the strategic direction of the system? (§§ 111(d)(2), 112(b)(1), 112(b)(3).)

#### VI. Assurances

1. The State assures that it will establish, in accordance with section 184 of the Workforce Investment Act, fiscal control and fund accounting procedures that may be necessary to ensure the proper disbursement of, and accounting for, funds paid to the State through the allotments made under sections 127 and 132. (§ 112(b)(11).)

2. The State assures that it will comply with section 184(a)(6), which requires the Governor to, every two years, certify to the Secretary, that—

(A) the State has implemented the uniform administrative requirements referred to in section 184(a)(3);

(B) the State has annually monitored local areas to ensure compliance with the uniform administrative requirements as required under section 184(a)(4); and (C) the State has taken appropriate action to secure compliance pursuant to section 184(a)(5). (§ 184(a)(6).)

3. The State assures that the adult and youth funds received under the Workforce Investment Act will be distributed equitably throughout the State, and that no local areas will suffer significant shifts in funding from year to year during the period covered by this plan. (§ 112(b)(12)(B).)

4. The State assures that veterans will be afforded employment and training activities authorized in section 134 of the Workforce Investment Act, to the extent practicable. (§ 112(b)(17)(B).)

5. The State assures that the Governor shall, once every two years, certify one local board for each local area in the State. (§ 117(c)(2).)

6. The State assures that it will comply with the confidentiality requirements of section 136(f)(3).

7. The State assures that no funds received under the Workforce Investment Act will be used to assist, promote, or deter union organizing. (§ 181(b)(7).)

8. The State assures that it will comply with the nondiscrimination provisions of section 188, including an assurance that a Methods of Administration has been developed and implemented (§ 188.)

9. The State assures that it will collect and maintain data necessary to show compliance with the nondiscrimination provisions of section 188. (§ 185.)

10. The State assures that it will comply with the grant procedures prescribed by the Secretary (pursuant to the authority at section 189(c) of the Act) which are necessary to enter into grant agreements for the allocation and payment of funds under the Act. The procedures and agreements will

be provided to the State by the ETA Office of Grants and Contract Management and will specify the required terms and conditions and assurances and certifications, including, but not limited to, the following:

- General Administrative Requirements: 29 CFR part 97—Uniform Administrative Requirements for State and Local Governments (as amended by the Act).

- 29 CFR part 96 (as amended by OMB Circular A-133)—Single Audit Act.

- OMB Circular A-87—Cost Principles (as amended by the Act)

- Assurances and Certifications: SF 424 B—Assurances for Nonconstruction Programs.

- 29 CFR part 31, 32—Nondiscrimination and Equal Opportunity Assurance (and regulation).

- CFR part 93—Certification Regarding Lobbying (and regulation).

- 29 CFR part 98—Drug Free Workplace and Debarment and Suspension Certifications (and regulation).

- Special Clauses/Provisions:

Other special assurances or provisions as may be required under Federal law or policy, including specific appropriations legislation, the Workforce Investment Act, or subsequent Executive or Congressional mandates.

11. The State certifies that the Wagner-Peyser Act Plan, which is part of this document, has been certified by the State Employment Security Administrator.

12. The State certifies that veterans' services provided with Wagner-Peyser Act funds will be in compliance with 38 U.S.C. Chapter 41 and 20 CFR part 1001.

13. The State certifies that Wagner-Peyser Act-funded labor exchange activities will be provided by merit-based public employees.

14. The State certifies that Workforce Investment Act section 167 grantees, advocacy groups as described in the Wagner-Peyser Act (e.g., veterans, migrant and seasonal farmworkers, people with disabilities, UI claimants), the State monitor advocate, agricultural organizations, and employers were given the opportunity to comment on the Wagner-Peyser Act grant document for agricultural services and local office affirmative action plans and that affirmative action plans have been included for designated offices.

15. The State assures that it will comply with the annual Migrant and Seasonal Farmworker significant office requirements in accordance with 20 CFR part 653.

16. The State has developed this Plan in consultation with local elected officials, local workforce boards, the business community, labor organizations and other partners.

17. The State assures that it will comply with section 504 of the Rehabilitation Act of 1973 (29 USC 794) and the American's with Disabilities Act of 1990 (42 USC 12101 et seq.).

18. The State assures that funds will be spent in accordance with the Workforce Investment Act and the Wagner-Peyser Act legislation, regulations, written Department of Labor Guidance, and all other applicable Federal and State laws.

#### VII. Program Administration Designees and Plan Signature

Name of WIA Title I Grant Recipient Agency _____ Address _____ Telephone Number: _____ Facsimile Number: _____ E-mail Address: _____ <hr/> Name of State WIA Title I Administrative Agency (if different from the Grant Recipient) _____ Address _____ Telephone Number: _____ Facsimile Number: _____ E-mail Address: _____ Name of WIA Title I Signatory Official _____ Address: _____ Telephone Number: _____ Facsimile Number: _____ E-mail Address: _____	Name of WIA Title I Liaison _____ Address _____ Telephone Number: _____ Facsimile Number: _____ E-mail Address: _____ <hr/> Name of Wagner-Peyser Act Grant Recipient/ State Employment Security Agency _____ Address _____ Name of Wagner-Peyser Act Grant Recipient/ State Employment Security Agency _____ Telephone Number: _____ Facsimile Number: _____ E-mail Address: _____ <hr/> Name and title of State Employment Security Administrator (Signatory Official) _____	Address _____ Telephone Number: _____ Facsimile Number: _____ E-mail Address: _____ As the Governor, I certify that for the State/ Commonwealth of _____, the agencies and officials designated above have been duly designated to represent the State/ Commonwealth in the capacities indicated for the Workforce Investment Act, Title I, and Wagner-Peyser Act grant programs. Subsequent changes in the designation of officials will be provided to the U.S. Department of Labor as such changes occur. I further certify that we will operate our Workforce Investment Act and Wagner-Peyser Act programs in accordance with this Plan and the assurances herein. _____ Typed Name and Signature of Governor _____ Date
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**Attachment B**

OPTIONAL TABLE FOR STATE PERFORMANCE INDICATORS AND GOALS <sup>1</sup>

WIA requirement at section 136(b)	Corresponding performance indicator(s)	Previous year performance	Performance goals out-years		
			1	2	3
Adults: Entry into Unsubsidized Employment 6-Months Retention in Unsubsidized Employment 6-Months Earnings received in Unsubsidized Employment Attainment of Educational or Occupational Skills Credential Dislocated Workers: Entry into Unsubsidized Employment 6-Months Retention in Unsubsidized Employment 6-Months Earnings received in Unsubsidized Employment Attainment of Educational or Occupational Skills Credential Youth Aged 19-21: Entry into Unsubsidized Employment 6-Months Retention in Unsubsidized Employment 6-Months Earnings received in Unsubsidized Employment Attainment of Educational or Occupational Skills Credential Youth 14-18: Attainment of Basic, Work Readiness and/or Occupational Skills Attainment of Secondary School Diplomas/Equivalents Placement and Retention in Post-Secondary Education/Training, or Placement in Military, Employment, Apprenticeships Participant Customer Satisfaction Employer Customer Satisfaction Additional State-Established Measures					

<sup>1</sup> Further guidance, including definitions of specific indicators, will be provided separately.

**Attachment C—Regional Office Addresses***Region I—BOSTON*

Robert J. Semler, Regional Administrator, JFK Federal Building, Room E-350, Boston, MA 02203, (617) 565-3630, (617) 565-2229—fax, RAI@doleta.gov

*Region II—NEW YORK*

Marilyn Shea, Regional Administrator, 201 Varick Street, Room 755, New York, New York 10014, (212) 337-2139, (212) 337-2144—fax, RAI@doleta.gov

*Region III—PHILADELPHIA*

Edwin G. Strong, Jr., Regional, Administrator, 3535 Market Street, Room 13300, Philadelphia, PA 19104, (215) 596-6336, (215) 596-0329—fax, RAIII@doleta.gov

*Region IV—ATLANTA*

Toussaint L. Hayes, Regional Administrator, Sam Nunn Atlanta Federal Center, Room, 6M12, 61 Forsyth Street, S.W., Atlanta, GA 30303, (404) 562-2092, (404) 562-2149—fax, RAIV@doleta.gov

*Region V—CHICAGO*

Byron Zuidema, Regional Administrator, 230 S. Dearborn Street, Room 628, Chicago, IL 60604, (312) 353-0313, (312) 353-4474—fax, RAV@doleta.gov

*Region VI—DALLAS*

Joseph Juarez, Regional Administrator, 525 Griffin Street, Room 317, Dallas, TX 75202, (214) 767-8263, (214) 767-5113—fax, RAVI@doleta.gov

*Region VII—KANSAS CITY*

Herman Wallace, Regional Administrator, City Center Square, 1100 Main Street, Suite 1050, Kansas City, MO 64105, (816) 426-3796, (816) 426-2729—fax, RAVII@doleta.gov

*Region VIII—DENVER*

Thomas Dowd, Regional Administrator, 1999 Broadway Street, Suite 1780, Denver, CO 80202-5716, (303) 844-1650, (303) 844-1685—fax, RAVIII@doleta.gov

*Region IX—SAN FRANCISCO*

Armando Quiroz, Regional Administrator, 71 Stevenson Street, Room 830, San Francisco, CA 94105-3767, (415) 975-

4610, (415) 975-4612 -fax, RAIIX@doleta.gov

*Region X—SEATTLE*

Michael Brauser, Regional Administrator, 1111 Third Avenue, Suite 900, Seattle, WA 98101-3112, (206) 553-7700, (206) 553-0098—fax, RAX@doleta.gov

**Attachment D—Local Planning Guidance for Single Workforce Investment Area States****I. Local Plan Submission**

Section 118 of the Workforce Investment Act requires that the Board of each local workforce investment area, in partnership with the appropriate chief elected official, develop and submit a comprehensive 5-year Local Plan for activities under Title I of WIA to the Governor for his or her approval. In States where there is only one local workforce investment area, the Governor serves as both the State and local Chief Elected Official. In this case, the State must submit both the State and Local Plans to the Department of Labor for review and approval. States may (1) submit their Local Plan as an attachment to the State Plan or (2) include these elements within their State Plan, and reference them in an attachment.

The State Planning Guidance on Plan modifications and the Plan approval process applies to a single workforce investment area State Local Plan, with one addition: The Department will approve a Local Plan within ninety days of submission, unless it is inconsistent with the Act and its implementing regulations, or deficiencies in activities carried out under the Act have been identified and the State has not made acceptable progress in implementing corrective measures. (§ 112(c).)

**II. Plan Content**

In the case of single workforce investment area States, much of the Local Plan information required by section 118 of WIA will be contained in the State Plan. At a minimum, single workforce investment area State Local Plans shall contain the additional information described below, and any other information that the Governor may require. For each of the questions, if the answers vary in different areas of the State, please describe those differences.

**A. Plan Development Process**

1. Describe the process for developing the Local Plan. Describe the process and timeline used to provide an opportunity for public comment, including how local Chief Elected Officials, representatives of businesses and labor organizations, and other appropriate partners provided input into the development of the Local Plan, prior to the submission of the Plan. (§ 118(b)(7).)

2. Attach any comments received on the Local Plan (or a summary), and demonstrate how comments were considered in the Plan development process. (§ 118(c)(3).)

**B. Services**

1. Describe the one-stop system(s) that will be established in the State. Describe how the system(s) will ensure the continuous improvement of eligible providers of services and ensure that such providers meet the employment and training needs of employers, workers and job seekers throughout the state. Describe the process for the selection of One-Stop operator(s), including the competitive process used or the consortium partners. (§ 118(b)(2)(A).)

2. Include a copy of each memorandum of understanding between the Board and each One-Stop partner (including the Wagner-Peyser Act agency). (§ 118(b)(2)(B).)

3. Describe and assess the type and availability of adult and dislocated worker employment and training activities. (§ 118(b)(4).)

4. Describe and assess the type and availability of youth activities, including an identification of successful providers of such activities. (§ 118(b)(6).)

**C. System Infrastructure**

1. Identify the entity responsible for the disbursement of grant funds, as determined by the Governor. Describe how funding for areas within the State will occur. Provide a description of the relationship between the State and within-State areas regarding the sharing of costs where co-location occurs. (§ 118(b)(8).)

2. Describe the competitive process to be used to award the grants and contracts in the State for WIA Title I activities. (§ 118(b)(9).)

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