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Employment and Training Division
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Scott Walker, Governor
Raymond Allen, Secretary
Scott Jansen, Division Administrator

Date: February 10, 2016

To: Chief Elected Officials
Workforce Development Board Chairs
Workforce Development Board Directors

From: Scott Jansen, Administrator

A handwritten signature in black ink that reads "Scott Jansen".

Re: Workforce Innovation and Opportunity Act Local Plan Guidelines - FINAL

In September 2015, the Department of Workforce Development (DWD) issued the interim Workforce Innovation and Opportunity Act (WIOA) Local Plan Guidelines in order for local Workforce Development Boards (WDB) to have sufficient time to address changes from the Workforce Investment Act program. At this time we are issuing an updated version of the guidelines. As required by Section 108 of the WIOA, each local WDB must develop and submit a comprehensive four-year Local Plan in partnership with the appropriate Chief Elected Officials. The WIOA four-year plan will be effective July 1, 2016 – June 30, 2020, and at the end of the first 2-year period of the 4-year local plan, the WDB must review the plan and prepare and submit modifications as outlined in the DWD policy 03-02, Change 1. These final guidelines do not present significant changes from the interim guidelines. The changes/additions are as follows:

- Added three documents to the list of required attachments. These are: fiscal agent contract, employee health and welfare costs policy and incentive compensation policy. It is also noted that if these policies do not apply or if certain participant services are not provided, it is not necessary to develop a policy.
- Removed the limit of 50 pages for the Local Plan.
- On Page 6, added an additional request to Question 1 (submit the WDB staff agreement and/or job description for WDB Executive Director) and also added Questions 5 and 7-10.
- Added Question 5 to Page 7.
- On Page 8, Question 1, we requested that the WDB staff the current WDB/One-Stop Operator Agreement.
- Question 1, relating to Priority of Service, was added to Page 10.
- Question 3 (relating to offender reentry initiatives) and Question 4 (relating to Adult Basic Education and English Language Learning programs) were added to Page 11.
- A request for the WDB's needs-related payment policy (if applicable) and supportive services policy was added to Page 12.
- Page 12 contains an additional Question (#4) regarding the WDB's rapid response framework.
- Page 13 reflects an updated Question (#3) regarding economic self-sufficiency.
- An additional request has been added to Question 4 on Page 14 relating to career pathways.

Note: It is not necessary to develop policies and procedures for the provision of incumbent worker training or transitional jobs if the WDB does not plan on providing this service. If the WDB is interested in providing this training, policies can be developed and submitted but will be subject to further revision, if necessary, based on release of the final federal regulations.

If you have any questions as you proceed in finalizing your local plans, please contact your Local Program Liaison. We look forward to successfully moving forward together to improve Wisconsin's workforce and our economy.

Attachment

WORKFORCE INNOVATION and OPPORTUNITY ACT (WIOA)

**FINAL
LOCAL PLAN GUIDELINES
FEBRUARY 4, 2016**



Submit Plan To:

Annette Meudt, Auditor
Department of Workforce Development
Division of Employment and Training
P.O. Box 7972, Room G100
Madison, Wisconsin 53707
(608) 267-2985

Submit By: March 31, 2016

WORKFORCE INNOVATION and OPPORTUNITY ACT

**PROGRAM YEAR 2016
LOCAL PLAN GUIDELINES**

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Required attachments include:

Form A	Assurances and Signatures
Form B	Debarment & Suspension Certification
Form C	Lobbying Certification
Form D	One Stop Service Delivery System: Locations

- Publication notice
- Comments expressing disagreement with plan & WDB's response
- WDB/CEO Agreement
- CEO Consortium Agreement
- WDB/Fiscal Agent Agreement
- Fiscal Agent Contract
- Employee health and welfare costs policy
- Incentive compensation policy
- WDB membership list
- Conflict of Interest policy (for WDB members and Standing Youth Committee)
- WDB (and subcommittee) meeting schedule and organizational diagram
- WDB By-Laws
- WDB Staff Agreement
- WDB organizational chart
- Administrative Entity/Fiscal Agent organizational chart
- Current cost allocation plan
- Cash Management policy
- Fee for Services policy
- Procurement Policy
- WDB Personnel policies and procedures
- Local Board/One-Stop Operator Agreement
- Priority of service to veterans' policy
- Incumbent worker training policy*
- Transitional Jobs policy*
- Individual Training Account policy
- On-the-Job Training policy*
- Customized Training policy*
- Self-sufficiency definition/policy
- Needs-Related Payment policy*
- Supportive Services policy
- Follow-up Services policy
- Youth incentive payment policy*
- List of youth service providers

*If the WDB is not providing this service, the policy is not required.

WIOA Local Plan Guidelines

Purpose

Program Year 2015 marks the first year of the Workforce Innovation and Opportunity Act (WIOA). WIOA requires each workforce development board (WDB) to develop and submit, in partnership with the local chief elected official, a comprehensive four-year plan to the state. Please note that the terms "board" and "local board" are used interchangeably throughout this guidance with WDB and workforce development board. The WIOA four-year plan will be effective July 1, 2016 – June 30, 2020. These Plan Guidelines ask WDBs to address current and future strategies and efficiencies to address the continuing modernization of the workforce system and creation of a customer-centered system: where the needs of business and workers drive workforce solutions; where One-Stop Career Centers provide excellent customer service to all jobseekers and businesses; and where the workforce system supports strong regional economies, as well as alignment with updated State and local priorities.

WIOA strengthened the alignment of the workforce development system's six core programs by imposing unified strategic planning requirements, common performance accountability measures, and requirements governing the one-stop delivery system. In so doing, WIOA placed an increased emphasis on coordination and collaboration at the Federal, State, and local levels to ensure a streamlined and coordinated service delivery system for job seekers, including those with disabilities, and employers. Thus, the Local Plans are to be based on current and projected needs of the workforce investment system as a whole. The needs of job seekers, incumbent workers, youth, and businesses are to be considered in every step of the planning process. It is the responsibility of the WDB to maintain a "big picture" view of the system-wide needs of the workforce development area and its relationship to the state vision rather than focusing on programmatic and operational details.

To accomplish the objectives set out by WIOA and these plan guidelines, WDBs in consultation with the local elected officials, must incorporate broad involvement in the development of the Local Plan. Input needs to be received from a variety of stakeholders and the public at each stage of development. An atmosphere of collaboration and partnership and an emphasis on enhancing the entire system rather than categorical programs, is to be the outcome of this planning process. It is the WDB's responsibility to provide the leadership to achieve this goal.

Wisconsin's Strategic Vision

Wisconsin will deliver a results-driven talent development system providing the opportunity for the State's job seekers, workers and businesses to sustain economic viability and self-sufficiency. The system shall respond to changes in industry and sectors, as well as the skills, knowledge and work ability needs of employers. The system shall also respond to the needs of workers and job seekers, assisting with acquiring new skills and overcoming barriers. Educators and economic development shall serve as partners who have a pressing stake in the system. Alignment of activities with education and regional economic strategies will aid in providing access to self-sufficiency.

The one-stop delivery system shall provide a "one stop" at which any employer, worker or job seeker may enter into the aligned resources and programs of the talent development system. The state's job center system shall provide electronic access into the available resources in an integrated manner. Programmatic and evaluation results provide partners and elected officials with data to ensure continuous improvement of system activity.

WIOA Local Plan Guidelines

In order to achieve the State's vision, the following four key strategies have been developed in cooperation with the Council on Workforce Investment:

- Sector partnerships – expand sector strategies to continue enhancing and strengthening Wisconsin's economic vitality through addressing employer and job-seeker talent requirements.
- Career pathways – advance career pathways in Wisconsin to greater scale and alignment; credentialing and building better ladders and lattices for adult learners and cultivating a robust talent pipeline for employers.
- Cross-program data coordination – align WIOA services to improve the job seeker's experience and the behind-the-scenes data analysis and subsequent decision-making. WIOA partners will create the conditions in which job seekers can develop greater self-determination and data analysts can enhance reporting.
- Job driven investment – prepare workers for jobs currently available in the region's economy and for emerging occupations. Labor market information and employer feedback will be used to ensure these investments have a deep understanding of regional industries, occupations, populations and labor markets to formulate effective strategies.

Requirements for Completing the Plan

Consistent with the emphasis on broad collaboration and input into plan development, WIOA requires that the WDB make copies of the Local Plan available for public comments in each county in the WDA.

Public comment, at a minimum, is to consist of the following procedures:

- Copies of the Local Plan made available to the public in each county in the WDA through outlets such as public hearings, local news media and local websites.
- Members of the public and the WDB, including business and labor organizations, have an opportunity to comment on the Plan.
- A thirty (30) day period, prior to the submission of the Plan to DWD, to allow for comment from the public.
- The WDB makes information about the Plan available to the public on a regular basis through open meetings.
- Any public comments that express disagreement with the Plan and the WDB's response to those comments are to be submitted to DWD as part of the Local Plan. In addition, the WDB must submit a copy of the published notice.

Each Plan is to follow the format of these guidelines:

- All pages numbered, including attachments
- A Table of Contents, which identifies the name and page number for each section
- Single spaced, double-sided, 11 point font on 8.5 x 11 white paper
- Microsoft Word document
- Stapled or three-hole punched, not bound

WIOA Local Plan Guidelines

Submittal Requirements

Submit an original, three hard copies and one copy by email (with a copy to the Local Program Liaison) by 4:30 P.M. on **March 31, 2016** to:

Annette Meudt, Auditor
Department of Workforce Development
Division of Employment and Training
P.O. Box 7972, Room G100
Madison, Wisconsin 53707
(608) 267-2985
Annette.meudt@dwd.wisconsin.gov

Review and Approval of the Plan

Upon submission, all plans will be reviewed immediately for completeness. If there are questions or concerns, WDBs will be notified within two weeks. The content of plans will be reviewed and approved by June 30, 2016, unless DWD, the Governor's designee, determines in writing that: (1) there are deficiencies in local workforce investment activities that have not been addressed, or (2) the plan is determined inconsistent with WIOA and the regulations of WIOA, including required public comment provisions.

Modification Procedures

At the end of the first 2-year period of the 4-year local plan, the WDB, in partnership with the chief local elected official, must review the plan and prepare and submit modifications to reflect changes "in regional labor market and economic conditions; and other factors affecting the implementation of the local plan, including but not limited to changes in the financing available to support WIOA Title I and partner-provided WIOA services." [§679.530] DWD, acting on behalf of the Governor, has established procedures for modifying local plans. These requirements are outlined in DWD policy 03-02, Change 1.

Key Dates

<i>Local Plan Guidelines</i> Issued	September 11, 2015
Local public comment period begins	February 15, 2016
WIOA State Plan due to DOL	March 3, 2016
Local Plans due	March 31, 2016
Local Plans approved.....	June 30, 2016
WIOA Program Year 2016 begins	July 1, 2016

Assistance

If you have questions, or would like assistance, please contact the Local Program Liaison assigned to your WDA:

David Arb	(608) 266-1150
Theresa Loerke	(608) 264-8179
Karen Pfeil	(608) 266-9663
Mike Staude	(608) 261-6967

WIOA Local Plan Guidelines

Introduction

These *Guidelines* represent the forward movement of Wisconsin's public workforce investment/development system to a demand-driven system that strengthens Wisconsin businesses and the economy by focusing on high-wage, high-growth employers, establishing relationships with them, understanding their business needs, understanding the local labor market, and then applying this understanding to all jobseeker and employer services. The Guidelines were developed with input from all WIOA combined State-level partners.

I. Workforce Needs, Labor Market Analysis, and Assessment of Workforce Investment Activities and Assets

A. Local Workforce Needs

1. Describe the workforce investment needs of the local area as they relate to:
 - a. Employers/Businesses
 - b. Job Seekers
 - c. Incumbent Workers
 - d. Youth
2. Describe any workforce investment need in your WDA not reported in 1.a-d.
3. Describe how these needs were identified.

B. Labor Market Information

1. Provide an analysis of the regional economic conditions including –
 - (a) Existing and emerging in-demand industry sectors and occupations (data will be compiled from the Quarterly Census of Employment and Wages, Occupational Employment Survey, and long-term Industry and Occupational Projections with formatted tables provided in Fall 2015) and
 - (b) The employment needs of employers in those industry sectors and occupations (data will be compiled from DWD labor exchange sources such as the Job Center of Wisconsin and Help Wanted Online in formatted tables and may be supplemented by the market intelligence of WDB Business Services staff)
2. Provide an analysis of the knowledge and skills needed to meet the employment needs of the employers in the region, including employment needs in in-demand sectors and occupations (data will be compiled from (a) and (b) and will include common skills and educational requirements as defined in O*Net)
3. Provide an analysis of the workforce in the region, including current labor force employment (and unemployment) data, and information on labor market trends and the educational and skill levels of the workforce in the region, including individuals with barriers to employment. (Regional economists will provide a series of formatted tables and graphs describing these trends at the WDA and state levels.

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This data will be compiled from the Local Area Unemployment Statistics program and will be supplemented with data from the U.S. Census Bureau and other sources.)

WDB leadership must review and incorporate the provided material in order to assess the climate in which the WDB operates prior to inclusion in the local plan. Regional economists will also be available to assist in the creation of any narrative analysis incorporated to support the data elements provided.

4. Describe any WDA specific labor market characteristics not reported in 1.a. and b.

C. Assessment of Current Workforce Investment Activities in the Local Area

1. Provide an analysis of the type and availability of workforce development activities for adults and dislocated workers, including education and training, in the local area. This analysis must include the strengths and weaknesses of workforce development activities and capacity to provide workforce development activities to address the education and skill needs of the workforce, including individuals with barriers to employment, and the employment needs of employers. Describe plans to address any weaknesses identified. [§108(b)(1)(D)]
2. Provide a description and assessment of the type and availability of youth workforce investment activities in the local area including activities for youth who are individuals with disabilities. This description must include an identification of successful models of such activities being used and/or planned. [§108(b)(9)]
3. Describe the strategy to identify business requirements within the local area and provide support in meeting their needs. [§682.320]
4. Provide a description and assessment of the type and availability of services available to employers in the local area.

II. Vision and Workforce Development Area Goals

- A. Provide a description of the Board's strategic vision and goals for preparing an educated and skilled workforce including youth and individuals with barriers to employment. Include goals relating to the performance accountability measures based on primary indicators of performance in order to support regional economic growth and economic self-sufficiency. [§108(b)(1)(E)]
- B. Describe strategies to work with the entities that carry out the core programs that align resources available to the local area to achieve the strategic vision and goals described in II.A. [§108(b)(1)(F)]
- C. Describe the measures the WDB will use to track progress toward these goals.
- D. Describe the process used to develop your area's vision and goals, including participants in the process, especially focusing on how industry sector partnerships will be utilized.

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- E. In order to achieve the goals identified above, implementation strategies need to be developed. Describe the strategies the WDB will use to achieve the WDA's vision and goals for the local area.

III. Governance and Structure

A. Plan Input and Review Process

1. Describe the process used, in accordance to the five criteria below, to provide an opportunity for public comment and input into the development of the local plan.

To provide adequate opportunity for public comment, the Local Board must:

- a. Make copies of the proposed local plan available to the public through electronic and other means, such as public hearings and local news media;
 - b. Include an opportunity for comment by members of the public, including representatives of business, labor organizations, and education;
 - c. Provide no more than a 30-day period for comment on the plan before its submission to the Governor, beginning on the date on which the proposed plan is made available, prior to its submission to the Governor;
 - d. The Local Board must submit any comments that express disagreement with the plan to the Governor, along with the plan, the WDB's response to those comments, and a copy of the published notice; and
 - e. Consistent with WIOA section 107(e), the Local Board must make information about the plan available to the public on a regular basis through electronic means and open meetings.
2. Describe how local workforce partners were involved in the development of the WDB's local plan. Also describe how local partners will be involved in the ongoing implementation of the local plan.

B. Chief Elected Official(s) (CEO)

1. Describe the role of the CEOs in the governance and implementation of WIOA in the local area. In local areas consisting of more than one unit of government, describe the decision making process between the local elected officials. If this is addressed in a WDB/CEO Agreement, please state that it is included in that Agreement and provide the section where it can be found.
2. Section 683.710(b)(2) states that when a local workforce area is composed of more than one unit of general local government, the liability of the individual jurisdictions must be specified in a written agreement between the CEOs. Please provide this document or specify its location, if it is within another document.
3. Please submit a WDB/CEO Agreement and/or the CEO Consortium Agreement.

WIOA Local Plan Guidelines

C. WDB Functions

1. Describe any roles and responsibilities, as agreed to with the CEO, which may differ or be in addition to those specified in the Act and regulations. Please identify where these responsibilities are listed in the WDB/CEO Agreement.
2. Identify the fiscal agent or entity responsible for the disbursement of grant funds. If a fiscal agent is used, attach the current contract and identify who has signatory authority. Submit the WDB/Fiscal Agent Agreement.

D. WDB Composition

The Governor shall, once every two years, certify one local board for each local area in the State. Such certification shall be based on criteria established under section 107(b), and for a second or subsequent certification, the extent to which the local board has ensured that the workforce investment activities carried out in the local area have enabled the local area to meet the corresponding performance accountability measures and achieve sustained fiscal integrity. For PY15, DWD issued Administrator's Memo 15-05 which details the requirements that must be met for certification of a local board. A WIOA compliant board must be in place by December 31, 2015.

For the following questions, if the response is provided in the CEO Consortium Agreement, the WDB/CEO Agreement or in the WDB By-Laws, indicate which agreement the description can be found in and the section where it is stated. If not included in any of these documents, provide the response below:

1. Describe the nomination and selection process used to appoint local business representatives to the WDB.
2. Describe how the Board will provide a leadership role in developing policy, implementing policy, and oversight for the local workforce investment system.
3. Identify the circumstances that constitute a conflict of interest for, or any matter that would provide a financial benefit to a Board member, a member's immediate family, or a representative entity. Include actions to be taken by the Board or Board member in the event of a conflict of interest. If this question is addressed in your conflict of interest policy, state what section(s) contain the response. Submit the WDB's conflict of interest policy. [§107(h)(1 & 2)]
4. Provide a complete and current WDB membership list.
5. Attach a diagram, description of roles and responsibilities, and regular meeting schedule of the WDB and subcommittees.
6. Describe how the WDB ensures that meetings and information regarding WDB activities are accessible to the public (including persons with disabilities). [§107(e)]
7. Describe the process the WDB will use to notify the CEO of any vacancies and to fill those vacancies with appropriate representatives.

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8. Attach the Workforce Development Board By-Laws including date adopted/amended. The by-laws must comply with the parameters listed in Admin Memo 15-05.

E. Youth Standing Committee

WIOA eliminates the requirement for Local Boards to establish a youth council; however, the Local Board may choose to establish a standing committee to provide information and to assist with planning, operations, and other services to youth, which must include community-based organizations (CBOs) with a demonstrated record of success in serving eligible youth. Additionally, an existing youth council may be designated as the youth standing committee if they are fulfilling the requirements of a standing committee which means that they have members of the Local Board who have the appropriate experience and expertise in youth educational and workforce development.

The youth standing committee must include a member of the Local Board as the chair, members of CBOs with a demonstrated record of success in serving eligible youth and other individuals with appropriate expertise and experience who are not members of the Local Board. The committee may also include parents, participants, and youth.

If local boards choose not to delegate this function to a standing youth committee, they are responsible for conducting oversight of youth workforce investment activities under WIOA section 129(c). Boards that choose not to have a standing youth committee must respond to question 5. For those questions that do not apply to your WDB, please answer "Not Applicable".

1. Describe the role and responsibilities of the Standing Youth Committee.
2. Describe how the Standing Youth Committee is involved in developing policy.
3. Identify circumstances that constitute a conflict of interest for Standing Youth Committee members and describe how codes of conduct and conflict of interest issues related to Standing Youth Committee members will be addressed. If this question is addressed in your conflict of interest policy, state what section(s) contain the response. Submit the conflict of interest policy.
4. Describe how the Standing Youth Committee conducts oversight with respect to eligible providers of youth services in the local area and their role in provider selection.

The following is applicable only to local boards that choose not to establish a standing youth committee:

5. Describe how the local board will conduct oversight of youth workforce investment activities under WIOA section 129(c).

WIOA Local Plan Guidelines

F. WDB Support and Administration

1. If the WDB employs staff, identify the number of staff (time percentage), general role, and as part of what structure/organizational entity. Indicate whether or not this same entity has staff that provides direct WIOA services. **Submit the WDB Staff Agreement and/or job description for WDB Director.**
2. Include an organizational chart with an 'effective as of date' of WDB staff, administration and support.
3. Provide a copy of the Administrative Entity/Fiscal Agent's organizational chart with an 'effective as of date'.
4. Attach a copy of the WDB's most recent approved Cost Allocation Plan.
5. **Describe and submit the WDB's cash management policy and procedures.**
6. Is an Indirect Cost Rate or de minimis rate of 10% used?
7. **Describe fee for service(s) activities, and how the funds are accounted for. Submit the WDB's local policy regarding fee for services.**
8. **Employee health and welfare costs incurred in accordance with local board policies are allowed for the improvement of working conditions, employer-employee relations, employee health, and employee performance are allowable (2 CFR 200.437). Submit the WDB's policy for the provision of these costs for WDB staff.**
9. **Incentive compensation to employees based on cost reduction, or efficient performance, suggestion awards, safety awards, etc., is allowable (2 CFR 200.430). Provide the WDB's policy for incentive compensation to employees and/or service provider staff.**
10. **Submit the WDB's personnel policies and procedures.**

IV. One-Stop System and Service Delivery

A. One-Stop Service Delivery

1. Describe the One-Stop delivery system in your local area, including the roles and resource contributions of one-stop partners. [§121(a)] Include a list of the comprehensive One-Stop centers and the other service locations in your job center network. Use Form D.
2. Is each of the required WIOA partners included in your One-Stop delivery system? Describe how they contribute to your planning and implementation efforts. If any required partner is not involved, explain the reason. [§121(b)]
3. Identify non-required partners included in the local One-Stop delivery system.

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4. Describe how entities within the one-stop delivery system, including one-stop operators and one-stop partners, will comply with Section 188 and the Americans with Disabilities Act regarding physical and programmatic accessibility of facilities, programs and services, technology, and materials for individuals with disabilities, including providing staff training and support for addressing needs of individuals with disabilities. Describe how the WDB incorporates feedback received during consultations with local Independent Living Centers regarding compliance with Section 188 of the ADA.
5. Describe the WDB's policies and procedures for resolving grievances or complaints filed by participants and other interested parties affected by the local workforce system, including one-stop partners and service providers.
6. Helping veterans obtain training and employment is the responsibility of all Job Center staff. The local Job Center must provide priority of service to all veterans and eligible spouses to ensure that the full range of employment and training services are provided in a comprehensive, customer-driven, and seamless manner. Describe processes in place at the point of entry to the system to identify veterans and eligible spouses who are entitled to priority of service (including signage and/or designated areas and staff training). Submit any implementing policies or procedures describing how priority of service is implemented uniformly and appropriately across the local workforce system.
7. Please list which career services are provided by which partners to job seekers and employed workers.
8. Describe the strategy to identify business requirements within the local area [682.320]. In addition, describe the business services available to area employers through the One-Stop system, and who provides these services. Provide details about any fee-for-service business services.
9. Describe how "center-based" business services are provided. This description should include how all programs that conduct business services are included in the system and the coordination practices; and how input and feedback from all partners is received and implemented equitably.
10. Describe actions taken by the WDB to promote maximum integration of service delivery through the One-Stop delivery system for both business customers and individual customers. Attach any local policies or procedures in support of this.
11. Describe how the WDB will ensure the quality of service delivery and continuous improvement throughout the One-Stop centers.
12. Describe how the WDB facilitates access to services provided through the local delivery system, including remote areas, through the use of technology and through other means. [§108(b)(6)(B)]
13. Describe the connection between the local board WIOA Youth Program and the Job Center service delivery system.

WIOA Local Plan Guidelines

14. Describe the WDB's activities/actions with local partners to ensure the development and implementation of common intake for all Resource Rooms per State policy (to be issued). Also include a description of how activities will be coordinated with other points of intake such as the Division of Vocational Rehabilitation.
15. Describe how the end result of the activities described in the previous question show reduced duplication of services for program participants; ease of program accessibility; and identification of gaps the partnership has to address.
16. Describe activities to promote Job Center of Wisconsin (JCW), and address the following:
 - a. Any participant needs for computer literacy as part of a system improvement; and
 - b. How the WDB is coordinating with workforce partners, including Veterans' Services staff, to ensure that JCW is the vehicle for posting job orders for optimal competition of job seekers and available candidates for employers of the job openings.
17. Describe how Salesforce will be used to support and enhance JCW rather supplant JCW.
18. Briefly describe Information Technology (IT) systems in the local area, including:
 - a. Systems in place to assess and place job seekers (include all IT services owned or subscribed to).
 - b. Systems used for employer management (include all IT services owned or subscribed to).
 - c. Systems used to track participant services (include all IT services owned or subscribed to).
 - d. Coordination of local IT systems with Job Center of Wisconsin, ASSET, and other federally or state provided systems.
 - e. Other systems the WDB is utilizing and the purpose of these systems.
 - f. The assessment process utilized to determine IT needs.

B. Memorandum(s) of Understanding (MOUs)

The local board, with the agreement of the chief elected official, shall develop and enter into a memorandum of understanding between the local board and the one-stop partners which would be effective July 1, 2016. Due to the changes with enactment of WIOA, DET will be providing additional guidance to the WDB's to assist in the development of local MOUs. Thus, copies do not need to be submitted at this time. The local MOUs must be reviewed and approved by DET by June 30, 2016. The Local Plans for WDBs without an approved MOU will only be conditionally approved.

C. One-Stop Operators (OSO)

1. Identify the current One-Stop Operator in the local area and attach the current WDB/One-Stop Operator Agreement.

WIOA Local Plan Guidelines

2. Describe how the WDB is preparing for the competitive process for OSO selection. Describe how market research, requests for information, and conducting a cost and price analysis were conducted as part of that preparation. [§121(d)]

3. Roles and Responsibilities

a. Provide a description of the roles and responsibilities of the OSO(s) in the Comprehensive Job Center(s) and for service locations in the One Stop delivery system.

b. If there are multiple operators and/or consortia, be specific as to what each agency's role is and which Job Centers are involved with each.

D. Certification and Continuous Improvement [§121(g)]

The state's certification policy has not yet been finalized by the state workforce board. Following its completion and issuance, please describe any additional criteria or higher levels of service coordination than required in order to respond to labor market, economic, and demographic conditions and trends in the local area.

V. Results-Driven Talent Development System

One of WIOA's principal areas of reform is to require States and local areas to plan across core programs. This reform promotes a shared understanding of the workforce needs within each State and local area and fosters development of more comprehensive and integrated approaches such as career pathways and sector strategies, for addressing the needs of businesses and workers. The expansion of sector strategies must continue in order to enhance and strengthen Wisconsin's economic vitality through addressing employer and job-seeker talent requirements. Sector partnerships implement effective coordinated responses and integrate resources to develop the talent and workforce needs of key industries of a regional labor market. Wisconsin's system must use labor market information as the basis to map and assess current sector activities; and regional sector partnerships are not defined by artificial boundaries. Rather, they are determined through labor market analysis. Business service teams will represent the one-stop system to offer a coordinated set of services through the inclusion of all WIOA stakeholders. Sector partnerships must be closely aligned with the education system to develop flexible and response career pathways.

1. Describe the local area's workforce development system, including identifying the programs included in the system, and how the WDB will work with the entities administering core programs and other workforce development programs to support alignment and provision of services, including the following:

- PK-16 Council
- Local technical colleges
- Local University of Wisconsin campuses
- Regional economic development entities

2. Provide a description of how the WDB, working with entities to carry out core programs, will expand access to employment, training, education and supportive

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services for eligible individuals, particularly eligible individuals with barriers to employment. Include how the WDB will facilitate the development of career pathways and co-enrollment, as appropriate, in core programs, and improve access to activities leading to a recognized postsecondary credential including a credential that is an industry-recognized certificate or certification, portable, and stackable. [Section 108(b)(3)]

3. Describe how the WDB will ensure that individuals are informed of non-traditional employment and training opportunities.
4. Describe the WDB's use of initiatives such as incumbent worker training programs, on-the-job training programs, customized training programs, industry and sector strategies, career pathways initiatives, utilization of effective business intermediaries, and other business services and strategies, designed to meet the needs of employers in the local area to meet the needs of businesses. [Section 108(b)(4)(B)]
5. Describe mechanisms that are currently in place or will be in place to provide microenterprise and entrepreneurial training, support programs and co-enrollment, where appropriate, in core programs. [134(a)(3)(A)(i)]
6. Describe how the WDB enhances the use of apprenticeships to support the local economy and individuals' career advancement. Describe how job seekers are made aware of apprenticeship opportunities in the area's job centers.
7. Describe how the WDB will identify and work with key industry partnerships where they exist within the local area, and coordinate and invest in partnership infrastructure where they are not yet developed.
8. Identify how the WDB plans to better align its resources to support and meet the training and employment needs of key industry sectors in the local area. Describe policies adopted or planned for aligning training initiatives and Individual Training Accounts (ITA) to sector strategies and demand occupations.

VI. Program Services

A. Priority of Service

1. DET will provide a process for establishing priority of service for the Adult program for public assistance recipients, other low-income individuals, and those who are basic skills deficient. Describe any additional priority groups for the adult program other than those required by the Act.
2. For participants who receive priority of service, WIOA Section 680.600 requires local areas to establish criteria by which the one-stop operator will apply such priority. Criteria may include the availability of other funds for providing employment and training-related services in the local area, the needs of the specific groups within the local area, and other appropriate factors. Provide the WDB's local criteria and/or policy. [134(c)(3)(E)]

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3. Provide a copy of the WDB's local policy that addresses how priority of service to veterans and eligible spouses will be applied. In addition, describe the local procedures developed to implement the requirements under the Jobs for Veterans Act (P.L.107-288)(38 USC 4215).

B. Funding

1. Describe any plans for transferring up to 100% of the funds between the adult and dislocated worker programs. If planned, include the circumstances applicable to a transfer request, the measures to assure no loss of service to the original program population, and the expected impact on program performance.
2. If applicable, describe the WDB's plans to utilize up to 10% of local dislocated worker, adult, and youth formula funds toward the pay-for-performance contract strategy.
3. Describe the WDB's plan for the allocation of funds between service categories for both adults and dislocated workers. Show the percentages for career services and training allocations for the Adult and Dislocated Worker programs.

C. Service Strategies

1. Describe service strategies the WDB has in place or will develop that will improve meeting the needs of customers with disabilities as well as other population groups protected under Section 188 of WIOA and 29 CFR Part §38.
2. Describe the methods and procedures that have been developed (or are planned) to ensure coordination and collaboration with the following programs:
 - a. TANF
 - b. Food Share Employment and Training
 - c. Adult Basic Education and English Language Learning Programs Authorized by Title II of WIOA
 - d. Registered Apprenticeship
 - e. Jobs for Veterans State Grants Program [38 U.S.C. §4102A(c)]
 - f. National Farmworker Jobs Grant Program
 - g. Senior Community Service Employment Program (SCSEP)
3. Describe how the local workforce development board will work with local and statewide offender reentry initiatives supported by the Department of Corrections, as required by 2015 Wisconsin Act 55, 106.36(2)(b). The description should include the following: how labor market information and assessment tools will be utilized, how the board will collaborate with local work release facilities, plans for coordination of case management services, and coordination with programs authorized under WIOA Section 225(a).
4. Describe how the WDB will ensure collaboration with Adult Basic Education and English Language Learning programs so that adults who need to improve their reading, writing, math and/or language skills have access to integrated instruction and accelerated entry into post-secondary education to earn an industry-recognized credential.

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5. Provide a description of plans, strategies and assurances to maximize coordination of services provided under the Wagner-Peyser Act and WIOA (for example, WIOA Title 1 staff document workshop services provided by WIOA Title 1 staff in ASSET). The description should include how improved service delivery and avoidance of duplication of services will be achieved. [§108(b)(12)]
6. Describe the process used for reviewing and updating Individual Employment Plans (IEP). Include if the process is used for every participant or if there are exceptions, how frequently it is done, and how it is documented in the participant file and ASSET.
7. Attach the WDB's policy on Needs Related Payments, or, indicate that the WDB does not use this WIOA provision.
8. Attach the WDB's supportive services policy.
9. Describe the process for contacting active participants (adults/dislocated workers and youth). Include if the process is required for every participant or if there are exceptions, how frequently contact attempt is required, how it is documented, and what the procedures are for successful contact attempts.
10. Describe the criteria used by the WDB to determine the appropriateness of exiting a participant (adults/dislocated workers and youth). For example, no contact with case manager, employment plan goals have been met, participant becomes employed at the locally-defined self-sufficiency wage or certain percentage of federal poverty limit, has been employed for minimum number of days, etc.
11. Provide a copy of the WDB's follow-up services policy. This policy should include follow-up requirements (follow-up on all participants or exceptions), frequency of contact, and required documentation.

D. Dislocated Workers

1. Provide the WDB's definition of "unlikely to return to previous industry or occupation" when required for eligibility for dislocated worker services.
2. Describe WDB policies and procedures to support Re-employment Services (RES) activities. For example, participation in RES in-person sessions.
3. Describe the process for providing rapid response services to worker groups on whose behalf a Trade Adjustment Act (TAA) petition has been filed. [§134(a)(2)(A)] This description must include how the local area disseminates benefit information to provide trade-affected workers in the groups identified in the TAA petitions with an accurate understanding of the provision of TAA benefits and services in such a way that they are transparent to the trade-affected dislocated worker applying for them.
4. Describe the local area's Rapid Response framework and processes, addressing the following items:

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- a. Identification of WDB and Job Service leads (Rapid Response Practitioners)
- b. Clarification of roles and responsibilities for the WDB and Job Service
- c. Mechanisms for routine communication between the WDB and Job Service
- d. Integration of the minimum level of required transition services (see list on the Rapid Response Practitioners' webpage, <https://workweb.dwd.state.wi.us/det/bwt/dw/default.htm>)
- e. Identification of flexible and innovative services and solutions to address both employers' and workers' transition needs
- f. Mechanisms for leveraging staff and other resources
- g. Effective utilization of materials
- h. Engagement of appropriate partners

5. Describe the mechanisms that are currently in place or will be in place to identify employers at risk of layoffs. [§682.330(g)(1)]
6. Describe the methods and procedures the WDB developed or will develop to expand coordination of service delivery with the Trade Adjustment Assistance program. The Department of Labor expects the State (via the WIOA program) to offer Rapid Response and wrap-around services to TAA-eligible dislocated workers, prior to and post training services.

The description should include all phases of the dislocation response process, such as rapid response on receipt of petition notice, participation in program orientation, assessment and Employment Plan development, preparation for re-employment and skill training, and provision of placement services.

E. Title I Basic Career Services

1. Describe any basic career services that will be provided in addition to those specified in Sec. 134(c)(2)(A)(i) of the Act and TEGL 3-15.
2. Describe the WDB's design for Title I basic career services.
3. Under WIOA, there is no requirement that a participant must receive career services prior to training services. However, at a minimum, to be eligible for training, an individual must receive an eligibility determination for training services. Describe how the WDB will manage this for participants being fast-tracked into training. [§680.220)].

F. Individualized Career Services

1. Describe any individualized career services that will be provided in addition to those identified in Section 134(c)(A) (xii) of the Act and TEGL 3-15.
2. Describe how individualized career services will be coordinated across programs/partners in the One-Stop Centers, including Vocational Rehabilitation, TANF and Adult Education and Literacy activities. Specify how the local area will coordinate with these programs to prevent duplication and improve services to customers.

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3. DET is currently developing a statewide definition for economic self-sufficiency, including the process for applying the definition. Until that is implemented, WDBs are to use their current definition and processes. WDBs are required to adopt the State's definition and processes once it is issued. The following language should be added to the WDB's local plan: "The WDB will continue applying its previously approved self-sufficiency definition until the State's uniform 'economic self-sufficiency' definition, policy, and process for application have been issued. Once issued, the WDB will cease using its local definition and adopt the uniform definition, policy and process for application." Attach the WDB's previously approved self-sufficiency definition/policy.
4. The State's economic self-sufficiency policy allows local areas to place individuals into training programs that may not immediately lead to economic self-sufficient employment. Describe the general instances or circumstances where this would be allowable and the procedure that will be used to allow these exceptions. Otherwise, confirm that this is not an allowable process within the local area.

G. Training Services

1. Of the amount the WDB has allocated for training, identify the percentage of training funds earmarked for ITA, On-the-Job Training (OJT), incumbent worker training, transitional jobs and customized training.
2. Describe any plans for using up to 20% of local area dislocated worker and adult formula funds to provide the Federal share of the cost of providing training through a training program for incumbent workers. Submit the local policy and forms, including an itemization of the non-federal reimbursement share [§680.800, 134(d)(4)(A)(i) and TEGL 3-15]. Note: It is not necessary to develop policies and procedures for the provision of incumbent worker training if the WDB does not plan on providing this service. If the WDB is interested in providing this training, policies can be developed and submitted but will be subject to further revision, if necessary, based on release of the final federal regulations.
3. Describe any plans for using up to 10% of local area dislocated worker and adult formula funds to provide transitional jobs, including the process to identify individuals with barriers to employment, chronically unemployed or have an inconsistent work history; identify appropriate employers, planned reimbursement amounts, what supportive services will be included, and any limits on duration. Submit the WDB's local policy and forms. [134(d)(5), §680.840a and TEGL 3-15] Note: It is not necessary to develop policies and procedures for the provision of transitional jobs if the WDB does not plan on providing this service. If the WDB is interested in providing this training, policies can be developed and submitted but will be subject to further revision, if necessary, based on release of the final federal regulations.
4. Describe how the WDB will, with representatives of secondary and postsecondary education program, economic development agencies and industry, lead efforts in the local area to develop and implement career pathways within the local area by aligning the employment, training, education, and supportive services that are needed by adults and youth, particularly individuals with barriers to employment. Also describe how the WDB and the area's technical colleges will define their roles

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to support a regional career pathway system. Information about Wisconsin Career Pathways, formerly the RISE Initiative, can be found at <https://www.wicareerpathways.org> [§101(d)(5)]

5. Describe the WDB's policy for its Individual Training Account (ITA) system including limits on duration and amount. This description (and policy) must include the (1) specific process and/or method used by which WIOA training funds are coordinated with other sources of funding for training and, (2) process by which WIOA funds are utilized if other sources of funding are pending approval, and how those WIOA funds are accounted for when other sources of funding are approved/disapproved. Submit the WDB's ITA policy.
6. Describe and attach the WDB's policy and procedures for adding, monitoring and removing training providers from the ITA list.
7. Describe the WDB's intent to use exceptions (contracts) instead of or in conjunction with the ITA system. Address the following issues as applicable:
 - a. Describe the WDB's policies for OJT and Customized Training opportunities including the length and amount. Submit the WDB's OJT policy and customized training policy.
 - b. If a determination was made that there is an insufficient number of eligible providers, describe how this determination was made and the competitive process to be used in selecting providers under a contract for services.
 - c. If the WDB intends to serve special participant populations that face multiple barriers to employment, describe the criteria to be used to determine the demonstrated effectiveness of community-based organizations or other private organizations that serve these populations.
8. Describe the documentation required to demonstrate a "need for training."

H. Youth Program

WIOA outlines a broader youth vision that supports an integrated service delivery system and gives framework through which states and local areas can leverage other Federal, State, Local and philanthropic resources to support in-school and out-of-school youth.

1. Since WIOA requires 75% of youth funds to be spent on out-of-school individuals, please provide the following information:
 - a. WDB's approach to meeting the required 75% minimum youth expenditure, including the planned program design.
 - b. Current and planned recruitment strategies to expand and market services to out of-school youth.
 - c. Current and planned strategies to target services to youth, and to ensure seamless, year-round services to out-of-school youth.
 - d. Current and planned strategies to encourage 16-17 year old dropouts/non-attenders to return to school.
 - e. Current and planned retention strategies to retain out-of-school youth in employment or post-secondary education.

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- f. Current and planned service strategies for assuring that out-of-school youth deficient in basic reading/writing and math will increase one Educational Functioning Level.
 - g. Strategies to ensure career pathways information will be included in the participant's Individual Service Strategy.
 2. Provide the name of the assessment tool(s) the local board will administer to in-school and out-of-school youth to assess their academic levels.
 3. Describe how the local board will assess the youth for occupational skills, prior work experience, employability, interests, aptitudes, supportive service needs, and developmental needs.
 4. Describe the activities the local board will provide that lead to the attainment of a secondary school diploma or its equivalent, or a recognized post-secondary credential.
 5. Describe the activities the local board will provide to prepare the youth for post-secondary educational and training opportunities.
 6. List the agencies and/or organizations the local board will partner with to provide services to youth that are:
 - a. Subject to the juvenile or adult justice system;
 - b. Homeless;
 - c. Runaway;
 - d. Pregnant or parenting;
 - e. Individuals with a disability;
 - f. Foster children;
 - g. Aging out of foster care;
 - h. English language learners;
 - i. School dropouts; and
 - j. Within the age of compulsory school attendance, but have not attended school for at least the most recent complete school year quarter.
 7. List the resources or services the agencies and/or organizations could provide these youth.
 8. Describe how the local board will ensure that parents, participants and other members of the community with experience relating to the programs for youth are involved in the design and implementation of these programs.
 9. Describe how the local board will ensure that each participant be provided information on the full array of applicable or appropriate services that are available through the local board or other eligible providers or one-stop partners.
 10. Describe how the local board will partner with the following programs to serve youth and young adults through the Youth Program:
 - a. YouthBuild;
 - b. AmeriCorps;
 - c. Job Corps;

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- d. Youth Apprenticeship; and
 - e. Registered Apprenticeship.
11. Describe any regional efforts the local board is involved with or is planning with regarding youth initiatives.
 12. Describe how the local board will provide the fourteen required program elements for the WIOA youth program design.
 13. Describe the process for reviewing and updating the Individual Service Strategy (ISS), including frequency and documentation requirements.
 14. Specify if the local area plans to offer incentives or stipends for youth. If yes, attach the local policy (refer to WIA Policy 13-02: Youth Incentive Awards and Stipend Payment Policy for additional information).
 15. Describe the WDB's approach to comply with the required minimum 20% expenditure for work experience. [§129(c)(4)]
 16. Provide the WDB's definition of the in-school youth eligibility criterion – "An individual who requires additional assistance to complete an educational program, or to secure or hold employment." The locally developed eligibility criterion must be specific, measurable, and different from the eligibility categories listed for the in-school youth.
 17. Provide the WDB's definition of the out-of-school youth eligibility criterion – "A low-income individual who requires additional assistance to enter or complete an educational program or to secure or hold employment." The locally developed eligibility criterion must be specific, measurable, and different from the eligibility categories listed for the out-of-school youth.
 18. Attach a list of the current youth service providers.
- I. New Service Strategies for WDAs Failing Performance Measures
- As required by WIOA, in response to any WDA failing to meet local performance accountability measures for Adult, Dislocated Worker, or Youth programs in any program year, the Governor (state) will provide technical assistance. Technical assistance may include assistance in the development of a performance improvement plan or the development of a modified local plan. WDAs that fail to meet local performance accountability measures for any program year must describe all new or innovative service delivery strategies the WDA has employed or is planning to employ. The description must also describe how the initiative maximizes resources, improves service levels, improves service quality, achieves better integration or improves performance levels. In addition, the initiative's general design, anticipated outcomes, partners involved and funds leveraged must be described.
- J. Strategies for Faith-based and Community Organizations

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1. Describe current or planned activities to increase the opportunities for participation of faith-based and community organizations as committed and active partners in the One-Stop delivery system.
2. Describe current or planned activities to expand the access of faith-based and community organizations' clients and customers to the services offered by the One-Stops in the WDA.

VII. Service Providers and Oversight

A. Selection of Service Providers

1. Describe the competitive process used to award subgrants and contracts in the local area for activities carried out under WIOA Title 1 [§108(b)(16)].
2. Describe how and where the services will be provided and who will provide them for the following types of services:
 - a. Career services
 - b. Youth services

B. Oversight and Training of Service Providers

1. Describe the WDB's oversight and monitoring procedures including processes for programmatic, equal opportunity and fiscal monitoring, including frequency. Also include processes for ensuring quality customer service. [§107(d)(8)]
2. Provide a brief description of how the WDB will ensure the continuous improvement of eligible providers of services and ensure that such providers meet the employment needs of local employers, workers and jobseekers. [§108(b)(6)(A)]
3. Describe how WDB and service provider staff is trained in use of the ASSET system and the WIOA program. Also describe how WDB and service provider staff is informed of new policies (both local policies, DET issuances and DOL guidance) and training opportunities.
4. Describe local processes for monitoring and ensuring timely and comprehensive entry of participant information into the ASSET system.
5. Describe any local data systems in use to record and track participant services.

VIII. Performance and Accountability

- A. If the WDB has developed performance standards, in addition to those required by WIOA, describe the criteria used to develop these local area performance standards. Describe how these standards will be evaluated and corrective actions that will be taken if the performance falls short of expectations.
- B. Describe how performance data will be used for local monitoring, evaluation, continuous improvement and oversight processes; and, describe the type of training

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for staff (and providers where appropriate), and the frequency, on ASSET and performance measures.

- C. Describe how your local area's program design will maximize performance on the WIOA primary indicators of performance outlined in Section 116(b). After setting adjusted levels of performance with the State, update the Local Plan to provide the adjusted targets.

**WIOA Local Plan
Assurances and Signatures**

1. The WDB, including the chief elected official of the area and providers receiving funds under Title I of the Workforce Innovation and Opportunity Act, will comply with the Fiscal Controls established in Section 184 of WIOA.
2. The WDB and chief elected official assure that they will comply with the nondiscrimination and equal opportunity provisions of WIOA section 188 and implementing regulations at 29 CFR Part §38, adhere to the DET Methods of Administration for ensuring compliance, including an assurance that a Methods of Administration has been developed and implemented by the WDB and its funded sub-recipients.
3. The WDB assures that it will collect and maintain data necessary to show compliance with the nondiscrimination provisions of WIOA section 188.
4. The WDB assures that veterans will be provided priority access to employment and training activities authorized in section 134 of WIOA.
5. The WDB assures that all WIOA participants will be exposed to a full range of career choices including orienting and exposing them to training and jobs with family-supporting wages.
6. The WDB assures that financial literacy training/information is made available for all participants.
7. The WDB assures that no funds received under WIOA will be used to assist, promote, or deter union organizing.
8. The WDB assures that it will comply with sections 504 and 508 of the Rehabilitation Act of 1973, including the American's with Disabilities Act of 1990.
9. The WDB assures that it developed this plan in consultation with the business community, labor organizations, and required partners.
10. The WDB assures that funds will be spent in accordance with WIOA legislation, regulations, written DOL Guidance, Division of Employment and Training (DET) guidance and all other applicable federal and state laws.
11. The WDB assures that all WDB meeting agendas and minutes will be shared with DET staff (Local Program Liaison).
12. The WDB assures that no WIOA funds will be spent on the development or operation of any data management systems that duplicate systems provided by the State of Wisconsin, especially ASSET, WorkNet, or Job Center of Wisconsin.
13. The WDB Administrative Entity assures the development of a Continuity of Operations Plan (COOP) which outlines the methods by which the Board will function and services will be provided during a critical incident or pandemic, including:
 - Provisions for continuation of employment and training services under the WIOA and other programs or services funded by the DWD as possible during a critical incident or pandemic as well as the restoration of full services when services have had to be limited or interrupted for a period of time.
 - Oversight of the status and activity of the WDA's Job Center sites during a critical incident or pandemic, including regular status reports to DET Services COOP Branch Director or designee as required.
 - Full cooperation with the DWD, DET in the preparation or implementation of a COOP as specified, including submittal of the Board's updated COOP Plan in April of each year upon request, and participation in COOP drills such as call trees, tabletop exercises and other plan reviews as scheduled.

Form A

14. The WDB assures that it will comply with state program priorities and directives set out in the state plan and any subsequent modifications.

NOTE: Signatures are also required on the Certifications in the **Forms B and C**.

This plan has been developed for the _____ WDA in accordance with the terms of the WIOA.

Approved for the Workforce Development Board

Workforce Development Board Chair

Name (type or print): _____

Signature: _____ Date: _____

Approved for the Counties of the Workforce Development Area

Chief Local Elected Official

Name (type or print): _____

Title: _____

Signature: _____ Date: _____

Local Elected Officials (Optional):

Name (type or print): _____

Title: _____

Signature: _____ Date: _____

Name (type or print): _____

Title: _____

Signature: _____ Date: _____

etc., for the number of counties in the area.

**Certification Regarding
Debarment, Suspension, Ineligibility and Voluntary Exclusion
Lower Tier Covered Transactions**

This certification is required by the regulations implementing Executive Orders 12549 and 12689, 2 CFR 180. These regulations restrict awards, subawards, and contracts with certain parties that are debarred, suspended, or otherwise excluded from or ineligible for participation in Federal assistance programs or activities. The regulations were published at §200.212 of Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

**BEFORE COMPLETING CERTIFICATION, READ ATTACHED INSTRUCTIONS WHICH ARE
AN INTEGRAL PART OF THE CERTIFICATION**

- (1) The prospective recipient of Federal assistance funds certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective recipient of Federal assistance funds is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Name and Title of Authorized Representative

Signature

Date

Instructions for Certification

1. By signing and submitting this proposal, the prospective recipient of Federal assistance funds is providing the certification as set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective recipient of Federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the Department of Labor (DOL) may pursue available remedies, including suspension and/or debarment.
3. The prospective recipient of Federal assistance funds shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective recipient of Federal assistance funds learns that its certification was erroneous when submitted or has become erroneous by reason of charged circumstances.
4. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to whom this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective recipient of Federal assistance funds agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the DOL.
6. The prospective recipient of Federal assistance funds further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to check the List of Parties Excluded from Procurement or Nonprocurement Programs.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the DOL may pursue available remedies, including suspension and/or debarment.

CERTIFICATION REGARDING LOBBYING

CERTIFICATION FOR CONTRACTS, GRANTS, LOANS AND COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all* subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all* subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 200.450 of Part 200-Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

	<u>WIOA Title I-B</u>
Grantee/Contractor Organization	Program/Title

Name of Certifying Official	Signature	Date
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One Stop Service Delivery System: Locations

Name and address of Comprehensive Center	Name of Center Manager/Contact	Manager/Contact Telephone number & e-mail address	Central Phone # Yes No	Center's Web Address
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Name and address of Other Service Locations	Name of the Site Manager/Contact	Manager/Contact Telephone number & e-mail address
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