

State Integrated Workforce Plan Requirements for Workforce Investment Act Title I/Wagner-Peyser Act and Department of Labor Workforce Programs

Overview

The Workforce Investment Act (WIA) of 1998, as amended, requires that the governor of each state submit a WIA title I/Wagner-Peyser (W-P) Act State Plan to the U.S. Department of Labor (the Department) that outlines a five-year strategy for its workforce investment system. States must have approved State Plans in place to receive formula allotments under WIA or financial assistance under W-P. (WIA Section 112(a), W-P Section 8(a).) The Department must approve a state plan 90 days from the date of submission, unless the Department determines in writing during the 90-day review period that the plan does not meet the requirements of WIA, W-P, or implementing regulations, including the nondiscriminatory and equal opportunity provisions appearing at 29 CFR part 37. (WIA Section 112(c), W-P Section 8(d), 20 CFR 661.220(e).)

States have three options for State Plan submissions. In place of what used to be their stand-alone WIA/Wagner-Peyser five-year plan, at a minimum, states must now submit an Integrated Workforce Plan that provides a plan for WIA and Wagner-Peyser programs, and must now also include a Wagner-Peyser agricultural outreach plan, and short description of plans for coordination with Trade Adjustment Assistance (TAA). Second, states also have the option of including the Senior Community Service Employment Program (SCSEP) in their Integrated Workforce Plan. For either of these two options, the plans will include only workforce programs under the jurisdiction of the Department of Labor and must comport with the requirements of this guidance. As a third option, states may submit a State Unified Plan that encompasses not only WIA title I/W-P programs and other Department of Labor programs, but also certain programs administered by the U.S. Departments of Education, Health and Human Services, Agriculture, and Housing and Urban Development. (WIA Section 501.) Those plans must meet the requirements of WIA Section 501. During the five-year period a plan is in effect, a state may submit modifications to the plan in accordance with WIA and W-P requirements. (WIA Section 112(d), 20 CFR 652.212-214.)

This guidance governs plan content and requirements for the WIA title I/W-P State Plan, and significantly revises and replaces previously published State Plan guidance for WIA/W-P, most importantly the *Planning Guidance and Instructions for Submission of the Strategic State Plan and Plan Modifications for the Title I of the Workforce Investment Act of 1998 (WIA and the Wagner-Peyser Act)*, published in the Federal Register on December 1, 2008. As mentioned above, states may also use this new guidance in developing their State Plans for other Department-funded programs. This document does not replace the Unified Plan Guidance, which is based on WIA Section 501 and contains requirements related to both “required” and “additional” one-stop partner programs in multiple Federal agencies. To differentiate this guidance, which governs only Department of Labor programs, from that governing full Unified Plans as described at WIA Section 501, we are calling this set of requirements the “Integrated Workforce Plan.”

This guidance organizes into three key sections the information that each state must include in its proposed Integrated Workforce Plan:

Section I provides the elements required for the *State Workforce Strategic Plan*. The elements in this section represent the high-level vision, goals, economic and workforce analysis, strategies, and outcomes that the governor and strategic partners collaboratively

identify for the state's future. The elements in this section are intended to serve as a vehicle for the governor, state workforce investment board (SWIB), and other partners to identify broad goals and strategies for the state.

Section II provides the elements for the *State Operational Plan*. A state's operational plan must make clear how specific workforce programs will operationalize, administer, and implement systems and structures to achieve the vision, strategies, and goals identified by the Strategic Plan. Virtually all items contained in this section are required by statute or regulation for inclusion in the State Plan. Section III provides a list of *Assurances* in which the state assures the Department that it is complying with applicable law and, where appropriate, attaches policies or other supporting documentation. Although the Department requires states to submit all three sections to fulfill WIA planning requirements, states do not need to include all three sections in a single document, and may submit them separately. For instance, states may submit a strategic plan developed for other purposes (e.g., as part of a governor's workforce and economic development strategy), as long as the plan submitted either includes all the requirements listed in Section I, or is appended with any missing elements. Although not required, respondents may frame plan submissions in the order used in this document or, if more convenient, in another order or format responsive to the requirements.

Public Burden Statement: These reporting instructions have been approved under the Paperwork Reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number (1205-0398). Public reporting burden for this collection of information, which is required for obtaining or retaining benefits (29 USC 49(g)), is estimated at 40 hours, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Investment, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

Section I. State Workforce Strategic Plan

A state's Integrated Workforce Plan must identify the programs included in the plan, and include the following key elements. Please note that, where appropriate, narratives in each section of the plan may contain Web links to external supporting documents.

- **Governor's Vision**: This portion of the Integrated Workforce Plan must describe the governor's strategic vision for the state's economy and overarching goals for the state's workforce system. This vision should provide the strategic direction for the state workforce system and guide investments in workforce preparation, skill development, education and training, and major initiatives supporting the governor's vision. The plan also must specifically address the governor's vision for aligning efforts among workforce development partners to achieve accessible, seamless, integrated, and comprehensive service, and how programs and activities described in the plan will support the state's economic development needs and the employment and training needs of all working-age youth and adults in the state. The plan must include a description of the methods used for joint planning, and coordination of the programs and activities included in the plan. (WIA Sections 111(d)(2), 112(a)-(b), W-P Section 8(c).)
- **Economic and Workforce Information Analysis**: The Integrated Workforce Plan must describe the labor market and economic context in which the state's workforce system (including all the programs in the Integrated Workforce Plan) is operating, based on accurate and timely labor-market, demographic, and economic information, with particular attention given to high-need, under-served, under-employed, and/or low-skilled subpopulations. (WIA Sections 112(b)(4), 112(b)(17)(A)(iv), 112(b)(18), W-P Sections 8(b) and 15.) This description should include an assessment of the needs of constituents within the state who will become, or currently comprise, the state's workforce, particularly those needs which can be addressed by the programs included in the Integrated Workforce Plan.

The state's analysis of the current economy and future trends of the economy forms the foundation for strategic planning. For its analysis, the state may use the workforce information produced by the state workforce agency as well as other data available from Federal, state, and private sector sources, and informed by the business representatives of the state workforce investment board (SWIB). The Integrated Workforce Plan must include the following specific information, consistent with Section 112(b)(4) of the Act:

- An assessment of the current situation and projected trends of the state's economy, industries and occupations, including major economic regions and industrial and occupational sectors
- An assessment of the workforce skills and knowledge individuals need to find current and future employment in the state, particularly those skills and knowledge identified by employers as necessary for economic growth in the state
- A description of the characteristics and employment-related needs of the state's population, and diverse sub-populations, including those from racial, ethnic, linguistic groups, older persons, and individuals with disabilities
- Based on the assessments above, an analysis of the skill and education gaps for all individuals within the state, particularly for those individuals targeted by the programs included in the Integrated Workforce Plan
- An analysis of the challenges associated with the state's population attaining the education, skills, and training needed to obtain employment
- A discussion of the ability of Integrated Workforce Plan programs to meet the skill needs of employers in the state and close any skill gaps

- State Strategies: The Integrated Workforce Plan must describe the key strategies the state intends to implement, based on its economic analysis, to achieve the governor’s vision and goals.

Cross-Program Strategies – The plan must discuss integrated cross-program strategies for specific populations and sub-populations identified in the state’s economic analysis, strategies for meeting the workforce needs of the state’s employers, and regional and sector strategies tailored to the state’s economy.

Partnerships – The plan must include a discussion of key strategic partnerships that are necessary to successfully implement the strategies, specify roles of specific state entities and programs, and discuss how the strategies will meet the needs of employers and of each sub-population. (WIA Sections 111(d)(2), 112(b)(8), W-P Section 8(c).)

Leveraging Resources – The plan must discuss how the state will coordinate discretionary and formula-based investments across programs and in support of the governor’s vision. The state’s planned commitment of Federal and non-Federal funds to these investments must be included. The plan must also describe how the state will use program funds to leverage other Federal, state, local, and private resources, in order to effectively and efficiently provide services. (WIA Section 112(b)(10).)

Policy Alignment – The plan must discuss how the state will align policies, operations, administrative systems, and other procedures to assure coordination and avoid duplication of workforce programs and activities outlined in WIA Section 121(b). (WIA Sections 111(d)(2)(A), 112(b)(8)(A), 121(b), 20 CFR 661.205(b)(1).)

- Desired Outcomes: The Integrated Workforce Plan must describe and provide specific quantitative targets for the desired outcomes and results for the programs included in the plan. Table 1 may be used for WIA/W-P programs. The plan should also describe any additional established indicators and system measures, beyond those required by programs’ authorizing statutes. (WIA Sections 112(b)(3), 136(b)(1)(A)(ii), (b)(2)(C), 20 CFR 666.110, 666.120(g), 666.300.)

In addition to the state’s program performance goals, the state may also discuss the other goals it intends to achieve. Does the state examine broader economic and social indicators? For example, is the state attempting to increase the percentage of workers employed in family wage jobs; increase earnings to support a better quality of life; increase the number of employers with job opportunities; or increase high school and college graduation rates as metrics? In sum, the state should describe its desired results for the state workforce investment system and the metrics it is using to measure those results.

Table 1
Optional Table for State WIA/W-P Performance Indicators and Goals

| WIA Requirement at Section 136(b) | Previous Year Performance | Performance Goal |
|---|----------------------------------|-------------------------|
| <p>Adults: Entered Employment Rate Employment Retention Rate Average Six-Months Earnings Certificate Rate</p> <p>Dislocated Workers: Entered Employment Rate Employment Retention Rate Average Six-Months Earnings Certificate Rate</p> <p>Youth, Aged 19-21: Entered Employment Rate Employment Retention Rate Six-Months Earnings Change Certificate Rate</p> <p>Youth, Aged 14-18: Skill Attainment Rate Diploma or Equivalent Attainment Rate Retention Rate</p> <p>Youth Common Measures¹: Placement in Employment or Education Attainment of a Degree or Certificate Literacy and Numeracy Gains</p> <p>Customer Satisfaction: Participant Customer Satisfaction Employer Customer Satisfaction</p> <p>Additional State-Established Measures</p> | | |
| W-P Requirement at Section 13(a) | Previous Year Performance | Performance Goal |
| <p>Entered Employment Rate Employment Retention Rate Average Six-Months Earnings</p> | | |

¹ Goals are negotiated for these measures by states reporting common performance measure outcomes only.

Section II. State Operational Plan

- Overview of the Workforce System: The State Operational Plan must present an overview of the workforce system in the state.

Organization – The overview must describe organization and delivery systems at the state and local levels for the programs covered in the plan, particularly how this organization effectively supports the coordination and alignment of the state’s workforce programs and supports integrated service delivery. The overview must include a description of the key state administrative personnel of the programs described in Section I of the Integrated Workforce Plan, and the organizational structure and membership roster of SWIB members and their organizational affiliation.

State Board – The State Operational Plan must describe how the SWIB effectively coordinates and aligns the resources and policies of all the programs included in the plan, and specifically, must include the following items related to the SWIB:

- How the board collaborated in the development of the plan, and how it will collaborate in carrying out the functions described in WIA Section 111(d). (WIA Sections 111(a), (b), (d), 112(b)(1); 20 CFR 661.205.)
- How the SWIB member who represents Vocational Rehabilitation (VR) will effectively represent the interests, needs, and priorities of the VR program and how the employment needs of individuals with disabilities in the state will be addressed. (Only applicable to states which: (1) do not have the state VR agency director on its SWIB; or (2) in cases where the state uses an alternative entity as its SWIB, that entity does not provide for representative membership by individuals in these categories as required by WIA sec. 111(b), (WIA Sections 111(b)(1), 111 (e), 112(b)(8)(A)(iii), W-P Section 8(b), Rehabilitation Act Section 101(a)(2)(B), 20 CFR 661.200(i)(3), 661.205(b)(1), 661.210(c).)

Local Areas – The State Operational Plan must also describe the WIA title I local workforce investment areas in the state, including:

- An identification of local workforce investment areas designated in the state, and the process used for designating local areas. (WIA Sections 111(d)(4), 112(b)(5), and 116(a), 20 CFR 661.205(d), 661.250-.270.)
- The designation of intrastate regions and interstate regions, as defined in 20 CFR 661.290, and their corresponding performance measures. For interstate regions, describe the roles of the respective governors, and state and local workforce investment boards. (WIA Section 116(c).) States may also discuss other types of regional structures here.

- Operating Systems and Policies Supporting the State’s Strategies: The State Operational Plan must describe:
 - State operating systems that support coordinated implementation of state strategies (e.g. labor market information systems, data systems, communication systems, etc.). (WIA Section 112(b)(8)(A).)
 - State policies that support the coordinated implementation of the state’s strategies. (WIA Section 112(b)(8)(A).)
 - How the delivery of services to jobseeker customers and employer customers, including Registered Apprenticeship sponsors, will be aligned across programs. (WIA Sections 111(d)(2), 112(b)(8).)

- o How the state will provide WIA rapid response activities to dislocated workers from funds reserved under Section 133(a)(2), including designating a state rapid response unit. (WIA Sections 112(b)(17)(A)(ii), 133(a)(2), 134(a)(2)(A).)
- o Common data-collection and reporting processes used for all programs and activities present in One-Stop Career Centers. (WIA Section 112(b)(8).)
- o State performance accountability system developed for workforce investment activities to be carried out through the statewide workforce investment system. (WIA Sections 111(d)(2), (d)(6)-(8), 112(b)(3), 136; W-P Section 15; 20 CFR 666.205(f)-(h), 661.220(c), and 20 CFR part 666.)
- o State strategies for using quarterly wage record information to measure the progress on state and local performance measures, including identification of which entities may have access to wage record information. (WIA Section 136(f)(2), 20 CFR 666.150)
- Services to State Target Populations: The State Operational Plan must describe how all the programs described in the plan will work together to ensure that customers who need a broad range of services receive them. This is an opportunity for the state to describe how One-Stop Career Center services will address more specific needs of targeted sub-populations identified in the economic analysis. The State Operational Plan must describe how the state will:
 - o Serve employment, re-employment, and training needs of unemployment compensation claimants; the long-term unemployed; the under-employed; dislocated workers (including trade-impacted dislocated workers and displaced homemakers); low-income individuals (including recipients of public assistance); migrant and seasonal farmworkers; veterans; individuals with limited English proficiency; homeless individuals; ex-offenders; older workers; individuals training for nontraditional employment; and individuals with multiple challenges to employment. (WIA Sections 112(b)(17)(A), (b)(17)(B), (b)(8)(A), 20 CFR 652.207, 663.600-.640, 29 CFR part 37.)
 - o Serve the employment and training needs of individuals with disabilities. The discussion must include the state's long-term strategy to improve services to and employment outcomes of individuals with disabilities, including plans for the promotion and development of employment opportunities, job counseling, and placement for individuals with disabilities. (W-P Section 8(b); WIA Section 112(b)(17)(A)(iv), 20 CFR 663.230, 663.640, 667.275(a).)
 - o Deliver comprehensive services for eligible youth, particularly youth with significant barriers to employment. (WIA Section 112(b)(18)(A).) The discussion must include how the state coordinates youth activities, including coordination of WIA Youth activities with the services provided by the Job Corps program in the state. Job Corps services include outreach and admissions, center operations, and career placement and transition services. (WIA Sections 112(b)(18)(C), 129.)
- Wagner-Peyser Agricultural Outreach: Each state workforce agency shall operate an outreach program in order to locate and to contact migrant and seasonal farmworkers (MSFWs) who are not being reached by the normal intake activities conducted by the local offices. To this end, each state agency must include in its State Operational Plan an annual agricultural outreach plan, setting forth numerical goals, policies, and objectives. Regulations at 20 CFR 653.107 require that the outreach plan include the following elements:
 - o Assessment of need
 - o Proposed outreach activities

- o Services provided to agricultural employers and MSFWs through the One-Stop delivery system
- o Numerical goals
- o Data analysis
- Services to Employers: The State Operational Plan must describe how the state will coordinate efforts of the multiple programs included in the plan to meet the needs of business customers of the One-Stop system in an integrated fashion, such as hiring plans, training needs, skill development, or other identified needs. The State Operational Plan should also describe how the state will use program funds to expand the participation of business in the statewide workforce investment system. (WIA Sections 111(d)(2), 112(a), 112(b)(8), 112(b)(10), W-P Section 8, 20 CFR 661.205(b)(1).)
- WIA Single-Area States Only – Additional WIA Title I Requirements: In states where there is only one local workforce investment area, the governor serves as both the state and local chief elected official. In such cases, the state must submit with its State Operational Plan any information required in the local plan. Therefore, states with a single workforce area should also include in their State Operational Plan:
 - o Any comments from the public comment period that represent disagreement with the Plan. (WIA Sections 118(c)(3), 112(b)(9), 20 CFR 661.220(d), .350(a)(8).)
 - o The entity responsible for the disbursement of grant funds, as determined by the governor, if different from that for the state. (WIA Section 118(b)(8), 20 CFR 661.350(a)(9).)
 - o The type and availability of WIA title I Youth activities, including an identification of successful providers of such activities. (WIA Section 118(b)(6), 20 CFR 661.350(a)(7).)
- (Optional) WIA Waiver Requests: States wanting to request waivers as part of their Operational Plan submission must attach a waiver plan, as required by 20 CFR 661.420(c), that includes the following information for each waiver requested:
 - o Statutory and/or regulatory requirements for which a waiver is requested.
 - o A description of the actions the state or local area has undertaken to remove state or local statutory or regulatory barriers.
 - o A description of the goals of the waiver, how those goals relate to Integrated Workforce Plan goals, and expected programmatic outcomes if the waiver is granted.
 - o A description of individuals impacted by the waiver.
 - o A description of the processes used to monitor implementation, provide notice to any local workforce investment board affected by the waiver, provide affected local workforce investment boards an opportunity to comment on the waiver request, and ensure meaningful public comment, including comment from business and labor.
- Trade Adjustment Assistance (TAA): States must describe how TAA will coordinate with WIA/W-P to provide seamless services to participants and address how the state:
 - o Provides early intervention (e.g. rapid response) to worker groups on whose behalf a TAA petition has been filed. (WIA Sections 112(b)(17)(A)(ii), 134(a)(2)(A), 20 CFR 665.300-.340.)
 - o Provides core and intensive services to TAA participants, as indicated in the encouragement of co-enrollment policies provided in TEGL 21-00. The description should provide detailed information on how assessments are utilized to identify participants' service needs, including whether participants need training according to the six criteria for TAA-approved training. (20 CFR 617.21(c), 617.22(a))

- o Has developed and managed resources (including electronic case management systems) to integrate data provided through different agencies administering benefits and services (TAA, Trade Readjustment Allowances, Unemployment Insurance, Employment Security, WIA, etc.) in order to ensure consistent program administration and fiscal integrity, as well as reliable fiscal and performance reporting. (May alternatively be discussed in “operating systems and policies” section of Operating Plan.) (WIA Sections 112(b)(8)(A), (B).)
- (Optional) SCSEP: States that include SCSEP in the Integrated Workforce Plan must include:
 - o Long-term projections for jobs in industries and occupations in the state that may provide employment opportunities for older workers. (20 CFR 641.302(d))(May alternatively be discussed in the economic analysis section of strategic plan.)
 - o A discussion of how the long-term job projections discussed in the economic analysis section of strategic plan relate to the types of unsubsidized jobs for which SCSEP participants will be trained and the types of skill training to be provided. (20 CFR 641.302(d))
 - o Current and projected employment opportunities in the State (such as by providing information available under §15 of the Wagner-Peyser Act (29 U.S.C. 491-2) by occupation), and the types of skills possessed by eligible individuals. (20 CFR 641.325(c).)
 - o A description of the localities and populations for which projects of the type authorized by title V are most needed (20 CFR 641.325 (d).)
 - o A description of actions to coordinate SCSEP with other programs. This may alternatively be discussed in the state strategies section of the strategic plan, but regardless of placement in document, must include:
 1. Planned actions to coordinate activities of SCSEP grantees with WIA title I programs, including plans for using the WIA One-Stop delivery system and its partners to serve individuals aged 55 and older. (20 CFR 641.302(g), 641.325(e))
 2. Planned actions to coordinate activities of SCSEP grantees with the activities being carried out in the State under the other titles of the Older Americans Act (OAA). (20 CFR 641.302(h))
 3. Planned actions to coordinate SCSEP with other private and public entities and programs that provide services to older Americans, such as community and faith-based organizations, transportation programs, and programs for those with special needs or disabilities. (20 CFR 641.302(i))
 4. Planned actions to coordinate SCSEP with other labor market and job training initiatives. (20 CFR 641.302(j).)
 5. Actions to ensure that SCSEP is an active partner in the One-Stop delivery system and the steps the state will take to encourage and improve coordination with the One-Stop delivery system. (20 CFR 641.335)
 - o The state’s long-term strategy for engaging employers to develop and promote opportunities for the placement of SCSEP participants in unsubsidized employment. (20 CFR 641.302(e)) (May alternatively be discussed in the state strategies section of strategic plan.)
 - o The state’s long-term strategy for achieving an equitable distribution of SCSEP positions within the state that:
 1. Moves positions from over-served to underserved locations within the state in compliance with 20 CFR 641.365.

2. Equitably serves rural and urban areas.
 3. Serves individuals afforded priority for service under 20 CFR 641.520. (20 CFR 641.302(a), 641.365, 641.520)
- o The ratio of eligible individuals in each service area to the total eligible population in the state. (20 CFR 641.325(a))
 - o The relative distribution of eligible individuals who:
 1. Reside in urban and rural areas within the state
 2. Have the greatest economic need
 3. Are minorities
 4. Are limited English proficient.
 5. Have the greatest social need. (20 CFR 641.325(b))
 - o A description of the steps taken to avoid disruptions to the greatest extent possible, when positions are redistributed, as provided in 20 CFR 641.365; when new Census or other reliable data become available; or when there is over-enrollment for any other reason.. (20 CFR 641.325(i), 641.302(b))
 - o The State's long-term strategy for serving minority older individuals under SCSEP. (20 CFR 641.302 (c))
 - o A list of community services that are needed and the places where these services are most needed. Specifically, the plan must address the needs and location of those individuals most in need of community services and the groups working to meet their needs. (20 CFR 641.330)
 - o The state's long-term strategy to improve SCSEP services, including planned longer-term changes to the design of the program within the state, and planned changes in the use of SCSEP grantees and program operators to better achieve the goals of the program. This may include recommendations to the Department as appropriate. (20 CFR 641.302(k))
 - o The state's strategy for continuous improvement in the level of performance for SCSEP participants' entry into unsubsidized employment, and to achieve, at a minimum, the levels specified in OAA Section 513(a)(2)(E)(ii). (20 CFR 641.302(f))

Section III. Integrated Workforce Plan Assurances and Attachments

This section provides a "check-the-box" table of assurance statements and a single signature sheet to certify that the information provided by the state, and submitted to the Department, in the following table is accurate, complete, and meets all legal and guidance requirements. The table below contains the assurances, the legal reference that corresponds to each assurance, and a column for the state to provide a reference to the document(s) that it believes meets the stated assurance or where the statute requires documentation of a policy or procedure. Such a reference may be a hyperlink to an on-line document or it may be an attachment. Not all assurances require documents to be attached or referenced. Where an approved special exemption, waiver, or an approved alternate structure makes an assurance not applicable to your state, please insert the words "Not Applicable" in the reference column.

By checking each assurance, attaching the proper documentation or links, and signing the certification at the end of the document, the state is certifying it has met each of the legal planning requirements outlined in WIA law and regulations and in corresponding Departmental guidance. By checking each box and signing the certification, the state is also indicating that its supporting documentation meets all applicable Federal and state laws and regulations and is available for review. Any deficiencies in the documentation attached to each assurance identified during the state plan review process may result in additional technical assistance and a written corrective action as part of the Department's conditional approval of the state's Integrated Workforce Plan. Assurances that are part of the state's grant agreement are not duplicated here.

ASSURANCES AND ATTACHMENTS – Planning process and Public Comment

| <input checked="" type="checkbox"/> | STATEMENT | REFERENCE | DOCUMENTATION and COMMENTS |
|-------------------------------------|---|---|---|
| 1. <input type="checkbox"/> | The state established processes and timelines, consistent with WIA Section 111(g) – and, where appropriate, 20 CFR 641.325 (g) – to obtain input into the development of the Integrated Workforce Plan and to give opportunity for comment by representatives of local elected officials, local workforce investment boards, businesses, labor organizations, other primary stakeholders, and the general public. | WIA Sections 112(b)(9), 111(g) 20 CFR 661.207 20 CFR 661.220(d) 20 CFR 641.325(f), (g), (h), 20 CFR 641.335 | <i>Include a link or copy of a summary of the public comments received.</i> |
| 2. <input type="checkbox"/> | The state afforded opportunities to those responsible for planning or administering programs and activities covered in the Integrated Workforce Plan to review and comment on the draft plan. | WIA Sections 112(b)(9), 111(g) 20 CFR 661.207 20 CFR 661.220(d) | |
| 3. <input type="checkbox"/> | The final Integrated Workforce Plan and State Operational Plan are available and accessible to the general public. | | |
| 4. <input type="checkbox"/> | The state afforded the State Monitor Advocate an opportunity to approve and comment on the Agricultural Outreach Plan. | WIA Sections 112(b)(9), 111(g) 20 CFR 661.207 20CFR 661.220(d) 20 CFR 653.108(f) | <i>Include a link or copy of comments received.</i> |
| 5. <input type="checkbox"/> | In the development of the plan, the state considered the recommendations submitted by the State Monitor Advocate in the annual summary of services to Migrant and Seasonal Farmworkers. | 20 CFR 653.108(t) | |
| 6. <input type="checkbox"/> | The state established a written policy and procedure to ensure public access (including people with disabilities) to board meetings and information regarding board activities, such as board membership and minutes. | WIA Sections 111(g), 112(b)(9), 117(e) 20 CFR 661.207 | <i>Include a link or copy of the policy.</i> |
| 7. <input type="checkbox"/> | Where SCSEP is included in the Integrated Workforce Plan, the state established a written policy and procedure to obtain advice and recommendations on the State Plan from representatives of the State and area agencies on aging; State and local boards under the WIA; public and private nonprofit agencies and organizations providing employment | 20 CFR 641.315(a)(1-10), 641.325 (f), (g), (h) | <i>Include a link or copy of a summary of the public comments received.</i> |

| ☒ | STATEMENT | REFERENCE | DOCUMENTATION and COMMENTS |
|---|---|-----------|----------------------------|
| | services, including each grantee operating a SCSEP project within the state, except as provided under section 506 (a)(3) of OAA and 20 CFR 641.320(b); Social service organizations providing services to older individuals; Grantees under Title III of OAA, Affected Communities, Unemployed older individuals, Community-based organizations serving older individuals; business organizations and labor organizations | | |

ASSURANCES AND ATTACHMENTS - REQUIRED POLICIES and procedures

| | STATEMENT | REFERENCE | DOCUMENTATION or COMMENTS |
|-----|---|---|---|
| 8. | <input type="checkbox"/> The state made available to the public state-imposed requirements, such as state-wide policies or guidance, for the statewide public workforce system, including policy for the use of WIA title I statewide funds. | WIA Sections 112(b) (2), 129, 134 20 CFR 665.100 | <i>Include links or copies of the policies.</i> |
| 9. | <input type="checkbox"/> The state established a written policy and procedure that identifies circumstances that might present a conflict of interest for any state or local workforce investment board member or the entity that s/he represents, and provides for the resolution of conflicts. The policy meets the requirements of WIA Sections 111(f) and 117(g). | WIA Sections 112(b) (13), 111(f), 117(g) | <i>Include a link or copy of the policy.</i> |
| 10. | <input type="checkbox"/> The state has established a written policy and procedure that describes the state's appeals process available to units of local government or grant recipients that request, but are not granted, designation of an area as a local area under WIA Section 116. | WIA Sections 112(b) (15), 116(a)(5) 20 CFR 661.280 20 CFR 667.700 | <i>Include a link or copy of the policy.</i> |
| 11. | <input type="checkbox"/> The state established written policy and procedures that describe the state's appeal process for requests not granted for automatic or temporary and subsequent designation as a local workforce investment area. | 20 CFR 667.640 20 CFR 662.280 | <i>Include a link or copy of the policy.</i> |
| 12. | <input type="checkbox"/> The state established a written policy and procedure that set forth criteria to be used by chief elected officials for the appointment of local workforce investment board members. | WIA Sections 112(b) (6), 117(b) 20 CFR 661.300(a), 20 CFR 661.325 | <i>Include a link or copy of the policy.</i> |
| 13. | <input type="checkbox"/> The state established written policy and procedures to ensure local workforce investment boards are certified by the governor every two years. | WIA Sec 117(c) 20 CFR 661.325 | <i>Include a link or copy of the policy.</i> |

| | STATEMENT | REFERENCE | DOCUMENTATION or COMMENTS |
|-----|--|---|--|
| 14. | <input type="checkbox"/> Where an alternative entity takes the place of an SWIB, the state has written policy and procedures to ensure the alternative entity meets the definition under section 111(e) and the legal requirements for membership. | WIA Sections 111(e), (b) 20 CFR 661.210 | <i>Include a link or copy of the policy.</i> |
| 15. | <input type="checkbox"/> Where the alternative entity does not provide representative membership of the categories of required SWIB membership, the state has a written policy or procedure to ensure an ongoing role for any unrepresented membership group in the workforce investment system. (Only applicable in cases where a state uses an alternative entity as its SWIB, and that entity does not provide for representative membership by individuals in the categories required by WIA sec. 111(b).) | WIA Sections 111(b), (e) 20 CFR 661.210(c) | <i>Include a link or copy of the policy.</i> |
| 16. | <input type="checkbox"/> When applicable, the state takes any action necessary to assist local areas in developing and implementing the One-Stop system. | WIA Sections 112(b) (14), 134(c) W-P Section 8(c) | <i>Include link or copy of the policy</i> |
| 17. | <input type="checkbox"/> The state established procedures for determining initial and subsequent eligibility of training providers. | WIA Sections 112(b) (17)(A)(iii), 122, 134(d)(4) 20 CFR 663.515, 663.535 | <i>Include a link or copy of the policy.</i> |
| 18. | <input type="checkbox"/> All partners in the workforce and education system described in this plan will ensure the physical, programmatic, and communications accessibility of facilities, programs, services, technology, and materials for individuals with disabilities in One-Stop Career Centers. | WIA Section 188 W-P Section 8(b) 29 CFR part 37 20 CFR 652.8(j) | <i>Include a link or copy of the policy.</i> |
| 19. | <input type="checkbox"/> The state ensures that outreach is provided to populations and sub-populations who can benefit from One-Stop Career Center services. | WIA Section 188 29 CFR 37 | |
| 20. | <input type="checkbox"/> The state implements universal access to programs and activities to all individuals through reasonable recruitment targeting, outreach efforts, assessments, services delivery, partnership development, and numeric goals. | WIA Section 188 29 CFR 37.42 | |
| 21. | <input type="checkbox"/> The state complies with the nondiscrimination provisions of section 188, including that Methods of Administration were developed and implemented. | WIA Section 188 29 CFR 37.20 | |

| | STATEMENT | REFERENCE | DOCUMENTATION or COMMENTS |
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| 22. | <input type="checkbox"/> The state collects and maintains data necessary to show compliance with nondiscrimination provisions of section 188. | WIA Section 185 | |
| 23. | <input type="checkbox"/> For WIA Single-Area States only, the state has memorandums of understanding between the local workforce investment board and each of the One-Stop partners concerning the operation of the One-Stop delivery system in the local area. | WIA Sections 112(b)(5), 116(b), 118(b)(2)(B), 20 CFR 661.350(a)(3)(ii) | <i>Include a link or copy of the MOUs.</i> |

ASSURANCES AND ATTACHMENTS - Administration of Funds

| | STATEMENT | REFERENCE | DOCUMENTATION and COMMENTS |
|------|--|---|--|
| 24 | <input type="checkbox"/> The state established written policy and procedures that outline the methods and factors used in distributing funds, including WIA Adult, Dislocated Worker, and Youth formula and rapid response funds. The policy establishes a process for funds distribution to local areas for youth activities under WIA Section 128(b)(3)(B), and for adult and training activities under WIA Section 133(b), to the level of detail required by Section 112(b)(12)(a). In addition, the policy establishes a formula, prescribed by the governor under Section 133(b)(2)(B), for the allocation of funds to local areas for dislocated worker employment and training activities. | WIA Sections 111(d)(5), 112(b)(12)(A), (C), 128(b)(3)(B), 133(b)(2)(B), 133(b)(3)(B) 20 CFR 661.205(e) | <i>Include a link or copy of the policy.</i> |
| 24a. | <input type="checkbox"/> For Dislocated Worker funding formulas, the state's policy and procedure includes the data used and weights assigned. If the state uses other information or chooses to omit any of the information sources set forth in WIA when determining the Dislocated Worker formula, the state assures that written rationale exists to explain the decision. | WIA Section 133(b)(2)(B) 20 CFR 667.130(e)(2)(i)-(ii) | |
| 25. | <input type="checkbox"/> The state established a written policy and procedure for how the individuals and entities represented on the SWIB help to determine the methods and factors of distribution, and how the state consults with chief elected officials in local workforce investment areas throughout the state in determining the distributions. | WIA Sections 111(d)(5), 112(b)(12)(A), 128(b)(3)(B), 133(b)(3)(B), 20 CFR 661.205(e) | <i>Include a link or copy of the policy.</i> |
| 26. | <input type="checkbox"/> The state established written policy and procedures for any distribution of | WIA Sections 133(a) | <i>Include a link or copy of the</i> |

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|-----|--------------------------|--|---|---|
| | | funds to local workforce investment areas reserved for rapid response activities, including the timing and process for determining whether a distribution will take place. | (2), 134(a)(2)(A) 20 CFR 667.130(b) (2), (e)(4), 665.340 | <i>policy.</i> |
| 27. | <input type="checkbox"/> | The state established written policy and procedures to competitively award grants and contracts for WIA Title I activities. | WIA Section 112(b) (16) | <i>Include a link or copy of the policy.</i> |
| 28. | <input type="checkbox"/> | The state established written criteria to be used by local workforce investment boards in awarding grants for youth activities, including criteria that the governor and local workforce investment boards will use to identify effective and ineffective youth activities and providers of such activities. | WIA Sections 112(b) (18)(B), 123, 129 | <i>Include a link or copy of the policy.</i> |
| 29. | <input type="checkbox"/> | The state established written criteria for a process to award a grant or contract on a competitive basis for Summer Youth Employment Opportunities element of the local youth program, where a provider is other than the grant recipient/fiscal agent. | WIA Sections 123, 129(c)(2)(C) 20 CFR 664.610. | <i>Include a link or copy of the policy.</i> |
| 30. | <input type="checkbox"/> | The state distributes adult and youth funds received under WIA equitably throughout the state, and no local areas suffer significant shifts in funding from year-to-year during the period covered by this plan. | WIA Section 112(b) (12)(B) | |
| 31. | <input type="checkbox"/> | The state established written fiscal-controls and fund-accounting procedures and ensures such procedures are followed to ensure the proper disbursement and accounting of funds paid to the state through funding allotments made for WIA Adult, Dislocated Worker, and Youth programs, and the Wagner-Peyser Act. | WIA Sections 112(b) (11), 127, 132, 184 W-P Sections 9(a), (c) 20 CFR 652.8(b), (c) | |
| 32. | <input type="checkbox"/> | The state ensures compliance with the uniform administrative requirements in WIA through annual, onsite monitoring of each local area. | WIA Sections 184(a) (3), (4) 20 CFR 667.200, .400(c)(2), 667.410 | <i>Include a link or copy of the policy.</i> |
| 33. | <input type="checkbox"/> | The state follows confidentiality requirements for wage and education records as required by the Family Educational Rights and Privacy Act of 1974 (FERPA), as amended, WIA, and applicable Departmental regulations. | WIA Sections 136(f) (2), (f)(3), 122, 185(a)(4)(B) 20 USC 1232g 20 CFR 666.150 20 CFR part 603 | <i>Include a link or copy of the policy, if available in the state. Documentation not required.</i> |
| 34. | <input type="checkbox"/> | The state will not use funds received under WIA to assist, promote, or deter | WIA Section 181(b) | |

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| union organizing. | (7) 20 CFR 663.730 | |
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ASSURANCES AND ATTACHMENTS - Eligibility

| | STATEMENT | REFERENCE | DOCUMENTATION and COMMENT |
|------------------------------|---|---|--|
| 35. <input type="checkbox"/> | Where the SWIB chooses to establish them, the state established definitions and eligibility documentation requirements regarding the “deficient in basic literacy skills” criterion. | WIA Sections 101(13)(C)(i) CFR 664.205(b) | <i>Include a link or copy of the policy.</i> |
| 36. <input type="checkbox"/> | Where the SWIB chooses to establish them, the state established definitions and eligibility documentation requirements regarding “requires additional assistance to complete and educational program, or to secure and hold employment” criterion. | WIA Sections 101(13)(C)(iv) 20 CFR 664. 200(c) (6), 664.210 | <i>Include a link or copy of the policy.</i> |
| 37. <input type="checkbox"/> | The state established policies, procedures, and criteria for prioritizing adult title I employment and training funds for use by recipients of public assistance and other low-income individuals in the local area when funds are limited. | WIA Section 134(d) (4)(E) 20 CFR 663.600 | <i>Include a link or copy of the policy.</i> |
| 38. <input type="checkbox"/> | The state established policies for the delivery of priority of service for veterans and eligible spouses by the state workforce agency or agencies, local workforce investment boards, and One-Stop Career Centers for all qualified job training programs delivered through the state's workforce system. The state policies: 1. Ensure that covered persons are identified at the point of entry and given an opportunity to take full advantage of priority of service; and 2. Ensure that covered persons are aware of: a. Their entitlement to priority of service; b. The full array of employment, training, and placement services available under priority of service; and c. Any applicable eligibility requirements for those programs and/ or services. 3. Require local workforce investment boards to develop and include policies in their local plan to implement priority of service for the local One-Stop Career Centers and for service delivery by local workforce | WIA Sections 112(b) (17)(B), 322 38 USC Chapter 41 20 CFR 1001.120-.125 Jobs for Veterans Act, P.L. 107-288 38 USC 4215 20 CFR 1010.230, 1010.300-.310 | <i>Include a link or copy of the policy.</i> |

| STATEMENT | REFERENCE | DOCUMENTATION and COMMENT |
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| preparation and training providers. | | |

ASSURANCES AND ATTACHMENTS - Personnel and representation

| | STATEMENT | REFERENCE | DOCUMENTATION and COMMENTS |
|------------------------------|---|--|--|
| 39. <input type="checkbox"/> | <p>The state assures that Migrant and Seasonal Farmworker (MSFW) significant office requirements are met.</p> <p>Note: The five states with the highest estimated year-round MSFW activities must assign full-time, year-round staff to outreach activities. The Employment and Training Administration designates these states each year. The remainder of the top 20 significant MSFW states must make maximum efforts to hire outreach staff with MSFW experience for year-round positions and shall assign outreach staff to work full-time during the period of highest activity.</p> <p>If a state proposes that its State Monitor Advocate work less than full-time, the state must submit, for approval by the Department, a plan for less than full-time work, demonstrating that the state MSFW Monitor Advocate function can be effectively performed with part-time staffing.</p> | <p>WIA Section 112(b)(8)(A)(iii), 112(b)(17)(A)(iv) W-P Sections 3(a), (c)(1)-(2) 20 CFR 653.107(a), 107(i), 653.112(a), 653.108(d)(1)</p> | <p><i>Attach plan for part-time Monitor Advocate, if applicable.</i></p> |
| 40. <input type="checkbox"/> | <p>Merit-based public employees provide Wagner-Peyser Act-funded labor exchange activities in accordance with Departmental regulations.</p> | <p>W-P Sections 3(a), 5(b) 20 CFR 652.215 Intergovernmental Personnel Act, 42 USC 4728(b)</p> | |
| 41. <input type="checkbox"/> | <p>The state has designated at least one person in each state or Federal employment office to promote and develop employment opportunities, job counseling, and placement for individuals with disabilities.</p> | <p>W-P Section 8(b) 20 CFR 652.211</p> | |
| 42. <input type="checkbox"/> | <p>If a SWIB, department, or agency administers state laws for vocational rehabilitation of persons with disabilities, that board, department, or agency cooperates with the agency that administers Wagner-Peyser services.</p> | <p>W-P Section 8(b) 20 CFR 652.211</p> | |

STATEMENT OF ASSURANCES CERTIFICATION

The State, Commonwealth, or Territory of _____ certifies on the _____ day of _____ month in _____ year that it complied with all of required components of the Workforce Investment Act, Wagner-Peyser Act, and _____ (insert name of Act that authorizes programs included in State Plan). The State, Commonwealth, or Territory also assures that funds will be spent in accordance with the Workforce Investment Act and the Wagner-Peyser Act and their regulations, written Department of Labor guidance implementing these laws, and all other applicable Federal and state laws and regulations.

Governor

Date

**ATTACHMENT A
PROGRAM ADMINISTRATION DESIGNEES AND PLAN SIGNATURES**

Name of WIA Title I Grant Recipient Agency: _____

Address: _____

Telephone Number: _____

Facsimile Number: _____

E-mail Address: _____

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: _____

Name of Wagner-Peyser Act Grant Recipient/State Employment Security Agency:

Address: _____

Telephone Number: _____

Facsimile Number: _____

E-mail Address: _____

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/Territory of _____, the agencies and officials designated above have been duly designated to represent the State/Commonwealth/Territory 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 of Governor _____

Signature of Governor _____ Date _____